# EXECUTIVE OFFICE OF THE PRESIDENT OFFICE OF SCIENCE AND TECHNOLOGY POLICY

WASHINGTON, D.C. 20502

June 20, 2016

Mr. William F. Marshall Judicial Watch, Inc. 425 Third St. NW Suite 800 Washington, DC 20024

Re: OSTP FOIA No. 16-08

Dear Mr. Marshall:

On October 16, 2015, you sent the Office of Science and Technology Policy (OSTP) a request under the Freedom of Information Act (FOIA), 5 U.S.C. § 552, seeking the following records from "January 1, 2015 to the present date":

- 1. "Any and all transcripts, recordings, minutes and notes taken at meetings of the Social and Behavioral Sciences Team (SBST)"
- 2. "Any and all records of communication sent to or from John P. Holdren, Assistant to the President for Science and Technology, concerning, regarding or relating to the SBST"

OSTP received your request on November 13, 2015. OSTP conducted a search of its records from January 1, 2015 through October 16, 2015 (the date of your FOIA request). OSTP located 96 page(s) of records responsive to your request, of which 20 pages are enclosed. OSTP has withheld portions of the 20 enclosed pages under 5 U.S.C. §§ 552 (b)(5) and (b)(6). OSTP has withheld 76 pages in full under 5 U.S.C. § 552 (b)(5).

In addition, OSTP located two pages of records potentially responsive to your request that contain equities of the Department of Energy (DOE). Consistent with 5 U.S.C. § 552(a)(6)(B)(iii)(III), OSTP has referred those two pages to the DOE for review. DOE will respond to you directly regarding release of its respective documents after evaluating for responsiveness and any applicable FOIA exemptions. You may contact DOE directly regarding your FOIA request using the information provided below:

Department of Energy FOIA Requester Service Center 1000 Independence Avenue, SW Washington, DC 20585

Phone: (202) 586-5955 Fax: (202) 586-0575

If you consider this to be an inappropriate denial of your request, you may appeal in writing within 30 days of receipt of this letter to General Counsel Rachael Leonard at

# EXECUTIVE OFFICE OF THE PRESIDENT OFFICE OF SCIENCE AND TECHNOLOGY POLICY

WASHINGTON, D.C. 20502

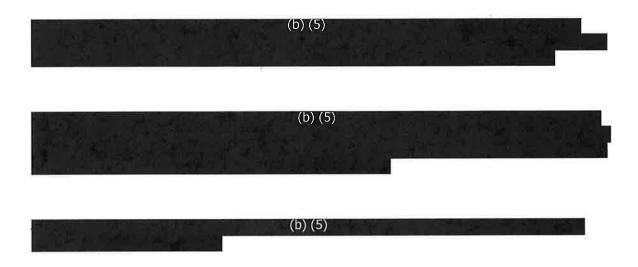
ostpfoia@ostp.eop.gov or via FAX at (202) 395-1224. The email should be clearly marked "Freedom of Information Act Appeal."

Sincerely,

Jennifer Lee

From: To: Cc: Subject: Date:	Shankar, Maya U. EOP/OSTP Holdren, John P. EOP/OSTP; Dorgelo, Cristin A. EOP/OSTP Kalil, Thomas A. EOP/OSTP RE: DRAFT memo to Senior Advisors for your review: SBST EO Saturday, May 30, 2015 7:20:51 PM		
Thanks so much Dr. H!			
CD – I'll send you	a clean version shortly.		
From: Holdren, John P. Sent: Saturday, May 30, 2015 12:18 PM To: Dorgelo, Cristin Cc: Kalil, Thomas A.; Shankar, Maya Subject: RE: DRAFT memo to Senior Advisors for your review: SBST EO  2 Pages Withheld in Full Under (b)(5)			
Cristin, Tom, May	va —		
Looks good. I off	er a couple of modest edits near the top of the PM.		
Cheers, John			
To: Holdren, John Cc: Kalil, Thomas	29, 2015 5:25 PM		

John:



Best,

Cristin

From:

Shankar, Maya U. EOP/OSTP

To:

Holdren, John P. EOP/OSTP; Dorgelo, Cristin A, EOP/OSTP

Cc:

McGrane, Billie S. EOP/OSTP; Wackler, Ted M. EOP/OSTP; Kolzumi, Kei EOP/OSTP; Bruce, Afua A. EOP/OSTP;

Safford, Hannah R. EOP/OSTP

Subject:

RE: [For Review by Thurs 8/10 Noon] SBST NSTC Report

Date:

Wednesday, September 9, 2015 6:35:00 PM

Thanks Dr. Holdren! Really appreciate the feedback and + Hannah for her terrific edits!

