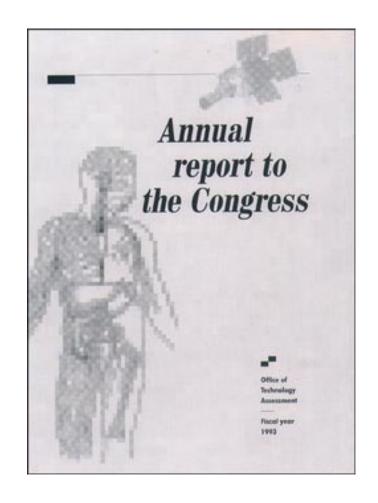
# Annual Report to the Congress: Fiscal Year 1993

March 1994





#### CONTENTS

- 1 Chairman's statement
- 3 Vice chairman's statement
- 4 TAAC chairman's statement
- 5 Director's statement
- 8 About OTA's organization and operations
- 12 Industry, commerce, and international security division
- 15 Health, life sciences and the environment division
- 18 OTA forum on technology and governance in the 1990s
- 20 Work in progress at year-end
- 22 Technology assessment advisory council
- 24 OTA staff as of September 1993
- 27 OTA awards and fellowship programs
- 29 Advisors and panel members
- 52 Office of technology assessment act

# Statement from chairman, Edward M. Kennedy



It has been gratifying to witness the growth and development of the Office of Technology Assessment since its establishment in 1972. OTA has built a national reputation for its impartial and authoritative analysis of new developments in technology and related public polic issues, By analyzing how the latest scientific research can be applied to pressing economic, environmental, and social problems, and then suggesting policy options based on its findings, OTA performs an essential service for Congress and the country.

I commend the many men and women who have contributed to OTA'S remarkable success. They include the dedicated researchers who have contributed their expertise to hundreds of reports;

the dependable administrative and support staff who have kept OTA operations running smoothly; the program managers and division directors whose foresight has kept OTA on the cutting edge of technology; the knowledgeable and skillful officers who handle OTA's congressional and public relations; the distinguished members of the Technology Assessment Advisory Council, who have provided wise counsel and advice; the Director Roger Herdman and his predecessors, whose gifted and energetic leadership has guided OTA toward the fulfillment of its mission.

More than ever, OTA's work is essential to intelligent policy decisions by Congress. The nation is in the midst of extraordinary

progress in technology. New developments in telecommunications and electronic networks are ushering in an information revolution that will be as significant as the industrial revolution of a century ago. We all know the need for fundamental restructuring in the nation's social services-especially in health care, welfare, education, job training, and crime prevention. We are working to find the best means to convert our industries from the defense orientation of the Cold War years to a civilian economy today. OTA has made essential contributions in all of these areas and many others. It has conducted important studies on electronic delivery of government

services, the economic impacts of health reform, and defense conversion, to name just a few of the reports published b<sub>y</sub>OTA in the past year. Studies such as these are providin<sub>g</sub> Congress and the American people with indispensable tools for understanding the present and preparing for the future.

It is an honor to serve on OTA's board, and I applaud all those who have contributed so much to OTA's well-deserved success.

Senator Kennedy

# Statement from vice chairman, Don Sundquist

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It has been my pleasure to serve as the Vice Chairman of the Technolog, Assessment Board during this Congress, after a number of years on the Board.

OTA has made some important transitions in the last year, not the least of which was Jack Gibbon's departure after many years as Director of OTA and, of course, Roger Herdman's becoming Director. I feel as though it has been a smooth transition, and we on the Board are looking forward to working with Roger in the future.

OTA has continued to give the Congress useful, nonpartisan advice on a wide range of topics: health care reform, environmental issues and the conversion of our economy in a post-Cold War environment. This is a unique institution that provides a lot of valuable analysis for Congress and policy makers generally.

I look forward to working with OTA in the second session of this Congress, and in the future.

Congressman Sundquist

Statement from TAAC chairman, Neil E. Harl



It has been my great pleasure to serve on the Technology
Assessment Advisory Council and especially to assume the responsibilities of Chair of the Council in the past year.

OTA has remained a strong and important analytical organization. I am confident that OTA will continue to play a vital role in providing high quality information and analysis for the remainder of the decade and into the twenty-first century. The dramatic political happenings of recent time, the continuing economic and social pressures of the world, and the on-rush of technical and technological developments assure that OTA's unique niche will be an

important one to the Congress and to the country generally. The shifting political, economic, legal and technological maelstrom creates an ever-changing relationship between technology and public policy. The dissolution of the former Soviet Union, the revolutions occurring in biology and information technology and the conversion of our domestic economy in a post-Cold War setting into an economy capable of sustained economic growth in an environmentally responsible manner are greatly increasing the need for sound advice on technolog, policy to the Congress. OTA has shown itself to be an objective, dependable source of advice and counsel and, I believe, will continue to be so.

I congratulate Roger Herdman on being appointed Director of OTA in the past year. I believe Roger will continue to provide the same valuable leadership that Jack Gibbons demonstrated during his tenure. The Council looks forward to working with Dr. Herdman in the future.

Neil E. Had

# Statement from OTA director, Roger C. Herdman

Fiscal Year 1993 was a year of substantial change for OTA. In January 1993, OTA's Director for the last thirteen years was called to become Science Advisor to newly-elected President Clinton and was also appointed Director of the White House Office of Science and Technology Policy (OSTP). During the rest of 1993 a number of additional senior and administrative OTA staff also joined OSTP. Those staff departures along with the retirement of another assistant director resulted in the formation of a new top management team halfway through the fiscal year.

The change in management provided for more flexibilit, in responding to the legislative branch's priorities for resource economies. In doing so OTA's

policy was to manage for the best value and to try to achieve expected levels of productivity with a less expensive process, primaril, by reducing management overhead. In doing so a major effort has been made to preserve the working units of the agency, the project teams, and to make changes in organization and personnel through reassignment and attrition not through reductions in force. The response to the requirements of our appropriations has been made in a series of steps. These include reduction of OTA's research divisions from three to two with redistribution of the existing nine programs to the two new divisions. Also the support offices' management by a separate operations manager has been ended, and these offices are now distributed into the research divisions and the Congressional and Public Affairs office. This management change should improve the coordination of administrative and research functions. Further steps for the future have been the subject of major staff planning efforts and involve coalescing of the nine programs to six in response to continuing financial stringency

We are proud that during the time that all this activity has been going on, OTA was able to maintain the unique OTA process, which has served the agency and the Congress so well over the years, and to continue at traditional levels of productivity in generation of reports and information for congressional committees. The hallmarks of OTA's process remain: working on an agenda that flows from committee priorities and reflects, therefore, by definition important national issues; staff commitment to independent research, analysis and responsibility for the results with only focused reliance on contracting outside of OTA; careful search for and attraction of the best national experts and stakeholders as advisors for each assessment; reliance on advisors and the peer review process to monitor and ensure the qualit, of OTA work; and with the help of our Technology Assessment Board, a staff culture that assigns the highest priority to producing work that is nonpartisan, accurate and complete.

OTA spent considerable time preparing documentation and appearing before the Joint Committee on the Organization of Congress to explain and

demonstrate how our work for the Congress is accomplished. Although there was some discussion in the Joint Committee directed at a consideration of duplicating some aspects of OTA's Technology Assessment Board for other congressional support agencies, the Committee did not propose any changes for OTA itself. At the same time, however, OTA took steps resulting from an internal analysis to provide greater standardization and uniform quality of reports. These steps included an agency-wide managing editor to provide continuous quality review and suggestions to project teams, a program to make available expert outside consultation on a periodic basis, and a rethinking of how prescriptive or conclusive OTA might or should be in reporting to Congress, among others.

With respect to achieving traditional levels of productivity during the year, OTA released 50 reports, full assessments or background papers—essentially the same number as in fiscal year 1992. And early in the fiscal year, in celebration of our 20th anniversary, OTA sponsored a "Forum on Technology and Governance in the 1990s." This Forum set the stage for OTA's future and focused sharpl, on five major

areas of importance to the Congress and the Nation: international security, the environment, economic competitiveness, health care and education. Major presentations in these areas were made by Robert McNamara, Gro Brundtland, Laura Tyson, Arnold Relman and Derek Bok respectively, and these presentations were published by OTA in a monograph to recognize the event.

Our reports for the year covered the usual wide range of subject matter, and included a number which might be singled out as particularly of interest and use to Congress and the Nation. "Dismantling the Bomb and Managing the Nuclear Materials" capitalized to some extent on work OTA did looking into cleanup of DOE weapons production facilities. This study warned the Congress that a lot of work remained to be done to design and implement a plan to dismantle nuclear weapons and handle the resulting large quantities of radioactive materials and, in particular, to achieve the understanding and support of the public through a thoughtful and open process which involved as well as educated the public. At the same time OTA issued a study reviewing "Aging Nuclear Power

Plants" which should give the

Congress a good sense of what to
expect in terms of power plants
going offline and some of the
particular problems and challenges that lie ahead in managing this very difficult process with
which the Nation has had relatively little experience.

