

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
 Office of the Director

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER
 Barbara Linkins

5. TELEPHONE
 (202) 224-3695

LEAVE BLANK (NARA use only)

JOB NUMBER
 NI-444-95-2

DATE RECEIVED
 2-27-95

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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
 6-9-95

ARCHIVIST OF THE UNITED STATES
[Signature]

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 _____ 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	SIGNATURE OF AGENCY REPRESENTATIVE	TITLE
2-23-95	<i>[Signature]</i>	Man. Special Projects

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 GRS OR SUPERSEDED JOB CITATION	10.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, NIA 6/14/95

ATTACHMENT TO SF 115, OFFICE OF TECHNOLOGY ASSESSMENT,
JOB NO. N1-444-95-2

OFFICE OF THE DIRECTOR

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

1. DIRECTOR'S SPECIAL PROJECT FILES

1a. STRATEGIC DEFENSIVE INITIATIVE, 1984-1985, approx. 1.75 cu.ft.

Annotated copies and some originals of correspondence, meeting notes, memorandums, minutes, phone logs, and reports. Arranged chronologically.

PERMANENT. TRANSFER to the National Archives and Records Administration upon approval of this schedule.

1b. ECONOMIC TRANSITION, 1983-1985, approx. .4 cu.ft.

Annotated copies of project outlines, reports, and schedules. Arranged chronologically.

PERMANENT. TRANSFER to the National Archives and Records Administration upon approval of this schedule.

2. PROPOSED PRIORITY PROJECTS, 1978, approx. .1 cu.ft.

Summaries of projects to be included in the 1979 OTA Priority List. Arranged by project number.

TEMPORARY. DESTROY upon approval of this schedule.

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

JOB NUMBER
N1-444-95-2

ITEM COUNT
3

SUMMARY

The Office of Technology Assessment requests disposition authority for records created and maintained in the Office of the Director. Director John H. Gibbons, who served from 1980 to 1992, created and maintained records on two OTA projects: Strategic Defense Initiative (SDI) and Economic Transition. The creation of the SDI records centered around an OTA-sponsored background paper, "Directed Energy Missile Defense in Space", published in 1984. The records consist of correspondence, meeting notes, memorandums, minutes, phone logs, press clippings, reports, telephone logs, and copies of congressional testimonies. The correspondence is from members of Congress, Deputy Secretary of Defense, and the Director of the Strategic Defense Initiative Organization. The records created by the director in the economic transition study discuss changes in the American economy through the growth of technology. The records include annotated copies of congressional correspondence, TAB transcripts, outlines and schedules of projects, proposals and reports. These records document internal policy-making and decision-making activities of the director and document the agency head's activities with Congress and federal agencies. The third series consists of a list of projects recommended for inclusion in OTA's 1979 priority list. As the agency did not continue this series, and there is no way to know which projects received additional examination except by tracking them through published reports, this series is proposed for temporary retention

NSC concurs with this appraisal. A Federal Register notice was required and no comments were received.

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.
items 1a and 1b
- 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: *3/21/95*
Copies Requested: *0*
Comments Received: *0*

SIGNATURES

	TITLE	SIGNATURE	DATE
APPRAISAL	APPRaiser	<i>Thomas R. Wilson</i>	<i>5/9/95</i>
	DIRECTOR, RECORDS APPRAISAL AND DISPOSITION DIVISION	<i>Henry J. Wiley</i>	<i>8/9/95</i>
CONCURRENCES	<i>NSC</i>	<i>Donald L. Dinkhoff</i>	<i>5/15/95</i>

National Archives



Washington, DC 20408

Date : March 10, 1995
Reply to : NSC
Attn of :
Subject : OTA Schedule covered by NI-444-95-2
To : NI

The Center for Legislative Archives concurs with NI's recommendations for the unscheduled records contained in the Office of Technology's Director's Special Project Files and the Proposed Priority Projects file.

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

National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

Date : March 1, 1995

Reply to
Attn of : Mary Kay Schmidt and Yvonne Wilson, NIRC

Subject : Appraisal of records covered by N1-444-95-2

thru 3/1/95

To : Director, NIR

2/24/95

The Office of Technology Assessment (OTA) submits Job No. N1-444-95-2 to provide for the disposition of records from the Office of the Director. The Technology Assessment Act of 1972 (2 USC 472) created OTA 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.

The Office of the Director works closely with the Technology Assessment Board (Board, TAB) and the Technology Assessment Advisory Council (TAAC, Council). TAB governs the agency, while the Council 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 bipartisan Board consists of six Senators and six members of the House of Representatives, who appoint the Director of OTA. The Director serves six-year terms and can be reappointed.

