MISSION STATEMENT

The Office of Management and Budget serves the President by preparing the annual *United States Budget* and carrying out other statutory requirements, developing integrated fiscal, budget, program and management policies, leading government-wide coordination in policy making, and ensuring, through management oversight, government-wide effectiveness and consistency in policy implementation, in accordance with Presidential priorities.

OMB works for the President

As staff to the President, OMB occupies a unique position at the center of Government. Given its comprehensive view of the Government’s strategic interests and program priorities, OMB has a hand in the development and resolution of budget, policy, program management, legislative, regulatory, information, procurement, financial management and associated issues on behalf of the President. This places OMB in the middle of complex and sensitive policymaking regarding resource allocation and tradeoffs necessary to develop and maintain coherence and consistency among the President’s priorities and programs.

OMB serves the President and the nation as a key agency for leading the coordination of policy development in the Executive Branch and for ensuring consistency, efficiency, and effectiveness in policy implementation. OMB carries out these responsibilities pursuant to statutory authority, delegated authority, and long-standing custom and practice. These responsibilities include, among other things:

-- preparation of the President's budget;
-- oversight of financial management, Federal procurement and information technology;
-- review and clearance of proposed legislation, regulations, and executive orders;
-- oversight of program management;
-- implementing other statutory responsibilities; and
-- ensuring continuity of these functions during the transition to new Presidential Administrations.

OMB proposes integrated solutions to public policy issues by leveraging program, management, and budget expertise and resources not only within OMB, but within and among interagency groups.
such as the President’s Management Council, and continuing dialogue with outside academic and professional institutions, the Congress, and Congress-supporting agencies. OMB’s strength is its unique government-wide perspective, which is a consequence of its location in the Executive Office of the President, and its responsibilities for overseeing implementation, under the guidance of policy officials, of laws and executive orders. Few of the major policy issues with which a modern President must deal fit neatly into the confines of a single department. Revitalizing the economy, improving the delivery of health care, controlling the illegal distribution and use of drugs, protecting the environment, reforming education, restructuring welfare, creating jobs, conducting international affairs and maintaining national security: each of these issue-areas and dozens of others require coordinated analysis and action across many Executive Branch agencies.

OMB operates in a fast-paced environment, dealing with a variety of complex issues on a daily basis. It has the lead role within the Executive Branch for maintaining Federal fiscal discipline, allocating scarce resources, and promoting program efficiency and effectiveness. OMB provides leadership and assistance in financial management, procurement, information collection and dissemination, and other government-wide management functions. In assisting the President in managing the Executive Branch, OMB carries out numerous, OMB-specific, statutory responsibilities, and exercises various delegated authorities (see Appendix 1). Unlike other Executive Branch departments and agencies, OMB does not operate any programs.

Goals

OMB has three goals related to its major management and policy responsibilities:

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<th>OMB GOALS</th>
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<td>1. Assist the President through analysis and presentation of options for national policy in the areas of budget, legislation, regulation, information, financial management, and procurement derived from interagency coordination of Executive Branch policy.</td>
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<tr>
<td>2. Provide management leadership throughout the Executive Branch to ensure the effective implementation of the budget, laws, programs, regulations and policies.</td>
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<tr>
<td>3. Improve OMB’s work processes through recruitment and retention of highly capable and committed staff and provision of state of the art information and communications systems.</td>
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Goal One: Assisting the President

The first goal focuses on OMB’s assistance to the President in developing policies that will contribute to the fiscal strength of the Federal Government and to the economic and social health and well-being of the Nation. This is exemplified by the annual budget process, which entails analysis of options, development of policy and program recommendations, and making resource allocation decisions across the full range of defense, domestic and foreign policies. OMB assists the President by reviewing agency proposals and programs on a variety of topics from budgets to regulations; ensuring that they are consistent with relevant statutes and Presidential objectives; providing analysis and advice on a variety of subjects; and developing government-wide policies for the effective and efficient operations of the Executive Branch.

The issues confronting the President and the American people have grown ever more complex in recent years. In addition, the pace of change has accelerated for the Government and for the country as a whole. To support the President, OMB is committed to long-term policy and program analysis. This includes multi-year budget planning focused on long-term costs and implications of policy decisions; attention to potential economic, budgetary, and institutional developments that are looming on the horizon; and analysis of policy or program issues that can aid in policy options for the President. For example, OMB will need to continue to analyze and monitor the profound changes foreseen in the age and composition of our population, which have enormous consequences for retirement and health care entitlement programs as well as programs supporting the workforce.

