



[Robina Foundation](#)

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ROBINA FOUNDATION
Board Meeting

Thursday, November 19, 2015
The Minneapolis Club
Founder's Room

ROBINA FOUNDATIO

TO: Robina Board of Directors

FROM: Penny Hunt

RE: November 19, 2015 Board Meeting

Based on the size of this Board Book, it's a good thing we expanded the meeting to an all-day meeting! The Book would have been 60+ pages longer (with two-sided printing) if I had added various attachments to the CFR/HIA report at Tab 5. The additional pages include the meeting agendas, speakers' bios, etc. Copies of the material will be available at the meeting.

Several comments about the material and the agenda:

Tab 4: Our meeting with David Wippman and others from the University of Minnesota Law School will focus on the accomplishments of work on sentencing issues funded by Robina's Sentencing Enhancements grant. The U's material details the work of the U vis-a-vis deliverables developed at the start of the grant. We will also consider requests for additional support for Public Interest Scholars and Bridge Funding.

Tab 5: Material from CFR describes work during the past year pursuant to Robina's two grants to fund diversity activities and includes CFR's response to Joan Dassin's evaluation of the work. To follow up on the Board's decision in September to provide a final year of funding for Humanity in Action's Fellows Program and the Diplomacy and Diversity Initiative, the CFR material explains how CFR proposes to use the balance of funds available under the original grants.

Tab 6: Dean Post's letter at Tab 6 responds to Robina's willingness to discuss an endowment of YLS's human rights programs that includes a match of funds Robina might provide. Dean Post and others at YLS understand that this discussion and Yale's securing of additional funds could take time.

At the September Board Meeting, the Board asked for a full proposal to support the *Gilder Lehrman Center*. The first proposal outlining funding over the next four years responds to that request; the second proposal involves longer-term support.

Tab 7: To help us understand better *LifeCourse* results to date and plans for the future, our meeting includes an extended conversation with Penny Wheeler, Paige Bingham and Heather Britt.

Let me know if you have questions or concerns in advance of the meeting.

ROBINA FOUNDATION BOARD OF DIRECTORS' MEETING
November 18-19, 2015

Wednesday, November 18

6:00 p.m. Dinner Meeting at The Minneapolis Club, Governor's Room

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

Thursday, November 19

8:00 a.m. Continental Breakfast in Founder's Room

8:30 a.m. Board of Directors' Meeting in Founder's Room

4:30 p.m. Adjournment

Robina Foundation Board of Directors' Meeting
Thursday, November 19, 2015

TIME	The Minneapolis Club, Founder's Room	Tab#
8:00 a.m.	Continental Breakfast in Meeting Room	
8:30 a.m.	Welcome and Call to Order – Blatz	
8:35 a.m.	Minutes from September 1-2, 2015 Board Meeting – Berresford – Action	1
8:40 a.m.	Executive Director's Report - Hunt	2
8:45 a.m.	Treasurer's Report – Lewis • Assets and Grants • 2015 Third Quarter Financial Report from Mike Sullivan • Marathon Credit Opportunity Fund Redemption - Action	3
9:00 a.m.	Reports/Proposals – University of Minnesota Law School • Guests: David Wippman, Kevin Reitz, Kelly Mitchell, and Amanda Furst ➤ <i>Institute on Criminal Law and Criminal Justice – Sentencing Enhancements</i> – Annual Report - Action ➤ <i>Scholarships</i> – Annual Report ➤ <i>Public Interest Scholars and Bridge Fellowship Program</i> - Proposals - Action	4
10:15 a.m.	Reports/Proposal – Council on Foreign Relations • <i>Expanded Diversity Initiative in Foreign Policy: CFR Activities and CFR-Humanity in Action Activities</i> – Annual Report ➤ CFR's Response to Joan Dassin's Report ➤ Funding for CFR Diversity Activities - Action • Organizational Diversity Report • Capital Campaign Information	5
11:00 a.m.	Reports/Proposals – Yale University • Yale School of Drama's Status of Endowment – Annual Report • Yale Law School Proposal for Endowment Funding ✓ • Yale University's <i>Gilder Lehrman Center</i> – Proposal – Action	6
12:00 noon	Lunch	
1:00 p.m.	Reports – Abbott Northwestern/Allina • Guests: Penny Wheeler, Paige Bingham, and Heather Britt ➤ <i>LifeCourse</i> Evaluation by The Improve Group ➤ <i>LifeCourse</i> Discussion/Update ➤ <i>Care COPILOT</i> – Update	7
2:30 p.m.	Robina Grantmaking Next Steps	
3:30 p.m.	Meeting Dates	8
4:30 p.m.	Adjournment	

1	MINUTES September 1-2, 2015
2	EXECUTIVE DIRECTOR'S REPORT
3	TREASURER'S REPORT 3rd Quarter Financial Report
4	REPORTS/PROPOSAL University of Minnesota Law School
5	REPORTS/PROPOSALS Council on Foreign Relations
6	REPORTS/PROPOSAL Yale University
7	REPORTS Abbott Northwestern/Allina
8	MEETING DATES

**Robina Foundation Annual Meeting
Meeting Minutes
September 1 - 2, 2015**

The annual meeting of the Board of Directors of the Robina Foundation, a Minnesota nonprofit corporation, was held on September 1 and 2, 2015, at the offices of Faegre Baker Daniels in Minneapolis, MN.

September 1, 2015

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

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

Recorder: Jeremy Hansen of Office Team

Call to Order and Welcome

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

Minutes from May 12, 2015, Board Meeting

A motion made and seconded to approve the Minutes of the May 12, 2015, Board Meeting included in the Board Book was approved unanimously.

Executive Director's Report

Hunt called Board Members' attention to several items in her written report in the Board Book, including information about the *LifeCourse* event attended by Lewis and Hunt, Dean Wippman's update on the Mellouli case, various evaluations scheduled by the Foundation and progress in efforts to sell the condominium at 301 Clifton in Minneapolis.

Foundation Finances

Blatz welcomed guests Jerry Anderson, Jon Gennaro and Ben Webster from US Bank and Robina's investment consultant Mike Sullivan to discuss the performance of Robina's assets and plans for the future.

USbank representatives and Sullivan emphasized the importance of reducing the volatility of Foundation assets and removing illiquid assets from the portfolio as the Foundation moves toward sunset. During the next several years, the goal is a disciplined approach involving reduction in market risk securities and hedge funds and increasing fixed income securities, so that within several years of the Foundation's sunset, the portfolio would consist of all fixed income assets and cash. Sullivan stressed the importance of 1-2 year notice for large grants to enable thoughtful sale of securities to fund grants.

Sullivan raised the question of the appropriate classification of fixed income hedge funds. Board Members agreed that Sullivan should work to make a decision concerning the classification of fixed income hedge funds and that he and Lewis should work with USbank to determine what to do with hedge funds with the goal of resolving questions in the next several quarters.

After a discussion concerning the revised Investment Policy Statement included in the Board Book,

A motion made and seconded to approve the Robina Foundation Investment Policy Statement dated August 4, 2015, included in the Board Book was approved unanimously.

Board Members discussed the timing of formal audits of the Foundation and agreed that an audit should take place after the closing on the sale of the 301 Clifton condominium.

Grantee Reports

Council on Foreign Relations: IIGG Annual Report

Board Members reviewed the report on the eighth year of the *IIGG* funded by the Foundation. Board Members expressed interest in more detail about the Council of Councils, which is a key initiative of *IIGG*: Who "owns" and is driving the Council of Councils? How involved are the councils representing each of the countries? Which countries' councils are the most active? How is the agenda set? What are the goals and overall strategies of the initiative? Hunt will work with Stewart Patrick to assure that this information is included in next year's report.

University of Minnesota Law School: Center for New Americans

Board Members discussed the significant, impressive accomplishments of the *Center* during the first two years of operation both within the Law School and in the community, noting, in particular, the *Center's* crucial partnerships with local law firms and active collaboration with non-profit organizations involved in immigration issues.

Yale School of Drama: Binger Center for New Theatre

Following review of this year's report, Board Members asked Hunt to request additional information next year, including:

- A recap of plays commissioned and produced by Yale and elsewhere;
- Yale's process to evaluate the success of commissions;
- More complete text of play reviews;
- Dean Bundy's status at Yale School of Drama;
- YSD response to *Human Rights Initiative* of Yale Law School.

Council on Foreign Relations: Expanded Diversity Initiative

Dassin Evaluation / Humanity in Action Funding Request

Board Members reviewed Joan Dassin's evaluation of activities supported by the Foundation's two grants to the Council on Foreign Relations to support CFR initiatives and those of Humanity in Action aimed at increasing the diversity of people involved in careers in foreign policy and international relations. After discussion concerning the genesis of the two grants and the issues posed when two different organizations conduct joint programs, Board Members considered Humanity in Action's request for a final year of funding to support *HIA's Undergraduate Fellowship Program* and the *Graduate Diplomacy and Diversity Fellowship Program*.

A motion made and seconded to approve payment to HIA of \$247,878 for the Undergraduate Fellowship Program and \$600,720 for the Graduate Diplomacy and Diversity Fellowship Program was unanimously approved by the Board of Directors.

In connection with Robina support for the two programs, Board Members asked Hunt to remind HIA that the Robina Foundation funded these programs to provide educational and professional opportunities for members of U.S minority groups to pursue and advance in careers in foreign policy and international relations and to ask HIA to continue that focus, notwithstanding that CFR will not be involved with HIA in 2016. Hunt was also directed to learn how HIA plans to provide the career-building workshops and activities previously provided by CFR and to request that HIA's

screening of candidates for the *Diplomacy and Diversity Program* include probing to determine candidates' interest in careers in foreign relations to ensure that most of the participants' interests reflect the intent of the Foundation's funding.

Grantmaking Discussion

After Blatz called Board Members' attention to the Listening Tour Book containing all material related to the Robina Board's year-long Listening Tour and read the Foundation's Guiding Principles which informed meetings with Robina Grantees, each Board Member discussed the pros and cons of the various opportunities for future grantmaking identified by Robina Grantees. An extensive discussion of the initiatives continued until the meeting adjourned at 4:30 p.m. with the understanding that key agreements, next steps and messages will be summarized during day 2 of the annual meeting.

September 2, 2015

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

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

Recorder: Jeremy Hansen of Office Team.

Call to Order

Blatz called the second day of the annual meeting to order and welcomed all Board Members.

Continuation of Grantmaking Discussion

Board Members reviewed yesterday's discussion of the Foundation's grantmaking and asked Hunt to contact each Robina Grantee to discuss the results of the Listening Tour, including the Board's decision to move forward with funding to support the *Gilder Lehrman Center* at Yale University. It was agreed that the November 19th Board meeting would be an in-person meeting in Minneapolis preceded by a dinner on November 18. The agenda will include meetings with the University of Minnesota Law School and Allina.

Board Governance

Discussion

Job Description: During a review of the current job description for Robina Board Members, it was suggested that language be added to reference Board Members' responsibility to assure that the Foundation operates consistent with the founder's intent and in accordance with all applicable laws and regulations. Hunt will draft appropriate language for Board approval.

Lead Directors: Board Members agreed that current lead director assignments should be retained for the coming year.

Action

Election of Officers

After discussion,

The Board of Directors unanimously elected Steve Schroeder to a one-year term as Vice Chair (9/1/15 – 8/31/16), Steve Lewis to a three-year term as Treasurer (9/1/15 – 8/31/18) and Susan Berresford to a three-year term as Secretary (9/1/15 – 8/31/18).

Election of Director

After discussion,

The Board of Directors unanimously elected Peter Karoff to serve a fourth three-year term (9/1/15 – 8/31/18).

Meeting Dates

Plans for the February 22-24, 2016, Board Meeting were discussed. Hunt was asked to explore options to hold the meeting in San Francisco, with the understanding that the meeting agenda will include an educational/inspirational session(s) with one or more high profile speakers on immigration or another topic relevant to the work of the Robina Foundation. Hunt will also explore the possibility of building a meeting in 2017 around the work of the *Gilder Lehrman Center* at Yale University.

Other Business / Executive Session

Board Members held a brief executive session to discuss compensation of the Executive Director.

Adjournment

There being no other business, the meeting was adjourned.

Respectfully Submitted,

Susan Berresford, Secretary

Date

**ROBINA FOUNDATION
BOARD OF DIRECTORS MEETING
November 19, 2015
EXECUTIVE DIRECTOR'S REPORT**

Robina Grantmaking

As you know, immediately after the September meeting, with your assistance I developed Attachment 1, which is a summary of the Board's grantmaking discussion and follow-up messages for Robina Grantees. That discussion was based on the Foundation's Guiding Principles, also included as Attachment 1. I contacted each of the grantees by phone or in-person to update them on the Board's discussion. (I met with Paige Bingham of Allina, and Kathleen and I met with David Wippman.) In the case of Yale, I had multiple conversations with Patty Pedersen and Tara Fitzpatrick. Follow-up material from each of the grantees is included in the Board Book.

Allina / LifeCourse

I met with The Improve Group for an update on their process of evaluating the implementation of *LifeCourse* and to discuss several questions asked by Board Members at the September meeting. In early October, Kathleen, Susan and I met with Amy Cyr and Stacy Johnson from The Improve Group to discuss their preliminary observations and the content of their report to the Board. Their report is found at Tab 7 for discussion with Penny Wheeler, Paige Bingham and Heather Britt.

Yale Law School

You will recall that Board Members asked Yale Law School how the Law School evaluates the effectiveness and value of the human rights programming supported by Robina. Our question led the Law School to reach out to past participants in the various human rights initiatives supported by Robina to learn more about their experience and the impact on their careers. Yale provided us with essays written by a number of graduates describing the impact on their careers. Tab 6 includes a number of the essays Yale received.

Yale School of Drama

We have often discussed the commissioning work of the Binger Center for New Theatre and plan to ask YSD for detailed information about commissioning and production of commissioned plays in YSD's next annual report. The information in Attachment 2 provides some helpful information.

University of Minnesota Law School

Kathleen and I both reviewed drafts of the U's material provided at Tab 5 in the Board Book and met with David Wippman to provide feedback to assure that the material responds to questions from Board Members. In particular, we emphasized that the report on the SLP Enhancement Projects should include the status of the U's work vis-à-vis deliverables developed at the time of the grant (see Tab 5, Appendix B). The information on the Robina Scholarship Match Program and the Public Interest Scholars & Bridge Fellowship Programs should provide clear information on the classes covered by the funding requests. We also urged David to meet with Steve Lewis to talk about the Law School capacity-building needs. Steve can report on his discussion at the meeting.

The inside cover of the Board Book includes an article by David Brooks related to issues in sentencing we will discuss with David and others from the Law School, along with the Law School's report on the "Generations" campaign, which highlights Robina's contributions to the campaign.

301 Clifton Avenue Condo (Bazal Condo)

After more ups and downs, the condominium unit was finally put on the market in early September with a purchase price of \$374,500. We immediately received two offers, one for \$100 over the asking price. Unfortunately, the initial buyer rescinded the offer during the 10-day review period when this is permitted, so we went back to the second buyer and settled on a purchase price of \$372,000. The closing is scheduled for November 20. Yea! At present I don't know the amount the Foundation will receive from the sale, but I should have that information at the Board meeting. Removal of the condo from the foundation's portfolio will be a welcomed accomplishment!

February Board Meeting

Nancy is finalizing lodging and meeting rooms for the February 22-24, 2016 Board Meeting in San Francisco, while I am working on identifying an expert to meet with the Board. Board Members suggested that an expert on immigration would be very helpful given Robina's support of the University of Minnesota's *Center for New Americans*. When asked for names of leading experts and advocates in immigration, Ben Casper from the U immediately put me in contact with Karen Musalo at the Hastings College of Law's Center for Gender & Refugee Studies. I am thrilled that Karen or one of her colleagues has agreed to meet with us. Check out the Center's website (www.cgrs.uchastings.edu) for information about the Center. We are still working on the focus of the discussion, so I welcome your ideas about direction I might give to Karen. I think we will all learn from our time with Karen at the meeting.

ROBINA FOUNDATION LISTENING TOUR Messages for Robina Grantees September 2015

Key messages for all Robina Grantees

- Robina Board appreciated Robina Grantees' participation in the Foundation's Listening Tour that helped the Board learn more about each organization's priorities and needs.
- During the August board meeting the Board reviewed all of the ideas presented during the Listening Tour meetings and decided which initiatives it would continue to consider.
- We're in the process of updating all grantees and moving forward with the prospect of sunsetting the Foundation in the future.

Yale University

Overall messages for Patty Pedersen

- Appreciated the opportunity to learn more about Yale's (and President Salovey's) very interesting key initiatives and understand their value for Yale and the broader society.
- While all of the initiatives we learned about have merit, the Board concluded that it is interested in discussing new support for the Gilder Center and continued support for human rights programming at Yale Law School.

Gilder Lehrman Center (Request: \$1.2M payable over 3 years)

- Very interesting, important and timely program
- Thoughtful, skilled director
- Potential for impact without a major investment
- Willing to consider funding now: request full proposal for consideration at November 19 board meeting

Questions to be addressed in proposal:

- Budget
- Long-term plans: succession of leadership; development of programs
- Use of website

Yale Law School (Request: annual support of \$1M or endowment of up to \$20M)

- Have been and remain very supportive of YLS's human rights programming;
- Enthusiastic about all aspects of the current package of programs in the Robina-funded initiative and interested in understanding how to ensure that the program and long-term leadership of the program endure;
- Question is what is Yale's commitment to sustaining the programs;
- Open to a future investment, but a match of some sort will be a critical and necessary component going forward;
- Willing to discuss an endowment that includes a match of funds Robina might provide;
- Understand that assembling an endowment would take some time, so if YLS is interested in discussing how that might be possible, Robina is willing to provide an annual funding bridge of up to \$1M;
- Continuation of the Robina name on the initiative is not essential;
- Specific allocation of funds to COAP, etc. is not essential to Robina.

Questions:

- How could a match be raised for dollars Robina might give?
- How much outside support does YLS raise each year?
- How does funding for YLS fit into overall Yale funding?
- Is Yale undertaking a capital campaign (or considering a campaign)? If so, is YLS part of the campaign?

Council on Foreign Relations

Overall messages

- Although Board Members were impressed with the initiatives discussed during the Listening Tour and the leaders driving the various initiatives, not interested in moving forward on any of the specific proposals discussed.
- Plan to end funding of IIGG with payment in 2016: believe that Robina's 9 years of funding (total: \$18.3M) has: 1) successfully established IIGG at the core of CFR so that the initiative will achieve significant internal priority to warrant being sustained; 2) permitted CFR to reach out in new ways (e.g. CoC) and 3) expanded the way CFR operates.
- In addition to a review of the Listening Tour meetings, the Robina Board discussed the outside evaluation of diversity initiatives supported by the Foundation. Robina will follow up to discuss the evaluation of CFR diversity initiatives and CFR plans for the future.

CFR's Capital Campaign: \$125M - \$150M campaign to celebrate CFR's 100th Anniversary in 2021

Robina is interested in learning more about the campaign. Information on the campaign in advance of Robina's Nov. 19 board meeting would help Robina Board determine whether and how Robina might participate in the campaign.

- What is current status?
- Have any donors come forward at this point?
- Will campaign include naming opportunities?
- Open to suggestions?

Allina / LifeCourse

(Request: \$25M payable over 5 years beginning in 2016)

Overall messages

- Recognize the importance of the issue of late-in-life care, the timeliness of the LifeCourse initiative and the uniqueness of LifeCourse's Care Guides as evidenced in the Environmental Scan conducted by TidesWell
- Recognize the quality of LifeCourse leadership and the value of Penny Wheeler's commitment to the initiative and visibility as the initiative's key spokesperson
BUT
- Not prepared to make a decision now about additional funding for LifeCourse
- Pause to await the evaluation currently underway by The Improve Group designed to help Robina and Allina understand the implementation of the initiative to date and potential for the future.

The Robina Board is trying to understand the impact of the initiative, how it is viewed by Allina, timing of results, etc. As we currently understand the expectations, Robina is being asked to consider a total of \$40 million for the program – a very large sum

(considerably larger than support provided to any other initiative). Given that, the Board needs to understand better what might be achieved with that investment.

The Board is interested in discussing this with LifeCourse leadership at its November 19 meeting. In advance of the meeting, the following information would help the Board prepare for the discussion:

- Update on outcomes from work to date: Is the study complete? Cost to date? Cost savings? Is further proof of concept required?
- Positioning of initiative within Allina; buy-in from Allina as evidenced by funding for the initiative and integration into Allina operations
- What are Allina's timing and plans for sustainability and picking up the cost?
- Projected timing of adoption by system
- How is LifeCourse leadership involved with the end/late life community outside of the advisory committee for the initiative?
- Date when current funding will be fully expended.

The Improve Group will be asked to cover the following in the evaluation to the extent possible:

- Information on how LifeCourse achieves 24/7 coverage
- Reasons for attrition
- Use of volunteers
- Cost savings
- Allina support
- Level of involvement of National Advisory Committee (role, attendance at meetings, how committee members have interacted as a group with Penny and the LifeCourse team, what they have contributed and what plans there are to have them look at the results, plans for the future, etc.)

University of Minnesota Law School

Center for New Americans (Request: \$25 M endowment. Current commitment ends in 2016)

Very impressed with progress to date:

- strong leadership of the Center
- unique nature of the Center
- remarkable commitment of non-profit and law firm partners
- rapid development of clinics and outreach into the University and the community
- ability to respond quickly to the changing issues in immigration law
- potential to elevate the national reputation of the Law School.

Regarding endowment of Center:

- Although everything looks promising and Robina is open (?) to sustaining the Center in the near-term (definition of near-term?), it is too early for the Foundation to consider endowing the Center.
- Consideration could take place after two more years. (Check to see if we developed benchmarks for year 3 and 4. If so, mention they want to see the performance of the Center vis-à-vis the benchmarks.)
- Consideration of an endowment would need to involve discussion of a match of Robina funds. (Note: at a future date, Robina might be able to assist the U by introducing the Center to other funders. No mention of that at this point.)

Question: How does the Center fit into the Law School's strategic plan?

Public Interest Scholarships (Request: \$3.9M payable over 5 years. Last payment on current commitment will be paid in 2016)

Robina is willing to consider additional support for PIS, with the understanding that Robina's current funding is available to support students entering this year.

Questions:

- What are plans to sustain this initiative after Robina sunsets?
- Robina is currently committed to provide \$804,188 in 2016; would new funding begin in 2017?
- Correct that a commitment for a 5-year grant beginning in 2017 would support students entering between 2016 and 2018?

Scholarships (Request: \$250K per year for 5 years. Current funding ends in 2016)

- Robina is willing to consider additional funding
- Correct that additional funding would begin in 2017?
- Would Law School continue to use Robina funding as a match for other funding?

Capacity-Building Grant

Robina admires the Dean's work and leadership of the Law School during difficult, challenging times and would like to find ways to fortify his efforts to keep the Law School at a high level of effectiveness and distinction. One way Robina might do that is through a capacity-building grant to expand the Law School's ability to reach out to funders and alums.

- Would this be helpful?
- Is there another way Robina could help him succeed?

Discuss with Dean at the appropriate time.

University of Minnesota Capital Campaign

- How do financial needs of the Law School fit into the fundraising of the U of M?
- Is funding for the Law School part of an upcoming campaign?

ROBINA FOUNDATION

Guiding Principles for Robina Grantmaking

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

The Robina Foundation will:

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

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

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

Advance human rights, justice, fairness and equality

Make U.S. diversity an asset, not a liability

Ease human suffering

Prepare the next generation of leaders

Foster artistic / cultural creativity

November 2014

NEW PLAY NEWS FROM
YALE REPERTORY THEATRE AND
YALE'S BINGER CENTER FOR NEW THEATRE

2015–16 SEASON INCLUDES
THREE WORLD PREMIERES IN NEW HAVEN AND
FIVE YALE REP-COMMISSIONED PLAYS
ON STAGES COAST TO COAST

YALE REPERTORY THEATRE (James Bundy, Artistic Director; **Victoria Nolan**, Managing Director), the internationally celebrated professional theatre in residence at Yale School of Drama and champion of new work since its founding in 1966, marks the 2015–16 season with three world premiere productions at its home in New Haven and five Yale Rep-commissioned plays scheduled for runs in Los Angeles, La Jolla, and New York City.

NEW PLAYS AT YALE REP

Yale Rep's season officially opens tonight with the world premiere of ***Indecent***, a new play with music written by Pulitzer Prize winner Paula Vogel, created by Paula Vogel and Rebecca Taichman, and directed by Rebecca Taichman, October 2–24. ***Indecent***, which was commissioned by Yale Rep and American Revolutions: The United States History Cycle at the Oregon Shakespeare Festival, is a co-production with La Jolla Playhouse, where it will play November 13–December 10. The play will have its New York premiere at the Vineyard Theatre in spring/summer 2016.

Yale Rep's season continues with the world premieres of ***peerless***, Jiehae Park's blistering contemporary comedy about ambitious twin sisters who will stop at nothing to get into the college of their choice, directed by Margot Bordelon, November 27–December 19; and Jen Silverman's ***The Moors***, an absurdly funny new play inspired (perhaps) by the lives and writings of the most famous sisters of 19th-century literature, directed by Jackson Gay, January 29–February 20.

All three world premieres are produced with support from Yale's Binger Center for New Theatre.

NEW PLAYS FROM YALE REP ACROSS THE COUNTRY

The Yale Repertory Theatre production of ***These Paper Bullets!***, by Rolin Jones, with songs by Billie Joe Armstrong, directed by Jackson Gay, is playing now at the Geffen Playhouse in Los Angeles through October 18, after which it will enjoy its New York debut at the Atlantic Theater Company, November 20–January 10. Commissioned by Yale Rep, where it premiered in 2014, ***These Paper Bullets!*** already has been honored with five Connecticut Critics Circle Awards including Outstanding Production of a Play.

Sarah Ruhl's ***Dear Elizabeth***, based on the correspondence between Elizabeth Bishop and Robert Lowell, which was commissioned by and had its world premiere at Yale Rep in 2012, will make its New York debut at the Women's Project Theatre, October 26–December 5.

Familiar, Danai Gurira's Yale Rep-commissioned comedy-drama about a Zimbabwean-American family living in the Midwest, will have its New York debut at Playwrights Horizons February 12–March 27, directed by Rebecca Taichman, who staged the Yale Rep world premiere in 2015.

Branden Jacobs-Jenkins's **War**, also commissioned by Yale Rep, will next be seen in New York at Lincoln Center Theater's LCT3. The New York premiere will begin previews in May, directed by Lileana Blain Cruz, who staged the world premiere at Yale Rep in 2014.

Following its world premiere co-production at Yale Rep and La Jolla Playhouse this fall, **Indecent**, created by Paula Vogel and Rebecca Taichman, which was commissioned by Yale Rep and American Revolutions: The United States History Cycle at the Oregon Shakespeare Festival, will have its New York premiere at the Vineyard Theatre in spring/summer 2016.

MORE ABOUT THE BINGER CENTER FOR NEW THEATRE

Established in 2008, Yale's **Binger Center for New Theatre** has distinguished itself as one of the nation most robust and innovative new play programs, devoting significant resources to the commissioning, development, and production of new plays and musicals at Yale Rep and theatres across the country. Since its founding, the Binger Center has supported the work of more than 50 commissioned artists and underwritten the production of 20 new plays at Yale Rep—12 of which were Yale commissions. Plays that began in New Haven under the auspices of the Binger Center have been seen in more than 30 subsequent productions on and off Broadway; at other leading theatres in New York, Chicago and Los Angeles; in small theatres in Virginia, Texas, and Pennsylvania; and in Toronto, London, and Melbourne.

Jennifer Kiger, Yale Rep's Associate Artistic Director and Director of New Play Programs, oversees the new play development and production activities of the Binger Center for New Theatre. In the eight years since the Binger Center was established, Yale Rep has offered its commissioned artists meaningful financial compensation, plus the time, space, and the flexibility to pursue individualized development processes for each of their projects. In addition, through the Production Enhancement Fund, the Binger Center offers financial support for productions at other theatres for works commissioned by and/or first produced by Yale Rep.

The Binger Center for New Theatre was permanently endowed in 2012 by a gift from the Robina Foundation and has received support from the Andrew W. Mellon Foundation and individual donors. It is named in honor of James H. Binger (1916-2004), the noted businessman, theatre impresario, and philanthropist who created the Robina Foundation.

COMMISSIONED ARTISTS

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

CALENDAR

September 8–October 18, 2015

Geffen Playhouse, Los Angeles, CA
West Coast Premiere
The Yale Repertory Theatre production of
These Paper Bullets!
Written by Rolin Jones
Songs by Billie Joe Armstrong
Directed by Jackson Gay

October 2–24, 2015

Yale Repertory Theatre, New Haven, CT
World Premiere Co-Production
Indecent
Written by Paula Vogel
Created by Paula Vogel and Rebecca Taichman
Directed by Rebecca Taichman

October 26–December 5, 2015

Women's Project Theatre, New York, NY
New York Premiere
Dear Elizabeth
By Sarah Ruhl
Directed by Kate Whoriskey

November 13–December 10, 2015

La Jolla Playhouse, La Jolla, CA
World Premiere Co-Production
Indecent
Written by Paula Vogel
Created by Paula Vogel and Rebecca Taichman
Directed by Rebecca Taichman

November 20, 2015–January 10, 2016

Atlantic Theater Company, New York, NY
New York Premiere
These Paper Bullets!
Written by Rolin Jones
Songs by Billie Joe Armstrong
Directed by Jackson Gay

November 27–December 19, 2015

Yale Repertory Theatre, New Haven, CT
World Premiere
peerless
By Jiehae Park
Directed by Margot Bordelon

January 29–February 20, 2016

Yale Repertory Theatre, New Haven, CT
World Premiere
The Moors
By Jen Silverman
Directed by Jackson Gay

February 12–March 27, 2016

Playwrights Horizons, New York, NY
New York Premiere
Familiar
By Danai Gurira
Directed by Rebecca Taichman

May 21–July 6, 2016

LCT3, New York, NY
New York Premiere
War
By Branden Jacobs-Jenkins
Directed by Lileana Blain-Cruz

Spring–Summer, 2016

Vineyard Theatre, New York, NY
New York Premiere
Indecent
Written by Paula Vogel
Created by Paula Vogel and Rebecca Taichman
Directed by Rebecca Taichman

From: Penny Hunt pennhunt@gmail.com
Subject: Fwd: asylum grant
Date: October 15, 2015 at 1:09 PM
To: Susan Berresford berresu43@gmail.com

FYI for our meeting with Ben.

Penny

Begin forwarded message:

From: David Wippman <dwippman@umn.edu>
Subject: Fwd: asylum grant
Date: October 14, 2015 at 10:07:53 AM CDT
To: Kathleen Blatz <kathleenblatz@msn.com>, Penny Hunt <pennhunt@gmail.com>

Kathleen, Penny,

I wanted to share one more piece of good news from the Center for New Americans.

All best, David

----- Forwarded message -----

From: Stephen Meili <smeili@umn.edu>
Date: Tue, Oct 13, 2015 at 9:36 PM
Subject: asylum grant
To: David Wippman <dwippman@umn.edu>, Laura Thomas <thom0800@umn.edu>, Benjamin Casper <caspe010@umn.edu>, Linus Chan <rlchan@umn.edu>, Katherine Evans <evans407@umn.edu>, Julia Decker <dibar003@umn.edu>, Frank DiPietro <diPie015@umn.edu>, Kjerstin Sanden <sande405@umn.edu>, Jean Wells <jmwells@umn.edu>, Jean Sanderson <jsanders@umn.edu>, Perry Moriearty <pmoriear@umn.edu>, Carl Warren <warre001@umn.edu>, Kathryn Sedo <sedox001@umn.edu>, Jennifer Green <jmgreen@umn.edu>, Mark Kappelhoff <mkappelh@umn.edu>, Prentiss Cox <cox211@umn.edu>, Stephanie Enerson <senerson@umn.edu>, Carolyn Bruner <brune007@umn.edu>, Emily Good <good0308@umn.edu>

Dear All,

I want to share the wonderful news we received earlier today that one of our clients, Amna Arabi from the Sudan, has been granted asylum by U.S. Citizenship and Immigration Services. Amna worked for the UN High Commissioner for Refugees in Sudan. Her asylum claim was based on her opposition to the ruling regime in that country (which put her under surveillance), her ethnic heritage, domestic violence, and the fact that she underwent female genital mutilation as a girl. Kate, Emily and several students worked long and hard on this case, which started in the fall of 2013. We spoke with Amna today and she is beside herself with joy.

Best,
Steve

--
Stephen Meili
University of Minnesota Law School
190N Mondale Hall
229-19th Ave.
Minneapolis, MN 55455
(612) 626-3972

**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
03/31/14	89,006,105	77,244,890	25,944,403
06/30/14	89,678,334	79,898,903	23,290,390
09/30/14	84,256,819	83,815,039	20,844,976
12/31/14	82,796,456	83,815,039	20,844,976
03/31/15	77,384,424	90,272,908	14,362,502
06/30/15	76,583,811	91,272,908	13,363,502
09/30/15	68,141,242	96,919,532	7,826,004 (1)

(1) Includes the following commitments:

\$2,114,664 (2016) to CFR's *IIGG Phase II*; \$141,263 (2015) *Expanded Diversity Initiative – Additional Activities* (Board Action in September reduced amount due to payment of \$600,720 to HIA)

\$1,639,451 (2016) for U of M *Institute of Criminal Law & Criminal Justice* program; \$1,819,077 (2016-2017) for *Sentencing Law Program Enhancements*; \$250,000 (2016) to U of M *Scholarship* program; \$804,188 (2016) for U of M *Public Interest Scholars*; and \$1,057,361 (2016) for *Center for New Americans*;

ROBINA FOUNDATION

ASSETS DETAIL

Assets	12/31/07	12/31/08	12/31/09
USbank Checking	\$28,607.85	\$39,292.02	\$3,299,000.81
USbank Investment	28,068,147.99	21,523,747.18	30,793,370.96
TIFF	8,587,802.83	6,356,616.51	8,183,916.75
Estate of Jim Binger	96,165,289.90	83,450,482.32	67,800,297.87
IRS Refund	16,989,164.00 (1) (2)	16,989,164.00	16,989,164.00
Total	\$149,839,012.57	\$128,359,302.03	\$127,065,750.39

Assets	03/31/10	06/30/10	09/30/10
USbank Checking	\$3,260,931.19	\$2,211,528.66	\$5,338,375.00
USbank Investment	30,990,610.24	31,231,745.96	23,575,643.46
TIFF	8,441,421.21	8,058,254.83	8,792,014.78
Estate of Jim Binger	66,913,197.63	64,510,927.52	67,161,015.39
IRS Refund	16,989,164.00	16,989,164.00	16,989,164.00
Total	\$126,595,324.27	\$123,001,620.97	\$121,856,212.63

Assets	12/31/10	03/31/11	06/30/11
USbank Checking	5,279,343.30	3,969,261.41	3,899,548.61
USbank Investment	21,160,516.65	70,072,133.88	79,068,499.17
TIFF	9,262,202.25	Closed – Funds wired to USbank	-0-
Estate of Jim Binger	82,985,461.31	45,121,210.44	35,743,207.38
IRS Refund	9,320,288.00 (3)	9,320,288.00	9,320,288.00
Total	\$128,007,811.51	\$128,482,893.73	\$128,031,543.16

Assets	09/30/11	12/31/11	03/31/12
USbank Checking	3,242,279	3,107,762	1,554,595
USbank Investment	79,623,780	74,568,396	76,710,536
Estate of Jim Binger	30,618,655	30,705,220	30,640,055
IRS Refund	11,622,180	12,445,745	12,445,745 (4)
Total	\$125,106,894	120,827,123	121,350,931

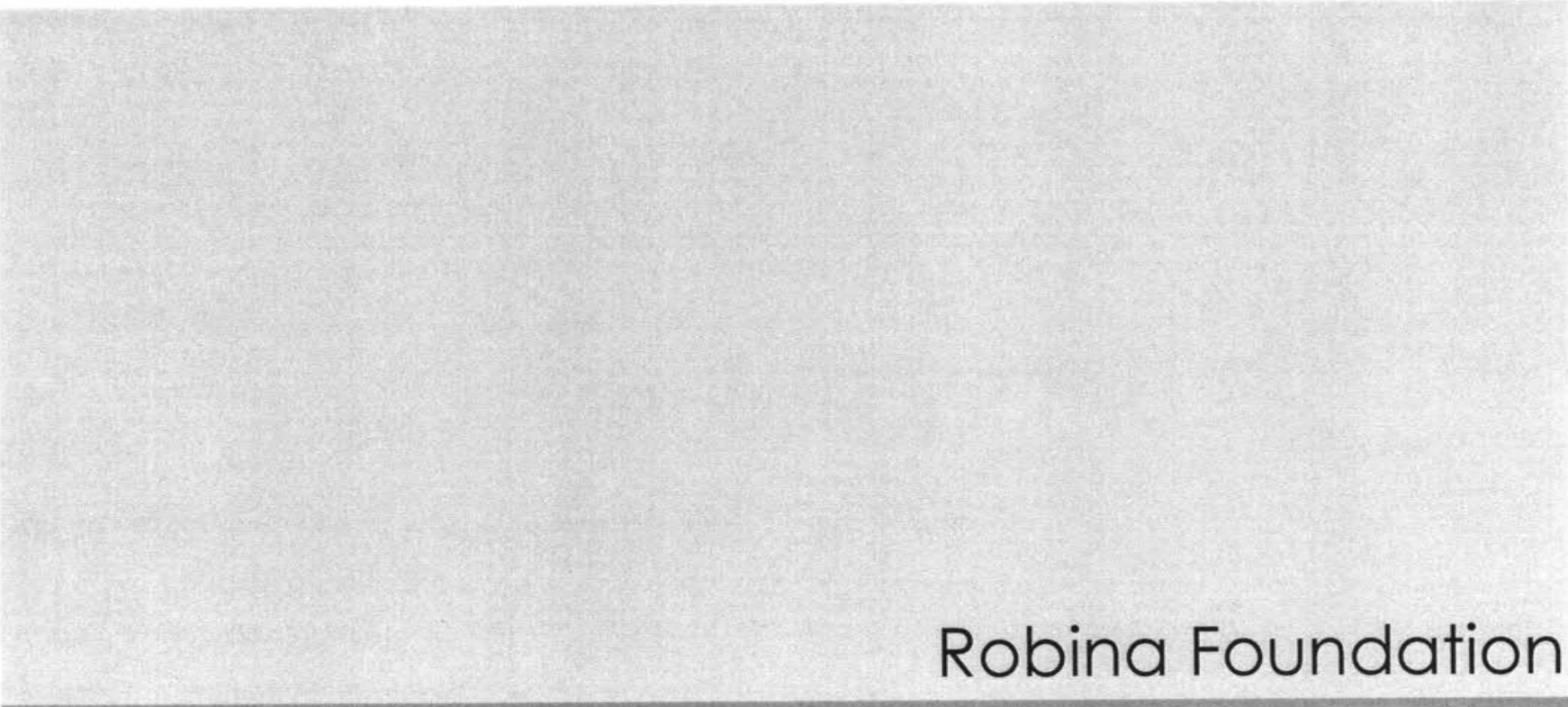
Assets	06/30/12	09/30/12	12/31/12
USbank Checking	538,773	438,552	331,081
USbank Investment	74,687,548	74,324,421	76,039,563
Estate of Jim Binger	12,291,604	10,990,296	11,476,675
IRS Refund	12,445,745	12,445,745	12,445,745
Total	\$99,963,670	98,199,014	100,293,064

Assets	03/31/13	06/30/13	09/30/13
USbank Checking	235,329	121,792	141,307
USbank Investment	93,225,051	92,712,707	90,134,695
Estate of Jim Binger	2,706,066	2,678,365	2,790,391
IRS Refund	(5)		
Total	\$96,166,446	\$95,512,864	93,066,393

Assets	12/31/13	03/31/14	06/30/14
USbank Checking	218,896	96,503	180,943
USbank Investment	92,411,790	86,407,628	86,995,264
Estate of Jim Binger	2,241,137	2,208,474	2,208,627
Bazal Property	-	293,500	293,500
Total	\$94,871,823	89,006,105	89,678,334

Assets	09/30/14	12/31/14	03/31/15
USbank Checking	156,815	194,677	\$265,106
USbank Investment	83,728,078	82,272,092	76,790,061
Residual of JPMorgan	78,426	4,187	3,757
Bazal Property	293,500	293,500	325,500
Total	84,256,819	82,796,456	\$77,384,424

Assets	06/30/15	09/30/15	12/31/15
USbank Checking	227,826	171,332	
USbank Investment	76,029,036	67,644,410	
Residual of JPMorgan	1,449	-0-	
Bazal Property	325,500	325,500	
Total	76,583,811	68,141,242	



Robina Foundation

Quarterly Financial Report - Q3, 2015

Prepared by Michael F. Sullivan, Ph.D.

Indigo Consulting

September 30, 2015

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. The value of our portfolio was \$68,141,242 on September 30, 2015.
2. Through the third quarter, fund performance of -2.39% slightly exceeded the benchmark of -2.40%. Our 1 year and 3 year performance lags a bit, but our performance exceeded the benchmark on an annualized basis for the 5 year and "since inception" time periods.

	Year to Date	1 Year	3 Year	5 Year	From Inception
Portfolio	-2.39	-2.88	3.98	3.11	3.18
Benchmark	-2.40	-2.59	4.20	2.92	2.90

Robina Foundation

3. Grants for the third quarter were \$5,646,624. Combined with a negative market return of 2,639,786 and operating expenses of \$156,158, our total assets declined by \$8,442,569 during the third quarter.

	Q1	Q2	Q3	Q4	YTD
Beginning Balance:	\$82,796,457	\$77,384,423	\$76,583,811		\$82,796,457
Plus Earnings:	\$1,178,671	\$364,200	(\$2,639,786)		(\$1,096,915)
Less Grants:	(\$6,457,869)	(\$1,000,000)	(\$5,646,624)		(\$13,104,493)
Less Expenses:	(\$132,836)	(\$164,812)	(\$156,158)		(\$453,806)
Ending Balance:	\$77,384,423	\$76,583,811	\$68,141,242		\$68,141,242

4. As we all are aware, equity markets have improved 13% from the September low point through October 23. However, please remember that only 28% of our portfolio is exposed to equity funds.
5. I have adjusted our long term modeling (page 11) to reflect the weak 2015 market return by reducing the projected January 1, 2016 portfolio balance from \$73,022,742 to \$68,000,000. The portfolio balance was \$68,141,242 on October 1, 2015.
6. I have been working with Steve Lewis and US Bank to:
- develop a strategy to eliminate PE exposure (\$1,431,598), and
 - determine the best management strategy for our large exposure to hedge funds (\$17,218,994, or 25.3% of our portfolio).

Robina Foundation

Executive Financial Summary

	2014	2015			
	Qtr4	Qtr1	Qtr2	Qtr3	Qtr4
Cash	\$3,517,816	\$4,542,885	\$3,853,775	\$1,086,572	
Bonds	\$29,706,340	\$25,606,317	\$25,422,758	\$22,545,478	
Risk Assets	\$49,572,300	\$47,235,220	\$47,307,278	\$44,509,193	
Equities	\$29,784,705	\$27,528,274	\$27,112,995	\$24,642,964	
Other	\$19,787,595	\$19,706,947	\$20,194,284	\$19,866,229	
Grand Total	\$82,796,457	\$77,384,423	\$76,583,811	\$68,141,242	

Robina Foundation

Sources of Capital

	2014	2015			
	Qtr4	Qtr1	Qtr2	Qtr3	Qtr4
Residual of JP Morgan					
Cash					
JHB Cash/MM	\$431	\$0	\$0	\$0	
JHB Income Cash/MM	\$0	\$0	\$0	\$0	
JHB Legal Serv. Retainage	\$3,757	\$3,757	\$1,449	\$0	
Cash Total	\$4,187	\$3,757	\$1,449	\$0	
Revocable Trust - Dorsey Trust					
JHB Revocable Trust	\$0	\$0	\$0	\$0	
JHB Income Account	\$0	\$0	\$0	\$0	
Tartan I LP	\$0	\$0	\$0	\$0	
Revocable Trust Total	\$0	\$0	\$0	\$0	
Other Securities					
All Other Securities	\$0	\$0	\$0	\$0	
Residual of JP Morgan Total	\$4,187	\$3,757	\$1,449	\$0	

Robina Foundation

	2014	2015			
	Qtr4	Qtr1	Qtr2	Qtr3	Qtr4
USBank Investments					
Cash					
USBank Cash/MM	\$3,318,952	\$4,274,023	\$3,624,500	\$915,240	
Bonds					
Global Bond Funds - Loomis Sayles	\$7,912,525	\$6,458,593	\$6,400,349	\$6,232,089	
USBank Credit Fund-Mainstay	\$7,790,356	\$6,372,615	\$6,352,255	\$6,236,883	
US Corporate Issues	\$4,933,473	\$4,477,814	\$4,455,370	\$3,991,325	
Non-US Corporate Issues	\$2,488,812	\$1,785,770	\$1,777,233	\$1,270,473	
NuVeen High Income Bond FD CL I	\$2,723,975	\$2,720,724	\$2,681,718	\$2,424,923	
Global Bond Funds - T Rowe Price Intl	\$1,763,412	\$1,696,347	\$1,672,677	\$1,450,500	
Bond Fund					
Oppenheimer Senior Floating Rate	\$963,095	\$967,857	\$960,714	\$939,286	
BP Capital PLC	\$0	\$0	\$0	\$0	
Total Capital SA	\$0	\$0	\$0	\$0	
Barclays Voyager Medium Term Note					
(06/07/2016)	\$560,198	\$557,888	\$555,555	\$0	
Barclays Voyager Medium Term Note					
(07/15/2016)	\$570,495	\$568,710	\$566,888	\$0	
Bonds Total	\$29,706,340	\$25,606,317	\$25,422,758	\$22,545,478	

Robina Foundation

	2014	2015			
	Qtr4	Qtr1	Qtr2	Qtr3	Qtr4
Equities					
US and Non-US					
Stock Funds	\$23,472,753	\$21,143,845	\$21,004,648	\$19,005,548	
Hedge					
Common Sense Offshore LTD	\$36,931	\$12,330	\$0	\$0	
Common Sense Holdback	\$0	\$0	\$0	\$0	
Pointer Offshore Ltd	\$3,933,706	\$4,030,784	\$4,193,144	\$4,205,817	
Hedge Total	\$3,970,637	\$4,043,114	\$4,193,144	\$4,205,817	
Private Equity					
Flag Private Equity LP	\$584,500	\$584,500	\$348,215	\$0	
Flag Venture Partners III LP	\$461,205	\$461,205	\$369,640	\$307,820	
Flag Venture Partners IV LP	\$769,320	\$769,320	\$671,058	\$597,488	
Pfingsten Partners III LP	\$526,290	\$526,290	\$526,290	\$526,290	
Private Equity Total	\$2,341,315	\$2,341,315	\$1,915,206	\$1,431,598	
Equities Total	\$29,784,705	\$27,528,274	\$27,112,995	<u>\$24,642,964</u>	

Robina Foundation

	2014	2015			
	Qtr4	Qtr1	Qtr2	Qtr3	Qtr4
Bond Hedge Funds, Real Estate, and Commodities					
Non-US Bonds					
Ontario Province	\$0	\$0	\$0	\$0	
Bond Hedge Funds					
Gam Absolute Return Bond Fund	\$3,392,157	\$3,348,863	\$3,382,901	\$3,349,759	
GCA Credit Opportunities Offshore	\$4,775,872	\$4,822,683	\$4,883,624	\$4,898,833	
→ Marathon Credit Opportunity Fund Ltd	\$3,601,952	\$3,542,884	\$3,585,643	\$3,332,987	
Bond Hedge Funds Total	\$11,769,982	\$11,714,430	\$11,852,168	\$11,581,579	
Real Estate					
IDR Core Equity Re Strategy 2010	\$7,325,070	\$7,325,070	\$7,666,826	\$7,959,150	
Commodities					
Oppenheimer Com Str Tr Fd Y	\$367,043	\$341,946	\$349,789	\$0	
Other Bonds, Real Estate, and Comm. Total	\$19,462,095	\$19,381,447	\$19,868,784	\$19,540,729	
USBank Investments Total	\$82,872,530	\$76,790,061	\$76,029,036	\$67,644,410	

Robina Foundation

Asset Summary

	2014	2015		
	Qtr4	Qtr1	Qtr2	Qtr3
Residual of JP Morgan - Dorsey Trust	\$4,187	\$3,757	\$1,449	\$0
USBank Investments	\$82,272,092	\$76,790,061	\$76,029,036	\$67,644,410
Robina Checking Account	\$194,677	\$265,106	\$227,826	\$171,332
Bazal Property	\$325,500	\$325,500	\$325,500	\$325,500
Grand Total	\$82,796,457	\$77,384,423	\$76,583,811	\$68,141,242

Robina Foundation

Asset Allocation Report: 09/30/2015

	Actual (\$)	Actual (%)	Goal (\$)	Goal (%)
Cash				
Residual of JP Morgan	\$0	0%		
USBank Cash/MM	\$915,240	1%		
USBank Checking	\$171,332	0%		
Cash Total	\$1,086,572	2%	\$3,407,062	5%
Fixed Income				
Bonds	\$22,545,478	33%		
Non-US	\$0	0%		
JHB Revocable Trust	\$0	0%		
Hedge Funds	\$11,581,579	17%		
Fixed Income Total	\$34,127,057	50%	\$40,884,745	60%
Risk Assets				
JP Securities	\$0	0%		
USBank Equity Funds	\$19,005,548	28%		
USBank Hedged and Private Equities	\$5,637,415	8%		
USBank Real Estate	\$7,959,150	12%		
USBank Commodities	\$0	0%		
Bazal Property	\$325,500	0%		
Risk Assets Total	\$32,927,614	48%	\$23,849,435	35%
Grand Total	\$68,141,242	100%	\$68,141,242	100%

Robina Foundation

Grants Paid/Committed: 2015

	Qtr1	Qtr2	Qtr3	Qtr4	Grand Total
Allina Health System/Abbott Northwestern	\$3,990,000				\$3,990,000
Life Course/Late Life Supportive Care	\$3,990,000				\$3,990,000
Council on Foreign Relations	\$446,117	\$2,923,022		\$141,263	\$3,510,402
International Institutions and Global Governance (IIIGG) Phase II		\$2,074,424			\$2,074,424
Expanded Diversity Initiative in Foreign Policy	\$446,117				\$446,117
Expanded Diversity Initiative in Foreign Policy - Additional Activities				\$141,263	\$141,263
Humanity in Action (Undergraduate Fellowship)			\$247,878		\$247,878
Humanity in Action Diplomacy and Diversity Fellowship			\$600,720		\$600,720
University of Minnesota Law School	\$2,021,752	\$2,723,602			\$4,745,354
Public Interest Scholars		\$813,736			\$813,736
Institute on Criminal Law and Justice	\$1,771,752				\$1,771,752
Support Scholarships	\$250,000				\$250,000
Sentencing Law Program Enhancements (CL&CJ)			\$869,997		\$869,997
Center for New Americans			\$1,039,869		\$1,039,869
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	\$6,457,869	\$1,000,000	\$5,646,624	\$141,263	\$13,245,756

Long Term History and Projections

Grants Paid and Committed												Grand Total
	2008 Actual	2009 Actual	2010 Actual	2011 Actual	2012 Actual	2013 Actual	2014 Actual	2015 Budget	Actual YTD	2016 Budget	2017 Budget	
Allina Health System/Abbott Northwestern	\$1,253,535	\$2,373,233	\$2,373,232		\$2,356,696	\$4,245,492	\$4,334,266	\$3,990,000	\$3,990,000			\$20,926,454
Care Guides	\$1,253,535	\$2,373,233	\$2,373,232									\$6,000,000
Life Course/Late Life Supportive Care					\$2,356,696	\$4,245,492	\$4,334,266	\$3,990,000	\$3,990,000			\$14,926,454
Council on Foreign Relations	\$2,000,000	\$2,000,000	\$2,000,000	\$2,434,750	\$2,700,466	\$3,298,507	\$3,363,971	\$3,510,402	\$3,369,139	\$2,114,664		\$23,422,760
Diversity Scan				\$15,000								\$15,000
Expanded Diversity Initiative in Foreign Policy					\$377,034	\$426,492	\$470,722	\$446,117	\$446,117			\$1,720,365
International Institutions and Global Governance (IIGG) Phase I	\$2,000,000	\$2,000,000	\$2,000,000	\$2,000,000								\$8,000,000
International Institutions and Global Governance (IIGG) Phase II					\$2,046,627	\$2,034,671	\$2,034,971	\$2,074,424	\$2,074,424	\$2,114,664		\$10,305,357
Online Video Project				\$419,750	\$276,805							\$696,555
Expanded Diversity Initiative in Foreign Policy - Additional Activities						\$837,344	\$858,278	\$141,263				\$1,836,885
Humanity in Action (Undergraduate Fellowship)								\$247,878	\$247,878			\$247,878
Humanity in Action Diplomacy and Diversity Fellowship								\$600,720	\$600,720			\$600,720
University of Minnesota Law School	\$1,650,000	\$1,436,750	\$1,480,338	\$2,850,854	\$2,370,447	\$4,608,127	\$4,677,800	\$4,745,354	\$4,745,354	\$4,647,097	\$922,980	\$29,389,747
Faculty Retention and Other Initiatives	\$250,000											\$250,000
Institute on Criminal Law and Justice					\$847,190	\$1,494,134	\$1,750,900	\$1,771,752	\$1,771,752	\$1,639,451		\$7,503,427
Program on Law, Public Policy, and Society (LaPPS)	\$1,400,000	\$1,436,750	\$1,480,338	\$2,850,854	\$893,457							\$8,061,399
Public Interest Scholars					\$379,800	\$694,544	\$809,355	\$813,736	\$813,736	\$804,188		\$3,501,623
Support Scholarships					\$250,000	\$250,000	\$250,000	\$250,000	\$250,000	\$250,000		\$1,250,000
Sentencing Law Program Enhancements (CL&CJ)						\$820,056	\$844,658	\$869,997	\$869,997	\$896,097	\$922,980	\$4,353,788
Center for New Americans						\$1,349,393	\$1,022,887	\$1,039,869	\$1,039,869	\$1,057,361		\$4,469,510
Yale University	\$1,750,000	\$1,750,000	\$2,350,000	\$1,950,000	\$19,000,000	\$1,000,000	\$1,200,000	\$1,000,000	\$1,000,000			\$30,000,000
Yale Law School: Human Rights Fellowship Initiative Phase I	\$1,000,000	\$1,000,000	\$1,000,000	\$1,000,000								\$4,000,000
Yale Law School: Human Rights Fellowship Initiative Phase II					\$1,000,000	\$1,000,000	\$1,000,000	\$1,000,000	\$1,000,000			\$4,000,000
Yale School of Drama: Binger Center for New Theatre Endowment					\$18,000,000							\$18,000,000
Yale School of Drama: Yale Center for New Theatre	\$750,000	\$750,000	\$1,350,000	\$950,000								\$3,800,000
Tom Crosby Memorial							\$200,000					\$200,000
The Center for Victims of Torture	\$25,000				\$1,000							\$26,000
The Center for Victims of Torture	\$25,000				\$1,000							\$26,000
ArtPlace Initiative				\$500,000								\$500,000
Revitalizing Communities through Arts and Culture				\$500,000								\$500,000
Aspen Institute		\$130,575										\$130,575
Justice and Society Program		\$130,575										\$130,575
Grand Total	\$6,678,535	\$7,690,558	\$8,203,570	\$7,735,604	\$26,428,609	\$13,152,126	\$13,576,037	\$13,245,756	\$13,104,493	\$6,761,761	\$922,980	\$104,395,536
Outstanding Commitments								\$141,263		\$6,761,761	\$922,980	\$7,826,004
Financial Outlook	2008	2009	2010	2011	2012	2013	2014	2015		2016	2017	
Beginning Year Net Assets					\$120,827,373	\$100,568,259	\$95,132,519	\$82,796,457		\$68,000,000	\$63,816,796	
Plus Revenues					\$6,569,313	\$8,170,242	\$1,693,781	\$-1,083,280		\$3,060,000	\$2,871,756	
Less Expenses, 3% P.A., Growth					-\$399,818	-\$453,856	-\$453,806	-\$467,420		-\$481,443	-\$495,886	
Less Grants Paid					-\$26,428,609	-\$13,152,126	-\$13,576,037	-\$13,245,756		-\$6,761,761	-\$922,980	
Year End Net Assets				\$120,827,373	\$100,568,259	\$95,132,519	\$82,796,457	\$68,000,000		\$63,816,796	\$65,269,686	
Return Assumptions	2008	2009	2010	2011	2012	2013	2014	2015		2016	2017	
Asset Allocation												
Market Portfolio								45.0%		25.0%	25.0%	
Fixed Income								55.0%		75.0%	75.0%	
Expected Return												
Market Portfolio								6.0%		6.0%	6.0%	
Fixed Income								3.5%		4.0%	4.0%	
Total Portfolio Expected Return								4.6%		4.5%	4.5%	

USBank Performance Report - 09/30/2015

Selected Period Performance ROBINA FOUNDATION MGMT AGY Period Ending: 09/30/2015

Sector	Market Value	3 Months	Year to Date (9 Months)	1 Year	3 Years	5 Years	Inception to Date (100 Months)
Total Portfolio Gross of Fees	67,759,723						
Total Managed Portfolio	58,368,974	-4.34	-2.39	-2.88	3.98	3.11	3.18
<i>Robina Custom Benchmark</i>		<i>-4.48</i>	<i>-2.40</i>	<i>-2.59</i>	<i>4.20</i>	<i>2.92</i>	<i>2.90</i>
Domestic Equity	10,511,355	-6.98	-5.22	-1.15	12.30		
<i>DJWilshire 5000 Index</i>		<i>-7.42</i>	<i>-5.78</i>	<i>-1.19</i>	<i>12.36</i>	<i>13.03</i>	<i>5.23</i>
Hedged Equity	4,205,817	.35	6.89	8.44	8.89		
<i>HFRI Equity Hedge Index</i>		<i>-5.83</i>	<i>-2.21</i>	<i>-2.25</i>	<i>5.03</i>	<i>3.61</i>	<i>1.86</i>
Developed Foreign	6,431,705	-9.73	-4.19	-8.24	5.72		
<i>MSCI EAFE Index (Net)</i>		<i>-10.23</i>	<i>-5.28</i>	<i>-8.66</i>	<i>5.63</i>	<i>3.98</i>	<i>-.98</i>
Emerging Foreign	2,110,092	-15.11	-14.76	-19.99	-4.38		
<i>MSCI EM Free Index (USD)</i>		<i>-17.90</i>	<i>-15.47</i>	<i>-19.28</i>	<i>-5.27</i>	<i>-3.58</i>	<i>-.55</i>
Domestic Fixed	13,653,778	-1.88	.01	-1.00	1.78	1.92	
Hedged Fixed Income	17,813,668	-1.83	-.77	-2.39	3.66		
<i>Barclays 1-3 Yr Gov/Credit Index</i>		<i>.29</i>	<i>1.02</i>	<i>1.19</i>	<i>.86</i>	<i>1.04</i>	<i>2.62</i>
Foreign Fixed Income	2,727,124	-.19	-1.56	-3.04	-1.29	.53	
<i>HFRI Relative Value Index (Total)</i>		<i>-2.50</i>	<i>.04</i>	<i>-.86</i>	<i>4.49</i>	<i>4.94</i>	<i>4.63</i>
Total Cash Equivalents	915,434	.05	.15	.20	.19	.18	.78
<i>Citigroup 3 Mo T-Bill Index</i>		<i>.01</i>	<i>.02</i>	<i>.02</i>	<i>.04</i>	<i>.06</i>	<i>.59</i>
Non-Mgd Equity	7,959,150	.00	7.20	9.85	11.73		
Non-Mgd Other	1,431,598	-12.99	-19.85	-24.77	-15.05		

Portfolio Inception: 06/01/2007

ROBINA FOUNDATION

80 South 8th Street, Suite 4900
Minneapolis, MN 55402
Phone: 612-333-2313
Fax: 612-333-0182
www.robinafoundation.org

November 19, 2015

Mr. Andrew Rabinowitz
Marathon Asset Management, L.P.
Partner, Chief Operating Officer
arabinowitz@marathonfund.com

Dear Mr. Rabinowitz:

We are writing with regard to the Marathon Credit Opportunity Fund, Ltd. to let you know that it is our intention to choose Option #2: Redemption from the Fund.

This is also to inform you that the former Chairman and Treasurer of the Robina Foundation, Thomas Crosby, is deceased and Stephen R. Lewis, Jr. is now acting Treasurer and has been given the authority as signatory for the Foundation.

Sincerely,

Kathleen Blatz, Chair
The Robina Foundation

October 20, 2015

Dear Investor:

Re: Marathon Credit Opportunity Fund, Ltd., Marathon Credit Opportunity Fund, LP, and Marathon Credit Opportunity Master Fund, Ltd. (collectively, the "Funds" or "MCOF")

In light of substantial overlap in the portfolios of Marathon Special Opportunity Master Fund, Ltd. ("MSOF") and MCOF (approximately 80% over the past 36 months) and MSOF's outperformance of MCOF over the past 36 months (19.13% versus 9.01% respectively)¹, we have, in consultation with the Board of Directors, as well as after soliciting feedback from a majority of MCOF investors, decided that it is in the best interests of MCOF to consolidate its assets with those of MSOF (the "Transaction"). The Transaction and all terms contained herein is proposed to be effective as of January 1, 2016.

MSOF is Marathon Asset Management, LP's ("Investment Manager") flagship credit fund, launched in 1999, which runs a strategy that has been substantially similar to MCOF in recent years, yet retains the ability to invest in opportunities into which MCOF cannot participate. Marathon Special Opportunity Fund, Ltd. (the "Offshore MSOF Feeder Fund") and Marathon Special Opportunity Fund, LP (the "Onshore MSOF Feeder Fund") invest substantially all of their assets in MSOF. The offering memoranda of Offshore MSOF Feeder Fund and Onshore MSOF Feeder Fund (as applicable) are included with this letter as Schedule B (the "MSOF Documents").

The Transaction will be effected, firstly, by the Investment Manager facilitating a transfer of MCOF master fund's portfolio into MSOF by coordination with the respective prime brokers of each fund. In exchange, the MCOF master fund will receive shares in MSOF (the "MSOF Shares"). Immediately thereafter, the MCOF feeder funds will receive a redemption/distribution of the MSOF Shares from the MCOF master fund, followed by a corresponding redemption/distribution to investors in the respective MCOF feeder fund and the contribution of the MSOF Shares held by such investors to the relevant MSOF feeder fund. The Transaction will result in the MSOF feeder funds holding those MSOF Shares and the participating investors in the MCOF feeder funds holding shares in the respective MSOF feeder fund.

You may elect to participate in the Transaction or opt to redeem your shares and/or withdraw your interests, by completing and returning the form included with this letter as Schedule A. Investors may identify a portion of their holdings to participate in the Transaction and redeem/withdraw the balance. For the avoidance of doubt, following the Transaction, MCOF

¹ These numbers are net of management fees, expenses and incentive fees (if any), representing the period of Sept 1, 2012 through August 31, 2015. Since MCOF's inception of January 1, 2009, on a net basis, \$1 invested in MCOF is worth \$1.68 currently, whereas \$1 in MSOF over the same time period is worth \$1.88 currently.

will seek to wind down operations and liquidate shortly thereafter. Investors who do not respond by completing Schedule A included herein within the prescribed time period outlined below will be deemed to have consented to the redemption/distribution by the relevant MCOF Fund and subsequent subscription in exchange for shares/interests in Offshore MSOF Feeder Fund or Onshore MSOF Feeder Fund, as applicable and they will become a shareholder or limited partner in the Offshore MSOF Feeder Fund or Onshore MSOF Feeder Fund, respectively. For those MCOF investors electing to participate or those making no election, the principal terms of such participation are summarized as follows:

-The investment manager will receive a quarterly management fee calculated at a rate of 0.4375% (i.e., 1.75% per annum) (the "Management Fee"); provided, however, that the Management Fee will be reduced to an annual rate of 1.5% (the "Reduced Management Fee") for investors and their affiliates who together have made capital contributions greater than \$50 million (net of withdrawals/redemptions) in the aggregate in the MSOF funds.

-For each fiscal year, there will be allocated to the Investment Manager or its affiliate from each investor 20% of each investor's share of net profits, if any, subject to a loss carryforward provision. The Investment Manager and/or its affiliate will defer any crystallization of incentive for investors participating in the Transaction and ultimately charge the incentive at year-end, if applicable. The Investment Manager will carry over any existing high watermark to MSOF for any investor participating in the Transaction.

-Investors will have two (2) options with respect to liquidity:

(i) Upon at least 75 days' prior written notice, withdraw/redeem all or any part of a capital contribution on the last day of the calendar quarter occurring on or after the twelve-month anniversary of such contribution and as of the end of the calendar quarter occurring on or after each twelve-month anniversary thereafter. Those investors opting for annual liquidity will be subject to a 50% discretionary investor-level gate, as we will be eliminating MSOF's 20% fund-level gate; or

(ii) Upon at least 75 days' prior written notice, on or after the six month anniversary of such contribution, withdraw/redeem all or any part of a capital contribution on a quarterly basis, subject to a limitation of 25% of the net asset value of an investor's shares/interests per quarter. MCOF investors participating in the Transaction will be deemed to have chosen quarterly liquidity, subject to a 25% limitation per quarter, unless the Investment Manager is notified to the contrary. Further, MCOF investors participating in the Transaction will not be subject to the six month lock-up in respect of any transferred balances.

-MSOF's audit holdback will be 5%, as opposed to the current 10% provision for MCOF, although we intend to limit the holdback to 5% for any MCOF investors opting to redeem at year end.

-MSOF's suspension of net asset value provision will be modified such that the Board of Directors/General Partner may suspend redemptions for up to three months in their reasonable

discretion based upon facts and circumstances at the time (as opposed to six months in their sole discretion)

-It should be noted that, unlike MCOF, the MSOF funds allow for designated investments up to 10% of net asset value, which may, however, be opted out of upon subscription. MCOF investors participating in the Transaction will be deemed to have opted out of designated investments unless the Investment Manager is notified to the contrary. In addition, the MSOF funds permit distribution in-kind, provided the payment in kind cannot exceed 20% of an investor's redemption amount.

In connection with the foregoing, please complete the investor election form appended hereto and return it to caymanweb@citco.com and jmiller@marathonfund.com by no later than November 20, 2015. Should you have any questions concerning the foregoing, please contact Andrew Rabinowitz at 212-500-3050.

The Investment Manager is available and would be glad to speak with you about the specifics of the Transaction, the timing of this transition, and its thoughts on the market, and answer any other questions you may have.

Please feel free to contact us if you have any questions about this letter.

Very truly yours,

Andrew Rabinowitz
Marathon Asset Management, LP
Partner, Chief Operating Officer
212 500 3050
arabinowitz@marathonfund.com

Schedule A: Election Form (to be completed by November 20, 2015)

Please check the box next to one of the options below to indicate how you would like to proceed and countersign and return a copy of this letter to caymanweb@citco.com and jmiller@marathonfund.com on or before November 20, 2015.

☐ **Option #1: Participate in the Transaction**

Under this option, your investment in the relevant MCOF feeder fund will be redeemed and re-invested in exchange for shares in Offshore MSOF Feeder Fund or interests in Onshore MSOF Feeder Fund, as applicable.

Unless specified otherwise, the entire balance of your investment in the relevant MCOF feeder fund will participate in the Transaction. If you prefer that a portion of your investment participate in the Transaction and the balance be redeemed, please indicate below:

_____ Portion (as a percentage) participating

_____ Portion (as a percentage) redeeming

If you select Option #1, then you agree as follows:

- (a) that the representations and warranties that you made in the subscription agreement for the relevant MCOF feeder fund, including with respect to the anti-money laundering policies ("AML Policies"), shall be applicable to your participation in the Transaction, as if they were set out in full herein;
- (b) that to the extent that additional documentation or information is required by the Administrator, the relevant MSOF feeder fund or the Investment Manager in relation to your participation in the Transaction and, in particular, the AML Policies, that you will provide any such documentation or information upon request;
- (c) that you have carefully read the MSOF Documents and that you satisfy the conditions set out therein for investment in shares/interests in the relevant MSOF feeder fund; and
- (d) that you are hereby granting the Directors, the Investment Manager and/or the Administrator the power to take any and all necessary actions to transfer all or a portion, as applicable, of your balance as payment of the subscription price for shares or interests of the relevant MSOF feeder fund.

Option #2: Redemption from the Fund

Under this option, the relevant MCOF feeder fund will redeem your shares/interests of the relevant MCOF feeder fund in full and you will receive your redemption proceeds in accordance with the terms of the relevant MCOF feeder fund's governing documents.

ACCEPTED AND AGREED TO:

MCOF Offshore Registered Shareholder Name: Robina Foundation

By: _____

Name: Stephen R. Lewis

Title: Director and Treasurer

Date: Nov. 17, 2015

MCOF Onshore Registered Limited Partner Name: _____

By: _____

Name: _____

Title: _____

Date: _____

Please indicate wire information : Bank: See attached wiring instructions
ABA:
Account Name:
Account #:
Reference:

Schedule B: MSOF Documents



Cash Delivery Instructions

For Account Name: Robina Foundation Management Agency

Account Number: [REDACTED]

Cash (via wire):

Deliver to:

U.S. Bank NA
[REDACTED]

Cash (via check):

Deliver to:

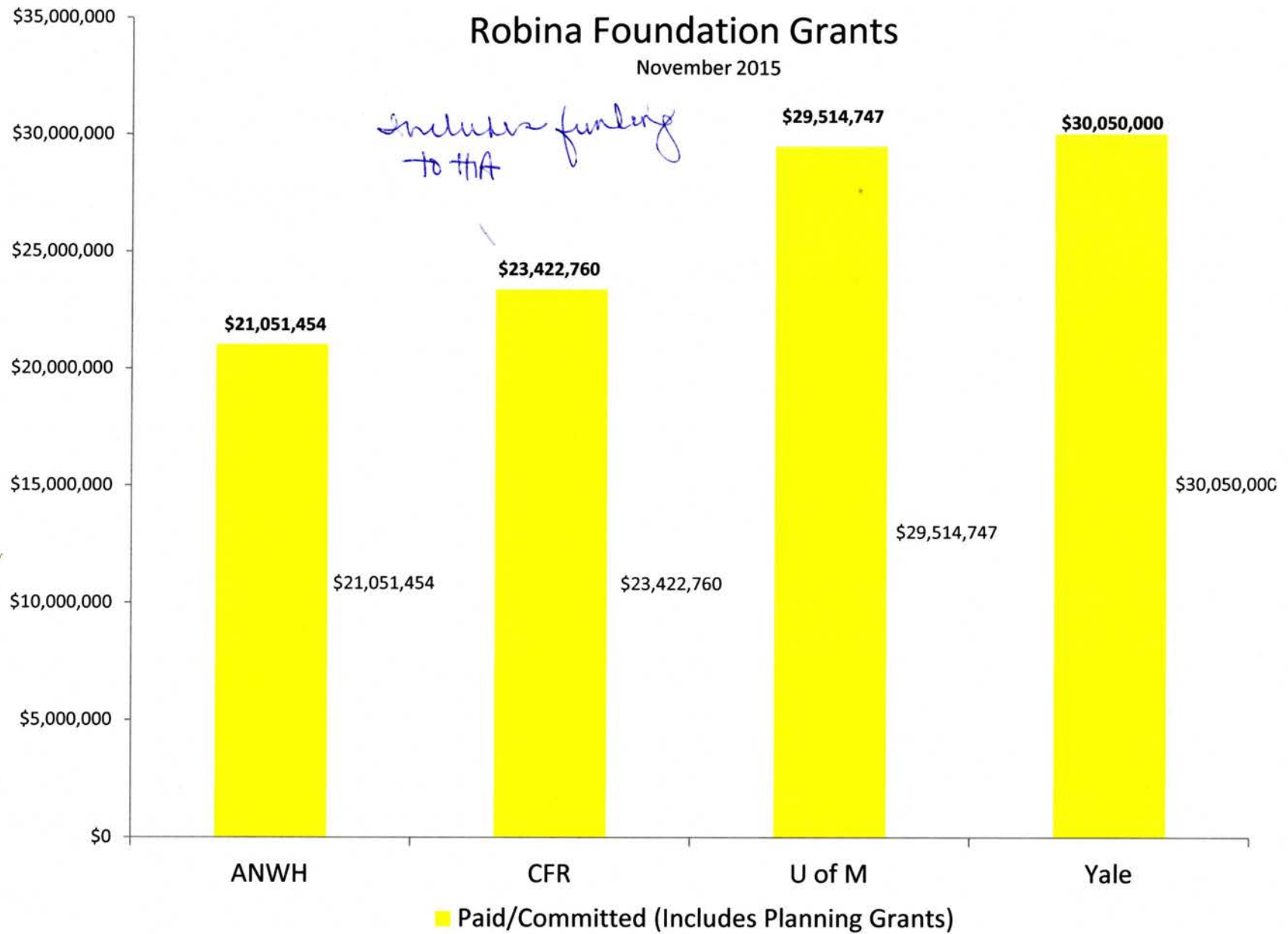
U.S. Bank Charitable Services Group

Attn: Tina Jacobsen
[REDACTED]

101 East 5th St
St Paul MN 55101

Robina Foundation Grants

November 2015



	ROBINA FOUNDATION GRANTS PAID/COMMITTED														
	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020	2021	TOTAL
ANWH															
Care Guides	1,253,535	2,373,233	2,373,232												6,000,000
LifeCourse: Late Life Supportive Care + Additional Funding					2,356,696	4,245,492	4,334,266								10,936,454
LifeCourse: Transition Phase								3,990,000							3,990,000
														ANWH Total	20,926,454
CFR															
IIGG	2,000,000	2,000,000	2,000,000	2,000,000	2,046,627	2,034,671	2,034,971	2,074,424	2,114,664						18,305,357
Online Video Project				419,750	276,805			*							696,555
Expanded Diversity Initiative				15,000	377,034	426,492	470,722	446,117	157,889						1,735,365
Humanity in Action (Undergraduate) Fellowship								247,878						HIA	247,878
Expanded Diversity Initiative - Additional Activities						837,344	858,278	141,263							1,836,885
Humanity in Action Diplomacy and Diversity Fellowship								600,720						HIA	600,720
														CFR Total	23,422,760
U of M															
LaPPS	1,400,000	1,436,750	1,480,338	2,850,854	893,457										8,061,399
Institute of Criminal Law & Justice					847,190	1,494,134	1,750,900	1,771,752	1,639,451						7,503,427
Sentencing Law Program Enhancements (CL&CJ)						820,056	844,658	869,997	896,097	922,980					4,353,788
Scholarships					250,000	250,000	250,000	250,000	250,000						1,250,000
Public Interest Scholars					379,800	694,544	809,355	813,736	804,188						3,501,623
Center for New Americans						1,349,393	1,022,887	1,039,869	1,057,361						4,469,510
														U of M Total	29,139,747
YALE															
Yale Drama															
CNT	750,000	750,000	1,350,000	950,000	18,000,000										21,800,000
Yale Law															
Human Rights	1,000,000	1,000,000	1,000,000	1,000,000	1,000,000	1,000,000	1,000,000	1,000,000							8,000,000
Yale University															
Thomas M. Crosby, Jr. Scholarship							200,000								200,000
														Yale Total	30,000,000
TOTAL	6,403,535	7,559,983	8,203,570	7,235,604	26,427,609	13,152,126	13,576,037	13,245,756	6,761,761	922,980				TOTAL	103,488,961
YEAR END NET ASSETS*															
*Estimated by Mike Sullivan based upon the projected grant programs and using asset allocation and assumed return assumptions.															
Planning Grants in 2005-2008 not included above: Abbott - \$125,000; CFR - \$50,000; U of M Law School - \$375,000; Yale University - \$50,000															
Miscellaneous Grants not included above: ArtPlace Initiative - \$500,000; Aspen Institute: Justice and Society Program - \$130,575; The Center for Victims of Torture - \$26,000															
Funds provided to Humanity in Action (HIA) after separation of CFR and HIA: \$848,598															
CFR's original request of \$456,146 for Year #5 funding for Expanded Diversity Initiative in Foreign Policy changed due to separating from HIA to: \$157,889															
CFR's original request of \$842,861 for 2015 funding for Expanded Diversity Initiative in Foreign Policy-Additional Activities changed due to separating from HIA: \$141,263															
19-Nov-15															

UNIVERSITY OF MINNESOTA

Twin Cities Campus

*Office of the Dean
The Law School*

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

November 3, 2015

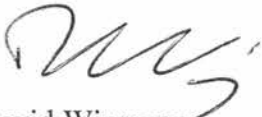
Penny Hunt
Executive Director
Robina Foundation
4900 IDS Center
80 South 8th Street
Minneapolis, MN 55402

Dear Penny,

I am enclosing annual reports for our Scholarship Match Program and our Robina Criminal Law and Criminal Justice Institute. Also, enclosed is a proposal for renewal funding for our Public Interest Scholars & Bridge Fellowship Programs. If you have any questions, please let me know.

