

# REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See Instructions on reverse)

TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)  
WASHINGTON, DC 20408

1. FROM (Agency or establishment)  
OFFICE OF TECHNOLOGY ASSESSMENT

2. MAJOR SUBDIVISION

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER  
Martha Dexter

5. TELEPHONE  
202 228 6233

### LEAVE BLANK (NARA use only)

JOB NUMBER  
N1-444-94-1

DATE RECEIVED  
8-4-94

### 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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

DATE  
5-3-95  
ARCHIVIST OF THE UNITED STATES  
*Cindy Lindamp Peterson*

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 29 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; or  has been requested.

DATE  
5-11-94

SIGNATURE OF AGENCY REPRESENTATIVE  
*[Signature]*

TITLE  
Director

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	See Attached list of records descriptions and requested disposition authorities		

*Copies sent to Agency, NSC, NCF, NIA 5/16/95*

**TABLE OF CONTENTS**

<b>OFFICE</b>	<b>PAGE</b>
1. Director	1
2. Assistant Directors	4
3. Congressional and Public Affairs	5
4. Budget and Finance	7
5. Contracts	10
6. General Counsel	11
7. Information Center	12
8. Information Management / Building Services	14
9. Personnel	17
10. Publishing	19
11. Telecommunications and Information Systems	21
12. Programs	23

## 1. OFFICE OF THE DIRECTOR

Records created in the Office of the Director provide unique and critical documentation of OTA.

### 1.1 CONGRESSIONAL CORRESPONDENCE

Originals of all incoming requests and official responses, including all relevant enclosures. Incoming and outgoing files arranged chronologically.

PERMANENT - Cut off at end of a Congress. TRANSFER to the National Archives and Records Administration four years after cutoff. {N1-444-94-1}

Annual accumulation is .5 cubic feet.

### 1.2 GENERAL CORRESPONDENCE

#### 1.2a OFFICIAL LETTERS AND RESPONSES

Originals of all non-Congressional correspondence and official responses, including all relevant enclosures. Incoming and outgoing files arranged chronologically.

PERMANENT - Cut off annually. TRANSFER to the National Archives and Records Administration when 5 years old. {N1-444-94-1}

#### 1.2b INTERNAL POLICY COMMUNICATIONS

Originals of memos to staff outlining agency policy.

PERMANENT - Cut off annually. TRANSFER to the National Archives and Records Administration when 5 years old. {N1-444-94-1}

### 1.3 MISCELLANEOUS CORRESPONDENCE

Anonymous letters, letters of complaint, commendation, criticism and suggestion.

TEMPORARY - DESTROY when 1 year old. {GRS 14 - item 5}

### 1.4 CORRESPONDENCE LOG

Paper logging system for Congressional and general correspondence documenting receipt and response.

PERMANENT - Cut off annually. TRANSFER to the National Archives and Records Administration when 5 years old. {N1-444-94-1}

Annual accumulation is .5 cubic feet.

1.5 TAB / TAAC MEMBER FILES

Correspondence, including information requests and comments pertaining to OTA projects and other activities. Arranged chronologically by board member.

PERMANENT - Cut off upon termination of board membership. TRANSFER to the National Archives and Records Administration 3 years after termination. {N1-444-94-1}

Annual accumulation is .1 cubic feet.

1.6 CONGRESSIONAL ADVISORY BOARDS (TAB/TAAC)

Meeting agenda books including all Director's personal notations.

PERMANENT - Cut off annually. TRANSFER to National Archives and Records Administration when 2 years old. {N1-444-94-1}

Annual accumulation is .2 cubic feet.

1.7 MEETING FILES

Notes, drafts and finished speeches of the Director including letters of invitation and formal statement if published.

PERMANENT - Cut off annually. TRANSFER to National Archives and Records Administration when 5 years old. {N1-444-94-1}

Annual accumulation is .1 cubic feet.

1.8 DIRECTOR'S CALENDAR

Official calendar documenting daily activities.

PERMANENT - Cut off annually. TRANSFER to National Archives and Records Administration when 5 years old. {N1-444-94-1}

Annual accumulation is .1 cubic feet.

1.9 SENIOR MANAGEMENT YEARLY RETREAT FILES

Director's copy of agenda, presentation materials, final reports and other related materials with personal notes. Arranged chronologically.

PERMANENT - Cut off annually. TRANSFER to National Archives and Records Administration when 3 years old. {N1-444-94-1}

Annual accumulation is .5 cubic feet.

1.10 SISTER LEGISLATIVE SUPPORT AGENCY FILES

Files containing data, memoranda and correspondence relating programs with the Congressional Research Service, Congressional Budget Office and the General Accounting Office.

TEMPORARY - DESTROY when superseded, obsolete or when no longer needed.

{N1-444-94-1}

1.11 PROJECT FILES

Copies of relevant correspondence, proposals, testimony and budget materials related to current projects. Used for reference purposes only.

TEMPORARY - DESTROY when superseded, obsolete or when no longer needed.

1.12 FOREIGN VISITORS FILES

Correspondence and related materials pertaining to visits by foreign officials.

TEMPORARY - DESTROY when 2 years old.

{N1-444-94-1}

1.13 DECLINED INVITATIONS

Correspondence and responses pertaining to invitations declined.

TEMPORARY - Cut off annually. DESTROY when 2 years old or when no longer needed, whichever is sooner.

{N1-444-94-1}

1.14 REFERENCE MATERIALS

Directories , guides, instructional materials, journals, periodicals, non customized software, general statistical data, extra copies of OTA published and unpublished products.

TEMPORARY - DESTROY when obsolete, superseded, or no longer needed.

NON-RECORD

## 2. OFFICES OF THE ASSISTANT DIRECTORS

Files maintained in the Assistant Directors' Offices include correspondence, administrative, and reference materials.

### 2.1 GENERAL CORRESPONDENCE

Correspondence related to daily activities including information requests, relations with government and non-government organizations, and other correspondence pertaining to the activities of the assistant directors.

TEMPORARY - Cut off annually. DESTROY when 2 years old or when no longer needed, whichever is later.

### 2.2 CONGRESSIONAL CORRESPONDENCE

Correspondence, including information requests and comments pertaining to OTA projects and other activities. Arranged chronologically by congressional member.

TEMPORARY - Cut off annually. DESTROY when 2 years old or when no longer needed, whichever is later.

### 2.3 PROJECT PROPOSAL SERIES

Copies of files documenting projects from proposal to draft review copy including tracking of cost code information, correspondence with Congress, and draft memo of report with review comments and responses.

TEMPORARY - DESTROY when 2 years old, or when no longer needed, whichever is later.

### 2.4 ADVISORY COMMISSION RECORDS COVERED BY THE FEDERAL ADVISORY COMMITTEE ACT

Materials related to commissions appointed by OTA. Copies of charters, membership lists, agendas, policy statements, and related materials of commission activities. Record set maintained by the commission until appraised by the National Archives.

TEMPORARY - Cut off files upon renewal of committee charter. DESTROY when 2 years old or when no longer needed.

### 2.5 REFERENCE MATERIALS

Directories, guides, instructional materials, journals, periodicals, non customized software, general statistical data, extra copies of OTA published and unpublished products.

TEMPORARY - DESTROY when obsolete, superseded, or no longer needed.

NON-RECORD

### 3. OFFICE OF CONGRESSIONAL AND PUBLIC AFFAIRS

CPA maintains record sets of documents pertaining to OTA's relations with Congress and its Advisory Committees. The office also maintains record sets of press materials related to OTA's final reports.

#### 3.1 PRESS INFORMATION FILES

**Record set** of formal OTA press releases, significant press clippings pertaining to OTA activities and projects, and publication briefs. Arranged chronologically.

PERMANENT - Cut off annually. TRANSFER to the National Archives and Records Administration when 5 years old. {N1-444-94-1}

Annual accumulation is 3 cubic feet.

#### 3.2 CONGRESSIONAL ADVISORY BOARDS

Agenda, minutes, final reports, transcripts, proposals, and related records documenting the activities of OTA's Congressional advisory boards. Arranged chronologically.

##### 3.2a. TECHNOLOGY ASSESSMENT BOARD MEETING FILES

PERMANENT - Cut off at end of a Congress. TRANSFER to the National Archives and Records Administration 4 years after cutoff. {N1-444-94-1}

Annual accumulation is .3 cubic feet.

##### 3.2b. TECHNOLOGY ASSESSMENT ADVISORY COUNCIL MEETING FILES

PERMANENT - Cut off files annually. TRANSFER to the National Archives and Records Administration when 5 years old. {N1-444-94-1}

Annual accumulation is .2 cubic feet.

#### 3.3 PROJECT SERIES

Files documenting projects from proposal to draft review copy including tracking of cost code information, correspondence with Congress, and draft memo of report with review comments and responses.