Goal Two: Providing Management Leadership

In working toward the second goal, all OMB staff are involved in assuring effective management of programs, execution of statutory responsibilities and implementation of policies and regulations in Federal agencies. OMB provides government-wide leadership, guidance and coordination to Departments and agencies in developing and administering systems and processes that promote greater efficiency and enhance managerial performance. Management of the Federal Government is a complex process that requires OMB to provide policy guidance, coordinate activities, and assist with implementation within and across agencies. All organizational units within OMB are actively involved in the tasks of management: planning, analysis, and organization and direction. To leverage its own staff capacities, OMB provides leadership to councils of agency managers who share the work of policy development and identifying and implementing the means to better manage Federal resources.

Americans believe that Government can deliver better results and improve the quality of life and the lives of their families. To help meet these expectations, OMB must continue to lead the transition toward more performance-based management; strengthen the workforce; take full advantage of the various tools (for example, grants, loans, tax expenditures, and regulations) through which the Federal
Government engages other entities to achieve Federal goals; support rigorous evaluation of the performance of programs; and seek-out and share best practices and lessons-learned from high-performing public and private entities.

OMB works on an ongoing basis with agencies on a range of management initiatives. Through designation of priority management objectives, OMB is able to devote particular attention to those problems -- both government-wide and agency-specific -- that warrant senior level attention, such as:

- Identifying solutions to mission critical problems;
- Using performance information to improve program management and budget decision making;
- Achieving savings, improving quality, and increasing customer satisfaction in agency procurements;
- Improving financial management information, better managing financial portfolios, and verifying that the right person is getting the right benefit;
- Strengthening the workforce;
- Ensuring that agencies plan for, budget efficiently, and make the transition to a secure electronic government, and lay the groundwork for the resulting transformation in how the government connects with the public; and
- Making Federal programs and information work better and easier for citizens and businesses by promoting effective information technology, privacy, dissemination, access, and statistical policies and practices.

**Goal Three: Improving OMB’s work processes**

To carry out the first two goals OMB must maintain its success in recruiting highly capable and committed staff, and improve its retention of those individuals. Accordingly, the third goal is to provide a fulfilling, efficient, and productive workplace environment through providing continuing challenging work, effective personnel management, and state-of-the-art support systems for communications and the processing and analysis of information.

In addition, OMB provides institutional continuity for the Executive Office of the President, a role that is especially important during Presidential transitions. As our society and Government become more complex, it is of great importance that there be a point of institutional memory and neutral competence available to the President and the Presidency.
How We re Organized to Achieve The Goals

OMB is part of the Executive Office of the President. The Director of OMB, who is a Cabinet-level official, and the Deputy Director and Deputy Director for Management are Presidential appointments, Senate-confirmed (PAS) officials, as are the heads of OMB’s three offices established by statute. The majority of OMB’s just more than 500 staff are career employees who provide an institutional memory and the most objective possible analysis for the President. OMB is composed of five resource management offices (RMOs) headed by non-career SES appointees and organized by agency and program area; the three statutory offices, with functional management responsibilities; and seven offices that provide OMB-wide support. These offices work together to assist the President in developing fiscal policies and creating an environment for effective management of Federal programs.

The RMOs play a pivotal role in the development and execution of Federal budgetary policies and provide ongoing policy and management guidance to Federal agencies. RMOs generally are organized by policy subject matter and agency. Staff are experts in their program and policy areas and are responsible for the analysis, evaluation, and implementation of policy options as well as the implementation of government-wide management initiatives.

The three statutory offices play a critically important role in all of the work of OMB. The statutory offices develop and oversee government-wide management policies, and work primarily with and through the RMOs as these policies are implemented by agencies. The Office of Federal Financial Management (OFFM) develops and provides direction on the implementation of financial management policies and systems, which includes activities ranging from financial reports and systems to debt and grants program management. OFFM also coordinates activities of the agency Inspectors General and Chief Financial Officers interagency councils. The Office of Federal Procurement Policy (OFPP) leads efforts to improve Federal procurement law, policies, and practices that affect the full range of Federal acquisitions, including micro-purchases, major systems, products, services and construction. The OFPP Administrator chairs the Cost Accounting Standards Board as it promulgates cost accounting standards, and OFPP coordinates the activities of the Procurement Executives Council. The Office of Information and Regulatory Affairs (OIRA) oversees the Federal regulatory and information collection processes, helps coordinate Government statistical policies and practices, Federal...