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

All best regards,



David Wippman
Dean and William S. Pattee Professor of Law

jj

Enclosures



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

October 29, 2015

Annual Report: Original Grant Year 4; Enhancement Grant Year 2 (2014-15)

Program Area 1: Sentencing Law and Policy (SLP)

Goals and Objectives.

SLP seeks to influence and promote large-scale, systemic improvements in sentencing law and policy in two ways: by providing assistance directly to individual jurisdictions and law reform organizations; and by producing, encouraging, collecting, and disseminating policy-relevant research about the operations and effects of sentencing systems in the United States and elsewhere, and the effects of these systems on public safety, sentencing proportionality, racial and ethnic disparities, and imprisonment rates. SLP received an enhancement grant to fund four multi-state law-reform projects: the Criminal History Project, the Sentencing Guidelines Repository Project, the Probation Revocation Project, and the Parole Release and Revocation Project. The common goal for each of these projects is to promote the reduction of unnecessary incarceration and the more efficient and effective use of corrections resources without compromising public safety. A summary of SLP activities follows.

Activities.

1. *Model Penal Code*. The Model Penal Code (MPC): Sentencing project is slated for final approval by the American Law Institute (ALI) in May 2016. In the past year, Reporters Kevin Reitz and Cecelia Klingele (both Institute faculty) drafted the last of the project's four volumes (it includes 300 pages of recommended statutory language, commentary, and supporting research across all 50 states). Subjects of the final draft include new limits on the use of incarceration; victims' rights in sentencing and corrections processes; the use of criminal history as a sentencing factor (a provision heavily influenced by the Institute's Criminal History Project); procedures for sentencing hearings and sentence appeals; sentence modification; alternative "restorative justice" procedures for the disposition of some cases; and accelerated release of prisoners, jail inmates, probationers, or parolees in circumstances of correctional overcrowding. Once the revision project wins final approval by the ALI, The Pew Charitable Trusts' Public Safety Performance Project has expressed interest in working with the Institute to bring the MPC to the attention of responsible state officials, and to use it to promote legislative change in receptive states.

2. *American Exceptionalism Edited Volume*. Kevin Reitz has nearly completed an edited collection growing out of the Institute's 2013 Annual Conference, to be published by Oxford University Press in 2016. The book addresses the numerous ways in which American criminal justice systems have diverged from the rest of the industrialized world in the past 45 years, placing the U.S. as an "outlier" in most dimensions of crime policy. The book focuses on well-known areas of American Exceptionalism, such as high incarceration rates and continued use of the death penalty, but adds original analyses of many other policy areas, such as America's high rates of probation and parole supervision, high rates of sentence revocation, burdensome financial sanctions, and

extraordinary use of collateral consequences of conviction. One reviewer for Oxford University Press (David Garland, NYU Law School) wrote that “Reitz’s effort to lead comparative penology beyond an exclusive focus on incarceration rates to deal with the other dimensions of penal regimes will set a new standard for work in this area.”

3. *Annual Conference.* The Institute held its annual conference, “Divergent Worlds, Converging Worlds: The Realities of Life on Probation and Parole” in May. The keynote speaker was Professor Alice Goffman (University of Wisconsin-Madison), author of *On the Run: Fugitive Life in an American City* (2014). The event’s theme was that the realities of the life on probation and parole can “diverge” and create a large gap of understanding between persons and systems of authority and the people they regulate, control, and try to help. These “divergent worlds” can lead to counterproductive policies, poor decisions in individual cases, shortfalls in fairness and humanity in the system, and community sentences that do more harm than good. The conference asked whether it is possible to move toward “convergence” of understanding, leading to more effective and humane practices in probation and parole. The conference grew out of the Institute’s Probation and Parole Projects, and was conceived, organized, and hosted by the Project teams and Institute staff. In addition to Project team members, presenters included parole and probation professionals, law enforcement, judges, public defenders, prosecutors, community support providers, and an emotionally-powerful panel of formerly incarcerated individuals. The advisory groups for the Probation and Parole Projects were also in full attendance. The event was one of the Robina Institute’s most successful to date, with over 250 attendees plus a live-streaming audience. The conference registration was “sold out” two weeks after the conference was announced.

4. *SLP Enhancement Grant Projects.* The following activities comprise our work in the four SLP Enhancement Grant Projects.

a. **Probation Revocation Project.**

The goals of the Probation Revocation Project are to: (1) profile the diversity of probation revocation practices nationally; and (2) work directly with several jurisdictions interested in reforming their existing revocation practices. The work has been undertaken against the backdrop of growing concern about the scale of incarceration in the U.S. We approach probation revocation as one important element of American prison policy, and as a key lever of change.

i. *Site Work*

The Project is currently active in 7 jurisdictions, ranging from small/rural to large/urban. These are Bell and Wharton Counties, Texas; Ramsey County, Hennepin County, and Marshall District, Minnesota; New York City; and the Commonwealth of Massachusetts (a statewide probation system). Our work in each site is at a different stage of development, since sites have been added in a staggered fashion. One surprise has been how eager sites have been to work with us. We effectively have a “waiting list.”¹ Currently, we plan to add 2 California sites in 2016.

The work in each site is divided into two phases: The “Alpha” phase develops an in-depth profile of existing revocation and related practices. The “Beta” phase is devoted to revocation-related experimentation and reform. As of October 2015, two sites have completed the Alpha Phase and

¹ Project staff have also been exceptionally well received by site leadership and staff, who have been welcoming and grateful for our help. The Commissioner of Probation in one jurisdiction referred to us as “the cavalry.”

have moved into the Beta Phase. The remaining 5 sites are in various stages of completion of the Alpha phase. By yearend, we project that 2 additional sites will progress to the Beta phase.

Alpha reports include a detailed statistical analysis of each site's revocation practices, including features of their systems that contribute to revocation rates such as length of probation term and "intensity" of conditions. One unique feature of the Project's work has been the gathering of interview data from a wide variety of stakeholders, including probationers; a practice rarely undertaken in the criminal justice world. We are also obtaining approval to interview prisoners in Texas whose probation was revoked. From the period December 2014 to July 2015, 134 interviews were conducted by Project staff, focusing on judges, prosecutors, defense attorneys, probation officers, supervisory and management staff, and 42 probationers. The Alpha process has yielded rich information, and has been critical in identifying the potential subject matters for Beta projects.

Our most advanced Beta site is Bell County, Texas. Project staff will work with the jurisdiction (and other Texas stakeholders) to develop alternatives to the current heavy emphasis on supervision fees, which accounts for over 50% of probation departments' operating budgets throughout the state. The reliance on fees has unintended consequences, including lengthened probation terms, the withholding of early termination for "paying customers," greater exposure to the risk of revocation, loss of attention to reintegrative programming, and direct impediment of probationers' efforts to get back on their feet. We plan to investigate both local and statewide reforms.

Research completed and published in 2013-14 has aided our Beta work.² In Massachusetts, for example, we hope to advocate legislation to address judicial precedent that requires judges who revoke probationers with suspended prison sentences to impose the *entire* suspended sentence in every case. Our comprehensive research of 21 state systems revealed that the vast majority of states allow for more lenient revocation sanctions in such cases, including nonprison sanctions.

ii. Networking and Outreach

The project team has engaged in considerable networking and outreach. In 2014-15, the Project held two Advisory Board meetings. In October 2014, the Probation Project co-organized and co-hosted the Minnesota Law Review Symposium on "Offenders in the Community." The symposium issue contained 3 articles written by members of the Project team and a fourth by an associated faculty member.³ In March 2015, the Robina Institute and the John Jay College of Criminal Justice co-hosted a colloquium in New York City on "Probation Revocation in the Era of Mass Incarceration." Participants represented the city's correctional leadership, including practitioners, judges, policymakers, and academics, and this interaction served as the impetus for New York City's interest in working with the project as an Alpha site.

b. Sentencing Guidelines Repository Project.

The first-stage goal of this project was to create and steadily expand an on-line database of existing materials on sentencing guidelines systems, along with original, expert-drafted materials designed to help users of the website understand and make maximum use of the collection. Because the site has grown into much more than a repository of documents, it is now called the Sentencing Guidelines

² See Kelly Mitchell et al., *Profiles in Probation Revocation: Examining the Legal Framework in 21 States* (Robina Institute of Criminal Law and Criminal Justice, 2014). The research in this volume also allows us to provide Texas sites with solid alternatives from other states to their reliance on supervision fees.

³ All symposium articles may be accessed at: <http://www.minnesotalawreview.org/issue/99-5/>.

Resource Center. Longer-term goals of this project are to facilitate the exchange of information, expertise, and experience on sentencing policy, guidelines, and commissions; promote multijurisdictional comparative research and policy analysis; and promote the adoption and retention of best practices in sentencing guidelines systems.

i. Launch of Sentencing Guidelines Resource Center

The Robina Institute launched the Sentencing Guidelines Resource Center in January 2015 at <http://sentencing.umn.edu/>. The culmination of more than a year of design, development, and research, the Resource Center brings together for the first time in one place materials that span all of the state and federal sentencing guidelines systems currently operating in the U.S. The Home page of the Resource Center contains an interactive map of the U.S. showing which jurisdictions have which kinds of guidelines systems, and permitting users to compare jurisdictions across eight key elements that determine the strength of a guidelines system (for example: whether the jurisdiction has an active sentencing commission; whether the guidelines regulate the duration of prison terms by eliminating parole release discretion; and whether the guidelines are enforced by appeal).

The “Jurisdictions” page of the Resource Center allows viewers to select a jurisdiction and obtain in-depth information about it, such as the membership and mandate of the sentencing commission, how the guidelines work, and how the guidelines interact with prison release decisions. For each jurisdiction we have also identified and summarized important interpretive case law. The detailed information provided for each jurisdiction is the product of original research performed by our project team and law student research assistants. The Jurisdictions page also includes an interactive tool that permits users to execute a side-by-side comparison of two jurisdictions on specified issues (e.g., commission composition; departures; enforcement mechanisms).

At launch, the Resource Center contained in-depth profiles for six jurisdictions: Alabama, Kansas, Minnesota, Oregon, Pennsylvania, and Utah. Since the launch, in-depth profiles have been added for Delaware, North Carolina, and Washington. Several additional states are in the final stages of development. The six initial jurisdictions represented the membership of the Executive Committee of the National Association of Sentencing Commissions (NASC). The Executive Committee has supported the project from its inception, providing ideas in the design stage, reviewing content, and beta testing the website prior to the official launch.

The Resource Center contains two additional features that merit particular attention: the “About Guidelines & Commissions” page and the “Repository” page. The first is designed to provide articles and other information explaining what sentencing guidelines and sentencing commissions are and how they work. The initial articles were drafted by the project team. The project team has begun soliciting articles from other experts in the field, and recently added an article about the role of the sentencing commission by Barbara Tombs-Souvey, Director of the D.C. Sentencing and Criminal Code Revision Commission. The Repository page houses key source materials from each jurisdiction including the current and prior editions of the sentencing guidelines, primary statutes governing the commission and the guidelines, and major statistical reports.

ii. Next Steps

The Resource Center meets both the short-term and long-term goals of the Repository Project. The website is the embodiment of the data base initially envisioned when funding was sought for this project. But it has evolved into a dynamic and interactive tool that facilitates all three of the project’s short-term goals by making information about guidelines jurisdictions easily available, providing comparative tools, providing articles to educate and inform website users, and housing primary

source documents to facilitate research. In the coming year, the project team will continue to develop and add content to the site. We will also hold a conference promoting research using guidelines sentencing data. (This conference will also support important goals of the Criminal History Project, and is described in more detail in the summary of that project.) Finally, we expect to be increasingly involved in consulting with guidelines jurisdictions about the policy issues highlighted by the Resource Center's materials. For example, in October Professor Frase gave the opening presentation at an all-day workshop on state guidelines systems, convened by the U.S. Sentencing Commission, and Ms. Mitchell was also one of the select participants.

c. Parole Release and Revocation Project.

The goals of the Parole Release and Revocation Project are to inform and improve prison release and parole revocation practices nationwide by: (1) gathering and publicizing information about the current diversity of practice nationwide, including best and worst practices, with an aim toward maximizing policy impact; and (2) directing law reform work with selected jurisdictions. The Project engaged in the following major activities in the past year.

i. National Paroling Authorities Survey

Project staff constructed the 2015 National Survey of Paroling Authorities, which has been distributed electronically to every paroling or prison-release authority in the country. The survey has been endorsed by the Association of Paroling Authorities International (APAI), and the APAI has aided our efforts to achieve a 100% response rate. The survey includes comprehensive questions on areas essential to the operation and improvement of prison-release systems, including the overall structure of each jurisdiction's sentencing system, process and criteria for release and revocation decisions, the growing use of risk assessment instruments, the structure and independence of releasing agencies, data and information systems, and the most important law/policy issues as perceived by agency leadership. Project staff have devoted substantial effort to encourage respondents to complete the survey. (The survey takes 2 to 3 hours on average.) Thus far, just over half of the states have completed the survey, and another 23 states have made a commitment to do so. Drawing on survey findings to date, the first of a series of infographics was posted on the Robina Institute's website highlighting the dramatically increasing use of risk assessment tools at release over the past 25 years. In May, Project staff presented preliminary findings at the APAI Annual Conference in Columbus, Ohio. Data analysis and published reports will be completed over the next year.

ii. Legal Profiles

Alongside the National Survey, substantial legal and policy research (by Institute faculty, Project staff, and law students) has been completed for 20 states. A "prototype" Legal Profile for Colorado is now in press. In scope, the Legal Profiles resemble the state reports prepared for the Sentencing Guidelines Resource Center. Policy-relevant information of this kind has never been available to allow parole agencies to compare and evaluate their practices. Because parole has historically been a "black box" process, the Legal Profiles are expected to have significant impact on policy debate, and as catalysts of reform. Additional Profiles will be published in the coming year.

iii. Site Work

A law reform project is now underway with the Colorado State Board of Parole. The goals of this project are to study and improve the state's parole-release guidelines and decision making processes. We have learned that the Board frequently denies release when the Board's guidelines recommend release, and this rate of departure is especially high in cases with low-risk inmates. Changed protocols that increase releases of low-risk offenders, even marginally, would have immediate impact on the state's prison population. In addition, we have found that release is often unnecessarily deferred for several months, costing the state millions of dollars each year. We hope to document these and other areas of opportunity to adjust Colorado's release practices without negative impact on public safety. We will conduct regression analyses of decision patterns under the parole guidelines and will interview board members, case workers, and prisoners to understand their perspectives on how parole hearings are conducted, how well prepared inmates are for the hearings, and how decisions are made. Ultimately, we will report our findings together with a slate of policy options for Colorado to consider. Thereafter, if the board wishes, we will assist with training, implementation, and monitoring. We will issue one or more reports to inform other states of the benefits of our work.

Negotiations for a second law-reform initiative are underway with the Pennsylvania Commission on Sentencing and the state's Board of Probation and Parole. The sentencing commission has been statutorily mandated to evaluate the parole board's decisional instrument for release hearings, and to create a new instrument. They would like our help. Per current discussions, our on-site work would begin in early- to mid-2016.

iv. Advisory Council

The Parole Advisory Council met twice in 2015. Members have been instrumental in providing guidance on the project's main areas of activity, including the design of the National Survey, the Legal Profiles, and the most promising areas of focus for our direct law-reform work.

d. Criminal History Project.

For 2014-15, the principal near-term goal of this project was to complete the first-ever comprehensive survey of criminal history sentence-enhancement provisions found in state and federal guidelines systems, and to report the findings of this survey in a Sourcebook aimed at Sentencing Commissions, policy makers and their research staff. Building on this landmark publication, the project's longer-term goals are to identify and work with guidelines commissions interested in studying and improving their use of criminal history enhancements, to carry out or commission new research on criminal history impacts, and to encourage criminologists and other researchers to study criminal history enhancements.

i. Visiting Scholar

Co-Director Professor Julian Roberts from Oxford was brought on as a visiting scholar in June of 2015 and is now spending a significant amount of his time in residence at the University of Minnesota. His more sustained presence is greatly helping to advance the work of the project.

ii. Publication of Criminal History Enhancements Sourcebook

The Criminal History Enhancements Sourcebook was published and distributed in August 2015.⁴ The Sourcebook analyzes the critical dimensions of criminal history scores utilized in sentencing

⁴ Available online: <http://www.robinainstitute.org/publications/criminal-history-enhancements-sourcebook/>.

guidelines schemes, examines the policy issues that commissions face when determining how to account for an offender's prior conviction record, and touches on the disparate racial impact of these policy choices as well as their impact on prison population. Before finalizing the content, the project team solicited and received useful and positive feedback from the Minnesota Sentencing Guidelines Commission, Kay Knapp, former Research Director of the Commission, and representatives from the sentencing commissions in Massachusetts, Pennsylvania, and Utah. The Criminal History Project team formally presented findings from the Sourcebook in a plenary session at the annual meeting of the National Association of Sentencing Commissions (NASC). In user surveys of the Conference, this session received the most positive ratings of all the sessions. Copies of the Sourcebook were provided to all NASC members in attendance, and have also been mailed directly to every sentencing commission in the nation.

iv. Criminal History Workshop

In furtherance of the long-term goal to work directly with sentencing commissions in reviewing their use of criminal history enhancements, the Project team invited representatives from 18 sentencing commissions to attend a workshop centered on the findings in the Sourcebook. The workshop was attended by representatives from 16 of the 18 invited jurisdictions, and included both commission staff and active commission members. During the workshop, attendees were asked to consider potential policy proposals in several key areas highlighted in the Sourcebook and to discuss the pros and cons of, and barriers to and opportunities for, implementation.

v. Criminal History Enhancements Book Project

As a corollary to the Sourcebook, Professors Frase Roberts are writing a book about criminal history enhancements to be published in 2016 by Oxford University Press. In November 2015 they will convene a meeting of sentencing law and policy specialists to discuss and critique the manuscript. A broader aim of the conference is to encourage these experts and their students and colleagues to take a greater interest in this important but much neglected topic. In part due to our Project, the issue of criminal history impacts is beginning to gather the attention of scholars nationwide. Several researchers have already expressed interest in collaborating with members of the team or are engaging in their own original research on issues related to criminal history.

vi. Research Projects

In furtherance of the long-term goal to carry out or commission new research on criminal history impacts, the Criminal History Project team is currently in the early stages of three research endeavors. One focuses on empirically validating the extent to which the Minnesota Guidelines criminal history score and each score component accurately predicts the recidivism risk of offenders. We hope this study will serve as an inspiration and template for similar studies in other guidelines states. A second research project addresses the other major rationale for criminal history enhancements: the view that sentences should be proportionate to the offender's culpability ("just deserts"). Since this rationale is more a matter of opinion than of scientific proof, we are conducting a survey to measure the public's sentiments on how much more offenders with prior conviction records deserve to be punished.

A third research project will serve a long-term goal of both the Criminal History Project and the Repository project -- encouraging criminologists and other researchers to use guidelines sentencing data to study criminal history enhancements and other important aspects of sentencing. Professor Frase and Dr. Hester have compiled an extensive multi-state database that contains sentencing data from seven guidelines states for the years 2005-2012. This appears to be one of the most

comprehensive sentencing databases in existence. The team plans to make the data available to scholars across the U.S. and to solicit original research papers for a U.S. comparative sentencing conference to be held in Minneapolis in late 2016 or early 2017.

Program Area 2: Criminal Justice Policy

Goals and Objectives

The work in this Program Area aims to contribute to a major rethinking and restructuring of the American criminal justice system, with particular emphasis on reform of sentencing policies and practices that have given the United States the highest imprisonment rate in the world (730 per 100,000 population, compared with an average of 100 in other developed Western countries).

Activities

The following activities and projects comprise our work in this Program Area.

1. *Sentencing Policies in Western countries.* Increasingly, legislatures and policymakers look beyond national borders for solutions to sentencing policy problems. The aim of this project is to reduce the parochialism in U.S. sentencing research and produce an in-depth and up-to-date collection of original essays surveying the evolution of sentencing policies and practices in a wide range of countries, focusing on the past fifteen years. An October 2014 conference was held on the characteristics of and changes in sentencing and sanctioning policies in eight different countries (Canada, England and Wales, Germany, France, Belgium, Poland, South Africa, Australia) and one region (Scandinavia). The conference brought together twenty-six scholars in criminal law, criminal justice, and criminology to discuss commissioned papers over four half-day sessions. The resulting book will be published in 2016 by the University of Chicago Press.

2. *Reinventing American Criminal Justice Systems.* Substantial reform of the American criminal justice system is receiving increasing attention not only among scholars and law reformers but also among prominent conservatives (e.g., Newt Gingrich and "Right on Crime"; Koch Industries) and liberals (George Soros and the Open Society Foundation; the ACLU). Major bipartisan reform legislation was introduced in the U.S. Senate in early October. Yet, despite the many voices calling for the end of the era of mass incarceration by reducing the prison population while keeping communities safe, few major changes have been made. In the attempt to contribute to the ongoing debate by formulating bold but doable policy reform proposals, the Criminal Justice Policy program area has undertaken several initiatives. One is preparation of a detailed set of reform proposals which were the subject of a special issue of *Criminology and Public Policy* (Michael Tonry, "Remodeling American Sentencing: A Ten-step Blueprint for Moving Past Mass Incarceration," *Criminology and Public Policy* 13 (43):1-31 [2014]). It has been the subject of legislative briefings in a number of states and is being used as a basis for reform efforts by, among others, the Vera Institute of Justice and the ACLU.

A second was the organization of a conference at the Law School in May 2015 which brought together thirty-two scholars and senior practitioners in criminal law, criminal justice, criminology, policing, corrections, public health, and psychology. Eight papers were commissioned and were discussed over four half-day sessions on the following topics: policing, community corrections, gun violence, substance abuse treatment, mental illness, parole release, illegal drugs, and sentencing. A book resulting from this conference, *Reinventing American Criminal Justice Systems*, will be published in 2016 by the University of Chicago Press.

3. *Sentencing Fragments: Penal Reform in America, 1975-2025*. Michael Tonry finalized a book project analyzing the transformation of U.S. sentencing systems from early reforms in the mid-1970's to the transition towards harsher sentences in the mid-1980s through subsequent developments through 2015. The book examines the empirical evidence of consequences of changes in sentencing policy for court operations, crime rates, sentences, and imprisonment rates over the past four decades. *Sentencing Fragments* combines a history of policy with an examination of current research findings regarding the consequences of the sentencing system. The book concludes with a set of proposals for the future. It is scheduled to be released by Oxford University Press in December 2015.

Program Area 3: Criminal Law Theory

Goals and Objectives

The goal this Program Area is to work towards a better understanding of the proper aims, role and limits of the criminal law—an understanding that will help to guide the work of scholars, practitioners, and policy makers seeking to reform our criminal law. One route to this goal lies through the realm of normative theory—theory that must locate the criminal law in a larger account of the political structure of a democratic state, and develop a properly grounded conception of its role in such a state. Another route begins from specific, concrete problems that face our existing systems of criminal law: by thinking more thoroughly about such problems, and about their roots, we can hope to work towards a better understanding of the values, principles and aims that can point the way towards their solution. In both cases, it is also important to look beyond the realm of domestic criminal law and domestic theory: to look at developments in other countries and in international criminal law, and to engage with scholars from different traditions of legal thought and practice.

Activities

The following activities and projects comprise our work in this Program Area. It should be noted that activities in this Program Area in Year 4 were fewer than in previous years because Professor Duff is now on phased retirement, and the Research Fellow associated with this Program Area reached the end of his term and has taken a tenure-track post in a UK university.

1. *Wrongs Across Borders* (March 2015). This workshop, organized in collaboration with the Nathanson Centre at Osgoode Hall Law School (a regular partner of the Institute) and the University of Warwick, was a follow up workshop to an earlier Institute co-sponsored event in Toronto. The workshop included a group of scholars from the U.S., Canada, Germany, and the U.K. to analyze common challenges, themes, and responses to the adjudication and policing of transnational wrongs. Specific topics included the allocation of responsibility for and jurisdiction over transnational wrongs, the structure of international criminal law, transitional justice, and reparations. The conversation on international criminal law, begun by the Institute in previous years, also led to a workshop in Zurich in September 2015, funded by the Swiss National Science Foundation, on *The Legitimacy of International Criminal Law*.

2. *Can We Reform Plea Bargaining?* (April 2015). This workshop was motivated by widespread agreement that our current plea-bargaining practices are deeply problematic, and the equally widespread frustration at the difficulty of finding ways to reform those practices. The workshop brought together scholars practitioners, including judges, prosecutors, and public defenders. We did not expect to find definitive solutions, but hoped that a day of intense discussion

would lead both clearer diagnoses of problems and ideas for improvements in practice. The conversation spanned sentencing law and practice, pre-trial procedural issues including disclosure and police and prosecutorial charging practices, the heavy workload of judges, prosecutors and defenders, and the constructive role that judges might play.

3. *Future of Criminal Law*. In 2014, the Program Area held a workshop in conjunction with the Robina 2014 Annual Conference ("The Future of Criminal Law"). This past year, we edited the twelve papers presented at that workshop and revised versions of the papers were published, online and in print, in December 2014.

* * *

An income and expense statement for the past year is attached. As always, we are very grateful to Jim Binger and the Foundation for making the Institute possible.

ROBINA INSTITUTE ON CRIMINAL LAW AND JUSTICE
Income and Expense Statement for 7/1/2014 - 6/30/2015

	Budget FY2015	Expenditures FY2015	
Research Streams			
Criminal Law Theory	85,000	120,673	
Sentencing Law and Policy	85,000	310	(1)
Criminal Justice Policy	85,000	110,530	
Visitors	62,500	6,209	(2)
Conference/Target of Opportunity	70,000	64,324	
Faculty Development	1,011,373	785,637	(3)
Co-Directors		274,253	
New Junior Level Faculty		400,381	
Consulting Faculty		68,773	
New Criminal Law Clinical Faculty		42,230	
General Operations	372,879	570,700	
Executive Director 50%		69,743	
Post-Doctoral Research Fellows		158,791	
Research Associate		63,300	
Research Assistants		38,390	
IT/Web Development		61,394	
Administrative Assistant		51,442	
Events and Communications		62,668	
Travel & Other Operating		64,972	
Subtotal Robina Original	1,771,752	1,658,383	
Enhancement Projects			
Criminal History Project	200,258	72,312	
Probation Revocation Project	228,252	188,358	
Sentencing Guidelines Repository Project	221,888	73,185	
Parole Release and Revocation Project	194,260	110,129	
Executive Director 50%	0	69,743	
Subtotal Enhancement Projects	844,658	513,726	(4)
Total All Projects	2,616,410	2,172,109	

- (1) All Sentencing Law and Policy expenses were recorded under the appropriate project account instead of this general account.
- (2) Professor Julian Roberts (Oxford University) was brought on as a visiting professor in 2015; however, due to difficulties in obtaining his work visa, his start was delayed until the end of the fiscal year.
- (3) One faculty member was called away for most of 2015-16. In addition, we were able to hire two junior faculty and one clinical faculty at salaries below the original budget plan.
- (4) Project expenses appear lower than budget because all staff salaries are shown above in the general operations section. All Robina staff work across multiple projects and activities.

APPENDIX A:
Robina Institute on Criminal Law and Criminal Justice
Income and Expense Statement for 7/1/2014 – 6/30/2015

	Budget FY2015	Expenditures FY2015
Research Streams		
Criminal Law Theory	85,000	120,673
Sentencing Law and Policy	85,000	310
Criminal Justice Policy	85,000	110,530
Visitors	62,500	6,209
Conference/Target of Opportunity	70,000	64,324
Faculty Leadership and General Operations	<u>1,384,252</u>	<u>829,863</u>
	1,771,752	1,131,909

APPENDIX B: SLP Enhancement Projects

Status of Project Deliverables

Following is an accounting of the annual deliverables for each project funded by the SLP Enhancement grant. As reported in the April 23, 2014 progress report, in Year 1 it was necessary to assemble the project teams, hire an Executive Director and administrative staff to support the projects, and form partnerships with other academic institutions. The Institute was not fully staffed until August 2014.

Probation and Parole Revocation Project

Name Changed to: Probation Revocations Project

Year One Deliverables

<i>Deliverable</i>	<i>Status and Notes</i>
Preliminary report summarizing research.	<i>Complete.</i> The project team researched and profiled the legal framework of probation revocation across 21 representative jurisdictions and in the new Model Penal Code. The research has grounded the team's work with Alpha and Beta sites, and has been disseminated nationwide to allow probation agencies to compare their legal frameworks with those in effect elsewhere. (The comparative information has been especially useful in our Texas, Massachusetts, and Minnesota sites.) The research was published in book form early in Year 2 as <i>Profiles in Probation: The Legal Framework in 21 States</i> .
Recruitment of 3 to 5 participant states.	<i>Complete.</i> Recruiting of sites began in Year 1 and was substantially complete by the middle of Year 2. Because probation is delivered on a community basis in most states, partners are at the state, city, and county levels, depending on the jurisdiction. Participants are Minnesota (Hennepin and Ramsey Counties, and a rural Department of Corrections probation district), Texas (Bell and Wharton Counties), Massachusetts (statewide probation system), and New York City (an agency with more probationers than many states). We have had more interest from probation agencies nationwide in collaborating with the Institute than we have been able to accommodate.

Years Two and Three Deliverables

<i>Deliverable</i>	<i>Status and Notes</i>
Probation and parole revocation reform proposals tailored to each participant state.	<i>Ongoing.</i> This project was revised to focus on probation revocations (with parole revocations reassigned to the Parole Project). Site work is proceeding in the Alpha and Beta phases of the project. In the Alpha phase, data and information is collected in an effort to understand and describe local practice. In the Beta phase, a reform issue is identified, and work proceeds to implement the reform and measure its impact. Bell and Wharton Counties are currently at different stages of Beta work. Massachusetts and New York City are in negotiations with the Project team on construction of Beta projects.

Progress Towards Years Three Through Five	
<i>Deliverable</i>	<i>Status and Notes</i>
Full or partial adoption of revocation reform proposals in several participant states.	<i>Expected for Years 4-5.</i> We currently anticipate 5 sites that will embark on separate Beta projects, with the possibility of more. At least 2 of these will target statewide reforms, while others may focus on significant changes in agency practices. We will assist in the development of new policy or procedures, assist in implementation, and then, if time on the project allows, measure outcomes.
Preparation and dissemination of publications highlighting advantages of proposals.	<i>Ongoing.</i> Robina will publish reports detailing the Alpha and Beta phases in each site. An Alpha report for Bell County is complete and in production for publication, with Wharton County close behind. Two Minnesota reports are next in the queue. These reports will be disseminated nationally through Institute contact lists, appropriate professional associations, and academic organizations.
Incorporation of aspects of proposals into Model Penal Code draft.	The MPC project is expected to win final approval in May 2016 (including 1,000 pages of suggested statutory language, explanatory Comments, and 50-state research). The Probation Project and other Institute-sponsored research has contributed significantly to the MPC's substantive provisions and the policy debate surrounding MPC issues. For example, Institute faculty and staff have assembled for the first time comparative data on US probation practices compared with Europe, Canada, and Australia. Before this, it was wholly unknown that US probation supervision rates are 7 times the average European and Australian rates, and 4 times the Canadian rate. The Probation Project itself has had major impact on MPC provisions (including separate sections on the fundamental purposes of sentencing, probation, probation revocation, and choice of sanctions). The Project has also led to major changes in the MPC's economic sanctions provisions, including the MPC's recommendation to abolish all correctional and supervision costs, fees, and assessments, and to ban agencies from making use of the monies they collect.
National conference.	<i>Complete.</i> The Institute's work on the Probation and Parole projects served as the basis for the Institute's annual conference in Year 2.

Sentencing Reform Repository Project*Name Changed to: Sentencing Guidelines Resource Center Project***Year One Deliverables**

<i>Deliverable</i>	<i>Status and Notes</i>
Collection of electronic and hard copy sentencing reform materials from a number of states.	Complete. Staff was not sufficiently in place to pursue this goal in Year 1, but it was completed in Year 2 with the launch of the Sentencing Guidelines Resource Center (http://sentencing.umn.edu/). The Resource Center was launched with materials from Alabama, Kansas, Minnesota, Oregon, Pennsylvania, and Utah. The collected materials include sentencing guidelines, statutes governing the sentencing commissions and guidelines, meeting minutes, and recent reports. The scope of this project has been expanded to include substantial background information on each guidelines system, to help visitors to the site understand and make better use of the primary documents for these systems. This background material is based on extensive original research, and employs standard templates applied to all systems. For each system, we provide a detailed profile of the system, a shorter version that introduces the system by noting major features and any unusual aspects, and a summary of sentence appeal rights and important interpretive case law for that system.
Creation of the Repository web site and blog.	Complete. The Repository web site was launched in the form of the Sentencing Guidelines Resource Center. Rather than include a blog on the site, the project team has focused on providing articles about sentencing commissions and guidelines and links to recent news stories about sentencing guidelines. The initial articles were written by the project co-directors, but we are now starting to commission and add articles written by practitioners and other non-Institute experts.
Action plans for difficult-to-obtain materials.	Expected for Year 3. The Institute is in the process of hiring a staff attorney, half of whose time will be devoted to this project. That attorney will be tasked with developing and implementing this action plan.

Year Two Deliverables

<i>Deliverable</i>	<i>Status and Notes</i>
Collection of electronic and hard copy sentencing reform materials from additional states.	Complete. The project team has continued to build out the Sentencing Guidelines Resource Center. Work was completed to add materials to the website for Delaware, North Carolina, and Washington. And work is near complete for Arkansas, the Federal system, Maryland, Massachusetts, Michigan, Ohio, Washington D.C., and Virginia.

Additions of materials to the Repository web site.	Complete. See above.
Procedures to keep materials up to date, and to make non-electronic materials available.	Expected to be completed in Year 3. The postings of materials on the site have included some for which no compact electronic version, or in some cases any electronic version, was available, so one had to be created by our staff. The Institute is in the process of hiring a staff attorney, half of whose time will be devoted to the Resource Center Project. That attorney will be tasked with developing update procedures.
Plans for more consistent state sentencing data.	Will not be pursued. The project team investigated this possibility and discussed whether this original deliverable was an achievable goal. Because data systems and data collection practices vary from state to state, and any change to those systems or processes is dependent on local funding (which also varies to a great degree), it was determined that it would not be feasible to impact data formats to make them more consistent. The project team continues, however, to pursue the goal of encouraging data collection, especially in jurisdictions that do not do so currently. In addition, Professor Frase and Dr. Hester have compiled an extensive multi-state database that contains sentencing data from seven guidelines states for the years 2005-2012, formatted in ways that facilitate multi-jurisdictional research. The team plans to make the data available to scholars across the U.S. and to solicit original research papers for a U.S. comparative sentencing conference to be held in Minneapolis in late 2016 or early 2017.
Sentencing reform research suggestions added to the web site.	Ongoing. These suggestions may eventually be posted on the site, but initially they will be disseminated directly to sentencing scholars, in the form of solicitations to write papers using the database compiled by Professor Frase and Dr. Hester (see above). We have also been promoting sentencing reform research at the 2014 and 2015 annual meetings of the two major professional associations for criminologists, and will continue to do so at future meetings. We promote such research by publicizing the availability of the Sentencing Guidelines Research Center's site, and demonstrating how to use the Center's materials and research tools.
Progress Towards Years Three Through Five	
<i>Deliverable</i>	<i>Status and Notes</i>
Additions of materials to the Repository and its web site.	Ongoing. Work is near complete for Arkansas, the Federal system, Maryland, Massachusetts, Michigan, Ohio, Washington D.C., and Virginia. The remaining jurisdictions will follow. Additionally, plans are in place to add additional materials to the jurisdictions that were earlier completed.
Report on questionnaire results	Ongoing. The project team has been continuously soliciting feedback about the Sentencing

[for user survey asking about use of and ways to improve the Sentencing Guidelines Resource Center].	Guidelines Resource Center. The original site was beta-tested with select commissions before launch, and the site currently includes a link for user feedback. A more formal user survey is planned following completion of the site buildout.
National conference.	Planned for Year 4. The 2016 Robina Institute Annual Conference is planned to be held in the fall of 2016 and it will cover sentencing issues. Though it has been held in April or May in the past, it has been moved to the fall to permit completion of research from the criminal history project.
Sentencing reform research plans [based on comprehensive review of Repository contents].	Planned for the remainder of Year 3 and much of Year 4.
Preliminary and final reports on that research.	Planned for Years 4 and 5.

Building Partnerships with Parole Releasing States
Name changed to: Parole Release and Revocation Project

Year One Deliverables

<i>Deliverable</i>	<i>Status and Notes</i>
Build infrastructure for new association of states with common issues and problems (those with parole release systems) on NASC model.	Pursued alternative and superior route. Paroling entities already have a reasonably strong professional association in the form of the Association of Paroling Authorities International (APAI). Our work can greatly add to APAI resources and activities. The Parole Project has won APAI endorsement and has collaborated in the performance and dissemination of the Project's work. For example, APAI has been a valuable partner in increasing the response rate for the Institute's National Survey of Paroling Authorities, and has distributed and promoted Institute publications to the APAI membership. The Project team has presented and is scheduled to present at APAI annual meetings throughout the Project's life. The Project has also built an alliance with the National Parole Resource Center, created by the U.S. Department of Justice, Bureau of Justice Assistance.
Preliminary report on basic structural features of all U.S. indeterminate jurisdictions.	Ongoing. The project is developing profiles on parole release and revocation processes in every state, including topics such as the timing and criteria for parole eligibility and release decision making guidelines. The profiles are more time-intensive to create, and also more valuable, than originally anticipated. In scope, they resemble the state reports prepared in the Sentencing Guidelines Resource Center Project. A full "prototype" report has been developed for Colorado, which will soon be published. Two other full reports are near completion, and basic research has been completed for 20 more. We anticipate reports for all 50 states by the end of year 5. The profiles will be published online as they are completed, and in print as more profiles become available. Issue-specific publications building on the profiles will also be published in the Project's latter years.

Year Two Deliverables

<i>Deliverable</i>	<i>Status and Notes</i>
First national meeting and enactment of NASC model.	Alternative strategy pursued (see above).
Identification of priority	Ongoing. With the endorsement of APAI, in Year 2, the Project team designed and launched a

reform issues and states interested in participation in SLP projects.	comprehensive National Survey of Paroling and Post-Release Supervision Authorities. With most responses now in, the survey will supply rich information on actual parole release and revocation practices, and identify likely issues for law and policy reform.
Report on a national reform agenda for parole-releasing states.	Complete. Combining findings of the Legal Profiles and National Survey, aspects of the Model Penal Code, together with independent research and long experience, Project Director Edward Rhine, Faculty Director Kevin Reitz, and coauthor Joan Petersilia (Stanford University Law School) have written a 10-Point Program for the Reform of Parole Release Systems. The 10-Point Plan has been published online with the Social Science Research Network and has been publicized by The Marshall Project. It will be published in various short and long forms, in both academic and policy-oriented publications including Crime & Justice and the Federal Sentencing Reporter. It will be presented in a plenary program at the American Society of Criminology annual meeting in November 2015. A full book length treatment has been solicited by Oxford University Press (expanding coverage to include parole revocation).
Progress Towards Years Three Through Five Deliverables	
<i>Deliverable</i>	<i>Status and Notes</i>
Launch first topic-specific project with 3 to 5 participant states.	Ongoing. A reform project is now underway with the Colorado State Board of Parole. The goals of this project are to study and improve the state's parole-release guidelines and decision making processes, and to assist the Board in understanding why it is deviating from its release guidelines in certain areas. Negotiations for a second law-reform initiative are underway with the Pennsylvania Commission on Sentencing and the state's Board of Probation and Parole.
Produce reform proposals and assist in their implementation.	Ongoing. See above. Additionally, Institute publications will accelerate as our work progresses, and will become more comparative and prescriptive. The Project has "leveraged" its publication capacity through joint efforts with Joan Petersilia, an expert criminologist in issues of parole, prison release, and prisoner reentry, to coauthor a series of web publications, articles, and books.
Reports on results.	Ongoing. The Institute has begun to produce a series of infographics based upon results from the National Survey. The first Legal Profile is complete and will be published in the near future, with many more to follow. Other reports will be forthcoming as our work progresses.
Further seeding of NASC organizational model among paroling states and transition to a self-sustaining nonprofit model.	Alternative strategy pursued (see above). However, related to this, under discussion are a small number of meetings of hand-chosen jurisdictions to address common issues. For example, a small group of states struggling with the use of risk assessments throughout the parole process might form one such meeting. States struggling to create or revise sanctioning or revocation guidelines may be a second group.

Criminal History Project

Year One Deliverables

<i>Deliverable</i>	<i>Status and Notes</i>
Preliminary report summarizing research [comprehensive survey of criminal history formulas found in American sentencing guidelines systems].	Complete. Comprehensive survey was documented for internal use, and served as a starting point for development of the Criminal History Enhancements Sourcebook (see Year 2).
Recruitment of 3 to 5 participant states [interested in participating in research and policy changes in this area].	Ongoing. Staff was not sufficiently in place to pursue this goal in Year 1. Once assembled, the project team determined that more up front work was needed to form a base of expertise with which to recruit states. This led to the development of the Criminal History Enhancements Sourcebook (see Years 2 and 3). In Year 2, the Massachusetts Sentencing Commission asked Professor Frase to consult with them as they conduct a review of their sentencing guidelines. To date, he has provided input at two commission meetings. At the start of Year 3, we invited representatives from 18 guidelines jurisdictions to attend the Criminal History Workshop, and active recruiting will continue from there. Our recruitment efforts have also included presentations related to the Criminal History Project at the 2013, 2014, and 2015 annual meetings of the National Association of Sentencing Commissions. The 2013 meeting included presentations by the Project co-directors, Professors Frase and Roberts. At the 2014 meeting Professor Frase delivered the keynote address, which focused on criminal history enhancements and the goals of the Project. The 2015 meeting included a Plenary Session devoted to the Project and the recently-released Criminal History Enhancements Sourcebook, with presentations by all four members of the project team.

Year Two Deliverables	
Further research reports [on criminal history impacts identified in the survey].	Ongoing. The Criminal History project spent the better part of Year 2 researching and developing the Criminal History Enhancements Sourcebook. The book was published at the beginning of Year 3. Research is underway to empirically validate the extent to which the Minnesota Guidelines criminal history score and each score component accurately predicts the recidivism risk of offenders. We are also conducting a survey to measure the public's sentiments on the degree to which punishment should be based on the offender's prior record versus the current crime of conviction. The Project co-directors, Professors Frase and Roberts, have completed drafts of most of the chapters of the book they are writing on Criminal History enhancements, to be published in 2016 by Oxford University Press. To promote further scholarly research on this neglected topic, and obtain comments and suggestions for the book, these drafts will be discussed by a select group of leading sentencing researchers, at a meeting in Minneapolis on November 13 and 14, 2015.
Requests for proposals for research by criminal-careers specialists.	Ongoing. As noted above under the Sentencing Guidelines Resource Center Project, Professor Frase and Dr. Hester have compiled an extensive multi-state database that contains sentencing data from seven guidelines states for the years 2005-2012. The team plans to make the data available to scholars across the U.S. and to solicit original research papers for a U.S. comparative sentencing conference to be held in Minneapolis in late 2016 or early 2017.
Criminal-history reform proposals tailored to each participant state.	Delayed to Years 3-5. To follow Criminal History Enhancements Sourcebook and Criminal History Workshop, described above.
Progress Towards Deliverables in Years Three Through Five	
<i>Deliverable</i>	<i>Status and Notes</i>
Full or partial adoption of criminal history reform proposals in several participant states.	Expected for Years 4-5.

Report summarizing post-implementation evaluation research.	Expected for Year 5
Preparation and dissemination of publications highlighting advantages of these proposals.	Ongoing. Criminal History Enhancements Sourcebook was published on the web and distributed to NASC annual conference attendees and all sentencing commissions nationally. The book is designed for use by sentencing commissions and other policy makers, and addresses concrete policy considerations.
Incorporation of aspects of proposals into Model Penal Code draft.	Near Completion. The latest draft of revised sentencing provisions for the Model Penal Code revisits the issue of criminal history enhancements, and makes changes that, as noted on page one of this annual report, were heavily influenced by the work of the Criminal History Project. The draft will be further reviewed in January by the Council of the American Law Institute, and then submitted for final approval by the Institute's members in May 2016.



**2015 Annual Report to the Robina Foundation on
The Robina Scholarship Match Program**

The Robina Scholarship Match program has proven highly successful in helping the Law School attract new donors and persuade existing donors to give at higher levels.

Since the inception of the program in May 2011, we have received \$360,089 in full Robina scholarships and \$663,213 in partial Robina scholarships.

Thus, a total of \$1,023,302 has been paid or committed for Robina matching scholarships. This leaves a balance of \$226,698 in the fund created in 2011 with a gift from the Robina Foundation of \$1.25 million.

This matching gift program continues to appeal to donors and remains a strong incentive for giving that supports students at the Law School. Robina scholarships are primary talking points for fundraising staff; they are an important motivator for gift prospects; and the Robina Scholarship Program is featured in our reunion giving appeals. In addition, all of our fundraising volunteers have been trained to promote the Robina Scholarship Program in their peer-to-peer fundraising efforts.

Students receiving Robina full scholarship awards write a letter of appreciation directly to their benefactor. Students receiving Robina partial scholarships are profiled in a group letter from Dean Wippman that is sent to all the fund's donors. In addition, scholarship recipients are encouraged to visit the Robina Foundation website to learn more about James H. Binger's remarkable life and legacy. It is common for students to proudly display this scholarship on their resumes. In short, the program has been enormously helpful in our general fundraising efforts.

An income and expense statement is attached.



**Annual Report to Robina Foundation
Robina Scholarship Funds
May 2011-October 2015**

LAW FUNDS AWARDED 2015-2016 ACADEMIC YEAR (does not include Robina Match funds)

Law School Robina Full fund (3 students)	\$60,000 (plus match)
Law School Robina Partial fund (9 students)	\$45,000 (plus match)

ROBINA FOUNDATION MATCHING SCHOLARSHIP FUND ACTIVITY SINCE INCEPTION

Total available matching Robina Scholars fund at Establishment	\$1,250,000
Total LAW donor commitments to be matched 10/21/15	
Robina Full	\$360,089
Robina Partial	<u>\$663,213</u>
	\$1,023,302
Remaining matching Robina Scholars Fund available 10/21/15	\$226,698

ACTUAL LAW DONOR COMMITMENTS BY FISCAL YEAR - Updated 10/21/15 *

Donor Commitments FY2016

Robina Full	\$0
Robina Partial	<u>\$30,000</u>
	\$30,000

Donor Commitments FY2015

Robina Full	\$0
Robina Partial	<u>\$45,000</u>
	\$45,000

Donor Commitments FY2014

Robina Full	\$160,000
Robina Partial	<u>\$180,351</u>
	\$340,351

Donor Commitments FY2013

Robina Full	\$20,000
Robina Partial	<u>\$102,500</u>
	\$122,500

Donor Commitments FY2012

Robina Full	\$120,089
Robina Partial (13 donors)	<u>\$195,362</u>
	\$315,451

Donor Commitments FY2011

Robina Full (2 donors)	\$60,000
Robina Partial (8 donors)	<u>\$110,000</u>
	<u>\$170,000</u>

Total Commitments

\$1,023,302

* Commitment amounts change each fiscal year due to payments through donor designated funds and additional company match payments.



approved
11-19-15

**Proposal to the Robina Foundation
For Renewal of the
Public Interest Scholars & Bridge Fellowship Programs**

October 30, 2015

We are requesting an extension of two highly successful Robina-funded programs—the Public Interest Scholars Program and the Bridge Fellowship Program—that we hope to continue with the Foundation’s support. Together, these programs have positioned the Law School as a committed training ground for public interest lawyers, as well as a national model for supporting students pursuing their long-term career goals.

- The Robina Public Interest Scholars Program is funded for all current second- and third-year students in the program. But we do not have any funding for next fall’s incoming students, the Class of 2019, or post-graduate fellowship funding for the Class of 2018. We are requesting \$3,956,752 to continue the program an additional five years. The proposed budget is attached and detailed below.
- Robina funding for the Bridge Fellowship Program ended two years ago. The program has since been funded from the Law School’s operating budget. We are requesting \$750,000 to continue the program for five years, beginning with the Class of 2016. The proposed budget is attached and detailed below.

The total requested for the two programs together is \$4,706,752.

PROGRAM PROGRESS AND EMERGING TRENDS

I. Robina Public Interest Scholars Program

We are now in our fourth year of the Robina Public Interest Scholars Program. The program offers students scholarships, summer internship funding, post-graduate fellowships, loan repayment assistance, and program support. With 36 current Scholars and three classes of graduated Scholars, the Program has demonstrated remarkable success in attracting to the Law School exceptionally talented students committed to public service, moving those students into public interest careers, and making those careers affordable.

- **More students now choose public interest careers.** Almost 25% of our graduates now enter public service.¹ This is up from just under 15% of our graduates in 2012.
- **The Program has enhanced the Law School’s reputation for supporting public interest.** The program has attracted high-quality students who are securing competitive public interest positions. These students are deeply engaged in the School and in the local nonprofit and government community, increasing the visibility of the Law School’s support for public interest to employers, prospective students, and alumni. The Law School has supplemented the Robina Scholars program

¹ We use public service and public interest interchangeably, to include both government and non-profit positions.

with strong experiential learning, clinical, and pro bono programs, which allow students to graduate with significant experience in their field of interest.

- **The Program has attracted other public interest donors.** The success of the Robina Public Interest Scholars Program has inspired other donors to support public interest opportunities. To support public interest summer internships, we have received additional donor gifts to fund the Justice John Paul Stevens Foundation fellowship, Jacob E. Pritzker Summer Fellowship, Dr. Matthew Stark Fellowship, Professor Laura Cooper Fellowships, and the Dale Larson fellowships. This additional funding is a direct result of the Robina Foundation's Public Interest Scholars Program. We have also received a gift for a post-graduate fellowship in disability law from the Jacob E. Pritzker Graduate Fellowship and have been successful in recruiting national fellowship positions hosted in the Law School's clinics. Donors are excited about the momentum and unique opportunities in public interest that the Robina Foundation's gift has provided the Law School.

The Law School has also received support for other innovative programs, such as a large gift from Mr. Allen Saeks to create the Saeks Public Interest Fellowship program. The Saeks program will allow students to work full time at a government agency or nonprofit for credit during their third year of law school and will ensure them a paid, year-long post-graduate fellowship at the same organization.

II. Bridge Fellowship Program

We are in our seventh year of the Bridge Fellowship Program, which provides graduates with short-term post-graduate fellowships at a government agency or nonprofit organization, launching students' careers in public service while they are waiting for bar exam results. This bridge program enables many students still seeking employment to transition successfully to high quality, full-time paid positions. Last year, we awarded 40 Bridge Fellowships to graduates and we anticipate awarding around 30 this year.

- **Most Bridge Fellows continue in public service careers.** Almost 75% of bridge fellows enter public service careers after their fellowship ends. Many of these graduates work in states that hire public defenders and government attorneys after bar results in late fall. Other fellows obtain prestigious late-breaking fellowships, such as the Equal Justice Works AmeriCorps Legal Fellowships.

Although we are requesting extensions of both programs, we are also planning for program sustainability. In addition to exploring donor opportunities driven by our increased public interest presence, we are looking at other local and national grant funding to support scholarships and summer funding, while building new fellowship opportunities through the Saeks Fellowship Program. With a five-year extension of the Bridge Fellowship Program, we will have over 12 years of Bridge Fellows; in the future, we hope to recruit ongoing Bridge Fellowship funding from past fellows.

PROPOSAL TO EXTEND THE ROBINA PUBLIC INTEREST SCHOLARS AND BRIDGE FELLOWSHIP PROGRAMS

Robina Public Interest Scholars Program

We are requesting \$3,956,752 to continue the Robina Public Interest Scholars Program an additional five years. This amount will provide approximately the same annual funding as we now receive under the current grant, but as explained below, we are seeking somewhat more funding for scholarships and less for loan repayment assistance; in addition, we are not seeking post-graduate fellowships for the classes of 2021 and 2022, since those fellowships would fall outside the proposed five-year grant term.

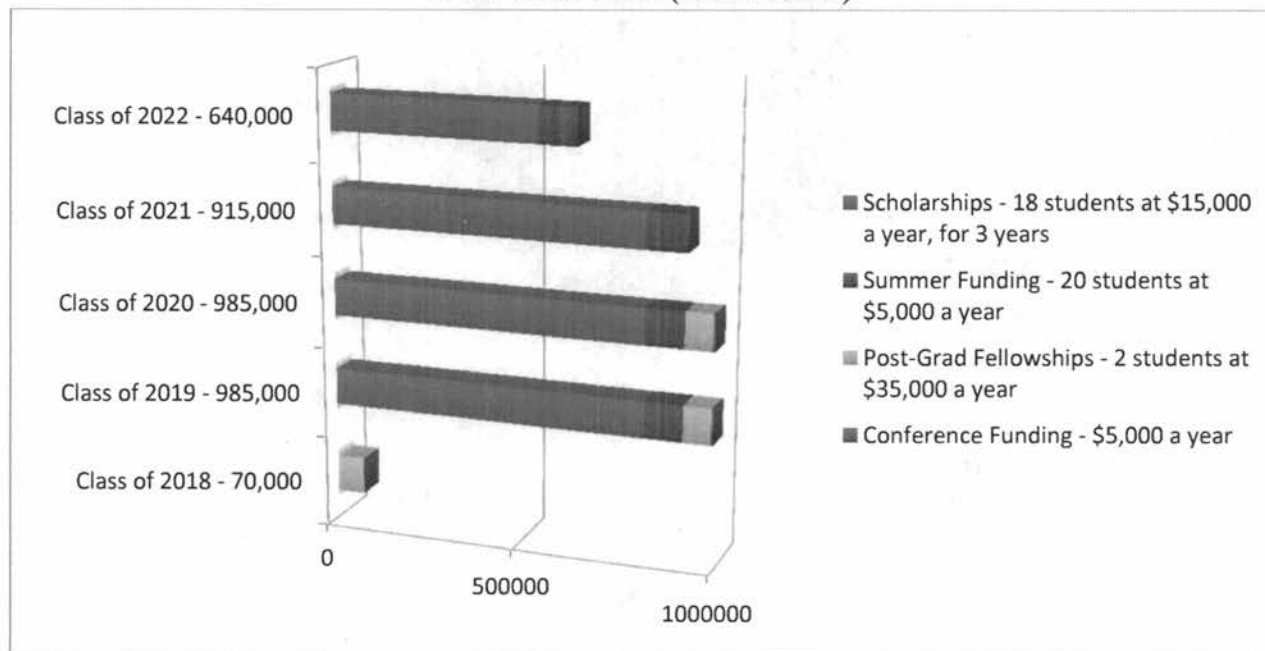
With our current grant, the Classes of 2016 and 2017 are fully funded. The Class of 2018 is funded for scholarships, summer funding, and conference funding, but does not have post-graduate fellowship

funding. The proposed grant would fund post-graduate fellowships for the Class of 2018, and scholarships, summer funding, post-graduate fellowships, and program support for the Classes of 2019 and 2020, and scholarships and summer funding for the Classes of 2021 and 2022. The charts below detail our request.

Our proposed grant requests an increase in the number of Scholars from 12 to 18. Each year, around 60 students apply to be Scholars, with 20-30 of them very strong candidates. Increased scholarship support would allow us to admit more students into the Law School as Robina Scholars. Our budget also requests additional funding for summer fellowships and conference funding, since we have found those components of the program to be very successful in moving students into quality public interest positions. (Conference funding enables students to attend public interest job fairs.) Finally, the budget seeks program support in the form of funding for our Public Interest Director. She oversees the public interest scholars program and assists all students at the Law School interested in public interest careers.

We have omitted a request for additional LRAP funding and decreased our request for post-graduate fellowship support, because we have found these components of the program to be less important than we originally anticipated. The program has been so successful in attracting highly talented students that the Scholars are mostly finding paid public interest positions without need for post-graduate fellowship funding for their initial post-graduate year. Similarly, with paid employment and assistance from their own employers' LRAP programs, there is also less need for law school LRAP support than we originally expected. LRAP support covers a portion of graduates' loan payments to make public interest careers affordable. In working with the MN LRAP program, we have determined that Scholars are accepting better paying public interest positions and are more likely to accept public interest positions where the employer has a separately-funded LRAP program.

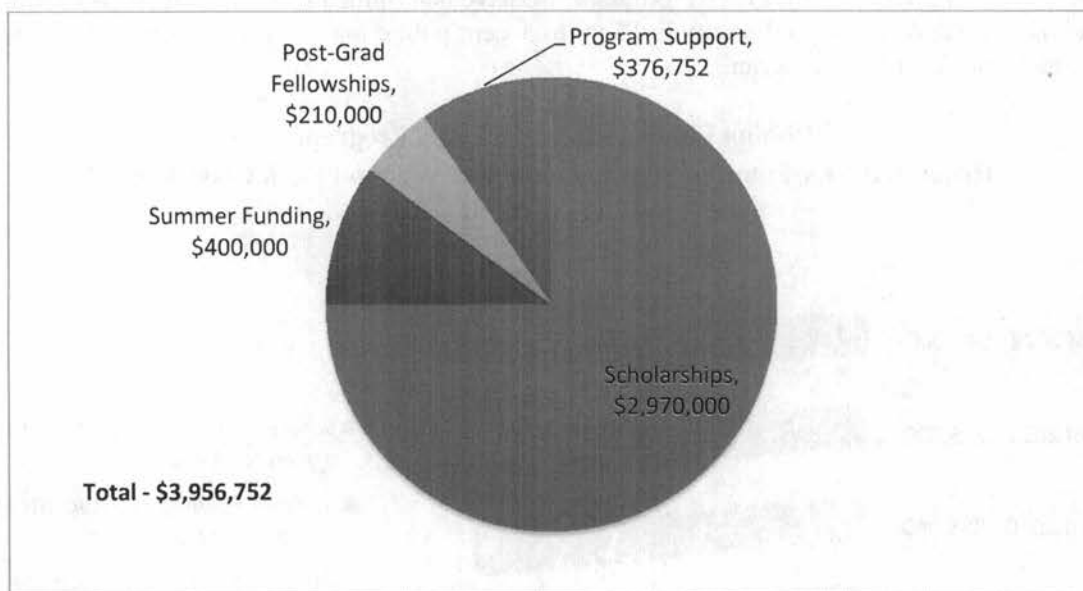
Robina Public Interest Scholars Program
Requested New Funding Showing Amounts Spent on Each Class Year
Over Three Years (in two charts)



Scholarships – 18 students awarded at \$15,000 a year,	Summer Funding - 20 students awarded at \$5,000	Post-Graduate Fellowships - 2 students awarded	Conference Funding -
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	for 3 years	a year	at \$35,000 a year	\$5,000 a year
Class of 2018 - 70,000	0	0	70,000	0
Class of 2019 - 985,000	810,000	100,000	70,000	5,000
Class of 2020 - 985,000	810,000	100,000	70,000	5,000
Class of 2021 - 915,000	810,000	100,000	0	5,000
Class of 2022 - 640,000	540,000 (funding for 2 years)	100,000	0	0

Robina Public Interest Scholars – Breakdown by Funding Category

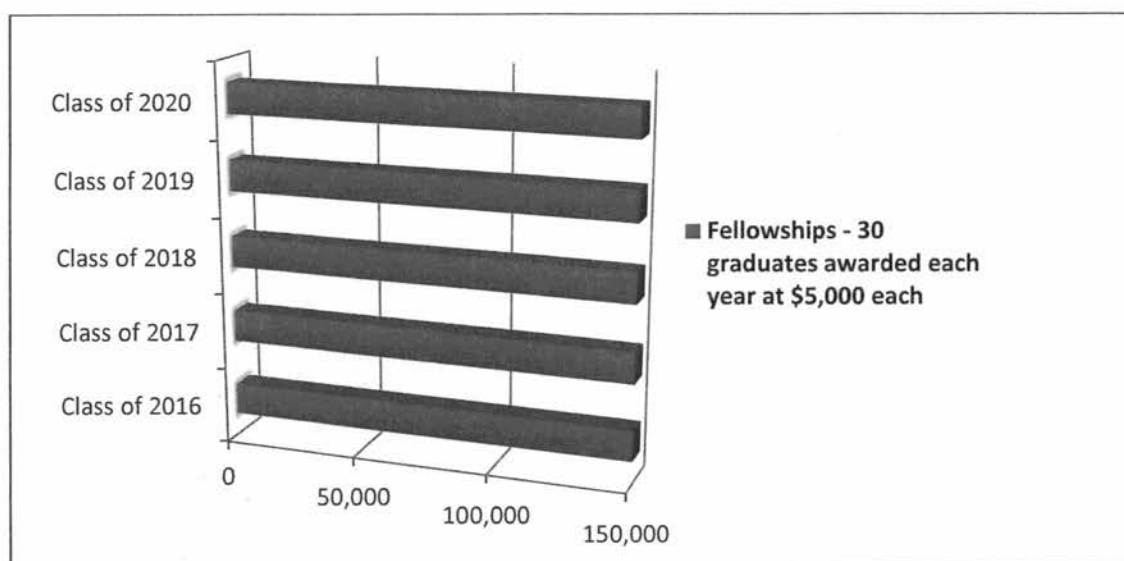


Bridge Fellowship Program

We also seek \$750,000 to extend the Bridge Fellowship Program, so that we can continue to offer recent graduates \$5,000 for 400 hours of unpaid work at a government agency or nonprofit organization.

The proposed grant would fund the Classes of 2016, 2017, 2018, 2019, and 2020. Our Career Center would continue to work with individual students and employers to find strong placements for our fellows. Fellowships would begin in early fall, after the bar exam, and continue throughout the fall. We would require regular check-ins with the Law School's Career Center to provide support for the graduate's job search.

Bridge Fellowship Program Requested New Funding by Class Year



	Fellowships – 30 graduates awarded e year at \$5,000 each
Class of 2016	150,000
Class of 2017	150,000
Class of 2018	150,000
Class of 2019	150,000
Class of 2020	150,000

The Robina Foundation's philanthropy has allowed the Law School to support students who are passionate about public interest work as they pursue public interest careers. The last three years has greatly increased the number of our graduates entering public service and has given the Law School a national reputation as a strong supporter of public interest careers. Extending both programs for five years would allow us to support even more outstanding and dedicated graduates in public service work and provide our local and national public interest community with passionate, long-term leaders.

Appendices

Appendix A –Proposed Budget – Robina Public Interest Scholars Program – Extended
Appendix B - Proposed Budget – Bridge Fellowship Program – Extended

Appendix A: Proposed Budget – Robina Public Interest Scholars Program – Extended

	Year 1 FY 2017	Year 2 FY 2018	Year 3 FY 2019	Year 4 FY 2020	Year 5 FY 2021	TOTAL
<u>Public Interest Scholarships</u>	270,000	540,000	810,000	810,000	540,000	2,970,000
Class of 2018 (12@ \$10,000 for 3 years)	in current	in current				
Class of 2019 (18@\$15,000 for 3 years)	270,000	270,000	270,000			
Class of 2020 (18@\$15,000 for 3 years)		270,000	270,000	270,000		
Class of 2021 (18@\$15,000 for 3 years)			270,000	270,000	270,000	
Class of 2022 (18@\$15,000 for 2 years)				270,000	270,000	
<u>Summer Funding</u>	0	100,000	100,000	100,000	100,000	400,000
Rising 2L & 3L (20 @ \$5,000)	in current	100,000	100,000	100,000	100,000	
<u>Post-Graduate Public Interest Fellowships</u>	0	0	70,000	70,000	70,000	210,000
(\$35,000/graduate, 2 graduates May 2018)			70,000			
(\$35,000/graduate, 2 graduates May 2019)				70,000		
(\$35,000/graduate, 2 graduates May 2020)					70,000	
<u>Program Support</u>	0	86,688	94,188	96,688	99,188	376,752
Program Coordinator 100% full time	in current	86,688	89,188	91,688	94,188	
Conference funding and other networking activities	in current	in current	5,000	5,000	5,000	
TOTALS	270,000	726,688	1,074,188	1,076,688	809,188	3,956,752

[illegible]

COUNCIL *on* FOREIGN RELATIONS

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

HUMANITY ^{IN} ACTION

November 3, 2015

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

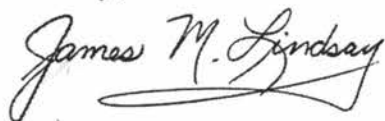
Dear Penny:

We are pleased to submit the progress report detailing the activities that the Council on Foreign Relations (CFR) conducted with Humanity in Action as part of the Expanded Diversity Initiative in Foreign Policy and its additional activities. The report covers the period November 1, 2014, through October 31, 2015. CFR is submitting a separate report detailing the activities it conducted as part of the Expanded Diversity Initiative separately from Humanity in Action.

During the last twelve months of the project, CFR has continued its collaboration with Humanity in Action, hosted a workshop for all U.S. participants in the 2015 summer fellowship program, supported the participation of fifteen minority students in the annual Humanity in Action Fellowship program, and supported the participation of twenty four graduate students in the Diplomacy and Diversity Fellowship. Humanity in Action operated the successful 2015 fellowship program and altered Diplomacy and Diversity Fellowship. For both of these programs, Humanity in Action kept the 2015 fellows involved in foreign affairs issues after the programs were complete.

We are grateful for the Robina Foundation's generous support for the Expanded Diversity Initiative in Foreign Policy. The overall Expanded Diversity Initiative in Foreign Policy is accomplishing its long-term goal of increasing the number of minority students choosing foreign policy careers. Please contact us if you have any questions or if you need additional information about this project report.

Sincerely,



James M. Lindsay
Senior Vice President, Director of Studies,
and Maurice R. Greenberg Chair,
Council on Foreign Relations
tel 202.509.8405 fax 212.434.9880
jlindsay@cfr.org



Judith Goldstein
Founder and Executive Director,
Humanity in Action
tel 212.410.4969
j.goldstein@humanityinaction.org

Expanded Diversity Initiative in Foreign Policy: CFR–Humanity in Action Activities

Annual Progress Report to the Robina Foundation

Project Director: **James M. Lindsay**, *Senior Vice President, Director of Studies, and Maurice R. Greenberg Chair*

Reporting Period: November 1, 2014–October 31, 2015

Report Due: November 3, 2015

Executive Summary

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

The Expanded Diversity Initiative consists of four complementary activities: (1) supporting the work of Humanity in Action, which includes funding minority participation in Humanity in Action's summer programs, holding a workshop for all American Humanity in Action participants, and launching a new fellowship for graduate students on Diplomacy and Diversity; (2) expanding CFR's longstanding Franklin Williams Internship program to include additional minority students; (3) sponsoring an annual conference in partnership with the International Career Advancement Program (ICAP) and the Global Access Pipeline (GAP) to inform minority students and young professionals about foreign policy career possibilities; and (4) sending CFR staff to career fairs at colleges and universities with significant minority student populations.

This report reviews those aspects of the Expanded Diversity Initiative related to Humanity in Action. The other activities in the Expanded Diversity Initiative are reviewed in a separate report.

CFR's efforts to increase the number of minority students choosing foreign policy careers will by definition yield demonstrable results only over a period of years. During its third year in operation, the Expanded Diversity Initiative is accomplishing its goal of exposing more minority students to foreign affairs in the hopes that they will eventually choose to make it a career. CFR successfully executed all four sets of proposed activities, including broadening the diversity of students participating in Humanity in Action's flagship fellowship for undergraduates and

working with Humanity in Action to continue to develop the Diplomacy and Diversity Fellowship.

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

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

Established in March 2012, the initial Expanded Diversity Initiative includes collaboration with Humanity in Action to bring more minority students into Humanity in Action's acclaimed fellowships and provide a foreign policy workshop for all American program participants. Begun in September 2014, the additional activities of the Expanded Diversity Initiative included further collaboration with Humanity in Action to launch a program on Diplomacy and Diversity, designed to sustain minority graduate students of international affairs in pursuing foreign policy careers.

These forward-looking and practical activities build on CFR's extensive, longstanding, and ongoing efforts to promote diversity, leveraging CFR's demonstrated strengths in the foreign policy arena, and mobilizing the complementary skills and networks of outside organizations rather than building redundant infrastructure at CFR. The three organizations CFR chose to work with to carry out the Expanded Diversity Initiative, including Humanity in Action, all have considerable expertise on diversity issues. Humanity in Action 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.

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

In the third year of the Expanded Diversity Initiative, CFR and Humanity in Action built on the success of the existing components. As part of its collaboration with Humanity in Action, CFR held a workshop for all American participants in the Humanity in Action Fellowship, and supported the participation of fifteen minority students in the fellowship program. CFR also funded all the participants in the 2015 Diplomacy and Diversity program operated by Humanity in Action. Humanity in Action operated five successful fellowship programs in five different European cities, operated the altered Diplomacy and Diversity Fellowship in Washington, DC, Paris, and Berlin, conducted outreach efforts to attract applicants for both of these programs, and kept the fellows involved in foreign affairs issues after the program's completion.

CFR-Humanity in Action Workshop. The forty American students in the 2015 Humanity in Action Fellowship all participated in a daylong workshop held at CFR's Washington, DC, offices. (Appendix A contains the workshop agenda and the bios of the panelists.) On May 26, 2015, CFR hosted the Humanity in Action participants for panels and discussions with foreign policy experts, government officials, and members of CFR on topics such as European security and politics, European economic challenges, and Europe and the "European orbit." The workshop also gave Humanity in Action participants the opportunity to ask three mid-career foreign policy professionals about their career choices. The day ended with a dinner and networking reception, to which local Humanity in Action alumni were invited. Meghan Stewart, Vice President for the Public International Law & Policy group, addressed the group.