OTA completed during 1993 a major study on "Adult Literacy and New Technologies" which raised the salience of this vital issue;
OTA emphasized that the problem of illiteracy is of far greater magnitude than most appreciate.
OTA's study defined the issue, conservativel, estimated prevalence, and delved into implications for competitiveness and ways in which we might address, through new technologies, among others, the difficult task of remediation,

Fiscal year 1993 was the year that health care reform came into its own, and OTA was involved in a number of studies that would prove helpful to congressional committees in tackling the difficult issues in reform plans, Of particularl, widespread interest was OTA's report, "An Inconsistent Picture" in which OTA looked at the economic projections made b, a number of analysts and stakeholders for the various major categories of health core reform

approaches. The enormous disparities from plan to plan and analysis to analysis in the expenditures, savings, and economic impacts on various sectors of American life proved to be of great interest and generated considerable debate, leading to a request for a follow-on study for delivery in mid-fiscal year 1994. OTA was asked to look at the assumptions that might explain the disparities and the documentation provided by authors of prelections that might allow observers to evaluate the methodology and reliability of those projections.

OTA also released "Multinationals and the National Interest: Playing by Different Rules" in 1993. This report was the first of two analyzing the objectives and policies of multinational corporations and the way they differ from the goals of the countries in which the corporations do business. The first report provided a wealth of descriptive detail and analysis. OTA looked at the treatment of home and foreign multinationals by various major trading partners, Japan, the European Community and the United States primarily, and the way the multinationals behave in various home and foreign environments. The treatment of foreign direct

investment, the implications for trade, for technolog, transfer and the like were all described. The second report which will contain options for the Congress will appear in fiscal 1994 and together these reports should improve understanding of international trade and U.S. competitiveness

Many other reports could be highlighted—our work on applications of information technologies, our very topical effort (in view of the major bioethical problems surfacing in early 1994) reviewing federal efforts in biomedical ethics, in the implications of global climate change and many, many more. Altogether OTA is proud of the accomplishments and the assistance to Congress achieved during 1993. We see complex issues continuing to come before the Congress and the American people—issues which will need thoughtful, careful analysis. We look forward to continuing to serve as a shared resource for the Senate and the House, the Majority and the Minority, to help frame issues, to help inform the debate, and to provide useful options for resolution of the issues,

Roger C. Herdman

# About OTA's organization and operations



Created by the Technology
Assessment Act of 1972 [86 Stat. 797], OTA is an agency of the legislative branch of the Federal Government (a copy of the Act is found on p. 52). OTA's primary function is to provide congressional committees with studies that identify the positive and negative consequences of policy alternatives affecting the uses of technology.

OTA assists Congress by identifying existing or probable impacts of technology; alternative technological methods and management programs for implementing specific actions (estimating and comparing the impacts of alternatives); and areas where additional research or data collection is required to provide support for assessments.

OTA presents its completed analyses to the appropriate legislative authorities and, whenever possible, undertakes whatever additional related activities are necessary.

The Act provides for a bipartisan Technology Assessment Board, a director, and other employees and consultants necessary for the Office to conduct its work. The congressional board is made up of six Senators, appointed by the President pro tempore of the Senate, and six Representatives, appointed by the Speaker of the House, evenly divided by party. In 1993, Sen. Edward M. Kennedy (D-Massachusetts) and Rep. Don Sundquist (R-Tennessee) served as the Chairman and Vice Chairman, respectively, of the board. The two posts alternate between the Senate and the House with each Congress. The board members from each Chamber select their respective officer.

The congressional board sets the policies of the Office and is the sole and exclusive body governing OTA. The board appoints the director, who is OTA's chief executive officer and a nonvoting member of the board.

The Act also calls for a Technology Assessment Advisory

Council composed of 10 public members eminent in scientific and technological fields, the Comptroller General of the United States, and the Director of the Congressional Research Service of the Library of Congress. The advisory council advises the board and the director on such matters as the balance, comprehensiveness, and quality of OTA's work, and OTA's non-governmental resources.

Requests for OTA assessments maybe initiated by:

the chairman of anystanding, special, select or joint committee of Congress, acting alone, at the request of the ranking minority, member, or at the request of a majority of the committee members:

- the OTA board; or
- the OTA director, in consultation with the board.

The authorization of specific assessment projects and the allocation of funds for their performance are the responsibilities of the OTA board.

Toward the end of January 1993, new senior management had begun to be put in place at OTA. By the end of FY 1993, an entirely new top management team was confirmed, consisting of a new director and two new assistant directors. This reorgani zation was initiated with the departure of former director John H. Gibbons to assume the position of President Clinton's Science Advisor.

The analytical work of the Office is now organized into two divisions, each headed by an assistant director. They encompass assessments grouped in the areas of energy and materials; industry, technology, and employment; international securit, and commerce; science, education, and transportation; telecommunication and computing technologies; biological applications; food and renewable resources; health; and oceans and environment.

Administrative offices support the analytical work of the Office. These offices handle budget and finance, contracts, information services, personnel, telecommunications and information systems, building services, and publishing.

The Congressional and Public Affairs Office assists in coordinating OTA's work with various committees of the House and Senate, by initiating communications between OTA management and staff, and the Technology Assessment Board and the

Technology Assessment Advisory Council. OTA publications are widel, disseminated on Capitol Hill and are publicl, available. The Information Center provides public access to the full collection of OTA publications, including an online index, and the Publications Distribution Office within information Marketing handles public dissemination of OTA publications. (General Information on OTA and availability of OTA publications is listed on the inside back cover.)

#### FY 1993 Activities

The prosperit, and security of the Nation depend in no small part on how the U.S. Congress and others anticipate and respond to complex issues involving science and technology. OTA has an unequal led record in providing Congress with facts, figures, and nonpartisan analyses it can rely on in dealing with critical national issues involving science and technology. As we approach the 2 1st century, the United States and the world are undergoing momentous political, economic, socia1, and technological transformations that pose both new problems and new opportunities

for the nation's lawmakers. U.S. lawmakers seeking to cope with these transformations are likely to find that the guidance OTA can provide is more valuable than

During FY 1993, OTA completed 50 reports spanning the full range of science and technology issues facing the Congress. The following are examples of OTA projects that had a significant impact in areas that are of vital interest to the Congress:

■ Getting the U.S. economy on o sound footing for the years ahead is clearly a high priority of the Congress. One of the challenges will be to find productive civilian uses for the resources that were formerly devoted to the Nation's defense. OTA's assessment of U.S. Technology and the Defense Conversion, which includes Defense Conversion; Redirecting R&D, concentrates on new opportunities in this area. Another OTA report, Adult Literacy and New Technologies: Tools for a Lifetime, focuses on how information technologies can help equip U.S. citizens with the skills needed to participate fully in

- the workplace. Multinationals and the National Interest discusses how to help ensure that multinational corporations such as IBM and AT&T work to support economic growth and high standards of living in the United States.
- Health care reform increasingly is coming to dominate the domestic policy agenda, and OTA can help U.S. lawmakers sort out some of the dilemmas that arise in the debate. An Inconsistent Picture: A Compilation of Analyses of Economic Impacts of Competing Approaches to Health Care Reform by Experts and Stakeholders, for example, points to some of the reasons for the wide range of differences in estimated economic impacts of approaches to health care reform. OTA's report Pharmaceutical R&D: Costs, Risks, and Rewards can help inform the development of sound Federal policies related to payment for prescription drugs. Another item high on the domestic policy agenda is "reinventing govern merit." At a time when demand is growing
- and budgets ore tighter,
  Federal, State and local
  governments face the challenge of delivering better
  services faster and at less cost.
  OTA's report Making Government Work: Electronic Delivery
  of Federal Services provides
  Congress with alternative
  strategies for improving the
  performance of government by
  using modern computer and
  telecommunication technologies.
- Dealing with environmental problems will be a continuing challenge for U.S. policymakers for the foreseeable future. Many scientists believe that as a result of C0, emissions from cars and other factors, the Earth's climate is likely to warm by several degrees during the next few decades. OTA's report Preporing for an Uncertain Climate discusses how U.S. policymakers can begin to plan for the possibility of global worming in the light of considerable uncertainties about when, where, and how much change will occur. Another OTA report, Dismantling the

Bomb and Managing the Nuclear Materials presents options for the successful dismantlement and disposition of nuclear weapons materials. This is one of the major environmental and public health challenges the country faces.

80.88

■ Energy Efficiency Technologies for Central and Eastern Europe, part of OTA's assessment of Energy and Environmental Technology Transfer to Central and Eastern Europe, notes that transferring technology to improve the efficiency of energy use is one highly costeffective way for the United States to encourage economic reform, democratization, and stability in the former communist countries of the Soviet bloc. Energy is used very wastefully in formerly centrally planned economies, and the

waste limits economic development and contributes to local and global environmental degradation.

