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From: no-reply <no-reply@foiaonline.gov>
Sent: Wed, Jul 31, 2019 9:30 am
Subject: DOC-NTIS-2019-001821

Re: Freedom of Information Act (FOIA) Request – DOC-NTIS-2019-001821

This is in response to your FOIA request to the Department of Commerce. Enclosed you will find documents responsive to your request and are being released to you in its entirety.

Sincerely,
Greg Guthrie
Assistant FOIA Officer - NTIS

National Technical Information Service (NTIS)
Advisory Board Meeting Minutes
September 22, 2016
Held at 5301 Shawnee Road, Alexandria, Virginia 22312

Welcome/Opening Remarks

Mr. Greg Capella, Deputy Director, NTIS, and Acting NTIS Advisory Board Designated Federal Officer, called the meeting to order and welcomed the NTIS board members, NTIS senior staff, Department of Commerce special guests and public attendees. Mr. Avi Bender was introduced as the new NTIS Director. Dr. Willie May, Under Secretary of Commerce for Standards and Technology and Director, National Institute of Standards and Technology (NIST), and Dr. Shyam Sunder, Senior Science Advisor to the Deputy Secretary of Commerce and Director, NIST, and Chair, NTIS Oversight Board, were introduced as special guests. Two members of the public were present during the meeting.

The following board members participated in the meeting: Mr. John Regazzi, Chairman, and Ms. Judith Russell were present; and via teleconference, Ms. Jose-Marie Griffiths. Two board members, Dr. Robert Friedenbergl and Ms. MacKenzie Smith, were unable to participate in this meeting.

Department of Commerce Update: A New Strategic Direction for NTIS

Dr. May and Dr. Sunder provided an update on the significant progress that the Department of Commerce has made to evolve NTIS toward a focus on Federal data priorities and transition away from services not aligned with those priorities. Dr. May indicated that strong, uninterrupted leadership of NTIS is critical to the transformation and refocus of NTIS to support the Department's Data Pillar. With concurrence of the Secretary, Mr. Capella, former Acting Executive Director, Enterprise Systems Development Office, Department of Homeland Security, was appointed as the NTIS Deputy Director on January 24, 2016, and Mr. Bender, former Chief Technology Officer, U.S. Census Bureau, was designated as the NTIS Director on June 26, 2016. Dr. May thanked Mr. Bruce Borzino, previous NTIS Director, for solid leadership of NTIS over the past 6-years.

Dr. May presented the current membership of the department-level NTIS Oversight Board and reviewed the Secretary's decision following a rigorous review of the NTIS mission and operations to evolve NTIS, consistent with its existing authorities, toward a focus on the Department's and Federal data priorities. The new NTIS direction is aligned with the Commerce Department's Data Goal, as "America's Data Agency," to use its data resources to spur innovation inside and outside the Federal Government. Dr. May further explained that NTIS has been in the business of information and data dissemination since its inception and has a history of partnering with industry to find data solutions. NTIS is being refocused to provide innovative data services to federal agency, through joint venture partnerships with the private sector, to advance Federal data priorities, promote economic growth, and enable operational excellence. In

its new role, NTIS will deliver exceptional value by serving as a Center of Excellence in meeting a 21st Century critical need.

Dr. Sunder continued with an NTIS Oversight Board update on the Department of Commerce action to evolve NTIS by refocusing NTIS programs on Federal data priorities, strengthening stewardship and governance of its unique authorities and operations, building organizational capability to support the data mission, and ensuring effective communications with Congress and NTIS customers and partners. In response to Mr. Regazzi's question on Advisory Board participation in the NTIS evolution process, Dr. May and the board members agreed that there is a critical role for the board members as the voice of the marketplace to assist the NTIS in identifying unique mission opportunities and programs that NTIS should perform. Dr. Sunder stated that to refocus NTIS programs on federal data priorities, the Department has established criteria for assessing data mission alignment and use of NTIS joint venture authority, completed an assessment of the NTIS project portfolio, released the NTIS Joint Venture Opportunity Announcement for the merit selection of new joint venture partners, and the continuing realignment of the NTIS project portfolio to the new data mission. NTIS will align its mission to provide data innovation in the use of data and data services, provide new, more effective and/or efficient methods of sharing data, advance ways to analyze, interpret, and understand data as well as apply it in meaningful ways, and, develop technologies, techniques, processes for deriving deep understanding and new insights from data to deliver products and services. NTIS will further align its mission to support Federal priorities for Federal open data, Federal open access, Federal big data priorities, Federal cyber-physical systems priorities, and economic growth.

Dr. Sunder also addressed the NTIS use of its joint venture authority to provide data services for speedy execution of innovative projects which are not amendable to typical contracts and generally involve one or more of the following attributes: first or early use of emerging technology; complexity of solution architecture, interoperability, and/or security; agile applications development and systems operations which require adaptive scoping; and/or, custom solutions to meet unique requirements without commercial-off-the-shelf solutions. The NTIS project portfolio is undergoing realignment to ensure that new projects proposals and requests to extend current project agreements are aligned with the data mission, justify use of joint venture authority, require merit selection of joint venture partners, and achieve full cost recovery. Dr. Sunder also explained that NTIS stewardship and governance will be strengthened through the following actions: develop and implement criteria for use of joint venture authority; develop and implement business processes for management programs and projects; restructure and streamline clearinghouse and repository functions while continuing to provide free access to electronic documents; and, assess and improve NTIS financial management systems. Dr. Sunder concluded the presentation by indicating that NTIS will build its organizational capabilities by: building data-focused offerings and quickly bring in new data-focused projects; building data science and engineering capability via new joint venture partners and core team of in-house experts; strengthening planning, oversight, and conduct of data-focused programs and projects; strengthening program/project management, business processes, and administrative operations; and building strategic alliances and teaming arrangements.

