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'Managing Change in Grey Literature'

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The Grey Journal
An International Journal on Grey Literature

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About TGJ

The Grey Journal is a flagship journal for the international 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.

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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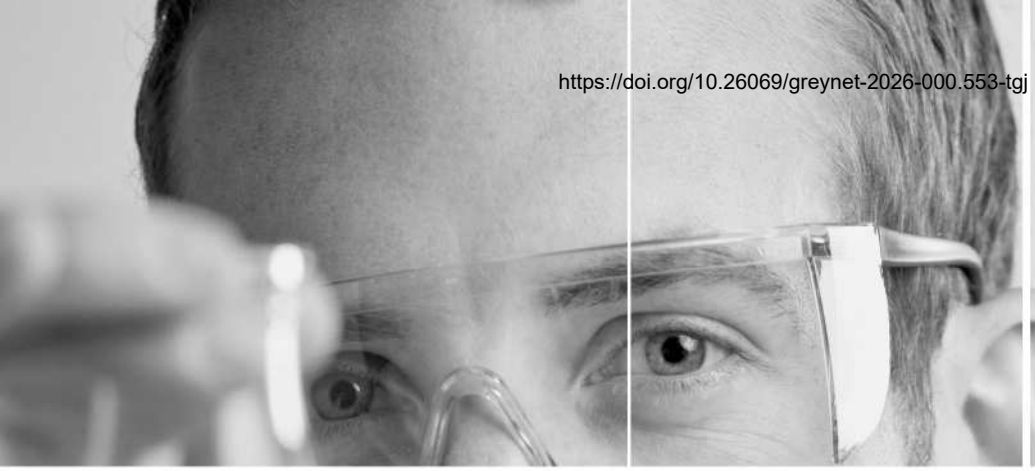
https://doi.org/10.26069/greynet-2026-000.553-tgj

Contents
'MANAGING CHANGE IN GREY LITERATURE'

https://doi.org/10.26069/greynet-2026-000.553-tgj



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Legal Aspects of Grey Literature

Joachim Schöpfel (France) and Tomas A. Lipinski (United States)

Abstract

The paper provides insight into legal issues of grey literature. Based on a short overview of recent studies on grey literature and intellectual property, it suggests a typology of copyright protection for grey literature, in particular for PhD and Master's theses, reports, conference papers, working papers, datasets and preprints. New trends in copyright and scientific communication are mentioned in so far as grey literature is concerned: digital rights, creative commons, institutional repositories and mass digitization. The paper reflects also on the way legal issues impact the definition of grey literature.

1. Introduction

What is the legal status of grey literature? How does intellectual property law protect grey documents? Does it? Only few publications on grey literature deal with legal aspects. This may have at least three reasons. Law and justice are complicated and fast moving topics, especially in the environment of new technology and Internet. Secondly, grey literature is not a homogeneous concept but covers a great variety of documents and situations. Third, responses in the current copyright law are often driven by commercial interests, which are often of lesser importance in grey works. As a result, the copyright law is often underdeveloped when addressing the issues unique to grey literature. Finally, because of the ubiquity and internationality of grey literature, we face different situations and legal traditions even if in the global village. Moral and economic author's rights, copyright, fair use, private use and other exceptions are reshaped by technology and e-commerce, and while national traditions of law and justice are converging implementation of changes may not be uniform.

Processing grey literature requires knowledge and awareness of the national and international legal environment. This paper provides some elements that may clarify the situation. It is the result of a discussion that started in 2010, at the GL12 conference in Prague (Czech Republic) where we suggested a new "Prague definition" of grey literature with a legal dimension: "A digital object is grey literature if and only if it is an item protected by intellectual property rights. In other words, grey literature implies authorship and a character of works of the mind" (Schöpfel 2010).

Immediately, the question arose as to whether this definition also applies to U.S. grey literature since the legal context is different from that of France. In the aftermath of the GL12 conference, we confronted our ideas about the French and U.S. legal systems, as far as grey literature is concerned. Our intention was to improve mutual understanding and to share arguments and information.

The paper is a work in progress. It tries to provide if not an answer but at least a clarification of the problem. Our approach is to analyze and compare legal aspects for different types of grey literature (theses, reports, working papers, communications…) between the United States of America and France, with special attention to digital rights. The paper contains four sections:

- A short overview of recent studies on grey literature and intellectual property.
- A typology of copyright protection for grey literature.
- New trends - digital rights, creative commons, institutional repositories and mass digitization.
- A follow-up to the debate on a new definition of grey literature.

The paper concludes with some general remarks on copyright and grey literature.

2. Overview on studies on legal aspects of grey literature

Only a small number of papers address the legal status of grey literature as a specific category of documents. De Blaaij (1999) is one of the first to investigate how Internet and legal development impact the production and dissemination of grey literature. He considers digital production of grey literature as a model of scientific publishing as opposed to commercial publishing, and he distinguishes two modes of dissemination: grey literature in the public domain, and grey literature as "common property", introducing the principle of "creative commons".

According to Seadle (1999), the “ecological niche” of U.S. grey literature has changed for two reasons: the U.S. membership in the Berne Convention extended legal protection to all grey literature produced in the U.S., and also Internet created a great number of "virtual publishers (blurring), the dividing line between grey and non-grey literature". His idea is that the international access to and use of U.S. grey literature will, at least in the long term, increase awareness of its legal status. But as long as authors and producers rank impact and access higher than legal protection, (so) says Seadle, and until they decide to defend their rights, "copyright for grey literature is almost meaningless", at least in the U.S.

Is this really the case? Cornish (1999) describes the same reality of lack of awareness of legal protection but develops a rather different argument. "Because copyright is automatically bestowed on the creator of an original work, that creator has no say in what rights acquired or how s/he may wish to exercise them initially." Following Cornish most authors and institutions will defend their moral rights, e.g. acknowledgment of authorship and protection of the work's integrity, but will not necessarily defend the economic rights of the exploitation of grey literature. "If they really saw any economic benefit in releasing material presumably they would have opted for the commercial publishing route anyway."

This leads Cornish to another approach to copyright protection. He argues for the adoption of "some kind of internationally agreed code of practice on copyright for grey literature" with a matrix that specifies rights and actions for personal use, internal distribution, commercial publishing or website use. Like de Blaaij (1999), Cornish develops an idea similar to the concept of the creative commons licenses, with "a set of agreed symbols (that) would enable producers of grey literature to put a code on each document which could be understood internationally regardless of language, legal tradition or any other local circumstances." And he adds that this code would act "as a sort of proactive permission removing the need for users to seek unnecessary permissions and owners from having to handle requests in which they have no interest."