1 The statutory offices are the Office of Federal Financial Management, Office of Information and Regulatory Affairs, and Office of Federal Procurement Policy.

2 The RMOs are National Security and International Affairs; General Government and Finance; Natural Resource, Energy and Science; Health/Personnel; and Education, Income Maintenance, and Labor.

3 The OMB-wide offices are Administration, Budget Review, Communications, Economic Policy, General Counsel, Legislative Affairs, and Legislative Reference.
information policy (e.g., privacy and computer security), and information technology planning, and provides support for the Chief Information Officers Council. OIRA develops policies to improve regulatory and paperwork processes and information management, and leads OMB reviews of agency proposals for new or revised Federal regulations and information collections. OFFM, OIRA and OFPP staff serve as consultants to program examiners in the RMOs and participate on teams reviewing significant issues, such as reviews of financial statements, major information technology investments, and draft and pending legislation.

The Budget Review Division (BRD) plays a central leadership role in the budget process, which is by its nature an iterative process that has to respond to rapidly changing variables, as well as provides leadership and analytic support across the agency. BRD analyzes trends in and the consequences of aggregate budget policy. They provide strategic and technical support for agency planning and budget decision-making and negotiations, and they monitor Congressional action on spending legislation. In addition, these offices provide technical expertise in budget concepts and execution.

The Office of Economic Policy (EP) analyzes economic conditions, long-run economic, demographic, and technological changes, and fiscal policy. EP participates with Treasury and the Council of Economic Advisors (CEA) to develop economic assumptions for the President’s Budget, and works closely with BRD on the budgetary implications of these assumptions and alternatives. EP and BRD jointly use a long-range budget model that they developed to assess the impact of alternative assumptions and policies on the budget over a 75-year horizon. EP issues guidance for benefit-cost analysis, and works with BRD and the RMOs to improve program performance. Its financial economists, together with the RMOs, assess and make recommendations to reduce financial risks to the Government. EP participates in economic analyses of policy issues with staff throughout OMB and with the National Economic Council.

The Legislative Reference Division coordinates articulation of the Administration’s position on all legislation other than appropriations. This office coordinates the RMO and statutory offices’ review and clearance of the Administration’s legislative proposals, testimony, and statements on bills progressing through Congress, and it prepares enrolled bill memos to the President. This responsibility frequently requires resolution of conflicting agency views on legislation or policy positions.

While each unit has its own focus, OMB fulfills its responsibilities through continuing collaboration among OMB offices and divisions. On a day-to-day basis, OMB operates as a collegial organization in which OMB-wide offices, the statutory offices, and the RMOs collaborate to accomplish OMB mission.
For example:

-- Desk officers in OIRA work closely with the RMOs on regulatory and information issues. As an example of this teamwork, OIRA and RMOs help agencies achieve more efficient and effective implementation of major regulatory actions with substantial policy and budgetary implications. They do that by frequent and more up-front consultation with agencies as they are developing regulations and by coordinating with other interested agencies in a timely fashion. With respect to regulations, OIRA staff tend to focus more on the economic and societal consequences of the regulation, assessing the full impact of each proposal, with particular emphasis on the benefits and costs of alternative approaches; the RMOs give particular attention to programmatic, management and budgetary implications. On rules that affect the Federal budget, OIRA advises the RMOs on the quality of the agency analysis, and the RMO assesses this in light of overall budgetary and programmatic policies and commitments.

-- OIRA information technology staff advise RMOs on agency investments in information systems. OIRA provides general expertise to determine whether agencies have based their proposals on a sound capital planning and investment control process, as well as whether agencies have built adequate protections for security and privacy into their IT proposals. The RMOs use this advice in working with agencies to fund and manage IT in achieving the agency's mission and program objectives.

-- OFFM specialists in financial management, accounting, and systems work closely with each agency's financial management staff to monitor progress and plans for improving financial management; RMO staff who have extensive agency relationships and budget responsibility participate in these sessions. Together, OFFM and RMO staff review agency audited financial statements, and agency preparation of annual audits as well as the agency budget submissions that affect financial systems.

