

SUMMARY OF THE U.S. DEPARTMENT OF STATE STRATEGIC PLAN

This Strategic Plan outlines the roles and mission of the Department of State in achieving the foreign policy goals of the United States, under the direction of the President and the Secretary of State. It is a companion to the International Affairs Strategic Plan, which articulates the fundamental national interests of the United States in terms of long-range goals to create a more secure, prosperous, and democratic world for the American people. The Department's Strategic Plan also demonstrates that "diplomacy" has a new definition in the post-Cold War era, and that the strategic goals pursued by the Department and all US diplomatic missions overseas are directly linked to the real-life, daily concerns of the American people.

The Strategic Overview outlines trends that have a major, global impact on US foreign policy, and identifies the means by which the United States pursues its objectives.

The International Affairs Mission Statement defines core US values and priority interests, establishing strategic goals for national security, economic prosperity, protection of American citizens and border security, law enforcement, democracy, humanitarian assistance, environment, population, and health. The Department of State Mission Statement identifies the core responsibilities and values of State as the lead institution for the conduct of American diplomacy.

The 16 International Affairs strategic goals are long-term, with timeframes of 6 years or more. Targets are specific where possible. A set of strategies is presented for achieving each goal, along with assumptions about potentially critical external factors and indicators that can be used to measure progress.

The role of the State Department is defined for each of the goals and the strategies associated with them. Lead agencies and responsible State bureaus are also identified. The legal authorities of the State Department and International Affairs resources are included as sections in this Plan.

The Diplomatic Activity section of the Strategic Plan covers support activities needed to achieve our goals: public diplomacy information and exchange programs and administrative support expressed in terms of Diplomatic Readiness. Diplomatic Readiness includes goals for the human resources, information resources management, and infrastructure and operations of the State Department. The Department of State, as the provider of the basic platform from which all Federal agencies operate overseas, considers the achievement of these Diplomatic Readiness goals as the sine qua non for our ability to address the Plan's strategic goals effectively.

Drafts of this plan were shared with the Congress, other Federal agencies, and a variety of our customers. No contrary views were expressed.

INTERNATIONAL AFFAIRS MISSION STATEMENT

Create a more secure, prosperous, and democratic world for the benefit of the American people.

In an increasingly interdependent and rapidly changing world, international events affect every American. Successful US international leadership is essential to security at home, better jobs and a higher standard of living, a healthier environment, and safe travel and conduct of business abroad.

Under the direction of the President and the Secretary of State, the United States conducts relations with foreign governments, international organizations, and others to pursue US national interests and promote American values. The goals of US foreign policy are to:

- Secure peace; deter aggression; prevent, and defuse, and manage crises; halt the proliferation of weapons of mass destruction; and advance arms control and disarmament;
- Expand exports, open markets, assist American business, foster economic growth, and promote sustainable development;
- Protect American citizens abroad and safeguard the borders of the United States;
- Combat international terrorism, crime, and narcotics trafficking;
- Support the establishment and consolidation of democracies, and uphold human rights;
- Provide humanitarian assistance to victims of crisis and disaster; and
- Improve the global environment, stabilize world population growth, and protect human health.

To advance the interests of the nation and the American people through foreign affairs leadership, the US Government requires a strong international presence; a highly qualified, motivated, and diverse Civil and Foreign Service serving at home and abroad; extensive communication with the public, both foreign and domestic; and the political, military, and economic means to carry out the nation's foreign policies.

STATE DEPARTMENT MISSION STATEMENT

US diplomacy is an instrument of power, essential for maintaining effective international relationships, and a principal means through which the United States defends its interests, responds to crises, and achieves its international goals. The Department of State is the lead institution for the conduct of American diplomacy, a mission based on the role of the Secretary of State as the President's principal foreign policy adviser.

In order to carry out US foreign policy at home and abroad, the Department of State:

- Exercises policy leadership, broad interagency coordination, and management of resource allocation for the conduct of foreign relations;
- Leads representation of the United States overseas and advocates US policies foreign governments and international organizations;
- Coordinates, and provides support for, the international activities of US agencies, official visits, and other diplomatic missions;
- Conducts negotiations, concludes agreements, and supports US participation in international negotiations of all types;
- Coordinates and manages the US Government response to international crises of all types;
- Carries out public affairs and public diplomacy;
- Reports on and analyzes international issues of importance to the US Government;
- Assists US business;
- Protects and assists American citizens living or traveling abroad;
- Adjudicates immigrant and nonimmigrant visas to enhance US border security;
- Manages those international affairs programs and operations for which State has statutory responsibility; and
- Guarantees the Diplomatic Readiness of the US Government.

Department of State personnel in the United States and abroad carry out these core diplomatic activities in pursuit of specific goals. Some ongoing responsibilities are

essential to the conduct of effective international relations and contribute to all international affairs goals, for example maintaining contacts and access overseas, or supporting official visits. Similarly, State's management functions provide the foundation support essential to maintain US diplomatic readiness around the world.

At posts overseas, the Ambassador reports to the President through the Secretary of State and, as Chief of Mission, has authority over all US Government executive branch personnel except for those under a US area military commander. The Country Team, led by the Chief of Mission, is the principal coordinating body for all US Government agencies represented at that specific overseas Mission. As the lead agency abroad, State manages US Embassies, Consulates, and other diplomatic posts, and supports the international activities of the rest of the US Government.

The world is more complex and the conduct of international relations is more demanding than ever before. Successful diplomacy requires deep understanding of the international environment and careful application of influence, persuasion, and negotiation. These are particular strengths of the Department of State.

As long as US international leadership requires a universal presence overseas, State will have a core responsibility to maintain the Diplomatic Readiness of the US Government. This means ensuring that resources are adequate, matched to priorities, and are used effectively to put the right people in the right places, with the security and support needed for them to defend national interests and achieve US goals.

STATE DEPARTMENT VALUES

The men and women of the Department of State, at home and overseas, represent and advocate the interests and people of the United States in the rest of the world. The International Affairs Mission Statement is the map of what we aim to accomplish; this Values Statement articulates the guiding principles for us as individuals and as an institution.

- **Impact:** Our work significantly advances the interests of the American people at home and abroad.
- **Expertise:** Language and cultural skills, area and technical expertise, science and technology literacy, management ability, and international experience are critical to our role as the lead US Government agency overseas; our skills help others representing the United States do their jobs more effectively.
- **Discipline:** We faithfully execute policy regardless of personal views; members of the Foreign Service are ready to serve worldwide as needed.
- **Dissent:** The constructive, thoughtful expression of divergent views strengthens the formulation and execution of foreign policy.
- **Diversity:** We strive for a merit-based workforce that is excellent, reflective of the American people, and confident that solid, mission-related performance is rewarded.
- **Partnership:** Our effectiveness as an institution is heightened by the unique mix of skills and experiences that our Civil Service, Foreign Service, and foreign national colleagues bring to the workplace.
- **Commitment:** We are dedicated to America's leadership in the world and to the effective conduct of international relations; we take the long-term view that comes with a career, not merely a job.

OVERVIEW

This Strategic Plan outlines the roles and mission of the Department of State, under the direction of the President and the Secretary of State, in achieving the foreign policy goals of the United States. The underlying premise of this plan is threefold. First, that the State Department alone provides the essential diplomatic platform without which the conduct of a multi-faceted cross-agency foreign policy would not be possible.

Second, that State's strategic plan must be crafted differently because foreign policy, properly understood, is not concerned solely with the attainment of specific time-defined goals but with the maintenance of a vital, ongoing process. Finality is not the language of foreign policy, and any strategic plan applied to foreign affairs and overseas representation must take account of that fact.

Third, that a major paradigm shift has occurred in global, diplomatic, and economic affairs since the end of the Cold War. This has rendered the distinction between domestic and foreign affairs one of convenience rather than one of fact. As the proliferation of US Government agencies with overseas responsibilities illustrates, almost every facet of national life, from crime, to travel, to the environment and the economy, is related, intimately and directly, to the conduct of global policy.

In light of the massive expansion of America's global trade; the multiplicity of threats impinging on America's domestic and international security; and the American public's deep and abiding concerns regarding crime, health, and the environment; this Strategic Plan seeks to offer a vision of a foreign policy that is not bound by the now artificial distinction between domestic and global affairs. The State Department will therefore expand its outreach to the American public to explain the deep and interrelated linkages that exist between the United States and the wider world. The State Department, which alone in the Federal government is responsible for monitoring the overall international arena, will also work to enhance its traditional role as the effective coordinator and platform for the nation's relations to the rest of the world.

The Department of State Strategic Plan links the Department's activities to the international affairs goals of the United States. This Strategic Plan -- in addition to three brief sections describing the State Department's strategic planning process, legal authorities, and the resources allocated to International Affairs -- is comprised of two essential categories:

International Affairs Strategic Goals. The State Department identified 16 long-term goals (with timeframes of 5 years or more) for the entire US Government -- not just the State Department -- to achieve in international affairs. Such goals are as specific as the nature of international relations permit. The role of the State Department is defined for each of the goals. A set of strategies is presented for achieving each goal, along with assumptions about potentially critical external

factors, and measures for determining progress in the accomplishment of those goals. Lead agencies and responsible State bureaus are also identified.

State's Diplomatic Activities. To accomplish our nation's foreign policy goals, we rely heavily on two types of Diplomatic Activities: public diplomacy information and exchange programs and Diplomatic Readiness. The former category is critical to foster trust and understanding between the U.S. and other countries. This is done through the dissemination of information in support of key U.S. foreign policy goals through a variety of means to convey U.S. Government positions without distortion. Another way to foster mutual understanding is through academic, professional and cultural exchanges.

Because US diplomatic missions represent the entire US Government, the Department of State provides the critical platform from which all Federal agencies operate and without which it is impossible to achieve the 16 International Affairs Strategic Goals. Diplomatic Readiness covers the human resources, information resources management, and infrastructure and operations necessary for maximizing the State Department's Diplomatic Readiness Platform.

The Changing International Affairs Context

Many experts heralded the end of the Cold War as ending the need for American global engagement. As the last ten years have demonstrated, the dramatic changes in the world's political and economic landscape have meant just the opposite. Today, we are confronted with a host of international problems that affect America's security and domestic welfare, from financial crises and the closing of markets to global environmental challenges, AIDS, terrorism, drug trafficking, and the spread of weapons of mass destruction. These foreign policy problems are national security challenges, and we must think about the work that we do to meet them in those terms.

In pursuing its international objectives, the United States must take into account the multiple and often competing intentions and interests of other governments and organizations, public opinion, Congress, and other US Government agencies, as well as resource constraints. The intersection of domestic and foreign issues has expanded to affect every American and involve virtually the entire US Government.

Successful US foreign policy depends on recognizing the conditions that are likely to prevail in the new and evolving international context, including:

Multiple conflicts, crises, and threats -- many of them transnational -- rather than a single overriding challenge, will continue to emerge and may increase in frequency. While these may be small or localized in nature, they will frequently have potential for wider impact. These challenges will require determination, resources, and time to resolve.

New scientific advances and discoveries, changing technologies, the information revolution, and economic growth have increased the rate of global change, accelerated communications, and diminished the importance of geographical distance. As a result, the world is more interdependent, and the consequences of political, social, economic, military, scientific, technological and health developments more interrelated.

Global problems, especially those related to the environment, population, and disease, will have ever greater impact. These problems demand international attention based on solid science, and solutions must take into account implications of any actions on future generations and the integrity of the planet.

Multilateral cooperation and communication will prove increasingly feasible and effective to prevent crises, resolve problems, build trust, and advance common interests. Relations between nation-states will still remain central to the conduct of international affairs, but nongovernmental actors will gain increasing influence.

Democracy will continue to advance internationally, but democratic practices will vary among states and will be subject to countervailing influences and interests.

Economic interdependence will increase. Private enterprise and technology will be the primary drivers, although the role of government in maintaining stable macroeconomic conditions, promoting business opportunities, and supporting research and development activities will remain critical. New centers of economic growth and power will emerge, trade and financial flows will accelerate, but distribution of the economic benefits, both internally and internationally, will be uneven.

The Role of the State Department

Diplomacy is America's first line of defense. While sustained military strength and flexibility are necessary to assure national security, the conduct of US relations with the rest of the world through an effective international presence and discerning leadership is what makes the United States a force for peace. Relatively small investments in diplomacy and sustainable development now -- to prevent conflicts, create the conditions for economic growth, promote democracy, enhance communication, and protect the environment -- decrease the possibility of more costly conflict later.

Protecting national interests and advancing US goals involves virtually every agency of the US Government and requires a set of strategic assets, including:

-- Expert diplomacy, a strong military, and effective intelligence, working in coordination to maintain national security;

- Fundamental capabilities for carrying out international affairs missions in public diplomacy, mutual understanding, sustainable development, and arms control;
- Full participation by domestic and specialized US Government agencies in those aspects of international affairs that pertain to their particular scopes of authority and expertise, particularly those related to issues of science, technology and health;
- Programs in sustainable development, military cooperation, peacekeeping, law enforcement, finance, international information, academic and cultural exchange, and other fields to provide the means necessary to address problems and achieve objectives; and
- Diplomatic Readiness consisting of the human resources, infrastructure and operations, and information resources management necessary for a strong US international presence.

In order for the United States to fulfill its foreign policy goals with lasting effect, these assets must be deployable worldwide. They must also be well coordinated, stable enough to pursue long-term objectives, flexible enough to prevent and mitigate emerging crises, have sufficient resources to meet established objectives, and have the support of the American people.

US international leadership requires a universal presence overseas. The State Department has the core responsibility for maintaining the Diplomatic Readiness Platform of the US Government. This requires resources that are adequate, matching them to priorities, and using them effectively to put the right people in the right places, with the security and support necessary for them to defend America's goals and national interests.

Successful diplomacy requires a deep understanding of the international environment and the careful application of influence, persuasion, and negotiation. These are particular strengths of State Department personnel. The Department of State's highly qualified, motivated, and diverse Civil and Foreign Service personnel at home and abroad have a distinct responsibility to represent and advocate the interests and people of the United States in the rest of the world. That is why the State Department employs a cadre of men and women of the highest education, temperament, character, language and cultural skills.

The State Department coordinates the more than 30 US government agencies that operate overseas. State's management functions provide the foundation of support essential for maintaining the US Diplomatic Readiness Platform around the world. As the lead agency abroad, State manages US embassies, consulates, and other diplomatic posts, and supports the international activities of the rest of the US Government.

To facilitate these cross-cutting efforts, the State Department heavily engages in interagency consultations and coordination in order to align strategic goals and clearly define roles and missions. Such agency-to-agency consultations will continue, as will interagency performance planning and Country Team participation in mission performance planning overseas.

Goals and Objectives

The 16 International Affairs Strategic Goals encapsulate what the US desires to accomplish in world affairs. None of the 16 Strategic Goals is exclusive to a single agency, but the Department of State has a vital role in achieving each of them. National Security is preeminent, but economic, humanitarian, and other concerns also require first-class diplomacy.

The goals do not always lend themselves to concrete statistical analysis. Goals are nearly always interrelated, and at times can even be in conflict -- as is sometimes the case with human rights and economic prosperity. Some of the goals -- such as protection of American citizens abroad -- necessarily represent ongoing responsibilities rather than missions that are ever finished. And other goals -- such as those regarding the environment, population, and health -- focus on global problems where results are far in the future.

That is why, at present, not all of the goals in the Strategic Plan are easily quantifiable. Counter-narcotics is a useful example: there is a wealth of quantitative data available, but the data reveals little about the direct impact of increasing drug seizures on the desired outcome of reducing the flow of narcotics into the United States. Qualitative, rather than quantitative, measurements are therefore more practical for most national security and other goals. Where possible, the Strategic Plan does include more specific measurements, such as when applied to specific countries or to objectives with shorter time frames.

US NATIONAL INTERESTS AND STRATEGIC GOALS

National Security:

- Prevent regional instabilities from threatening US vital national interests.
- Reduce the threat to the United States and its allies from weapons of mass destruction (WMD).

Economic Prosperity:

- Open foreign markets to increase trade and free the flow of goods, services, and capital.
- Expand US exports to \$1.2 trillion by early in the 21st century.
- Increase global economic growth and stability.
- Promote broad-based growth in developing and transitional economies to raise standards of living, reduce poverty, and lessen disparities of wealth within and among countries.

American Citizens and US Borders:

- Protect the safety and security of American citizens who travel and live abroad.
- Facilitate travel to the US by foreign visitors, immigrants, and refugees, while deterring entry by those who abuse or threaten our system.

Law Enforcement:

- Minimize the impact of international crime on the United States and its citizens.
- Reduce the entry of illegal drugs into the United States.
- Reduce the incidence and severity of international terrorist attacks, particularly against American citizens and interests.

Democracy:

- Open political systems and societies to democratic practices, the rule of law, good governance and respect for human rights.

Humanitarian Response:

- Prevent or minimize the human costs of conflict and natural disasters.

Global Issues: Environment, Health, and Population

- Secure a sustainable global environment to protect the US citizens and interests from the effects of international environmental degradation.
- Achieve a healthy and sustainable world population.
- Strengthen international health capabilities.

INTERNATIONAL AFFAIRS STRATEGIC OVERVIEW

Changes in the world at the end of the 20th century make this new millennium a time of profound choice for the United States. The foreign policy goals of creating a more secure, prosperous, and democratic world for the benefit of the American people remain fundamental. However, deep and lasting changes to the global landscape, such as new technologies, increasing population, and economic and geopolitical transformations, have strategic implications for the U.S. international leadership.

Defined by reference to the past, the post-Cold War era has as its most significant attribute the absence of any immediate, vital threat to national security. The demise of the Soviet Union has left the United States as the preeminent world power and invested it with unparalleled leadership responsibilities and opportunities. But the end of superpower competition also eliminated the unifying strategy for U.S. foreign policy. Now, in addition to regional security issues, an array of threats—weapons proliferation, terrorism, ethnic and religious conflict, organized crime, drug trafficking, and environmental degradation—challenges U.S. interests and blurs the traditional dividing lines between domestic and foreign affairs.

Successful U.S. foreign policy depends on recognition of the conditions that are likely to prevail in this new and evolving international context. Six strategic assumptions about long-term global trends are an essential starting point for determining where, when, and how the United States is to engage in the world:

1. **Multiple conflicts**, crises, and threats—many of them transnational—rather than a single overriding challenge, will continue to emerge and may increase in frequency. While these may be small or localized in nature, they will frequently have potential for wider impact. These challenges will require determination, resources, and time to resolve.
2. **New scientific advances and discoveries, changing technologies**, the information revolution, and economic growth have increased the rate of global change, accelerated communications, and diminished the importance of time and distance. As a result, the world is more interdependent, while the consequences of political, social, economic, military, scientific, technological and health developments are more interrelated.
3. **Global problems**, especially those related to the environment, population, and disease, will have ever greater impact. These problems demand international attention, based on sound science and appropriate technology, and solutions must take implications for future generations and the integrity of the planet into account.

4. **Multilateral cooperation** and communication will prove increasingly feasible and effective to prevent crises, resolve problems, build trust, and advance common interests. Relations between nation-states will nevertheless remain central to the conduct of international affairs, but non-governmental actors will gain increasing influence.
5. **Democracy** will continue to advance internationally, but democratic practices will vary among states and will be subject to countervailing influences and interests.
6. **Economic interdependence** will increase. Private enterprise and technology will be the primary drivers, although the role of government in maintaining stable macroeconomic conditions, promoting opportunities and supporting research and development activities will remain critical. New centers of economic growth and power will emerge, trade and financial flows will accelerate, but distribution of the economic benefits, both internally and internationally, will be uneven.

A clear understanding and articulation of foreign policy goals must be based on recognizing how these six trends affect U.S. conduct of its international relations. Security, political, economic, and global priorities are not uniformly fixed, but vary with time and circumstance, are inter-related, and often involve difficult tradeoffs.

Diplomacy is America's first line of defense. Sustained military strength and flexibility are necessary to assure national security, but the conduct of U.S. relations with the rest of the world through an effective international presence and discerning leadership is what makes the United States a force for peace. Relatively small investments in diplomacy and sustainable development now to prevent conflict, create the conditions for economic growth, promote democracy, enhance communication, fight the spread of disease, and protect the environment decrease the possibilities of much more costly conflict later and help ensure the prosperity and well-being of the American people.

Foreign affairs today has many dimensions in addition to national security, trade, and other traditional concerns. The number of nation-states, international organizations, and other involved parties—each with their own interests and objectives—has multiplied. Direct interaction and communication with foreign and domestic non-governmental organizations and publics is an increasingly essential responsibility. Equally important, the intersection of domestic and foreign issues has expanded to affect every American and involve virtually the entire US Government. In pursuing international objectives, the Department of State must take into account the multiple and often competing intentions and interests of other governments and organizations, public opinion, Congress, and other US Government agencies, as well as resource constraints.

Protecting national interests and advancing US goals involves virtually every agency of the US Government and requires a set of strategic assets:

- Expert diplomacy, a strong military, and effective intelligence, working in

coordination to maintain national security;

- Fundamental capabilities to carry out international affairs missions in public diplomacy, sustainable development, and arms control;
- Full participation by domestic and specialized US Government agencies in those aspects of international affairs that pertain to their particular scopes of authority and expertise, particularly those related to science, technology and health;
- Programs in sustainable development, military cooperation, peacekeeping, law enforcement, finance, international information, academic and cultural exchange, and other fields to provide the means necessary to address problems and achieve objectives; and
- Diplomatic readiness consisting of the human resources, infrastructure and operations, and information resources management necessary for a strong US international presence.

