

DEMOCRACY



Democracy and respect for human rights are central components of U.S. foreign policy. Supporting democracy not only promotes such fundamental American values as religious freedom and worker rights, but also helps create a more secure, stable, and prosperous global arena in which the United States can advance its national interests. The events of September 11 did not change the importance of these issues for the United States. On the contrary, promoting American values and internationally recognized human rights standards remains central to our foreign policy.

Democracy is much more than just elections. The slow development of democracy in some states demonstrates that elections should be regarded not as an end in themselves, but as the means to establish a political system that fosters the growth and self-fulfillment of its citizens by promoting and protecting their political and civil rights. Genuine democracy thus requires not just elections, but respect for human rights, including the right to political dissent; a robust civil society; the rule of law, characterized by vibrant and pluralistic political institutions, constitutionalism, and an independent judiciary; open and competitive economic structures; 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. These principles—combined with free-and-fair elections—form the basis for a culture of democracy.

The United States supports democracy for the long haul. We foster the growth of democratic culture wherever it has a chance of taking hold. We provide support for countries in transition, defend democracies under attack, and strengthen the network of established democracies. Each year, we invest hundreds of millions of dollars in these efforts. We do so not just because it is right, but because it is necessary. Our own security as a nation depends upon the expansion of democracy worldwide, without which repression, corruption, and instability would almost inevitably engulf countries and even regions.

The Department of State coordinates U.S. policy on democracy and human rights. Through its relations with foreign governments and multilateral organizations, officers actively encourage the growth of democratic culture, including respect for human rights. Through its coordination of U.S. 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. Through the annual *Country Reports on Human Rights Practices*, State provides a comprehensive analysis of human rights conditions around the world. The newer *Annual Report on International Religious Freedom* does the same for religious freedom. In 2001, in response to new legislation, the Department issued a new report on *Trafficking in Persons*.

Democracy. New guidelines were established for the Human Rights and Democracy Fund (HRDF) that focus on cutting-edge and innovative projects for key countries of strategic interest. These guidelines will be applied to new grants in FY '02. Progress toward democracy was made in a number of countries, notably Peru, where U.S. assistance facilitated new elections and a transitional government. In Belarus, U.S. assistance to civil society and independent media did not ensure a free-and-fair election, and efforts continue to bring democracy to the country. The U.S. joined other OAS member states in signing the Inter-American Democratic Charter in September 2001 at the OAS Special Session in Lima, Peru. Multilaterally, the Department participated in a major review of the Community of Democracies, which resulted in an administration decision to proceed with participation in a refined CD. In both the Commission on Human Rights and the UN General Assembly, U.S.-supported resolutions on the promotion of democracy were passed.

Human Rights. U.S. policy seeks to promote human rights through objective reporting, effective programming, and an “inside-outside” approach that combines vigorous, external focus on human rights concerns with equally robust support for internal reform. To prevent future abuses, we promote the principles of early warning and preventive diplomacy.

In 2001, the Department issued the 25th annual edition of the *Country Reports on Human Rights Practices*, describing the situation in 195 countries in a publication that is respected globally for its objectivity and accuracy. We planned and carried out human rights dialog with Vietnam and planned for the FY '02 dialog with China, and developed individual country strategies to help ensure that recipients of AGOA preferences address ongoing human rights, worker rights, and democracy concerns. We maintained and strengthened our relations with nongovernmental organizations through regular roundtables on countries such as Colombia and Zimbabwe.

Most of the country resolutions supported by the United States were passed in the Commission on Human Rights. However, the United States was not reelected to the Commission for 2002, and the administration is considering its future course of action.

Corporate responsibility. An important means of ensuring that the benefits of globalization are broadly distributed is the promotion of corporate responsibility. The Department reached agreement with the UK, major corporations, and nongovernmental organizations on the Voluntary Principles on Corporate Security and Human Rights, and began their implementation. In addition, the United States completed negotiations on the renewal of the Cambodian Textile Agreement, which provides trade benefits as an incentive to foster better labor standards and working conditions.

Trafficking in persons. The Department took an active role in combatting trafficking. The first *Trafficking in Persons* report was issued in July 2001, addressing human rights and law enforcement concerns. We cosponsored an antitrafficking resolution in the Commission on Human Rights. A new office, established in October 2001, will consolidate the Department’s anti-trafficking policy and programs.

Religious freedom. The Department continued to place religious freedom issues in the mainstream of U.S. foreign policy, advocating for religious freedom with such Governments as Saudi Arabia, Vietnam, and China. We expanded our outreach program to Muslim-Americans and initiated a new outreach program to Hindu-Americans.

A couple of caveats to this section are important. One, the very global nature of the democracy and human rights portfolio means that it can be difficult to identify performance indicators that are truly global. We, therefore, have avoided including indicators that are country- or region-specific. As a result, the indicators do not reflect as clearly as they could the truly bilateral nature of human rights work. Two, the five performance goals outlined in this section are not ranked for a very specific reason. To rank the five goals in any way could convey the impression that the United States advocates or supports efforts to create a hierarchy of rights, which would run contrary to the basic principle of U.S. foreign policy that all human beings are born free and equal in rights.

National Interest	Democracy and Human Rights	Performance Goal #	DE-01
Strategic Goal			
Democracy			
Outcome Desired			
A worldwide community of democracies where human rights, including worker rights, and religious freedom are universally respected.			
Performance Goal			
Consolidate new democracies and promote greater liberalization of authoritarian regimes.			
FY '01 RESULTS AS OF 9/30/01			
In general terms, DRL and the regional bureaus worked together to use demarches, press statements and other diplomatic instruments to reach targeted countries. Working with USAID and others, we help devise strategies that more actively promote free-and-fair elections.			
Progress was made in a number of countries. In Belarus, the Department aided independent journalists, supported a cross-border radio station and funded a “get out the vote” campaign in “the last dictatorship in Europe.” We also worked with the OSCE and other governments to press the Belarus regime. Although the election in September 2000 was far from free and fair, our efforts helped to develop and protect nascent elements of civil society.			
In Peru, U.S. assistance for vote monitoring and related activities facilitated elections that brought an end to the Fujimori regime and instituted a transitional government.			
New guidelines were established for the Human Rights and Democracy Fund that focus on cutting-edge and innovative projects for key countries of strategic interest. FY '02 grants from this Fund will be made in accordance with these guidelines.			
The Department participated in a major administration review of the Community of Democracies, which resulted in an administration decision to proceed with participation in a refined CD. We are now working with the CD Convening Group to implement these decisions.			
In September, the U.S. joined other Organization of American States (OAS) members in adopting the Inter-American Democracy Charter, a major initiative designed to bolster OAS mechanisms to promote democracy while defending it against all threats			
Performance Indicator	FY '00 Baseline	FY '01 Target	FY '01 Actual
Size of Human Rights and Democracy Fund	\$9 million	\$13.4 million	\$13.0 million
Verification	Source: Congress, H, DRL Storage: Department of State/DRL/DP Frequency: annually Validation: shows commitment		

Performance Indicator	FY '00 Baseline	FY '01 Target	FY '01 Actual
Training for State Department and U.S. Agency for International Development officers working on democracy	Regular DRL/DP presentations in Global Issues Courses	Successful: presentations to A-100, political tradecraft courses Minimal: status quo Unsuccessful: fewer presentations	Presentations were made in political tradecraft and global issues courses.
Verification	Source: DRL/DP, National Foreign Affairs Training Center Storage: DRL/DP Frequency: annually Validation: educates system		
Performance Indicator	FY '00 Baseline	FY '01 Target	FY '01 Actual
United Nations resolutions on the right to democracy	United Nations Commission on Human Rights passed a resolution on the right to democracy for the second straight year.	Successful: UNGA passes resolution on right to democracy Minimal: UNCHR passes resolution for third year Unsuccessful: no resolution	UNCHR resolution on promotion of democracy was passed; similar resolution passed in UNGA plenary; U.S.-sponsored resolution on supporting UN democracy programs passed with more cosponsors than previously.
Verification	Source: United Nations, post reporting Storage: Department of State/DRL/MLA Frequency: annually Validation: secures recognition of universality of principles		
Performance Indicator	FY '00 Baseline	FY '01 Target	FY '01 Actual
Community of Democracies (CD)	Community of Democracies holds its first ministerial in Warsaw.	Successful: establish Community of Democracies Caucus at United Nations General Assembly Minimal: Community of Democracies Caucus discussed Unsuccessful: no meetings	CD Caucus at UNGA was established and met.
Verification	Source: Department of State/DRL/DP, S/P Storage: Department of State/DRL/DP Frequency: annually Validation: promotes democracy		

Countries	<p><u>Worldwide, with priority focus on</u></p> <ul style="list-style-type: none"> • AF: Angola, Democratic Republic of the Congo, Equatorial Guinea, Eritrea, Ethiopia, Ghana, Kenya, Mali, Nigeria, Rwanda, Sierra Leone, South Africa, Sudan, Togo, Uganda, Zimbabwe • EAP: Australia, Burma, Cambodia, China (incl. Hong Kong), Fiji, Indonesia, Japan, Republic of Korea, Laos, Malaysia, Mongolia, North Korea, Philippines, Singapore, Thailand, Vietnam • EUR: Albania, Austria, Belgium, Bosnia-Herzegovina, Bulgaria, Croatia, France, Germany, Greece, Hungary, Italy, Netherlands, Poland, Romania, Serbia-Montenegro (including Kosovo), Spain, Turkey, United Kingdom (Northern Ireland only), Armenia, Azerbaijan, Belarus, Georgia, Kazakhstan, Kyrgyz Republic, Moldova, Turkmenistan, Russian Federation, Ukraine, Uzbekistan • NEA: Algeria, Egypt, Iran, Iraq, Israel (including Occupied Territories and Palestinian Authority), Jordan, Morocco, Saudi Arabia, Tunisia, United Arab Emirates, Yemen • SA: Afghanistan, Bangladesh, India, Nepal, Pakistan, Sri Lanka • WHA: Argentina, Brazil, Caribbean states, Chile, Colombia, Cuba, Ecuador, El Salvador, Guatemala, Haiti, Mexico, Nicaragua, Peru, Suriname, Venezuela
Complementary U.S. Government Activities (Non-Department of State)	<p>Commerce: judicial training and education;</p> <p>Defense: military assistance, training and sales programs;</p> <p>HHS: HIV/AIDS education and awareness programs;</p> <p>Judiciary: training and assistance to foreign judicial systems;</p> <p>Justice: judicial assistance programs, immigration policies and procedures, antitrafficking measures;</p> <p>Labor: programs that promote worker rights, support the ILO, and eradicate child labor;</p> <p>NSC: interagency working groups, democracy coordination;</p> <p>Treasury: tracking IMF and World Bank activities to ensure protection of worker rights;</p> <p>U.S. Agency for International Development: Democracy Center - sustainable, democratic development programs; and</p> <p>U.S. Trade Representative: monitoring and analysis of internationally recognized worker rights.</p>

Lead Agency	Department of State/DRL
Partners	<p>Department of State: AF, EAP, EUR, NEA, SA, WHA, G, P, R, L, H, M, T, IO, INL, OES, PRM, S/P, CA, PICW, S/WCI, S/RPP</p> <p>Other U.S. Government: U.S. Agency for International Development, Justice, Defense, Health and Human Services, INS, Commerce, Labor, Treasury, U.S. Trade Representative, NSC, Congress, Judiciary, U.S. Holocaust Memorial Museum, U.S. Institute of Peace, National Endowment for Democracy, U.S. Commission on International Religious Freedom</p> <p>Multilateral: United Nations, Organization of American States, Organization for African Unity, Association of South East Asian Nations, Organization for Security and Cooperation in Europe, North Atlantic Treaty Organization, European Union, ILO, WTO, Community of Democracies</p> <p>Nongovernmental organizations: media, AFL-CIO, corporations, religious organizations, international financial institutions</p>

National Interest	Democracy and Human Rights	Performance Goal #	DE-02
Strategic Goal			
Democracy			
Outcome Desired			
A worldwide community of democracies where human rights, including worker rights, and religious freedom, are universally respected.			
Performance Goal			
Greater respect for human rights around the world.			
FY '01 RESULTS AS OF 9/30/01			
<p>U.S. human rights policy begins with objective and comprehensive reporting. The Department published the 25th annual edition of the <i>Country Reports on Human Rights Practices</i>, critically assessing the human rights and democracy performance of 195 countries and providing a reference for diplomatic discussions. Human rights issues were addressed through both bilateral and multilateral mechanisms.</p> <p>In the 57th Commission on Human Rights, the United States helped ensure passage of the crucial Cuba resolution, as well as those on Sudan, FRY, Iraq, Iran, and Chechnya. However, the China resolution was again defeated on a procedural motion. In the UNGA's Third Committee, we also secured passage of high-priority resolutions, including Burma, Afghanistan, and terrorism and human rights.</p> <p>The United States was not reelected to the Commission on Human Rights for 2002, and during the performance period, the administration was considering its future course of action, both as an observer for 2002 and for future candidacy for the Commission.</p> <p>Bilaterally, the Department developed and carried out human rights dialogs with countries including China, Vietnam, and Sri Lanka. We developed individual country strategies to help ensure that recipients of preferences under the African Growth and Opportunity Act (AGOA) addressed ongoing human rights, worker rights, and democracy concerns.</p> <p>We maintained and strengthened our relations with nongovernmental organizations through a series of roundtables on such countries as Zimbabwe, Colombia, and China, as well as on the Human Rights Commission. At the Commission, we joined with NGOs to present high-profile roundtables for delegates, the press, and public on repressive regimes and on media and Internet freedom.</p> <p>The Department increased its emphasis on trafficking in persons as an important part of human rights policy. The new <i>Trafficking in Persons</i> report was issued in July 2001, in response to new legislation. The report addresses human rights and law enforcement concerns. In addition, we cooperated with the Stability Pact Task Force on Trafficking to support antitrafficking efforts in Southeast Europe. The United States cosponsored an antitrafficking resolution in the Commission on Human Rights.</p> <p>Direct support for antitrafficking programs included funding through certain of the Partnership To Eliminate Sweatshops program grants and a program to provide victim advocacy support in Kosovo.</p> <p>The management of the Department's trafficking policy and programs will shift in FY '02 with the establishment of the Office to Monitor and Combat Trafficking in Persons. This office was created in October 2001 and reports directly to Under Secretary Dobriansky.</p> <p>Public diplomacy programs addressed several human rights issues of importance; for example, DRL and ECA organized a study tour for foreign NGO leaders and educators to examine U.S. advances in tolerance and antiracism education programs.</p>			

Performance Indicator	FY '00 Baseline	FY '01 Target	FY '01 Actual
Leahy amendment limits on security assistance	Leahy amendment made operational by DRL	Successful: Leahy monitoring fully institutionalized Minimal: Leahy monitoring partially implemented Unsuccessful: Leahy monitoring not implemented	Leahy monitoring was partially implemented, and was effective for certain countries. A Department-wide vetting procedure was in place.
Verification	Source: Mission, NGO, media, and intelligence reporting Storage: Department of State/DRL/BA, INR Frequency: annually		
Performance Indicator	FY '00 Baseline	FY '01 Target	FY '01 Actual
Country-specific resolutions at the United Nations Commission on Human Rights	Commission action on country-specific resolutions subject to political factors; most U.S.-supported resolutions pass	Successful: all U.S.-sponsored or co-sponsored resolutions pass Minimal: all but one passes (comparable to FY '00) Unsuccessful: more than one resolution defeated	Most major country resolutions sponsored or cosponsored by the United States were passed, with the exception of the China resolution.
Verification	Source: UNCHR, Mission reporting Storage: Department of State/DRL/MLA, U.S. Mission in Geneva, UNCHR Frequency: annually		
Performance Indicator	FY '00 Baseline	FY '01 Target	FY '01 Actual
Enhanced training for U.S. Government officials on combating trafficking	No training provided	Successful: presentations in Political Tradecraft, A-100, Global Issues courses Minimal: presentations in Global Issues Unsuccessful: status quo	Training sessions were provided in A-100, political tradecraft, Global Issues courses.
Verification	Source: Department of State/DRL/SEA, NFATC Storage: DRL/SEA Frequency: annually Validation: enhancing FSO awareness of issue will integrate issue into U.S. policy		

