

DEPOSITING "GREY LITERATURE" IN THE U.S. TECHNICAL INFORMATION SYSTEM - WHO IS RESPONSIBLE?

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ABSTRACT

A large percentage of current technical information falls into the category of "grey literature" which is difficult to identify and acquire. It is typically unpublished or quasi-published material that cannot be obtained through the usual bookselling channels and is rarely incorporated into the large databases and standard reference sources.

A portion of this critical body of technical information can be located in online databases such as NTIS. Presumably government depositories collect the information published by their agencies....or do they? It is apparent that not all of the literature issued by agencies and their contractors has actually been received by the depositories.

How does the "grey literature" get into the government depositories such as NTIS, DTIC, NASA, GPO, Sea Grant and the municipal, state and Federal depository libraries? Who is responsible for depositing this material? This paper answers these questions for a non-government, marine research facility and describes some of the responsibilities librarians must assume to ensure timely dissemination of information through the technical information network.

INTRODUCTION

Perhaps the most frustrating challenge for a librarian working in the scientific and technical information environment is how to obtain those elusive documents that can be neither identified nor obtained from any standard source. "These documents, which are always urgently needed, are the ones with a report number series unknown to anyone in the western world and have a short title used by everyone that bears no resemblance to the real title."¹ Successfully meeting this challenge is our responsibility as librarians. Fortunately, there are some

resources available in addition to the time-honored practice of picking up the phone or, more recently, sending a fax message to the agency or institution to request the report or bit of information for our users.

Advances in technology have allowed librarians and patrons (users) access to information resources such as local area networks, external devices such as CD-ROM drives, and online services that provide holding information from many depository agencies. Effective retrieval of documents from these depositories depends upon the participating organization's policy for deposit of their literature into the technical information system. As described herein, the responsibility for the deposit process must frequently be assumed by those librarians who want access to this genre of material.

THE 'GREY LITERATURE'

A large percentage of current technical information falls into the category of "grey literature" which is difficult to identify and acquire. It is typically unpublished or quasi-published material that cannot be obtained through the usual bookselling channels and is rarely incorporated into the large databases and standard reference sources. Materials categorized as "grey literature" include: technical reports, occasional papers, theses, conference proceedings, papers presented at professional meetings, and technical communications. A portion of this critical body of technical information can be located in online databases. However, locating organizational documents and minutes, working papers, pre-prints, transcripts from media programs, text of speeches, annual reports and other information almost always involves contacting the organization directly. These materials are not usually deposited in the technical information system even though they are cited in the literature and sought after by our users.

THE DEPOSITORIES

The major depository programs in the U.S. technical information system are the Government Printing Office (GPO), the Defense Technical Information Center (DTIC) and the National Technical Information Service (NTIS). Although each agency is independent from the others, GPO and DTIC contribute to or augment the NTIS program. Other agencies such as NOAA's Sea Grant Program, NASA and the Department of Energy's online databases provide bibliographic access to their publications but they do not routinely provide document delivery services except through NTIS or GPO. In the case of Sea Grant funded technical information, the Sea Grant Institution responsible for the publication is also responsible for document delivery. The depository at the University of Rhode Island provides document identification, availability information and interlibrary loan services, but does not have extra copies of reports for distribution.

The major depositories discussed in this report are hereafter listed (Figure 1). The addresses and corresponding telephone numbers can be used for further information about establishing a deposit program for your organization's technical information.

National Technical Information Service (NTIS)

5285 Port Royal Road
Springfield, VA 22161 USA
Sales Office: (703) 487-4650

Defense Technical Information Center (DTIC)

Cameron Station
Alexandria, VA 22304-6145
Reference Section: (703) 274-7633

U.S. Government Printing Office (GPO)

Superintendent of Documents
Washington, D.C. 20402
(202) 783-3238

National Sea Grant Depository
Pell Library Building/Bay Campus
University of Rhode Island
Narragansett, RI 02882
(401) 792-6114

Figure 1: The depositories and their addresses.