In order for the United States to fulfill its foreign policy goals with lasting effect, these assets must have the capability for worldwide deployment, be well coordinated, be stable enough to pursue long-term objectives, be flexible enough to prevent and mitigate emerging crises, have sufficient resources to meet established objectives, and have the support of the American people.

NATIONAL INTEREST: NATIONAL SECURITY

GOAL: Prevent regional instabilities from threatening U.S. vital national interests.

The United States shapes the international environment in both peace and war through an integrated mix of force and diplomacy that minimizes threats to regional stability. These threats stem from a broad range of sources, including ethnic and religious conflict, territorial and natural resource disputes, weapons proliferation, transnational threats (i.e., crime, terrorism, and illegal drugs), economic crises, and natural disasters. Left unresolved, such threats can result in the loss of life, regional or global disruption in the flow of goods and services, and the need for protracted US intervention. Effectively employing diplomatic, economic, and military solutions to avert these potential problems is essential. Ensuring we have capable friends and allies with which to work solutions will be critical to our success. Key elements to our strategy will require thoughtful policies to control the flow of conventional weapons, enhance multilateral cooperation, and maintain a forward-deployed military presence.

The Department of State coordinates interagency policy on a full spectrum of political, economic, and national security issues, with particular emphasis on preventative diplomacy via direct mediation, or working through regional or international organizations. State also works to limit conflict by actively working in areas such as arms control, defense trade controls, and conventional weapons proliferation. State implements the diplomatic and foreign affairs activities that put policy into practice, and manages alliance relations and leads US Government responses to overseas crises.

STRATEGIES:

- **Tailor the mix of diplomatic activities and use of force to respond to the full range of threats to regional security, focusing on vigorous diplomatic measures to promote non-military resolutions to regional threats.**

State provides the diplomatic framework for bilateral contacts on a full range of issues that have an impact on regional security. This includes strengthening political and economic ties, facilitating disputes, assisting in international humanitarian emergencies, and committing US forces – acting unilaterally if necessary. State also facilitates in the settlement of disputes between potential adversaries and coordinates measures, such as sanctions, that are directed at violators of international norms. Regionally based initiatives include support to the Dayton Peace Accords, the Northern Ireland Peace Process, the Stability Pact for the Balkans, the Peru-Ecuador conflict, the Eritrea-Ethiopia conflict, resolution of humanitarian crises in Africa, and multilateral efforts to improve the performance of the Haitian National Police.

Responsible State Department Offices: Regional Bureaus, Functional Bureaus, INR, Overseas Missions

Lead Agencies: State, DoD, Intelligence Community.

- **Establish comprehensive control, compliance, verification, and enforcement measures to forestall conventional weapons through regional arms control and confidence and security building measures, reductions in excessive or destabilizing conventional forces, prevention of advanced conventional arms and military technology, and policies to protect sensitive technologies that threaten security and stability.**

State leads interagency policy formulation on arms control, confidence-building issues, multilateral export controls and their verification, and the US arms export process. Pursuant to the Arms Export Control Act, State authorizes all US arms transfers to foreign partners. State implements sanctions on countries transferring conventional arms, and leads US participation in the Wassenaar Arrangement, a multilateral regime designed to prevent destabilizing accumulations of conventional arms and dual use goods and technologies through the exercise of effective export controls. State also leads in adapting, implementing, and verifying compliance with the Conventional Forces in Europe Treaty. Coordinating with other agencies, State issues munitions licenses pursuant to the International Traffic in Arms Regulations, and the Arms Export Control Act. With State's advice, Commerce issues licenses pursuant to the Export Administration Act.

Responsible State Department Offices: PM, AC, NP, VC, INR, Regional Bureaus and Overseas Missions

Lead Agencies: State, DoD, Intelligence Community, Commerce.

- **Enlist multilateral organizations to develop regionally acceptable solutions in support of U.S. national interests.**

State has the primary responsibility for coordinating international cooperation through multilateral organizations -- such as the UN, NATO, OSCE, OAS, and OAU -- across a broad spectrum of economic, political, and security areas that all impact on regional security. Assistance is provided in several forms including the Enhanced International Peacekeeping Capability that targets select countries involvement is regionally based peacekeeping activities, the African Crisis Response Initiative, and the Partnership for Peace initiative.

Responsible State Department Offices: IO, Regional Bureaus, Functional Bureaus, Overseas Missions

Lead Agencies: State, DoD.

- **Develop stable security relationships through robust military-to-military contact, assistance, and training programs, to promote the capabilities of friends and allies to support U.S. forces engaged in advancing national interests.**

State has the primary responsibility for security assistance policy and resources, arms transfers, defense trade controls, base access agreements. Under State's policy guidance, DoD administers and manages the implementation of various foreign military assistance programs, as well as the management of its own military assistance activities. Assistance is provided in several forms including the IMET, E-IMET, and FMF programs, as well as regionally based training facilities including the Marshall Center and Argentina's Joint Peacekeeping Operation Training Center.

Responsible State Department Offices: PM, NP, Regional Bureaus, Overseas Missions

Lead Agencies: State, DoD.

- **Use public diplomacy to establish an international consensus for the resolution of threats to regional stability.**

State leads interagency process of developing, fusing, and disseminating international public diplomacy initiatives. It also works with Congress to build support for US foreign policy.

Responsible State Department Offices: PA, IIP, ECA, H, Regional Bureaus, Functional Bureaus, Overseas Missions.

Lead Agencies: State, DoD.

ASSUMPTIONS:

- Diplomatic engagement, backed by possible use of force, can help induce potentially hostile states to modify their policies; it will have less influence on non-state actors.
- Capable international organizations and regional coalitions are likely to have greater success fostering resolutions to regional and transnational problems than will the US if it acts unilaterally.
- States will participate in multilateral conventional weapons export control regimes. Key supplier states inside the regimes will uphold nonproliferation norms despite challenges from commercial and arms trade interests. Non-member suppliers of

advanced conventional weapons and technologies (China, North Korea, Pakistan, and India) will resist more comprehensive, responsible controls.

- The intelligence community will be a valuable resource in providing advance warning of regional problems. It will also play a key role in monitoring conventional arms control and nonproliferation agreements.
- Achieving our goals with regard to economic prosperity, the environment, human rights, and the rule of law will contribute to regional stability and security.
- Prompt, well-defined, organized responses to regional situations will ensure US leadership, and will help deter the outbreak of problems in the future.

INDICATORS:

- The percentage of new or improved arms control and nonproliferation agreements that have been successfully established/approved, such as tighter restrictions in the Wassenaar Arrangement or other regimes on exports of advanced conventional weapons to countries of concern.
- The percentage of regional weapons proliferation compliance and verification visits deemed successful.
- Decreased levels of conventional forces and military activities in regions where arms control or CSBMs apply.
- Rate at which states of concern acquire advanced conventional weapons.
- Level of support for US regional security policies among international organizations and governments as shown by consensus or votes on military and non-military issues and courses of action.
- The number of countries involved in operations to resolve regional conflicts.
- The operational efficiency of coalition forces as measured by how well they cooperate in defense exercises, are properly trained in defense tactics and doctrine, and their equipment functions within the coalition environment.
- Degree of support for US policies in public opinion surveys at home and abroad.

NATIONAL INTEREST: NATIONAL SECURITY

GOAL: Reduce the threat to the United States and its allies from weapons of mass destruction (WMD).
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The most direct and serious threat to US national security is the possibility of conflict involving weapons of mass destruction. The success of our arms control, nonproliferation and export control policies directly affects the safety of US friends and allies, US military forces stationed overseas, American citizens living or traveling abroad, and -- should hostile countries or terrorist groups acquire both the weapons and means of delivery -- the territory and people of the United States itself. Of greatest concern are proliferation threats emanating from Russia, China, North Korea, and threshold states, as well as terrorists that seek to acquire WMD.

State has lead responsibility for developing and negotiating nonproliferation policy. It coordinates implementation of that policy regarding individual countries, such as Russia, China, India, Pakistan, Iraq and North Korea, and multilateral arrangements, such as the International Atomic Energy Agency (IAEA) and the Missile Technology Control Regime (MTCR) and chairs the Interagency Nonproliferation Working Group. State also has lead responsibility for developing arms control policy and for negotiating and implementing arms control agreements related to nuclear weapons (e.g., START and CTBT), nuclear material (e.g., FMCT), chemical weapons (e.g., the CWC), biological weapons (e.g., the BWC) and missile defenses (e.g., ABM/NMD).

STRATEGIES:

- **Prevent countries and sub-national groups from acquiring the means to develop, produce, or modify WMD or missile delivery systems.**

State chairs interagency nonproliferation licensing, interdiction and sanctions groups and coordinates interagency efforts to help other countries improve their export control systems.

Responsible State Dept. Offices: NP, Regional Bureaus, PM, INR, Overseas Missions.

Lead US Government Agencies: State, Intelligence Community, Customs, DoD, DoC, DoE.

- **Achieve further reductions in strategic offensive arms and strategic and tactical nuclear weapons, nuclear weapons stockpiles, and related infrastructure in ways that reinforce stable deterrence. Develop effective treaty verification regimes. Pending a decision on whether to deploy a limited national missile defense system, negotiate adaptations of the ABM Treaty, while preserving its contribution to strategic stability and arms reduction.**

State coordinates interagency verification assessments of these agreements and is

responsible for compliance reports to Congress. State provides negotiators and verification experts, and chairs interagency backstopping committees.

Responsible State Dept. Offices: AC, NP, L, INR, Regional Bureaus, Overseas Missions.

Lead US Government Agencies: State, DoD, Intelligence Community.

- **Reduce the deployment and potential use of WMD or missiles by countries of concern and other proliferators. Where WMD and delivery systems exist outside constraining treaty regimes, limit their destabilizing effects.**

State leads policy formulation and develops regional policies regarding countries and regions of concern including South Asia, Iraq, Iran, and North Korea. State heads expert-level nonproliferation negotiations with, inter alia, China, Ukraine, India, Pakistan and South Korea, missile talks with North Korea, and plutonium disposition negotiations with Russia. State works with DoE and DoD on interagency initiatives including stronger support for the IAEA and a strengthened safeguards regime.

Responsible State Dept. Offices: NP, Regional Bureaus, INR, IO, Overseas Missions.

Lead US Government Agencies: State, DoE, DoD, Intelligence Community.

- **Negotiate and implement multilateral agreements that include effective verification provisions to reduce and ultimately eliminate the global threat posed by WMD. Advance arms control and disarmament to constrain nuclear weapons development, e.g., by banning nuclear testing and capping production of weapons-usable fissile material.**

State coordinates interagency verification assessments of these agreements and is responsible for compliance reports to Congress. State provides negotiators and verification experts, and chairs interagency backstopping committees.

Responsible State Dept. Offices: AC, NP, IO, L, INR, Regional Bureaus, Overseas Missions.

Lead US Government Agencies: State, DoE, DoD, Intelligence Community, Commerce, Justice.

- **Eliminate excess nuclear weapons materials, secure nuclear and biological weapons technology and facilities, prevent scientists from being recruited by proliferators or terrorists, dismantle weapons production complexes, and**

combat nuclear smuggling, particularly in the New Independent States (NIS).

State leads efforts to implement improvements in the protection and control of potentially dangerous materials, facilities and know-how in Russia and the other NIS countries. State provides policy oversight to, and works closely with, DoD to facilitate prompt provision of Cooperative Threat Reduction assistance to Russia and the NIS states in order to eliminate excess nuclear weapons and chemical stocks, their delivery vehicles and associated capabilities. State is working to engage international partners, notably the EU, in the Expanded Threat Reduction Initiative in order to address nonproliferation issues in Russia and the NIS.

Responsible State Dept. Offices: NP, Regional Bureaus, INR, Overseas Missions.

Lead US Government Agencies: State, DoD, DoE, Intelligence Community.

- **Verify compliance, implement all treaty notification requirements, and collect, process, analyze and disseminate information to support arms control and nonproliferation verification efforts.**

State assesses compliance of US treaty partners with arms control obligations; provides timely analysis of any evidence of noncompliance; provides independent assessments of verification and compliance; assesses Intelligence Community resource allocations to ensure that monitoring assets essential to effective verification are implemented and maintained; and provides treaty-required communications services.

Responsible State Dept. Offices: AC, INR, NP, Regional Bureaus, IRM, PA, Overseas Missions.

Lead US Government Agencies: State, Intelligence Community, NSC, DoD, DoE.

- **Promote and strengthen international norms and principles that formalize and help verify nonproliferation commitments.**

State leads interagency policy formulation relative to international agreements that seek to eliminate and/or prevent the spread of WMD, including the Nuclear Non-Proliferation Treaty (NPT), the Biological and Chemical Weapons Conventions, a future Fissile Material Cutoff Treaty (FMCT) and the IAEA. State works with other agencies to promote the most positive outcome for the 2005 NPT Review Conference. State works with other agencies to promote regional confidence building measures.

Responsible State Dept. Offices: NP, AC, Regional Bureaus, IO, Overseas Missions.

Lead US Government Agencies: State, DoE, DoD.

ASSUMPTIONS:

- Commercial and arms trade interests will challenge support for the enactment of new and the enforcement of existing nonproliferation controls, but will not be able to undermine basic policies intended to regulate the flow of dual-use technologies.
- The American people and the US Congress will support strong steps (including sanctions where necessary) to promote nonproliferation, as well as funding for high priority nonproliferation projects that lead to concrete results.
- States of greatest proliferation concern, including India, Pakistan, Iran, Iraq and North Korea, will continue to pursue WMD and their delivery systems.
- The Russian Government will continue to encounter difficulties in controlling interactions with Iran, but the force of US sanctions on individual Russian entities will help encourage responsible behavior. Russia and the NIS will remain generally receptive to cooperation with the US to prevent weapons proliferation and will ensure the security of weapons and nuclear materials.
- There will be operational shortfalls in IAEA funding that will negatively impact its ability to carry out its growing mission.
- The Intelligence Community will maintain and, where necessary, upgrade treaty monitoring capabilities.
- Key countries (e.g., China, India, Russia) will continue to feel the political imperative of participating in bilateral and multilateral arms control negotiations and agreements, but will not always share US objectives or views of acceptable outcomes.
- China will continue to cooperate at inconsistent levels on regional, global and bilateral nonproliferation and arms control issues.
- Employees both at State and embassies overseas will have the technological infrastructure and advanced training necessary to work effectively towards the achievement of this goal.

INDICATORS:

- Rate at which countries of concern acquire WMD technologies, as determined by intelligence and other resources.

- Progress toward CTBT ratification by signatories and conclusion of a BWC compliance protocol.
- Reduction of strategic offensive arms in accordance with the schedule mandated by START I and, once in force, START II.
- Status of negotiations on ABM Treaty amendments and START III, and on a FMCT at the Conference on Disarmament.
- Status of Indian and Pakistani WMD programs.
- Status of Iraqi disarmament.
- Impact of the IAEA in verifying the peaceful use of nuclear material.
- Progress toward implementing US industry obligations under the CWC and in the number of states that ratify the CWC.
- Progress towards dismantling the Russian WMD production complex.
- Compliance by treaty partners in implementing arms control agreements. Accurate and timely accounting of incidents of non-compliance. Success rate for US initiatives taken to reverse non-compliant behavior by our treaty partners.
- Implementation of the NATO Summit WMD Initiative and establishment of NATO
- WMD Center.
- Enhanced allied and partner contributions to CTR programs.

NATIONAL INTEREST: ECONOMIC PROSPERITY

GOAL: Open foreign markets to increase trade and free the flow of goods, services, and capital.

America needs open markets around the world so its goods and services can compete on a level playing field. The successful completion of the Uruguay Round and the establishment of the World Trade Organization (WTO) strengthened the world multilateral trade regime and opened important new markets for US trade and investment. Sustaining the momentum of global trade liberalization is essential to overcoming the current global economic crisis and to fostering prosperity through free and fair trade. The US Government must ensure that WTO rules are followed and that follow-on agreements to the Uruguay Round are successfully concluded and implemented. Regional agreements will also continue to play an important role in opening markets. With the decline in tariffs and traditional non-tariff barriers, trade negotiations must focus more on new areas such as investment, corruption, technical standards, labor standards and the environment. The successful conclusion of Open Skies civil aviation agreements with additional countries in Africa, Asia, Europe and South America will increase passenger and cargo traffic, promoting economic growth and tourism in the US and abroad. The United States also pursues opportunities for improving America's economy through participation in international organizations that set technical standards.

The State Department integrates economic, commercial, and scientific and technological priorities into policies developed for geographic regions and countries by consulting with businesses, industry associations, trade unions, non-governmental organizations (NGOs) and other appropriate groups and by incorporating their interests into US foreign policy. State advances US interests bilaterally as well as in those regional forums designed to foster economic prosperity and dialogue between countries -- such as the Asia-Pacific Economic Cooperation forum (APEC), the US-EU Transatlantic Dialog, and the Free Trade Area of the Americas (FTAA). State works actively within the interagency process to ensure US policies reflect the US public's interest in promoting core labor standards and sound environmental policies in the context of our trade liberalization policy. State is an active participant in promoting US economic and commercial interests abroad by leading negotiations for aviation and investment agreements.

STRATEGIES:

- **Build international and domestic support for further trade liberalization.**

State explains and advocates US positions through its missions overseas, offices in EB, DRL, and Regional Bureaus, primarily through contacts with foreign governments, multilateral organizations and domestic outreach efforts.

Responsible State Dept. Offices: EB, DRL, Regional Bureaus, PA, IIP, ECA, Overseas Missions.

Lead US Government Agencies: State, USTR, Commerce.

- **Enforce rules and agreements to identify, eliminate, or reduce foreign trade barriers, including agreements reached in the WTO's Uruguay Round.**

State enforces trade agreements by working closely with the US private sector, by participating in the interagency enforcement process, and by encouraging foreign governments to comply with international trade obligations. As required by Congress, EB compiles the annual Trade Act Report, and participates in interagency monitoring of implementation of Uruguay Round agreements.

Responsible State Dept. Offices: EB, Regional Bureaus, Overseas Missions.

Lead US Government Agencies: State, USTR, Commerce.

- **Expand scope of bilateral, regional and multilateral trade and investment arrangements involving the United States.**

State has co-lead on negotiation of bilateral investment treaties (BITs). State leads an interagency effort to modernize the BIT to better protect US investments while promoting market-based standards of investment in emerging markets. State takes the lead on efforts within the OECD to address concerns raised by civil society with respect to international investment rules. State participates in environmental reviews of major trade regulations. State participates in negotiations for the Free Trade Area of the Americas, which include trade, intellectual property, environmental, labor and investment aspects.

Responsible State Dept. Offices: EB, L, DRL, OES, Regional Bureaus, Overseas Missions.

Lead US Government Agencies: State, USTR.

- **Extend international rules and agreements to new areas such as services, corruption, and core labor standards; intensify WTO work on trade and environmental agenda.**

State leads negotiations in the OECD on corruption, particularly on extending the Anti-Bribery Convention to new areas of activity and establishing criteria for accession of new signatories. State directs USG participation in the OECD Working

Group on Bribery, which is currently evaluating ratifying states' legislative implementation of the OECD Anti-Bribery Convention and will soon launch a review cycle of actual enforcement. State promotes regional anticorruption initiatives by taking part in efforts by the Council of Europe, Organization of American States, Asia Pacific Economic Cooperation forum, OSCE and Global Coalition for Africa. Overseas missions are involved in the US Government's anticorruption drive, and Regional Bureaus are preparing implementation plans for a US initiative on fighting corruption globally. In the Free Trade Area of the Americas negotiations, EB is the US lead on the Government Committee on Civil Society which promotes inclusion of new concerns such as labor and the environment in the eventual agreement. State directs USG participation in redrafting OECD guidelines for multinational enterprises, and seeks the inclusion of explicit reference to core labor standards and human rights. With the creation of the WTO, State works closely with USTR and EPA to ensure environmental concerns are factored into trade liberalization initiatives.

Responsible State Dept. Offices: EB, L, IO, DRL, OES, Regional Bureaus, Overseas Missions.

Lead US Government Agencies: State, USTR, Treasury.

- **Improve opportunities for America's companies and trade associations through multilateral cooperation in technical fields, including setting standards for trade, communications (telecommunications and postal), transportation (aviation and maritime), labor, intellectual property, food, agriculture and health.**

State works with other USG agencies, businesses, labor and NGO's to promote open markets and to eliminate/reduce trade barriers and to foster core labor standards through international organizations such as the International Labor Organization, World Intellectual Property Organization and International Maritime Organization. State promotes US priorities at international standards-setting conferences and meetings, supported by the advance groundwork of overseas missions.

Responsible State Dept. Offices: IO, EB, DRL, Regional Bureaus, overseas missions.

Lead US Government Agencies: State, Labor, Commerce, Transportation, Agriculture, Health and Human Services, Food and Drug Administration, US Patent Office.

- **Integrate emerging economic powers into the world trading system through expanded WTO membership on terms that ensure significantly improved market access for US firms.**

EB, Regional Bureaus and overseas missions are in frequent contact with countries to

encourage and assist their accession into the WTO. EB and the Regional Bureaus also participate in interagency working groups and delegations involved in the WTO accession process.