Performance Indicator	FY '00 Baseline	FY '01 Target	FY '01 Actual
Antitrafficking protocol to the crime convention	Negotiations are underway, but are bogged down in debate over definition of prostitution.	Successful: U.S. signs antitrafficking protocol. Minimal: negotiators resolve debate over definition of prostitution. Unsuccessful: status quo	The U.S. signed the trafficking protocol on 12/12/2000, the first day on which it was open for signature.
Verification	Source: Department of State/DRL/SEA, INL Storage: DRL/SEA Frequency: annually Validation: establishes international standard		
Performance Indicator	FY '00 Baseline	FY '01 Target	FY '01 Actual
Institutionalization of reporting on trafficking	Separate section on trafficking introduced	Successful: section on trafficking significantly expanded Minimal: section on trafficking expanded, but not significantly Unsuccessful: no expansion	The new <i>Trafficking in Persons</i> report required by legislation, was issued in July 2001; the trafficking section of the <i>Country Reports on Human Rights Practices</i> was expanded.
Verification	Source: Mission reporting, Department of State/DRL/CRA, Congress Storage: DRL/CRA Frequency: annually Validation: growth of reporting shows commitment to issue		
Countries	Worldwide, with priority focus on: <ul style="list-style-type: none"> • AF: Angola, Democratic Republic of the Congo, Equatorial Guinea, Eritrea, Ethiopia, Ghana, Kenya, Mali, Nigeria, Rwanda, Sierra Leone, South Africa, Sudan, Togo, Uganda, Zimbabwe • EAP: Australia, Burma, Cambodia, China (including Hong Kong), Fiji, Indonesia, Japan, Republic of Korea, Laos, Malaysia, Mongolia, North Korea, Philippines, Singapore, Thailand, Vietnam • EUR: Albania, Austria, Belgium, Bosnia and Herzegovina, Bulgaria, Croatia, France, Germany, Greece, Hungary, Italy, Netherlands, Poland, Romania, Serbia-Montenegro (including Kosovo), Spain, Turkey, United Kingdom (Northern Ireland only), Armenia, Azerbaijan, Belarus, Georgia, Kazakhstan, Kyrgyz Republic, Moldova, Turkmenistan, Russian Federation, Ukraine, Uzbekistan • NEA: Algeria, Egypt, Iran, Iraq, Israel (including Occupied Territories and Palestinian Authority), Jordan, Morocco, Saudi Arabia, Tunisia, United Arab Emirates, Yemen • SA: Afghanistan, Bangladesh, India, Nepal, Pakistan, Sri Lanka • WHA: Argentina, Brazil, Caribbean states, Chile, Colombia, Cuba, Ecuador, El Salvador, Guatemala, Haiti, Mexico, Nicaragua, Peru, Suriname, Venezuela 		

<p>Complementary U.S. Government Activities (Non-Department of State)</p>	<p>Commerce: Judicial training and education; Defense: Military assistance, training, and sales programs; HHS: HIV/AIDS education and awareness programs; Judiciary: Training and assistance to foreign judicial systems; Justice: Judicial assistance programs, immigration policies and procedures, antitrafficking measures; Labor: Programs that promote worker rights, support the ILO, and eradicate child labor; NSC: Interagency working groups, democracy coordination, World Conference Against Racism; Treasury: Tracking IMF and World Bank activities to ensure protection of worker rights; U.S. Agency for International Development: Democracy Center, sustainable, democratic development programs; and U.S. Trade Representative: Monitoring and analysis of internationally recognized worker rights</p>
<p>Lead Agency</p>	<p>Department of State/DRL</p>
<p>Partners</p>	<p>Department of State: AF, EAP, EUR, NEA, SA, WHA, G, P, R, L, H, M, T, IO, INL, OES, PRM, S/P, CA, PICW, S/WCI, S/RPP Other U.S. Government: U.S. Agency for International Development, Justice, Defense, Health and Human Services, INS, Commerce, Labor, Treasury, U.S. Trade Representative, NSC, Congress, Judiciary, U.S. Holocaust Memorial Museum, U.S. Institute of Peace, National Endowment for Democracy, U.S. Commission on International Religious Freedom Multilateral: United Nations, Organization of American States, Organization for African Unity, Association of South East Asian Nations, Organization for Security and Cooperation in Europe, North Atlantic Treaty Organization, European Union, ILO, WTO, Community of Democracies Nongovernmental organizations: financial institutions international, media, AFL-CIO, corporations, religious organizations</p>

National Interest	Democracy and Human Rights	Performance Goal #	DE-03
Strategic Goal			
Democracy			
Outcome Desired			
A worldwide community of democracies where human rights, including worker rights, and religious freedom are universally respected.			
Performance Goal			
Expand observance of worker rights, in context of broader participation in global economic growth and prosperity.			
FY '01 RESULTS AS OF 9/30/01			
<p>The Partnership To Eliminate Sweatshops made substantial progress in working with nongovernmental organizations, governments, and private enterprise to eliminate sweatshop conditions in several regions. The first set of grants were issued during the performance period, and plans were made for a workshop to exchange information on best practices.</p> <p>The Department and other agencies carried out successful negotiations with Cambodia to renew the Textile Agreement, which provides trade benefits as an incentive to foster better labor standards and working conditions, and also with Cote d'Ivoire to join the International Program for the Elimination of Child Labor (IPEC) and engage in regional projects to eliminate child labor, trafficking in persons, and slave labor on coca plantations.</p> <p>In spite of our attention to the problem, the assassination of trade union leaders in Colombia has continued unabated.</p> <p>The Department completed the negotiations of the U.S.-UK Voluntary Principles on Corporate Security and Human Rights in January 2001, and cochaired plenary sessions of the corporate, government, and nongovernmental organizations participants in the process.</p>			
Performance Indicator	FY '00 Baseline	FY '01 Target	FY '01 Actual
Work of Secretary's Advisory Committee on Labor Diplomacy (ACLD)	ACLD issues initial report, makes initial recommendations.	Successful: recommendations implemented, charter renewed Minimal: charter renewed Unsuccessful: ACLD disbanded	Charter extended to 12/31/2001. The Department accepted the majority of the ACLD recommendations; some have been implemented.
Verification	Source: Department of State/DRL/IL, ACLD Storage: DRL/IL Frequency: annually		

Performance Indicator	FY '00 Baseline	FY '01 Target	FY '01 Actual
Funding of U.S. Government Anti-Sweatshop Initiative	\$4 million	\$5 million	\$4 million
Verification	Source: Congress, Department of State/DRL/IL Storage: DRL/IL Frequency: annually		
Performance Indicator	FY '00 Baseline	FY '01 Target	FY '01 Actual
U.S. Government support for International Program on the Elimination of Child Labor (IPEC)	U.S. provides \$30 million to support IPEC.	U.S. Government provides: \$45 million to support IPEC; \$55 million to support U.S. Agency for International Development education programs.	\$45 million for IPEC
Verification	Source: ILO, Congress, Department of State/ DRL/IL Storage: DRL/IL Frequency: annually		
Countries	<u>Worldwide, with priority focus on</u> <ul style="list-style-type: none"> • AF: Angola, Democratic Republic of the Congo, Equatorial Guinea, Eritrea, Ethiopia, Ghana, Kenya, Mali, Nigeria, Rwanda, Sierra Leone, South Africa, Sudan, Togo, Uganda, Zimbabwe • EAP: Australia, Burma, Cambodia, China (include Hong Kong), Fiji, Indonesia, Japan, Republic of Korea, Laos, Malaysia, Mongolia, North Korea, Philippines, Singapore, Thailand, Vietnam • EUR: Albania, Austria, Belgium, Bosnia-Herzegovina, Bulgaria, Croatia, France, Germany, Greece, Hungary, Italy, Netherlands, Poland, Romania, Serbia-Montenegro (including Kosovo), Spain, Turkey, United Kingdom (Northern Ireland only), Armenia, Azerbaijan, Belarus, Georgia, Kazakhstan, Kyrgyz Republic, Moldova, Turkmenistan, Russian Federation, Ukraine, Uzbekistan • NEA: Algeria, Egypt, Iran, Iraq, Israel (including Occupied Territories and Palestinian Authority), Jordan, Morocco, Saudi Arabia, Tunisia, United Arab Emirates, Yemen • SA: Afghanistan, Bangladesh, India, Nepal, Pakistan, Sri Lanka • WHA: Argentina, Brazil, Caribbean states, Chile, Colombia, Cuba, Ecuador, El Salvador, Guatemala, Haiti, Mexico, Nicaragua, Peru, Suriname, Venezuela 		

<p>Complementary U.S. Government Activities (Non-Department of State)</p>	<p>Commerce: Judicial training and education; Defense: Military assistance, training and sales programs; HHS: HIV/AIDS education and awareness programs; Judiciary: Training and assistance to foreign judicial systems; Justice: Judicial assistance programs, immigration policies and procedures, antitrafficking measures; Labor: Programs that promote worker rights, support the ILO, and eradicate child labor; NSC: Interagency working groups, democracy coordination, World Conference Against Racism; Treasury: Tracking IMF and World Bank activities to ensure protection of worker rights; U.S. Agency for International Development: Democracy Center, sustainable, democratic development programs; and U.S. Trade Representative: Monitoring and analysis of internationally recognized worker rights</p>
<p>Lead Agency</p>	<p>Department of State/DRL</p>
<p>Partners</p>	<p>State: AF, EAP, EUR, NEA, SA, WHA, G, P, R, L, H, M, T, IO, INL, OES, PRM, S/P, CA, PICW, S/WCI, S/RPP Other U.S. Government: U.S. Agency for International Development, Justice, Defense, Health and Human Services, INS, Commerce, Labor, Treasury, U.S. Trade Representative, NSC, Congress, Judiciary, U.S. Holocaust Memorial Museum, U.S. Institute of Peace, National Endowment for Democracy, U.S. Commission on International Religious Freedom Multilateral: United Nations, Organization of American States, Organization for African Unity, Association of South East Asian Nations, Organization for Security and Cooperation in Europe, North Atlantic Treaty Organization, European Union, ILO, WTO, Community of Democracies Nongovernmental organizations: international financial institutions, media, AFL-CIO, corporations, religious organizations</p>

National Interest	Democracy and Human Rights	Performance Goal #	DE-04
Strategic Goal			
Democracy			
Outcome Desired			
A worldwide community of democracies where human rights, including worker rights, and religious freedom, are universally respected.			
Performance Goal			
Worldwide acceptance of freedom of religion and conscience			
FY '01 RESULTS AS OF 9/30/01			
<p>The Department continued to place religious freedom issues in the mainstream of U.S. foreign policy. The Office of International Religious Freedom (IRF) staff advocated for U.S. policy on IRF with Governments abroad, including China, Laos, Vietnam, Saudi Arabia, and Egypt and met with victims of religious persecution.</p> <p>The Department discussed foreign assistance programming on religious freedom issues with USAID, but no decisions were reached during the year.</p> <p>The Department prepared the third Annual Report on International Religious Freedom, although its delivery, scheduled for September 2001, was delayed until October, due to the events of September 11.</p> <p>To expand the constituency for international religious freedom, and to seek input from concerned U.S. NGOs and religious groups, IRF expanded its outreach program to Muslim Americans, helped organize the Secretary's Iftaar dinner, began a Hindu Roundtable, and briefed a wide variety of student, NGO, academic, and religious groups.</p> <p>IRF staff also provided training to State Department employees on international religious freedom issues at the Foreign Service Institute.</p>			
Performance Indicator	FY '00 Baseline	FY '01 Target	FY '01 Actual
State Department-wide awareness of U.S. religious freedom policy	Department conference on religion and foreign policy	Successful: two conferences Minimal: status quo Unsuccessful: no conferences	A conference on Islam and Foreign Policy was held in November 2000.
Verification	Source: Department of State/DRL/IRF, IRM/RES Storage: DRL/IRF Frequency: annually		

Performance Indicator	FY '00 Baseline	FY '01 Target	FY '01 Actual
Foreign assistance programming	No foreign assistance programming devoted to promoting religious freedom	Successful: U.S. Agency for International Development agrees to implement IRF-related programs Minimal: issue debated, but no resolution reached Unsuccessful: status quo	Discussions were held with USAID but no decisions were reached; consultations are ongoing.
Verification	Source: DRL/IRF, U.S. Agency for International Development Storage: DRL/IRF Frequency: annually		
Performance Indicator	FY '00 Baseline	FY '01 Target	FY '01 Actual
Outreach to faith-based communities	Islamic Roundtable outreach program	Successful: new program Minimal: Islamic outreach Unsuccessful: no outreach to faith-based communities	The Islamic Roundtable met several times during the year. A new outreach program, the Hindu Roundtable, met for the first time. The Secretary hosted an Iftaar dinner to reach out to the Muslim-American community.
Verification	Source: DRL/IRF, DRL/BA Storage: DRL/IRF, DRL/BA Frequency: annually		
Countries	<u>Worldwide, with priority focus on</u> <ul style="list-style-type: none"> • AF: Angola, Democratic Republic of the Congo, Equatorial Guinea, Eritrea, Ethiopia, Ghana, Kenya, Mali, Nigeria, Rwanda, Sierra Leone, South Africa, Sudan, Togo, Uganda, Zimbabwe • EAP: Australia, Burma, Cambodia, China (including Hong Kong), Fiji, Indonesia, Japan, Republic of Korea, Laos, Malaysia, Mongolia, North Korea, Philippines, Singapore, Thailand, Vietnam. • EUR: Albania, Austria, Belgium, Bosnia-Herzegovina, Bulgaria, Croatia, France, Germany, Greece, Hungary, Italy, Netherlands, Poland, Romania, Serbia-Montenegro (including Kosovo), Spain, Turkey, United Kingdom (Northern Ireland only), Armenia, Azerbaijan, Belarus, Georgia, Kazakhstan, Kyrgyz Republic, Moldova, Turkmenistan, Russian Federation, Ukraine, Uzbekistan • NEA: Algeria, Egypt, Iran, Iraq, Israel (including Occupied Territories and Palestinian Authority), Jordan, Morocco, Saudi Arabia, Tunisia, United Arab Emirates, Yemen • SA: Afghanistan, Bangladesh, India, Nepal, Pakistan, Sri Lanka • WHA: Argentina, Brazil, Caribbean states, Chile, Colombia, Cuba, Ecuador, El Salvador, Guatemala, Haiti, Mexico, Nicaragua, Peru, Suriname, Venezuela 		

<p>Complementary U.S. Government Activities (Non-Department of State)</p>	<p>Commerce: judicial training and education; Defense: military assistance, training, and sales programs; HHS: HIV/AIDS education and awareness programs; Judiciary: training and assistance to foreign judicial systems; Justice: judicial assistance programs, immigration policies and procedures, anti-trafficking measures; Labor: programs that promote worker rights, support the ILO, and eradicate child labor; NSC: interagency working groups, democracy coordination; Treasury: tracking IMF and World Bank activities to ensure protection of worker rights; U.S. Agency for International Development: Democracy Center, sustainable, democratic development programs; and U.S. Trade Representative: monitoring and analysis of internationally recognized worker rights;</p>
<p>Lead Agency</p>	<p>Department of State/ DRL</p>
<p>Partners</p>	<p>Department of State: AF, EAP, EUR, NEA, SA, WHA, G, P, R, L, H, M, T, IO, INL, OES, PRM, S/P, CA, PICW, S/WCI, S/RPP Other U.S. Government: U.S. Agency for International Development, Justice, Defense, Health and Human Services, INS, Commerce, Labor, Treasury, U.S. Trade Representative, NSC, Congress, Judiciary, U.S. Holocaust Memorial Museum, U.S. Institute of Peace, National Endowment for Democracy, U.S. Commission on International Religious Freedom Multilateral: United Nations, Organization of American States, Organization for African Unity, Association of South East Asian Nations, Organization for Security and Cooperation in Europe, European Union, ILO, WTO, Community of Democracies Nongovernmental organizations: international financial institutions, media, AFL-CIO, corporations, religious organizations</p>

HUMANITARIAN RESPONSE



The American people, in both their opinions and behavior, believe that they and their government should be leaders in helping those suffering from conflict or natural disasters even when there may be no threat to U.S. security interests. The following three papers articulate the Department's report on how it addressed the strategic goal of "preventing or minimizing the human cost of conflict and natural disasters" in 2001.

