National Technical Information Service (NTIS)
Advisory Board Meeting Minutes
October 31, 2014
Held at 5301 Shawnee Road, Alexandria, Virginia 22312

Welcome/Opening Remarks

Bruce Borzino, Director, NTIS and John Regazzi, Chairman, NTIS Advisory Board, opened the meeting and welcomed the board members, NTIS senior staff and recorder, and the public. The primary focus of this meeting was to review and discuss NTIS strategy for the Fiscal Year (FY) 2015. The following board members were in attendance: John Regazzi; Robert Friedenberg; Judith Russell; Jose-Marie Griffiths; and via teleconference MacKenzie Smith.

NTIS Organization

The Director stated the only change to the NTIS office organization structure was the addition of the Office of Information Security (OIS) within the Office of the Chief Information Officer (CIO). The OCIO previously had an Information Technology Security Officer (ITSO) responsible for information systems, personnel and physical security. With growing IT security responsibilities and cybersecurity threats, NTIS decided to establish the OIS under the supervision of a senior information technology security manager to plan, coordinate and execute the security of NTIS information systems.

NTIS Financial Performance

The NTIS Chief Financial Officer (CFO) presented the Board with NTIS financial performance Fiscal Year (FY) 2010 through FY 2014. Costs associated with the CISPUB/Elan business system upgrade, NTIS FedRAMP certification program, Limited Access Death Master File (LADMF) Interim Rule Certification program, Public Access National Technical Reports Library (NTRL), and other information technology and process improvements were presented and discussed with the Board members.

Congressional Activities

The Director provided the Board members a summary of Legislative Activities that had occurred since the previous board meeting, including the NTIS public hearing on July 23, 2014, before the U.S. Senate Subcommittee on Financial and Contracting Oversight, Committee on Homeland Security and Government Affairs. During the discussion on Congressional activities with the Board members, the Associate Director, Office of Product Management and Acquisitions (OPMA), provided the following update on the Public Access NTRL program.

Public Access National Technical Reports Library (NTRL)

NTIS fully launched and released the Public Access NTRL to the American public on October 15, 2014. The Public Access NTRL program had been in the NTIS business plan since the FY 2008 initial launch of the NTRL program. A Public Access NTRL demonstration was provided to Board Members. There is a tiered level of user access to the Public Access NTRL. There are Basic and Premium Access for individuals as well as an Institutional Premium Subscription. The Premium levels have additional search capabilities, full text downloads of electronic technical reports, as well as other additional features not available in the Public Access NTRL. There was some discussion as to whether Premium Access NTRL would generate sufficient subscription revenue to recover program costs. The Associate Director indicated that NTIS had received feedback during the introductory trail phase to conclude that the academic market was interested in the premium subscription program. It was agreed that the Board would be updated on the NTRL program at the next meeting.

Associate Director Updates

Office of Product Management and Acquisitions (OPMA)

Significant accomplishments for FY 2014 were the release of the Public Access NTRL; the initiation of the Limited Access Death Master File (LADMF) Certification Program; continued reduction in the cost of operations; and, improved contribution margins. LADMF, Public Access NTRL, and the CISPUB/Elan upgrade have introduced new requirements, tasks and responsibilities resulting in improved morale, personal growth and customer service. OPMA continues to work on expanding the NTRL program and adding additional digitized technical reports to its permanent repository collection. New information products added to the NTIS repository will be in electronic format.

NTIS has the Congressional mandate of ensuring that LADMF access is limited only to certified persons as defined in the law. Effective March 26, 2014, NTIS published the Interim Rule LADMF program which required that all DMF subscribers be certified to use LADMF for legitimate business and fraud prevention purposes. In FY2015, NTIS will propose the LADMF Final Rule that will require a more stringent review of Certified Persons, Certified Systems Guidance Documents, and 3rd Party Assessor Model for Audits of Certified Systems approved for LADMF use.

The Board was concerned on the impacts of the LADMF Certification program on DMF program revenue. NTIS responded that NTIS has absorbed most of the cost in FY 2014 to implement the program. The Department of Commerce Office of General Council recommended that NTIS use a 3rd party auditor program for actual auditing on the Certified Persons' LADMF systems to reduce the certification and auditing burden and costs on LADMF

subscribers. NTIS pointed out to the Board that NTIS has built a policy infrastructure and business model going forward that can be used for other products and data.