Responsible State Dept. Offices: EB, L, Regional Bureaus, Overseas Missions.

Lead US Government Agencies: State, USTR.

- **Conclude further "Open Skies" Civil Aviation agreements.**

State heads interagency teams negotiating "Open Skies" and other civil aviation agreements.

Responsible State Dept. Offices: EB, L, Regional Bureaus.

Lead US Government Agencies: State, Transportation.

- **Promote more open markets for all goods and services in developing and transition economies.**

EB and Regional Bureaus participate in negotiations in the Free Trade Area of the Americas, Asia-Pacific Economic Cooperation forum and WTO to open markets abroad, and take part in formulating and implementing initiatives to expand trade with regions such as Southeastern Europe, sub-Saharan Africa and Northern Africa. EB and the Regional Bureaus participate in interagency working groups and discussions with international financial institutions to encourage the targeting of grants and loans to activities and institutions that promote and strengthen market opening efforts.

Responsible State Dept. Offices: EB, Regional Bureaus.

Lead US Government Agencies: Treasury, State, USTR, USAID.

- **Obtain Congressional renewal of trade agreement authority, including Fast Track.**

EB and Regional Bureaus participate in interagency efforts to create and achieve passage of trade legislation. H, EB and the Regional Bureaus support the Administration's legislative strategy with Congress. PA directs State's outreach efforts.

Responsible State Dept. Offices: EB, Regional Bureaus, H, PA.

Lead US Government Agencies: USTR, OMB, State.

- **Undertake science and technology agreements and develop international public-private sector cooperation; promote productive applications of scientific and technological research; increase trade and investment through improvement in intellectual property rights; and promote business opportunities.**

State has statutory responsibility for coordinating the international science and technology activities of federal agencies, and has the lead role in numerous negotiations in this field. EB consults with the business and scientific communities and NGOs on science and technology topics. EB coordinates intellectual property rights enforcement efforts overseas.

Responsible State Dept. Offices: OES, EB, PA, Regional Bureaus, Overseas Missions.

Lead US Government Agencies: State, DOE, OSTP.

ASSUMPTIONS:

- Major US trading partners and international organizations will usually share the goal of strengthening multilateral and regional trade initiatives, although the current global economic crisis will require renewed efforts to promote free trade.
- Successful expansion of trade liberalization will require congressional extension of Fast Track trade authority to the Administration.
- Continued growth of US prosperity will depend on a resumption of growth among our major trade partners.
- Maintaining US domestic support for the World Trading Organization and an expanded trade agenda, we will need to work aggressively with the WTO and our major trading partners to enhance WTO transparency and environmental and labor issues in the trade negotiation process.

INDICATORS:

- Achievement of US goals in the WTO negotiations on the "built-in agenda" of agriculture and services and areas of particular US interest (e.g. market access; trade facilitation; trade remedies; transparency; labor and environment; capacity building).

- Successful use of WTO dispute mechanisms to eliminate foreign trade barriers, as measured by the number of cases instigated, won and settled.
- Conclusion of additional Bilateral Investment Treaties and completion of new prototype text.
- Completion of implementation reviews of states ratifying the OECD Anti-Bribery Convention; agreement on additional multilateral anti-corruption initiatives.
- Status of Open Skies effort with key countries, in the short term including the United Kingdom, Hong Kong, Australia, African countries, Spain and Portugal, and in the medium term development of the next-generation liberalization initiative.
- Use of regional forums to achieve US goals, such as the Asia-Pacific Economic Cooperation forum (APEC) and the Free Trade Area of the Americas (FTAA).
- Incorporation of US support for core labor standards in our trade and investment agenda.

NATIONAL INTEREST: ECONOMIC PROSPERITY

GOAL: Expand US exports to \$1.2 trillion by early in the 21st century.

As the world economy becomes more globalized and emerges from recent financial crises, trade remains central both to US well being and to global economic recovery and growth. In 1998, US exports totaled \$930 billion, accounting for 12% of our GDP and one in seven American jobs. It is estimated that each added billion dollars of US exports translates into 13,000 US jobs -- jobs that pay above average wages.

The State Department, both in Washington and overseas, plays a central role in identifying and pursuing export and investment opportunities for US business. US ambassadors place commercial advocacy among their top priorities and use their high-level contacts to advance US commercial and investment interests. This role is crucial to ensuring future US prosperity.

STRATEGIES:

- **Expand export promotion efforts in nontraditional and other markets worldwide.**

At overseas missions, ambassadors lead interagency export promotion teams that meet with and advise US firms, host trade missions, advocate on behalf of US businesses, analyze foreign markets and conditions, and participate in outreach programs, such as ambassadorial tours of US cities. In Washington, EB and Regional Bureaus work closely with Commerce and the Ex-Im Bank to support US export promotion activities.

Responsible State Dept. Offices: EB, EB/CBA, Regional Bureaus, Overseas Missions.

Lead US Government Agencies: State, Commerce, Ex-Im Bank, TDA, OPIC, USDA.

- **Support American foreign direct investment as a means of increasing US exports.**

State supports US investors by negotiating and monitoring bilateral investment agreements. EB, EB/CBA, and overseas missions provide guidance to potential investors by advising on local business and regulatory conditions, and help to resolve investment disputes by intervening, when appropriate, with foreign government officials. US investment abroad increases US exports, as demonstrated by analysis of global trade patterns revealing that trade follows investment.

Responsible State Dept. Offices: EB, EB/CBA, Regional Bureaus, Overseas Missions.

Lead US Government Agencies: State, USTR, TDA, OPIC.

- **Focus US Government advocacy, finance, public diplomacy and other export promotion efforts on emerging markets.**

State supports the interagency export promotion teams at overseas missions, and leads the teams at those missions that do not have a Foreign Commercial Service presence. EB participates in interagency deliberations on country credit risk ratings and financial aspects of export promotion by gathering and analyzing economic and financial data and by providing a broad economic and political context. EB, Regional Bureaus and overseas missions work closely with the Ex-Im Bank to support its export finance activities, disseminating information on Ex-Im Bank programs and actively gathering and analyzing data on foreign customers.

Responsible State Dept. Offices: EB, Regional Bureaus, IIP, ECA, Overseas Missions.

Lead US Government Agencies: Commerce, State, Ex-Im Bank, TDA, OPIC, USDA.

ASSUMPTIONS:

- Progress in further trade liberalization will provide new opportunities to lower tariff and non-tariff barriers to US exports.
- The US economy will remain strong -- but growth in the US economy and US exports will depend on growth in the global economy.
- USG support and advocacy for US business will contribute to export success.
- US domestic policy will promote sound economic growth and maintain US competitiveness in world markets.
- State will receive personnel and budget resources, both overseas (e.g., embassy advocacy and trade missions) and for trade negotiators and policymakers.

INDICATORS:

- Conclusion of bilateral investment treaties (BITs). Effective resolution of investment disputes mediated under BITs.
- Trade missions to posts without a Foreign Commercial Service (FCS) presence.

- Growth trend of US exports from the 1998 base of \$930 billion.
- Number of US new-to-market exporters.

NATIONAL INTEREST: ECONOMIC PROSPERITY

GOAL: Increase global economic growth and stability.

Global macroeconomic conditions have a significant impact on the ability of the United States to sustain stable economic growth with low inflation and unemployment. US export, income, and employment levels will benefit from faster growth worldwide and from greater global economic stability.

The Department of State works with Treasury, USAID, and international financial institutions to strengthen the global financial system to reduce the likelihood and severity of financial crises. US missions abroad play a key role in promoting sound economic policies and in warning of potential financial crises.

STRATEGIES:

- **Encourage other countries to adopt or maintain market-oriented macroeconomic, trade, investment, exchange rate, legal, and regulatory policies designed to support economic growth.**

State provides policy leadership to encourage economic liberalization, including among major trading partners. US missions abroad work directly with other governments to promote adoption of sound policies that support economic growth and stability and, where appropriate, work with the IMF to develop effective policies.

Responsible State Dept. Offices: EB, Regional Bureaus, IIP, Overseas Missions.

Lead US Government Agencies: State, Treasury, USTR, USAID.

- **Strengthen the international financial system to achieve global and regional financial stability, and to facilitate international flows of private capital.**

Treasury sets overall policy. In Washington and through US missions abroad, State encourages other governments to support global efforts to strengthen the international financial system and to adopt domestic policies -- such as appropriate exchange rates and improved banking regulations -- consistent with these improvements. State assists the US private sector through advocacy on its behalf and by reporting on foreign economic conditions.

Responsible State Dept. Offices: EB, Regional Bureaus, IIP, ECA, Overseas Missions.

Lead US Government Agencies: Treasury, State.

- **Strengthen international financial institutions (IFIs) and work to ensure those institutions further US foreign policy objectives.**

State provides foreign policy guidance on the programs of international financial institutions to protect monetary flows to key regions and countries, to ensure that projects are consistent with sustainable development goals, and to promote economic reform, transparency, core labor standards, good governance, and social protection programs. The Under Secretary for Economic, Business and Agricultural Affairs serves as Alternate Governor of the multilateral development banks.

Responsible State Dept. Offices: EB, OES, INL, Regional Bureaus, Overseas Missions.

Lead US Government Agencies: State, Treasury.

- **Develop better advance warning mechanisms to avoid financial crises in emerging markets.**

US missions abroad report on macroeconomic and financial developments, including potential crises. State provides analytical support and develops policy guidelines.

Responsible State Dept. Offices: EB, Regional Bureaus, Overseas Missions.

Lead US Government Agencies: State, Treasury, CIA, and the Federal Reserve.

ASSUMPTIONS:

- Globalization and economic interdependence will continue to increase.
- Private sector awareness of foreign investment opportunities will continue to increase.
- The adoption of appropriate economic policies can both lessen the likelihood of, and mitigate the impact of, future shocks that might slow global economic growth.
- The United States will pay its arrears to international financial institutions to preserve its leadership and influence.

INDICATORS:

- Key emerging market economies begin -- or stick to -- IMF economic reform

programs necessary for greater growth.

- The speed and accuracy with which Washington policymakers receive advance warning of potential regional or global financial crises.
- Economic growth rates in developed, transitional, and developing economies.

NATIONAL INTEREST: ECONOMIC PROSPERITY

GOAL: Promote broad-based growth in developing and transitional economies to raise standards of living, reduce poverty and lessen disparities of wealth within and among countries.

Americans benefit as the economies of transitional and developing nations expand and their markets open. Economic growth in these countries will reduce poverty and provide economic opportunity, contributing to political stability and reducing illegal immigration. International cooperation can help ameliorate global problems such as high population growth, the spread of infectious diseases, and environmental degradation.

The Department of State, both in Washington, DC, and at overseas missions, works with USAID, Treasury, Labor, the Peace Corps, multilateral development institutions, and NGOs to support and encourage appropriate policies in support of economic growth in developing and transitional countries.

STRATEGIES:

- **Promote transitions from statist to market-based economies throughout the world, taking into account the need for adequate social protection frameworks.**

In Washington and overseas, State works with other US Government agencies to: encourage market-oriented development in interactions with foreign governments and citizens; ensure that bilateral and multilateral development assistance to transition countries is effective, appropriate, and consistent with overall policy priorities; negotiate market-opening economic reforms; and encourage the design of programs to prevent crises and minimize social cost.

Responsible State Dept. Offices: EB, DRL, Regional Bureaus, IO, OES, IIP, ECA, Overseas Missions.

Lead US Government Agencies: State, USAID, Treasury, Labor, TDA, OPIC, USTR, Commerce.

- **Strengthen markets and institutions in transitional and developing nations by promoting good governance, accountable leadership, fiscal responsibility, and financial market development, as key parts of development strategy.**

State uses private and public diplomacy to foster support for reforms in the transitional and developing countries and provides policy guidance to implementing

agencies and international financial institutions (IFIs).

Responsible State Dept. Offices: *EB, Regional Bureaus, IIP, Overseas Missions.*

Lead US Government Agencies: *State, USAID, Treasury.*

- **Collaborate with other nations and multilateral organizations providing assistance to developing and transition nations to support their transformation to more socially stable, free market-oriented democracies.**

State participates in formal and informal bilateral and multilateral consultations that serve to coordinate development assistance with other donors, thus helping to eliminate duplication, take advantage of synergies, and ensure that programs are consistent with US policy goals.

Responsible State Dept. Offices: *EB, IO, DRL, Regional Bureaus, Overseas Missions.*

Lead US Government Agencies: *State, USAID, Treasury, Labor.*

- **Use debt relief to stimulate growth and reduce poverty.**

State works with Treasury, other donor nations, and international financial institutions to develop mechanisms that, in the context of economic reform, relieve the debt burden of the poorest countries and ensure the use of newly freed-up resources to support poverty reduction.

Responsible State Dept. Offices: *EB, Regional Bureaus, Overseas Missions.*

Lead US Government Agencies: *Treasury, State.*

- **Increase economic opportunities for the poor, including programs that support micro- and small-enterprise development; promote social policies that protect the poor and most vulnerable, promote compliance with core labor standards.**

State works with USAID on the bilateral side and Treasury on the multilateral side to develop and support programs designed to assist the poor, encourage social protection frameworks, promote compliance with core labor standards, and build institutional capacity to withstand economic stress.

Responsible State Dept. Offices: *IO, EB, DRL, Regional Bureaus, Overseas Missions.*

Lead US Government Agencies: State, USAID, Treasury, Labor.

- **Support and encourage expanded investments in exchanges, training, education, and other human resource development.**

State cooperates with other agencies to ensure that human resources development and education efforts receive support from bilateral and multilateral assistance programs.

Responsible State Dept. Offices: ECA, IO, EB, DRL, Regional Bureaus, IIP, Overseas Missions.

Lead US Government Agencies: State, USAID, Treasury, Labor.

ASSUMPTIONS:

- Adequate resources must be allocated to the budget function 150 account to support both new and ongoing development initiatives, including funding for bilateral and multilateral efforts.
- Developing and transition countries are responsible for creating the domestic conditions conducive to economic growth.
- To be successful, reform efforts must make provision for the needs of poor and marginalized populations.
- Statistics reported in the Human Development Report of the United Nations Development Program and assessments in the State Department's annual Human Rights Reports are useful indicators of national well being.

INDICATORS:

- Number of debt relief programs implemented under the Heavily Indebted Poor Country (HIPC) Initiative; decline in debt service ratios; growth of social spending.
- Growth of the private sector's share in the economy.
- Quality of life (health, nutrition, education, housing, incomes, and workplace conditions).
- Levels of support for economic reforms and confidence in public institutions as

reflected in polling data.

- Effective enforcement of labor laws providing for core labor standards and respect for commitments in the declaration of the 1998 International Labor Organization (ILO) resolution on core labor standards, to which all ILO members subscribed.

NATIONAL INTEREST: PROTECT AMERICAN CITIZENS AND SAFEGUARD US BORDERS

GOAL: Protect the safety and security of American citizens who travel and live abroad.

Protecting American citizens is a key responsibility of the United States and one that is carried out by every Foreign Service post. The millions of Americans who travel and reside abroad expect to do so with freedom and in reasonable safety. US passports and information on conditions in other countries provide Americans with the basis for safe travel. When US citizens are endangered, the Department of State helps to ensure that they receive assistance and protection.

The Department of State plays an important role in Americans' lives by issuing the more than 7 million passports each year that enable them to travel abroad, publishing information designed to help them avoid trouble, and assisting them when they encounter situations they cannot handle on their own. Americans make more than 50 million trips abroad annually, and approximately 4 million live abroad. They increasingly are turning to the Department of State for advice and help. To assist Americans abroad, the Department provides citizenship documents and a wide variety of consular services. When Americans face emergencies, such as crime, illness, accidents, legal problems, political unrest, natural disasters, or terrorist attacks, State officers are there to help them. To give Americans the quality service they deserve, State officers must have the support and tools they need.

STRATEGIES:

- **Provide high quality services to American citizens. Meet rising passport demand, and facilitate public access to information on passports, citizen services, and the safety and security of international travel. Utilize all available means, including the latest technologies, to exploit fully the consular information program for the benefit of Americans. Invest in facilities and personnel.**

CA is employing technology, infrastructure upgrades, and reconfigured work areas to improve the experience of consular customers and the working environment for staff. CA is urging posts to adopt appropriate new management approaches that foster quality service. CA and FSI are using training to build skills that empower employees to work more confidently, effectively, and courteously. CA is adding features to the CA web site, including on-line forms and services. CA coordinates with overseas missions, Regional Bureaus, DS, S/CT, and other agencies to compile information on conditions affecting Americans in foreign countries. CA and PA disseminate information to the general public.

Responsible State Dept. Offices: CA, A, FSI, PA, DS, S/CT, Regional Bureaus,

Overseas Missions.

Lead US Government Agency: *State.*

- **Protect American citizens in crisis situations by taking all possible measures including evacuation in a permissive or non-permissive environment. In the aftermath of emergencies and disasters, assist American victims and their relatives. Enhance the USG's crisis management capability, including emergency services for Americans, at diplomatic and consular posts abroad, and at the actual scene of international disasters.**

State coordinates the US Government's response to crises affecting US citizens overseas, including coordination with other governments, the private sector, and NGOs to provide assistance to Americans. State uses training, including exercises with DOD and air carriers, to ensure crisis readiness. State collaborates with DOD to evacuate Americans when conditions abroad make other means of exit impossible.

Responsible State Dept. Offices: *S/S-O, CA, DS, FMP, M/FLO, PM, S/CT, H, ECA, EB, L, A, INR, IRM, IO, FSI, Regional Bureaus, Overseas Missions.*

Lead US Government Agencies: *State, Peace Corps, CIA, Justice (FBI), DoD, HHS, Commerce, Treasury, and Transportation.*

- **Ensure consular protection for US citizens abroad, including respect for their rights under international law, bilateral or multilateral agreements, local laws and due process. Work closely with Americans living abroad to develop effective communications, especially in locations where diplomatic or consular posts cannot effectively serve the entire US community owing to distance.**

CA coordinates closely with overseas missions to maintain effective working relations with host government officials, including encouraging foreign governments to accede to multilateral treaties and conventions. State has ongoing relationships with numerous overseas American organizations, including through the Overseas Security Advisory Council. CA oversees the organization and maintenance of resident American communities through warden systems and the media at posts abroad. State also engages third countries to protect US citizen interests.

Responsible State Dept. Offices: *CA, L, DS, Regional Bureaus, Overseas Missions.*

Lead US Government Agency: *State.*

- **Produce a more secure and tamper-resistant US passport by implementing a**

digital passport production process.

Photodigitization is the greatest technological advance in passports in a generation and will minimize substitution of the photograph as the major vulnerability of the US passport. It will form a basis for telecommunicating applications and photographic images anywhere in the world for immediate verification of citizenship and identity. This will facilitate workflow, enhance fraud detection, and improve customer service.

Responsible State Dept. Offices: CA.

Lead US Government Agency: State.

- **Take extensive measures to improve aviation and maritime safety and security abroad and thwart crime and terrorist actions against Americans abroad.**

State coordinates the US Government's efforts with other governments to create an environment in which Americans can travel or reside abroad securely.

Responsible State Dept. Offices: DS, S/CT, EB, CA, Regional Bureaus, Overseas Missions.

Lead US Government Agency: State.

ASSUMPTIONS:

- Passport demand, at a record 7 million in 1999, will grow by 3-5% annually between 2000 and 2004.
- International crises and incidents will often affect Americans overseas, and Americans occasionally will be singled out as targets because of their nationality.
- MRV fees will continue to provide funding for consular operations.
- Human resources will be sufficient to carry out statutorily mandated functions.

INDICATORS:

- Level of American citizen satisfaction with services provided to them, including measurements by customer surveys.
- After-action assessments of USG protection of Americans during crises, disasters, and emergencies.

- Number of web site hits.
- All domestic passport agencies issue passports with digitized photograph by end of 2001.

NATIONAL INTEREST: PROTECT AMERICAN CITIZENS AND SAFEGUARD US BORDERS

GOAL: Facilitate travel to US by foreign visitors, immigrants, and refugees, while deterring entry by those who abuse or threaten our system.

The United States has been a beacon of freedom and opportunity throughout its history. Immigrants make important contributions to the nation, and visitors contribute directly to US prosperity. Foreign visitors contribute about \$100 billion to the US economy each year and support jobs for over one million Americans. The large numbers of people seeking to enter or remain in the US illegally present major law enforcement, border security, and socio-economic problems.

The Department of State shares responsibility with the Department of Justice/INS for administering US immigration laws fairly and effectively. US consular officers adjudicate visas of persons who seek to enter the United States either temporarily or as immigrants. Consular screening facilitates entry of those who qualify, while deterring illegal immigration, and prevents the entry into the United States of terrorists, narcotics traffickers, and other criminals. Data generated by consular officers and shared with INS and other agencies enhance both border security and service to visa recipients upon arrival in the United States. The Department supports the continuation of the Visa Waiver Program that allows citizens from qualified countries to enter the United States without a visa for 90 days or less on business or pleasure, and enables the Department to focus resources in countries where decision-making on visa applications is most complicated. Revenue generated by the Machine Readable Visa (MRV) fee helps fund border-security activities in seven bureaus, finances the salaries of nearly 2000 Foreign Service and Civil Service employees, and helps posts throughout the world deal with their growing workload.