On February 14, 1995, Yvonne Wilson and I met with OTA records officer Debra Datcher and Barbara Linkins, secretary to the Director, and examined unscheduled records from the Office of the Director. The submitted schedule consists of four series and subseries, two of which are temporary or cover non-record materials. This schedule identifies two subseries of textual records, created and maintained in the Office of the Director, for permanent retention:

Item 1a, Director's Special Project Files - Strategic Defense Initiative

Item 1b, Director's Special Project Files - Economic Transition

We examined the special project files of former Director John H. (Jack) Gibbons, who now serves as a science advisor to President William J. Clinton. Mr. Gibbons, who served as Director from 1980-1992, created and maintained seventeen 3-ring binders on two projects: the Strategic Defense Initiative (SDI) and Economic Transition. The first fourteen binders, with a total volume of approximately 21 inches, examined the technological and economic feasibility of SDI. This concept proposed to protect the United States from Soviet-launched nuclear weapons by placing defensive technology in outer space. The creation of these

records centered around an OTA-sponsored background paper, "Directed Energy Missile Defense in Space," written by Ashton Carter of Harvard University, and published in April 1984.

The binders, variously labeled as "S.D.I." and "BMD" (Ballistic Missile Defense), are arranged chronologically and cover the period from April 1984-October 1985. They contain correspondence, meeting notes, memorandums, minutes, phone logs, press clippings, reports, and testimonies. Also included are copies of materials received by the Department of Defense and Congress and articles written by universities and laboratories, which challenge the information and conclusions in Ashton Carter's paper. Most of these records are annotated copies of originals scheduled as permanent under Job No. N1-444-94-1, Items 1.1, Congressional Correspondence; 1.2a, General Correspondence; 1.6, Congressional Advisory Boards (TAB/TAAC); and 1.7, Meeting Files. We discovered, however, that not all originals were scheduled under Job No. N1-444-94-1. This series also contains original correspondence from Ashton Carter, members of Congress, Deputy Secretary of Defense William H. Taft IV, and General James Abrahamson, Director of the Strategic Defense Initiative Organization, Office of the Secretary of Defense.

In addition, original phone logs, which contain conversation summaries, and notes that summarize visits with individuals such as General James Abrahamson, are not documented in the series of Job No. N1-444-94-1. The Director's annotated papers from the TAB meeting concerning the Ballistic Missile Defense report (September 12, 1985) also provide additional documentation for understanding the complexities of this controversial issue.

Item 1b, the Economic Transition study, consists of three binders of records relating to changes in the American economy through the growth of technology. The assessment originated as a request from Senators Bob Packwood, Ernest Hollings, Pete Domenici, and Lawton Chiles for an OTA study. In May 1988 the OTA published the study as "Technology and the American Economic Transition: Choices for the Future." It explores how technology will affect national economic growth over the next twenty years in the areas of health, food, construction, transportation, education, recreation and leisure, manufacturing, and communications.

The records include annotated copies of congressional correspondence, TAB transcripts, outlines and schedules of projects, proposals, and reports. The total volume of the binders is approximately 4.5 inches. While Job No. N1-444-94-1 contains the permanently-scheduled original records in items 1.1, Congressional Correspondence; 1.6 and 3.2, Congressional Advisory Boards (TAB/TAAC); 3.3, Project Series; and 3.5, TAB/TAAC Member Files, the annotated copies in this subseries contain substantive information regarding the Director's viewpoints, concerns from members of Congress, and final policy options and decisions that shaped the relationship between technology and economic growth. Although most of the records are copies of originals scheduled as permanent under Job No. N1-444-94-1, this series contains substantive annotations by the Director and enough original correspondence, phone logs, and meeting notes to warrant permanent retention.

These records document the agency head's activities with Congress and Federal agencies such

as the Department of Defense, internal policy-making and decision-making activities, and discussions about OTA projects with members of the Technology Assessment Board and the Technology Assessment Advisory Board. Since the records provide evidence of the agency's function and additional 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 special projects files contained in items **1a** and **1b**.

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

Item 2, Proposed Priority Projects

This series consists of one binder, approximately 1 inch thick, which contains a list of projects recommended for inclusion in OTA's 1979 Priority List. Brief summaries and background documents describe the status of ongoing and future projects in 1978. The records were created before John Gibbons' tenure as Director. The agency did not continue this series, and there is no way to know which projects received additional examination except by tracking them through published reports. Job No. N1-444-94-1, Item 3.3 documents permanent projects. As this series comprises an agency "wish list," with completed projects documented elsewhere, I recommend approving the agency's request for the temporary retention of these records.

The Office of Technology Assessment creates records that provide evidence of the Office's function to assess current issues as requested by Congress. The permanent records of the agency's Office of the Director discuss this function. The permanent series will serve to further document the Director's active participation in certain issues and provide additional substantive information to explain the resulting direction and policies of OTA. The remaining records of the Office of the Director serve routine administrative purposes. I recommend approving the Office of Technology Assessment's schedule.

Mary Kay Schmidt

MARY KAY SCHMIDT, CIDS Trainee
Records Appraisal and
Disposition Division