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GreyNet

The Grey Journal

An International Journal on Grey Literature

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About TGJ

The Grey Journal is a flagship journal for the grey literature community. It crosses continents, disciplines, and sectors both public and private. The Grey Journal not only deals with the topic of grey literature but is itself a document type classified as grey literature. It is akin to other grey serial publications, such as conference proceedings, reports, working papers, etc.

The Grey Journal is geared to Colleges and Schools of Library and Information Studies, as well as, information professionals, who produce, publish, process, manage, disseminate, and use grey literature e.g. researchers, editors, librarians, documentalists, archivists, journalists, intermediaries, etc.

Grey Literature is defined as "information produced and distributed on all levels of government, academics, business and industry in electronic and print formats not controlled by commercial publishing i.e. where publishing is not the primary activity of the producing body." (Luxembourg, 1997 expanded in New York, 2004)

About GreyNet

The Grey Literature Network Services was established in order to facilitate dialog, research, and communication between persons and organizations in the field of grey literature. GreyNet further seeks to identify and distribute information on and about grey literature in networked environments. Its main activities include the International Conference Series on Grey Literature, the creation and maintenance of web-based resources, a moderated Listserv, and The Grey Journal. GreyNet is also engaged in the development of distance learning courses for graduate and post-graduate students, as well as workshops and seminars for practitioners.

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Contents

"ARCHAEOLOGY AND GREY LITERATURE"

Introduction: International Perspectives on the Archaeological Grey Literature	64
Guest Editor: Deni J. Seymour (<i>United States</i>)	
Standards and Guidance in Archaeological Archiving: The Work of the Archaeological Archives Forum and the Institute For Archaeologists	67
Kenneth Aitchison (<i>United Kingdom</i>)	
Managing the Vulnerabilities of Archaeological Grey Literature: A Case Study From Tasmania	72
Angela McGowan (<i>Australia</i>)	
The Online Access to the Index of Archaeological Investigations (OASIS) Project: Facilitating Access to Archaeological Grey Literature in England and Scotland	76
Catherine Hardman (<i>United Kingdom</i>)	
Archaeology's Grey Literature and Professional Review	83
Mark E. Harlan (<i>United States</i>)	
Special Ethical and Scholarship Considerations for the Archaeological Grey Literature	89
Deni J. Seymour (<i>United States</i>)	
DAPHNE, Full Text Repositories and Other Resources: What Place for Grey Literature on Archaeology in France Today?	97
Christiane Stock and Bernard Sampité (<i>France</i>)	

Colophon.....	62
On the News Front	
GL11 Conference Program Eleventh International Conference on Grey Literature.....	106
Advertisements	
NYAM – The New York Academy of Medicine.....	105
EBSCO - Information Services.....	109
About the Authors.....	110
Notes for Contributors.....	111

INTRODUCTION

INTERNATIONAL PERSPECTIVES ON THE ARCHAEOLOGICAL GREY LITERATURE

*Deni J. Seymour,
Guest Editor*

Grey literature in archaeology is subject to special considerations and problems not shared by other professions in which the so-called grey literature is produced. Perhaps most distinguishing is the fact that archaeological investigations, such as excavations, tend to alter if not destroy the subjects of study. As Aitchison points out in this issue the resulting records of past human life are all that remain of the limited and nonrenewable cultural resources and so their storage, preservation, indexing, and continued accessibility are paramount considerations as these records serve thereafter in lieu of the resource itself. These records take many forms, but the authors in this issue discuss mainly reports, field records, and databases.

In this issue effort has been made to bring together different perspectives from throughout the world to reflect some of the diversity of experience that at the same time illustrates a similar range of problems. Contributors include archaeologists from the United Kingdom (Aitchison, Hardman), France (Stock), Australia (McGowan), and the United States (Harlan, Seymour) allowing us to explore different problems faced and solutions attempted in these varied social contexts. This global perspective is reflected by the fact that some of these papers were presented as part of a 2008 World Archaeological Congress symposium in Dublin, Ireland on "Getting the Message Across - Communicating Archaeology: Black and White Issues about the Scientific and Technical the Grey Literature;" other papers from that symposium are under review at Archaeologies.

Throughout the world archaeological grey documents are produced by university-based researchers, state and federal land management agencies, and development-based investigators or private consultants. This latter group produces by far the most grey literature in many areas of the world including the United States, Australia, and the United Kingdom. While many issues surround the production, use, and preservation of grey literature, we have had to limit the selection to just a few. Each contributor was asked to focus on a topic of their choice that they felt needed to be addressed. We expect to learn important lessons from one another because countries are in different stages of development with regard to the sectors of archaeology that produce grey documents and the problem of curating and providing access to ever-growing volumes of grey materials. We do not all agree on what constitutes grey literature in archaeology. Some include unpublished dissertations and unpublished meeting presentations as white literature or 'less grey' forms of literature, while others see no difference between these unpublished documents and those more generally recognized as grey.

The relative youngness of the archaeological profession is reflected in the topics in this issue. Contributors focus on professional standards of practice (Aitchison, Harlan, Seymour), how to standardize databases when documents are produced by individuals with diverse training and objectives (Aitchison, Stock), how to maintain and preserve grey literature (McGowan), how to make grey documents more accessible by focusing on solutions to access and indexing problems (Hardman, Stock), and on exposing the culture within archaeology that tends to devalue the grey literature product (Harlan, Seymour). Questions that were once commonsensical are made more complex by the great volumes of material now being produced, the availability of the Internet, and the rapid rate at which technology and software change.

Another problem relates to the divide between academic and contract archaeologies and the way archaeology in each of these substrata is conducted and conceived. These differences often lead to what are viewed as breaches in scholarship that exacerbate the divide and sometimes marginalize grey literature and grey scholars. This happens in many areas of the world, including the United States, France, and the United Kingdom. In the United States, grey literature and those who produce these documents dominate the profession, representing well over 80 percent of practitioners and in excess of 90 percent of in-print material. The percentage is even higher in the United Kingdom; in Tasmania, the smallest state in Australia, the vast majority of archaeological product is grey and there are very few formal or white publications each year. In France such documents are at least as important in numbers as commercial articles and books. Yet, despite this disproportion, certain types of grey literature are generally ignored by the academy, citing any number of apparent issues, including accessibility and lack of peer review, as both Harlan and Seymour point out. In other parts of the world and in many other professions grey literature and the scholars who produce it are treated more respectfully than in the archaeological profession in the United States, and their product is sought and cited.

Also at the core of the problem in some countries is the fact that grey reports and data contain confidential information that cannot be made indiscriminately available. Not subject to the Freedom of Information Act in the United States, site location data and reports containing this type of information are kept sequestered in state and federal repositories, as they are in many counties, such as Australia and France. In other countries, such as the United Kingdom very few sites are protected in their own right through legal designation (exceptions principally include Scheduled Ancient Monuments, but also Protected Wrecks and designated military wrecks or aircraft crash sites), according to Aitchison (personal communication to the author, 2009) and these make up far less than 1 percent of their recorded sites. In comparison to the United States, fewer people own bulldozers and pots have a lower market value in the United Kingdom, Aitchison notes; instead looters are interested in precious metals, and in England, with landowner permission there is no legal reason for them to be stopped. The amount of privately owned land accounts for some of this difference in policy between countries, especially because public lands make up one-third of the United States land mass, with even higher percentages in the western United States and cultural resources are legally protected but vulnerable. Site ownership follows land ownership and protection measures depend upon ownership.

Dissemination and preservation are paramount for archaeologists but these objectives can be at odds when combined with the intentions of other sectors that give precedence to the aesthetic qualities and therefore economic value of ancient artifacts. For archaeologists preservation for the future is always the primary consideration. Because confidentiality must be maintained access to site location information for unexcavated sites is restricted to those authorized by training and licensing (permitted practitioners) so that information does not fall into the wrong hands resulting in cultural properties being looted. The conflict is that it is desirable to make the reports widely available while site location data is made available to a limited distribution list, and its long-term confidentiality, accuracy, and reliability must be maintained.

This issue of storing records in a useable state in perpetuity presents another difficulty. First, in perpetuity is continually and pragmatically reinterpreted as museums fill up, funding wanes, or as obsolete data bases and software become too expensive to update. In many areas of the world support for archaeological investigations and maintenance of the records are, supported, in part, and often largely through public funding. As McGowan comments (personal communication to the author, 2009) with respect to Australia, "Although commercial interests fund much archaeological investigations, long-term maintenance of the records is rarely funded by developers – this is left to governmental agencies." Yet there and elsewhere the public does not necessarily see the benefits or product of the work undertaken in a direct way. Moreover, public attitudes about the relevancy of archeological

investigations and the preservation of cultural materials vary with economic and social circumstances, placing many records at risk over the long-term. Records lost are the ethical and practical equivalent of bulldozing a cultural property without investigation.

Funding issues tend to focus on field, analysis, and report production. While provisions are made for curation or the long-term preservation and use of records and reports, solutions acceptable in the past are no longer adequate. Previously, documents were so few that when placed in a museum or other repository a handful of people could manage their access and care. Now a burgeoning of records and reports requires creative forms of indexing and complex databases that require full-time and sizable staffs for input and maintenance. This is especially important now because of an increasing need for ready access, and a new demand by the grey community (mostly contract archaeologists but also including government archaeologists) to have their material recognized as scholarly, to be credited for their work, to have their efforts cited.

These complicating factors serve as a backdrop for several professional topics that are included in this journal issue relating to the archaeological grey literature. The subjects covered in this issue are by no means comprehensive or representative of the problems of the archaeological grey literature as a whole, but they provide the reader with a feel for the special problems encountered and solutions sought by the archaeological profession.

Standards and Guidance in Archaeological Archiving: The Work of the Archaeological Archives Forum and the Institute For Archaeologists

Kenneth Aitchison
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Abstract

The Archaeological Archives Forum (AAF) is a representative body, established in 2002, which aims to link together all the major parties in the United Kingdom with an interest in archaeological archives so that common policies and practice can be developed and applied. Another goal is to identify the courses of action necessary to further best practice in the field of archaeological archives and to affect the means to achieve this action. To date, the AAF has produced a number of guides to best practice for archaeological archives.

One of the key bodies represented on that forum is the Institute for Archaeologists (IfA - formerly the Institute of Field Archaeologists), the professional association for archaeologists in the United Kingdom. With over 2,600 members this standards-setting body is in a position which allows it to guide and regulate the requirements for the creation, curation, and use of archaeological archives. This paper will review the achievements and effectiveness of the AAF and IfA's activities and will discuss whether this presents models that can be used internationally.

Keywords: Archaeology, archives, best practice, digital archives, disciplinary procedures, documentary records, finds, guidance, museums, professional institute, professional standards, record offices

Archaeological archives are an essential element of the archaeological resource. That mass of collected paper, drawings, photographs, objects and digital data, is a resource that enables not only the reinterpretation of original findings, but also provides the raw material for further research, informs museum displays and teaching collections and gives every member of our society access to the evidence for our shared past. (Brown 2007:1)

"The creation of stable, consistent, logical and accessible archives from fieldwork is a fundamental building block of archaeological activity" (Hedley Swain, foreword to Brown 2007). Archaeological archives are the material and records produced by the process of archaeological investigation. Often, but not universally, an archaeological investigation is an excavation, the invasive (and destructive) interrogation of the remains of past human activities and the environment in which those activities took place. The process of investigating the archaeological resource will often diminish the quality of that resource – excavation cannot be repeated, as once deposits have been excavated they are gone – and so the archive remains the primary record of what was there before.

This article follows Brown's definition of an archaeological archive as being constituted by "all parts of the archaeological record, including the finds and digital records as well as the written, drawn and photographic documentation" (Brown 2007:3), although Perrin (2002:3) does make it clear that "the term 'archives,' as employed by archaeologists, can be misleading [to practitioners in other sectors] as what is actually referred to is a hybrid mix of archives and collections." As the documentary aspects of these archives do not become published records, they are can be considered as primary records or grey literature.

In the United Kingdom (UK), archaeology is fundamentally undertaken by commercial practices working on behalf of developers. This process is instigated and mediated through local government's control over the spatial planning process – permission to develop land can be contingent upon archaeological remains having been assessed, evaluated, and/or recorded in advance of development taking place.

Through assessment of the number of archaeological reports deposited with local government records and comparison with the total number of applications made for

planning permission, the Archaeological Investigations Project considers that there were approximately 5,200 archaeological fieldwork investigations in England in 2007 (AIP *pers. comm.* 28 April 2009). This is a higher total than had been recorded for any previous year, and it represented one investigation for every 124.8 applications for planning permission. Each of these investigations, and the thousands that have gone on in previous years, will have produced an archaeological archive.

Through the planning process, a repository will have been designated for the archives that all archaeological investigations produce. Typically, these will be local or regional museums, but in some cases this may be a local record office which curates paper and photographic archives. This can and has led to confusing situations, as "... both types of repositories follow well-defined collecting policies, which usually do not apply in any real sense to archaeological practice. The situation is exacerbated by the fact that archaeologists usually deposit their composite archives in a single repository type, normally the museum service, whose collections are mainly based around specific objects rather than bulk and documentary materials" (Perrin 2002:3).

The Archaeological Archives Forum

Archaeological Archives: documentation, access and deposition – a way forward (Perrin 2002) was the report on a sector-wide consultation which identified numerous archive-related challenges facing the archaeological sector, which were broken down over 17 specific areas. Overall, the key matters of concern were in regard to communication within the sector, archaeological collections (what should be stored, where and how it should be stored, and how this should be funded), and how standards could be established and monitored.

That report drew together all available sources of information on policy regarding archaeological archives, identifying relevant ongoing projects, and setting out recommendations for a future agenda, one of which was that "an archaeological archives forum should be instigated, which should consist of representatives of all lead bodies and specialist groups associated with archaeological archives" (Perrin 2002:36).

That body was duly constituted as The Archaeological Archives Forum, and its aims are (AAF 2002):

- to link together in partnership all major parties with an interest in archaeological archives in order that common policies and practice can be developed and applied
- to identify the courses of action necessary to further best practice in the field of archaeological archives and to effect the means to achieve this action

The delegate bodies that make up the AAF membership include the four national heritage agencies for England, Scotland, Wales, and Northern Ireland, sectoral groups including the Society of Museum Archaeologists, the Institute for Archaeologists (IfA), and the Association of Local Government Archaeological Officers and specific interest groups such as the IfA's Maritime Affairs Group and Finds Group.

To date, the AAF's achievements can be subdivided into projects or programmes that have been aimed at furthering the sector's understanding of the archival resource and projects that intend to provide advice that can lead to improvements in practice.

The landscape of archaeological archives was quite literally mapped out through a survey commissioned in September 2002 by the Society of Museum Archaeologists and published as *Archaeological Collections Areas Database and Map* (Society of Museum Archaeologists 2003). Further work undertaken by the AAF has included *A Review of Standards in England for the creation, preparation and deposition of archaeological archives* (Brown 2004) and *Access to Archaeological Archives* (Bott 2003). The Bott report, which was prepared jointly for Resource (now renamed as the Museums, Libraries and Archives Council) and the AAF, sought to define costs associated with the storage of, and provision of access to, archaeological archives in museums.

The Brown 2004 report highlighted major inconsistencies in the ways various types of archaeological practitioners perceive their role within the archaeological archiving process. Acting on these inconsistencies then led to the AAF's most ambitious and successful work to date, *Archaeological Archives: a guide to best practice in creation, curation, compilation, transfer and curation* (Brown 2007). This document summarises existing

standards and accepted good procedures and synthesizes these into a straightforward best practice guide aimed at all archaeological practitioners. It identifies and recommends courses of action for all stages in the archive process, from project planning through data recovery, to transfer to a repository and subsequent curation, and is founded upon five key philosophical principles (Brown 2007:4-5):

- all archaeological projects must result in a stable, ordered, accessible archive;
- all aspects of the archaeological process affect the quality of the resulting archive;
- standards for the curation, management and preparation of the archive must be understood at the beginning of any project;
- ensuring the security and stability of the archive is a continuous process and a universal responsibility;
- a project has not been completed until the archive has been transferred successfully and is fully accessible for consultation.