All my best,

Maya

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Maya Shankar, Ph.D.

Senior Advisor for the Social and Behavioral Sciences

White House Office of Science and Technology Policy

http://www.whitehouse.gov/blog/author/Maya%20Shankar <a href="http://www.whitehouse.gov/blog/author/Maya%20Shankar">http://www.whitehouse.gov/blog/author/Maya%20Shankar</a>

O: **(b) (6)** 

From: Holdren, John P.

Sent: Wednesday, September 09, 2015 6:34 PM

To: Dorgelo, Cristin

Cc: McGrane, Billie; Shankar, Maya; Wackler, Ted M.; Koizumi, Kei; Bruce, Afua

Subject: RE: [For Review by Thurs 8/10 Noon] SBST NSTC Report

62 Pages Withheld in Full Under (b)(5)

I made a few small edits in my cover letter. I have no concerns about the rest. Good job!

From: Dorgelo, Cristin

Sent: Tuesday, September 08, 2015 7:26 PM

To: Holdren, John P.

Cc: McGrane, Billie; Shankar, Maya; Wackler, Ted M.; Koizumi, Kei; Bruce, Afua

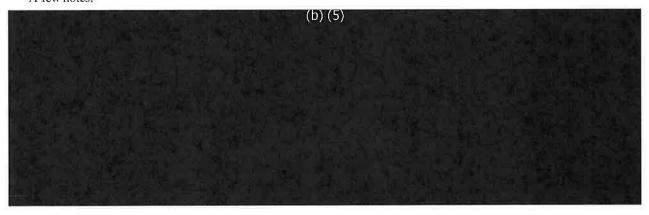
Subject: [For Review by Thurs 8/10 Noon] SBST NSTC Report

Dear John:

Attached find a near final Social and Behavioral Sciences Team NSTC report from Maya for your review.

We need your review ideally by noon on Thursday.

## A few notes:



We look forward to your feedback!

Best,

Cristin

From:

Shankar, Maya U. EOP/OSTP

To: Cc:

Holdren, John P. EOP/OSTP Wackler, Ted M. EOP/OSTP

Subject:

OIRA and OSTP Forms Guidance

Date:

Friday, September 11, 2015 7:28:17 AM DRAFT Forms Guidance 9 11 OIRA clean.docx

Attachments: Importance:

Dear Dr. Holdren,

Please see attached for a DRAFT memorandum, "Behavioral Science Insights and Federal Forms", that gives agencies guidance and information about available USG support for using behavioral insights to improve Federal forms. The goal of this memo is to help assist agencies with the implementation of the behavioral science E.O. as it pertains to forms.

### (b)(5)

As we are hoping to release this guidance document alongside the E.O. (b)(5) any feedback you have today would be much appreciated.

All the best and thanks!

Maya

From: Shankar, Maya U. EOP/OSTP
To: Holdren, John P. EOP/OSTP

Subject: Updated\_JPH Briefer and Remarks\_MS 9.13

Date: Sunday, September 13, 2015 11:48:00 AM

Attachments: Updated JPH Briefer and Remarks\_MS 9.13.doc

6 Pages Withheld in Full Under (b)(5)

Dear Dr. Holdren,

Please see attached for your draft remarks for the behavioral sciences event.

Please let me know any thoughts/edits and then I will send the final version to Billie for your briefing book.

Thanks! Maya

1

From:

Shankar, Maya U. EOP/OSTP

To:

Holdren, John P. EOP/OSTP

Subject: Date: Updated\_JPH Briefer and Remarks\_MS 9.13 Sunday, September 13, 2015 12:46:00 PM

Attachments:

Updated JPH Briefer and Remarks MS 9.13.doc

 ${\rm Dr.\,H-a}$  small tweak in the attached to give a shout-out to GSA in your opening lines.

