

# Executive Summary

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## Blueprint for Academic Excellence Rule of Law AY2021-2022

### Highlights

The Rule of Law Collaborative (ROLC) is committed to the development of rule of law as a discipline, the advancement of theoretical and research-based applications in the field, and the refinement of policies relating to rule of law development. ROLC's staff has extensive on-the-ground experience implementing a wide variety of rule of law activities around the world in partnership with local and international NGOs, as well as with government and multilateral donors.

ROLC designs and delivers innovative, research-based, interdisciplinary, world-class training to rule of law practitioners; manages research-supported grant programs all over the world dedicated to improving the rule of law; convenes high-level symposia around the globe on critical, timely rule of law issues; and brings together a network of experts in a broad range of academic disciplines.

### Mission Statement

A world where the rule of law benefits all people: The Rule of Law Collaborative is committed to the development of rule of law as a discipline, the advancement of theoretical and research-based applications in the field, and the refinement of policies relating to rule of law development. Its unique resources, including faculty university-wide, and experienced professional staff, enable ROLC to integrate perspectives on the rule of law, and advance sustainable solutions for challenges around the world.

### Vision Statement

ROLC strives for data-based, technical expertise and knowledge of comparative experiences in rule of law on a global scale. ROLC is determined to maintain an expansive, multi-dimensional network of rule of law professionals and stakeholders in academia, civil society, government, and the private sector. ROLC is determined to be an innovator in the field of rule of law to continue promoting people-centered justice globally.

### Values Statement

ROLC is the only institution of its kind that brings together experts with a wide range of disciplines that intersect with the rule of law. It is dedicated to world-class, innovative training and research focused on root causes of state failure and collapse of the rule of law, as well as data-driven strategies for post-conflict reconstruction, justice sector reform, institutional capacity building and people-centered justice promotion. ROLC believes that its status as a multi-disciplinary collaborative best situates it to act on these values, and is committed to maintaining positive and mutually beneficial relationships with colleges and units across campus.

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## **Goals - Looking Back**

**No goals have been entered for this section.**

# Goals - Real Time

Goals for the current Academic Year.

## Goal 1 - Diversify grant funding beyond the State Department Bureau of International Narcotics and Law Enforcement Affairs

<p><b>Goal Statement</b></p>	<p>Currently, the vast majority of the grant funding that ROLC receives is through grants with the State Department’s Bureau of International Narcotics and Law Enforcement Affairs. In the long term, diversifying that funding makes sense for a number of reasons:</p> <ol style="list-style-type: none"> <li>1. It would insulate ROLC from the effects of any potential Bureau-wide budget cuts</li> <li>2. It would prevent ROLC from being identified as an INL implementer only, and therefore enhance the Collaborative’s reputation.</li> <li>3. It would allow ROLC to move beyond INL’s mainly-criminal justice focus to broader rule of law topics and areas of expertise.</li> </ol>
<p><b>Linkage to University Goal</b></p>	<ul style="list-style-type: none"> <li>• Spur innovation and economic development through impactful community partnerships.</li> </ul>
<p><b>Alignment with Mission, Vision, and Values</b></p>	<p>ROLC’s ability to develop the rule of law as a discipline, advance theoretical and research-based applications in the field, and refine of policies relating to rule of law development will depend on a broad and integrated expansion of expertise. Funding that expansion of expertise must necessarily come from organizations with broader fiscal mandates than INL. Finding broader sources of funding will better allow ROLC to strive for its goal of a world where the rule of law benefits all people.</p>
<p><b>Status</b></p>	<p>Progressing as expected (multi-year goal)</p>
<p><b>Action Plan</b></p>	<ul style="list-style-type: none"> <li>• ROLC is regularly checking websites listing grants opportunities and aggressively applying for grants ranging in different specialty areas within the rule of law. Recent examples include applications focused on anti-corruption, gender-based violence, government transparency, cross-border trafficking, think tank development, policing excellence, access to justice, and trauma-informed post-conflict development.</li> <li>• ROLC is seeking out networking opportunities with subject matter specialists who can help form institutional partnerships, allowing ROLC to join consortium bids.</li> <li>• ROLC is highlighting its institutional record and capabilities at JUSTRAC+ events where audiences across the federal government</li> </ul>

# Goals - Real Time

	<p>and from private organizations can both witness ROLC's high quality products and be reminded of its programming availability.</p> <ul style="list-style-type: none"> <li>• ROLC is actively seeking out campus partnerships that will allow it to leverage university research expertise in the rule of law field.</li> <li>• ROLC is exploring domestic rule of law reform opportunities, particularly in the areas of criminal justice and policing.</li> </ul>
<b>Achievements</b>	<p>Since January, 2020, ROLC has applied for or is currently applying for 23 projects. ROLC has been awarded four of these projects and is in final consideration for several others.</p>
<b>Resources Utilized</b>	<ol style="list-style-type: none"> <li>1. Staff Time</li> <li>2. Staff Networks</li> <li>3. Student Researchers</li> </ol>
<b>Goal Continuation</b>	
<b>Goal Upcoming Plans</b>	<ul style="list-style-type: none"> <li>• ROLC will continue to pursue all action points as outlined above.</li> <li>• ROLC is prioritizing domestic application of its reform expertise.</li> </ul>
<b>Resources Needed</b>	<p>As grants are awarded, ROLC needs to be able to staff up to meet the needs outlined in the project proposals.</p>
<b>Goal Notes</b>	

# Goals - Looking Ahead

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Goals for the next Academic Year.