Technical information resources are plentiful, but thousands of publications are missed by the bibliographic databases each year. Presumably government depositories collect the information produced by government funded institutions. It is apparent that not all of the literature issued by agencies and their contractors has actually been received by the depositories. Even though government agencies are required to supply copies of their publications for inclusion in depository programs, non-compliance is common. According to a 1978 estimate, as many as half of all federal publications "elude national announcement".² These 'fugitive' materials do not appear in GPO, NTIS, or DTIC. They are not advertised, indexed or otherwise made available to other than those who know how to ask for them. Some of these publications are organizational, such as minutes or other internal working papers, and, as such, are only available through the agency or institution producing the material.

THE DEPOSIT PROCESS

Funding in support of research comes from many sources, including the Department of Defense (DoD), government agencies such as the National Science Foundation (NSF), municipal and state agencies, foreign governments and universities, private foundations and individuals. The funding source usually requires a product - a report - to be issued at intervals upon completion of a phase of the research or at the end of the contract or grant period. Reports issued during the life of the contract or grant are usually referred to as interim, quarterly, or progress reports. A report published at the end of the research project is generally referred to as a final or technical report, a technical memorandum, technical communication, etc.

The procedure for deposit of all of these types of reports into the U.S. technical information system varies from institution to institution and is often prescribed by the funding agency. A brief description of the three major depositories and their relationship to each other follows.

The U.S. Government Printing Office Depository Library Program was created by the Congress in order to promote the American public's awareness of the activities of their government. Under this program, nearly 1400 libraries located throughout the country receive Federal Government publications free of charge, and in return pledge to provide free access to all library patrons. Government institutions and agencies are supposed to publish their reports through GPO. GPO then makes this government funded technical information available through its library depository program and/or through its Sales Program. The *GPO Sales Publications Reference File (PRF)* provides access to Government publications available for sale through Government Bookstores or the Superintendent of Documents. The *Monthly Catalog of U.S. Government Publications* is the most comprehensive listing of Government publications issued by Federal departments and agencies. Information available from the GPO depository is announced in these publications, on CD-ROM and through online databases. The GPO is not mandated to provide copies of these documents to NTIS although occasionally documents are sent to NTIS in an informal manner. NTIS then chooses which, if any, of the documents it will add to its collection.

The Defense Technical Information Center (DTIC) acquires, stores, retrieves and disseminates scientific and technical information funded by the Department of Defense (DoD) and some foreign materials such as SACLANT (NATO) reports. DTIC's unclassified literature is made available through NTIS which announces these reports in the same manner as reports submitted directly to NTIS.

The National Technical Information Service (NTIS) is a depository for technical reports collected from U.S. and foreign agencies. NTIS is aggressive

about acquiring U.S. and international technical publications and in announcing the services they offer. In addition, their collection is more complete than the other depository programs. For these reasons, NTIS is a primary resource for technical information. Users locate documents held by NTIS by searching online, using the *Government Reports Announcement and Index (GRA&I)*, purchasing one of the CD-ROM products, or by obtaining NTIS ordering information from the institution or agency issuing the document.

Government agencies and non-government institutions must provide copies of their documents to both GPO and NTIS if announcement is expected in both. Documents do not pass through GPO to NTIS, and conversely, NTIS does not pass documents on to GPO. A newly created GPO and NTIS members Task Force will be discussing this issue and we can hope that they will agree to share more information and provide access to each other's depository programs in the future³. As mentioned earlier, DTIC does contribute to the NTIS depository program by submitting its unclassified reports to NTIS.