By the way, Cornish describes the situation of researchers working for a government agency or a company and the difference between industrial and intellectual property with two different regimes of protection (patent vs copyright). The same distinction is made by Pavlov (2003) in a completely different environment. Although the Russian law protects commercial publishing and innovation, PhD theses and scientific reports are considered state-funded research results and as such are the property of Federal agencies, without any legal protection of the author(s). Thus, it was possible to develop a current research system with information on reports’ and dissertations’ sales. This is the opposite of sharing, creative commons licensing and open repositories.

Banks & de Blaaij (2006) observe that "copyright liberalization represents an enduring legacy of the open access movement (and) has encouraged the proliferation of (...) repositories". Here, the crucial question will be the inclusion and use of scientific data in documents, and in particular the intellectual property of datasets. The legal status of so-called "datuments", e.g. “hyperdocuments (capable of) transmitting and preserving the complete content of a piece of scientific work” (Murray-Rust & Rzepa, 2004) remains open.

Rabina (2008) analyzed the inclusion of grey multimedia materials (i.e. educational materials, mainly movies, used by faculty in graduate LIS programs) in library catalogues from a legal viewpoint. Based on a detailed discussion of copyright and licensing in the U.S. and on survey

on library catalogues, her conclusion is that "that Creative Commons is a barrier to access in traditional tools while traditional copyright is a barrier to access in Web 2.0 environments".

The most interesting recent contributions are from Lipinski (2008) and Polcak (2010). Lipinski (2008) describes developments in U.S. copyright law and policy with regards to grey literature, orphan works, Web-archiving and other digitization initiatives. His main issue is about the publication status. Is grey literature published or unpublished? Which impact does the publication status have on use and legal risk? His conclusion: "The expanded collection and dissemination of grey literature (...) through archiving and digitization is bolstered by recent case law establishing the circumstances under which such initiatives can be a fair use under U.S. copyright law. In addition legislative reform is under way (section 108 and proposed section 514) to increase the range of use rights available to institutions regarding protected content including grey literature. Moreover, the particulars of copyright enforcement may also work to minimize the legal risk in remaining circumstances."

Polcak (2010) analyses the use of grey literature under Czech law. Although this may seem marginal it isn't, because the Czech concept of copyright is not different from that of other European states, in particular France. His paper distinguishes five different legal regimes related to specific purposes of grey literature related to study programs, research activities, or employment settings. His conclusion is that "licensing (…) of grey literature is in most cases multi-level and relatively complicated" and that "legal handling of grey literature in most cases relies not on contracted but on implied licenses".

The Polcak paper is interesting in so far as it starts with some basic assumptions on functions and purposes of grey literature but then describes the legal status for specific situations. His conviction is that "the concept of grey literature obviously does not have legal nature" because of the heterogeneity of grey documents.

Our own approach is more pragmatic, for two reasons: we study a limited number of usual types of grey literature instead of purposes or situations; our study is comparative, confronting French (European) and U.S. American legal regimes, and we put forward arguments that grey literature has indeed some legal nature.

3. Copyright in the United States and France

Before we describe the legal status of different types of grey literature, we need to understand some fundamental elements of U.S. and French copyright law.

In the United States the emphasis of copyright is property-based (economic), due in part to the historical Lockean origins of the Framers of the Constitution bearing the legal source of copyright (art. I, sec. 8. cl. 8.). While international obligations dictate the recognition of moral rights (see, 17 U.S.C. § 106A), such rights are limited in scope of work (applying only to the "author of a work of visual art") and rights (vesting author with the right to control "distortion, mutilation, or other modification") of the work.

Similar to French law there are three requirements before a copyright exists: the work must be original, it must be a work of authorship, and it must be fixed in a tangible medium. (See, 17 U.S.C. §102.) Copyright law does not protect the idea but rather the expression of the idea, thus the requirement of fixation.

Once the three requirements are met, the work is protected. The list of works protected by copyright is found in 17 U.S.C. §102 (Subject matter of copyright: In general) and 17 U.S.C. §103 (Subject matter of copyright: Compilations and derivative works). Many of the works listed there are defined in 17 U.S.C. §101 (Definitions). Works protected include: literary works including computer programs, musical works (nondramatic), dramatic works (including music), pantomimes and choreographic works, pictorial, graphic and sculptural, motion pictures and other audio-visual works, Sound recordings, architectural works, compilations, collective and derivative works.

Generally the creator is the author (owner of the copyright), often creators transfer copyright to publishers or others upon public distribution. In employment settings, when a work is considered "a work made for hire, the employer or other person for whom the work was prepared is considered the author for purposes of this title [title 17 of the United States

Code, where the U.S. copyright law resides], and, *unless* the parties have *expressly agreed* otherwise in a written instrument signed by them, owns all of the rights comprised in the copyright." (17 U.S.C. §201(b).) Case law suggests that faculty of institutions of higher education retain the copyright of their work product such as scholarship and teaching materials.[1] Section 105 indicates that "copyright protection [] is not available for any work of the United States Government."

The French copyright law (author's rights) is defined by the *Code de la Propriété Intellectuelle* (CPI) with two different types of rights (see Benhamou & Farchy, 2009):

- Moral rights: meant to protect the personality of the author/creator through his work (integrity, paternity etc.).
- Proprietary (or economic) rights: the author/creator has the right to authorize reproduction and public performance, e.g. he has a monopoly of exploitation for financial gain.

The 2006 law (DAVDSI) that reformed the CPI implemented the 2001 EU Copyright Directive (Schöpfel, 2006).

The French copyright law (= intellectual property law) applies to any 'œuvre de l'esprit', e.g. work of the mind, with a human intellectual contribution to the work. A list of types of work which are protected is given in the CPI: drawings, paintings, architectural works, literature etc. The list is taken from the Berne Convention but is not limitative. The copyright protection starts with the first disclosure of the work which normally reflects a decision taken by the creator(s). Disclosure is part of the moral rights.

The positive criteria that define a work of the mind are (see Bruguière, 2005 and Edelman, 2008):

- Originality of the creation.
- The author(s) can be identified.
- The creation is an expression of the author's personality.

Works have to be distinguished from materialization (support) and from ideas. Works (= expressed ideas) are protected while ideas are common goods of humanity and as such, they are not protected by the CPI.

The law does not define precisely which kind of work or creation should be protected or not. This is the subject of several decisions by the French courts - they try to provide definitions of what originality or expression of personality means and so on.

