

Request for Records Disposition Authority

(See Instructions on reverse)

Leave Blank (NARA Use Only)

To: National Archives and Records Administration (NIR)
Washington, DC 20408

Job Number

NI-359-11-1

Date Received

8/22/11

1. From: (Agency or establishment)

Executive Office of the President

2. Major Subdivision

Office of Science and Technology Policy

3. Minor Subdivision

Budget and Administration

4. Name of Person with whom to confer

Miriam R. Eubanks

5. Telephone (include area code)

202-456-7331

Date

29 Sept 2011

Archivist of the United States

[Signature]

Notification to Agency

In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

6. Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached 17 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies:

Is not required Is attached has been requested

Signature of Agency Representative

Miriam R. Eubanks

Title

Records Specialist

Date (mm/dd/yyyy)

08/16/2011

7. Item Number

8. Description of Item and Proposed Disposition

9. GRS or Superseded Job Citation

10. Action taken (NARA Use Only)

See Attached Records Control Schedule:
Executive Office of the President
Office of Science and Technology Policy

OFFICE OF SCIENCE AND TECHNOLOGY POLICY (OSTP)

OSTP was established within the Executive Office of the President by the National Science and Technology Policy, Organization, and Priorities Act of 1976 (42 U.S.C. § 611). OSTP advises the President and his senior staff on the effects of science and technology on domestic and international affairs. The office serves as a source of scientific and technological analysis and judgment for the President with respect to major policies, plans and programs of the Federal Government. OSTP leads interagency efforts to develop and implement sound science and technology policies and budgets. The office works with the private sector to ensure that Federal investments in science and technology contribute to economic prosperity, environmental quality, and national security.

Records Common to All Offices

1. Public Comments

Public feedback and comments received by OSTP via a variety of methods, including (but not limited to) IdeaScale, email, fax, through the mail, etc.

TEMPORARY. Destroy/delete when 3 years old.

2. Student Volunteer Program Applications.

An internship created for each division of OSTP. The application package consists of an application, transcripts and recommendations. A web portal is maintained to house all the information for each applicant

TEMPORARY. Destroy/delete when 3 years old.

Records of the Director

OSTP is headed by a Director, who is appointed by the President by and with the advice and consent of the Senate. The focus of the Director's Office is to promote and support the Administration's position on science and technology and preserve research and development funding within the Federal budget. OSTP conveys those messages through media, community, and business/industry outreach programs. The Director of OSTP's responsibilities include: advising the President on science and technology considerations relating to the economy, national security, foreign relations, health, energy, environment, resources and other related matters; evaluating the Federal effort in science and technology and recommending appropriate action on it; advising the President on science and technology considerations in the Federal budget, and working with the Office of Management and Budget on the review and analysis of research and development items in the budgets of all Federal agencies; and assisting the President in coordinating the research and development programs of the Federal Government.

3. Director's Subject Files.

These files are arranged alphabetically by subject and contain inter- and intra-office memoranda, reports, letters to and from other Government agencies, and minutes of meetings chaired by the Director.

PERMANENT. Cut-off at the end of the Presidential administration.

Transfer to National Archives 15 years after cutoff.

OSTP understands their responsibility to preserve and maintain electronic records in accessible formats. Records will be transferred to

the National Archives in accordance with NARA's transfer guidance and Federal regulations in effect at the time of transfer.

Superseded authority: NC1-359-80-01, item 7

Volume: 4.5 cubic feet annually. Electronic: 300 gigabytes.

4. Director's Chronological Files.

These files are arranged chronologically by month and contain copies of correspondence signed by the Director and others.

PERMANENT. Cut-off at the end of the Presidential administration.

Transfer to National Archives 15 years after cutoff.

OSTP understands their responsibility to preserve and maintain electronic records in accessible formats. Records will be transferred to the National Archives in accordance with NARA's transfer guidance and Federal regulations in effect at the time of transfer.

Superseded authority: NC1-359-80-01, item 8

Volume: 4.5 cubic feet annually. Electronic: 250 gigabytes.

5. Legislative Information Files.

These legislative clearance files are primarily "Legislative Referral Memoranda" that contains copies of correspondence from Congress and other Government agencies, including printed materials mainly to and from OMB.