The proliferation of chemical, biological, and nuclear weapons of mass destruction—especially in unstable regions of the world such as the Middle East, S. Asia, and Korea—is likel, to pose a major securit, threat to the United States and other countries for many years to come. OTA's report Proliferation of Weapons of Mass Destruction: Assessing the Risks

identifies a range of measures from which a coherent nonproliferation treat, might be constructed.

OTA's work in FY 1994 will continue to reflect the explicit needs of the committees of jurisdiction. OTA serves as a shared resource for Congress, providing nonpartisan analysis of scientific and technological issues—issues intrinsic to all important policy issues—in a cost-effective way.

### Industry, commerce, and international security division



of energy and materials.

The Energy and Materials Program is responsible for assisting the Congress in understanding the role of technology in developing energy and materials resources and the consequences of these developments for society. The Program helps the Congress progress toward rational resource development such that economic growth is maintained, undesirable side effects are kept to a minimum, and the resource base is sustained for future generations. The Program covers those technologies that concern the extraction, delivery, and the use of energy and materials. The Program also analyzes world energy and materials markets and policies, especially the implications of U.S. imports and exports

The Industry, Technology, and **Employment Program examines** how technology affects the ability of U.S. industry to contribute to a healthy national economy. This includes consideration of the competitiveness of U.S. industries in international markets: trade and economic development issues; the number and nature of employment opportunities in the U.S. economy; needs for worker education, training and retraining; and ways to ease adjustment in structural economic transitions. The ITE Program is concerned with the role of technology in examining the competitive position of both basic and new industries, with the development and dissemination of precompetitive technologies, and with the quantity, nature, and quality of jobs in the U.S. economy.

The International Security and Commerce Program deals with the role of technology in national security, exploration and commercialization of space, and international technology transfer. The Program's work in national security focuses on assessment of the likel, impacts of technological considerations on national security, including international stability, terrorism, diplomacy,

The Industry Commerce, and International Security Division cornprise five research Programs: Energy and Materials; Industry, Technology and Employment; International Security and Commerce; Science, Education, and Transportation: and Telecommunication and Computing Technologies,

alliance relations, arms control, deterrence, and defense. Assessment of issues related to the notion's defense industrial and technology base is an increasing part of ISC'S work. The Program's work on space involves o broad range of issues, such as space transportation, international cooperation and competition in civilian space activities, and other areas in which technological progress, civilian exploration, commercial uses of space, and national security must all be reconciled.

The Science, Education, and Transportation Program includes efforts focusing on the Federal government's role in national transportation systems and policy; it includes a variety of efforts related to the Federal Government's role in maintaining the health of the U.S. scientific enterprise, especially allocation and decision methods available to the Congress to support and manage research and development; and, finally, the Program activities include a strong focus on the role of technology in enhancing learning in schools as well as in non-school educational systems.

The Telecommunication and Computing Technologies Program is concerned primarily with the changing role of telecommunica tions and computing technologies in the nation's industry, com merce, and government. The core responsibilities of the Program require monitoring the research and development of new information technologies and assessing the state-of-the-art in these areas as well as the pace and direction of basic research and development. The Program also studies telecommunications regulation, information policy, and applications of information technology in the public sector.

In FY 1993, the Industry,
Commerce, and International
Security Division published 17
assessment reports and 10
background papers.

u.s. Banks and International
Telecommunications, October 1992
Requested by:
House Committee on Foreign Affairs
Senate Committee on Finance

Industrial Energy Efficiency,
April 1993
Requested by:
Senate Committee on
Governmental Affairs
Senate Committee on
Energy and Natural Resources
House Committee on
Energy and Commerce

House Committee on
Government Operations
House Committee on
Science, Space and Technology

Data Format Standards for Civilian

Remote Sensing Satellites, May 1993

Requested by:

House Committee on

Science, Space and Technology

Senate Committee on

Commerce, Science, and Transportation

Access to Over-the-Road Buses for Persons with Disabilities, May 1993 Requested by Mandated under Public Law 101-336

Advanced Network Technology,
June 1993
Requested by:
House Committee on
Science, Space and Technology
Senate Committee on
Commerce, Science and Transportation

Radio Conference: Technology and
Public Implications, June 1993
Requested by:
Senate Committee on
Commerce, Science and Transportation
House Committee on
Energy and Commerce

The 1992 World Administrative

Defense Conversion: Redirecting R&D,
June 1993
Requested by:
Senate Committee on Foreign Relations
Senate Committee on
Labor and Human Resources
Senate Committee on
Commerce, Science and Transportation
Senate Committee on
Labor and Human Resources
Senate Committee on
Armed Services
House Committee on
Interior ond Insular Affairs
House Committee on
Government Operations

# Page 14

Energy Efficiency Technologies for Central and Eastern Europe, July 1993 Requested by:

Senate Committee on

Environment and Public Works
House Committee on Foreign Affairs
House Committee on

Energy and Commerce
Senate Committee on Foreign Relations

Who Goes There: Friend or Foe?, July 1993

Requested by

House Committee on Armed Set-vices

Adult Literacy and New Technologies: Tools for a Lifetime, July 1993 Requested by:

House Committee on Education and Labor Senate Committee on

Labor and Human Resources Endorsed by:

Joint Economic Committee

The Future of Remote Sensing for Space: Civilian Satellite Systems and Applications, July 1993 Requested by: House Committee on

Science, Space and Technology

Senate Committee on Commerce, Science
and Transportation

The Chemical Weapons Convention: Effects on the U.S. Chemical Industry, August 1993 Requested by:

Senate Committee on Foreign Relations
Senate Committee on Governmental Affairs

Development Assistance, Export
Promotion, and Environmental
Technology, August 1993
Requested by:
House Committee on Foreign Affairs
House Committee on Energy and
Commerce
Senate Committee on Finance

Accessibility and Integrity of Networked Information Collections, August 1993

Aging Nuclear Power Plants: Managing
Plant Life and Decommissioning,
September 1993
Requested by
Senate Committee on Governmental Affairs
House Committee on

Proliferation of Weapons of Mass

Destruction: Assessing the Risks,

September 1993

Requested by:

Senate Committee on Foreign Relations

Senate Committee on Governmental Affairs

Energy and Commerce

Multinationals and the National Interest: Playing by Different Rules, September 1993 Requested by: Senate Committee on Commerce, Science and Transportation

U.S. 'Telecommunications Services in European Markets, September 1993 Requested by:
House Committee on Foreign Affairs
Senate Committee on Finance

Pulling Together for Productivity: A Union Management Initiative at U S West, Inc., September 1993 Requested by: Senate Committee on Commerce, Science and Transportation

Protecting Privacy in Computerized

Medical Information, September 1993

Requested by:

Senate Committee on Governmental Affairs

House Committee on

Government Operations

Making Government Work: Electronic
Delivery of Federal Services,
September 1993
Requested by:
Senate Committee on Governmental Affairs

Contributions of DoE Weapons Labs ond NIST to Semiconductor Technology, September 1993 Requested by:

Hon. Ernest F. Hollings

Operations

Energy Efficiency: Challenges and
Opportunities for Electric Utilities,
September 1993
Requested by:
Senate Committee on Governmental Affairs
Senate Committee on
Energy and Natural Resources
House Committee on
Energy and Commerce
House Committee on
Science, Space and Technology
House Committee on Government

Aircraft Evacuation Testing: Research ond Technology Issues, September 1993 Requested by: House Committee on Science, Space and Technology

Potential Environmental Impacts of Bioenergy Crop Production, September 1993 Requested by: House Committee on Science, Space and Technolog, House Committee on Energy and

Biopolymers: Making Materials
Nature's, Way, September 1993
Requested by:
Senate Committee on
Energy and Natural Resources

Commerce

Information Systems Related to
Technolog, Transfer: A Report on Federal
Technology Transfer in the United States,
September 1993

# Health, life sciences, and the environment division





The Biological and Behavioral Sciences Program assesses stateof-the-art technologies arising from progress in a wide range of scientific and technical disciplines. Typical studies explore actual and potential applications of results and techniques from biological and behavioral sciences, usually with an emphasis on ethical, legal, economic, and regulatory issues. Currently, the Program's activities center on (1) biotechnology and applications and implications of human molecular genetics, (2) neurological and behavioral sciences, and (3) Federal regulatory programs that involve use and understanding of biological tests and knowledge.

The scope of the Food and Renewable Resources Program

includes all agriculture-related technologies used to provide society with food, fiber, and chemicals, and technologies that enhance or Jeopardize the ability to sustain in perpetuity the renewable resource bases that make such production possible. Agriculture itself is defined in the broad sense, including all crop and livestock production and forestry. Attention also is given to the impact that technolog has had and is likel, to have on how the agricultural system is organized, who controls it, and where it is heading. Further, the Program covers renewable resources that presentl, may not be considered or produced as crops, but that support agricultural production and are fundamental to human needs generally. Relevant interna tional analyses on renewable resources and agriculture are included in certain Program studies.