A contrario, a work of the mind is not the application of a technique or procedure. And it is not work on commission; even if it may be created on demand. An administrative document written in a professional environment is not considered as a work of the mind. Yet, a report delivered to a Ministry is protected by the CPI - either as an individual creation or as a collective work. The latter is the intellectual property of the person or the institution that disseminates the work. A special case is the work of an author employed by a company or public officer.

"The term 'author' is used to designate the original creator(s) of any type of protected work, e.g., the artist, photographer, director, architect, etc. Where the author cannot be identified, e.g., for anonymous works and collective works, the copyright is exercised by the original publisher."[2]

4. Legal status of some grey documents

Instead of studying legal aspects of grey literature as a whole, we prefer to analyze a representative but not exhaustive shortlist of grey documents, i.e. PhD theses, reports, conference papers, working papers, Master theses, datasets and preprints. For each document type, we provide a definition taken from DBpedia (Bizer et al., 2009). We then describe the legal status of this document type in the U.S. and in France, with comments on special situations or examples, for instance "published PhD theses".

[1] See Lipinski, 2007, and the cases discussed therein.

[2] http://en.wikipedia.org/wiki/French_copyright_law#Protected_works

4.1. PhD theses

Definition

A dissertation or thesis is a document submitted in support of candidature for a degree or professional qualification presenting the author's research and findings. In some countries/universities, the word thesis or a cognate is used as part of a bachelor's or master's course, and dissertation is normally applied to a doctorate, whilst, in others, the reverse is true.

Legal status U.S.

In a recent study examining the documentation surrounding the acquisition and dissemination of dissertations either by deposit or through microfilm G. Clement & M. Levine (2011) concluded that "content analysis of written communications by members of this community indicates that both forms of dissertation dissemination were considered to be legal publication under the 1909 Copyright Act." Prior to the effective date of the 1976 Copyright Act particulars mattered in U.S. copyright law. For works published from 1923-1978 the duration of copyright is 95 years from publication (28 years, plus renewal of 47, plus 20). Thus works published (or dissertations deposited or distributed in microfilm) before 1923 are in the public domain. Dissertations and other works published from 1923 through 1963 would still be protected until 2018, assuming no further extensions enacted by Congress, if published with notice and renewed. For those works published from 1964 through 1977 notice upon publication was again required but renewal was automatic. It is hypothesized that many deposit dissertations were not then published with notice and thus under the law of the time fell into the public domain and out of copyright upon publication, *i.e.* deposit. Those dissertations released in microfilm if distributed by a commercial entity likely contained notice but may or may not have been renewed. If current protection depended on proper renewal, studies suggest that a majority of works may be the public domain, due to a lack of proper renewal.[3]

Whether still protected by U.S. copyright or not, such works fall within the subject matter of copyright, and depending on genre or discipline are likely in the category of literary works, others might be musical or dramatic works or works of visual (pictorial, graphic or sculptural) art, perhaps in disciplines of fine or performance art. Depending on discipline, it should be noted that literary works from the sciences may be "thin copyright" for purposes of a fair use analysis as such content is "informational or factual in nature". See, e.g. *Stern v. Does*, 2011 WL 997230 (C.D. Cal.) unpublished. So if a thesis from a science discipline is still under copyright protection the second of four fair use factors would lean towards subsequent uses being fair.

Qualitative disciplines that draw upon interviews and other oral histories might likewise be considered thin copyright, though not outside the scope of copyright protection. See, *Mastone-Graham v. Burtchaell*, 803 F.2d 1253 (2d Cir. 1986), cert. denied 481 U.S. 1059 (1987) (use of published interviews in a new book fair use).

A work released (posted on a website) through the internet is considered published at least under one district court opinion. *Getaped.com v. Cangemi*, 188 F.Supp.2d 398 (S.D.N.Y. 2002): Posting a web site on the Internet constitutes publication for purposes of triggering ownership rights, i.e., in order to receive statutory damages and attorney fees registration must occur before infringement of unpublished works, or registration must occur within three months of infringement for published works. As a result, report literature first disseminated on websites would be published and while under the 1976 Copyright Act does not impact copyright status it would impact enforcement for subsequent uses made of such works, with registration required before legal proceedings could commence and with registration required within 3 months of publication in order to secure an "award of statutory damages award of statutory damages or of attorney's fees." 17 U.S.C. § 412.

[3] See, e.g., Copyright Investigation Summary Report (2008), available at www.oclc.org/programs/publications/reports/2008-01.pdf

Legal status France

The legal situation in France is rather complicated: "Considered as scientific publications, French doctoral theses constitute an important part of scholarly communication (...) At the same time they are an administrative document necessary to obtain the doctoral degree. In some disciplines they are regarded as a result of teamwork and appear in the list of publications of the research laboratory" (Paillassard et al., 2007).

Thus, a PhD thesis is seen as a work of the mind and as an administrative document, with a double protection, by the French CPI and by the French administrative law.

Internet modified the situation, especially with regards to dissemination: "In the 1980's a thesis was considered a university document that should be disseminated as widely as possible. According to their examination regulations, the universities considered the jury's authorization sufficient for dissemination. With the appearance of ETDs and the evolution of the author's rights, a thesis is no longer seen as a "university document" but as a work subject to intellectual property rights. Today the explicit authorization by the author of the thesis (= copyright holder) is necessary for the electronic dissemination, in addition to the jury's decision."

Three parties are considered as right holders:

The author: he/she owns all moral and proprietary (economic) authors' rights protected by the CPI. In particular, he/she can authorize or forbid digitization or dissemination of the thesis.

The head of institution, e.g. the president of the university that delivers the PhD: in particular he/she can restrict the dissemination of the thesis (confidentiality), at least for a defined time period, forbid reproductions or ask for modifications. The decision is taken by the PhD commission.

A third party: in some specific cases, a third party may have protected rights related to the thesis. For instance, if the thesis reproduces a published article, a protected image or photo and so on.

The minimum right is access (view) to the PhD thesis on the campus where the PhD was delivered. All other usage (or restriction of usage) needs explicit authorization or prohibition (interdiction).

"Electronic theses present new challenges: segmentation may be necessary to restrict access to confidential parts; it is necessary to distinguish archival versions and versions for dissemination." (ibid) This is a challenge for metadata as well.

Comments

The double legal character in France with three right holders has a direct impact on handling PhD theses and metadata.

The digital format allows for different versions, with different rights. For instance, the complete version of a PhD thesis may include protected photos from a third party without authorization of reproduction, dissemination etc. Another version without these photos may have a clause of confidentiality for one year (administrative law) but no other restriction with regards to copying, downloading, etc. A non-validated (author's) version may be available via an open repository. If PhD theses are published by a commercial publisher they leave the grey landscape and enter the scientific information market. Such a publishing project may incite authors not to allow digital dissemination, especially in social sciences and humanities.