On May 27, 2015, Humanity in Action fellows also visited the United States Holocaust Memorial Museum for a viewing of its special exhibit on the role of bystanders entitled "Some Were Neighbors" and a private viewing of the permanent exhibit. On May 28, 2015, Humanity in Action staff concluded the orientation discussion about the European programs, expectations for participants, and engagement with Humanity in Action after the program.

Minority Participation in the 2015 Human in Action Fellowship. The Robina Foundation's generous support for CFR's Expanded Diversity Initiative made it possible for fifteen minority students to participate in Humanity in Action's 2015 fellowship programs. Humanity in Action selected a total of forty students from American universities for the 2015 programs. (Appendix B provides the biographies for the fifteen minority students.) The 2015 applicant pool was the most competitive with a six percent acceptance rate. In 2015, Humanity in Action received applications from 253 universities. Over fifty percent of applicants identified as African American, Latino, and/or Asian/Pacific Islander. Humanity in Action received fifteen applications from individuals identifying as American Indian or Alaskan natives.

Thanks to generous funding of the Robina Foundation, the fifteen aforementioned minority students participated in 2015 Humanity in Action Fellowship. All come from diverse socioeconomic backgrounds, thrive academically, and are committed to civic engagement. The selected participants spent four weeks in one of five European cities—Amsterdam, Berlin, Copenhagen, Paris, or Warsaw—working with European students exploring ways to promote racial, ethnic, and religious tolerance in diverse societies. Each program was highly interdisciplinary, featuring daily lectures and discussions with renowned academics, journalists, politicians, and activists, as well as site visits to government agencies, nonprofit and community organizations, museums, and memorials. (Appendix C provides complete schedules from the five 2015 Humanity in Action Fellowship programs.)

All Humanity in Action fellows are obligated to plan and implement an Action Project, a hands-on initiative inspired by their fellowship experience. Action Projects give fellows the opportunity to take what they learned during their Humanity in Action Fellowship and use that knowledge to address real-life issues in their own communities. The projects reflect each fellow's unique experience and interests. Action Projects may take many different forms, including community service, public advocacy, art projects, lectures, conferences, and social entrepreneurship.

The 2015 Humanity in Action Fellowship concluded with the annual International Conference where all of the fellows from each program come together with Humanity in Action senior fellows, staff, board members, distinguished speakers, and guests come together for a three day intensive exploration of historical and contemporary human right and minority rights issues within the context of the city where the conference is held. Through seminars, workshops, and site visits, the International Conference offers participants a collective, intergenerational educational experience that meaningful bonds and strengthens Humanity in Action growing community.

The Sixth Annual Humanity in Action International Conference was held in The Hague, The Netherlands, from June 25, 2015 to June 28, 2015. The International Conference, titled "Gateway to Justice: The Hague," investigated the city's unique role in shaping international values and institutions. The Hague has become the epicenter of engagement in international issues, especially in regard to peace, justice, and reconciliation. Over four days, the International Conference explored how The Hague's approach to international justice and peace impacts national debates on human rights issues in the Netherlands and throughout the Western world. The conference addressed how institutions in The Hague, including the International Criminal Courts, International Criminal Tribunal for the former Yugoslavia, and International Court of Justice, impact some of the most important historical and contemporary international disputes and violations of the rule of law.

The conference also featured skill building workshops, site visits, and networking events for Humanity in Action's international community. The conference featured keynotes, workshops, and discussions led by scholars, public servants, activists, and Humanity in Action senior fellows.

Applications for the Humanity in Action Fellowship were due on January 8, 2015. In the fall, the Humanity in Action began their annual outreach initiative, supported by the Robina Foundation through the Council on Foreign Relations. It distributed the Call for Applications through several methods, including mass email correspondence, personal correspondence, in-person meetings, phone calls, and social media campaigns on Facebook and Twitter. In recent years, Humanity in Action expanded its comprehensive list of colleges and universities with diverse student populations. It also identified key campus fellowship offices, student groups, and academic departments that attract minority students at these institutions.

Humanity in Action sent the program announcement and the Call for Applications through multiple email campaigns to the following sets of contacts: 518 American Humanity in Action fellows and senior fellows; 65 American Humanity in Action board members; 25 staff members; 1,014 students who asked to be notified when the application was released; and 2,687 university administrators and faculty members.

Humanity in Action also continued its close work with partner organizations that provide higher educational opportunities for minority students, including the Posse Foundation, the Udall Foundation, and Prep 4 Prep.

The application process for Humanity in Action fellows is highly competitive, and they are selected on a highly competitive basis for their high academic standing, active participation in human rights issues, and outstanding recommendations from academics and other professionals known to the applicants. Each applicant must submit: a personal statement, indicating their motivation for applying to the Humanity in Action Fellowship; a response essay, in which the applicant must read and analyze several articles chosen by Humanity in Action staff and Board members, two letters of recommendation, with at least one written by a university professor, a transcript, and a resume or CV.

Diplomacy and Diversity Fellowship. The Robina Foundation's generous support for CFR's Expanded Diversity Initiative made it possible for Humanity in Action to continue the Diplomacy and Diversity Fellowship for the second year in 2015. Following an extensive application review process, seventeen graduate students attending U.S. universities and seven graduate students attending European universities were selected to participate in the program. (See Appendix D for the 2015 Diplomacy and Diversity Fellowship Bluebook, which contains the biographies of the fellowship participants and the full Diplomacy and Diversity program schedule.) Among the students selected, ten graduate students were from underrepresented American backgrounds, seven graduate students from other ethnic backgrounds attending U.S. universities, and seven graduate students or recent graduates from European countries in which Humanity in Action has programs. With 421 applications globally, the acceptance rate for the 2015 Diplomacy and Diversity Fellowship was six percent. American applicants comprised fifty five percent of the applicant pool, while European applicants comprised forty five percent. (See Appendix E for 2015 applicant demographics.)

The American students represented fifteen universities: Princeton University, American University, Temple University, King's College – London, University of Denver, Eastern Mennonite University, New York University, North Dakota State University, University of Texas – Austin, University of Michigan, University of Connecticut, Harvard University, Oxford University, University of Arizona, and City College – City University of New York. The seven

Europeans represented seven universities: Kyiv-Mohyla Academy, Free University of Berlin, King's College – London, Sciences Po Paris, University of Amsterdam, Ankara University, and Johns Hopkins University. The 2015 cohort of fellows included twelve men and twelve women.

Outreach for Diplomacy and Diversity Fellowship. Humanity in Action staff began the organization's annual outreach initiative to disseminate information about the Diplomacy and Diversity Fellowship as well as the Call for Applications. The 2015 outreach cycle resembled that of 2014, targeting American and European institutions of higher education, professional and student organizations, international and foreign policy organizations, and numerous contacts at other relevant institutions and organizations. Humanity in Action was greatly assisted in their outreach initiative by alumni of the Humanity in Action programs.

Humanity in Action identified a number of target institutions for the 2015 Diplomacy and Diversity Fellowship contacted each institution through campus visits, personal telephone calls and/or targeted email correspondence. It sent the program announcement and Call for Applications through multiple email campaigns to the following sets of contacts: 635 university administrators and faculty members in the United States; 212 student leaders in US graduate student affinity groups, such as the Student of Color Alliance at Georgetown University; 93 graduate students who asked to be notified when the application was released; 814 university administrators and faculty members in Europe; 1,294 Humanity in Action fellows, senior fellows and staff members; 349 friends of Humanity in Action, mainly in the United States; and 74 members of Humanity in Action's international Boards.

Applications for Diplomacy and Diversity Fellowship. The application for the 2015 Diplomacy and Diversity program included the following components: CV/Resume; Response to the 2014 program schedule; Idea for a research article on an issue relating to foreign affairs, democracy, diversity and pluralism; Response essay; Personal statement; Research interests; and Letter of recommendation.

Appendix F contains questions for the 2015 Diplomacy and Diversity application.

Program Development for Diplomacy and Diversity Fellowship. The largest programmatic change to the Diplomacy and Diversity program in 2015 was the extension of the program to Berlin. Humanity in Action thought that expanding the program to Berlin would allow the participants to explore the increasing importance of Germany in international relations. Fellows would be able to meet with government officials and experts to learn about Germany's national interests and diplomatic strategy in addressing issues such as territorial conflicts in Ukraine and the ongoing Eurozone crisis. The program would also analyze the legacy of the Second World War and how Germany's history continues to shape its foreign policy.

Fellows were given mandatory and optional readings to review four weeks ahead of the Diplomacy and Diversity Program. Readings included both academic and journalistic pieces on the following topics, among others: new and non-traditional actors in foreign affairs; the European Union's role in diplomacy; transatlantic relations; diversity, integration and discrimination; security and conflict; new technologies and innovation; corporate diplomacy; lesbian, gay, bisexual and transgender (LGBT) global rights; migration; philanthropy; human rights; and specific countries and regions, including Rwanda, Ukraine, Iran, and Qatar. Because the selected fellows represented such a broad range of fields of expertise, ranging from history to business, Humanity in Action it considered crucial to provide them with introductory material to the major subjects to be explored on the program. For example, some fellows came from public health backgrounds and lacked background knowledge on European Union institutions. The fellows also shared their own additions to the reading list through a group email list created by Humanity in Action staff.

In addition, Humanity in Action staff organized a “virtual book club” in which fellows read and commented on the following books: *Fire and Ashes: Success and Failure in Politics* by Michael Ignatieff, *Uncouth Nation: Why Europe Dislikes America* by Andrei Markovits, *The Plot Against America* by Philip Roth, *Two Trees in Jerusalem* by Cornelia Schmalz-Jacobsen, *Humanitarian Reason: A Moral History of the Present* by Didier Fassin, and *Americanah* by Chimamanda Ngozi Adichie. To help familiarize themselves with Washington, Berlin, and Paris, Humanity in Action also distributed Practical Guides for each city with useful addresses, maps, and suggestions for restaurants and social and cultural events.

The 2015 Diplomacy and Diversity Fellowship took place from May 29, 2015 to June 28, 2015. The program’s schedule included sixty nine speakers and workshop facilitators in various locations throughout Washington, DC, Berlin, Paris, and The Hague. Program sessions ranged in format: lectures, seminars, extended question-and-answer discussions, group discussions, workshops, tours, and site visits. (Please see Appendix C for the complete list of Diplomacy and Diversity programming activities.)

Some of the outstanding speakers from the summer program included the following:

- *Vishakha Desai*, president emerita of the Asia Society, on cultural diplomacy;
- *Ambassador Barbara Bodine*, on the importance of diversity in the U.S. Foreign Service;
- *Karen Donfried*, president of the German Marshall Fund, on German-American relations;
- *Carl Gershman*, president of the National Endowment for Democracy, on democracy promotion in foreign policy;
- *Congressman Mike Honda* on congressional politics and foreign affairs;
- *Ambassador Wolfgang Ischinger* on German-Russian relations and the crisis in Ukraine; and
- *Ambassador Klaus Scharioth* on EU-Greek relations and the eurozone crisis.

The Washington, DC, program took place mainly at the Council on Foreign Relations and the School of Advanced International Studies Center for Transatlantic Affairs at Johns Hopkins University. CFR organized its own sessions in consultation with Humanity in Action. Johns Hopkins University hosted a large number of sessions but did not contribute programmatically.

In Washington, DC, the fellows also met at the Wilson Center, the National Endowment for Democracy, National Museum of the American Indian, the U.S. Holocaust Memorial Museum, the United States Congress, and the Sixth & I Historic Synagogue. In Berlin, the group met at a nonprofit conference venue as well as the Berlin Wall Memorial, the German Bundestag, the Embassy of the United States, and the German Archaeological Center. In Paris, the group met at a public conference venue as well as the Cité Nationale de l’Histoire de l’Immigration, the Grande Mosquée de Paris, the Institut du Monde Arabe, and the Mémorial de la Shoah. In The Hague, the participants attended the Sixth Annual Humanity in Action International Conference, which took place at Leiden University College.

The session styles ranged in format and included lecture, seminar, extended Q&A discussions, group discussions, workshops, tours, and site visits. The vast majority of sessions were content-oriented, focusing on one or more policy issues. Other session types included career advice-giving and skills workshops. Approximately one-third of the sessions included moderators or discussants.

Each participant in the Diplomacy and Diversity Fellowship is obliged to write a research article about an issue of his or her choice that pertains to international affairs and diplomacy. This is a major component of the program. The program’s sessions serve as the basis or point-of-departure for the articles. Humanity in Action has instructed the fellows to use a mix of literature review

research and interviews with experts and foreign policy practitioners as the basis of their writing. The articles must be new works, although they may correspond to the fellows' ongoing graduate research. Humanity in Action plans to publish the articles in a web compilation and possibly, depending on finances, in a printed format.

The fellows are now engaged in a peer-review process, providing feedback to one another while they develop, research, and write their articles. Humanity in Action is in the process of pairing each fellow with an external reviewer (a qualified expert from Humanity in Action's community) who will provide critical feedback. Humanity in Action staff will also share feedback and instructions for revisions. Humanity in Action expects that the articles will be ready for publication in spring 2016.

Continued involvement of participants in the CFR-Humanity in Action programs in foreign affairs. To encourage the 2015 participants to stay engaged in foreign affairs issues after their participation in the fellowship, Humanity in Action provides professional and educational opportunities for its senior fellows, allowing them to gain experience in policy-making, advocacy, and international relations.

For example, the Lantos-Humanity in Action Congressional Fellowship offers senior fellows the opportunity to work on substantial policy-based work in a congressional office and the Pat Cox-Humanity in Action Fellowship provides similar experiences in the office of a member of European parliament.

These opportunities are popular with the recent classes of Humanity in Action fellows, and Humanity in Action expects a number of minority program alumni from 2013 and 2014 to apply for these programs. Fellows are offered modest stipends to ensure that any applicant can participate.

Each fall, Humanity in Action hosts its annual New York Conference for alumni of its programs. Recent featured speakers include Brian Stout, senior policy analyst at USAID; Saskia Bruysten, the cofounder and chief executive officer of Yunus Social Business; Simone Kukenheim, Deputy Mayor of Amsterdam; and New York State Senator Gustavo Rivera. The 2015 New York Conference took place at The New School on October 17, 2015.

The Council on Foreign Relations invited all Robina sponsored 2014 American Humanity in Action participants to attend the 2015 Conference on Diversity in International Affairs, hosted at CFR on April 10 and 11, 2015. Interested students received travel stipends. At the event, these students received professional career counselling and mentoring by mid-career professionals, and attended skills-based breakout sessions focused on writing for foreign policy and finding a job in the field. In addition, CFR arranged for all of the 2015 Humanity in Action Fellowship participants to receive a year-long subscription to *Foreign Affairs*.

Through the Diplomacy and Diversity Fellowship in particular, participants gain access to both a small and a large network. The small network is the cohort of twenty-four fellows. This group shares great experience: they have experienced the same intense program where they encountered the same questions and challenging subjects. They know one another both intellectually and personally. There is a great deal of trust in a network of this small size and intensity. The intensity of the program—both intellectually and socially—leads to strong social bonds. Not unlike the Humanity in Action Fellowship, the Diplomacy and Diversity Fellowship is an “intellectual boot camp.”

The large network is the broader Humanity in Action community of 1,500 senior fellows—alumni of our programs. Members of this network share many of the similar experiences and the

Humanity in Action pedagogical approach. Even though they experienced different programs, the senior fellows a set of core convictions to human rights, diversity, and active citizenship.

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

The activities that CFR and Humanity in Action pursued as part of the Expanded Diversity Initiative achieved all of their program goals in year three. CFR enabled fifteen minority students to participate in the 2015 Humanity in Action Fellowship, seventeen graduate students to participate in the 2015 Diversity and Diplomacy Fellowship, and held workshops in Washington, DC, for both programs that enriched the fellowship experience of all participants. CFR is pleased that its Expanded Diversity Initiative has attracted such great interest and served to catalyze the efforts of other groups.

Consistent with other Humanity in Action programs, the fellows were eager to engage in the sessions. There was rarely enough time for the number of questions the group wanted to ask and, following each session, speakers were typically mobbed with additional questions. One change Humanity in Action is tentatively considering for future editions of the program would be to reduce the overall number of sessions to allow for more time with each speaker and facilitator.

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

All funds CFR spent as part of the Expanded Diversity Initiative are reviewed in the companion report. Humanity in Action overspent on activities by \$10,504 for both programs. This variance is a result of Humanity in Action overspending primarily on insurance, travel, room rentals in Europe, and outreach.

Humanity in Action overspent on programmatic and recruitment costs for the Humanity in Action Fellowship by a total of \$1,331. This variance is the result of a slight overspending on travel for participant travel to Washington, DC, for the workshop at the end of May. Humanity in Action had a small savings of \$306 on their program assessment.

The bulk of the variance was caused by the catering and room rental for the Paris and Berlin components in the Diplomacy and Diversity program. There were higher costs than anticipated for both, causing Humanity in Action to overspend by \$7,779. Additionally there were higher than anticipated costs for European participant air travel, with a overspending by \$2,431, as well as higher costs for staff member travel to Washington, DC, by \$1,625. Finally, there were higher anticipated outreach costs for the Diplomacy and Diversity program, to the sum of \$4,750. Humanity in Action overspent on administrative costs by \$6,102, largely due to the higher insurance, audit, and Paris administration costs.

Humanity in Action had better than expected air costs for outreach for the Diplomacy and Diversity program, underspending by \$3,683, and also received favorable hotel and meal costs for the European participants during the Paris program, saving \$4,194. Humanity in Action staff had favorable hotel and meal costs in Paris and Berlin, to a variance of \$2,278. The Diplomacy and Diversity program also were able to contract lower costs for catering in Washington, DC, by \$2703.

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

For a discussion of the broader work CFR has done on diversity issues, please see the report CFR submitted on the Expanded Diversity Initiative activities it conducted separately from its work with Humanity in Action.

Humanity in Action focuses primarily on issues of diversity and pluralism. It carries out this work through its annual Humanity in Action Fellowship program, which engages 115 international students, who are undergraduates or recent college graduates. The programs take place in five European countries during the month of June. In addition to the formative experience of joining Humanity in Action, fellows can participate in the Lantos-Humanity in Action program in the U.S. Congress, as well as the Pat Cox-Humanity in Action program at the European Parliament. These two fellowship programs last for four months each year. While the two programs focus on a combination of international and national issues, exploring diversity issues is key. Finally, Humanity in Action hosts an annual international conference and New York conference each year. Pluralistic issues are always essential to these programs.

Humanity in Action has received major grants from the Germeshausen Foundation, the Lantos Foundation for Human Rights and Justice, the Hurford Foundation, the Foundation Remembrance, Responsibility and Future (EVZ), the Foreign Ministry of Poland, the Foreign Ministry of Germany, the Dobkin Family Foundation, and the Fetzer Institute.

APPROVED BUDGET vs. ACTUALS
CFR's Expanded Diversity Initiative in Foreign Policy
Humanity in Action

Diversity and Diplomacy Graduate Program: 2014/2015

	Approved Budget	Actuals	Remaining Budget/Variances Favorable/(Unfavorable)
Partnership with Humanity in Action			
Program on Diversity and Diplomacy			
<i>Summer Program Workshop</i>			
a. Student participation in summer program (program stipend)	34,850	34,978	(128)
b. Travel for 17 American student participants to Washington, DC program (air, hotel, meals, transport)	58,553	59,374	(821)
c. Travel for 7 European student participants to Washington, DC program (air, hotel, meals, transport)	28,449	30,880	(2,431)
d. Travel for 17 American student participants to Paris program (air, hotel, meals, transport)	89,903	89,249	654
e. Travel for 7 European student participants to Paris program (air, hotel, meals, transport)	29,274	25,080	4,194
f. HIA staff travel to Washington, DC (air, hotel, meals, transport)	12,500	14,125	(1,625)
g. HIA staff travel to Paris program (air, hotel, meals, transport)	25,635	23,357	2,278
h. Catering, rental for Washington, DC, program	9,953	7,250	2,703
i. Catering, rental for Paris program	11,993	19,772	(7,779)
j. Miscellaneous cost (museum fees, additional taxis)	6,560	5,634	926
k. HIA program costs (supplies, print material, and books)	10,126	9,539	587
Total	317,796	319,238	(1,442)
<i>Outreach and Planning</i>			
l. Minority student outreach trips (10)	5,638	4,580	1,058
m. HIA staff outreach and planning trips - domestic (air, hotel, meals, transport)	8,827	7,633	1,194
n. HIA staff outreach and planning trips - international (air, hotel, meals, transport)	9,881	8,450	1,431
o. Recruitment in Europe	51,250	56,000	(4,750)
Total	75,596	76,663	(1,067)
<i>Program Management and Administration: Salaries, Benefits, Stipends, Administration</i>			
p. HIA administrative costs (salaries, stipends)	181,938	182,500	(562)
q. HIA administrative costs (insurance, legal, rent)	55,449	61,551	(6,102)
Total	237,387	244,051	(6,664)
TOTAL PARTNERSHIP WITH HUMANITY IN ACTION	630,779	639,952	(9,173)

Fellowship Program: 2014/2015

Description	Approved Budget	Actuals	Remaining Budget/Variances Favorable/(Unfavorable)
Summer Program:			
# of Minority Students Supported by Grant	15	15	-
Financial Support Agreed Upon	127,345	127,345	-
Outreach related HIA staff travel costs	11,249	11,786	(537)
Program Assessment	5,306	5,000	306
Administrative cost allocation	58,366	58,366	-
Two Day Workshop:			
Travel, Meals, Catering, etc.	45,612	46,712	(1,100)
Total Yr. 4 Grant	247,878	249,209	(1,331)

AGENDA

Europe's Challenges and Opportunities

Tuesday, May 26, 2015

Council on Foreign Relations, Washington, DC

8:30 – 9:00 a.m. Breakfast Reception

9:00 – 9:05 a.m. Welcoming Remarks

James M. Lindsay, *Senior Vice President, Director of Studies, and Maurice R. Greenberg Chair, Council on Foreign Relations*

9:05 – 10:00 a.m. Session One: European Security and Politics

Spencer Boyer, *National Intelligence Officer for Europe, National Intelligence Council*

Presider: **James M. Lindsay**, *Senior Vice President, Director of Studies, and Maurice R. Greenberg Chair, Council on Foreign Relations*

10:00 – 10:15 a.m. Break

10:15 – 11:15 a.m. Session Two: Human Rights/Foreign Policy

Sarah Holewinski, *Deputy Chief of Staff, United States Mission to the United Nations*

Brendan Tuohey, *Cofounder and Executive Director, Peaceplayers International*

Presider: **Curtis Valentine**, *Executive Director for State Relations, Connections Education*

11:15 a.m. – 12:15 p.m. Session Three: The Peoples of Europe/Multiculturalism

James Kariuki, *Counsellor and Head of Politics, Economics and Communication Group, Embassy of the United Kingdom*

Dominik Mutter, *Minister Counselor for Political Affairs, Embassy of the Federal Republic of Germany*

Presider: **Thomas Bowman**, *Associate Director, Washington Program, Council on Foreign Relations*

12:15 – 1:00 p.m. Lunch Buffet

1:00 – 1:50 p.m. Session Four: Keynote Discussion

Steve Sestanovich, *George F. Kennan Senior Fellow for Russian and Eurasian Studies, Council on Foreign Relations*

Presider: **James M. Lindsay**, *Senior Vice President, Director of Studies, and Maurice R. Greenberg Chair, Council on Foreign Relations*

2:00 – 2:15 p.m. Break

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

John Campbell, *Ralph Bunche Senior Fellow for Africa Policy Studies, Council on Foreign Relations*

Anya Schmemmann, *Assistant Dean of Communications and Outreach, American University's School of International Service*

Presider: **Rebecca Patterson**, *Associate Professor and Assistant Dean of Curriculum and Faculty Development, National Defense University*

3:15 – 3:30 p.m. Break

3:30 – 5:00 p.m. Session Six: *Foreign Policy Careers*

Noa Gimelli, *Director, Women's Economic Opportunity Initiative, Exxon Mobil Corporation*

Rob Knake, *Senior Fellow for Cyber Policy, Council on Foreign Relations*

Presider: **Thomas Bowman**, *Associate Director, Washington Program, Council on Foreign Relations*

5:00 – 6:00 p.m. Break

6:00 – 7:30 p.m. Dinner and Networking Reception with Informal Remarks

Meghan Stewart, *Vice President, Public International Law & Policy Group*

Presider: **James M. Lindsay**, *Senior Vice President, Director of Studies, and Maurice R. Greenberg Chair, Council on Foreign Relations*

Speaker and Presider Biographies

Thomas A. Bowman

Thomas Bowman is currently an associate director at the Council on Foreign Relations (CFR), one of the world's oldest and most distinguished foreign policy research organizations. Mr. Bowman is the main point of contact between CFR's Washington Program and executive branch officials and foreign diplomats. He manages CFR's Diplomatic program and Executive Branch initiative, arranging briefings for senior diplomats and executive branch officials and overseeing a range of other outreach activities to facilitate interactions between Council fellows and policymakers and making CFR publications and other resources available to these audiences. Mr. Bowman also regularly meets with foreign diplomats posted in Washington and speaks to outside groups interested in the role played by think tanks in shaping public policy.

Prior to that he served in the White House as an assistant staff secretary, where he was part of the team that managed all papers and documents going to and coming from the Oval Office. Mr. Bowman traveled with President George W. Bush to the 2006 G-8 Summit in St. Petersburg, Russia, the 61st United Nations General Assembly in New York, NY, and the 2007 APEC Summit in Sydney, Australia. From 2005-2006 Bowman worked as a legislative analyst for the Office of Management and Budget, where he oversaw the editing and transmission of statements of administration policy. He started his service for the Bush Administration as a congressional liaison with the Department of Health and Human Services.

Mr. Bowman currently sits on the International Career Advancement Program Alumni Association Board. He graduated with a BA in political science from Duke University in 2001 and studies U.S. presidential history in his spare time. Mr. Bowman lives in Washington, DC and Rehoboth Beach, Delaware.

Spencer Boyer

Spencer P. Boyer is the national intelligence officer for Europe in the National Intelligence Council (NIC), the center for long-range strategic thinking within the U.S. intelligence community. In this capacity, he serves as the senior European affairs analyst and principal subject matter expert on Europe for the Office of the Director of National Intelligence, and as a primary bridge between the intelligence and policy communities on European affairs. He is also an Adjunct Assistant Professor at the BMW Center for German and European Studies at the Edmund A. Walsh School of Foreign Service at Georgetown University.

Before joining the NIC in March 2014, Boyer was a visiting scholar and senior fellow at the Center for Transatlantic Relations at the Paul H. Nitze School of Advanced International Studies (SAIS) at Johns Hopkins University. During the first term of the Obama administration, he served as a deputy assistant secretary of state for European and Eurasian Affairs, where his areas of responsibility included Western Europe, public diplomacy, and public affairs.

Boyer began his professional career as an associate with the international law firm of Jones, Day, Reavis & Pogue. Subsequently, he worked in The Hague as a law clerk to the president of the International Criminal Tribunal for the former Yugoslavia, in Zurich as a staff attorney at the Claims Resolution Tribunal for Dormant Accounts in Switzerland, and in Paris as counsel at the International Court of Arbitration. He has also served as executive director and war powers initiative director at the Constitution Project, based at Georgetown University's Public Policy Institute, and as a security and peace initiative fellow and director of international law and diplomacy at the Center for American Progress (CAP). At CAP, his policy analysis focused on transatlantic relations, European affairs, and multilateral affairs.

Boyer has been a guest analyst with numerous international, national, and local news outlets, including CNN, BBC, MSNBC, FOX, ABC, and Voice of America, and is widely published on foreign affairs matters. He is co-editor of *Power and Superpower: Global Leadership and Exceptionalism in the 21st Century* (The Century Foundation Press, 2007). Among other professional distinctions, Boyer was a public policy scholar in the Global Europe Program of the Woodrow Wilson International Center for Scholars, and served on the Independent Task Force on U.S. Nuclear Weapons Policy at the Council on Foreign Relations (CFR). He has also been a Wasserstein Public Interest Fellow at Harvard Law School. He is admitted to the Bars of the District of Columbia, New York, and New Jersey, and is a member of CFR.

Boyer is a graduate of Wesleyan University and received his JD from New York University School of Law, where he specialized in public international law and the work of international organizations. While at NYU, he also obtained a master's degree in French studies, with a concentration in French politics, history, and economy.

John Campbell

John Campbell is the Ralph Bunche senior fellow for Africa policy studies at the Council on Foreign Relations (CFR) in New York. Rowman & Littlefield published his book, *Nigeria: Dancing on the Brink*. The second edition was published in June 2013. He writes the blog "*Africa in Transition*" and edits the Nigeria Security Tracker.

From 1975 to 2007, Ambassador Campbell served as a U.S. Department of State Foreign Service officer. He served twice in Nigeria, as political counselor from 1988 to 1990, and as ambassador from 2004 to 2007. Ambassador Campbell's additional overseas postings include Lyon, Paris, Geneva, and Pretoria. He also served as deputy assistant secretary for human resources, dean of the Foreign Service Institute's School of Language Studies, and director of the Office of UN Political Affairs.

From 2007 to 2008, he was a visiting professor of international relations at the University of Wisconsin-Madison. He was also a Department of State mid-career fellow at the Woodrow Wilson School, Princeton University. Prior to his career in the Foreign Service, he taught British and French history at Mary Baldwin College in Staunton, Virginia.

Ambassador Campbell received a BA and MA from the University of Virginia and a PhD in seventeenth century English history from the University of Wisconsin-Madison.

Noa Gimelli

Noa Gimelli is director of the Women's Economic Opportunity Initiative at ExxonMobil. She oversees a global portfolio of community investments that help women fulfill their economic potential and drive economic and social change. Most recently, Gimelli managed a research collaboration with the United Nations Foundation to create a roadmap to catalyze program and policy action for women's economic empowerment. She is currently spearheading the effort to integrate the learnings into the overall ExxonMobil portfolio, which over the past decade has benefited tens of thousands of women around the world.

Prior to her current role, Gimelli served as ExxonMobil's corporate citizenship manager. Her responsibilities included managing corporate-level engagement with socially responsible investors, academics, and NGOs on the oil and gas industry's social and environmental performance, and overseeing the production of the company's annual corporate citizenship report.

Previously, Gimelli worked and consulted for several leading U.S. and international think tanks including the Council on Foreign Relations where she lead a team to implement more than 100 annual meetings on a wide range foreign

policy topics, and Catalyst and the World Economic Forum where she did research on gender-related issues in the public and private sectors.

Gimelli holds an MA from the Harvard Kennedy School and a BA from Barnard College, and she is a term member at the Council on Foreign Relations.

Sarah Holewinski

Sarah Holewinski is USUN Ambassador Samantha Power's deputy chief of staff for policy. Prior, she was executive director of Center for Civilians in Conflict, and worked with militaries and policymakers on civilian protection in the U.S., NATO, African Union, Iraq, Somalia, Afghanistan, Nepal, and Libya. In that role, she was named in the top one hundred most influential people in armed violence reduction by Action on Armed Violence (AOAV). Holewinski was a member of the White House AIDS policy team and of West Wing Writers. She consulted for Human Rights Watch, and the Clinton Foundation in Rwanda. Holewinski holds degrees from Georgetown and Columbia. She is a senior fellow with Truman National Security Project and a member of the Council of Foreign Relations.

James Kariuki

James Kariuki has been Counsellor and Head of Politics, Economics and Communication Group since July 2012. This is his second tour in the United States, having served at the UK Mission to the UN in New York from 2002 to 2007. Between these postings Kariuki held a series of senior roles in London: head of policy planning for Foreign Secretary David Miliband (2007-08); deputy director in Gordon Brown's National Economic Council (2008-09); deputy director for Europe in the FCO (2010-11).

After graduating from Jesus College, Cambridge, in 1992, Kariuki began his career on Middle East affairs: first on the Iran desk and then on secondment to the UN weapons inspection team in Baghdad (UNSCOM). He was then posted to the British Embassy Caracas, where he became the first Western diplomat to engage Hugo Chavez as a presidential candidate. A spell in London from 1998-2002 covered mostly multilateral and economic issues: first as head of the G8 Summit team under Tony Blair; then as head of the FCO team focusing on EU economic policy.

Robert Knake

Rob Knake is a Senior Fellow for Cyber Policy at the Council on Foreign Relations. His work focuses on Internet Governance, public-private partnerships, and cyber conflict.

Knake served from 2011 to 2015 as Director for Cybersecurity Policy at the National Security Council. In this role, he was responsible for the development of presidential policy on cybersecurity, and built and managed federal processes for cyber incident response and vulnerability management. Federal Computer Week dubbed him the "White House's Cyber Wizard" for his work on Executive Order 13636 on Improving Critical Infrastructure Cybersecurity, which directed the creation of the National Institute of Standards & Technology Cybersecurity Framework. He worked to establish presidential policy that created the Cyber Threat Intelligence Integration Center and Information Sharing and Analysis Organizations.

Before joining government, Knake was an International Affairs Fellow-in-Residence at the Council on Foreign Relations where he completed the manuscript for *Cyber War: The Next Threat to National Security and What to Do About It* and authored the Council Special Report "Internet Governance in an Age of Cyberinsecurity". He has testified before Congress on the problem of attribution in cyberspace and written and lectured extensively on cybersecurity policy.

Knake is an adjunct lecturer at Georgetown University's McCourt School of Public Policy. He holds a master's in public policy from Harvard's Kennedy School of Government and undergraduate degrees in history and government from Connecticut College and is a term member of the Council on Foreign Relations.

James M. Lindsay

James M. Lindsay is senior vice president, director of studies, and Maurice R. Greenberg chair at CFR, where he oversees the work of the more than six dozen fellows in the David Rockefeller Studies Program. Before returning to CFR in 2009, 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. From 1987 until 1999, he was a professor of political science at the University of Iowa. From 1996 to 1997, Lindsay 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 U.S. Institute of Peace's congressionally mandated Task Force on the United Nations.

Lindsay's book with Ivo H. Daalder, *America Unbound: The Bush Revolution in Foreign Policy*, was awarded the 2003 Lionel Gelber Prize, named a finalist for the Arthur 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), which was named an Outstanding Academic Book of 2004 by *Choice* magazine; and *Congress and the Politics of U.S. Foreign Policy*. He has also contributed articles to the op-ed pages of many major newspapers, including the *New York Times*, the *Washington Post*, and the *Los Angeles Times*. He writes the blog, *the Water's Edge*, which discusses the politics of U.S. foreign policy and the domestic underpinnings of U.S. global power. 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 CFR.

Dominik Mutter

Dominik Mutter leads the German Embassy's division for U.S. domestic politics. Prior to coming to Washington, DC, in July 2013, he served for four years as the deputy head of the division for parliamentary and cabinet affairs at the German Foreign Office.

His previous postings with the Foreign Office include three years at the European Affairs Directorate (2001-2004); a posting to Cairo, Egypt (2005-2007); and two years at the Federal Chancellery, where he worked on Arabic, African, and Latin American issues as a member of Chancellor Merkel's foreign policy team (2007-2009).

Mutter first came to the United States as a foreign exchange student at a high school in the western part of New York State in 1988. He later spent a year at Georgetown University's School of Foreign Service (1996-97). Mutter holds a Master's Degree in Modern History, American Studies, and Political Science from Freiburg University, Germany. He is married and has three children.

Rebecca Patterson

Rebecca Patterson, PhD is an active-duty Army strategist who is currently an Associate Professor and Associate Dean of Curriculum and Faculty Development at the National Defense University (NDU). Prior to this assignment, she was a strategic advisor to the Commander, ISAF, Kabul, Afghanistan. From 2010 to 2011 she was a CFR International Affairs Fellow at the World Bank in the Independent Evaluation Group and at the Ewing Kauffman Foundation where she worked on the development of the field of Expeditionary Economics. Her previous military assignments include: Office of Business Transformation (2010), Office of Institutional Adaptation (2009), economic advisor to the 1st Armored Division while deployed to Iraq (2008), command of an Army engineer unit in Korea (2001-2003), platoon leader and executive officer at Fort Lewis, Washington where she supervised construction projects in Thailand (1997), Texas (1998) and New York (1999). Patterson's recently published book is titled *The Challenges of Nation-Building: Implementing Effective Innovation in the U.S. Army from World War II to the Iraq War* (Rowman & Littlefield, 2014). She is a term member of the Council on Foreign Relations and an Aspen Institute Scholar.

Anya Schmemmann

Anya Schmemmann is assistant dean of communications and outreach at American University's School of International Service (SIS). Schmemmann joined SIS after almost a decade at the Council on Foreign Relations in Washington, DC, where she was director of the Task Force Program, director of Editorial Strategy, and director of Communications and Marketing. Prior to CFR, Schmemmann managed communications at the Belfer Center for Science and International Affairs at Harvard's Kennedy School of Government, coordinated a research project on Russian security issues at the EastWest Institute in New York City, and was assistant director of CFR's Center for Preventive Action in New York City. She is a member of the Council on Foreign Relations and a nonresident senior fellow at the Center for the National Interest. She has written op-eds for the *National Interest*, the *Atlantic*, *US News & World Report*, *CNN GPS*, the *Huffington Post*, and elsewhere.

Stephen Sestanovich

Stephen Sestanovich is the George F. Kennan senior fellow for Russian and Eurasian studies at the Council on Foreign Relations and the Kathryn and Shelby Cullom Davis professor of international diplomacy at Columbia University's School of International and Public Affairs. He is the author of *Maximalist: America in the World from Truman to Obama*, published by Knopf in February 2014.

From 1997 to 2001, Sestanovich was the U.S. State Department's ambassador-at-large for the former Soviet Union. He has also served as vice president for Russian and Eurasian affairs at the Carnegie Endowment for International Peace, director of Soviet and East European studies at the Center for Strategic and International Studies, senior director for policy development at the National Security Council, a member of the State Department's policy planning staff, and legislative assistant to Senator Daniel Patrick Moynihan.

Ambassador Sestanovich received his BA *summa cum laude* from Cornell University and his PhD from Harvard University. He comments frequently on international issues for radio and television, and has written for *Foreign Affairs*, *New York Times*, *Washington Post*, *Wall Street Journal*, *Foreign Policy*, *American Interest*, *New Republic*, *Politico Magazine*, *National Interest*, and other publications. He is a member of the board of directors of the National Endowment for Democracy.

Meghan Stewart

Meghan Stewart is Vice President of the Public International Law & Policy Group (PILPG), a not for profit organization that provides pro bono legal assistance to states, government, and opposition movements on the negotiation of peace agreements, the drafting of transitional constitutions, and the prosecution of war criminals. Throughout her practice, Stewart has advised more than a dozen foreign clients on aspects of peace negotiations, constitutional reform, democratic reform, and transitional justice. Stewart also directs PILPG's Burma program. She previously directed PILPG's Water Diplomacy Practice Area and programs in numerous states, including Bosnia and Herzegovina, Sri Lanka, and Uganda. She also formerly served with the ABA CEELI in Almaty, Kazakhstan, and with the international humanitarian organization CARE.

Brendan Tuohey

Along with his brother, Sean, Brendan Tuohey founded PeacePlayers International in 2001. PeacePlayers International is a Washington, DC based global organization that uses sports to unite and educate young people in divided communities. Over the past thirteen years, the organization has worked with over 65,000 children in Northern Ireland, South Africa, Cyprus, New Orleans and the Middle East.

In February 2008, Tuohey and Sean received the Laureus Sport for Good Award, which recognizes individuals who make a contribution to society through sport, at the ninth annual Laureus World Sports Awards in St. Petersburg, Russia. In July 2007, two PPI - Northern Ireland leaders were awarded the prestigious Arthur Ashe Courage Award at the ESPYS.

Tuohey has also been recognized as one of "40 under 40 Top International Development Leaders in Washington, DC" by Devex in September 2010; a "Washingtonian of the Year" by *Washingtonian* magazine in December 2007; and one of the "The 100 Most Influential Sports Educators in America," by the Institute of International Sport in October 2007.

Tuohey is a 1996 graduate of Colgate University. He is an adjunct professor at Georgetown University's Graduate School of Sport Management. Tuohey was a 2010 Aspen Ideas Festival Scholar and is a term member at the Council on Foreign Relations.

Curtis Valentine

Curtis Valentine is currently Executive Director for State Relations with Connections Education, a virtual K-12 public school provider. Prior to joining Connections Education, he was a 2013-2014 International Affairs Fellow (IAF) with the Council on Foreign Relations (CFR). Valentine was the first IAF posted to the Education Department where he served in Secretary Arne Duncan's Office of International Affairs. As a fellow, Valentine promoted American economic competitiveness by examining the education reform efforts of four developed countries (Finland, Poland, Canada, and South Africa). In addition to his work on virtual learning and international education, Valentine is active in local education as an At-Large member of the Prince George's County Board of Education where he champions increased involvement of fathers in education and dramatic improvements to the recruitment and retention of male educators.

Valentine is a graduate of Morehouse College and Harvard University's John F. Kennedy School of Government. At Harvard Kennedy School's Commencement, Valentine received the highest student honor: the Robert F. Kennedy award for excellence in public service for his work in post-Katrina New Orleans. After graduating from Morehouse College, Valentine joined the Peace Corps and traveled to South Africa, and while living in Limpopo Province, he led a

professional development-training program for primary school educators. After two years, Valentine returned to Maryland and became an 8th grade language arts teacher. Valentine is a contributor to the Huffington Post, the Washington Post, The Atlantic, and the Council on Foreign Relation's Renewing America blog. A Term Member with CFR, Valentine is also an appointee to the Governor's Workforce Investment Board in Maryland.

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Jerrel Baker
Morehouse College

Originally from Detroit, Jerrel Baker now lives in Atlanta, GA where he is a graduating senior at Morehouse College majoring in political science, minoring in economics and French. A Thomas R. Pickering Foreign Affairs Fellow with the US Department of State, Jerrel is interested in post-conflict reconstruction with a concentration in economic and political development. He is particularly interested in improving telecommunications infrastructure in African developing countries. After conducting research on the digital divide as a public affairs intern at AT&T, Jerrel has sought ways to help connect marginalized groups to the internet. As a Community Development Coordinator, Jerrel has spearheaded a number of development projects concerning public housing, small business and public safety in Atlanta. He has traveled to Belize, Haiti and South Africa to gain international development experience. After completing his degree at Morehouse, Jerrel will pursue a joint masters degree in international affairs and public administration before joining the US Foreign Service.



Ashley Blackwell
University of Virginia

Ashley Blackwell is a senior at the University of Virginia studying urban and environmental planning. While attending the University of Virginia, Ashley has developed programs and initiatives to address gaps in the support structure for low-income college students. Her efforts have led to the development of a university mentorship network and a scholarship to support students seeking unpaid internship opportunities. She has also campaigned for the restoration of University of Virginia's full grant-aid financial aid policy. Ashley is an advocate for historically marginalized populations in Charlottesville, Virginia. Her engagement in the Charlottesville community focuses on addressing barriers to employment, advocating for affordable housing and identifying gaps in the continuum of care for people who are homeless. She has mentored at-risk youth and researched equitable and sustainable community redevelopment of low-income neighborhoods. Ashley's ultimate goal is to develop an innovative community model that holistically addresses the disenfranchisement of historically marginalized populations and provides pathways for residents to live a quality life above the poverty line.



Imani Franklin
Stanford University

Imani Franklin graduated from Stanford University in 2013 with a bachelors in international relations and a minor in Arabic. During college, Imani studied abroad in China, Jordan, and Chile, and taught social justice history in southern India. As the co-president of Stanford's Black Student Union, a member of the student government Diversity Cabinet and a staff member with the LGBT Community Center, Imani has worked to build meaningful dialogue between identity-based communities on Stanford's campus. After graduating, Imani worked as a Gender, Sexuality, and Reproductive Justice Research Fellow with the Ford Foundation. Most recently, she has served as the Program Coordinator of Think Unlimited in Amman, Jordan, activating college students to become innovative social change-makers in their communities. Through her career, Imani aims to leverage the combined power of grassroots organizing and foreign policy to advance

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human rights and development in the Middle East and Northern Africa. She was born and raised in Atlanta, GA.



Natasha Frazier
Pepperdine University

Born in Anchorage, Alaska, Natasha grew up on the Cattaraugus Indian Reservation in upstate New York, in Salt Lake City, Utah and in South Dakota before settling in the DC Metropolitan area. She is currently a rising senior at Pepperdine University majoring in sociology and minoring in women's studies. Natasha spent her sophomore year abroad studying in Buenos Aires, Argentina. On campus Natasha is an Associate Editor of Pepperdine's undergraduate research journal, *Global Tides*. She is also a Junior Class Senator on the Student Government Association and a member of Pepperdine's Social Action and Justice Colloquium. She enjoys regular lunches with Spanish-speaking custodial staff and has spent considerable time exploring the racial politics of art and media. A member of the Cheyenne River Sioux Tribe, Natasha is particularly interested in themes of neo-colonialism and cites multiple feminist theories as influential. She is a recipient of the Posse Scholarship. Natasha hopes to pursue graduate studies in gender studies or environmental policy.



Anna Maria Guadarrama
Utah State University

Anna Maria Guadarrama is a 2013 graduate of Utah State University. She recently interned for the White House Domestic Policy Council. Prior to this, she completed a Fulbright Scholarship in Mexico as an English Teaching Assistant. Anna Maria has also interned for Congresswoman Judy Chu and participated in the Junior Summer Institute Fellowship at Princeton University. Anna Maria enjoys dance, exercise, art and spending time with family.



Esmeralda (Momo) Herrera
Reed College

A first generation American born and raised in South Bronx, New York, Esmeralda Herrera is a recent graduate of Reed College with a bachelors in linguistics and a strong command of the Chinese language. Esmeralda currently works as a Student Support Specialist, helping at-risk youth find different successful life options. She believes in justice, equity, respect, community and hope. She believes that the exchange of ideas helps connect communities, which promotes growth and learning and disrupts the cycle of generational poverty nationwide and worldwide. She feels that this approach helps organize communities for collective action, resulting in social change and wellness. In her spare time, Esmeralda conducts HIV testing at Cascade Aids, a non-profit clinic that helps support and empower people living with or affected by HIV. Esmeralda also currently lives with Adsideo Church, a Christian community.

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Maria Hernandez
Willamette University



Maria Hernandez was born and spent the first half of her life in Guanajuato, Mexico. She is a Ford Family Foundation Scholar and recent graduate from Willamette University in Salem, Oregon. Maria received her bachelors in political science and triple-minored in Latin American Studies, American ethnic studies and sociology. She is a member of Pineros y Campesinos Unidos del Noroeste and CAUSA, organizations that advocate for statewide policies that positively impact Oregon's Latino immigrant communities. Maria advises at-risk high school students about college through the Upward Bound program, of which she is a graduate. Maria advocates for the needs of young people through serving with the Youth Development Council at the Oregon Department of Education. She wants to pursue a Juris Doctor in immigration law and work to ensure higher participation of minorities and women in political leadership positions. In her spare time, she runs and draws and enjoys spending time with family.

Emily Lawson
Macalester College



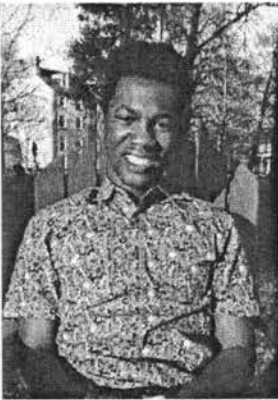
Emily Lawson holds a bachelors degree in anthropology, African studies and community and global health from Macalester College. Growing up in central Indiana, Emily observed ways that written law marginalized members of her community. As such, she honors lived experiences as powerful narratives to inform social policy and has conducted research that promotes this belief in the academic sphere. Most recently, she assessed the social networks that young, Zulu single-mothers in a Durban, South Africa township use to access health information. Her research also explored how these social networks impacted their health care decisions. In the US, Emily has evaluated the effectiveness of a community health program designed to connect frequent emergency department users with primary care physicians for preventive care. Currently, she works with women in recovery from substance abuse and their children, at a residential treatment center. She plans to pursue a graduate degree in anthropology and behavioral health, focusing on women and children.

Noemi (Mimi) Linares-Ramirez
Smith College



Noemi Linares-Ramirez is a 2015 graduate of Smith College majoring in sociology and Native American and global indigenous studies. As a Mellon Mays Undergraduate Fellow, Noemi spent a semester abroad at Pontificia Universidade Catolica in Sao Paulo, Brazil where she researched indigenous social movements and the journey towards federal recognition. In the fall of 2015, she will begin a PhD program in sociology at the University of California, Irvine. Noemi seeks to study indigenous social movements using a global perspective that incorporates the interactions of indigenous people in the United States, Canada, Australia, and the Netherlands and their interactions with the United Nations.

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Jahmel (Jah) Martin
Dickinson College

Jahmel (Jah) Martin is a rising senior at Dickinson College majoring in American studies. As a junior class senator and member of the Student Senate Public Affairs Committee, Jahmel seeks to engage the college and local community in topics of ethical and social significance. Jahmel hopes that through programs such as "Confronting Islamophobia: a discussion of recent attacks and ongoing struggles," he will encourage sustained dialogue and increased campus awareness on important contemporary issues. He has created a website to support his oral history project, which is a collection testimonials from individuals affected by the justice system. Jahmel has also spent a semester at Public Defenders' Office through the Washington Center in Washington, DC. He is a referee for intramural sports, promotes bike culture on campus and plans to pursue a JD to become a human rights attorney. Jahmel was born and raised in New York, New York.



Katherine Mateo
University of Pennsylvania

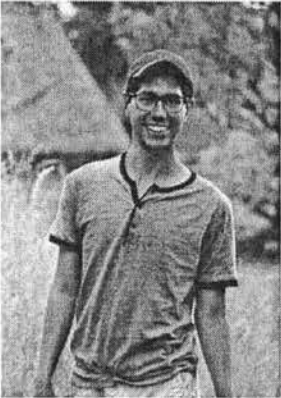
Katherine Mateo is a Benjamin Franklin Scholar of the University of Pennsylvania where she is completing an honors degree in political science. During undergrad, she spent a semester in Washington, DC working in the US Mission to the United Nations at the State Department. In this role, she conducted legislative research and investigated the global crackdown on civil society. Katherine is the Founder and Program Director of Global Youth United, a Philadelphia-based nonprofit that teaches youth the entrepreneurial skills necessary to create change. Students of the GYU Curriculum have organized around budgetary issues in public education through legislative lobbying, independent research and by leveraging the power of media. Other students have worked to expand housing options for homeless U.S. veterans. At Penn, Katherine advocated with university administrators for increased faculty diversity and the creation of resources for first-generation/low income students. Katherine plans to attend law school and pursue her passions in public and social entrepreneurship.



Lulete Mola
University of Minnesota

Lulete Mola graduated summa cum laude from The University of Minnesota in 2014 with a bachelors in political science and a minor in family violence prevention. Born in Ethiopia and raised in Minnesota, Lulete is passionate about intersectional social justice concerning the rights and leadership of women of color, ethical immigration and the Black Lives Matter movement in the US. This passion directly contributes to her work as a women's political training organizer with VoteRunLead and her research, advocacy and grant making fellowship with the Women's Foundation of Minnesota. Lulete is also the Founder of SHE, a young women's leadership program in select Minnesota high schools. She has designed and conducted qualitative research on East African immigrant professional development and civic engagement in Minnesota. Lulete is a recipient of the Scholarly Excellence in Equity and Diversity award at the University of Minnesota and is working to become a strong advocate of women globally.

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John Esteban Rodriguez
University of Georgia

A first-generation Colombian immigrant, John Esteban Rodriguez is a senior at the University of Georgia, where he is also pursuing a masters degree in English. As a Colombian-American queer person, John Esteban is interested in how different facets of identity (e.g. diaspora, sexuality, class, language, etc.) interact with each other to contribute to the emergence of unique subjectivities and solidarities. His interests in the Middle East led to a year abroad in Amman, Jordan, where he interned and studied the legal obstacles faced by Syrian refugee integration. Through a think tank on campus, he has tackled the gendered and socioeconomic disparities of food insecurity in Athens, Georgia and Northeastern Brazil. He is fluent in Spanish and French and conversational in Arabic and Portuguese. He enjoys taking contemporary dance classes, swinging in his orange hammock and exploring new gastronomies. John Esteban hopes to study continental philosophy in Europe prior to pursuing a PhD in critical theory.



Amer Taleb
University of Arizona

The son of Mexican and Lebanese immigrants, Amer Taleb graduates in May 2015 from the University of Arizona, where he studies journalism. Amer is passionate about teaching and hopes to spend his career increasing access to education in developing countries to help people out of the circumstances his parents were once in. Amer has interned for CNN, Scripps Howard, a New York Times bureau and has freelanced for AP, The Huffington Post and The Nation. He covered President Obama's second inauguration and was one of the youngest journalists to report on the landmark DOMA and Prop. 8 oral arguments from inside the Supreme Court. He recently lived with former Nigerian President Olusegun Obasanjo as a participant-observer at Obasanjo's home in Nigeria. After the fellowship, Amer will be a Fulbright Scholar in Turkey and will continue his work toward co-authoring a book on political architects of contemporary Nigeria.

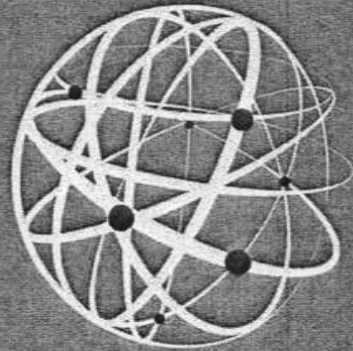


Demarttice (Martti) Tunstall
Columbia University in the City of New York

Demarttice Tunstall is a senior at Columbia University majoring in Linguistics and Ethnicity and Race Studies. In 2014 he spent a summer abroad studying Mandarin at Peking University in Beijing. In 2015 he spent Spring Break abroad examining the contemporary theoretical frameworks of the intersections of Montreal's unique brand of interculturalism at McGill University. As social programmer of the undergraduate New Student Orientation Program's planning committee, Demarttice organized events and helped manage the program's social media outlets. As a member of the Marketing Committee of Afropolitan, an annual African socio-cultural showcase, he coordinated the first annual African dinner. In his spare time, Demarttice contributes to Stressbusters, an on-campus health and wellness service, where he promotes positive stress-coping mechanisms. After graduation, Demarttice plans to pursue a masters in urban studies and examine ways to address community needs and social justice at the subnational level in developing countries. He was born and raised in Mobile, Alabama.

Appendix E

HUMANITY ^{IN}
ACTION



**DIPLOMACY
& DIVERSITY
FELLOWSHIP**

2015 APPLICANT DEMOGRAPHICS

WHERE DO APPLICATIONS COME FROM?

421 APPLICATIONS



55% AMERICAN 45% EUROPEAN



APPLICANT DEMOGRAPHICS

WHO APPLIES TO THE FELLOWSHIP?

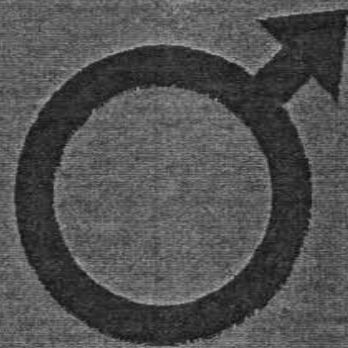
DEGREE PROGRAM

MA	57%
PhD	15%
MS	10%
MPA/MPP	8%
JD/LLM	6%
MPH	3%
MBA	1%



WHO APPLIES TO THE FELLOWSHIP?

AVERAGE AGE 26



32% MALE

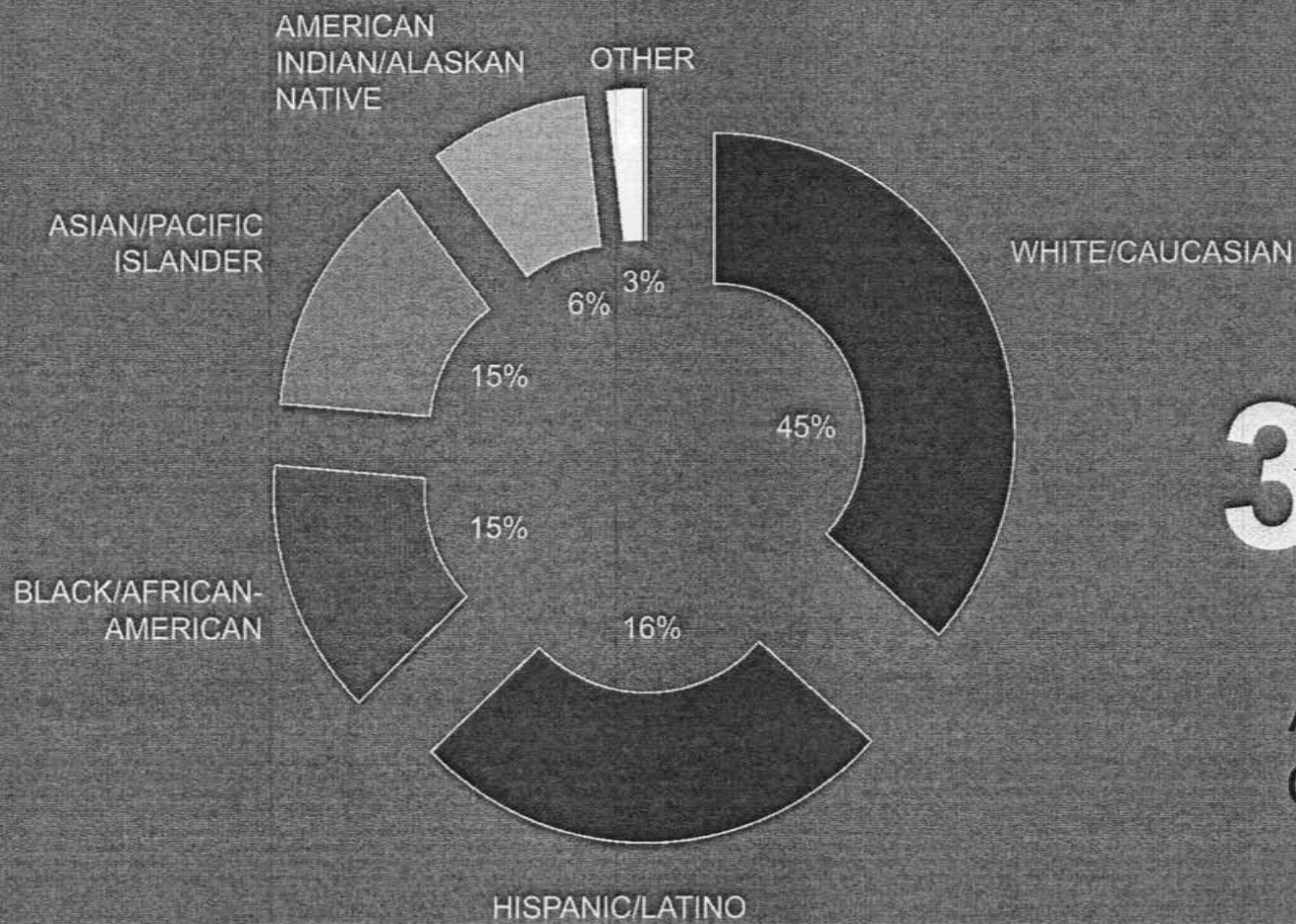


68% FEMALE



APPLICANT DEMOGRAPHICS

WHO APPLIES TO THE FELLOWSHIP?



31%

AFRICAN-AMERICAN
OR LATINO

ETHNIC DIVERSITY OF AMERICAN APPLICANTS



WHERE IS HOME FOR OUR APPLICANTS?

61

Countries
Represented

41

Dual
Citizens



WHERE DO APPLICATIONS COME FROM?

187 UNIVERSITIES

74

AMERICAN

113

INTERNATIONAL

GREATEST NUMBER OF APPLICANTS FROM:

16	AMERICAN UNIVERSITY
14	HARVARD UNIVERSITY
13	COLUMBIA UNIVERSITY
11	UNIVERSITY OF DENVER
10	GEORGETOWN UNIVERSITY

SCIENCES PO PARIS	11
UNIVERSITY OF SARAJEVO	8
UNIVERSITY OF WARSAW	7
UNIVERSITY OF COPENHAGEN	7
JAGIELLONIAN UNIVERSITY	7



APPLICANT DEMOGRAPHICS

WHERE DO OUR APPLICANTS STUDY?

UPPSALA UNIVERSITY COLLEGE OF EUROPE
AMERICAN UNIVERSITY UTRECHT UNIVERSITY
OHIO STATE UNIVERSITY UNIVERSITY OF LEIPZIG WARSAW UNIVERSITY
UNIVERSITY OF KENT KING'S COLLEGE LONDON UNIVERSITY OF TEXAS UNIVERSITY OF YORK
UNIVERSITY OF PRETORIA MAASTRICHT UNIVERSITY UNIVERSITY OF DENVER
UNIVERSITY OF AMSTERDAM UNIVERSITY OF WROCLAW UNIVERSITY OF LEIDEN
UNIVERSITY OF WESTMINSTER UNIVERSITY OF MICHIGAN
CARNEGIE MELLON UNIVERSITY GEORGETOWN UNIVERSITY WAGENINGEN UNIVERSITY
M UNIVERSITY CENTRAL EUROPEAN UNIVERSITY UNIVERSITY OF CINCINNATI
HAWAII PACIFIC UNIVERSITY UNIVERSITY OF TEXAS AT DALLAS OLD DOMINION UNIVERSITY
UNIVERSITY OF SOUTHERN CALIFORNIA HERTIE SCHOOL OF GOVERNANCE SCIENCES PO
LEIDEN UNIVERSITY WARSAW UNIVERSITY OF TECHNOLOGY UNIVERSITY OF INNSBRUCK
UNIVERSITY OF SYDNEY IVAN FRANKO NATIONAL UNIVERSITY OF LVIV NEW YORK UNIVERSITY
LONDON SCHOOL OF ECONOMICS AND POLITICAL SCIENCE UNIVERSITY OF OXFORD
JOHNS HOPKINS UNIVERSITY SCHOOL OF ADVANCED INTERNATIONAL STUDIES UNIVERSITY OF COPENHAGEN
UNIVERSITY OF NORTH CAROLINA AT CHAPEL HILL NORTH CAROLINA STATE UNIVERSITY
THE GEORGE WASHINGTON UNIVERSITY COPENHAGEN BUSINESS SCHOOL
UNIVERSITY OF PITTSBURGH WASHINGTON UNIVERSITY IN ST. LOUIS TEMPLE UNIVERSITY
FLORIDA INTERNATIONAL UNIVERSITY UNIVERSITY OF STRASBOURG HUMBOLDT UNIVERSITÄT
UNIVERSITY OF TEXAS AT AUSTIN TEXAS A UNIVERSITY OF MINNESOTA
RADBOUD UNIVERSITY NIJMEGEN UNIVERSITY OF SHEFFIELD
YILDIZ TECHNICAL UNIVERSITY UNIVERSITY OF WARSAW
ARIZONA STATE UNIVERSITY SETON HALL UNIVERSITY
JAGIELLONIAN UNIVERSITY UNIVERSITY OF SARAJEVO UNIVERSITY OF THRACE
VILLANOVA UNIVERSITY FREE UNIVERSITY BERLIN BRANDEIS UNIVERSITY
COLUMBIA UNIVERSITY AARHUS UNIVERSITY HARVARD UNIVERSITY
SABANCI UNIVERSITY TUFTS UNIVERSITY
YALE UNIVERSITY



WHAT ISSUES MOTIVATE OUR APPLICANTS?

West Africa
Counterterrorism Human Rights
Socioeconomic Justice Climate Change East Africa
Leadership Corruption Social Inequality Arts and Culture Drug Trafficking Women and Politics LGBTQ Rights
Rebuilding Afghanistan Security Studies Political Economy Environmental Challenges
Women and Minority Groups Intercultural Relations Labor and Migration Diplomacy and Development
Immigration Policy Nonprofit and Philanthropic Organizations Data-Driven Evaluation and Monitoring Cybersecurity and International Law Epidemiology
Cultural and Religious Diplomacy Social Policy Foreign Trade Public-Private Partnerships
Cultural Diplomacy and International Relations Journalism Rural Development Globalization
Latin America Behavioral Epidemiology LGBTQ Rights and International Affairs Economics
Urban Development European Union and Middle East International Migration Security and US Foreign Policy
Private and Government Sectors Regional Integrations Middle East and North Africa
Elections and Democracy Forced Migration Southeast Europe Religious Mediation Venezuela
Gender and Economics National Identity Labor Diplomacy Conflict Resolution
Human Security China and Africa Global Hunger HIV/AIDS Aarhus Convention State Governance



HUMANITY IN ACTION

2015 DIPLOMACY AND DIVERSITY FELLOWSHIP APPLICATION QUESTIONS

Program Schedule

Please read the entire program schedule for the 2014 Diplomacy and Diversity Fellowship. If you were participating in the 2014 program, which theme or topic would have been most challenging for you? Please briefly explain why.

Article Idea

As part of the program, each Fellow is required to research and write a substantial article. Each Fellow is free to choose her or his own specific subject but the article must explore an issue in international relations that concerns diversity or pluralism. Please share your idea for an article in a very short proposal. Please include a central research question and proposed methods and explain to us why an examination of this issue is important.

Please note that, if selected for the Fellowship, you are not necessarily required to pursue this particular article idea. Please limit your proposal to 200 words.

Personal Statement

A recent Fellow in a Humanity in Action program reflected on the following points.

"Humanity in Action seeks to ensure that its programs challenge the thoughts of everyone, including those who challenge society...The power of the reformer is that he or she changes things; the danger of the reformer is self-righteousness. For every ounce of diligence we devote to correcting the inequities of society and the world, we must devote twice as much energy correcting ourselves."

Please respond to this statement referencing your passions and career aspirations. Limit your response to 400 words.

Response Essay

Referencing Robert Kagan and Charles Grant's articles, please reflect on how evolving national interests and priorities in Germany and the United States will impact these countries' foreign intervention policies in the coming years. Limit your response to 500 words.

- Kagan, Robert. "Superpowers Don't Get to Retire: What Our Tired Country Still Owes the World," *The New Republic*. May 26, 2014.
- Grant, Charles, "What Is Wrong with German Foreign Policy?", Center for European Reform. May 6, 2014.

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Ms. Penny Hunt
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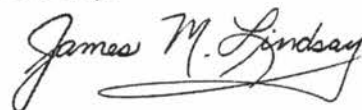
Dear Penny:

I am pleased to submit the progress report for the Council on Foreign Relations (CFR) Expanded Diversity Initiative in Foreign Policy. The report covers the period November 1, 2014, through October 31, 2015. CFR and HIA are submitting a separate report detailing the activities they conducted as part of the Expanded Diversity Initiative separately from Humanity in Action.

During the last year of the project, CFR has continued its collaborations with Humanity in Action, the International Career Advancement Program (ICAP), and the Global Access Pipeline (GAP) to broaden minority representation in the foreign policy community. The initiative's highlights include recruiting, placing, and mentoring an expanded class of Franklin Williams interns and arranging for CFR staff to participate in twenty university career fairs around the country with significant minority student populations. CFR has also reconvened the CFR-ICAP-GAP joint planning committee to begin planning for the spring 2016 Conference on Diversity in International Affairs and hired Shira Schwartz as the diversity coordinator to manage the day-to-day activities of the initiative.

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

Sincerely,



James M. Lindsay
Senior Vice President, Director of Studies,
and Maurice R. Greenberg Chair
tel 202.509.8405 fax 212.434.9880
jlindsay@cfr.org

Expanded Diversity Initiative in Foreign Policy: CFR Activities

Annual Progress Report to the Robina Foundation

Project Director: **James M. Lindsay**, *Senior Vice President, Director of Studies, and Maurice R. Greenberg Chair*

Reporting Period: November 1, 2014 – October 31, 2015

Report Due: November 3, 2015

Executive Summary

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

The Expanded Diversity Initiative consists of four complementary activities: (1) supporting the work of Humanity in Action, which includes funding minority participation in Humanity in Action's summer programs, holding a workshop for all American Humanity in Action participants, and launching a new fellowship for graduate students on Diplomacy and Diversity; (2) expanding CFR's longstanding Franklin Williams Internship program to include additional minority students; (3) sponsoring an annual conference in partnership with the International Career Advancement Program (ICAP) and the Global Access Pipeline (GAP) to inform minority students and young professionals about foreign policy career possibilities; and (4) sending CFR staff to career fairs at colleges and universities with significant minority student populations.

This report reviews those activities falling in categories two, three, and four in the previous paragraph. The activities that CFR conducted with Humanity in Action as part of the Expanded Diversity Initiative are reviewed in a separate report.

CFR's efforts to increase the number of minority students choosing foreign policy careers will by definition yield demonstrable results only over a period of years. During its third year in operation, the Expanded Diversity Initiative is accomplishing its goal of exposing more minority students to foreign affairs in the hopes that they will eventually choose to make it a career. CFR successfully executed all of the proposed activities for year three. Specific program achievements include: exceeding the annual target number of Franklin Williams interns; deepening contacts with department chairs and professors at historically black colleges and universities, which should broaden the pool of applicants for CFR staff recruiting and the Franklin Williams Internship program; executing a successful Conference on Diversity in International Affairs; and expanding the Council's outreach to academic institutions with large minority populations.

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

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

This report covers activities supported by three separate proposals supported by the Robina Foundation. The original grant established the Expanded Diversity Initiative, which was launched in March 2012. It consists of four specific elements that were conceived to be interrelated, complementary, and mutually reinforcing: (1) a collaboration with Humanity in Action; (2) an expansion of CFR's current Franklin Williams Internship for college and graduate students from underrepresented groups; (3) a collaboration with ICAP and GAP to heighten awareness among minority students and young professionals about foreign policy career opportunities and to deepen their involvement in the foreign policy community through an annual Conference on Diversity in International Affairs; and (4) increased CFR participation in college career fairs in New York, Washington, DC, and other select cities around the country.

The second grant was awarded in September 2013 to fund additional activities within the Expanded Diversity Initiatives. This second grant provided additional funding for the Conference on Diversity in International Affairs and established the position of diversity coordinator at CFR.

* In the spring of 2015 the Robina Foundation authorized CFR to reallocate funds originally specified for the external review of the Expanded Diversity Initiative to new activities. These new activities were: increased academic outreach, increased minority participation in CFR's College and University Educator's workshop, increased fellowship affairs outreach, and increased advertising.

These forward-looking and practical activities build on CFR's extensive, longstanding, and ongoing efforts to promote diversity, leveraging CFR's demonstrated strengths in the foreign policy arena, and mobilizing the complementary skills and networks of outside organizations rather than building redundant infrastructure at CFR. The organizations CFR has worked with to carry out the Expanded Diversity Initiative all have considerable expertise on diversity issues.

ICAP seeks to bring greater diversity to staffing of senior management and policymaking positions in international public service and the global private sector through a selective mentorship program and a close-knit alumni network. ICAP's alumni association constitutes the most diverse and robust network of people of underrepresented groups working across every sector in international affairs. Its participants are identified as "rising stars" early in their careers, and many of them now hold senior foreign policy positions. GAP brings together an array of think tanks and nonprofit groups to enhance the quality and diversity of U.S. participation in international affairs; CFR is a founding member of the GAP consortium.

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

In the third year of the Expanded Diversity Initiative, CFR built on the success of the existing components. CFR continued recruiting, placing, and mentoring an expanded class of Franklin Williams interns and sent CFR staff to participate in university career fairs around the country with significant minority student populations. CFR planned and executed the 2015 Conference on Diversity in International Affairs with ICAP and GAP. CFR had a diversity coordinator to manage the day-to-day activities of the initiative. The Academic Outreach department expanded their participation in conferences that attract academics from underrepresented groups, and the Fellowships Affairs staff traveled to universities with diverse student bodies to publicize the visiting fellows program and CFR more broadly.

A. Franklin Williams Internship

The Expanded Diversity Initiative made it possible for CFR to expand its longstanding Franklin Williams Internship program to include additional underrepresented minority students. The internship, which seeks to give underrepresented minority students the exposure, knowledge, and skills needed to work in the foreign policy field, traditionally brought two interns to CFR each year. The goal of the diversity initiative was to recruit five Franklin Williams interns annually, which includes three additional placements, and to track recruitment progress.

During the reporting period, the Franklin Williams intern recruited and reported on in CFR's November 2014 progress report completed her fall 2014 internship with the Global Communications and Media Relations department. CFR's Human Resources (HR) department received more than 1,900 applications for the spring, summer, and fall 2015 Franklin Williams internships. CFR's HR department continued to aggressively market the internship on CFR's award-winning website, CFR.org, and with historically black colleges and universities through a variety of listservs that targeted minority students, as well as CFR's Human Resources Twitter handle. CFR also shared position announcements with all students that CFR staff met during the career fairs attended this year; many of these students came from underrepresented groups. CFR promoted the internship at the Conference on Diversity in International Affairs and shared the internship posting with affiliates of the Global Access Pipeline. As a result, CFR hired four Franklin Williams interns for the spring semester, three Franklin Williams interns for the summer semester, and six Franklin Williams intern during the fall semester. Appendix A provides the biographies of Franklin Williams interns placed since the last reporting period. *Outreach*

The students chosen as interns went through a rigorous selection process that consisted of a review of each candidate's academic standing along with interviews conducted by two or more members of CFR's mid-level or senior staff. The 2015 Franklin Williams spring and summer interns were placed in departments across CFR, including Global Communications and Media Relations, CFR.org, Foreign Affairs Advertising, and Development, and within the David Rockefeller Studies Program, where interns worked with teams including International Institutions and Global Governance, Women and Foreign Policy, and Global Health. The 2015 Franklin Williams fall interns are currently working with Foreign Affairs Advertising, Education, Meetings, CFR.org, and Development, as well as the Africa Studies Program within the David Rockefeller Studies Program. *Franklin Williams Placement*

While at CFR, Franklin Williams interns participated in skills-based seminars through CFR's Intern Professional Development Program. Seminars included sessions on resume writing, library and research techniques, the basics of fundraising, editing and grammar skills, careers in foreign policy, and careers in the State Department. Students in the Franklin Williams internship program were encouraged to sit in on CFR meetings of interest, and each intern traveled to the CFR office where they are non-resident (e.g., New York or Washington, DC) to attend an event and meet with team members. All Franklin Williams interns were invited to the 2015 Conference on Diversity in International Affairs, where they received one-on-one career counseling and a mentor.