The Health Program's charter is reflected in two primary types of efforts:

- 1) assessments of specific clinical and general health care technologies, and
- 2) studies of broader issues of health polic, related to or with implications for technology.

In addition, it has certain statutory, methodology oversight responsibilities regarding Vietnam veterans health studies, and provides the staff work for the OTA Director's mandated responsibility to select and appoint members of the Prospective Payment Assessment Commission, the Physician Payment Review Commission, and the Advisory Panel on Alzheimer's Disease

The Oceans and Environment Program has responsibility for all ocean-related questions, includin ocean resources and maritime policy, and for large-scale environmental issues, such as climate modification and air, water, and land pollution. As a result of changing congressional interest, the Program has developed capability for analyzing the difficult questions in which the overriding concern lies with the environmental effects of decisions. The work of the Program usually falls under several categories: Federal services related to oceans and the environment, natural resources, pollution control, marine industry, and climate change.

In FY 1993, the Health, Life Sciences, and the Environment Division published 10 assessment reports and 13 background papers.

Genetic Tests and Health Insurance:
Results of a Survey, October 1992
Requested by:
House Committee on
Science, Space and Technology
House Committee on
Energy and Commerce

Genetic Counseling and Cystic Fibrosis
Carrier Screening: Results of a Survey,
October 1992
Requested by:
House Committee on
Science, Space and Technology
House Committee on
Energy and Commerce

Federal and Private Roles in the
Development and Revision of
Alglucerase Therapy for Gaucher
Disease, October 1992
Requested by:
House Committee on
Energy and Commerce

Science and Technology Issues in Coastal Ecotourism, October 1992 Requested by: House Committee on Merchant Marine and Fisheries

Coverage of Preventive Services:

Provision of Selected Current Health

Care Reform Proposals, October 1992

Requested by:

Senate Committee on

Labor and Human Resources

Hazards Ahead: Managing Cleanup
Worker Health and Safety at the Nuclear
Weapons Complex, February 1993
Requested by:
Senate Committee on Armed Services

Pharmaceutical R&D: Casts, Risks, and Rewards, February 1993 Requested by: House Committee on Energy and Commerce

Drug Labeling in Developing Countries,
May 1993
Requested by:
Senate Committee on
Labor and Human Resources
House Committee on
Energy and Commerce

An Inconsistent Picture:

A Compilation of Analyses of Economic Impacts of Competing Approaches to Health Care Reform by Experts and Stakeholders, June 1993
Requested by:
Senate Committee on
Labor and Human Resources

Health Insurance:
The Hawaiian Experience, June 1993
Requested by:
Senate Committee on
Labor and Human Resources

Compilation of Abbreviations and Terms, September 1993

Water for Walker Lake, September 1993 Requested by: Senator Harry Reid

Alternative Coca Reduction Strategies in
the Andean Region, September 1993
Requested by:
Senate Committee on
Labor and Human Resources
Senate Committee on the Judiciary
House Select Committee on Narcotics
Abuse and Control

Dismantling the Bomb and Managing the Nuclear Materials, September 1993 Requested by:

Senate Committee on Governmental Affairs

OTA Assessment: The Department of Veterans Affairs Persian Gulf Veterans' Health Registry, September 1993 Requested by:

Mandated under Public Law 102-585

The Continuing Challenge of
Tuberculosis, September 1993
Requested by.
House Committee on
Energy and Commerce
House Committee on Government
Operations

Harmful Non-Indigenous Species in the United States, September 1993
Requested by:
House Committee on Merchant Marine
and Flsheries
House Committee on Energy and
Commerce
Endorsed b<sub>y</sub>
Hon. Amo Houghton, TAB member

Benefit Design in Health Care
Reform: Clinical Preventive Services,
September 1993
Requested by:
Senate Committee on
Labor and Human Resources

Hip Fracture Outcomes in Feople Age 50 and Over: Mortality, Service Use, Expenditures, and Long-Term Functional Impairment, September 1993 Requested by: Senate Special Committee on Aging

Impact of Legal Reforms on Medical
Malpractice Costs, September 1993
Requested by
House Committee on Ways and Means
Senate Committee on
Labor and Human Resources
House Committee on Appropriations,

Subcommittee on Labor, Health and Human Services Senate Committee on Finance House Committee on Energy and Commerce

Biomedical Ethics in U.S. Public Policy,
September 1993
Requested by
Senate Committee on Appropriations
Senate Committee on
Labor and Human Resources
Senate Committee on the Judiciary

The Biological Components of
Substance Abuse and Addiction,
September 1993
Requested by:
House Committee on
Government Operations
Senate Committee on Governmental Affairs
Senate Committee on
Labor and Human Resources

Benefit Design in Health Care Reform:
Patient Cost-Sharing, September 1993
Requested by:
Senate Committee on
Labor and Human Resources

### OTA forum on technology and governance in the 1990s

Twenty years ago, Congress created the Office of Technology Assessment to demystify the roles of science and technology in governance—to make specialized information more accessible. For two decades, during which time the influence of technology has grown enormously, OTA has examined key socio-technical issues of our time, providing detailed information to congressional committees and other policy makers.

On January 27, 1993, in celebration of OTA's twentieth anniversary, the Technology Assessment Board hosted a oneday Forum on Technology and

Governance in the 1990s for members of Congress and key congressional staff. The Forum was designed to address several goals:

- To raise congressional and public awareness of the most critical issues faced by our nation and the world.
- To equip policy makers with an improved understanding of how best to deal with these issues.
- To show how technology is woven into socio-economic, domestic, and international policies, and to demonstrate the need to adapt our policies, methods of governance, and institutional mechanisms to this real ity.

Five topics were chosen, selected on the basis of national and/or global urgency, likely continued importance to the legislative agenda, and the centrality of technology in creating or solving the problem: international security; sustaining the global environment; U.S. economic competitiveness; health care; and public education. Distinguished speakers were invited to address the topics—

The Forum Proceedings are available from the OTA Publications Distribution Office, Office of Technology Assessment, U.S. Congress, Washington, DC 20510-8025,

(202) 224-8996

outlining the problems, the reasons for their urgency, and alternatives for resolution. The following is the list of papers presented:

- A New World Order and
  Its Implications for Arms
  Reductions
  Robert S. McNamara
  Former U.S. Secretary of
  Defense
  Former President,
  The World Bank
- Sustaining the Global
   Environment
   Gro Harlem Brundtland
   Prime Minister of Norway
   Chair of the World
   Commission on Environment and Development
- Economic Competitiveness in the U.S. Laura D'Andrea Tyson, Chair of the Council of Economic Advisors

- Medical Care Reform:

   Building a Viable System

   Arnold S. Relman
   Professor of Medicine and of

   Social Medicine, Harvard
   School of Medicine

   Editor-in-Chief Emeritus

   New England Journal of
   Medicine
- Rethinking Public Education in the U.S.
   Derek Bok
   President Emeritus, Harvard
   University

OTA wishes to acknowledge the generous financial support of the Carnegie Corporation of New York and Corning International, without whom the Forum could not have taken place, In addition, OTA thanks the members of the Technology Assessment Board and the Technology Assessment Advisory Council for their ongoing cooperation and support.

# Work in progress at year-end

More than 41 proejects were in progress during fiscal year 1993. In addition, 14 new studies were under taken.

This section lists the titles of assessments underway or in press, as of September 30, 1993. For a full description of these projects, please refer to the current "Assessment Activities, " OTA-PC -105. This pamphlet is available from OTA by calling the Publications Distribution Office at (202) 224-8996.