STRATEGIES:

- **Administer immigration laws fairly and effectively to facilitate travel of eligible foreign nationals and impede travel of ineligible foreign nationals to the United States; propose legislation to modernize and improve efficiency of visa processing.**

It is the responsibility of missions overseas, as the outermost ring of the US border security system, to adjudicate visas. CA is developing new techniques to improve the management of consular workload and visa issuance and sharing "best practices" to make the visa process more transparent and customer-friendly. The continued retention of user fees is critical to the success of enhancements to customer service, efficiency, and detection and deterrence of unqualified applicants.

Responsible State Dept. Offices: CA, Overseas Missions.

Lead US Government Agencies: State, Justice (INS).

- **Administer US asylum policies and refugee admission programs fairly, humanely, and equitably in accordance with US and related international law.**

State provides background information and advisory opinions to assist the Immigration and Naturalization Service in adjudicating asylum requests. State coordinates domestic consultations on refugee admissions numbers and allocations. Once the levels are established, State administers the programs in conjunction with the Departments of Justice and Health and Human Services.

Responsible State Dept. Offices: PRM, DRL.

Lead US Government Agency: State, Justice (INS), HHS.

- **Inform foreign publics of US visa and entry laws and regulations and the dangers of trying to enter the country illegally, while building understanding of US immigration policy.**

State is expanding the use of the Internet to provide visa information, forms, and services. State is partnering with foreign governments and using public service advertising in broadcast and print media to raise awareness overseas of the dangers of illegal border crossings or entrusting oneself to alien smugglers. Consular sections distribute pamphlets that warn women and girls of the methods used by traffickers for the purpose of sexual exploitation.

Responsible State Dept. Offices: CA, INL, PRM, IIP, Overseas Missions.

Lead US Government Agency: State.

- **Coordinate among federal agencies to increase border security and improve customer service. Employ techniques and technologies, such as machine-readable documents, biometric indicators, “smart cards,” and sophisticated namechecks to provide quality customer service, expedite lawful entry, identify and prevent the entry of criminals and terrorists, and inhibit illegal immigration. Establish database links among posts abroad, US ports-of-entry, INS offices, and other law enforcement agencies. Implement inter-agency and international programs to counter alien smuggling, especially of highly vulnerable groups.**

Close cooperation and sharing of information between State and domestic law

enforcement agencies, such as INS, the FBI, and Customs, is an indispensable element in protecting America's borders. State is working with these other agencies to share data on potentially ineligible aliens as well as immigrant and non-immigrant visa issuance data. The goal is 100% sharing of unclassified information (consistent with applicable privacy requirements) among pertinent agencies in order to leverage collective resources, improve border security, and enhance customer service. State has established on-line connectivity between the Washington mainframe and all overseas posts and begun a process of replicating data to and from Washington and ports of entry. Students and participants in the 2002 Olympics are among those who will benefit from technologically enhanced documents. Consular officers at overseas missions, utilizing computerized namecheck systems, evaluate visa applicants. CA and overseas missions coordinate applicant information with INS and law enforcement agencies when necessary.

Responsible State Dept. Offices: CA, IRM, DS, INR, IIP, A, Overseas Missions.

Lead US Government Agencies: State, Justice (INS, FBI), Treasury (Customs), APHIS, CIA.

- **Combat fraud by increasing the security features of US passports and visas, and investigating aggressively cases of passport and visa fraud. Work with other countries to produce similar tamper-resistant travel documents. Train USG officials and their foreign counterparts in anti-fraud techniques and methods. Secure a permanent Visa Waiver Program and concentrate resources where workload is growing the most and/or border security threats are the highest.**

State seeks continuous improvements in the design of US passports and visas to guard against fraudulent use or counterfeiting. State works with the Department of Justice to develop evidence leading to the prosecution of violators. The Visa Waiver Program permits limited resources to be redeployed from low-fraud locations to places where visa work is more complex. Once countries have qualified to participate in the program, State follows up with foreign governments to ensure that they continue to meet the requirements of the program.

Responsible State Dept. Offices: CA, DS, H, L, Regional Bureaus, Overseas Missions.

Lead US Government Agencies: State, Justice (INS).

- **Address the underlying causes of large-scale illegal migration, particularly in Central America and the Caribbean, by promoting regional stability, democracy, and broad-based economic growth.**

State leads US efforts to develop collective solutions to migration problems, including respect for migrants' rights and addressing illegal migration flows.

Responsible State Dept. Offices: *PRM, INL, Regional Bureaus, Overseas Missions.*

Lead US Government Agencies: *State, USAID.*

ASSUMPTIONS:

- The United States will remain a desirable destination for visitors and immigrants from throughout the world.
- Political, social, and economic unrest will generate migratory pressures.
- Applications for non-immigrant visas will continue to increase by 5% or more per year.
- Many unqualified would-be immigrants will resort to illegal methods to enter the country.
- MRV fees will continue to provide funding for consular operations.
- Human resources must be sufficient to carry out statutorily mandated functions.

INDICATORS:

- Number of visa adjudications.
- Waiting times for visa services.
- Effectiveness of namechecks.
- Status of data-sharing initiatives.
- Effectiveness of efforts to stem large-scale illegal migration.

NATIONAL INTEREST: LAW ENFORCEMENT

GOAL: Minimize the impact of international crime on the United States and its citizens.

The expansion and increasing sophistication of transnational crime represents a growing threat to the property and well-being of American citizens. As a result of the erosion of the traditional distinction between “domestic” and “foreign” crime, effective international law enforcement has become essential.

The Department of State conducts relations with foreign governments and multilateral organizations to create a global response to the threat of transnational crime. State also coordinates US activities overseas directed against transnational crime under the authority of the Chief of Mission. State is directly responsible for implementing the International Narcotics Control and Law Enforcement Program with foreign assistance funds to assist selected foreign government criminal justice and law enforcement agencies.

STRATEGIES:

- **Obtain commitments from other governments to combat money laundering and other financial crimes, alien smuggling, drug trafficking, intellectual property theft, trafficking in stolen vehicles, trafficking in persons (particularly women and children), illicit manufacture of and trafficking in firearms, environmental crimes, and other forms of transnational crime.**

State provides policy coordination, a diplomatic platform (US embassies and consulates), and the diplomatic framework for bilateral and multilateral relations with foreign governments.

Responsible State Dept. Offices: INL, DRL, L, IO, DS, Regional Bureaus, Overseas Missions.

Lead US Government Agencies: State, Justice, Treasury.

- **Negotiate mutual legal assistance treaties and other agreements, multilateral task forces, and support for effective international agencies in order to develop international communication and cooperation to combat transnational crime.**

State provides policy coordination, a diplomatic platform (US embassies and consulates), and the diplomatic framework for working with foreign governments and multilateral organizations.

Responsible State Dept. Offices: INL, IO, L, DS, PA, Regional Bureaus, Overseas Missions.

Lead US Government Agencies: State, Justice, Treasury.

- **Cooperate with foreign law enforcement and judicial authorities to support US law enforcement objectives abroad, including identifying and dismantling transnational criminal organizations, seizing assets, and prosecuting, convicting, and incarcerating offenders.**

State provides policy guidance, a diplomatic platform (US embassies and consulates), and diplomatic support to US law enforcement agencies, including coordination with overseas missions.

Responsible State Dept. Offices: INL, L, S/CT, DS, Regional Bureaus, S/CT, Overseas Missions.

Lead US Government Agencies: State, Justice, Treasury.

- **Provide assistance and training, and encourage support by other donors and international organizations to improve the criminal justice institutions of emerging democracies, developing countries, and areas of recent conflict, including support for international police/peacekeeping forces where appropriate.**

State provides policy definition and funding for criminal justice sector institutional development, including US assistance to foreign and international law enforcement agencies in support of our foreign policy goals.

Responsible State Dept. Offices: INL, IO, DS, S/CT, DRL, Regional Bureaus, Overseas Missions.

Lead US Government Agencies: State, Justice, Treasury, USAID.

- **Collect, analyze, and disseminate intelligence worldwide regarding transnational crime and threats to critical infrastructure.**

State provides coordination with intelligence and other agencies to secure intelligence on transnational crime for policymakers. State also attempts to bridge the gap between intelligence and law enforcement agencies so that the intelligence collected can be used effectively without compromising sources and methods.

Responsible State Dept. Offices: INL, INR, DS, L.

Lead US Government Agencies: Intelligence Community, State, Justice, Treasury.

- **Preclude criminals engaged in illegal, transnational activities from fraudulently obtaining or using US passports or visas to facilitate their criminal activities in the United States.**

State provides aggressive investigation of passport and visa fraud to combat both transnational crime and illegal alien markets. State assists INS by coordinating with law enforcement/immigration services of other countries for the deportation of aliens convicted of crimes in the United States. These efforts facilitate removal of transnational criminals from the United States.

Responsible State Dept. Offices: DS, INL, CA, INR, L.

Lead US Government Agencies: State, Justice.

ASSUMPTIONS:

- Transnational crime is growing, evolving, and becoming a more significant threat to US interests, particularly with the appearance on the world scene of criminal organizations from Russia, Asia, and elsewhere.
- Increasingly, foreign law enforcement agencies will seek information regarding American criminals operating in their countries.
- Improving the criminal justice systems of foreign governments will contribute to their ability to control their own crime problems and to work with the US on international crime issues.

INDICATORS:

- Results of evaluation of US government and foreign law enforcement efforts to disrupt the operations of major international criminal organizations, including indictments, convictions, and asset seizures.
- Level of US and foreign public awareness of international crime developments, as measured by opinion polls.
- Completion, signature and ratification of the International Convention against Organized Transnational Crime, including its three protocols.

- The number of foreign governments that sign, ratify, and implement treaties with the US requiring the return of stolen vehicles and aircraft to the country of origin.
- The number of foreign governments that sign, ratify, and implement extradition treaties with the United States.
- The number of foreign governments that sign, ratify, and implement mutual legal assistance treaties or agreements with the United States.

NATIONAL INTEREST: LAW ENFORCEMENT

GOAL: Reduce the entry of illegal drugs into the United States.

Most illegal narcotics consumed in the United States come from abroad. Control of the foreign supply must complement efforts to reduce domestic drug use and its harmful consequences in the United States. The Office of National Drug Control Policy (ONDCP) sets out domestic and international policy in the National Drug Control Strategy, which establishes specific targets for worldwide reduction or elimination of the cultivation, production, and commercial-scale import of cocaine, opium, heroin, marijuana, methamphetamine, and other illicit drugs. US international counter-narcotics activities include interdiction, eradication of illicit drug crops and promulgation of legitimate crops, and infrastructure development.

The Department of State is responsible for implementing elements of the National Drug Control Strategy that entail relations with or actions by foreign governments or international organizations, and activities outside the United States subject to the authority of chiefs of US diplomatic missions. These include reducing production, trafficking, and abuse of illicit drugs. State implements the International Narcotics Control and Law Enforcement Program with funds appropriated under the Foreign Assistance Act to assist foreign institutions responsible for development and implementation of drug control activities.

STRATEGIES:

- **Reduce cultivation of coca, opium, and marijuana, particularly when destined for the United States; limit production and import of other illegal drugs, precursor chemicals, and diverted controlled substances.**

State provides policy development and funding for projects to reduce drug crops by alternative development, eradication or other means, and promotes similar projects by other bilateral or multilateral donors, particularly in source countries where US bilateral access is limited.

Responsible State Dept. Offices: INL, Regional Bureaus, IO, Overseas Missions.

Lead US Government Agencies: State, ONDCP, USAID, Justice (DEA, FBI, INS/Border Patrol), Treasury (Customs), Transportation (Coast Guard), DOD.

- **Use the annual “narcotics certification” process and other means to increase foreign political will to support the US anti-narcotics agenda.**

State provides policy definition and funds projects for institutional development.

Responsible State Dept. Offices: INL, Regional Bureaus, IO, L, Overseas Missions.

Lead US Government Agencies: State, ONDCP, Justice (DEA, FBI, INS/Border Patrol), Treasury (Customs), Transportation (Coast Guard), DOD.

- **Collaborate with foreign governments and international organizations to disrupt and dismantle drug trafficking organizations, seize assets, and investigate, arrest, prosecute, and incarcerate their leaders. Build multilateral alliances and develop institutional capabilities of governments and multilateral organizations to combat all aspects of illicit drug production, trafficking, and abuse.**

State provides policy guidance, diplomatic support to law enforcement agencies, including coordination with overseas missions, and funding for assistance to foreign drug enforcement institutions.

Responsible State Dept. Offices: INL, L, Regional Bureaus, DS, Overseas Missions.

Lead US Government Agencies: State, Intelligence Community, Justice (DEA, FBI, INS/Border Patrol), ONDCP, Treasury (Customs), Transportation (Coast Guard), DOD.

- **Support the protection of US air, sea, and land borders from importation of illegal drugs by implementing a balanced approach to interdicting illegal narcotics.**

State provides policy coordination and diplomatic contact with foreign governments in interdiction transit zones, and promotes policies in multilateral drug agencies compatible with interdiction goals.

Responsible State Dept. Offices: INL, L, IO, WHA.

Lead US Government Agencies: State, Justice (DEA, FBI, INS/Border Patrol), ONDCP, Treasury (Customs), Transportation (Coast Guard), DOD.

- **Collect, analyze, and disseminate intelligence regarding international drug production, trafficking organizations, and the availability and abuse of illegal drugs.**

State provides policy guidance to, and coordinates with, intelligence and other agencies.

Responsible State Dept. Offices: INL, INR, L.

Lead US Government Agencies: Justice (DEA, FBI, INS/Border Patrol), Intelligence Community, Treasury (Customs), Transportation (Coast Guard), DOD.

ASSUMPTIONS:

- In order to reduce the entry of illegal drugs into the United States, it is necessary to reduce domestic demand as well as foreign production.
- Although foreign governments have an interest in counter-narcotics cooperation with the United States, limited institutional capacity, along with social, political, and economic factors -- including corruption -- will remain major constraints.
- Increasing public and governmental awareness of drug abuse problems in other countries can enhance their cooperation with the US in counter-narcotics efforts.
- The Western Hemisphere will remain the major foreign source of most illegal drugs entering the United States, with the major entry points being the US-Mexican border and Puerto Rico.

INDICATORS:

- USG estimates of foreign cultivation of coca, opium, and marijuana.
- USG estimates of quantities of illicit drugs and precursor chemicals that leave source countries.
- USG estimates of quantities of illicit drugs and precursor chemicals that enter the United States.
- Disruption of drug group activities, as shown by indictments, prosecutions, convictions, asset seizures, and other law enforcement data.
- Foreign government compliance with international counter-narcotics obligations, including adherence to the 1988 UN Drug Convention.
- Implementation of stronger, effective national drug control policies and counter-narcotics activities by the governments of major drug producing or transit countries, as measured by the number of countries certified.

NATIONAL INTEREST: LAW ENFORCEMENT

GOAL: Reduce the incidence and severity of international terrorist attacks, particularly against American citizens and interests.

International terrorism continues to threaten Americans around the world and impinges on the lives of Americans at home and abroad. Threats to American citizens, facilities and foreign policy interests, as well as the potential terrorist use of weapons of mass destruction, make terrorism a national security as well as a law enforcement challenge. Terrorism stemming from disputes in one region of the world can emerge in far-flung geographic locations. Terrorists based overseas can also instigate attacks within the United States.

The Department of State is the lead agency to coordinate US policy and measures to counter the terrorism threat abroad. The Department leads the response to the evolving nature of international terrorism, such as the emergence of groups that exist independently of state sponsorship, and the threat of terrorists deploying weapons of mass destruction. The Department also maintains a long-standing policy of no concessions to terrorists and encourages other countries to take a similar approach.

STRATEGIES:

- **Deter, warn against, respond promptly to, and defeat all terrorist threats or attacks on US interests abroad.**

State provides the policy coordination leadership and framework for making use of diplomatic, intelligence, economic, law enforcement, training, technology, and military assets. The Department coordinates with the NSC and appropriate agencies and foreign governments to foster intelligence gathering, preventive efforts, and approaches to dealing with terrorist contingencies. State also works with foreign governments to assist the investigation, apprehension and prosecution of terrorist suspects. In the event of international contingencies, a State-led interagency Foreign Emergency Support Team (EST) can deploy within hours to offer advice, support, and special counterterrorism capabilities. State also provides security for US diplomatic missions abroad and for senior visiting foreign dignitaries.

Responsible State Dept. Offices: S/CT, INR, DS, L, Overseas Missions.

Lead US Government Agencies: State, Intelligence Community, Justice, CIA, DOD, Treasury, Commerce, Transportation (FAA).

- **Curb activities of state supporters of terrorism.**

State leads in maintaining a variety of economic and other pressures on state sponsors of terrorism to deter them from supporting specific acts of terrorism and terrorist groups. The Department encourages other countries to refrain from dealing with state sponsors on a normal basis.

Responsible State Dept. Offices: S/CT, L, INR, PM, EB, Regional Bureaus, Overseas Missions.

Lead US Government Agencies: State, Justice, Commerce, Treasury.

- **Target sources of funding and other material support for terrorists.**

The Department works with other agencies to counter terrorist fundraising and other support from individuals, and terrorist use of front organizations/companies. The Department seeks to strengthen domestic and international laws and train foreign officials to curb fundraising and other forms of support from non-government individuals and groups. The Department monitors terrorist groups for designation or redesignation as Foreign Terrorist Organizations pursuant to the Antiterrorism and Effective Death Penalties Act of 1996.

Responsible State Dept. Offices: S/CT, DS, INR, L.

Lead US Government Agencies: State, Intelligence Community, Justice, Treasury.

- **Improve capabilities of friendly governments to protect their own citizens and Americans citizens and facilities in their counties**

The Department is expanding its Antiterrorism Assistance (ATA) program to train security officials of friendly countries to deter and cope with terrorist attacks. The ATA program is a key instrument for our ambassadors and specialists to influence and help train the key institutions that protect Americans abroad. The funding allows for new courses to broaden the scope of training.

Responsible State Dept. Offices: S/CT, DS, Overseas Missions.

Lead US Government Agencies: State, Transportation (FAA), Justice, Treasury.

- **Defend against threats or the use of weapons of mass destruction and cyber-warfare by terrorists.**

State is developing and implementing training programs for US embassy personnel

and host country first-responders and crisis managers in dealing with terrorist incidents involving chemical, biological or radioactive agents. Host country officials are the outer ring of defense and important to consequence management of a major CBR attacks against an American mission abroad.

Responsible State Dept. Offices: S/CT, DS, PM, L, INR, Overseas Missions.

Lead US Government Agencies: State, DOD, DOE, FEMA, CIA, Justice (FBI).

- **Criminalize terrorism, strengthen the rule of law, and oppose concessions to terrorists.**

State leads efforts with the G8 to obtain universal adherence to anti-terrorism conventions and to encourage governments to adopt anti-terrorism legislation. The Department seeks Senate ratification of the newly signed International Convention to Suppress Terrorist Bombings; United Nations action on new conventions on nuclear terrorism and funding (which is opening for signature in the year 2000). State also works with foreign governments to assist in the investigation, apprehension and prosecution of terrorist suspects and provides assistance to the Justice Department (FBI) in overseas investigations of terrorist attacks against Americans. State continues to oppose making concessions to terrorists, and works with other governments to encourage similar positions lest terrorists be encouraged to conduct future acts.

Responsible State Dept. Offices: S/CT, L, IO, Overseas Missions.

Lead US Government Agencies: State, Justice (FBI), CIA.

- **Develop improved technologies to counter explosives and other terrorist weapons and to foil attacks as they happen.**

The interagency Technical Support Working Group (TSWG), with State's leadership, provides funding and a coordinating mechanism for research and development on equipment to prevent and manage the consequences of major attacks, including terrorist use of chemical and biological agents. The Department also coordinates joint R&D exchanges and projects with selected countries.

Responsible State Dept. Offices: S/CT, DS, INR.

Lead US Government Agencies: State, DOD, DOE, Transportation (FAA), Intelligence Community, Justice (FBI), Treasury (Secret Service), and other agencies as appropriate.

- **Enhance public diplomacy efforts.**

Make effective use of public statements, Congressional testimony, unclassified publications, press contacts, conferences and reward programs to persuade opinion leaders and the general public in priority countries to try to reduce support for and public apathy toward terrorists.

Responsible State Dept. Offices: S/CT, IIP, DS, and Overseas Missions.

Lead US Government Agencies: State.

ASSUMPTIONS:

- Terrorists will continue to target US officials, citizens, and facilities and those of friendly countries.
- Overall state support for terrorism will continue even if individual country support declines. Religiously-motivated, ethnic and sectarian terror will grow. Unaffiliated ad hoc terrorists and new amorphous groups will increase. These groups often have uncompromising goals and an ability to obtain funds without depending on state sponsors.
- International cooperation to oppose terrorism will continue to increase, although there will be resistance to imposing economic and other sanctions against oil-producing terrorist states.
- Some terrorists will continue to enjoy public, political and financial support from individuals who view terrorism as necessary for their cause, thus requiring public diplomacy to help de-glamorize terrorists and additional efforts to curb financial flows.
- The number of international terrorism incidents will continue to decline, but terrorists will increasingly use more lethal explosives, and seek higher casualties.
- Terrorists will become more sophisticated technologically. Electronic communications and infrastructure systems will be increasingly vulnerable to terrorist attacks. The danger of terrorist use of chemical, biological, radiological or nuclear materiel will grow.
- To bolster the security forces of friendly countries, training will need to be increased, be expanded to more nations, and include a broader range of subjects. US Government components will need continued inter-agency and international exercises.