4.2. Reports

Definition

A technical report is a document that describes the process, progress, or results of technical or scientific research or the state of a technical or scientific research problem. It might also include recommendations and conclusions of the research. Unlike other scientific literature, such as scientific journals and the proceedings of some academic conferences, technical reports rarely undergo comprehensive independent peer review before publication. Where there is a review process, it is often limited to within the originating organization. Similarly, there are no formal publishing procedures for such reports, except where established locally.

Legal status in the US

Technical reports would again be treated similarly to dissertations, falling within the subject matter of copyright as literary works, but also subject *to* a similar status of current protection depending whether published or not and the particulars surrounding that publication. Section 101 defines publication as "the distribution of copies or phonorecords of a work to the public by sale or other transfer of ownership, or by rental, lease, or lending. The offering to distribute copies or phonorecords to a group of persons for purposes of further distribution, public performance, or public display, constitutes publication. A public performance or display of a work does not of itself constitute publication." Again those works being information, factual or scientific in nature would be considered thin copyright for purposes of the fair use analysis and so subsequent use might favor fair use.

Report literature may be produced under the auspices of the federal government, which would render it in the public domain per section 105, unless the author retained copyright which the report should indicate.[4] Some funding agencies require publication and designation as public domain content, *i.e.* a work of the federal government. In the absence of contractual terms nothing in section 105 "prohibit[s] copyright protection for federally commissioned works." Schnapper v. Foley, 667 F.2d 102, 108 (D.C. Cir. 1981), cert. denied, 455 U.S. 948 (1982). It may also be that the work is not governed by section 105, but was later assigned to the federal government, who then becomes the copyright owner. There is no prohibition on the federal government from owning an intellectual property right or from enforcing such right. See, U.S. v. Washington Mint, LLC, 115 F. Supp. 2d 1089 (D. Minn.): Federal government sued to enforce its copyright and trademark rights where it held valid copyright and trademark registrations in the Sacagewea dollar coin design assigned to it by the citizen who created it.

Report literature sourced from state or local governments can be protected by copyright by either the governmental unit or if funded or commissioned possibly by the creator depending on the terms of the contract. Building Officials & Code Adm. v. Code Technology, Inc., 628 F.2d 730 (1st Cir. 1980).

Legal status in France

Fundamentally, the French copyright fully applies to reports - of course, only if the report can be considered as work of the mind.

Yet, we have to distinguish at least four different cases:

(1) Individual and independent author(s): If the report is signed by one or more individual author(s), the exclusive moral and proprietary rights remain with the author(s). If the report has been issued, funded or ordered by an institution (Ministry, corporate company...), the proprietary rights may be transferred by explicit (written) agreement to the institution while the moral rights stay with the author. This is the case with public reports funded by the Ministries of Culture, Research or Ecology disseminated by the former Documentation Française (now DILA).

(2) Collective author: In French copyright law, the collective work is defined by the Code of Intellectual Property as "created on the initiative of a natural or legal person who edits, publishes and discloses it under his direction and name and in which the personal contributions of the various authors participating in its production are merged in the overall work for which it is designed; it is not possible to assign each of them a separate right." The collective work is defined by two criteria:

- The work must be created on the initiative and under the direction of an individual entrepreneur or legal entity. This does not apply to the editor who provides guidance, requires a plan, a presentation or editorial features.
- The work must present a fusion or merger of the individual contributions in a way that these individual contributions cannot be attributed to individual authors.
- The French courts interpret this clause often in a very liberal or large way, which is favorable to employers.

[4] See, U.S. Copyright Office, Circular 3: Copyright Notice, p. 3 Available at http://www.copyright.gov/circs/circ03.pdf

(3) The author is an employee of the publishing body: The French law generally protects an employee's work of the mind even if it was created in the professional context. This is quite different from the patent law (industrial property). The law considers that the author keeps his exclusive moral rights even if he has leased or transferred his work to this employer, for example as a service. Some court decisions give an opposite interpretation (= implicit transfer of rights to the company) but this interpretation has not been confirmed by the French Court of Cassation (= Supreme Court) so far. The only exceptions (= automatic transfer of copyrights to the employer) are for journalists and software developers (Bruguière, 2005). The other employees keep their rights as long as they do not sign an agreement on the transfer of proprietary rights. The moral rights cannot be transferred.
(4) The author is a civil servant (public officer): The legal tradition in France considered the work of the mind created by an employee of the government (civil servant) as intellectual property of the public service, without attributing any moral or economic rights to the author. The reason was not to block/impede the public administration because of intellectual property claims. The 2006 DADVSI law changed the situation. Today, a government agency can only claim the rights of an intellectual work if the work has been created as part of an explicit "mission" or if the civil servant explicitly transferred these rights to the agency. In this case, the moral rights stay with him. An example: the audit report written by an inspector of the French Ministry of Finance on a government agency will not be considered as work of the mind of this civil servant because it is part of his job function.
NB: The last condition does not apply to public researchers (= civil servants in government research agencies, universities etc.).

Comments

Some years ago, the international grey literature steering committee suggested that issuing organizations “should make their position on copyright clear to authors and to others who might be interested in using editorial content from their documents.” (GLISC, 2006)
The committee admitted that copyright laws may be different from country to country, even if the copyright of an institutional report usually belongs to the issuing organization. GLISC required that in this case, “(the copyright) must be clearly identified in the report with the symbol © followed by the name of the issuing organization and the year of publication.”
GLISC continued that the existence of copyright does not imply that the document may not be freely reproduced, “but it represents a declaration of intellectual ownership (the employees of an organization are as authors the voice of their institution). The issuing organization may decide that information contained in a report is of public domain, and declare it in the report, only in this case it is possible to reproduce the document or parts of the document without asking for permission. The copyright may also be held by a funding organization. In this case, it should be mentioned clearly in the funding contract.”
“A non-exclusive rights agreement may offer an alternative to copyright. It provides a guarantee to the publishing body that the content is not in breach of earlier copyright, while at the same time it allows the authors to use other means of publication and distribution for their work (e.g. institutional repositories, federated repositories, etc.).”
Could Creative Commons licensing be a solution for reports?

4.3. Conference papers

Definition

Conferences are usually composed of various papers. They tend to be short and concise, with a time span of about 10 to 30 minutes; presentations are usually followed by a discussion. The work may be collected/assembled in written form as academic papers and published as the conference proceedings (source: Wikipedia 25 June 2011).
In academia, proceedings are the collection of academic papers that are published in the context of an academic conference. They are usually distributed as printed books either before the conference opens or after the conference has closed. Proceedings contain the contributions made by researchers at the conference. They are the written record of the

work that is presented to fellow researchers. The collection of papers is organized by one or more persons, who form the editorial team.