In addition to direct, hands-on exposure to different career paths in international relations, the Franklin Williams interns were encouraged by their supervisors to set and achieve individual professional development goals. These goals included developing familiarity with the policy issues surrounding a particular topic, publishing written work on a CFR blog, contributing to research, helping plan and staff events, using social media in a professional context, growing accustomed to a think tank's working environment and maximizing the CFR network by speaking with members and staff about their career paths. All the interns reported to Human Resources staff in their exit interviews that they had met their stated goals and gained a better sense of their individual career goals and path as a result of their internship.

CFR's HR department has begun recruiting for the spring 2016 semester Franklin Williams interns and anticipates bringing on more Franklin Williams interns throughout next year.

B. Conference on Diversity in International Affairs

The Expanded Diversity Initiative made it possible for CFR to continue its collaboration with ICAP and GAP for the annual, two-day Conference on Diversity in International Affairs. CFR enlisted the support of both ICAP and GAP in the annual conference because their missions mirror the goals of CFR's Diversity Initiative: to increase the representation and preparedness of minority groups in the international arena. The conference builds on and extends

the longstanding cooperation among the three organizations in working to promote diversity in the foreign policy community. The conference's goal is to connect students and professionals from diverse backgrounds to career opportunities in international affairs. With the understanding that the path toward increased diversity in international affairs must start with early exposure and extend through the creation of international leadership opportunities, the conference aims to engage a mix of students, mid-career professionals, and seasoned practitioners.

The 2015 Conference on Diversity in International Affairs was held at CFR's Washington, DC, office on April 10 and 11. The conference—which drew over two hundred participants from across the country, including young and mid-career professionals and college students—consisted of sessions on an array of topics. The guest list drew from college and graduate students from GAP's affiliate organizations, groups like One World Now that start the pipeline by engaging underrepresented students in world issues from a young age. CFR invited Franklin Williams interns from the past year, as well as the previous class of Robina-supported Humanity in Action participants. CFR made funding for travel available to these students. ICAP's alumni network and CFR's term member program attracted an impressive group of mid-career professionals working across the foreign policy community. CFR also invited established life members in the foreign policy community who have a particular interest in mentoring younger generations and promoting a more diverse foreign policy community.

The conference began with a networking reception and keynote address by Carla Harris, chair of the National Women's Business Council and director of the Investment Banking Division at Morgan Stanley. Ms. Harris energized the crowd with her advice on how to maximize personal success in the workplace and build a strong network and find mentors. Everyone who attended received a complimentary copy of Ms. Harris' book *Strategize to Win: The New Way to Start Out, Step Up, or Start Over in Your Career*.

The conference also included plenary panels as well as smaller workshops and skill-building sessions. The workshops were designed to appeal to the various demographic groups that the conference brought together and to enhance participants' access to, and preparedness for, international careers. There were workshops geared toward college and graduate students seeking jobs in international affairs, mid-career professionals building their careers, and specialist workshops on foreign policy topics for seasoned practitioners. These smaller group environments allowed an intimate setting for discussion as well as direct skills training and feedback. Sessions included:

- A plenary panel on world economics;
- A plenary panel on innovative and non-traditional ways to get a global education;
- Foreign policy workshops on entrepreneurship, lessons learned from working in foreign policy, and how demographics are changing U.S. foreign policy trends;
- Career workshops on writing, finding scholarships and jobs in international affairs, and developing a personal brand in the workplace.

The 2015 conference agenda is included in Appendix B. A dedicated conference page on CFR.org includes the audio and video of the plenary sessions as well as a rapporteur's report and conference photos.

Special features of the conference included informal mentoring and one-on-one career counseling for the CFR-Robina sponsored student participants in the 2014 Humanity in Action program and the 2014-2015 Franklin Williams interns, two target groups of the Robina-funded initiative.

The conference stressed networking, including hosting a speed networking session as one of the breakout activities. CFR staff actively sought to introduce the attendees to one another during breaks in the sessions, and they worked to establish formal mentor relationships by pairing students with professionals for mentoring in advance of the conference. The conference also offered career counseling sessions with professional counselors from Washington, DC area universities and professional organizations. These sessions were available by advance registration to all guests, and all Franklin Williams interns and Humanity in Action program alumni had a one-on-one session with a career counselor.

A measure of the conference's influence was the enthusiasm it generated on Twitter. Participants tweeted to the hashtag #CDIA2015; a review of the comments participants shared about the experience speaks to finding role

models, career guidance, and inspiration. Additionally, a news story on the conference highlights was included in the summer 2015 edition of the *Chronicle*, CFR's member newsletter, which is distributed monthly to CFR's roughly 4,900 members.

A survey that CFR again commissioned with its partners after the conference found that participants were enthusiastic about their experience. Respondents expressed great satisfaction with the conference's quality. When asked to rate the conference overall, sixty six percent of respondents answered that the conference was "excellent" and twenty six percent answered that it was "good." One of the respondents to the 2015 survey wrote: "It was my first time attending a conference like this and it was a wonderful networking experience as well as an incredible opportunity for professional development." Attendees found the conference to be a venue for networking with other students and professionals, with sixty six percent of respondents rating the networking opportunities as "excellent" and twenty eight percent rating them as "good." One participant noted: "The conference afforded me the opportunity to interact with people along a very broad continuum of experience from students to senior folk. I met entrepreneurs and scholars. In that regard, it was most valuable. I have been in contact with several people I met at the conference. Today, for example, I am supporting a LearnServe event in DC. Last week, I served as a GAP activity at American University. Next week, I plan to have dinner with an Entry Level Foreign Service Officer and American University graduate." The survey respondents rated highly the keynote address by Carla Harris, who received rave reviews from participants. Ninety two percent of respondents said that the discussion with Ms. Harris was "excellent" and eight percent said it was "good." One of the respondents wrote: "Carla Harris was truly inspirational and her talk was extremely engaging and enlightening, which perfectly sets the tone for the rest of the conference." When asked to identify the most useful aspect of the conference, the respondents named networking, informative sessions, career counseling, practical advice, and mentoring. Appendix C contains the full 2015 survey findings

The 2016 conference, scheduled for April 15 and 16, 2016, in Washington, DC, will once again bring together diverse professionals and students for two days of seminars and networking on foreign policy, skill-building, and professional development. The CFR-ICAPAA-GAP joint planning committee will finalize the agenda for the conference this winter. Similar to previous conferences, the basic structure of the conference will include a keynote speaker, plenary sessions, skill-building workshops, foreign policy focused break-out sessions, career advisory opportunities, and a networking reception. In coordination with CFR's Meetings Program, the committee is in the process of identifying speakers and panelists.

C. Career Fairs

CFR exceeded its goals for attending career fairs, sending representatives to twenty events during the reporting period. At these career fairs, representatives from CFR's HR department and David Rockefeller Studies program actively recruited candidates for CFR opportunities, including for the Franklin Williams internship. CFR representatives also provided foreign policy reading materials to interested students.

CFR representatives attended the following career fairs during the reporting period:

- Atlanta University Career Consortium (AUCC): This fair included students from Morehouse College, Spelman College, and Clark Atlanta University.
- American University Career Fair (both fall and spring semesters)
- American University Job and Internship Fair
- Columbia University Career Fair (both fall and spring semesters)
- Columbia University Undergraduate Career Fair
- CUNY Baruch College Social Impact Fair
- CUNY City College Business and Social Services Career Fair
- CUNY Hunter College Macaulay Honors College
- George Washington University Career Fair (both fall and spring semesters)
- Georgetown University
- Historically Black Colleges and Universities Career Fair
- Howard University Career Exploration Fair
- Rice University Nonprofit and Government Career and Internship Expo

- Stony Brook University Business and Political Affairs Job and Internship Fair
- University of California, Santa Barbara M.A. of Global and International Studies (MAGIS) Information Session
- UCLA Internship and International Programs Night
- The University of Texas at Austin Government and Non-profit Career Fair

These career fairs were chosen due to several factors, including their New York or Washington location (crucial for recruiting school-year Franklin Williams interns), their high percentages of minority students, and their reputations for strong programs in political science or related fields.

CFR sent human resources personnel to each career fair. In many cases CFR sent Studies program staff as well, so that the students could converse with a CFR research associate or mid-level staff about what the role is like and the research that is done. Where applicable, CFR invited employees who are professors or alumni at the relevant university to join in representing CFR at the fair.

In addition to sending teams to career fairs, when possible, CFR representatives used these recruiting trips to meet with political science faculty and university administrators. In these meetings university representatives typically offered to alert CFR of highly qualified candidates for internships and career opportunities. Where available, CFR hosted information sessions for students in the political science departments about foreign affairs employment opportunities.

* The informal networking opportunities that come along with attending the career fairs have already yielded results and are helping CFR build a long term pipeline for talent. For example, two of the Franklin Williams interns in the previous reporting period were met at a career fair. Sade Tuckett, a summer 2015 intern with *Foreign Affairs* and a Spelman gradate, attended the AUCC Career Consortium where she met HR representatives. Monique Gaynor, a 2015 fall intern with *Foreign Affairs* met HR representatives at the CUNY Baruch Social Impact Fair. These are two of the many intern and staff member candidates we have met at career fairs over the years. Additionally, professors and career offices at various universities are sending top talent to HR for open positions, based on the connections developed while on campus for career fairs. These relations are reinforced by annual participation in events and visits to campuses.

D. CFR Diversity Coordinator

CFR hired a diversity coordinator, Shira Schwartz, in October 2014, as previously reported. Ms. Schwartz works under the direct oversight of Dr. Lindsay, and in coordination with Jan Mowder Hughes, vice president for human resources and administration. Overall oversight of the diversity coordinator position resides with CFR President Richard N. Haass.

① Ms. Schwartz managed the day-to-day activities of CFR's diversity initiative. She has been primarily responsible for: ② liaising with Humanity in Action on the two fellowship programs; ③ directing CFR activities related to the Humanity in Action collaboration; ④ planning the annual Conference on Diversity in International Affairs in conjunction with CFR's partners, GAP and ICAP; ⑤ supervising the deepening contacts with leaders at graduate schools of international relations and other members of CFR's community interested in advancing the diversity work; ⑥ ensuring the integration of the Franklin Williams interns into the intellectual life of CFR; and attending, along with other CFR representatives, ⑦ meetings and networking events with other think tanks on recruiting members of underrepresented groups. Ms. Schwartz has been an active member in the Think Tank Diversity Consortium, regularly attending meetings in Washington, DC, and participating in training opportunities sponsored by the group. She also has met with the Franklin Williams interns individually and offered to be a resource as they consider future career opportunities in the field of foreign affairs.

Ms. Schwartz's role consolidated responsibilities that were previously scattered across CFR staff working in different parts of the organization and who were already stretched handling their primary job responsibilities. It simplified CFR collaboration with organizations like Humanity in Action, GAP, and ICAP by giving them a designated point of contact for their work with CFR. Consolidating the day-to-day management of the Expanded Diversity Initiative

under one person ensures greater integration and harmonization of the various parts of the initiative, thereby increasing the chance that it will achieve its intended goals.

E. Additional Activities.

Following the approved reallocation in spring 2015 of funds earmarked for the external review, CFR staff are actively increasing outreach to institutions with significant numbers of academics from underrepresented groups.

CFR's Academic Outreach team regularly sends staff representatives to the country's leading academic conferences which offer opportunities to connect with minority audiences. Since the spring, CFR's Academic Outreach staff identified and partnered with existing academic networks that provide a multiplier effect for the Council's current activities and new initiatives in the area of increasing diversity among foreign policy professionals. Three conferences were attended with support from the Robina Foundation. In March 2015, CFR participated in the National Conference of Black Political Scientists (NCOBPS) annual meeting in Atlanta, Georgia. Participants were surprised and pleased to see CFR at the conference and have invited us to organize an event at the 2016 meeting in Jackson, Mississippi. Planning is underway in coordination with the organization to identify the topic and speakers. The Academic Outreach team met individuals at the NCOBPS event that they invited to the 2015 College and University's Educator Workshop at CFR.

② In October 2015, CFR representatives attended the Hispanic Association of Colleges & Universities Annual Conference which brings together over 5,000 professionals from schools committed to Hispanic higher education success. The Fellowship Affairs and Academic Outreach representatives from CFR met with students from Wright State University, University of Central Oklahoma, Moreno Valley College, Arizona State University, University of Florida, St. Edwards University (Austin, TX), as well as professors and academic administrators from schools including: Barry University, Harvard University, Northwestern University, Texas Tech University, University of Southern California Annenberg School for Communications/Journalism, California State University Northridge, and California State University Monterey Bay. The students and faculty were pleased to learn about employment opportunities at CFR, including fellowships, and were interested in learning more about the resources available through the Council, including reports, blogs, meetings and the Model Diplomacy initiative.

③ CFR also showcased resources at the Historically Black Colleges and Universities (HBCU) Faculty Development Network Annual Meeting on October 22 to October 24, 2015. HBCU's annual meeting promotes effective teaching and learning, and provides a new opportunity for CFR to connect with professors and administrators from HBCU universities. As part of its outreach efforts, CFR hosted a booth at the conference in Atlanta, Georgia. Over the course of three days, approximately eighty people were in attendance. At the opening luncheon, along with the other booth representatives (including the Fulbright office of the U.S. State Department and the Africa Heritage Foundation), CFR's representative from the Outreach staff spoke briefly about the work of CFR as a whole, the CFR Academic Outreach Initiative, and the Education Department. At the booth, copies of CFR publications, brochures introducing CFR resources, and information on CFR fellowships were distributed; select books by CFR fellows were on display. The conference was an opportunity for CFR staff to speak with many of the participants about how CFR resources could support their work. Several individuals were identified as candidates for participating in CFR's annual College and Educators Workshop in the spring of 2016.

④ CFR's College and University Educators Workshop, a professional development opportunity for educators at the secondary and post-secondary level, introduces professors and teachers to a wealth of CFR resources ideal for classroom use, offer an opportunity to interact with CFR experts, and provide a forum to discuss best practices for teaching about global issues. At the April 2015 workshop, Robina Foundation funds were used to cover the travel expenses for racially diverse participants representing Howard University, Atlanta Metropolitan State College, Clark Atlanta University, Morehouse College, North Carolina Agriculture and Technical State University, and Hampton University.

⑤ In September 2015, CFR Fellowships Affairs staff travelled to Atlanta, Georgia and hosted an information session about CFR fellowships for faculty and students of Spelman College, Morehouse College, Atlanta Metropolitan State College, and Clark Atlanta University. Following the information session, they attended a lunch hosted by the chair of

the political science department at Spelman with academic administrators. The visit was positive and productive, and helped develop connections within the historically black college and university community.

The Fellowships Affairs staff will be continuing outreach to universities with ethnically diverse student populations. In October 2015, the Fellowship affairs staff participated in the annual Hispanic Association of Colleges and Universities Conference in Miami, Florida, along with the Academic Outreach staff. In November 2015, they will host a fellowships information session at Ohio State University for faculty and graduate students, as well as several identity studies organizations.

Additionally, CFR plans to use the funds to advertise its internship and fellowship opportunities in professional journals and conference programs that will likely reach members of underrepresented groups in the winter and spring of 2016.

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

The Expanded Diversity Initiative achieved all of its program goals in year three. CFR broadened its outreach to members of underrepresented groups, brought new Franklin Williams interns to its New York and Washington, DC, offices, and held a successful Conference on Diversity in International Affairs. Increasing the presence of minorities in the U.S. foreign policy community is a long-term proposition that will require the efforts of many organizations. CFR is pleased that its Expanded Diversity Initiative has attracted such great interest and served to catalyze the efforts of other groups.

① The third year of the initiative produced three main lessons. In terms of recruitment for the Franklin Williams interns, we have continued to learn which career fairs and university visits are most effective. Once again, the AUCC fall career fair, which hosts students from Morehouse College, Spelman College, and Clark Atlanta University, all of which have a nearly 100 percent underrepresented minority student body population, provided top talent for CFR. At this fair, HR met one of the summer 2015 interns, Sade Tuckett, whom they stayed in communication with throughout the year and ultimately placed as an intern with *Foreign Affairs*. HR has met many other intern and staff member candidates at the AUCC fair over the years, including Clifford Hunt, who continues to grow in his role as a Publishing Associate for *Foreign Affairs*. In addition, HR continues to prioritize attending as many local career fairs as possible in New York and Washington, DC, which provide CFR with the best candidates for fall and spring semester interns. In the past year we placed four Franklin Williams interns from universities in the New York or Washington, DC, metro areas. HR will continue to deepen their relationship with these institutions that provide top talent for the organization. Along these lines, connecting with professors and staff at career fairs helps to strengthen the direct pipelines with colleges and universities with strong underrepresented minority students. As a result of the connections developed while on campus for career fairs, professors and career offices from a variety of institutions are sending us top talent for our open positions. Relationship building with campus staff has been a highly productive mechanism to recruiting minority students for internships and full-time employment.

② A second lesson is the impressive roles that Franklin Williams interns take on elsewhere in the field of international affairs after their internships at CFR. In particular, many are continuing to study foreign policy, no doubt inspired by the work they participated in at CFR. For example, James Gadea, who was a Franklin Williams intern in spring 2014 for Dr. Lindsay, went on to intern at a Twitter analytics firm and is currently studying abroad at Oxford University. He has also gained early acceptance to Georgetown University Law School. Ramiro Funez, who was a Franklin Williams intern in spring 2014, is currently applying for a doctoral program in international relations.

③ The final lesson is the importance of emphasizing networking and mentorship at the conference on diversity in international affairs, and the opportunity to use the conference to facilitate those types of interactions. Carla Harris spoke to the importance of networking directly during her keynote address, which was universally praised by participants in the conference survey. One participant noted, "The discussion with Carla Harris was excellent because she gave us great advice and created an atmosphere more conducive to networking. I was nervous about the networking session but after she spoke I felt more at ease about it because I learned that others were as nervous as I was. The discussion changed the atmosphere for me in the most positive way." At the reception following Ms. Harris'

speech, we observed participants actively taking her advice, sharing business cards and approaching people they did not know before. This trend continued throughout the conference, particularly during the speed networking session that took place on Saturday as part of the program.

Many participants noted that they appreciated the multitude of opportunities at the conference to meet with people from diverse backgrounds. The planning committee intentionally placed an emphasis on better coordinating the mentor pairings at the 2015 conference, based on feedback from 2014 when some participants noted that they had a difficult time finding their mentor or mentee. In 2015, the committee was able to arrange sixty pairs of mentors and mentees, and proactively contacted the participants prior to the conference with the contact information of their counterparts so that the pairs could coordinate a time to meet. They also provided guidance on best practices for networking to this group in particular. The additional effort paid off, with thirty-seven of the forty-two survey respondents noted that they were able to meet their assigned mentor or mentee, a net total of eighty eight percent in 2015 over seventy percent in 2014. One person noted, "I especially appreciated the flash mentoring opportunity the conference afforded. I am well on my way to establishing mutually beneficial ties with several young professionals." For the upcoming 2016 conference, CFR and the committee will explore additional ways to maximize the networking opportunities within the conference.

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

At the completion of year three, the Expanded Diversity Initiative in Foreign Policy has successfully executed all of the proposed activities for the year. The line-item difference in year three owes to four factors.

First, the variance in the internship program reflects scheduling conflicts. While the annual target number of Franklin Williams interns have been secured, recent interns worked reduced hourly schedules. For fiscal year 2015, there was a \$6,000 variance for the Franklin Williams internship portion of the budget. This is due to the number of days and hours worked by the interns, which was lower than anticipated.

Second, the 2015 Conference on Diversity in International Affairs was able to attract local speakers in Washington, DC, and we thus saved a total of approximately \$2,000 on travel costs. We will apply those saving to next year's conference.

Third, CFR's expenses for travel to career fairs were slightly lower than budgeted. This is a result of HR staff securing air fare at discounted rates because the career fairs were identified well ahead of time. HR will apply the \$1,300 savings to future career fair costs.

Finally, there are variances in the expenses for the additional activities originally intended for an external review committee that were reallocated in the spring of 2015 by the Robina Foundation. Some of the activities are scheduled to take place in the winter and spring of 2016, including advertisements for internship and fellowship opportunities in professional journals and conference programs, and travel to Ohio State University. We are on track to spend these funds by June 30, 2016.

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

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

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

CFR Fellowships. CFR administers seven 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.

CFR extensively markets its fellowship programs to organizations and networks with deep ties in minority communities. CFR reaches out to faculty at Georgia Institute of Technology, Howard University, Morehouse College, Spelman College, and Temple University, as well as to contacts at the Ron Brown Scholars Program, Posse Foundation Scholars Program, International Career Advancement Program, Charles B. Rangel International Affairs Program, Thurgood Marshall College Fund, the National Association for Equal Opportunity in Higher Education, and the National Conference of Black Political Scientists to ask these individuals to circulate CFR's call for applications and to identify possible fellowship candidates.

Additionally, CFR's Fellowship Affairs team markets the programs through U.S. Department of State affinity groups, such as the Congressional Black Caucus and Congressional Hispanic Caucus, that serve underrepresented groups as well as at conferences, such as the annual Hispanic Association of Colleges and Universities Conference and Conference on Diversity in International Affairs (hosted at CFR). They also hold CFR fellowships information sessions on Capitol Hill for the Charles B. Rangel international affairs fellows, Donald M. Payne international development fellows, and Hispanic Association of Colleges and Universities interns. In the spring of 2015, the Fellowships Affairs team hosted a conference call for the alumni of ICAP to publicize the opportunities. One participant on the call wrote to say, "Let me add my appreciation for your efforts to continue the close collaboration with the ICAP community. I'm quite proud to be the first ICAPer to become an [International Affairs Fellow]. I value your support and the commitment you've made to diversity within the program."

CFR Staff and Fellows. 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.

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 with research and reports on the importance of diversity and inclusion, convenes roundtables to discuss best practices for promoting diversity in a think tank setting, and holds networking events for people of diverse backgrounds.

Academic Outreach. Since CFR launched its Academic Outreach Initiative in 2005, it has made a dedicated effort to reach out to organizations that advance opportunities for minority groups, including historically black colleges and community colleges.

One such group is Global Kids, a high-school and after-school program for youth living in neighborhoods populated by ethnic groups largely underrepresented academically, politically, and professionally and attending low-performing schools. Global Kids seeks to ensure that participants 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 works with Global Kids on a range of programs to expose participants to international issues and career opportunities in foreign policy. The three-week Global Kids Summer Institute for high school students hosted by CFR at its New York headquarters convened group of thirty students to CFR in July 2015 for a program that featured interactive presentations by CFR fellows and other experts on a variety of foreign policy topics. Throughout the school year, CFR organizes and hosts monthly Global Kids foreign policy roundtables, bringing together an average of forty-five students for each session to discuss historical background and current policy perspectives on pressing international issues. Each spring, CFR hosts the Global Kids annual gala at its New York headquarters.

CFR continues to build relationships with ethnically diverse educational institutions through its Higher Education Working Group, which convenes college and university presidents annually at the New York headquarters 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, select colleges within the City University of New York system, and community college system chancellors. The January 2015 meeting was attended by Luis Maldonado, chief advocacy officer for the Hispanic Association of Colleges and Universities.

CFR's Academic Outreach Initiative is funded by internal CFR funds and an outside grant from an individual donor. The Higher Education Working Group, held in cooperation with the Forum for Higher Education, is partially funded by a grant from TIAA-CREF.

Religion Outreach. Through the Religion and Foreign Policy (RFP) Initiative, CFR makes a concerted effort to connect with religious leaders and scholars of minority faiths on a broad range of public policy concerns at the intersection of religion and global affairs. The initiative's conference call and roundtable series frequently address the persecution of minorities around the world. Recent sessions covered the state of international religious freedom, the persecution of Christians in the Middle East, and anti-homosexuality legislation in Uganda.

Each year, the RFP initiative convenes a workshop for congregational and lay leaders and scholars of religion to connect with policymakers, CFR fellows, and other experts. Thirty-four different faith traditions were represented at the May 2015 workshop, which included a panel discussion on the future of religious freedom both domestically and internationally.

The Religion and Foreign Policy Initiative is partially supported by a gift from a grant from the Ford Foundation and by internal CFR funds.

Education. CFR's new Education department is launching the CFR Campus initiative, designed to help students, educators, and the interested public develop the knowledge, skills, and perspective required to be informed citizens and successful professionals in today's interconnected world. The intent is to broaden CFR's reach to a more diverse audience, including students and faculty in established educational institutions, as well as lifelong learners. In addition to promoting existing educational CFR content and programming, Education is creating affordable, adaptable, and accessible resources for new audiences. The first of these original products is Model Diplomacy, which will be available in January 2016, a free interactive classroom resource that enables students to address pressing global issues by conducting realistic simulations in which they assume the roles of U.S. foreign policy decision-makers. A dedicated education portal, CFR Campus, will house all of CFR's educational content and programming. The Education department is currently promoting the Model Diplomacy program to institutions with diverse populations, including military schools, Historically Black Colleges and Universities, Hispanic serving institutions, Native American tribal schools, community colleges, and other minority serving institutions, such as the City Colleges of Chicago. As the program continues, the department will be tracking usage and targeting outreach to increase participation by minority groups. The Education initiative is supported by a gift from an individual donor and by internal CFR funds.

Additional information

CFR is submitting its response to the external review under separate cover.

COUNCIL ON FOREIGN RELATIONS

Expanded Diversity Initiative in Foreign Policy
Expanded Diversity Initiative in Foreign Policy: Additional Activities
 Financial Statement
 Robina Foundation
 November 1, 2014 - October 31, 2015

	Approved Budgets	Actual Expenses	Variance
Expanded Diversity Initiative in Foreign Policy			
Humanity in Action Two-Day Workshop at CFR	\$8,630	\$9,176	-\$546
Expanded Franklin Williams Internship Program	\$31,987	\$25,998	\$5,989
Conference on Diversity in International Affairs (Collaboration with the International Career Advancement Association and the Global Access Pipeline)	\$24,357	\$26,150	-\$1,793
CFR Participation in Career Fairs	\$19,742	\$18,440	\$1,302
Program Management	\$55,770	\$55,770	\$0
External Review Committee	\$30,000	\$17,318	\$12,682
Reallocated funds of \$30,000 in March 2015 for the following:			
Academic Outreach	\$17,400	\$10,820	\$6,580
CFR Educators Workshop	\$7,000	\$5,128	\$1,872
Fellowship Affairs Outreach	\$5,700	\$1,370	\$4,330
Adverstisements	\$2,000	\$0	\$2,000
Indirect Costs (excluding minority participation in summer internship program)	\$45,114	\$22,928	\$22,186
Subtotal	\$215,600	\$193,099	\$22,501
Expanded Diversity Initiative in Foreign Policy: Additional Activities			
Conference on Diversity in International Affairs (Collaboration with the International Career Advancement Association and the Global Access Pipeline)	\$51,250	\$47,407	\$3,843
CFR Program Management	\$146,575	\$146,575	\$0
Indirect Costs	\$28,950	\$29,097	-\$147
Subtotal	\$226,775	\$223,079	\$3,696
Total	\$442,375	\$416,178	\$26,197

Appendix A

Biographies of Franklin Williams Interns

Employed by CFR with a start date after November 2014

Fily Ba Camara is the fall 2015 intern for Africa Studies, which is part of CFR's David Rockefeller Studies Program. Fily currently attends New York University and will receive his master's degree in international relations in May 2016. Fily also has a master's degree in political science, and a bachelor's degree in political science, history, and black world studies from Miami University in Oxford, Ohio. Currently, Fily is the director of alumni relations at NYU's International Relations and Politics Association. He has also tutored with America Reads and America Counts, served as a graduate assistant for the Miami University Department of Political Science, and was a student court justice at Miami University Associated Student Government. Following his bachelor's degree, Fily was invited to present a lecture on "Food Sustainability in Developing African Countries" at the second Pan-African Conference at Miami University in November 2012.

Shawn Bush is the fall 2015 Education intern. Shawn attends Columbia University's School of International and Public Affairs, where he will receive his master's degree in 2017. Shawn graduated cum laude in 2012 from Howard University, with a focus on Spanish Language and Literature. He also received a certificate of international studies at the School of Advanced International Studies from Johns Hopkins University in 2014. Before interning with CFR, Shawn worked in the Office of U.S. Senator Charles E. Schumer as a staff assistant. Additionally, he has worked as an English teaching assistant at the Chilean Ministry of Education in Santiago, Chile, as a site coordinator at the Latin American Youth Center in Washington, DC, and as an assistant manager at the Medallmedic Military Insignia in Virginia Beach, VA.

Margo Cruz is the fall 2015 for Development. Margo attends Hunter College, where she is a Mellon-Mays Undergraduate Fellow, and will receive her bachelor degree in May 2016 in political science and economics. Prior to her Franklin Williams internship, Margo worked at the Mexican American Legal Defense and Education Fund as a fellow for the Southern Education Foundation. She has interned at the Ford Foundation in both their Education Opportunity and Scholarship sector, as well as the Office of the Secretary. Margo has also worked as a research assistant in the Department of Social Sciences at the University of Amsterdam, and she was the president of the United Nations Students Association at Hunter.

Alex Diaz is a recent master's graduate from Oxford University with a master's in public policy received in June 2015. He received his bachelor's degree from Harvard University in May 2014, graduating magna cum laude with a degree in Psychology in May 2014. He was awarded the New York Region 2014 British Marshall Scholarship, as well as the District 1 2014 United States Rhodes Scholarship. He was very active on Harvard's campus while a student there, and he played club basketball at Harvard and Oxford. Prior to graduating from Harvard, Alex interned at the United States Attorney's Office of Massachusetts and served as a Research Assistant to two professors.

Monique Gaynor is the fall 2015 intern with the Foreign Affairs, Advertising department. Monique currently attends Bernard M. Baruch College where she will receive an MPA in Policy Analysis and Evaluation in December 2016. Previously, Monique attended Northwestern University, where she received her bachelor of arts in 2013, majoring in political science and international relations with a focus on Latin America. Monique's professional experience includes administrative experience such as her role as a data entry operator at Cast & Crew Entertainment Services and document auditor at Uber. Additionally, Monique has marketing and outreach experience. Most recently, she was an Outreach Associate at New York City Coalition Against Hunger. She has also held a marketing internship at Great Clip and a Community Impact Fellowship at Upwardly Global.

Javier Gonzalez is a senior at Georgetown University, where he is pursuing a degree in International Politics, Foreign Policy, and Processes. His past experience includes interning at the Congressional Office of Representative Robert Francis O'Rourke and Office of Texas State Representative Joe Moody. As an active student body member on campus, he participates in Georgetown's student groups such as, the International Relations Club, the Mexican Student Association, and the Multicultural Council, where he is the Latin America Representative.

Alexis Holliday is a May 2015 graduate of Howard University with a bachelors in broadcast journalism and a minor in graphic design. Prior to joining CFR, Alexis was a News Intern at WTTG FOX5 DC. She was previously a contributing writer at her campus newspaper, and also interned at Radio One, Inc. as a Programming and Promotions Intern. Alexis has previous experience interning at Radio stations, including WHUT-TV 32 where she was a reporter and WHUR96.3 as a voice intern.

Luiza Monetti will graduate from NYU in May 2016 with a bachelor's degree from the Stern School in Management and Organization with a minor in Politics and Social and Public Policy. Luiza has held a number of jobs and internships including working as a copy editor for The Washington Square News, serving as a Communications and Marketing intern for Solvay, interning for Mentoring USA in the Corporate and Government Outreach department, and most recently prior to interning with CFR, she was an intern for the Jaime Oliver Foundation in London.

Brianna Patterson is the fall 2015 intern for the CFR.org news team. Brianna attends University of Maryland, College Park, where she will receive her bachelor's degree in December 2016 in Spanish, cross cultural communications, and international studies. Prior to her Franklin Williams internship, Brianna worked as a program assistant for the Hispanic Association of Colleges & Universities. She was previously a staff writer at University of Maryland's The Diamondback, and assistant editor for College Park Scholars in the communications department. Brianna also spent her fall 2014 semester in Havana, Cuba studying urban and linguistic anthropology at the University of Havana.

Zoe Sellers is the fall 2015 intern for the Washington Meetings department. Zoe attends Seton Hall University, where she is a member of the university honors program, and is a recipient of the SHU University Scholarship and the annual SHU Scholar of the South Award. Zoe will receive her bachelor's degree in May 2017 in diplomacy and international relations. Prior to her Franklin Williams internship, Zoe worked as an office assistant for Seton Hall University's housing and residence life. She has also worked as an office assistant at Seton Hall University's Student Financial Services and currently tutors for the Petey Greene Prisoner Assistance Program in Newark, NJ.

Sade Tuckett is a senior at Spelman College. She will graduate in May 2016 with a bachelor's degree in Psychology. She completed a foreign study in Ghana in 2014. In addition, she has worked as a program staff member for the Issac E. Young Middle School in New Rochelle, New York and as a sales representative for Vector Marketing. She is an active member in the Spelman community.

Afua Twumasi-Ankrah will receive her master's degree in International Communications from St. John's University in December 2015. She received her bachelor's degree in International Studies in May 2010 from The University of North Texas. She has studied abroad in Spain and Morocco, and between her degree pursuits, Afua worked as ESL Faculty in South Korea at the Chungdahm Learning Institute. Most recently to her time at CFR, she served as an external affairs intern for the New York City Department of Consumer Affairs.

Jasmine Wyatt is a May 2015 graduate of Harvard University with a bachelors in Government and South Asian Studies. Some of Jasmine's past experiences includes, working at the U.S. Department of State as a Public Affairs Assistant, interning for the City of Akron Mayor's Office, and interning at the Massachusetts State Senate Research. At Harvard, Jasmine co-founded and co-led Sisters of Strength, a women's empowerment group focused on leadership in minority women.

Appendix B

WASHINGTON, DC

Conference on Diversity in International Affairs

Friday, April 10

REGISTRATION AND RECEPTION

5:30 p.m. – 6:00 p.m.

WELCOME REMARKS

6:00 p.m. – 6:10 p.m.

James M. Lindsay, *Senior Vice President, Director of Studies, and Maurice R. Greenberg Chair, Council on Foreign Relations*

KEYNOTE ADDRESS

6:10 p.m. – 7:25 p.m.

Carla Harris, *Chair, National Women's Business Council; Director, Investment Banking Division, Morgan Stanley; Author, Strategize to Win: The New Way to Start Out, Step Up, or Start Over in Your Career*

Presider: Elizabeth Dahan, *Director, Macro Advisory Partners, LLP*

NETWORKING RECEPTION

7:25 – 8:30 p.m.

Saturday, April 11

REGISTRATION AND BREAKFAST

10:00 a.m. – 10:30 a.m.

Registration: 1st floor/Breakfast: 2nd floor foyer

WELCOME MESSAGE

Thomas Bowman, *Associate Director, Washington Program, Council on Foreign Relations*

10:40 a.m. – 10:45 a.m.

Live audio to breakout rooms

BREAKOUT SESSION ONE

10:45 a.m. – 12:00 noon

Please refer to breakout assignment sheet

Working in Foreign Policy: Lessons Learned

Participants will learn about experiences working in various offices in government, as well as the various foreign policy issues covered during their careers in government.

Farah Pandith, *Adjunct Senior Fellow, David Rockefeller Studies Program, Council on Foreign Relations; Former Director, Middle East Regional Initiatives, National Security Council*

Zeenat Rahman, *Fellow, Institute of Politics, University of Chicago; Former Special Adviser on Global Youth Issues, U.S. Department of State*

Michael Singh, *Managing Director, Washington Institute for Near East Policy*

Presider: Rosita Najmi, *Program Officer, Financial Services for the Poor, Bill & Melinda Gates Foundation*
2nd floor

Developing Competitive Applications: Scholarships, Fellowships, and More

Participants will learn about internationally focused scholarships, fellowships, and other opportunities and discuss strategies to develop a competitive application to graduate school, fellowships, and internships.

James Gadsden, Senior Counselor for International Affairs, Woodrow Wilson National Fellowship Foundation

Erin Mann, National Director, PPIA Fellowship Program

Presider: Kim McClure, Foreign Service Officer, Department of State; Founder, Gotta Go Global
8th floor

Speed Networking

During this interactive session, participants will have the opportunity to meet many people in a short timeframe. The session facilitators will provide clear guidelines for the session, and will lead participants into an exciting and fruitful exercise intended to expand your network and enhance your networking skills.

Facilitators:

Kristin Hayden, Founder and Senior Advisor, One World Now!

Nicole Rumeau, Senior Project Manager, STARTALK, National Foreign Language Center

1st floor

Human Rights Defenders: Different Approaches and Actors

People all over the world strive for the realization of human rights according to their circumstances and in their own way. This panel will feature a discussion of different actors and different approaches in pursuing human rights around the world.

Tarek Elgawhary, Chief Executive Officer, Coexist.org

Ken Payumo, Chief of the Peacekeeping Operations Support Section for Department of Safety and Security, United Nations

Presider: Mark Quarterman, Senior Fellow, Enough Project

7th floor

LUNCH RECEPTION

12:00 noon – 12:45 p.m.

2nd floor foyer

PLENARY SESSION

12:45 p.m. – 1:45 p.m.

World Economic Update

This plenary will focus on current trends and potential developments in the world economy.

Jerry Lavell Johnson, Founding Member and Managing Director, RLJ Equity Partners

Karen H. Johnson, Independent Consultant; Former Director, Division of International Finance, Federal Reserve System

Presider: David Trulio, Director of Operations, Raytheon International, Inc.

2nd floor

BREAKOUT SESSION TWO

2:00 p.m. – 3:15 p.m.

Experiences in Entrepreneurialism

Making your own path in business or policy can be a challenging road. The panelists will discuss their lessons learned as well as advice on how to engage the entrepreneurial spirit.

Lee Brenner, Lead, Global Business Development, Microsoft Corporation

Esther Lee, Cofounder and Vice Chair, Council on Korean Americans

Presider: Amy Wilkinson, Lecturer, Stanford Graduate School of Business; Author, *The Creator's Code*.

7th floor

Knowing Your Brand

Technology, compounded with consumer and social demands, is quickly transforming the global marketplace and the role institutions and individuals play in it. Creating a brand is not only economically and socially desirable, it has considerable political and strategic implications. This session will discuss these trends as well as best practices in realizing and creating one's brand.

T.C. Cooper, *Chief Executive Officer, Upward Action*

Tanvi Madan, *Director, India Project, Brookings Institution*

President: Melinda Wuellner, *Deputy Director, Communications and Marketing, Council on Foreign Relations*
8th floor

Honing Your Writing Skills for Professional Success

This interactive seminar will focus on identifying and strengthening writing skills, critical to success in international careers. After the initial presentations, the group will break into smaller groups to work on interactive exercises.

Terry Davidson, *Chief of Recruitment Outreach, U.S. Department of State*

President: Patricia Scroggs, *Director, Rangel International Affairs Program*

Table Facilitators:

Maria Carland, *Independent Consultant; Senior Advisor, ICAP*

Lynne J. Sport, *Senior Director, Human Resources and Administration, Carnegie Endowment for International Peace*

1st floor

How New Demographics are Remaking U.S. Foreign Policy

This session will examine how societies around the world are coping with the broad range of demographic challenges and assess what conditions may help transform these trends to benefit the security interests of the United States.

Frances Colon, *Acting Science & Technology Advisor to the Secretary of State*

Mark Hugo Lopez, *Director of Hispanic Research, Pew Research Center*

President: Farrah Barrios, *U.S. Department of Agriculture*

2nd floor

CLOSING PLENARY

3:45 p.m. – 5:00 p.m.

How to Get a Global Education

This plenary will examine both traditional pathways in higher education as well as less traditional routes for students to learn about and prepare for careers in public and foreign policy.

Edith Bartley, *Vice President, Government Affairs, Thurgood Marshall College Fund*

Anya Schmemmann, *Assistant Dean, School of International Service, American University*

President: Charles Landow, *Director, Education Content, Council on Foreign Relations*

2nd floor

CAREER COUNSELING SESSIONS

BY APPOINTMENT ONLY

SATURDAY, APRIL 11

9:45 a.m. – 5:00 p.m.

One-on-one career counseling sessions are available by appointment only. If you are registered to meet with a career counselor, please arrive at the designated room five minutes prior to the start of your session.

David Fletcher, *Career Advisor,
School of International Service,
American University*

Lounge, 1st Floor

Katherine J. Taylor, *Student Affairs Coordinator,
Office of Career Services, University of Maryland*

Small Conference Room, 2nd Floor

Maria Pinto Carland,
Senior Advisor and Career Counselor, ICAP

Members Lounge, 2nd Floor

Marc St. Hilaire, *Career Advisor,
American University*

Small Conference Room, 7th Floor

Appendix C

Constant Contact Survey Results

Survey Name: 2015 CDIA Conference Survey

Response Status: Partial & Completed

Filter: None

May 07, 2015 5:44:16 PM

1. Which of the following best describes your current status?

	Number of Response(s)	Response Ratio
ICAP Alum, ICAP Senior Mentor, or ICAP Staff	16	25.8%
Leader of a GAP Member Organization	3	4.8%
Professional	15	24.1%
CFR Member	3	4.8%
Graduate Student	8	12.9%
College Student	20	32.2%
Other	4	6.4%
Total	62	100%

Humanity in Action Fellow

One World Now!

GAP Individual member

Recent graduate / new professional

2. How would you rate the conference overall?

Top number is the count of respondents selecting the option. Bottom % is percent of the total respondents selecting the option.

	Excellent	Good	Fair	Needs Improvement
	41	16	5	0
	66%	26%	8%	0%

24 Comment(s)

The conference afforded me the opportunity to interact with people along a very broad continuum of experience from students to senior folk. I met entrepreneurs and scholars. In that regard, it was most valuable. I have been in contact with several people I met at the conference. Today, for example, I am supporting a LearnServe event in DC. Last week, I served as a GAP activity at American University. Next week, I plan to have dinner with an Entry Level FSO and American University graduate

Congratulations to all those involved! Smaller than last year, it was more effective in terms of networking. Carla Harris was a terrific keynote. The workshops seem to have gone well (I've since been in touch with most of those in my workshop breakout group), and counselees seemed better prepared and focused. The reception was just the right size to talk to everyone. The whole event, start to finish, was a great success.

Although the programs were very enjoyable, the conference felt a bit rushed and I wish we had had more time to network and meet different professionals.

Many of the sessions were tailored to students, particularly the writing one. I'm a recent graduate.

It would be a bit more beneficial for me as a Grad Student if there were more fellowships or employment workshops that focused on my level.

One of the presenters, Amy Wilkinson, indicated that she didn't think racial diversity was a particularly important type of diversity. The culturally insensitive remark demonstrated an ignorance about the systemic exclusion of racial minorities, and the requisite efforts needed to create equitable Carla Harris was fantastic.

Great conference, great speakers, and awesome workshops!

I had an amazing experience and met great people! Thank you for your hard work! It is really important and should continue!

I only attended Friday night, so I cannot comment on the entire conference.

for my purposes. I would think it is excellent and very useful for a student

The panels and individual sessions were all interesting and useful.

I wish the conference was longer and incorporated more break out sessions.

I think this Likert rating scale is deceptive. Something that is Good or Fair can also still need improvement. Why not just put "Poor"?

I loved the opening lecture, it was excellent. I worry that the program has gotten very geared to the younger cohorts and doesn't feel like its for ICAPers anymore. That is OK, but just sharing that we would like a reunion too.

Panels with policy professionals like "Foreign Policy: Lessons Learned" were very useful. However, other panels seemed less focused or

I thought the workshops were very helpful and interesting. The people were all very welcoming and overall helpful.

It was my first time attending a conference like this and it was a wonderful networking experience as well as an incredible opportunity for

Speaker Carla Harris is great choice for opening speaker. She is inspirational and motivating.

excellent organization and event planning

The speakers were fantastic!

I enjoyed the diversity in workshops as well as the opportunity to network with such respectable international affairs professionals.

Well organized with time to network, learn and be involved.

I really enjoyed Carla Harris. She was amazing!

3. What was the most useful aspect of the conference?

62 Response(s)

Connecting with colleagues and hearing from the opening speaker, Carla Harris.
Carla Harris' talk, Lessons learned from working in foreign policy w/Farah Pandith, & meeting career counsellors & ICAP advisors.
Keynote speech on Friday evening with Carla Harris.
The interaction between individuals from different stages of the diversity pipeline.
Speed Networking and the times when we could converse with other professionals.
I'd have to say the one-on-one career counseling sessions. This was indeed a unique value add for attending.

The keynote speaker, Carla Harris, was outstanding. I have sent the link to her presentation numerous contacts from students to Ambassadors Davis, Brazeal and Jeter. I also found Karen H. Johnson particularly thoughtful and effective in presenting complex data in a way that was not condescending. Jerry Johnson's focus on ethics was refreshing.
Aside from Carla Harris, the size of attendance made it easier to greet old friends, and still have time to meet the younger attendees.
The workshops (loved the human rights one) and the mentorship program.
The career counseling session

Networking with professionals from a range of organizations in my field of interest was extremely useful. The talk from Carla Harris was particularly inspirational. I'm already halfway through her book and have made so many good connections and career steps because of her advice and the momentum of the conference!
The terrific sessions/speakers and great opportunity to meet impressive young individuals.
The most useful aspect was getting to know people of color in the IR field.
Meeting the Director of the fellowship programs at CFR. She was accessible, and provided information that was very helpful to me and other prospective applicants.

connecting with mentors
networking and reconnecting with talented professionals.

The most useful aspect to the conference was getting to meet a diverse group of individuals from all different walks of life. Along with that, speaker Carla Harris was very motivational and as a undergraduate college student, her speech was very motivating and inspiring!

The Career Counseling session was the most useful aspect of the conference because the counselor helped me find ways to supplement my phd in history with policy and abroad experience so that I may maximize my unconventional approach toward a foreign affairs career.
I only attended Friday night. I always enjoy the keynote as well as the time to network and meet up with old friends.

break periods for networking
Interaction with other young professionals
Both meeting new people and learning about opportunities.
Keynote speaker Carla Harris. The copy of her book was an unexpected and very generous gesture. Thank you
The keynote speaker and networking session.
Being able to connect with professionals in my field of interest.
The plenaries on foreign studies and demographics, and the CFR resources on the day of, informational pamphlets and books for participants.
Carla Harris's keynote was amazing!
The speed networking was great
Receiving help on my resume.
Both the speeches and the network/breakout times were really great.
The opening plenary and the networking opportunities.
The "Lessons Learned" panel was the most useful to me.
Diversity is on people's minds! Bringing people with other perspectives to the table!
The guest speaker, Carla Harris at the Friday Night reception and the mentor pairing.
Networking

The networking and Carla Harris' speech.
The lecture and the opportunity to meet younger up and coming. Like the speed networking. would have loved to attend the managing your brand
The tailored panels were the most useful.
Being able to participate in on-site mentoring. And being able to network and meet high-level principals/professionals from diverse backgrounds.
All of the resources for young professionals of color
Networking and panels with policy professionals that were very focused.
Breaking up into smaller workshops was really well done.
I enjoyed the networking and the talk with Carla Harris.
The networking and the workshops.

The individual counseling sessions were really helpful. I think it set out a time to really receive individualized attention to really 1. get to know the mentor/counselor and 2. receive very great professional advice and guidance

Writing workshop
Networking and getting to speak with and hear tips from the people who would be reading my fellowship application.
Networking Opportunity and Panelists/Discussions
Networking opportunities, thoughtful discussions on relevant topics.
The opportunity to network with the community and to hear Carla Harris' thoughts on strategy and advancement.
Possibly the presentation by Carla Harris, the keynote speaker.
Sessions with practical advice, such as the one on social media.

meeting those professionals who are working in the area of International Affairs
Getting to meet people a group of people in different fields
The most useful aspect was the diversity in the panelists. Their different backgrounds and experience was extremely informative.
The diversity of panels to visit was the best aspect. Also there was a lot of time for networking, which was also useful.
I enjoyed the keynote speaker as well as the break-out sessions.
Speakers were focused and engaging. Sessions started and ended on time
The networking opportunities
Thanks for adding the workshop on entrepreneurship.
Incredible speaker for the first night. Message related to public, private sector professionals.
Networking

4. Please share something you learned from attending this conference.

38 Response(s)

How to better lean in on my own career and give back when I can.
I especially appreciated the flash mentoring opportunity the conference afforded. I am well on my way to establishing mutually beneficial ties with several young professionals.
I loved the notion Carla Harris described as
"training people to care", and her advice to understand the adjectives that describe you -- two pieces of wisdom I'm going to use on my own counselees!
Having on-the-ground experience is essential.
The world economic update was super useful and the panelists spoke in clear and understandable language
I learned about Carla Harris
The keynote speaker Carla Harris provided very helpful tips for aligning one's strengths with the goal of the organization in which he/she wants to be
Carla's pearls - I am actively seeking a sponsor now. Also, am considering returning to school to freshen up my skill set.
From this conference, I learned how to improve my professional writing skills, learned about the different career fields in the international relations and foreign policy field, and improved my networking skills!
I thought the World Economic update did an excellent job of speaking about globalization and explaining the 2008 financial crisis. I learned about what countries in Europe are doing in the aftermath. This made me more interested in EU politics and what China is doing!
Former Fed Reserve speaker at Economic forum was excellent and pushed the envelope of my recent thoughts about the global economy. The other speaker was fair.
Don't be afraid to ask for what you want.
I learned that the only way to move up the ladder is to build relationships.
The changing demographics of the State Department is leaning towards the growth of latin americans and asians in the country.
?
To not be afraid to be the minority in the room because your opinion is wanted.
I was introduced to Carla Harris, and hearing her insight was invaluable.
Not that I learned anything specific, but it was great to see and hear from other professionals and pre-professionals from diverse backgrounds.
I learned a lot about the role of human rights in a practical sense. Even if your title doesn't say "human rights" in it, you can still frame solutions to include human rights advocacy.
Carla's points were great!
I learned about multiple fellowship opportunities for mid-career professionals
I appreciated hearing the professional and personal experiences of the "Lessons Learned" panel. They were candid, reflective and gave me more insight into a long-term career in foreign policy.
I learned that there are many career paths to working in foreign affairs.
That you should not be afraid to talk to someone and reach out to them afterwards about your conversation.
I learned that a lot of people didn't know they would end up where they are. They tried out numerous things before falling into a profession that they love and so it is okay to not know what you're doing and to embrace the unknown.
I learned about the ICAP program. Many young professionals from the west coast don't really know about ICAP.
Nearly everything relies on perception, your competency isn't the main role in whether you are selected for a job.
Linking a organizations values with skill sets you can bring to bear
I learned more about the global economic outlook, with very in depth discussion from representatives from the private sector, Federal Reserve etc.
In an interconnected world, understanding nuances in economic policies, and politicization of the financial sector is critical.
Strategic thinking on assertive professionalism and advancement in one's field.
The difference between an advisor, a sponsor and a mentor.
Learned about interesting initiative in social entrepreneurship with a multi-ethnic coffee cooperative.
I learned how to write a brief for the government.
I learned more about the changing racial demographics of the country and how diversity is going to continue to be an ongoing discussion and hopefully policy issue when looking at how to increase numbers in international affairs.
I feel that I am more well versed in the professional opportunities in international affairs.
I learned a lot about different career paths I may have not considered before
That senior managers in private and public sectors are seeking to learn how best to interact and empower the millennial generation.
I learned what potential employers are looking for in employees

5. What suggestions do you have about the conference for our future planning?

40 Response(s)

Keep it going. It is much needed in motivating and preparing a diverse workforce.

Please have speakers remember that there are both young students and professionals but also very seasoned executives in the audience and it would help to speak to both. I don't think many of them were told about the latter group and had a hard time engaging our questions and comments thoughtfully.

Vet moderators more carefully.

Maybe prep speakers so they know that there are a variety of attendees in the audience (students, new professionals, mid-career professionals etc.) so that they can stratify their advice appropriately.

The closing plenary seemed redundant, almost a filler. I'd recommend having a more focused final plenary that gets people motivated to act on the information they've gleaned.

Find ways to make it easier for attendees to meet ICAPers - and Tom and Emtal

I wish the career counseling session had been a bit more productive. Mine felt rushed and I didn't get much out of it. I also suggest having a wider variety of international non-profits represented at the conference.

Have a bigger space for lunch

More time for lunch - we were rushed

More tables for lunch

More talks about how to leverage one's diversity rather than just hearing about the importance of diversity

It would be great if we can be separated between undergrad, grad, and mid-career professionals

Speakers should not devalue, in words or action, the importance of the very diversity that CFR is seeking to promote.

Nothing. I really enjoyed attending the conference!

I would offer more career counseling session if possible. I would also change the closing plenary on the topic regarding HOW TO GET A GLOBAL EDUCATION. I didn't learn much. Participants would be better served if that were a workshop. I would have replaced that plenary with a panel of people speaking about their work in foreign policy! More helpful!

This year and in 2013 when I last attended, it still feels like this is a conference for students and really offers little to professionals other than mentoring and the chance to see and network with each other in breaks. That is very disappointing.

I would suggest to have more interactive sessions to better stimulate the audience.

Better coordination in the break transitions instead of turning the lights on and off.

I think it was generally very good. As a mid-career professional it would have been nice to have one or two things geared towards us, but I understand this was mostly for students.

Possibly more time to mingle.

I enjoyed the mentoring program as a mentor. I think a similar program linking professionals with similar interests with each other would be highly useful.

I wish there had been more time for networking/chatting. I barely got time to talk with my mentee, which I feel bad about. The other attendees seemed so great, and I wish I had been able to get to know them better. I also think it could be helpful to have some sessions more focused for the professionals, vice undergrads/grad students.

Share with those who are professionals- how to lift others up to the same positions they are in. Diversity is not a quota- you do not try to bring in people just because they look different. It's important for conference go-ers to understand that more needs to be done in terms of getting more people to the table, not just those who are lucky.

n/a

I suggest having two tracks during the conference, one for beginning professionals and one for mid-career professionals. I know the main goal is for students, but there were a lot of mid-career professionals there. It would have been nice to have a few professional development sessions for them. It will be useful to pair mentors/mentees after a questionnaire to ensure that there will be similarities or equal interest in one another. Perhaps more defined tracks for undergrads, grad students, young professionals, educators, etc.

Make sure moderators and participants are actually sensitive to diversity issues. Some of the language used in the conference was very uncomfortable or downright offensive - from the first night intro of Carla, "it is so nice to see all of the colors in the room" to the panel comparing developing countries to "children" at the table with the U.S.

More time for college students to connect with one another.

I think that everyone would benefit from a speed dating exercise at the beginning. I was at an advantage when it came to my peers because I had met a lot of different professionals (quickly), which made it easier for me to start conversations with them later on in the day.

I would suggest having everyone's affiliation on their name tag as well. Since the name tags only had names, it was difficult to know which organization they came with and whether they were also a college student or a professional.

I would like to see the conference do a workshop about the different international organizations out there. This would help with job prospects.

Maybe changing the sessions a bit, there were many I wanted to attend but couldn't. Make speed networking a plenary session.

I recommend including programming for mid-career professionals

The conference seems to be a bit more focused on very young professionals and students now. Many of the sessions were not applicable to mid-career professionals.

Cater more to the needs of mid career and senior level professionals.

It is a pity that some seminars that I have interest in started at the same time.

I would include a session on public diplomacy--specifically why it is becoming more necessary and learn how diversity can really make a difference in public diplomacy and shaping America's image.

I wish the conference was longer, I would have appreciated the opportunity to have attended some of the other workshops.

It was hard to hear the speakers (i.e. Ken Payumo) who have soft voices so that took away from an excellent session. I think all should be miked up as a courtesy.

N/A

Last keynote should not be focused just on graduate school next time, there must be some broader topics we can cover to appeal to everyone.
The initial mixer should be longer than 30 minutes

6. Please rank each of the events that you attended on Friday. Please answer only for those events which you attended.

Top number is the count of respondents selecting the option. Bottom % is percent of the total respondents selecting the option.

	Excellent	Good	Fair
Friday Night Reception	37 70%	15 28%	1 2%
Discussion with Carla Harris, Chair, National Women's Business Council; Director,	48 92%	4 8%	0 0%
23 Comment(s)			

Carla Harris was an AWESOME addition to the conference. Thank you for introducing me to her.
Thanks for the complimentary copy of Carla's book!

Carla Harris was, quite frankly, the highlight of the conference for me. So charismatic. I think that, in the future, in addition to seeking speakers for workshops with professional qualifications, the conference should also consider the speaker's interpersonal skills - it makes a huge difference.

Carla Harris is amazing. I was transfixed from beginning to end.

Carla was so inspirational! Fantastic keynote session!

It would have been nice to have more vegan options at the reception.

She was awesome.

Carla Harris's speech was amazing!

The discussion with Carla Harris was excellent because she gave us great advice and created an atmosphere more conducive to networking. I was nervous about the networking session but after she spoke I felt more at ease about it because I learned that others were as nervous as I was. The discussion changed the atmosphere for me in the most positive way.

I hear this was excellent but I did not attend. People consistently raved about her on Saturday. I think this would have been the most useful part of the conference had I attended.

She is amazing and inspiring!

I loved the keynote speech.

Wish it wasn't so long and we had more time to network afterwards

FANTASTIC!!

FANTASTIC!!!!

Great presenter who offered just-in-time advice to me!

This talk felt a bit like a motivational/promotional speech. Still, I think Carla Harris is an effective speaker and brought a lot of energy to the evening.

Carla Harris was truly inspirational and her talk was extremely engaging and enlightening, which perfectly sets the tone for the rest of the conference.

Maybe put Carla's pearls in the packet or as an insert to the book.

Fantastic and supremely helpful.

Great guest speaker! It was nice having someone outside of government and in the private sector because she was able to model how the public sector can benefit from the diversity initiatives that the private sector is implementing.

Carla Harris is a fantastic speaker and this was my favorite presentation

Outstanding choice for a speaker. Can't wait to read her book after hearing her speak on her pearls.

7. Please rank each of the workshops and plenaries that you attended on Saturday. Please answer only for those events which you attended.

Top number is the count of respondents selecting the option. Bottom % is percent of the total respondents selecting the option.

	Excellent	Good	Fair
Working in Foreign Policy: Lessons Learned	14 67%	7 33%	0 0%
Developing Competitive Applications: Scholarships, Fellowships, and More	7 50%	6 43%	1 7%
Speed Networking	11 65%	6 35%	0 0%
Human Rights Defender: Different Approaches and Actors	9 75%	3 25%	0 0%
Experiences in Entrepreneurialism	7 54%	4 31%	2 15%
Knowing Your Brand	8 38%	5 24%	8 38%
Honing Your Writing Skills for Professional	8	3	1

Success	67%	25%	8%
How New Demographics are Remaking U.S. Foreign Policy	16	2	1
Plenary 1: World Economic Update	84%	11%	5%
	12	14	6
	38%	44%	19%
Plenary 2: How to Get a Global Education	7	7	9
	30%	30%	39%
<u>22 Comment(s)</u>			

"How to Get a Global Education" was simply the worst session overall.

I found most of the break out sessions geared toward students and/or new professionals and bounced around a bit

I was on the application skills panel organized by Patricia Scroggs, and thought it was very useful. The rest of the time, I was counseling.

I thought the two plenaries lacked in depth and did not add much to the conference. Speakers were a little standoffish in the World Economic Update and How to Get a Global Education seemed more like a filler than anything else.

I wish I could have switched my session after meeting one of the panelists from another workshop on Friday night. The writing workshop was geared towards students.

I would have liked to see more information about opportunities for recent graduates who are now working professionals.

All were good, would be good to divide out the sessions for young professionals and maybe have one for mid-career and senior professionals more.

The Human Rights workshop was excellent because it was an honest discussion about the difficulties and realities of such efforts. I would have rated it better but my career counseling session forced me to miss half of it! The Writing workshop was so useful because as an academic I will be applying for fellowships for the rest of my life. Great to gain those skills now! The World Economic Update was brilliant! I learned so much about the world. The second plenary was boring. Better as a workshop.

Knowing your brand was really about creating a presence on social media. It was not described or advertised that way so it was not what I needed or was looking for.

The workshop 'The Developing Competitive Applications: Scholarships, Fellowships and More' was more toward fellowships and barely touched on scholarships.

The writing workshop could have had one table targeting mid-career professionals looking to sharpen their skills. I was hoping it might speak to writing for publication in magazines, blogs etc.

The economic update didn't seem to fit in with the program, and the male speaker was not very good.

Human Rights was great, would like to see work focused on systematic change.

The knowing your brand session was ok. I think the session focused too much on social media tips versus key elements important to creating your overall brand. It would have been more interesting to hear how the panelists developed their brands and what advice they could give us from things they have learned. Instead, it was more of a tutorial on various social media platforms.

I wish "knowing your brand" not only included development of an "online" brand, but also your face-to-face brand as a professional.

World Economic Update may have been too vague a topic. the panelists were experts in their field but the direct application of their statements was not readily present.

Knowing Your Brand was advertised as being more general and did not include information that the panel would focus exclusively on social media.

Knowing your brand was about social media - I would have like to know this before I signed up for it. The workshop did not meet up to the description.

Speed Networking is something all students should do - helps take advantage of the conference a lot more.

I think the plenary 1 was very interesting but hard to follow do to the financial language used.

The second plenary was not as helpful in my opinion.

The workshops I attended were very informative, but for the Diversity Explosion conference I wish there had been more structure to it. The speakers kind of just recited stats and opened up the floor for discussion.

Knowing your brand isnt what I expected, it didn't address social media as an individual platform, leaving out a large part of how many people use social media today.

The second plenary was the least useful, only because it mostly spoke to the undergraduates in the room about what they could do to get into graduate school.

1. Geared more for younger audience.2. Perspectives from the 3 presenters was excellent & informative.3. Another well crafted session.

8. What additional topics would you recommend for future years of this conference?

25 Response(s)

more field based career guidance, ie work overseas

Social Justice, Environmental Justice, the Innovation Economy, "Algorithmic transparency"

I like the emphasis on skills - training for professional writing, application tips, networking, etc. The attendees had clear take-aways.

Human Rights, NGO involvement in international affairs field, international development.

Something that is catered specifically to young professionals rather than just studentsBreakout sessions by region of expertise

Transitioning between public and private sector

Internships.

I would recommend having a panel discussing the meaning of diversity and it's different manifestations, especially intellectual. Diversity is too narrow if people look different but think the same way.

managing people and getting management opportunities, advocating for salary increase or more responsibility; networking with top actors when you are midcareer; work-life balance, educating your kid (pre college) to create global citizens -focus on local schools, programs for kids
 Learning InWork/Life BalanceEffective Oral CommunicationConflict ManagementLeading a Team
 I would recommend a political view on foreign policy through the eyes of business.

Specific regional foreign policies, US diplomatic relations, international conflicts, with experts such as former ambassadors, foreign ministers and statesman in the plenary.

Introducing various fellowships, scholarships and internships available for those interested in international affairs. Also, specific human rights violations workshops that address topics such as; FGM, human trafficking, racism and access to education for women and girls.
 A session on guidelines for diversifying organizations (hiring practices, outreach, institutional support, etc)

I think some of the sessions focused too much on private sector. Maybe a session on being a minority and dealing with a frustrating bureaucracy from the public sector perspective could be useful.

Panel discussing women in the intelligence community and something focused on students graduating from grad school like a recruitment fair.
 Something about changing careers mid-stream. Something about tips for salary negotiation at higher levels. More for mid-career professionals.

Negotiating your salary: Do's and Don'ts, how to obtain and succeed in foreign policy jobs abroad, and I would love to see a panel featuring mid-level professionals who have successfully worked their way up the ladder within the foreign policy field.

Race/Ethnicity in monitoring and evaluation in international affairs. The prevalence of gender as an indicator and the erasure of race in the field of international affairs.

I think the topics selected were fine (with the exception of the world economic update). In the future, I would just make sure that the descriptions of the panels are clear, that their scope is focused, and that the people moderating or participating are actually sensitive to diversity issues.

What sort of education (degree, certificate, school reputation) should someone in international affairs attend.

Gender topics

Navigating the Revolving Door: Moving from the public sector to the private... and back.

The second plenary session would be more relevant to the audience if it was about how to get local communities globally engaged somehow, or examples of people who have done this. I would like more panelists of color who have worked abroad for significant amounts of time mixed in with people who have worked on international issues who are DC based.

How to build networks

9. Please rate, if applicable, each of the following aspects of the conference.

Top number is the count of respondents selecting the option. Bottom % is percent of the total respondents selecting the option.

	Excellent	Good	Fair	Needs Improvement
Overall Quality of the Speakers	40 68%	17 29%	1 2%	1 2%
Topics and Issues Covered	27 45%	29 48%	2 3%	2 3%
Length of Conference and Breakout Sessions	31 54%	22 39%	2 4%	2 4%
Value of Information Provided and Analysis Offered by Speakers	31 55%	20 36%	3 5%	2 4%
Quality of Food	45 75%	11 18%	3 5%	1 2%
Quality of Conference Site	52 88%	6 10%	1 2%	0 0%
Registration Website	43 72%	13 22%	3 5%	1 2%
One-on-One Career Counseling	20 69%	5 17%	1 3%	3 10%
Networking Opportunities	38 66%	16 28%	3 5%	1 2%
Mentoring Opportunities	22 47%	14 30%	3 6%	8 17%
9 Comment(s)				

I was very pleased with my experience and look forward to participating in next year's program.

Didn't hear any speaker but Carla Harris. Can't comment on counseling (!) or mentoring - but I've been in touch with a dozen attendees I met during breakouts. The mentor didn't know exactly what was expected of her/him.

The mentor-mentee pairings were uneven. For instance, my "mentor" was the same age as me and was at a similar level professionally. The match was not appropriate and could have been more beneficial to a younger student.

My one on one counseling session was very useful and informative. I had set up a mentoring session, but didn't find out until I reached out to my mentor that she was not attending and was not able to set up a phone/skype session afterwards.

There were some staffers who were verbally aggressive towards participants. None of the serving staff were rude, but the women were abrasive and curt. They Career counseling was great!!

The mentoring session was very helpful, my most valuable takeaway.

I was not able to participate in the one-on-one counseling, nor the mentoring opportunity

10. Were you able to connect with your assigned mentor or mentee?

	Number of Response(s)	Response Ratio
Yes	37	59.6%
No	5	8.0%
Other	8	12.9%
No Responses	12	19.3%
Total	62	100%

NA

didn't have one

N/A

NA

N/A

mentee did not attend but we emailed

I was not assigned one

N/A

11. If applicable, how does this year's conference compare to previous years?

21 Response(s)

Always improving

Unfortunately, I only attended the reception last year.

I attended last year's conference. With the National Security Adviser and the Dean of SAIS, I thought how can they top it but you did. Carla Harris was a breath of fresh air. I thought she delivered a message of value to the inter-generational audience -- no small feat.

The conference improves every year, which is a tremendous tribute to the organizers!

N/A

Worlds better than the last conference I attended two years ago. The programming was more focused this year and it was better organized.

N/A

N/A

N/A

N/A

Friday seems to be consistently the best. I think progress needs to be made on having panels that address mid career and middle age issues. Having the last plenary about scholarships and fellowships is not useful for those of us working 20-30 years. That should be a smaller session. The plenary should apply to all.

The 2014 conference was fabulous -- sessions were relevant, speakers were well-informed and leveraged their expertise to speak about career advancement, and there were discussions specifically about strategies and next steps for career development. This year's conference was a bit of a letdown.

N/A

Just as good.

felt more geared to the younger folks

N/A

n/a

This one seems more applicable to more junior professionals.

Like last year's, equally good, better than two years ago.

This was my first conference, but I will certainly attend future conferences. Perhaps allow more people to register since I am sure there must have been a long waitlist.

N/A

12. Did the conference achieve the goal of connecting professionals and students from diverse backgrounds with career opportunities in international affairs?

44 Response(s)

yes

Yes

Yes

Yes, and I think it also achieved the goal of providing a space for professionals from diverse backgrounds to share experiences, gain feedback and discuss wins challenges in a safe, supporting space.

Yes

Yes - but it would be interesting to know what the students thought.

Yes, but not to the extent I had hoped.

I don't think I was exposed to career opportunities per se, more like informational sessions about what careers other people had. If that is the goal of the conference I would have liked to see a job fair or more material from recruiters.

YES!

Yes.

Yes!

Somewhat. It would have been nice to have sessions that were specifically targeted to specific groups (e.g., undergraduates, graduate students, recent graduates).

Absolutely.

YES!

I don't think so; not in my case. I met more students than I had the opportunity to meet professionals speaking about career opportunities. It would help if professionals were easier to identify. My mentor was really cool but didn't exactly have a career in foreign policy.

Not for professionals, though it created a venue between sessions for networking.

I think so!

Yes, the conference achieved the goal of connecting professionals and students from diverse backgrounds with career opportunities in international affairs. Nevertheless, I wished there was more professionals from a broader scope of foreign relations.

No; I got a great network but not much to help my career search.

Yes.

Yes

Yes, I thought the mix of students and professionals was really good. I was able to meet students with a wide range of interests.

SomewhatâI wish there had been more time for networking and getting to know each other. I felt very rushed in the breaks between sessions.

Yes

Yes.

I think so couldn't say for sure. The speednetworking certainly helped.

Yes!

yes

The conference succeeded in connecting young professionals and students from diverse backgrounds and offering exposure to the different types of work in the field of foreign policy. Most of the people I spoke with afterward did not have career opportunities that resulted from the conference. Better work with mentor pairings could improve this.

Yes.

I believe that it did. It was very helpful and overall an amazing experience.

All of the professionals were extremely friendly and welcoming and I think it really helped students feel more comfortable engaging and networking to get business cards, which is a good first step of developing a relationship.

no

For the most part yes, it didnt give many foreign affairs careers.

yes

Yes, absolutely.

Yes, indeed.

I think so.

It seemed so, I saw a lot of mentor--"mentee" conversations happening during breaks.

Absolutely.

Yes!

Yes, I feel like the conference facilitated conversations between students and professionals very effectively

yes.

Yes.

13. Are there any other comments/observations that you would like to share?

17 Response(s)

No

While it was great to connect with so many young professionals, the conference skewed very young. This meant that like most of our career paths, we were unable to receive as much mid-career advice or easily find other mid-career people to network with & share our experiences.

Well done! I really enjoyed this conference. The 'feeling' was one of support, high energy, no pretense and genuine respect and interest in each other's career aspirations.

Not at this time

This is a wonderful way to prime the pump - we are maintaining our focus on the pipeline, and getting increasing commitment from individuals and organizations. Three cheers!

Overall, I enjoyed the conference and was glad to attend it.
I felt motivated and engaged by the conference, and I look forward to attending again next year.
The staff was very nice and helpfull

I think there should be a workshop addressing the limitations of institutional efforts to establish diversity. This conference did a great job to help a diverse group of SELECT students learn about how to enter foreign policy positions but did not address the actual inequalities(socio-economic and educational) and obstacles that prevent many students from minority backgrounds from reaching these positions in the first place. We were encouraged to enter these positions and do what we were told once there instead of using it as a stepping stone toward producing greater equality for others like us. I think we can reach further; we should reach further. Either way, it was an amazing experience and I hope to attend next year so that I can continue to learn more about foreign policy; I want to attend the WORKING ON FOREIGN POLICY: LESSONS LEARNED workshop next year (if it's still around)! Thank you for all your hard work and effort! What you are doing is very important!

If there are no sessions for a segment of the invitees, such as when the last session was offered on scholarships, the other guests should not be told to leave. We were told the conference went to 5 but our part really ended at 3:15 and the CFR staff was quite insistant and rude about trying to get people to leave. Our ICAP reception was at 5:30 and there was no where to go and nothing to do but network and talk in the meantime, but we were pushed out. Not an encouraging end.

Thank you and congratulations on a great event!

N/A

Great conference with a good mix of attendees. Well put together!

Thank you for putting this on. I'm sad that I'll be overseas during next year's conference. I really appreciate CFR's attempts to focus on diversity, even if there are still some kinks.

None

Very well done but less useful for mid-career people than in previous years.

The organizers did a fantastic job! I look forward to next year!

COUNCIL *on* FOREIGN RELATIONS

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November 2, 2015

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

Dear Penny:

Thank you again for sending me a copy of Joan Dassin's review of the activities supported by the two grants the Robina Foundations generously awarded to the Council on Foreign Relations (CFR) to underwrite the Expanded Diversity Initiative. I am writing now as you requested to provide the Robina Foundation with our reflections on the review.

We were delighted with the report's overall assessment that "*all* the funded activities are a good use of the Robina funds" (emphasis in the original) and that "the activities supported under the two Robina grants are of excellent quality." Although CFR's collaboration with Humanity in Action has ended, and as a result I won't address that aspect of the review in this letter, we were pleased the review saw value in what the Summer Fellowship and the Diversity and Diplomacy programs accomplished. We were equally pleased that the report affirmed the "positive impact of the Franklin Williams internship on the participants' lives and careers," that the annual Conference on Diversity in International Affairs "had an important legitimizing impact on the whole effort" to increase diversity in the foreign policy field, and that "there is little doubt that the heightened outreach reached and elicited applications from a large number of students." And we appreciate the fact that the review recognized the premise behind the Expanded Diversity Initiative: that "the intractability and stubborn nature of the larger problem, which involves overcoming the stubborn legacy of racism, discrimination, and sociological disadvantage, requires a multi-pronged approach."