## **Goals - Looking Ahead**

**No goals have been entered for this section.**

# Programs or Initiatives

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## Effective Programs or Initiatives

List your most effective programs/initiatives toward fulfillment of mission.

- **JUSTRAC+** (launched in 2018)
- **Rule of Law Certificate Program** (STO2 launched in 2019)
- **Think Tank Capacity Building Program** (launched in 2020)
- **Supporting Criminal Justice Reform and Strengthening Anticorruption Efforts in Moldova** (launched in 2020)
- **Building Capacity to Counter Illegal Mining** (launched in 2020)

## Program Launches

List any programs/initiatives that were newly launched during the Academic Year or any programs/initiatives you would like to launch in the coming year(s). Describe the program/initiatives, provide financial requirements (including additional staff), and academic year in which you would launch. What key performance indicators are you utilizing to track the success of this program?

- **JUSTRAC+:** This is a five-year program funded by the U.S. State Department, Bureau of International Narcotics and Law Enforcement. ROLC is tasked with research and training U.S. government development professionals on a wide range of rule of law topics.
- **Rule of Law Certificate Program:** This is a year-by-year program funded by USAID and Chemonics International. ROLC oversees researching and delivering a course on international rule of law topics for Ukrainian professionals.
- **Think Tank Capacity Building Program:** This is a two-year program funded by the U.S. State Department, South and Central Asia Bureau. ROLC is working with research institutions in Sri Lanka to improve their research capacities.
- **Supporting Criminal Justice Reform and Strengthening Anticorruption Efforts in Moldova:** This is a two-year program funded by the U.S. State Department, Bureau of International Narcotics and Law Enforcement. ROLC will work with the American Bar Association and Moldovan universities to support legal clinics for underserved populations in Moldova.
- **Building Capacity to Counter Illegal Mining:** ROLC is a subawardee on this two-year program to enable the Mongolian criminal justice system to counter illegal mineral smuggling. ROLC will be conducting research on illegal mining and mineral trafficking in Mongolia, and then using that research to design and conduct multiple simulation events for the Mongolian criminal justice interagency in the capital and some mining and border provinces.

## Program Terminations

List any programs that were newly terminated or discontinued during the Academic Year. Provide justification as to why the program was discontinued.

**JUSTRAC:** Ended in 2018, this was a five-year program funded by the U.S. State Department,

# Programs or Initiatives

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Bureau of International Narcotics and Law Enforcement. In 2018, it was followed by the JUSTRAC+ program identified above.

## Program Rankings

*List any nationally ranked or external recognition during the Academic Year. For each, provide the formal name of the program followed by the name of the organization that issued the ranking, the date of notification, effective date range, and any other relevant information.*

N/A. This category does not represent the functions of ROLC.

# Initiatives and Fees

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## Initiatives

*Describe any new initiatives your unit will need for the coming year.*

ROLC strives to be a self-sustaining unit of the Office of the Provost through grants and contracts from multiple funders and a portion of the indirect costs (IDC) generated by these projects. ROLC charges no fees.

## Fees

*List any new or changed fees that your unit has implemented or had to take on in the last academic year.*

N/A. This category does not represent the functions of ROLC.

# Community Engagement

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## Community Perceptions

*Describe how your unit assesses community perceptions of your engagement, and how the unit assesses the impact of community engagement on students, faculty, community and the institution. Provide specific findings.*

1. ROLC regularly administers surveys to program participants, in order to gauge perceptions and impact. Over the course of ROLC's five-year JUSTRAC program, which is representative of its work, 95% of training participants surveyed at the conclusion of reported that a JUSTRAC training course increased their skills, knowledge, and information concerning justice sector reform principles and practices. Three months post-training, 75% of respondents reported having applied the skills, knowledge, and information gained in the training to their work.
2. In ROLC's two years of administering the Rule of Law Certificate Program in Ukraine, participants scored the program overall 4.86/5 in Year One and 4.93/5 in Year Two.