Legal status in the US

A conference proceeding would be a collective work, with the copyright vesting either with the editorial team or perhaps the sponsoring organization. A collective work is defined in section 101 as "a work, such as a periodical issue, anthology, or encyclopedia, in which a number of contributions, constituting separate and independent works in themselves, are assembled into a collective whole." Each individual paper may also be protected by copyright as a literary work. "Copyright in each separate contribution to a collective work is distinct from copyright in the collective work as a whole, and vests initially in the author of the contribution." 17 U.S.C. § 201(c). Depending on the content of the presentation other categories of works might also apply. The owner of this copyright may reside with the creators, with their employers under the work made for hire provisions or it may have been assigned to the proceeding editors or organizing entity.

In some disciplines it is quite common to have more than one creator of a paper. Under U.S. law a joint work is "a work prepared by two or more authors with the intention that their contributions be merged into inseparable or interdependent parts of a unitary whole." The general rule is that each joint author owns an interest in the copyright and may unilaterally dispose of the interest in the entire work. The majority view is that each contribution of a joint author must be independently copyrightable. *TMTV, Corp. V. Mass Productions, Inc.*, 645 F. 3d 464 (1st Cir. 2011) (Actor responsible for suggesting general plot ideas and stock characters to those writing post-pilot show scripts was not co-author unless evidence of actual participation scripts composition). A minority position exists. In a telling exposition, the Seventh Circuit observed: "Here is a typical case from academe. One professor has brilliant ideas but can't write; another is an excellent writer, but his ideas are commonplace. So they collaborate on an academic article, one contributing the ideas, which are not copyrightable, and the other the prose envelope, and … they sign as coauthors. Their intent to be the joint owners of the copyright in the article would be plain, and that should be enough to constitute them joint authors within the meaning of 17 U.S.C. § 201(a)." *Gaiman v. McFarlane*, 360 F.3d 644, 659 (7th Cir. 2004).

With a joint work each author has an undivided interest in the copyright of the work and dispose of his or her rights to the work. However the "[c]onsent of all joint owners is required to issue an exclusive license, because it would preclude further issuance of non-exclusive licenses by the joint owners. Another limitation on the issuance of licenses by a joint owner is the prohibition on licenses that would cause the destruction of the copyright… For example, if a co-author permits a joint work to be licensed under a Creative Commons license, for no compensation, could that be construed as destroying the value of the copyright? While a joint author is accountable to the other joint authors for their prorata share of profits from licensing a joint work, a joint author may assign her *entire* interest without any obligation to share with her co-authors the revenues received in consideration of that assignment. This can lead to some creative deal-making. The rights of joint copyright owners under the U.S. Copyright Act are not followed by all countries. Thus, a domestic licensee securing a non-exclusive license from less than all of the joint owners of copyright may rely on U.S. copyright law when exploiting the work in the United States. But if the work is intended for international distribution, consent of all the joint owners is necessary."[5]

A final issue is whether a paper distributed at a conference is published or not. If further dissemination to a broader public is not anticipated such distribution may not be considered publication.[6] Under U.S. law a publication "is the distribution of copies or phonorecords of a work to the public by sale or other transfer of ownership, or by rental, lease, or lending. The

[5] E. Scott Johnson, Avoiding Joint Pain: Treatment of Joint Works of Authorship Conditions, *Maryland Bar Journal*, May/June, 2010, at 12, 15-16.

[6] See, U.S. Copyright Office, Compendium II, U.S. Copyright Office Practices, § 905.01 (1984) (leaving copies in a public place for anyone to take is a publication, but distributing text at a seminar for use only by the recipients is ordinarily not a publication).

offering to distribute copies or phonorecords to a group of persons for purposes of further distribution, public performance, or public display, constitutes publication. A public performance or display of a work does not of itself constitute publication." In light of the Compendium comment and the statutory definition, if the proceedings were made available to attendees with the intent that each attendee could further distribute such works, through deposit in the library of their home institution, circulating among colleagues or students, etc. then the proceeding is considered published.

In light of these considerations, knowing the circumstances of article or paper acceptance in the proceedings would be required to determine who in fact owns the copyright on such work, though it is clear that content of proceedings falls within the subject matter of U.S. copyright law. Previous issues discussed regarding publication and current copyright of theses and report literature would likewise apply to conference papers as well.

Legal status in France

Unpublished conference papers are protected by the French copyright law because they are work of the mind. Prepared by one or more author(s), they are presented by the author(s) during a conference, seminar, workshop, etc. We can distinguish two cases (see table below):

Case	Moral rights	Proprietary rights	Comments
One author	Author	Author if not transferred by agreement to institution (organizer of conference), service provider (for instance, host of open repository) etc.	Even if author is civil servant (public research organisation), his rights are recognized and protected.
Multiple authors	Authors	Authors if individual contributions can be identified and if not transferred by agreement to institution, service provider etc. If individual contributions can not be identified (collective work), disseminating institution or person.	

If the paper is published in the proceedings, either it enters the normal commercial dissemination or it remains grey literature if the proceedings are not published and disseminated in a way "where publishing is not the primary activity of the producing body" (New York definition). This means that a conference paper may exist in two, three or four versions, for instance as a draft posted on a personal website or deposited in an open archive, as a PowerPoint presentation, as a validated print version of the communication, and as a published version.

We exclude here the registered video version which should not be considered as (grey or white) literature.

4.4. Working papers

Definition

A working paper may refer to: A preliminary scientific or technical paper. Often, authors will release working papers to share ideas about a topic or to elicit feedback before submitting to a peer reviewed conference or academic journal. Sometimes the term working paper is used synonymously as technical report. Working papers are typically hosted on websites, belonging either to the author or the author's affiliated institution.

Legal status in the US

As observed, the term working paper may apply to the preliminary expression of a future proceeding or it may apply to a governmental or organization draft of a future more formal report. In either case the rules discussed thus far apply. Such works would qualify for copyright protection in the U.S. as long as the there is a tangible expression, *i.e.* saved in the word processing files in the computer of the creator(s), printed out in paper, saved to a removable disk, etc. The current status of such protection may depend on whether the work is published and the circumstances of that publication. There may be issues with joint ownership as well as whether the work is a product of the federal government or not that would be resolved consistent with the previous discussion.