-- OFPP's procurement policy specialists work closely with RMO staff and agencies to implement acquisition reforms to advance better business management of Federal acquisitions to support agency missions. OFPP staff work closely with the RMOs and agencies to promote the establishment of a high performing procurement system in which agencies pay less for products and services, increase the value received for dollars spent, and ultimately improve the support acquisition provides to government programs.

Because OMB's organizational units work together in an overlapping, integrated fashion, the linkage between the strategic plan and OMB's budget is captured in the single budget account that is the basis of OMB's budget request.
How We Do Our Work

OMB has served the President since 1921, when it was established as the Bureau of the Budget. The career staff of OMB works with policy officials to provide analytical support to help develop and carry out Presidential policies and programs and implement Executive Branch responsibilities; when there is a change in Administrations, the career staff also provides institutional memory for the President and advances the new Administration’s goals with the same dedication that it had advanced the previous Administration’s.

Budget and policy issues, which inherently involve political choices, are made by OMB senior policy officials who, in partnership with other senior Administration officials, manage the decision-making process of the President. OMB policy officials are involved in the formulation and implementation of the President’s budget, including initial development, interaction with the Congress, and working with the agencies on its implementation and execution. They are supported by OMB staff, who for the most part, are career civil servants that provide objective, nonpartisan analyses and advice.

OMB uses many means and strategies to achieve its goals. It has the lead role in the Executive Branch in maintaining aggregate fiscal discipline, allocating and reallocating resources to particular sectors and programs based on Presidential policy, and promoting the efficient delivery of services. OMB performs this same function in financial management, procurement, information technology and other government-wide management functions of the Executive Branch. OMB coordinates a continuing process of interaction and adjustment with and among the departments and agencies, listening to and representing their views. The entire planning and budget formulation process, with its instructions, hearings, reviews, budget drafting, and justifications, drives much of the development and coordination of policy. OMB staff track appropriations bills through all phases of congressional action. OMB also examines efficiency and effectiveness in order to improve programs; allocates resources in accord with Presidential priorities and statutory requirements; and presents the President’s program. OMB staff is also responsible for exercising foresight -- by collecting and synthesizing information and analyses, monitoring economic and societal trends, and assessing the past and expected effectiveness of Federal policies and programs. This requires that OMB staff stay in touch with developments at think tanks, in academia, within relevant interest groups, and in the Congress, together with Congress’s supporting agencies such as the Congressional Budget Office, General Accounting Office and Congressional Research Service.

OMB also provides leadership and serves as a catalyst for interagency groups such as the President’s Management Council (consisting of the Chief Operating Officers of all Federal Departments and the largest agencies), the National Partnership Council (including representatives of Federal employee unions and Federal managers and supervisors; the Federal Mediation and Conciliation Service, the Federal Labor Relations Authority, the Office of Personnel Management, the Department of Defense, and the Department of Labor), the Chief Financial Officers Council, the Chief Information Officers Council, the President’s Council on Integrity and Efficiency and
Executive Council on Integrity and Efficiency (comprising the agencies=Inspectors General), the
Procurement Executives Council and the Budget Officers=Advisory Council. Through these and
similar groups, OMB draws together operational, financial, procurement, integrity, labor relations, and
systems technology experts from across the government to establish government-wide goals in their
areas of expertise and marshal the resources within individual agencies to improve government
performance.

OMB provides complete, objective and high-quality analyses on priority policy issues, and
disseminates the results to the President and/or other appropriate policy officials in the Executive Office
of the President. Neutral, dispassionate analysis of programs is among the most fundamental functions
of OMB. Perhaps more than any other function, this is, and has been, the way OMB best serves the
President. While final recommendations will and must consider other factors as well, OMB has
historically performed objective analysis. Analysis can be of several types: (1) analysis of programs in
preparation for events (i.e., appropriating or authorizing legislation) that can be readily identified well in
advance, (2) analyses of fast-breaking issues or problems (such as the desired response to a natural
disaster), or (3) problem-solving of difficult and controversial issues (and that draws on OMB staff’s
unique combination of program understanding, budgetary, and management expertise).