The AAF has also commissioned Disaster Management Planning for Archaeological Archives (Aitchison 2004), which sets out in the required detail the considerations that need to be addressed in preparing and implementing a disaster management plan for archaeological archives. The AAF is also currently working on the Securing a Future for Maritime Archaeological Archives project. This project follows on from Slipping Through the Net, a review of policy and practice for maritime archives (Ransley 2007), and aims to gather data on museums' collection policies for intertidal and offshore areas, the extent of the current situation regarding maritime archives, and to gauge future demand for maritime archaeological archive capacity.

Institute for Archaeologists

"The Institute for Archaeologists is a professional organisation for all archaeologists and others involved in protecting and understanding the historic environment. It promotes best practice, sets standards and issues guidelines" (IfA 2009:8). Established in 1982, the IfA has over 2,700 members and is the largest archaeological professional association in Europe.

Members are admitted following a process of peer-review of their technical and ethical competence, and all are bound by the Institute's *Code of Conduct* (IfA 2008a). This code which sets standards of conduct and self-discipline in the field of professional archaeology and establishes requirements for the behaviour of Members of the Institute.

This Code of Conduct is supported by a series of specific Standards and guidance, measures of quality covering different areas of archaeological practice. Each "IfA Standard defines a required outcome, the attainment of which is covered by guidance defining broadly how the profession currently anticipates that the end product will be reached" (IfA 2008b). The majority of these Standards relate to fieldwork processes, and make specific reference to archaeological archives as one of the end products of fieldwork. For example, the *Standard and Guidance for Archaeological Excavation* (IfA 2008c) stipulates (as part of the Standard) that an archaeological excavation "will result in one or more published accounts and an ordered, accessible archive" – meaning that if an excavation does not produce such an archive, it is, by definition, sub-standard. If an IfA member's work falls below the Standard, they could be in breach of the *Code of Conduct* and thus liable to disciplinary procedures which can extend as far as expulsion from the Institute.

These disciplinary procedures are robust, and are managed through a Disciplinary Committee which answers to the elected Council of IfA. Members who are subject to disciplinary proceedings have resort to a separate Disciplinary Appeals Committee, but historically several Members have been ejected or suspended from membership rather than appealing. This can be a painful process for the Institute, but it is absolutely necessary for the Institute to be able to demonstrate that the Code of Conduct is sacrosanct and that if it is contravened, then justice will be done and will be seen to be done. Hinton (2005) discusses the requirements of the IfA's disciplinary system, and following the Institute's adoption of the revised disciplinary regulations that were put forward by Hinton, Taylor (2006) reviewed and analysed these from the perspective of a 'lay reviewer' and reported that "part of the job of the reviewer is to assess whether there is any suggestion of 'closing ranks', and dismissing cases on spurious grounds either to protect the reputation of the profession and the members of its representative body, or to avoid time-consuming and costly investigations" (Taylor 2006, 5). None of the cases that

Taylor inspected at that time, or that lay reviewers have subsequently looked at, have found the system and the Institute to be anything but thorough.

One potential weakness in this system is that IfA membership is not a licence to practice. The majority of archaeologists working in the UK are not members, with around 2,700 IfA members constituting less than 50% of the estimated 6,100 individual archaeologists working in the UK as of April 2009 (Aitchison 2009). Membership brings significant commercial advantages, particularly for IfA Registered Organisations, but it is currently not an absolute requirement, and so IfA is comparable with other professional associations such as Register of Professional Archaeologists (RoPA in the United States, the Nederlandse Vereniging van Archeologen in the Netherlands, and the Institute of Archaeologists of Ireland which all attempt to maintain professional standards amongst their members but where membership is not required in order to be able to work as an archaeologist.

The Standards are thus powerful documents, establishing the frameworks within which professional archaeologists must work. While the Standards have long made reference to the necessity of archives, they did not include the level of supporting detail that would precisely establish what constitutes a good, high-quality archaeological archive. This guidance came about in 2008 when a draft *Standard and Guidance for the Creation, Compilation, Transfer and Deposition of Archaeological Archives* was put before the membership (IfA 2008d). This document was prepared by IfA staff working together with Duncan Brown, the author of the AAF's guide for best practice (Brown 2007), and has now been adopted in draft for an interim period of one year from October 2008. Subject to any comments received, it will be put forward at the IfA's AGM in October 2009 for a vote on whether it becomes a full and binding Standard upon the Institute's members.

This document defines the purpose and occurrence of archaeological archives and contains extensive guidance on best practice which is drawn almost entirely from Brown (2007). It presents a measurable Standard:

All archaeological projects that include the recovery or generation of data and/or archaeological materials (finds) will result in a stable, ordered, accessible archive. All archaeologists are responsible for ensuring that the archive is created and compiled to recognised standards, using consistent methods, and is not subject to unnecessary risk of damage or loss. It is the responsibility of all curators of archaeological archives to ensure that archives are stored to recognised standards for long-term preservation and made accessible for consultation.

Conclusions

The Archaeological Archives Forum and the Institute for Archaeologists have developed an extremely successful and close working relationship. The AAF has been able to identify areas of need within professional archaeology and has developed material that establishes the best ways for these to be tackled, while the IfA has been able to establish rules and sanctions that ensure that professional practitioners work to those high qualitative measures of best practice. This leads to benefits for the sector as a whole and for the fragile archaeological resource which has been transformed into archaeological archives.

The two organisations continue to work together, and are currently developing (on behalf of the *Europae Archaeologiae Consilium*) a proposal to the European Commission's Culture Programme for a project that will fine-tune the best practice guide so that it can be applied under different legislatures and structural processes across the continent of Europe.

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Managing the Vulnerabilities of Archaeological Grey Literature: A Case Study From Tasmania

Angela McGowan
(Australia)

Abstract

This paper discusses the vulnerabilities of archaeological grey literature, including unpublished reports and non-statutory databases, to loss or corruption. The experience of managing these types of products in Tasmania, Australia, is outlined with particular reference to historical archaeological grey literature. Factors affecting long-term management and continuity are discussed and successful strategies being adopted in Tasmania to maintain these resources are indicated.

Keywords: archaeological grey literature, historical archaeology, heritage management, archaeological site records, Tasmania

Tasmania is the small island state of Australia. Originally known as Van Diemen's Land, it was founded in 1803, the second oldest of the British colonies following New South Wales. Although the smallest Australian state with a population around half a million, it has a rich stock of historic heritage places including historical archaeological sites. Also Tasmania may be regarded as an Aboriginal landscape, and many thousands of Aboriginal sites have been recorded across the state, including some with occupation dated to up to 35,000 years ago. This note will focus on discussing the current and past management of grey literature relevant to historical archaeological (i.e., non-Aboriginal) sites with particular focus on factors affecting long-term management and continuity. This grey literature comprises both unpublished reports not published by commercial presses and a non-statutory database of site records which was established by a government department, but not as a requirement of any legislation or legislated program.

Historical archaeological work in Tasmania has been undertaken by university-based researchers, by land management agencies, by developers, and by the Tasmanian Heritage Council, a statutory body established by the *Historic Cultural Heritage Act 1995* with functions related to the protection, management and regulation of places of historic cultural heritage significance. The formal publication of historical archaeology includes peer-reviewed journal articles, monographs published by land management agencies, books, and entries in the Tasmanian Heritage Register for places with archaeological values. However the vast majority of historical archaeological surveys, site records, excavations, and assessments are not formally published. Rather they are presented in unpublished project reports and/or as site records in the Tasmanian Historic Places Index (THPI), a non-statutory database which pre-dated the establishment of the statutory Tasmanian Heritage Register under the *Historic Cultural Heritage Act 1995*. Much of this grey literature originates from developer-based projects (i.e., contract archaeology), although many surveys which result in site records in THPI were undertaken by government land management agencies for management purposes.

Through the 1980s and 1990s the Cultural Heritage Branch of the Parks and Wildlife Service (PWS) amassed and stored a centralised collection of unpublished reports on archaeological and other historic heritage and Aboriginal heritage topics. The Cultural Heritage Branch also established and maintained two non-statutory databases of site records: the Tasmanian Aboriginal Site Index (TASI), the Tasmanian Historic Places Index), and one statutory database: the Tasmanian Shipwrecks Database, established under the *Historic Shipwrecks Act 1976* as part of the National Historic Shipwrecks Register.

The scope of the reports collection and THPI covered the whole of Tasmania, and far exceeded the statutory responsibilities of the Parks and Wildlife Service to manage reserved land. These resources were established and maintained in order to provide a central and comprehensive repository of Tasmanian archaeological information and make it available as a research resource for staff and external researchers. Several programs of government funded regional archaeological surveys populated the sites databases. A number of other land management agencies and independent

researchers/consultants routinely contributed reports and data and helped maintain the overall quality and integrity of the information. THPI comprises over 3,800 site records but this database was not complete in the sense of housing records from all work conducted in Tasmania.

Current Arrangements for Managing Grey Literature in Tasmania

Today Heritage Tasmania, a division of the Department of Environment, Parks, Heritage, and the Arts, houses the historic heritage reports from the former Cultural Heritage Branch's unpublished reports collection. This collection, together with archaeological reports submitted in fulfilment of works approval conditions set by the Tasmanian Heritage Council and other archaeological reports lodged by heritage practitioners, is maintained by Heritage Tasmania. These unpublished reports are incorporated into the Department's filing system and may be accessed by researchers on request. In addition, the Parks and Wildlife Service, also a division of the Department of Environment, Parks, Heritage, and the Arts, maintains its own collection of historic heritage reports relating to reserved land which is accessible on request.

The archaeological sites database, THPI, is now maintained by the Parks and Wildlife Service. The Service is in the process of incorporating all the THPI site records into its new asset management system. All the hard copy records are being scanned so they can be attached to the relevant asset management system entries. This will ensure the ongoing maintenance of a suitable system, guarantee the integrity of the existing site records, and allow for the addition of new records for archaeological sites on land managed by the PWS. Access by researchers is available at PWS and Heritage Tasmania. In the future it is proposed that this information will be readily accessible to the public via the Internet.

Vulnerabilities and Issues – The Tasmanian Experience

In Tasmania, the vast majority of historical archaeological knowledge is recorded in unpublished reports and the non-statutory database, THPI. Tasmania's experience shows how vulnerable this archaeological grey literature may be to loss and/or corruption, and offers some pointers as to how the long-term preservation of this accumulated knowledge can be assured.

Vulnerability of a Non-Statutory Database to Loss

A non-statutory sites database may be vulnerable because sufficient resources for its ongoing maintenance are not mandated. Also, its maintenance relies on the corporate knowledge and interest of individual staff members rather than on being part of an established program that exists in perpetuity and is maintained through established protocols. This means that a non-statutory database may be particularly vulnerable at times of structural departmental change or funding cuts.

In Tasmania in 2003 a major structural departmental change resulted in the dispersal of archaeological staff who managed the THPI database amongst several sections of a newly created department. At the same time there was a high influx of new staff with no previous knowledge of the database. As a result responsibility for maintaining the non-statutory site records database became unclear. The content of the database covered the whole of Tasmania and far exceeded the data requirements of the more limited land management and regulatory responsibilities of any one of the newly established sections.

In addition, a statutory Heritage Register of culturally significant historic places (mostly architecturally significant buildings) had been established under new historic sites legislation. Resource allocations were focussed on statutory requirements, but questions were raised about the benefit of maintaining a non-statutory database of historical archaeological site records. It seems that this view came about because the new staff were unfamiliar both with the high level of public funding that had been invested in developing the database (and therefore the amount and importance of data contained in the system) and with the nature and quality of the data. The lobbying efforts and ongoing use by the small number of staff and researchers who were familiar with the value of its contents prevented the data from being lost at that

time despite lack of resources for ongoing maintenance of the database. However, even though the system was preserved, the loss of staff knowledge and resources resulted in a decision to not add more site records to the database, except for those limited areas for which the department had direct land management responsibilities. This severely curtailed its usefulness and narrowed the breadth of its applicability substantially from its previous role. Fortunately, more recently, the value of the information contained in this older system has been acknowledged and it has been decided to incorporate all the site records into one of the department's asset management databases. This will ensure that all the site records are preserved as part of a core departmental system with ongoing support for any necessary upgrades.

New historical archaeological site discoveries have not been systematically recorded in a searchable database in Tasmania since 2004 owing to the lack of a suitable site records system. Heritage Tasmania is currently establishing a new Heritage Management System to support the statutory Tasmanian Heritage Register. When fully operational, it is intended to use this new system to record archaeological site records as unregistered place records. This will ensure that archaeological site records are incorporated into a statutory system. It has not yet been determined what archaeological data will be required in the new unregistered place records. As this is a new system it will not replicate or incorporate the old data.

Vulnerability of a Non-Statutory Database to Corruption

A non-statutory database may be vulnerable to corruption because there is no clear mandate for maintenance of the system and peripheral technological requirements. This can be a problem because with the fast-pace at which technology changes, databases can quickly become obsolete.

Having successfully argued that the sites records database should be kept as an 'archive,' the preservation of data in a useable format still remained vulnerable as a result of the term 'archive' being used differently in IT and heritage management. During the time following the departmental restructuring there were several computer upgrades, each of which left the site records database less workable as it had not been included in upgrades. This was because the database was regarded as 'archived' rather than 'current,' and the system it used was not maintained. As a result of one of these upgrades a large amount of data from a number of fields became irretrievably lost. Fortunately hard copies of site records meant the information was not lost, although the ability to search the database on those fields has been. A project is currently underway to partially salvage the situation by scanning all the hard copy records and attaching these as pdf files to the site records entered in the asset management database.

Vulnerability of Unpublished Reports at Times of Structural Change

At times of structural change, unpublished reports may be vulnerable in similar ways to non-statutory databases. In extreme cases the reports themselves may be lost if responsibility for maintaining the records becomes unclear or the individuals who maintain them do not have a clear mandate.

In Tasmania responsibility for the Unpublished Reports collection was transferred to the new department, which incorporated the reports into its filing system. However, the collection itself was split between the several new sections and is now physically housed in three separate buildings. Incorporating the reports into the departmental records system has ensured that reports themselves have been preserved as government records. There has been some loss of bibliographic information as the records filing system does not fully accommodate the bibliographic data that was entered into the previous system. Consequently there has been some reduction in the ability of staff and researchers to search for reports, who must instead seek the assistance of staff familiar with the collection. Also the reports and the indexing of the reports is no longer linked to the site records database or asset management system, and consequently there has been a loss of linkage to the relevant site records. It is hoped that in the future this information can be entered into the new statutory management system's bibliography section.

Some unpublished reports were also kept by the department's library.

Conclusion

Tasmania's experience has been that archaeological grey literature, such as unpublished reports and a non-statutory database, can become vulnerable to loss or corruption. This is particularly the case at times when the management responsibility becomes unclear and/or resources are limited. Based on the Tasmanian experience there are a number of strategies that persons responsible for establishing, managing, or using grey literature resources could adopt to ensure their long-term survival and accessibility.

Site records data are much less vulnerable if incorporated into a statutory database. The loss of some search functions of the new statutory Heritage Management System database, compared to the previous non-statutory THPI database, is more than outweighed by the long-term safety of the data.

As we found to our detriment, it is important to clarify the meaning of terms and expressions used in IT, as they may not carry the same meanings as commonly used in cultural heritage management.

Unpublished reports should be incorporated into formal departmental filing systems, as this ensures that they become government records. If possible, the filing system should record as much bibliographic and other information as possible including full title, author(s), year of production, and any relevant site names. This greatly aids being able to search for and locate relevant documents in the future.