Office of Federal Services (OFS)

The OFS has continued to provide information management services that are a good value for federal agencies and have a positive financial contribution to NTIS. Significant program contributions included the: One U.S. Department of Agriculture (USDA) Staff Acquisition Solution; the Small Business Administration (SBA) Repository; and the Department of Homeland Security (USCIS) My USCIS Collaboration Website. The Associate Director indicated that growth is driven by the focus on execution of the OFS lines of business and providing best value to NTIS federal agency customers and the American public. OFS captures the program and processes that are built for one agency and seeks opportunities to provide the same program to other federal agencies with similar requirements. OFS continued to provide effective solutions to federal agencies primarily through its e-Training and Knowledge Management line of business, an area that continues to grow.

Office of Chief Information Officer (OCIO)

In FY 2014, OCIO revised IT investment governance practices and reporting to a single portfolio with three major components: Federal Services, Financial Management, and Infrastructure. NTIS increased FedRAMP certification preparation, participated in Departmental programs on Shared Services and Commodity Purchases, deployed several major information systems, and enhanced NTIS technical infrastructure through virtualization, data center consolidation, critical systems redundancy, and IT security.

Business Systems Upgrade.

The new NTIS order processing system, enhanced NTIS website, Public Access NTRL, upgraded Warehouse Management System, and the initial phase of the Metadata Bibliographic System were initially launched on 6 October 2014. Phase 2 of the Metadata Bibliographic System is scheduled to go live in 1st Quarter, FY 2015.

NTIS Security Program.

The new NTIS Office of Information Security (OIS) was established in March, 2014. A technical IT security management architecture has been established. OIS will drive the implementation of policy and development of formalized and standardized processes for information security risk management across the agency. Physical Security will be addressed along with enhanced Information Security through the formalization and execution of OIS roles and responsibilities (R&R).

FedRAMP.
The complete FedRAMP authorization package was submitted to the 3rd Party assessor in October 2014. The NTIS FedRAMP offering is now listed on GSA's FedRAMP webpage as being in-process. The anticipated completion of the Assessment Phase is November 2014. NTIS agency authorization is expected in 2nd Quarter, FY 2015.

NTIS Strategy Development
There was discussion with the Board members on Science and Technology grey literature. The Board was also interested in how NTIS plans to improve Technical Reports Library revenue through product management. While e-Learning/Knowledge Management and the Scanning and Digitization lines of business continue as growth area, the Board recommended that NTIS identify new services and program to meet emerging federal agency requirements and needs. The Board recommended that NTIS assess the programs where it has been most successful and determine how to develop similar programs in new business areas that will benefit the American public and its federal partners.

The FY 2015 budget projected was provided to the Board although the budget plan had not been finalized by the date of the board meeting. NTIS hopes to improve revenue growth in NTRL program and its clearinghouse activities. It was recognized that in FY 2015 NTIS will have new direct and indirect costs associated with the establishment of the LADMF and costs to complete the CISPUB/Elan upgrade and the new Metadata Bibliographic System.

The Board suggested that when NTIS prepares its FY 2016 budget plan, NTIS should project the margins associated with each major program and line of business and then assess the projection throughout the FY. The Board was also concerned on the possible continuing negative effects of federal government appropriated budget reductions on NTIS revenue income.

The Board suggested that NTIS consider preparing a "True Budget" versus a "Forecast Budget" and then view year over year performance.

Public Comments:
Mr. Greg Otto, reporter from FedScoop, asked for additional information on the establishment of the Office of Information Security and when the office was implemented. Mr. Otto also asked why NTIS continued to make NTRL technical reports available on compact disk media (i.e., CD media) although the NTRL technical reports are electronic and CD's are not widely used anymore. NTIS indicated that some customers prefer to receive technical reports on CD's and print rather than electronic downloads. Also, NTIS has technical reports that are only available on CD's. Currently NTIS is assessing how best to get the data from these CD's into the NTIS collection.

Mr. Otto also inquired whether or not Public Access NTRL was planned before the Congressional actions to close NTIS were introduced. The NTIS Director explained that plan for Public Access NTRL had been presented to the Board in November 2013 but that a number of NTIS infrastructure and business systems had to be accomplished before the Public Access NTRL program could be released.

Roundtable:
The Board commended NTIS on the significant improvements with the new Public Access NTRL as well as the business systems upgrades that NTIS implemented in FY 2014.

Board Governance/Administration:
The next board meeting will be held at NTIS on April 24, 2015.