The review's strongly positive overall conclusion is leavened with a question about the impact of these efforts. The review raises this question most directly in its discussions of the Conference on Diversity in International Affairs and the career fairs, but it could be asked of all the Robina-supported activities. As we noted in our original grant proposal, it will be years, if not decades, before we will know whether our efforts increased minority participation in the foreign policy field. We don't know yet if participants in the Humanity in Action and Franklin Williams Internship programs will choose foreign policy careers, or if they do, whether those experiences will be the reason why. Tracing cause and effect for mass-outreach efforts like the Conference on Diversity in International Affairs and career fairs is impossible, especially when we hope our efforts will continually reach new people every day through the power of the Internet.

While we cannot make definitive statements about impact, pursuing a range of efforts to bring people together in a high profile venue to discuss diversity, highlight its importance to the future of U.S. foreign policy, and disseminate the results globally almost certainly increases the chances that young minorities will choose foreign policy as a field. We can see some evidence to justify this view in the numbers the report provides on career fairs. Although only five students out of the thousands who attended career fairs went on to become Franklin Williams interns, those five students represented a quarter of the Franklin Williams interns supported by the Robina Foundation's grant. *

The report suggests how CFR might improve the already strong Expanded Diversity Initiative. Before I address these suggestions specifically, I should put the activities the Robina Foundation supports in the context of CFR's overall set of diversity activities. As the original grant proposals and the organization diversity reports we have shared with Robina all note, CFR has long pursued a wide range of diversity activities and collaborations. These efforts target high school students, college students, and early and mid-career professionals. We also vigorously recruit members of underrepresented groups to apply for Term and Life membership. And we have dedicated and active outreach programs to groups such as religious communities and colleges and universities that amplify our targeted diversity efforts. Joan understandably did not examine these broader efforts in her review. I note them here because CFR views its diversity efforts holistically. As we consider suggestions to take on new activities, we assess them in terms of what else we are doing in our diversity efforts and how new activities would fit into CFR's overarching mission to enrich the public debate on foreign policy.

The review sorted its suggestions by individual programs, so I will structure my response similarly: *

1. Franklin Williams Internships. CFR greatly values the Franklin Williams Internship program. We are not in a position, however, to increase the number of interns above the currently expanded level, as the review suggests. CFR's internships are highly selective and intensely immersive. CFR staff devote significant time and effort to recruit, train, and mentor interns, and we provide interns with desks so they can be fully rooted in the office and have the maximum opportunity to interact with CFR staff and members. As much as we wish it were otherwise, we have neither the administrative capacity nor the physical space to take on more interns. Any effort to do so would significantly diminish the experience for all the interns.

We will review how we advertise the Franklin Williams internship to potential applicants, including more clearly publicizing that the internships are paid, as the review recommends. We do not expect that review will lead us to increase efforts to advertise the program, especially in New York City colleges and universities, where we already have a significant focus and strong student interest. As the review notes, CFR has "aggressively marketed the internship to minority students" and conducted a "rigorous selection process." The more than four thousand applications we have generated have put considerable additional work on our Human Resources Department, which gives serious consideration to each and every application. Generating more applications when we cannot offer more internships would generate more work for CFR without generating any benefit for the students we are trying to reach.

2. Conference on Diversity in International Affairs. To further mainstream diversity as a policy issue, CFR proposes to take up the review's suggestion to hold an annual diversity conference in New York as well as in Washington, DC. CFR would collaborate with a range of New York-based organizations, as well as draw on its existing collaborations with the Global Access Pipeline and the International Career Advancement Program, in designing the day-long event. (The competition for meeting space in New

York precludes hosting a two-day event as is done in Washington.) To broaden participation in the conference and to deepen ties with colleges and universities with significant minority populations, CFR's Outreach team would leverage its network to invite professors—based outside of New York and Washington, DC, and representing institutions such as Tuskegee University, Spelman College, and Morehouse College—to nominate students from underrepresented backgrounds. Students would be nominated at the discretion of the institution based on their academic achievement, campus engagement, and leadership potential. Up to fifteen students would be selected, and those students along with their nominating professor would be invited to attend the conference. Travel expenses for both the student and nominating professor would be covered by CFR. The total projected cost for the event and student travel would be \$104,100. The specific line-item costs are contained in the budget included with this letter.

CFR would like to strengthen pre-conference and post-conference outreach, as the review suggests, by establishing a quarterly e-newsletter directed at conference participants. As with all CFR newsletters, anyone who visited CFR.org would be able to subscribe to it. The newsletter would be linked to CFR's career opportunities section and be promoted at college fairs. The newsletter would inform subscribers of CFR's diversity efforts, highlight relevant stories in the news, and share work being done on diversity issues by other institutions in the Global Access Pipeline and by universities and colleges CFR is working with. We believe that this newsletter could play the kind of brokering role in linking talented minority students and young professionals to educational and career opportunities in the foreign policy field that the review envisions. The projected cost of this effort, which primarily would be staff time to solicit material for the newsletter and to prepare it, would be \$67,000. The specific line-items costs are contained in the budget included with this letter.

CFR will also continue with its long-standing commitment to present a diverse range of ideas and people in all of its meetings. This is a cornerstone of CFR's overarching mission to enrich the public debate on foreign policy.

3. Increased Academic Outreach CFR has long worked in its diversity efforts to build deep collaborations with other institutions that can help us further our longstanding goal of increasing minority participation in foreign policy. This has been true of both the initiatives the Robina Foundation has funded and those that have separate funding sources. The Robina Foundation made it possible earlier this year for CFR to continue that deepening process by agreeing to reprogram the \$30,000 initially intended for the external review for efforts to enable to CFR cooperate more closely with select schools and professional organizations. CFR proposes to renew and expand that effort next year through four sets of activities.

- A) Increased Academic Outreach. CFR's Academic Outreach Program would participate and operate booths in three major professional conferences that attract large numbers of academics who belong to underrepresented groups: the Hispanic Association of Colleges and Universities, the National Conference of Black Political Scientists, and the HBUC Faculty Development Network.
- B) Increased Minority Participation in CFR's College and University Educators Workshop. CFR would underwrite the expenses of ten minority faculty to attend its College and University Educators Workshops, which bring together professors and teachers in fields related to international affairs and foreign policy at both the secondary and postsecondary levels to share methodology for teaching international affairs and foreign policy. CFR would increase the number of professors invited to

participate from five to ten. They would come from colleges such as Morehouse College, Hampton University, and Clark Atlanta University.

C) *Increased Fellowship Affairs Outreach*. CFR's Fellowship Affairs Program to make three trips to college and university campuses, especially historically black colleges and universities, to discuss fellowship opportunities at CFR; and

D) *Increased Advertising*. CFR would advertise its internship and fellowship opportunities in professional journals and conference programs that will likely reach members of underrepresented groups. Advertising outlets will likely include: the American Political Science Association's Annual Meeting Program Booklet, the National Minority Update Magazine, the Latin American Research Review, and the African Studies Review.

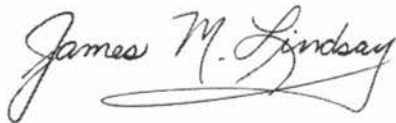
The total projected cost for the four sets of academic outreach activities, including the additional minority faculty's participation and the funds needed to cover the costs of the CFR staff supporting these activities, would be \$56,000. The specific line-items costs, which now include the cost of staff time to conduct these activities, are contained in the budget included with this letter.

The projected cost to carry out the activities proposed in this letter is \$261,165 (Budget D). The cost of funding these activities and the activities for the revised and realigned Expanded Diversity Initiative (\$299,152) outlined in our separate submission would be \$560,317 for a one-year period (Budget E).

Thank you again for this opportunity to respond to Joan's review and to propose additional ideas to the Robina Foundation. We share the review's conclusion that the Foundation's investment in diversity is a wise move that has the power to change the conversation and encourage minority participation in foreign affairs. We are proud to be part of that effort.

Please do not hesitate to let me know if you have any questions or need any additional information.

Warm regards,



James M. Lindsay
Senior Vice President, Director of Studies,
and Maurice R. Greenberg Chair
tel 202.509.8405 fax 212.434.9880
jlindsay@cfr.org

BUDGET D

CFR's Expanded Diversity Initiative in Foreign Policy: New Activities

July 1, 2016-June 30, 2017

1 Conference on Diversity in International Affairs (New York)	
Meals, catering, set-up expenses for workshop	59,600
Travel support for 30 minority faculty and students (air, hotel, meals, transport)	37,500
Travel for CFR fellows/senior staff to NY (air, hotel, meals, transport)	6,000
Rapporteur report	1,000
TOTAL Conference on Diversity in International Affairs (New York)	\$ 104,100
2 CFR Diversity in International Affairs E-Newsletter (Quarterly)	
Production	48,000
Design and development	3,000
Editorial review (4 publications per year)	10,000
Outreach and marketing	6,000
TOTAL Diversity in International Affairs E-Newsletter	\$ 67,000
3 Outreach and Communication Activities: Colleges and Universities	
<i>Academic outreach (Hispanic Association of Colleges and Universities, National Conference of Black Political Scientists, HBCU Faculty Development Network)</i>	
Booth Costs for conference venues (three)	6,000
Travel for two CFR staffers to the three conferences	9,350
Advertising	1,550
Sub-Total	16,900
<i>CFR Educators Workshop</i>	
Travel support for ten minority faculty (air, hotel, meals, transport)	12,500
Sub-Total	12,500
<i>Fellowship Affairs Outreach</i>	
Travel for two CFR staffers to the three universities (air, hotel, meals, transport)	5,200
Sub-Total	5,200
<i>Advertising</i>	
Professional journals	1,400
Sub-Total	1,400
TOTAL Outreach and Communication Activities	\$ 36,000
4 Program Management	
<i>Program Management Salaries and Benefits</i>	
Staff Support for Outreach and Communication Activities	20,000
TOTAL Program Management	\$ 20,000
TOTAL DIRECT COSTS	\$ 227,100
Indirect Costs at 15% of Direct Costs	\$ 34,065
TOTAL PROJECT COST	\$ 261,165

BUDGET E**CFR's Expanded Diversity Initiative in Foreign Policy**

July 1, 2016-June 30, 2017

	Year 5: Proposed
1 Expanded Franklin Williams Internship Program	
Intern compensation (3)	28,143
Travel for 3 interns (air, hotel, meals, transport)	3,600
Recruiting costs	973
Intern brochure (printing and mailing)	600
Total	33,316
TOTAL Expanded Franklin Williams Internship Program	33,316
2 Conferences on Diversity in International Affairs	
<i>Washington, DC</i>	
Meals, catering, set-up expenses for workshop	70,879
Travel for 5 CFR fellows/senior staff to DC (air, hotel, meals, transport)	5,953
Rapporteur report	1,000
Sub-Total	77,832
<i>New York</i>	
Meals, catering, set-up expenses for workshop	59,600
Travel support for 30 minority faculty and students (air, hotel, meals, transport)	37,500
Travel for CFR fellows/senior staff to NY (air, hotel, meals, transport)	6,000
Rapporteur report	1,000
Sub-total	104,100
TOTAL Conferences on Diversity in International Affairs (Washington, DC, and New York)	181,932
3 CFR Diversity in International Affairs E-Newsletter (Quarterly)	
Production	48,000
Design and development	3,000
Editorial review (4 publications per year)	10,000
Outreach and marketing	6,000
TOTAL Diversity in International Affairs E-Newsletter	67,000
3 Outreach and Communication Activities: Career Fairs, Colleges, and Universities	
<i>CFR Participation in Career Fairs</i>	
Travel for two CFR senior staff to three career fairs (air, hotel, meals, transport)	14,655
Staff support (3)	6,000
Sub-Total	20,655
<i>Academic outreach (Hispanic Association of Colleges and Universities, National Conference of Black Political Scientists, HBCU Faculty Development Network)</i>	
Booth Costs for conference venues (three)	6,000
Travel for two CFR staffers to the three conferences	9,350
Advertising	1,550
Sub-Total	16,900
<i>CFR Educators Workshop</i>	
Travel support for ten minority faculty (air, hotel, meals, transport)	12,500
Sub-Total	12,500
<i>Fellowship Affairs Outreach</i>	
Travel for two CFR staffers to the three universities (air, hotel, meals, transport)	5,200
Sub-Total	5,200
<i>Advertising</i>	
Professional journals	1,400
Sub-Total	1,400
TOTAL Outreach and Communication Activities	56,655
4 Program Management	
<i>Program Management Salaries and Benefits</i>	
Core Human Resources Program staff	58,023
Diversity Coordinator	59,800
Diversity Coordinator's budget (travel, meetings, networking)	10,506
Staff Support for Outreach Activities: Colleges and Universities	20,000
Total	148,329
TOTAL Program Management	148,329
TOTAL DIRECT COSTS	487,232
Indirect Costs at 15% of Direct Costs	73,085
TOTAL PROJECT COST	\$ 560,317

COUNCIL *on* FOREIGN RELATIONS

58 East 68th Street, New York, New York 10065
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November 2, 2015

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

Dear Penny:

As you requested, I am writing to explain how the Council on Foreign Relations (CFR) proposes to revise the funding for the Expanded Diversity Initiative to reflect the end of CFR's collaboration with Humanity in Action. In doing so, and as I discussed with you, the revised budget we are submitting aligns the activities and timetable for the two grants the Robina Foundation has given CFR for the Expanded Diversity Initiative.

The initial Expanded Diversity Initiative in Foreign Policy grant funded four complementary activities: 1) a collaboration with Humanity in Action, which includes funding minority participation in Humanity in Action's summer program and holding a workshop for all American Humanity in Action participants; 2) an expansion of CFR's Franklin Williams Internship for college and graduate students from underrepresented groups; 3) sponsoring an annual conference in partnership with the International Career Advancement Program and the Global Access Pipeline to inform minority students and young professionals about foreign policy career possibilities; and 4) increased CFR participation in college career fairs in New York, Washington, DC, and other cities around the country with significant minority student populations.

In September 2013, the Robina Foundation awarded CFR a second grant to support additional activities under the Expanded Diversity Initiative. These additional activities included: 1) further collaboration with Humanity in Action to launch a program on Diplomacy and Diversity, designed to encourage minority graduate students to pursue foreign policy careers; 2) additional funding for the Conference on Diversity in International Affairs; and 3) the creation of the diversity coordinator position at CFR.

The revised budget CFR is submitting combines these two grants and reflects the following changes:

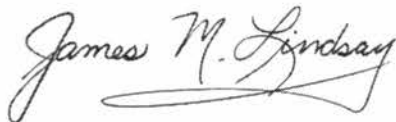
- 1) The elimination of funds supporting Humanity in Action's Fellowship Programs in the amount of \$885,972 (\$276,297 from the original Expanded Diversity Initiative and \$609,675 from Additional Activities).

- 2) The reduction of funds for the diversity coordinator by \$79,933 or fifty-seven percent. This decrease reflects the fact that the diversity coordinator's workload will no longer include liaising with Humanity in Action on its fellowship programs. The line item for program management for CFR's Human Resources department remains at the approved level since there is no change to the related programmatic activities. The diversity coordinator will continue to lead the planning for the annual Conference on Diversity in International Affairs with CFR's partners, ensuring the integration of the Franklin Williams interns into the intellectual life of CFR, coordinating and participating in career fairs around the country, and attending, with other CFR representatives, meetings and networking events with other think tanks on recruiting members of underrepresented groups.
- 3) The reduction in indirect costs to accurately reflect fifteen percent of total direct costs.

With these changes, the initiative's one-year projected cost is \$299,152. This is \$91,924 less than the total combined initial funding for CFR activities of \$391,075. Enclosed for your reference you will find original budgets for both the expanded diversity initiative (Budget A) and additional activities (Budget B) detailing what has been eliminated and reduced. Also enclosed is a combined budget for both grants (Budget C) outlining the proposed activities CFR will undertake for the one-year period beginning July 1, 2016.

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

Sincerely,



James M. Lindsay
*Senior Vice President, Director of Studies,
and Maurice R. Greenberg Chair*
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BUDGET A
CFR's Expanded Diversity Initiative in Foreign Policy
(First Grant)

July 1, 2016-June 30, 2017

	Original Approved Year 5	Proposed
1 Partnership with Humanity in Action		
<i>Humanity in Action's Summer Program</i>		
Minority participation in summer internship program	129,897	
HIA programmatic and administrative costs	59,534	
HIA program assessment costs	5,412	
HIA recruitment travel	11,699	
Total	206,542	n/a
<i>Two-Day Workshop</i>		
Staff support	9,850	
Meals, catering, set-up expenses for workshop	9,215	
Travel for 30 student participants to DC (air, hotel, meals, transport)	44,200	
Travel for 3 CFR fellows from NY to DC (air, hotel, meals, transport)	3,635	
HIA staff travel expenses for CFR DC workshop	1,755	
Miscellaneous cost (bus for DC group travel)	1,100	
Total	69,755	n/a
TOTAL Partnership with Humanity in Action	276,297	0
2 Expanded Franklin Williams Internship Program		
Intern compensation (3)	28,143	28,143
Travel for 3 interns (air, hotel, meals, transport)	3,600	3,600
Recruiting costs	973	973
Intern brochure (printing and mailing)	600	600
Total	33,316	33,316
TOTAL Expanded Franklin Williams Internship Program	33,316	33,316
3 Partnership with the International Career Advancement Association		
Meals, catering, set-up expenses for workshop	18,348	18,348
Travel for 5 CFR fellows/senior staff to DC (air, hotel, meals, transport)	5,953	5,953
Rapporteur report	1,000	1,000
Total	25,301	25,301
TOTAL Partnership with the International Career Advancement Association	25,301	25,301
4 CFR Participation in Career Fairs		
Travel for 2 CFR senior staff to 3 career fairs (air, hotel, meals, transport)	14,655	14,655
Staff support (3)	6,000	6,000
Total	20,655	20,655
TOTAL Increased Participation in Career Fairs	20,655	20,655
5 Program Management		
<i>Program Management Salaries and Benefits</i>		
Core Human Resources Program staff	58,023	58,023
Total	58,023	58,023
TOTAL Program Management	58,023	58,023
TOTAL DIRECT COSTS	413,592	137,295
Indirect Costs at 15% of Direct Costs	42,554	20,594
TOTAL PROJECT COST	456,146	157,889

BUDGET B

**CFR's Expanded Diversity Initiative in Foreign Policy:
Additional Activities**

(Second Grant)

July 1, 2016 - June 30, 2017

	Original Approved Year 3	Proposed
1. Partnership with Humanity in Action		
Program on Diversity and Diplomacy		
<i>Summer Program Workshop</i>		
Student participation in summer program (program stipend)	35,721	
Travel for 17 American student participants to Washington, DC program (air, hotel, meals, transport)	60,017	
Travel for 7 European student participants to Washington, DC program (air, hotel, meals, transport)	29,160	
Travel for 17 American student participants to Paris program (air, hotel, meals, transport)	92,150	
Travel for 7 European student participants to Paris program (air, hotel, meals, transport)	30,006	
HIA staff travel to Washington, DC (air, hotel, meals, transport)	12,812	
HIA staff travel to Paris program (air, hotel, meals, transport)	26,276	
Catering, rental for Washington, DC, program	10,202	
Catering, rental for Paris program	12,292	
Miscellaneous cost (museum fees, additional taxis)	6,724	
HIA program costs (supplies, print material, and books)	10,380	
Total	\$ 325,741	n/a
<i>Outreach and Planning</i>		
Minority student outreach trips (10)	5,778	
HIA staff outreach and planning trips - domestic (air, hotel, meals, transport)	9,048	
HIA staff outreach and planning trips - international (air, hotel, meals, transport)	10,128	
Recruitment in Europe	52,531	
Total	\$ 77,486	n/a
<i>Program Management and Administration: Salaries, Benefits, Stipends, Administration</i>		
HIA administrative costs (salaries, stipends)	186,486	
HIA administrative costs (insurance, legal, rent)	19,962	
Total	\$ 206,448	n/a
TOTAL Partnership with Humanity in Action	\$ 609,675	n/a
2. Conference on Diversity in International Affairs (Partnership with the International Career Advancement Association and the Global Access Pipeline)		
Meals, catering, set-up expenses for workshop	52,531	52,531
TOTAL CONFERENCE	\$ 52,531	\$ 52,531
3. CFR Program Management		
<i>Program Management Salaries and Benefits</i>		
Diversity coordinator	139,733	59,800
Program budget (travel, meetings, networking)	10,506	10,506
TOTAL CFR PROGRAM MANAGEMENT	\$ 150,239	\$ 70,306
TOTAL DIRECT COSTS	\$ 812,445	\$ 122,838
Indirect Costs at 15% of Direct Costs (excluding Section 1: Partnership with Humanity in Action)	\$ 30,416	\$ 18,426
TOTAL PROJECT COST	\$ 842,861	\$ 141,263

BUDGET C

CFR's Expanded Diversity Initiative in Foreign Policy

(Combined)

July 1, 2016-June 30, 2017

	Proposed
1 Expanded Franklin Williams Internship Program	
Intern compensation (3)	28,143
Travel for 3 interns (air, hotel, meals, transport)	3,600
Recruiting costs	973
Intern brochure (printing and mailing)	600
Total	33,316
TOTAL Expanded Franklin Williams Internship Program	\$ 33,316
2 Conference on Diversity in International Affairs	
Meals, catering, set-up expenses for workshop	70,879
Travel for 5 CFR fellows/senior staff to DC (air, hotel, meals, transport)	5,953
Rapporteur report	1,000
Total	77,832
TOTAL Conference on Diversity in International Affairs	\$ 77,832
3 CFR Participation in Career Fairs	
Travel for two CFR senior staff to three career fairs (air, hotel, meals, transport)	14,655
Staff support (3)	6,000
Total	20,655
TOTAL Increased Participation in Career Fairs	\$ 20,655
4 Program Management	
<i>Program Management Salaries and Benefits</i>	
Core Human Resources Program staff	58,023
Diversity Coordinator	59,800
Diversity Coordinator's budget (travel, meetings, networking)	10,506
Total	128,329
TOTAL Program Management	\$ 128,329
TOTAL DIRECT COSTS	\$ 260,132
Indirect Costs at 15% of Direct Costs	\$ 39,020
TOTAL PROJECT COST	\$ 299,152

COUNCIL ON FOREIGN RELATIONS
DIVERSITY PROFILE FOR THE ROBINA FOUNDATION

November 2, 2015

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-four-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 31 percent in 2015.
- The number of women and the number of minorities on CFR's staff both rose by 22 percent between 2011 and 2015. The number of women on CFR's professional staff rose by 68 percent, while the number of minorities rose by 100 percent. The number of women who are full-time or adjunct fellows in the David Rockefeller Studies Program rose by 40 percent.
- CFR's Outreach team has increased the number of subscribers for monthly eNewsletters by 23 percent to educators and 7 percent to religious leaders across the country since 2014. These groups receiving CFR materials represent a wide cross section of the population and reflect the shifting demographics of the United States.

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 4,200 life members and 800 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 28 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 CFR's future life membership. Whereas women make up 28 percent of overall membership, 38 percent of term members are women. Similarly, there are more minorities in term membership (31 percent) than in life (16 percent).

Since 2011, the percentage of term members who are minorities has increased from 26 to 31 percent. In terms of CFR's overall membership, the percentage of minorities has increased from 15 to 16 percent, and the percentage of women has increased from 26 to 28 percent.

B. CFR Staff

The diversity of CFR staff can be assessed along four 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 in October 2015 is as follows:

	2011		2014		2015	
	Number	Percentage	Number	Percentage	Number	Percentage
Overall CFR Staff						
Women	141	55%	174	56%	171	54%
Minority	70	28%	86	27%	87	27%
Total Staff	251		316		319	
Professional Staff						
Women	63	54%	98	54%	106	55%
Minority	23	20%	41	23%	46	24%
Total Professional Staff	117		181		194	
Support Staff						
Women	78	58%	76	56%	65	52%
Minorities	47	35%	45	33%	41	33%
Total Support Staff	134		135		125	

Currently, 54 percent of CFR's staff are women and 27 percent are minorities. 106 of CFR's 194 professional staff are women, and forty-six are African-American, Asian, or Hispanic. (CFR defines professional staff as mid-level through senior management positions, ranging from assistant directors through vice presidents.) Sixty-five of CFR's 125 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 five men.

The percentage of women and the percentage of minorities on CFR's overall staff both declined by one percentage point between 2011 and 2015, from 55 to 54 percent in the case of women and from 28 to 27 percent in the case of minorities.

The percentage of women on CFR's professional staff increased by one percentage point between 2011 and 2015 (from 54 to 55 percent), and the percentage of minorities rose by four percentage points over the same period (from 20 percent to 24 percent).

The percentage of women on CFR's support staff fell by six percentage points between 2011 and 2015 (from 58 to 52 percent), and the percentage of minorities fell by two percentage points over the same period (from 35 percent to 33 percent).

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 thirty-four full-time fellows. Their efforts are complemented by twenty-nine 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 is as follows:

	2011		2014		2015	
	Number	Percentage	Number	Percentage	Number	Percentage
Full-Time Fellows	31		42		34	
Minority	4	13%	4	10%	3	9%
Women	8	26%	14	33%	11	32%
Adjunct Fellows	24		19		29	
Minority	2	8%	1	5%	3	10%
Women	4	17%	3	16%	7	24%
Total Fellows	55		61		63	

The number of women who are full-time and/or adjunct fellows rose from twelve to eighteen between 2011 and 2015, an increase of fifty percent. The number of minorities who are full-time and/or adjunct fellows held steady at six of the same time period.

3. Fellowship Affairs

CFR administers seven 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 extensively markets its fellowship programs to organizations and networks with deep ties in minority communities. CFR regularly works with faculty at Georgia Institute of Technology, Howard University, Morehouse College, Spelman College, and Temple University, as well as with contacts at the Ron Brown Scholars Program, Posse Foundation Scholars Program, International Career Advancement Program, Charles B. Rangel International Affairs Program, Thurgood Marshall College Fund, the

National Association for Equal Opportunity in Higher Education, and the National Conference of Black Political Scientists to identify possible fellowship candidates.

Additionally, CFR's Fellowship Affairs team markets the programs through U.S. Department of State affinity groups, such as the Congressional Black Caucus and Congressional Hispanic Caucus, that serve underrepresented groups. CFR also markets its fellowship programs at conferences, such as the annual Hispanic Association of Colleges and Universities Conference and Conference on Diversity in International Affairs (hosted at CFR). CFR also holds fellowship information sessions on Capitol Hill for the Charles B. Rangel international affairs fellows, Donald M. Payne international development fellows, and Hispanic Association of Colleges and Universities interns.

In September 2015, senior CFR Fellowships Affairs staff hosted a fellowships information session for faculty of Spelman College, Morehouse College, Atlanta Metropolitan State College, and Clark Atlanta University in Atlanta, GA. Following the information session, CFR staff attended a private lunch with academic administrators organized by Dr. Fatemeh Shafiei of Spelman College. In October 2015, CFR staff participated in the annual Hispanic Association of Colleges and Universities Conference, which was held in Miami, FL. Lastly, in November 2015, CFR staff will visit the Ohio State University, where they will meet with the assistant provost and the executive director for mission and strategic partnerships in the office of diversity and inclusion as well as host a fellowships information session for faculty and students.

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 who will hold the fellowship.

2015-2016 Fellows	Minority	Women	Total
Visiting	0	3	10
Not-in-residence	1	4	15
Total	1	7	25

One minority candidate and seven women hold visiting or non-resident visiting fellow positions in the 2015-2016 fellowship 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 also continues to maintain a diverse composition of its fellowship selection committees. For example, the current International Affairs Fellowship selection committee includes six women and eight men, of which three are minority. In 2015-2016, the committee included five women and seven men, of which three 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 eight in CFR's 2015 fiscal year, with six placed thus far in the 2016 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. Eleven of the thirty-six Board members are women. Six of the thirty-six Board members are minorities.

Since 2011, the percent of women and minorities on CFR's board has stayed level. Women account for 31 percent of the Board and minorities account for 22 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 Outreach has identified three broad categories of constituents that provide a multiplier effect in disseminating CFR's resources and bringing foreign policy discourse into new communities. These are academics, including both educators and students; religious and congregational leaders and scholars; and state and locally elected officials and their staffs. CFR outreach activities and resources include monthly eNewsletters that reach 37,500 educators and over 15,000 religious leaders across the country, online teaching modules, interactive conference calls with foreign policy experts, and invitations to CFR-sponsored events. These groups represent a wide cross section of the population and reflect the shifting demographics of the United States.

B. Global Kids

CFR has worked with Global Kids for more than a decade. Global Kids is a nonprofit educational organization that offers in-school and after-school programs for high-school students from low-performing schools in neighborhoods populated by ethnic groups largely underrepresented academically, politically, and professionally. Global Kids seeks to ensure that participants 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 works with Global Kids on a range of programs to expose participants to international issues and career opportunities in foreign policy. The three-week Global Kids Summer Institute for high school students hosted by CFR at its New York headquarters convened group of thirty students to CFR in both 2014 and 2015 for a program that featured interactive presentations by CFR fellows and other experts on a variety of foreign policy topics. Throughout the school year, CFR organizes and hosts monthly Global Kids foreign policy roundtables, bringing together an average of forty-five students for each session to discuss historical background and current policy perspectives on pressing international issues. Each spring, CFR hosts the Global Kids annual gala at its New York headquarters.

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 (ICAP), CFR and GAP organize an annual two-day Conference on Diversity in International Affairs with the support of the Robina Foundation. The 2015 conference convened over 200 students, mid-career professionals, and seasoned practitioners from across the country at CFR's Washington, DC, office on April 10 and April 11, 2015. The conference included a keynote address by Carla Harris, chair of the National Women's Business Council and director of the Investment Banking Division at Morgan Stanley; a networking reception; plenary panels; one-on-one career counseling; and smaller workshops and skill-building sessions. The 2016 conference will be held on April 15-16 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. 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 and policy community. CFR is one of ten think tanks in the consortium; the others are the Aspen Institute, the Brookings Institution, the Carnegie Endowment for International Peace, the CNA Corporation, the German Marshall Fund, the Joint Center for Political and Economic Studies, the Peterson Institute for International Economics, the United Nations Foundation, and the Urban Institute. TTDC provides members access to research, surveys 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.

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

CFR has an on-going relationship with the Colin Powell School for Civic and Global Leadership at the City College of New York. Established in 1997, the Colin Powell School is committed to the values of service and leadership and serves students from diverse national and ethnic backgrounds. CFR hosts students from the Powell School for an annual briefing led by CFR scholars and staff. Additionally, students and faculty are invited to attend select CFR meetings over the course of the program year.

G. Outreach to Historically Black Colleges and Ethnically Diverse Institutions

Since CFR launched its Academic Outreach 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. CFR regularly sends representatives to the country's leading academic conferences which offer opportunities to connect with minority audiences. In March 2015, CFR participated in the National Conference of Black Political Scientists (NCOBPS) annual meeting in Atlanta, Georgia and was invited

to organize an event at the 2016 meeting in Jackson, Mississippi. In October 2015, CFR representatives attended the Hispanic Association of Colleges & Universities Annual Conference which brings together over 5,000 professionals from schools committed to Hispanic higher education success. CFR showcased resources at the Historically Black Colleges and Universities (HBCU) Faculty Development Network Annual Meeting in Atlanta from October 22 to 24, 2015.

H. Outreach to the Academic Community

CFR builds relationships with ethnically diverse educational institutions at the administrative, college and university, high school, and student levels.

The annual 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, have included the presidents of Tuskegee University, Spelman College, Morehouse College, Miami Dade, select colleges within the City University of New York system, and other institutions with predominantly minority populations.

CFR also organizes regular educators workshops at the secondary and post-secondary level. The purpose of the workshops is to provide the opportunity for educators to participate in substantive briefings and group discussions, learn about the wide variety of CFR open-source resources, and discuss best practices for bringing international politics into the classroom. In 2014 and 2015, professors from historically black institutions such as Howard University, Atlanta Metropolitan State College, Clark Atlanta University, Morehouse College, Hampton University, and Spelman College, participated in the tertiary-level educators workshop, as well as professors of color from other U.S. institutions.

I. Religious Diversity

CFR makes a concerted effort to engage emerging religious leaders and scholars of minority faiths. CFR is exploring inroads into new faith communities by participating in conferences, most recently at the October 2015 gathering of the Parliament of the World's Religions in Salt Lake City, Utah. At the conference, CFR hosted a booth and sponsored an event attended by more than 300 congregational and lay leaders and religion scholars. In addition to increasing engagement and participation with faith-based communities, CFR has concentrated efforts on bringing more diverse voices to CFR as speakers for conference call series and at roundtable sessions and workshop panels. Speakers at recent Religion and Foreign Policy Initiative-sponsored events represented over ten different faith traditions.

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The Council at 100 Campaign

October 2015

Final Draft

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\$150M

The Council at 100 Campaign: Sustaining Our Legacy, Investing in Our Future

When the Council on Foreign Relations (CFR) was founded in 1921, the United States faced a volatile world. As many Americans shifted toward isolationism, CFR emerged as a rare voice championing U.S. engagement in the world.

Today, almost one hundred years later, the United States again confronts a host of global threats. A quarter century after the end of the Cold War, policymakers are divided about U.S. priorities and how best to promote them. Much of this country's media is not providing sustained coverage of world affairs, and most schools do not adequately prepare students for the world they are to inherit. The result: the globe's most powerful country must try to lead with little consensus, inadequate knowledge, and no discernible intellectual compass.

In times such as these, Americans look for guidance from institutions that are trusted, knowledgeable, and honest. CFR is one such institution. Its seriousness of purpose, the breadth and depth of its members and experts, its unapologetic nonpartisanship, and its unrivaled ability to convene and publish the world's most influential voices on foreign policy set it apart.

The Council's success rests in no small part on its financial strength. Yet sustaining such strength is becoming increasingly challenging, as existing funding sources approach their limits and the costs of maintaining CFR's excellence rise. For this reason, we have embarked on the *Council at 100 Campaign* with the goal of generating at least \$150 million in new gifts to help secure our second century.

Currently, some three-quarters of CFR's operating revenues must be generated annually. Revenue streams, such as individual and corporate membership dues and the Annual Fund, are at or approaching their ceiling. CFR membership dues, for example, amount to nearly \$6 million annually yet they cover less than 10 percent of our operating budget. Dues are indexed to inflation as mandated by the Board of Directors and therefore cannot expand to cover growing operating costs. Our Annual Fund grows at an average rate of 5 percent, covering close to 15 percent of the Council's operating budget. Yet the Annual Fund's potential for further growth is limited because our membership grows at such a slow and deliberate rate. Revenue sources like advertising and publishing income may well decline, while still others—such as foundation support—are increasingly uncertain or come with burdensome conditions that would threaten CFR's intellectual independence and its ability to determine its own agenda. Meanwhile, the cost of doing what we do and want to do is increasing.

The result is a potential gap between what CFR is committed to do to maintain its excellence and what it has the resources to accomplish. Through the *Council at 100 Campaign*, we seek preemptively to close this gap.

No institution stays the same. Some decline while others prosper. This campaign will ensure that CFR continues to grow and thrive in its second century. It will allow CFR to meet future challenges with the resources required to sustain its excellence and leadership in the field.

Of the initial \$150 million campaign goal, a significant amount has been committed by the Council's leadership. We are now turning to other distinguished members to complete the effort. It is incumbent on each of us to do our part so that future generations continue to benefit from the Council's trusted output.

With the help of our members, the *Council at 100 Campaign* will achieve the following goals:

Secure CFR's Strengths

\$80 million – \$100 million

The Council is unique. No other organization simultaneously serves as a membership institution, think tank, forum, and publisher. No other organization can match CFR's intellectual independence and commitment to rigorous, nonpartisan, and relevant analysis of foreign policy trends. Campaign funds will help preserve this special character and quality. In addition, the campaign will enable CFR to harness new technologies, allowing us not only to enhance the security of our website and data management systems but also to enrich the experience of our members and reach new constituencies around the country and abroad.

Expand CFR's Agenda

\$50 million – \$70 million

The world has changed since 1921, growing more complex and unpredictable. CFR's intellectual agenda has evolved with it to meet new U.S. foreign policy challenges, many of which were unimaginable when the Council was founded. The *Council at 100 Campaign* will further expand the breadth and depth of the Council's suite of programs, particularly in the think tank. New funds will give CFR the flexibility to invest in emerging issues such as cybersecurity, energy and climate change, and global health, as well as to institutionalize highly successful programs recently added to the Council's research agenda, such as the Renewing America initiative and the International Institutions and Global Governance program. Campaign gifts will also allow CFR to attract and retain the best talent.

Increase CFR's Impact

\$20 million – \$30 million

International relations was once the exclusive domain of government officials, business leaders, foreign affairs scholars, and journalists. That is no longer the case. Every American is affected by what takes place in the world and has a stake in understanding global developments. CFR's programs and outreach must reflect this new reality by offering its vast resources to a wide range of constituencies. This includes CFR members, Congress, and executive branch officials, business leaders, and the media, as well as nontraditional constituencies such as students and educators, religious communities, state and local government officials, and young professionals. The *Council at 100 Campaign* will allow us to deepen our outreach to these groups through further investment in our education efforts and talent-development programs such as international affairs fellowships and military fellowships that help prepare the next generation of national security leaders.

The Council on Foreign Relations: Generating Ideas for a Volatile World

Since its founding in 1921, CFR has produced analyses and debates that have informed the U.S. foreign policy agenda. Its speakers, fellows, and authors—drawn from both sides of the political aisle—have provided the intellectual rigor, insight, and practical ideas needed to secure U.S. leadership throughout the twentieth century and into the twenty-first.

It was from CFR's New York City headquarters that General Dwight Eisenhower led the landmark study group that helped shape the rationale for the United States' defense of Europe, and that Henry Kissinger wrote his path-breaking treatise on nuclear weapons. It was in CFR's hallmark publication, *Foreign Affairs*, where George F. Kennan first elaborated his doctrine of containment, which came to define American foreign policy for the next forty years, and Samuel Huntington warned of the clash of civilizations.

Indeed, CFR's ability to contribute to public debate and shape U.S. foreign policy by producing timely, incisive, and trusted analysis has gone unmatched for close to a century. As Kennan put it, "While there are a number of other places in the world, including some very fine ones, which do the sort of things that the Council is doing, there is none that exceeded it in distinction, respect, and authority."

A Community of Distinguished Members

The Council on Foreign Relations is more than a think tank, more than a publisher, and more than a forum: it is, at its heart, a community of members committed to understanding and improving the foreign policy choices of the United States.

Among CFR's nationwide network of members are some of this country's most influential and thoughtful leaders. All of our members are carefully selected for their knowledge, experience, and interest in international affairs. As a result, they represent a group unequalled in accomplishment and diversity, spanning from top government officials, renowned scholars, and business executives to acclaimed journalists, prominent lawyers, and nonprofit leaders. Since 1921, one-third of U.S. presidents and almost half of vice presidents, two-thirds of the nation's secretaries of state and secretaries of defense, 80 percent of U.S. ambassadors to the United Nations, and 90 percent of U.S. national security advisors have been CFR members.

Our members come to the Council because they know it offers unparalleled access to world leaders and experts, as well as groundbreaking insights into the issues that matter most in foreign affairs. But just as our members rely on us, so too do we rely on them.

For close to one hundred years, the knowledge and influence of our members, as well as their financial support, have allowed the Council to attract the world's best minds, host the world's most important decision-makers, and publish the world's most authoritative works on foreign policy. Our members understand firsthand the value of the Council's integrity—and they know that without it we could not provide the high-quality work they expect.

CFR members have helped build an organization of national and global influence. Now we ask that they protect that legacy by contributing to the *Council at 100 Campaign*.

CFR's Legacy

The *Council at 100 Campaign* will help maintain our record of excellence and build on our core strengths:

Vision

When establishing CFR in 1921, our founders had a clear mission: to “afford a continuous conference on international questions affecting the United States, by bringing together experts on statecraft, finance, industry, education, and science.” More than nine decades later, that vision remains. Our sense of purpose has never been more clear or ambitious: to improve understanding of world affairs among our members, policymakers, students, and concerned individuals worldwide; to provide new and innovative ideas for U.S. foreign policy; and to find and nurture the next generation of foreign policy leaders.

Leadership

While many organizations simply follow the foreign policy agenda, CFR helps set that agenda. For almost one hundred years, our Board, staff, members, and fellows have helped develop the most groundbreaking thinking on foreign policy. Whether during the aftermath of the Second World War, the Cold War, or the tragedy of 9/11, CFR experts and members have provided the intellectual foundations on which many major U.S. policy decisions rest.

Integrity

CFR has made it a policy not to espouse or endorse any political ideology. Our work is rigorous and intellectually honest, and members, scholars, speakers, and authors express a range of views that may conflict but are neither censored nor institutionally endorsed. Because the Council does not accept funding from any government—including the U.S. government—it has the independence and integrity to speak truth to power.

Courage

Just as the Council has refused to cater to partisan politics, so too has it refused to shy away from controversy. We believe that to best understand the world around them, our members should have the opportunity to engage and question leaders regardless of their policies. That is why, among its long list of foreign speakers, CFR has hosted Cuba's Fidel Castro, Libya's Muammar al-Qaddafi, and Iran's Mahmoud Ahmadinejad.

Expertise

The Council is an incubator of ideas that shape the foreign policy agenda. None of our programs better embodies this ability than the David Rockefeller Studies Program. Comprising more than seventy full-time, visiting, and adjunct scholar-practitioners, the Studies Program covers the world's most important regions and transnational issues. In the last program year alone, CFR scholars wrote more than three hundred op-eds and published more than one hundred magazine and journal articles, gave two hundred briefings to officials at all levels of government, held over one hundred and fifty roundtables and meetings, published five books, and won twelve

prestigious awards. Through this impressive output, our scholars provided incisive thinking and concrete recommendations regarding the most pressing challenges facing the United States and the world.

Talent

CFR produces unparalleled resources not only by attracting world-class scholars, but also by helping to develop talented young professionals. Our international affairs fellowships, military fellowships, and Term Member Program serve as rich training grounds for the next generation of foreign policy leaders. Over half of the alumni of the CFR military fellowship program have advanced to the rank of admiral or general, including Stanley A. McChrystal, former commander of U.S. and international forces in Afghanistan. Past recipients of the signature International Affairs Fellowship include former Secretary of State Condoleezza Rice, U.S. Ambassador to the UN Samantha Power, and former U.S. Ambassador to NATO Ivo Daalder.

Excellence

CFR has earned a reputation for excellence, due in no small part to the quality and foresight of its signature magazine. Since 1922, *Foreign Affairs* has been the publication where thought-leaders have introduced new ideas and statesmen have turned for creative thinking. From Kennan and Kissinger to Huntington and Fukuyama, from U.S. secretaries of state and presidential candidates to global leaders and dynamic figures from the private and nonprofit sectors, its pages and pixels host world-class debates on the world's most important issues. Reinvigorated and retooled in recent years to continue succeeding in the digital era, the magazine's total paid circulation is over 180,000, and it boasts more than one million Facebook fans, almost half a million Twitter followers, and an average of about one million monthly unique visitors to ForeignAffairs.com. In early 2015, the magazine received its first-ever finalist nomination for a National Magazine Award for General Excellence.

Innovation

CFR innovates by employing new technologies to enhance the study of international affairs. In an evolving information landscape, we make complex issues more accessible to a wider audience across social media channels and distribution platforms, including CFR.org and ForeignAffairs.com. We pride ourselves on using the latest interactive technologies to shed light on issues as far ranging as the Sunni-Shia divide, Asia's maritime disputes, the emerging Arctic, the Kurdish struggle, child marriage, the Taliban, and climate change.

Convening Power

The Council's convening power is unrivaled. For close to one hundred years, we have succeeded in assembling the world's most important leaders, experts, and Nobel laureates to speak openly and candidly with our members. From Georges Clemenceau, Willy Brandt, Indira Gandhi, and Nelson Mandela to more recent guests, such as Narendra Modi, Aung San Suu Kyi, Recep Tayyip Erdogan, and Ashraf Ghani, we are able to convene world leaders because of our international reputation as a leading venue for scholarly discourse and serious debate on foreign policy issues. Like our members, guest speakers value CFR as a forum for open and thoughtful discussion before a highly informed audience.

CFR's Future: Securing Strengths

CFR's resiliency is due in no small measure to its excellence. Consistently, the Council has stood out from its peers, setting the bar on what can and should be achieved in the arena of foreign policy analysis. The *Council at 100 Campaign* provides an opportunity to secure such achievements and reinvest in the distinctive aspects of our work. It will allow CFR to develop in the following ways:

Sustain Our Tradition of Nonpartisanship and Intellectual Independence

To preserve its independence, CFR does not accept funding from the U.S. or other governments. One consequence of this policy is that we must depend on funds from other sources, including foundations. Unfortunately, a growing number of foundations are demanding a larger role in agenda-setting, often with strong expectations of a certain outcome. This is obviously unacceptable—and one reason we are committed to growing our endowment to ensure our long-term independence.

Through the campaign, we seek to grow CFR's endowment so that it generates one-third of our annual budget (up from 23 percent). CFR will be able to further invest in signature nonpartisan activities, products such as Independent Task Force reports and *Foreign Affairs* magazine, and subjects beyond the traditional foreign policy agenda.

Enrich the Member Experience

Our priority is to continue to serve the needs of our primary constituency, CFR's five thousand members. To do so, campaign funds will bolster the capacities of the Council's Meetings and Membership Program, enabling it to inaugurate new, timely programs, such as the "What to Do About" series, while also preserving its ability to attract the world's most sought-after speakers. Funds secured through the campaign will make it possible for CFR to invest in state-of-the-art technologies that can connect members across the world and modernize membership data management.

Enhance Technology and IT Infrastructure

CFR depends on the web and digital media to stay relevant and interact with its diverse constituencies. Technology has become "the new bricks and mortar," requiring regular maintenance and upgrades. Campaign funds will help modernize the Council's information technology infrastructure and protect its websites and internal systems by introducing and maintaining state-of-the-art measures that reduce vulnerability to cyberattacks. By increasing its investment in new technologies, CFR will also strive to maximize user accessibility, making its work more compatible for online consumption and more easily shared across new distribution platforms.

Upgrade Facilities

CFR faces many financial challenges associated with its landmark properties. Our historic New York headquarters must be continuously renovated, reimagined, and restored in order to increase the Council's utility as a meeting venue and workspace. We should have the flexibility to pay down

the debt associated with the purchase and renovation of our Washington, DC, building when most financially advantageous. Through the *Council at 100 Campaign*, we will ensure the future use of both buildings so they continue to provide elegant yet fully modern settings for Council meetings throughout our second century.

CFR's Future: Expanding the Agenda

CFR's Studies Program is world renowned as an incubator of ideas on the most significant challenges facing the United States and the world. We aim to keep it that way, which is why the *Council at 100 Campaign* will do the following:

Develop New Initiatives and Reinforce Existing Ones

CFR will establish a new Center on Technology and Cyber Policy, which will concentrate on the future of Internet governance, prevention of cyberwar and cyber conflict, and the role of the private sector and civil society in this new frontier.

The Council will build on the work of the International Institutions and Global Governance program and create new frameworks for addressing transnational issues, from climate change and energy security to global health and terrorism.

CFR will redouble its investment in the Renewing America initiative by creating a permanent center focused on the relationship between U.S. national security and domestic challenges, including trade, immigration, education, debt, and infrastructure.

Attract the Best Talent

To ensure that the quality of CFR's research remains second to none, we must have the ability to recruit, train, and retain staff at all levels and across a wide range of specialties. Funds raised through the *Council at 100 Campaign* will allow the CFR Studies Program to attract and retain the most distinguished experts in their fields.

Develop New Talent

As part of the *Council at 100 Campaign*, CFR aims to endow its signature International Affairs Fellowship. Established in 1967, this unique fellowship enables promising mid-career academics to leave the ivory tower for a year to serve in the U.S. government. Similarly, exceptional mid-career government personnel are awarded a year to spend in a scholarly setting to reflect and write about their experiences. The goal is to assist talented scholars and professionals by advancing their analytic capabilities and broadening their foreign policy experience at a pivotal moment in their careers.

More than five hundred and fifty highly accomplished individuals have participated in the program since its inception almost half a century ago. Endowing the International Affairs Fellowship will guarantee the permanence of this valuable experience as we seek to nurture the next generation of leaders in government, academia, and the private sector.

CFR's Future: Increasing Impact

CFR programs and outreach are continuously evolving to reflect emerging constituencies with a stake in U.S. foreign policy. Today, we make a priority to target our resources and materials at students and educators, religious leaders, state and local government officials, as well as young professionals. The *Council at 100 Campaign* will allow us to continue this trend, by enabling further investments in the following outreach initiatives:

Education Initiative

The promotion of education in global affairs has been an element of CFR's outreach agenda since its inception. As we near our one hundredth anniversary, we are redoubling our commitment to education by broadening our target audience beyond experts, policymakers, academics, and students of international relations. As a result, our outreach now extends to college and high school students, as well as lifelong learners, who lack a specialization in global affairs.

Our education initiative provides a forum for educators and students to interact with CFR experts and debate foreign policy options. We are creating innovative education products that teach the fundamentals of international relations and U.S. foreign policy, and we are developing dynamic channels for distributing CFR educational resources. In doing so, CFR's education initiative instills in its audience a deep commitment to exploring global issues, which we believe will expand the number of informed U.S. citizens, increase their preparedness for a world characterized by nonstop change and competition, and generate a larger pool of Americans eligible for careers in government and the military.

International Outreach

Along with the extended focus on education and students, we will continue to invest in two of our most prominent international initiatives:

- **The Council of Councils** facilitates candid dialogue among leaders of two dozen of the most prominent policy institutions in the world. Its ultimate goal is to inject new thinking about regional and global challenges into high-level foreign policy circles.
- **The Global Board of Advisors**, chaired by David Rubenstein and comprising distinguished business leaders, noted academics, and former government officials from both developed and emerging-market countries, seeks to enhance the dialogue between U.S. leaders and their counterparts from other countries, as well as strengthen the Council's understanding of international perspectives.

Additional Outreach

CFR will also invest in strengthening its existing domestic outreach initiatives that serve as a resource for U.S. leaders:

- **Religious and Congregational Leaders:** Through its Religion and Foreign Policy Initiative, CFR works to deepen public understanding of the issues at the nexus of religion and U.S. foreign policy, and ensure that religious leaders, scholars, and thinkers from all traditions benefit from our resources.
- **State and Local Government Officials:** CFR's State and Local Officials Initiative provides a forum for discussion of pressing international issues that affect the priorities and agendas of state and local governments.
- **Federal Government Officials:** Through the Washington Program, CFR delivers nonpartisan, innovative, and trusted resources to members of Congress and their staffs, as well as executive branch officials and diplomats.

Fortifying *Foreign Affairs*

As successful as *Foreign Affairs* is today, we believe it can be even greater tomorrow. New investments in content, business and editorial staff, and information technology will enable *Foreign Affairs* to continue to serve as a critical resource not just for Americans but for people throughout the world. CFR is well aware that as the magazine grows and evolves, it will have to outperform competitors that are larger and better resourced. New investments will make that possible and more, as the magazine's enviable track record of growth proves.

Securing CFR's Second Century

Rare is the organization that has the opportunity to celebrate its one hundredth anniversary. Rarer still is the organization that emerges in its second century stronger, more influential, and more ambitious than in the first. This is our aspiration, which will be ensured by the success of the *Council at 100 Campaign*.

This success will lay the foundation for our future. If we do not act now we may jeopardize the Council's ability to make long-term investments in new talent, ideas, technology, and infrastructure, and risk deepening our dependence on uncertain funding sources. Worse still, CFR could generate a structural deficit that could compromise its ability to preserve its excellence and vitality for the next generation of members, U.S. policymakers, and the general public.

CFR is committed to making the *Council at 100 Campaign* a success. To do so, we must rely on the generosity and foresight of our members, which is why—at this critical moment—we are turning to you.

As a member, you have been instrumental in keeping CFR true to its foundation of intellectual inquiry, independence, and internationalism. You have bolstered the Council's prestige through your insights, dedication, and expertise. And we have confidence that you, in turn, have benefited from the Council's wide-ranging network, dynamic resources, and groundbreaking discussions.

Now you have the opportunity to secure the legacy of the Council and directly shape its future. We trust and hope that you will do so today.

For more information on the *Council at 100 Campaign* please contact Suzanne E. Helm, vice president for philanthropy and corporate relations, at 212.434.9781 or shelm@cfr.org.



The Council at 100 Campaign – Draft

October, 2015

Council of Councils?

Endowed Naming Opportunities

Programs

	Amount
International Affairs Fellowship Program	\$15 to \$20 million
National Program	\$10 million
Religion and Foreign Policy Initiative	\$3 million

Meetings

New York Meetings Program	\$15 million
Washington Meetings Program	\$10 million
Daughters and Sons Series	\$2 million
Lessons Learned Series	\$2 million
World Economic Outlook Series	\$2 million
Annual Meeting Series	\$500,000
Conference Call Series	\$500,000

Centers

→ International Institutions and Global Governance	\$20 million
Technology and Cyber Policy	\$20 million
Global Health	\$20 million

Chairs, Fellowships, and Distinguished Visiting Fellows *(see list next page)*

Chair (Fellow and Research Associate)	\$5 million
Fellowships (Fellow only)	\$3 million
Visiting Fellow (IAF, Murrow, etc)	\$3 million

Not for distribution



Chairs, Fellowships, and Distinguished Visiting Fellowship Opportunities

- Asia/China
- — Cyber Security & Internet Governance or Emerging Technologies
- Defense/National Security
- Democracy, Human Rights and Development
- Diplomacy
- Europe or Germany
- Global Governance (in IIGG)
- — Global Health
- Greater Middle East (Egypt, Iran, Turkey)
- India and South Asia
- International Economics (broadly defined, could include trade and development)
- International Political Economy
- International Relations
- Japan
- Korea
- Latin America
- Southeast Asia
- Trade
- U.S. Foreign Policy
- Religion, International Affairs Fellow

Not for distribution



Building Naming Opportunities

NEW YORK

Available	Amount
Franklin Hall	\$5 million
58 Entrance Foyer	\$5 million
54 Lobby Waiting Room	\$3 million

Named Because of Gift

Cyrus R. Vance Room
David Rockefeller Room
Douglas Dillon Room
Helen and Frank Altschul Room
Maurice R. Greenberg Reception Room
Peter G. Peterson Hall
Rita E. Hauser Room

WASHINGTON DC

Available	Amount
Washington Building	\$25 million +
Meeting Room - 1st Floor 100 P	\$5 million
Atrium	\$5 million
Breakout Area - 2nd Floor	\$3 million
Breakout Area - 1st Floor	\$2.5 million
Board Room - 7th Floor 24 P	\$3 million
Lounge and Outdoor Terrace - 7th Floor	\$3 million
18th Street Entrance	\$3 million

Currently Named - Washington DC

Rockefeller Peterson Room – 2nd Floor
Alton Frye Room - 4th Floor Conference Room

Not for distribution



The Council at 100 Campaign Named Chairs and Fellowships

October 2015

Endowed Chairs (*Permanent*)

- Mary and David Boies Chair in U.S. Foreign Policy
- Ralph Bunche Chair in Africa Policy Studies
- Douglas Dillon Fellowship
- Eni Enrico Mattei Chair in Middle East and Africa Studies
- Maurice R. Greenberg Chair, Vice President, Director of Studies
- Maurice R. Greenberg Senior Fellow in China Studies
- George F. Kennan Chair in Russian and Eurasian Studies
- Jeane J. Kirkpatrick Chair in National Security Studies
- Henry A. Kissinger Chair in U.S. Foreign Policy
- Peter G. Peterson Chair, Editor of *Foreign Affairs*
- Philip D. Reed Chair in Science and Technology
- Nelson and David Rockefeller Chair in Latin America Studies
- David M. Rubenstein Chair in Energy and the Environment
- Hasib J. Sabbagh Chair in Middle East Studies
- Whitney H. Shepardson Fellowship
- C.V. Starr Chair in Asia Studies
- General John W. Vessey Chair in Conflict Prevention
- Paul A. Volcker Chair in International Economics

Operating Support (*Annual, Renewable*)

- Shelby Collum and Kathryn W. Davis Adjunct Senior Fellowship
for Counterterrorism and Homeland Security
- Bernard L. Schwartz Senior Fellowship in Business and Foreign Policy
- Steven A. Tananbaum Senior Fellowship in International Economics

The Binger Center for New Theatre Funds Report

as of June 30, 2015

Overall Endowment Performance for Fiscal Year 2015

Yale's endowment earned an 11.5% investment return for the year ending June 30, 2015. The endowment value grew from \$23.9 billion on June 30, 2014, to \$25.6 billion on June 30, 2015, net of spending. The University benefited from investment gains of approximately \$2.6 billion.

Spending from the endowment for Yale's 2016 fiscal year is projected to be \$1.2 billion, representing approximately 34% of the University's net revenues. Endowment distributions to the operating budget have nearly doubled in the last decade.

The University's longer term results remain in the top tier of institutional investors. Yale's endowment returned 10.0% per annum over the 10 years ending June 30, 2015, surpassing broad market results for domestic stocks, which returned 8.2% annually, and for domestic bonds, which returned 4.4% annually. Relative to the estimated 6.6% average return of college and university endowments, over the past decade Yale's investment performance added \$8.5 billion of value in the form of increased spending and enhanced endowment value. During the 10-year period, the endowment grew from \$15.2 billion to \$25.6 billion, net of spending.

The Binger Center for New Theatre Endowment Fund I

Original Investment	\$15,000,000.00
Principal	\$15,000,000.00
Market Value	<u>\$19,326,130.64</u>
Expendable Income (2015-2016)	\$ <u>822,871.35</u>

The Binger Center for New Theatre Endowment Fund II

Balance transfer	\$2,194,203.00*
Principal	\$2,194,203.00
Market Value	\$2,243,641.06
Expendable Income (2015-2016)	\$ 95,530.14 (minimum)

**replaces The Binger Center for New Theatre Current Use Fund*

Amendment to
The Binger Center for New Theatre
Indenture

Documenting the
Endowment and Current Use Gift from the Robina Foundation

April 15

This Amendment dated ~~March~~ *April 15* 2015, is being made to the April, 2012 Indenture documenting the endowment and current use gifts from the Robina Foundation for the Binger Center for New Theatre at the Yale School of Drama ("the 2012 Indenture").

By mutual agreement, the parties hereby amend the 2012 Indenture as follows:

The section of the 2012 Indenture captioned "Current Use Gift" shall be replaced with the following provisions:

1. The existing balance of the original current use gift of \$3,000,000, including interest income earned by its investment in U.S. Treasury Bonds, will be transferred to a separate fund within the Yale Endowment referred to as a "term endowment fund," which allows for, but does not necessarily require, the periodic expenditure of principal from the fund. The term endowment fund will remain in existence for as long as there is unspent principal and/or income in the fund.
2. Expendable income from the term endowment fund shall be used to provide operational support for the Binger Center for New Theatre ("the Center") as determined by the Dean of the Yale School of Drama ("the Dean"). In any fiscal year that the term endowment fund is in existence, unspent income may be reinvested to principal at the discretion of the Dean, with the approval of the Provost.
3. At the discretion of the Dean, and with the approval of the Provost, principal from the term endowment fund may be applied, in whole or in part, for the operational support of the Center.
4. For as long as it is in existence, the term endowment fund, shall also be subject to the provisions set forth in the paragraphs captioned *Stewardship* and *Fund Administration* in the 2012 Indenture.

In all other respects, the 2012 Indenture shall remain in full force and effect.

The Robina Foundation

By:

Kathleen Blatz

Kathleen Blatz, Chair

3/31/15

Date

Yale University

By:

James Bundy

James Bundy

Dean, Yale School of Drama

Artistic Director, Yale Repertory Theater

4/10/15

Date

Joan E. O'Neill

Joan E. O'Neill

Vice President for Development

4/15/15

Date



Yale Law School

ROBERT C. POST · Dean and Sol & Lillian Goldman Professor of Law

October 14, 2015

*Post + talk available
to come to N.Y.C.*

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

Dear Kathleen,

We are delighted that the Robina Foundation trustees have invited us to submit a proposal to endow the Human Rights Initiative at Yale Law School, which the Foundation has so generously supported for many years. Endowing the Initiative would ensure that the Law School will continue to have the resources it needs to prepare and sustain leaders in human rights and social justice for generations to come. The Robina Foundation's annual funding since 2009 has allowed the Law School to create a comprehensive human rights program, which extends from student training and practical experience to post-graduate opportunities. By investing in individuals dedicated to advancing human rights, the Robina Foundation has made a lasting contribution to the lives of people around the world. By endowing this critical program, the Foundation will guarantee that this impact will endure in perpetuity.

Sustaining the Robina Human Rights Initiative at its present level will require an endowment of \$20 million. This figure is based on Yale's estimated income distribution of 5% a year. An endowment of \$20 million would permit us to continue the core elements of the Human Rights Initiative, which include financial assistance for students and loan relief for graduates, summer internship stipends, fellowships for recent graduates to do full-time human rights work, and visiting faculty, scholars, and practitioners. The Initiative also includes vital support for research, clinical innovation, teaching, and human rights programming for the wider University community.

We have carefully assessed the current capacity of the Law School's alumni and friends who would be willing to make financial commitments to the Human Rights Initiative. As you know, Yale Law School is small. About half of our graduates go into public service or academe, which further shrinks the pool of available alumni with the capability to contribute to our endowment. Those with the resources to give are disproportionately focused on private rather than public law. But we believe that this Initiative is vitally important to our mission, and have concluded that by stretching our resources and our fundraising efforts, we will be able to raise \$5

million in endowment funds for this cause within the next five years. In order to secure a total endowment of \$20 million, we would ask the Robina Foundation trustees to consider an endowment gift to the Law School of \$15 million. With your backing, we will be far more likely to reach our own \$5 million goal; we will be able to assure individual donors that their endowment contributions will be matched on a 3:1 basis.

One tool we will use to secure these funds is the Law School's new database of human rights graduates, which the Robina Foundation's gifts have enabled us to develop. This database contains information on more than 1200 graduates since 1984 who were involved in at least one aspect of the Law School's human rights program when they were students, or who received a post-graduate human rights fellowship. While many continue to work in human rights and other areas of public service and so may not have significant financial resources, others are now in a position to give more generously. We will appeal to all of these alumni to donate to this critical effort as their circumstances allow.

We hope that the Robina trustees will agree that what we propose will sustain and, over the years, magnify the tremendous impact of your earlier contributions. As the students and alumni who have participated in this Initiative can attest, your generosity has already affected the world in important ways. By investing in human capital – in particular, developing the talents and affirming the commitments to human rights and social justice of young advocates and scholars – your support offers enduring benefits to the human condition. We believe that James Binger would have been proud to have established such a permanent legacy.

My best regards,



Robert C. Post
Dean and
Sol & Lillian Goldman Professor of Law

cc: Penny Hunt, Executive Director

Enclosures

Post-Law School Experiences of Robina Initiative Recipients
Schell Center for International Human Rights
Yale Law School
October 2015

We reached out to Yale Law School graduates who received various forms of support from the Robina Foundation Human Rights Initiative at Yale Law School. We are continuing to hear from alumni, but the following narratives give a sense of the array of human rights and public interest work these graduates have been doing and the role that Robina Foundation support has played in making their pursuits possible.

Amanda Alexander, Class of 2013

**Assistant Professor/Postdoctoral Scholar in Afro-American and African Studies and Law
University of Michigan
Ann Arbor, Michigan**

After graduating in 2013, I moved home to Michigan to launch the University of Michigan Law School's Prison & Family Justice Project (PFJP), which serves families divided by incarceration and the foster care system. Michigan's prison population has exploded over the past three decades, with devastating consequences for families, communities, and local economies. Detroit families have been hit especially hard. A single arrest can trigger many consequences for a family—it might cause a mother to lose her job or housing, or cause children to enter foster care. The Prison & Family Justice Project represents incarcerated parents who may be at risk of losing their parental rights, and offers family law workshops in jails, prisons, and re-entry centers to help parents maintain ties with their children and provide for their care. The project also trains judges, attorneys, foster care workers, and other child welfare professionals on how to engage incarcerated parents. My work also involves systemic advocacy to remove barriers to communication and visitation for families with incarcerated loved ones.

The Prison & Family Justice Project recently partnered with the Ella Baker Center, Forward Together, and 20 other organizations to produce *Who Pays?: The True Cost of Incarceration on Families*, a report detailing the economic impact of incarceration on families in Michigan and across the country. Released in September 2015, the report proves that the cost of locking up millions of people is much deeper than we think. The research team interviewed nearly 1,500 formerly incarcerated people, their families, and their employers in 14 states. Among the key findings, the study found that nearly 2 in 3 families are unable to meet basic needs as a result of their loved one's conviction and incarceration. Seventy percent of these families include children. The report was widely covered by outlets including the New York Times, Washington Post, The Guardian, Colorlines, and MSNBC, and adds an important dimension to our national conversation about criminal justice reform.

I recently joined the faculty of the University of Michigan, where I am an Assistant Professor/Postdoctoral Scholar in Afro-American and African Studies and Law. I continue to direct the Prison & Family Justice Project and I am designing a course on Law, Protest, & Social

Movements for Winter 2016. I am a proud board member of the Prison Policy Initiative, a non-profit organization that produces cutting edge criminal justice research and sparks advocacy campaigns to create a more just society. I am also passionate about broadening access to higher education in Michigan prisons, and working to expand Inside-Out Prison Exchange course offerings in the state.

Leah Bellshaw, Class of 2012

**Policy Advisor, Office of Global Criminal Justice, U.S. Department of State
Washington, DC**

I spent my Robina fellowship year serving as a policy advisor in the Office of Global Criminal Justice (GCJ) at the U.S. Department of State. GCJ helps formulate U.S. policy on the prevention of, responses to, and accountability for mass atrocities, including war crimes, crimes against humanity, and genocide. Headed by the Ambassador-at-Large for War Crimes Issues, the office works to inform U.S. policymakers and other key actors about what practical steps can be taken and how policies should be shaped to support these objectives. I focused in particular on issues relating to sexual and gender-based atrocity crimes, the conflict in Syria, and legal frameworks for prosecuting atrocity crimes in the United States.

One of the most valuable parts of my fellowship was learning how to advocate for human rights from within the U.S. government. With GCJ, I was directly involved in discussions with other State offices and outside agencies about U.S. policies and programs, advocating for justice and accountability for victims of mass atrocities. Rather than trying to urge government action on these issues from the outside (as I had done in previous experiences with non-governmental organizations), I was able to represent these interests from within and on behalf of the government itself. Being able to inform actual policy decisions in such a direct way made the job very rewarding.

Of course, compromise is inevitable when it comes to crafting policy, and my position did not always come out on top at the end of the day. Yet I was satisfied knowing that at the very least, I was there to ensure that my office's interests were being considered. Moreover, through my involvement in the policy-making process, I gained invaluable experience working with others to build consensus around how to achieve shared goals while also protecting our own priorities.

Having enjoyed this aspect of my job so much, I am confident that I would like to continue working on international criminal justice issues from within the government. Being able to join GCJ as a fellow not only allowed me to gauge whether this path was suitable for me, but also paved the way for me to pursue a government career. Thanks to the experience I gained and the network I developed, I ended my fellowship in a great position to find a permanent job.

Burke Butler, Class of 2011
Liman Fellow, Texas Defender Service
Austin, Texas

I am currently a Liman Fellow at Texas Defender Service. As part of my fellowship, I authored a report on solitary confinement in Texas prisons with the ACLU of Texas, called *A Solitary Failure*. The report was based on eight months of research, information-gathering, and interviews with prisoners, their families, correctional officers, security specialists, and mental-health professionals. *A Solitary Failure* documented the profound damage solitary confinement inflicts on people and on our communities. Here is a link to the report: <http://www.aclutx.org/2015/02/05/a-solitary-failure/>

Six thousand people live in solitary-confinement cells in Texas state prisons. The cells are sixty square feet in size. The lucky ones have a “window”—a thin slit of glass, a couple of inches thick, high up on the wall, through which the daylight filters through. The unlucky ones have no window at all. Solitary confinement deprives people of almost all human contact: People in Texas solitary cells spend at least 22 hours a day alone in their cells. They cannot call their children, spouses, or loved ones. They cannot attend religious services; earn college degrees; learn trades; or attend Alcoholics Anonymous.

These conditions do not persist for a few days, or weeks, or even a couple of months. The average stay in a Texas solitary-confinement cell is four years. Solitary confinement causes immense suffering and lasting human damage. Suicide is nine times more likely in Texas solitary cells than in general population. A third of people in Texas solitary confinement cells have a diagnosed mental illness.

As thousands of people waste away in Texas solitary cells, Texas communities suffer. Ninety-five percent of prisoners are released to our communities one day, and nearly 1,243 people were released from solitary confinement cells directly into Texas communities in 2013. Yet people in solitary-confinement cells are deprived of the human connectedness and opportunity for self-betterment so vital to helping them resume the roles our society expects of them upon their release. People released from Texas solitary cells into their communities have a twenty-five percent higher recidivism rate. Solitary confinement also wastes taxpayer money: Texans pay \$47 million a year above normal correctional costs to house people in solitary. And solitary confinement appears to make Texas prisons less safe: The Texas correctional officers’ union attributed the rise in serious assaults on correctional officers in the last seven years—by a factor of 104 percent—to the overuse of solitary confinement.

We delivered the report, *A Solitary Failure*, to Texas legislators in February 2015. The report brought national attention to the issue of solitary confinement in Texas prisons, and opened up a dialogue in Texas about how our prison system is failing all of us. Legislators then took a first step toward reforming Texas’s use of solitary confinement: They voted to enact legislation that would require a mental-health assessment of prisoners in solitary confinement and their exclusion from solitary confinement if isolation was inappropriate for their mental health. The new law is a first step on the path of Texas reforming its use of solitary confinement.

Elizabeth Compa, Class of 2011
Staff Attorney, Promise of Justice Initiative
New Orleans, LA

The Robina Foundation's support has guided my path as a public interest lawyer for the past six years. In 2009, I spent the summer in Buenos Aires, Argentina, as a Kirby Simon Fellow, working with two organizations devoted to international human rights. In fact, I was lucky enough to be the first person serving in this dual role, but I know that others from Yale Law School have done so since then. In summer 2010 I returned to the field of international human rights, working on Alien Tort Statute litigation in U.S. federal courts. During my studies at Yale, I came to understand significant connections between the goals of international human rights law and practices that were happening on a wide scale domestically: mistreatment of prisoners.

Since graduating in 2011 I have worked as a prisoners' rights lawyer. My first year out of school I was a Liman Fellow with the Southern Center for Human Rights examining the effects of privatization on prisons and probation systems in Georgia. For the last three years, I have been a staff attorney with a new non-profit based in New Orleans, The Promise of Justice Initiative. PJI aims to correct unconstitutional prison conditions in Louisiana — the world's prison capital. Our office has litigated the lack of climate control on Louisiana's death row during the sweltering summer months, and the state's execution protocol. Most recently, we brought a class action regarding severely inadequate medical care at Angola prison. In meeting with our clients, we continually come face to face with the sense of relief that comes from the notion that someone cares what you're going through and wants to correct the injustice you face. Even if we are not able to remedy our clients' problems in short order, they regularly remind us that having someone in their corner fighting to vindicate their rights is, in itself, worthwhile. We are also driven by our firsthand experience observing the way our clients live and the difficulties they face in seeking to have their most basic needs met by an often indifferent state.

I believe that the opportunities I had at YLS, through the Robina Foundation, to explore the content and context of human rights law, fueled my passion to see that these principles are honored here at home — even if that's done by way of the Eighth Amendment rather than the Convention Against Torture. People are people and suffering is suffering; and it's a tremendous privilege to manifest the power of the law to lessen human suffering.

Bram Elias, Class of 2009
Visiting Associate Professor of Law, University of Iowa College of Law
Iowa City, Iowa

My experience at Yale Law School depended heavily on Robina Foundation funding, including both funding I received directly and funding the Robina Foundation supplied to the Yale Law School clinical programs, which were the centerpiece of my legal education. I loved clinic; I loved (and still love!) my clinical supervisors; I entered law school with no specific goal for my legal career and left wanting to be a clinician.

Now I am one. I run the immigration clinic at the University of Iowa College of Law. We're no Yale, but we're not bad. Under my supervision, and thanks to the insight and endless hard work of my students, our clinic's accomplishments include:

- Helping coordinate a free, drop-in naturalization clinic that served dozens of immigrants across the Iowa City / Johnson County area and resulted in twelve immigrants successfully naturalizing as United States citizens.
- Successfully advocating for the introduction of a Johnson County Community Identification Card, a form of government-issued identification available to all residents of Johnson County, regardless of immigration status, which facilitates Johnson County residents' interactions with financial institutions, local government, and law enforcement. (For what it's worth, we stole this idea outright from the New Haven Identification Card, which was originally proposed and designed by the Yale Law School clinics!)
- Using the joint state court / federal immigration system "Special Immigrant Juvenile Status" process, set forth at 8 U.S.C. § 1101(a)(27)(j) and 8 C.F.R. § 204.11, to secure lawful permanent resident status for otherwise undocumented at-risk minors in the Johnson County area, and then - after developing expertise in the SIJS process - training lawyers across Iowa to use the SIJS process in their own pro bono practices.
- Winning asylum for immigrants who fled persecution and sought refuge in the United States but who lacked other forms of lawful status, including raising successful asylum claims for immigrants already placed in formal removal proceedings.
- Beginning a nascent amicus curiae practice to inform the Iowa Supreme Court about the immigration ramifications of pending state appellate cases.
- Helping individual immigrants with lawful status - typically clinic clients who have succeeded in their asylum claims - bring relatives to the United States and reunify their families after years of separation.
- Consult with the local criminal defense bar, including the public defenders' office, about the immigration consequences of pending criminal charges, and advise local counsel about the availability of "immigration-safe" plea deals for their clients.