# Industry, Commerce, and International Security Division

Energy and Materials Program

- U.S. energy efficiency: past trends and future opportunities
- Renewable energy technology: research development and commercial prospects
- Energy and environmental technology transfer to Central and Eastern Europe

Industry Technology, and Employment Program

- American industry and the environment: implications for trade and U.S. competitiveness
- Multinational corporations and U.S. technology base
- Commercialization of emerging technologies
- Technology, jobs and productivity in the service economy

International Security and Commerce Program

- Defense modeling and simulation
- Proliferation of weapons of mass destruction

- Earth observation systems
- Assessing the potential integration of defense and civilian technology and manufacturing

Science, Education, and Transpodation *Program* 

- Teachers and technology

  Federal aviation research and technolog,
- Vocational education assessment instruments

Telecommunication and
Computing Technologies Program

- Information security and privac, in network environments
- Social Security Administration's information technology automation program
- Information technology and the health care system
- The Electronic enterprise: opportunities for American business and industry

# Health, Life Sciences, and the Environment Division

Biological and Behavioral Sciences Program

- Research on health risk assessment
- Technologies for understanding the root causes of substance abuse and addiction
- OSHA'S selection of control technologies and assessments of their impacts and costs
- The human genome project and patenting human DNA sequences

Food and Renewable Resources Program

- Agriculture, trade and the environment
- Aquiculture: food and renewable resources from U.S. waters
- Biological pest control
- Science and technology, renewable resources and international development

Health Program

- Assessing the assumptions behind health reform prejections
- Regulator-y and health assessments of dietary supplements

- Setting the stage for studying Persian Gulf veterans' health
- Monitoring of mandated veteran studies
- Federal response to AIDS: congressional issues
- Health professions training: roles of Titles VII and VIII
- Technology, insurance, and the health care system
- Defensive medicine and the use of medical technology
- International differences in health technology, services and economics
- Policy issues in the prevention and treatment of osteoporosis
- Prospects for health technology assessment
- Appointment of the Prospective Payment Assessment Commission and the Physician Payment Review Commission

Oceans and Environment Program

Systems at risk from climate

change

New approaches to environmental regulation

### Technology assessment advisory council



The Technology Assessment
Advisory Council (TAAC) was
established by OTA's statute, and
members are appointed by OTA's
Congressional Technology
Assessment Board (TAB). The
Council advises TAB and the
Director on issues and other
matters related to science,
technology, and technology
assessment.

Neil E. Harl, Chairman
Dr. Harl is the Charles F. Curtiss
Distinguished Professor of Economics at lowa State University,
where he has served on the
faculty since 1964.

James Hunt, Vice Chairman
Dr. Hunt is Distinguished Professor, Health Sciences Center, at the
University of Tennessee in Memphis. He previously served as
Chancellor of the Health Science
Center and as the Dean of
Medicine for the University. Prior
to joining the University, he served
as Chairman of the Department
of Medicine at the Mayo Clinic.

Lewis M. Branscomb

Dr. Branscomb is the Albert Pratt

Public Service Professor at

Harvard's John F. Kennedy School

of Government. He is a former

executive of International Business

Machines. Prior to joining IBM, he

was the Director of the National

Bureau of Standards.

Herbert D. (Ted) Dean

Mr. Doan is a Partner with Doan

Associates. He was Chairman and

Founder of Doan Resources

Corporation. He served as

President of the Dow Chemical

Company for nine years.

Joshuca Lederberg

Dr. Lederberg was President of

Rockefeller University, New York.

He is the former Chairman of the

Department of Genetics at

Stanford University School of Medicine. He is a member of the National Academy of Sciences and is a Nobel Laureate in Physiology and Medicine.

#### Max Lennon

Dr. Lennon is President of
Clemson University. He previously
served on the faculties of Ohio
State University, (Vice-President for
Agricultural Administration and
Executive Dean for Agriculture,
Home Economics and Natural
Resources), University of Missouri,
and Texas Tech University.

Thomas J. Perkins
Mr. Perkins is the General Partner
of Kleiner & Perkins in San
Francisco. He held a number of
positions with Hewlett Packard
Company, most recently as
Assistant Manager, Corporate
Research Laboratories. He also
served as Vice President, Marketing with Optics Technology, Inc.
and as an Electrical Engineer with
Sperry Corporation.

Chase N. Peterson

Dr. Peterson is President Emeritus

of the University of Utah. He

practiced medicine at the Salt

Lake Clinic and taught at the LDS

Hospital and University of Utah Medical School until his appointment as Dean of Admissions and Financial Aids at Harvard College. There he also served as Vice President for Alumni Affairs and Development. Dr. Peterson returned to the University of Utah in 1978 as Vice President for Health Sciences, and has served as University President since 1983.

John F. M. Sims

Dr. Sims is Vice President for Marketing for Usibelli Coal Mine, Inc. He previously served as Director of the Office of Mineral Development with the Alaska Department of Commerce and Economic Development. Dr. Sims also taught Geological Engineering at the University of Alaska-Fairbanks.

Marina v.N. Whitman

Dr. Whitman is a Professor at the
Institute of Public Policy Studies at
the University of Michigan.

Previously she sewed as the Vice
President and Group Executive for
Public Affairs Staff Group at
General Motors Corporation. She
also served as Vice President and

Chief Economist at General Motors. Prior to joining General Motors she taught at the University of Pittsburgh.

#### **Statutory Members**

Charles A. Bowsher

Mr. Bowsher is Comptroller

General of the United States and

Director of the U. S. General

Accounting Office.

Joseph E. Ross Mr. Ross is Director of the Congressional Research Service, U. S. Library of Congress.

### OTA staff as of September 1993

#### Office of the Director

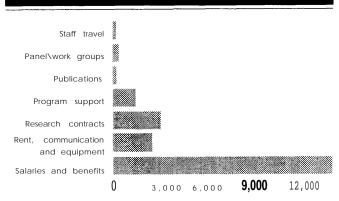
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Barbara Linkins, Executive Assistant
Gilda Squire, Secretary
Kerry Kemp, Managing Editor

#### **Budget and Finance**

Jack Boertlein, Budget and Finance Officer Carolyn Datcher, Senior Accounting Technician

Frances Hemingway, Senior Finance Analyst Alan King, Accounting Technician Carrie Miller, Accounting Technician

#### FISCAL YEAR 1993 BREAKDOWN (IN THOUSANDS)



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William Norris, Personnel Director
Lola Craw, Payroll/Benefits Officer
Laura Ellinger, Administrative Assistant
Gail Turner, Personnel Specialist

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#### Information Marketing

Debra Datcher, Information Marketing
Officer
Theodore Williams, Publications Distribution Technician

#### **Building Services**

Kevin McNair, Building Services Supervisor Markell Robinson, Clerk/Courier

#### **Medical Services**

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#### Congressional and Public Affairs

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Congressional Affairs

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Karen Piccione, Administrative Assistant

Eugenia Ufholz, Congressional Affairs

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J. Christine Onrubia, Senior Graphic Designer

Bonnie Sparks, Electronic Publishing Specialist

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# Industry, Commerce, and International Security Division

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Pidge Chapman, Dlvlson Administrator

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David Jensen, Analyst
Paul Komor, senior Analyst
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Linda Long, Administrative Secretary
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Arthur Charo, Senior Analyst
Dean Cheng, Analyst, 'Congressional Fellow
Gerald Epstein, Senior Analyst
Anthony Falnberg, Senior Associate

## OTA IS COMPOSED OF 205 STAFF MEMBERS, OF WHICH 79% ARE ANALYTICAL AND 21 PERCENT ARE ADMINISTRATIVE.

3% Social work, education and sociology 16 Public policy, political science, technology and policy 13 Psychology, management sciences, social sciences **Physics** Ecology, environmental sciences, geology, energy 10 resource rmanagement, geography, earth sciences 10 Engineering Economics and business Law Communications, journalism and library science Public administration, government, International affairs, regional planning and industrial relations Medicine and public health Biology, physiology, toxicology, zoology and chemistry

Thomas Karas, Senior Associate
Brian McCue, Senior Analyst
Jack Nunn, Senior Associate
Ivan Oelrich, Senior Analyst
Christopher Waychoff, Senior Analyst
Ray Williamson, Senior Associate

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Edie Grandstaff, Conference Center Coordinator

Sean Copeland, Conference Center Assistant

### Telecommunications and Information Systems

Sylvester Boyd, Manager, Telecommunica tions and Information Systems Larry Bond, Senior Systems Analyst Mary Beth Breitbach, Systems Support Analyst

Brenda Hahn, Systems Support Analyst
Philip Jackson, Assistant Manager,
Telecommunications and Information

Vincent McCa[I, Systems Technician John Warren, Systems Technician

Systems

#### Health, Life Sciences, and the Environment Division

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Phyllis Windle, Senior Associate

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Jan Linsenmeyer Research Analyst

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German Reyes, Analyst

Sherry Showell, Analyst

William Westermeyer, Senior Analyst

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Paul Starr, Contracts and Legal Specialist
Greg Joyce, Senior Procurement Specialist

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Tracey Amey, Librarian
Nancy Bennett, Intern
Debra McCurry, Assistant Manager,
Information Services
Linda Trout, Librarian
Keith West, Information Technician

### OTA awards and fellowship programs



The Distinguished Service
Award is given to those individuals who have made notable outstanding contributions to OTA and the accomplishment of OTA's mission. Nominations are made by all OTA staff, and employees in all job categories are eligible. A rotating Employee Recognition Committee selects the recipients. The following OTA staff were honored with the Distinguished Service Award for 1993:

- Pidge Chapman, Division
   Administrator, Industry,
   Commerce, and International
   Securit, Division
- Mary Lou Higgs, Manager, Publishing Services
- Vincent McCall, Systems
   Technician, Telecommunications and Information Systems

#### OTA Reports Recognized as Notable

In May 1993, the American
Library Association's Government
Documents Round Table announced their list of Notable
Government Documents for
1992. Of the 20 Federal government documents recognized, four
were OTA reports:

- After the Cold War: Living with Lower Defense Spending, Industry, Technology and Employment Program, Kitty
   Gillman, Project Director
- Biological Rhythms: Implications for the Worker, Biological and Behavioral Sciences
   Program, David I.iskowsky,
   Project Director
- Testing in American Schools:
   Asking the Right Questions,
   Science, Education, and
   Transportation Program,
   Michael Feuer, Project Director
- U.S. Dairy Industry at a Cross-roads: Biotechnology and Policy Choices, Food and Renewable Resources Program, Mike Phillips, Project Director

The Government Documents
Round Table selects those documents they consider to be the best
of the government information
sources produced in the previous
year. These documents "expand

our knowledge, enhance the quality of life, and/or contribute to an understanding of government."