(b)(5)

# Using Behavioral Science Insights to Better Serve the American People September 15, 2015 1:30 PM – 1:50 PM

Event Title	Using Behavioral Science Insights to Better Serve the American People	
Date	• September 15, 2015	
Location	South Court Auditorium	
Event Time	1:30 PM - 2:00 PM     1:30 PM YOU arrive at South Court Auditorium     1:35 PM Staff (Maya Shankar) welcomes participants and introduces YOU     1:40 PM YOU give remarks.     1:50 PM YOU conclude and introduce Jeff Zients.     You are welcome to stay or depart the event, which will proceed till 4:30 PM.	
Participants	YOU     Nobel Laureate Daniel Kahneman     Director of NEC, Jeff Zients     Chairman of CEA, Jason Furman     Director of OMB, Shaun Donovan     Director of OIRA, Howard Shelanski     Under Secretary of Education, Ted Mitchell     Deputy Secretary for Agriculture, Krysta Harden     Deputy Director DPC, James Kvaal     Deputy Director OSTP, Tom Kalil     Deputy Assistant Secretary of Defense for Military Community, Rosemary Williams     Chief of Staff of GSA, Adam Neufield     Cass Sunstein, Harvard     Ron Haskins, Brookings Institution	
Press	This event is open press and will be streamed live on WH.gov	
Talking Points	See attached	
Purpose	YOU will announce the President's signing of an Executive Order that issues a directive to agencies to apply behavioral science insights to their programs and that makes the Social and Behavioral Sciences Team (SBST) a permanent part of the government.  YOU will approprie igint OIRA OSTR Forms guidance that helps agencies.	
	<ul> <li>YOU will announce joint OIRA-OSTP Forms guidance that helps agencies implement the Executive Order and make forms simpler and easier to</li> </ul>	

# complete.

YOU will also announce the release of the first SBST Annual Report, which
documents results from SBST's first year of projects with Federal agencies.
These pilots have already led to lasting reforms of Federal programs that
serve over a million people. In addition to your remarks, a number of the
other speakers will discuss the SBST projects and salient results, as well as
announce several of the more than 20 new SBST projects that are planned
for the upcoming year.

## Background

- The Federal Government administers a wide array of programs on behalf of the American people—for example, financial aid to assist with college access and social insurance programs to promote retirement security. But Americans can only realize the benefits of these programs if the programs are easy to access and present information and options clearly. When programs are designed without these considerations in mind, Americans can incur real costs that go beyond lost time and frustration.
- Fortunately, behavioral science, a growing field about how people make
  decisions, not only identifies aspects of programs that can act as barriers to
  engagement, but also provides policymakers with insight into how those
  barriers can be removed. When these insights are used to improve
  government, the returns can be significant.
- In recognition of the benefits that social and behavioral science can bring when applied to public policy, the Administration established SBST in 2014 to recruit leading interdisciplinary experts from behavioral economics, psychology, and related fields to work with experts in government and improve Federal programs by applying insights from the behavioral sciences. The EO tasks SBST with providing advice and policy guidance to the agencies.
- Since its launch, SBST has recruited 20 leading social and behavioral research experts into government, engaged in more than 75 agency collaborations, and successfully launched over 30 rigorous trials that have used the gold standard of evidence: randomized control trials, and 15 trials with casual impacts.
- Some of SBST's early successes include: doubling first-time enrollment in the Thrift Savings Plan (TSP) by active duty Servicemembers; a 9 percent increase in veterans' access to education, training and employment benefits; a nearly 9 percent increase in college enrollment among low-income students; a 13.9 increase in health care coverage enrollments; a four-fold increase in applications for income-driven repayment plans among struggling student loan borrowers; and millions of dollars of savings for taxpayers due to increased program efficiency and integrity.

- You introduced SBST to the President in the Oval Office in January 2015, where SBST showed POTUS some of their early results and he expressed his enthusiasm for the work and his interest in taking actions to help the Team's work.
- This effort will build on the President's commitment to using evidence-based policy to drive program and policy improvements and will be a key deliverable on the Administration's evidence agenda.

### **Talking Points for JPH Introductory Remarks**

- Thank you, Maya, for that kind introduction and thank you to the National Economic Council, the Domestic Policy Council, the Council of Economic Advisors, and the Office of Management and Budget for co-hosting this event. I would also like to thank the GSA for their critical support of this effort.
  - o It's fantastic to see so many Federal agencies and senior White House officials represented here today. It is an indication of how important the social and behavioral sciences are to achieving goals in a wide range of policy areas, such as healthcare, financial security and education.
- As President Obama has stated, "We should all want a government that's smarter, quicker, and more responsive to the needs of the American people."
- Americans deserve a government where programs and benefits are easy to access, choices among program options are presented clearly, and forms are simple and free of unnecessary or confusing questions.
- I'm sure we can all think of a government process, form, website, or communication that could benefit from a refresh that incorporates the perspective of how we—as humans—access, interact with, and understand government programs and services.
- A growing body of evidence demonstrates that behavioral science insights—that is, research findings from fields such as behavioral economics and psychology about how people make decisions and act on them—can be used to design government policies to better serve the American people.
  - Many agencies have used behavioral science insights to redesign policies, and in many cases these changes have substantially improved outcomes for the individuals, families, communities, and businesses those policies serve.
  - To demonstrate how we can use new tools to design the kind of government that serves Americans more effectively, the Administration recruited leading behavioral scientists and innovators from across the country to be part of the first-ever White House Social and Behavioral Sciences Team, which was launched in 2014.