## Supplemental Info - Community Engagement

*Any additional information on Community Engagement appears as 'Appendix 1. Community Engagement' (bottom).*

# Collaborations

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## Internal Collaborations

*List your Unit's most significant internal collaborations and multidisciplinary efforts that are internal to the University. Details should be omitted; list by name only.*

Through our ROLC faculty associates, the Rule of Law Collaborative collaborates with the following USC academic units:

- Arnold School of Public Health
- Center for Digital HumanitiesCollege of Arts and Sciences
  - Department of Anthropology
- Department of Criminology and Criminal Justice
  - Department of Earth, Ocean, and Environment
  - Department of Geography
- Department of History
- Department of Language, Literature, and Culture
  - Department of Political Sciences
  - Department of Sociology
  - Department of Philosophy
- College of Education
- College of Information and Communications
  - School of Journalism and Mass Communications
  - School of Library and Information Science
- College of Social Work
- Darla Moore School of Business
- School of Law
- School of Medicine

## External Collaborations

*List your Unit's most significant external collaborations and multidisciplinary efforts that are external to the University. Details should be omitted; list by name only.*

As implementers of rule of law programming, the Rule of Law Collaborative works in partnership with the following government agencies:

- Kingdom of the Netherlands
- Ministry of Justice
- Federal Judicial Center/Committee on International Judicial Relations
- Sierra Leone, Ministry of Justice
- U.S Department of Commerce/Commercial Law Development Program
- U.S. Department of Defense/U.S. Defense Security Cooperation Agency /Defense Institute of International Legal Studies
- U.S. Department of Homeland Security
  - Federal Law Enforcement Training Centers
  - Office of Policy/Office of International Engagement
- U.S. Department of Justice
  - International Criminal Investigative Training Assistance Program
  - National Advocacy Center
  - Office of Overseas Prosecutorial Development Assistance and Training
- U.S. Department of State

# Collaborations

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- Bureau of Conflict and Stabilization Operations
- Bureau of Democracy, Human Rights and Labor/ Office of Global Partnerships
- Bureau of International Information Programs
- Bureau of International Narcotics and Law Enforcement Affairs
- U.S. Department of the Treasury/Office of Technical Assistance
- U.S. Environmental Protection Agency
- United Nations Development Programme
- United States Agency for International Development

The Rule of Law Collaborative also partners with the following implementers in the rule of law space:

- American Bar Association Rule of Law Initiative
- Ann Frank House
- CCI
- Charleston Area Justice Ministry
- Chemonics International
- Conservation International
- East West Management Institute
- Hague Institute for Innovation of Law (HiIL)
- Legal Atlas
- Lexis Nexis
- National Center for State Courts
- New York University, Center on International Cooperation
- Pathfinders for Peaceful, Just and Inclusive Societies
- Restorative Justice for Oakland Youth
- South Carolina Appleseed Justice Center
- Strategic Inspirations, Sri Lanka
- The Asia Foundation
- The Truth-Telling Project
- The Woodrow Wilson International Center for Scholars
- UNISHKA
- United States Institute of Peace
- World Bank
- World Justice Project
- Youth Bridge Foundation, Ghana

## Supplemental Info - Collaborations

*Any additional information on Collaborations appears as 'Appendix 2. Collaborations' (bottom).*

# Campus Climate and Inclusion

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## **Campus Climate and Inclusion**

*Activities the unit conducted that were designed to improve Campus, Climate, and Inclusion.*  
More than 1/3 of ROLC faculty associates are female and more than 1/4 are minorities. Of the 34 student Research Assistants and Graduate Assistants we have worked with, 60% are female and 15% are minorities. 44% of ROLC staff are female.

# Concluding Remarks

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## Weaknesses and Plans for Improvement

*What is your unit struggling with? What plans do you have to overcome the weakness that you have faced in the next academic year.*

ROLC's Director is heavily burdened with administrative, substantive, and management tasks. As ROLC successfully expands its grant portfolio, new management needs will arise. ROLC's Director will need assistance managing this growing collection of programs and personnel. One way to improve this is to empower one or more employees to help manage this growing organization.

With ROLC's rapid expansion of grant awards, the ability to timely meet grant deliverables while continuing to look for business opportunities as well as act as an interdisciplinary leader on campus will be stretched. Currently, in addition to ROLC's very capable administrative staff, the majority of substantive staff are at a relatively senior level. ROLC needs junior substantive staff to conduct research, produce reports, help with monitoring and evaluation of grant activities, assist with workplan and deliverable production, and assist in drafting new grant proposals.

## Key Issues

*Identify key issues or potential challenges your unit will encounter this coming year and the steps you plan on initiating.*

- Expand subject matter expertise in emerging rule of law promotion trends
- Expand focus on domestic rule of law challenges
- Strengthen networking in rule of law community to find new partnerships
- Strengthen existing partnerships to develop more business

## Quantitative Outcomes

*Explain any surprises regarding data provided in the quantitative outcomes modules throughout this report.*

N/A. This category does not represent the functions of ROLC.