#### **Blue Pencil Awards**

The National Association of Government Communicators conducts the Blue Pencil Competition as an annual recognition of outstanding government communications projects and producers. Entries are judged on writing, editorial content, layout and design, achievement of purpose and cost effectiveness. This year three OTA reports were recognized in the competition:

- Cystic Fibrosis and DNA Tests: Implications of Carrier Screening, Biological and Behavioral Sciences Program, Robyn Nishimi, Project Director, First Place, Books for a Technical Audience Category
- Testing in American Schools:
   Asking the Right Questions,
   Science, Education, and
   Transportation Program,
   Michael Feuer, Project Director,
   Second Place, Books for
   General Audience Category
- Evaluation of the Oregon
   Medicaid Proposal, Health
   Program, Elaine Power, Project
   Director, Honorable Mention,
   Books for a Technical Audience
   Category

# The Morris K. Udall Fellowship Program

The Udall Fellowship Program is awarded to up to six individuals each year for a one-year appointment at OTA. It was established in 1991 by the Technology Assessment Board in honor of Morris K. Udall, retired congressman from Arizona who served 30 years in the House of Representatives and 18 years on the Technology Assessment Board. Qualified candidates must demonstrate exceptional abilit, in areas needed in OTA's work, such as the physical or biological sciences, engineering, law, economics, environmental and social sciences, and public policy. Candidates must have significant experience in technical fields or management or have completed research at the doctoral level.

Fellows, 1992-93

- Lucian Hughes, Industry, Technology and Employment Program
- Thomas Vischi, Biological Applications Program

#### Fellows, 1993-94

- Dean Cheng, International Security and Commerce Program
- Betsy Gunn, Oceans and Environment Program
- Lois Joellenbeck, Oceans and Environment Program

# Congressional Fellowship in Health Policy

The Milbank Memorial Fund and OTA established the Congressional Fellowship in Health Policy in 1992 to be served at OTA beginning in September 1992. The program seeks candidates with substantial training and experience in research and strong interest in health policy. The fellowship provides an opportunity for an individual of proven abilit, and considerable promise to work with OTA researchers to assist Congress in its deliberations of science and technology issues affecting our Nation's health policy and to gain a better understanding of the ways in which Congress establishes national Policy related to these issues.

The Fund and OTA invited applications from individuals who have demonstrated abilit, in research on issues of health policy. Applicants should have doctorates in the social sciences or related areas or have terminal scientific or professional degrees and considerable training in research using the policy sciences *Fellow*, 1992-93

■ Sean Tunis, Health Program

Fellow, 1993-94

 Gerard Fergerson, Biological and Behavioral Sciences
 Program

# Advisors and panel members\*



#### **Energy and Materials Program**

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New York Public Service Commission

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Leonard Hyman

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Robert Pollard Senior Nuclear Safety Engineer Union of Concerned Scientists

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Cas Robinson

Director

National Association of Regulatory

Commissioners

John J. Taylor

Vice President

Nuclear Power DIvision

Electric Power Research Institute

"Affiliations ore at time of appointment to panel or workshop

H.B. Tucker

Senior Vice President Nuclear Generation Group

Duke Power Co,

Nat Wood son

Vice President and General Manager Westinghouse Electric Corp.

#### ENERGY TECHNOLOGY TRANSFER TO CENTRAL AND EASTERN EUROPE ADVISORY PANEL

Marshall Goldman, Chairman

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Russlan Research Center
Wellesley College

Margaret Bowman

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Professor

Department of Economics

Indiana Universit,

William U. Chandler

Director

Advanced International Studies Unit Pacific Northwest Laboratory

Robert Ebel
Senior Associate
Energy Security Program

Center for Strategic & International Studies

Charles K. Ebinger
Director, Energy Group and
Executive Vice President
International Resources Group

Richord Jacobs President Newstar, Inc.

Richord A. Liroff

Director

Central & Eastern European Program World Wildlife Fund Simon K. Mencher

President

Alpha Finance & Management Corp.

John f? Minneman Vice President

Chase Manhattan Bank, New York

Espy P. Price
Vice President
CIS Department

Chevron Overseas Petroleum Inc.

Matthew J. Sagers

Director

Energy Services & Senior Economist

PlanEcon, Inc.

Raymond J. Sero

General Manager

International Division

Westinghouse Energy Central

Ra<sub>y</sub>Snokhaus Senior Vice President

Government & Regulatory Affairs Houston Industries, Inc.

Robert H. Socolow

Director

Energy and Environmental Policy Center

Princeton University

Richard Spears
Vice President
Spears & Associates

#### RENEWABLE ENERGY TECHNOLOGY RESEARCH, DEVELOPMENT AND COMMERCIAL PROSPECTS ADVISORY PANEL

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President

Resources for the Future

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Technical Services
SF Services, Inc.

Art Brooks
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Sun Earth, Inc.

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Sheet Metal Workers International

John Corsi

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Solarex

J. Michael Davis Consultant

David Dawson
Forest Polic, Consultant

W. Densmore Hunter
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Process R&D
Weyerhauser Co,

Renz D. Jennings Chairman

Arizona Corp. Commission

David Kearney President

Kearney and Associates

John Kennedy

Chief Engineer—Space Systems

Allied-Signal Aerospace, Air Research

Los Angeles Division

Alden Meyer

Director

Climate Change and Energy Program
Union of Concerned Scientists

Roberta Nichols

Manager, Electric Vehicle Strategy and Planning

Technical Affairs
Ford Motor Co.

Mike Nicklas President

Innovative Design

Dale Osborn President

US Windpower Inc.

Ellzabeth Paine Commissioner State of Maine

Bruce Pasternak Senior Vice President

Managing Officer, Energ, Practice Booz, Allen, and Hamilton

Mario Richter Vice President

Salomon Brothers, Inc.

Victor Shaio President

New Energy Corporation of Indiana

Scott Sklar

Executive Director

Solar Energy Industries Association

Cad Weinberg Manager

Research and Development Pacific Gas & Electric Co.

Robert H. Williams Senior Research Scientist

Center for Energy and Environmental

Studies

Princeton University

Kurt E. Yeager Senior Vice President Technical Operations

Electric Power Research institute

**US. ENERGY EFFICIENCY ADVISORY PANEL** 

James F Gibbons, Chairman

School of Engineering Stanford University

Dale Compton Professor

School of Industrial Englneering

Purdue Universit,

Marc Cooper Director of Research

Consumers Federation of America

Robert deHaan Director of Engineering Amana Refrigeration Company

Daniel A. Dreyfus Vice President

Strategic Planning & Analysis Gas Research Institute

Clark W Gellings

Director

Customer Systems Division Electric Power Research Institute

David B. Goldstein

Natural Resources Defense Council

Cheryl Harrington

Director

Regulatory Assistance Project

Kenneth Hickman Vice President

Applied Systems Division

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Edward McInerney Chief Engineer

GE Appliance Division General Electric Company

Alan Miller Professor

Center for Global Change

University of Maryland-College Park

Gary Nakarado Commissioner

Public Utility Commission of Colorado

John W. Rowe

President and Chief Executive Officer New England Electric System

Maxine Savitz Director

Garrett Ceramic Components All led- Signal Aerospace

Sherwood Smith Chairman & President

Carolina Power & Light Company

Richard Tracey

Director of Engineering Services

Ryland Homes

B.C. Waycaster

Vice President & General Manager Hydrocarbons & Energy Department

Dow Chemical

Irvin White Senior Director

Laboratory Energy Program Battelle Paclfic Northwest Labs

Mason Willrich President

Pacific Gas and Electric Enterprise

James L, Wolf Executive Director

The Alliance to Save Energy

Eric R. Zausner President

Strategic Performance Management

WORKSHOP ON ENVIRONMENTAL IMPACTS OF BIOENERGY CROP PRODUCTION

WORKSHOP ON SOCIAL COSTS OF ENERGY USE

#### Industry, Technology, and **Employment Program**

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Environmental Defense Fund

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General Motors

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Jeffrey Leonard President

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Marsh Plating Corp

Jessica T. Matthews\* Vice President

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Lowrence Ross

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Center for Waste Reduction Technologies

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Martyn Riddle

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Paul Relis

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Director

Environmental Research Center

General Electric Co.