INDICATORS:

- The number and severity of terrorist attacks against American citizens and interests, and the trend in international terrorism worldwide.
- The level of coordination and cooperation among friendly governments in sharing information, techniques, R& D projects, and antiterrorism training.
- Adherence to international treaties on terrorist crimes, including prosecution, extradition, and mutual legal assistance obligations, including new conventions on suppression of terrorist bombings and fundraising.
- The number of officials receiving training, and evaluations of the success of that training.

NATIONAL INTEREST: DEMOCRACY

GOAL: Open political systems and societies to democratic practices, the rule of law, good governance and respect for human rights.

Democracy and respect for human and labor rights are central components of US foreign policy. Supporting democracy not only promotes such fundamental American values as religious freedom and worker rights, but also helps create a more secure and prosperous world in which the United States can advance its national interests. The United States supports progress toward democratic governance. We provide support for countries in transition, defend democracies under attack, and strengthen the network of established democracies.

The Department of State plays a leadership role in coordinating US policy on democracy, human rights and labor. Through its relations with foreign governments and multilateral organizations, State actively encourages the growth of democratic culture, including respect for human rights and core labor standards. Through the annual Country Reports on Human Rights Practices State provides the benchmark for assessing human right practices around the world. Through its coordination of US agencies that provide development assistance, State provides tangible financial and technical support for democracy and human rights programs, including activities related to conflict prevention and resolution. State also allocates Economic Support Funds for building democracy and manages funds appropriated under the Foreign Assistance Act for targeted democracy assistance, including the Democracy and Human Rights Fund.

STRATEGIES:

- **Support transitions to democratic political systems that foster the growth and self-fulfillment of citizens by promoting and protecting their political and civil rights.**

State provides overall policy direction and coordination for USG support for democracy, including countries in transition to democracy, and democratic forces in non-democratic countries. State sets the diplomatic framework for efforts to promote democracy and directs Economic Support Funds to countries and regions of emphasis.

Responsible State Dept. Offices: DRL, Regional Bureaus, PA, IIP, ECA, INL, Overseas Missions.

Lead US Government Agencies: State, USAID, DOD, Justice.

- **Secure international recognition and acceptance of democracy as a universal**

human right. Take advantage of bilateral and international forums to encourage democratic transitions, prevent conflict, and promote human rights, including worker rights and religious freedom.

State provides policy leadership in international organizations to support human rights and democracy activities. State conducts outreach with key non-governmental organizations working to strengthen human rights and democracy.

Responsible State Dept. Offices: DRL, IO, EB, Regional Bureaus, PA, IIP, ECA, Overseas Missions.

Lead US Government Agencies: State, Labor, Treasury, Commerce.

- **Promote respect for human rights and take action to prevent and limit human rights crises.**

State provides leadership to advance human rights through bilateral and multilateral diplomacy, the formulation of broad new initiatives, and the publication of the annual Country Reports on Human Rights Practices.

Responsible State Dept. Offices: DRL, IO, PA, IIP, ECA, Regional Bureaus, Overseas Missions.

Lead US Government Agencies: State, USAID, DOD.

- **Through assistance, exchanges and international broadcasting, encourage the development -- from the bottom up and from the top down -- of democratic political systems that enjoy free and fair elections; respect for human rights; a robust civil society; the rule of law, characterized by vibrant political institutions, constitutionalism, and an independent judiciary; an independent media capable of engaging an informed citizenry; freedom of religion and belief; mechanisms to safeguard minorities from oppressive rule by the majority; and full respect for women's and workers' rights.**

State plays a leadership role in policy development, working with USAID to formulate priorities in the assistance process. State also oversees allocation of Economic Support Funds to countries where assistance policies are politically sensitive and/or closely tied to bilateral and regional short-term foreign policy requirements.

Responsible State Dept. Offices: DRL, PA, OES, Regional Bureaus, IIP, ECA, Overseas Missions.

Lead US Government Agencies: State, USAID, BIB.

- **Promote respect for and enforcement of labor rights.**

State promotes worker rights through multilateral and bilateral relationships, as well as through direct contact with trade unions and non-governmental organizations. State works closely with and on behalf of workers around the world in an effort to promote both fundamental worker rights and democracy

Responsible State Dept. Offices: DRL, EB, Regional Bureaus, PA, IIP, ECA, Overseas Missions.

Lead US Government Agencies: State, Labor, USAID.

ASSUMPTIONS:

- Dictators will resist giving up power, deny the universality of human rights, and oppose efforts by multilateral forums to investigate and report on human rights abuses.
- Awareness of and desire for democratic governance will continue to grow in repressive societies.
- The American people support efforts to promote democracy and human rights overseas.
- Public exposure of human rights violations may mitigate repressive practices in some countries.
- The international community will isolate rogue regimes that commit gross human rights violations.
- Working conditions are improved when there are both compliance with and enforcement of labor standards.

INDICATORS:

- Increases in the number of democratic governments, as measured by USG and NGO assessments.
- Passage by the United Nations General Assembly of a Declaration on the Right to Democracy.

- Number of abuses reported over time in US Country Reports on Human Rights Practices and Annual Reports on International Religious Freedom.
- Establishment of new International Labor Organization office to promote core labor standards.
- Increases in the number of government-faith dialogues on religious freedom.

NATIONAL INTEREST: HUMANITARIAN RESPONSE

GOAL: Prevent or minimize the human costs of conflict and natural disasters.

As evidenced in both their opinions and their behavior, the American people believe that they and their government should be leaders in helping those suffering from natural or manmade disasters – even when there may be no threat to US security interests.

The Department of State takes the lead in diplomatic efforts, public affairs, and public diplomacy to prevent conflict. It is also the coordination hub for initiating USG responses to conflict-driven humanitarian crises. State, through its comprehensive worldwide network of posts, provides early warning of developing crises, triggers interagency decision-making, helps to coordinate international responses by other donor countries and international organizations, and often plays a key role in implementation in the field.

STRATEGIES:

- **Identify situations likely to cause conflict that could lead to humanitarian crises, and seek to defuse the situations and prevent conflict from erupting.**
- **Anticipate or predict natural disasters that could lead to mass displacements of population, disease, starvation, or economic disruption, and take steps to mitigate the consequences.**

State, because of its extensive diplomatic influence and reporting capacity even in the most remote parts of the world, provides early warning about evolving situations that could lead to humanitarian crises. State engages in diplomatic efforts and public diplomacy bilaterally, multilaterally, and in international forums in an effort to prevent or minimize conflict through negotiated settlement.

Responsible State Dept. Offices: Regional Bureaus, PRM, IO, IIP, ECA, INR, Overseas Missions.

Lead US Government Agencies: State, USAID, Intelligence Community.

- **Provide USG support and leadership for international efforts to protect refugees and meet the urgent needs of conflict victims.**

State actively participates in international forums that define and protect the rights of refugees and conflict victims, and engages in bilateral and multilateral advocacy and public diplomacy on behalf of these rights. State is responsible for financial support

to international assistance efforts for refugees and conflict victims, and works closely with USAID on other humanitarian assistance programs.

Responsible State Dept. Offices: PRM, IO, Regional Bureaus, IIP, ECA, Overseas Missions.

Lead US Government Agencies: State, USAID.

- **Work with international organizations to improve the speed and effectiveness of their emergency response capabilities, and strengthen partnerships with NGOs to build their capacity to address humanitarian crises.**

State works with governing bodies of relevant international institutions to press these organizations to have fully-developed emergency response plans. State directly funds selected IO and NGO capacity-building programs. State supports UN information collection and dissemination activities related to complex humanitarian emergencies.

Responsible State Dept. Offices: PRM, IO.

Lead US Government Agencies: State, USAID.

- **Work with INS to implement humane and equitable refugee admission and asylum policies and programs (including temporary protected status), in accordance with international and domestic law.**

State coordinates, funds, and manages overseas refugee admissions programs. State advises the Department of Justice on the adjudication of asylum cases and on the granting of Temporary Protected Status. (Note: the Department of Justice has adjudicatory authority for all refugee admissions, asylum cases, and the granting of Temporary Protected Status.)

Responsible State Dept. Offices: PRM, DRL, Regional Bureaus, CA, Overseas Missions.

Lead US Government Agencies: State, Justice (INS).

- **Support humanitarian demining programs designed to reduce human suffering, promote regional stability, and facilitate the reintegration of refugees and internally displaced persons, and assist in achieving the goal of a mine-safe world by the year 2010.**

State chairs the Interagency Working Group on Humanitarian Demining (IWG),

which sets US humanitarian demining policy and decides which nations will receive US assistance. State works closely with the Department of Defense, USAID and other IWG members to coordinate US assistance and ensure the development of indigenous humanitarian demining programs. The funds for the State Department's portion are allocated from Foreign Operations funds for Non-Proliferation, Anti-Terrorism, Demining, and Related Programs (NADR).

Responsible State Dept. Offices: PM, PRM, IO, Regional Bureaus, Overseas Missions.

Lead US Government Agencies: State, USAID, DoD.

ASSUMPTIONS:

- In some instances, preventive diplomacy can avert conflict and humanitarian crises.
- Commercial, foreign, and US Government technological capabilities to predict or anticipate natural disasters will not decline, and international cooperation in information-sharing will continue at least at current levels.
- US leadership in responding to conflict-driven crises can leverage international participation and draw in the support of other donors.
- International media coverage plays a major role in determining the level of public support for humanitarian response and the USG role in providing that response.
- The extent and nature of a conflict can inhibit international humanitarian efforts. In some instances, peace-keeping operations will be necessary to permit the delivery of relief.
- A host nation's capacity and level of cooperation directly affect the efficacy of any humanitarian response effort.

INDICATORS:

- The number of potential conflicts accurately identified, and for which diplomatic preventive efforts were subsequently developed.
- Crude mortality rates for refugee and conflict-affected populations that are being assisted by the international community.
- Reduction of existing refugee populations through local integration, repatriation or resettlement.

- Adequate emergency response by key IOs and NGOs involved in humanitarian assistance -- i.e., response that is timely, well-coordinated, and efficacious (as measured by death rates).
- Injuries attributable to land mines remaining in civilian areas.

NATIONAL INTEREST: GLOBAL ISSUES: ENVIRONMENT, HEALTH AND POPULATION

GOAL: Secure a sustainable global environment to protect US citizens and interests from the effects of international environmental degradation.

The global environment has a profound impact on the United States, its citizens and its national interests. Pollution crosses borders and oceans, affecting the health and prosperity of Americans. Competition for natural resources can lead to instability and conflict, threatening political, economic, and other US interests. The international community is currently negotiating and implementing agreements that, taken together, will comprise the international environmental architecture for decades. US leadership is essential to resolving international environmental problems and ensuring that the emerging environmental regime protects US interests. Domestic and international NGOs and the private sector are integral to our efforts to address the international environmental agenda.

The Department of State is responsible for developing the framework for international environmental policy and coordinating the international environmental activities of US agencies. Working bilaterally, regionally, and through multilateral organizations, State builds relationships to promote environmental collaboration and address transboundary environmental problems. State is also responsible for negotiating international environmental agreements and treaties that advance our environmental goals and protect our economic and national security interests.

STRATEGIES:

- **Conclude key multilateral negotiations on climate change, hazardous chemicals, and marine resources with agreements that advance our environmental agenda and protect our economic interests.**

State, working with USAID, EPA and other technical agencies, leads the negotiation of international agreements and treaties, and obtains accession by other countries to environmental agreements.

Responsible State Dept. Offices: OES, L, Regional Bureaus, IO, Overseas Missions.

Lead US Government Agencies: State.

- **Improve the implementation of, and compliance with, international commitments and treaties dealing with oceans and the environment.**

State works with USAID, EPA, NOAA, Justice, Transportation (Coast Guard), and

other USG agencies to address treaty violations and build capacity to comply with international agreements.

Responsible State Dept. Offices: OES, L, Regional Bureaus, H, Overseas Missions.

Lead US Government Agencies: State, USAID, EPA, NOAA, Justice, DoT (Coast Guard).

- **Strengthen bilateral and regional dialogues with Brazil, Chile, China, Egypt, India, Indonesia, Japan, Kazakhstan, Russia, South Africa, Ukraine, the Asia Pacific Economic Cooperation Forum (APEC), the Association of Southeast Asian Nations (ASEAN), Central America, the European Union, and the South Africa Development Community (SADC).**

State establishes the policy basis for bilateral environmental engagement, and works with Interior, Commerce, EPA, and USAID to incorporate environmental issues into our diplomatic agendas.

Responsible State Dept. Offices: OES, Regional Bureaus, PA, Overseas Missions.

Lead US Government Agencies: State.

- **Use development assistance to improve the capacity of developing and transitioning countries to protect the environment, comply with international obligations, and promote cooperation on transboundary environmental issues.**

Within the broad policy framework established by State, State and USAID develop policies and programs to address environmental degradation and build the capacity of developing countries to comply with international agreements.

Responsible State Dept. Offices: OES, DRL, Regional Bureaus, Overseas Missions.

Lead US Government Agencies: USAID.

- **Enhance communication with the business sector, NGOs, the American public, and foreign audiences on international environmental issues.**

Given the central role of civil society in framing the debate on international environmental issues, State leads an active international outreach effort bilaterally, multilaterally, and directly with civil society.

Responsible State Dept. Offices: OES, PA, IIP, ECA.

Lead US Government Agencies: State and USAID.

- **Address the growing nexus of trade and environmental issues to achieve both our economic development and environmental protection objectives.**

State, working with EPA, Treasury, Commerce, and USAID, plays a role in shaping environmentally responsible trade agreements, policies, and practices, and harmonizing environmental agreements with broader trade regimes.

Responsible State Dept. Offices: EB, OES.

Lead US Government Agencies: State, Treasury, and USTR.

- **Reform and reinvigorate international institutions and mechanisms to more effectively address international environmental problems.**

State formulates USG policy pertaining to UN agencies and organizations.

Responsible State Dept. Offices: OES, IO.

Lead US Government Agencies: State, USAID.

- **Promote international science and technology cooperation to improve understanding of international environmental issues.**

State has statutory responsibility for coordinating the international science and technology activities of federal agencies.

Responsible State Dept. Offices: OES.

Lead US Government Agencies: State, EPA, Commerce, NSF, USDA, DOE, Interior, and USAID.

- **Promote international mechanisms that sustainably manage the earth's natural systems.**

State, working with USAID and other USG technical agencies, leads efforts to address multilateral or transboundary environment, science, and technology challenges, such as forests, invasive species, and freshwater, that are best resolved through joint initiatives.

Responsible State Dept. Offices: OES, Regional Bureaus, Overseas Missions.

Lead US Government Agencies: State, USAID, EPA, NOAA, Justice, Interior, Agriculture, and DoD (Army Corps of Engineers).

ASSUMPTIONS

- US leadership is essential to protect the international environment and to ensure that UN and international institutions efficiently promote sustainable development.
- International environmental agreements concluded or currently under negotiation will define the international environmental architecture for years to come, and can promote sustainable environmental policies that protect our economic interests.
- NGOs, business, and the general public will shape the international environmental agenda, with governments more often than not being reactive.
- Extensive interactions with civil society require increased use of advanced communications technology.

INDICATORS

- Status of multilateral environmental treaties and other agreements.
- Status of coalitions to protect and advance US environmental and economic interests.
- Level of international expenditure on international environmental activities.

NATIONAL INTEREST: GLOBAL ISSUES: ENVIRONMENT, HEALTH AND POPULATION

GOAL: Achieve a healthy and sustainable world population.

Achieving healthy and sustainable world population growth is vital to US interests. Economic and social progress in other countries can be undermined by rapid population growth, which overburdens the quality and availability of public services, limits employment opportunities, and contributes to environmental degradation. Not only will early stabilization of the world's population at sustainable levels promote environmentally sound economic development in other countries, it will also benefit the US by improving trade opportunities and mitigating future global crises. There is now broad international consensus on the need for a comprehensive approach to population stabilization which, along with family planning services, incorporates reproductive rights and other components of reproductive health, women's socio-economic, political, and educational status, and the special needs of adolescents.

The Department of State plays a crucial role in developing a receptive political environment for the implementation of progressive population programs and related social programs. Policy coordination, public diplomacy, bilateral and multilateral advocacy and negotiation, and coordination of international efforts are all vital State contributions.

STRATEGIES:

- **Coordinate USG policy dialogues with foreign governments to develop strategies to achieve policy and programmatic goals agreed to by the international community in the International Conference on Population and Development (ICPD) Program of Action (PoA), including: interrelationships between population and development; empowerment of women to advance gender equality; attainment of the highest possible level of health for all; family planning and other reproductive health; elimination of disparities in access to education by women and girls; and reduction of push factors in migration and the proper treatment of international migrants.**

State, because of its extensive diplomatic influence and reporting capacity, combined with USAID's programmatic leadership, monitors on a regular basis foreign government efforts to implement the ICPD PoA and future actions called for in the 1999 five-year review of the "ICPD+5." State participates in bilateral, regional, and multilateral meetings and expert groups to discuss ICPD implementation.

Responsible State Dept. Offices: PRM, IO, Regional Bureaus, , IIP, ECA, Overseas Missions.

Lead US Government Agencies: State, USAID.

- **Advise and provide leadership to multilateral, international and non-governmental organizations working on programs to implement the ICPD PoA.**

State coordinates directly with US and foreign-based NGOs and international organizations involved in family planning and reproductive health activities. State routinely hosts meetings with these organizations to share best practices and lessons learned and to promote programmatic cooperation and coordination.

Responsible State Dept. Offices: PRM, IO.

Lead US Government Agencies: State, USAID.

- **Increase awareness of population issues; promote the integration of population issues into broader economic growth and sustainable development strategies.**

State, through the MPP process, establishes annual population goals for relevant posts. State regularly participates in public speaking events, other forms of outreach, and public diplomacy. State also hosts conferences, such as the 1999 conference on “Women, Population, and Science in the New Millennium.”

Responsible State Dept. Offices: PRM, Regional Bureaus, PA, IIP, ECA, Overseas Missions.

Lead US Government Agency: State.

ASSUMPTIONS:

- Congressional support for US population and family planning assistance programs will be maintained.
- International consensus reached in the ICPD Program of Action will be maintained.
- Complementary national population stabilization and development activities, such as basic education for girls and microcredit programs for women, are concurrent national government priorities.
- ICPD PoA continues to be implemented by donors, program countries, and international and non-governmental organizations.

INDICATORS:

- Improved national population policy environment and resource allocation in foreign countries.
- Successful “ICPD+5” review, including no substantive policy changes to the Program of Action.
- Increased availability of modern family planning services and other reproductive health care for individuals requesting such services.
- Total fertility rates maintained or decreased as compared to the previous 5-10 years.
- Increased public appreciation for the impact of ICPD goals and objectives on people’s lives, especially in the developing world.
- Number of countries expressing interest in a policy dialogue on integrating population and development policies.

NATIONAL INTEREST: GLOBAL ISSUES: ENVIRONMENT, HEALTH AND POPULATION

GOAL: Strengthen International Health Capabilities.

The United States has a direct interest in safeguarding the health of Americans and in preventing the threats posed by diseases worldwide. Epidemic and endemic diseases can undermine economic growth and stability, and threaten the political security of nations, regions and the international community.

The Department of State has responsibility for foreign policy issues surrounding international health, particularly for emerging infectious diseases of epidemic or pandemic proportions, which pose a serious threat to American citizens and the international community. State engages senior political leaders and government officials across multiple sectors to create awareness that emerging and endemic diseases are national security and economic problems that must be addressed. Through its membership in international organizations and on interagency task forces on emerging infectious diseases, State assists the development of a global surveillance and response network for infectious diseases. State's role is to negotiate international agreements and develop international partnerships and collaboration to enhance global capacity for surveillance and response to key disease threats.

STRATEGIES:

- **Secure increased political and economic commitment from foreign governments to address global health threats, such as emerging infectious diseases as a high priority on their national agenda.**

State interacts with foreign government leaders to raise the level of national political and financial commitment accorded to healthcare by governments and international institutions, particularly as it relates to enhanced surveillance and response to emerging infectious diseases, including HIV/AIDS.

Responsible State Dept. Offices: OES, Regional Bureaus, Overseas Missions.

Lead US Government Agencies: State, USAID.

- **Establish and enhance international collaborations to improve global capacity to meet the challenges posed by major health threats.**

State acts as a catalyst, leveraging US technical expertise with funding from international and national sources, to further US foreign policy objectives in the area of international health and science with particular emphasis on initiatives with EU,

Russia, Africa, Asia, and other strategic areas.

Responsible State Dept. Offices: OES, Regional Bureaus, Overseas Missions.

Lead US Government Agencies: State, USAID, HHS, DOD.

- **Coordinate US international response to outbreaks of infectious diseases.**

US embassies, working with other federal agencies, coordinate the US response to outbreaks of diseases in foreign lands when US assistance is requested by national governments. Working with the Center for Disease Control (CDC) and other agencies, State helps to facilitate public and private sector efforts to stem the spread of infectious diseases entering the US and to identify potential vulnerabilities that might pose a threat to the US by the transmission of diseases through international travel or trade. State works with other agencies (CDC, Transportation) and other governments to reduce exposure by US residents to the threat of infectious diseases through enhanced disease outbreak response procedures and a more effective alert/response network.