Most importantly, year in and year out, the clinic has produced the next generation of immigration lawyers in Eastern Iowa; the majority of immigration lawyers in our services-starved region are clinic graduates. Iowa clinic graduates, including immigration practitioners, are consistently among the happiest and most satisfied lawyers who have graduated from our law school.

And since we're on the topic - of course, for what it's worth, I really, really love my job. The Robina Foundation's investment in Yale Law School is paying off, including in my little corner of Iowa. I hope you continue to support Yale.

Colleen Gilg, Class of 2008
Associate Trial Lawyer, International Criminal Court
The Hague, the Netherlands

I worked at the International Criminal Court ("ICC") in 2012-2013 while supported by a Robina Foundation Post-Graduate Human Rights Fellowship, and I am currently an Associate Trial Lawyer with the Office of the Prosecutor ("OTP") at the same institution.

During my fellowship period, I acted as a special assistant to the OTP Prosecution Coordinator. I prepared detailed legal memoranda and made recommendations regarding the OTP's strategic approach to particular issues, such as state cooperation requests, disclosure practices, and investigation of exculpatory evidence. I also worked closely with the team investigating one of the situations under investigation by the Court, including as the principal drafter of an arrest warrant application that was approved by the relevant Pre-Trial Chamber (the further details of which remain confidential to date).

At present, I work on a trial team, prosecuting five Accused for an alleged witness tampering scheme involving the systematic bribing and illicit coaching of Defense witnesses during the ICC's third trial. (That trial involved charges against the Accused Jean-Pierre Bemba Gombo for crimes against humanity and war crimes committed in the Central African Republic.) I recently finished overseeing the preparation of my team's pre-trial brief, in which we summarized the prosecution's evidence and our position on the relevant law. Since then, one of my principal tasks has been coordinating with the ICC's specialized Victims and Witnesses Unit to secure the presence of the prosecution's witnesses (who reside all over the world and most of whom do not possess valid travel documents) at trial in the Hague. The trial will start this week (on 29 September 2015), and I am excited to have the opportunity to appear before ICC judges for the first time in my career.

All of these exceptional experiences have been made possible through the generous support of the Robina Foundation. As an American (i.e., non-ICC State Party national), it would have been next to impossible for me to secure a position at the ICC without coming first on an unpaid contract and building a reputation in the institution. My Robina fellowship gave me the financial freedom to make this investment in my career, and I am immensely grateful for the opportunity as I now have the job of my dreams.

Ali Harrington, Class of 2014
Yale Law School Public Interest Fellow, Connecticut Public Defenders
Rocky Hill, CT

For the past year I have worked with the Connecticut Public Defender's Office in the Innocence Project/Post-Conviction Unit to address lengthy sentences given to children in adult court. I am happy to report that I will be continuing to work with the Division after the end of my fellowship year, serving in the same capacity as a Temporary Attorney.

Connecticut, along with many other states, currently allows children as young as 15 to be sentenced in adult court to decades in prison without the opportunity for parole. (Up until

October 1, 2015, fourteen year olds could also be transferred to adult court). There are approximately 200 individuals in the state serving sentences of more than ten years for crimes that occurred when they were children.

Since I began my fellowship, the Connecticut Supreme Court in two cases expanded the rights of individuals sentenced for crimes committed as children. In the first case, *State v. Riley*, 315 Conn. 637 (2015), the court applied a recent United States Supreme Court decision, *Miller v. Alabama*, 132 S.Ct. 2455 (2012), to Connecticut's sentencing scheme and held that a sentencing court must consider youth-related mitigation whenever it has discretion to impose a sentence of life-without-parole on a juvenile offender. In the second case, *Casiano v. Commissioner of Correction*, 317 Conn. 52 (2015), the court held that a fifty year sentence is the practical equivalent of a life sentence, triggering the requirement for a *Miller* and *Riley*-compliant sentencing. The court also held that *Miller* applies retroactively.

In addition, the Connecticut legislature just passed new legislation that would provide parole eligibility and the right to counsel for individuals serving more than ten years for crimes committed as children. The new law also changes the way that Connecticut sentences children in adult court, requiring that their youth and youth-related mitigation be considered. I helped advocate for this legislation, both in law school where I developed written resources on Connecticut's sentencing practices for legislators and testified at public hearings in support of the law, and during my fellowship year by providing information on the law to other advocates and developing fact sheets and other written resources. After three years of failed attempts, our efforts this year saw the law enacted: the new legislation will take effect on October 1, 2015.

The trial courts are currently waiting for the resolution of pending petitions for *certiorari* to the United States Supreme Court in *Riley* and *Casiano*, and my next focus will be to ensure that affected individuals get the benefit of these cases. I have co-written a brief in the Connecticut appellate court that will determine in part how these cases are applied in the trial courts. In addition, I will be working to ensure that the affected individuals get the benefit of the new legislation. I will be coordinating the Division's efforts to track these individuals, ensuring they receive the counsel to which the law entitles them, and providing resources for the attorneys representing them at the upcoming parole hearings.

Rebecca Heller, Class of 2010

**Director, Iraqi Refugee Assistance (now International Refugee Assistance)
New York, NY**

The idea for the Iraqi Refugee Assistance Project originated while I was in the Middle East on a Kirby Simon Fellowship in the summer of 2008. I was working at an internship in Israel, but I kept hearing about the dire humanitarian plight of Iraqi refugees in neighboring Jordan. I contacted the Schell Center to ask if I might extend my fellowship to include a trip to Jordan to learn more about the situation facing Iraqi refugees, and they were incredibly supportive.

I traveled to Jordan without knowing what I would find (not to mention, not speaking a word of Arabic). Over the course of a week, I met individually with six different refugee

families, all of whom turned out to be in dire need of legal assistance. All had suffered severe persecution in Iraq, most were still in ongoing danger, and none understood how to navigate the complex system made up of the United Nations and several agencies of the U.S. government that would ultimately decide whether or not they would have the opportunity to safely resettle in the U.S.

I returned to school and in the fall of 2008, Jon Finer (YLS 2009) and I founded the Iraqi Refugee Assistance Project as a student organization. Our goal was to organize law students to assist Iraqi families we knew in navigating the resettlement process. IRAP, in its first incarnation at YLS, became part of the Schell Center.

Over time, we came to realize two things. First, the need for our services was enormous and often a matter of life and death. Second, because our model leveraged volunteer and pro bono assistance, there was tremendous potential to scale our services to meet that need. When I graduated, in May of 2010, I decided to begin working on IRAP full time, as part of the Urban Justice Center.

Today, IRAP engages a network of over 3,000 law students and lawyers from 26 law school chapters in the U.S. and Canada, more than 60 law firms and six in-house counsels at multinational corporations. We train these students and lawyers to be refugee advocates, and then assign them (in teams) to provide direct legal representation to refugees throughout the Middle East navigating the registration, protection and resettlement processes. We combine our direct legal assistance with broad systemic advocacy. In the 113th Congress alone (the second least productive Congress in history), IRAP was able to pass five separate pieces of legislation, which provided life-saving visas and procedural rights to over 120,000 refugees in the Middle East with U.S. affiliations. We are currently working with the American Bar Association to allow access to counsel for refugees worldwide.

In September of 2015, we will officially be changing our name to the International Refugee Assistance Project (retaining the acronym "IRAP") to reflect our increased scope- we now represent refugees from more than 20 countries. This is a critical time for our work- the refugee crisis is spilling out of the Middle East and into countries that previously had the luxury of paying it no mind. As the world is directly confronted with the need for fair, transparent and efficient systems of refugee processing, we hope to position ourselves as critical advocates and thought leaders to develop and enforce a system of legal rights for the world's most vulnerable refugees.

Julie Hunter, Class of 2013
International Law Consultant, Blue Ocean Law
Guam, Micronesia (US)

In 2013-2014, I pursued a Robina Fellowship at the European Court of Human Rights (ECtHR) in Strasbourg, France. Working with Judge András Sajó, I helped draft decisions on cases spanning the gamut from transgender identity rights to free expression on the Internet. I also assisted the ECtHR's Research Division, preparing comparative and international law reports on issues such as illegal spying and surveillance, and the vulnerability of asylum seekers

and refugees. At the end of my tenure, I extended my fellowship and worked at the Council of Europe's Office of the Commissioner for Human Rights, where I advised Commissioner Nils Muižnieks on legal policy for country missions and systemic human rights challenges across Europe. The Robina fellowship exposed me to multiple legal systems, provided me with complete multicultural immersion, and resulted in a rich cross-pollination of ideas which was valuable to both me and my colleagues.

My goal in undertaking the Robina Fellowship at the ECtHR was not merely to gain exposure to European legal traditions but to witness and absorb new human rights practices and advocacy measures and then apply them in other parts of the world – in other words, to continue carrying ideas across oceans to areas where institutions and rights protection are less robust than in Europe.

Since leaving France, I have been based in Guam, working with human rights attorney Julian Aguon at Blue Ocean Law, a regional law practice devoted to promoting and protecting human and indigenous rights across Micronesia, Melanesia, Polynesia, and beyond. Although their populations are small, Pacific islands control vast marine reserves and are the frontlines for a number of pressing 21st century human rights issues, including environmental challenges such as climate change and deep sea mining, self-determination, militarization, and hegemonic battles for geopolitical control, and threats to indigenous culture and territories, among others.

There is a very real opportunity here to influence future events, as what happens in the Pacific reverberates around the world. With that in mind, Blue Ocean Law has embarked on several projects to strengthen institutional capacity in a region where human rights lawyering is rare and treaty ratification rates are low – for example, developing model regulatory frameworks on deep sea mining to engage the precautionary principle and obtain free, prior, and informed consent from indigenous and local communities before potentially debilitating extractive projects proceed. We have attended inter-governmental meetings in Pohnpei and Palau with the aim of fostering regional cooperation and developing rights protections for small island states, and are launching a global advocacy campaign to obtain redress for Marshall Islanders still suffering from the effects of nuclear testing. Over the next several years, Blue Ocean Law will focus on leveraging international law to assist vulnerable and marginalized communities, as well as building partnerships with civil society and international human rights organs.

The Robina Fellowship set me on a path towards truly cosmopolitan human rights lawyering, propelling me from a region facing huge challenges with developed institutions, to another facing similarly large struggles with a far smaller arsenal – a path that I hope ends, if not in my lifetime, than with some hopefully-not-so-distant future generation, in a world where human rights are respected everywhere.

Sharanya Kanikkannan, Class of 2011
Bureau des Avocats Internationaux
Port-au-Prince, Haiti

In 2009, I was awarded a Kirby-Simon Summer Fellowship to spend three months in Sierra Leone with Timap for Justice. During this time, I worked closely with paralegals conducting community mediation of family and domestic violence issues. I also researched the impact of healthcare gaps in prosecutions of cases requiring medical expertise, as well as the police holding and detention system, in preparation for larger national advocacy efforts. It was my first exposure to grassroots human rights advocacy at the level of individual activists, and I was so impressed by my experience there that I came back to YLS and enrolled in criminal and transnational law courses, and worked with the human rights and the domestic violence clinics. I received another grant my 2L summer to work with the United Nations Development Program capacity-building project in East Timor with the national human rights institute, where I wrote a white paper on the use of force by off-duty military and police and assisted in the review of a locally produced manual for human rights training.

Following my graduation from law school, bolstered by these experiences, I applied for and was awarded a Yale Initiative for Public Interest grant to fund a project in East Timor where I worked again with the national institute, this time as a consultant in human rights monitoring, training volunteers in the field. During that time, I learned that my original paper had been reviewed, and the substance of the paper went into effect as the official statement of the institute. With that in mind, I was asked to write factsheets on human rights violations, which were used in aiding further investigations.

My growing work experience, my early exposure in Sierra Leone with legal assistance, and my ensuing pursuit of gender-based violence issues, led me to be recruited by the UN peacekeeping mission in the Democratic Republic of Congo to work with the human rights office and local representative of the High Commissioner for Human Rights, in coordinating assistance to victims of gender-based violence. I returned to working with local legal and paralegal clinics, and revisited medical certification difficulties in prosecuting rape cases. The projects in my unit portfolio assisted some 400 victims of rape and abuse, with a conviction rate close to 80%. I also became the tandem of a field office coordinator, managing a human rights team in a UN field presence, where I was one of only two female officers that participated in high level management meetings.

In 2014, I applied to and received the Bernstein International Human Rights fellowship, and secured the chance to work with local advocates again. I am currently a fellow at the Bureau des Avocats Internationaux, a Haitian human rights law firm, gaining experience in sexual violence and mass tort litigation and advocacy. Four years after graduation I have the incredible fortune to still be in my chosen field, and I would not have taken this path were it not for those first two summers as a Kirby-Simon scholar. Although in my undergraduate studies I did gain international experience, it was limited by financial difficulties, and I never entered into the field of human rights. I remain enormously grateful to have had these incredible early experiences at YLS that, by contrast, freed me from some of that burden and allowed me to truly engage with important issues and gain valuable perspective that have led to where I am today.

Scarlet Kim, Class of 2011

**Associate Legal Adviser, Office of the Presidency, International Criminal Court
The Hague, the Netherlands**

In my 3L year, I joined the “Detention and Human Rights in the United States” clinic, housed within the Schell Center. The clinic explored the treatment of incarcerated persons – from state prisoners to detainees in the “war on terror” – using cross-cutting domestic and international legal frameworks. I worked with fellow students to represent individuals in solitary confinement at a Connecticut prison while crafting a human rights-based approach to challenging this practice.

This experience inspired me to seek a post-graduate human rights fellowship to work at the New York Civil Liberties Union. My fellowship project sought to incorporate human rights standards on the treatment of prisoners into state-level litigation and advocacy challenging the use of solitary confinement in New York. As part of my project, I interviewed men who have spent years in solitary confinement and documented my findings in a report, which demonstrated how solitary confinement in New York violates well-established human rights standards. This report laid the groundwork for a federal class-action lawsuit, which resulted in a settlement instituting widespread reforms.

I subsequently sought a Robina Fellowship to come to the International Criminal Court (ICC). Human rights lawyering involves a multi-layered approach, including litigation in various judicial fora and advocacy across diverse contexts. I wanted to be comfortable working in a non-domestic jurisdiction and to develop proficiency in multiple bodies of law. At the ICC, I chose to work in the Presidency, in particular, because it engages in a unique blend of treaty law, international human rights law, and international criminal law and procedure.

An example of the multi-faceted nature of the Presidency’s work is its responsibility for enforcing the sentences of convicted defendants. Enforcement relies on a series of bilateral agreements with States Parties, who agree to incarcerate convicted defendants in their domestic prison facilities while permitting the Presidency to retain oversight of sentences. As part of its oversight, the Presidency must ensure that conditions of confinement conform to international human rights standards.

One of the most interesting aspects of my time in the Presidency has been trying to address the reality that many national prison systems do not meet such standards. Indeed, many States Parties have readily admitted that this gap poses a stumbling block in agreeing to accept convicted defendants. Last year, we negotiated an agreement with the United Nations Office on Drugs and Crime to facilitate financial and technical assistance to States Parties desiring to reform their prison systems. In this way, the enforcement of international criminal sentences may have an unintentional bootstrapping effect on national prison systems, pushing them to align with international human rights standards.

I am profoundly grateful to the Schell Center for helping me find coherence and meaning in my work as both a law student and a young lawyer. I must admit that building a career in human rights can seem daunting at times. The path is not always clearly defined and is often

forged from a patchwork of experiences. But I know that as I make my way, the Schell Center and the community it represents will always remain an intellectual sanctuary and a source of invaluable support.

Lauren Oleykowski, Class of 2011
International Development Fellow, Catholic Relief Services
Democratic Republic of the Congo

After graduating from the law school, I was a Robert L. Bernstein Fellow in Port au Prince, Haiti, working with Project Concern International to implement a community-based child protection program funded by UNICEF in four communities in urban Port au Prince. My work focused on developing community level children's rights education campaigns, working with local committees to educate communities on children's rights, overseeing grants to community-based organizations for child-friendly spaces, and working with UNICEF to educate communities on newly created child protection hotlines in cooperation with the Haitian government. I also developed and implemented trainings for school authorities and teachers on preventing and responding to cases of child abuse and exploitation.

The support from the Robina Foundation Fellowship Initiative directly facilitated this opportunity, as I had spent a summer working with Project Concern International as a recipient of the Robina summer human rights fellowship, and it was this experience that led to the fellowship opportunity with PCI in Haiti.

After the fellowship in Haiti, I worked with the American Bar Association Rule of Law Initiative and co-authored a report for the State Department's Bureau of International Narcotics and Law Enforcement Affairs (INL), focusing on corruption within the criminal justice system in Morocco. This report made recommendations for programmatic responses by INL, and led to additional funding from INL for the ABA's anti-corruption programs in Morocco. I also worked for one year at Innovations for Poverty Action, managing a portfolio of international grants for random control trials to identify best practices in global poverty alleviation.

Since 2014, I have worked for Catholic Relief Services in the Democratic Republic of the Congo, providing support to programs to assist survivors of sexual violence with reintegration into their families and communities, and to support communities in ensuring that children are reintegrated into school after displacement due to conflict in Eastern Congo. I also helped design a program to support caregivers of orphans and vulnerable children (OVC) affected by HIV in Kinshasa. I will spend the next two years managing this program, which will reinforce the economic capacity of families, provide social support and training in parenting skills to caregivers of OVC, and work with the national and Kinshasa health and social service structures to reinforce the referral system to ensure a continuum of care for children affected by HIV.

I also currently serve on the Board of Directors of Warm Heart Worldwide, a holistic community-based development organization serving children and families in the Chiang Mai region of Thailand. The organization provides access to education through supervised educational Children's Homes, supports micro-enterprise and income-generating projects in local villages, and runs public health programs to improve lives throughout the community.

Jason Pielemeier, Class of 2007
Special Advisor to Deputy Assistant Secretary of State for Democracy
Bureau of Democracy, Human Rights, and Labor
US State Department, Washington, DC

I received a Robina Post-Graduate Fellowship in 2009 and began working at the State Department's Bureau of Democracy, Human Rights and Labor (DRL) in September of that year. I was coming from a law firm experience in New York and I remember feeling both very fortunate and tremendously uncertain about the opportunity. Within weeks, I knew that the fellowship had changed my life in an exciting and irreversible manner.

Before I arrived, I had spoken several times with then-Assistant Secretary Mike Posner, who had agreed to bring me on. I knew that he wanted me to work closely with him on national security issues, including the administration's efforts to improve U.S. government policy on detention, detainee transfers, and the use of un-manned aerial vehicles. What I couldn't have known was how quickly I would be inserted directly into secure video conferences, high-level interagency meetings, and difficult policy deliberations. It was exhilarating but often frustrating work. While we had political and historical momentum behind us, I quickly learned that changing policies owned by other agencies can be extremely difficult. Apparently, I did well enough despite the challenges that I was given an opportunity to apply for a permanent, civil service position in DRL, in order to continue my work after my fellowship. Although it was often difficult to point to "game changing" successes, I came to appreciate the importance of relationship building, the cross-pollination of policy debates across multiple issues, and the savvy ways in which experienced bureaucrats could move policy through the gauntlet. In other words, I learned the "small ball" of government policy making.

By early 2013, I was worn out. I knew that Mike and then-Legal Advisor (and my former professor) Harold Koh, whom I also worked closely with, were both on their last lap, and I started to think about my own next steps. Around that time, another position became available in DRL - one that would allow me to build some supervisory experience and work on a new and exciting issue that, refreshingly, the State Department, and DRL in particular, was leading on. I took over DRL's Business and Human Rights (BHR) team that summer, and while I had to learn a lot about a new topic very quickly, I very much enjoyed scrambling up the learning curve. Just as I was becoming comfortable with my new portfolio and my new team-lead position, a series of bureaucratic events outside my control resulted in our team being asked to take on another, exciting, cutting-edge human rights portfolio - Internet freedom.

Today, I supervise five fantastic employees on the combined Internet Freedom, Business, and Human Rights team and I love my job. When I reflect on the path that has taken me to where I am, I feel tremendously fortunate and extremely grateful for all of the people and institutions that have helped me along the way - not least the Robina Fellowship.

Gillian Quandt, Class of 2014
Skadden Fellow, Centro Legal de la Raza
Oakland, CA

While at Yale Law School, I was fortunate to receive the Robina Human Rights Scholarship. The scholarship allowed me to deepen my knowledge of human rights and work with professors and students on exciting cases and policy projects, such as obtaining political asylum for a gay Middle Eastern man, gaining refugee status and entry into the United States for an Iraqi family, and advocating to reform juvenile criminal sentencing in Connecticut.

Since law school, I have focused on advocating for human rights for low-income individuals within the U.S. Through the support of a Skadden Fellowship, I am an attorney at Centro Legal de la Raza. Our organization provides free or low-cost, bilingual, culturally-sensitive legal aid, community education and advocacy for low-income residents of the Bay Area, including monolingual Spanish speaking immigrants. I represent low-wage workers who are victims of wage theft, discrimination, and retaliation in their jobs, and tenants who are being evicted, have received unlawful rent increases, and live with habitability problems. Some of my recent cases have included getting two day laborers \$10,000 in back wages owed to them after an employer did not pay them for a period of months, and defeating a rent increase for two families whose landlord wanted to double each family's rent from approximately \$800 to \$1600 per month.

While at Centro Legal, I have also started a medical legal partnership with Alameda Health Systems to provide free legal services to their patients at Highland Hospital and Hayward Wellness. Through the partnership, doctors and other medical professionals refer patients to me who are struggling with legal issues such as a cockroach infestation which a landlord refuses to address or an employer who doesn't pay minimum wages. These legal issues often affect the patient's health in either a physical way—like asthma and allergies exacerbated by a cockroaches infestation-- or psychological way—such as stress from financial struggles from not receiving wages. The partnership recognizes how interrelated medical and legal issues are and aims to improve community members' overall wellbeing.

Diala Shamas, Class of 2011
Legal Fellow, City University of New York School of Law
New York, NY

I received Robina support to spend the summer working at Adalah, the Legal Center for Arab Minority Rights in Israel. Upon graduation from law school, I continued working on minority rights and issues of discrimination, particularly against minorities who are primarily viewed through a "national security" lens by the state - but right here in the United States. I received a Liman fellowship to join the then-newly established CLEAR (Creating Law Enforcement Accountability & Responsibility) project at CUNY School of Law. CLEAR aims to support the unmet legal needs of Arab, Muslim, and other communities affected by post-9/11 law enforcement policies and practices.

In my four years at CLEAR, I have had the privilege to work on some of the most compelling and difficult human rights issues of our time. I have represented over 150 individuals who have had a range of concerns stemming from so-called counterterrorism law enforcement practices. These have included placement on federal watchlists, aggressive informant recruitment or interrogation, delays or outright denials of immigration benefits, concerns about surveillance, or unlawful passport revocations - to name a few.

This direct client work and resulting close community ties have given us a granularity of understanding that has allowed us to be more effective advocates. We have been more able to support budding community organizing efforts, but also to undertake more strategic, targeted interventions - whether through litigation, advocacy, or in the media.

One illustration has been our work with community-based organizations to formulate advocacy responses to the New York City Police Department (NYPD)'s program of suspicion-less surveillance of New York's Muslim populations. In response to calls from CLEAR's community-based allies, we set out to develop legal and non-legal advocacy responses. On the advocacy front, CLEAR took the lead in drafting a report, *Mapping Muslims*, aimed at concretely refuting a common NYPD claim that police surveillance is harmless, and to articulate those harms in a way that would be both politically and legally compelling. In preparation for the report, I drew on CLEAR's extensive community networks to identify voices that would help articulate the variety of layers in which communities are harmed. The report ultimately fed directly into community organizing efforts, as our allies used it to pass groundbreaking legislation bringing oversight to the NYPD. On the legal front, I worked with my colleagues at CLEAR - and eventually with the ACLU and the NYCLU - as we researched, developed, and ultimately litigated a high-profile lawsuit challenging those same policies, *Raza v. City of New York*. The day we filed the complaint, we had over a hundred individuals in attendance - and that close community involvement has persisted throughout the various stages of that litigation.

Throughout our advocacy on domestic issues, we have always recognized the limits of focusing on domestic remedies. Thus, over the years, I have taken our advocacy to several international forums - whether it is drafting a shadow report on US compliance with the ICCPR in light of NYPD surveillance practices, or a submission to the United Nations' Committee on the Elimination of Racial Discrimination (CERD) addressing passport revocations at the U.S. Embassy in Sana'a.

I have decided to return to my roots in international human rights. I recently accepted a position as a clinical teaching fellow at Stanford's human rights clinic, where I will continue to work on human rights issues both here in the United States and abroad.

Robert Silverman, Class of 2010
Senior Advisor, Oxfam America
Boston, MA

Since graduating from YLS in 2010, I have spent five years working for non-profit organizations focused on combating poverty and injustice. From 2010 to 2012, I served as a Skadden Fellow at Business and Professional People for the Public Interest (BPI), a public interest law and policy organization in Chicago. I am now in my third year at Oxfam America, where I work as a senior advisor in Oxfam's private sector department. My work focuses on combating inequality and injustice, promoting community and economic development, and ensuring the sustainability of our food supply.

At BPI, I worked to advance policy solutions to combat the foreclosure crisis in Chicago and across Illinois. I researched and advocated for policies to prevent foreclosures and evictions, confront the hazards caused by vacant properties, and promote long-term solutions to create affordable housing. We had success on several levels—strengthening Chicago's vacant property ordinance, passing stricter anti-eviction protections, supporting Cook County's foreclosure mediation program, creating a land bank in Cook County, and passing state legislation to provide more financing to support anti-foreclosure efforts.

At Oxfam, I now spend much of my time on Oxfam's burgeoning global campaign to combat inequality. I lead on developing a U.S. corporate campaign strategy, consult on the overall direction of the global campaign, and strategize on fiscal justice, using taxation as a tool to address inequality and poverty.

In addition to my work on inequality, I have worked to create a new revolving loan fund for women entrepreneurs in Guatemala—the Women in Small Enterprise (WISE) initiative. Through WISE, we are pioneering a new approach that marries a financial guarantee with extensive technical assistance. We have raised an impact investing fund that allows program participants to borrow from local Guatemalan financial institutions at competitive rates. We also provide full wraparound services for the women—financial training, business model coaching, and peer-to-peer networks—empowering program participants to grow their businesses and boost employment and economic opportunity.

I have also focused on promoting sustainable agriculture through the creation of a new farm certification program, called the Equitable Food Initiative (EFI). EFI works with farmers, food producers, and retailers to meet standards across three areas: food safety, environmental stewardship, and farmworkers' rights. We marketed EFI to major retailers—including Costco—as a way to lower their costs related to food recalls and to reduce worker turnover. This past spring we spun off EFI from Oxfam to become its own independent entity to enable it to grow and achieve more quickly—a first for Oxfam. Both EFI and WISE fall under Oxfam's "Innovation Lab," a model for incubating and taking projects to scale that I helped develop. More info on the Innovation Lab is here: <http://www.oxfamamerica.org/explore/research-publications/oxfam-innovation-lab/>.

My experience at both BPI and Oxfam draw directly on my experience at YLS and summer internships supported by the Robina Foundation. During my time in law school, I confronted issues of economic and social justice in both my clinical and classroom work. I represented low-wage workers against unscrupulous employers, overturned an order of deportation to permit an immigrant family to remain in the United States, and won a federal trial upholding the religious freedoms of a female Muslim prison inmate. I spent my summers advocating for refugees' basic human rights in South Africa—an opportunity provided by a Kirby Simon Summer Fellowship—and combating the school-to-prison pipeline at the ACLU.

I am immensely grateful to YLS and its supporters for enabling me to undertake meaningful and impactful public interest work. At both BPI and Oxfam, I deeply appreciate the opportunity to work each day at the forefront of the fight to end poverty and injustice in the U.S and around the world.

Ryan Thoreson, Class of 2014
Bernstein Fellow, Human Rights Watch
New York, NY

The Robina support I received during law school was tremendously helpful, and it made it possible for me to pursue a career in human rights advocacy. I worked on a number of projects related to human rights during my time at YLS, and two in particular stand out to me.

During the summer of my 2L year, I opted not to work for a law firm, and instead spent the summer at Human Rights Watch. The experience was really formative in a number of ways; the bulk of my work before that point had been with specifically LGBT rights organizations, and I found that I really enjoyed working in an environment where LGBT rights discussions were informed by the perspectives of colleagues who worked primarily on the rights of other populations – for example, women, children, or people with disabilities. The intersectional work I did that summer heavily influenced my thinking about what I wanted to do after law school, and I'm returning to Human Rights Watch this fall to work specifically on children's rights within their LGBT rights program.

At YLS, I also continued work on a book project I'd started in my doctoral program prior to law school, which took an ethnographic look at the politics and practice of transnational LGBT advocacy. The resulting book, *Transnational LGBT Activism: Working for Sexual Rights Worldwide*, was published last fall by the University of Minnesota Press. The range of human rights programming at YLS was hugely helpful as I worked on the project. Discussions in the Lowenstein International Human Rights Clinic influenced and enriched my thinking on some of the challenges with transnational human rights work that I was addressing in the book. I received great feedback on the chapters from my clinic supervisors, and I had the opportunity to give a talk on the book when I returned to YLS last spring. The end product wouldn't have been at all the same without the intellectual community and opportunities at YLS.

In both of these projects, I benefited most of all from the human rights community at YLS, in both tangible and intangible ways. The exchanges I had with peers in the clinic, in coursework, and in professional positions during and after law school have been enormously

generative and some of the highlights of my time at YLS. I really appreciated all the ways Robina funding supports and furthers that community, and it's made a very real difference in my own career trajectory as a human rights advocate.

Leah Zamore, Class of 2014

**Robina Fellow and Consultant to the Deputy High Commissioner, Office of the United Nations High Commissioner for Refugees
Geneva, Switzerland**

My commitment to a career in human rights stems largely from experiences gained outside the classroom. On three separate occasions, the Robina Foundation has made such experiences possible. I am profoundly grateful to the Foundation for its support and for the opportunities it has enabled and continues to afford.

During the summer after my 1L year, in 2011, I received a Kirby Simon Human Rights Fellowship to conduct legal protection work in Pretoria, South Africa. In prior years, I had worked alongside former child soldiers and abductees in northern Uganda and with refugees in Ethiopia and Somaliland. Building on those experiences, I assisted the NGO Lawyers for Human Rights to provide free legal services to refugees and asylum seekers from across Africa; to conduct strategic litigation aimed at ending their unlawful abuse, detention, and deportation; and to report on and litigate against corruption within South Africa's refugee reception offices.

Two summers later, in 2013, I received a second Kirby Simon Fellowship.¹ I had spent the year before investigating the trafficking, into Iraq and Afghanistan, of foreign laborers by U.S. government contractors as a member of the Lowenstein Human Rights Clinic. The report I co-wrote for the Clinic apparently became required reading within certain quarters of the Executive branch; it garnered more media attention than expected; some of its recommendations were even adopted by the White House in an Executive Order. Despite those successes, the situation on the ground remained largely unaltered: U.S. contractors continued – and continue – to traffic foreign workers onto U.S. military bases. Frustrated with the absence of legislative action, I spent my final summer as a law student pursuing a different avenue of legal change. With the support of another Kirby Simon fellowship, I helped bring federal claims of trafficking and forced labor against two of the contractors identified in the Clinic report.

I graduated from YLS the following May, and in September 2014, I began working, as a Robina Post-Graduate Fellow, for the Deputy High Commissioner of UNHCR, the UN Refugee Agency, in Geneva. I arrived at a time of unprecedented challenge for the agency. There are now some 60 million people who have been forced to flee their homes because of conflict and violence – the most in UNHCR's history. From Syria to South Sudan to the Sahel, humanitarian crises have produced deprivations on a scale not seen in sixty years.

Beyond the headlines looms another crisis: most of the world's displaced people today reside in situations of protracted displacement. They spend not days or months but years,

¹ In the interim, I took two one-semester leaves of absence from YLS – the first to work for Brazil's Secretariat for Human Rights in Brasilia and the second to serve as a Visiting Scholar at Sciences Po Law School in Paris – giving me an extra summer as a law student. I spent my 2L summer clerking for the U.S. Senate Judiciary Committee.

decades – entire lifetimes – in exile. My work over the past year has focused almost exclusively on this latter crisis. It is a crisis that affects a majority of the world's refugees but receives a fraction of the world's attention. It is a crisis that the international community not only neglects but – through policies of encampment, containment, non-entrée, and return – sustains.

Fortunately, there is increasingly a shared recognition, within UNHCR and beyond, that new thinking is urgently needed. My task has been to help stimulate such thinking. Toward that end, I have focused on how to translate UNHCR's 'alternatives to camps' policy from aspiration into a reality and, more broadly, how to return freedom of movement and the right to employment to the forefront of humanitarian action. It has been fascinating work. I am enormously grateful for the opportunity to do it.

Yale University

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November 2, 2015

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

Greetings:

We greatly appreciate the opportunity to offer these proposals for consideration by the trustees of the Robina Foundation. Two proposals are enclosed: one requests support for activities of the center over the next four years; the other requests long-term support for activities of the Center, beginning in 2019. If approved, the requested funds would place the Center on very firm footing to continue and further develop its outreach activities and scholarship for the next seven years at least. I understand that the Foundation plans to hold a meeting of its board at Yale in early 2017. I would be delighted to work with you to adjust the timing of the Center's activities to coincide with this visit.

With all my best,



David W. Blight
Class of 1954 Professor of American History
Director, Gilder Lehrman Center for the Study of Slavery, Resistance, and Abolition

**Gilder Lehrman Center Program Support
Proposal to the Robina Foundation
November 2015**

"It is easy to declare all souls equal in the sight of God; it
is hard to make men equal on earth in the sight of other men."

— James Baldwin, 1956

Overview of the Center

The Gilder Lehrman Center for the Study of Slavery, Resistance, and Abolition is honored to have the opportunity to advance its conversation with the Robina Foundation about how we might best collaborate to ensure that all the world's citizens are afforded basic human rights. Dedicated to acquiring and disseminating knowledge concerning all aspects of slavery, including contemporary forms of forced labor and human trafficking, the Center is ideally positioned to work with the Robina Foundation. The Gilder Lehrman Center and Robina share many principles and goals: the advancement of human rights, justice, fairness and equality and the alleviation of human suffering, especially through the rigorous study of history. We respectfully request that the Robina Foundation consider a grant to the Center of \$1,425,000 over four years to support new programs as well as the expansion of existing programs.

Since its founding at Yale University in 1998, the Center has sought to foster an improved understanding of the role of slavery, resistance, and abolition in the founding of the modern world by promoting interaction and exchange between scholars, teachers, and public historians through publications, educational outreach, conferences, and other programs and events. Our aim is not only that future generations never forget the past horrors of slavery; even more importantly, it is that we show through scholarship and public outreach how our world can best learn from and use that past in the present. Past and present are always utterly interdependent. Such was the claim made by the great historian Marc Bloch (who was murdered in the Holocaust) about a "solidarity of the ages." "Misunderstanding of the present," wrote Bloch, "is the inevitable consequence of ignorance of the past. But a man may wear himself out just as fruitlessly in seeking to understand the past, if he is totally ignorant of the present."

The Center's Director is David W. Blight, Class of 1954 Professor of History, who also holds faculty appointments in African-American Studies and American Studies. His research and writing focus on the Civil War and Reconstruction, on slavery and abolitionism, and on historical memory. Blight succeeded the Center's founding Director, David Brion Davis, Sterling Professor Emeritus of History, as Director in 2004, and has greatly expanded the Center's outreach beyond the boundaries of Yale. David Spatz is Assistant Director of the Center, holds a Ph.D. in

American History from the University of Chicago, and is a Lecturer in History at Yale. Spatz specializes in urban history and race relations. Thomas Thurston coordinates many of the Center's programs for K-12 teachers and other outreach programs.

With funds provided by Yale University and by generous individual donors including Richard Gilder and John Pepper, the Center can continue an array of programs to encourage and support scholarly inquiry and to disseminate knowledge to a range of audiences including teachers, students, and public historians. Outlined below are the areas in which the Center is poised to make the most timely and effective impact by increasing historical knowledge, and by educating and training the next generation of leaders to fight against injustice and by sharing their knowledge with the broadest populations possible.

Teacher education

- Workshops on Slavery, Race and Genocide

Done
before
outside US?

We will continue to expand the Center's teacher education and outreach projects, including workshops for teachers in South Africa, Rwanda, and the U.S. focused on slavery, race, and genocide, conducted over a three-year period. We have devised this plan with very valuable assistance from Eddie Maudhry, the director of Yale's Africa Initiative Program, and with our own Tom Thurston. A recent meeting with Mr. Maudhry has led us to conclude that the best place to conduct the institute in South Africa is at the University of Witwatersrand in Johannesburg. We envision a series of three one-week teacher workshops, taking place one year apart, in South Africa, Rwanda, and New Haven. Ten teachers from each location will participate. We estimate that the budget for each will be about \$80,000 - \$85,000, with an additional \$100,000 needed over three years for planning, travel, administrative and visa costs. Thurston and/or Blight will need to make at least one trip to the African countries to establish direct contacts, locations, facilities, and logistics.

- Winter 2017 – South Africa

Partners and contacts

- Teach South Africa: high school teachers especially in more disadvantaged schools
- Marianne Camerer (Yale World Fellow), to help recruit one or two private school teachers
- Helena Ayalew, Yale Young Scholars Program
- Sello Hatang, CEO of the Nelson Mandela Foundation, which houses the Center for Memory in Johannesburg
- Daniel Magaziner, Associate Professor of History at Yale, an intellectual historian specializing in South Africa and the author of *The Law and the Prophets: Black Consciousness in South Africa, 1968-1977* (Ohio University Press, 2010)

- Ian Shapiro, Dean of the MacMillan Center for International and Area Studies at Yale, a native of South Africa

Sites

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

▪ Winter 2018 – Rwanda

Partners and contacts

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

Sites

- Kigali Genocide Memorial Center
- Kigali City Tour

▪ Winter 2019 – New Haven

- The seminar will focus primarily on U.S. slavery and emancipation
- Prof. Blight will be one of the instructors
- A special trip will be planned to the African Burial Ground, National Park Service, New York City, as well as possibly to antislavery sites on Boston
- We will make considerable use of the Yale archives and libraries.

○ Teacher outreach and workshops in New Haven

Funds from the Robina Foundation will also support our established program of teacher outreach and workshops in New Haven area. Extending over the academic year, the program consists of monthly workshops for approximately thirty primary and secondary school teachers. Expert faculty from Yale and other universities lecture and lead discussions about slavery, race, and movements for social change. The theme of the seven workshops this year (2015-16) is “Reconstructions in Comparative Perspective,” using the U.S. Reconstruction period as the stepping-off point to be compared with the history of reconstructions in post-World War II Europe, in post-Apartheid South Africa, and in post-war Japan. Professor Blight taught the first workshop in September 2015. The Center will develop curriculum and lessons for primary and secondary school students employing primary sources and the latest scholarship. The teachers have formed a network to share these

plans and ideas. The Center will use funds from the Robina Foundation to hire a half-time outreach and education coordinator.

The annual Yale/GLC Public History Institute

For the last four summers in New Haven, we have invited public history professionals (staff at historic sites, museums, libraries) and graduate students to study slavery and African American history and its interpretation for the broader public through cultural institutions with Yale faculty and preeminent public historians. In a previous communication with the Robina Foundation, we provided the complete syllabus and list of speakers for this summer's Institute.

- Co-Sponsored by the Smithsonian National Museum of African American History and Culture.
- Costs roughly \$33,000/year if participants pay their own travel (16 cultural institutional professionals, 3 NMAAHC, 5 graduate students).
- Can be scaled up to include more graduate students and institutions – perhaps 20 public historians.
- Our PHI has become the model for a wider project through which the Smithsonian Institution more broadly has linked with Yale University (especially to the Graduate School and the science programs) to establish a long-term relationship.

Expanding current efforts in the study of modern day slavery and human trafficking

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

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

New media-communications projects

The Gilder Lehrman Center proposes a set of projects with the purpose of producing, recording, and disseminating of our academic and public programs for teachers, public historians, scholars, and a world-wide general public on a much greater scale. The work we do at the

Center (conferences, fellowships, books, and outreach) features the highest levels of scholarship by an international array of people. Our subject – slavery, its abolition, and their legacies across all time and all borders – is in essence the backstory to America's (and much of the world's) unresolved struggle over race. We need to get these stories to wider audiences in all the new mediums outside of Yale. The body of our work and our creations remain somewhat inert within the academy. We maintain our own archive of a sort, but it does not disseminate as widely as it could. These new media can include web sites; podcasts of lectures, panels and conference talks; interactive blogs; short original films (including possible animation); and taped interviews with previous Douglass Book Prize winners. This initiative also seeks to create collaborations with Yale's new Digital Humanities Laboratory and with the Schell Center for Human Rights in the Yale Law School. Specific projects we are either already planning or propose are as follows: }

- A one-day planning and brainstorming meeting in New Haven (in January or February, 2016) to discuss the range of new communications research, creativity, and dissemination. The attendees would include Blight, Spatz, Thurston, Peter Almond (film producer and director), Peter Leonard (head of Yale's Digital Humanities Laboratory), and two-three other professionals from the worlds of web design, film, social media, and social science large data research. The purpose of this meeting is to appeal to some of the best minds to help us decide on priorities, both artistic and social scientific.
- Possible large data study project over three or more years in conjunction with the Useable Past Modern Slavery Project in the United Kingdom. This might be modeled on the venerable program known as "Correlates of War" project, founded many years ago in part at Yale. This project might be called "Correlates of Slavery," would draw on the expertise of political scientist Monti Datta of the University of Richmond and who works directly with the Useable Past project in the U.K. Datta has eagerly proposed this cooperative venture to us. Other people we would draw into this would be Peter Leonard of the Digital Humanities Laboratory, and our own current and past fellows in modern slavery, Jessica Pliley and Genevieve LeBaron. The project's general aim would be to try to determine whether a big data collection effort could deliver to the world some inspiring and relatively predictive models for where, why, and how modern forms of enslavement take root. There is a great deal of expertise in the world on this and we will tap as much of it as possible in an informed way.
- We will make a short documentary film on the Fourteenth Amendment, its passage and ratification in 1866-68 and its profound meanings and legacies ever since. The film would likely be no longer than a half hour and would begin with footage of a major panel we have planned on this subject next April to coincide with the 150th anniversary of the passage of the Fourteenth Amendment. The goal is to produce a film for schools and for television that would show the country and the world how this crucial part of the U.S. Constitution came directly out of the aftermath of the end of slavery. See Professor Blight's recent essay on this topic in the *Atlantic*, link provided:

<http://www.theatlantic.com/politics/archive/2015/10/slavery-did-not-die-honestly/411487/>

- A major collaboration is now just under way at Yale between the Yale Graduate School, the Faculty of Arts and Sciences, and the Smithsonian Institution in Washington, DC to build deep relationships between Yale programs and graduate students and the many divisions of the Smithsonian. At a first major meeting about this held just a month ago, the Center's summer Public History Institute was used prominently as the model for how to create such programs. The Smithsonian National Museum of African American History, led by Lonnie Bunch, has been our principal funder of the Public History Institute. As this collaboration develops over the next few years we intend to make our communications outreach a major feature of our work with public historians at many levels.
- The creation of a possible one semester or full year visiting fellowship for an artist, broadly defined, working in new digital creativity about the questions of slavery, abolition, race relations, modern trafficking, and America's racial future.
- As we begin to expand in communications and technology we will try whenever possible to link to existing programs around the world. One such program is the University of Southern California Annenberg Center on Communications Leadership. They are conducting a study of how isolation from technology may increase the vulnerability of some populations to human trafficking. Moreover, we already have close ties and friendships with three important initiatives based in the U.K., the U.S., and South Africa. They include: Antislavery Usable Past, based at the Wilberforce Institute for the Study of Slavery and Emancipation and funded by the British Arts and Humanities Research Council (AHRC); a three-year AHRC-funded program on the global and comparative history of trafficking in persons based at University College, London; and, Understanding and Governing the Global Business of Forced Labour, based at the University of Sheffield and funded by the UK Economic and Social Research Council. Past and present Gilder Lehrman Center fellows are in leadership positions at each of these final three organizations, and they are all eager to work with us.

Planning for the future leadership of the Center

In time, David Blight intends to pass on the directorship of the Center to a younger faculty colleague. This would not occur for at least 4-5 years, but that colleague in waiting could easily be Associate Professor Edward Rugemer, a prominent and superb historian of early America, Caribbean history, and American slavery and abolition. Rugemer is a scholar with genuine international interests and reputation; he is already involved in the Center in serving on the book prize jury, in chairing an on-going Working Group on Race and Slavery in the Atlantic World, and in otherwise advising Blight. Moreover, especially with receiving Robina support, the Center will build a small, but active board of advisers consisting of approximately 3-4 Yale

faculty and Center directors, as well as three prominent scholars from outside of Yale. In the first two years of directing the Center, Blight built and met with a larger board of advisers but a lack of funding to support meetings and other priorities overwhelmed that effort.

Impact

Successful implementation of these programs will raise awareness of the Gilder Lehrman Center and its mission to study and increase understanding of and disseminate knowledge about slavery across all borders and times, past and present. In addition, it will lay the foundation for a lasting, longer-term engagement with future endeavors in research, outreach and education. This long-term vision is the focus of the second of our two proposals to the Robina Foundation.

Budget notes

All of these programs, those that exist currently and those expanded and newly proposed, require additional staff time and resources. We estimate that, over four years, the cost of the programs described above would come to approximately \$1.2 million. These costs would consist primarily of personnel (honoraria, consulting fees, and administrative salaries), travel, fellowships, and production expenses. In addition, we are requesting University indirects equal to 15% of budgeted program costs, to cover various facilities and administrative costs.

In this enhanced proposal we want to plan for additional capacity sufficient for all the new work and projects we hope to create. This will require serious consideration of the following:

1. The current Assistant Director should be promoted to Associate Director, with new and expanded oversight of many projects. With Robina funding we have good reason to believe Yale will allow us to make this promotion and increase the Assistant Director to Associate with a significant pay raise to approximately \$85,000 per year, an increase of \$16-18,000 over current pay, with fringe benefit.
2. To run the new Communications initiative, the Public History Institute, and new fellowships, we will need at times additional office help on at least a part-time basis throughout the year. We estimate work to require a ½ time administrator, at \$23,000/year plus fringe, to support associate director in organization, accounting, reporting, and all other facets of promoting and disseminating these programs.

**Gilder Lehrman Center Program Support
Proposal to the Robina Foundation
Budget Projection for 2016-2019**

	Year 1	Year 2	Year 3	Year 4	Four-Year Total
Teacher Workshops and Outreach					
South Africa/Rwanda/New Haven Teacher Seminars					
Year 2 South Africa		79419.00			\$79,419.00
Year 3 Rwanda			87210.25		\$87,210.25
Year 4 New Haven				85848.00	\$85,848.00
Annual New Haven Teacher Workshops	10000.00	10000.00	10000.00	10000.00	\$40,000.00
Administration					
Half-time Education and Outreach Director	40000.00	40000.00	40000.00	40000.00	\$160,000.00
Travel and visa assistance, accounting, communication	5000.00	15000.00	15000.00	15000.00	\$50,000.00
Yale Public History Institute					
Summer Institutes in New Haven	23000.00	23000.00	23000.00		\$69,000.00
Promotion, advertising, committee assembly and review, notification	9000.00	9000.00	9000.00		\$27,000.00
Human Trafficking and Modern Day Slavery Initiatives					
Additional Fellowships	73000.00	73000.00	73000.00		\$219,000.00
Annual Academic/NGO Working Group	10000.00	10000.00	10000.00		\$30,000.00
Promotion, advertising, committee assembly and review, notification	5000.00	5000.00	5000.00		\$15,000.00
Media Production and Online Initiatives					
Media advising and consulting (\$50,000/year + fringe)	65700.00	65700.00			\$131,400.00
Advisory Board meetings	10000.00	10000.00			\$20,000.00
Website development	5000.00	5000.00			\$10,000.00
Production	30000.00	30000.00	20000.00		\$80,000.00
Staff training, digital humanities laboratory resources	7500.00	7500.00			\$15,000.00
Additional Staff Resources					
Associate Director position (\$18,000/year + fringe)	25000.00	25000.00	25000.00		\$75,000.00
Reporting, accounting, organization (student and admin workers)	15000.00	15000.00	15000.00		\$45,000.00
Program totals by year	\$333,200.00	\$422,619.00	\$332,210.25	\$150,848.00	\$1,238,877.25
Indirects (15% of program expenditure)	49980.00	63392.85	49831.54	22627.20	\$185,831.59
ROBINA GRANT					\$1,424,708.84

**Gilder Lehrman Center Long-Term Program Support
Proposal to the Robina Foundation
November 2015**

"I hated slavery... and the desire for freedom only needed a favorable breeze to fan it into a blaze.... The thought of only being a creature of the present and the past troubled me, and I longed to have a future – a future with hope in it. To be shut up entirely to the past and present is abhorrent to the human mind; it is to the soul – whose life and happiness is unceasing progress – what the prison is to the body."

— *Frederick Douglass, 1855*

Overview

The Gilder Lehrman Center for the Study of Slavery, Resistance, and Abolition greatly appreciates the opportunity to submit a second proposal for funding from the Robina Foundation. This proposal appeals for additional years of funding that would give the Center a secure and robust future. Our Center has been the model for and has spawned similar such research centers at the Tubman Center at the University of York in Toronto, at the Wilberforce Institute in Hull, U.K., and most recently at Brown University. Putting the Center on a secure long-term financial basis creates an excellent opportunity to continue these and other major collaborations. In the years ahead we will also work hard to sustain our current donors and contributors – Richard Gilder, John Pepper, and the Yale President's Office. But those funds have always been contingent on us seeking support from additional sources. We expect to retain our current funding sources going forward to support our annual international conference, which has gained word-wide recognition, and the annual Frederick Douglass Book Prize for the best book in the field. We respectfully ask the Robina Foundation to consider a grant of \$2,662,000 over four years, beginning in 2019, to support new and enhanced initiatives and place the Center on firm footing into the next decade.

Our first proposal envisions 1) a robust teacher education program with a three-year institute in South Africa, Rwanda, and New Haven; 2) our Yale Public History Institute for cultural institution professionals and graduate students, also supported by the Smithsonian National Museum of African American History and Culture; 3) a greatly expanded Human Trafficking and Modern Day Slavery fellowship and research program; and, 4) media and communications projects aimed at increasing the reach for our various programs and initiatives. Implementation of these programs will lay the foundation for a lasting, longer-term engagement with future endeavors in research, outreach, and education.

During the time frame of this proposal, 2019-2022, the Robina Foundation's collaboration with the Center will forge partnerships that will reap benefits within and outside Yale, as seeds

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planted in the next three years grow and bear fruit. The Center will expand its faculty advisory board to broaden interest and impact across the University. The board will bring together scholars with expertise in a range geographic regions and time periods, drawn from departments, programs, and schools around the University. The Center currently maintains close working relationships with faculty and staff in History and African American Studies, as well as several councils of the Whitney and Betty MacMillan Center. The board will evolve to include representatives from the Schell Center for Human Rights at Yale Law School, media and technology experts at Yale's Digital Humanities Laboratory, and others in programs such as Global Justice, the Yale Africa Initiative and Global Health. The Board will serve three purposes: 1) to expand interest and access to new and more broadly-considered ideas for programs and research; 2) to extend engagement with the Center's programs to a large group of Yale faculty; and, 3) to explore and strengthen formal and informal partnerships and collaborations within and especially outside Yale. We do not intend to dilute our work or deviate from our mission. Rather, the Center will expand networks and avenues for our programs to reach ever broader publics. Since David Blight assumed the directorship eleven years ago, it has been a primary aim of the Center to engage the worlds of public history, and that aim will continue to be advanced.

Above all, we are asking for support to achieve the security and continuity so as to achieve our greatest creative, intellectual, and leadership potential over a long term. To this end, the Center plans in the 2019-2022 period to refine and target the efforts of all of the program areas supported in the first proposal. An additional grant from the Robina Foundation would propel our expansion and integration of these programs more thoroughly into the Center's existing strengths in academic research fellowships and public programs, including conferences, lectures, and teacher and public historian education programs.

Initiatives for Long-Term Development of the Center

Our proposal focuses on four initiatives, described in the following, that we see as the future of inquiry and outreach in the fields of slavery, emancipation, human rights, inequality, and exploitation. Each has a deeply historical as well as present dynamic.

- *Further expansion of initiatives related to modern slavery and human trafficking, through additional fellowships, research support, and public programs.*

The expansion of the fellowships program in years one through three will come at an opportune time. Scholarship and activism on forced labor and human trafficking are maturing rapidly and the Gilder Lehrman Center is a leading participant in this international conversation about the future of inquiry in this field. We are the U.S. partners in three separate research clusters that have developed in the last two years:

- 1) Antislavery Usable Past, based at the Wilberforce Institute for the Study of Slavery and Emancipation, in Hull, UK, and funded by the British Arts and Humanities Research Council (AHRC);
- 2) A three-year AHRC-funded program on the global and comparative history of trafficking in persons based at the University College, London;
- 3) Understanding and Governing the Global Business of Forced Labour, based at the University of Sheffield and funded by the U.K. Economic and Social Research Council.

All three of these research initiatives are spearheaded by former Gilder Lehrman Center fellows. The Center will host scholars and activists affiliated with and funded by these projects, will organize and host research colloquia and conferences, and continue to contribute directly to the construction of a rigorous interdisciplinary field of study of the problem of modern slavery. We remain ecumenical, with no special preference for any of these potential partners, and demand only that the research is sound, path-breaking, and useful to policymakers and activists in advancing justice, human rights, and equality. As these projects develop, the Center will be positioned to lead the next wave of scholars, and more importantly, help shape lines of inquiry emanating from these research initiatives. We can envision the integration of our historical slavery, emancipation, and abolition fellowships into a more inclusive, larger roster of fellowships not bound by time and geography, and under broader rubrics including forced migrations and labor. Four additional years of funding for fellowships, themed evidence-based research, colloquia and publications are necessary to bolster the credibility and reliability of research in a field still in its infancy.

- *Commemorating Reconstruction(s)*

In the wake of five years of Civil War commemorations and sesquicentennials, the Center envisions conducting multiple years of themed workshops for high school teachers highlighting the anniversaries of Reconstruction in the U.S. (traditionally the period 1863-1877), and its various corollaries around the world then and since. The "Reconstruction Amendments" (13th, 14th, and 15th) were the foundation of citizenship, equality, and human rights in the U.S. at its second founding in the wake of emancipation. The successes and failures, as well as memories and landmarks of this crucial period of American history should be treated and taught as the groundbreaking events they were. We imagine programs in locations and in concert with partners across the country, including the National Park Service.

- *Outreach for the Yale Public Humanities Program*

Yale has established and committed resources to the creation of a Public Humanities Program based in the American Studies department. This fall, Yale has been exploring a wide-ranging partnership with the Smithsonian Institution across the humanities, social

sciences, and natural sciences. At a two-day summit meeting in New Haven in September, 2015, Yale held out the Gilder Lehrman Center's Public History Institute as an example of a successful existing partnership. The Center and the Smithsonian National Museum of African American History and Culture have collaborated for several years. Going forward, the Smithsonian and the Yale Public Humanities Program have suggested employing our Public History Institute model for other thematic programs such as Race and Ethnicity, and Migration and Labor — both very much in line with the Center's fields of inquiry. The Center's expertise will be essential to this expansion. If this model — i.e., the gathering of eminent museum professionals, Yale faculty, staff from museums, libraries, and research centers, and graduate students — is successful, the Smithsonian expressed interest in extending it to natural history and science and technology museums. The Smithsonian partnership is only one facet of what we envision to be more significant involvement of the Center in the planning and structuring of the nascent Yale Public Humanities Program, especially its efforts to reach out to the broader public.

- *Expanded media and digital initiatives.*

Years one through three will define and refine the Gilder Lehrman Center's Communications and New Media strategy and production. We intend to find our best place in the new digital revolution. In years four through seven, we envision expanding our reach to include regularly produced short films and paired online curricula based on themes and programs we organize and host. Rooted in the cutting-edge research conducted at the Center, the media and projects produced will be targeted to teachers and cultural institution professionals and accessible to all. We plan to build a library of expertly informed and produced films that will reside on our website permanently, and will be distributed to schools and television. Also, we have begun exciting preliminary discussions with Yale's new Digital Humanities Laboratory about supporting a postdoctoral fellow for digital scholarship on slavery — marshaling the expertise and resources available at the Laboratory for a scholar using data and/or innovative technology to study slavery past or present. We see this as an important new mode of research that possesses the potential to advance knowledge and inform academics and policy-makers. Our aim is to make the Center a leader on this front.

Impact

The Center has planned for the long term. We remain, however, subject to the changing nature of this field of research and teaching. As outlined in our first proposal, three-plus years of funding from the Robina Foundation for programs will enhance immeasurably our ability to anticipate, support, shape, and improve the research on slavery, emancipation and human rights. Support for years four through seven will allow the Center to capitalize on the connections, scholarship, and energy generated through these programs to foster meaningful change. The Center will continue to strive not only to bring the world to Yale, but to bring Yale

and its resources, as well as our specific area of expertise and influence, to the outside world through increased engagement with teachers, cultural institutions, activist organizations, and the broader public. We thank you for the opportunity to submit this proposal and for considering a partnership between Robina Foundation and the Gilder Lehrman Center in this endeavor.

Budget Notes

We estimate that, over four years, the cost of the programs described above would come to approximately \$2.3 million. These costs would consist primarily of personnel (honoraria, consulting fees, and administrative salaries), travel, fellowships, and production expenses. In addition, we are requesting reimbursement equal to 15% of budgeted program costs, to cover various University facility and administrative costs.

For the Slavery Past and Present Postdoctoral Fellowships program, we anticipate two fellows focusing on human trafficking annually, at \$73,000 per fellow for salary and fringe. The other, shorter-term fellowships correspond to our existing program but are expanded to include a fellowship in digital humanities.

Projected expenditures for faculty and staff reflect the increased amount of time that will be dedicated to Robina-funded programs during this time frame. We see these programs as our vanguard initiatives going forward, from which all of our other activities will emanate. The book prize and conference budgets will come from other funders; all else will, we hope, be related to these initiatives, which we aim to fund with a combination of support from Robina and other donors. Staff effort would be allocated accordingly. The director's compensation would be in the form of support for summer research; the associate director would receive nearly full salary and fringe from the grant; and an administrative support person would receive 50%.

For media and digital/online initiatives, we can estimate more clearly the costs for production and dissemination of content. We hope that over the next 2-3 years we will be able to determine how to most efficiently produce content.

Teacher workshops will remain similar to those planned for the next three years, but will be focused on two fronts: 1) the reconstruction program mentioned in the proposal (we expect to be able to find ample partners); and, 2) closer integration with the media and online production. Workshops will be an inspiration and source of impactful content for wider dissemination.

Additional Information

For a handful of examples of Professor Blight and others bringing history to a wide public audience, see the links below. A short essay by Professor Blight was published in *The Atlantic* in the immediate aftermath of the recent mass murder in Charleston, SC in June, 2015. The Alistair Cooke Memorial lecture, staged before a live audience in a studio in Atlanta, GA in April 2015, aired on the BBC World Service to millions of listeners. Most recently a half-hour program on Frederick Douglass in Scotland aired on BBC Radio 4 on October 25, 2015. Also included below is a link to Professor Blight's and the Center's web sites. Each contains a wealth of links and information about the GLC's programming as well as Blight's work in public history in the U. S. and abroad.

<http://www.theatlantic.com/politics/archive/2015/06/pinckney-charleston-civil-war-150-years/396455/>

<http://www.bbc.co.uk/programmes/b06kb0g2>

<http://www.bbc.co.uk/programmes/b05t5jxf>

davidwblight.com

<http://qlc.yale.edu>

**Gilder Lehrman Center Long-Term Program Support
Proposal to the Robina Foundation
Budget Projection for 2019-2022**

	Year 1	Year 2	Year 3	Year 4	4-Year Total
Slavery Past and Present Postdoctoral Fellowship Program					
Human Trafficking and Modern Day Slavery Fellowships (2/yr)	146,000.00	146,000.00	146,000.00	146,000.00	\$584,000.00
Annual Academic/NGO Working Group	10,000.00	10,000.00	10,000.00	10,000.00	\$40,000.00
Conference/Colloquia/Publication support	15,000.00	15,000.00	15,000.00	15,000.00	\$60,000.00
Annual Postdoctoral Fellowships					
Two 4-month fellows (\$32,000 + fringe)	42,000.00	42,000.00	42,000.00	42,000.00	\$168,000.00
Five 1-month fellows (\$4,000 x 5)	20,000.00	20,000.00	20,000.00	20,000.00	\$80,000.00
One 4-month digital humanities fellow (\$16,000 + fringe)	21,000.00	21,000.00	21,000.00	21,000.00	\$84,000.00
Promotion, advertising, committee assembly and review, notification	5,000.00	5,000.00	5,000.00	5,000.00	\$20,000.00
Faculty and Staff					
Faculty director (\$25,000/yr + fringe)	32,850.00	32,850.00	32,850.00	32,850.00	\$131,400.00
Associate director (\$85,000/yr + fringe)	111,750.00	111,750.00	111,750.00	111,750.00	\$447,000.00
Administrative support (\$48,000/yr + fringe)	77,500.00	77,500.00	77,500.00	77,500.00	\$310,000.00
Media Production and Online Initiatives					
Media advising and consulting	25,000.00	25,000.00	25,000.00	25,000.00	\$100,000.00
Website development	10,000.00	10,000.00	10,000.00	10,000.00	\$40,000.00
Production of Public Humanities Initiative	25,000.00	25,000.00	25,000.00	25,000.00	\$100,000.00
Teacher Workshops and Outreach					
Annual New Haven Teacher Workshops		10,000.00	10,000.00	10,000.00	\$30,000.00
Half-time Education and Outreach Director		40,000.00	40,000.00	40,000.00	\$120,000.00
Yearly Total	\$541,100.00	\$591,100.00	\$591,100.00	\$591,100.00	\$2,314,400.00
Indirects (15%)	81,165.00	88,665.00	88,665.00	88,665.00	\$347,160.00
ROBINA GIFT					\$2,661,560.00



LifeCourse Evaluation

October 2015

The **Improve** Group

Acknowledgements

This evaluation and report would not have been possible without the participation and assistance of numerous individuals. The Improve Group would like to thank the interview respondents for their time and input into the evaluation, and the LifeCourse Principal Investigator, Co-Investigators and Director for their input into the evaluation questions and for providing comprehensive background information on LifeCourse. A special thanks to Heather Britt and Paige Bingham of Allina Health and LifeCourse for their assistance with additional questions, and to Penny Hunt, Kathleen Blatz, and Susan Berresford of the Robina Foundation Board for their review of preliminary findings and guidance on final report needs.

About The Improve Group

The Improve Group conducts rigorous studies to help organizations make the most of information, navigate complexity, and ensure their investments lead to meaningful, sustained impact. Based in St. Paul, Minnesota, The Improve Group provides research, evaluation, capacity-building, needs assessment, strategic planning, and policy and systems thinking for organizations locally, nationally, and internationally.

Methodology

Members of the Robina Foundation Board established the below set of evaluation questions addressing strengths, successes, and challenges of the LifeCourse initiative; issues of implementation and expansion; and roles and responsibilities within the initiative. Members of the LifeCourse research and leadership team requested that a few sub-questions be added (*italicized in the list below*).

These evaluation questions were examined through sixteen in-person or phone interviews with key informants (informant list and interview protocol are provided in the appendices). Fourteen interviews were one-hour long, and two interviews were thirty minutes long. LifeCourse research and leadership team members provided additional input and data verification through correspondence and an additional phone interview. Data were also gathered through a scan of written documentation provided by LifeCourse, including but not limited to research results, published articles, and Robina Foundation proposals and board reports.

This report synthesizes collected data on the structure of the LifeCourse initiative and its primary strengths and challenges, presents additional questions that the Robina

Foundation Board would like to continue to explore, and suggests some areas for further consideration. For more detailed findings on each of the evaluation questions, please see the preliminary findings segment of the appendix.

Introduction

The purpose of this evaluation is to provide insight into successes, challenges, development, implementation, roles, and structure of the LifeCourse initiative for the Robina Foundation Board. An additional purpose is to provide useful information to LifeCourse management, researchers, and staff for ongoing work with LifeCourse. A brief timeline of LifeCourse is as follows:

PHASE I: Pilot

- January-October 2012: Model development
- October 2012-May 2013: Pre-pilot phase, 23 patients enrolled*
- June 2013-December 2015: Pilot phase, over 1,500 patients and family members enrolled in either LifeCourse intervention group or comparison group*
- 2015: Enrollment of intervention group patients and family members will end
- 2016: Enrollment of comparison group patients and family members will end

Evaluation questions

Strengths, successes and challenges

1. What are the major strengths and successes of the initiative so far?
2. What are the successes and challenges resulting from the addition of Care Guides to Care Teams?
 - a. *To patient care?*

Implementation and expansion

3. To what extent is the LifeCourse model being implemented as planned?
 - a. What changes have been made since inception and for what reasons?
 - b. Are further changes anticipated?
4. Is the initiative well positioned or ready for expansion? Why or why not?
 - a. *How has the intervention been positioned to be carried forward and implemented?*
 - b. *What is the currently proposed expansion approach?*
 - c. *What additional support does the team need from Allina Health in order to be successful in implementation across the system?*
5. What are the successes and challenges resulting from the efforts to expand the impact and diversity of LifeCourse through communication and outreach strategies?

Roles and responsibilities

6. Does the team managing the initiative have the right people with appropriate authority to be effective?
7. Are the care teams working effectively together to improve patient care?
 - a. Is there currently the right mix of staff (Care Guides and clinicians) on care teams?
 - b. Are roles and responsibilities appropriate and clearly defined?
 - c. To what extent do Care Guides bring added value to the care team? (see Q2)
 - i. *To patient care? (see Q2a)*

- 2016: Continue to collect data for needed longitudinal dataset
- 2017: Publish research results on the 2-year longitudinal LifeCourse dataset

PHASE II: Impact

- 2016: Expansion of the initiative within Allina and community-based settings
- 2017-2020: Continue integrating LifeCourse across Allina, expand reach through early adopter collaboration beyond Allina, disseminate study results, enhance public and community engagement, and pursue government policy and reimbursement agenda

*Note: LifeCourse enrolls individuals who are seriously ill upstream of the end-of-life (i.e. last 6 months – hospice eligible). Participants are typically in the study for several years through the end-of-life period.

LifeCourse Model

LifeCourse provides late life supportive care for individuals with serious illness and their families through using a trained, lay healthcare worker called a care guide. A care guide interacts closely with a patient and the patient's key friends and family members to help facilitate whole person care across care settings and over time. The care guide uses a patient-centered and family oriented approach to: help the patient identify what matters most to them and align personal goals with choices around healthcare and

living with serious illness, provide support to patients and key friends and family members, and help patients and key friends and family members coordinate resources and navigate the complexity of the healthcare system.

Care guides interact with patients' primary care providers and specialists and those physicians' care teams in a variety of ways.



Care guides record information that patients want communicated with their providers, such as patients' values, goals, and wishes for their care, in the electronic medical record. This information is viewed by the patients' primary and specialty care teams of physicians, nurses, and other allied health professionals. If invited, care guides accompany patients to appointments.

Care guides work with patients in their homes on a monthly basis; thus, they are able to alert a patient's providers of any important issues that arise. Care guides communicate with providers and their care teams through a range of standard communication methods, including the electronic health record "inbox," if they note any issues that should be brought to the attention of a clinician. Care guides have detailed protocols and are trained to identify when a clinician should be notified of an issue. It is important to note that care guides do not replace any existing provider relationships, and should not be thought of as gatekeepers to physicians. Rather, care guides

have the opportunity to alert clinicians to any important issues that they have the opportunity to observe while working with patients and key friends and family members on an in-depth, ongoing basis in the home.

During the LifeCourse model development and research phase, care guides are supported by a multidisciplinary care team specific to the LifeCourse research initiative and attached to the Division of Applied Research (the LifeCourse clinician team). This clinician team is comprised of a registered nurse, a family therapist, a chaplain, a social worker, and during part of the research phase, a pharmacist. The LifeCourse clinician team is currently managed by a social worker (LGSW). The purposes of the LifeCourse clinician team are to contribute to development and refinement of the LifeCourse model during the initiative's research phase, to support care guides in their work with patients and families, and to support care guides' communication with patients' providers and their care teams. Care guides and the LifeCourse clinician team meet for multiple hours weekly for discussion and support, and also interact through other methods, such as electronic inboxes or phone calls, on a daily or as-needed basis. Clinicians on the LifeCourse clinician team interact with LifeCourse patients as needed and to support specific interactions such as disease-specific

advanced care planning and "supportive care conversations," which are intentional family meetings facilitated by the care guide and a clinician such as a social worker.

The care and support of the patients enrolled in the LifeCourse *research* will continue through the end of 2016 to both provide continuity of care/relationship and to enable complete collection of longitudinal data. As the LifeCourse research patient population declines (due to death) over the coming year, the team will shift resources to expansion. Longitudinal data will contribute to publications and dissemination that will continue through 2017.

How the model will change with expansion starting 2016

As the LifeCourse model moves into implementation and expansion beginning in 2016, care guides will become embedded, which means that each care guide will have a physical home base at a clinic or other healthcare setting where LifeCourse patients are receiving care. These clinics will be strategically selected in order to maximize efficiency and impact of the initiative. Care guides will continue to work with patients in their homes and support patients as they interact with their different specialists and care providers. Allina Health will pay for

*

still have team?

these embedded care guides, and care guides will be managed by clinic personnel. This will allow care guides to have a closer working relationship with the patient's providers. Care guides will continue to be supported by multidisciplinary healthcare professionals, but instead of the multidisciplinary team being attached to the Division of Applied Research and therefore, independent of the patient's existing care providers, the multidisciplinary team will be healthcare professionals the patient may have already interacted with and relied upon and who are likely a part of the existing clinic care team.

LifeCourse in the Division of Applied

Research will support recruitment, training, mentoring, and professional development of care guides.

Role of Care Guides

Care guides meet with patients on a monthly basis through a semi-structured visit framework that addresses an expanded version of the National Consensus Project Domains of Palliative Care. Each monthly visit begins with setting the context of the visit, discussing patient goals, and reviewing what matters most to patients. Then, over a series of six visits, care guides use question sets, assessment tools, and other activities to help the patient explore the following eleven domains designed to address whole person issues:

- Physical
- Psychological
- Legacy
- Bereavement
- Social
- Family
- Spiritual, Religious, Existential
- Cultural
- Care at the End of Life
- Ethical
- Financial and Legal

At the end of each visit, a care guide reviews any actions the patient is planning to take, any topics that a patient has identified to discuss further at the next monthly meeting, and any information that the patient would like the care guide to pass on to providers and/or family members. The care guide also provides any referrals to needed resources at this time. After the first six visits, the patient and care guide can revisit any domain areas or specific questions within a domain on which a patient would like to place more focus. The care guide will also repeat specific assessments on a predetermined schedule, or with changes in condition, per the patient's needs. The care guide provides support to key family members/caregivers on a flexible basis per the needs of the patient and caregiver.

The care guide documents and regularly revisits what matters most and the goals for each patient, the answers to question sets, and the results of assessment tools in the electronic medical record to ensure that this

information is available and accessible to all members of the patient's care team. After each visit, the care guide follows up with the patient's care team and makes connections to community resources as appropriate or needed.

Strengths of LifeCourse

Strengths of care guide role

Care Guides bring added value to patient care and to the care teams serving patients. Care guides develop long-term relationships with patients and families over months and even years, and can guide patients and families through difficult but important conversations that, outside of LifeCourse, often do not take place. Care guides also give language to whole person and non-medical issues such as legacy work, and reduce fragmentation of care by being a consistent thread among multiple providers and facilities. Using a whole person approach, care guides can identify patient motivations behind behaviors and bring this knowledge to providers, which can influence providers' decisions of how to explain information to a patient, or other care decisions. Care team clinicians providing patient care have expressed appreciation for the whole person patient information that they would not have in the absence of the

care guide. In addition, the lay person care guide can more easily have a peer-to-peer relationship with patients, in contrast to the more formal, hierarchical relationship common between patients and providers, which can also allow for less inhibited flow of information that may help clinicians provide better care.

LifeCourse model itself is a strength

The LifeCourse model is unique in the healthcare landscape in that it translates the best of palliative care into a role possible for a non-licensed health care worker with support, and can deliver this palliative care earlier in a patient's trajectory of care than is the norm. It is also unique in healthcare to use a non-clinical team member in an integrated way that can impact the medical care given. Because the non-licensed team member with less training is a lower costing resource, the care guide can have more frequent and longer duration contact with patients and families than can clinicians. This facilitates delivering in-depth, whole person information to providers while simultaneously allowing clinicians to work at the top of their licenses, redirecting clinician time toward serving more patients.