To better serve the President, OMB continues to improve its ability to perform timely work through
the development and use of its human resources and information systems. OMB is continuing to refine
its efforts to recruit, develop and retain a talented and diverse staff, as well as increase the opportunities
for all staff to enhance their skills and capability.

In addition, OMB continues to leverage information technology resources to aid OMB staff in
fulfilling their mission requirements. OMB is increasing the number and types of information resources
available to OMB staff, exploring methods of accessing information and information processes to make
information more readily available and examining methods for communicating information internally and
between OMB and other agencies.

Challenges Ahead

OMB staff strive daily to perform at the top of their capabilities. We are aware of several very real
challenges facing us over the next five years. They are:

1. Maintaining and improving an environment that attracts and retains the people we need to do our
   jobs;
2. Continuing the integration of management and budget in all aspects of OMB analysis and decision
   making;
3. Maintaining rigorously analytic decision-making and fiscal discipline in a context of budgetary
   surplus;
4. Leadership of a smooth transition to electronic government;
5. Upgrading our communications and information systems to make our staff as efficient as possible, and
6. Preparing for, and assisting in, a smooth presidential transition.

We are working to meet the first challenge by managing our workload better; improving our management skills and personnel policies; and obtaining the information technology tools we need to do our jobs better. We will work to meet the second challenge by capitalizing on the flexibility of our organizational structure to pull together from across OMB and the agencies the people with the management and programmatic knowledge to solve the problems. To meet the third, we must rise to the opportunity as well as obligation of a budget surplus by attention to long-term analyses and monitoring. We are meeting the fourth challenge by setting policy and working with agencies to put information on line in a secure fashion, through the integration of IT capital planning with budget process, and oversight of interagency processes to reduce online the stovepipes that exist today. To address the fifth challenge, OMB will explicitly recognize that its use of IT is the critical enabling factor for its most important resource -- OMB’s human expertise and knowledge. For the sixth, we will continue to maintain our high quality of support for the current incumbents, while preparing the materials and guidance to assist the incoming Administration. These will all be addressed at length in our annual performance plan for FY 2002.

**Relationship to Annual Performance Goals**

This strategic plan will be supported by a more specific annual performance plan. Frequently, policy issues that OMB addresses cannot be forecast in advance. Nevertheless, judgments can be made about the performance of some of OMB’s work using measures such as OMB’s role in the formulation and discussion of major Administration policies, the degree to which specific goals are achieved, and the customer satisfaction of White House and Executive Branch policy officials with whom OMB works to develop, coordinate and implement policies, as well as the Congress, including the Appropriations Committees, the Committee on Governmental Affairs, the Committee on Government Reform, the Congressional Budget Office and the General Accounting Office.

**Assumptions**

OMB has assumed essentially stable funding and staffing levels, as contained in the President’s fiscal year 2001 *Budget*. The plan also assumes up-to-date information technology, which not only assists OMB staff to do its work in support of the President’s Budget and many other endeavors, but also helps communicate with the agencies and to provide Congress with timely, accurate, coordinated information.
External Factors

Many external factors can affect OMB’s ability to achieve its goals and objectives. These include: a significant change in future OMB funding amounts from the assumed levels; enacted legislation that changes the statutorily-prescribed scope of several of OMB’s functions; or changes in the respective policy or analytic responsibilities of various offices within the Executive Office of the President.

Program Evaluation

OMB is constantly striving to improve. For example, OMB conducts a survey of users of its budget information system after budget season and convenes groups such as the Workload Management Committee and the Budget Officers’ Advisory Council to evaluate and assess the annual budget preparation process. However, since OMB does not operate programs, no formal program evaluations (per se) were done in FY 2000, nor planned in the future.

Development of the Plan and Consultation

In the spring of 2000, a steering committee was established within OMB to oversee the process of revising OMB’s strategic plan. Chaired by the Deputy Director for Management, the group was composed of policy officials and career Deputy Associate Directors, Branch Chiefs and examiners from various units in OMB. Over the course of several meetings, the Steering Committee-- cognizant that we were within months of a transition to a new President who would have his own priorities and policy preferences -- prepared an updated strategic plan with several objectives:

-- To express OMB’s mission and goals strategically, focused on OMB’s role as staff to the President. It was designed to reflect our experience with the 1997 strategic plan and leave for the transition team the best statement of who we are, what we do, and how we do it.