Acknowledgments

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The Online Access to the Index of Archaeological Investigations (OASIS) Project: Facilitating Access to Archaeological Grey Literature in England and Scotland

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Abstract

The advent of developer-funded fieldwork in many countries has inevitably led to an increase in the production of fieldwork reports. Despite being a major resource for archaeological research the majority of these reports have remained unpublished and are often only accessible via the local authority curators or state historic preservation offices (in the UK known as Historic Environment Records). In the United Kingdom the OASIS project (Online AccesS to the Index of archaeological investigationS) exists as a collaborative venture between the Archaeology Data Service, English Heritage, Historic Scotland, the Royal Commission for Ancient and Historical Monuments of Scotland and the Archaeological Investigations Project. The project has aimed to provide data to create an easily maintainable and publicly accessible unified index to archaeological investigations. In addition, it has created a system by which fieldwork reports can be deposited in a digital format with the Archaeology Data Service. In February 2005, the Archaeology Data Service was able to make public its growing archive of such fieldwork reports. There are now over x reports in this grey literature library, and this is being added to at the rate of 100 a month.

Keywords: archaeology, web forms, historic environment, library

The advent of developer-funding and its associated planning guidance note (PPG16) in 1990 in the United Kingdom (UK) has inevitably led to a major increase in archaeological fieldwork. From major infrastructure projects, such as the Channel Tunnel Rail Link, to small domestic housing developments, there has been massive destruction of the archaeological record. The principles of 'preservation by record' and the 'polluter pays' have been established, whereby if developers cannot avoid archaeology then at least they should pay for a full record to be made. Unfortunately, there has been little agreement on the format that this record should take and all too often it is limited to an unpublished fieldwork report, with one copy for the client, and a second for the local authority. Despite being a major resource for archaeological research, the majority of these reports are often neglected, poorly curated, and accessible only via the local authority, which maintains a Historic Environment Record (HER). Local authority archaeologists are responsible for maintaining a register of all the known archaeological sites in their county. These HERs, and in some historic towns Urban Archaeological Databases (UADs), are the basis for all conservation and management advice and provide a valuable resource for education and research.

In the UK, as in many countries, this growth in commercial archaeological activity that is divorced from traditional academic forms of publication has led to the increase of what has been described as 'grey literature,' and a break in the cycle between primary data recovery, synthetic publication, and new research (Bradley 2006). Contrary, perhaps, to expectations, the access situation has in some ways been exacerbated by the use of digital technologies in the production of the fieldwork reports. Almost all of the reports are 'born digital' and, unless actively curated these reports are even more fragile and ephemeral than their paper counterparts. This means that in addition to archaeological curation on behalf of the local authority, HER officers must tackle problems and issues surrounding digital curation. The opportunities as regards on-line access to such reports are many fold, but are starting to be exploited through the use of systems such as OASIS.

The Online AccesS to the Index of archaeological investigationS (OASIS) project brings together a number of strategic partners, including the Archaeology Data Service (ADS), English Heritage, and the Archaeological Investigations Project (AiP) of Bournemouth University, and since 2005, Historic Scotland and The Royal Commission for Ancient and Historical Monuments for Scotland. In line with the UK government's

agenda for e-service delivery, the overall aim of the OASIS project is to provide an on-line index to the mass of archaeological grey literature produced, in the first instance, as a result of the advent of large-scale developer-funded fieldwork. The system is designed, primarily, to collect information about developer-funded archaeological fieldwork; this type of work constitutes over 95 percent of the archaeological investigative work undertaken in the UK each year. However, the system can also be used to record other archaeological activity, such as desk-based assessments, or academic research projects and work undertaken by volunteer community groups. As part of this overall vision, an on-line OASIS data capture form (Figure 1) was designed to assist the flow of information from fieldworkers into a central repository in a standardized format. It endeavours to encourage engagement of contracting units, volunteer groups, and academic researchers with local and national data managers in HERs and National Monument Records (NMRs). At the same time, the system facilitates access for professionals and amateurs alike to a wealth of untapped archaeological resources in the form of grey literature reports available on their desk tops via the web.

Figure 1: The First Page of the OASIS Form (Scotland)

OASIS DATA COLLECTION FORM: Scotland

List of Projects

Main

This is the main page of the OASIS form, the form is split into sections as listed below.

You can fill as much or as little of each section in at any one time. Once you have filled in a section completely, please tick the **completed** box at the bottom of that section. The form will then check to see that all the mandatory fields (marked with a *) have been completed. If this is the case it will return to this page, if not it will ask you complete the missing fields.

There are some fields that **must** be filled in: the project name, the location and your name and email address.

Please note: the form entries are only saved when the **Save record** has been pressed. If you leave the form inactive for over 30 minutes any entries will be lost, this is to retain the security of your username and password.

OASIS ID: catherin1-59545

Project details	Add or edit entries
Status Incomplete	
Project location	Add or edit entries
Status Incomplete	
Project creators	Add or edit entries
Status Incomplete	
Project archives	Add or edit entries
Status Incomplete	
Project bibliography 1 Choose a Publication type	Add or edit entries
Status Incomplete	

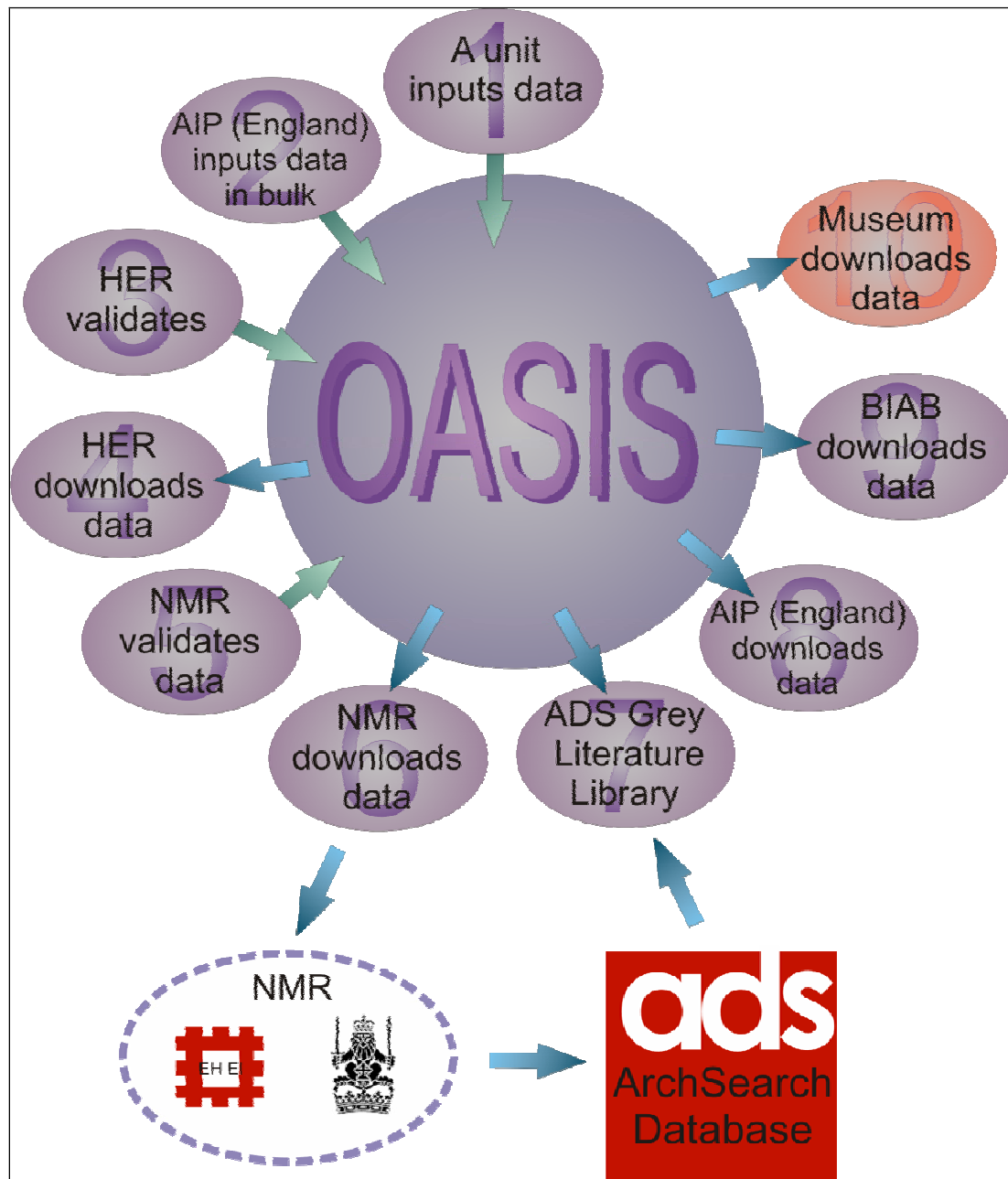
Please enter your name and personal email address here so that any queries about this form can be directed to you:

Name

Email address

OASIS is essentially a large Oracle database with a web interface designed in ColdFusion. Access to enter information into this database on-line is given to those carrying out fieldwork, using a username and password. Those using it may be members of archaeological contracting units, academic researchers, or even amateur archaeologist working in community groups. Once they have filled in a form with details of their archaeological fieldwork, and uploaded to the database a copy of the grey literature report detailing their work, a series of alerts are sent to appropriate interested bodies, principally the local authority archaeologists within the HER. At this point the HER officer can access the same form and report and reuse the information to populate their database using a data export mechanism. The HER officer can use the same information to assess whether the archaeological restriction placed on the planned development can be discharged and the development can proceed. Subsets of appropriate information can then be made available to other interested bodies, such as national heritage agencies, archaeological bibliographic services, and people working in the museums sector. For example, the British and Irish Archaeological Bibliography (BIAB) (<http://www.biab.ac.uk/>) exists to help researchers find out about archaeology via published sources, but by accessing the bibliographic information held within the OASIS system the BIAB can point researchers to grey literature as well, either that is held on line or in hard copy within local authorities. Figure 2 is a diagrammatic representation of the flow of information in and out of the OASIS system.

Figure 2: The Flow of Information in the OASIS System



Similarly, the NMRs in both England and Scotland (based respectively at English Heritage and RCAHMS) reuse the archaeological event data to populate their own holdings. A copy of the English NMR data, known as the 'Excavation Index' is provided to ADS for inclusion in its on-line catalogue, ArchSearch (linked from <http://ads.ahds.ac.uk/>). Searching this index enables users to seek the latest information pertaining to a particular site, and follow web links through to the grey literature report held by the ADS in its library. The information within the OASIS system is repurposed by the ADS too; the grey literature reports are being made available directly through the ADS Library, where it is possible to search and retrieve literature based on a variety of different data fields (Figure 3), all based on standardized data originally input into the OASIS system.

Figure 3: Showing the Search Page within the ADS 'Grey Literature Library'

Search Page

Enter your search terms, select the type of search and click on the search button. It is possible to build up quite specific queries but we would recommend that you start simple. You can add more boxes by using the  button. For more tips on searching see the text at the bottom of the page.

Book details

Enter title, author, producer, place of production or publication date and select the relevant box

☒ Title
 ☐ Author
 ☐ Producer
 ☐ Place of production
 

☐ Date
 

Where

'Where' categories are Site name, Parish, District, County and Country - select the relevant box

☒ Site name
 ☐ Parish/Non parish area
 ☐ District/Unitary
 

☐ Authority
 ☐ County
 ☐ Country
 

What

Please select an artefact or monument and enter one term (use the plus button to add another)

☒ Monument
 ☐ Find
 

When

Select a period from the list of MIDAS period terms

Period



Identifier

OASIS id or ADS Record ID

Id number

Source

Select 'OASIS' to search only for reports that have come through OASIS form

Source



Order results by
 ☒ Year of production
 ☐ Title
 ☐ Contractor/producer

The volume and digital format of grey literature reports of small- to medium-scale developer-led archaeological investigations is both a problem and an opportunity. Planning laws and associated guidance require that any development likely to impinge on archaeology must be the subject of an archaeological investigation before building can be undertaken. In the first 10 years since coming into force, these planning guidelines have given rise to some 28,000 archaeological investigations, at an annual cost of around 35 million pounds, largely funded by commercial developers (Darvill and Russell 2002). Despite the recent downturn in development in the UK, the overall trend is toward growth and the implications for the archaeological profession are profound. So long as we can access the wealth of archaeological knowledge that this level of work affords, the profession, will be able to investigate archaeological resources that would otherwise remain out of reach. For too long the lack of any formal publication of work from smaller scale or non-intrusive archaeological investigations, such as desk-based assessments (which consists of a collation of existing written, graphic, photographic, and electronic information in order to identify the likely character, extent, quality, and worth of the known or potential archaeological resource) or some archaeological surveys (which may be used to determine the presence or absence of archaeological features, structures, or deposits), has left a gap in the archaeological knowledge. Ironically, it can be harder to obtain a 20 page report on a small scale excavation or survey, than a 10 volume set detailing every last detail of a vast excavation. Without sophisticated mechanisms for capturing and properly curating the grey literature that never makes it to full publication, like those provided through OASIS, future generations of heritage professionals and the

wider public will be denied access to this invaluable archaeological resource. Eventually the reports, especially those held only in digital form, could be lost and detailed information about the sites and previous discoveries gone forever.

With growth in the use of the Internet for the dissemination of data and results, the potential for online delivery and re-use of datasets has been recognized and encouraged by funding bodies. Moreover, with recent advances in web-based technologies, it becomes possible to easily amalgamate resources and to undertake cross-searching whilst, where necessary, limiting the associated geospatial details to safeguard sensitive sites. What is described as the semantic interoperability of data sets (allowing the cross-searching of heterogeneous resources) has become important, whether these are multiple data sets held on a single server or whether they are distributed across multiple physical hosts. It is the sharing of data between projects that requires the development of shared standards (Richards and Hardman 2008). UK archaeology benefits from many sets of shared standards; spearheaded by a collaborative organization called the Forum for Information Standards in Heritage (FISH) the archaeological profession enjoys access to, in particular MIDAS; a data standard for monument inventories, adhered to by all HERs and NMRs, and thesauri, such as the Thesaurus of Monument Types (TMT) and the Museum Documentation Association's (MDA) Objects Thesaurus which have been incorporated into the design of the OASIS form. The OASIS system records summary information that includes the 'When,' 'Where,' and 'What' questions in accordance with these controlled vocabularies. The use of these shared standards and their verification by authorities, such as the HERs, means that searching the index, and thereby the grey literature, is easier and more effective – everyone is literally talking the same language.

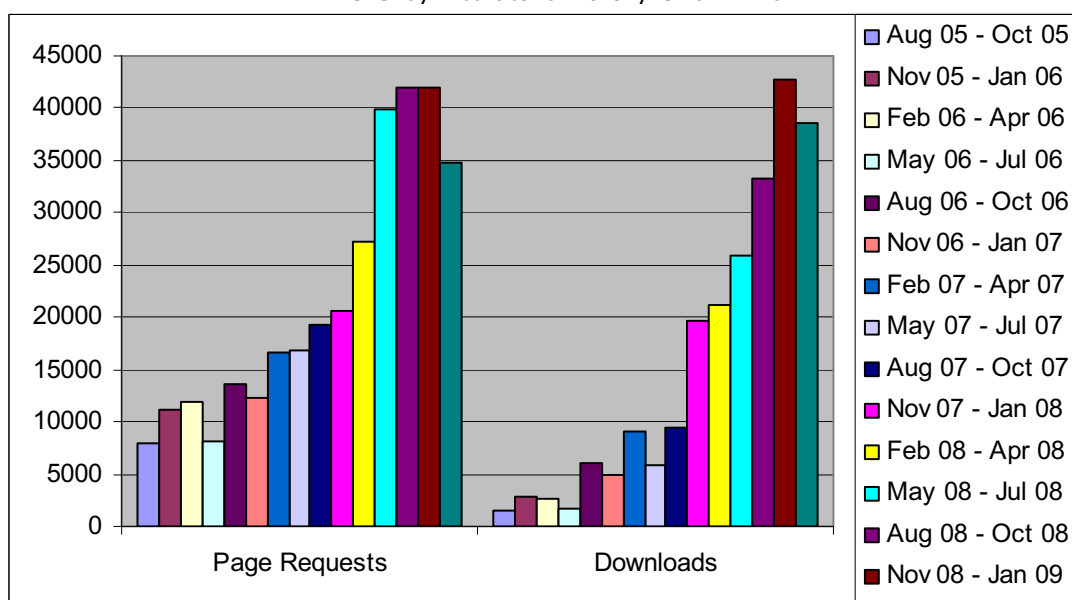
The development and adoption of the OASIS form, which is now required by the majority of archaeologists responsible for fieldwork specifications in England and Scotland, provides an interesting case-study in the take-up and development of a national standard, with a combination of top-down and bottom-up carrots and sticks. While the majority of the HERs, under the auspices of the Association of Local Government Archaeological Officers (ALGAO), have proscribed that all contracting archaeologists undertaking work within the planning framework must use the OASIS form to report their findings, we have found that many contracting archaeologist have adopted the use of the form without prompting because they want their reports to be added to the growing numbers within the grey literature library; both to add to the sum of knowledge, but perhaps also as a show-case for their work.