## Cool Stuff

*Describe innovations, happy accidents, good news, etc. that occurred within your unit not noted elsewhere in your reporting.*

### **Facilitated Historic Meeting for Ministers of Justice from Post-Conflict Countries:**

With funding from the Dutch government, ROLC organized, led pre-consultations, and facilitated a ground-breaking meeting focused on improving people-centered justice in the developing world. At the g7+ Ministerial-Level Meeting on Access to Justice for All in Conflict-Affected Countries in The Hague in June 2019, leaders from g7+ countries adopted and signed the first collective action plan on justice sector issues ever agreed to by the g7+ member states, the "Justice for All in Conflict-Affected Countries Declaration and Joint Action Plan." The Joint Action Plan includes specific measures and commitments to place people and their legal needs at the center of justice systems in conflict-affected countries and to improve the quality of justice journeys for all, including women, youth and marginalized groups. ROLC is currently negotiating a follow-on project to continue Dutch priorities in this area.

**Self-Paced Learning Modules:** In response to COVID-19, in summer 2020, ROLC developed and launched its first two self-paced online learning modules, intended for a government rule

# Concluding Remarks

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of law practitioner audience. ROLC worked together with the Web Development and Communications Team at the Arnold School of Public Health to produce these modules, which were delivered to an audience of over 30 foreign service officers in an effort to equip them with the knowledge and skills they need to manage rule of law programs abroad. The asynchronous learning products were both very useful for learning and well-received. They will also be used in future training activities. ROLC will continue to produce more online learning products to build its online library and enhance its training efforts moving forward.

**The First Rule of Law Certificate Program in Ukraine:** Last year ROLC delivered a unique and first-of-its-kind Rule of Law Certificate Program, bringing together 30 legal and judicial professionals, including Supreme Court Justices, members of the government and others. These professionals were chosen from among over 300 applicants. The participants each developed their own rule of law reform projects, along with attending over 80 hours of courses developed and delivered by ROLC. This program has had a tremendous impact in Ukraine.

**The First Think Tank Capacity Building Program in Sri Lanka:** In July, ROLC was chosen over several other bidders to administer a State Department grant focused on improving Sri Lankan think tank's ability to engage in research. This will help promote democracy and the rule of law in this war-torn nation.

**Student Team:** Since Summer 2020, ROLC has recruited a group of nine student Research Assistants who have been integral in ROLC's rule of law programming. These students have contributed directly to successful grant proposals and have produced learning materials used by rule of law practitioners in the State Department. This group of students represents significant diversity within ROLC's impressive pool of student talent, as well. Seven of the nine students are women, and the students' academic home units include the College of Arts and Sciences, the Darla Moore School of Business, the School of Journalism and Mass Communications, and the School of Law. One is a graphic design student, the first time ROLC has ever had this type of dedicated role.

## Appendix 1. Community Engagement

BY THE  
NUMBERS

92%  
INCREASED  
KNOWLEDGE

59%  
APPLIED  
KNOWLEDGE

78%  
EXPANDED  
THEIR NETWORK

68%  
MAINTAINED  
CONTACT

# Knowledge Sharing

## Program Impact

As assessed through various types of participant surveys, the JUSTRAC symposia have demonstrated an impact in a variety of key areas:

### ON JUSTICE SECTOR

#### KNOWLEDGE AND SKILLS:

Immediately after the symposium, 92% of respondents reported that a JUSTRAC symposium increased their skills, knowledge, and information on justice sector reform principles and practices. Three months after the event, 59% of respondents reported having actually applied the skills, knowledge, and information gained in the symposium to their daily work.

#### ON INTERAGENCY CONTACT, COORDINATION, AND COLLABORATION:

Immediately after the symposium, 78% of respondents reported that a JUSTRAC symposium positioned them to establish contact with another person from the event, and 69% of respondents established contact with a participant from a different government agency or organization than their own.

Three months after the symposium, 79% of respondents coordinated or collaborated with representatives of agencies of the U.S. Government engaged in justice sector reform and rule of law programs, and 68% of respondents maintained contact with a participant from a different government agency or organization than their own.

“Discussions were timely and very open. Every thought could be expressed and heard; I’ve learned so much from this process!”

– Participant, JUSTRAC symposium *Promoting the Rule of Law in the Post-Soviet Region through State and Non-State Collaboration*

“The symposium provided a much-needed opportunity for open dialog and to brainstorm new ways of thinking and new ways of doing business.”

– Participant, JUSTRAC symposium *Implementing Effective Justice and Security Sector Assistance in Conflict-Affected Areas*

## **Appendix 2. Collaborations**

## External Collaboration: Government Agency Participation in ROLC's JUSTRAC Program

### JUSTRAC TRAINING PARTICIPANTS BY GOVERNMENT AGENCY