The Department of State takes the lead in diplomatic efforts bilaterally and multilaterally to prevent or minimize conflict through negotiated settlement. 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. When humanitarian crises occur, the Department of State helps to urge and coordinate responses by other donor countries and international organizations, and often plays a key role in implementation in the field.

The Department of 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 the U.S. Agency for International Development and other humanitarian assistance programs.

The Department of State works with governing bodies of relevant international organizations to urge them to maintain fully developed emergency response plans. State directly funds selected capacity-building programs for international organizations and nongovernmental organizations. It supports UN information collection and dissemination activities and assistance programs related to complex humanitarian emergencies.

The Department of State coordinates, funds, and manages overseas refugee admissions programs as both a means of protecting refugees and seeking durable solutions. The Department of State advises the Department of Justice on asylum cases and on the granting of Temporary Protected Status.

The National Security Council chairs the Policy Coordinating Committee (PCC) on Democracy, Human Rights, and International Operations, which, among other things, sets U.S. humanitarian demining policy and decides which nations will receive U.S. assistance. The Department of State works through the PCC Subgroup on Humanitarian Demining with the Department of Defense, U.S. Agency for International Development and other PCC members to coordinate U.S. assistance and ensure the development of humanitarian demining programs.

The Department of State leads the Global Disaster Information Network (GDIN), an international body, in partnership with the United Nations, the European Commission, the World Bank, and other international organizations, governments, nongovernmental organizations, and private entities. GDIN is an effort to streamline the use of remote sensing and mapping technologies and disaster information in general for use in disaster mitigation and response.

National Interest	Humanitarian Response	Performance Goal #	HA-01
Strategic Goal			
Prevent or minimize the human costs of conflicts and natural disasters.			
Outcome Desired			
Effective protection and assistance to refugees and conflict victims, provided efficiently and in accordance with established standards of care, and implementation of durable solutions, including resettlement.			
Performance Goal			
Promote equal access to effective protection and assistance for refugees and conflict victims.			
Maintain multilaterally coordinated mechanisms for effective and efficient humanitarian response according to internationally accepted standards.			
Support voluntary repatriation and sustainable reintegration of refugees in the country of origin.			
Provide U.S. resettlement opportunities to refugees who need it and encourage other countries to do so.			
FY '01 RESULTS AS OF 9/30/01			
<ul style="list-style-type: none"> • The Department responded to emergency refugee crises as they emerged throughout the year, while supporting ongoing programs to provide effective protection and assistance for the nearly 23 million refugees and “persons of concern” to the UN High Commissioner for Refugees (UNHCR) and to conflict victims. • Most of our work was accomplished through contributions to our major multilateral humanitarian partners—including UNHCR, the International Committee of the Red Cross (ICRC), the United Nations Relief and Works Agency for Palestine Refugees in the Near East (UNRWA), the World Food Program (WFP), and the International Organization for Migration (IOM)—as well as numerous nongovernmental organizations. Our contributions were followed up with solid leadership in and promotion of coordination among these organizations. One important initiative was establishment of an annual “Framework for Cooperation” with UNHCR, which defines our key objectives with this organization and the strategies for meeting them. • The Department has been successful in its support for “durable solutions” for many refugee populations over the past year, especially for the most-favored solution—voluntary repatriation. We supported repatriation and reintegration programs for persons from Eritrea, Somalia, Sierra Leone, East Timor, and various countries in the Balkans. As the situation inside Afghanistan improves in 2002, we anticipate the repatriation of significant numbers of Afghan refugees in Pakistan and Iran. The Department will closely follow these movements and support the return and reintegration process. • Data collection mechanisms for crude mortality rate (CMR) estimates were strengthened through joint initiatives by State/PRM and USAID. The results of these initiatives are a more reliable and comprehensive data set with which to measure and track CMR in key geographic areas. These efforts also created tools that U.S.-funded international organizations can use to monitor and improve performance. Next steps will include strategies for using these new tools to improve timeliness and quality of responses. • No extraordinary suffering for prolonged periods was reported among refugee populations, as measured by crude mortality rates (CMR). However, internally displaced persons in some situations (notably Afghanistan, Democratic Republic of Congo, and Angola) experienced periods where CMRs exceeded 1 per 10,000 per day. Some measures have been taken to address these concerns, especially through better planning and coordination with the U.S. Agency for International Development. Yet, conditions of these IDPs remain a concern. 			

FY '01 RESULTS AS OF 9/30/01 (cont'd)

- The Department organized and assisted the resettlement of more than 69,000 refugees into U.S. communities in FY '01. To ensure quality in these reception and placement programs, PRM initiated a program with private voluntary organizations to develop and implement well-defined "standards of care" for resettled refugees. These measures have increased program quality.
- The State Department's Office of the Inspector General (OIG) conducted an evaluation of the Bureau of Population, Refugees, and Migration's (PRM) assistance programs for refugee women in 2001. The report concluded that our strategies were well-targeted and that implementation was generally effective. Some recommendations suggested the need for better followup, tracking, and evaluation of performance, and PRM is working on developing these mechanisms, including a database.
- The Department expects to perform at similarly successful levels in FY '02. Barring unforeseen emergencies, the Department expects that assistance and protection programs for refugees will continue to meet basic needs. A major program focus of the next year will likely be the return and reintegration of Afghan refugees. Because of restrictions placed on the refugee admissions and resettlement program in the wake of the September 11 terrorist attacks, we face significant challenges in reaching the President's ceiling of 70,000.

Indicator	FY '99 Baseline	FY '00 Actual	FY '01 Target	FY '01 Actual
Crude Mortality Rates (CMR)	No extraordinary suffering reported among refugee populations.	No extraordinary suffering reported among refugee populations.	Crises do not exceed a crude mortality rate of > 1 per 10,000 people/day for an extended period. Establish links to existing data collection and analysis efforts, e.g., U.S. Agency for International Development's pilot countries for data collection, to monitor mortality rates and nutritional status and take measures to address any problems of excess mortality. Evaluate the need for additional data collection mechanisms.	No extraordinary suffering for prolonged periods was reported among refugee populations. Internally displaced persons in some situations (notably Afghanistan, Democratic Republic of Congo, Sierra Leone, and Angola) did experience some periods where CMRs exceeded 1 per 10,000 per day. Measures were taken to address these concerns, yet Individual Development Plan conditions remain a concern. Data collection mechanisms for Crude Mortality Rates estimates were strengthened through joint initiatives by State/PRM and USAID. The results of these initiatives are a more reliable and comprehensive data set with which to measure and track CMR in key geographic areas. These efforts are also creating tools that U.S.-funded international organizations can use to monitor and improve performance. Proper utilization of these tools to improve timeliness and effectiveness of responses is a next step.
Verification	<p>Source: Reports from WHO, OCHA, WFP, UNHCR, and nongovernmental organizations</p> <p>Storage: U.S. Agency for International Development, PRM</p> <p>Validation: Crude mortality rates and nutritional status in refugee populations are accepted indicators of the extent to which the international community is meeting minimum standards of care (see www.sphereproject.org). The Department does not regularly collect and maintain mortality rate and nutritional status information, but relies on reports when excessive mortality rates threatens to become a problem. PRM is working with U.S. Agency for International Development in piloting standardized reporting of CMR in 8 sites in 8 countries and nutritional status in 13 sites in 8 countries.</p>			

Indicator	FY '99 Baseline	FY '00 Actual	FY '01 Target	FY '01 Actual
<p>Number of UNHCR repatriation programs ended 2 years after a majority of refugees return or find other durable solutions.</p>	<p>Both Guatemala and Mali repatriations were concluded in 1999, but only after extensions that served to pull UNHCR further into reintegration and development than is preferred.</p>	<p>Refugee repatriation and reintegration programs in Kosovo and East Timor are phasing out.</p>	<p>Successful: conclusion of at least one-third of the repatriation programs where the majority of refugees have been home for 2 years or more.</p> <p>Minimally Effective: conclusion of less than one-third, but still a decrease in the number of repatriation programs for which funding has been required for more than 2 years.</p> <p>Unsuccessful: no decrease in the number of repatriation programs for which funding has been required for more than 2 years.</p>	<p>Successful. UNHCR's repatriation programs for East Timorese refugees are almost over and are being turned over to development agencies. UNHCR currently is planning for FY '02 a 1-year program to facilitate the local integration or repatriation of the remaining East Timorese in West Timor.</p> <p>Repatriation programs for Kosovar Albanians have concluded and continuing reintegration needs are being turned over to development agencies. UNHCR has completed most of its assistance programs for refugee returnees, but continues to provide protection and assistance to some 220,000 minority IDP populations in Kosovo and Serbia. Returns of IDPs Serbs to Kosovo have just begun.</p> <p>UNHCR repatriation programs are underway for Eritrean, Sierra Leonean, and Somali refugees and will be the subject of future evaluations.</p> <p>A major repatriation program for Afghan refugees is likely to be initiated in the spring of 2002 and will also be an important subject of future evaluation.</p>
Verification	<p>Source: United Nations High Commissioner for Refugees planning documents and reports of repatriation programs Storage: Department of State/PRM Validation: repatriation is one of the three "durable solutions" for refugees. The conclusion of such programs indicates "success" because refugees have returned to their homes and the international community can devote scarce resources to other refugee needs.</p>			
Countries	Global			
Complementary U.S. Government Activities (Non-Department of State)	<p>U.S. Agency for International Development, U.S. Department of Agriculture, Health and Human Services, Department of Defense, Department of Justice, National Oceanic and Atmospheric Administration, U.S. Geologic Survey, CIA, National Imagery and Mapping Agency, Centers for Disease Control and Prevention, SICA, Federal Emergency Management Administration</p>			
Lead Agency	Department of State: PRM with IO, PM, regional bureaus			
Partners	<p>International organization partners: U.N. High Commissioner for Refugees (UNHCR), International Committee of the Red Cross (ICRC), United Nations Relief and Works Agency for Palestine Refugees in the Near East (UNRWA), International Organization for Migration (IOM), World Food Program (WFP), and other relevant international organizations providing humanitarian assistance Nongovernmental organization partners: more than 25 funded nongovernment organization partners, including International Rescue Committee (IRC), Mercy Corps International (MCI), Catholic Relief Services (CRS), American Refugee Committee (ARC), and International Medical Corps (IMC) (5 receiving largest funding in FY '00)</p>			

National Interest	Humanitarian Response	Performance Goal #	HA-02
Strategic Goal			
Prevent or minimize the human costs of conflicts and natural disasters.			
Outcome Desired			
Conflict and natural disasters are mitigated through preparedness and multilateral coordination.			
Performance Goal			
The international community – including United Nations agencies – is prepared to respond more efficiently and effectively to humanitarian crises by using vulnerability mitigation and early warning mechanisms.			
FY '01 RESULTS AS OF 9/30/01			
<ul style="list-style-type: none"> • The international community over FY '01 has been drawing closer together on an integrated approach to disaster mitigation, response, and recovery. In the context of natural disasters, many efforts are done in a public and private context, and nearly all lead to Yokohama Plus Ten, the Ministerial in 2004. The Ministerial is to be led by Japan and will craft a broad international view on the topic of natural disaster management. The organization for Economic Cooperation and Development (OECD) is also crafting a Ministerial paper to define in 2003 how OECD members should collaborate on various natural disaster elements, and met on several occasions in FY '01 to achieve that goal. • GDIN (Global Disaster Information Network) is a body of experts from all sectors who use their unique forum for cross-sectoral discussions on fresh solutions to disaster information problems. The Europeans and the UN are pushing for adoption of the Tampere Convention, which should make safer and easier the provision of emergency telecommunications. The governments that provide Urban Search and Rescue experts crafted a draft plan in FY '01 to more fully integrate disaster-prone nations in a global approach to the quick, safe entry of SAR (Urban Search and Rescue) experts needed to rescue victims from collapsed structures, caused by earthquakes or acts of terrorism. The plan should be finished in FY '02. • The European Commission developed a plan in FY '01 for sharing satellite images to governments in need. The UN and the entire disaster community wants to spread the use of the Internet, so relevant disaster information can reach those who need it, and through ReliefWeb, the UN IRIN (Integrated Regional Information Network) program, GDIN and other programs are developing approaches on format and procedures. Most striking is recent UN General Assembly recognition of the value of bilateral and regional approaches to disaster management, even with non-UN entities. • The International Federation of Red Cross and Red Crescent Societies, the U.S. Government, the UN and many other governments and nongovernmental organizations are reviewing international humanitarian response law, with a portion reserved for natural disasters. This will result in a clearer identification of the security and border crossing needs of all relief workers, and then an approach to meeting those needs. The effort will be complicated and does have the potential for clashes over national sovereignty; but, the discussion is very worthwhile. • Finally, information for disaster relief is too often only available when purchased. Not all disaster managers can afford the information needed to save lives. Even when information is affordable, too often access is restricted. The U.S. Government has signaled that this is an important unmet need; but one that also has to take into account national sovereignty and industry's right to an appropriate return on their investments. 			

FY '01 RESULTS AS OF 9/30/01 (cont'd)

- Global Disaster Information Network (GDIN): Although our FY '01 target was “Legally binding information-sharing agreements are established among data-sharing partners,” after a careful discussion at the annual conference of GDIN partners in Australia in March, the partners decided to delay those goals in lieu of other preliminary goals, which were to develop specific GDIN services, conduct a needs survey, and an incorporation plan. The FY '01 target will now be a primary goal for FY '02. The goals set in Australia were met, which will also allow the current FY '02 goal to be met; specifically “an international agreement on GDIN infrastructure.”
- OECD System Risks Project: The OECD Project met twice in FY '01 and nearly completed its initial draft on how OECD members should collaborate on natural disaster mitigation and response. The drafting effort should be complete in FY '02, when the text will be distributed for final clearance with member governments.
- Geographic Information Systems (GIS) Tools Initiative (REMAPS): Through GDIN and normal interaction with ReliefWeb and UNHCR, as well as the UN General Assembly, the Department of State in FY '01 successfully convinced UN entities of the need for using modern mapping techniques. ReliefWeb launched a new mapping service, and the UNGA urged all members and relief agencies to take advantage of these technologies. In FY '02, the Department will continue this process.
- Tampere Convention on Emergency Telecommunications and the UN Working Group on Emergency Telecommunications (WGET): The WGET met several times in FY '01 to broaden industry, UN, and government support for the Tampere Convention and develop new emergency telecommunications techniques for use in disasters. The EC agreed that members could sign, and the Convention will be on the agenda of various important telecommunications conferences in FY '02. In FY '02, the Convention will likely be presented to the Senate for ratification. We also anticipate broader acceptance of the Convention, which will be fostered by both the WGET and State in meetings in Africa and Europe.
- Urge governments, international organizations, nongovernmental organizations, and the international banking community to develop natural disaster mitigation programs: In FY '01 through the UNGA, GDIN, and other channels, the Department of State worked to support the goal, and to foster the International Strategy for Disaster Reduction (ISDR). All contacts agreed to collaborate. This is part of a larger effort to prepare for a Summit on Disaster Reduction to take place in Yokohama in 2004. The Department of State's Bureau of International Organization Affairs will be leading an interagency preparation effort in FY '02.