However, although the OASIS record provides a minimum level of metadata required to record any archaeological intervention (for example an excavation or geophysical survey), it does not prescribe what should be recorded beyond that. In fact, despite countless attempts to establish a single, agreed upon recording system for archaeological fieldwork, it currently does not exist. Most excavators use fairly standardized pro-forma to record each excavated layer and feature ('single-context recording forms') and, although most have a shared origin in the systems employed either by the former Department of Urban Archaeology (DUA) at the Museum of London, or by the former Central Excavation Unit (CEU) of English Heritage, each contracting unit has, in reality, developed its own variant as the methodologies employed by each unit has changed over time. While this may be problematic if trying to compare archaeological recording forms at a micro level, the OASIS form records the event at a less detailed level. The closest we have been able to come to a shared system or single standard is in the adoption of a form which essentially records a very basic level of event data for fieldwork within a single system. This is not to say that OASIS is not 'fit for purpose;' it was always envisaged that the system would provide an index to archaeological investigation not a methodology or shared standards for recording within the investigation itself. The strength of OASIS lies in its signposting function using the same set of information within all the appropriate organizations in order that researchers can more easily find richer data, such as the associated grey literature report.

The ADS' grey literature library (<http://ads.ahds.ac.uk/catalogue/library/greylit/index.cfm>) started in earnest in 2005, and to date there are over 3,500 unpublished reports available, a number that is growing at a rate of 100 reports per month. It is difficult to assess how many reports are not yet accessible online in digital form, but the latest estimate must put the figure at over 40,000 reports, covering the last decade of archaeology in the UK, many of which are currently only available in paper copy. There is also a huge level of demand for access to this resource, with 42,708 downloads of grey literature reports from the ADS library being recorded in November

2008 – January 2009 (see Figure 4.). It is not possible to make a comparison with demand for archaeological grey literature from other web sites, as very few web sites are currently available, but since its inception the library has become one of the most well used resources hosted by the ADS, and as the number of reports available grows so too does the demand. The range of reports available is also increasing, and now includes geophysical survey, documentary research, aerial photographic assessment, and so on.

Figure 4: Showing the Number of Page Requests and Reports Downloaded from the ADS Grey Literature Library Over Time



There are significant issues about the resources needed to deliver and validate OASIS. The HER officer needs some time to spend validating the records, but it has always been hoped that the use of import scripts (that import many OASIS records directly into the HER databases), rather than the officer having to re-key information manually, would make up for the time spent checking the records on line. The system used to import documents is varied amongst curators and contractors, but real progress is being made, and now more than 70 percent of HERs in England and Scotland are using the system as part of their working practices. Recent uptake from the ecclesiastical archaeology and built historic environment segments of the profession is particularly encouraging, and access to such research will assist HERs in the challenge of meeting the needs of the sector as a whole. Hitherto HER records have focussed on recording archaeological events and monument records, rather than detailing elements of the broader historic environment, and perhaps including historic building recording surveys and conservation management plans. OASIS helps facilitate this broadening remit as it can be used by those working in more diverse areas of the historic environment.

The ADS grey literature library is not the only mechanism in place to provide ready access to unpublished fieldwork. Some HERs are developing online resources in their own right, for example Worcestershire HER's Online Archaeology Library. Because of the flexibility of the OASIS system, it is possible for the record to de-created within the system and associated with the grey literature report by changing the file name to incorporate the individual OASIS record number. By including a stable permanent URL within the bibliographic reference section the grey literature can be searched through the ADS Grey Literature Library interface through whichever server the report is hosted on. The number of HERs available online is steadily growing, particularly through the English Heritage's Heritage Gateway (<http://www.heritagegateway.org.uk>), offering summary information and sign-posting to the results of recent planning-led fieldwork. At the same time, the Regional Research Frameworks programme compiles regional syntheses of published and unpublished fieldwork, placing these within the context of ongoing period-based and thematic research priorities. By allowing access to OASIS, records can be sorted by period or region and enable the Regional Research

Frameworks to be more easily compiled. While there may be advantages for curators in having a central online store of grey literature reports, the vital component for users is a single resource-discovery mechanism, such as the Heritage Gateway, an English Heritage hosted web service which cross searches diverse heritage resources including a growing number of HER datasets. As noted above, OASIS records are used to populate the English Heritage Excavation Index, which is in turn consumed as one of the resources in Heritage Gateway. By searching the Heritage Gateway users are able in a number of clicks to access the relevant grey literature report for a particular archaeological event, where the record is available. By following shared data standards, the heritage community of the future will be able to provide integrated access to distributed resources.

The OASIS project has led the way in making archaeological grey literature widely accessible to the archaeological profession in the UK. This system, along with a handful of other initiatives within the UK sector, points to a rosy future for being able to access archaeological grey literature in a timely fashion from a number of different suppliers on line.

For further details of OASIS and the grey literature library see <http://oasis.ac.uk/>.

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Archaeology's Grey Literature and Professional Review

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Abstract

The archaeological profession as practiced in the United States produces a vast amount of literature that is classified as grey. While containing massive amounts of valuable data, this literature is all but ignored by most practitioners who are directly connected to the regions and projects that produce the reports. Two reasons for this unfortunate situation are most commonly advanced, problems with access and lack of peer review. This discussion examines the review process and concludes that the objection is spurious and should not inhibit full use of a valuable resource.

Key words: Peer Review, CRM Reports, Academic Hegemony

Archaeologists in the United States include an academic component tied to teaching and research at colleges and universities, and a larger number of practitioners engaged in an endeavor usually referred to as cultural resource management (CRM). The CRM professionals engage in a range of activities tied to national heritage preservation, two of which are surface surveys in advance of projects that may adversely affect sites and excavation of archaeological sites that will suffer damage from project implementation. Both of these activities result in production of reports that range from simple statements that an area has been examined and found empty of archaeological manifestations to multi-volume tomes describing and interpreting hundreds of sites recorded by survey or large excavation projects spanning multiple sites and conducted over several years. These reports, the meat of CRM archaeology, have been relegated to a status of "grey literature" by the profession's academic component and largely ignored by them, with few references to CRM reports in most journal articles on North American archaeology or in the books on that topic written or edited by academic archaeologists. Since the CRM "grey literature" contains the bulk of the profession's recently-acquired raw data (Longacre 1981; Schiffer 1979), continued neglect by the academics is scientifically unacceptable.

Two reasons are most commonly stated for this situation: (1) the CRM reports exist in limited exemplars stored in only a few locations and these access problems make it impossible for academic archaeologists to employ them in their research and (2) the documents themselves are of questionable value because their content has not been subjected to a peer review process as applied to journal articles and to most academically-produced books. I have previously discussed objections based on access problems and found them to be specious (Harlan n.d.). The discussion here focuses on the second objection, lack of peer review. This objection is also found to be without merit, since the peer review process does not actually assure quality and CRM has its own rigorous review process, which actually does.

The Peer Review Process

Archaeologists appear to be little inclined to reflect on the nature of peer review within their profession, a topic of great interest to other research practitioners. Thorough reviews of studies aimed at understanding peer review conducted more than 10 years ago (Armstrong 1997; Speck 1993) found nearly 650 articles on the topic that had been published since 1975. An entire issue of the Journal "Science and Engineering Ethics (vol.3) was devoted to papers from a conference on peer review organized by the American Association for the Advancement of Science (Stamps 1997). The American Medical Association also held a conference on peer review in that same timeframe (Fletcher 1997) and it appeared that new science of "Journalology" (a neologism for a science studying the process of producing journal literature) was in the process of formation (Fletcher 1997:37). My review the summary literature on the topic found both anthropology and archaeology conspicuously absent from self-examination, which does embrace a wide range of other social science disciplines (Stamps 1997:5).

The "Journalology" literature provides a clear picture of what peer review is supposed to do. Kostoff (1997:20) summarizes the desirable qualities of peer review as: an effective resource allocation mechanism, a means of promoting scientific accountability, a mechanism for policymakers to direct scientific effort, a rational process, a fair process, and a valid and reliable measure of scientific performance. Armstrong (1997:63) sees peer review as an effective means to allocate the scarce resource of limited space in journals. Kostoff (1997:19) is concerned with peer review as a credible means to foster the research that will have the greatest impact. Fletcher (1997) gives brief consideration to the role of peer review as way to ensure factual accuracy, although this concern, which is central to the consideration of the value of peer review for archaeology's CRM reports, seems to have little importance in other professions, except with respect to outright falsification and plagiarism. Both Armstrong (1997:63) and Stamps (1997:4) hit upon aspects of the peer review process that limit its utility for the purposes listed above. Peer review plays a key role in awarding tenure and promotion in the academic world and it allocates prestige in the scientific community as a whole. These non-scientific aspects have a tendency to pervert the process.

Kostoff (1997:23) gives a list of the ills that arise from perversions of peer review. Biased peers seek to influence the outcomes for non-technical reasons, an Old Boy network protects established fields, a halo effect favors established scientists, all leading to divergent reviewer criteria, and an unfounded assumption that general agreement exists on a single form of cogent research. Peters and Ceci (1982) found an additional bias against authors from unknown or less prestigious institutions. These factors are exacerbated by others. Editorial practices are based on tradition and belief, not scientific evidence and editors do not apply the standards of proof they demand of authors when making their editorial decisions (Armstrong 1997:65; Fletcher 1997:37). Faced with widely divergent reviews, editors often "go with the low" (Cicchetti 1997:53) and reject manuscripts based on a single negative review. The criteria reviewers use in making their evaluations often have little correspondence to actual scientific merit, giving excessive weight to statistical significance, large sample sizes, and complex procedures whose dubious value may be masked by obscure writing. Perhaps most problematic, editors base their decisions on a count of positive and negative reviews, rather than a careful assessment of their content and cogency, despite the fact that reviewers' are often less expert than the authors (Armstrong 1997:65-69).

Limitations on the value of peer review are widely recognized in other professions. Bradley (1981) found widespread dissatisfaction and a pervasive perception of reviewer bias. Cicchetti (1997) assessed "reliability" of reviews as a simple measure of the ability of reviewers to agree on merit and found it exceptionally low in both medicine and the social sciences, recognizing that this measure of reliability gives no weight to the more important property of validity, which agreement does not assess. There is little correlation between reviewers' assessments and the citation indices of published articles (Kostoff 1997:23-24). Peer review is not even very good at ferreting out fraudulent practices and plagiarism (Fletcher 1997:36). Stewart and Feder (1987) studied 18 papers published by John Darsee between 1978 and 1981, shortly before he admitted to scientific fraud, and found retrospectively errors in 16 of the 18 papers. Both the errors and the fraud had slipped through the peer review process. On the opposite side of the coin, Armstrong (1997) discusses the tendency of peer review to stifle truly innovative and valuable research.

Given that archaeology (and anthropology in general) are conspicuously absent from the general consideration of peer review, there is some question as to whether or not the peer review process in that profession suffers from the same problems. Two bodies of evidence were examined to address this question. I have looked at published reviews of books by archaeologists and scholars in the closely related disciplines of general anthropology and history as a proxy for the peer review process and I have conducted a limited examination of the actual peer review process in one publication series in archaeology.

Considering reviews as a process of giving and receiving advice, we may ask specifically what kinds of advice book reviews and peer review should provide. In the ideal, book reviews are offered for a single purpose, to advise the prospective reader on whether or not the book merits the time invested in reading it (or possibly the money for acquisition). A book review should, then, answer two simple questions: (1) Does this book treat a topic of interest? (2) Does it offer new and valuable information and insights? Ancillary but useful information might consist of an honest

evaluation of the quality of writing and illustrations, specific placement of the concepts discussed in a pedigree of ideas, elegance of the arguments and many others, but these are not essential to the purpose of the review. The review of reviews summarized in Table 1 indicates that the basic questions are not that often effectively addressed and that reviewers have purposes quite different from the needs of the prospective reader, purposes that are at times at odds with providing effective advice.

Table 1: Book Reviews Examined

Journal	N
American Anthropologist	18
American Antiquity	46
American Scientist	2
Ethnohistory	50
The American Historical Review	44
The English Historical Review	40
TOTAL	200

With respect to an assessment of factual accuracy, well fewer than half (67 of the 200) reviews even mentioned the matter. Positive comments account for 45 and negative comments for 22. Curiously, there is no discernable relationship between a positive or negative assessment of factual accuracy and the overall assessment of the work under review. When reviewers' overall assessments were ranked on a scale of 1 to 10 with one being a terrible book and 10 a truly great one, the average score for books that received negative comments on factual errors averaged a score of 5.4 while those with positive comments on factual accuracy averaged 6.0, essentially no difference. It would appear that factual accuracy is, then, a matter of only passing interest to the reviewers.

Closely related to the matter of factual accuracy is the question of logical flaws. Ineffective arguments based on good information have only a little more value than cogent arguments based on faulty information. Only 20 of the 200 reviews addressed this issue, again with essentially no effect on the reviewer's overall assessment. The average score for books that received negative comments was 6.1 versus 5.8 for those that received positive comments (again on a scale where 1 is terrible and 10 very good).

In sum, the book reviews examined in this study provide limited information that would assist in deciding whether or not a particular book would be useful to a potential reader engaged in some specific line of research. What then, can one generally glean from a published book review? Impressionistically, the most readily available information deals with adherence to canons. It is almost always possible to discern whether or not the reviewer and author come from competing schools of thought. In many of the reviews, evidence of canonical disagreement came in the first sentence or two, when the reviewer complained that a book's title was misleading and the book should have treated a totally different topic. These reviews then often go to a lengthy discussion of the reviewer's viewpoint, providing little information on what the author has actually said, much less an assessment of factual accuracy and logical cogency.

Another coded message comes in the form of complaints about writing style or organization. In cases where I have personal familiarity with a book that received such negative criticism, I had noted no particular problem with the author's style or choice of organizing principles. Given other statements in these reviews, it seemed likely that the real problem was a clear expression of views at odds with those held by the reviewer. Most of the reviews read for this study allow a reader to determine whether or not they are likely to agree with the author of the book under review but provide little information on whether or not they are likely to obtain new, useful information by reading the book. Since archaeology has no universal canons, commentary on a non-existent canon has no utility, clearly indicating that the book review process is deeply flawed. It even seems likely that it serves to suppress innovation in the manner Armstrong (1997) found for peer review. My limited examination of peer review in archaeology resulted in similar findings.

The discussion of the peer review process presented here is based on a very narrow window into its workings but is, nonetheless, founded in actual information. Michael B. Schiffer was for a long time editor of a series on archaeological method and theory. The publishers and names of works changed over the years and the format evolved from a single annual volume to a quarterly periodical, but Schiffer's editorial effort forms a unified whole spanning 22 years. The editorial policy of the publications attracted articles on an exceptional range of topics by a broad range of scholars. Schiffer kindly allowed me access to his review files and the generalizations offered here come from examination of reviews for a small, possibly unrepresentative sample of articles designed to span both the years of publication and topics addressed. Preservation of confidentiality prevents specifying which articles were examined. Confidentiality is of no concern to me or to Schiffer, since we both believe that the peer review process should be transparent, but reviewers provided their comments under assurance of confidentiality and their confidence must be respected.