James Selover Principal

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Morgaret Seminario

Director

Deportment of Occupational

Safety and Health

AFL-CIO

John J. Sheehan

Legislative Director and Assistant to the President United Steelworkers of America

Sally Shelton

Former U.S. Ambassador of Eastern Caribbean Countries

**MULTINATIONAL FIRMS & THE U.S** TECHNOLOGY BASE ADVISORY PANEL

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Professor

Stanford Law School

Jay Chai

Chairman and CEO C. Itoh and Compan,

Alfred Chandler

Professor

Harvard Business School

Lance Compa

Administrative Officer

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William Greider National Editor Rolling Stone

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Robert J. Hermann Vice President

Science and Technology United Technology Corp.

Jeffrey Leonard President

Global Environment Fund

Theordore J. Lowi

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<sup>&</sup>quot;Resigned April 1993

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DATA ABSTRACTS

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USING EFFECTIVENESS, COSTEFFECTIVENESS, AND APPROPRIATENESS
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BENEFITS: IMPLICATIONS FOR HEALTH CARE

BENEFITS: IMPLICATIONS FOR HEALTH CARE
REFORM AND TECHNOLOGY ASSESSMENT
WORKSHOP ON LINKING MEDICAL

EVIDENCE WITH CLINICAL PRACTICE: PROGRESS AND BARRIERS

WORKSHOP FOR PEOPLE WITH DISABILITIES

WORKSHOP ON PERSIAN GULF WAR

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WORKSHOP ON SYSTEMS AT RISK FROM

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WORKSHOP ON PLUTONIUM STORAGE

# Office of technology assessment act

#

Public Law 92-484 92d Congress, H.R. 10243 October 13, 1972 An Act

To establish an Office of Technology

Assessment for the Congress as an aid in the identification and consideration of existing and probable impacts of technological application; to amend the National Science Foundation Act of 1950; and for other purposes.

Be it enacted by the Senate and House of Representatives of the United States of America in Congress assembled, That this Act may be cited as the \*Technology Assessment Act of 1972.\*

# FINDINGS AND DECLARATION OF PURPOSE

- SEC, 2. The Congress hereby finds and declares that:
- (a) As technology continues to change and expand rapidly, its applications are—
  - 1. large and growing in scale; and
  - increasingly extensive, pervasive, and critical in their impact, beneficial and adverse, on the natural and social environment.

- (b) Therefore, it is essential that, to the fullest extent possible, the consequences of technological applications be anticipated, understood, and considered in determination of public policy on existing and emerging national problems.
- (c) The Congress further finds that:
  - the Federal agencies presentl, responsible directly to the Congress are not designed to provide the legislative branch with adequate and timely information, independently developed, relating to the potential impact of technological applications, and
  - the present mechanisms of the Congress do not and are not designed to provide the legislative branch with such information.
- (d) Accordingly, it is necessary for the Congress to-
  - equip itself with new and effective means for securing competent, unbiased information concerning the physical, biological, economic, social, and political effects of such applications; and
  - utilize this information, whenever appropriate, as one factor in the legislative assessment of matters pending before the Congress, particularly in those instances where the Federal Government may be called upon to consider support for, or management or regulation of, technological applications.

# ESTABLISHMENT OF THE OFFICE OF TECHNOLOGY ASSESSMENT

SEC. 3. (a) In accordance with the findings and declaration of purpose in section 2, there is hereby created the Office of Technology Assessment (hereinafter referred to as the "Office") which shall be within and responsible to the legislative branch of the Government.

- (b) The Off Ice shell consist of a Technology Assessment Board (hereinafter referred to as the "Board") which shall formulate and promulgate the policies of the Off Ice, and a Director who shall carry out such pollicies and administer the operations of the Off Ice.
- (c) The basic function of the Off Ice shall be to provide early indications of the probable beneficial and adverse impacts of the opplications of technolog, and to develop other coordinate information which may assist the Congress In carrying out such function, the Off Ice shall:
  - 1 identify existing or probable Impacts of technology or technological programs;
  - 2 where possible, ascertain cause and -effect relationships;
  - Identify alternative technological methods of Implementing specific programs,
  - 4 Identify alternative programs for achieving requisite goals;
  - make estimates and comparisons of the Impacts of alternative methods and programs;
  - 6. present findings of completed analyses to the appropriote legislative outhorities,
  - Identify areas where additional research or data Collection is required to provide adequate support for the assessments and estimates described In paragraph (1) through (5) of this subsection; and
  - under-take such additional associated activities os the appropriate authorities specified under subsection (d) may direct
- (d) Assessment activities undertaken by the Office may be initiated upon the request of
  - 1 the chairman of any standing, special, or select committee of either House of the Congress, or of any joint committee of the Congress, acting for himself or at

- the request of the ranking minority member or a majority of the committee members:
- 2. the Board; or
- 3. the Director, in consultation with the Board
- (e) Assessments mode b, the Off Ice, including information, surveys, studies, reports, and findings related thereto, shall be made available to the initiating committee or other appropriate committees of the Congress. In addition, any such Information, surveys, studies, reports, and findings produced by the Office may be made available to the public except where—
  - to do so would violate security statutes: or
  - the Board considers it necessary or advisable to withhold such information in accordance with one or more of the numbered paragraphs in section 552(b) of title 5, United States Code.

#### TECHNOLOGY ASSESSMENT BOARD

- SEC. 4. (o) The Board shell consist of thirteen members as follows
  - SIX Members of the Senate, oppointed by the President pro tempore of the Senate, three from the majority party and three from the minority party;
  - six Members of the House of Representatives appointed by the Speaker of the House of Representatives, three from the majority party and three from the minority party: and
  - the Director, who shall not be a voting member.
- (b) Vacancies in the membership of the Board shall not affect the power of the remaining members to execute the functions of the Board and shall be filled in the same manner os in the case of the original appointment

- (c) The Board shell select a chairman and a vice chairmon from among its members at the beginning of each Congress. The vice chairmon shall act in the place and stead of the chairman in the absence of the chairman The chairmanship and the vice chairman ship shall alternate between the Senate and the House of Representatives with each Congress. The chairman during each even-numbered Congress shell be selected by the Members of the House of Representatives on the Board from among their number. The vice chairmen during each Congress shall be chosen in the same manner from that House of Congress other than the House of Congress of which the chairman is a Member.
- (d) The Board is authorized to sit and act at such places and times during the sessions, recesses, and adjourned periods of Congress, and upon a vote of a majority of its members, to require by subpoena or otherwise the attendance of such witnesses and the production of such books, papers, and documents to administer such paths and affirmations, to take such testimony, to procure such printing and binding, and to make such expenditures, as it deems advisable, The Board may make such rules respecting its organization and procedures as it deems necessary, except that no recommendation shell be reported from the Board unless a majority of the Board assent. Subpoenas may be issued over the signature of the chairman of the Board or of any voting member designated b, him or by the Board, and may be served by such person or persons as may be designated by such chairman or member The chalrman of the Board or any voting member thereof may administer oaths or affirmations to witnesses,

#### DIRECTOR AND DEPUTY DIRECTOR

- SEC. 5. (a) The Director of the Office of Technology Assessment shall be appointed by the Board and shall serve for a term of six years unless sooner removed by the Board. He shall receive basic pay at the rate provided for level III of the Executive Schedule under section 5314 of title 5, United States Code
- (b) In addition to the powers and duties vested in him b, this Act, the Director shall exercise such powers and duties as may be delegated to him by the Board.
- (c) The Director may appoint with the approval of the Board, a Deputy Director who shall perform such functions as the Director may prescribe and who shall be Acting Director during the absence or incapacity of the Director or in the event of a vacancy in the office of Director. The Deputy Director shall receive basic pay at the rate provided for level IV of the Executive Schedule under section 5315 of title 5, United States Code,
- (d) Neither the Director nor the Deputy Director shell engage in any other business, vocation, or employment than that of serving as such Director or Deput, Director, as the case may be; nor shall the Director or Deputy Director, except with the approval of the Board, hold any office in, or act in any capacity for, any organization, agency, or institution with which the Office makes any contract or other arrangement under this Act.