PERMANENT - Cut off when activity regarding the project diminishes. TRANSFER to the National Archives and Records Administration when 5 years old. {N1-444-94-1}

Annual accumulation is .2 cubic feet.

#### 3.4 TESTIMONY FILES

Official testimony given before Congress by the Director or staff of OTA.

PERMANENT

TEMPORARY - Cut off at end of a Congress. RETIRE to the Washington National Records Center 6 years after cutoff. ~~DESTROY 20 years after cutoff.~~ Transfer to the National Archives 20 years after cutoff. {N1-444-94-1}

Changes made per discussion with agency  
YKW 1/31/95

3.5 TAB / TAAC MEMBER FILES

Correspondence, including information requests and comments pertaining to OTA projects and other activities. Arranged chronologically by board member.

3.5a. TECHNOLOGY ASSESSMENT BOARD MEMBER FILES

PERMANENT - Cut off at end of a Congress. TRANSFER to the National Archives and Records Administration 4 years after cutoff. {N1-444-94-1}

3.5b. TECHNOLOGY ASSESSMENT ADVISORY COUNCIL MEMBER FILES

PERMANENT - Cut off annually. TRANSFER to the National Archives and Records Administration when 5 years old. {N1-444-94-1}

3.6 REFERENCE MATERIALS

Directories , guides, instructional materials, journals, periodicals, non customized software, general statistical data, extra copies of OTA published and unpublished products.

TEMPORARY - DESTROY when obsolete, superseded, or no longer needed.

NON-RECORD



#### 4. BUDGET AND FINANCE OFFICE

The Library of Congress provides financial and budget support to OTA. BFO maintains an additional record set of financial documentation for auditing purposes.

##### 4.1 TRAVEL ORDER VOUCHER FILE

**Record Set** of vouchers and other materials documenting the reimbursement for official travel and transportation.

TEMPORARY - Cut off at the end of FY. RETIRE to the Washington National Records Center when volume warrants. DESTROY 6 years and 3 months after period covered by account. {GRS 6-item 1a}

##### 4.2 PETTY CASH FILES

**Record set** of receipts and related documents for all disbursement for petty cash, including funds advanced for official travel.

TEMPORARY - Cut off at the end of FY. RETIRE to the Washington National Records Center when volume warrants. DESTROY 6 years and 3 months later. {GRS 6 - item 1a}

##### 4.3 PURCHASE ORDER FILE

**Record set** of purchase orders and vendor invoices documenting the procurement of and payment for equipment, supplies, contractor services, and telecommunications. Arranged numerically by purchase order.

TEMPORARY - Cut off at the end of FY. RETIRE to the Washington National Records Center when volume warrants. DESTROY 6 years and 3 months later. {GRS 6 - item 1a}

##### 4.4 BUDGET APPROPRIATIONS FILE

Agency budget and apportionment records including various files accumulated in the course of formulating the OTA budget for submission to the OMB and to the Congress.

##### 4.4a. BUDGET ESTIMATES AND JUSTIFICATION FILES

Official budget request, related correspondence, justification of estimates, and related testimony.

TEMPORARY - Cut off at the end of FY. RETIRE to the Washington National Records Center when volume warrants. DESTROY when 15 years old. {N1-444-94-1}

4.4b. BUDGET BACKGROUND WORK PAPERS

Including cost statements, rough data, and similar materials accumulated in the preparation of annual budget estimates.

TEMPORARY - Cut off annually. DESTROY 1 year after the close of the FY covered by the budget. {GRS 5 - item 2}

4.5 BUDGET REPORT FILES

Periodic reports on the status of appropriation accounts and apportionment.

4.5a. BUDGET MANAGEMENT INFORMATION SYSTEM

Database supporting budget financial functions.

TEMPORARY - If record set of data is maintained in electronic format, hard copy may be disposed when no longer needed. If record set of data is maintained in hard copy, apply following disposition instructions: {GRS 23- item 3b}

4.5a1. MONTHLY REPORTS

Monthly report on the status of apportionment accounts and apportionment

TEMPORARY - DESTROY hard copy <sup>3</sup>/<sub>3</sub> years after the close of the FY. {GRS 5 - item 3b}

4.5a2. ANNUAL REPORT

TEMPORARY - DESTROY hard copy when 5 years old. {GRS 5 - item 3a}

4.5a3. ALL OTHER REPORTS

TEMPORARY - DESTROY hard copy when 5 years old. {GRS 5 - item 3b}

4.5b. LC ACCOUNTING REPORT FILE

Reference copies of financial information maintained by the LC Financial Support System including trust fund and imprest fund accounts.

TEMPORARY - DESTROY when no longer needed. {GRS 23 - item 8}

4.5c. AUDIT REPORTS

Biannual financial report conducted by independent audit firm

TEMPORARY - DESTROY when 5 years old. {GRS 5 - item 3a}

4.6 1099 RECORDS FILE

Agency copy of employee wages and tax statements, such as IRS Form W-2 and state equivalents.

TEMPORARY - DESTROY when 4 years old.

{GRS 2 - item 13b}

4.7 REFERENCE MATERIALS

Directories, guides, instructional materials, journals, periodicals, non customized software, general statistical data, extra copies of OTA published and unpublished products.

TEMPORARY - DESTROY when obsolete, superseded, or no longer needed. NON-RECORD

## 5. CONTRACTS OFFICE

This office maintains the record set of materials regarding the acquisition of contracts by the agency.

### 5.1 CONTRACTS FILE

Contract, deliverable, requisition, purchase order, lease, bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and invoice. Arranged within Fiscal Year by alpha-numeric contract number.

TEMPORARY - Cut off at completion of contract. RETIRE to the Washington National Records Center 2 years after completion of contract. DESTROY 6 years and 3 months after completion of the contract. {GRS 3 - item 3(a)(1)}

### 5.2 CONTRACTS TRACKING FILE

Electronic database system tracking information duplicated in the Contracts File. Supports administrative or housekeeping functions.

TEMPORARY - DELETE information in the database when no longer needed. {GRS 23- item 3a}

### 5.3 REFERENCE MATERIALS

Directories, guides, instructional materials, journals, periodicals, non customized software, general statistical data, extra copies of OTA published and unpublished products.

TEMPORARY - DESTROY when obsolete, superseded, or no longer needed.

NON-RECORD

## 6. GENERAL COUNSEL OFFICE

The office maintains files pertaining to the legal affairs of OTA and its facilities.

### 6.1 GENERAL SUBJECT FILE

Correspondence, reports, and other supporting materials arranged alphabetically by subject and chronologically therein. Subjects covered include facility support, personnel disclosure statements, budget and finance, personal injury incidents, patent infringements, copyright and other OTA legal matters.

TEMPORARY - RETAIN in agency and DESTROY when all federal and legal requirements have expired and records are no longer needed for administrative purposes.

{N1-444-94-1}

### 6.2 REFERENCE MATERIALS

Directories, guides, instructional materials, journals, periodicals, non customized software, general statistical data, extra copies of OTA published and unpublished products.

TEMPORARY - DESTROY when obsolete, superseded, or no longer needed.

NON-RECORD

## 7. INFORMATION CENTER

The Information Center maintains the record set of all OTA publications. Most other materials provide support of the research projects and do not document the agency.

### 7.1 INFORMATION CENTER ACTIVITIES REPORT

Reports activities of the office and staff related to training, traveling, events, and workload statistics. Arranged chronologically.

TEMPORARY - DESTROY when 2 years old, or no longer needed, whichever is sooner.  
{GRS 23 - item 1}

### 7.2 INFORMATION CENTER INTERNAL ADVISORY COMMITTEE REPORTS

Agenda, minutes, final reports, and related records documenting the accomplishments of the internal advisory committee. Excludes TAB or TAAC records.

TEMPORARY - DESTROY when 3 years old or when no longer needed for reference, whichever is sooner.  
{GRS 16 - item 8b}

### 7.3 AQUISITIONS DATABASE

Electronic database system tracking reference materials acquisition information . Supports administrative or housekeeping functions.

TEMPORARY - DELETE information in the database when no longer needed.  
{GRS 23 - item 3a}

### 7.4 PURCHASE ORDERS

Copies of purchase orders documenting the procurement of equipment and supplies. Record set maintained in the Budget and Finance Office.

TEMPORARY - DESTROY when no longer needed. {GRS 3 - item 3c}

### 7.5 VIDEO SERIES

#### 7.5a. PROGRAMS PRODUCED BY OTA DOCUMENTING OTA ORGANIZATION, PROGRAMS AND SIGNIFICANT EVENTS.

##### 7.5a1. RECORD SET

PERMANENT- TRANSFER to the National Archives and Records Administration when volume warrants. {N1-444-94-1}

Annual accumulation is less than .1 cubic feet.

##### 7.5a2. DUPLICATE COPIES

Maintained for reference purposes only.

TEMPORARY- DESTROY when no longer needed.