My limited examination of reviews submitted to Schiffer found problems similar to those I saw in the book reviews and to the peer review process in other disciplines discussed above. In too many cases, the reviewer was attempting to enforce their view of canonical correctness on the topic at hand rather than providing a complete and honest evaluation of the piece under review. One effort at enforcing canonical views was particularly blatant. An author had apparently sent an early draft of paper to be published in *Advances in Archaeological Method and Theory* to a colleague for comments. At about the time that the article was submitted to Schiffer, that colleague sent a letter making formal request to be included as a reviewer. The request was granted and the lengthy review that resulted can only be characterized as openly negative. The negativity stemmed from deep philosophical (rather than theoretical) disagreements between the reviewer and the author. Specific objections were interspersed with insistence that specific works of the reviewer be cited in the article, if it were ever to be published. Fortunately, the editor effectively screened the review process, the advice was viewed as flawed, and the negative comments had essentially no effect on the article's final form.

In another instance, it was also clear that an author had discussed his paper with a colleague before submitting it. That colleague was later solicited to review the paper, on the author's suggestion. The result was a highly negative review, again based on differences that were more philosophical than theoretical or factual. In this instance, the reviewer insisted that not only his identity but also his comments be withheld from the author, allowing for no opportunity to object to his views or even make corrections to ameliorate the differences. Whatever purpose this particular review served, it was not to assure factual accuracy or improve the overall quality of published work, but rather to attempt to suppress opposing views from even being published.

These examples are, thankfully, symptomatic rather than typical. Most of the reviews I read in Schiffer's file are honest attempts to assist the editor in improving the author's product. Some may have been a bit cursory, but most revealed a careful reading of the paper leading to thoughtful comments, whether or not those comments were cogent or useful. Perhaps more importantly, the two papers that the received the highly negative comments discussed above were published and therefore subject to the final judgment of the profession as a whole. Seen as symptomatic and taken in the context of the problems documented for other professions, however, they clearly indicate that the presence or absence of peer review is no basis for characterizing any literature as "grey" and unworthy of a profession's attention.

Peer Review as a Red Herring

As indicated in the previous paragraphs, there is good reason to question the value of the review process in maintaining factual accuracy and cogency in the academic literature and its function in enforcing canonical conformity is irrelevant, if not downright detrimental to a goal of expanding our knowledge of the past. On that basis alone, lack of peer review should be no impediment to full use of the CRM grey publications. More importantly, the CRM literature is subject to a review peer process that is better tailored to fostering factual accuracy, completeness and currency than the academic peer review process.

Academic archaeologists work in substantial isolation, encountering external input at only a few points in their research processes. If a research project requires funding, the academic will need to submit a proposal and most funding agencies employ some

version of peer review to advise their decision makers on the distribution of resources. In some cases, a fellow professional might examine progress reports to decide if funding should continue, but this is not universally the case. I am personally unaware of any review of ongoing field or laboratory work, which would probably be viewed as an unthinkable infringement on academic freedom. Review of the academic's work will not take place until final results are submitted for publication and even then may be quite limited if the research is published in a university- or museum-sponsored publication series. Oversight of academic research is, then, limited to the initial stages and final wrap-up of academic research projects.

The situation in CRM contrasts sharply. First, each CRM practitioner above the entry level of field or laboratory technician must demonstrate sufficient experience in the project region to be permitted by a state or federal oversight agency. Most of the undergraduate and many of the graduate students employed by academic research endeavors would not meet the qualifications to serve even as crew chiefs on CRM projects. Sadly, a significant fraction of Ph.D. recipients would also not qualify in most regions of the U.S. Field work performed by permitted crew chiefs is, itself, subject to review by senior staff of the CRM firm performing the work. The project director will be required to spend significant field time with the crews and still more senior archaeologists from the firm will perform quality control field checks during and after the field phase. The next level of review is performed by the agency that takes administrative action.

With field work complete, the firm will submit a "final" report to the agency, but that report is not final until the agency archaeologist has carefully reviewed it and, in many cases, directed (not requested) revision to correct factual errors and to bring overall quality up to agency standards. When the agency archaeologist is satisfied, the report will pass to the office of the State Historic Preservation Officer for still more review and directed revision. While personal experience forces me to admit that the CRM review process is subject to many of the personal idiosyncrasies, biases, and petty bickering that mar academic peer review, I remain convinced that it is actually more effective than academic peer review as a mechanism to ensure factual accuracy and effective data presentation. Further, the intensive CRM review process will never actually prevent access to valuable information. Every project must produce a final report and the accuracy of the information in those reports has been scrutinized by knowledgeable practitioners at multiple points in the process.

Having argued in my earlier discussion (Harlan n.d.) that access issues are a false basis for academics' inattention to CRM's "grey" literature, and having argued here that the lack of peer review is an equally spurious objection, it remains to probe for the real reasons why this rich resource remains neglected by a profession that could greatly benefit by employing it. First, I must concede that access is an issue, although it does not present the insurmountable problems that academics seem to see. CRM reports are not produced in multiple copies and sent off to the libraries of all academic institutions as Renfrew (1983) urged more than 20 years ago. Actually, many academically produced monographs do not make it to all libraries either and would not be retained if they were, given current budget constraints. It is also true that, at the present time, there is no library-based system of abstracts that could assist an academic archaeologist seeking to access CRM reports. With research skills learned at the academy, many academic archaeologists are simply not equipped to find the CRM literature.

The honest researcher working in an area covered by CRM projects will have to sally forth from the ivory tower to tap the CRM data bonanza, visiting the state offices where CRM data resides. Once there, the researcher will find much of what they need and, with a little luck, helpful state employees to smooth the process. Armed with information from state-and federal-level repositories, it will then prove beneficial to visit the field offices of agencies who oversee CRM projects in their specific areas of interest. Those field offices generally possess copies of the reports produced within their area of responsibility but also often have archived much additional raw data. Data produced by CRM projects often fill the gaps academic archaeologists see as limiting their generalizations about regional prehistory. I would submit that no statement asserting lack of data should ever be accepted unless the archaeologist making the assertion has performed a complete review of all CRM projects in their study area. Review must be an on-going process, since CRM reports improve knowledge incrementally and at unspecified intervals.

I have little hope that this seemingly modest suggestion will be accepted and implemented by the archaeological profession, at least any time soon. The impediment is not the access problem or the review problem but rather the essentially anti-hegemonic nature of the suggestion itself. As the archaeological profession exists today in the U.S., a small number of archaeologists employed at academic institutions have a disproportionate influence over the profession as a whole. Academics edit the key journals, account for the vast majority of the submissions to those journals, and are the reviewers of articles submitted. Books published by academically-affiliated presses are automatically assumed to be of greater importance than those published by almost any other outlet. Since publication in refereed journals and by recognized presses is an essential component in all tenure and promotion decisions, academics have a strong incentive to keep this situation exactly as it is. A requirement that their publications actually take account of CRM reports would likely create cracks in the hegemony held within the academic fortress.

The best hope for a change rests with archaeologists who edit the profession's North American publications. If these editors can recognize the value of CRM literature, they are in a position to insist that the authors who submit manuscripts provide evidence that they have employed CRM-produced data to the fullest feasible extent. Editors could begin the process of change by seeking out and including at least one senior CRM practitioner to act a peer reviewer on each article that purports to characterize the archaeology of any area of the U.S. The CRM reviewer could then provide useful comments on the existence of pertinent CRM literature the author may have overlooked, along with step-by-step instructions on how access it. Over time, this single provision could put the archaeological profession on a path to full utilization of its rich CRM resources and that literature would no longer be grey.

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Special Ethical and Scholarship Considerations for the Archaeological Grey Literature

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Abstract

In the United States most archaeological investigations occur in advance of development, either for private industry or for state and federal land managing agencies. Most data and reports, often referred to as 'grey,' are generated by the contract sector and governmental agencies. The diversity of participants and circumstances of practice give rise to issues of scholarship and ethics that include author responsibility and co-authorship, the disposition of confidential reports, and long-term storage and access issues. Storage and access, only partially addressed by better indexing and databases, have multiple dimensions for archaeologists because the documents themselves have inherent historical value and must be maintained along with digital files. Greater accessibility accomplished by sophisticated databases accessed via the Internet means that grey documents are now widely available, but this availability is not accompanied by a commensurate degree of scholarly citation. Consumers do not always acknowledge that these grey products are the yield of carefully designed research programs by dedicated scholars. Attribution for intellectual property is not always credited; instead the grey literature is derided as a substandard product and then cherry picked. Differences in objectives and format of grey versus white literature are sometimes mistaken for lesser scholarly capabilities of the grey authors or a diminished value of the grey content.

Keywords: archaeological scholarship, authorship, citation, open source, idea mining

Archaeology is at a critical stage in its nascent development as a profession. It began as a hobby for the affluent who sat in armchairs across from richly adorned curio cabinets contemplating the next romantic sojourn to distant and unusual lands. The discipline has since developed into a multi-faceted profession with literally thousands of practitioners, by some counts between 5,000 and 7,000 in the United States alone. With this growth in the United States and many other countries, has come considerable change, including a bifurcation of the profession that is now populated by numerous contract archaeology firms and governmental or agency-based organizations on the one hand, and academic departments and museums, on the other. The vast majority of the grey literature in the United States is produced by contractors that respond to developer-funded or government development prompted fieldwork.

With rapid growth in the business of archaeology have come several professional issues with ethical facets that affect the archaeological grey literature. In the following treatment these special problems include: (1) conflicts in data and report production, (2) repercussions that follow when older grey data and reports are disposed of, and (3) ethical scholarship issues relating to the use of grey data and reports. Some of these issues relate to the way contract archaeologists conduct day-to-day operations with respect to report production while others relate to how a subset of practitioners (who are often university-based) devalue and demean grey sources while at the same time they pilfer its content.

Data and Report Production

Over 15 years ago an editor (Reid 1993) of *American Antiquity*, the flagship journal for American archaeologists, addressed the issue of author responsibility and co-authorship. He outlined the scholarly essence of authorship by drawing upon examples from other disciplines. Among the guidelines cited from the biomedical field was that authors must have participated sufficiently in the work to take public responsibility for the content. The definition of *participation* is crucial for our current discussion:

"Participation must include three steps: (1) conceptual design of the work represented by the article, or analysis and interpretation of the data, or both: (2) drafting of the article or revising it for critically

important content; and (3) final approval of the version to be published.” (emphasis added by current author; Reid 1993:4; see Huth 1986 for a general discussion).

The nuances of this problem of author responsibility and co-authorship become clear in the preparation of contract reports, the most common form of grey literature in American archaeology. This problem may be viewed from several perspectives but here I present a subset.

Author Attribution

Archaeologists possess different degrees of experience, education, and skill and many are incapable of writing, despite the fact that the final report represents **the** consistent deliverable resulting from a project. In the contract world, a senior archaeologist, who is responsible for the final quality of presentation and interpretation of reports largely written by others, often ends up *revising a report for critically important content*. In fact, it is not uncommon for senior archaeologists to completely rewrite a report. Yet, a distinction must be made between rewriting because (1) the archaeologist cannot express themselves clearly in written form although they are responsible for the conceptual, analytical, and interpretive aspects of the report, versus (2) they do not have sufficient knowledge of the topic or the theory to present a coherent and well reasoned statement. In the latter case, if authorship remains with the original writer after major rewrites that person is credited with work they did not create and cannot replicate or defend. In the first instance, if authorship is shifted, credit may be unjustifiably given to one who makes nothing more than copy edits or technical suggestions while not taking part in the research or contributing substantively to the content of the report (see Huth 1986:257).

In other instances the senior archaeologist cum editor rewrites the report and claims authorship, often as senior author on a document. While this raises the ire of the original contributors it seems to be a common practice and one that may be warranted by widely practiced standards of scholarship. In the academic world a professor may coach a student through the publication process, even granting senior authorship to the student in cases where it is not fully justified. This is the professor's role as mentor. Yet in the business world of contract archaeology it is expected that writers are professionals with a skill set appropriate to their position. If the product is substandard someone else becomes responsible for completing the report; completion is defined as acceptance by the client and the regulating agency, in accordance with the standards of the profession in a specific region. It is appropriate from a scholarship standpoint for that follow-up author's contribution to be acknowledged through authorship attribution. This avoids the problem of professionals being credited with work they are not capable of replicating or defending. In this way the initial contributor is not cited for more than their contribution and they are less likely to be hired again for the same task, a task beyond their abilities.

Chapter Attribution

Reports are often produced by many contributors, but it is not always the case that attribution is assigned to each chapter. Rather a long list of contributors is presented on the cover page, often in alphabetical order or in order of seniority or project hierarchy. Through this means intellectual property is seized under the guises of egalitarian practice (what is more egalitarian than alphabetical listing) or a weighting of status within the project on equal terms with the actual intellectual contributions of individual authors. This would not be a problem were it not for the fact that archaeologists are professionals that have only their professionalism and skills with which to trade. Intellectual and scholarly contributions are the products of trade and it is deceptive and unscholarly for an author to claim credit beyond their contribution and abilities. Moreover, it can be detrimental to one's professional career to fail to receive credit for work conducted.

An example from a local contract firm illustrates the unfairness of this practice and also the connotations conveyed by such practices regarding the responsibility and ability of authors. A recent Ph.D. versed in theory was hired to prepare analysis and interpretation chapters, but provision was not made for individual chapter attribution. The Ph.D. was in a structurally subordinate position to the bachelors-degreed project director who was responsible for project oversight. In the end, the project director

claimed senior authorship for the report as a whole, though he wrote only a limited portion of the descriptive chapters. This practice diminished and actually obscured the involvement of the Ph.D., even though that contribution was unique and based upon specialized and extensive training. The result is that the project director was given credit subsequently through the citation process, and by default claimed ownership of concepts that were far outside his area of expertise and understanding. Clearly he could not defend the analyses or interpretations.

Company or Organization Authorship

Environmental and archaeological contracting firms employ professional archaeologists to conduct cultural resource work in compliance with local, state, and federal laws. The company must obtain a permit but each individual archaeologist is also permitted and without those permitted professionals the company cannot conduct archaeological work. On the other hand, the company, not the individual archaeologist, is responsible to the client and to the permitting agencies. In the case of the latter, the logic used is that the company controls the purse strings and can regulate the quality of work and the final product. Moreover, if action must be taken for noncompliance it is easier to pursue a company than an individual who may have no assets and who may move from place to place. Responsibility for the conduct and logistics of field work, analysis, and report preparation (business considerations) are often conflated with the issue of project design, implementation, and authorship, which are professional rather than as business considerations.

The company-based responsibility for producing and obtaining credit for the final report product (so they will be paid and hired again) creates conflicting objectives that are often at odds with sound professional practice relating to authorship. Companies sometimes feel authorized to remove the professional's name from the final document, even without the author's knowledge, replacing it with the company name, even without substantial modifications to the report that would warrant removal of the name. This occurred in my experience where the author's copy arrived with my name pasted onto the title page, beneath the original company byline. The significance of this correction did not become clear until many years later when my report was being cited as a company report with no credit given to me as the author (Seymour 1991; SWCA 1991).

Approval of Proofs and Editorial Changes

The example just discussed presents another facet of the problem wherein authors do not necessarily see the final product before publication. This applies to contract reports as well as to conference proceeding and other edited volumes produced within the non-academic community. When one is volunteering their time to edit it is often easier shorten the editorial process by eliminating the final author-approval stage, especially given the costs and time involved in producing a volume. The fact that many professional standards and guidelines do not deal with this issue explicitly means that this stage of review and quality control can easily be eliminated, and even abused. Errors could be reduced and clarity increased by allowing author review of final proofs, making such volumes more scholarly. As a result they might be used and cited more widely beyond the local community in which they are produced. Being allowed to review edits to work before publication should be a professional "given;" it is surprising how often such courtesies are not extended.

Author Responsibility

The flip side of this problem becomes apparent when a project director is left with an uncompleted report while the archaeologist charged with writing that report departs for employment with another company. Sound scholarly practice and professionalism would dictate that the employee writer should see the project through, completing the report prior to departing, or that they maintain responsibility for the product even after leaving. This acceptance of ownership occurs so rarely in archaeology an example escapes me. After these departures, which occur quite routinely, the professional commitment ethic falls through the cracks. This is particularly problematic when sites have been destroyed through the mitigation process because the report serves as proxy for that site for future researchers. The product suffers substantially

with the removal of personnel who were key to the project, but this ethical breach is generally not acknowledged.