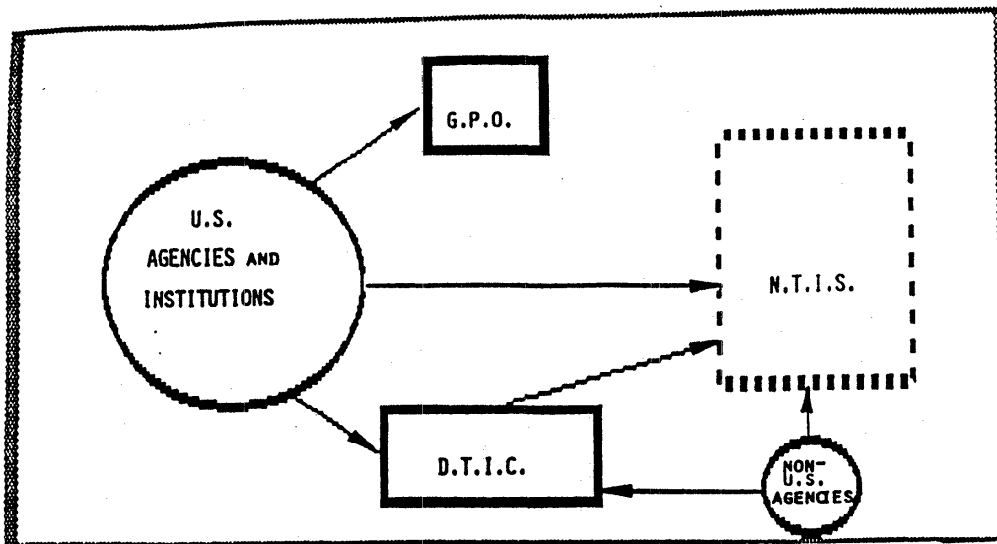


Figure 2. Flow of Information From Agencies and Institutions to NTIS

Institutions are usually required to distribute their technical reports to the

funding agency as a condition of the grant or contract. Most Department of Defense agency contracts also stipulate that the required number of copies be sent to DTIC for deposit. Other funding agencies do not consistently make this a condition of the contract or grant. Unless an agency is directly mandated to deposit into GPO or NTIS, and is within policing distance of the Superintendent of Documents or the funding agency, (which generally means 'in Washington, D.C. '), the potential for failure to deposit the document(s) increases.

There are many reasons why institutions do not deposit their publications into the depository system. GPO does not pick up 'fugitive' literature that is not printed by GPO. Some material is never printed at all because it was produced in-house using desktop publishing or processed through electronic and other non-print routes, thus evading the bibliographic utilities. Sometimes the cost or effort involved in depositing reports seems excessive to the author or the organization. The long turn-around time for publications to clear the GPO production process and reach the distribution phase is another important factor. (A backlog of GPO depository documents on microfiche has been delayed for approximately 5 years because the microfiche contractor was unable to fulfill the contract obligations -- this material is scheduled to be released in the next 12-18 months by GPO to the Federal Depositories. In the meantime, the community has had to rely on sources other than GPO to access this information.) Time-dated information is often perceived as irrelevant to the ongoing bibliographic pool of information. The problem is that this information is cited in future reports or journals, and the original information is untrackable.

RESPONSIBILITY FOR DEPOSIT OF 'GREY LITERATURE'

It is obvious that the organization responsible for the production of technical information must take an active part in the deposit process. This ensures that the "grey literature" actually gets into the government depositories. But how is this accomplished? Who is actually responsible for depositing this material? Based on experience at the Woods Hole Oceanographic Institution (WHOI), a non-government, marine research facility, it is clear that the library had to assume some of the responsibilities to ensure timely dissemination of our reports through the technical information network.

It is a practice of the Document Library to purchase a microfiche copy of all reports in the WHOI Technical Report series from NTIS at the end of each calendar year. This microfiche copy then becomes the backup/in-house archival copy that is kept along with the paper copies retained in the working collection of the Document Library. Ultimately, we rely on NTIS to carry archival copies of our Technical Reports and the microfiche copies in the document collection are purchased from that agency. We also rely on NTIS to provide reports, in paper or microfiche format, to the scientific and academic communities. This service is

especially important if we do not have EXTRA copies to send to the researcher who requests a copy directly from WHOI. The patron is referred to NTIS to purchase the report.