7.5b. PROGRAMS ACQUIRED FROM EXTERNAL SOURCES THAT DO NOT REFLECT THE MISSION OF OTA.

Used for reference purposes only.

TEMPORARY - DESTROY when no longer needed.

NON-RECORD

7.6 OTA PUBLICATIONS

7.6a. RECORD SET

One hard copy of each OTA publication including OTA Reports, Annual Reports, Quarterly or semi-annual reports, and appropriations committee conference reports. Cut off annually.

PERMANENT - TRANSFER annually to the National Archives and Records Administration.  
{N1-444-94-1}

Annual accumulation is 2 cubic feet.

7.6b. DUPLICATE COPIES

Paper, microfiche, or electronic format copies maintained for reference.

TEMPORARY - DESTROY when no longer needed.

7.7 REFERENCE MATERIALS

Directories, guides, instructional materials, journals, periodicals, non customized software, general statistical data, extra copies of OTA published and unpublished products.

TEMPORARY - DESTROY when obsolete, superseded, or no longer needed.

NON-RECORD

## 8. OFFICE OF INFORMATION MANAGEMENT AND BUILDING SERVICES

Record sets of historical documentation, such as the FOCUS newsletter, are maintained in this office. In addition, the office maintains administrative files on building and mail services.

### 8.1 PUBLICATION SERIES

#### 8.1a. ANNUAL REPORTS

Copies of catalogs of ongoing assessments and publications, descriptive program brochures, and other informational brochures describing OTA programs. The record set is maintained in the Information Center.

TEMPORARY - DESTROY when superseded or obsolete. {GRS 14 - item 6}

#### 8.1b. FOCUS NEWSLETTER

Record set of official staff newsletter documenting activities of OTA staff, programs, and administrative offices. Arranged chronologically.

PERMANENT - Cut off annually. TRANSFER to NARA in 5 year blocks when most recent record in block is 5 years old. {N1-444-94-1}

Annual accumulation is .1 cubic feet.

#### 8.1c. ELECTRONIC MARKETING FILES

Correspondence and related materials pertaining to the electronic dissemination of OTA information through government and non-government gateways.

TEMPORARY - DESTROY when 2 years old or when no longer needed, whichever is later.

### 8.2 INTERAGENCY LIAISON FILES

Files containing data, memoranda and correspondence relating programs with the Congressional Research Service, Congressional Budget Office and the General Accounting Office.

TEMPORARY - DESTROY when superseded, obsolete or when no longer needed. {N1-444-94-1}

### 8.3 PUBLICATIONS DISTRIBUTION REPORTS

Records relating to the inventory and distribution of OTA publications.

TEMPORARY - DESTROY when 2 years old, or when no longer needed, whichever is sooner.



#### 8.4 INTERNAL CORRESPONDENCE

Documents such as letters, messages, and memoranda relating to office activities.

TEMPORARY - DESTROY when 2 years old or when no longer needed,  
whichever is sooner. {GRS 23 - item 1}

#### 8.5 GENERAL CORRESPONDENCE

Correspondence related to daily activities including information requests, relations with publishers, permission to quote, and other correspondence pertaining to the marketing of publications.

TEMPORARY - Cut off annually. DESTROY when 2 years old or when no longer needed,  
whichever is later.

#### 8.6 ADMINISTRATIVE DATABASE

Databases that support administrative or housekeeping functions.

TEMPORARY - DELETE data when no longer needed. {GRS 23 - item 3c}

#### 8.7 SEMINAR SERIES (closed series)

Announcements, memoranda, and related materials covering internal staff seminars.

TEMPORARY - DESTROY when no longer needed.

#### 8.8 RECORDS MANAGEMENT SERIES

Correspondence, reports, authorizations, and other records that relate to the management of agency records, including the use of records management surveys, vital records programs and all other aspects of records management.

TEMPORARY - DESTROY when 6 years old. Earlier disposal is authorized if records are  
superseded, obsolete or no longer needed. {GRS 16 - item 7}

#### 8.9 BUILDING SERVICES

##### 8.9a. GENERAL CORRESPONDENCE

Correspondence and other materials related to building and space maintenance, access and use.

TEMPORARY - DESTROY when 2 years old. {GRS 11 - item 1}

##### 8.9b. PARKING STICKERS

Files documenting the issuance of parking permits and public transportation or fare cards for staff.

TEMPORARY - DESTROY when 1 year old. {GRS 11 - item 4a}  
{GRS 9 - item 4}

8.10 BUILDING SECURITY FILES

Correspondence and other materials related to building security, including files pertaining to the Capitol Police and maintenance of security equipment.

TEMPORARY - DESTROY when 2 years old.

{GRS 18 - item 8}

8.11 REFERENCE MATERIALS

Directories , guides, instructional materials, journals, periodicals, non customized software, general statistical data, extra copies of OTA published and unpublished products.

TEMPORARY - DESTROY when obsolete, superseded, or no longer needed.

NON-RECORD

## 9. PERSONNEL

The Personnel office maintains record sets of Agency OPF's, Time and Attendance, Performance Evaluations and other critical personnel files

### 9.1 OFFICIAL PERSONNEL FOLDERS

Documents pertaining to official personnel business, including salary history, benefit enrollment forms, personnel actions, commendation letters, address forms, and other supporting documentation on individual employees.

9.1a. TRANSFERRED EMPLOYEES - See Federal Personnel Manual for instructions relating to folders of employees transferred to another agency.

9.1b. SEPARATED EMPLOYEES - TRANSFER folder to National Personnel Records Center, St. Louis, MO 30 days after separation. NPRC will destroy 65 years after separation from Federal Service. {GRS 1- item 1}

### 9.2 TIME AND ATTENDANCE

All time and attendance records upon which leave input data is based, such as time or sign-in sheets; time cards; flexi time records; leave applications for jury and military duty; authorized premium pay or overtime, maintained at duty post, upon which leave input data is based. Records are kept in both electronic and paper medium.

TEMPORARY - Cut off at the end of leave year. RETAIN on site 6 months, then RETIRE to the Washington National Records Center. Destroy when 6 years old. {GRS 2 - item 7}

### 9.3 EMPLOYEE PERFORMANCE EVALUATIONS

Performance appraisals and annual assessment forms including supporting documents such as job elements and standards upon which the appraisals are based, progress review sheets and related records.

#### 9.3a. NON-SES EMPLOYEES

##### 9.3a1. APPRAISALS AND SUPPORTING DOCUMENTS

TEMPORARY - Cut off at end of FY. DESTROY when 3 years old. Retain appraisals affected by adverse action or litigation until the matter is resolved. {GRS 1- item 23a(3,4)}

##### 9.3a2. APPRAISALS OF UNACCEPTABLE PERFORMANCE

TEMPORARY - DESTROY after the employee completes 1 year of acceptable performance from the date of the written advance notice of proposed removal or reduction in grade notice. ~~{GRS 23 - item 1}~~  
{GRS 1 - item 23a(1)}

9.3b. SES EMPLOYEES

TEMPORARY - Cut off at end of FY; DESTROY when 5 years old. {GRS1- item 23b (3,4)}

9.4 PAYROLL SYSTEM REPORTS

9.4a. ERROR REPORTS, TICKLERS, SYSTEM OPERATION REPORTS

DESTROY when related actions are completed or when no longer needed,  
not to exceed 2 years. {GRS 2 - item 22a}

9.4b. REPORTS AND DATA USED FOR AGENCY WORKLOAD AND/OR  
PERSONNEL MANAGEMENT PURPOSES

DESTROY when 2 years old. {GRS 2 - item 22b}

9.4c. REPORTS PROVIDING FISCAL INFORMATION ON AGENCY PAYROLL

DESTROY after GAO audit or when 3 years old, whichever is sooner. {GRS 2 - item 22c}

9.5 PERSONNEL RECORDS INVENTORY SYSTEM

Electronic tracking system for employee personnel records including position title, level,  
degree, and salary excluding all payroll records.

TEMPORARY - DELETE information in database when no longer needed. {GRS 23 - item 3}

9.6 ANNUAL PERSONNEL ANALYSIS REPORT

Demographic analysis of personnel documenting OTA position structure levels,  
as well as detailed profiles of personnel salary distribution, education, and  
experience.

PERMANENT - TRANSFER to National Archives and Records Administration when most  
recent report is 5 years old. {N1-444-94-1}

Annual accumulation is .2 cubic feet.

9.7 REFERENCE MATERIALS

Directories , guides, instructional materials, journals, periodicals, non customized  
software, general statistical data, extra copies of OTA published and unpublished  
products.

TEMPORARY - DESTROY when obsolete, superseded, or no longer needed.

NON-RECORD

## 10. PUBLISHING OFFICE

The Publishing office maintains files to support its activities. The records are administrative rather than historical.

### 10.1 VENDOR CORRESPONDENCE

Records relating to the expenditure of funds, supplies, office services and equipment requests and receipts.