Aftermath of Projects

Report Disposal and Trade

Long after projects have been completed the data dwell on servers and in file cabinets in secure repository facilities. On the other hand, report copies that have been disseminated to interested professionals and agencies form seemingly endless rows of mostly spirally bound and bulky volumes in private collections. Eventually as professionals retire or find themselves in need of money, these reports in private collections or libraries of individuals are distributed via used bookstores and the Internet.

This would not be a problem were it not for the public's seemingly insatiable interest in finding archaeological sites and looting materials from them for display on their mantles or for sale to worldwide markets. Many of these reports contain confidential site locational information that is supposed to be kept locked away. Excavation volumes may report on sites completely destroyed by development, in which case there is no problem with revealing the site's location. In many other cases, however, sites and their locations are reported that were either (1) incompletely excavated, or (2) encountered on survey where impacts could be avoided. In both instances sites have additional research value and retain other characteristics which make them important under the National Register of Historic Places criteria of significance (Shrimpton 1997). Were it not for this careless dispersal of reports, the locations of these sites would not be revealed and exposed to the threat of vandalism. Professionals must consider the long-term consequences of their actions when reports are sold.

Storage of and Access to Documents with Historical Value

In discussions of the grey literature there is often a focus on long-term preservation of data and reports in useable formats that can be *migrated* as new technologies and software arise. Yet, also at issue for archaeologists is that the original paper documents hold intrinsic historical value and their transfer to digital formats does not entirely solve storage or access problems. This is because the original paper documents eventually gain historical value, just as the Declaration of Independence has, owing to their eventual shift into the historic past (usually defined in the United States as 50 or 75 years). Archeologists focus not just on the historical importance of the iconic documents that loom large in our nation's history, but also on the historical value of the mundane, the documents that belonged to or result from study of commoners and their daily activities. For example, paper field notes relating to the excavation of a nineteenth-century privy are valued for their future status as historical documents at which time as they will pass into historic context. When notes or a manuscript prepared by an influential archaeologist are curated in an official repository, the documents may assume much the same significance as if a nationally recognized figure had penned the text. These values have repercussions with respect to curation of these specific documents in perpetuity, rather than a facsimile or digital version.

Poor Scholarship and Open Sourcing

Scholarship standards are defined specially in each discipline, but certain professional standards are universal, such as crediting scholars for their intellectual product and acknowledging the value of cumulative knowledge by recounting the history of thought on a topic. With the recent focus on open sourcing some of the old standards can become blurred, usually to the detriment of the scholar who produces a "grey" product.

Open Source: Data Producers and Consumers

With the open data movement there are large-scale initiatives to increase access to raw data, and this has helped in the dissemination of grey literature, but there has

been no corresponding ethical discussion with this open data movement. With data sharing comes a responsibility of the data consumers to give proper attribution to those who designed and collected the data, and those who conceptualized and wrote about it first. This must be enforced at the repository level with the addition of clear user agreements, legally compelling attribution for content providers, and a broadened acceptance of what constitutes plagiarism and unacceptably poor scholarship related to idea mining and intellectual property.

The open source issue is more than a theoretical problem; it permeates all levels of the archaeological profession in the United States. For example the Society for American Archaeology Ethics Principle No. 5 on intellectual property is dismissive of the grey community (that produces the vast majority of data), especially in practice of this principle. The principle states: "A researcher may have primary access to original materials and documents for a limited and reasonable time, after which these materials and documents must be made available to others." On the face of it, this looks reasonable and acceptable, guarding against data hoarding for the lifetime of a researcher, but when it is understood how this is implemented, the insidiousness of this asymmetrical policy becomes clear. There is no accompanying clause that requires data consumers to acknowledge and cite the real depth and source of the information and ideas, nor is there an intention to add such a clause, as I have advocated.

Inappropriate Site Files Repository Use

In order to understand the depth of this problem it is helpful to understand the complexity of archaeological projects, the amount of planning undertaken, the quantity of labor and initiative involved, and the disposition of records and reports following completion. An inventory of cultural properties on a landscape or a multi-year excavation project, summarized in a several volume report set, involves many stages of effort that require experience, skill, and care to implement properly. Data are collected within a research framework by scholars familiar with the cultural sequence in the area and the exigencies of its study. When the project is completed the field records may be curated and dealt with in a database that is separate from the report.

Because of these curatorial procedures, site records can be studied remotely (on line) without a researcher seeing the report and consumer use is not tracked. In fact, it is common for data to be culled and analyzed without use of the report. Yet, at a minimum consideration of the methodology is required to discern if the resulting data found in the site files repository are reliable. Consideration of the theoretical links between data collected and inferences drawn is necessary to evaluate whether the conclusions are sound. It was the original researcher whose careful design, effective implementation, and responsible curation made the data valuable in the first place and available for consumption. If nothing else, consultation of the report is necessary to ascertain how the work was carried out, how the sample was collected, and to determine if the data are amenable to further specific analyses. Citation of the original report for the contributions made is a prerequisite for good scholarship.

Yet site records are often searched to address questions that may not be consistent with data collection procedures. Issues of data integrity (such as whether ceramic descriptions are accurate or whether site type classifications vary between recorders or projects) are rarely considered. Academic presentations at two recent conferences discussed the distribution of small sites by period, not considering that those familiar with that data set were aware of problems with the ceramic identifications that were used to date the sites. Moreover, although being presented at that conference as a new approach to landscape studies, contract researchers have been studying small sites and landscapes for decades, producing a rich and varied literature, some even published in referred journals.

It is also common for in-text citations in referred journal articles and books to reference the repository institution where records were obtained but the original report is rarely cited and probably not reviewed. It is almost as if these Johnny-come-lately practitioners perceive that if they do not read the original report they will not be obliged to cite previous researchers; if they feign ignorance or accessibility problems they alleviate their responsibility for proper attribution and citation. Researchers proceed with the assumption that the data are freely available, equating open source with unclaimed, previously unassigned, or unspoken for. They do not always

acknowledge rights of credit and attribution or issues of intellectual property that they themselves would expect for lesser contributions.

Format and Content

The researcher in contract archaeology (as compared to the practitioner) is often a skillful and prolific data producer but whose product is discounted as descriptive and simple-minded. To the contrary, many grey community or contract projects are well-designed research programs, contributing substantial advances to method and theory, contrary to the opinions of some (e.g., Longacre 1981:490). As Renfrew (1983:6-7) points out problem orientation has been much too narrowly interpreted. Citing Binford he notes that archaeology as the science requires both description and explanation, and in order to explain variability in the record one must first know "what it is," making the first task descriptive. The difference between the "what" and "why" questions is somewhat overstated by Renfrew, who suggests that the "why" or explanatory questions can best be addressed by university-based archaeologists. Contrary to this view, however, many contract archaeologists do tackle the "why" questions, providing a wealth of data to place explanations on solid ground.

One reason data obtained during contract projects are often so valuable is that they have been collected in well conceived and implemented research programs with respectable sample sizes. For example, work in the oil fields of southeastern New Mexico have produced tens of thousands of linear miles of transect data, much of which has been collected within a single research framework using standardized forms, providing what may be the largest-scale regional inventory sample available in the American Southwest, and all was collected under the oversight of a single principal investigator. Similar levels of well conceived research has been carried in the south-central portion of New Mexico on Fort Bliss, where sustained and peer reviewed research program are routinely undertaken. When these datasets are used those who conceived and carried out the research should be cited for their foresight and care in designing and implementing the projects.

Data-consumer researchers often consider themselves uniquely capable of seeing the larger picture, of transforming these apparently descriptive and unsophisticated works into important methodological and theoretical statements, and of pronouncing on higher order topics. Deference to "open source" and strict adherence to the SAA ethics principle (without consideration of the rights of the data and report producers) provides consumers with a distinct advantage that must be acknowledged.

To some degree it is differences between format and emphasis in content found in the grey literature as opposed to journal-oriented presentations that provides a structural basis for the devaluing of the former. Data are paramount in conclusions in the grey literature because there is an abundance of data. This is inverted in the academic literature where data may play a relatively minor role and methodological or theoretical contributions are primary. The devaluation of data itself and the exaltation of method and theory allow harvesting of methodological and theoretical ideas (without citation) that are presented in a different format, using a different script, or that may not be fully developed or explicitly stated but are nonetheless present in and guide the production of the grey literature.

There is an established system that dictates which topics of research are more worthy and which styles of presentation are more appropriate (Hutson 1998:1; also see Gero 1995:178) and these differ between academic and contract archaeologies. Among those who publish in referred journals, narrow focus on one way of thinking seems to justify pilfering ideas that are not presented in these acceptable formats and which do not specifically address preferred research themes or employ the most current jargon. Differences in objectives and format of grey versus white literature should not be confused with the intellectual or scholarly capabilities of the authors, the value of the content, or the kernels of ideas that deserve citation.

Idea Mining and Cherry Picking

The paradoxical aspect is that while the grey product and grey producer in archaeology are derided, the content is being cherry picked. Grey archaeological literature plays a central role in the advancement of science in that the scholars producing grey reports lay out complex notions, gather the vast majority of the data being generated, and make substantial theoretical and methodological advancements.

Project data are then plundered by those who independently pronounce on its importance. Ideas are often harvested from grey literature sources without proper attribution, even when used in the same way or when the same conclusions are reached. The original contributors are forgotten and the chain of intellectual contribution truncated because wide subsequent citation of influential authors dictates ownership of concepts. By repackaging the original message credit for the research is transferred. These archaeologists are aware that original reports exist because the reports are called out in the records they access, but for some reason current scholarly practice does not demand that they seek out and incorporate their content or make reference to them. Attitudes about the grey literature also allow lazy reviewers to justify the fact that they are not up on the current literature by suggesting that citation of grey reports is unacceptable. Yet, no regional overview of scholarly synthesis can be complete without ample reference to the grey literature.

In some instances, data sets available in museum repositories and in reports filed at major institutions are purposefully and calculatedly ignored, regrettably by students, contract archaeologists, and university-based researchers alike. Organizations that have established themselves as research institutions are sometimes most resistant to citing the contributions and innovations of others that have the potential to unseat them as the leading experts. Other times the products of prolific contract firms are simply not actively sought. Archaeologists motivated by the desire to conduct quality research, however, actively seek out information from other researchers and contract firms to discern whether research has already been undertaken on a research theme. Relevant materials can be identified through word of mouth via introduction into contract knowledge networks that can be identified with reference to key players or firms in each permit region. Through review of bibliographies the most relevant references can be easily identified, serving as a substitute for a formal literature index.

Sloppy scholarship, idea mining, and efforts to highjack concepts, content, and credit is not restricted to ignoring sources produced by American contract archaeologists, but also extends to those producing in non-English language venues where literature falling into the grey category is common. For example, an article by Mexican scholar Dr. Jimeniz Betts (2007) complains of many of the same issues. His compatriots are not cited and the abundant Spanish-language grey literature is ignored by guest researchers. As Jimeniz Betts (2007:32-33) notes the work and data published in Spanish are completely overlooked by some researchers, despite the availability of over a century of research reports. This is true in North America as well where decades of work by thousands of archaeologists is made accessible to outside researchers who either do not consult these sources or neglect to acknowledge the data designers, collectors, analysts, and writers.

Referencing the "overambitious self-centered researcher" Jimeniz Betts (2007:33) comments on this practice from a Mexican perspective:

...it is surprisingly not rare to find instances where a foreign researcher has used information and/or interpretations that have been published in Spanish, without ever referring or citing author or publication...the practice of plagiarism...may come as a result of the seemingly "dog eat dog world of American archaeology [and]...may induce the overambitious self-centered researcher to do this...As spectators from the vantage of Mexico, this is extremely annoying to say the least.

Jimeniz Betts speaks plainly when he uses this much maligned term "plagiarism," which, when raised as an issue, is never sufficiently defined in North American archaeology to be invoked. Like Mexican archaeologists, those of us in the United States who receive this same treatment find his question appropriate: "Is it really too much to expect that...we simply communicate, recognize and respect the other?" (Jimeniz Betts 2007:34). It is too much to ask for practitioners to follow higher standards, to conduct their records searches more thoroughly, cite the work of others, and to practice a more ethical type of scholarship?

In other cases, the work is not just ignored, but rather calculated and systematic efforts unfold to discredit the work of others on any of a variety of pretenses while the premium concepts and content are repackaged under their own names (for a specific example, see the discussion in Seymour 2008:253). A common tactic among archaeologists (and throughout the sciences in general, see Armstrong 1997:70, 71; Sabloff 1998:873) involves raising questions as to a competitor's methodology or field

techniques, or some other issue that sidetracks attention from the research being conducted, allowing the detractor to step in and claim the concepts and content.

Concluding Statement

The archaeological grey literature is characterized by a series of unique issues, complicating factors that affect dissemination, preservation, and use of these documents. To be sure not all are access issues, and in fact, access is becoming less of a problem as more and more data and reports are being transferred from musty, dark basements to online systems where access is obtained via pass-word-protected gateways. The real issues that face American grey literature are cultural in the sense of how the archaeological community views itself and its members, the acceptable ways in which contributions are made and acknowledged, and how the divide will be bridged between data producers and consumers. Composed of professionals with degrees and specialized training, a level of professionalism is expected. Yet many of the standard practices are more consistent with non-professional behavior, such as writers abandoning a project before completion or committing to a job without appropriate training. Many of the problems will be solved as academic institutions acknowledge the dominance and importance of contract archaeology, begin to value its practitioners and their product, and train students to compete in the new workforce. Understanding the differences between the academic and contract worlds in the ways in which method and theory are used and discussed will go far toward practitioners understanding one another and appreciating the contributions made by each. Differences in objectives and format of grey versus white literature should not be confused with the intellectual or scholarly capabilities of the authors or the value of the content.

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DAPHNE, Full Text Repositories and Other Resources: What Place for Grey Literature on Archaeology in France Today?

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Abstract

This paper seeks to evaluate the presence of grey archaeological research output in databases and archives available in France today. What kind of documents do we find (theses, reports)? In what proportion do we find them in comparison with white literature? How does the data in France compare to that in other countries? How does the online presence of grey literature in archaeology compare to other disciplines in the humanities and social sciences? If there are differences, how can these be explained? We shall base our analysis on DAPHNE, a recently opened French portal for online databases in archaeology, history, and history of religions, and on French repositories and catalogues providing access to full text documents.

Keywords: DAPHNE, HAL-SHS, archives, grey literature, doctoral theses, France, database

Introduction

What grey resources for researchers in archaeology and prehistory are available through the Internet today? How do they compare to commercial publications? In our study we evaluate the availability of grey literature from different sources such as the portal DAPHNE, French full text repositories or digital libraries.

DAPHNE

Origins of the Project

The results of French archaeological research both in France and abroad¹ and those of the major international research centres are made available via indexing descriptions in bibliographic databases. In France, archaeological research is carried out by universities, institutional research centres attached to the National Center for Scientific Research (CNRS)², the Ministry of Culture, and by local communities (regions, "departments," or cities). The results of this research are sometimes available with free access to the bibliographic records, but this is not always the case and there is an irregular visibility. For example, some databases are only used by a group of experts, such as the "Bulletin Analytique d'Histoire Romaine" (BAHR³), whereas others are hosted by international servers (FRANCIS⁴). This dispersal of information, heterogeneity of both accessibility and the ways to access, and the lack of visibility led the producers of three databases (FRANCIS, FRANTIQU⁵, and BAHR) to decide to share their documentary data in archaeology and history to offer free access via a single portal.

The Partners

- FRANCIS is the national bibliographic database for humanities and social sciences. For the DAPHNE project, we have selected the files "Prehistory and Protohistory," "Art and Archaeology" and a part of the "History and Science of Religion" file until the year 1000 A.D.
- FRANTIQU is a database dedicated to the Sciences of Antiquity in principal aspects: religion, politics, society, philosophy, economics, art, daily life.
- BAHR is a database dedicated to the Roman history.

The Portal

DAPHNE⁶ is a French portal for scientific information on archaeology and historic sciences. DAPHNE (**D**ata in **A**rchaeology, **P**rehistory and **H**istory on the **N**et) offers

more visibility and greater homogenization of data (e.g., adoption of MODS format see below) and terminologies than these other three databases alone because of its centralized and single portal access to the documentary data of these three producers.