- The experts who serve on the Team help Federal agencies harness behavioral science insights to improve programs and better serve the nation while saving taxpayer dollars due to improvements in program integrity and efficiency.
- Since its launch, the Social and Behavioral Sciences Team has engaged in more than 75 agency collaborations, and successfully completed over a dozen projects with agencies that have used rigorous evaluations to demonstrate impact.
  - Later in the program, other speakers will discuss the results of these projects, as well as more than 20 new SBST projects planned for next year.
- This afternoon, I have the pleasure of announcing two exciting steps that the Administration is taking today to build on the work of the Team and other agencies harnessing the social and behavioral sciences to create a government that is <u>built for people</u> and improves outcomes for Americans.
- First and foremost, this morning, the President signed an Executive Order entitled "Using Behavioral Science Insights to Better Serve the American People."
  - The President is directing agencies to (1) identify programs for which applying behavioral science insights can yield substantial improvements;
     (2) develop strategies for applying these insights to programs, and rigorously test and evaluate the impact of these insights, where possible;
     (3) recruit behavioral-science experts to join the Federal Government; and (4) strengthen agency relationships with the research community.
  - O To support agencies in this effort, the Executive Order also establishes the Social and Behavioral Sciences Team as a permanent part of the government.
- Second, the Administration is also releasing the first Social and Behavioral Sciences Team Annual Report, which documents results from the Team's collaborations with Federal agencies over its first year.
  - As a result of the Team's first round of projects, more Servicemembers are saving for retirement, more students are going to college and better managing their student loans, more Veterans are taking advantage of education and career counseling benefits, more small farmers are gaining

- access to credit, and more families are securing health insurance coverage.
- Improvements in the integrity and efficiency of programs across the Federal government are also saving taxpayer dollars.
- Again, you'll hear more about many of these results later in today's program.
- In addition to these new Federal actions, the Behavioral Science and Policy Association is launching a "Behavioral Science and Policy Series" to identify promising avenues for applying behavioral science to public policy at the Federal level in order to improve Americans' lives. Research centers and organizations from across the country have committed to participating and contributing to this effort.
- The actions that being announced today demonstrate the Administration's continued commitment to connecting scientists and policymakers, and ensuring that our government leverages the best-available science to better serve the American people.
- And know, it's my pleasure to introduce someone who has been a huge supporter of this work and a great colleague Jeff Zients, Director of the National Economic Council and Assistant to the President for Economic Policy.

From:

Shankar, Maya U. EOP/OSTP

To:

Holdren, John P. EOP/OSTP

Cc:

McGrane, Billie S. EOP/OSTP; Kalil, Thomas A. EOP/OSTP

Subject:

FW: TPs for Senior Staff Meeting

Date:

Monday, September 14, 2015 12:31:00 PM

Dear Dr. Holdren,

If you are interested in mentioning the behavioral sciences EO and associated announcements (b)(5), below are talking points for you to consider.

Thanks so much! Best,

Maya

- \* Today the President is signing an Executive Order that directs agencies to leverage research insights from the behavioral sciences to improve outcomes for the American people and formally establishes the Social and Behavioral Sciences Team as a permanent part of government.
- \* OSTP and OIRA will issue joint guidance to agencies regarding how to use behavioral insights to make government forms simpler and easier to fill out
- \* OSTP will also release the Social and Behavioral Sciences Team's first year of projects, which have made government programs easier to access and more user friendly, and have boosted program efficiency and integrity. As a result of these projects, more Servicemembers are saving for retirement, more students are going to college, more Veterans are accessing their benefits, more farmers are obtaining credit, and more families are gaining access to healthcare.
- \* OSTP, OMB, DPC, CEA, and NEC are co-hosting an event on this policy effort and related announcements in EEOB today. I am delighted to be joined in giving remarks by my colleagues, Jeff Zients, Shaun Donovan, Jason Furman, Howard Shelanski, and James Kvaal.