Responsible State Dept. Offices: OES, Regional Bureaus, Overseas Missions.

Lead US Government Agencies: State, USAID, HHS (CDC), DOD, Transportation .

- **Strengthen policy support for health-related science and technology, child survival objectives, global healthcare advances, and for improvement of health delivery systems internationally.**

State works with developing and transitional economies, multilateral and regional institutions, and the private sector to promote opportunities for technical collaboration and partnerships on health care delivery, surveillance and response to threats posed by infectious diseases.

Responsible State Dept. Offices: OES, Regional Bureaus, Overseas Missions.

Lead US Government Agencies: State, USAID, HHS, DOD.

ASSUMPTIONS:

- NGO's, PVO and multilateral development institutions will play increasingly important roles in combating disease, but US Government leadership and contributions will remain essential.

- Without US leadership, global disease surveillance and response capacity will remain inadequate, posing a threat to US citizens.
- Use of advanced information technology will be essential to improve surveillance and response capabilities.

INDICATORS:

- Level of political commitment to enhancement of healthcare infrastructures, and multilateral/regional action to fight infectious diseases and HIV/AIDS.
- Levels of public/private investment in addressing infectious disease problems (i.e., TB, malaria, HIV/AIDS) that are designated as priority global health threats.
- Number of partnerships and level of international collaboration to strengthen capabilities for surveillance and response to infectious diseases, including strengthened outbreak response procedures, where needed.

DIPLOMATIC ACTIVITIES

The United States has important economic, security, political and humanitarian interests on every continent. At any time, U.S. representatives are engaged around the world in negotiating treaties, responding to crises, supporting Presidential or other high-level visits, observing foreign elections, promoting American exports, providing relief to victims of natural disasters, delivering sensitive government-to-government messages at the highest levels, assisting American citizens in emergencies, and enhancing border security. In order to meet our nation's foreign policy goals, we rely heavily on two types of diplomatic activities: our information and exchange programs, and our Diplomatic Readiness.

On October 1, 1999, the United States Information Agency became part of the Department, with the bulk of USIA's programs going to two new Bureaus of the Department: International Information Programs and Educational and Cultural Affairs. Our information programs support key U.S. foreign policy goals and are distributed through a variety of means, including increased use of the internet, and in a number of languages in order to convey U.S. Government positions without distortion. These information programs directly support the 16 Strategic Goals.

Another goal of our foreign policy is to foster mutual trust and understanding between the U.S. and other countries. One of the best ways is to reach future leaders and inform the opinions of current leaders through academic, professional and cultural exchanges. While some of the exchanges that take place between the U.S. and other countries can be linked to specific strategic goals, many long-term academic exchanges cannot be immediately categorized. Accordingly, we have established a separate goal for the important task of promoting mutual understanding between the people of the United States and the people of other countries by means of exchanges.

That goal is more fully explained in the passage which follows. It is followed by a description of the three principal components of Diplomatic Readiness: – particularly long-term Human Resources, Information, and Infrastructure and Operations.

Mutual Understanding

GOAL: Improve and strengthen the international relations of the United States by promoting better mutual understanding between the people of the United States and the peoples of the world through educational and cultural exchanges.

The United States often is a complex and puzzling nation when viewed from abroad, and the rapid and profound changes taking place around the world often are not well understood by Americans. New centers of non-governmental influence in all nations are demanding engagement by American diplomacy. In this increasingly interdependent global society, it is essential to foster a clear understanding among future and current foreign leaders of the social, political and economic context shaping U.S. foreign policy, and to project the creativity, idealism, dynamism and democratic tradition of the American people. Systems of higher learning in all countries form the views of leaders in all fields. Cultural exchanges shape the understanding of all citizens of their own and foreign cultures. One way to improve mutual understanding is to reach future leaders and inform the opinions of current leaders through academic, professional and cultural exchanges. Successful diplomatic relations between the U.S. and other countries are dependent upon establishing trust and creating credible partnerships based upon this trust. Without mutual understanding and the trust it engenders, it would be virtually impossible for American diplomacy to pursue successfully our 16 Strategic Goals. Like Diplomatic Readiness, Mutual Understanding provides the Department a platform of support from which to address strategic goals with foreign audiences.

Since the passage of the U.S. Information and Educational Exchange Act of 1948 (the Smith-Mundt Act), the United States has viewed the main objective of exchange programs as increasing “*mutual understanding* between the people of the United States and the people of other countries.” In 1961, Congress established a separate statutory basis for exchange programs in the Mutual Educational and Cultural Exchange Act of 1961 (the Fulbright-Hays Act), with the stated purpose of enabling the Government of the United States “to increase *mutual understanding* between the people of the United States and the people of other countries by means of educational and cultural exchanges.”

Programs Authorized by the Fulbright-Hays Act

Section 112 of the Fulbright-Hays Act establishes the Bureau of Educational and Cultural Affairs as the element of the United States Government “responsible for managing, coordinating and overseeing programs established pursuant to this Act...” Currently, programs specifically named in Section 112 of the Fulbright-Hays Act include:

- J. William Fulbright Educational Exchange Program
- Hubert H. Humphrey Fellowship Program
- International Visitor Program
- American Studies Program
- Arts America Program
- Office of Citizen Exchanges, “to support a program of working with private, not-for-profit groups through contracts, grants or cooperative agreements so as to provide financial assistance to NGOs engaged in implementing and enhancing exchange-of-persons programs.”

STRATEGIES:

- **Engagement:** Within the precepts of the Fulbright-Hays Act as amended, engage emerging and current foreign societal leaders through a wide range of academic, professional, cultural and youth exchange programs to foster greater understanding of the political, economic and social context informing and shaping U.S. policies and institutions. Ensure participants have maximum opportunity to experience and understand U.S. and foreign societies at community and grassroots levels.
- **Study and Research:** Actively and energetically promote study and research at U.S. universities and institutions of higher learning among foreign students and scholars through student advising programs. Promote study and research in foreign countries by Americans.
- **American Culture:** Promote programs that demonstrate the creativity, diversity and openness of American culture.
- **Networks and Linkages:** Involve foreign and American professional, cultural and youth exchange program participants in enduring institutional, electronic and personal networks and linkages.

Responsible State Dept. Offices: ECA, Regional Bureaus, IIP, Overseas Missions.

Lead U.S. Government Agency: State

ASSUMPTIONS:

- The grass-roots efforts and actions of ordinary Americans and the continued success of the American experience will continue to be watched with interest, admiration and occasional envy by those around the world, and often will serve as a model for other countries.
- America’s dominant position in the world will engender suspicions of hegemony and resistance to policies that are seen as one-sided or self-serving.

- American popular culture will continue to be disseminated around the world and engender prejudices that Americans are too materialistic and complacent, and enjoy too many freedoms.
- Culture is very important in many countries, and the United States must demonstrate a capability of engaging appropriate partner country audiences on cultural issues.
- Other nations will increasingly compete with American higher education for foreign students and scholars; our system of higher education will continue to address inherent systemic obstacles which limit accessibility to the U.S. higher education system by foreign students and scholars.
- Exchanges appropriations will continue to be supported by a strong domestic constituency but funding increases will be difficult to obtain for traditional programs.

INDICATORS:

- Objective and accurate public opinion, as expressed in public opinion polls, press and media commentary, and academic and intellectual debate.
- Readiness and willingness of current and emerging foreign and American leaders to participate in exchange programs.
- Demonstrations of heightened understanding among foreign exchange program participants of the role of American social and historical background in shaping U.S. policies and initiatives, and of foreign societies and cultures among U.S. participants.
- Attainment by foreign alumni of USG exchange programs of significant positions in their home countries as evidence of ongoing success of exchange programs.

STATE'S DIPLOMATIC READINESS PLATFORM

OVERVIEW

America's diplomatic missions and consulates around the world represent the entire US Government. It is the Department of State alone, however, that provides the administrative expertise, logistical support, telecommunications network, and the physical infrastructure for the over 30 different US Government agencies that conduct overseas operations. To sustain that effort there must be a robust and up-to-date support structure. In essence, there must be a strong Diplomatic Readiness Platform.

Diplomatic Readiness -- the ability to implement the policies and goals outlined in this Strategic Plan -- is the essence of that structure and in turn, depends on the fundamentals of everyday diplomatic life. The standards for maintaining Diplomatic Readiness include a talented workforce operating in a secure environment with state-of-the-art equipment, including the latest in information technology. To recruit and train such a workforce, management structure must give the widest possible latitude to individual initiative, recognize and reward merit, and provide personnel and their families with a reasonable standard of living.

The State Department recognizes that an effective Diplomatic Readiness Platform is vital in the global environment in which the United States operates. In an atmosphere where the distinction between domestic and international affairs has evaporated, overseas personnel from all government agencies, but especially from the State Department, must be intelligent, adaptable and flexible. However, recruiting and retaining personnel with such qualities is nearly impossible in an environment where housing, running water, heat, electricity, education and health care are substandard, as is the case in many of the nation's Central Asian and other Third World posts.

While Americans who serve their country understand and accept that many overseas assignments entail a heightened level of risk and inconvenience both for themselves and their families, the State Department understands that there is an inverse relationship between high levels of hardship and the required high level of Diplomatic Readiness. To maximize the latter, the former must be reduced through the efficient use of increased resources.

The three principal components of the Diplomatic Readiness Platform are:

Human Resources: Employees with the foreign language, diplomatic, professional, scientific, and technical skills essential to representing the United States overseas, building effective working relationships with international counterparts, exercising foreign policy leadership, and providing operational support for the conduct of foreign affairs.

Information: Information resource management, information systems and highly skilled personnel to efficiently collect, analyze and communicate information for the conduct of foreign policy and efficient operations.

Infrastructure and Operations: Cost-effective and well-maintained domestic and overseas facilities, along with the management and security systems essential to support a world-wide network of posts and people.

The Department of State continues to face challenges in each of these areas. To maintain and improve the Diplomatic Readiness Platform, State will undertake critical management reform strategies in three broad sectors:

Management Systems and Technology Investment:

- Reengineer and streamline management systems to deliver more essential services at reduced cost.
- Seek sufficient funds to ensure timely acquisition of infrastructure and up-to-date technology;
- Refine recruitment and training programs to ensure both new and current employees have, or are able to acquire, the professional, administrative, technical, and information systems knowledge needed to achieve policy and operational objectives;
- Improve the method by which services are provided to USG activities overseas and the way they are paid for by refining the International Cooperative Administrative Support Services System (ICASS) which is designed to ensure widespread, transparent and equitable user payment for services.

Policy and Resource Management:

- Match resources with policy priorities using a process based on strategic planning and performance measurement, characterized by broad-based participation and interagency coordination;
- Refine and integrate processes, such as Workforce Planning, Information Resources Management, and Mission Performance Planning, to ensure sound investments while retaining the flexibility to shift resources according to changing policy priorities.
- Improve response to international crises, manage increasingly complex policy issues, provide timely reporting and analysis, assist American citizens, contribute to border security and deliver management and support services.

Security at All Overseas Missions:

- In light of the threat posed by international terrorism, continue implementation of the Emergency Security Supplemental by providing equipment, services, and personnel.
- Maintain in the outyears the improved security infrastructure created by the Emergency Security Supplemental.
- Revise and enhance security standards to meet changing threats.
- Continue the application of existing and revised security standards at posts of all threat types and levels.

In all of these areas, the effective use of resources must be assured by the clear definition of priorities, the matching of resources to such priorities, and the termination of low priority or non-critical activities.

STATE'S DIPLOMATIC READINESS PLATFORM: HUMAN RESOURCES

Goal: Successfully advance US national interests overseas by attracting and retaining a skilled, motivated, diverse and flexible workforce.

The men and women of the Department of State, who assist American citizens and represent the interests of the United States, are this country's first line of defense. The Department of State, which is responsible for the conduct of US foreign policy as well as for supporting and coordinating the activities of all other US government agencies operating abroad, must attract and retain highly qualified and motivated personnel in order to effectively carry out its mission.

While the merger in 1999 of the United States Information Agency (USIA) and the Arms Control and Disarmament Agency (ACDA) with State brought additional skilled personnel into the ranks of the State Department (expanding the permanent employees on its rolls to 6,400 Civil Service, 8,850 Foreign Service, 7,200 Foreign Service National and 16,300 overseas Personal Service Agreement employees), it also brought increased responsibilities. In light of State's expanded mandate, and given the growing complexities of operating overseas, it has become even more crucial to have sound workforce planning, effective management, and a continuum of training and professional development for all employees.

Since the Department of State represents the nation to the world, its US workforce must not only be highly skilled, it should also be truly representative of the American people. In addition, State's employment practices worldwide must demonstrate a commitment to the American principles of fairness and equal employment opportunity.

STRATEGIES:

- **Workforce Planning:** *Make accurate projections of the best size, distribution and occupational composition of State's workforce to enable the Department to meet its goal of protecting national security and promoting national interests. Identify the Department's future needs using annual Mission and Bureau Performance Plans, the Overseas Staffing Model, and other planning tools.*

Responsible State Dept. Office: M/DGHR

- **Workforce Management:** *Establish mechanisms to ensure the right number of people with the right skills in the right places. Ensure that the most qualified people are recruited, nurtured and moved through rewarding careers in the State Department by streamlining hiring, assignment, performance evaluation, training,*

promotion, awards, separation, discipline and retirement -- while meeting Federal personnel requirements and increasing customer satisfaction. Maintain a high quality foreign national workforce overseas by providing competitive salaries, benefits and appropriate training opportunities. Improve labor-management relations and communication with the workforce.

Responsible State Dept. Offices: M/DGHR, Foreign Service Institute (FSI).

- **Workforce and Family Support:** *Maintain good health and high morale among State's workforce and family members, both domestic and overseas. Oversee policies and benefits affecting Foreign Service national employees working for all agencies attached to US missions overseas.*

Responsible State Dept. Offices: M/DGHR, M/DGP/FLO, M/DGP/MED, all Bureaus, Overseas Missions.

- **Flexibility:** *Build increased flexibility into personnel systems to allow for greater ease in filling staffing needs including but not limited to: telecommuting, part time, flex time, Eligible Family Member employment, and the Alternate Exam Program.*

Responsible State Dept. Offices: M/DGHR.

- **Foster a Talented and Diverse Workforce:** *Ensure that all employees and job applicants enjoy equal opportunities, and that employees work in a positive environment that draws on and enhances their talents. Encourage the establishment of Individual Development Plans for civil service employees. Develop competency models for major Civil Service occupational series. Enhance the Career Development Resource Center's (CDRC) role in the career development process for Civil Service Personnel. Examine options for establishing management training benchmarks for Foreign Service officers.*

Responsible State Dept. Offices: M/DGHR, S/EEOCR, all Bureaus.

ASSUMPTIONS:

- The Department's personnel policies must be flexible in order to respond to added foreign policy requirements, as well as changes in American society, scientific and technological fields and the economy, which will affect how and whom we recruit and hire. Programs that will allow this flexibility include the Alternate Exam Program, Civil Service to Foreign Service conversions, and targeted recruiting methods.

- Some workforce needs will be met through alternative and non-career employment sources such as temporary hires, family member appointments, telecommuting, part time and job sharing arrangements and contract hires, many of whom will need training.
- State Department personnel management must comply with the regulations set forth by multiple personnel systems: the Federal Civil Service personnel system under OPM; the Foreign Service personnel system as defined under the Foreign Service Act; and over 160 separate foreign national personnel systems overseas, that are dependent on foreign labor laws.

INDICATORS:

- Total authorized DOS staff compared to number of positions established and filled over a specified period time.
- Percentage of language designated positions filled with language qualified officers.
- Percentage of positions filled with FSI-trained personnel.
- Trends in the number of grievances and lawsuits.
- Number of Civil Service employee transfers to other agencies.
- Diversity of workforce.
- Increased attention to career development in CS workforce as measured by percentage of employees with approved Individual Development Plans.
- Customer satisfaction with the effectiveness of employee services and programs as measured by customer surveys.
- Number of supervisors who received Leadership and Management training.
- Number of end users and IRM personnel trained in appropriate computer skills.
- Number of people initially assigned to first-tour administrative or consular positions via appropriate training.

STATE'S DIPLOMATIC READINESS PLATFORM: INFORMATION

GOAL: Provide commercial-quality information technology (IT) support for the

full range of international affairs activities of the United States.

Achieving foreign policy goals effectively and serving the American public requires up to date tools for our employees. They must have at their desktops the tools to access, search, manipulate, filter, and present information that fully supports policy-making, crisis response, and services to American citizens. The ultimate goal is one recommended in the 1999 report of the Overseas Presence Advisory Panel: a common IT platform overseas for all elements of the US Government. The information revolution is radically transforming the very nature of diplomacy. The conduct of international affairs has never been more dependent on information management and information technology, and requires broad-based connectivity between representatives of the United States and those of other governments and non-governmental organizations (NGOs). Modern diplomacy demands ready access to the wealth of information available within the international affairs community and external sources, such as the Internet.

STRATEGIES:

- **Develop, deploy, and sustain a secure, commercial-style global IT network and infrastructure.**

Having learned a costly lesson in the past regarding custom made, proprietary systems, the Department will rely on commercial services and products to the maximum extent possible to provide a worldwide network, scaled to meet the local and global capacity demands necessary for supporting the Department's mission. The infrastructure will include modern processing platforms and standards-based services for security, infrastructure management, and technical support. The modern infrastructure will enable information access, processing, and exchange -- employing web-based tools and collaborative processing technologies, and mobile computing to ensure reliable, secure connectivity. The aim is for State employees to have access to a world-class network infrastructure that mirrors the very best in the commercial world, plus the added security of a contingency backup capability for emergencies.

Responsible State Dept. Offices: IRM, A, All Bureaus, Overseas Missions.

- **Provide systems and tools to ensure ready access to international affairs applications and information.**

The Department's IRM planning group will work with key managers and staff to plan and test a suite of desktop tools and supporting applications and utilities that enable easy access to the information sources needed for diplomacy in the 21st century. The Department envisions an evolving series of tailored desktops, each focused on a segment of the end-user community (e.g., political officers or environmental

specialists). These desktops will provide a tailored view into a vast array of potentially valuable information, and will permit ready analysis, synthesis, presentation, and exchange of information through web-based technologies.

Responsible State Dept. Offices: IRM, All Bureaus, Overseas Missions.

- **Develop a modern, integrated messaging approach and capability.**

State must modernize the outmoded patchwork cable and electronic mail systems currently in place. The Department will build on recent initiatives, such as CableXpress (which delivers telegrams to the end-user's desktop) to provide a business-quality messaging approach that retains the required features of the Cable system (message authority, profiling, etc.) in a modern messaging environment that supports multiple message formats and media (e.g., video, audio, attachments of all types) and features such as reliability, security, authentication, and non-repudiation. The Department will undertake a comprehensive business process reengineering effort to address all current messaging uses and requirements.

Responsible State Dept. Offices: IRM, All Bureaus, Overseas Missions.

- **Leverage IT to streamline administrative and IT operations and facilities.**

The Department has made great strides in modernizing its operational support systems, such as personnel management and consular affairs. The Department will take these efforts to the next level, and use IT to streamline underlying business processes to achieve efficiencies and enhanced service levels. Key strategies will include self-service (user-empowered) systems, nearly total reliance on commercial rather than custom solutions, and consolidation and centralization of facilities and services to address the growing complexity and costs of supporting worldwide IT operations.

Responsible State Dept. Offices: IRM, All Bureaus, Overseas Missions.

- **Sustain a trained, productive workforce.**

This strategy has two components. The first focuses on ensuring a high caliber IT workforce and will focus on creating a highly attractive work environment so State can recruit and retain the best IT staff. This will entail exploring creative options in compensation, assignments, continuing education and training, and ability to do state-of-the-art IT work. The second component focuses on ensuring effective and timely training of all staff in the use of new IT solutions. This will entail continuing with existing training strategies while adding new approaches such as distance

learning and enhanced computer-based training.

Responsible State Dept. Offices: *IRM, FSI, All Bureaus, Overseas Missions.*

ASSUMPTIONS:

- The Department will be able to make the necessary investments in, and address the significant challenges posed by, putting in place an IT infrastructure that truly supports the international affairs mission.
- There will be upper level management support for a common IT architecture, recognizing the need for decentralized applications and the desirability of innovation by operating units.
- Demand for IT support will increase over the next few years, both from within the Department and from all members of the international affairs community.
- Technology will continue to change rapidly, demanding that State keep current with new directions and evolving user expectations.
- IT will tend to become ever more technically complex and sophisticated, and this will continue to pose challenges for supporting a worldwide operation covering over 250 separate locations.
- Security technology will be able to continue to keep pace with cyber threats, thus requiring ongoing investments in the Department's security infrastructure and effective risk management.
- It will continue to be difficult to attract and retain a high-caliber IT workforce.

INDICATORS:

- Currency of IT assets: The percentage of classified and unclassified desktop computers more than 4 years old.
- Consolidation of servers: Reduction of overseas servers by 25% by the end of FY 2001; 50% by the end of FY 2003; and 75% by the end of FY 2005.
- Network quality: Department performance compare to industry-standard benchmarks for reliability, availability, security, throughput, and scalable capacity on demand.
- Elimination of the current cable systems and processes (e.g., use of ACP-127 and IRM Communication Centers).