Legal status in France

Unpublished working papers are protected by the French copyright law because they are work of the mind. Written by one or more author(s), they are disseminated by the author(s)

or by the institution, most often on a personal or institutional or other website. We can distinguish three cases:

Cases	Moral rights	Proprietary rights	Comments
One author	Author	Author if not transferred by agreement to institution, service provider (for instance, host of open repository) etc.	Even if author is civil servant (public research organisation), his rights are recognized and protected.
Multiple authors	Authors if individual contributions can be identified. If not (collective work), disseminating institution or person.	Authors if individual contributions can be identified and if not transferred by agreement to institution, service provider etc. If individual contributions can not be identified (collective work), disseminating institution or person.	
No author	Disseminating institution or person.	Disseminating institution or person if not transferred by agreement to institution, service provider etc.	

Comments

Our observations made in the table above refer to a draft or preliminary version of scientific work (conference paper, monograph, report...). That means that a working paper is always a work of the mind. "Unpublished" means not published by a publishing house but disseminated by the author, his laboratory and so on.

4.5. Master's theses

Definition

A dissertation or thesis is a document submitted in support of candidature for a degree or professional qualification presenting the author's research and findings. In some countries/universities, the word thesis or a cognate is used as part of a bachelor's or master's course, and dissertation is normally applied to a doctorate, whilst, in others, the reverse is true.

Legal status in the US

The same rules would govern master's theses as govern PhD theses, while the circumstances may dictate other conclusions. Such work may less likely be considered published, however bearing this in mind such works clearly fall within the scope of copyright protection. Content created by students is owned by the student-author. A recent appellate decision concluded that use of student papers without permission in a plagiarism detection database is fair use. *A.V. v. iParadigms, Ltd.*, 562 F.3d 630 (4th Cir. 2009). However, use of student papers without permission on a term-paper-for-sale website is not. *Weidner v. Carroll*, 2010 WL 310310 (S.D. Ill.) (unpublished). It could be argued that absent formal articulation indicating the assignment of ownership to the institution or an expression of non-exclusive uses through institutional policy, an implied license is nevertheless granted to the institution, by related faculty member(s), students, etc. to the library, allowing for limited public distribution of the work. Whether this would include the uploading and public display on the institution's website would depend on the circumstances.[7]

Legal status in France

An individual creation with an identified author, an original and innovative character, quality content, a disclosure (dissemination) under the name of the Master's student - all of which are elements that come together to characterize the Master's thesis as an intellectual work protected by copyright. Unlike doctoral theses, master's theses are not subject to legal deposit or to another obligation to record and store. So there is no need or obligation to assign a part of the exclusive rights. But uploading a master's thesis on an OA platform requires explicit permission (authorization) from the copyright holder.

In other words, one cannot, without explicit prior consent, scan a master's thesis, nor add or modify parts (e.g. add or complete the cover page). Care must be taken on the clear indication of the author's identity. Also, depositing a Master's thesis requires a double or even triple validation: by the author, by the university, and the course venue (including the confidentiality of sensitive data).

[7] See, discussion in Tomas A. Lipinski (forthcoming), Recent Copyright Issues in the Distance Education Classroom in HANDBOOK OF AMERICAN DISTANCE EDUCATION (3d edition, Michael Grahame Moore editor, 2012a).

Since the thesis is linked to an academic program, is authorization by the university necessary? For example, can we consider the master's thesis as a collective work? No - even if the thesis is created on the initiative of the university, it is not disclosed under the name of the university, and the contribution of the student as a part of the whole does not disappear but remains essential for all of its contents.

The student has not assigned his or her proprietary rights to the university as a part of a contract. The requirement for validation by the educational institution cannot rely on intellectual property but only on an administrative regulation (exam, traineeship, defense ...) which requires explicit permission from the institution to ensure quality and prevent the deposit of a non-valid version (Chauvin et al., 2010).

Comments

The exclusive proprietary right held by the master's student is the reason why publishers like the German VDM Publishing can sell prints on demand from digital master's theses, based on an agreement between the publisher and the student and without authorization from the university.

There may be other problems related to confidentiality, competition or industrial property, for instance if the master's thesis reports on a traineeship in a corporate company with sensitive information. In this case, the document may be declared confidential, at least for a couple of years, without reproduction or digital dissemination.

4.6. Datasets

Definition

A data set (or dataset) is a collection of data, usually presented in tabular form. Each column represents a particular variable. Each row corresponds to a given member of the data set in question. Its values for each of the variables, such as height and weight of an object or values of random numbers. Each value is known as a datum. The data set may comprise data for one or more members, corresponding to the number of rows.

Legal status in the U.S.

The content of a data set as the term implies consist of data or facts. Facts are not protected by US copyright law. *Feist Publications, Inc. v. Rural Telephone Service Co.*, 449 U.S. 340 (1991). Though if presented in a creative way there may be a copyright in the compilation as whole. "A compilation is a work formed by the collection and assembling of preexisting materials or of data that are selected, coordinated, or arranged in such a way that the resulting work as a whole constitutes an original work of authorship." Moreover, a compilation of simple data, ordered by numerical, alphabetical, date collected, etc. is likely not protected even as a compilation. In *Adelman v. Christy*, 90 F. Supp. 2d 1034, 1043 (D. Ariz. 2000) it was observed that "Adelman's Bibliography appears to be the printout of a computer research query or database, arranged in chronological order… . Although Adelman may have invested time and money in compiling this list, the Bibliography is only subject to minimal protection under copyright law…". If made available without contractual restrictions extraction of the data would be allowed as there is no legal prohibition against extracting even a substantial amount of unprotected factual elements. Moreover, a complete copy of the dataset could be made even if a compilation copyrighted governed the set or some elements of the set were protected by copyright in order to extract out the unprotected elements. See, *Ticketmaster, Corp. v. Tickets.com,* 2000 U.S. Dist. LEXIS 12987 C.D. Calif. 2000) ("reverse engineering" applied to factual extraction if necessary to access unprotected material. It need not be the only way, but the most efficient way to extract the data.). The U.S. does not have legislation paralleling that of the European Union as expressed in the Directive 96/9/EC of the European Parliament and of the Council of 11 March 1996 on the legal protection of databases, *Official Journal* L 077, March 27th, 1996, p. 20-28.

Legal status in France

Datasets, produced or generated by machines or result of procedures or techniques, will not be considered as work of the mind. The reason being that at least one of the three conditions does not apply:

1. Originality of the creation.
2. The author(s) can be identified.
3. The creation is an expression of the author's personality.

Generating a dataset generally is not considered as an expression of the author's personality. This means that datasets are not protected by copyright law but by other laws and court decisions (privacy, confidentiality, industrial property etc.).