NTIS Vision, Strategy and Priorities for the New Data Mission

Mr. Bender provided the board a presentation that outlined his vision and priorities for NTIS. He indicated that the scope of the new NTIS joint venture program will be: providing innovations in the use of Federal data and data services, either alone or in combination with non-Federal data; providing new, more effective and efficient methods of sharing data; advancing ways to analyze, interpret, and understand data, as well as apply it in meaningful ways; and, developing technologies, techniques, and processes that can lead to deep understanding from and new insights into data. Mr. Bender envisions the following priorities in delivering market value with Federal customers, joint venture partners, and NTIS staff: develop a Business Plan to will guide the modernization of NTIS vision and strategy; innovate with our customers and not for our customers; promote Federal-Private Section innovation to pressing national data challenges; improve external and internal customer service by focusing on the NTIS mission; and, through branding, significantly expand and improve market awareness of NTIS and its unique data mission. He indicated that NTIS will seek catalyzing breakthroughs for national priorities by the use of data to fuel the building blocks of innovation through private sector and Federal data driven partnerships that will empower a nation of innovators. Mr. Bender stated that NTIS will use the joint venture authority to provide data services for speedy execution of innovative projects which are not amenable to typical Federal contracts. The rules of engagement for the joint venture program are equal access through merit-based selection of joint venture partners invited to submit proposals for innovative data solutions; and, imposing statutory restrictions that joint venture agreements follow all relevant laws, will not circumvent Federal Acquisition Regulations, no up-front payments, and Congressional notification of any financial incentives to partners. Mr. Bender presented three use cases that describe how NTIS can engage with Federal agencies to: design new capabilities to derive insights from economic, demographic, and social data; promote smart city initiatives through creation of new “Data Suites” to deliver actionable insights to city officials; and, provide Federal agencies with capabilities for a common open data analytics platform to provide data access, discovery, interoperability, analytics and insights.

NTIS Actions to Build New Project Portfolio for Data Mission

Mr. Capella provided the board members with information on NTIS progress is restructuring select operations and programs in alignment with the new data mission. While NTIS plans an orderly transition to its new data focus with minimal impact to customers and partners, it is tightly focused on obtaining new, aligned projects using the new business plan and joint venture program to drive success. Two examples of new data projects aligned with the NTIS data mission were presented.

In addressing FY 2016 financial performance through August, 2016, Mr. Capella indicated that NTIS financial performance was positive with continued revenue growth and net operating profit exceeding FY 2016 budget plan targets. However, the NTIS Products lines of business, including the Technical Reports Library, Clearinghouse and select Publishing products, continue a multi-year trend of declining revenue and mounting net operating losses. The Limited Access Death Master File (LADMF) and Drug Enforcement Agency (DEA) Controlled Substances Act Registry programs are the only NTIS products that continue to operate at a net profit. As a result, Mr. Capella stated that NTIS has decided to initiate major changes in NTIS Products lines

of business in FY 2017 excluding LADMF and DEA products. The most significant changes are in the Public National Technical Reports Library (NTRL) launched in October, 2014. Open NTRL scheduled for launch in October 31, 2016, will provide the American public with continued open and free access to all NTIS electronic technical reports, biographic metadata, and advanced search capabilities but will no longer require user registration and log-in. Additionally, Premium NTRL fee services will be discontinued due to a steady decline in demand and increasing operating costs. Mr. Capella emphasized that NTIS is actively investigating alternatives with other Federal agencies and in public-private partnerships to maintain the NTIS repository and clearinghouse functions and increase access to non-electronic (non-digitized) NTIS technical reports and products. He concluded that NTIS will continue to perform its statutory repository and clearinghouse mission, actively maintain Federal technical reports and metadata for future American generations, provide free and open access to all NTIS electronic technical reports, and to leverage automation to increase the value and availability of NTIS products.

Mr. Capella provide the board members an update of the LADMF Certification program indicating the Final Rule was published on June 1, 2016, a public meeting to discuss the Final Rule provisions will be conducted in late 2016, and the Final Rule is expected to be effective early in 2017. He also indicated that NTIS will be increasing the LADMF application certification fee to recover the full costs associated with the certification program.

Advisory Board Discussion and New Business

Mr. Regazzi, Ms. Russell and Ms. Griffiths were very supportive of the NTIS evolution and the progress made by the Department of Commerce and NTIS in implementing the NTIS transition in accordance with the Secretary's policy direction. Mr. Regazzi indicated that he and other board members are available to assist the Department and NTIS throughout the transition in accordance with their responsibilities as board members. The board members indicated that receipt of read ahead materials prior to the next meeting would facilitate their discussion and recommendations. The members also requested to receive all correspondence and announcements released to the public so that they are kept abreast of the programs that NTIS is initiating. Mr. Bender indicated that he would like the board meetings to be interactive exchange of information, ideas, and recommendations. He and Mr. Regazzi agreed to identify topics and issues that the board members could consider in advance of the next meeting.

Board Governance/Administration and Adjournment:

No date was set for the next meeting although it was generally discussed that the next meeting would be conducted early in 2017.