Performance Indicator	FY '99 Baseline	FY '00 Actual	FY '01 Target	FY '01 Actual
Global Disaster Information Network (GDIN) membership	Network still in early stages of testing and development.	Partners report that GDIN products and "ad hoc" services are timely and valuable tools worth further investment.	Legally binding information-sharing agreements are established among data-sharing partners.	Although our FY' '01 target was "Legally binding information-sharing agreements are established among data-sharing partners," after a careful discussion at the annual conference of GDIN partners in Australia in March, the partners decided to delay those goals in lieu of other preliminary goals, which were to develop specific GDIN services, conduct a needs survey, and an incorporation plan. The FY '01 target will now be a primary goal for FY '02. The goals set in Australia were met, which will also allow the current FY '02 goal to be met; specifically "an international agreement on GDIN infrastructure."
Verification	Source: reports from Department of State/IO Bureau, OCHA, UNHCR, governments, nongovernmental organizations, and industry Storage: IO Validation: These organizations are the prime participants and users of the information collected by GDIN			
Countries	Worldwide			
Complementary U.S. Government Activities (Non-Department of State)	U.S. Agency for International Development, USDA, Health and Human Services, Department of Defense, NOAA, USGS, CIA, NIMA, CDC, SICA, FEMA			
Lead Agency	Department of State/IO with INR, OES, PRM, and Regional Bureaus			
Partners	United Nations High Commissioner for Refugees (UNHCR), United Nations Office for the Coordination of Humanitarian Assistance (OCHA), United Nations World Food Program (WFP), United Nations Children's Fund (UNICEF), World Health Organization (WHO), International Organization for Migration (IOM), Organization of Economic Cooperation and Development (OECD), Defense, Commerce, AID, USGS, FEMA, the Governments of Australia, Italy, Mexico, Turkey, Russia, as well the European Commission, the American Red Cross, and various corporations and nongovernmental organizations			

National Interest	Humanitarian Response	Performance Goal #	HA-03
Strategic Goal			
Prevent or minimize the human costs of conflicts and natural disasters – humanitarian demining			
Outcome Desired			
Elimination of uncleared landmines that threaten civilian populations by the year 2010. A ban on antipersonnel landmines consistent with U.S. national security interests.			
Performance Goals			
Increase adherence to the Amended Mines Protocol of the Convention on Conventional Weapons by countries that have resisted controls on antipersonnel landmines and to promote adoption of further improvements to the Protocol at the Review Conference in 2001. Support a Quick Reaction Demining Force ability to respond to international demining emergencies. Allow refugees and internally displaced persons to return to their homes free from fear of landmines			
FY '01 RESULTS AS OF 9/30/01			
<ul style="list-style-type: none"> • Department of State humanitarian mine action (HMA) assistance helped reduce landmine deaths and injuries, assisted refugees and internally displaced persons return to their homes, and paved the way for significant social rehabilitation and economic reconstruction in mine-affected countries. • Our assistance helped several countries develop and/or strengthen an indigenous capability for mine-awareness programs and mine clearance operations, and enabled other countries to reach for a date in the near future when they will be able to declare themselves to be mine-safe. Other countries are soon to reach a program objective of sustainment—the point at which a country has the indigenous capability to plan, manage, and execute its national humanitarian mine action (HMA) efforts with diminishing assistance from the United States. • State Department assistance (as well as funds from DOD and USAID) reaffirmed the position of the United States as a world leader in humanitarian mine action. • On Anti-Personnel Landmine (APL) policy, PM has supported coordinated Department efforts to work with the international community to strengthen the Amended Mines Protocol for the Convention on Certain Conventional Weapons (CCW) treaty with the ultimate goal of minimizing the dangers of landmine use to innocent civilians. • The strategies for FY '01 were successfully implemented and goals achieved. • State contributed \$40 million NADR in FY '01 to humanitarian mine action (HMA) programs in 31 countries and for cross-cutting initiatives in support of bilateral and multilateral HMA objectives. • State coordinated oversight of U.S. Government funds to five programs supported through the Slovenian International Trust Fund (ITF) and six programs through the OAS. • A Quick Reaction Demining Force (QRDF) is now in place, allowing greater USDG flexibility for response to post-conflict emergency demining needs. • State provided support and leadership for the development of public-private partnerships to raise awareness and funds for HMA initiatives. 			

FY '01 RESULTS AS OF 9/30/01 (cont'd)

- On APL policy, State developed five proposals for the next CCW Review Conference designed to further strengthen prohibitions on antivehicle landmines, to extend the scope of the convention to include civil wars and internal conflicts, and to add a compliance mechanism for handling questions/complaints.
- 1. One country (Moldova) declared itself mine-safe. Another country (Namibia) could be considered mine-safe, except for nuisance mining along one stretch of border, caused by periodic incursion of insurgents from another nation. Successful programs in other countries will allow for declarations of mine-safe status in FY '02 with more to follow in FY '03. Additionally, other countries will soon reach program sustainment—the capability to manage their programs independent of U.S. Government direction but with diminishing U.S. Government support. In addition, 2 new programs began in FY '01, and more are likely as part of Coalition Support efforts in FY '02.
- DOS (PM/HDP) was a cochair of the Interagency Working Group on Humanitarian Demining (now known as the Policy Coordinating Committee on Humanitarian Mine Action). The Department of State worked closely with DOD, NSC, USAID, and the CIA for a coordinated U.S. Government approach to HMA efforts, for information-sharing and for ensuring that U.S. Government assistance from different agencies are complementary and synergistic and not at cross-purposes. In addition to the partners listed below, the Department of State also worked in close cooperation with the Geneva International Center for Humanitarian Demining, James Madison University, Norwegian People's Aid, Landmine Survivors Network, United Nations Association of the United States, Handicap International, Golden West Humanitarian Foundation, and HALO Trust USA.
- Assuming that budget levels remain relatively the same, the Department anticipates that additional countries will declare themselves mine-safe in the coming year, that others will achieve sustainment status and that new programs will come on-line. Budget requirements are expected to remain the same, unless funding support for the ITF diminishes, which will then squeeze NADR funds.

Performance Indicator	FY '99 Baseline	FY '00 Actual	FY '01 Target	FY '01 Actual
Number of country programs funded by U.S. appropriations, including NADR	31	37	40	Successful: The following 40 programs were supported: 31 Active NADR-direct Programs 5 Programs, Active U.S. contribution through ITF 1 Program “graduated” to “Mine-safe” status (Moldova) 5 Programs Supported via the OAS 2 Programs, DOD-funded
Number of U.S.-funded host nation programs achieving mine-safe status	0	1	2	Successful: Two countries achieved mine-safe status: —Moldova —Namibia, but current incursions by UNITA result in “nuisance mining”

Performance Indicator	FY '99 Baseline	FY '00 Actual	FY '01 Target	FY '01 Actual
Reduction of civilian casualties in countries where Humanitarian Demining programs exist	No data	5%	7%	Successful: Current reports (DOS - <i>Hidden Killers, 2001</i> and <i>Landmine Monitor Report 2001</i>) indicate significant declines in casualties in recent years, from an estimated 26,000 per year to 10,000 – 15,000. Credited: Mine-awareness programs, successful mine clearance efforts, and more accurate reporting of injuries/deaths.
Hectares/square kilometers of land (parklands, agricultural fields, etc.) returned to productive use; kilometers of road cleared	No data	3,000 sq km	3,500 sq km	Successful: An estimated 3,500+ sq km were cleared based on periodic information and reports from the field—overseas Missions, nongovernmental organizations, UN organizations, contractors, news articles, governmental press releases. There is no report or tracking mechanism that collects, tracks, or summarizes worldwide data.
Number of landmines and amount of unexploded ordnance removed	No data	10,000	20,000	Successful: An estimated 20,000+ landmines were cleared. This is based on periodic information and reports from the field—overseas Missions, nongovernmental organizations, UN organizations, contractors, news articles, governmental press releases. There is no report or tracking mechanism that collects, tracks, or summarizes worldwide data.
Verification	Source: Mission reporting, PM/HDP site visits, nongovernmental organizations and United Nations Mine Action Service Storage: PM/HDP Database Validation: The presence of mines obstructs a country's economic and social productivity. These indicators measure the extent to which the Department of State is assisting in removing these obstructions to development.			
Countries	Worldwide			
Complementary U.S. Government Activities (Non-Dept of State)	Department of Defense, U.S. Agency for International Development			
Lead Agency	Department of State/ PM with IO, PRM, AC, and L			
Partners	International partners: United Nations, Organization of American States, Slovenian International Trust Fund, SADC. Nongovernmental organization partners: HALO Trust, Mines Advisory Group, Marshall Legacy Institute, RONCO Consulting, World Rehabilitation Fund			

GLOBAL ISSUES: ENVIRONMENT, POPULATION, AND HEALTH



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. Increased competition for scarce natural resources can lead to regional and international instability and conflict, thereby threatening the political, economic, and other interests of the United States. The international community is currently negotiating and implementing agreements and initiatives that, taken together, will comprise the international environmental architecture for decades. U.S. leadership is essential to resolving international environmental problems and ensuring that the emerging environmental regime protects U.S. interests.

Achieving sustainable population growth will substantially contribute to environmentally sustainable development in other countries. And, as we have unfortunately learned from the rapid spread of HIV/AIDS, only a broad global effort can combat epidemic or pandemic diseases that can quickly spread from one continent to another. The performance goal papers which follow deal with three U.S. Strategic Goals:

1. Secure a sustainable global environment in order to protect the United States and its citizens from the effects of international environmental degradation.
2. Achieve a healthy and sustainable world population.
3. Protect human health and reduce the spread of infectious diseases.

The Department of State is responsible for developing the U.S. framework for international environmental and conservation policy

and for coordinating the related international activities of U.S. agencies. Working bilaterally, regionally, and through multilateral organizations, the Department builds relationships to promote environmental collaboration and to address transboundary environmental problems. State is also responsible for negotiating international agreements, initiatives, and other treaties that have as their principal objective to advance our environmental and resource conservation goals and protect our economic and national security interests. [Note: Where environmental protection is a principal or related objective, State may or may not be the lead negotiating agency, e.g., free trade agreements.]

There is broad international consensus on the integral and mutually reinforcing linkages between population and development, focusing on three quantitative goals to be achieved by 2015: reducing infant, child, and maternal mortality; providing universal access to education, particularly for girls; and providing universal access to a full range of reproductive health care and family planning services. 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 Department contributions.

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.

ENVIRONMENT



Whether from overfishing in the oceans, greenhouse gases in the atmosphere, release of chemical pollutants, destruction of forests, or degradation of water supplies or the impact of invasive species, damage to the global environment threatens the health and security of all Americans and the future of our increasingly global economy. As the international community concludes and implements agreements that will constitute the global environmental framework for the next several decades, it is critical that the United States provide strong leadership to shape outcomes that advance our environmental objectives, protect our economic interests, and promote standards abroad that approach those Americans enforce at home.

Moreover, the United States needs to ensure that international private capital flows promote sustainable development. This is critical in a world in which private international capital flows exceed government-provided funds by as much as 10 to 1 and fulfill the economic hopes of many developing countries. In its trade liberalization policies, and through the work of international financial institutions and export credit agencies (ECAs), the United States seeks decisions on international private capital flows that take into account environmental impacts and, where possible, adhere to environmental standards found in the United States.

The Department of State's efforts on global environmental protection are outlined in three performance goal papers:

1. International Treaties and Agreements

Foreign direct investment is the primary means by which capital flows to developing countries to promote economic development. Our goal is to ensure that our policies regarding private sector investment, trade agreements, and export credit agencies are supportive of our environmental protection objectives. Working with other U.S. agencies, scientists, businesses, and citizen groups, the State Department

develops positions and policies that address complex international environmental issues. We then negotiate with other countries, building support for those positions, and ensuring their inclusion in pertinent treaties and agreements.

In May, the United States signed an international agreement to phase out or minimize the use of Persistent Organic Pollutants, a group of hazardous chemicals and pesticides that do not biodegrade and which disperse over time throughout the globe. Although the United States no longer uses these chemicals—such as DDT—their use in other regions can contaminate soil, food, and water both in the United States and abroad. The United States ratified the Convention To Combat Desertification demonstrating our continued engagement on international environmental treaties and facilitating the promotion of U.S. experiences and technology. U.S. diplomatic leadership led to the ratification of the UN Straddling and Highly Migratory Fish Stocks Agreement, which entered into force in December 2001. This agreement levels the playing field for U.S. fishermen by enhancing international fisheries' rules and enforcement.

2. International Private Capital

Private capital flows have become the engine of economic growth in many developing countries, eclipsing official development assistance. As the United States sets out to negotiate free trade agreements, either bilaterally or regionally, it is critical that we include consideration of the environmental implications of expanded trade and help our trade partners level up their domestic environmental standards. The Department of State assists the U.S. Trade Representative's Office in its efforts to help the WTO and other trade institutions to develop a framework for higher levels of environmental protection and effective enforcement, compliance, and monitoring of environmental treaties. The financial decisions of ECAs, publicly funded government agencies that support private investments worth billions of dollars around the

world yearly, have significant environmental consequences, as well. State works with Treasury and other organizations to ensure that ECAs support capital flows that take environmental standards into account. In addition, the United States has a long tradition of advancing market approaches to internalizing environmental objectives into good business practice. In the forest sector, the U.S. supports laws and policies that encourage responsible long-term private sector investment in forests.

3. International Initiatives and Official Development Assistance

Many developing countries, faced with a daunting agenda of public policy issues, do not have the capacity to address the environmental challenges they confront. In the Middle East and Africa, water shortages threaten regional stability and undermine efforts to promote economic growth. In East Asia and the Pacific, environmental degradation and air pollution cause widespread disease and greatly reduce economic productivity. The International Crime Threat Assessment highlights environmental crime as one of the most profitable and fastest growing new areas of international organized criminal activity (\$22–\$31 billion annually). We are seeking to reduce environmental crime, such as hazardous waste dumping, smuggling proscribed hazardous materials, illegal logging, and exploiting and trafficking protected natural resources to protect the environment and address other U.S. national interests. On forests, the Department cohosted the first-ever regional Ministerial Conference on Forest Law Enforcement and Governance, resulting in an historic East Asian Ministerial declaration committing nations to concrete actions to combat illegal forest practices. Around the world, illegal logging and related illegal trade and corruption in the forest sector are destroying forests, robbing governments of needed revenue, and supporting the costs of regional warfare. In developed and developing countries alike, invasive species entering countries through trade, transport, and tourism are increasingly one of the largest causes of habitat destruction. In the United States alone, the annual cost of combating invasive species is more than \$130 billion.

The Department of State works to ensure that developmental assistance provided by U.S. agencies helps developing countries build their capacity to protect their environments. We thereby build good will with our negotiating partners and directly improve the global environment. Even with the best of efforts, no single donor country can hope to solve international environmental degradation on its own. State therefore seeks to promote international responses targeted at key environmental

issues that affect U.S. citizens and interests. For example, building on our efforts and experience gained in the Middle East, we are forging a coalition of donor countries to focus official development assistance on regional cooperative management of vital freshwater resources. In partnership with 11 countries representing 60 percent of the world's forests, and with the support of U.S. business and environmental constituencies, we are developing a comprehensive and voluntary framework for national assessment, monitoring, and reporting on the state of and trends in the world's forests. And in partnership with more than 50 like-minded countries, scientists, and environmental groups we remain actively engaged in the U.S.-inspired International Coral Reef Initiative (ICRI) that protects coral reefs and the life systems they support. All of these efforts leverage U.S. resources and greatly increase our ability to help developing countries protect the global environment.

4. The Challenge of Environmental Diplomacy

The United States has a long and proud history of environmental stewardship. The State Department's challenge in the years ahead will be to build coalitions of like-minded governments, civil society groups and the private sector, issue by issue, and to hold those coalitions together. By continuing our active leadership to build these alliances, we can ensure that the health and welfare of U.S. citizens are protected now, and that we pass a cleaner environment on to future generations.

5. Public Diplomacy

In support of State Department goals and general environmental awareness, the Bureau of Educational and Cultural Affairs conducted nearly \$4 million worth of exchanges, involving 36 U.S. and almost 200 foreign participants.