- Workforce: The Department meets or exceeds government averages for recruitment and retention of IT professionals

STATE'S DIPLOMATIC READINESS PLATFORM: INFRASTRUCTURE AND OPERATIONS

GOAL: Establish and maintain infrastructure and operating capacities that enable employees to pursue policy objectives and respond to crises.

Advancing the interests of the United States, protecting its citizens overseas, assisting foreign tourists and business representatives visiting the US requires a worldwide network of facilities for State Department employees and those of other US Government agencies. The Department of State operates and maintains 13,000 diplomatic, consular, housing, and support facilities in over 300 global locations. These locations range from highly developed countries with advanced infrastructure to underdeveloped or crisis-ridden nations without reliable public utilities, communications, transportation, and banking systems. The State Department, as the USG's single real property manager for non-DOD facilities overseas, must respond to an array of support needs at overseas posts -- ensuring that representatives from all USG agencies and their families can live and conduct business safely and efficiently with due regard for morale, even in unhealthy or dangerous locations. State also owns or operates facilities in metropolitan Washington, DC and other US locations, and provides a variety of administrative services for employees, bureaus, other USG agencies and the public. State manages programs to protect all USG employees abroad from terrorism and crime (except personnel under the command of a US area military commander), and to protect classified and sensitive information from being compromised. The Department has additional offices that advise State's constituent bureaus on legal matters, provide the American public and the Congress with information, and support State's employees with services normal to any workplace.

STRATEGIES:

- **Property:** *The worldwide network of facilities is a major element of the Diplomatic Readiness Platform from which USG employees advance US interests and diplomacy. The importance of safe, secure facilities for our diplomats was clearly demonstrated in August 1998 when terrorists bombed the US embassies in Nairobi and Dar es Salaam, resulting in 220 fatalities including 12 Americans, 40 US embassy foreign national employees, and 168 civilians. In response to these incidents, Accountability Review Boards recommended the collocation of all USG agencies onto a mission compound. The Boards estimated a cost of \$14 billion over a 10-year period to carry out this and other recommendations devoted to improving the security of employees abroad. To ensure diplomatic readiness in a more secure workplace, the Department will: 1) work aggressively to implement the Board's recommendations, 2) work hand-in-hand with other agencies in determining facility requirements at overseas posts, and 3) work with the Congress to obtain sustained resources for the construction of secure facilities, while improving security at existing posts to the*

extent possible.

The Department will continue the cost-effective operation and maintenance of USG-owned or leased real property at home and abroad. The Department will continue to work to provide safe, secure working conditions in functional facilities for all employees and safe, functional living quarters for overseas staff. The principles of sustainable building construction and energy efficiency will be applied wherever possible. The Department will dispose of unneeded overseas properties to generate funds for real property acquisition or rehabilitation, with a focus on addressing investment in areas with high or escalating leasehold markets. Domestically, State is in partnership with GSA to rehabilitate the Columbia Plaza and Main State buildings over a 10-year period, with State contributing 32% of the funding over the life of the project. GSA and State are also partners in planning for the construction of a new USUN mission building in United Nations Plaza, for occupancy by 2004 at a cost of \$24 million to the Department. These combined projects will provide office space for 10,300 employees. A Capital Improvement Plan will protect US-based facilities owned or operated by the Department of State, and efforts continue to effect a complete physical merger of USIA with State over the coming years.

Responsible State Dept. Offices: A, DS, All Bureaus, Overseas Missions

- **Security:** *Through security professionals at posts worldwide, State will ensure that existing security standards and programs put in place by the FY 1999 Emergency Security Appropriation continue to protect all USG employees assigned abroad and their families from physical threats. State supports traditional information security programs for classified and sensitive information at domestic facilities and posts abroad, as well as new information security policies and programs to counter emerging security threats from rapidly evolving technology.*

Responsible State Dept. Offices: DS, A.

- **Logistics:** *State organizations and employees worldwide require a full spectrum of logistics support. Demands on acquisition, material management, warehousing, transportation, freight forwarding and other functions are on the rise as additional resources are devoted to improving security for all personnel. State will ensure the timely delivery of goods and services as well as improved customer service through full staffing, improved transaction monitoring, customer service teams to better integrate end-to-end logistics support; and reduced operating and customer costs. These reductions will be achieved through implementation of cycle time efficiencies and an integrated logistics management system.*

Responsible State Dept. Offices: A.

- **Management Systems:** *State is continuing to improve core management systems to ensure the allocation of resources according to policy priorities, while meeting the diverse needs of the organization. Key systems support agency cost-sharing, budget and accounting, overseas staffing, logistics, procurement, real estate management, strategic planning in compliance with GPRA, and other programs.*

Responsible State Dept. Offices: FMP, A, M/P, S/RPP.

- **Specialized Administrative Services:** *State will improve the efficiency of administrative services and systems in order to facilitate the conduct of foreign affairs, ensure acceptable working conditions worldwide, and sustain an adequate quality of life for overseas staff. Among these programs are medical services, interpretation and translation services, employee and family services, allowance rate-setting for civilian USG employees abroad, support for overseas schools educating USG dependents, oversight of the worldwide procurement program, and other specialized services.*

Responsible State Dept. Offices: A, M/DGHR/MED, M/DGHR/FLO.

- **Other Services:** *State provides a number of services to the public, the Congress, and its own employees. The Office of the Legal Advisor provides the entire Department with advice on international law, America's bilateral and multilateral treaty obligations, relevant aspects of US domestic law, and situations where these legal areas intersect. State has a public affairs office that provides information to the public and the media about US foreign policy. Another office performs the Congressional relations function, keeping Members and staff well informed and answering their questions. The Department also has an office devoted to public inquiries made under the Freedom of Information Act. Lastly, State provides the normal array of employee services required by any modern organization that values its workforce.*

Responsible State Dept. Offices: L, PA, H, A, M/DGHR

ASSUMPTIONS:

- Overseas operating costs will continue to rise faster than comparable US costs (e.g., rents, utilities, maintenance costs).
- Overall representation of other USG agencies abroad will continue to expand, increasing demands upon State-provided security and other support services.

- Facilities abroad will remain highly visible targets for terrorist and espionage threats, thus requiring continued focus upon security needs.
- Major rehabilitation and new construction are the only reasonable, cost-effective ways to overcome high maintenance and energy costs at aging or obsolete State-owned or operated facilities.
- The Master Real Estate Plan will continue to be implemented over a period of several years to consolidate Department of State office space by including staff from the former ACDA and USIA in Foggy Bottom.
- The International Cooperative Administrative Services Support (ICASS) principles of shared services and full cost recovery will continue to drive the delivery of services to all agencies at overseas posts.
- Internet-based communications with the public and external groups, and the Department of State's internal network (IntraNet), will be fully utilized in the coming years to enhance both customer service and administrative program delivery (e.g., procurement via electronic commerce).
- Public requests under the Freedom of Information Act (FOIA) for access to central foreign policy archives will continue to increase.

INDICATORS:

- The degree to which State's real property acquisitions meet security standards and represent the most favorable financial alternative, given market conditions and operational demands and limitations.
- The percentage of posts that undergo a thorough facility condition assessment and a fire life safety inspection in accordance with their scheduled review cycles.
- The percentage of posts receiving enhanced security support from the Emergency Security Appropriation (1999) and successive appropriations, and the percentage of posts in full compliance with local guard and residential security standards.
- Meeting documented timelines for domestic facility rehabilitation, construction and reorganization efforts within available funding.
- Amount of reduction of MegaBTU use reported annually in compliance with energy efficiency mandates for facilities in the United States.
- Percentage reduction in logistics supply chain cycle time and costs.

- Effectiveness of specialized services as measured by internal and public access response times, customer satisfaction and management reporting.
- Percentage increase of Internet and IntraNet website use for electronic commerce, allowance and differential rates, and other administrative programs.

THE STATE DEPARTMENT'S STRATEGIC PLANNING PROCESS

This section explains the Department of State's approach to strategic planning in accordance with the Government Performance and Results Act (GPRA). It discusses GPRA strategic plan components and additional criteria used to evaluate agency plans, and addresses issues that Congress, OMB, GAO, and others have raised during reviews of the previous State Department Strategic Plan.

Background

In August 1999, the State Department formed a Strategic Plan Revision Team and Senior Advisory Group to update and refine the Department's Strategic Plan. This effort continues a major, ongoing investment in strategic planning and performance measurement as powerful tools for achieving US foreign policy goals and for managing international affairs resources.

This Department of State Strategic Plan has been approved by the Secretary of State. The Plan defines State's mission and roles in advancing national interests and in achieving the International Affairs Strategic Goals. In addition, the Plan defines management goals for maintaining the United States' Diplomatic Readiness Platform abroad in the areas of human resources, information management, and infrastructure and operations.

In light of the reorganization of foreign affairs agencies mandated by the President and the Congress in 1997, the current State Department Strategic Plan incorporates the functions and programs of the former United States Information Agency and the Arms Control and Disarmament Agency (both of which were integrated with the State Department over the course of 1999), and reflects the fact that the Agency for International Development is now under the direct control and foreign policy guidance of the Secretary of State. The Plan represents the desire of the Secretary of State to "build a shared vision for what we want to accomplish in the world today."

The Department continues to make significant progress in building a unified process for policy and resource management based on strategic planning and performance measurement. The Department's regional, functional, and management bureaus continue to formulate annual Bureau Performance Plans that set out long-term goals and short-term objectives in their areas of responsibility for achieving the overall strategic goals.

Strategic planning at the State Department also incorporates the overseas diplomatic missions of the United States. Every year, prior to the preparation of the Bureau Performance Plans, each overseas mission prepares a Mission Performance Plan (MPP) based on guidance from various Department elements. These MPPs are then used

by the regional bureaus and the Department's central management and functional offices as vehicles for a dialogue on policy priorities and resource requirements. Thus, State's planning process covers three distinct but intimately related levels of organization: the individual mission, the bureau, and the Department as a whole.

Strategies

The strategies listed under the International Affairs Strategic Goals are programs, activities, and resources drawn from the entire US Government and are directed to achieving the Goals. These range from military action to development, humanitarian assistance, and public diplomacy. When applied to particular regions and countries these strategies can be reformulated as action plans. State Department roles and bureaus responsible for each of the strategies are identified.

Currently there are a few goals where there is a demonstrable relationship between programs and outcomes: for example, the program of issuing visas and the outcome of controlling legal entry of immigrants and non-immigrants into the United States. Such relationships, however, are more problematic when applied to most of the other goals. For example, the relationship between the level of seizures of narcotics by law enforcement agencies and the level of narcotics entering the United States is unknown. In future strategic plans, the development of strategies will include more specific elaboration of agency capabilities and roles -- and, ultimately, more sophisticated reviews to determine whether strategies and resources are sufficient to achieve goals.

External Factors

The Strategic Plan takes into account external factors (i.e., outside influences that will have an impact on State's accomplishment of the Strategic Goals). External factors are identified in the "Assumptions" section under each Strategic Goal. There are three types:

Critical factors: Developments which must take place for a goal to be achieved. For example, the passage of Fast Track legislation in Congress is identified as a critical operational goal for opening markets.

Externalities: Conditions beyond the control of the US Government that must hold for a goal to be achieved. For example, the global economy must continue to grow at about 3% annually for the United States to reach its export target of \$1.2 trillion early in the 21st Century.

Contingencies: Events that, if they were to occur, would require significant adjustment of a goal. For example, our 1997 Strategic Plan cited recession in the Big Emerging Market countries as a contingency that would require a shift in strategy or a downward revision of the \$1.2 trillion export target set for FY 2000.

Program Evaluations

Strict application of GPRA on an agency-specific, program-oriented basis is only partially applicable to the complexities of foreign policy. The multiple factors involved in achieving goals and influencing foreign policy outcomes makes setting targets and measuring performance a difficult challenge. While GPRA emphasizes program goals, State's mission is instead the formulation of foreign policy, the conduct of foreign relations, and the coordination of US activities overseas.

Not only does the Department of State's mission emphasize policy and operations more than programs, its scope of responsibility for the coordination of foreign affairs covers virtually every other US Government agency, often lacks specific legislative authorities, and involves the management of overseas missions. Indeed, State's span of control and influence in each of the 16 goals is not specifically defined in law, but is rather derived from the role of the Secretary of State as the President's principal foreign policy advisor, as well as from the supervisory authority of Chiefs of Mission over all US Government executive branch personnel abroad, except for those under a regional military commander. State's employees spend large amounts of time making certain that all agencies of the U.S. Government are appropriately informed and consulted on foreign policy matters and that we as a Government speak with one coordinated voice on any issue.

Since no process currently exists for the systematic evaluation of United States international affairs goals, State's Performance Planning process (including both Bureau Performance Plans and Mission Performance Plans) provides the principal vehicle for revising goals and evaluating performance. These Bureau and Mission Performance Plans are synthesized in the State Department Performance Plans, submitted annually in accordance with GPRA. They also form the basis of a goal-based presentation for International Affairs Budget Function 150 submitted to Congress with the annual budget's Congressional Justification.

The State Department also launched an effort to identify performance indicators for international affairs goals. Bureaus and missions are now required to identify specific performance indicators for use over a 3-year timeframe in assessing progress toward the achievement of performance goals. In many cases, because of the inapplicability of quantitative measures to political process goals and objectives, qualitative or milestone indicators have been used.

Evaluation is also to some degree constant and ongoing through activities such as reporting and analysis, interagency working groups, and inspections of overseas missions. Communication is an integral part of the Performance Planning process, and the entire Department of State has participated in formulating specific strategies and objectives for achieving the International Affairs Strategic Goals. Performance planning encompasses proposals for new or revised objectives and associated changes in programs, resources, and legislation -- generally as part of the budget cycle. Other types of evaluations such as

those undertaken by the Office of the Inspector General, the GAO, USAID development projects, and foreign public opinion surveys, have potentially valuable applications to performance measurement.

Ideally, performance measurement and evaluation for international affairs should be carried out on an interagency basis, but in practice this is extraordinarily difficult. For example, the initiative led by the White House Office of National Drug Control Policy (ONDCP) to establish performance measures for US counter-narcotics goals involving 24 agencies illustrates the difficulty of setting targets and carrying out such evaluations.

How the Strategic Goals Relate to State's Performance Goals

There is a direct relationship between national interests, strategic goals, performance goals, and objectives in the annual State Department Performance Plan, which integrates the Performance Plans of the Department's individual bureaus. The annual Performance Planning cycle is designed to demonstrate a direct line of relationship between a given Strategic Goal and specific objectives in the Strategic Plan. For example:

National Interest: National Security

Strategic Goal: Eliminate the threat to the United States and its allies from weapons of mass destruction or destabilizing conventional arms.

Performance Goal: Strengthen multilateral regimes in support of nuclear nonproliferation, export controls, and international nuclear safeguards.

Objective: Begin multilateral negotiations on a Fissile Material Cutoff Treaty by the first quarter of FY 2002.

This linkage is applied dynamically in the annual Performance Planning cycle, and includes resource and performance measurement components. If the relationship between Strategic Goals and performance goals cannot be clearly established, the Strategic Goal requires re-examination. In response to suggestions made by the Congress and the GAO following their review of the Department's earlier Strategic Plan, special attention has been given in this Plan to identifying performance indicators that measure specific State Department efforts to achieve the 16 Strategic Goals.

Data Capacity

Development of the data capacity and information systems essential to measuring progress toward international affairs goals is an ongoing effort. Since 1997, State has made matching policy goals to resources through Performance Planning a regular element of the goal-based portion of the Function 150 budget submission. Development of

systems to link both overseas posts and domestic operations resources to the international affairs goals was begun developed in 1997 and has been improved upon in subsequent years. Refinement of these systems, however, for use both overseas and in Washington, and for forging a more direct link with other Department management systems must continue over the next few years.

Management Issues

The Diplomatic Readiness section of the State Department Strategic Plan defines the Department's general responsibilities for providing the human resources, information resources, infrastructure and operations necessary to support the 16 International Affairs Strategic Goals. This section outlines the Department's major management responsibilities at home and abroad, and describes the multiple initiatives the Department has underway to address management problems and issues. For example, preparation of a comprehensive workforce plan ensuring that the Department has the right people in the right places with the right skills is a primary objective of the Human Resources goal. Similarly, setting the strategic direction for Information Resources Management is a critical Diplomatic Readiness objective.

The annual Performance Plan and budget for State Department Operations link the requirements of the Diplomatic Readiness Platform to the 16 Strategic Goals. Moreover, beginning with this State Department Strategic Plan, and the Performance Plan and budget submissions for FY 2002, State planning and budget documents will now reflect the full integration of the ACDA and USIA organizations. ACDA programs and activities have been subsumed under the goal structures dealing with national security, and those of USIA under all strategic goal areas and "Mutual Understanding" -- a separate goal area reflecting the purposes of programs mandated by and funded through the Mutual Educational and Cultural Exchanges Act of 1946, as amended.

Consultations

The leadership of the State Department is committed to applying strategic planning to the management of international affairs policy and its associated resources. Success will require time, an enormous amount of discovery and learning, and a cultural change within the government.

In 1997, the Strategic Planning Team recognized that setting international affairs goals that referred exclusively to the State Department was an artificial exercise that would lead to overlap and confusion. Consequently, the Team formulated an International Affairs Strategic Plan (revised in February 1999) that would establish a comprehensive framework for US foreign policy goals. That plan defined seven national interests in terms of the security, prosperity, and values of the American people. The 16 Strategic Goals were then developed as a framework for promoting and defending these interests in the areas of national security, economic prosperity, American citizens and borders, law enforcement, democracy and human rights, humanitarian response, and

global issues.

In drafting the 1997 plan, the State Department Team referred to the White House National Security Strategy, the National Export Strategy, the National Drug Control Strategy, and other agency plans. Members of the Team held preliminary consultations with over 15 agencies to outline the approach being taken with the International Affairs Strategic Plan, and to ensure that the plan's 16 Goals were in line with the activities of those Federal agencies working overseas.

Since 1997, interagency consultations have evolved considerably. For example, MPPs are now reviewed annually on an interagency basis, with subsequent feedback provided to each mission. State Department Regional Bureau Performance Plans are crafted as regional plans reflecting the goals, programs, and activities of the entire US Government in each region of the world. Reviews of these regional plans are conducted annually by the Secretary of State or her designated representative, and focus on both policy and resource issues.

Every bureau of the Department and every US diplomatic mission has been involved in the ongoing development of performance planning. State continues to hold regular coordination and information meetings at all levels, including briefings for the Secretary and other senior Department leaders. Each MPP is reviewed on an interagency basis under the leadership of the appropriate country desk. Each MPP is also addressed in a feedback message from the Department, covering both policy and resource issues and reflecting the views of concerned Federal agencies. The Secretary or her designee chairs interagency reviews of the performance plans for each geographic region of the world. Numerous specially designed workshops on strategic planning, performance measurement, and program planning take place at the National Foreign Affairs Training Center. Briefings on strategic planning are also regular components of the Ambassadorial, Senior, and Intergovernmental Seminars, Deputy Chief of Mission course, and the Washington Tradecraft and Junior Officer Orientation courses.

To complement the reorganization of the foreign affairs agencies, State held extensive consultations with USIA, ACDA, and AID. As a result, the State and AID Strategic Plans are coordinated with each other, and the Plans of the former ACDA and USIA are fully integrated into the State Department Strategic Plan. Initial consultations have also taken place with DOD, the intelligence community, ONDCP, and the United States Trade Representative.

The Department also has taken serious note of Congressional, GAO, and OIG critiques of its various GPRA mandated strategic planning documents. In general, these critiques have been useful, especially as they relate to management issues, programs, and activities common to most Federal agencies. Given the unique difficulty in applying GPRA criteria to complex international affairs policy issues, however, the Department has attempted to further engage its Congressional committees and the GAO in developing useful and credible performance measures.

LEGAL AUTHORITIES

Following are significant authorities relevant to the goals outlined in the State Department's Strategic Plan for International Affairs (the "Strategic Plan"). This is not intended to be a comprehensive list of all the authorities under which the Department operates in carrying out its missions.

The Constitution vests the President with broad power to manage foreign affairs, including the power to make treaties and appoint ambassadors by and with the advice and consent of the Senate. U.S. Const., Art. II, § 2. See United States v. Curtiss-Wright Export Corp., 299 U.S. 304 (1936). The Secretary of State (the "Secretary") assists the President in carrying out these duties. A statute dating back to 1789, currently codified at 22 U.S.C. § 2656, gives the Secretary authority to carry out such duties as may be entrusted to her by the President relative to the conduct of foreign affairs. In addition, the State Department Basic Authorities Act, P.L. 84-885, as amended (the "Basic Authorities Act"), establishes the organizational structure of the Department and contains many of its operational authorities. The Department draws broadly upon these two statutes in carrying out the goals outlined in the Strategic Plan. Other key authorities of the Department include:

- The Foreign Service Act of 1980, P.L. 96-465, as amended (the "Foreign Service Act"), which in section 207 provides a statutory basis for the authority of Chiefs of Missions over U.S. government personnel in their countries.
- Case-Zablocki Act of 1974, 1 U.S.C. § 112b (the "Case Act") which, notwithstanding any other provision of law, prohibits the conclusion of international agreements by the United States, the United States government, or by any U.S. department or agency without prior consultation with the Secretary.