TEMPORARY - DESTROY <sup>when 2 years old.</sup> ~~when 2 years old or when no longer needed, whichever is sooner.~~ ~~{GRS 23 - item 1}~~  
GRS 3, item 2

### 10.2 BUDGET OUTLINES

Records relating to the office's budget justification for the forthcoming year.

TEMPORARY - DESTROY <sup>1 year after the close of the fiscal year</sup> ~~when 2 years old, or when no longer needed, whichever is sooner.~~ ~~{GRS 23 - item 1}~~  
<sup>covered by the budget,</sup> GRS 5, item 2

### 10.3 OFFICE ANNUAL REPORTS

Reports pertaining to internal activities and workload reports, including work progress, statistical, and narrative reports.

TEMPORARY - DESTROY when 2 years old, or when no longer needed, whichever is sooner. {GRS 23 - item 1}

### 10.4 PUBLISHING ADVISORY COMMITTEE REPORTS

Agenda, minutes, final reports, and related records documenting the accomplishments of the internal advisory board. Excludes TAB or TAAC records.

TEMPORARY - DESTROY when 3 years old or when no longer needed for reference, whichever is sooner. {GRS 16 - item 8b}

### 10.5 STAFF FILE

Correspondence, forms, and other records relating to positions, authorizations, pending actions; position descriptions, requests for personnel action, and records on individual employees duplicated in or not appropriate for the OPF.

TEMPORARY - Review annually and DESTROY superseded or obsolete documents; or destroy file relating to an employee within 1 year after separation or transfer. {GRS 1 - item 18a}

### 10.6 REQUISITION ORDER FILE

Copies of printing requisitions including delivery and request order and number of copies requested.

TEMPORARY - DESTROY 3 years after completion or cancellation of requisition. {GRS 3 - item 3e}  
item 6

**10.7 PUBLICATIONS FILE**

**Copies of OTA publications which are used for reference, documentation and duplication purposes.**

**10.7a. CAMERA COPIES**

Camera ready copy of the publication used for reprint issuance of the publication.

TEMPORARY - DESTROY when no longer needed for publication or reprinting  
{GRS 21 - item 7}

**10.7b. ELECTRONIC COPIES**

Copy kept on hard file or disk.

TEMPORARY - DELETE when no longer needed for current business.

**10.7c. PAPER COPY**

Paper copy kept for reference purposes.

TEMPORARY - DESTROY when superseded, obsolete or when no longer needed.

**10.8 COST INFORMATION FILES**

Cost records for publications including cost code, printing costs and distribution information.

TEMPORARY - DESTROY when 2 years old. {GRS 13 - item 6}

**10.9 REFERENCE MATERIALS**

Directories , guides, instructional materials, journals, periodicals, non customized software, general statistical data, extra copies of OTA published and unpublished products.

TEMPORARY - DESTROY when obsolete, superseded, or no longer needed.  
NON-RECORD

## 11. OFFICE OF TELECOMMUNICATIONS AND INFORMATION SYSTEMS

The TIS office maintains files to support its activities. The records are administrative rather than historical.

### 11.1 TECHNICAL SERVICES INFORMATION SYSTEM

Database supporting functions of the office of Technical Services.

TEMPORARY - If record set of data is maintained in electronic format, hard copy may be disposed when no longer needed. If record set of data is maintained in hard copy, apply the following disposition instructions:

#### 11.1a. INTERNAL CORRESPONDENCE

Documents such as letters, messages, and memoranda relating to office activities.

TEMPORARY - DESTROY when 2 years old or when no longer needed, whichever is sooner. {GRS 23 - item 1}

#### 11.1b. VENDOR CORRESPONDENCE

Records related to the expenditure of funds, supplies, and office services, and equipment requests and receipts.

TEMPORARY - DESTROY when 2 years old, or when no longer needed, whichever is sooner. {GRS 23 - item 1}

#### 11.1c. MONTHLY REPORTS TO PROGRAMS

Reports pertaining to internal activities and workload reports, including work progress, statistical, and narrative reports.

TEMPORARY - DESTROY when 2 years old, or when no longer needed, whichever is sooner. {GRS 23 - item 1}

#### 11.1d. WORK ORDERS

Requests for equipment maintenance of services.

TEMPORARY - DESTROY 3 months after work is performed or requisition is cancelled. {GRS 11 - item 5}

#### 11.1e. BUDGET OUTLINES

Records relating to the office's budget justification for the forthcoming year, including ADP plans and financial projections.

TEMPORARY - DESTROY when 2 years old, or when no longer needed, whichever is sooner. {GRS 23 - item 1}

**11.2 PURCHASE ORDER FILE**

Copies of acquisition purchase orders and related correspondence maintained for administrative and reference use.

TEMPORARY - DESTROY when no obsolete, superseded, or no longer needed.

{GRS 3 - item 3(c)}

**11.3 STAFF FILE**

Correspondence, forms, and other records relating to positions, authorizations, pending actions; position descriptions, requests for personnel action, and records on individual employees duplicated in or not appropriate for the OFF.

TEMPORARY - Review annually and destroy superseded or obsolete documents; or destroy file relating to an employee within 1 year after separation or transfer.

{GRS 1 - item 18a}

**11.4 REFERENCE MATERIALS**

Directories , guides, instructional materials, journals, periodicals, non customized software, general statistical data, extra copies of OTA published and unpublished products.

TEMPORARY - DESTROY when obsolete, superseded, or no longer needed.

NON-RECORD



## 12. PROGRAM OFFICES

This section of the Comprehensive Record Schedule describes the records in the Program Offices of OTA. These file series relate to the general administration and documentation of the projects and reports of the Programs.

### 12.1 GENERAL ADMINISTRATIVE FILES

Records of individual offices related to the internal administration or housekeeping activities of the office. The records relate to office organization, staffing, procedures and communications; budget records and funds disbursement; training and travel; supplies and office services; equipment requests and receipts; workload reports and other materials that do not serve as unique documentation of the programs of the office.

TEMPORARY - Cut off files annually. DESTROY when 2 years old or when no longer needed, whichever is sooner. {GRS 23 -item 1}

### 12.2 PROGRAM PERSONNEL FILE

Correspondence, forms, and other records relating to positions, authorizations, pending actions; position descriptions, requests for personnel action, and records on individual employees duplicated in or not appropriate for the Official Personnel Folder. Personnel office maintains the individual OPF's.

TEMPORARY - Review annually and destroy superseded or obsolete documents; or destroy file relating to an employee within 1 year after separation or transfer. {GRS 1 - item 18a}

### 12.3 GENERAL CORRESPONDENCE FILE

Correspondence and related records pertaining to internal administration and operation. Files may include letters, requests, memos and similar documents.

TEMPORARY - DESTROY when 2 years old or when no longer needed, whichever is sooner. {GRS 12 - item 2a}

### 12.4 PROJECT FILES

Project files incorporate many or all of the following types of record and non-record items associated with program projects, including copies of the project proposal, Congressional correspondence, testimony, budget, outsourcing contracts, contract deliverables, report drafts, transcripts of workshops and advisory panel meetings, reviewer comments, completion memos prepared for review by the TAB, published final reports, and subsequent comments from the public.

TEMPORARY - Cut off file when activity pertaining to the project diminishes. Remove multiple copies of the contractor deliverables and published final report, etc. RETIRE to the Washington National Records Center at end of project. DESTROY 8 years after publication of project final report. {N1-444-94-1}

12.5 ANALYST PROJECT WORK PAPERS

Correspondence, memoranda, notes from meetings and telephone conversations, working report drafts, report drafts containing review comments, copies of supporting reference and other resource materials, including electronic data in spreadsheet, database or flat file format, and hard copy printouts.

TEMPORARY - Cut off file upon publication of final report and activity pertaining to the project diminishes. Series includes working drafts documenting significant steps in the development of the project, including components (chapters) excluded from the final report, drafts containing significant review comments not documented elsewhere in the project work papers or Program Project File, and copies of supporting research data not readily available from general sources. RETIRE to the Washington National Records Center at end of project. DESTROY 8 years after publication of project final report. {N1-444-94-1}

12.6 PROGRAM PUBLICATIONS

Studies, background papers, contractor deliverables and other research products released as official OTA publications

12.6a. RECORD SET

PERMANENT - Cut off at the end of the FY. TRANSFER to the Information Center  
1 copy of each publication. {N1-444-94-1}

12.6b. DUPLICATE COPIES

TEMPORARY - DESTROY when no longer needed.

12.7 CONTRACTOR / CONSULTANT FILE

Copies of contracts, purchase orders, correspondence and records on individual contractors related to the procurement of outside production of studies or models.

TEMPORARY - DESTROY when superseded, obsolete or when no longer needed.  
{GRS 3 - item 3c}

12.8 CONTROLLED CORRESPONDENCE

Copies of controlled correspondence from Members of Congress. Files may include: internal memoranda, information requests or inquiries related to OTA reports.