From:

Holdren, John P. EOP/OSTP Shankar, Maya U. EOP/OSTP

Subject:

RE: Invitation to White House Event: Using Behavioral Science Insights to Better Serve the American People

Date:

Tuesday, September 15, 2015 7:50:23 AM

**Attachments:** 

image001.png

Maya – I noticed that the invitation does not specify the location as South Court Auditorium, even though the agenda does. Best, John

From: Shankar, Maya

Sent: Tuesday, September 15, 2015 7:19 AM

To: **(b) (2)** 

Subject: RE: Invitation to White House Event: Using Behavioral Science Insights to Better Serve the American

People

Sorry for the additional email – agenda for today's event attached!

From: Shankar, Maya

Sent: Tuesday, September 15, 2015 7:16 AM

To: (b)(2) < (b)(2) < (a)(2) < (b)(2) > 3

Subject: FW: Invitation to White House Event: Using Behavioral Science Insights to Better Serve the American

People

Dear OSTP Team -

Please see below for details on our behavioral sciences event later today in SCA. We'd love if you could come!

Best,

Maya

Using Behavioral Science Insights to Better Serve the American People

September 15, 2015

Washington, D.C.

Dear Colleague,

On behalf of the White House, we are delighted to invite you to "Using Behavioral Science Insights to Better Serve the American People," an event that will highlight the work of the Social and Behavioral Sciences Team <a href="http://www.whitehouse.gov/blog/2015/02/09/using-behavioral-science-insights-make-government-more-effective-simpler-and-more-us">http://www.whitehouse.gov/blog/2015/02/09/using-behavioral-science-insights-make-government-more-effective-simpler-and-more-us</a>.

This event will bring together senior Administration officials and leadership from government, academia, philanthropy, and non-profit organizations. The conversation will focus on how behavioral insights can be incorporated into Federal programs and policies to improve outcomes for the Nation and increase government efficiency.

Details

DATE:

Tuesday, September 15, 2015

TIME:

1:30 PM

LOCATION:

Eisenhower Executive Office Building; Washington, D.C. 20502

RSVP LINK:

https://events.whitehouse.gov/form?cid=701t0000000Hhpe

Please direct any questions about this event to Erik Martin (cc'ed) at (b)(6)

Please note: This invitation is not transferable.

For more information on the Social and Behavioral Sciences Team, see this blog post <a href="http://www.whitehouse.gov/blog/2015/02/09/using-behavioral-science-insights-make-government-more-effective-simpler-and-more-us">http://www.whitehouse.gov/blog/2015/02/09/using-behavioral-science-insights-make-government-more-effective-simpler-and-more-us</a>.

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Maya Shankar, Ph.D.

Senior Advisor for the Social and Behavioral Sciences

Office of Science and Technology Policy

http://www.whitehouse.gov/blog/author/Maya%20Shankar <a href="http://www.whitehouse.gov/blog/author/Maya%20Shankar">http://www.whitehouse.gov/blog/author/Maya%20Shankar</a>

O: **(b) (6)** 

From: Holdren, John P. EOP/OSTP

To: Shankar, Maya U. EOP/OSTP; Kalil, Thomas A. EOP/OSTP

Cc: Dorgelo, Cristin A. EOP/OSTP; Wackler, Ted M. EOP/OSTP; McGrane, Billie S. EOP/OSTP; Lee, Kristin D.

EOP/OSTP; Geisler, Lindsey R. EOP/OSTP; Jencks, Fae M. EOP/OSTP; DMCOS

Subject: JPH remarks at SBST event in South Court today

Date: Tuesday, September 15, 2015 2:16:02 PM

Attachments: JPH remarks for SBST event 09-15-15.doc

Maya et al. -

Attached here in case of interest are my "as delivered" remarks from the opening of the Social and Behavioral Sciences Team event now underway in South Court Auditorium. And, to Maya and Tom, further kudos and congratulations!