National Interest	Global Issues			Performance Goal #	EN-01
Strategic Goal					
Secure a sustainable global environment to protect U.S. citizens and interests from the effects of international environmental degradation.					
Outcome Desired					
Foreign direct investment and trade that promotes a sustainable global environment.					
Performance Goal					
Build international support among donor countries and international financial institutions for U.S. positions to make trade and environment policies mutually supportive through coalition building, diplomatic engagement, and public diplomacy.					
Performance Indicator	FY '99 Baseline	FY '00 Actual	FY '01 Target	FY '01 Actual	
Content and status of the Free Trade Agreement for the Americas	Parties negotiating the FTAA create a Governmental Committee on Civil Society that can recommend how concerns for sustainable development can be incorporated into the FTAA.	FTAA negotiators endeavor to insert language supporting environmental/ sustainable development concerns into the investment chapters of the proposed agreement.	Parties agree to consider environmental provisions similar to those of the NAFTA and FTAA.	Progress was made in garnering support for consideration of environmental provisions in the FTAA process. However, some countries still question the need to address environmental issues in trade discussions.	
Verification	Source: FTAA parties Storage: Department of State Validation: U.S. Trade Representative				

Performance Indicator	FY '99 Baseline	FY '00 Actual	FY '01 Target	FY '01 Actual
Status and impact of Jordan's environmental institutional capacity, its laws, and regulations	No data	Negotiation of U.S.-Jordan Free Trade Agreement (FTA).	Negotiation, conclusion, and beginning of implementation of U.S.-Jordan FTA. Jordan establishes new Environment Ministry. Establishment of U.S.-Jordan Environment Working Group.	U.S.-Jordan FTA signed and ratified. While making some preparations in FY '01, Jordan did not establish its new Environment Ministry. U.S. technical experts from EPA met with Jordanian officials for consultations on the new Ministry, but the U.S.-Jordan Environment Working Group has not yet been formally constituted.
Verification	Source: U.S. Government reports; reports from Jordan's Environment Ministry Storage: Department of State, U.S. Agency for International Development, and Environmental Protection Agency Validation: Improvements to Jordan's environment			
Performance Indicator	FY '99 Baseline	FY '00 Actual	FY '01 Target	FY '01 Actual
Compliance with World Bank Chad-Cameroon pipeline social/environmental program	Governments of Chad and Cameroon (GOCC), World Bank (WB), and consortium agree on programs promoting sustainable development as part of pipeline project. Establish key priorities for project monitoring.	GOCC and WB begin capacity building training, establish project-monitoring boards Formal regular mechanisms for consultation, conflict resolution established between local communities and consortium, WB, and local officials.	Chadian local development plan completed. Development board established. Baseline survey of Cameroon's Pygmy communities and implementation of community-based compensation projects complete.	Chadian local development plan completed. Development board established. Baseline survey of Cameroon's Pygmy communities and implementation of community-based compensation projects completed.
Verification	Source: Embassy, nongovernmental organizations, consortium, World Bank and GOCC reports Storage: Treasury and Department of State Validation: U.S. Government, World Bank, and GOCC reports			

Performance Indicator	FY '99 Baseline	FY '00 Actual	FY '01 Target	FY '01 Actual
International private capital flows for the South-North Water project in China incorporate environmental protection.	No data	China announces plans to initiate South-North Project.	U.S.-China consultations produce recommendations for how environmental protection can be incorporated into South-North Project.	Interagency participation (including Bureau of Reclamation, TVA, and State) with Chinese Ministry of Water Resources in 2-day conference on environmental-protection practices in the South-North Water Project. Interagency coordination on tracking the environmental impact and management of the South-North Water Project.
Verification	Source: Mission reporting, nongovernmental organizations, PRC Government Reports Storage: Department of State and Environmental Protection Agency			
Performance Indicator	FY '99 Baseline	FY '00 Actual	FY '01 Target	FY '01 Actual
Number of countries' Export Credit Agencies that agree to common environmental guidelines.	No data	OECD consultations continue.	OECD Export Credit Group develops environmental guidelines.	OECD Export Credit Group holds five rounds of negotiations on common environmental guidelines. Group is close to reaching a final agreement on this issue.
Verification	Source: OECD Storage: EXIM Validation: Environmental guidelines			
Countries	G-8 countries, African nations, Jordan, Western Hemisphere countries, and APEC economies.			
Complementary U.S. Government Activities (Non-Department of State)	<ul style="list-style-type: none"> • Multilateral consultations in the OECD Export Credit Group (Treasury and EXIM Bank). • G-8 consultations (NSC and Treasury). • Treasury and EXIM Bank will continue to lead multilateral consultations in the OECD Export Credit Group and National Security Council will continue to lead multilateral discussions in the G-8. • Capacity- and institution-building for strengthening Jordan's enforcement of environmental laws and regulations (Environmental Protection Agency). 			
Lead Agency	Treasury			
Partners	Environmental Protection Agency, EXIM, international financial institutions, World Bank, Department of State, United Nations Agencies (UNEP, UNDP, CITES), U.S. Trade Representative			

National Interest	Global Issues	Performance Goal #	EN-02
Strategic Goal			
Secure a sustainable global environment to protect U.S. citizens and interests from the effects of international environmental degradation.			
Outcome Desired			
International treaties and agreements, when signed and ratified by the United States and universally adhered to, reduce international environmental degradation.			
Performance Goal			
International treaties and agreements that protect the environment are negotiated, implemented, and enforced.			
Performance Indicator	FY '00 Actual	FY '01 Target	FY '01 Actual
Response of the international community to alternative approaches to the Kyoto Protocol	Parties progress in elaborating components of the Kyoto Protocol. General modalities for CDM and other mechanisms become clearer.	Increasing number of developing countries agree to take on more responsibilities to address climate change.	The administration confirmed that it would not join the Kyoto Protocol because it is not a sound approach to addressing climate change. The Department has continued to participate actively within the UN Framework Convention on Climate Change, as well as bilaterally and regionally to promote effective approaches to climate change.
Verification	Source: United Nations Framework Convention on Climate Change Storage: Department of State Validation: UNFCCC		
Performance Indicator	FY '00 Actual	FY '01 Target	FY '01 Actual
Effect of Prior Informed Consent Convention	Submit to Senate for advice and consent.	U.S. ratification complete.	Senate has not yet considered the Prior Informal Consent Convention.
Verification	Source: UNEP Storage: Department of State, Environmental Protection Agency Validation: UNEP		

Performance Indicator	FY '00 Actual	FY '01 Target	FY '01 Actual
Convention To Combat Desertification mitigates the effects of drought on arid, semiarid, and dry subhumid lands	Senate provides advice and consent.	U.S. ratification completed.	Goal achieved. The Senate gave its advice and consent to ratify the Deserts Convention in October 2000. Our instrument of ratification was deposited with the United Nations on November 17 of that year. Under the terms of the treaty, the United States became a Party to the Convention on February 15, 2001.
Verification	Source: CCD Storage: Department of State, U.S. Department of Agriculture, U.S. Agency for International Development Validation: CCD		
Performance Indicator	FY '00 Actual	FY '01 Target	FY '01 Actual
Status of ratification of Stockholm Convention on Persistent Organic Pollutants (POPS) Convention	Under negotiation	Submit to Senate for advice and consent.	President Bush, in a Rose Garden ceremony, endorsed the POPS Convention. United States signed Convention in May 2001 and began preparing documentation to request Senate advice and consent.
Verification	Source: UNEP Storage: Department of State, Environmental Protection Agency Validation: UNEP		
Performance Indicator	FY '00 Actual	FY '01 Target	FY '01 Actual
Status of Force of United Nations Fish Stocks Agreement and FAO Compliance Agreement	United States completes implementation of the two agreements.	Compliance agreement enters into force following accession of 25 states.	The Compliance Agreement did not enter into force due to the delay by some countries in completing internal procedures. However, the entry into force of the UN Fish Stocks Agreement (FSA), was achieved a year earlier than expected. State Department leadership produced an UNGA resolution containing a plan for agreement implementation.
Verification	Source: FAO and Office of Legal Affairs, United Nations Storage: FAO, United Nations Validation: Entry into force		

Performance Indicator	FY '00 Actual	FY '01 Target	FY '01 Actual
Effect of an integrated U.S. Government position on the World Summit on Sustainable Development (WSSD)	United States begins to develop interagency position on substantive issues and strategies for addressing procedural questions to reach a consensus U.S. Government position.	Consensus U.S. Government position is reached.	Consensus WSSD position evolving as part of an integrated U.S. Government international development policy, in close coordination with related development events (FFD, G-8, and Food Summit +5). State-led interagency policy coordination subcommittee identifying U.S. Government deliverables and priority initiatives for WSSD.
Verification	Source: United Nations Validation: United Nations (UNEP, CSD, UNEP)		
Performance Indicator	FY '00 Actual	FY '01 Target	FY '01 Actual
Quality of trade decisions	Biosafety Protocol implementation proceeds effectively with emphasis on information sharing.	Implementation of Biosafety Protocol continues. Information-sharing mechanism established.	Goal achieved. The Intergovernmental Committee for the Cartagena Protocol met for the first time in December 2000 to begin preparations for entry into force of the treaty. We were successful in gaining agreement to develop and launch the pilot phase of the Biosafety Clearing House, which was made operational in FY '01 due largely to U.S. financial and technical support.
Verification	Source: CBD Secretariat Storage: Department of State Validation: Developing countries have increased access to environmental information on biotechnology		
Performance Indicator	FY '00 Actual	FY '01 Target	FY '01 Actual
Effect of FAO International Plans of Action (IPOAs) for seabird by catch avoidance, for shark conservation and management, and for fishing vessel capacity reduction by FAO members, and for combatting illegal, unregulated, and unreported (IUU) fishing.	While some countries are taking actions, no countries have established National Plans of Action to implement IPOAs.	Several countries make progress on implementation of IPOAs on sharks, seabirds and fishing capacity, and IPOA on IUU fishing adopted by FAO.	The United States fulfilled its commitments on publishing National Plans of Action on Seabirds and Sharks. A number of other countries also published plans. National Plans of Action on fishing capacity are not due until 2003. However much more remains to be done before all countries establish and implement IPOAs. In 2001, the United States successfully led the effort to adopt an IPOA on combatting IUU fishing.

Verification	Source: National Marine Fisheries Service, FAO, Storage: Department of State, NMFS, FAO Validation: FAO, other international organizations.
Countries	Worldwide. In particular, the following key countries: Brazil, Canada, China, France, Germany, India, Japan, Korea, Mexico, Netherlands, Nigeria, Russia, South Africa, Taiwan, United Kingdom, and Iran, as well as the EC and European Union.
Complementary U.S. Government Activities (non-Department of State)	Department of Commerce (NOAA), Department of Interior, Environmental Protection Agency, U.S. Agency for International Development, U.S. Department of Agriculture, and USGS
Lead Agency	Department of State
Partners	Department of Defense, Department of Energy, Department of Interior, Department of Transportation, Environmental Protection Agency, FDA, Nongovernmental organizations, U.S. Agency for International Development, USCG, UNDP, UNEP, U.S. Department of Agriculture, U.S. Trade Representative, Treasury, and White House, CSD/ECOSOC, Department of Commerce (NOAA/NMFS)

National Interest	Global Issues	Performance Goal #	EN-03	
Strategic Goal				
Secure a sustainable global environment to protect U.S. citizens and interests from the effects of international environmental degradation.				
Outcome Desired				
International initiatives and official development assistance (ODA) from donor countries and multilateral institutions protect the global environment.				
Performance Goal				
International financial and multilateral institutions and donor countries increase development assistance to address key environmental issues that support U.S. environmental foreign policy goals.				
Performance Indicator	FY '99 Baseline	FY '00 Actual	FY '01 Target	FY '01 Actual
Activity of chlorofluorocarbons (CFC)-producing enterprises	No data	All seven CFC-producing enterprises halt production.	CFC producers destroy production line equipment.	Target achieved.
Verification	Independent monitoring and verification team			
Performance Indicator	FY '99 Baseline	FY '00 Actual	FY '01 Target	FY '01 Actual
Regional Environmental Centers	No data	Kiev and Chisinau Regional Environmental Centers (RECs) established. Tbilisi and Almaty REC agreements being finalized.	Kiev and Chisinau RECs functioning. Tbilisi and Almaty RECs established. Moscow REC Agreement finalized.	Tbilisi REC: Successfully established by the U.S. and operational. Expectations were exceeded when the REC finalized a strategic plan and conducted a water management conference that brought together government and civil society from the three Caucasus countries to discuss management of shared water resources. Almaty REC: established by EU; work plans are being developed. Moscow REC: Established and operational.
Verification	Source: Environmental Protection Agency Storage: Environmental Protection Agency, Department of State Validation: RECs			

Performance Indicator	FY '99 Baseline	FY '00 Actual	FY '01 Target	FY '01 Actual
Progress among U.S. Government, donors and riparians in addressing transboundary water issues in key regions	No data	Riparians met infrequently and unproductively. Donors met but little coordination.	Riparians meet regularly and begin work on joint project proposals. Donors meet to discuss coordination.	Riparians in the Nile and Mekong met regularly to develop joint project proposals. Donors met to discuss cooperation and coordination. Nile donor conference held in Geneva, and raised \$140 million (U.S.) Initial discussions taking place among the riparians in the Caucasus, Okavango.
Verification	Source: Reporting cables from Regional Environmental Hubs Storage: Department of State Validation: U.S. Government records and Websites.			
Performance Indicator	FY '99 Baseline	FY '00 Actual	FY '01 Target	FY '01 Actual
Management of water	Construction of wells and pipelines in West Bank. Wastewater treatment project in Gaza. Planning for Amman system rehabilitation and wastewater treatment plant. Construction of Wadi Musa wastewater system.	Four new wells in West Bank come online. Initiate project to protect Gaza aquifer. Initiate Amman system rehabilitation project. Initiate West Bank village water project. Wastewater project in Wadi Musa comes online.	Initiate Hebron wastewater treatment project. Additional West Bank wells come online. Initiate Gaza water carrier project and development of Gaza desalination master plan. Initiate Amman area wastewater treatment project.	Intifada-related violence in the West Bank and Gaza made work on water projects there much more difficult. Despite the difficult conditions, initial work on the Hebron wastewater treatment project, the Gaza water carrier, and the Gaza desalination project got underway. In Jordan, preparations for the Amman area wastewater treatment project continued, but due to the complex structure of the financing for the project, progress was slower than planned, and construction will not begin until FY '02.
Verification	Source: AID reports, State/AID cables, local water agencies Storage: AID & Department of State, local water agencies Validation: Field visits to project sites and local agencies			

Performance Indicator	FY '99 Baseline	FY '00 Actual	FY '01 Target	FY '01 Actual
Effect of Water Resources and Environment Working Groups	Key water and environment projects continue to produce results, even in the face of continued slowdown in the peace process; four existing water and environment projects initiate new activities.	Three water and environment projects initiate new activities; current activities continue to make progress.	Initiation of 1-2 new water and environment activities; establishment of regional water center in Amman; additional research projects and training funded by Desalination Center; water curriculum developed for schools.	The political climate in the Middle East was very poor in FY '01, which along with the Intifada-related violence made all regional activities extremely difficult. Progress on all projects was slower than originally planned. Despite those obstacles, one new water activity and one new environment activity were initiated. The regional water center in Amman was not formally established due to the political situation, but work at the center was undertaken on an informal basis. The Desalination Center initiated several new research projects. Development of the water curriculum continued. In the context of the very difficult political situation in the region, the U.S. efforts on regional water and environment activities were successful.
Verification	Source: MEPP Working Group and ICCON reports. U.S. Government technical agencies' reports. Storage: U.S. Government agencies. Validation: Regional participants' and donors' assessments.			
Performance Indicator	FY '99 Baseline	FY '00 Actual	FY '01 Target	FY '01 Actual
ICCON activities	Initiate environmental study in Nile Basin in support of preparations for establishment of ICCON.	Nile Basin environmental study completed.	Initiation of ICCON with inaugural meeting in 2/01.	Riparians held ICCON meeting in June 2001 and raised \$140 million for regional and subregional activities. Significant progress has been made in developing regional projects.
Verification	Source: MEPP Working Group and ICCON reports. U.S. Government technical agencies' reports. Storage: U.S. Government agencies Validation: Regional participants' and donors' assessments			

Performance Indicator	FY '99 Baseline	FY '00 Actual	FY '01 Target	FY '01 Actual
UNEP assistance and capacity-building	UNEP agrees on need for more technical assistance on trade-related environmental issues.	U.S. engages support of UNEP leadership for more assistance on trade-related environmental issues.	U.S. has more contact with the Economics and Trade Unit. Encourages Governing Council to direct more funds to technical assistance to deal with trade-related environmental issues.	Governing Council agrees to direct more funds to technical assistance to deal with trade-related environmental issues. U.S. involvement of work of Economic and Trade Unit expands.
Verification	Source: United Nations Storage: Department of State, U.S. Trade Representative, United Nations Validation: United Nations (UNEP, CSD, UNEP)			
Performance Indicator	FY '99 Baseline	FY '00 Actual	FY '01 Target	FY '01 Actual
Status of U.S. – Japan global issues cooperation and Environmental Policy Dialog	The U.S.-Japan global issues cooperation and Environmental Policy Dialog promotes cooperation in developing countries.	The U.S.-Japan global issues cooperation and Environmental Policy Dialog promotes cooperation in developing countries.	Expanded science and technology cooperation on climate change measurement through ARGO and IODP, and coordinated U.S.-Japan approach to transboundary water in developing countries.	Expanded science and technology cooperation on climate change measurement through ARGO and IODP, and coordinated U.S.-Japan approach to transboundary water in developing countries.
Verification	Source: Department of State Storage: Department of State, USAID, other Government Agencies Validation: U.S. Government, Japanese Government			