The technical choices behind creation of the project permit future extension of the project to other national and international producers of data on these subjects. At the origin, those who conceived of the project made technical choices that opens DAPHNE to others data producers. To further this purpose all data are shared under a single international bibliographic format, the system of bibliographic description is MODS⁷ 3.0 by the Library of Congress. The portal allows data loading with the use of a harvesting OAI-PMH system. New data producers can be easily added and a new user interface in different languages can be provided owing to the open structure. The aim is to be open to European partners.

As the DAPHNE portal is based on the pooling of bibliographical data in archaeology to allow thematic, chronological, and geographical access to research results, the visibility of the grey literature on this portal is not the first priority. The aim of this portal is to provide relevant answers to targeted queries through the use of precise and up-to-date indexing languages. The three partners have worked toward the convergence of terminologies. This portal has not been designed for specialists of scientific information or for documentation centres (although it can be used by them), but rather it is intended for researchers and students. It is also hoped that this portal can be directly useable by non-specialists of scientific information. Because the portal is a tool for researchers, recent information on a subject ("La Hoguette," for example) can be accessed, but it is harder to find direct information on other kinds of topics, such as the grey literature. This is relevant because of our efforts to examine the presence and accessibility of the grey literature using this portal.

Grey Literature (GL) in DAPHNE: An Inventory

Table 1: Percentage of types of documents in DAPHNE

Articles	61.37%
Books	33.56%
Exhibition catalogues	0.20%
Conference reports	0.63%
Theses	1.75%
Conference proceedings	3.13%

Typology of Documents

Table 1 shows the percentage of types of documents held in DAPHNE. It should be noted that articles and books together represent more than 90 percent (94.49%) of the total documents in the portal. Exhibition catalogues are very much in the minority on the portal (0.2%). Grey literature represents only 5.51 percent of the total contributions to the portal. In comparison with the other producers of data (e.g., IRD, HAL, HAL-SHS, see below), DAPHNE holds relatively few grey documents.

Indeed, the three producers who contribute data to DAPHNE are generally more oriented toward the distribution of articles and books than other kind of documents. Only the FRANTIQU, with its database referred to as FRANTIQU-CCI⁸, features a richer proportion of theses and conference proceedings than the other producers because its network of contributors belongs to the heart of the French university system.

The weak presence of grey literature on the DAPHNE portal in comparison with the percentage of other sources of information can be explained in historical terms. The choice of documentary coverage relates largely to the fact that this portal has been positioned as a complementary service to other sources of scientific information in archaeology/prehistory. As a result, not all documents are deposited in DAPHNE (through the partners) and its content is based solely on decisions by contributors. DAPHNE is designed to accept any source material and so the low percentage of grey literature is a function of who is contributing and the decisions they are making.

Full Text Documents on Archaeology and Prehistory in Archives and Repositories

This section presents the results of a survey of grey literature in on-line institutional repositories and other on-line archives in France. The importance of these on-line resources is increasing rapidly. Specifically our goal was to define in which form grey documents are available: are there only bibliographic references, are the full-text documents available, and are they in open access? DAPHNE and on-line deposits in archives are not linked to each other at present.

In this context we use the term "grey literature" in a restricted way for content that remains grey throughout its life cycle (e.g., reports and theses). We exclude e-prints⁹ which represent a "grey version" of commercial publications (e.g., articles, book chapters, some conference papers).

Methodology

The survey was conducted in May and June 2008. Coming from an academic background, we have limited our study to the academic community (i.e., universities and research institutions).¹⁰ We selected archives providing access to full-text documents which are either referenced in international registries, such as OpenDOAR, the Directory for Open Access Repositories¹¹, or whose records are harvested by websites like OAIster¹², a union catalogue of digital resources. Our timeframe was limited to the years 2000-2008 because information was not available for the period before. Many repositories in France were created after 2004, restricting further the period for our study. At present there is no linkage between DAPHNE and on-line deposits in these surveyed archives.

Identification of grey literature in repositories is no easy task. Grey documents, especially reports, are not very specifically categorized in the larger archives, being classed simply as "Unpublished," "Other," or Miscellaneous." Finding grey conference papers is even more complicated because bibliographic data do not specifically identify e-prints. It is generally necessary to look at the full record to know if the conference has been published commercially.

Results of the Survey

HAL and HAL-SHS

In 2003 CNRS (National Center for Scientific Research), the most important French research organization, signed the Berlin Declaration for open access to scientific research¹³. In the wake of this declaration, it was agreed that HAL (Hyper Article en Ligne), initially a mirror site for the forerunner archive in physics, arXiv, should become the preferred archive for freely accessible scientific publications in France.¹⁴ Today HAL has been renamed an "open archive" ("*archives ouvertes*") and has become THE French repository for CNRS and other French research organizations.

Over time the growth of HAL led to the creation of institutional or disciplinary subsets, called portals. One of them is HAL-SHS, dedicated to Humanities and Social Sciences. Like HAL, HAL-SHS is considered as a tool for "direct scientific communication between academics," providing free access to full texts deposited by authors. A criterion for submission is that the documents should be of sufficient quality to rate submission for publication in a peer-reviewed journal or book. Reports, for example, are only "tolerated" in the archive.

Created in 2003, HAL-SHS now amounts to 18.6 percent of the total input in "*archives ouvertes*" (i.e., representing more than 15,000 items in full text, as of June 2008). Considering that researchers in humanities and social sciences are often said to be reluctant to adopt new approaches, the overall percentage of scientific publications online is quite satisfactory.

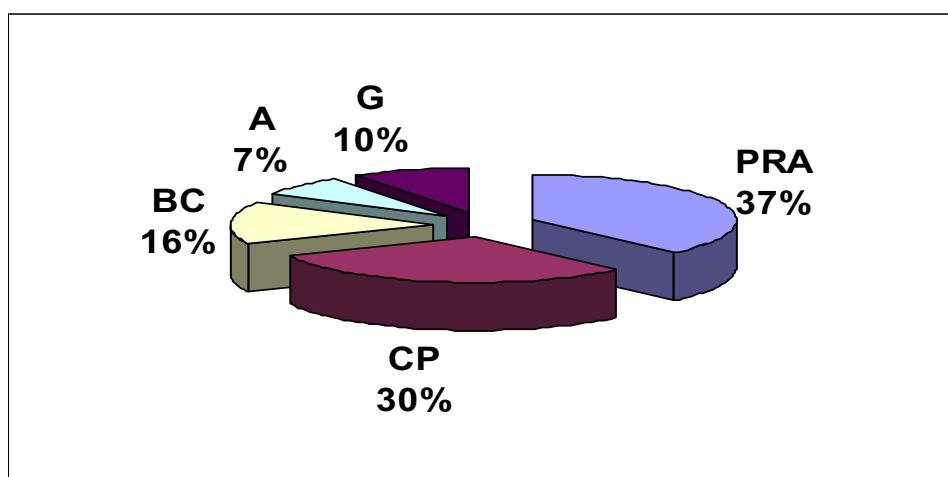
But what about grey documents in HAL-SHS, besides e-prints? Since the primary goal of the repository is to provide access to the full text of published articles, books, or book chapters, these latter categories make up the majority of the archive. Grey literature as defined above (e.g., reports) is not the main or even desired focus of the archive and grey documents are difficult to identify in HAL-SHS. They are not well or distinctly categorized as document types, especially older deposits. Bibliographic records are poorly and not specifically documented for reports and doctoral theses. As a result, these older documents and all grey literature presented special difficulties for

our survey. A closer look at the full record or even the full text was often necessary to determine whether a document was grey or not.

Archaeology and Prehistory in HAL-SHS

Archaeology and prehistory have their own subject category in HAL-SHS. As of June 2008 almost 500 (493) documents in the archive were available in full text, most of them being peer-reviewed articles. Details are shown in Figure 1. About 10 percent were research reports, Ph.D. theses, and other non classified documents that belong to the grey category, whereas the number of grey conference papers could not be evaluated.

Figure 1: HAL-SHS and Document Types for Archaeology and Prehistory



- 493 documents for Archaeology and Prehistory
 - Peer-reviewed articles (PRA)
 - Conference papers (CP)
 - Book chapters (BC)
 - Articles – not peer-reviewed (A)
 - Grey documents (G)

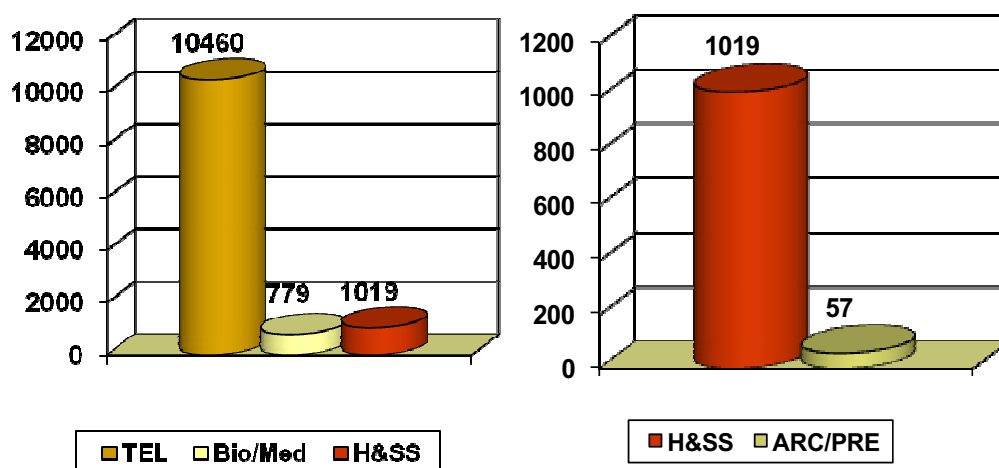
TEL and Electronic Doctoral Theses

Ph.D. theses closely follow articles in repositories in terms of numbers. According to OpenDOAR, 50 percent of French repositories hold electronic doctoral theses (ETDs). Moreover, this grey document type is easy to identify as description standards are explicit and well respected.

TEL (Thèses-EN-Ligne) is one of the oldest full-text repositories in France. Its purpose is to facilitate the self archiving of Ph.D. thesis manuscripts by its authors. It started with documents in physics and mathematics before extending to other disciplines. The percentage of theses in humanities and social sciences deposited on TEL compared to other disciplines looks respectable (about 10%) and they score even higher than electronic doctoral theses in biology and medicine.

A closer look at archaeology and prehistory specifically reveals a less positive picture (Figure 2). Only 36 Ph.D. theses with a subject dealing with archaeology have been deposited with their full text and only 21 documents relate to prehistory. This represents a total of 57 theses, or 6 percent of the doctoral theses submitted to humanities and social sciences in TEL.

Figure 2: TEL - ETDs, Numbers for the Archive, H&SS, Archaeology/Prehistory



The result is confirmed by the following comparison. The national union catalogue, SUDOC (Système universitaire de documentation), represents the national bibliography for doctoral theses in France. SUDOC provides the total number of doctoral theses presented by researchers in France in archaeology and prehistory. We selected the period from 2000-2007 for which data from both the national bibliography and on-line archives were available. The results show that a total of 739 Ph.D. theses in those two disciplines (archaeology and prehistory) were defended during that period, 540 theses in archaeology and 199 theses in prehistory, giving an idea of the total production in these fields (Table 2). Only about 8 percent of them are available in an electronic version through TEL and even fewer (15 in all) through other university archives.

Table 2: French PhD theses in Archaeology and Prehistory (2000 – 2007)

	ETDs in TEL	SUDOC (Union catalog)	ETDs in univ. archives	<i>Total</i>
ARC	36	540	14	590
PRE	21	199	1	221
Total	57	739	15	811

A possible explanation of these low figures would be as follows: Archaeology and prehistory belong to the "poorer" disciplines in French Universities and it is not easy to obtain funding. Students may therefore look for funding ("*bourses*") in connected disciplines, such as geology or computer science. Consequently the theses would be presented in these fields. They would not be categorized as publications related to archaeology or prehistory in repositories, such as TEL, except when explicitly indexed or if significant terms in the title or abstract relate to those domains.

It is expected that the number of French full-text doctoral theses available on the Internet will increase in the years to come. A national programme encourages the deposit of electronic versions, even making it mandatory – with some exceptions for universities which are not yet ready. The programme is still in its early stages for some universities and our survey was carried out too early to determine the effect of this requirement.

Germany started a similar programme some years earlier to make electronic doctoral theses available through the catalogue of the national library. A search by our survey, however, revealed a similarly low number for full-text electronic doctoral theses in archaeology and prehistory available through the German union catalogue for theses. This might be due to the low number of students doing a doctoral thesis in archaeology.

Other Academic Repositories

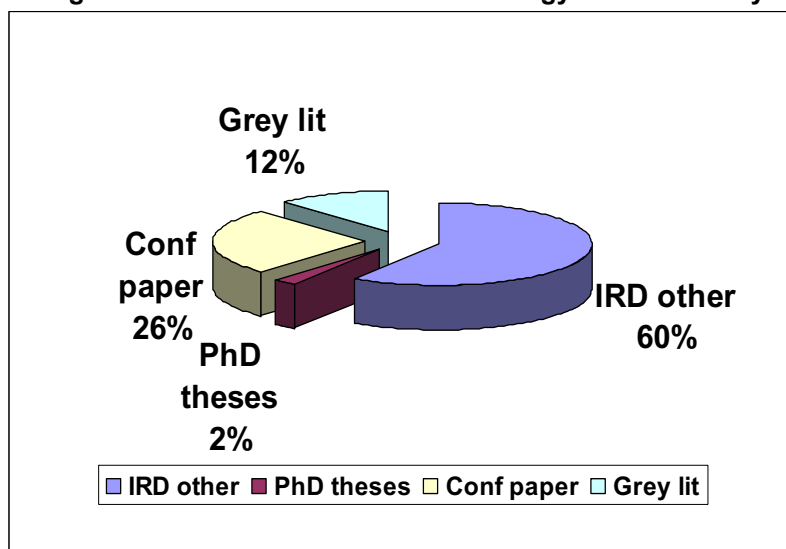
Among the repositories registered in ROAR (Registry of Open Access Repositories)¹⁵ and OpenDOAR, we found an interesting number of documents for archaeology and prehistory in one French archive, namely IRD. IRD (Institut de Recherche pour le Développement) is a French public science and technology research institute, under the joint authority of the French ministries in charge of research and overseas development. It conducts scientific programmes contributing to the sustainable development of the "countries of the South" (mainly in the tropics), with an emphasis on the relationship between humans and the environment.

IRD has a collection of about 760 documents on archaeology and prehistory referenced in an online catalogue. The link to full-text access has been added wherever available. Most of the documents are reports on research and excavation campaigns carried out in other countries.

The IRD catalogue does not allow a search for our domains (archaeology and prehistory) as a thematic category. Our analysis is therefore based on the presence of "archaeology" or "prehistory" as descriptors in each record. We had to exclude, for example, documents about the "prehistory" of a scientific discipline, etc. On the other hand, if the above-mentioned descriptors are missing, the document will not be found.

With regard to "grey documents" the categories indicated below are those used by IRD. Among the 760 records for archaeology and prehistory there are 19 doctoral theses and 92 grey documents (=12%). Most of the conference papers indicated in Figure 3 belong to the "white" category, being published by commercial publishers.

Figure 3: IRD Documents on Archaeology and Prehistory



Digital Libraries

Besides current research output made available through repositories, several initiatives exist concerning the digitization of older documents which now belong in the French public domain (i.e., for which author's rights issues no longer exist). Documents of archaeological interest can thus be found in *Gallica*, provided by the French National library (BNF). Although most of these publications are not "grey," strictly speaking, we found it interesting to mention them.

The French School of Athens (Ecole Française d'Athènes – EFA) offers a digital library of its resources called CEFAEL - Collections on Line of the French School of Athens. CEFAEL provides online access to the Hellenic Correspondence Bulletin, and the entire collection of the monographs published since 1877 (500 volumes). As a result, CEFAEL offers the public the opportunity to consult a total of about 250,000 pages, which is expected to evolve. Some of these collections include doctoral theses.