Nevertheless, if the datasets are organized and can be interpreted as a database, they may be protected in two different ways. First, the French copyright protects the architecture, selection, and presentation of the database in case of originality. Second, a *sui generis* law comparable to but distinct from copyright protects the content and provides economic rights to the database producer if the quality and volume of his investment are significant. The specific database rights are property rights that prevent important extraction of database content apply for fifteen years.

4.7. Preprints

Definition

A preprint is a draft of a scientific paper that has not yet been published in a peer-reviewed scientific journal.

Legal status in the U.S.

Like the discussion involving working papers or initial iterations of a work - as long as there is a creative element to the draft*, i.e.* it satisfies the originality requirement, accounts for different versions, and the work is fixed in a tangible medium of expression is the work protected. Again, its current copyright status would depend on the circumstances of creation (work made for hire, joint work, work of the federal government or employee of the federal government, etc.), access (published or unpublished for example), etc. Such works are likely not registered and so enforcement of ownership rights would be rather limited as discussed earlier.

Legal status in France

Preprints are the author's intellectual property, with all related rights including self-archiving, so long and in so far as s/he did not transfer exclusive copyright in a "work for hire" to a publisher. Nevertheless, we have to distinguish different versions of preprints. For instance, a peer-reviewed draft, copy-edited and accepted for publication by a journal publisher may not be self-archived without the publisher's permission while no copyright transfer agreement may exist for the pre-refereeing preprint.[8]

Translated in French law, this means that the author(s) of a preprint maintain(s) the moral rights of integrity, authorship (paternity), disclosure etc. In most cases, the author(s) also hold(s) the proprietary rights at least of the non-peer reviewed draft because the first exception - "work for hire" or paid articles - is very rare.

5. Trends

5.1. Digital rights

Digital rights are related to existing rights (copyright, privacy, freedom of expression etc.) in the context of new technologies and Internet. Digital right laws, such as the French "Creation and Internet" law (also called HADOPI law) try to establish a new equilibrium between protection of creative work and information needs and rights. The overall trend is to reinforce the protection of the legitimate interests of right holders (authors, publishers, producers…) and the "normal exploitation" of the protected work (e-commerce), i.e. to control and regulate Internet access.

Actually, this trend can be observed on three levels, national laws (such as HADOPI or the Digital Millennium Copyright Act), international agreements (negotiations on the pluri-lateral Anti-Counterfeiting Trade Agreement) and the development of access control technologies for digital rights management.

[8] See http://www.eprints.org/openaccess

The focus of digital rights is on e-commerce. Yet, at least two aspects may be of interest for grey literature.

One part of grey literature is not freely available but published in limited numbers and editions, and even if this part is not controlled by commercial publishers, its producing bodies may have some legitimate interests (revenues) related to the normal exploitation (selling) of these works. This part of grey literature is directly concerned by DRM technology and access control. Question: if a campus-based publishing service disseminates scientific working papers with a DRM device, would this mean that this is no longer grey literature? Surely not. If a characteristic of grey literature is more limited accessibility, the use of DRM surely contributes to this problem.

Another question: in so far as legal and technical protection mainly applies to e-commerce, is this going to cause a kind of two-level legal environment for works of the mind? Good protection for commercial material, less or no protection for grey material? At least for French (European) copyright law, this is not as yet acceptable. However, with converging international standards, this may change.

5.2. Creative Commons

The Creative Commons licenses[9], a "some rights reserved" approach to copyright, applies to all kinds of creative, educational or scientific content created and owned by individuals, companies or institutions. The basic idea is that the creator keeps the copyright while allowing certain uses of his or her work in a standardized way. The condition is that the author (creator, institution…) owns the complete rights.

Some authors promote this idea for grey literature (de Blaaij 1999, Cornish 1999), as an individual or organizational solution for the distribution, copying and re-use of protected but non-commercial items. A rapid search on the Web reveals a limited but growing number of CC licensed scientific reports, PhD theses and working papers. Recent case law in the U.S. suggests that such licenses are indeed enforceable.[10]

A distribution under CC license implies that the content is copyrightable work and that all right owners agree with the choice of a CC license. "Copyright holders who engage in open source licensing have the right to control the modification and distribution of copyrighted material." *Jacobson v. Katzer*, 535 F.3d 1373 at 1381 (Fed. Cir. 2008).

This means for instance that the producing body of reports, with the authorization by the author(s), can decide to disseminate the works on the Internet with a CC license. Also, the author of a working paper can apply a CC license for a self-deposit in a repository or on a private Web page.

Yet, CC licenses are non-revocable. Even if an institution or an author decides to stop the distribution of a protected work via the Web (or decides to stop offering the work under a CC license), the initial CC license continues to apply to the copies already in circulation.

The CC licenses are compliant with both U.S. and French copyright laws. Simple and standardized, they are a legal option for the dissemination of protected grey documents by the author(s) and/or the producing body.

If the moral right of the work's integrity should be preserved, the CC license that fits best with the concept of grey literature could be "Attribution Non-Commercial No Derivatives" (CC BY-NC-ND) that allows neither use for commercial purpose nor derivative works other than the original work.

5.3. Institutional repositories

Open archives hosted and/or managed by research and Higher Education institutions in order to control and distribute their scientific production become a significant part of scientific communication. What can be said about legal aspects with regards to grey literature?

First of all, in so far as grey literature per definition is not controlled by commercial publishers, the question of publishers' policies on self-archiving, authorization and

[9] http://creativecommons.org/

[10] See, *Jacobson v. Katzer*, 535 F.3d 1373 (Fed. Cir. 2008) and discussion in Tomas A. Lipinski (forthcoming), *The Librarian's Legal Companion for Licensing Information Resources and Services* (Neal-Schuman Publishers, Inc.) (2012b).

permissions, embargo etc.[11] seems less relevant for grey literature, at least for that part published by the institution itself.

In general, grey literature rights are owned by the author(s) and/or the institution. This would mean that when an institution adopts a mandatory policy, its authors should have no (or less) legal problem with self-archiving of the full text of their reports, working papers and communications, compared to published articles.

But the reality may be more complicated in some cases because of implied and multi-level licensing (Polcak, 2010); in other cases because of potential or real conflicts with legitimate interests of the author or institution (for instance, the author wants to publish his PhD dissertation as a book) and/or normal exploitation (for instance, if the institution publishes a working paper or report series).

Other legal problems with deposits in institutional repositories are not specifically related to grey literature, such as the existence of co-authors or other contributors, enhanced content with protected material (images, videos, data etc.), confidential or sensitive information, or the assignment of intellectual property rights to the hosting institution.