Performance Indicator	FY '99 Baseline	FY '00 Actual	FY '01 Target	FY '01 Actual
Status of E.U. fisheries	E.U. fisheries' policies dominated by socioeconomic concerns; U.S.-E.U. relations in international fisheries forums strained.	E.U. embarked on review of its Common Fisheries Policy (CFP).	E.U. and United States engage in meaningful dialogue on primacy of conservation over commercial gain in fisheries.	Provided the E.U. with detailed feedback on its CFP Green Paper. Fisheries included as an early-warning item in New Trans-Atlantic Agenda discussions and raised with visiting E.U. Parliamentarians. E.U. included conservation as critical focus in draft Green Paper on domestic fisheries. E.U. will finalize the new CFP in the next year.
Verification	Source: U.S.-EU Storage: Department of State Validation: FAO			
Performance Indicator	FY '99 Baseline	FY '00 Actual	FY '01 Target	FY '01 Actual
Haze pollution situation in Indonesia	Policies and enforcement in Indonesia is negligible.	Government of Indonesia adopts managed burn policy and begins enforcement.	Government of Indonesia prosecutes and fines most significant violators.	Government of Indonesia did not enforce its no-burn laws. Significant violators were not prosecuted. Without enforcement, Indonesian haze pollution will continue to be a problem for the region, particularly during the next El Nino.
Verification	Source: GOI Storage: Department of State Validation: U.S. Agency for International Development			
Performance Indicator	FY '99 Baseline	FY '00 Actual	FY '01 Target	FY '01 Actual
Status of UNEP/Global Resources Information Database (GRID) based at the USGS/Eros Data Center in Sioux Falls, SD	No program	Interest and support has spread to U.S. Government agencies, private sector and nongovernmental organizations.	Possible new donors identified.	Potential donors identified. Contributions made by the GEF and Germany.
Verification	Validation: UNEP			
Countries	Riparians: Amazon Basin and Upper Paraguay/Paraná (Bolivia, Brazil, Paraguay, Argentina, Colombia, Ecuador, Peru); central Asia (Kazakhstan, Kyrgyzstan, Tajikistan, Turkmenistan, Uzbekistan); Caucasus (Armenia, Azerbaijan, Georgia); Mekong			

Countries (cont'd)	<p>(Cambodia, China, Laos, Thailand, Vietnam); Nile (Burundi, Central African Republic, Democratic Republic of Congo, Egypt, Ethiopia, Kenya, Rwanda, Sudan, Tanzania, Uganda, Eritrea); South Asia (Bangladesh, Bhutan, China, India, Pakistan); Southern Africa (Angola, Botswana, Namibia, Mozambique, South Africa, Tanzania, Zambia, Zimbabwe); West Africa (Burkina Faso, Ghana, Cote d'Ivoire, Niger, Nigeria, Mali, Togo)</p> <p>Donors: Canada, Denmark, EU, Germany, Japan, the Netherlands, Norway, Sweden</p> <p>MEPP—Jordan, Israel, the Palestinian Territories, Egypt, and other regional delegations of the working groups</p> <p>Russia, Moldova, JUSCANZ, and G-77</p>
Complementary U.S. Government Activities (Non-Department of State)	<p>U.S. Agency for International Development environmental management programs; Environmental Protection Agency environmental management and quality programs;</p> <p>MEPP—Regional Water Data Banks project (U.S. Government); Public Awareness and Water Conservation project (U.S. Government); Electronic water network project (U.S. Government); Middle East Desalination Research Center (BUREC); Safe and Effective Use of Pesticides projects (U.S. Department of Agriculture and National Institutes of Health); Coastal zone management project (NOAA); environmental training program (EPA & U.S. Department of Agriculture); initiative to combat desertification (U.S. Department of Agriculture); and ICCON—technical assistance activities (U.S. Government, BUREC, U.S. Department of Agriculture, Environmental Protection Agency, NOAA, ACOE).</p>
Lead Agency	Department of State
Partners	ACOE, DOC (NOAA), Department of Energy, Department of Defense, Department of Interior, Environmental Protection Agency, NASA, nongovernmental organizations, private sector, USACE, U.S. Agency for International Development, U.S. Department of Agriculture, USGS, USBUREC, World Bank, private sector.

POPULATION



The U.S. international population assistance program has been recognized throughout its more than 30-year history as one of the most successful components of U.S. foreign assistance. We remain the largest bilateral donor in the world, with programs in more than 58 countries. These programs enable couples to choose the number and spacing of births, enhance maternal and child health, reduce the incidence of abortion, and enable parents to better provide for their children. More than 50 million couples in the developing world use voluntary family planning services because of U.S. Government assistance. To clearly separate U.S. Government support for family planning assistance from abortion-related activities, U.S. Agency for International Development's family planning assistance only goes to foreign organizations that do not perform or actively promote abortion, with the clearly stated exception of post-abortion care.

In 1994, the United States helped forge a consensus at the International Conference on Population and Development (ICPD) on a comprehensive approach to achieve a healthy and sustainable world population. As part of our policy response to the ICPD, and at its 5-year review in 1999 (ICPD+5), the U.S. Government works with other nations to provide reproductive health care, including family planning, to women and men around the world; improve the status of women; and enhance educational opportunities, especially for girls. Our concern for the quality of life of each of the earth's more than six billion citizens makes ensuring a healthy and sustainable world population a vital U.S. foreign policy interest.

Every day, at least 1,600 women die from the complications of pregnancy and childbirth. Voluntary family planning saves lives and can reduce up to a quarter of the 515,000 annual pregnancy-related deaths around the world. In addition, each year more than 50 million women experience pregnancy-related complications, many of which lead to long-term disability. And when a mother dies, her family and community also suffer, and surviving children face higher risks of poverty, neglect, or even death. Avoiding unintended pregnancy through voluntary family planning reduces maternal mortality. So does antenatal care: 30 percent of women living in less developed countries

do not even receive a single antenatal checkup. And only one-half of all deliveries in developing countries take place with a skilled birth attendant.

Studies show that educating women and girls raises every index of development. An estimated two-thirds of the 300 million children without access to education are girls, and two-thirds of the some 880 million illiterate adults are women. Female education is strongly linked to health: infant mortality is much higher—sometimes two to three times higher—among children of uneducated women compared with women with at least some secondary education. Family planning use also increases with education.

Within the Department, the Bureau of Population, Refugees and Migration has the lead responsibility to promote the ICPD and ICPD+5 goals on access to reproductive health care, including voluntary family planning and safe motherhood and education for girls. State/Population, Refugees and Migration takes the lead in international forums to review lessons learned, share best practices, and reexamine benchmarks and indicators vital to monitoring global efforts to achieve a healthy and sustainable world population. State/Population, Refugees and Migration represents the United States in the governing bodies of relevant international and multilateral organizations to guide them in their own efforts to promote the ICPD and ICPD+5 goals. State/Population, Refugees and Migration works in close cooperation with the U.S. Agency for International Development and international organizations to help developing countries meet these goals. State/Population, Refugees and Migration also works to increase national and international awareness of population issues and integrating these issues into broader economic growth and sustainable development strategies.

National Interest	Global Issues	Performance Goal #	PO-01
Strategic Goal			
Achieve a healthy and sustainable world population.			
Outcome Desired			
Sustainable national population growth rates worldwide supported by national political, economic, and social development strategies, leading to improved reproductive health and reduced maternal and infant mortality rates.			
Performance Goal			
Improving reproductive health, including improved access to voluntary family planning, safe motherhood services, STD prevention information, and girls' education.			
FY '01 RESULTS AS OF 9/30/01			
<p>Current data on fertility and reproductive health in developing countries indicate that actual fertility exceeds desired fertility by nearly one child per woman. There is ample evidence to demonstrate that family planning programs are the most effective means to close the gap between actual and desired fertility.</p> <p>In FY '01, we have increased motivation for the adoption of voluntary practices that contribute to higher contraceptive prevalence rates. We have also increased awareness of and demand for family planning and reproductive health interventions by improving the policy environment, public information and communication, and spousal communication on family planning and reproductive health issues.</p> <p>In FY '01, we have continued to focus on four areas of intervention that are important for maternal health and survival: promotion of improved nutritional status; birth preparedness; management of complications; and safe delivery, postpartum and newborn care.</p> <p>The Department continues—through such forums as UN meetings and conferences and national workshops—to mobilize national leadership at all levels to promote girls' education and to identify and address the major barriers to girls' education.</p> <p>Through USAID, we have created “Country Initiatives for Girls' Education” in Egypt, Guatemala, Guinea, Mali, and Morocco. These initiatives are promoting local ownership of the problems and solutions to the education of girls. These initiatives are also providing technical knowledge skills and training on effective use of national human and financial resources for increasing girls' school participation. In partnership with USAID, we are developing a system to monitor the results of these girls' education initiatives as well as other such initiatives throughout the world</p> <p>Despite important family planning successes, a great deal of work remains to be done. Although modern contraceptive prevalence in the developing world has increased dramatically from roughly 10 percent in 1965 to 39 percent in less developed countries (FY '99 baseline), approximately 150 million women have an unmet need for family planning today. We must continue to stay the course.</p>			

FY '01 RESULTS AS OF 9/30/01 (cont'd)

Programs must involve men more fully in family planning. More communication and shared decisionmaking on family size and family planning matters between partners needs to be encouraged, and male responsibility for sexual health, fertility, and child-rearing must be fostered. Our family planning advocacy work will be expanded in FY '03 to focus on the important role men play in family planning matters.

Demographic and Health Surveys (DHS), funded by the U.S. Government, continue to provide excellent sources of data on contraceptive knowledge and use, maternal mortality and girls' education. These surveys continue to be the primary source of information on reproductive health behavior in the developing world.

The maternal mortality ratio is best utilized as an indicator of the magnitude of the problem for the purposes of advocacy. However, it is unsatisfactory for measuring program progress over intervals of less than 10 years. The Department will continue to strive to identify appropriate indicators for which data can be collected annually. These short-term population goal indicators are generally process and output indicators, and may include both qualitative and quantitative measures. Mid-term indicators (2–4 years) might include changes in service use and the percentage of births attended by a skilled health provider. It is important to remember that the kind of changes being sought may not be measurable with accuracy within such short timeframes. In all timeframes, we will seek those indicators that are currently available, and those that are cost-effective, in assessing impact in future years.

Increasing secondary school enrollment rates is one of the key goals in the 1994 International Conference on Population and Development (ICPD) Program of Action and is an important indicator to measure education outcomes. But they can be rife with errors, as they do not reflect actual rates of attendance or dropouts during the school year.

Performance Indicator	FY '99 Baseline	FY '00 Actual	FY '01 Target	FY '01 Actual
Availability of modern family planning and other reproductive health care for individuals requesting such services.	Contraceptive prevalence rate (CPR) in less developed countries is 39 percent (modern methods).	<p>Successful: at least 10 countries increase CPR (modern methods) by 2 percent.</p> <p>Minimally effective: at least 5 countries increase CPR (modern methods) by 1 percent.</p>	<p>Successful: an additional 10 countries increase CPR (modern methods) by 2 percent.</p> <p>Minimally effective: an additional 5 countries increase CPR (modern methods) by 1 percent.</p>	22 less developed countries increased CPR (modern methods) by (at least) 2 percent. These countries were Kenya (+4 percent), Madagascar (+5), Tanzania (+3), Cameroon (+3), Ghana (+3), Niger (+3), Togo (+3), Philippines (+3), Vietnam (+12), Bangladesh (+2), India (+6), Pakistan (+4), Jordan (+11), Haiti (+9), El Salvador (+8), Guatemala (+5), Nicaragua (+12), Bolivia (+8), Colombia (+5), Ecuador (+6), Paraguay (+7), Kazakhstan (+6).

Verification	<p>Source: National demographic reports; U.S. Census Bureau/ United Nations population data sheets</p> <p>Storage: National planning and/or census agencies; U.S. Census Bureau/ United Nations Population Division/ United Nations Population Fund</p> <p>Validation: Embassy/ U.S. Agency for International Development Mission reporting; U.S. Agency for International Development - funded Demographic Health Surveys (DHS); NGO publications</p>			
Performance Indicator	FY '99 Baseline	FY '00 Actual	FY '01 Target	FY '01 Actual
Maternal mortality at the national level.	<p>Percentage of births assisted by a skilled birth attendant in the less developed countries is 53 percent. Maternal mortality rate (MMR) in less developed countries is 500 deaths per 100,000 live births (500/100,000).</p>	<p>Successful: where maternal mortality rate (MMR) is over 500/100,000, 10 countries increase births assisted by a skilled attendant by 2 percent.</p> <p>Minimally effective: where MMR is over 500/100,000, 5 countries increase percentage of births assisted by a skilled attendant by 2 percent.</p>	<p>Successful: where maternal mortality rate (MMR) is over 500/100,000, 10 additional countries increase births assisted by a skilled attendant by 2 percent.</p> <p>Minimally effective: where MMR is over 500/100,000, 5 additional countries increase percentage of births assisted by a skilled attendant by 2 percent.</p>	<p>Two countries, where MMR is over 500/100,000 live births increased by at least 2 percent the number of births assisted by a skilled birth attendant. These countries were Laos and Bhutan.</p>
Verification	<p>Source: National demographic reports; WHO</p> <p>Storage: National statistical offices; WHO Validation: Embassy/ U.S. Agency for International Development Mission reporting; U.S. Agency for International Development-funded Demographic Health Surveys (DHS); United Nations Population Fund (UNFPA) reporting</p>			

Performance Indicator	FY '99 Baseline	FY '00 Actual	FY '01 Target	FY '01 Actual
Secondary school enrollment rates among girls.	63 countries have a girls' secondary school enrollment rate of < 50 percent.	Successful: 10 countries where girls' secondary school enrollment rate is < 50 percent increase enrollment by 2 percent. Minimally effective: 5 countries where girls' secondary school enrollment rate is < 50 percent increase enrollment by 2 percent.	Successful: an additional 10 countries where girls' secondary school enrollment rate is < 50 percent increase enrollment by 2 percent. Minimally effective: an additional 5 countries where girls secondary school enrollment rate is < 50 percent increase enrollment by 2 percent.	No countries where girls' secondary enrollment rate is < 50 percent increased enrollment by 2 percent.
Verification	Source: UNESCO Storage: National education ministries/national statistical offices; UNESCO Statistical Yearbook/World Education Report series Validation: Embassy/ U.S. Agency for International Development Mission reporting; UNFPA reporting; nongovernmental organization publications			
Countries	U.S. Agency for International Development population program countries; countries where TFR > 3.0 and/or CPR < 50 percent (modern methods); countries where births assisted by skilled birth attendants is < 30 percent; countries where girls secondary school enrollment rate is < 50 percent; China			
Complementary U.S. Government Activities (non-Department of State)	U.S. Agency for International Development-funded population and women-in-development programs.			
Lead Agency	Department of State (PRM, with IO, regional bureaus, IIP)			
Partners	U.S. Agency for International Development, U.S. Bureau of the Census, Health and Human Services, United Nations Population Fund (UNFPA), United Nations Division of Population, nongovernmental organization partners			

HEALTH



Significant progress was made during FY '01 toward protecting human health and reducing the global burden of disease, particularly the spread of infectious diseases. The global fight against HIV/AIDS, tuberculosis, malaria, other infectious diseases, and emerging health threats continued as more countries followed the U.S. example and placed international health issues at the forefront of foreign policy efforts. U.S. objectives and interests in establishing a healthier world community were advanced through diplomatic initiatives and undertakings.