TEMPORARY - DESTROY when superseded, obsolete or when no longer needed.

12.9 REFERENCE MATERIALS

Directories, guides, instructional materials, journals, periodicals, non customized software, general statistical data, extra copies of OTA published and unpublished products.

TEMPORARY - DESTROY when obsolete, superseded, or no longer needed.

NON-RECORD

12.10 TRAVEL ORDER VOUCHER FILE

Copies of records relating to reimbursing individuals, such as travel orders, per diem vouchers, and all other supporting documents relating to official travel of officers, employees, dependents, or others authorized by law to travel. Record set is maintained in BFO.

TEMPORARY - DESTROY when 2 years old or when no longer needed, whichever is sooner.

12.11 TIME AND ATTENDANCE

Copies of time and attendance records upon which leave input data is based, such as time or sign-in sheets; time cards; flexi time records; leave applications for jury and military duty; authorized premium pay or overtime, maintained at duty post, upon which leave input data is based. Record set is maintained in Personnel.

TEMPORARY - DESTROY when 2 years old or when no longer needed, whichever is sooner.

12.12 INTERNAL ADVISORY PANEL REPORTS

Agenda, minutes, final reports, and related records documenting the accomplishments of the internal advisory panels. Excludes TAB or TAAC records.

TEMPORARY - DESTROY when 3 years old or when no longer needed for reference, whichever is sooner. {GRS 16 - item 8b}

12.13 CLASSIFIED INFORMATION ACCOUNTING AND CONTROL RECORDS

Records accumulating from measures taken to protect classified information from unauthorized disclosure in accordance with Executive Orders and statutory or regulatory requirements. Files include correspondence pertaining to the administration of security classification; control and accounting for classified documents; files documenting the receipt and issuance; tracking and inventorying; and certificates relating to the destruction of classified documents.

12.13a. SECRET AND BELOW

TEMPORARY - Cut off annually. DESTROY when 2 years old. {GRS 18 - item 1-5}

12.13b. TOP SECRET

TEMPORARY - Cut off annually. DESTROY when 5 years old. {GRS 18 - item 1-5}

12.14 PERSONNEL SECURITY CLEARANCE STATUS FILES

Lists or rosters showing the current security clearance status of individuals.

TEMPORARY - DESTROY when superseded or obsolete. {GRS 18 - item 23}

**RECOMMENDATION TO THE ARCHIVIST ON RECORDS  
DISPOSITION REQUEST**

JOB NUMBER  
N1-444-94-1

ITEM COUNT  
46

**SUMMARY**

The Office of Technology Assessment (Office, OTA) requests comprehensive disposition authority for its records. The Office was created by the Technology Assessment Act of 1972 (2 USC 472) to serve the United States Congress by providing objective analyses of major public policy issues related to scientific and technological change. The agency is governed by a congressional board, the Technology Assessment Board, which receives advice on the work of OTA from the Technology Assessment Advisory Council. The Office's work centers on comprehensive assessments that may take one or two years to complete. OTA undertakes assessments at the request of the chairman of any congressional committee, who may request the work personally, on behalf of a ranking minority member, or on behalf of a majority of committee members. OTA also responds to more immediate requests in the form of briefings, testimony, special reports, technical memoranda, background papers, case studies, workshop proceedings, and staff papers. OTA assessment reports are distributed to the requesting committees, with summaries provided to all members of Congress. The reports are available to the public. The agency has identified 21 series of textual records for permanent retention and 25 series of records for temporary retention. The permanent records document the agency's projects as requested by Congress and the director of OTA and the operations of the Assessment Board and the Advisory Council. Based on the recommendation of the Historian of the Senate, and with concurrence from the agency, the retention of OTA's testimony files, item 3.4, has been changed from temporary to permanent. Financial cutbacks experienced by congressional committees has resulted in cutbacks in the publication of hearings and testimonies; therefore, the agency's copy of the testimonies before congressional committees may be the only record of these meetings. The temporary records document the agency's administrative, fiscal, and personnel operations.

NSC concurs with this appraisal.

Federal Register publication was required and no copies were requested. I recommend approval of this job.

**RECOMMENDATION**

- 1. **APPROVED FOR DISPOSAL.** The records described under all items of the schedule, except those that may be listed in blocks 2, 3, and 4 of this section, are disposable because they do not, or will not after the lapse of the period specified, have sufficient administrative, legal, research, or other value to warrant their continued preservation by the Government.
- 2. **APPROVED FOR PERMANENT RETENTION.** The records described under the following item or items have been appraised by the National Archives and Records Administration (NARA) and are determined to have sufficient historical or other value to warrant their continued preservation by the United States Government. The agency will offer these records to the National Archives as specified. 1.1, 1.2a, 1.2b, 1.4, 1.5, 1.6, 1.7, 1.8, 1.9, 3.1, 3.2a, 3.2b, 3.3, 3.4, 3.5a, 3.5b, 7.5a(1), 7.6a, 8.1b, 12.6a, 9.6
- 3. **DISPOSITION NOT APPROVED.** The records described under the following item or items are not approved for disposition.
- 4. **WITHDRAWN.** The records described under the following item or items have been withdrawn at the request of the agency and/or NARA.

**FEDERAL REGISTER NOTICE**

- Not Required.
- Required - Publication Date: October 5, 1994  
Copies Requested: 0  
Comments Received: 0

**SIGNATURES**

	TITLE	SIGNATURE	DATE
APPRAISAL	APPRAISER	<i>Myron R. Wilson</i>	February 6, 1995
	DIRECTOR, RECORDS APPRAISAL AND DISPOSITION DIVISION	<i>Henry J. Wadsworth</i>	2/6/95
CONCURRENCES	NSC	<i>Michael J. ...</i>	2/6/95
	NSX	<i>James H. ...</i>	5-1-95

# National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

Date : APR 25 1995  
Reply to :  
Attn of : NSX  
Subject : N1-444-94-1  
To : NIR

Attached is the appraisal report for N1-444-94-1, Publications File, Electronic Files from the Office of Technology Assessment (OTA). We recommend the following electronic records for temporary retention:

Item 10.7b- Publications File, Electronic Files

KENNETH THIBODEAU  
Director  
Center for Electronic Records

Attachment

# National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

April 20, 1995

## APPRAISAL REPORT

Center for Electronic Records  
National Archives and Records Administration

Job No.: N1-444-94-1

Title: Item 10.7b - Publications File, Electronic Files

### 1. DESCRIPTION

#### Organization:

Electronic copies (ASCII text files) of published assessment reports which are created and maintained by the Publishing Department of the Office of Technology Assessment (OTA). Various program offices within OTA research and write the assessment reports.

#### Legal Authority:

The operations of OTA were authorized under Technology Assessment Act of 1972 (2 USC 472).

#### Overview:

OTA was created to serve the United States Congress by providing objective analyses of major public policy issues related to scientific and technological change. OTA's assessments explore complex issues involving the following six areas: 1) energy, transportation, and infrastructure, 2) international security and space, 3) industry, telecommunications, and commerce, 4) education and human resources, 5) environment, and 6) health.

The Office's work centers on comprehensive assessments that may take 1 to 2 years to complete. Office assessment teams work closely with congressional staff and support agencies to ensure that major committee concerns are addressed, and to stay in touch with the published work and current activities of analysts and researchers in the executive branch and throughout the public and private sectors. Each project is guided by an advisory panel of experts on a particular subject area to ensure that reports are objective and fair.

The OTA assessment reports are prepared by program offices. These offices send their reports to the OTA's Publishing Department, which prepares the report for publication. Starting in Fiscal Year 1994, the Publishing Department has kept copies of the

reports, in ASCII format, on 5¼" and 3½" disks. These copies are kept for reference, documentation, and duplication purposes.

After approval for release by the Board, OTA assessment reports are distributed to the requesting committees, with summaries provided to all Members of Congress. The reports are also made available to the public in print format through GPO. Electronic versions are also available on the Internet through FTP and Web sites.

Dates: FY 1994 -

## 2. APPRAISAL

### Legal Value:

Permanent retention of the records does not seem necessary to protect the legal rights or interests of the Government or of individuals affected by Government Actions.

### Significance of content:

The files, because they are in ASCII format, do not contain the graphs, charts, and photographs which are integral to the publication. While electronic formats could provide enhanced reference service utilizing networks, the lack of graphics diminishes their value.

These records are not unique. The reports are widely available in print format through the depository library system. These reports are also available via World Wide Web and FTP sites.

Regarding Internet access, such availability demonstrates the enhanced reference service which an electronic version permits, namely one does not have to physically travel to a new location to obtain a copy. However we can assume that the current Internet access will continue until heavy current reference demand ceases. After that, the usage would not support an effort to maintain the effort to make the reports available via the networks. And since the NARA normally does not have sufficient resources to maintain a report in two separate formats, we should not acquire the electronic version of the OTA reports.