TEMPORARY. Cut-off at the end of the Congressional session.

Destroy 2 years after cutoff.

Superseded authority: NC1-359-80-01, item 3

Volume: 4.5 cubic feet annually. Electronic: 400 gigabytes.

6. Congressional Correspondence Files.

These files are arranged alphabetically and contain any correspondence between Congress and OSTP that requires the signature of the Director.

PERMANENT. Cut-off at the end of the Presidential administration.

Transfer to National Archives 15 years after cutoff.

OSTP understands their responsibility to preserve and maintain electronic records in accessible formats. Records will be transferred to the National Archives in accordance with NARA's transfer guidance and Federal regulations in effect at the time of transfer.

Superseded authority: NC1-359-80-1, item 5
Volume: 4.5 cubic feet annually. Electronic: 400 gigabytes.

7. White House Correspondence Files.

These files are arranged alphabetically and contain routine referrals from the White House and OSTP replies, involving no administrative actions, no policy decisions, and no special compilations or research. When outgoing correspondence is received by OSTP, the Director responds to the correspondence and he signs the documentation.

PERMANENT. Cut-off at the end of the Presidential administration.
Transfer to National Archives 15 years after cutoff.
OSTP understands their responsibility to preserve and maintain electronic records in accessible formats. Records will be transferred to the National Archives in accordance with NARA's transfer guidance and Federal regulations in effect at the time of transfer.

Superseded authority: NC1-359-80-01, item 4
Volume: 4.5 cubic feet annually. Electronic: 400 gigabytes.

8. Calendars.

The electronic calendars and task tracking of the Director and Associate Directors of OSTP are to be printed monthly and filed in the designated official recordkeeping system.

PERMANENT. Cut-off at the end of the Presidential administration.
Transfer to National Archives 15 years after cutoff.
OSTP understands their responsibility to preserve and maintain electronic records in accessible formats. Records will be transferred to the National Archives in accordance with NARA's transfer guidance and Federal regulations in effect at the time of transfer.

Volume: 1.5 cubic feet annually. Electronic: 200 gigabytes.

9. Briefing/Meeting Materials.

Materials provided to senior leadership in preparation of meetings in state and abroad, including those with other federal officials, members of Congress, public interest groups, etc.

PERMANENT. Cut-off at the end of the Presidential administration.
Transfer to National Archives 15 years after cutoff.

OSTP understands their responsibility to preserve and maintain electronic records in accessible formats. Records will be transferred to the National Archives in accordance with NARA's transfer guidance and Federal regulations in effect at the time of transfer.

Volume: 4.5 cubic feet annually.

Division Records

The Office of Science and Technology policy serves as a source of scientific and technological analysis and judgment for the President with respect to major policies, plans, and programs of the Federal Government, as indicated in P.L. 94-282) As such OSTP is comprised of four divisions. The divisions that are within OSTP are: National Security and International Affairs (NSIA), Technology and Innovation, Environment and Energy and Science.

National Security and International Affairs Division (NSIA): ensures that national security and international affairs are properly enabled and informed by the best and latest science and technology to national security and enhancing international science and technology cooperation. NSIA has a leading role in the office's emergency/continuity of operations program in the event of a national security emergency or disaster conditions.

The Technology Division: assists the President in harnessing the power and potential of technology, data and innovation to transform the nation's economy and improve the lives of everyday Americans. It also encourages and enables a culture of open government that enhances transparency, encourages participation and fosters collaboration. These files are arranged alphabetically by subject and consist of inter and intra office memoranda, letters to and from other agencies, private industry, institutions of higher learning, and related pertinent background material.

The Science Division: focuses on maintaining a broad Federal research program, which advances the frontiers of knowledge and supports critical national goals through a strong link to education. The Division leads the White House effort to ensure that the United States continues to maintain global leadership in science, mathematics, and engineering research. It also ensures that science continues to provide support for the successful resolution of some of the most important problems in the areas of health, agriculture, the economy, energy, social well-being, education, and national security.