Cheers,

John

JOHN P. HOLDREN, PhD

Assistant to the President for Science and Technology

Director, Office of Science and Technology Policy

### SBST Event: JPH Introductory Remarks

- Thank you, Maya, for that kind introduction, and for all you have done leading this terrific initiative. Thanks as well to the National Economic Council, the Domestic Policy Council, the Council of Economic Advisors, and the Office of Management and Budget for co-hosting this event. I also want to thank the GSA for their critical support of this effort.
  - It's fantastic to see so many Federal agencies and senior White House officials represented here today.
  - o It's also a pleasure for me to acknowledge the presence here of two of this country's leading scholars in the dimensions of social and behavioral sciences central to our focus today: Prof. Daniel Kahneman, Nobel Laureate in Economics and author of "Thinking Fast and Slow"; and Prof. Cass Sunstein, University Professor at Harvard, former Director of OMB's Office of Information and Regulatory Affairs, and author of "Nudge".
- Indeed the caliber of the folks here today from <u>inside</u> as well as outside government is testimony to the importance we all attach to the task we are here to talk about—the application of insights from the social and behavioral sciences to achieving better outcomes for government policies and programs ranging across issues from healthcare, to veterans benefits, to financial security, to education.
- As President Obama has stated, "We should <u>all</u> want a government that's smarter, quicker, and more responsive to the needs of the American people."
- I'm sure we can all think of a government process, form, website, or communication that could benefit from a refresh that incorporates insights from the social and behavioral sciences on how we—as humans—access, interact with, understand, and respond to information in ways that depend on how it is presented.
- And, indeed, a growing body of evidence demonstrates that the findings of social and behavioral science about how people get information and use it to make decisions, which they then act on, can be used to design government policies to better serve the American people.
  - The fact is that many agencies have already used behavioral-science insights to redesign their interactions with those they serve, and in many cases these changes have substantially improved outcomes for individuals, families, communities, and businesses.

- To explore the further potential of using these kinds of tools to design government processes that serve Americans more effectively, the Administration recruited leading behavioral scientists and innovators from across the country to be part of the first-ever White House Social and Behavioral Sciences Team, which was launched in 2014 and has been led from its inception by Dr. Shankar.
  - The experts who serve on the Team help Federal agencies harness behavioral science insights to improve programs and better serve the nation while saving taxpayer dollars due to improvements in program integrity and efficiency.
- Since its launch, the Social and Behavioral Sciences Team has engaged in more than 75 collaborations with agencies and has successfully completed more than a dozen projects that have now been rigorously evaluated to demonstrate impact.
- Later in the program, other speakers will discuss the results of these projects, as well as more than 20 new SBST projects planned for next year.
- This afternoon, I have the pleasure of announcing two important steps that the Administration is taking to build on the work of the Team and other agencies harnessing the social and behavioral sciences to create a government that is <u>built for people</u> and improves outcomes for Americans.
- First and foremost, this morning the President signed an Executive Order entitled "Using Behavioral Science Insights to Better Serve the American People." The President is directing agencies...
  - 1. to identify programs for which applying behavioral science insights can yield substantial improvements;
  - 2. to develop strategies for applying these insights to programs, and rigorously test and evaluate the impact of these insights, where possible;
  - 3. to recruit behavioral-science experts to join the Federal Government; and
  - 4. to strengthen agency relationships with the research community.
- To support agencies in this effort, the Executive Order also establishes the Social and Behavioral Sciences Team as a permanent part of the government.

- In addition, the Administration is also releasing today the first Social and Behavioral Sciences Team Annual Report, which documents results from the Team's collaborations with Federal agencies over its first year.
- As a result of the Team's first round of projects...
  - o more Service members are saving for retirement,
  - o more students are going to college and better managing their student loans,
  - o more Veterans are taking advantage of education and career counseling benefits,
  - o more small farmers are gaining access to credit, and
  - o more families are securing health insurance coverage.

Improvements in the integrity and efficiency of programs across the Federal government are also saving taxpayer dollars.

- Again, you'll hear more about many of these results later in today's program.
- In addition to these new Federal actions, the Behavioral Science and Policy Association is launching a "Behavioral Science and Policy Series" to identify promising avenues for applying behavioral science to public policy at the Federal level in order to improve Americans' lives. Research centers and organizations from across the country have committed to participating and contributing to this effort.
- The actions that are being announced today demonstrate the Administration's continuing commitment to connecting scientists and policymakers, and ensuring that our government leverages the best-available science to better serve the American people.
- I would add that the success of this whole effort is yet another demonstration, as if one were needed, that the social and behavioral sciences <u>are</u> real science, with immensely valuable practical applications—the views of a few members of Congress to the contrary notwithstanding—and that these sciences abundantly warrant continuing support in the Federal science and technology budget.
- And now, it's my pleasure to introduce someone who has been a huge supporter of this work and a great colleague Jeff Zients, Assistant to the President for Economic Policy and Director of the National Economic Council.