Since technology will continue to advance rapidly, it may develop to a point that the preferred format for such reports will be electronic and not textual. Such a development would warrant revisiting this decision.

## 3. ANALYSIS OF SUFFICIENCY OF SF 115

The SF 115 is sufficient as written.

## 4. CONCLUSION

I recommend that Item 10.7b, Publication File, Electronic Files  
be scheduled as temporary.

*Anita M. Pintado*

ANITA M. PINTADO  
Archivist, Archival Services Branch  
Center for Electronic Records

Concurrence:

*Thomas E. Bean*  
\_\_\_\_\_  
Chief, Archival Services Branch

APR 20 1995

\_\_\_\_\_  
date



# National Archives at College Park




8601 Adelphi Road College Park, Maryland 20740-6001

Date : MAR 8 1995  
Reply to  
Attn of : NSXA  
Subject : N1-444-94-1  
To : NIR

As requested, we have reviewed records schedule N1-444-94-1. The schedule covers 120 items from the comprehensive schedule of the Office of Technology Assessment (OTA), 7 of which pertain to electronic records.

The attachment lists all of the items pertaining to electronic records that were identified during the review. NSXA will appraise the records in Item 10.7b.

The other 6 items have been proposed for temporary retention. These systems support administrative or housekeeping functions which are of current value but do not warrant retention by the National Archives.

  
THOMAS E. BROWN  
Chief, Archival Services Branch  
Center for Electronic Records

March 6, 1995

Electronic Records Items On Records Schedule N1-444-94-1

CHAPTER	SEQUENCE	ITEM NUMBER	DISPOSITION
1	0	-----	NO ER ITEMS IN CHAPTER
2	0	-----	NO ER ITEMS IN CHAPTER
3	0	-----	NO ER ITEMS IN CHAPTER
4	1	4.5a	GRS
5	1	5.2	GRS
6	0	-----	NO ER ITEMS IN CHAPTER
7	1	7.3	GRS
8	1	8.6	GRS
9	1	9.5	GRS
10	1	10.7b	UNDER APPRAISAL
11	1	11.1	GRS
12	0	-----	NO ER ITEMS IN CHAPTER

# National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

Date : February 6, 1995

Reply to  
Attn of : Yvonne K. Wilson, NIRC

Subject : Response to comments received concerning N1-444-94-1

To : Memo to file

Response to comments received from NCF, NSC, and the Office of the Historian of the Senate:

Most of the comments from NCF pertain to the rewriting of disposition statements for records that are not scheduled to go to the Washington National Records Center. As NSC has not expressed any concerns about the dispositions for permanent records, and the agency clearly understands the disposition instructions for its temporary records, a wholesale rewriting of the disposition statements seems unnecessary.

NCF and NSC have both expressed concerns over the possibility that the Office of Technology Assessment has not scheduled its electronic records. The agency only uses electronic software packages that assists it in its daily administrative, fiscal, and personnel operations. The data is disposable in accordance with the GRS and does not require review by NSX. The agency does not maintain an electronic data base that receives, creates, or tracks statistical information for its assessment reports. This information is received in textual format from outside sources.

Based on discussions with NSC and comments from the Office of the Historian of the Senate, the retention of OTA's testimony files (item 3.4) has been changed from temporary to permanent, as financial cutbacks experienced by congressional committees has resulted in cutbacks in the publication of hearings and testimonies. Therefore, the agency's copy of the testimonies before congressional committees may be the only record of these meetings.

YVONNE K. WILSON  
Records Appraisal and  
Disposition Division

# National Archives



Washington, DC 20408

*H. J. 2/1/95*

Date : January 31, 1995  
Reply to :  
Attn of : NSC  
Subject : OTA Schedule  
To : NI

The Center for Legislative Archives accepts NI's recommended records schedule for the Office of Technology Assessment with the following changes:

1. The addition of a memo (per conversation with Yvonne K. Wilson) clarifying that OTA does not maintain an electronic data base that tracks statistical information for its assessment reports. This information is received in textual format from outside sources.

2. That based on the recommendations of the Office of the Senate Historian, item 3.4 (Testimony files) be designated for permanent retention, as financial cutbacks do not always provide for the publication of the testimonies. (Per discussion with Yvonne K. Wilson)

MICHAEL L. GILLETTE  
Director  
Center for Legislative Archives  
(202) 501-5350

MARTHA S. POPE  
SECRETARY

RICHARD A. BAKER  
HISTORIAN

DONALD A. RITCHIE  
ASSOCIATE HISTORIAN

SUITE SW-201  
WASHINGTON, DC 20510-7108  
(202) 224-8900  
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# United States Senate

OFFICE OF THE SECRETARY

HISTORICAL OFFICE

November 7, 1994

Diane Dimkoff  
Center for Legislative Archives  
National Archives  
Washington, DC 20408

Dear Diane:

Diak has asked me to respond to your letter of November 1, 1994 concerning the Office of Technology Assessment schedule. This report certainly demonstrates a great deal of careful thought and work. Paul Ledvina and Yvonne Wilson are to be commended for their initiative and success at completing this first of the congressional support agency schedules. The Advisory Committee will appreciate their efforts very much.

While the information appears thorough, it is very difficult to follow. It is my suggestion that the publication of this schedule be used as an opportunity to publicize the OTA records program and also serve as a guideline to records creation for future OTA staff. This could be done by adding an executive summary that focuses on the functions of OTA and highlights the permanent records that document those functions. This could be pulled together from information in the report already.

This is particularly important because as the schedule now explains, permanent records are maintained in the Director's office, and are not maintained in the assistant directors' offices. This could vary over time, or even with different personalities. The schedule needs to highlight what functions as well as which individual file series are permanent in the event that a redistribution of functions occurs. Specifically, the schedule states that items 2.1 and 2.2 are temporary, but does not really stress that these items should only contain temporary and facilitative copies of documentation. If the Assistant Directors' congressional correspondence files are temporary, those files should never contain original significant policy documentation, and this fact should be made eminently clear in the schedule.

The testimony files (item 3.4) are designated temporary because the testimony is published. I question as to whether they are always published, because the Senate has been experiencing a cut back in the publication of hearings due to committees having to trim their budgets. Also, is there no value in keeping the testimony files all together, as a record of OTA testimony. They would certainly be difficult to reconstruct, even from published sources.

The project files and analyst project work papers (items 12.4 and 12.5) are designated temporary with an 8 year retention. This appears to be appropriate, and I would only question OTA as to whether they think 8 years is absolutely enough, as it would be no burden to retain them longer.



page two

Thank you for this opportunity to comment. This represents concrete progress.

Sincerely,

Karen D. Paul  
Archivist

# National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

HJ 10/22/94

4 Jones

Date : **October 24, 1994**

Reply to  
Attn of : **NCF**

Subject : **Comments to N1-444-94-1**

To : **Director, Records Appraisal and Disposition - NIR**

We have completed our review on the above pending disposition job and offer the following comments:

1. We suggest changes to the disposition instructions for the following:
  - a. Reference should be made to cutoff or closing dates, not to the record age.
  - b. Instructions to "Destroy when five years old" should read "Destroy five years after cutoff (or closing)."
  - c. Instructions to "Transfer when five years old" should read "Transfer five years after cutoff (or closing)."
2. The schedule should be more consistent and provide annual accumulation figures for all permanent records and not just for some as was indicated in the schedule.
3. Item 1.7 Meeting Files, should read "formal statements..." rather than "formal statement".
4. Items 1.10 Sister Legislative Support Agency Files, and 8.2 Interagency Liaison Files, should read "relating to programs" and not "relating programs".
5. In item 1.14 Reference Materials, the wording "non-record copies" should be used instead of "extra copies".
6. Under items 4.5a Budget Management Information System, and 4.5a3 All Other Reports, the term "hard copy" should be replaced with the term "paper copy" a more commonly used term.
7. Under items 4.5a and 11.1 Technical Services Information System, the disposition instruction suggests that two record series may exist (paper and electronic), but prescribed disposition only covers paper format. We suggest disposition instructions be provided for electronic format as well.

8. Under item 11.1d Work Orders, the wording should be changed to read "Requests for equipment maintenance and services".

9. For item 11.2 Purchase Order Files, the disposition instruction should read "Destroy when obsolete, superseded, or no longer needed".

10. Items 12.4, Project Files and 12.5 Analyst Project Work Papers, the disposals are contingent on the publication of project final reports. To assure timely disposal, we suggest that the disposition instructions be revised to read " Destroy 8 years after publication of project final report or 10 years after cutoff date, whichever is sooner."

11. Under item 12.6 Program Publications, the transfer instructions should specify that the Information Center is an OTA unit.

If your have any questions concerning these comments, please contact Marva Frazier at (301) 713-7210.