Timing aligns with national priorities for healthcare

The timing of the LifeCourse initiative is a strength because it aligns with, and is at the forefront of, nationwide shifts in healthcare priorities. The healthcare landscape is focusing on cost containment, preferences for remaining safely in the home rather than in the hospital, and a shift in prioritization from volume outcomes toward quality outcomes.

The LifeCourse model reflects these priorities and is aligned with the triple aim of the Institute for Healthcare Improvement: to improve individuals' experience of care and outcomes, improve health of populations, and decrease the per capita costs of healthcare. As an innovative and unique model that aligns with these trends, LifeCourse is well situated to be an example for others as the healthcare landscape moves forward in these shifts.

LifeCourse has been carefully positioned to be implemented

The LifeCourse model has been carefully developed and positioned for implementation and expansion across the Allina Health system. There is a clear definition of care guide responsibilities, including documentation on how to deliver on each domain of care and additional processes, as well as a care guide training manual and job description that will ease incorporation of care guides into clinics. LifeCourse has

engaged in communications about model development across the Allina system—providing periodic updates as well as seeking and incorporating feedback from key physicians throughout Allina—which has helped prepare the model for rollout and prepare the Allina system to integrate care guides. In addition, Dr. Penny Wheeler, Allina Health President and CEO, has provided consistent messaging that late life care is a high priority for Allina Health, which will support LifeCourse expansion within the Allina system.

Successes from outcomes data

The six month research data showed positive outcomes in several areas. Six month data indicated ¹ better outcomes for quality of life and patient experience for LifeCourse participants than for participants in the comparison group. Six month ² total cost of care outcomes are also positive: LifeCourse patients averaged a total savings in cost of care of \$815 per patient per month.

LifeCourse will have updated outcomes from nine month data that they will provide directly to the Robina Board.

Additional Questions of Robina Board

- How has the program done in enabling more people to die at home, with fewer meds and fewer 911 calls?
- Do LifeCourse outcomes focus mostly on quality of life but not necessarily numbers of individuals dying at home?

Successes of communication and outreach work

LifeCourse has had success in increasing public dialogue on the challenging topic of late life care, including discussion of how late life care is currently addressed in the national healthcare system, and the importance of a whole person approach. Public events including the "June 3rd" community stakeholder event and KMOJ radio's "community conversation," as well as Twin Cities Public Television documentaries, have contributed to generating public interest in engaging the topic of late life care and support for individuals and families navigating serious illness.

Success in LifeCourse integration

LifeCourse has experienced success in integrating the model in the one site to-date in which a care guide is fully embedded (has a physical on-site home base at the Walker Methodist Care Center partner site). This care guide is viewed by providers at Walker as a colleague, and has established a relationship that is of value to Walker providers. Walker providers have expressed appreciation for the care guide bringing the residents' voices to the table, which helps them in planning residents' care. The success of the first fully embedded care guide is a good example of

what can be possible for implementation and expansion.

Challenges of LifeCourse and Areas to Explore

Challenges of Care Guide role

Hierarchies in the healthcare system

One challenge of the care guide role is that in

① the very hierarchical structure of the healthcare system, care guides, as non-licensed laypeople, must work harder to assert their value to providers who are more inclined to focus on hierarchy, but must do so sensitively without overstepping any boundaries. Two assets of the LifeCourse model are available to address this challenge.

First, the required qualifications for care guides include that they have excellent interpersonal and verbal communication

skills, and the nature of their work with patients and families requires that they have a high level of sensitivity. These skills set them up well to address this challenge.

Second, one purpose of the LifeCourse clinician team is to coach care guides on most effectively communicating with clinicians; thus, care guides have dedicated support in navigating this challenge. Moreover, hierarchies in healthcare are a common

aspect of the system and likely affect other professionals (physicians to nurses, nurses to medical assistants), and is not a challenge unique to LifeCourse.

Boundaries between roles

One of the challenges that LifeCourse engaged in its development and continues to approach with intentionality is the boundaries between roles of the care guide and clinicians such as marriage-family therapists and chaplains.

Because each of these roles centers on relationships, there is a greater need for intentionality about where the job of the care guide ends and where the job of the therapist or chaplain begins. LifeCourse has developed protocols and documentation for each of the eleven domains in which care guides work. The protocols indicate when a care guide is working within scope, and there are defined triggers that indicate to care guides when they would begin to be out of scope and should refer to a clinician. However, the complexity of human emotions and behaviors in individual situations can sometimes lead to grey area, and in such instances, care guides reach out to a clinician or manager for guidance.

Challenges exist in low care guide compensation rates and few opportunities for advancement

Part of the rationale of the LifeCourse model is that, because the care guide role does not require a clinical license or postgraduate education, care guides can be employed at a relatively low compensation rate. Yet at the same time, the success of the model hinges on the important value that care guides bring. Many care guides have expressed that the scope of their roles and responsibilities are more extensive than what is appropriate for their compensation rates. Low compensation levels and few opportunities for professional advancement place limits on the care guide role and may potentially discourage care guides from staying in the position for more than a few years. Two possible solutions to these challenges were forwarded in interviews for this evaluation. First, professional advancement could be provided by having more experienced care guides graduate to becoming mentors for less experienced care guides. Second, the suggestion was made that, because one of the research outcomes of the study indicates that LifeCourse patients showed, on average, a savings in cost of care, that some (not all) of the money saved through the LifeCourse intervention be routed toward providing a modest increase to care guide compensation levels.

Challenges in financial sustainability

The national healthcare landscape, including both private and public payers, is in the midst of a business model shift from volume-based to value-based reimbursement models.¹

LifeCourse is not aligned with Allina Health's current fee-for-service model, but will be well aligned with a value-based reimbursement model when that transition is made. By the end of 2018, the Medicare goal is for fifty percent of Medicare payments to be tied to quality or value through alternative payment models.² Thus, LifeCourse's current work involves seeking financial support for LifeCourse until the reimbursement shift happens, preparing LifeCourse's research results and finalizing replicability of the model so it can be further expanded when the shift happens, and working to support the coming reimbursement model shift and aligning with payers as soon as they transition to the new model. As part of supporting the reimbursement model shift, Allina is participating in the Accountable Care Organizations Pioneer Program, which is a coalition of twenty organizations partnering

¹ U.S. Department of Health and Human Services, "Better, Smarter, Healthier: In historic announcement, HHS sets clear goals and timeline for shifting Medicare reimbursements from volume to value," January 26, 2015,

Additional Questions of Robina Board

- What is Allina's financial commitment to LifeCourse?
- Is LifeCourse sustainable without Robina funding?
- What other funding sources are being explored and in what proportions?
- Who will fund LifeCourse delivery through community-based organizations?
- What would happen in 2018 if the model does not receive funding? What would be the cost of implementation (not research)?
- The program seems to have reduced hospitalizations and therefore hospital revenue. How serious is this as a disincentive to other systems?
- How does the cost of the program compare to the cost of hospice that is reimbursed through Medicare and Medicaid?
- What are the issues around whether there is a shift of some cost from payers towards patients and families?

with the federal government to shift payment models.

LifeCourse is not saving Allina money in the current model—Allina is losing hospital and emergency room-based revenue in the interest of providing better upstream whole-person care—but when the model shifts to

<http://www.hhs.gov/news/press/2015pres/01/20150126a.html>. A number of respondents also discussed this shift.

² Ibid.

value-based reimbursement, LifeCourse will be better for patients, better for Allina because it fits with their mission, and better for payers because they will receive better value. Allina is also investing in other initiatives that are better for the health and wellness of patients, but not financially beneficial for Allina, including the Penny George Institute for Health and Healing (which provides a holistic approach to health and healing), and Virginia Piper Cancer Institute care coordination for cancer patients.

Challenges in expansion of the model

Because LifeCourse is a highly innovative initiative, expanding the model will bring some challenges. First, LifeCourse involves culture shifts in healthcare: a shift to whole person care, and a shift to incorporating a layperson with a meaningful role on the care team.³ Thus, expanding the model requires educating providers about care guides' roles in whole person care and the added value they bring, and pre-empting or correcting misperceptions that a care guide is simply an



³ Although lay healthcare workers are common in roles like community health worker, the care

guide role is unique in that care guides can have a larger effect on patient care.

ad-hoc assistant or duplicates work already done.

Second, expanding LifeCourse horizontally across the highly independent specialty and primary care arms of the Allina System, as well as through partner residential facilities and community-based organizations, is innovative and will bring challenges. For example, communicating information from care guides to providers through medical charts will be challenging when partner sites and community-based organizations do not have centralized electronic medical record systems.

Third, bringing LifeCourse to individual ethnic communities, such as the African American or Somali communities, involves the challenging work of building close community partnerships and making culturally-specific adjustments to the model. Because different culture groups have different needs around end of life care, the LifeCourse model will retain core elements but will allow for flexibility in some areas when implemented for specific culture groups. LifeCourse will seek partnerships through community-based advisory councils and steering committees to obtain needed support and guidance from within communities to create necessary model adjustments for the initiative to be successful

and beneficial to the community. Forming meaningful and effective community partnerships takes time, and LifeCourse management is currently at the stage of identifying and meeting with individuals who have the potential to partner with LifeCourse in an advisory capacity.

Additional Questions of Robina Board

- What enrollment has been achieved with African American, African immigrant, Asian and other diverse populations? Outreach has begun, but what has been the result in real participation?
- There has also been outreach with public media to educate the public about LifeCourse options. What have been the results of this outreach?
- What has been learned about needed level of match between a patient's cultural characteristics (ethnicity, religion, etc.) and those of the care guide?

Differences between intervention and comparison groups

One respondent noted that there are unaccounted for differences between the intervention and comparison groups, specifically, that intervention group participants have largely become part of the study as result of a hospitalization, which may or may not be true of the control group. The concern is that recently hospitalized

intervention group participants have already triggered high cost care, and therefore may require less high cost care moving forward. The respondent voicing this concern qualified that because LifeCourse is not a randomized control trial, this difference between intervention and comparison groups “is not a knock,” but hopes that it will not be a barrier to the research being published in peer reviewed journals.

Additional Questions of Robina Board

- What proportions of study and comparison groups are nursing home residents, individuals living at home, and individuals in other categories?
- What is causing the attrition of patients/families participating in LifeCourse (other than death)?
- In what sense is the comparison group too small, such that it needs to be grown into 2016? If it is inadequate at this point, on what basis are the results calculated?

Summary and recommendations

The LifeCourse initiative benefits from the intersecting strengths of a highly praised leadership team, a critical and engaged advisory committee of national leaders, thoughtful and responsive research and

development, and a forward-thinking model in tune with national healthcare trends.

Although LifeCourse faces challenges including not yet having secured future financing, expanding into community settings with various culture groups, and potentially needing adjustments in care guide compensation and advancement opportunities, the initiative’s strengths position it well to face and address these challenges.

The following are recommended areas for consideration as LifeCourse moves forward.

Care guide compensation

LifeCourse may wish to continue their considerations of care guide compensation and professional development in order to maximize job satisfaction and retention. Because care guides are central to the LifeCourse model, it is important that care guides feel their compensation is commensurate with their contributions to the initiative. Having a stable workforce with high morale will also reduce the initiative’s hiring and training costs over time and improve productivity.

Intervention and comparison group differences

LifeCourse may wish to consult with members of their National Advisory Committee and the Robina Foundation Board

regarding differences between intervention and comparison groups. The Robina Board may appreciate a fuller understanding of how the intervention and comparison groups are comprised, and how statistics is used in making comparisons between the groups. National Advisory Committee members may also provide helpful insights as the work moves forward.

Outcomes data

LifeCourse may wish to consult with members of the National Advisory Committee on their most recent data and planned data collection to address the following factors (positive outcomes were identified as important for expansion):

- Root cause analysis of hospitalization,
- Patient and family perceptions that their needs are better met,
- Patients spend more time at home rather than in skilled nursing facilities or hospitals,
- Reduction in afterhours 911 calls and preventable emergency department visits and hospitalizations,
- Higher rate of referral to hospice and higher length of stay in hospice, and
- Net costs of the intervention and overall spending is at least neutral or less.

Expansion into new communities

LifeCourse may consider providing additional information to the Robina Foundation Board on the processes required and time needed to successfully introduce an intervention to new communities and specific culture groups. Because this process is involved and forming meaningful community partnerships is important, it may be beneficial for the Robina Board to better understand LifeCourse's plans in this area so that expectations on outcomes can be shared.

Communications around future financial support

LifeCourse and the Robina Foundation Board may consider additional conversations and information sharing regarding: expected shifts in national healthcare reimbursement models, LifeCourse's plans for seeking future financial support, and any expectations that the Robina Board may have around future financial support. Because the still-to-come shifts in the national healthcare landscape make securing future financial support difficult if not impossible at this point in time, increased communication on this topic between LifeCourse and the Robina Board may be helpful.

LifeCourse Evaluation

October 2015

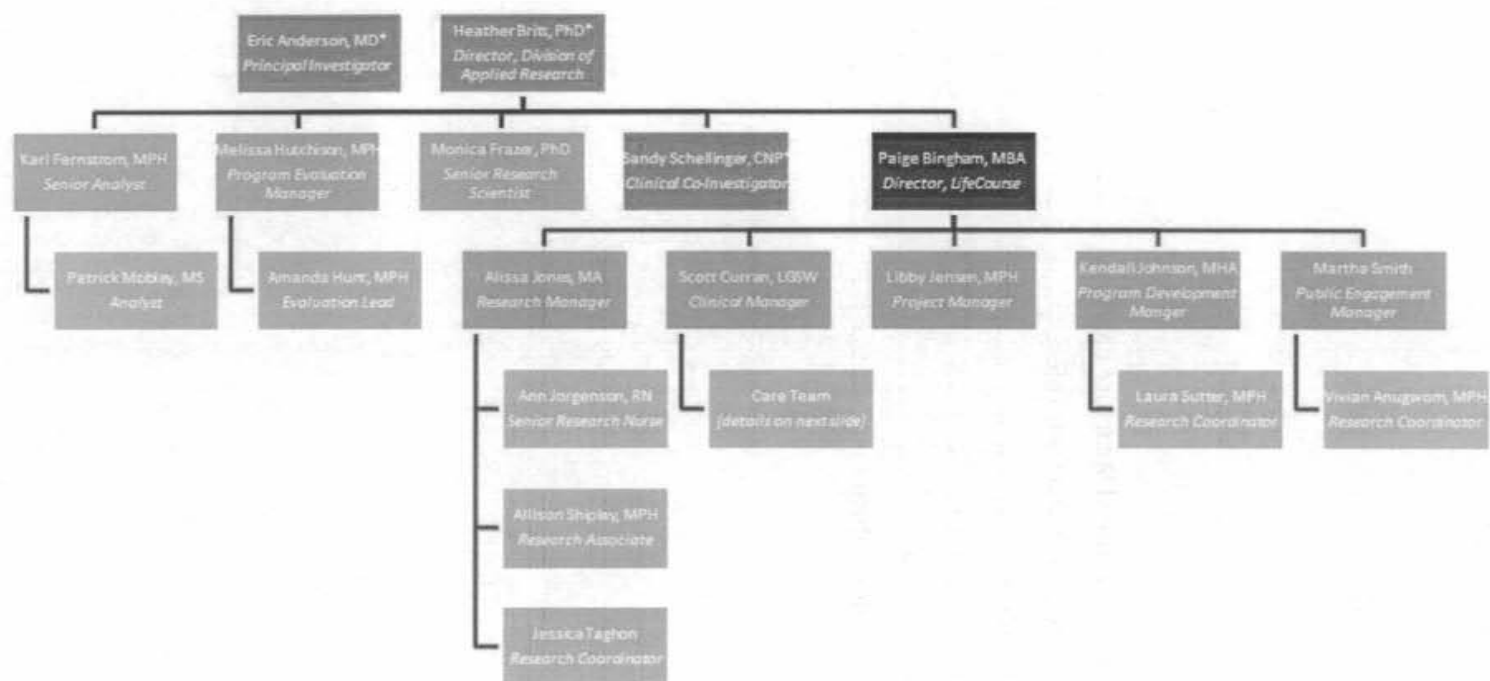
Appendices

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Appendix A: LifeCourse Organizational Structure Charts

LifeCourse Organizational Structure

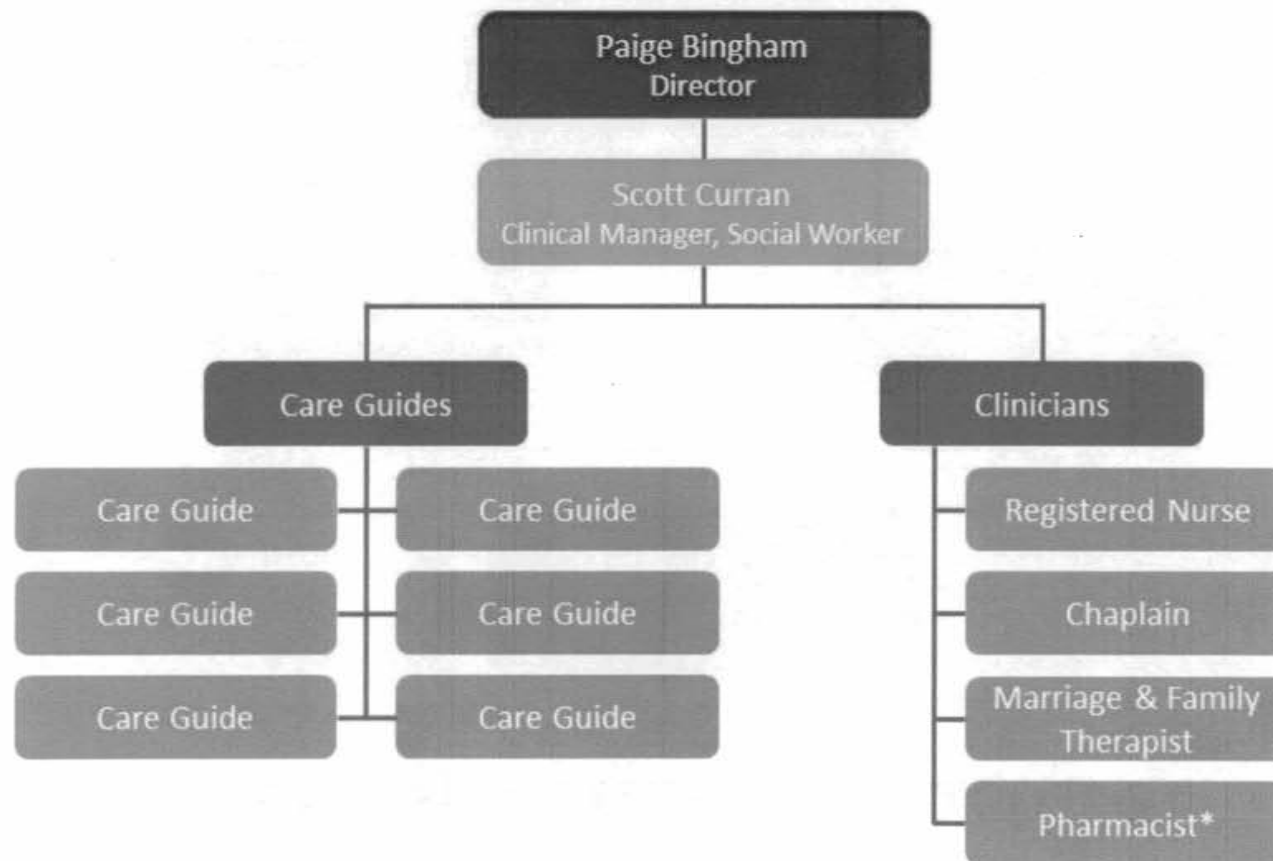


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*Note: Investigators Anderson, Britt and Schellinger each work 2 days a week on LifeCourse



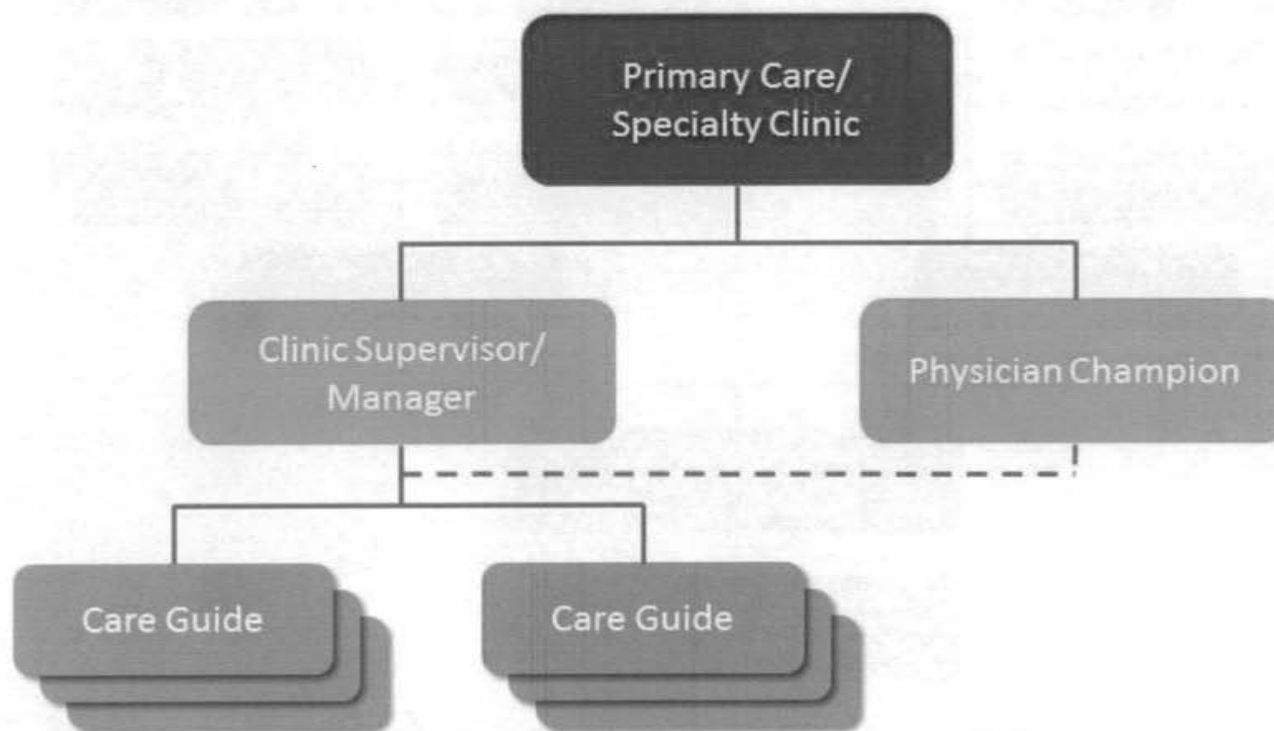
LifeCourse Research Care Team Organizational Structure



**Note: The Pharmacist role is currently vacant and the team relies upon other Allina Health pharmacists.*



Embedded LifeCourse Care Guide Organizational Structure



Appendix B

Interview respondents and their roles

Name	Role & Organization
Allina Health	
Allina Health Team Members	
Eric Anderson, MD	Principal Investigator, LifeCourse Palliative Care Physician, United Hospital
Sandra (Sandy) Schellinger, NP-C	Clinical Co-Investigator, LifeCourse Palliative Care APC, St. Francis Regional Medical Center
Heather Britt, MPH, PhD	Research Co-Investigator, LifeCourse Director, Division of Applied Research
Kim Radel, MHA	Director, Neuroscience Services (former Care Copilot Institute and LifeCourse Director)
Paige Bingham, MBA	Director, LifeCourse
Kendall Johnson, MHA	Manager, LifeCourse Program Development
Martha Smith	Public Engagement Manager
Penny Wheeler, MD	President & CEO
Care Team Members	
Scott Curran, MSW	Clinical Team Manager, Social Worker
Judi Blomberg	Care Guide
Jason Kaasovic	Care Guide
Partners from Other Organizations	
National Advisory & Board Members	
Steve Schroeder, MD	Robina Foundation Board Member, key liaison with Allina Health
Diane Meier, MD	National Advisory Committee Member, Director, Center to Advance Palliative Care, Mt. Sinai School of Medicine
Eric Coleman, MD	National Advisory Committee Member, Associate Professor of Medicine, Divisions of Health Care Policy and Research and Geriatric Medicine, University of Colorado
Long Term Care Center Partners	
Emily Anderson	Director of Social Services, Key partner from Walker Methodist Care Center
Pam Hayle	Director, Quality Improvement, Minneapolis HCC, Key partner from Augustana Care Center

Appendix C

Interview Protocol

In order to keep interviews to one hour in length, (thirty minutes for long term care center partners), not all questions were asked of all respondents. Questions were selected according to their applicability for respondent roles and primary areas of knowledge.

Robina Foundation *LifeCourse* Evaluation

Introduction

Thank you very much for taking the time to talk with me today and to provide insight into the *LifeCourse* initiative. I really appreciate it!

As previously mentioned, the Robina Foundation has partnered with The Improve Group to help learn about the implementation process of the *LifeCourse* initiative—to learn what's worked well, what's been challenging, and to help plan for the future. The findings will be shared with you when the evaluation is finished.

This interview should take about an hour (a half hour for long term care center partners). We will analyze all the data we collect in aggregate across major themes, but we are doing a small number of total interviews, so some of the information you provide may be identifiable depending on the uniqueness of the information.

I will be taking notes while we talk. If it is alright with you, I would also like to audio record our conversation so that if I miss anything in my note taking I can go back to the recording. I will not share the recording with anyone. Is it alright with you if I record? (If yes) Thank you.

I'd like to start off by asking you about the initiative's successes and challenges.

1. What would you say are the major strengths [of the initiative] OR [of Walker's / Augustana's partnership with *LifeCourse*] so far?
2. How would you describe the major successes [of the initiative] OR [of Walker's / Augustana's partnership with *LifeCourse*] so far?
3. What would you say are some of the successes resulting *specifically from the addition of Care Guides to Care Teams*? (To what extent do Care Guides bring added value?)
 - a. Successes in patient care? / How would you describe the extra value that a Care Guide brings to patient care?
 - b. Successes in the work or interactions of the care team itself?
 - c. Do you have any examples of how your work as a Care Guide has made a difference for patients and/or families?
 - d. What do you think the patient, family, and staff experiences would be like without the Care Guides?
4. What about challenges [as a result of adding Care Guides to Care Teams] OR [do you experience challenges working on Care Teams]—the *LifeCourse* Care Team or other care teams?
 - a. Any challenges with patient care?

5. [OR] Have there been challenges as a result of incorporating Care Guides within [Walker / Augustana]?
 - a. Any challenges with patient care?
 - b. Challenges with care teams?
6. What would you say are the major challenges of [Walker's / Augustana's] partnership with *LifeCourse* so far?

Next, I'd like to ask you about the design and implementation of *LifeCourse* from an operational perspective.

7. What changes have been made to the design of the *LifeCourse* initiative since its inception?
 - a. What brought about those changes?
8. [OR] Have there been any changes in the *LifeCourse* initiative—such as changes in roles, responsibilities, communication methods, trainings, etc.—during the time that you've been working with *LifeCourse*?
 - a. (For team manager): How have those changes affected the team? Patient care?
 - b. (For Care Guides): If so, how have those changes affected your work and experience?
9. To what extent, would you say, is the initiative currently being implemented as planned?
 - a. Do you anticipate any further changes being made to the *LifeCourse* model moving forward?

Next, I'd like to ask you about the public outreach and community engagement aspects of the initiative.

10. I know that *LifeCourse* is working to expand diversity of patient make-up and program impact through community outreach and communication, including work with radio and TV.
 - a. Can you tell me about the successes from this work?
 - b. What are the challenges that the program is facing in expanding patient diversity and program impact?
11. Do you see any of the various types of outreach and engagement work being done as more successful or more effective than others?
12. Do you anticipate any needed changes to this work moving forward?

This next set of questions is about expansion of the initiative.

13. How has the intervention been positioned to be carried forward and implemented?
 - a. What helps ensure the intervention is ready for expansion?
14. Do you feel that the initiative is ready for expansion?
 - a. Why or why not?
 - b. If not, what else is needed?

15. Do you have any advice for *LifeCourse* as they expand—things that they would want to keep in mind, or keep on their radar?
 - a. Do you have any suggestions for how Care Guides can better incorporate into care teams?
16. [This question was added per Robina request for the last interview] Would you please describe Allina's commitment to and investment in *LifeCourse*, including financial commitment?
17. [This question was added per Robina request for the last interview] How can *LifeCourse* eventually become sustainable without Robina funding?
18. What is the currently proposed expansion approach?
19. What additional support [does the team need from Allina Health] OR [can Allina Health provide the *LifeCourse* team] in order to be successful in implementation across the system?
20. How would you describe the potential impact that implementing the *LifeCourse* model across the health care system nationally could make?

In my last section of questions, I'd like to ask you about the roles and responsibilities of those involved with the *LifeCourse* initiative.

21. [Do you feel that the management team has what it needs to be effective?] OR [As the team manager, do you need any additional or different resources or supports to be most effective?]
 - a. Is there anything missing on the management team, or anything that you wish you had?
22. [What's your sense of how effectively the Care Guides and other members of the care team are able to connect, communicate, and coordinate?] OR [How well are you and other members of the *LifeCourse* care team able to connect, communicate, and coordinate?]
23. How do you feel the combination of different types of clinical and non-clinical staff on the care team is working? (*Prompt if necessary: Do you see a need for any changes to the type of staffing on care teams?*)
24. Are the roles and responsibilities of the various members of the care team appropriately defined?
 - a. [What's your sense of how well Care Guides and other care team members understand the definition and boundaries of their own and each other's roles and responsibilities?] OR [How well do you understand the definition of your own roles and responsibilities, and those of others on the *LifeCourse* care team?]
25. Do you have any suggestions or lessons learned that can help Care Guides incorporate into **non-*LifeCourse*** care teams once the program starts expanding next year?

Thank you very much for taking the time today to talk with me and providing this valuable information!

Appendix D

Care guide job description

ALLINA HEALTH

LIFECOURSE CARE GUIDE JOB DESCRIPTION

JOB INFORMATION

Identify the job title to be used and the applicable job codes, union and business units it applies to.

Job Title

LifeCourse Care Guide

Job Code	Union	Business Unit
6217NM (grade 37)	Non Contract	Corporate
Date Created 6/19/12	Date Revised 9/11/15	

POSITION PURPOSE

*In a brief, specific one or two sentence statement, answer the question: "Why does this position exist?"
"How does this position contribute to the overall success of the organization?"*

The LifeCourse Care Guide is a skilled professional who is a key link between patients, families, and their health care teams. On a regular basis, Care Guide's visit patients in their homes, and provide non-clinical support for those who are living with serious illness. Their general function is to develop an understanding of patient health preferences and needs, and to facilitate communication of such care preferences and needs that support patients in accessing appropriate care through the health system and community.

By maintaining regular contact, the LifeCourse Care Guide affirms, validates, guides, and encourages continuous active dialogue in relation to what matters most for those who live with serious illness, and supports patients and families preferences in relation to maintaining or improving desired quality of life, and meeting their health care needs.

DUTIES

Identify 5 to 7 essential functions with overall importance of being successful in the position. These should include key responsibilities, accountabilities and technical competencies. In the second column, select the frequency at which the item is performed. In the last column, list the specific tasks, outcomes and/or performance standards and the level of decision making authority for each item listed.

Discipline Specific Duties	Frequency Used	Details
The care guide acts as the central facilitator to their assigned list of patients through partnering and professional relationships.	☐ N/A ☒ Daily ☐ Weekly ☐ Monthly	- Establishes and maintains a professional, supportive relationship with and in service to patients - Engages as a reliable team member on a high functioning team - Independently conducts patient visits, meeting patients where they live - Maintain and document regular ongoing communications with patients - Initiates and facilitates specific conversations with the broader care team in service to the patient - Ensures that goals are shared across all care settings and over the care continuum - Collects and maintains patient data and reports to facilitate care
Identify and facilitate resolution of barriers to quality care.	☐ N/A ☒ Daily ☐ Weekly ☐ Monthly	- Collects and provides approved resource and referral materials to patients - Facilitates connections to extended care team members - Introduces patients to the wide variety of services available across the organization and in the community - Addresses barriers to appropriate care
Support patient and their care team in achieving patient health care goals.	☐ N/A ☒ Daily ☐ Weekly ☐ Monthly	- Assists individuals in defining their care preferences and goals - Engages patients in proactive considerations and conversations reflective of their goals, future scenarios and upcoming decisions - Encourages patients to play an active role in defining their care plan to ensure alignment with preferences - Communicates and collaborates with patients, families, and providers to support goals, wishes, needs, and health care preferences - Reinforces provider communications and follow-up needed as a result of changes to the care plan - Engages family/friend support - Links patient and family members to appropriate multi-disciplinary resources with consent of the care team

Use the Electronic Medical Record to document patient interactions and collaborate with the care team.	☐ N/A ☒ Daily ☐ Weekly ☐ Monthly	- Utilize standard Excellian tools, workflows and smartphrases to document patient interactions - Schedule patient appointments
--	--	--

QUALIFICATIONS

Identify the minimum amount and type of education, training or experience required for an individual to satisfactorily perform this job. If a certification or registration is not required at hire, please make sure and include the grace period allotted for gaining the certification or registration.

Requirements	Minimum Requirements
Education or Degree	Bachelor's degree in a human services related field.
Licensure	
Related Experience, Skills and Abilities	Required - Interested in healthcare, ability to quickly learn medical and disease specific terminology - Friendly and approachable - Excellent verbal communication skills - Strong interpersonal skills and ability to work collaboratively - Comfortable working with a diverse patient population. - Proficiency with common utilized technology. - Ability to multi-task and prioritize - Demonstrates expertise in communicating with various levels of professionals. - Elicits cooperation while acknowledging divergent viewpoints - Valid MN driver's license and reliable transportation. Preferred - Experience working within health care or other complex systems. - Electronic Medical Record experience - Knowledge of medical or pharmacological terminology

POPULATION SPECIFIC COMPETENCIES

Select the level which defines the criteria, standards or expectations relative to assessing and/or treating the specific patient population groups impacted by this position.

Level	Definition
☐ Level 0	Not directly involved in the care of patients and do not need to demonstrate competence in population specific care. Example: Administrative staff, cafeteria cashier.
☒ Level 1	Non-clinical staff with sufficient interaction with patients and families to make a difference in the outcome of care, treatment and services. Example: Patient Registration, Security.
☐ Level 2	Staffs with clinical accountability that need to adapt/modify care or treatment based on the patient's attributes in order to meet the patients and families care needs. Example: RN, Pharmacist, Respiratory Therapists.

ESSENTIAL FUNCTIONS/PHYSICAL DEMANDS

Select the level which defines the physical capacities required of employees in order for them to perform their job.

Level	Definition
☒ Sedentary	Lifting up to 10 lbs. occasionally and/or negligible amount frequently
☐ Light Work	Lifting 20 lbs. maximum with frequent lifting and/or carrying objects weighing up to 10 lbs
☐ Medium Work	Lifting 50 lbs. maximum with frequent lifting and/or carrying of objects up to 25 lbs
☐ Heavy Work	Lifting 100 lbs. maximum with frequent lifting and/or carrying of objects weighing up to 50 lbs
☐ Very Heavy Work	Lifting objects in excess of 100 lbs. with frequent lifting and/or carrying of objects weighing 50 lbs. or more

Appendix E

Evaluation questions

- Initial Robina Foundation questions developed for the evaluation are in red **and bolded**
- Questions that LifeCourse requested be included are in turquoise *and italicized*
- After interviews, additional questions were raised by Robina Board members, and are in green

Introduction

1. When will the control study be completed?

Strengths, successes and challenges

2. What are the major strengths and successes of the initiative so far?
3. What are the successes and challenges resulting from the addition of Care Guides to Care Teams?
 - a. *To patient care?*

Implementation and expansion

4. To what extent is the LifeCourse model being implemented as planned?
 - a. What changes have been made since inception and for what reasons?
 - b. Are further changes anticipated?
5. Is the initiative well positioned or ready for expansion? Why or why not?
 - a. *How has the intervention been positioned to be carried forward and implemented?*
 - b. *What is the currently proposed expansion approach?*
 - c. What is Allina's commitment to LifeCourse, [including a financial commitment]? i.e., is Allina invested in LifeCourse?
 - d. *What additional support does the team need from Allina Health in order to be successful in implementation across the system?*
6. Is LifeCourse saving Allina money?
7. What are the successes and challenges resulting from the efforts to expand the impact and diversity of LifeCourse through communication and outreach strategies?
 - a. How is LifeCourse addressing the need for translators?

Roles and responsibilities

8. Does the team managing the initiative have the right people with appropriate authority to be effective?
9. Are the care teams working effectively together to improve patient care?
 - a. Is there currently the right mix of staff (Care Guides and clinicians) on care teams?
 - b. Are roles and responsibilities appropriate and clearly defined?
 - c. To what extent do Care Guides bring added value to the care team? (see Q3)
 - i. *To patient care? (see Q3a)*
 - d. How does LifeCourse provide 24/7 coverage?
10. How deep is the involvement of members of the National Advisory Committee?
11. Does LifeCourse use volunteers?

LifeCourse Initiative Evaluation

Robina Foundation

Preliminary Key Findings (revised)

Wednesday, October 21, 2015

The **Improve** Group

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This preliminary findings report presents interview data, and a small amount of data gathered from written documentation, that addresses the evaluation questions. This preliminary data is not synthesized, and in some cases, individual bullet points may reflect the input of a single respondent.

The purpose of this preliminary findings report was to guide a discussion between The Improve Group evaluators and members of the Robina Foundation Board regarding the Board's preferences for structure and length of the final report, and priority areas for inclusion of the report. This document is an edited version of the original preliminary findings report, adjusted to answer specific questions raised during the preliminary findings meeting. These preliminary findings are presented in this final report appendix in order to provide additional data addressing all of the evaluation questions.

Methodology

- Methodology:
 - 16 in-person or phone interviews with key informants
 - 14 interviews were one-hour long, 2 interviews were 30 minutes long
 - Scan of written documentation
- **Evaluation questions are presented separately**
- **In this preliminary findings report, evaluation questions (abbreviated EQ) are presented throughout the report, followed by findings that answer the questions.**
 - EQs in red are Robina Foundation's initial set of evaluation questions
 - EQs in turquoise are evaluation questions that Allina requested be included
 - EQs in green are evaluation questions that Robina inquired into in September

Introduction

What is the initiative?

- Brief introduction and definition of the LifeCourse initiative to be gathered from LifeCourse written documentation.
- Robina support has allowed Allina to think big about how to approach a big problem: over-medicalization of late life in a healthcare landscape of high costs and fragmented care.
 - Most people want to die at home, but most people die in hospitals. LifeCourse involves patients and families in characterizing wishes for end stage care and communicating those wishes to care providers to increase congruency between wishes and care provided.

EQ1: When will the control study be completed?

Timeline of the initiative

PHASE I: Pilot

- January-October 2012: Model development
- October 2012-May 2013: Pre-pilot phase, 23 patients enrolled*

- June 2013-December 2015: Pilot phase, over 1,500 patients and family members enrolled in either LifeCourse intervention group or comparison group*
- 2015: Enrollment of intervention group patients and family members will end
- 2016: Enrollment of comparison group patients and family members will end
- 2016: Continue to collect data for needed longitudinal dataset
- 2017: Publish research results on the 2-year longitudinal LifeCourse dataset

PHASE II: Impact

- 2016: Expansion of the initiative within Allina and community-based settings
- 2017-2020: Continue integrating LifeCourse across Allina, expand reach through early adopter collaboration beyond Allina, disseminate study results, enhance public and community engagement, and pursue government policy and reimbursement agenda

*Note: LifeCourse enrolls individuals who are seriously ill upstream of the end-of-life (i.e. last 6 months – Hospice eligible). Participants are typically in the study for several years through the end-of-life period.

Findings

Strengths, successes, and challenges

EQ2: What are the major strengths and successes of the initiative so far?

Strengths of LifeCourse center on whole person and strengths-based approach, and longitudinal relationship

LifeCourse model is a strength

- Translates the best of palliative care into role possible for non-licensed health care worker with support.
- Unique in healthcare to use non-clinical team member in integrated way that can impact the medical care given.
 - Helping provider understand what is most important to the patient.
- Focus on consistent personal relationship for meeting needs of complex patients:
 - Goals discussions are more sensitive and less harsh than in the clinical environment.
 - Involving family/friends throughout the process, support to caregivers.
- Focus on connecting patient/family to resources outside health care system: community social, faith-based, and legal supports.
- Non-licensed team member with less training is lower costing resource:
 - More frequent contact with patient and families through non-licensed member.
 - Allows clinicians to work at the top of their licenses, redirects clinician time toward serving more patients.
- Facilitates having end-of-life discussions before patient and family are in crisis.

- Provides benefits before the hospice period of last 6 months of life, unique within healthcare to successfully deliver palliative care earlier than usual.

Teams and collaborations are a strength

- Leadership team is impressive individually and as a group, able to translate research to implementation.
- Connecting with experts and systems nationally who are interested in changing the way care is provided (whole person care, moving beyond silos in how patients enter and exit the health care system).
- Intensive work of LifeCourse, along with Augustana and Walker partners collaboratively building the model made it stronger.

Timing is a strength because it aligns with national healthcare shift and priorities

- Shift from volume outcomes to quality outcomes.
- Focus on cost containment.
- Need for services to keep people safe in homes rather than ER, hospitals, using 911.
- Greying of America makes this initiative relevant.
- In tune with Atul Gawande's new book *Being Mortal*, which is receiving national attention.
- "The timing is good, because this is a moment in the history of medicine when payers are looking for reliable, scalable, proven methods of helping people stay home safely with their needs being met. So, this is the moment, this is the tipping point."

LifeCourse meets the triple aim of the Institute for Healthcare Improvement

- Improving Individuals' experience of care and outcomes,
- Improving health of populations, and
- Decreasing per capita costs of healthcare.

Successes of LifeCourse include defining and refining Care Guide role and structure of the initiative

- In 3 years has evolved from conceptual idea of expanding palliative care to refining specific approaches and translation to lay healthcare workers, arriving at refinement of model into visit framework with field guide, resources and templates for training and management.
- Creating scope of work in translating the ten facets of whole person care (physical, spiritual, emotional, etc.) into framework doable for lay person: Care Guide is not an expert but can "give voice and inquiry" into all ten facets so patients and families can do their own work, which Care Guide communicates to providers.
- Offering a unique intervention through LifeCourse: the supportive care conversation (SCC): intentional family meeting, agenda driven by patient/family, facilitated by Care Guide and social worker or another professional facilitator.

Successes in integration

- The one embedded Care Guide (at Walker) is now viewed as a colleague and has established relationship of value to rest of Walker Care Team (Walker employees seek his input).

- Learning how to work with providers and not be territorial around care.
- LifeCourse benefits Augustana/Walker partners:
 - Involvement in LifeCourse gives more energy to partner organization staff (helps staff imagine more possibilities).
 - Idea that palliative care can transform not only long-term care, but also care in the community, is appealing to partner organization leadership.
- Integrating with other Allina care practices, such as complementing clinics' processes for using mini-cog to assess cognitive capacity in older adults.
- The implementation that has been done so far in Allina as a large, complex, dynamic system, is a strength that shouldn't be overlooked.

Outcomes data show successes

- 6 month total cost of care outcomes are positive: LifeCourse patients averaged a total savings in cost of care of \$815 per patient per month.
- LifeCourse patients make very different choices around use of healthcare resources than do comparison group patients.
- "Clearly the evaluation is showing that the essence of what this intervention is, is producing the desired outcomes. The outcomes that I think are necessary for something to be widely adopted in healthcare. So I think that they've cleared a major hurdle in that they have utilization outcomes, in particular, that really gets them to the next level."
- 9 month outcomes data will be reported separately by LifeCourse to the Robina Board.

EQ3: What are the successes resulting from the addition of Care Guides to Care Teams?

Care Guides bring added value to Care Teams by providing "whole person" information to providers

- Care Guide brings patients' desires to care conferences and to medical record for other care team staff to work with—staff appreciates "whole person" information that they wouldn't necessarily hear otherwise.
- Care Guides, in addressing whole person approach, can identify patient motivations behind behaviors and bring this knowledge to providers, which can influence how a provider explains information to patient, for example.
- In a partner organization setting, Care Guide participates in hour-long conferences with physician and nurse practitioners, and brings information from that meeting back to interdisciplinary team.
- Care Guides bring unique perspectives on patient to the Care Team: sees patient in the home as a peer, not in a clinical hierarchical relationship, may see issues in home environment that don't appear in the clinic or hospital and can report those to clinicians.
- Care Guides reduce fragmentation among different providers by acting as a translator between patient and various providers.

EQ3a: What are the successes resulting from the addition of Care Guides to patient care?

Care Guides bring added value to Patient Care through relationships and being a consistent thread in care

- Care Guides support patients through the various transitions in care and are the consistent thread among numerous providers and facilities.
- Care Guides give language to things that are not normally talked about, such as legacy work, and have conversations that sometimes providers and/or family are uncomfortable having.
- Care Guides have the time to listen to patients and families, long-term relationship over months or years. Can sit with patients whereas clinical providers have more limited time.
- Care Guides provide support to caregivers.
- Care Guides identify and provide referrals to needed community resources, and unlike similar services, have the longitudinal relationship to follow up to find out whether need was met.
- LifeCourse patients are showing higher levels of activation (acting on health and wellness goals) than are comparison group patients.
- LifeCourse patients are showing lower anxiety along points of disease trajectory, and overall improved quality of life.

EQ3a/b: What are the challenges resulting from the addition of Care Guides to Care Teams and patient care?

LifeCourse faces various challenges

Challenges are inherent in having a lay person as a key care team member

- Using complex protocols as a lay person (non-clinical staff applying clinical best practices) is challenging.

Roles and team workings pose challenges

- Defining training, scope of knowledge and resources needed by Care Guide and Care Teams, and boundaries between clinical and non-clinical roles was a challenging process. Respondents report that this work has been successful.
- Work is very adaptive: Care Guides have tools and templates but work with patients can fall into grey area as individuals have individual experiences that are not easily categorized.
- Care Guides must be conscious to not overstep into others' roles.
- In marketing and communicating the role, it is important to clarify any misunderstandings about the Care Guide role, such as:
 - Thinking that current nurses or social workers already fulfill role of Care Guide.
 - Thinking that Care Guides' role is to do ad-hoc or extra case management work, not realizing there is a specific role.
- Different Care Teams will work in different ways and Care Guides need to adjust to each Care Team.
- Challenging for Care Guides to prove their worth within healthcare hierarchies, be accepted as important voice on a team where everyone else has advanced training and licenses.

- There is some concern about whether multiple care plans (LifeCourse care plan as well as others) are each viewed by different providers as definitive—could there be multiple care plans in process simultaneously, leading to unwanted care being offered or delivered?
 - Some providers hold to the idea that “I own this episode of care.”
- Low compensation level and few opportunities for professional advancement limit Care Guide role to entry level position and discourage Care Guides from staying in the position for more than a couple of years.
 - Possible solution: have two-tiered positions in entry level Care Guide and Care Guide mentor.

Challenges are inherent when models involve major shifts in culture or practice

- Some in healthcare system are resistant to such a new model, LifeCourse is part of a cultural shift.
- Challenging getting broader public engaged in LifeCourse—talking about death is something people often avoid.
- Currently not sufficient reimbursement for this level of care coordination and resources: reducing hospital stays is good for payers but reduces hospital revenue.
- Magnitude of the project: thinking big (biggest challenge but also biggest success).

Challenges are inherent in developing models and research initiatives

- There is not a direct match between characteristics of the intervention group and comparison group, including experience with recent hospitalizations. The LifeCourse research team can address questions about differences in groups.
- Hard to measure qualitative outcomes: effects of relationships over time.
- Confusion around requirements for LifeCourse enrollment among those referring new patients.

Implementation and expansion

EQ4: To what extent is the LifeCourse model being implemented as planned?

LifeCourse model is being implemented as planned to a large extent

- Very close to plan, have been slight changes as needed.
- To the extent that it is not being implemented as planned is reflection of the team responding to suggestions and developing needs—the team is being flexible rather than static.
- More like performance improvement than pure research: making changes throughout, checking changes made and how they can be operationalized, and watching outcomes to be sure working. For initiative to be practical and adaptable moving forward, need to take this approach.

EQ4a: What changes have been made since inception and for what reasons?

Changes made largely pertain to Care Guide scope, caseload, and team structure

- Defining and narrowing scope of Care Guide work so that it is doable: moved from “overbuilt” (too extensive a work scope) to “refined, deliverable, and replicable” (a more narrow and focused work scope that is doable and can be replicated when the model expands).
 - Incorporating assessment tools, protocols, and documentation of processes.
- Increased Care Guides’ caseloads: needed to find load that was realistic for desired outcomes.
- Moving from standalone teams to embedded teams (care guides physically located in clinics) (not a change but an anticipated evolution as move from research to implementation).
- Positive evolution of how patients are identified and offered the opportunity to participate.

EQ4b: Are further changes anticipated?

No significant further changes in the LifeCourse model are anticipated

- No significant changes anticipated. Minor changes anticipated as Care Guides integrate into various teams with differing styles, cultures, needs.
- Model will become clearer over first 6 months of next year.
- Some aspects of Care Guide care may be eliminated if needed for realistic scoping (not all patients/families use all services offered).
- Public engagement: small strategy revisions based on lessons learned about how difficult it is for the public to begin talking about end of life, events may need some adjustments (radio call in, etc.).
- Results of root cause analysis of hospitalization may or may not call for additional changes (see below).

EQ5: Is the initiative well positioned and ready for expansion? Why or why not?

LifeCourse will be ready for expansion in 2016

- LifeCourse leadership expresses that the initiative will be ready for expansion January 1, 2016.
- In remainder of 2015, LifeCourse will:
 - Finalize eligibility report and test,
 - Put learning development content into system based approach,
 - Analyze hospitalizations of LifeCourse patients and the extent to which those were preventable admissions, and
 - Analyze alignment between the wishes around death by participants and the extent to which death occurred in the place and manner specified in those wishes.
- The following items were cited by one respondent as needed before LifeCourse is ready for expansion. Some or all of these items may be addressed by the analyses that LifeCourse will conduct in the remainder of 2015 (noted above), and/or in the 9 month outcomes data, which will be delivered separately to the Robina Board:

- Root cause analysis of hospitalization (planned for 4th quarter 2015, see above),
- Show that patients and families believe their needs are better met,
- Show that patients spend more time in homes than skilled nursing facilities and hospitals,
- Show reduction in afterhours 911 calls,
- Show reduction in preventable emergency department and hospital visits,
- Higher rate of referral to hospice and higher length of stay,
- Net of costs of the intervention: overall spending is neutral or less, including cost of the intervention.

EQ5a: How has the intervention been positioned to be carried forward and implemented?

LifeCourse has been carefully positioned to be implemented

- There is a very clear definition of what a Care Guide does and how they are trained to do it, so that the model will be replicable.
 - Documentation exists for “every aspect of how to deliver on each domain of care and additional processes.”
 - Care Guide training manual and job description will be provided to make it easier to incorporate Care Guides.
- Expansion plan designed to focus on venues that are open and cooperative to the LifeCourse model to improve chances of success.
- Consistent communications across Allina system on what LifeCourse is doing, as well as seeking and incorporating feedback from key physicians throughout the development, has prepared the system for rollout.
- LifeCourse is ready for conversations with leaders of primary care and the 11 specialty areas of Allina Health to strategize for implementation across the system.
- LifeCourse Care Team clinicians working with Care Guides to prepare for reaching out to new care team clinicians in embedded settings.
- Dr. Penny Wheeler, Allina CEO, has been providing consistent messaging that late life care is a high priority for Allina Health, which will help expansion.
- Developing logic model, working with specialists on messaging and communications to customize different messaging for different stakeholders.

EQ5b: What is the currently proposed expansion approach?

Planned expansion approach includes Allina and Abbott Northwestern, assisted living partner sites, and partnerships with community-based organizations in African American community

- Will continue to support patients and families currently participating in the study after the study ends (ethical responsibility).
- Expand into:

- Allina Health system (primary care and specialty care clinics, home and community services, care management).
- Partner clinics that feed or attach to Abbott Northwestern (supporting Abbott as Robina grantee). Have relationships and support from senior leaders.
- Continuing Walker and Augustana partnerships, add a new partnership with long-term care assisted living.
- Clinic in Chanhassen that has a large number of patients in the Russian community, a physician at that clinic is providing guidance on cultural competency.
- Will simultaneously work to build partnerships with African American community through community-based organizations and community connections and resources, including churches. Exploring possibilities of partnerships with Somali community, possibly Hmong and other Southeast Asian communities (East metro) in the future.
 - Will have advisory councils and steering committees in these communities as partners to help shape how LifeCourse would need to be adjusted for those communities.
 - Currently identifying and meeting with individuals in communities who have potential to be advisors/partners.
 - Core elements of LifeCourse model will remain the same, other elements will be adjusted to needs of community.
 - Studying models of initiatives in other states, including Coalition to Transform Advanced Care, that are delivering care through faith based organizations.
- Geographic focus of Allina and partner clinic expansion is west metro area: concentrating on a set geographic area will enable better saturation in the community, allow for better relationship building, and thus provide better support and make more impact.
 - Starting with locations that are already appreciative and eager for LifeCourse, have sufficient numbers of eligible patients, and where can have a strong impact.
- Aim to also include in the conversations HealthPartners, Fairview, others, to build meaningful collaborations, goal by 2020 anyone in metro area should have access to LifeCourse.
- Have requested that Allina sponsor and cover costs for integrating Care Guides through Allina.
- Already have model oversight steering committee.

Expanding into communities will bring challenges

- Documentation in medical charts will be challenging when working through community based organizations without centralized electronic medical record systems.
- Issue of how well patient/family will relate to Care Guide: when expanding into various communities be sure to hire Care Guides with deep cultural knowledge of the community.
- Delivering LifeCourse through community-based organizations means that LifeCourse will need to supply the funding.
- Working with communities is more unpredictable and messier than pure research having controlled factors.

Advice for expansion focused on payers, staffing, and the LifeCourse model

Payers

- Keep in mind that the people interested in supporting this model are payers, insurance companies and large employers. Both the measures of impact and also the capacity of program should be aligned to the expectation of payers. Payers will invest if:
 - Demonstrated clear value of program (high value intervention with lower cost), and
 - Scalability: ability to be rapidly scalable to rising demand.
- Explore not only total cost-of-care, but also how much cost is being shifted away from payers and toward patients and families.

Staffing

- Respondents suggested that more experienced Care Guides mentor less experienced Care Guides, and that Care Guides be managed by a licensed social worker or licensed graduate social worker.
- As eventually move from Twin Cities-based expansion to broader expansion beyond Twin Cities, be mindful of how unique aspects of Twin Cities may be shaping LifeCourse:
 - Culture of people being “nice” and not wanting conflict,
 - Ethnic make-up of immigrant populations in Twin Cities different from other places in country,
 - How idiosyncratic is the potential pool of Care Guides in the Twin Cities, and to what extent is that replicable for pools of potential Care Guides in other places in the country?
- LifeCourse should understand (as clearly as possible) the characteristics of Care Guides in the Twin Cities:
 - Understand the pool from which they selected the Care Guides,
 - The training they gave them,
 - How long the Care Guides are likely to stay in that position,
 - Where they are likely to move on to, etc.

LifeCourse Model

- Model will be shifted in different environments: remain responsive to feedback from partners and prepared to adapt the model to incorporate solutions.
- Be prepared for pushback from systems, can use testimonials to help respond (“our concern was X and we found that addressed through Y”).
- Consider a mechanism allowing patients to self-refer or families to refer patients (not relying on providers for all referrals due to concern that providers may miss people who should be referred).
- Could codify what LifeCourse believes would be ethnic specific issues that may not be applicable to a broader population.

Support from Allina Health for implementation

EQ5c: What is Allina's commitment to LifeCourse, [including a financial commitment]? i.e., is Allina invested in LifeCourse?

Allina Health is already providing top leadership support

- Penny Wheeler, CEO, is affirming that LifeCourse is a high priority for Allina and fits closely within Allina's mission.
- Senior leaders, including Penny Wheeler, and Chris Bent, Executive Vice President of Allina Health Group, are providing coaching and strategic insight into how to implement LifeCourse across the various subsections (primary care and 11 specialty areas) of Allina.
- LifeCourse team is seeing successes when talking with Allina leaders, who are putting them on the agenda, having tough conversations, and excited about LifeCourse expansion.
- Senior leaders of Abbott Northwestern are also giving good direction for how to implement.
- LifeCourse team has forwarded a request for financial sponsorship from Allina.

EQ5d: What additional support does the team need from Allina Health in order to be successful in implementation across the system?

LifeCourse needs additional support from Allina Health

- Support is needed from second tier leadership in Allina: leaders of clinics and clinical service lines.
- Awareness will be needed on the part of mid-level leaders of how implementation will be carried out across the system—it will be important to work across silos.
- It would be helpful to have examples of other successful implementations within Allina from which to learn.
- Support from Allina Performance Resources Group will be needed moving forward to build eligibility reports and testing, and build dashboards for reporting metrics and case findings.
- Support from Excellion will be needed moving forward to complete medical record builds in order to support teams, physician referrals, etc.
- Longer term goal: partner with care management to implement new Excellion tool called Longitudinal Plan of Care, and customizing for LifeCourse patients.
- Longer term goal (post-2016): partner with finance and payer relations for purposes of explaining the program and defining and negotiating support.
- There is currently great interest and support from partner sites and expected first wave adopters, but also needed from these partners is an understanding that they will need to dedicate additional time and resources into managing the new Care Guide role after implementation.

Financial aspects of implementation

Shift from volume-based to value-based reimbursement, from fee-for-service to risk-based reimbursement model

- The national healthcare landscape is in the midst of a business model shift from volume-based to value-based reimbursement: “from how many things do we do to how many people, to what outcomes we are getting per dollar spent.”
- LifeCourse is in close alignment with this new model, which will be better for patients, better for Allina because fits with their mission, and better for payers because they will get better value.
- Payers are also in a shift toward looking for ways to keep people in their homes safely, rather than using 911, emergency room, and hospitals. LifeCourse is also in alignment with this shift.
- LifeCourse model fits well under a risk-based, not a fee-for-service model. There are not many risk-based models currently in Minnesota, but Medicare Advantage will shift to risk-based in 2018, at which time 50% of what Centers for Medicaid and Medicare pay for will be based on the outcomes that their beneficiaries receive. The task is to bridge LifeCourse until the shift happens, and seed LifeCourse into the system for when the shift happens.

EQ6: Is LifeCourse saving Allina money?

LifeCourse is not saving costs for Allina Health, but supports Allina’s mission

- Allina is solely a not-for-profit provider organization, with no payer arm, and is in a fee-for-service model. LifeCourse fits better into a risk-based reimbursement model. LifeCourse is not saving Allina money in the current model—Allina is losing hospital and emergency room-based revenue in the interest of providing better upstream whole-person care, but when the model shifts to risk-based reimbursement, LifeCourse will be financially beneficial.
- Allina is currently investing in multiple initiatives that are better for the health and wellness of patients, but not financially beneficial for Allina, for example: Robina LifeCourse, Penny George Institute for Health and Healing (takes holistic approach to health and healing), and Virginia Piper Cancer Institute care coordination for cancer patients. This investment has a great positive impact on the triple aim of the Institute for Healthcare Improvement (as noted above).
- Allina is part of the Accountable Care Organizations Pioneer Program: a coalition of 20 organizations partnering with the federal government working to shift payment models.

EQ7: What are the successes and challenges resulting from the efforts to expand the impact and diversity of *LifeCourse* through communication and outreach strategies?

Successes of communication and outreach strategies to expand the impact and diversity of LifeCourse

Overall strategy includes both:

- Messaging on late life and LifeCourse, including through public relations firm Weber Shandwick, and

- Community engagement aimed at raising awareness of the importance of the issue of how late life care is negotiated in the current national landscape, and motivating actors to become involved with the discussion.

Successes include:

- Partnership with Twin Cities Public Television (TPT) TV, including documentaries of individual story-telling about late life care.
- The event known as “June 3rd,” moderated by Minnesota Public Radio’s Cathy Wurzer, convened 30 community stakeholders from various sectors—corporate, community, healthcare, and public sectors—to discuss the how late life care is currently addressed in the national healthcare system, and the importance of a whole person approach, in order to generate interest in engaging on the topic.
 - A second convening of the 30 stakeholders is planned for November 19 to continue the discussion on what is difficult with regard to late life care, and who are partners for this conversation.
- Working with local radio stations including KMOJ 89.9 FM, which has 70% African American listenership. Featured individual stories of caregivers.
 - KMOJ hosted “Community Conversation” event at Capri Theatre in North Minneapolis April 23, 2015, at which community members discussed navigating late life care in-person and through phone call-in.
- Ampers, a coalition of 18 independently owned radio stations, is distributing “caring conversations,” 90-minute stories featuring people from various cultures dealing with late life care issues.
- Some participants and moderators at these events have been inspired to increase their involvement with the topic and with LifeCourse.
 - KMOJ Morning Show Co-Host Freddie Bell, who moderated the April 23 event, stated to LifeCourse that his experience moderating the event made him realize the importance of late life issues to him personally, and that he wanted to be a “flag bearer” for LifeCourse.
 - A participant in the June 3 event recalled personal experiences with late life care issues and told LifeCourse that he wanted to be an advisor and leader for LifeCourse’s work.
- Listening sessions with Somali community members to hear about what is important to them in healthcare and how can LifeCourse shape what they offer to better fit needs.
- Engaging with an Allina Health physician in Chanhassen who serves Russian population, who is providing insight into how LifeCourse could be best modified to serve the needs of patients and families in the Russian community.

Challenges of communication and outreach strategies to expand the impact and diversity of LifeCourse

- Building enrollment of diverse populations through the Allina system is limited because the patient population in each clinic is defined and limited.
- Decisions of which populations to approach about partnering with LifeCourse are also confined by potential numbers of eligible patients in each population (people nearing end of life having

enrollment-eligible disease trajectories). Need a large enough pool of potential patients in each community in order to be sustainable and have the potential for positive impact.

- Communication and outreach to this point is still largely on the visionary level—what the nation needs in terms of better, more accessible, whole person late life care. It is not yet to the stage of having a concrete “call to action” (here’s what you can do next).
- Keeping focus on all (not just one or two) dimensions of health equity: race/ethnicity, access, economic challenges, etc.

EQ7a: How is LifeCourse addressing the need for translators?

LifeCourse has not needed language translation services to-date

- The study approach approved by the Institutional Review Board restricted study participants to English speaking patients only; thus, no translation services have been needed to date.
- LifeCourse is currently launching an effort to enroll Russian speaking patients through the Allina Health Chanhassen clinic. Enrollment materials have been translated, approved by the Institutional Review Board, and interpreter services is prepared to work with the team.

Roles and responsibilities

EQ8: Does the team managing the initiative have the right people with appropriate authority to be effective?

LifeCourse management team has the right people and appropriate authority to be effective

- Leaders have what they need and are doing a great job in:
 - Structuring the coming work and getting the right people in place,
 - Managing operationalization: staying one step back and letting people do what they need to do, but making sure they have what they need,
 - Managing research and disseminating results, and
 - Managing oversight and keeping people on track.
- Biggest concern was to have someone who “knows the system and can face the system,” and that role is successfully filled.
- Leadership team was described by others as:
 - Very engaged and connected to one another,
 - Very committed to Care Guides,
 - Very impressive as individuals and a group,
 - Compassionate, dedicated problem solvers, and
 - Having high level of expertise and creativity.
- “It’s hard to separate LifeCourse from the people who have put it in motion. And that’s a tremendous strength for Allina, but will other potential adoptees have that [strength of team is a question.]”

Management needs moving forward

- In implementation, will be a need for people to manage relationships and capture learnings of each area of integration and feed those learnings back into the system.
- One suggestion was made that LifeCourse be open to the fact that since implementation across the system involves a different skill set and set of interests than does research and development, some staff may be less excited about the implementation phase and prefer to move on to another position.

EQ9: Are the care teams working effectively together to improve patient care?

EQ9a: Is there currently the right mix of staff (Care Guides and clinicians) on care teams?

Care teams are, overall, working effectively together to improve patient care

Mix of clinical and non-clinical (Care Guide) staff on Care Teams has challenges, but is working well

- Care Guides and clinicians are fostering relationships in planful manner to make co-visiting and co-documenting a more seamless process.
- Care Guide training includes how to form relationships with different Care Team members, and how to explain added value of Care Guides to Care Team and patient/family experiences.
- Overall, Care Guides and clinicians are currently integrating well. Receiving positive feedback from providers. Fully-embedded Care Guide at Walker partner site well integrated.
- Mix of clinical and non-clinical team members has pros and cons:
 - Pro: non-clinical Care Guides may be easier for patients/families to relate to and talk to.
 - Pro: non-clinical Care Guides are not socialized within a specific medical discourse; thus, will see patient experience through broader lens.
 - Con: non-Clinical Care Guides are trained to recognize and identify symptoms or issues that require flagging for/consultation with clinical team members, but some respondents were concerned about the possibility that Care Guides could miss important indicators.
- Care Guides' partnership with LifeCourse Care Team working well, but shouldn't underestimate the fact that they had the opportunity to evolve together—when integrating Care Guides into new Care Teams, it will be more challenging, there will likely be pushback:
 - Recommendation is to use testimonials in negotiating pushback: reflect both initial concerns as well as how those concerns were addressed and resolved.
 - Care Guides will need assistance integrating with new teams, and could use additional training on integrating within nursing home settings. Did a small pilot and learned much on how to guide Care Guides in improved integration within teams.
- Care Guides center on relationships, so there needs to be intentionality on not overlapping roles with relationship-based clinicians (social workers, marriage-family therapists, chaplains). There is less grey area regarding overlapping roles with medical/physical-based clinicians like

physicians, nurses, or pharmacists. This makes it easier for Care Guides to determine when to reach out to medical clinicians for support, and harder to determine when to reach out to relationship-focused clinicians.

Care Guides use a range of tools to communicate with other Care Team members

- Within Allina, Care Guides use standard Allina communications tools (Epic, Excellion), as well as phone, secure email, or face-to-face discussion and meetings. Multiple hours weekly are dedicated to communication between Care Guides and the LifeCourse Care Team.
- Within partner sites, Care Guides use a range of paper charting, phone, and face-to-face communication.

Care Guides face some challenges in communicating with other Care Team members

- Care Guides at partner sites work with multiple non-compatible communications and charting systems, which is challenging. Need to use paper charts onsite, which prevents accessing patient information while offsite. Challenging to share Care Guide notes with all providers.
- There is a high level of hierarchy in healthcare. Providers demonstrate a range of receptivity to input from (non-licensed) Care Guides: LifeCourse is receiving positive feedback from some providers, but not all providers will be as receptive. Care Guides are being adaptable as each care team is unique.

EQ9b: Are roles and responsibilities appropriate and clearly defined?

Care Guide roles and responsibilities are appropriate and clearly defined, to a large extent

- Over the course of the initiative, Care Guide roles and responsibilities have been scoped, refined, and documented through work flows, protocols and structures for 11 domains.
 - Documentation lays out Care Guide role for each domain, what is in scope, and what triggers will indicate to a Care Guide that they are out of scope and need to refer to a clinician.
 - However, the complexity of individual human experience in various situations will lead to grey area. When questionable, the Care Guide reaches out to ask for guidance.
 - (As indicated above) As a relationship-based role, there may be some overlap with relationship-focused clinicians (therapists, etc.), and determinations on when to consult clinician will need to be made by applying tools and protocols on case-by-case basis.
- Many Care Guides have expressed that the scope of their roles and responsibilities are more extensive than what is appropriate for their compensation rates.
- Because Care Guides and LifeCourse Care Team members have grown in the program together, it is possible that they have some intuitive sense of how their roles fit together based on experience working together. It will be important to remember that an intuitive, experience-based sense will not be available to Care Guides expanding into new teams.

- Team has learned from experience about where and how to not overstep boundaries with clinicians. For example, when patients are hospitalized, Care Guides can take a step back and focus on translating for patient and family. These lessons learned are being applied as the initiative moves forward.
- A challenge in implementation will be communicating to others what the Care Guide role is, how it connects to other work performed, and how it supports but does not duplicate other work.

EQ9d: How does LifeCourse provide 24/7 coverage?

Care Guides refer patients and families to existing afterhours systems for 24/7 care

- Focus of Care Guides is providing support, linking to clinicians and resources, and helping patients/families determine and express values, goals, and wishes. Care Guides do their best to help patients and families prepare for unexpected needs. Care Guides link patients and families to the 24/7 afterhours system provided by their Allina Medical Group clinic or specialty provider for needs that arise in the evening and/or weekend hours.

EQ10: How deep is the involvement of members of the National Advisory Committee?

National Advisory Council provides support to LifeCourse through advisory council meetings, as well as individual meetings and interactions

Type and frequency of involvement

- 2012-2013: National Advisory Council met twice a year to advise and review the conceptual and research-based framework for LifeCourse.
- 2014-2015: met once a year to review model development, research findings, and advise on program development.
- Between meetings, LifeCourse meets with advisors at the different national conferences that various Advisory Council members attend (LifeCourse prioritizes attending 5 national conferences).
- Also seek advisors' input in Robina Annual Report, and connect with them throughout the year.
- Members of the National Advisory Council report that the level of council involvement in LifeCourse is higher than average for similar types of initiatives, that their role has been meaningful, they have had sufficient opportunity to provide all their insights, and their input has been received with enthusiasm.

LifeCourse uses the advisory board to guide work on a range of topics

- Advisory board provides leadership expertise in core areas of practice and research. In addition to the meetings listed above, LifeCourse reaches out to individual members of the advisory board for support and guidance in various aspects of the work, including:
 - Soo Borson provides vital monthly input on patient activation and family involvement, as well as support around topics of cognitive impairment, dementia, and Alzheimer's.

- Have frequent contact with Joanne Lynn around programs that care for the aging and help with coordination of care transitions.
- Diane Meier, leader of Center to Advance Palliative Care (CAPC), helps connect LifeCourse with opportunities within CAPC. One such opportunity was in September 2015 when Sandy Schellinger presented LifeCourse through an hour-long CAPC webinar on community-based palliative care. Diane Meier and her staff were integral to the preparation of the presentation. Sandy will continue as outside faculty for CAPC.
- LifeCourse has had several conversations with Rich Payne over recent months about integration of LifeCourse into community based organizations and the interrelationship of faith-based organizations with living well and dying well.

LifeCourse anticipates that the role of the National Advisory Council will remain strong moving forward

- LifeCourse envisions the future role of the advisory board to encompass four major activities:
 - Authorship partnership,
 - Dissemination partnership,
 - National and statewide advocacy, and
 - National collaboration.
- National advisors have been some of the most influential advocates to-date, and LifeCourse anticipates partnering with them around payment and policy advocacy efforts, and behind the scenes advocacy around program partnership.
- LifeCourse anticipates potential continuing collaboration with advisors on specific implementation of the model at their organizations or at key partners of their organizations.

EQ11: Does LifeCourse use volunteers?

Volunteers are not used in LifeCourse

- Volunteers are not used in LifeCourse for the following reasons:
 - Care Guides' use of patient medical records is not appropriate for people working in a volunteer capacity due to HIPAA regulations.
 - LifeCourse is not intended to duplicate existing programs, such as hospice, which can provide more service-based needs (such as shopping or household chores) through volunteer assistance. If these types of services are needed, Care Guides can link patients and families to existing resources.

LifeCourse has the potential to make a major impact if successfully implemented

- If successfully implemented, LifeCourse could:
 - Make meaningful contribution toward solving the problems of over-medicalization of late life care and insufficient attention to non-medical needs (whole person care), and patient/family wishes.
 - Cut costs of care.

- Improve experience of patients & families, reduce reliance on 911, emergency departments, and hospitals for problems that could be more effectively managed at home.
- If scaled broadly, could impact a cultural shift in healthcare toward whole person care and value-based (rather than volume-based) care.

Robina Report: Care Copilot Institute (CCI)

November 2015

The mission of the Care Copilot Institute is to transform care delivery through the use of lay healthcare workers. Our vision is that one day lay healthcare workers will be a customary part of healthcare delivery; viewed by providers as indispensable team members that contribute to better care; appreciated by patients and communities for the persistent personal connections they enable; and supported by payers, employers and policy makers for delivering value.

In 2015, Care Copilot Institute focused on care guide implementation efforts and building an understanding of the use of lay healthcare workers within Allina Health as well as continued to disseminate knowledge and experiences to a national audience.

Projects at Allina Health

CCI has worked diligently to integrate care guides across the care continuum and understand how current care guides and other lay healthcare workers function across Allina Health.

Adaptations of the Original Care Guide Model

In 2015, CCI was an integral part of adapting the original care guide model through the development, implementation, and evaluation of new care guides at Allina Health. Currently, there are 20 care guides working across Allina Health serving different patient populations. CCI will also provide support as over 30 care guides are added across the system in 2016.