During 1999, pursuant to the Foreign Affairs Reform and Restructuring Act of 1998, P.L. 105-277, the Arms Control and Disarmament Agency ("ACDA") and the United States Information Agency ("USIA") were integrated into the Department. Among the significant authorities transferred to the Department as part of this integration are provisions of the:

- Arms Control and Disarmament Act of 1961, P.L. 87-297, as amended
- Nuclear Non-Proliferation Act of 1978, P.L. 95-242
- Atomic Energy Act of 1954, P.L. 83-703, as amended
- United States Information and Educational Exchange Act of 1948 (Smith-Mundt Act), P.L. 80-402, as amended

- Mutual Educational and Cultural Exchange Act of 1961 (Fulbright-Hays Act), P.L.87-256, as amended

In addition, the Foreign Relations Authorization Acts, the Foreign Assistance Act of 1961, the Arms Export Control Act, annual Foreign Operations Appropriations Acts, and Appropriations Acts for the Department of State contain relevant provisions, as do numerous specific statutes or treaties, some of which are discussed below.

I. NATIONAL SECURITY

A. Goal: Ensure that local and regional instabilities do not threaten the security and well-being of the United States or its allies.

Article II of the U.S. Constitution, together with numerous statutes, grant the President broad responsibility for national security matters. While the Secretary of Defense has primary responsibility for assisting the President with respect to the conduct of the military and military operations, the Secretary shares this responsibility in the national security area, drawing upon the Department's general foreign affairs authorities to promote national security goals. Relevant statutory provisions include:

- The Foreign Assistance Act of 1961, P.L. 87-195, as amended (the "FAA"), provides authority for a wide range of foreign military and economic assistance programs. Annual Foreign Operations Appropriations Acts provide funding for FAA programs.
- The Arms Export Control Act, P.L. 90-629, as amended (the "AECA"), authorizes the sale of defense articles and services to eligible foreign countries. The AECA also authorizes Department licensing of commercial exports of defense articles and services enumerated on the U.S. Munitions List.

B. Goal: Eliminate the threat to the United States and its allies from Weapons of Mass Destruction (WMD) and destabilizing conventional arms.

The Department is a key player in the formulation of national policy on issues of arms control, nuclear nonproliferation, regional security, export controls, and other defense articles and technology. The AECA is a key authority in helping to curb the proliferation of weapons of mass destruction. Other relevant statutory provisions include:

- Section 407 of the Dire Emergency Supplemental Appropriations and Transfers, Urgent Supplementals, and Correcting Enrollment Errors Act of 1989, P.L. 101-45, provides specific authority for the Under Secretary of State for Arms Control and International Security Affairs to: (1) coordinate United States diplomatic efforts to achieve a missile technology control regime encompassing chemical, biological and nuclear capable missiles; and (2) coordinate U.S. policies for restricting the export to foreign countries of components of missiles that are capable of carrying nuclear, chemical or biological weapons.

- The Chemical and Biological Weapons Control and Warfare Elimination Act of 1991, P.L. 102-182, authorizes sanctions against countries that use chemical or biological weapons (“CBW”) in violation of international law, or use lethal chemical or biological weapons against their own nationals.
- The Iran-Iraq Arms Non-Proliferation Act of 1990, P.L. 102-484, requires the imposition of sanctions against persons or countries that assist Iran or Iraq to acquire WMD or advanced conventional weapons.

II. ECONOMIC PROSPERITY

A. **Goals: (i) Open foreign markets to free the flow of goods, services and capital; and (ii) expand U.S. exports to \$1.2 trillion by 2000.**

The Department develops policy recommendations and has responsibility for certain operational activities affecting international trade. Such activities include, *inter alia*, participation in multilateral and trade negotiations. Key authorities available to the U.S. government include:

- The Trade Act of 1974, P.L. 93-618, as amended (the “Trade Act”), contains in section 301-310 the principal U.S. domestic law mechanism for combating unfair trade practices.
- The Agreement Establishing the World Trade Organization is the principal multilateral agreement affecting trade. This Agreement incorporates, *inter alia*, the General Agreement on Tariffs and Trade (the “GATT”), and contains a mechanism for settling trade disputes between nations. The Uruguay Round Agreements Act, P.L. 103-465, is the implementing legislation for the WTO Agreement.
- The North American Free Trade Agreement (“NAFTA”) regulates substantially all trade among Canada, Mexico and the United States. The NAFTA Implementation Act, P.L. 103-82, governs implementation of the treaty.
- The Omnibus Trade and Competitiveness Act of 1988, P.L. 100-418, as amended, authorized the President to negotiate agreements aimed at reducing tariff and nontariff barriers to U.S. trade. The “Fast Track” authority granted by this statute has expired but the Administration has sought comparable new authority.
- In the aviation area, the Department, working closely with the Department of Transportation, has negotiated bilateral air transport services agreements with all of our significant aviation partners, as well as many other countries. The United States has been very successful in its ongoing effort to liberalize existing agreements, in accordance with 49 USC 40101-46507, by negotiating new agreements under the

“Open Skies” model, to afford U.S. airlines the broadest possible opportunities to expand their markets.

B. Goals: (i) increase global economic growth; and (ii) promote broad-based economic growth in developing and transitional economies.

The World Trade Organization is the primary forum for the liberalization of international trade. As part of the WTO accession process, potential new members are required to adopt economic reforms that will promote growth.

The U.S. works with various International Financial Institutions (“IFIs”) such as the World Bank Group, the Inter-American Development Bank, the African Development Fund and the Asian Development Bank in encouraging market-based reforms in developing countries. While the Treasury Department has the lead role in coordinating U.S. participation in these IFIs, the Department provides foreign policy guidance.

A variety of bilateral treaties help to facilitate trade and investment. For example, treaties of Friendship, Commerce and Navigation (“FCNs”) in force between the U.S. and approximately 50 countries address a variety of issues such as the establishment of businesses and consular relations. The U.S. government also has concluded Bilateral Trade Agreements (“BTAs”) with 25 countries that are transitioning from non-market economies, and nearly 45 Bilateral Investment Treaties (“BITs”) since 1982, with more than 30 BITs now in force. Pursuant to its delegated and statutory authorities, the Department participates fully in bilateral trade negotiations.

III. AMERICAN CITIZENS AND U.S. BORDERS

A. Goal: Enhance the ability of American citizens to live and travel abroad securely.

The Department develops and promulgates policies and procedures for the issuance of passports, visas and related documents. The Department also is engaged in ensuring the protection and welfare of U.S. citizens and interests abroad.

The Department’s authority to grant and issue passports is contained in 22 U.S.C. § 211a. Numerous other statutes provide authority for the Department to facilitate public access to information. For example, 22 U.S.C. § 2656e requires the Department to notify Congress whenever a travel advisory is issued because of a terrorist threat or other security concern. In the area of crisis management, the Department, among its other authorities, has responsibility with respect to the evacuation of U.S. citizens abroad when their lives are endangered by war, civil unrest or natural disaster pursuant to 22 U.S.C. §§ 2671, 4802 and Executive Order 12656.

18 U.S.C. 4100 et seq. authorizes prisoner exchanges with treaty partners, so that Americans may complete prison sentences in their own country. The Department is responsible for negotiation of such treaties.

B. Goal: Control how immigrants and non-immigrants enter and remain in the U.S.

The Department formulates and implements policy relating to immigration and consular services. As part of this function, the Department administers provisions of the Immigration and Nationality Act of 1952, 66 Stat. 163, as amended (the “INA”), codified at Title 8 of the United States Code, and all other immigration and nationality laws relating to the powers, duties and functions of the diplomatic and consular offices of the United States. The INA regulates the travel of eligible foreign nationals to the United States, and gives the U.S. government broad authority to impede the entry of ineligible foreign nationals. The INA gives the Department broad authority to facilitate legal immigration, to identify criminals and terrorists and to inhibit illegal immigration.

IV. LAW ENFORCEMENT

A. Goal: Minimize the impact of international crime on the United States and its citizens

Among the most important functions of the Department in minimizing the impact of international crime on the United States and its citizens is the negotiation and implementation of treaties and other international agreements in the law enforcement area. These agreements create a framework for international cooperation in the fight against transnational crime and provide a legal basis for legal assistance and similar requests to and from the United States.

For example, the United States has in place well over 100 extradition treaties negotiated by the Department and implemented pursuant to 18 U.S.C. §§ 3181 - 3196. Another 4 such treaties have recently received Senate advice and consent to ratification.

Another key authority is Chapter 8 of Part I of the FAA, which authorizes the Secretary, by delegation from the President, to expend funds to a foreign government or international organization for narcotics control or other anti-crime purposes.

B. Goal: Significantly reduce from 1997 levels the entry of illegal drugs into the United States.

The Department draws heavily upon Chapter 8 of Part I of the FAA in pursuit of its mission in this area. That chapter establishes the international narcotics control program and authorizes the means through which both the narcotics control and anti-crime assistance programs are implemented.

Other laws contain provisions relevant to the implementation of Department programs, including other authorities in the FAA, the annual Foreign Operations Appropriations Acts (which include funds for Department programs), several narcotics control acts, the AECA, provisions of DOD authorization acts and the Basic Authorities Act.

C. Goal: Reduce international terrorist attacks, especially on the United States and its citizens.

The United States is a party to all ten major counter-terrorism conventions, which obligate states to assist one another in bringing to justice terrorists involved in hijacking, aviation sabotage, attacks on government officials, nuclear terrorism, hostage-taking, airport attacks and maritime terrorism.

The Department also benefits from numerous domestic authorities to combat terrorism. For example, section 36 of the Basic Authorities Act authorizes the Secretary to pay rewards for information leading to the arrest or conviction of terrorists. Other significant statutes in this area include:

- Section 6(j) of the Export Administration Act of 1979, P.L. 96-72, as amended (the “EAA”), section 40(d) of the AECA, and section 620A of the FAA authorize the Secretary to designate countries whose governments repeatedly provide support for acts of international terrorism. Placing a country on the “Terrorism List” triggers a broad range of trade, foreign assistance, export, and other sanctions.
- The International Emergency Economics Powers Act, P.L. 95-223, as amended (“IEEPA”), authorizes the President to regulate or prohibit a wide range of financial transactions with foreign countries or nationals and has been invoked with respect to terrorism to block financial transactions involving terrorist groups and individuals who threaten to disrupt the Middle East Peace Process. In addition, five of the current seven “Terrorism List” countries are subject to comprehensive embargo under either IEEPA or the Trading with the Enemy Act, 40 Stat. 411, as amended.
- The Antiterrorism and Effective Death Penalty Act of 1996, P.L. 104-32, as amended, includes several authorities for combating terrorism that are specific to the Department or have been delegated to the Secretary by the President.

V. DEMOCRACY

Goal: Increase foreign government adherence to democratic practices and respect for human rights.

Section 1 of the Basic Authorities Act provides that the Assistant Secretary of State for Democracy, Human Rights and Labor is responsible to the Secretary of State for matters pertaining to human rights and humanitarian affairs (including matters relating to prisoners of war and members of the United States Armed Forces missing in action) in the conduct of foreign policy and such other related duties as the Secretary may from time to time designate. For example, the Assistant Secretary for Democracy, Human Rights and Labor assists the Secretary in carrying out her responsibilities under sections 116 and 502B of the FAA and other relevant statutes.

VI. HUMANITARIAN RESPONSE

Goal: Prevent or minimize the human costs of conflict and natural disasters.

The Department seeks to prevent and minimize the human costs associated with conflict and natural disasters.

The Migration and Refugee Assistance Act of 1962, P.L. 87-510, as amended (the “MRAA”), authorizes the appointment of an official to assist the President in performing the refugee and migration functions specified in the MRAA. The functions include assisting refugees and migrants on a bilateral basis and supporting multilateral efforts including those of the U.N. High Commission on Refugees, the International Committee of the Red Cross, and the International Organization for Migration.

Section 491 of the Foreign Assistance Act of 1961, as amended (the “FAA”), authorizes providing assistance for international relief, rehabilitation and reconstruction efforts in the wake of disasters that are either natural or manmade. This authority can be used when a disaster is declared (usually by the U.S. Ambassador or appropriate Assistant Secretary of State).

Section 551 of the FAA authorizes the provision of peacekeeping funds to friendly countries and international organizations for peacekeeping operations and other programs carried out in furtherance of the national security interests of the United States.

VII. GLOBAL ISSUES

A. GOAL: Secure a sustainable global environment in order to protect the U.S. and its citizens from environmental degradation.

The Department formulates and implements policies and proposals relating to the environmental, marine, health, scientific and technological aspects of U.S. foreign policy. As the primary foreign policy arm of the US Government, the Department plays a lead role in the negotiation and implementation of a wide array of international environmental agreements. Scores of treaties, statutes Executive Orders and Presidential Directives provide the basis for Department policies, ongoing activities and assistance programs.

In the area of marine law and policy, for example, numerous treaties, statutes, Executive Orders and Presidential Directives establish the regime for control of US resources and water rights. For example, The Magnuson-Stevens Act, P.L. 94-265, as amended, establishes US jurisdiction over fisheries resources out to 200 miles off the U.S. coast and sets forth principles and procedures for managing such fisheries.

A similar regime of treaties, statutes and Executive Orders provides authority in the area of the environment, natural resources and health. For example, Part I, Chapter 1 of the FAA provides authority and establishes policies for cooperation, particularly with developing countries, on environment and natural resources issues, including tropical forests and endangered species.

The annual Foreign Operations Appropriations Acts provide funds for various international environmental initiatives such as programs to address global warming and to provide environmental-related assistance to Eastern Europe. Other relevant statutory provisions include:

- The North American Agreement on Environmental Cooperation (“NAAEC”). The United States, Canada and Mexico are parties to the NAAEC, the purpose of which is to ensure that the economic growth generated by the North American Free Trade Agreement (“NAFTA”) is accompanied by increased cooperation between the NAFTA governments on environmental issues.
- The Clean Air Act, 42 U.S.C. § 7401 et seq., contains a provision which encourages the United States, through the Secretary, to participate in international agreements designed to protect the stratosphere.
- The Resource Conservation and Recovery Act, P.L. 94-580 (“RCRA”), regulates exports of hazardous wastes.

Finally, a similar regime of statutes, treaties and Executive Orders establishes the Department’s authorities in the area of international scientific cooperation. For example, the Omnibus Trade and Competitiveness Act of 1988, P.L. 100-418, reconfirms the Secretary’s primary responsibility for coordination and oversight with respect to science and technology agreements with foreign governments.

B. GOAL: Stabilize world population growth by 2020.

The Department coordinates U.S. policy concerning population stabilization. The Assistant Secretary for Population, Refugees and Migration coordinates population assistance policies in accordance with applicable laws. Section 104 of the FAA authorizes the President to furnish assistance, on such terms and conditions as he may determine, for voluntary population planning, basic integrated health services, safe water

and sanitation, disease prevention and control, and related health planning and research. USAID is primarily responsible for implementing assistance under these authorities.

C. GOAL: Protect human health and reduce the spread of infectious diseases.

The Department coordinates U.S. policies and participation in international organizations working to protect U.S. health and reduce the spread of infectious diseases. Section 104 of the FAA authorizes the use of appropriated funds for population planning and health and disease prevention. Much of the operational activity in this area is performed by the Agency for International Development.

VIII DIPLOMATIC READINESS:

A. Goal: Enable the US Government to achieve foreign policy objectives and respond to international crisis by cultivating a skilled, motivated, diverse, and flexible workforce.

The Foreign Service Act and various authorities contained in Title 5 of the United States Code broadly address the management and support of Department personnel. These statutes together give the Department broad authority to hire, assign, detail, promote, train, and terminate Department employees.

B. Goal: Strengthen the ability of the United States to achieve its International Affairs goals and respond to crises through effective and efficient information resources management and information systems.

Section 2 of the Basic Authorities Act provides the Department with specific authority to provide telecommunications services. In addition, a necessary expense for carrying out the Department's missions is the development of plans to modernize periodically the Department's hardware and software capabilities; to manage these capabilities in conformity with industry standards; and to train its employees to operate such equipment. Several other statutes, regulations and Executive Orders prescribe the details of how the Department performs its mission in this area. For example, the Department's acquisition of computers is governed by the Federal Acquisition Regulations, 48 C.F.R. Chapter 1.

C. Goal: Establish and maintain infrastructure and operating capacities that enable employees to pursue policy objectives and respond to crises.

The Department's principal authorities in this area are as follows:

- Foreign Service Buildings Act of 1926, P.L. 69-186, as amended, provides authority for the purchase, lease, construction, and repair of real property for the use of the

diplomatic and consular establishments of the United States, and authority to sell properties and to use the proceeds of sale for the purposes of the Act.

- Foreign Missions Act, P.L. 97-241, as amended, provides authority over the activities and operation of foreign missions in the United States, and, to assist in securing appropriate benefits for United States missions and personnel abroad, the ability to limit the benefits, privileges and immunities accorded to such missions based on reciprocity.
- Federal Acquisition Regulation (“FAR”), 48 C.F.R. Chapter 1, and Department of State Acquisition Regulation (“DOSAR”), 48 C.F.R. Chapter 6. FAR provides comprehensive regulatory authority for federal agency acquisitions. DOSAR provides supplemental acquisition regulations for the Department.
- Federal Property Management Regulations (“FPMR”), 41 C.F.R. Chapter 101. FPMR provides government-wide regulations for management and disposition of property.
- Omnibus Diplomatic Security and Antiterrorism Act of 1986, P.L. 99-399, as amended. This Act places authority and responsibility for the security of U.S. Government operations and all U.S. government personnel and dependents at diplomatic and consular missions abroad in the Secretary.

GLOSSARY OF ABBREVIATIONS AND ACRONYMS

A	Bureau of Administration (State)
A/FBO	Foreign Buildings Operations (State)
APEC	Asia Pacific Economic Cooperation Forum
ASEAN	Association of Southeast Asian Nations
ATF	Bureau of Alcohol, Tobacco and Firearms (Treasury)
BIT	Bilateral investment treaty
CA	Bureau of Consular Affairs (State)
CDC	Centers for Disease Control (HHS)
CIA	Central Intelligence Agency
DEA	Drug Enforcement Administration (Justice)
DLEA	Drug law enforcement agency
DOD	Department of Defense
DOE	Department of Energy
DOJ	Department of Justice
DRL	Bureau of Democracy, Human Rights and Labor (State)
DS	Bureau of Diplomatic Security (State)
DTS-PO	Diplomatic Telecommunications Service - Program Office (State)
EB	Bureau of Economic and Business Affairs (State)
ECA	Bureau of Educational and Cultural Affairs (State)
E/CBA	Office of Business Affairs (State)
EPA	Environmental Protection Agency
ESF	Economic Support Funds
EUR	Bureau of European and Canadian Affairs (State)
Ex-ImBank	Export-Import Bank
FAA	Federal Aviation Administration (Transportation)
FBI	Federal Bureau of Investigation (Justice)
FMP	Bureau of Finance and Management Policy (State)
FSI	Foreign Service Institute (State)
G	Under Secretary for Global Affairs (State)
GAO	General Accounting Office
GDP	Gross Domestic Product
H	Bureau of Legislative Affairs (State)
HHS	Department of Health and Human Services
ICASS	International Cooperative Administrative Support Services System
IFI	International financial institution
IIP	Bureau of International Information Programs (State)
INL	Bureau for International Narcotics and Law Enforcement Affairs (State)
INR	Bureau of Intelligence and Research (State)
INS	Immigration and Naturalization Service (Justice)

IO	Bureau of International Organization Affairs (State)
IPMS	Integrated Personnel Management System
IRM	Bureau of Information Management (State)
IT	Information Technology
L	Office of the Legal Adviser (State)
MAI	Multilateral Agreement on Investment
M/CIO	Chief Information Officer (State)
M/DGHR	Bureau of Human Resources (State)
M/FLO	Family Liaison Office (State)
M/MED	Office of Medical Services (State)
M/P	Office of Management Policy and Planning (State)
NEC	National Economic Council
NGO	Non-governmental organization
NOAA	National Oceanic & Atmospheric Administration (Commerce)
NSC	National Security Council
OECD	Organization for Economic Cooperation and Development
OES	Bureau of Oceans and International Environmental and Scientific Affairs (State)
OIG	Office of the Inspector General (State)
OMB	Office of Management and Budget
ONDCP	Office of National Drug Control Policy
OPIC	Overseas Private Investment Corporation
OSM	Overseas Staffing Model
OSTP	Office of Science and Technology Policy
PA	Bureau of Public Affairs (State)
PD	Public Diplomacy
PRM	Bureau of Population, Refugees and Migration (State)
PVO	Private voluntary organization
SADC	South Africa Development Community
S/CT	Coordinator for Counterterrorism (State)
S/EEOCR	Office of Equal Employment Opportunity and Civil Rights (State)
S/NIS	Special Adviser to the Secretary for the New Independent States (State)
S/RPP	Secretary's Office of Resources, Plans, and Policy (State)
S/S-O	Operations Center (State)
T	Under Secretary for Arms Control and International Security (State)
TDA	Trade and Development Agency
UN	United Nations
USAID	United States Agency for International Development
USDA	U.S. Department of Agriculture
USG	United States Government
USOECD	Mission to the Organization for Economic Cooperation and Development
USTR	United States Trade Representative
USUN	U.S. Mission to the United Nations
VWPP	Visa Waiver Pilot Program
WHA	Bureau of Western Hemisphere Affairs (State)

WMD Weapons of mass destruction
WTO World Trade Organization