Although advancements were made in international health, formidable challenges nonetheless remain. Collectively, HIV/AIDS, tuberculosis, and malaria continue to account for one-fourth of all premature deaths worldwide. The impact of HIV/AIDS, in particular, continued to grow: 40 million persons were living with HIV/AIDS at the end of 2001, including 2.7 million children under the age of 15. Although fewer than in 2000, 5 million adults and children were newly infected with HIV in 2001; 3 million died of AIDS during that year. Tuberculosis accounted for nearly 2 million deaths during the year, and malaria killed more than 1 million—mostly children in Africa.

A growing recognition of the extent and impact of infectious diseases, particularly HIV/AIDS, tuberculosis, and malaria, prompted calls for a new, global public-private partnership to strengthen cooperation, increase coordination, respect standards of protecting intellectual property, and provide greater investments aimed at these three deadly diseases, with an overarching goal of improving health globally. In response, and to complement ongoing bilateral and multilateral initiatives, the Global Fund To Fight AIDS, Tuberculosis and Malaria (GFATM) was established in recordbreaking speed during 2001, largely due to U.S. leadership.

The Global Fund will attract, manage, and disburse additional resources to heavily affected countries with the least resources to address these diseases, as well as to at-risk countries. At the end of 2001, more than 30 governments, corporations, foundations, nonprofit organizations, and private individuals had pledged over \$1.7 billion to the Fund. In May 2001, President Bush was the first leader to pledge a Government contribution to the Fund, in the amount of \$200 million. The Fund will make a sustainable and significant contribution to the reduction of infections, illness, and death. Partnerships formed at the national and regional levels between governments, nongovernmental organizations, the private sector, foundations, and multilateral agencies will receive funding to enhance access to and integration of prevention, treatment, and care; boost training of health care professionals; and build community-based programs.

To further advance U.S. objectives and interests in establishing a healthier world community, during the year the Department created a new Office of International Health (OES/IHA) in the Bureau of Oceans and International Environmental and Scientific Affairs, headed by a new Deputy Assistant Secretary. The new office, building on the efforts of the previous Office of Emerging Infectious Diseases (OES/EID), supports international health efforts to mobilize resources, galvanize national leaders toward more effective action, and garner public support for destigmatization and health investments.

In recognition of the importance of averting the HIV/AIDS pandemic in a large, strategic region such as Asia, in October 2001, the President announced an OES/IHA grant to the University of Washington to promote the establishment of a “network of networks” in disease alert and surveillance in Asia. The network will enhance geographic coverage of communications about infectious diseases throughout Asia and will explore potential corporate partnerships in support of it.

Bilaterally, the United States continued to be the largest provider of direct assistance to developing countries in building the capability of public health systems and provided nearly half of all international HIV/AIDS funding. Several agencies, including the U.S. Department of Health and Human Services (HHS), U.S. Agency for International Development (USAID), the U.S. Centers for Disease Control and Prevention (CDC), the U.S. National Institutes of Health (NIH), and the U.S. Department of Defense (DOD), support the international training of doctors, researchers, and health professionals, and provide technical assistance on establishing and maintaining health systems.

In June 2001, the United Nations General Assembly Special Session on HIV/AIDS (UNGASS) provided a unique multilateral opportunity to boost the global fight against HIV/AIDS. Represented at the UNGASS by Secretary of State Powell, the United States emerged in a strong leadership position on AIDS. The UNGASS Declaration of Commitment emphasizes political leadership at the national level as the single most important factor in responding to the pandemic, and sets out a broad range of ambitious measures that nations must undertake to halt, and begin to reverse, the spread of HIV/AIDS.

To further our efforts, throughout the course of the year, the Department also included health issues in key diplomatic venues such as the U.S.–European Union and the G–8 Summits, and actively participated in meetings of the UN, PAHO, WHO, APEC, ASEAN, SADC, and several others. We have made a persuasive case to foreign leaders that the fight against infectious diseases, such as HIV/AIDS, is in their national interest, and that it supports security, stability, and the well-being of their citizens. We have encouraged them to make commitments that seek to achieve their national health objectives, recognizing that the protection of intellectual property rights is consistent with this goal. The role of U.S. diplomatic missions in these endeavors continued to be critical, and during the course of the year, two chiefs of mission conferences were held focused on HIV/AIDS—one in Zimbabwe and the other in Kenya.

No national or international campaign against infectious disease can succeed without the direct support of the general public. A well-informed citizenry is the first line of defense against the spread of disease. Citizens must know the steps they can take to lower their risk of getting infected or further spreading infection, and must understand how to dispel the fear and prejudices surrounding sickness, especially HIV/AIDS. Throughout the course of the year, Department officials met and spoke with many individuals and groups concerned about global health issues, and heard new and compelling ideas on how the United States and the international community can advance nascent and well-established programs in global health.

The lasting need for strong public health interventions serves to confront HIV/AIDS and other debilitating diseases. As the challenge grows in complexity and intensity, it is more evident than ever that diplomatic efforts are essential in assembling the resources, political support, and citizen recognition needed to make a tangible, sustainable impact. The Department, as the lead U.S. foreign policy agency, is playing an increasingly important role in spurring action that is needs-based, forward-thinking, results-oriented, and grounded in best practices and sound science.

National Interest	Global Issues			Performance Goal #	HE-01
Strategic Goal					
Promote global health.					
Outcome Desired					
Reduced incidence of targeted diseases (includes both communicable, e.g., AIDS and polio, and noncommunicable, e.g., tobacco-related illnesses and malnutrition.) Strengthened health care capabilities in targeted regions such as Africa, Asia/India, and the Caribbean.					
Performance Goal					
Protect the health of the American people and reduce the global burden of disease.					
Performance Indicator	FY '99 Baseline	FY '00 Actual	FY '01 Target	FY '01 Actual	
Disease incidence rates HIV/AIDS	HIV/AIDS: 5.4 million new infections worldwide.	HIV/AIDS: 5.3 million new infections.	Successful: decline in the number of new infections Minimally effective: same number of new infections Unsuccessful: increase in new infections	<p>Globally, 5.0 million adults and children were newly infected in 2001 compared to 5.3 million new infections in 2000, representing a nearly 5.67 percent decline in the number of new infections in 2001 compared to 2000.</p> <p>The greatest number of new infections in 2001 occurred in sub-Saharan Africa, with 3.4 million persons newly infected, although there was a nearly 10.5 percent decline in the number of new infections in the same region between 2000 and 2001.</p> <p>Compared to 2000, new infections in 2001 rose by nearly 107.7 percent in East Asia and the Pacific, 2.5 percent in South and Southeast Asia, and declined by 13.3 percent in Latin America. The level of new infections between 2000 and 2001 remained generally constant in North Africa and the Middle East, the Caribbean, Eastern Europe and central Asia, Western Europe, North America, and Australia and New Zealand.</p>	
Verification	<p>Source: UNAIDS AIDS Epidemic Update and CDC weekly reports</p> <p>Storage: Annual reports, WHO and CDC Web sites</p> <p>Validation: U.S. Government, United Nations, and other reliable indexes</p>				

Performance Indicator	FY '99 Baseline	FY '00 Actual	FY '01 Target	FY '01 Actual
Disease incidence rates for polio	Polio: 7,142 WHO-confirmed cases worldwide.	Approx. 2,000 projected polio cases	Successful: drop in incidence; eradication Minimally effective: no change Unsuccessful: Increase in rates	Polio is 99 percent eradicated worldwide. Globally, there were 521 confirmed cases of polio in 2001, representing an 82.5 percent reduction. Intensive Global Polio Eradication Initiative continues, spearheaded by WHO, to meet the goal of global polio-free certification by 2005. Few remaining pockets of polio are found mainly in about 20 countries in Southeast Asia and Africa. In October 2000, China and the Western Pacific were certified as being polio free.
Verification	Source: WHO, CDC Storage: Annual reports, data updates Validation: U.S. Government, United Nations, and other reliable indices			
Performance Indicator	FY '99 Baseline	FY '00 Actual	FY '01 Target	FY '01 Actual
Number of partnerships Level of international collaboration	Raised global surveillance in international forums; development of TB research center in Baltics; increased international awareness of malaria and influenza vector control issues and WHO Rollback Malaria Program.	More countries involved in developing alternative malaria and flu vector control methods. Increased awareness of Rollback Malaria.	Successful: increased bilateral and multilateral collaboration on global surveillance and response efforts. Increased international support for TB research and programs, malaria and flu vector control strategies, and national malaria control efforts. Unsuccessful: lose support for efforts.	<ul style="list-style-type: none"> The level of bilateral and multilateral collaboration on global health surveillance and response efforts increased significantly during the year. At the end of 2001, negotiations had been concluded to establish the Global Fund To Fight AIDS, Tuberculosis, and Malaria; in April 2001, the UN Secretary-General had issued a call for the creation of the Global Fund. At the end of the year, pledges to the Global Fund exceeded \$1.7 billion; in May, the United States was the first Government to announce a pledge to the Global Fund, in the amount of \$200 million. The Global Fund embodies the principles of private-public partnerships between governments, the private sector, and nongovernmental organizations, including community-based groups.

Performance Indicator (cont'd)	FY '99 Baseline (cont'd)	FY '00 Actual (cont'd)	FY '01 Target (cont'd)	FY '01 Actual (cont'd)
<p>Number of partnerships Level of international collaboration (cont'd)</p>				<ul style="list-style-type: none"> • In June 2001, a Special Session of the UN General Assembly was convened on HIV/AIDS. The session set in place a framework for national and international benchmark targets for prevention, care, support and treatment, and set a goal for financial commitments to the Global Fund. • In April 2001, African leaders at the summit of the Organization of African Unity (OAU) committed their leadership to greater efforts to fight HIV/AIDS on the continent. Leaders attending the G-8 Summit in July 2001 agreed to commit \$1.3 billion to the Global Fund. • In January 2001, the Stop TB Partnership's Global Drug Facility (GDF) became operational. The aim of the GDF is to provide high-quality TB drugs for 10 million patients over 5 years, and to treat 45 million patients over 10 years. • Partners in the GDF include governments, NGOs, foundations, and intergovernmental organizations. In October 2001, Stop TB held its first Partners' Forum. • In April 2001, Roll Back Malaria held its fourth Global Partners meeting to further achieve the global scale of action required for malaria control. Roll Back Malaria reported progress between countries in further integrating separate, vertical malaria control operations, particularly in sub-Saharan Africa.
Verification	<p>Source: OES, U.S. Agency for International Development, HHS, UNAIDS, WHO Storage: Annual reports, Issue Briefs, Situation analyses, cables Validation: U.S. Government, United Nations, and other reliable indexes</p>			

Performance Indicator	FY '99 Baseline	FY '00 Actual	FY '01 Target	FY '01 Actual
<p>Nations in targeted regions and donor partners appoint executive-level AIDS envoys to engage on HIV/AIDS issues at the head-of-state level</p>	<p>About 8</p>	<p>8</p>	<p>Successful: 20 appointed; 15 representing targeted countries Minimally effective: 10 appointed; 7 representing targeted countries. Unsuccessful: none appointed</p>	<p>International cooperation and commitment is increasing at the executive level, although numbers of executive-level AIDS envoys may not be the most accurate way to measure this increase. Many developing countries consider HIV/AIDS to be among their highest priorities, but they do not have sufficient capacity to dedicate a public servant solely to the issue.</p> <p>With this in mind, international commitments, led by the United States., have yielded the Global Fund To Fight AIDS, Tuberculosis, and Malaria to pursue an integrated and balanced approach covering prevention, treatment, and care and support in dealing with the three diseases.</p> <p>Along with the Fund, high-level bilateral and multilateral engagement led by the United States on HIV/AIDS did indeed increase in FY '01. Among other country representatives, approximately 24 heads of state attended the United Nations General Assembly's Special Session on HIV/AIDS in late June 2001. UNAIDS has appointed five international Ambassadors, four of which are from targeted countries. These Ambassadors will have the authority to negotiate at the Ministerial level and higher. Also, 28 countries and the European Commission took part in the Global Fund's Transitional Working Group, including 11 from targeted regions.</p>
<p>Verification</p>	<p>Source: State, White House, U.S. Missions Storage: OES</p>			

Performance Indicator	FY '99 Baseline	FY '00 Actual	FY '01 Target	FY '01 Actual
Long-term trend in national health expenditures/ responsiveness (e.g., WHO index on system responsiveness, percentage of GDP spent on health) of countries in targeted regions	For WHO Country Health System Responsiveness Index: Baseline year for the number of countries in targeted regions.	From 1997 to 1998 (the years for which the most recent data is available), the number of countries in which total expenditure on health as a percentage of GDP increased was 95 (50.26%), while there was a decrease in 64 (33.86%) countries, and no change in 30 (15.87%) countries.	Successful: A net increase in the number of low-income countries demonstrates enhanced responsiveness. Minimally effective: same levels Unsuccessful: A net increase in number of countries shows a decline in responsiveness.	See FY '00. The WHO index on system responsiveness has been discontinued, and we are currently researching an appropriate alternate indicator.
Verification	Source: WHO Annual Health Report, Statistical Annex on Country Health System Responsiveness (Table 6 –now discontinued) Storage: Annual reports, WHO Web site Validation: U.S. Government, United Nations, and other reliable indexes			
Performance Indicator	FY '99 Baseline	FY '00 Actual	FY '01 Target	FY '01 Actual
Number of HIPC countries committing to increase social and health spending	No data available	Ten countries receive HIPC debt relief, based on their commitments.	The majority of remaining countries eligible for HIPC receive debt relief.	In FY '01, 13 more countries received HIPC debt relief based upon their commitments. Eleven of these countries are in Africa. Fourteen countries are yet to be considered. It is unlikely that these countries will receive HIPC relief until they demonstrate they can support sound economic policies.
Verification	Source: World Bank, IMF, other development banks Storage: Maintained at World Bank, Department of State /EB, OMA Validation: U.S. Government, international financial institutes, and other reliable indexes			
Countries	Africa, East Asia/India, Caribbean, Russia and the New Independent States, major industrial nations, and economically disadvantaged nations			
Complementary U.S. Government Activities (Non-Department of State)	Agencies of the U.S. Department of Health and Human Services: Office of the Secretary; National Institutes of Health, Centers for Disease Control and Prevention, Food and Drug Administration, U.S. Agency for International Development; U.S. Department of Agriculture; Central Intelligence Agency; Department of Defense; White House; U.S. Department of Treasury, U.S. Trade Representative			
Lead Agency	Department of State, U.S. Agency for International Development			
Partners	State bureaus: AF, EAP, EB, ECA, EUR, G, IIP, IO, NEA, OES, USUN, WHA, SA, INR, U.S. Missions overseas Outside institutions: World Bank, WHO (including UNAIDS, PAHO), nongovernmental organizations, private sector			

MUTUAL UNDERSTANDING



The Department of State works to establish mutual understanding to...

- Expose current, emerging and future foreign leaders to American values, language, ideas and methods in order to develop a network of current and future foreign leaders who will understand the United States and exert a multiplier effect on their societies.
- Increase knowledge and understanding of international issues and foreign societies and cultures among current, emerging and future American leaders.
- Expand the paradigm of partnership in which the Bureau engages with the private and non-profit sectors, as well as with foreign governments. Establish new partnerships and enhance long-lasting and productive relationships between U.S. and foreign individuals and institutions.
- Leverage increased levels of public and private financial and in-kind support within the U.S. and abroad.

Taken in total, exchange programs between the people of the United States and people of other countries are a powerful tool for foreign policy. Here are a couple of examples:

Exchanges affect current and future leaders. Many indicators demonstrate that exceptional individuals for our exchange programs are selected. More than 23 Fulbright Program alumni are Nobel laureates, and over 35 are Pulitzer Prize winners. Over 200 current and former heads of state participated in the International Visitor (IV) Program. These distinguished IV alumni include the current prime ministers of Germany, the United Kingdom, Malaysia, New Zealand, Croatia, Senegal and India, and the current Presidents of Kenya, Uganda, Korea, Macedonia, India, Israel, Chile, and Argentina.

We are currently cataloging our program alumni who are "prominent" in their respective sectors. As of September 30, 2001, we identified over 1,700 foreign and 400 U.S. distinguished former program participants.

Using the following strategies...