#### **AUTHORITY OF THE OFFICE**

SEC. 6. (a) The Office shall have the authority, within the limits of available appropriations, to do all things necessary to carry out the provisions of this Act, including, but without being limited to, the authority to-

- 1 make full use of competent personnel and organizations outside the Office, public or private, and form special ad hoc task forces or make other arrangements when appropriate;
- 2 enter into contracts or other arrangements as may be necessary for the conduct of the work of the Office with any agency or instrumentality of the United States, with an, State, territory, or possession or any political subdivision thereof, or with any person, firm, association, corporation, or educational institution, with or without reimbursement, without performance or other bonds, and without regard to section 3709 of the Revised Statutes (41 U.S.C. 5);
- 3 make advance, progress, and other payments which relate to technology assessment without regard to the provisions of section 3648 of the Revised Statutes (31 U.S.C. 529);
- 4 accept and utilize the services of voluntary and uncompensated personnel necessary for the conduct of the work of the Office and provide transportation and subsistence as authorized by section 5703 of title 5, United States Code, for persons serving without compensation;
- 5 acquire by purchase, lease, loan, or gift, and hold and dispose of by sale, lease, or loan, real and personal property of all kinds necessary for or resulting from the exercise of authority granted by this Act; and
- 6 prescribe such rules and regulations as it deems necessary governing the operation and organization of the Office.

- (b) Contractors and other parties entering into contracts and other arrangements under this section which involve costs to the Government shall maintain such books and related records as will facilitate an effective audit in such detail and in such manner as shall be prescribed b, the Office, and such books and records (and related documents and papers) shall be available to the Off Ice and the Comptroller General of the United States, or any of their dul, authorized representatives, for the purpose of audit and examination.
- (c) The Office, in carrying out the provisions of this Act, shall not, itself, operate any laboratories, pilot plants, or test facilities,
- (d) The Office is authorized to secure directly from any executive department or agency information, suggestions, estimates, statistics, and technical assistance for the purpose of carrying out its functions under this Act Each such executive department or agenc, shall furnish the Information, suggestions, estimates, statistics, and technical assistance directly to the Office upon its request.
- (e) On request of the Office, the head of any executive department or agency may detail, with or without reimbursement, any of its personnel to assist the Office in carrying out its functions under this Act.
- (f) The Director shall, in accordance with such policies as the Board shall prescribe, appoint and fix the compensation of such personnel as may be necessary to carry out the provisions of this Act

# ESTABLISHMENT OF THE TECHNOLOGY ASSESSMENT ADVISORY COUNCIL

- SEC 7 (a) The Off Ice shall establish a
  Technolog Assessment Advisory
  Council (hereinafter referred to as the
  "Council") The Council shall be
  composed of the following twelve
  members
  - 1 ten members from the public, to be appointed by the Board, who shall be persons eminent in one or more fields of the physical, biological, or social sciences or engineering or experienced in the administration of technological activities, or who may be judged qualified on the basis of contributions made to educational or public activities;
  - 2 the Comptroller General; and
  - 3 the Director of the Congressional Research Service of the Library of Congress
- (b) The Council, upon request  $b_y$  the Board, shall--
  - 1 review and make recommendations to the Board on activities undertaken by the Office or on the initiation thereof in accordance with section 3(d):
  - 2 review and make recommendations to the Board on the filndings of any assessment made by or for the Off Ice, and
  - 3 undertake such additional related tasks as the Board may direct
- (c) The Council, by majority vote, shall elect from its members appointed under subsection (a) (1) of this section a Chairmon and a Vice Chairman, who shall serve for such time and under such conditions as the Council may prescribe In the absence of the Chairman, or in the event of his incapacity, the Vice Chairman shall act as Chairman

- (d) The term of office of each member of the Council appointed under subsection (a)(1) shall be four years except that any such member appointed to fill a vacanc occurring prior to the expiration of the term for which his predecessor was appointed shall be appointed far the remainder of such term. No person shall be appointed a member of the Council under subsection (a) (1) more than twice. Terms of the members appointed under subsection (a)(1) shall be staggered so as to establish a rotating membership according to such method as the Board may devise
- (e) 1. The members of the Council other than those appointed under subsection (a)(1) shall receive no pay for their services as members of the Council, but shall be allowed necessary travel expenses (or, in the alternative, mileage for use of privately owned vehicles and per diem in lieu of subsistence at not to exceed the rate prescribed in sections 5702 and 5704 of title 5. United States Code), and other necessaryV expenses incurred by them in the performance of duties vested in the Council, without regard to the provisions of subchapter 1 of chapter 57 and section 5731 of title 5. United States Code, and regulations promulgated thereunder.
  - (2) The members of the Council appointed under subsection (a)(I) shall receive compensation for each day engaged in the actual performance of duties vested in the Council at rates of pay not in excess of the daily equivalent of the highest rate of basic pay set forth in the General Schedule of section 5332(a) of title 5, United States

Code, and in addition shall be reimbursed far travel, subsistence, and other necessary expenses in the manner provided for other members of the Council under paragraph (1) of this subsection.

## UTILIZATION OF THE LIBRARY OF CONGRESS

- SEC. 8. (a) To carry out the objectives of this Act, the Librarian of Congress is authorized to make available to the Off Ice such services and assistance of the Congressional Research Service as malbe appropriate and feasible.
- (b) Such services and assistance made available to the Off Ice shall include, but not be limited to, all of the services and assistance which the Congressional Research Service is otherwise authorized to provide to the Congress.
- (c) Nothing in this section shall alter or modify any services or responsibilities, other than those performed for the Off Ice, which the Congressional Research Service under law performs for or an behalf of the Congress. The Librarian is, however, authorized to establish within the Cangressional Research Service such additional divisions, groups, or other organizational entities as may be necessary to carry out the purpose of this Act
- (d) Services and assistance made available to the Office by the Congressional Research Service in accordance with this section may be provided with or without reimbursement from funds of the Off Ice, as agreed upon by the Board and the Librarian of Congress.

## UTILIZATION OF THE GENERAL ACCOUNTING OFFICE

- SEC, 9. (a) Financial and administrative services (Including those related to budgeting, accounting, financial reporting, personnel, and procurement) and such other services as may be appropriate shall be provided the Office b, the General Accounting
- (b) Such services and assistance to the Office shall include, but not be limited to, all of the services and assistance which the General Accounting Office is otherwise authorized to provide to the Congress.
- (c) Nothing in this section shall alter or modif, an, services or responsibilities, other than those performed for the Office, which the General Accounting Office under law performs for or on behalf of the Congress.
- (d) Services and assistance made available to the Office b, the General Accounting Off Ice in accordance with this section may be provided with or without reimbursement from funds of the Office, as agreed upon by the Board and the Comptroller General.

# COORDINATION WITH THE NATIONAL SCIENCE FOUNDATION

- SEC 10. (a) The Office shall maintain a continuing liaison with the National Science Foundation with respect to-
  - grants and contracts formulated or activated b, the Foundation which are for purposes of technolog, assessment; and
  - the promotion of coordination in areas of technolog, assessment, and the avoidance of unnecessary duplication or overlappin, of research activities in the development of technology assessment techniques and programs.

- (b) Section 3(b) of the National Science Foundation Act of 1950, as amended (42 U.S.C. 1862(b)), is amended to read as follows:
  - "(b) The Foundation is authorized to initiate and support specific scientific activities in connection with matters relating to international cooperation, national security, and the effects of scientific applications upon society by making contracts or other arrangements (including grants, loans, and other forms of assistance) for the conduct of such activities, When initiated or supported pursuant to requests made by any other Federal department or agency, including the Office of Technology Assessment, such activities shall be financed whenever feasible from funds transferred to the Foundation by the requesting official as provided in section 14(g), and any such activities shall be unclassified and shall be identified by the Foundation as being undertaken at the request of the appropriate official. "

#### ANNUAL REPORT

SEC, 11, The Office shall submit to the Congress an annual report which shall include, but not be limited to, an evaluation of technology assessment techniques and identification, insofar as ma,be feasible, of technological areas and programs requiring future analysis, Such report shall be submitted not later than March 15 of each year.

#### **APPROPRIATIONS**

SEC. 12. (a) To enable the Office to carry out its powers and duties, there is hereby authorized to be appropriated to the Office, out of any money in the Treasury not otherwise appropriated, not to exceed \$5,000,000 in the aggregate for the two fiscal years ending June 30, 1973, and June 30, 1974, and thereafter such sums as may be necessary.

(b) Appropriations made pursuant to the authority provided in subsection (a) shall remain available for obligation, for expenditure, or for obligation and expenditure for such period or periods as may be specified in the Act making such appropriations.

Approved October 13, 1972.

#### LEGISLATIVE HISTORY

#### HOUSE REPORTS

**No. 92-469** (Comm. on Science and Astronautics) and

No. 92-1436 (Comm. of Conference),

SENATE REPORT

No. 92-1123 (Comm. on Rules ond Administration)

CONGRESSIONAL RECORD,

Vol. 118 (1 972):

Feb. 8, considered and passed House, Sept. 14, considered and passed Senate, amended.

Sept. 22, Senate agreed to conference report.

Oct. 4, House agreed to conference report.

#### Technology Assessment Board of the 103d Congress

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Director, Congressional Research Service
The Library of Congress

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Professor, Institute of Public Policy Studies
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Ann Arbor, Michigan