-- To keep the plan brief, but ensure that it is comprehensive and accurately captures the spirit of OMB’s work for all parts of OMB and policy and career officials alike, without dictating policy direction.

The Steering Committee felt strongly that aggressive outreach was needed to ensure that more of the OMB staff understood the plan and had a chance to participate. To solicit broad OMB comments on the plan, twenty-four working groups composed of all OMB, including support staff, each chaired by a member of the Steering Committee, met May 30th and June 1st to discuss the broad substance of the plan. The minutes from these meetings were posted on OMB’s Intranet. Staff were subsequently invited to attend two additional meetings to discuss the revisions made in response to their comments.

In early August, OMB provided copies of the draft strategic plan to the House and Senate Appropriations Committees, the House and Senate Budget Committees, the House Government
Reform Committee, and the Senate Governmental Affairs Committee. Copies were provided to other offices within the Executive Office of the President, as well all Cabinet departments and many independent agencies (through the President's Management Council), and the major interagency councils, including the Chief Financial Officers, Inspectors General, Chief Information Officers, Budget Officers and Procurement Executives. In addition, copies were sent to the Comptroller General, Director of the Congressional Research Service in the Library of Congress, Director of the Congressional Budget Office, President of the National Academy of Public Administration and Chief Executive Officer of the Council for Excellence in Government. The draft plan was also posted on OMB's Website so that the general public could have access to it. The draft was revised as a result of the views and suggestions received. The final plan reflects the salient comments received during the consultation process and a final internal review within OMB.
Appendix 1.

**OMB-Specific Statutory Responsibilities**

In assisting the President in managing the Executive Branch, OMB carries out numerous, OMB-specific, statutory responsibilities, and exercises various delegated authorities. These include more than 200 statutory provisions, including the Budget and Accounting Act, the Budget Enforcement Act, the Antideficiency Act, the Balanced Budget Act, the Impoundment Control Act, the Government Performance and Results Act (GPRA), the Chief Financial Officers Act (CFOs Act), the Government Management Reform Act, the Federal Acquisition Streamlining Act, the Office of Federal Procurement Policy Act, the Paperwork Reduction Act, the Clinger-Cohen Act, the Federal Credit Reform Act, and the Government Paperwork Elimination Act (GPEA).

Laws that have recently imposed statutory responsibilities on OMB include:

- Government Performance and Results Act (PL 103-62)
- Federal Acquisition Streamlining Act (PL 103-355)
- Government Management and Reform Act (PL 103-356)
- Evaluation of DC report (PL 103-373)
- Unfunded Mandates Reform Act (PL 104-4)
- Paperwork Reduction Act (PL 104-13)
- Federal Acquisition Reform Act (PL 104-106, Division D)
- Information Technology Management Reform Act (Div. E, PL 104-106)
- Regulatory Flexibility Act Amendments (Title II D, PL 104-121)
- Congressional Review of Agency Rulemaking (Title II E, PL 104-121)
- National Technology Transfer and Advancement Act (PL 104-113)
- Debt Collection Improvement Act, PL 104-134
- Single Audit Amendment Act (PL 104-156)
- Federal Financial Management Improvement Act (Title VIII, PL 104-208)
- Fiscal Year FY 1998 Defense Authorization Act (PL 105-85)
- Government Paperwork Elimination Act (Title XVII, PL 105-277)
- Federal Activities Inventory Reform Act (PL 105-270)
- Counterterrorism & Antiterrorism (PL 105-85, Sec. 1051)
- A report on total Federal expenditure of all official international travel during the previous fiscal year (Omnibus Consolidated & Emergency Supplemental Appropriations Act)
- A report providing a final accounting of the finances and operations of international agencies abolished under Division G of the Act (Omnibus Consolidated & Emergency Supplemental Appropriations Act)
$  Federal Financial Assistance Management Improvement Act (PL 106-107)
$  Submission to Congress of an inventory of Federal grant programs (Treasury/General Government Appropriations, PL 106-58)
$  An accounting of climate change programs in the FY 2001 Budget (Consolidated Appropriation Act, PL 106-113)
$  Designation of OMB to Chair the National Commission on Use of Offsets in Defense Trade, and submit a report to Congress (Section 1247(d) of FY 2000-01 Foreign Relations Authorization Act; PL 106-113)