  
ALAN J. KRAMER  
Director  
Field Operations Division



# National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

Date : August 17, 1994

Reply to  
Attn of : Yvonne K. Wilson, NIRC

Subject : Appraisal of records covered by N1-444-94-1

To : NIR

HL 8/17/94  
JWB  
JWB

The Office of Technology Assessment submits Job No. N1-444-94-1 to provide for the comprehensive disposition of its records. The Office of Technology Assessment (OTA) reports to the Congress on the scientific and technical impact of government policies and proposed legislative initiatives. The Office was created by the Technology Assessment Act of 1972 (2 USC 472) to serve the United States Congress by providing objective analyses of major public policy issues related to scientific and technological change. The Office began operations in January 1974.

OTA is governed by a congressional board, the Technology Assessment Board (Board, TAB). The bipartisan 13-member Board includes six Senators appointed by the President pro tempore, six members of the House of Representatives appointed by the Speaker, and the Director of OTA, who is a nonvoting member. The posts of chairman and vice chairman alternate between the House and Senate with each Congress. The congressional board is the sole and exclusive governing body of OTA. It appoints the director, who is the chief executive officer of OTA. Each term of Congress determines the TAB membership. However, each member can also serve at his or her own convenience. Therefore, members' terms, such as the one of Senator Edward Kennedy, can extend as far back as to the creation of OTA. The Technology Assessment Advisory Council (Council, TAAC) comprises 10 public members eminent in science and technology. The Council is appointed by the Board and advises the Board and OTA on such matters as the balance, comprehensiveness, and quality of OTA's work, and OTA's non-governmental resources. The comptroller general of the United States and the director of the Congressional Research Service are statutory members of the Council. Each public member serves a four year term, with eligibility for reappointment.

The Office of Technology Assessment is charged with providing congressional committees with objective, thorough analyses of technological issues. Public Law 92-484 specifies the function of OTA as providing early indications of beneficial and adverse impacts of technological applications. Accordingly, the Office identifies existing or probable impacts of technology; ascertains, where possible, cause-and-effect relationships; identifies and compares alternative technological methods or programs; presents findings to the appropriate legislative authorities;

identifies areas where additional research is required; and undertakes associated activities when necessary.

The Office's work centers on comprehensive assessments that may take one or two years to complete. OTA undertakes assessments at the request of the chairman of any congressional committee, who may request the work personally, on behalf of a ranking minority member, or on behalf of a majority of committee members. In addition, the OTA Board and the Director may also request work. In practice, most studies are requested by the chairman and the ranking member of a committee, and many are supported by more than one committee. OTA also responds to more immediate requests in the form of briefings, testimony, special reports, technical memoranda, background papers, case studies, workshop proceedings, and staff papers. It draws upon its past and current work to provide a variety of responses to meet immediate congressional needs. Office assessment teams work closely with congressional staff and support agencies to ensure that major committee concerns are addressed, and to stay in touch with the published work and current activities of analysts and researchers in the executive branch and throughout the public and private interest sectors. Each project is guided by an advisory panel of experts on a particular subject to ensure that reports are objective, fair, and authoritative. After approval for release by the Board, OTA assessment reports are distributed to the requesting committees, with summaries provided to all members of Congress. The reports are available to the public.

The Office is organized into two analytical divisions, each headed by an assistant director. The divisions encompass assessments grouped in the areas of energy and materials; industry, technology, and employment; international security and commerce; sciences, education, and transportation; telecommunication and computing technologies; biological applications; food and renewable resources; health; and oceans and environment. There are approximately 145 permanent staff. The Office may contract for research and services when necessary and makes use of advisory panels of technical experts that are assembled for each major study to ensure that reports are objective, authoritative, and fair.

Agency visits were conducted by Paul Ledvina in the Winter of 1994 and an additional agency visit was conducted by this appraisal archivist on July 6, 1994. The submitted schedule consists of 119 series and subseries, the majority of which cover non record materials and records disposable under the General Records Schedule. This schedule identifies 20 series of textual records for permanent retention, nine of which are created and maintained in the Office of the Director:

**Item 1.1**, Office of the Director - Congressional Correspondence

**Item 1.2a**, Office of the Director - General Correspondence - Official Letters and Responses

**Item 1.2b**, Office of the Director - General Correspondence - Internal Policy Communications

**Item 1.4**, Office of the Director - Correspondence Log

**Item 1.5, Office of the Director - TAB/TAAC Member Files**

**Item 1.6, Office of the Director - Congressional Advisory Boards (TAB/TAAC)**

**Item 1.7, Office of the Director - Meeting Files**

**Item 1.8, Office of the Director - Director's Calendar**

**Item 1.9, Office of the Director - Senior Management Yearly Retreat Files**

The Director of OTA, who is appointed by the Technology Assessment Board (TAB), serves six-year terms and can be reappointed. Nine series of records within the Office of the Director, which are listed above, have been proposed for permanent retention. The records in **Item 1.1** document the Director's requests from and responses to members of Congress, while the records in **Item 1.2** contain correspondence with non-Congressional members and internal policy-making and decision-making information. These records are tracked in a correspondence log (**Item 1.4**). The correspondence between the Director and members of the Board and the Council is documented in **Item 1.5**. These records include requests for and information about OTA projects. As the Director serves as a nonvoting member on the Technology Assessment Board, he maintains the meeting agenda books and all of his personal notations taken during the meetings (**Item 1.6**). These notations are not documented in the meeting files of TAB and TAAC (**Item 3.2a and b**). Accepted invitations and speeches given by the Director are documented in **Item 1.7**. The documentation of the Director's daily activities is contained in the Director's calendar (**Item 1.8**), tracking meetings, appointments, and other official business. The policy-making and decision-making activities of the senior management of OTA, in consultation with the Director, are documented in the records created during the annual senior management retreat (**Item 1.9**). A recent meeting included discussions on the reorganization of OTA and the responsibilities of the long-range planning task force. Other matters discussed are technological issues that Congress may want OTA to assess.

These records document the agency head's activities with Congress, internal policy-making and decision-making activities, written documentation of discussions about OTA projects with members of the Technology Assessment Board and the Technology Assessment Advisory Council, speeches presented by the Director, and policy-making and decision-making activities of the senior management, in consultation with the Director of OTA. As these records are evidence of the agency's function, illustrate its relationship as a "think tank agency" to Congress, and provide information about the research projects requested by Congress and conducted by OTA, I recommend approving the agency's request for the permanent retention of the records in items **1.1, 1.2a and b, 1.4, 1.5, 1.6, 1.7, 1.8, and 1.9**.

The disposition statements of the permanent records in the Director's office reflect the length of time the agency will need the records for current operations. The retention does not reflect the length of a term of a Director, because no agency head of OTA, except for the one before the current Director, has completed a term. When a Director leaves during a term, the new

appointee does not complete the rest of the previous term, but rather begin his or her own six year appointment.

The following is a list of six series proposed for permanent retention in the Office of Congressional and Public Affairs:

**Item 3.1**, Office of Congressional and Public Affairs - Press Information Files

**Item 3.2a and b**, Office of Congressional and Public Affairs - Congressional Advisory Boards

**Item 3.3**, Office of Congressional and Public Affairs - Project Series

**Item 3.5a and b**, Office of Congressional and Public Affairs - TAB/TAAC Member Files

The Congressional and Public Affairs Office (CPA) assists in coordinating OTA's work with various committees of the House and Senate. CPA manages communications between Congress and OTA management and staff, the Technology Assessment Board, and the Technology Assessment Advisory Council. The CPA is responsible for maintaining the record sets of documents created as a result of OTA's relationship to Congress and Congressional advisory committees. The office also maintains record sets of press materials related to OTA's final reports. These materials are contained in the Press Information Files (**Item 3.1**), which include press releases, press clippings to OTA projects and activities, and publication briefings. OTA's relationship to Congress and Congressional advisory committees is documented in the records in **Items 3.2, 3.3, and 3.5**. The records contained in **Item 3.2** document the meetings held at least six times per year by the Technology Assessment Board and the Technology Assessment Advisory Committee. Included are transcripts, agendas, minutes, reports, and related records documenting the activities of OTA's Congressional advisory boards. The meetings of the Board and the Council have always been transcribed and are not recorded in an audiovisual format.

The records in **Item 3.3** document the proposal and acceptance stages of projects. Included is the proposal, draft of the report, and correspondence with Congress. The project proposal records are not documented in any other series. The final project report is created and maintained in **Item 7.6a**. However, the proposal information is not documented in its entirety in the final report. Therefore, I recommend approving of the agency's request for the permanent retention of the project series records. As the project files (**Item 1.11**) maintained in the Director's office are copies of the permanent records (**Item 3.3**) maintained in the Office of Congressional and Public Affairs, and used by the Director strictly for reference purposes, I recommend approving of the agency's request for the temporary retention of the records in **Item 1.11**. The records in **Item 12.4**, Project Files, consist of copies of the records contained in the series proposed for permanent retention, such as those contained in items 3.2 and 3.3. The records in item 12.4 are used as work papers, with the final report contained in item 7.6a.