- Promote study and research at U.S. institutions and their counterparts abroad via academic exchanges
- Engage emerging and current leaders in professional exchanges via International Visitors and Citizen Exchanges
- Promote independent study abroad
- Facilitate interaction between U.S. and foreign leaders

- Program to link exchange alumni of U.S. and other countries
- Require cost-sharing and other forms of partnership in grant proposals

- Advise missions on fundraising strategies
- Require direct and indirect cost-sharing in grant proposals

Success is also gauged through qualitative data. A few examples:

Finnish Editor-in-Chief Advocates for United States. Matti Apunen, Editor-in-Chief of *Aamulehti* (a leading Finnish regional daily), returned home from an International Visitor program as a powerful advocate for the United States and its campaign against terrorism. In an editorial, he opined, "Finland is a neutral country, but in the search of criminals and the war on crime, Finland cannot be neutral. Remaining an outsider in the war on terrorism amounts to the wrong kind of neutrality and cowardice."

International Visitors Alumni Head Indonesia Government. The newly elected President of Indonesia, Megawati Sukarnoputri, participated in the International Visitor Program in 1988 and a Voluntary Visitor Program in 1992. The Minister of Defense was a Voluntary Visitor in 2000, and the Minister of National Education was an IV in 1991.

Program Alumni Appointed to Key Positions in Bush Administration.

Several alumni of the Department of State’s American Council of Young Political Leaders (ACYPL) have been appointed to key positions in the new Administration. These include Attorney General John Ashcroft, Assistant to the President for Domestic Policy Margaret La Montagne, and White House Counsel Alberto Gonzales. Each year, ACYPL conducts a series of 2-week study tours, involving up to 25 delegations of seven to nine members each, to promote ties between young Republicans and Democrats and young political leaders throughout the world. Its reciprocal programs promote democratic values in emerging democracies and strengthen ties with future leaders in established democracies.

U.S. Department of State Quickly Implements New Opportunity for Americans to Study Abroad.

In the fall of 2001, 140 undergraduates are studying abroad on Benjamin A. Gilman fellowships, the first Federal study abroad assistance program for U.S. undergraduates, which provides up to \$5,000 for study abroad programs to students receiving federal financial aid. The competition, the first of three planned for this academic year, generated 20 applications for every available slot, with award winners representing 41 states and broad ethnic diversity. The Institute of International Education, the program partner, reports increasingly heavy use of the Gilman Web site, www.iie.org/gilman.

Spanish Government Creates International Visitor Program. The Spanish Government has created a U.S.-style International Visitor program, patterned on the Department’s model. The program’s new director spent 2 weeks in the U.S. as a Voluntary Visitor in the fall of 2000 to take an in-depth look at how the IV program operates and what makes it a success.

Albanian Minister of Education Endorses Project to Train 3,000 Civics Teachers. Education Minister Ethem Ruka presented a letter of support to U.S. project director Ted Kaltsounis for continued cooperation on the SEED-funded civic education project currently supported by the Department through a grant to the University of Washington. The agreement clears the way for the creation of five civic education resource centers that will train 3,000 teachers to use a new civic education curriculum in Albanian schools.

State Department Pioneers Electronic Outreach in Trilateral Art Exhibit.

On April 3, 2001 the U.S. Department of State, along with the governments of Mexico, and Canada, launched the first international art exhibit for the Internet entitled "Panoramas: The North American Landscape in Art." R. Susan Wood, Deputy Assistant Secretary for Western Hemisphere Affairs affirmed, "This unique virtual exhibit exemplifies the cooperative spirit of our

North American Partnership...it is a splendid example of modern technology at the service of cultural diplomacy and mutual understanding."

English Language Program Link Kurds and Turks To Promote Peace.

An English language institute in southeastern Turkey linked English teaching with peace education through a series of programs to help Turkey rebuild the area torn apart by 15 years of social unrest. In support of the goal for "mutual understanding," the institute brought together a cross-section of university teachers in Turkey, including ethnic Kurds, exposing them to teaching methods on conflict resolution and promoting a culture of peace. The English-Language officer based in Ankara organized the institute.

Exchanges are life-changing experiences for participants. Anecdotal evidence and individual "success stories" like these are reinforced by the results of independent survey-research evaluations contracted by the Department over the past several years. We consolidated responses to 11 question areas from nine of these comprehensive program evaluations to test whether the exchange programs had an effect on participants and whether the effect was long lasting:

Area of Impact	Average Response
Participants who gained new knowledge/skills	88 %
Participants who changed their behavior	73 %
A professional benefit to the participant (promotion, change in direction)	68 %
A professional benefit to the institution or wider community	76 %
Continued contact with the host country	76 %
Continued contact with the U.S. Mission	27 %
Continued interest with the host country	82 %
Returned visitation to the host country	38 %
An understanding or positive view of the host country	92 %
The perceived value of the program by the participant	97 %

As with all exchanges, the theory behind these programs is that

IF: People are given exposure to new ideas, concepts, values, or information,

THEN: They enhance their knowledge, understanding and/or skill level.

IF: They enhance their knowledge, understanding and/or skill level,

THEN: They are likely to change their behavior or take action.

IF: They change their behavior, takes action, or produces something different,

THEN: They will influence or inform others around them.

IF: Others are influenced or informed,

THEN: Institutions and organizations begin to change.

IF: Institutions and organizations change,

THEN: Societies begin to change.

The surveys were based on a combined participant population of 5,272, out of which, 3,484 responded for an average response rate of 66 percent.

Although not all areas of questioning were asked in each evaluation project, the general information is impressive. We are now working to ask a set of similar questions in all evaluations to make it easier to compare across programs. Some of these areas of questioning include:

- To what extent is there continued communication between people of the United States and people of other countries?
- To what extent did the program further the education, training, and skills of the key audiences?
- To what extent did the program promote an understanding and appreciation of the United States and/or host country?

In 2001, the Bureau of Educational and Cultural Affairs completed four evaluations, two of which were pilot projects for testing evaluation of exchanges methodology. A summary of the findings and recommendations are listed below.

The purpose of the *Cincinnati Domestic Impact Study* was to test methodology and collect baseline data to assess the impact of Federally

funded international professional exchange programs on American communities. The Greater Cincinnati area was used as a test case. Two pilot questionnaires were distributed to two groups of 1,518 U.S. host respondents and resulted in a combined response rate of 17 percent. Key findings concluded that exchanges:

- Promote a better understanding of foreign relations
- Are life-changing experiences
- Promote international friendship and peace
- Demonstrate the United States, as a whole, is interested in the development and stability of other nations

Next steps: The methodology appeared successful; therefore, ECA will undertake additional domestic impact studies in other U.S. cities/regions with more emphasis on looking at “impact.”

The purpose of the International Visitor Program Impact Evaluation System (IES) Pilot Study was to design and test an evaluation system that collects, analyzes, and reports program impact and results information in an ongoing, systematic manner. The Pilot Study, which was conducted for a 3-month period and incorporated 56 International Visitor (IV) participants from Hungary and Moldova. We are now streamlining evaluation procedures as a result of the pilot.

- Alumni reported having a more realistic view of the United States and people of the U.S.
- IV alumni reported plans to share their experiences and information obtained during their IV program with colleagues, others in their field, government officials, students, media outlets, etc.
- IV alumni reported an increase in professional knowledge and understanding.
- IV alumni have made key accomplishments related to their IV experiences.

Preliminary findings from two other program evaluations completed in FY '01, but not yet released, point to the success of ECA exchange programs.

The U.S. Fulbright Scholar Program Outcome Assessment was designed to document the results of the U.S. Fulbright Scholar Program, including the professional achievements of alumni, the contribution of the program experience to Scholars' lives, and the extent to which the program has met its legislative mandate. A random stratified sample of U.S. Fulbright Scholars was identified from the 15,659 alumni who lectured and/or conducted research overseas between the academic years of 1976 and 1998. A total of 1,911 names were selected in the sample in order to identify 1,004 valid addresses of Scholars for administration of the project survey. Using a Web-based survey as the primary data collection tool, 801 valid completed questionnaires were received by the time the survey closed out for a remarkable 80% response rate.

The preliminary findings are impressive. A small selection of the numerous findings are listed, as follows:

- Ninety-eight percent of Scholars found their Fulbright experience to be valuable and agreed that it gave them a deeper understanding of their host country; 0% disagreed.
- Ninety-seven percent of Scholars have maintained communication with their host countries; and 77% of Scholars reported continued collaboration with colleagues.
- Ninety-five percent of Scholars have changed their professional activities as a result of their grant; 93% of Scholars reported the incorporation of materials, data and information obtained during their grant into subsequent professional presentations, publications or other works.
- Sixty-nine percent of Scholars have initiated or facilitated other international exchanges of students or professional since completing their Fulbright grant.

The purpose of the Edmund S. Muskie/FSA Graduate Fellowship Programs evaluation was three-fold: 1) to assess the extent to which the program has achieved its goal of providing participants with significant knowledge, skills, and experience with which to become leaders within their designated fields; 2) to explore how individual career and personal developments and attitudes are related to societal economic and democratic reform; and 3) to better understand alumni needs and solicit ideas for future alumni activities. Face-to-face surveys were administered to 280 alumni and 459 semifinalists in Russia, Ukraine, Kazakhstan, and Georgia who participated in or applied to the program between 1992 and 1996. Overall response rates were 33% and 21% for alumni and semifinalists, respectively.

The results suggest that the program has been successful in fostering the immediate goal of *individual* career and personal development. Alumni have moved at greater rates into key sectors and fields and are more likely to be positioned internationally. Moreover, alumni appear to have more influence within their organizations than do the semi-finalists: they report significantly higher incomes, indicate greater job satisfaction and less desire to change jobs, supervise significantly more employees, and perhaps most importantly, evince more democratic ideas about workplace leadership. Most alumni indicate that they directly utilize the technical and substantive knowledge they gained in the United States in their current jobs.

The most important recommendation to emerge from the evaluation is the need to recognize that the alumni are the program's most valuable resource, and that in order to stay in contact with these highly mobile and successful professionals, significant financial resources need to be invested in maintaining contact with alumni and understanding their choices regarding career and geographic locales.

Taken together, the evaluations demonstrate that exchange programs are an effective way to engage people from other countries and promote a more realistic understanding of the United States, its people, and policies. The most consistent recommendation is that alumni are critical to furthering these goals and that resources will need to be devoted to keeping in touch with and supporting them after the exchange activity.

National Interest	Diplomatic Activities	Performance Goal #	MU-01
Strategic Goal	Mutual Understanding		
Improve and strengthen the international relations of the United States by promoting better mutual understanding between the people of the United States and peoples of the world through educational and cultural exchanges.			
Performance Goal			
Increased communication with emergent and current foreign leaders through exchanges; better American understanding of foreign cultures through exchanges; and high quality programs that demonstrate the creativity, diversity, and openness of American culture and society.			
FY '01 RESULTS AS OF 9/30/01			
<ul style="list-style-type: none"> During FY '01 ECA exchanged over 11,500 Americans and 17,100 foreign visitors and leveraged over \$172 million in private sector funds to increase communication with emergent and foreign leaders. To meet the goal of improving American understanding of foreign cultures, ECA launched two opportunities for Americans to go abroad, the Benjamin Gilman Fellowship and the Fulbright Specialist Program. The Gilman Fellowship provided support to 140 U.S. undergraduates needing financial assistance to study overseas. The Fulbright Specialist Program provided the opportunity for 37 U.S. faculty and professionals, unable to go overseas for an extended period of time, to collaborate with professional counterparts on curriculum and faculty development, institutional planning and other activities by presenting lectures, leading workshops and seminars, conducting needs assessments and developing academic curricula and educational materials. As one example of how the Department achieves high-quality programs that demonstrate creativity and diversity of American culture, ECA initiated the Fulbright New Century Scholars Program, where 30 Scholars from the United States and abroad collaborated on "Challenges of Health in a Borderless World." In FY '01, more resources were applied to alumni contact and activities, in order to continue to reap rewards from the investments made in people. This strategy is backed up by the data from several evaluations. One of the key changes that occurs is better or mutual understanding between the people of the United States and people of other countries. The goal was only partially achieved in FY '01. While opportunities for Americans to go abroad increased, the events of September 11 clearly demonstrated that mutual understanding is not universal. The strategies to inform and influence elites and leaders in key regions was not fully implemented because of a lack of funding. In the last decade there has been a 20 percent decline in exchanges. In FY '01, for example we reached approximately 1,000 participants in North Africa, the Middle East, and the Gulf states (315 Americans, 751 foreigners). Contrast this with our success in reaching critical audiences in the former Soviet Union where the number of participants reached is over 6,000, largely funded under FREEDOM Support Act. ECA will be reallocating its resources to increase exchanges in these regions. However, this is still insufficient as we see that entire educational systems, such as the madrassahs teach ideas of intolerance to the Western values and ideas. We are confident that exchange programs are central to winning the war against misunderstanding. In FY '01, ECA consolidated responses to 11 question areas in nine independent evaluations of its international educational exchange programs and found 76 percent of exchange alumni reported maintaining contact with someone in their host country; 82 percent reported maintaining an interest in the affairs of their host country; and 92 percent developed a positive view of their host country. For ECA, these indicators are intermediate outcome measures. The evidence suggests that exchanges are an effective way to engage and continue communication with people. The outcome measures correspond well to the customer service performance indicator listed below. Combined, the measures illustrate that ECA program participants are satisfied with their experiences and the programs are having an effect. For FY '99 and '00, ECA only used the customer service measure, which we found to be insufficient for indicating success and results. ECA will be adding some immediate outcome and other intermediate outcome measures to its performance indicators in future performance plans to better track and report success. The additional measures are currently being developed. Once developed and used, ECA will adjust the target figures based on the data 			

RESULTS AS OF 9/30/01 (cont'd)

collected. ECA completed two evaluations and received preliminary results in two other evaluations in FY '01. The findings are consistent with the evaluations cited above. Findings for the Domestic Impact of Professional Exchanges, International Visitor Overseas Impact Evaluation System, Fulbright U.S. Scholar Outcome Assessment, and the Edmund S. Muskie/FSA Graduate Fellowship Programs Evaluation all showed that alumni are gaining new knowledge and skills, a more realistic understanding of the United States and its people, and are maintaining contact with people they met while in the United States. While there were many minor recommendations for program adjustments, the most consistent is the need to devote resources to keeping in touch with and providing on going activity for former program participants. Program alumni are the program's most valuable resource and ECA could more likely achieve the far-reaching outcomes by staying connected to these key contacts.

- To enhance its ability to report on performance and outcomes, ECA worked with GAO, the American Evaluation Association, and with other agencies through the Interagency Working Group for International Exchanges and Training.
- For the coming year, ECA will reallocate funds to critical geographic areas in the war against terrorism and it will evaluate its performance through enhanced performance indicators and evaluations of the Fulbright Visiting Student Program, Tibet Fund, International Visitors Program, Fund for U.S. Artists, and College and University Affiliations.

Performance Indicator	FY '99 Baseline	FY '00 Target	FY '01 Target	FY '01 Actual
<ul style="list-style-type: none"> • Favorable U.S.-and Mission-produced GPRA reports • Independent polling and analysis of success • Positive professional program evaluations • Positive participant evaluations 	60% ratings of "highly successful"	65% ratings of "highly successful"	70% ratings of highly successful	<p>97 % rating of highly successful by participants (perceived program value)</p> <p>90 % rating of success based on immediate outcomes (change in knowledge, skill, understanding or perception)</p> <p>73 % rating of success based on intermediate outcomes (change in behavior, action or situation)</p>
Verification	<p>Source: U.S. Mission reporting, independent program evaluations, open sources</p> <p>Storage: Department of State files</p>			
Countries	Worldwide			
Lead Agency	Department of State			

Partners	<p>Department of State: AF, EAP, EUR, NEA, SA, WHA, H, AC, DRL, EB, IIP, IO, INL, NP, OES, PA, PM, PRM, S/P, PICW, S/WCI, VC, INR</p> <p>Other U.S. Government: Department of Defense, Department of Energy, Environmental Protection Agency, Federal Bureau of Investigation, Peace Corps, Treasury, U.S. Agency for International Development, U.S. Trade Representative, General Accounting Office, General Services Administration</p> <p>Multilateral: Nongovernmental organizations: Program partner organizations, U.S. universities and colleges, foreign universities and colleges, associations</p>
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