This document delivery system works very well unless the report has never been sent to the depository (DTIC/NTIS or directly to NTIS). Then begins the long process of reproducing the document for a pre-paid fee based on a page charge plus postage. Therefore, we rely on NTIS to provide not only bibliographic control over material, but to provide document delivery services that include the retention of deposited reports, and the reproduction and dissemination of requested materials.

In mid-1986 it was discovered that a large number of our technical reports we wanted to purchase in microfiche format were NOT available from NTIS. We analyzed the possible reasons for failure to locate these documents and found that our assumption of automatic transfer of documents by the funding agency to NTIS was wrong. Only Department of Defense funded agencies, such as the Office of Naval Research, set strict report distribution requirements that include deposit into DTIC/NTIS.

As we have seen in Figure 2, there are multiple routes from the agency to NTIS. DoD funded reports, are deposited through DTIC to NTIS by way of the prescribed deposit policy established with our in-house Reproduction Department. Their distribution list includes the requisite 2 copies for DoD funded reports, and the return card (Figure 3) announces the accession to the DTIC system. Based on our experience, we can be certain that DTIC then sends the report on to NTIS carrying the DTIC Accession number (AD-A### ###) and the report will be then be available through NTIS for future patrons or our own use.

Privately funded reports have always been deposited by the Document Librarian directly into NTIS. These are reports based on research funded by organizations such as Pew Memorial Charitable Trust, the Mellon Foundation, and many other non-government sources. The required number of copies and/or deposit fee are sent to NTIS and, once again, a return card (Figure 4) announces the accession to the NTIS database carrying the NTIS Accession number (i.e. PB90-### ### and the Price Codes for that particular report (i.e. Paper copy-PC:A04, Microfiche copy- MF:A01).

The Document Library is responsible for the deposit of the technical report series of the Woods Hole Oceanographic Institution with the National Technical Information Service. Initially each organization must set up a deposit account with NTIS to charge purchases and any deposit fees against. WHOI has had an account with NTIS for many years for this purpose. An internal policy was negotiated between the Library, the Reproduction/Graphics Department and the Department Executives to determine the responsibilities of each party for the distribution of the Institution's technical report series.

It was determined that the Reproduction Department would distribute DoD funded reports directly to DTIC from their production center. They send two copies of each DoD funded report plus the DTIC Accession Card (Figure 3) to DTIC. The policy also requires Reproduction to send the required number of deposit copies for non-DoD funded reports to the Document Librarian. (NTIS requires 11 copies plus a \$20.00 deposit fee for accession.) The Departments supporting the author's research within the WHOI have agreed to pay the deposit fee if the author provides less than 11 copies of the technical report.

The Document Librarian is then responsible for sending the reports to NTIS. After obtaining the requisite 11 copies or '1 copy plus the deposit fee', an NTIS Return Accession Card (Figure 4) is stapled to the top copy of the report. The report is then mailed to NTIS (see Figure 1 for address).

Maintaining deposit records, including accession numbers, is accomplished by recording the Accession numbers on our shelf list card and in the database records of the Document Library. The annual Bibliography of Technical Reports provides ordering information from NTIS. Complete NTIS ordering information is also provided if a copy of a report is requested and there are no extra copies to send.

DEFENSE LOGISTICS AGENCY DEFENSE TECHNICAL INFORMATION CENTER CAMERON STATION ALEXANDRIA, VIRGINIA 22304-6145 OFFICIAL BUSINESS		U.S. OFFICIAL MAIL VA 22304-6145
Woods Hole Oceanographic Institution Clark 1 - Document Library Woods Hole, Massachusetts 02543		
AD NUMBER AD-A225 088		DATE 6.6/90
1. REPORT IDENTIFYING INFORMATION A. ORIGINATING AGENCY Woods Hole Oceanographic Institution		DTIC ACCESSION NOTICE REQUESTER: 1. Put your mailing address on reverse of form. 2. Complete items 1 and 2. 3. Attach form to reports mailed to DTIC. 4. Use unclassified information only. DTIC: 1. Assign AD Number. 2. Return to requester. AUG 22 1990
B. REPORT TITLE AND/OR NUMBER WHOI 90-19		
C. MONITOR REPORT NUMBER		
D. PREPARED UNDER CONTRACT NUMBER N0001479-K-0275		
2. DISTRIBUTION STATEMENT APPROVED FOR PUBLIC RELEASE DISTRIBUTION UNLIMITED		
DTIC FORM 50 FEB 86		PREVIOUS EDITIONS ARE OBSOLETE

Figure 3. DTIC Accession Card.