The Environment and Energy Division: provides national leadership in the development, coordination and implementation of policies that address national research and development (S&T) priorities in the areas of climate change, new energy sources, sustainable development, biodiversity, oceans and other high priority areas. The Division pursues policies that ensure a focused suite of intra- and inter-agency S&T priorities while maintaining a productive balance of activities across the broad spectrum of

sciences that enable a sustainable environment and the prosperity of current and future generations of Americans.

10. Associate/Deputy/Assistant Director Files.

These files are arranged alphabetically by subject and consist of inter- and intra-office memoranda, reports, letters to and from other agencies and related pertinent background material.

PERMANENT. Cut-off at the end of the Presidential administration.
Transfer to National Archives 15 years after cutoff.
OSTP understands their responsibility to preserve and maintain electronic records in accessible formats. Records will be transferred to the National Archives in accordance with NARA's transfer guidance and Federal regulations in effect at the time of transfer.

Superseded authority: NC1-359-80-01, items 12, 13, 15 and 17
Volume: 4.5 cubic feet annually. Electronic: 300 gigabytes.

11. Policy Analysts Files.

These files are arranged alphabetically by subject and consist of inter- and intra-office memoranda, reports, letters to and from other agencies and related pertinent background material.

PERMANENT. Cut-off at the end of the Presidential administration.
Transfer to National Archives 15 years after cutoff.
OSTP understands their responsibility to preserve and maintain electronic records in accessible formats. Records will be transferred to the National Archives in accordance with NARA's transfer guidance and Federal regulations in effect at the time of transfer.

Volume: 4.5 cubic feet annually. Electronic: 400 gigabytes.

Vital Records for National Security and International Affairs (NSIA)

12. Continuity Personnel Files.

These files are related to emergency staffing assignments that are necessary in order to meet operational responsibilities in the event of a national security emergency or crisis. The files include, but are not limited to, lists of personnel with their addresses, telephone numbers, and level of clearances held (and comparable data for alternates) and assigned emergency duties.

TEMPORARY. Cut-off when superseded. Destroy when superseded.

13. Continuity Devolution Plans and Delegation of Authority Files.

These files are related to emergency staffing assignments that are necessary in order to meet operational responsibilities in the event of a national security emergency or crisis. The files include the following:

Records that establish and promulgate the line of succession to key positions in the absence of existing leadership, enabling an orderly and predefined transition of leadership within the organization for an individual to act on behalf of and exercise the powers of a principal in the event of that principal's death, incapacity, or resignation.

Records that establish delegations of authority, specifying who has the right to make key decisions during a continuity situation. These records consist of predetermined delegations of authority, which take effect when normal channels of direction and control are disrupted and lapse when those channels are reestablished. The delegations of authority identify who is authorized to act on behalf of the agency head or other officials for specified purposes and ensures that designated individuals have the legal authorities to carry out their duties.

Devolution plans, responsibilities, and capabilities, which include records such as tests, annual training of devolution staff, biennial exercises to ensure devolution capabilities are prepared and capable of performing an agency's essential functions.

PERMANENT. Cutoff at the end of the presidential administration.

Transfer to the National Archives 15 years after cutoff.
OSTP understands their responsibility to preserve and maintain electronic records in accessible formats. Records will be transferred to the National Archives in accordance with NARA's transfer guidance and Federal regulations in effect at the time of transfer.

14. Emergency Operating Procedure Files.

These files consist of emergency operating records created by the Office of Science and Technology Policy supporting implementation of the Continuity of Operations and Continuity of Government programs.

Directives/manuals or other authorizing issuances, information needed to operate the emergency center or its equipment, and recovery plans and procedures.

Mission essential function records (MEFs), which address how to identify and conduct essential functions or activities that must be continued after a disruption of normal activities during an increased threat situation or in the aftermath of a

catastrophic emergency, which will enable the organization to provide vital services, exercise civil authority, maintain the safety of the general public, and sustain the industrial/economic base during an emergency.

Primary mission essential functions (PMEFs) records. These records are a subset of agency MEFs that directly support the national essential functions.

National essential functions (NEFs) records. These records consist of the eight functions the President and national leadership focus on to lead and sustain the Nation during a catastrophic emergency.

TEMPORARY. Cut-off when superseded. Destroy when superseded.