- *Equity Care Guides:* The goal of the equity care guide model is to reduce health disparities among African American (US born), Hispanic/Latino, and Somali patients with diabetes. Patients using Allina Health primary care receive culturally responsive support through the use of care guides paired with Certified Diabetes Educators. Two new care guides have been hired and one is in the process of being hired. All three care guides will be culturally and linguistically matched to the patient population they are serving.
- *Access Care Guide:* The access care guide model was created to increase primary care visits and decrease non-acute emergency department use for patients without an assigned primary care provider. The access care guide pilot project took place in the Abbott Northwestern WestHealth emergency department and provided education to patients on the importance of primary care and appropriate use of healthcare resources. The pilot ran for 6 months and received positive feedback. The access care guide was able to help 128 new patients establish primary care within Allina Health.

Support to Existing Allina Health Projects

In addition to the development of new care guides within Allina Health, CCI also supports existing projects that include care guides as a part of their teams.

- *LifeCourse*: CCI was involved in developing the LifeCourse logic model and theory of change. The logic model provides the structure to support clinic-based implementation and evaluation, while the theory of change provides a broad picture of the LifeCourse from inception through dissemination and scaling efforts. CCI plays a unique role in providing skills and expertise in translating research to practice, program planning and development, and evaluation design and implementation to assist LifeCourse.
- *Care Management*: Like with LifeCourse, CCI is collaborating with the Advanced Care Team program staff and leadership within Care Management to develop a logic model and evaluation plan as a means to improve programming and perform a health economics, or cost-benefit, analysis. The evaluation will take into account the work of the whole team, with the care guides playing a key part in the work with patients at high-risk for readmissions.

System-level influence

CCI continued to work at the system-level to identify and determine how to support care guides and other lay healthcare workers across the organization. In addition, CCI engaged with external partners to learn from and share experiences with using lay healthcare workers in practice.

- *Lay Healthcare Workers Workgroup*: CCI has been the convener and facilitator for a group of leaders at Allina Health that oversee lay healthcare workers or have decision-making responsibilities for these roles within the system. In 2015, the workgroup developed a comprehensive grid of lay healthcare workers across the system to determine how many roles exist within Allina Health, specific functions of the roles, patient populations served, and the similarities and differences between the roles, among other details.
- *Partnerships*:
 - Minnesota Department of Health (MDH) – MDH is funding the pilot of the Somali equity care guide for a period of 9 months. Allina Health will fund the pilot for an additional 3 months to ensure time for startup and implementation. CCI will lead the evaluation of the pilot and share findings as part of the grant agreement.
 - Minnesota Community Health Worker Alliance – CCI began attending Alliance meetings in 2015 to understand the use of, supports needed, and policy changes for this growing workforce within Minnesota. CCI has been able to provide an active voice for Allina Health and health systems in this collaboration between community organizations, state colleges, and other groups utilizing these roles.
 - State Innovation Model – Emerging Professions Learning Community (SIM – EPLC) – CCI participated in the learning community and hosted an event on the use of two emerging professions with Minnesota, the community health worker and community paramedic, on care teams. CCI was able to share care guide experiences and learn from the experiences of the other large healthcare systems using similar roles within the Twin Cities.

Other Projects

Literature review

CCI is currently working on a comprehensive literature review to study the shared functions across various lay healthcare workers in care delivery. This review will offer descriptive data on these types of roles that can help CCI and others define this workforce and determine how to support it.

Implementation Support for External Organizations

CCI continued to provide planning support to two external organizations while they were developing their lay healthcare worker models within their organizations.

- *Southside Community Health Services*: CCI continued collaboration with Southside Medical Clinic, a Federally Qualified Healthcare Center near Abbott Northwestern, in its effort to implement a lay healthcare worker to support care coordination in its healthcare home.
- *Hutchinson Health*: CCI continued collaboration with Hutchinson Health and the Institute for Clinical Systems Improvement (ICSI) to develop and implement a care guide role to work across public health, healthcare, and PrimeWest Health.

Dissemination

CCI continued disseminating the care guide model research and its adaptations while also sharing information more broadly about the use of lay healthcare workers in care delivery. In 2015, CCI staff presented at 6 conferences, facilitated 3 webinars, and wrote for 2 national publications.

Conferences:

1. HIMSS15 (Healthcare Information and Management Systems Society Annual Conference) – Presented “Patient Experience: Touching the Heart of Medicine” which discussed pairing high-tech capabilities with high-touch through care guides to achieve patient engagement and improve patient experience.
2. 5th Annual Primary Care Nursing Conference (Allina Health & Grand Itasca Clinic & Hospital) – Presented “Patient Experience and Patient Engagement: Touching the Heart of Medicine”
3. 2015 CAPG Healthcare Conference (California Association of Physician Groups) – Presented “How Lay Healthcare Workers Can Make a Difference on the Care Team” which highlighted three adaptations of the care guide model.
4. MedCity ENGAGE – Presented through an interview format the care guide research and various adaptations of care guides within the Allina Health system.
5. 2015 MGMA Annual Conference (Medical Group Management Association) – Presented “Innovative Delivery Models: Lay Healthcare Workers Transforming Patient Care”

provided an overview of lay healthcare workers in care delivery and highlighted two care guide models.

6. IHI (Institute for Healthcare Improvement) 27th Annual National Forum on Quality Improvement in Health Care – Will present a poster entitled “Equity Care Guides: Reducing Health Disparities by Transforming Care Delivery”

Webinars:

1. MHPA (Medicaid Health Plans of America) – “Team Care for Chronic Disease Patients Using Lay ‘Care Guides’”
2. Beryl Institute – “Patient Experience and Patient Engagement: Touching the Heart of Medicine”
3. CQC (California Quality Collaborative) – “How Lay Healthcare Workers Can Make a Difference on the Care Team”

Publications:

1. Journal of Clinical Outcomes Management, December 2014 – “Integrating Lay Health Care Workers into the Primary Care Team”
2. Health Affairs, GrantWatch blog, June 2015 – “How Lay Health Care Workers can add High Touch to High Tech”

2016 Outlook

In the coming year, CCI plans to continue the work of...

- Building a supportive infrastructure for the lay healthcare worker workforce across the Allina Health system
- Adapting the care guide model to fit specific care delivery settings and/or patient populations within Allina Health
- Completing the comprehensive literature review and publishing findings in a research journal and/or other national publications
- Preparing a paper related to adapting the care guide model to reduce health disparities
- Disseminating findings, experiences, papers, and tools to a national audience

Budget

Over the course of 2016, CCI will spend down the remaining Robina funds. Expenses will include staff time and activities to contribute to and learn from the field through development, implementation, and evaluation support within Allina Health, presentations for national audiences, and development of strategic partnerships.

BUDGET OVERVIEW	
2015 Budgeted	\$542,479
2015 Projected Expenditures	\$429,672
2016 Projected Carryover	\$112,807

BUDGET	2015 EXPENDITURES (through 9/30/15)	2016 EXPENDITURES (projected)
<i>Staff Expenses & Fringe</i>		
Staff Salaries	\$232,317	\$51,346
Benefits	\$61,564	\$13,735
<i>Consultants and Other Purchased Services</i>	\$28,005	\$31,855
<i>Other Expenses</i>		
Website Development / Advertising	\$4,485	\$1,046
Supplies	\$822	\$700
Travel (local and out of town)	\$17,634	\$13,000
Printing	\$62	\$125
Others	\$7,461	\$1,000
EXPENSES (Quarters 1-3)	\$352,350	
PROJECTED EXPENSES (Quarter 4)	\$77,322	
TOTAL EXPENSES	\$429,672	\$112,807

Robina Report: LifeCourse

November 2015

- 1. Overview of LifeCourse**
- 2. Results to Date**
- 3. Plan for 2016**
- 4. Plan beyond 2016**
- 5. Positioning of Allina Health**
- 6. Response to IMPROVE**
- 7. Response to Environmental Scan**

1. Overview of LifeCourse

Why LifeCourse?

The later stages of life can be filled with uncertainty. Too often, the care available to people living with serious illness is fragmented, and does not support their psychosocial needs. And when individuals do receive support, **lack of trust and poor communication** between family, caregivers, and healthcare providers may stop it from being as helpful as possible. As a result, decisions and burdens can be overwhelming.

These later stages of life should be a time **full of purpose and meaning**, a time when individuals can make personal choices centered on what matters most to them, and a time when they continue to be recognized as a whole person, not just an illness.

LifeCourse aims to address this by **filling a gap**. The healthcare system provides focused care during crises and at end of life. But those living with serious illness face challenges during the “**in-between**” times as well as during emergencies. LifeCourse is an added layer of support throughout the later stages of life that helps individuals identify, access, and coordinate providers and services so that the care provided supports what matters most as much as possible.

How LifeCourse will create change?

LifeCourse helps create a world where the later stages of life are more supported and more fulfilling, **centered on the values and preferences** of the whole person who is living with serious illness. To realize that vision, the Robina Foundation has funded LifeCourse at Allina Health.

LifeCourse has two primary objectives:

1. To make trained care guides available and **accessible to everyone in the later stages of life** in the Twin Cities region by **2020**. The LifeCourse approach aims to be adaptable to different types of healthcare settings, including those outside Allina Health, and LifeCourse will help others quickly develop similar programs.
2. To create interest and **demand for new ways of improving people's experiences** during the later stages of life. Since improving experience in late life will require a broad social engagement and movement that reaches beyond the healthcare system, LifeCourse is drawing attention to this need through media partners such as Twin Cities Public Television. In addition, LifeCourse research has been published and presented locally and nationally with more publications and presentations in the works.

The ultimate aim of LifeCourse is to help individuals in the later stages of life and their key friends and family as they pursue care and support that is in step with **what matters most to them**. LifeCourse

creates value and meets the needs that individuals and families want to address the challenges of serious illness (see Theory of Change on slide 1 in appendix).

What is the LifeCourse approach?

LifeCourse is a late life supportive care approach employing lay healthcare workers called **care guides** who collaborate with physicians, care teams, and community partners to help individuals and their key friends and family navigate the complexities of serious illness.

The care guide helps to **ask the right questions, connect with needed support, and prepare for what is coming next**. LifeCourse empowers individuals to make decisions that line up with their cultural, religious or spiritual traditions and to seek support around medical, social, psychological, financial and legal issues. LifeCourse assists healthcare providers in recognizing and honoring individual preferences and supporting individuals involved in making difficult healthcare choices.

To date LifeCourse has shown promising results. Individuals participating in LifeCourse have **maintained their quality of life** longer and, at the end of their lives, **used hospice** and inpatient palliative services more than individuals receiving usual care.

How is LifeCourse delivered?

Using a structured approach, care guides meet with individuals on a monthly basis (see Logic Model on slide 2 and 3 in appendix). Care guides use question sets and assessment tools to lead discussions of the individual's medical and psychosocial concerns. During the visits they **help individuals articulate what matters most** to them, and then support individuals and their families in seeking care that aligns with their goals and preferences. Care guides are also trained in a whole person, family-oriented approach that helps them **identify the strengths and needs** of the individuals' family and friends. The following is a case study (see LifeCourse Case Study on slide 4 in appendix):

Johanna, a 90-year-old widow, lived through occupied Europe as a child. She was very private and fiercely independent preferring to make decisions based on her own even though she knew those decisions might risk her health and safety. Firmly believing "I know what is best," Johanna would not call anyone when she fell, and would change medications on her own when her symptoms worsened.

Johanna's daughter, Mary, worked hard to support her mother and family while managing a full time career. Mary did her best but was often frustrated with her lack of control given her mother's personal choices and need for independence.

Over a period of two and a half years, Johanna and her daughter received monthly visits from her care guide. During these visits the care guide explored with them the individual perceptions of their experience by exploring the joys and concerns of her physical, psychosocial, and emotional well-being. Because of their person-centered interviewing skills, the care guide felt confident in using the

palliative care domain questions to better understand what is most important for both Johanna and her daughter. This allowed the care guide to recognize when Johanna needed additional support from an RN in understanding her disease trajectory. After discussing her condition with other care team members and continuing conversations with her care guide, Johanna changed her treatment plan to allow her to live as independently and privately as possible, in agreement with what mattered most to her.

As a result of LifeCourse, Johanna was supported by healthcare professionals who better understood her preferences, valued her family relationships, learned of her needs, and connected her with support that enabled her to live well to the end.

How are Care Guides trained?

Care guides receive training in the domains of palliative care to give them a whole-person perspective. They are also trained on a structured visit approach which incorporates the use of question sets and standardized assessment tools. The LifeCourse visit approach was developed by care guides and the clinician team engaged with the LifeCourse research (includes a physician, nurse practitioner, pharmacist, registered nurse, social worker, marriage and family therapist, and chaplain). The care guides are trained in utilizing the electronic health record to connect with resources, document patient status, and message with other healthcare providers who the patient interacts with across settings and specialties throughout Allina Health (see Care Guide Intervention Detail on slide 3 in appendix).

2. Results to Date

What is LifeCourse enrollment so far?

LifeCourse has enrolled 450 patients in its intervention arm. Of these individuals, 256 are currently active and 194 are inactive. Of those individuals who are inactive, almost **half are inactive because of death** (n=92, 47% of inactives); the remainder are inactive due to program demands being too high or the program being 'not right for me' by the individual (n=62, 32%), data collection burden too high or did not consent (n=14, 7%), choice of the key friend or family member to inactivate the patient (n=10, 5%), or a change in eligibility (n=9, 5%) or another reason (n=7, 4%).

For the intervention group patients, a total of **616 key friends and family members (KFFs)** have been enrolled; of these, 312 are active and 304 are inactive. Of those inactive KFFs, the **vast majority have inactivated because either the patient died** (n=125, 41% of inactive intervention KFFs) **or the patient inactivated** (n=95, 31%). Reasons for the additional inactive intervention KFFs include: KFF deceased (n=2, 1%), data collection burden too high (n=5, 2%), KFF did not consent (n=28, 9%), KFF decided program was not 'right for me' (n=30, 10%), or another reason (n=9, 3%) or program demands too high (n=10, 3%).

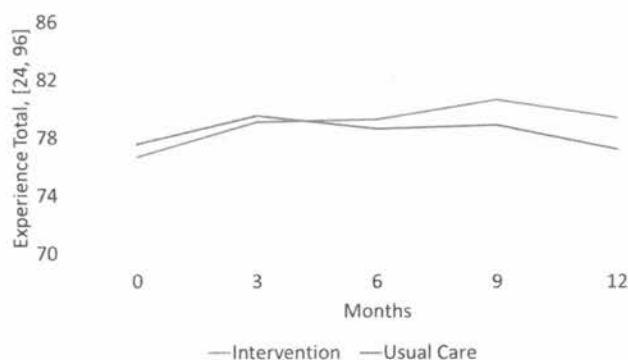
An additional **285 patients have been enrolled in the comparison group**. Of these individuals, 228 are currently active and 57 are inactive. Of those individuals who are inactive, **over half are inactive because of death** (n=33, 58% of the inactive comparisons). The remainder are inactive due to a choice by a key friend or family member (n=8, 14%), high burden of data collection (n=7, 12%), program 'not right' from the perspective of the patient (n=8, 14% of inactives), or other reason for patient choice (n=1, 2%).

Comparison KFFs reflect an experience similar to intervention KFFs. Of the **253 comparison KFFs**, 193 are active and 60 are inactive. The **majority of KFFs who have inactivated have done so because the patient died** (n=26, 43% of inactive comparison KFFs) or the patient inactivated (n=18, 30%). Two comparison KFFs died (3%); remaining reasons for comparison KFF inactivation include data collection burden too high (n=6, 10%), KFF choice – 'not right for me' (n=5, 8%), or another reason (n=3, 5%).

Note that typical patient turnover for healthcare in any given year is 20% -- meaning that 1 in 5 patients transitions to a different primary care provider that year. In the LifeCourse study, 23% of patients enrolled in the intervention group have inactivated due to a reason unrelated to death. In the comparison group, 8% of patients enrolled have inactivated due to a reason unrelated to death.

What are we learning about patient experience?

Overall. The care experience instrument used to assess the experience of patients was developed specifically for LifeCourse and addresses the broader healthcare team, as well as core components significant to the late life experience. The **overall care experience for patients enrolled in LifeCourse is significantly positive** (2.27 to 3.84 points higher, $p=0.036, 0.056, 0.016$ for the baseline to 6, 9, and 12 month time periods) as compared to those enrolled in usual care. The 'global' questions around care (.44 points higher for the baseline to 12 month change period, $p=0.068$) and support (.42 points higher for the baseline to 6 month change period, $p=0.033$) reveal **significant impact on overall perceptions of care and support during this period.**



Significant Trends. Similar trends are seen when examining the sub-components of the patient care experience survey:

- For the domain of '**repeat myself**' (comprised of questions: I had to repeat myself when telling the care team about my medical condition. I had to repeat myself when telling the care team about what was important to me. I had to repeat myself when telling the care team about my life.), LifeCourse intervention patients had 0.5 to 0.82 point **higher means** for 9 and 12 month change scores than those enrolled in usual care ($p=0.069, 0.002$).

- In the area of **'goals'** (comprised of questions: My goals of care include what is important to me. I have a good understanding of my goals of care. I know what I need to do as part of my goals of care.), LifeCourse intervention patients had 0.4 to 0.59 point **higher means** for 6 and 12 month change scores than those enrolled in usual care ($p=0.055$, 0.007).
- In the area of **'time'** (comprised of questions: I got appointments with my care team as soon as I needed. The care team spent the right amount of time with me. I was able to get in touch with someone on my care team when needed.), LifeCourse intervention patients had 0.64 point **higher means** for the 12 month change score than those enrolled in usual care ($p=0.021$).

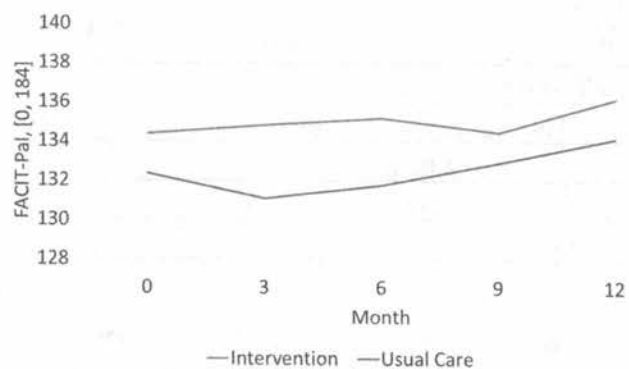
Positive Directionality. Additional data reveal trends not statistically significant but moving in a positive direction:

- For the domain of **'personal'** (comprised of questions: The care team knew my personal circumstances or situation. The care team helped me understand what was important to me. The care team did everything they could to help me with my problem or physical symptom.), LifeCourse patients had, on average, one-third to one-half a point **higher mean change scores** than usual care patients.
- For the domain of **'trust'** (comprised of questions: The care team respected me. The care team kept my wishes at the center of my care. I trusted my care team.), LifeCourse patients had, on average, a one-quarter point **higher mean change score** than usual care patients.

What about quality of life?

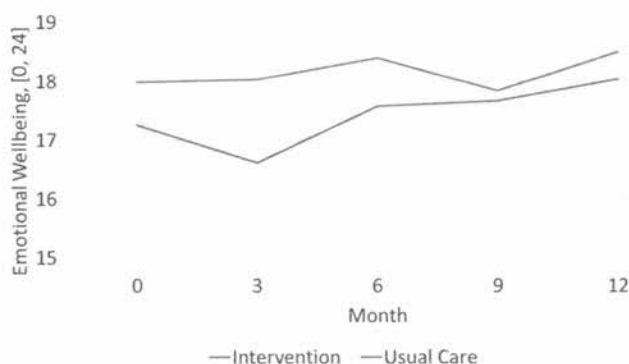
Examination of the quality of life scores derived from the standardized FACIT-Pal (Functional Assessment of Chronic Illness Therapy – Palliative version) reveals that for patients enrolled in the LifeCourse intervention, their **overall quality of life** baseline to 6 month change score is **4.5**

points higher than the change score for patients in usual care ($p=0.037$). While we are currently underpowered to detect a statistically significant effect in the baseline to 9 month and baseline to 12 month scores, directionally the effect is the same as that of the baseline to 6 month period.

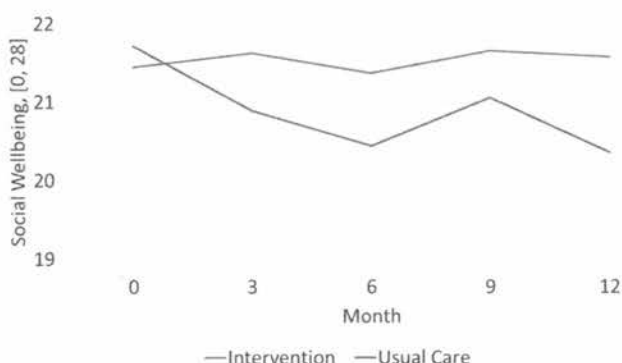


In three of the sub-domains of quality of life we detect **significant differences** between LifeCourse intervention and usual care patients. In the **'emotional'** domain (includes questions such as: I am

satisfied with how I am coping with my illness. I worry about dying. I worry that my condition will get worse.), we find that LifeCourse intervention patients have **three-quarters of a point higher change score at the baseline to 6 month period** ($p=0.076$). While we are underpowered to detect significance at 9 and 12 months, again, directionally the effect is the same as that at 6 months.



In the 'social' domain (includes questions such as: I get emotional support from my family. I get support from my friends. My family has accepted my illness. I am satisfied with family communication about my illness.), we find that LifeCourse intervention patients have a **1 point higher change score at the baseline to 6 month period** ($p=0.058$). We see the same positive directionality at 9 and 12 months.



Finally, in the 'functional' domain (includes questions such as: I am able to enjoy life. I have accepted my illness. I am sleeping well. I am content with the quality of my life right now.), we also see a **1 point higher change score** for LifeCourse intervention patients at the baseline to 6 month period as compared to usual care patients ($p=0.099$). We also see positive directionality in the 'palliative' domain: a 2 point change ($p=0.142$).

How is healthcare utilization changing?

Hospice Enrollment and Length of Stay. Absent existing data in the literature about the quality of life and care experience, we powered the LifeCourse study on an ability to detect a difference in the proportion of individuals enrolled in hospice and the length of stay in hospice. The table below reveals data focused on those individuals who have died since enrollment in the LifeCourse study and a comparison of hospice enrollment rates and length of stay with national and Allina Health averages.

	U.S. (N=2.6 mil.)	Allina (N=41,504)	Intervention (N=110)	Usual Care (N=36)	P-Value
Overall, %	42.8	17.8	54.6	41.7	0.180
Heart Failure		25.1	47.5	30.8	0.151
Cancer & Other		24.4	70.4	70.0	0.983
Dementia		26.8	54.2	-	-
LOS, median days	18.7	17.0	25.0	11.0	0.022

All data are percent unless otherwise indicated. NHPCO estimates are for the 2013 calendar year. Allina EHR estimates are for patients with any hospice admission and a date of death in 2013 or later.

While not yet statistically significant, the **differential in hospice enrollment for intervention patients who died compared with usual care patients who died is substantial** – intervention patients have a **12.9 percentage point increase over usual care patients in hospice enrollment**. This differential holds for heart failure patients, the largest percentage of patients in the study.

Most importantly, the length of stay for intervention patients is a median of 25 days compared to the usual care patient median of 11 days – a statistically significant two-week difference in the length of stay in hospice.

ED Visits, Inpatient Length of Stay, ICU Days. When we examine additional measures of utilization, we find that **emergency department visits decrease for those individuals in the intervention** (from a pre-period of 12 months prior to enrollment to a post-period of up to 12 months post enrollment) and **increase for those individuals in the comparison group**. Given that the intervention patients are actually sicker than our comparison patients, this trend is meaningful. Further analysis suggests that there are **15% fewer ED visits as a result of LifeCourse for those intervention patients** ($p=0.155$).

Inpatient days are also directionally aligned – **decreasing for intervention patients compared to increasing for comparison patients**. Deeper analysis suggests **10% fewer inpatient days for intervention patients** compared to usual care patients. When examining the last 6 months of life, there are **3 fewer inpatient days for intervention patients compared to usual care patients**. ICU days are directionally correct – again, decreasing for intervention patients and increasing for usual care patients. Further analysis suggests **38% fewer ICU days**, although this analysis is underpowered currently.

Patient Characteristic	N	Intervention (N=411)			N	Usual Care (N=213)			P-Value
		Mean ± SD	Min	Max		Mean ± SD	Min	Max	
ED Visits									
12 Mo. Pre-enrollment	411	1.7 ± 2.0	0	11	213	1.4 ± 1.7	0	10	0.097
12 Mo. Post-enrollment	411	1.6 ± 2.7	0	29	213	1.7 ± 2.4	0	13	0.639
Change	411	-0.6 ± 2.6	-10	23	213	0.3 ± 2.4	-9	11	0.106
Last 6 Months of Life	89	1.6 ± 2.0	0	13	29	1.8 ± 1.8	0	7	0.582
Inpatient Days									
12 Mo. Pre-enrollment	411	4.9 ± 8.0	0	86	213	4.3 ± 6.6	0	49	0.356
12 Mo. Post-enrollment	411	4.8 ± 10.4	0	74	213	4.9 ± 10.7	0	86	0.903
Change	411	-0.1 ± 11.5	-79	67	213	0.6 ± 10.3	-48	62	0.481
Last 6 Months of Life	89	5.8 ± 8.1	0	41	29	8.9 ± 13.0	0	48	0.237
ICU Days									
12 Mo. Pre-enrollment	411	0.5 ± 2.8	0	45	213	0.3 ± 0.9	0	8	0.108
12 Mo. Post-enrollment	411	0.3 ± 1.3	0	11	213	0.5 ± 2.7	0	32	0.503
Change	411	-0.2 ± 3.0	-42	11	213	0.2 ± 2.8	-8	32	0.130
Last 6 Months of Life	89	0.7 ± 2.0	0	13	29	1.7 ± 3.6	0	14	0.171

Advance Care Planning & Inpatient Palliative Care Visits. Critical to enabling an empowered patient and family unit is the engagement around and completion of an advance care plan. Prior to enrollment in LifeCourse, intervention patients had a 42% completion rate of an advance directive, while usual care

patients had a 49% completion rate. In the study period to date, an **additional 32% of intervention patients completed their advance care plans, while only 8% additional comparison patients completed their plan – this difference is statistically significant ($p < .0001$)**. Finally, for those patients who have been admitted to the hospital, there was an average of 6.7 palliative care (MD/NP billable) visits versus only 4.0 visits for usual care patients ($p = 0.038$).

3. Plan for 2016

Over the past four years of development, LifeCourse has gained increasing recognition as a robust, data-driven late life care model. Ultimately, the goal is to establish LifeCourse as an **evidence-based, widely delivered and reimbursed care approach by 2020**. LifeCourse will reach an important milestone in **2016**, as it rolls out to **eight sites within Allina Health** – four primary and four specialty clinics – and expands into a **community-based collaboration in North Minneapolis**.

The rollout will require support from internal and external stakeholders. Following are the key 2016 strategies and the course of action LifeCourse will take to engage internal audiences, while continuing to build awareness and interest externally.

What are the Key 2016 Strategies?

1. Integrate LifeCourse from evidence-based research to Allina Health practice.
2. Build value-based payment streams.
3. Increase collaborations and access to LifeCourse through community based initiatives.
4. Inform and participate in the local and ultimately national conversation.

In addition to identifying four key strategies, we have planned the following course of action.

- ① **Integrate LifeCourse at Allina Health.** Penny Wheeler, CEO, has committed **\$1.5 million** in 2016 to implement and integrate LifeCourse into four primary and four specialty clinics. We are advancing LifeCourse into collaborating sites by developing a shared aim; learning together; measuring progress toward stated goals and outcomes; and sharing findings with others. Core to the expansion beyond research is the evaluation that stems from the logic model (see slide 2 in the appendix). By sharing a common agenda and using a systemic evaluation framework, the deployment of LifeCourse will remain empirically relevant and outcomes-based.

Continue evidence-based research. LifeCourse has a cohort of patients receiving care on a monthly basis and responding to surveys on a quarterly basis. Additionally, surveying is completed on a quarterly basis for nearing 300 patients enrolled in a comparison group and the key friends and family of both groups. The data are a vital part of completing the evidence-based practice of LifeCourse. By the end of 2016, the **needed second year of data** will be collected.

Pursue value-based payment. Contractual arrangements with payers to cover LifeCourse are essential for long-term sustainability. Allina Health is one of 19 **Pioneer Accountable Care Organizations** recognized by Centers for Medicare and Medicaid Services (CMS) as a leader in Delivery System Reform.

* Through this and other alternative payment models, we are pursuing payment for LifeCourse from the (cost savings) realized through optimal utilization of care services as well as direct reimbursement for advanced care planning and services.

Increase collaborations. Walker Methodist and Augustana Senior Care are two long-term care facilities that have implemented LifeCourse. In 2015, a LifeCourse care guide was successfully **embedded at Walker**, where he relied upon the interdisciplinary care team at that facility for clinical support. In 2016, as part of additional collaborative efforts in **North Minneapolis**, discussions are underway with Augustana and Minneapolis Public Housing Authority to offer LifeCourse to this racially and ethnically diverse (primarily African American) community.

Increase access. As with other health issues, disparities exist, specifically in end-of-life care. 1.6% of the Minnesota population age 65 and older and 5.2% of the Hennepin County population age 65 and older identify as Black or African American (see Demographics on slides 5 and 6 in appendix). Of the LifeCourse patients, 3.1% identify as Black or African American living in the 11-county metro area. A 2016 goal is to increase outreach to the Black and African American community in Hennepin County (see LifeCourse Demographics on slide 7 in appendix). The LifeCourse collaboration in **North Minneapolis** will connect community-based, faith-based, county, and social service organizations to be a catalyst for improving in late life care (see African American Outreach on slide 8 in the appendix). Our goal is to introduce and adapt LifeCourse to address gaps and promote choice in late life care.

* **Inform local and national dialogue.** On November 21, 2015, LifeCourse will have its first major national presentation at the **Gerontological Society of America** annual meeting. The discussant for the session is Susan Reinhard, AARP SVP Public Policy Institute. In the 75 minute presentation, our investigators will share how the LifeCourse approach can help individuals improve their care experience, maintain quality of life, reduce resource utilization, and help individuals and their families better understand and seek to achieve the things that matter most to them in later life.

In early March 2016, LifeCourse has a podium presentation at the American Academy for Hospice and Palliative Medicine. Later in March, LifeCourse presents as part of a learning lab at the **Institute for Healthcare Improvement** meeting on "Improving Patient Care in the Office Practice and Community." We are also presenting at the Minnesota Gerontological Society 40th Annual Conference. We anticipate receiving additional opportunities to present LifeCourse at several other national and regional meetings taking place later in 2016.

Participate in the local and national dialogue. National associations leading the dialogue in innovative later life care are critical to our engagement work. **Center to Advance Palliative Care** is an organization that has showcased LifeCourse through an online webinar, featured LifeCourse research at the annual national conference in November, and listed Sandy Schellinger, NP as faculty. Sandy is also on faculty for

Respecting Choices and recently was at Essentia Health leading their Advanced Care Planning training. We also participate in the **Coalition to Transform Advance Care** and LifeCourse was recently featured in their book, A Roadmap for Success: Transforming Advanced Illness Care in America.

Contribute to the local conversation. Building public awareness through listening sessions, stakeholder events, and sharing of late life stories provides a voice and visual to the real experiences. In the fall of 2015, Minnesota Network of Hospice and Palliative Care hosted **Atul Gawande** at the St Paul River Centre with a sold out crowd of 2,500 people. Through our connections, Twin Cities Public Television recorded the evening and will broadcast the one-hour dialogue between Gawande and Cathy Wurzer early in 2016. This broadcast is part of the LifeCourse series on Late Life and will be available on the www.LifeCourseMN.org website.

What about funding for LifeCourse?

Over the past four years, the Robina Foundation board has generously provided \$14,866,729 in grants to the Abbott Northwestern Hospital Foundation (ANWF) in support of LifeCourse. Allina Health has provided LifeCourse with an estimated \$2.2 million (15%) in indirect expenses including senior leadership time; secondary support such as accounting, payer contracting, human resources; facilities such as office space, utilities; and technology such as computers and the electronic health record.

Robina:
14,926,454
*

At the end of 2015, LifeCourse has enough remaining funds from the Robina Foundation (\$897,130) to cover the budgeted direct expenses for the first two months of 2016. We will request that the Robina Foundation support LifeCourse for another year of funding in our Annual Report due February 2016.

How much?
\$3.3M

Additionally beginning 2016, **Allina Health has budgeted \$1.5 million** to expand LifeCourse and integrate care guides into primary and secondary clinics. These dollars will be used to hire care guides and provide supervisory support where the care guides are embedded.

\$1.5/
yr.?

The ongoing research, dissemination, training, evaluation, community and public engagement are core elements that will continue in 2016 and be tied to the LifeCourse work in the **Division of Applied Research**. The budget for 2016 is \$4.8 million and the February 2016 request of the Robina Foundation board will be to provide bridge funding for 2016 of \$3.3 million, as the longer-term funding discussion stemming from the April Listening Session continues.

4. Plan Beyond 2016

By 2030, 1 in 5 Minnesotans will be 65+, including all of the baby boomers. 80% of these individuals will have at least one major disease or condition and 50% will have multiple co-morbidities. Given the Robina Foundation's interest in work that is truly transformative, Allina Health aims to build upon its initial LifeCourse research and deployment within Allina Health to enhance the social movement around late life care that has begun in the United States.

The Allina Health request to the Robina Foundation for the 2017 – 2020 period will rely upon our theory of change (see Theory of Change on slide 1 in appendix) with an **ultimate aim of transforming communities by reshaping the experience of living with serious illness late in life**. Any individual in the 11-county Twin Cities area (population: 3.3 million; 402,413 individuals over the age of 65) will have access to LifeCourse support through their healthcare system or a culturally-based organization. Critical work during this period will include: deploying LifeCourse across Allina Health, enabling community-driven LifeCourse approaches, furthering public dialogue and engagement, and readying the policy and payment environment for long-term sustainability.

How will LifeCourse be integrated across Allina Health?

To secure trusting relationships with care teams and patients and families alike, LifeCourse care guides will be **deployed across Allina Health primary care clinics, as well as critical specialty clinics focused on relevant conditions** (e.g., neuroscience, oncology, cardiovascular). We will move beyond implementation at the eight early adopter clinics we partner with in 2016, and will train and deploy care guides in an embedded model across our system wherever there are sufficient numbers of eligible patients. Akin to the deployment of the Allina Health specialty service lines across our geographic enterprise, LifeCourse care guides and the deployment of the LifeCourse model will become the '**way we do healthcare**' within our organization.

*Dates?
Amt?* **Allina Health will not seek Robina Foundation funds to support the front-line deployment of LifeCourse within Allina.** Care guides and their support team members will be funded by Allina Health and its payer arrangements. Foundation funds will be needed to support the research and program development arms of LifeCourse, as well as the evaluation team charged with evaluating site-based implementation and enhancing our overall understanding of LifeCourse impact.

Ultimately, Allina Health aims to coalesce its late life support assets – care management, home care, palliative care, LifeCourse, senior care transitions, geriatric services, and hospice – into the **Robina Institute on Aging**. This Institute will represent an aging and geriatric service line with a focus on living well until the end of life and supporting key friends and family members through the bereavement period. Like the Virginia Piper Cancer Institute and the John Nasseff Neuroscience Institute, the Robina Institute on Aging will provide a coherent platform for strategic connection of services, a home to the LifeCourse program, as well as an opportunity to continue our late life research partnership with the University of Minnesota's leading faculty (e.g., Tetyana Shippee) focused on late life and long term care.

How will LifeCourse be integrated across the community?

A We aim for LifeCourse to be widely deployed by healthcare systems and culturally-based organizations alike. Concurrent with extensive deployment of LifeCourse within Allina Health, **we will work with external provider and payer partners, as well as culturally-based organizational partners, to offer LifeCourse within those institutions and organizations.** Funds to support this external implementation

Possibilities?

will be sought from the Robina Foundation, as well as other strategic partners. Evaluation of site-based implementations and an overall understanding of the impact of LifeCourse across the 11-county Twin Cities area will be critical.

How are public dialogue and engagement a part of the plan?

As part of the Robina Institute on Aging, our joint late life research collaborative with the University of Minnesota will enable us to **complete the LifeCourse research process and dissemination**, including the sharing of research results through peer-review journals, national academic and professional conferences, as well as through the curation of national expert roundtables and pursuit of additional external funds for continued secondary data analysis and future studies centered on late life.

We will **continue to advance and enhance the public dialogue around late life** ~~the~~ ^x **we have fostered to date** with our partners at Twin Cities Public Television, AMPERS, and MinnPost. We will expand the circle of our communications partners with an eye toward deep and authentic dialogue with diverse cultural communities and with the primary targets of LifeCourse – individuals with advancing serious illness and their key friends and family members. Our efforts around dialogue will center in Minnesota, but we aim to engage public and community stakeholders ultimately at the local, statewide, and national level. Part of change within healthcare systems and culturally-based organizations is driven by the demand of those consumers served by those organizations. Public dialogue and strategic collaborations are the best mechanisms through which we can enhance this demand and induce more rapid change within organizations and institutions around late life care.

How will the policy and payer environment be influenced?

Critical to the success of LifeCourse within Allina Health and across other provider and culturally-based organizations will be a **supportive and sustainable payment model**. We will continue to employ a two-pronged approach to the issue of sustainability – (1) a focus on **convening and advancing a systematic Minnesota payer strategy for LifeCourse funding** and (2) a focus on **advancing the national policy conversation around sustainable funding and alternative payment models** for innovative approaches to care. Local deployment partners will be our primary sources of leverage within the local payer environment. National collaborators and stakeholders will be important partners in continued efforts to motivate policy change (especially payment reform via the Centers for Medicaid and Medicare Services) toward true value for individuals facing advancing serious illness. *

5. Positioning of Allina Health

As we aim to simultaneously conclude the Robina LifeCourse research study, initiate system-wide deployment of LifeCourse across Allina Health, and advance this work strategically outside of Allina Health, the positioning and influence of our organization locally and nationally becomes critical. Also

important is the internal alignment of the Robina LifeCourse program work with the Abbott Northwestern Hospital and Allina Health strategy.

How is LifeCourse strategically aligned within Allina Health?

Allina Health's key internal strategies center on **person-centered care**, making **data available** to those closest to the work of the delivery of care, and advancing quality and **value-based payments**. LifeCourse embodies these strategies – our whole-person care approach reflects the best of person-centered care; our patient selection algorithm and intentional documentation of what matters most to patients and families reflects an authentic delivery of data to the care team closest to the patient; and our financial investment in 2016 deployment reflects a strong belief that this model represents both the future of healthcare delivery and a path for value-based payment from commercial payers and from the Centers for Medicaid & Medicare Services.

Allina Health's strategic initiatives, or core areas of focus, comprise **late life, health equity, and mental health**. LifeCourse is the organization's best current case study of the intersection of these areas. With an obvious focus on those later in life, especially those with significant disease co-morbidities, LifeCourse will serve as a catalyst for connecting Allina Health's support services centered on aging populations. Intentional focus on enabling the deployment of this model in community-based organizations best suited to serve and support individuals of color and their families, enables a health equity focus within the work. Finally, the whole-person focus of the LifeCourse approach combines a focus on the physical aspects of health with those psychological, spiritual, and ethical aspects of health and experience with the healthcare system.

How is Penny Wheeler positioned well to ensure success of LifeCourse?

Penny Wheeler, MD, Allina's president and chief executive officer, is increasingly positioned as a local and state leader, as well as a national influencer in the areas of healthcare delivery and policy reform. Dr. Wheeler reflects Allina Health's areas of strategic focus through board membership and state task force participation. To honor data availability, Dr. Wheeler serves as the **chair of the Minnesota Community Measurement board of directors**, the state's ambulatory quality measure organization that establishes ambulatory quality performance and measurement expectations akin to CMS' establishment of those measures for inpatient hospitals. Further, Allina Health is an equity and intellectual capital partner in HealthCatalyst, a soon-to-go-public company centered on data availability and access for healthcare systems.

To honor person-centered care, Dr. Wheeler serves as a member of the board of the **Greater Twin Cities United Way**, Minnesota's largest United Way and backbone provider of funds and support across a broad spectrum of social services and healthcare. In alignment with Allina Health's efforts around value-based payment, the governor of Minnesota announced Penny Wheeler as an appointee to the **Task Force on Health Care Financing**. As part of this task force, she leads the Health Care Delivery Design and Sustainability workgroup, whose charge is to identify innovative health care delivery system strategies

to reduce costs and improve health outcomes while assessing the impact of these options on the sustainability of health programs, including impact on the state budget and the health care workforce and delivery system in Minnesota. The workgroup will also describe how their recommendations will impact health disparities in Minnesota, as well as their impact on Minnesota's efforts to meet the goals of the Triple Aim.

In alignment with the organization's efforts around health equity, Dr. Wheeler serves on the board of **Portico Healthnet**, a nonprofit health and human services organization that helps uninsured Minnesotans, including those without legal citizenship, access affordable health insurance coverage and care. Allina Health's internal employee **community giving campaign** focuses on mental health this year and aims to launch community-wide access to a broad array of mental health services and supports for patients and families.

How is Allina Health recognized and involved nationally?

Allina Health is the largest provider organization in Minnesota and western Wisconsin, serving 1.5 million patients annually through 13 hospitals, 57 clinics, and a full array of hospice, palliative care, home care, and emergency services supports. Allina Health was recently named a **top 5 large health system by Truven 15 Top Health Systems 2015**, demonstrating its ongoing commitment to improving quality and patient experience. This recognition, coupled with years of recognition as the state's best provider in a number of key clinical areas (e.g., HealthPartners Innovation Award in 2014 for Healthy Communities Partnership and two in 2013 for Courage Kenny's Primary Care Clinic and Improvement in Opioid Prescribing, consistently leading optimal diabetes care performer in Minnesota Community Measures), demonstrate the ability of Allina Health to both change and improve in ways that meaningfully improve the health of those patients and communities we serve.

Allina Health was just named as the core partner to the **Robert Wood Johnson Foundation's National Program Office on Interdisciplinary Research Leadership**. Michael Oakes, PhD, an associate professor in the Division of Epidemiology and Community Health at the University of Minnesota School of Public Health will serve as program director for this 10-year, \$100 million initiative, part of RWJF's Culture of Health. **Jan Malcolm, vice president of public affairs and philanthropy at Allina Health, will serve as the program's co-director.** This national program office aims to connect academic researchers with community members to advance research that is practical and enables community-change. As the senior organizational partner to an academic institution, Allina Health's role in the national program office is to serve as a mentor organization, teaching and instructing others on how to enable the exact model of research and change the organization is known for across Minnesota – the '**Minnesota model**', as it were – with teams and cohorts from across the country.

How relates to LC?

The **Commonwealth Foundation** is an important funding partner in Allina Health's ongoing work to enable better primary care and mental health provider interactions and support. Electronic consults between psychiatrists and psychologists and their primary care colleagues will be enabled across our clinics in a randomized control trial. The Abbott Northwestern Hospital Foundation and now the

Commonwealth Foundation are funding the study of this model as a contribution to the field of integrated physical and behavioral health care deliver models.

② It is our belief that the strategic intent of Allina Health, the increasing national influence of its senior leader, and its increasing national recognition and funding for its groundbreaking quality improvement and research-to-change models position LifeCourse well for internal deployment and for influencing broad-scale social change outside the walls of our institution.

6. Response to IMPROVE Evaluation Report

We appreciate the Improve Group's thoughtful approach to a complex intervention. The strengths they note—the **power of a sustained relationship, affordability, seizing the time, positive research outcomes, and proof of concept of care guide integration**—were fostered by intense collaboration between the research and clinical teams. Given the unique challenge to both develop and test the LifeCourse approach, we are very pleased that the support given us by the grant has led to these results.

Several of the challenges the Improve report mentions relate to the care guide role. Will medical hierarchies accept it? Will relational clinicians feel threatened by role overlap? An important learning from our embedded care guide at Walker Methodist was that concerns about role overlap disappeared as the care guide used interpersonal skills to build relationships with other team members. We feel this confirms that **with the proper introduction of the care guide, teams will feel supported and enriched by the care guide's contributions**.

* We believe that all health care providers should and do engage in therapeutic relationships with patients and families; it is a reason they chose this work in the first place. Care guides do the same, but their work is clearly not therapy or counseling. Relationship-based clinicians like social workers and chaplains have not had conflict with care guides over this issue. The comments we hear are more often about the care guide's value in **recognizing an issue** and helping the patient or family member **find resources**.

While we have had study participants from a variety of racial and ethnic backgrounds, the overall level of participation at the research-study level has been limited. Transition to an implementation platform provides real opportunity here. **The Improve report calls for flexibility and community input. We agree, and are proceeding on this path.** Whether care guides can be drawn from their communities is an intriguing question; this idea has been successful in other settings.

⑦ Analyzing the data—including confounders like prior hospitalization rate differences between intervention and comparison patients—is an ongoing task. The **trends we see after correction for these differences are similar to the uncorrected analysis**: LifeCourse patients spend less time in the ED and hospital, while comparison patients spend more. At end of life, some of these effects are magnified, reflected in the higher referral to hospice and longer lengths of stay.

That leads to the recommendations for measurement going forward. We agree with the recommendations to understand use of 911, or how much time people spend in the setting of their choice. Our national advisory group has given feedback from the beginning about measuring avoidable, unwanted interventions. For this reason, **we are building a measurement platform for the clinical expansion that uses readily available system information, independent of a research environment.** ?

Finally, we have the problem of a person-centered, community-sensitive intervention that lives in a HIPAA-protected electronic medical record. We could not agree more with IMPROVE that this poses a challenge to all of us. **Our public media outreach and relationships with national organizations are not just about the payment model, but also about society's vision for how we care for one another during serious illness.** With our increasing national presence, we will be part of and help move the dialog in this country where it needs to go.

7. Response to Environmental Scan

The recent environmental scan conducted by the University of California, San Francisco reviewed 20 leading supportive care programs across the country to determine how LifeCourse fits into the current landscape of initiatives seeking to transform late life care. Of the 20 programs, three were focused on care transitions after a hospitalization, five were specialized primary care services, seven were palliative care programs, and five were care coordination programs (see slide 9 in appendix).

The evaluation revealed that LifeCourse **shares a number of common key elements with other supportive care initiatives** including the use of **comprehensive assessments, focus on a target population, collaboration with interdisciplinary teams, and use of a whole-person approach.** However, while UCSF identified a number of exemplary supportive care programs, it is important to note that there are some key differences between LifeCourse and the programs reviewed in this assessment.

* LifeCourse is **unique in its use of lay healthcare workers**, or care guides, as the main point of contact for patients. It also stands alone in offering a **monthly, in-home visit** to individuals across an extended late life period to help individuals and their families navigate the complexities of serious illness. *

Several opportunities were identified for LifeCourse to explore. These opportunities include use of telehealth technologies, involvement of volunteers, attention to housing issues, and introduction of an evaluation framework focused on continuous quality improvement. Because telehealth technologies have not been readily adopted by older adults and the involvement of volunteers would duplicate existing community programs such as Senior Companions, LifeCourse has chosen to not incorporate these elements at this time. **Attention to housing issues, especially assistance in transitioning to new housing environments (i.e. assisted living), is offered by LifeCourse care guides.** Finally, **an evaluation framework is being built with the support of Allina's Health Economics and Program Evaluation team.** This framework will support the integration and evaluation of the LifeCourse approach across Allina Health and the community.



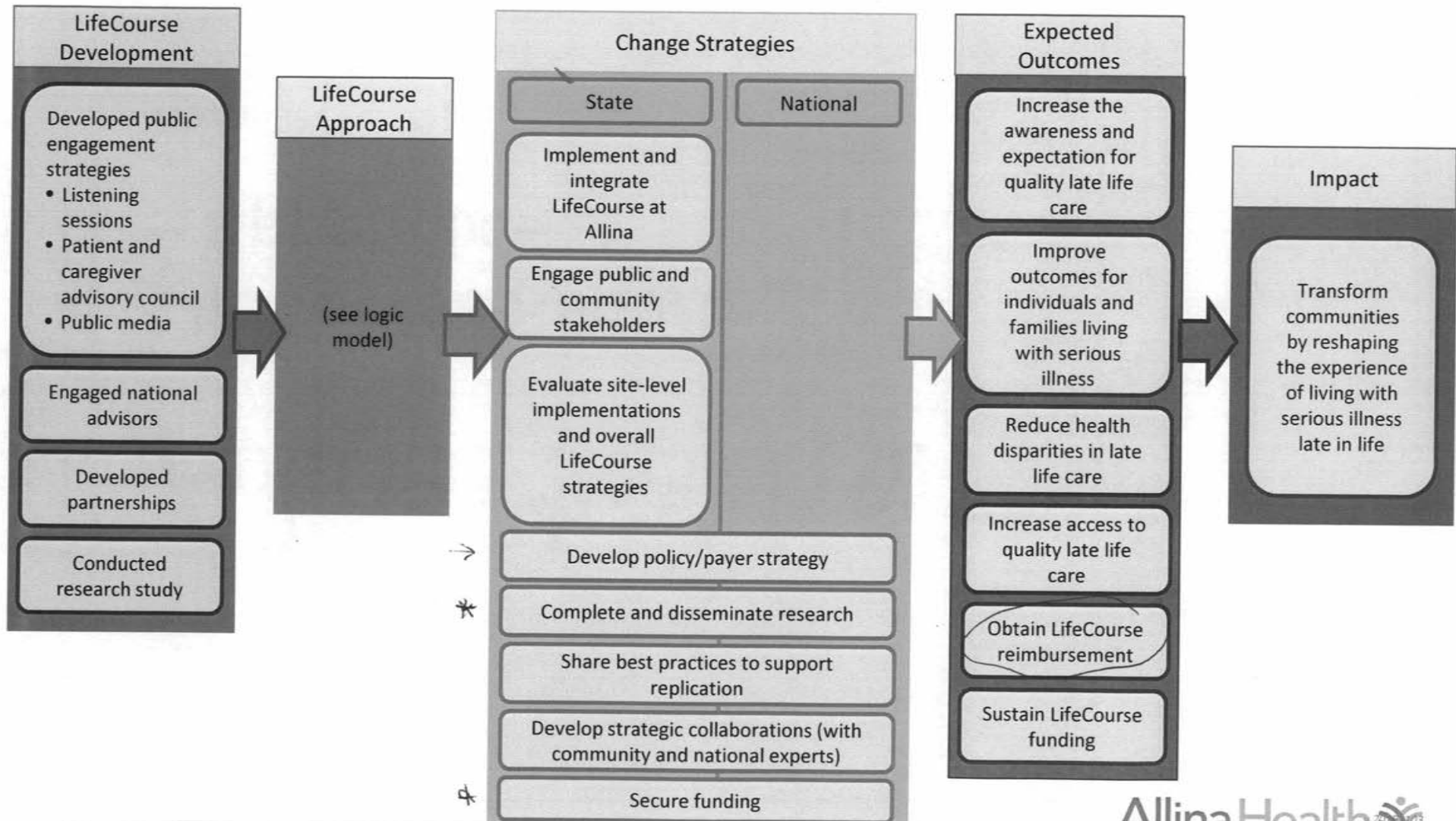
LifeCourse Report – Appendix –

November 19, 2015

Theory of Change

Slide 1

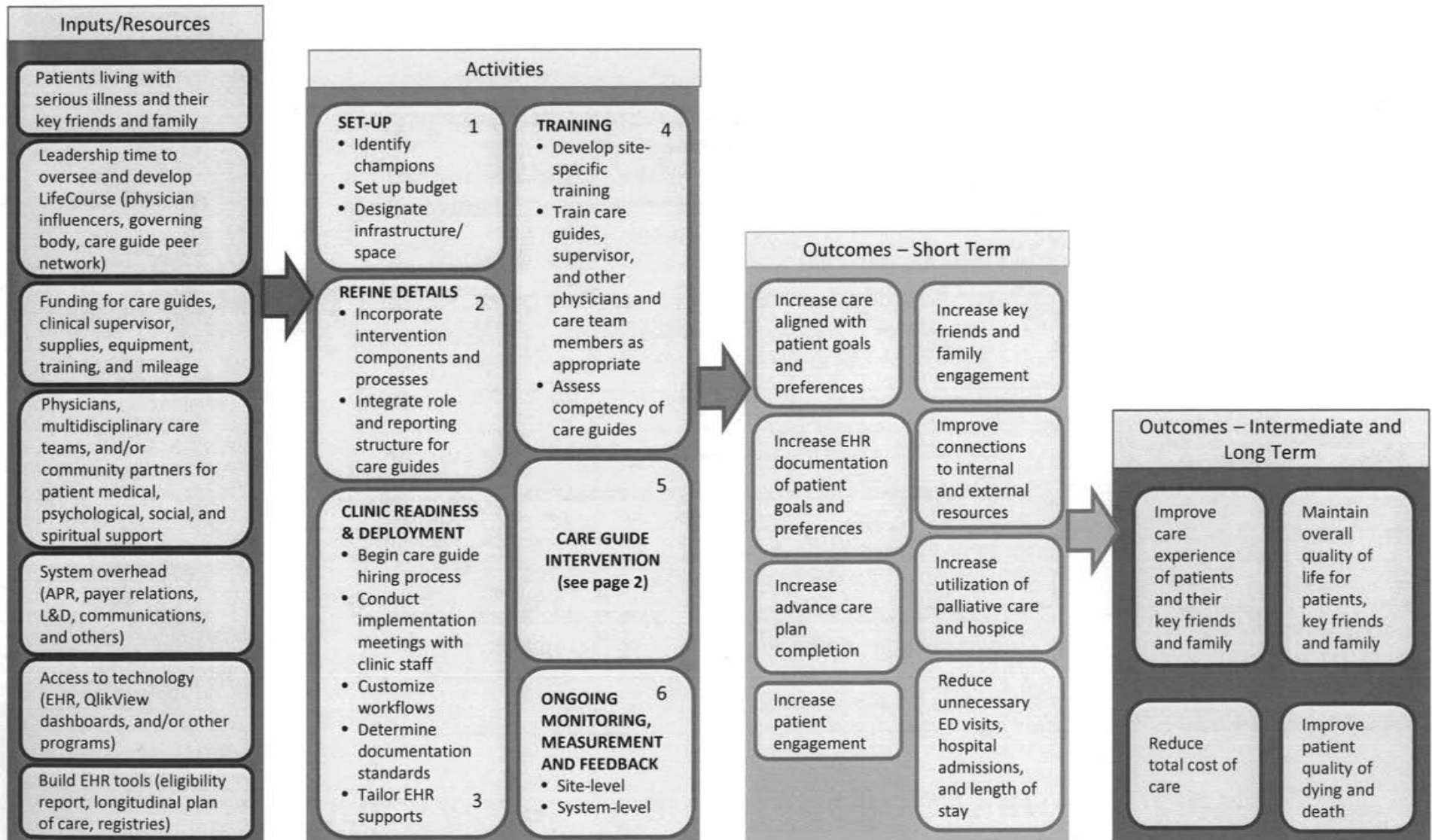
The healthcare system provides focused care during health crises and at the end of life, but too often there is little support in between. This “in-between time” is defined by health challenges and fragmented services that lose sight of what matters most to individuals. LifeCourse focuses on the crucial need to improve the experience of living with serious illness by engaging individuals and families, health systems, and communities to be more responsive to what matters most late in life.



Logic Model

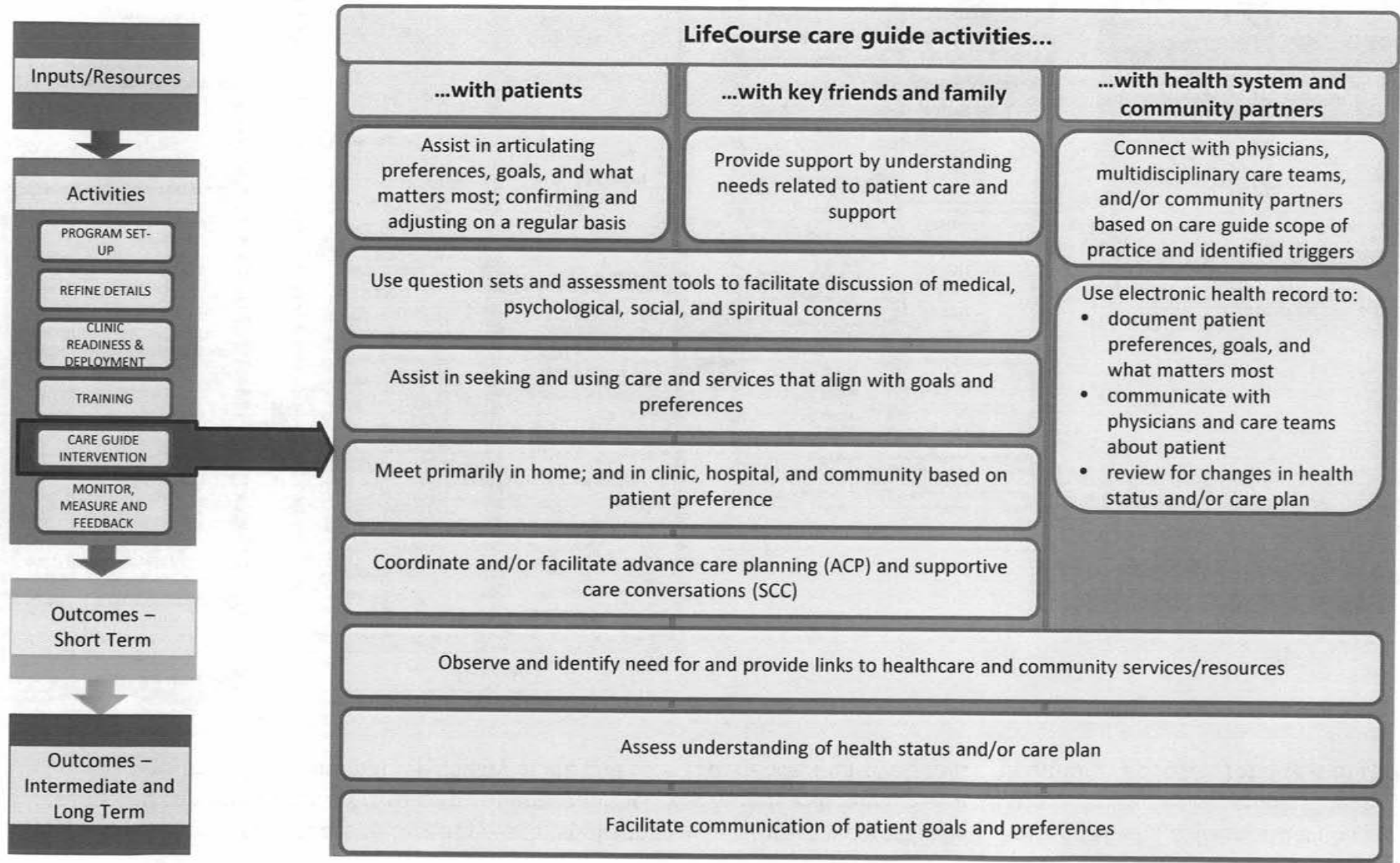
Slide 2

LifeCourse is a late life supportive care approach employing lay healthcare workers called care guides who collaborate with care teams and community partners to help patients and their key friends and family navigate the complexities of serious illness. LifeCourse aims to maintain or improve quality of life and care experience, improve service utilization, and lower total cost of care.



Logic Model – Care Guide Intervention Detail

Slide 3



LifeCourse Case Study

Slide 4

LifeCourse experience for Johanna, a 90 year old widowed female with heart failure					
What matters most to Johanna: staying at home, spending time doing things I love, being with family		Domains of Whole Person	2013	2014	2015
Individual Goals	I want to stay at home as long as possible	Housing	Ongoing recognition of independence and being in her home was a major driver to decisions		
	I want to get off or take less pain meds because I hate pills and they are expensive	Physical, Financial, Psychological	Link to provider and palliative care team members		
	I want help with household chores "vacuuming" unable to do this anymore	Physical, Financial, Legal		Link to Social Worker for resources and adaptation to new level of functioning/coping	
	I want to have more stamina and energy	Physical, Social, Psychological		Link to home care and cardiac rehab services	
	I want to leave some money for my children and grandchildren. Get information to protect my assets	Psychological, Legacy, Financial, Legal		Meetings with financial advisors and family to put affairs in order	
	I would like to have a family meeting to discuss my health.	Physical, Family, Psychological		Advance Care Planning	
	I will always have hope that I will be able to make another trip to visit friends and family, domestic and in Europe.	Psychological, Spiritual		Validate hopes despite inability to travel anymore	
	I do not want to get back to the hospital. I only want to go if I have pain so severe that I cannot move.	Physical, Psychological		Advance Care Planning	
	The cancer is back. I do not want to treat it.	Physical, Psychological			End of Life Care
	Daughter would like help monitoring mother's health status to avoid another stroke	Physical, Family, Psychological	Supportive Care Conversation with links to provider, nurse, social worker, family counselor and home care services		
	Daughter would like help planning for future care needs	Social, Financial, Legal, Psychological, Family	Supportive Care Conversations with links to Senior Linkage line, social worker and palliative care experts		

Minnesota Demographics

Slide 5

2013 Population	Minnesota		Minnesota 65+		Hennepin County		Hennepin 65+	
	#	%	#	%	#	%	#	%
Total	5,420,380		754,718		1,198,778		136,343	
Non-Hispanic White	4,424,523	81.6%	690,812	91.5%	839,726	70.0%	126,271	92.6%
Black or African American (alone)	288,767	5.3%	12,029	1.6%	141,464	11.8%	7,130	5.2%
Hispanic or Latino (alone)	264,203	4.9%	7,024	0.9%	80,529	6.7%	1,701	1.2%
American Indian (alone or in combination with one or more races)	102,715	1.9%	5,699	0.8%	19,976	1.7%	834	0.6%
Hmong (alone)	66,893	1.2%	1,694	0.2%	*37,119	*7.0%	N/A	N/A
Somali	38,873	0.7%	1,489	0.2%	N/A	N/A	N/A	N/A

Abbott Northwestern Hospital is located in Hennepin county and services the 11-county metro area. The city of Minneapolis is located in Hennepin and the city of St. Paul is located in Ramsey.

*Ramsey County

Note: Not all racial and ethnic data is presented in this table.

Source: United State Census Bureau – American Fact Finder

Allina Demographics

Slide 6

2014 Allina Health	65+ Clinic Population		Hospice Entry	
	#	%	#	%
Total	126,312	100.0%	2,184	100.0%
Non-Hispanic White	117,426	92.9%	2033	93.1%
Black or African American (alone)	2,265	1.8%	66	3.0%
Hispanic or Latino (alone)	2,985	2.4%	11	0.5%
American Indian/Alaska Native	271	0.2%	11	0.5%
Asian	1,728	1.4%	35	1.6%
Native Hawaiian/Pacific Islander	72	0.1%	0	0.0%
Other/Unknown	1,565	1.2%	28	1.3%

Note: Allina Health service area includes over 30 counties in Minnesota and Wisconsin.
Source: Allina Health's Electronic Health Record

LifeCourse Study Demographics

Slide 7

LifeCourse Intervention	Patients	
	#	%
Total	450	
Non-Hispanic White	413	91.8%
Black or African American	14	3.1%
Hispanic/Latino	5	1.1%
White/Black or African American	3	2.0%
White/American Indian or Alaska Native	1	
White/Asian	2	
White/Other	1	
Black or African American/American Indian or Alaska Native	1	
Asian	1	
Native Hawaiian/Pacific Islander	N/A	
Other*	9	2.0%

Note: LifeCourse enrolls patients in the 11-county metro area.
Source: Allina Health's Electronic Health Record

North Minneapolis

Slide 8

African-American Outreach



- ACT on ALZ
- Honoring Choices
- KMOJ/Spokesman Recorder
- NorthSide Achievement Zone

Awareness & Education

- Fellowship Missionary Church
- Greater Mt Vernon Missionary Baptist Church
- Shiloh Temple

Faith-Based Organizations

- Allina Health
- GSM
- HCMC
- NorthPoint

Health Care

- YMCA – Heritage Park
- Community Health Fairs

Health and Wellness

Housing & Services

- Augustana Assisted Living
- Augustana Open Circle
- MPHA Senior Living
- VOA Care Giver Support

Late Life Care

- LifeCourse Care Guide
- Grace Hospice

Public Services & Support

- CDC Diabetes ICPD
- HUB
- Senior Linkage
- Urban League

LifeCourse Collaboration

Environmental Scan

Comparison of Programs

Slide 9

Type (Number) of Programs	Description of Program Type
Care Transitions (3)	Care transitions programs are focused on ensuring that individuals who are at high-risk for a hospital readmission are given extra attention and support in the days and weeks following a hospitalization. Distinction – These programs often work with patients to identify goals and can assist with attending to non-medical needs but the interventions tend to be time-limited versus longitudinal.
Specialized Primary Care (5)	Primary care programs reviewed in the environment scan are unique in that many of them bring primary care to the patient's home and/or provide wrap-around support such as diabetes management programs or home health aides. Distinction – The focus of these programs is on a patient's medical care, rather than navigating the struggles and decisions associated with late life.
Palliative Care (7)	Palliative care is specialized medical care for people with serious illness. It focuses on preventing and alleviating suffering through pain management and symptom control as well as providing supportive services such as linking to counseling and support groups. Shared – While palliative care programs are the most similar to LifeCourse, they are typically provided by a physician or nurse practitioner who focuses on the medical management of pain and symptoms within the broader context of whole-person care instead of using a lay healthcare worker who attends to all aspects of whole-person care. Distinction – Often, payers who choose to cover a palliative care benefit limit the number of visits or define an episode (such as hospitalization) in which palliative care is covered, resulting in a time-limited intervention versus a longitudinal relationship.
Care Coordination/ Care Management (5)	Care coordination or care management programs (often offered through an individual's health insurance) typically provide telephonic outreach to offer support such as assistance with reviewing medications, connecting to resources and care providers, and arranging for assistance with writing an advance directive or legal will. Distinction – These programs tend to focus on very specific goal attainment and health improvement instead of helping patients maintain their quality of life when facing inevitable functional decline associated with advancing illness.

Calendar for year 2016 (United States)

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Holidays and Observances:

Jan 1 New Year's Day	May 30 Memorial Day	Nov 11 Veterans Day
Jan 18 Martin Luther King Day	Jun 19 Fathers' Day	Nov 24 Thanksgiving Day
Feb 14 Valentine's Day	Jul 4 Independence Day	Dec 24 Christmas Eve
Feb 15 Presidents' Day	Sep 5 Labor Day	Dec 25 Christmas Day
Mar 27 Easter Sunday	Oct 10 Columbus Day (Most regions)	Dec 26 'Christmas Day' observed
Apr 13 Thomas Jefferson's Birthday	Oct 31 Halloween	Dec 31 New Year's Eve
May 8 Mothers' Day	Nov 8 Election Day	

Calendar generated on www.timeanddate.com/calendar

Robina Foundation 2016 Board Meeting Dates

DATE (2016)	PLACE/TIME
February 22-24, 2016 (Mon, Tues, Wed) Cavallo Point, Sausalito, CA	Cavallo Point, Sausalito, CA Monday, February 22 - 6:00 p.m. Dinner Tuesday, February 23 - 8:00 a.m. to 5:00 p.m. Tuesday, February 23 - 6:00 p.m. Dinner Wednesday, February 24 - 8:00 a.m. to 12 noon
May 17, 2016 (Tuesday) Conference Call	10:00 a.m. to 12 noon (CDT)
August 29-31, 2016 (Mon, Tues, Wed) Annual Meeting Minneapolis, Minnesota	Minneapolis, MN Monday, August 29 - 6:00 p.m. Dinner Tuesday, August 30 - 8:00 a.m. to 5:00 p.m. Tuesday, August 30 - 6:00 p.m. Dinner Wednesday, August 31 - 8:00 a.m. to 12 noon
November 17, 2016 (Thursday) Conference Call	10:00 a.m. to 12 noon (CST)

Calendar for year 2017 (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 5: 12: 19: 27:	February Su Mo Tu We Th Fr Sa 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 3: 10: 18: 26:	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 5: 12: 20: 27:
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Jan 1 New Year's Day	May 14 Mother's Day	Nov 11 Veterans Day
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Jan 16 Martin Luther King Day	Jun 18 Father's Day	Dec 24 Christmas Eve
Feb 14 Valentine's Day	Jul 4 Independence Day	Dec 25 Christmas Day
Feb 20 Washington's Birthday	Sep 4 Labor Day	Dec 31 New Year's Eve
Apr 13 Thomas Jefferson's Birthday	Oct 9 Columbus Day (Most regions)	
Apr 16 Easter Sunday	Oct 31 Halloween	

Calendar generated on www.timeanddate.com/calendar

Robina Foundation 2017 Board Meeting Dates

DATE (2017)	PLACE/TIME
February 27 – March 1, 2017 (Mon, Tues, Wed) Location to be Determined	Location to be Determined Monday, February 27 - 6:00 p.m. Dinner Tuesday, February 28 – 8:00 a.m. to 5:00 p.m. Tuesday, February 28 – 6:00 p.m. Dinner Wednesday, March 1 – 8:00 a.m. to 12 noon
May 16, 2017 (Tuesday) Conference Call	10:00 a.m. to 12 noon (CDT)
August 28-30, 2017 (Mon, Tues, Wed) Annual Meeting Minneapolis, Minnesota	Minneapolis, MN Monday, August 28 – 6:00 p.m. Dinner Tuesday, August 29 – 8:00 a.m. to 5:00 p.m. Tuesday, August 29 – 6:00 p.m. Dinner Wednesday, August 30 – 8:00 a.m. to 12 noon
November 16, 2017 (Thursday) Conference Call	10:00 a.m. to 12 noon (CST)

ROBINA FOUNDATION

80 South 8th Street, Suite 4900
Minneapolis, MN 55402
Phone: 612-333-2313
www.robinafoundation.org

December 3, 2015

James M. Lindsay, Sr. Vice President
Director of Studies and Maurice R. Greenberg Chair
Council on Foreign Relations
1777 F Street NW
Washington, DC 20006

DELIVERY BY EMAIL

Dear Jim,

I am writing to formally confirm news of the Robina Foundation Board of Directors' action taken in November concerning support for the Council on Foreign Relations' Diversity programs.

As we discussed, the Robina Board of Directors authorized final payments to CFR under Robina's two Diversity grants: \$157,889 under the first grant and \$141,263 under the second grant. Nancy has contacted you for wiring instructions and is making arrangements to wire \$141,263 to CFR shortly. Payment of \$157,889 will be made in March according to the payment schedule for Robina's first grant. At this time, the Board decided not to provide additional funding for the "new activities" proposed in CFR's grant request.

Thank you very much for helping me arrange to meet with Stewart Patrick and Suzanne Helm when I am in Washington next week. I'm sorry you will be out of town, but I look forward to catching up with Stewart and to discussing "The Council at 100 Campaign" with Suzanne.

As always, please feel free to contact me with questions or concerns. My best to you for the holidays and for 2016. Where did 2015 go?

Warm regards,

Penny Hunt

Penny A. Hunt
Executive Director

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

FACSIMILE TRANSMISSION FORM

DATE	September 15, 2015
TO	Ben Webster, Benjamin.Webster@usbank.com Cc: tina.jacobsen@usbank.com
FAX #	651-466-8742
FROM	Penny Hunt, Executive Director
SUBJECT	Wire \$848,598 to Humanity in Action

(Page 1 of ____ Pages)

Ben,

Please wire-transfer a total of **\$848,598** to Humanity in Action (HIA) from the Robina Investment Account [REDACTED] per the instructions below. Include instructions for HIA that \$600,720 is for the *Diplomacy and Diversity Fellowship*, and \$247,878 is for the *Humanity in Action (undergraduate) Fellowship*. Also please let us know when that transfer takes place, and inform HIA that Robina needs an acknowledgement letter stating the date and amount of the monies transferred. Thank you.

Instructions for Wire Transfer

JPMorgan Chase Bank
500 Stanton Christiana Road
Newark, Delaware 19713
ABA: 021000021
SWIFT: CHASUS33
Account Name: Humanity In Action INC
Account Number: 739353853

Penny Hunt

Penny Hunt, Executive Director
Robina Foundation

HUMANITY^{IN} ACTION

September 17, 2015

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

Dear Penny:

Humanity in Action, Inc. is pleased to acknowledge The Robina Foundation's contribution of \$848,598.00 made on September 16, 2015. Humanity in Action is recognized by the Internal Revenue Service under Section 501(c)(3). All contributions are deductible to the full extent of the law. Please note that no goods and or services were provided in return for your contribution.

We are deeply grateful for your continued support of Humanity in Action and confidence in its work. The Foundation has enabled us to implement ambitious educational programs.

Cordially,



Judith S. Goldstein, Ph.D.
Founder and Executive Director
Humanity in Action

ROBINA FOUNDATION
Board of Directors

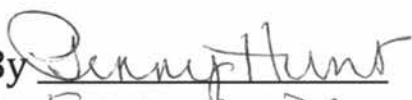
BOARD ACTION

This is to certify that the following is an excerpt from the minutes of the November 19, 2015, meeting of the Board of Directors of the Robina Foundation, a Minnesota non-profit organization:

A motion made and seconded to choose Marathon Credit Opportunity Fund's Option #2: Redemption from the Fund and to authorize Foundation Treasurer Steve Lewis to sign all documents to exercise this option on behalf of the Foundation was approved unanimously by the Board.

Following approval of this board action, Steve Lewis, Treasurer of the Robina Foundation Board of Directors, executed documents accepting and agreeing to Option #2: Redemption from the Fund on behalf of the Robina Foundation.

ROBINA FOUNDATION

By 
Its Executive Director

Date: 7/21/16