U.S. DEPARTMENT OF COMMERCE National Technical Information Service Springfield, Va. 22161 OFFICIAL BUSINESS Penalty for Private Use, \$300		POSTAGE AND FEE PAID U.S. DEPARTMENT OF COMMERCE 028-011 	
FIRST CLASS			
Document Library Clark 141 Woods Hole Oceanographic Institution Woods Hole, MA 02543			
1. NTIS Accession No. (Allow 3 weeks for ordering) PB90-240854		2. Date sent June 26, 1990	
3. Report No. WHOI 90-11		4. Title (Use per card) Atlantic Shelf Sand Ridge Study: Physical Oceanography and Sediment Dynamics Data Report ... P. Draves, D. Aubrey	
5. Source Client WHOI		6. No. copies sent ADD \$3.00 HANDLING CHARGE FOR EACH ORDER 11 (eleven)	
7. CONTACT Name-Number-Organization		8. NTIS DOMESTIC PRICE CODES AND CURRENT \$ VALUES	
PAPER COPY A07 \$17.00		MICROFICHE A01 \$8.00	
U.S. DEPT. OF COMMERCE, NATIONAL TECHNICAL INFORMATION SERVICE, SPRINGFIELD, VIRGINIA ADDED TO THE NATIONAL TECHNICAL INFORMATION SERVICE (CUT HERE AND FILE BY TITLE)			
INSTRUCTIONS: 1. Address card to those needing accession number and price. 2. STM in boxes 2, 3, 4, 5 (if received), 8 and 12. 3. Address card to front cover of the document containing the Report Documentation Page (RDP) (Form 772) and send to front branch, NTIS. 4. Please send a maximum of 11 copies of RDP. 5. NTIS will file in boxes 1 and 8 and mail to addressee.			

Figure 4. NTIS Accession Card.
SUMMARY

Marine science librarians are active in the process of accessing and retrieving bibliographic content and acquiring research materials in a timely manner. A dependable document delivery system is critical to this process. If we are to be successful in the services we provide to our library users, we must also take an active role in making our own agency or institution's literature available to the marine science community through the depositories.

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3. **Phelan, Mitch.** Chair, GPO/NTIS Task Force. 1990. Telephone conversation, 20 September.

BIBLIOGRAPHY OF DEPOSITORY PUBLICATIONS

NTIS - National Technical Information Service

How to Submit Your Information items to NTIS. A manual for information sources. 1983/1984. Springfield, VA : NTIS, 1984. 21p.

NTIS Products & Services Catalog. Springfield, VA : NTIS, 1988. 32p. (PR-827).

User's guide to NTIS. Springfield, VA : NTIS, Marketing and Customer Services, 1986. 45p. (PR-786).

DTIC - Defense Technical Information Center

Handbook for users of the Defense Technical Information Center. Alexandria, VA : DTIC, 1985. (DLAH 4185.8)

How to Get It. A Guide to Defense Related Information Resources. Alexandria, VA : DTIC, 1988. (Available NTIS: AD-A201 600).

Contributor's Handbook to the Defense Technical Information Center. Alexandria, VA : DTIC, Feb 1990. 14p. (DTICH 4185.2).

U.S. GPO - Government Printing Office

Monthly Catalog of U.S. Government Publications. Washington, D.C. : GPO, annual.

GPO Sales Publications Reference File (PRF). Washington, D.C. : GPO, annual.

Directory of U.S. Government Depository Libraries. Washington, D.C. : GPO, 1989.
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National Sea Grant Depository

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