The website of Casalini Digital Division provides a free "viewing" service for documents published since 2000 by the French School of Rome, but the text download costs 0.20€/page.

The House of the Orient and the Mediterranean created a digital library for documents published at the end of the 19th and the beginning of the 20th century (i.e., documents which are no longer covered by copyright [in the public domain] and are of interest to their researchers). Seventy eight documents are thus available in full text.

Final Excavation Summary Reports

The most important and most interesting source of information resulting from field archaeology, the "documents finaux de synthèse" or final excavation summary reports, are systematically deposited in local archaeological services (attached to the French Ministry of Culture). These documents can be consulted locally but are not available on DAPHNE. Access to these documents is restricted for reasons of confidentiality, mainly to protect archaeological sites from looting. For the same reasons the references are not integrated in the databases cited above. Only isolated documents can be found on the Internet (perhaps made accessible by error). They may, however, be mentioned in the lists of publications of researchers.

The annual production of final excavation summary reports is estimated to 2,000-3,000 documents.

Going Multimedia

While the dissemination of grey text documents may need to catch up with other disciplines, the Humanities and Social Sciences department of CNRS has been on the forefront for multimedia material (mainly video and audio documents).

The ARA Programme was created in 2001 at the Fondation Maison des Sciences de l'Homme ("House of the Sciences of Man Foundation")¹⁶ in Paris. There are 23 audio or video documents at present under the category of archaeology. The second site called "Diffusion des savoirs" de l'École Normale Supérieure¹⁷ provides recordings of conferences, seminars and workshops.

Conclusion

In conclusion, DAPHNE represents an effort to facilitate the access to research results in archaeology and prehistory. Yet, the low incidence of documents being called out as grey and the low number of grey documents makes the portal of limited use for these type of documents. Our survey indicates that the same observation holds for repositories outside the DAPHNE portal. Indeed the percentage of full-text archives with grey documents in archaeology and prehistory is still low (but can be increased) and those that are present may be difficult to find. The situation should improve for digital theses, because efforts are being made on a national level to encourage electronic doctoral theses. Because our survey was based on archives made known through directories and metadata harvesting, further grey treasures on French archaeology may lay hidden in the depths of the web, waiting to be discovered, or to be referenced. Finally, an important part of archaeological grey literature (the final excavation summary reports) has no presence on the Internet at all owing to the need for confidentiality.

Links

- DAPHNE <http://www.daphne.cnrs.fr>
- OpenDOAR - Directory for Open Access Repositories. <http://www.opendoar.org/>
- ROAR - Registry of Open Access Repositories. <http://roar.eprints.org/>
- OAISTER <http://www.oaister.org>
- BASE - Bielefeld Academic Search Engine <http://base.ub.uni-bielefeld.de/en/index.php>
- HAL-SHS <http://halshs.archives-ouvertes.fr/>
- HAL (Hyperarticle en Ligne) <http://hal.archives-ouvertes.fr/>
- TEL <http://tel.archives-ouvertes.fr>
- IRD <http://www.documentation.ird.fr>
- GALLICA <http://gallica.bnf.fr/>
- Ecole Française de Rome <http://digital.casalini.it/efr>
- Collections on Line Of the French School of Athens (EFA) <http://www.efa.gr/>
- ENS <http://www.diffusion.ens.fr/>
- DigiMOM <http://www.mom.fr/-Bibliotheque-numerique-.html>
- ARA Audiovisual Research Archives <http://www.archivesaudiovisuelles.fr/EN/>
- Diffusion des savoirs de l'École Normale Supérieure (Recordings of conferences, seminars and workshops) <http://www.diffusion.ens.fr/en/>

References

- ¹ Cas of French foreign centres : ex IFAO <http://www.ifao.egnet.net/>
- ² National Center for Scientific Research <http://www.cnrs.fr/>
- ³ <http://www2.misha.fr/flora/servlet/LoginServlet>
- ⁴ <http://oa.mpg.de/openaccess-berlin/berlindeclaration.html>
- ⁵ <http://frantiq.mom.fr/portal.php>
- ⁶ <http://www.daphne.cnrs.fr/>
- ⁷ <http://www.loc.gov/standards/mods/>
- ⁸ <http://frantiq.mom.fr/portal.php>
- ⁹ i.e., the author's version of a document submitted for commercial publication
- ¹⁰ The results of a wider study on grey literature in French repositories were presented at GL10, the Tenth International conference on Grey Literature in Amsterdam, 2008.
- ¹¹ <http://www.opendoar.org/>
- ¹² <http://www.oaister.org>
- ¹³ <http://openaccess.inist.fr/spip.php?article38>
- ¹⁴ HAL is maintained and hosted by the CNRS Centre for Direct Scientific Communication (CCDS) : <http://ccsd.cnrs.fr>
- ¹⁵ <http://roar.eprints.org>
- ¹⁶ <http://www.archivesaudiovisuelles.fr/EN/>
- ¹⁷ <http://www.ens.fr/>

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Eleventh International Conference on Grey Literature



The Grey Mosaic
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Conference Program

DAY ONE

9:00-10:20

OPENING SESSION

Chair, Roberta Shaffer, Federal Library and Information Center Committee, FLICC/FEDLINK, USA

Keynote Address **Peter R. Young**, Chief Asian Division, Library of Congress, USA

Opening Paper **The Grey System for Monitoring Self-Funded Research** Aleksandr V. Starovoitov, CITIS; Aleksandr M. Bastrykin, Yuri M. Bogdanov, and Leonid P. Pavlov, VNTIC, Russia

11:00-12:30

SESSION ONE – IMPACT OF GREY LITERATURE ON NET CITIZENS

Chair, Michelle Springer, Office of Strategic Initiatives; Library of Congress, USA

"Have You Seen the Wheel?": The Circulation of Grey Literature about Domestic Violence among Members of an Online Survivor Group Maria E. Gonzalez, Wayne State University, USA

Raising Awareness of Grey Literature in an Academic Community Using the Cognitive Behavioral Theory Yongtao Lin, Tom Baker Cancer Centre and Marcus Vaska, Health Sciences Library, University of Calgary, Canada

Using Secondary Grey Literature Research in Open Source Analysis: Case Study: The Jordan Property Regime June Crowe and Bonnie C. Carroll, Information International Associates, Inc., USA

The secrecy of grey unveiled: Grey literature and the freedom of information Cees de Blaaij, Library of Zeeland, The Netherlands

13:30-15:00

SESSION TWO – USES AND APPLICATIONS OF SUBJECT BASED GREY LITERATURE

Chair, Janice Kaplan, New York Academy of Medicine, NYAM, USA

Understanding the Use and Influence of Publications of Intergovernmental Environmental Organizations: Evidence from an Analysis of Internal Sources Gregory R.G. Hutton, Bertrum H. MacDonald, and Peter G. Wells, Dalhousie University, Canada

Relationship between and the subject of medical research and the causes of mortality and morbidity: Can Grey help? Primož Južnič, University of Ljubljana, Slovenia

New Shades of Grey: The Emergence of E-Science, Scientific Data and Challenges for Research Libraries Julia Gelfand, University of California, Irvine Libraries, USA

Glimpses of Veterinary Grey Literature: Piecing Together Bibliometric Data for a Clearer Image Robin Sewell, Ana Ugaz, Taryn Resnick, Esther Carrigan and Joe Jaros, Texas A&M University, USA

15:40-16:40

INTRODUCTIONS TO POSTER PRESENTATIONS

Chair, Peggy Clifton, Science, Technology and Business Division; Library of Congress, USA

Opening Poster, Debbie L. Rabina, Pratt Institute, USA – "GreyNet Award Recipient 2009"

(See further Listing of Posters, page 108)

Eleventh International Conference on Grey Literature



The Grey Mosaic
Piecing It All Together

Conference Program

DAY TWO

08:45-10:00

PARALLEL SESSIONS:

- **Sponsor Showcase** in the Foyer adjacent to the Mumford Room
- **Poster Presentations** in Dining Room C of the Madison Building
- **Panel Session on the OpenSIGLE Repository** in the Mumford Room

10:30-12:00

SESSION THREE – GREY LITERATURE REPOSITORIES

Chair, Dr. Lawrence Marcus, Library of Congress, LC, USA

Documenting an Environmental Disaster: The River Valley Collection at Marion Public Library
Ian Fairclough, George Mason University and Dawn McCleery, Marion Public Library, USA

Mosaic: Shades of Grey Keith G. Jeffery, Science and Technology Facilities Council, United Kingdom and Anne Asserson, University of Bergen, Norway

Are legal texts Grey Literature? Toward an understanding of GL that invites the preservation of authentic and genuine originals Michael Lines, University of Victoria, Canada

A Multi-Institutional Approach to Technical Report Literature: Development of the Technical Report Archive and Image Library (TRAIL) Maliaca Oxnam, University of Arizona Libraries, USA

13:00-14:30

SESSION FOUR – OPEN ACCESS TO GREY RESOURCES

Chair, Dianne McCutcheon, National Library of Medicine, NLM, USA

Digitizing Grey Matter from the Antarctic Bibliography Collection Tina Gheen and Sue Olmsted
National Science Foundation Library, NSF, USA

The impact of the development of institutional repositories on “Kiyo” or institutional research journals in Japan Hiroya Takeuchi and Syun Tutiya, Faculty of Letters, Chiba University, Japan

Usage of grey literature in open archives: state of the art and empirical results Joachim Schöpfel and Chérifa Boukacem-Zeghmouri, University of Lille 3; Hélène Prost, INIST-CNRS, France

From CNR Annual report to an Institutional repository: Which successful strategies?
Rosa Di Cesare, Daniela Luzi, Roberta Ruggieri, National Research Council, Institute of Research on Population and Social Policies, Italy

14:45-15:30

CLOSING SESSION – REPORTS FROM CHAIRPERSONS, CONFERENCE HANDOFF, AND FAREWELL

Chair, Roberta Shaffer, Federal Library and Information Center Committee, FLICC/FEDLINK, USA
Dominic Farace, Grey Literature Network Service, GreyNet, Netherlands



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Conference Program

Poster Presentations

Last Update: May 4, 2009

Alphabetical Order

Veterinary Grey Literature: Still Grey When Viewed in a New Light?

Diane A. Fagen, American Veterinary Medical Association, USA

Dissemination of R&D Results Information by JAEA Library

Kiyoshi Ikeda, Mayuki Gonda, Takashi Nozawa, Keizo Itabashi, Japan Atomic Energy Agency, JAEA
Naomi Ebisawa, Total Support Systems Corporation, TOSS (Japan)

Geologic Field Trip Guidebooks; A Project to Identify Indexing Gaps

Lura E. Joseph, University of Illinois, USA

Grey Literature And Computational Linguistics: From Paper To Net

Claudia Marzi, Gabriella Pardelli, Manuela Sassi
Istituto di Linguistica Computazionale, CNR, Consiglio Nazionale delle Ricerche, Italy

System of Grey Literature in the Czech Republic

Petra Pejsova, State Technical Library, Czech Republic

Grey Literature Repositories: Life Blood of the Scholarly Community

Kamani Perera, Regional Centre for Strategic Studies, Sri Lanka
Dinesh Chandra, Ministry of Defence, India

Copyright licenses and their impact on access to grey materials.

Debbie L. Rabina, Pratt Institute, USA

Life-Saving Grey Literature: An Analysis of Mandatory, Police-Distributed Domestic Violence Information Resources

Lynn Westbrook, School of Information, University of Texas at Austin, USA

Note: A total of 15 Posters will be accommodated. Deadline for submissions is October 30, 2009

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About the Authors

Kenneth Aitchison works as Head of Projects and Professional Development for the Institute for Archaeologists, the professional association for archaeologists in the UK. He previously worked as an archaeological contractor and consultant in the UK, Europe and south-west Asia. He is responsible for the management of the IfA's programme for producing and scrutinising quality Standards for archaeological work, and has extensive experience of generating and monitoring archaeological grey literature. He holds degrees in Archaeology from the University of Edinburgh and in Landscape Archaeology from the University of Sheffield.

Catherine Hardman is the Archaeology Data Service's (ADS) Collections Manager. Hardman has MAs in Archaeology and in Archaeological Heritage Management. Her work in ADS involves day-to-day liaison with external agencies and field and university-based archaeologists. She is project manager for the OASIS project, which means she has had to gain cross-sectoral buy-in throughout the UK for the OASIS online recording system.

Mark Harlan received his Ph.D. from the University of Arizona in 1975. He then taught in the Anthropology department at the University of New Mexico from 1974 to 1977. In 1977, he was one of the first academic archaeologists to go over to the contract side of the profession, becoming Associate Director of the Office of Contract Archaeology at the University of New Mexico. He subsequently supervised archaeological compliance projects for a major utility company, then finished his career in contract archaeology as General Manager for the largest contract archaeology firm in New Mexico. He has now retired to return to full-time research in archaeology.

Angela McGowan is an archaeologist who has lived and worked in Tasmania, Australia for over 30 years. She has a Certificate of British Archaeology from Oxford University and a Bachelor of Arts in Archaeology and Palaeoanthropology from the University of New England. She has undertaken a number of major historical archaeology projects in

Tasmania, Heard Island and Antarctica. She was responsible for Aboriginal heritage and historical archaeological heritage management in the Tasmanian Wilderness World Heritage Area for the Tasmanian Parks and Wildlife Service from 1987 to 2003 and currently works for Heritage Tasmania, where one of her responsibilities is the provision of advice on historical archaeology.

Bernard Sampité holds a Masters degree in archaeology and prehistory from Paris 1/Panthéon Sorbonne. He is the former head of the archaeology and prehistory files from FRANCIS and has been the project manager of the DAPHNE portal.

Deni Seymour received her doctorate in Anthropology from the University of Arizona in 1990. Since then she has taught, was employed by a number of state and federal agencies, and has worked for a number of contract archaeology companies. In 1996 she founded her own archaeological consulting firm, the largest in New Mexico, which she sold in 2003, and now she is a full-time research archaeologist, affiliated with two different academic institutions. Throughout this period she has prepared around 1,000 grey literature reports, as well as about 40 articles in referred journals and chapters in edited volumes.

Christiane Stock obtained her Bachelor's degree in archaeology and prehistory at Freiburg University. the Head of the Monographs and Grey Literature service at INIST, in charge of the repositories LARA (reports), mémSIC (master's theses in information sciences) and OpenSIGLE. Member of the Technical Committee for the SIGLE database from 1993 to 2005, she also set up the national agency for ISRN (International Standard Report Number). She is member of the AFNOR expert group who prepared the recommended metadata scheme for French electronic theses (TEF).

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SUMMER 2009 – TGJ VOLUME 5, NUMBER 2

Introduction: International Perspectives on the Archaeological Grey Literature	64
Guest Editor: Deni J. Seymour (<i>United States</i>)	
Standards and Guidance in Archaeological Archiving: The Work of the Archaeological Archives Forum and the Institute For Archaeologists	67
Kenneth Aitchison (<i>United Kingdom</i>)	
Managing the Vulnerabilities of Archaeological Grey Literature: A Case Study From Tasmania	72
Angela McGowan (<i>Australia</i>)	
The Online Access to the Index of Archaeological Investigations (OASIS) Project: Facilitating Access to Archaeological Grey Literature in England and Scotland	76
Catherine Hardman (<i>United Kingdom</i>)	
Archaeology's Grey Literature and Professional Review	83
Mark E. Harlan (<i>United States</i>)	
Special Ethical and Scholarship Considerations for the Archaeological Grey Literature	89
Deni J. Seymour (<i>United States</i>)	
DAPHNE, Full Text Repositories and Other Resources: What Place for Grey Literature on Archaeology in France Today?	97
Christiane Stock and Bernard Sampité (<i>France</i>)	

Colophon.....	62
On the News Front	
GL11 Conference Program	
Eleventh International Conference on Grey Literature.....	106
Advertisements	
NYAM – The New York Academy of Medicine.....	105
EBSCO - Information Services.....	109
About the Authors.....	110
Notes for Contributors.....	111