The TAB/TAAC member files, contained in **Item 3.5**, consist of the records, such as responses and comments to projects, created and received by each member of the Board and the Council.

The records also consist of the formal correspondence between members that do not necessarily pertain to OTA projects, but may discuss the agency as a whole. As these records document the decision-making process of the Board and Council members, I recommend approving the agency's request for the permanent retention of this series.

The records in **items 3.1, 3.2a and b, 3.3, and 3.5a and b** are proposed by OTA for permanent retention. I recommend approving of the agency's proposal, as these records document the information provided to the public, and projects requested by Congress and assessed by TAB and TAAC. Therefore, these series provide evidence of the function of OTA, its relationship to Congress through TAB and TAAC, and the decisions made by members of Congress who serve on the Board.

The Information Center within OTA maintains the record set of all OTA publications. The video series, **Item 7.5a(1)**, consists of programs produced by OTA documenting OTA organization, programs, and significant events. Significant events that have been recorded include OTA's 20th anniversary forum and the farewell gathering held for the previous director, Jack Gibbons. OTA is currently in the process of creating an informational video about the function of OTA. The format for all videos is VHS, first generation. Some films are made on production quality film, but these are kept by the contractor for film duplication and distribution purposes. The record set of OTA publications, **Item 7.6a**, consists on one copy each of OTA publications including OTA reports, annual reports, quarterly and semi-annual reports, and appropriations committee conference reports. Other agency publications are contained in **Item 8.1b**, Office of Information Management and Building Services - Focus Newsletter, and in **Item 12.6a**, Program Office - Program Publications. These series consist of the record set of the agency newsletter, which is published two times per month, and the record set of the reports published from assessment projects, which are filed annually in item 7.6a. As these records contain evidential and informational values of the activities of OTA, including summaries of assessment projects, I recommend approving the agency's request for the permanent retention of these records.

The records in **Item 9.6**, Personnel Office - Annual Personnel Analysis Report, consist of demographic analysis of personnel, documenting OTA position structure level, as well as detailed personnel salary distribution, education, and experience. As this series provides evidence of the type of persons hired to conduct studies and assess projects as assigned by Congress, I recommend approval of the permanent retention of this series.

This schedule identifies 26 series of textual records as temporary. These records do not fall into the category of non record or the General Records Schedule:

The records in **items 1.10, 1.11, 1.12, and 1.13** are administrative records created or received in the Director's office. **Item 1.10**, Sister Legislative Support Agency Files, consists of the administrative records created as a result of the ties between the Office of Technology Assessment and the other legislative support agencies, such as the Congressional Research Service, Congressional Budget Office, and the General Accounting Office. These records do not document any decision-making activities that would effect OTA. Similar records are contained

in Item 8.2, Interagency Liaison Files, which are maintained in the Office of Information Management and Building Services. The records in **Item 1.11**, Project Files, which are used by the Office of the Director for reference purposes, consist of copies of the original records contained in item 3.3. The records in **Item 1.12**, Foreign Visitors Files, pertain to visits to OTA by foreign officials, while the records in **Item 1.13**, Declined Invitations, document those functions which the Director of OTA declined to attend. As these four series are routine and facilitative, and do not provide evidence of the agency's functions, I recommend approving of the agency's request for the temporary retention of these records. The accepted invitations are documented in the permanent records in **Item 1.7**, Meeting Files.

The records in **items 2.1, 2.2, 2.3, and 2.4** are administrative records created or received in the Offices of the Assistant Directors. **Item 2.1** consists of general correspondence related to routine administrative matters, and does not contain information about policies or decisions made by OTA's assistant directors. The records contained in **items 2.2 and 2.3** consist of correspondence pertaining to projects and copies of files documenting current projects, both of which are contained in the permanent item 3.3. The records in **Item 2.4** consist of the copies of the records created by advisory commissions, which are appointed by the Director of OTA to advise OTA on certain subject areas currently being assessed. As any pertinent information prepared by the commissions is contained in the records of the commissions, which will be scheduled at a later date, and the records in item 2.4 are used by the assistant directors for reference purposes, I recommend approving the agency's request for the temporary retention of item 2.4.

**Item 3.4** consists of the testimonies given before a congressional committee by the Director or other senior staff of OTA concerning assessment projects. A letter is sent, by the congressional committee requesting a progress report on a specific assessment project, to the Director of OTA and filed as a permanent record in the congressional correspondence files of the Director (Item 1.1). The testimony is prepared by assessment project staff in accordance with the instructions contained in the letter (mainly, the length of the report) and then submitted prior to testimony in textual form to the committee. The Office of Technology Assessment does not prepare a briefing book or question and answer lists as the testimony is a routine status report presented before committees on specific assessment projects. Out of over 40 assessment reports presented before congressional committees per year, most are presented by assessment project staff. The Director of OTA may speak before congressional committees at the most three times per year. Any official correspondence requesting the Director to testify before Congress is also contained in the Director's congressional correspondence files (Item 1.1). The staff of OTA reads directly from the text and there is no deviation from the information presented. There are no back and forth discussions between committee members and OTA staff. After the testimony, a transcript and a list of questions from committee members are prepared and sent to OTA. The assessment project staff answers the questions and reviews the transcript for spelling and grammatical errors. The Office of Technology Assessment does not make any substantive changes to the transcripts. Both the answers and the transcript are returned to the committee, to be published in the Committee Hearing Record. The "testimonies" are in actuality routine progress reports on assessment projects that were requested to be conducted by OTA by committee chairmen. This interim report is published in the Committee Hearing Record and information may be contained

in the unpublished records of congressional committees, both of which are available at the National Archives. The final assessment report is published by OTA and is proposed as a permanent record (item 7.6a). As this series does not provide any additional information about projects researched by OTA or the agency's interaction with congressional committees, and as this information is documented in published and unpublished permanent records, I recommend approving the agency's request for the temporary retention of the testimony files.

The records in **Item 4.4a and b**, Budget and Finance Office - Budget Estimates and Justification Files, and Budget Background Workpapers, document the submission of OTA's budget request, budget tables, and its testimony and justification before Congress. The final budget information is contained in such published sources as the U. S. Statutes at Large, and the testimonies before Congress are available in the published Committee Hearing Record and unpublished Committee hearing records. The unpublished Committee records are available in the National Archives' Center for Legislative Archives. Therefore, I recommend approving of the agency's request for the temporary retention of the budget estimates, justification files, and budget background workpapers.

**Item 6.1**, General Subject Files, consists of the records in the General Counsel's Office which document the routine and facilitative work of OTA's legal counsel. This office has a minor function within OTA; therefore, I recommend approving the agency's request for the temporary retention of this series.

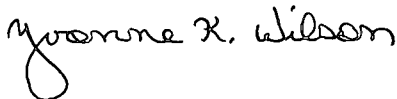
The Information Center maintains the record set of all OTA publications, including printed and audiovisual materials. The Information Center publications consist of the record copy and distribution copies (**items 7.5a.2. and 7.6b**). The duplicate copies will be maintained by OTA until no longer needed for distribution purposes.

The Office of Information Management and Building Services creates and maintains administrative records pertaining to the dissemination of OTA information. The records in **items 8.1c, 8.2, 8.3, and 8.5** document this administrative function within the Office of Information Management. The records in **items 10.7b and 10.7c**, electronic copies and paper copies of publications, consist of the records maintained in the Publishing Office for the purpose of duplicating OTA publications. These records will be kept until superseded, obsolete, or when no longer needed for duplication purposes.

The records in **items 12.4 and 12.5**, Project Files and Analyst Project Work Papers, consist of the reference and working papers created and received by the research panels as a whole, and the working papers of the individual analysts that are part of a research project. Each assessment project receives guidance from an advisory panel, which consists of outside experts. As the completed assessment reports are contained in the permanent records in item 7.6a, record set of OTA publications, and the records in items 12.4 and 12.5 do not provide additional significant information about OTA projects, I recommend approving the agency's request for the temporary retention of these records.

The program offices within OTA maintain duplicate copies of program publications, correspondence from members of Congress, travel order voucher files, and time and attendance files (items 12.6b, 12.8, 12.10, and 12.11). As the original records are filed in items 7.6a, 1.1, 4.1, and 9.2, I recommend approving the agency's request for the temporary retention of these reference and administrative files.

The Office of Technology Assessment creates records that provide evidence of the Office's function to assess current issues as requested by Congress. This function is discussed in the permanent records of the agency's Director, Office of Congressional and Public Affairs (which maintains the records of the Technology Assessment Board and the Technology Assessment Advisory Council), and in the agency's publications. The permanent series will serve to document the direction, policies, and basic functions of OTA. The remaining records of OTA relate to daily operations, and serve only routine administrative and facilitative purposes. I recommend approving the Office of Technology Assessment's comprehensive schedule.



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