5.4. Mass digitization

The major legal problem of massive digitization projects such as Google books are orphan works and out-of-print books.

Should these works be considered as grey literature? The answer is no. The critical aspect is the control by commercial publishers. The lack of control by commercial publishers is an essential attribute of the grey literature's concept.

Orphan works: The main characteristic of orphan works is the fact that their copyright owner cannot be contacted. This may be (one of) the author(s) or the publishing house or both. But this does not mean that orphan works systematically are no longer controlled by commercial publishers. Some orphan works are grey (and probably have always been grey); some orphan works have been distributed by commercial publishers that went out of business while others remain still under full commercial control.

The European Union has prepared a directive[12] in favor of a new exception of the intellectual property laws that applies the triple test to orphan works, requires diligent search, defines authorized uses of public interest (preservation, provision of cultural interest etc.) and limits the application to libraries and other cultural institutions. Orphan works are defined as follows: "A work shall be considered an orphan work if the right holder in the work is not identified or, even if identified, is not located after a diligent search for the right holder has been carried out (…)".

Out-of-print books: Their case is slightly different from that of orphan works because the question is not the identification of and contact to the right holders but the discontinued commercial distribution. Again, the question is: should out-of-print books be considered as grey literature? Pros: these documents are hard to get; they are (no longer) distributed through conventional channels; they are work of the mind. Cons: libraries rarely define an acquisition policy for out-of-print material (special collections?); the usual life cycle of grey literature is grey to white, not white to grey; the out-of-print status is revocable at any moment by a simple commercial decision to print a new edition – in fact the out-of-print status is basically always related to commercial distribution. Google's strategy to sell out-of-print books confirms this analysis.

Nevertheless, in some cases out-of-print books may be grey literature, for instance, reports or working papers with a limited number of printed copies after all copies have been sold (distributed). But again, in this case the legal context is not different from non grey documents: no digitization without authorization, as long as the document is not in the public domain.

Earlier this year, the French parliament adopted a law on orphan and out-of-print works with four characteristics: a public database for these works derived from the National Library's

[11] See the SHERPA/RoMEO initiative http://www.sherpa.ac.uk/romeo/

[12] http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2011:0289:FIN:EN:PDF

catalogue, general information via this database instead of diligent search of right owners, collective rights management, and preferential rights for the publisher and opt-out at any moment. Orphan works is a problem unsolved in the U.S., although legislation change has been proposed.[13] Rather than offering a collective entity licensing structure the U.S. approach is to offer damage limitation or remission of the infringement resulting from use of an orphan work.

6. Impact on the definition of grey literature

In our proposal for a new definition of grey literature (Prague definition) we argued that "the concept of grey literature should be limited to the specific meaning of *literature*, not as a content or structure/type, but derived from its social or legal nature: A digital object is grey literature if and only if it is protected by intellectual property rights. In other words, grey literature implies authorship and is characteristic of works of the mind" (Schöpfel, 2010).

In our mind, "protected by intellectual property rights" applies to the fact that under French (or continental) law, all documents that satisfy the criteria of "works of the mind", once disclosed to the public are granted intellectual property rights and benefit from protection. US law requires only fixation of an original expression of a work of authorship.

Yet, the crucial point is the character of "work of the mind", for example originality, a human intellectual contribution, creative work. From the moment an author or institution makes this kind of work available to the public (disclosure or publication), under French law intellectual property protection applies. Thus, protection by law is a consequence of the "work of the mind" criterion.

We introduce this criterion in order to exclude from the definition of grey literature non valuable, non-original works without significant human contribution.

Perhaps, if we want to avoid legal discussions on different systems and document types, we could skip the mention of "intellectual property rights" from the Prague definition but keep the requirement for authorship and character of works of the mind.

In other words, the initial Prague definition

"Grey literature stands for manifold document types produced on all levels of government, academics, business and industry in print and electronic formats that are protected by intellectual property rights, of sufficient quality to be collected and preserved by library holdings or institutional repositories, but not controlled by commercial publishers i.e., where publishing is not the primary activity of the producing body."

would become in a 2nd version

"Grey literature stands for manifold document types produced on all levels of government, academics, business and industry in print and electronic formats, works of the mind with authorship, of sufficient quality to be collected and preserved by library holdings or institutional repositories, but not controlled by commercial publishers i.e., where publishing is not the primary activity of the producing body."

7. Conclusion

Both France and the U.S. recognize aspects of copyright in the grey literature discussed in this article with the exception of data sets – where a compilation copyright applies. However, this appears unlikely. Obviously, copyright is an issue for grey literature and should be handled with care. Since the legitimate interests and exploitation of grey literature generally appear less important for their producing bodies than for commercial publishers, the processing and dissemination of grey literature may be perceived as less of a risk factor.

Our paper highlights the differences between French and U.S. legal protection of grey literature. These differences are significant and convey different legal traditions. Nevertheless, in the WIPO framework the national legal systems are converging. In ten or

[13] U.S. COPYRIGHT OFFICE, REPORT ON ORPHAN WORKS (2006) and S. 2913, 110th Congress, 2d Session (Shawn Bentley Orphan Works Act of 2008) (creating new section 514).

twenty years perhaps the differences between the two legal systems will be less important than their similarities.

Finally, attention should be drawn to the fact that general statements on the legal status of grey literature most often are not appropriate. Instead, future work on the legal environment of publishing, dissemination and preservation of grey literature should explicitly adopt a differential approach able to distinguish between the wide range of document types and specific situations.

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From Unprocessed Unknowns to Digital Diffusion: Uncovering Grey Literature at the Center for the History of Psychology*

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Abstract

The Center for the History of Psychology (CHP) at The University of Akron is home to a special collection of grey literature that documents the history of psychology and related human sciences, such as philosophy, biology, and anthropology. The collection comprises 6,000 paper-and-pencil tests; 15,000 organizational newsletters, white papers, conference programs and proceedings, and membership directories; and 8,000 US military technical reports. These data, covering a broad variety of contemporary and historical topics, are an untapped but immensely useful resource for historical research, as well as contemporary meta-analytic studies and general literature reviews. The collection grows daily through donations from psychologists and organizations, and nearly 2,000 paper-and-pencil tests, for example, have been added to the grey literature collection since the original abstract was submitted.

The Problems and Goal

The central goal of the CHP was to find a way to make a massive collection of unknown materials available to scholars and researchers from a variety of fields. Though digitization and distribution were an obvious solution, the CHP lacked personnel and financial resources necessary for such a massive project. A more traditional approach of finding grants to fund a project for a year was dismissed in favor of initiating and sustaining a relationship with a partner that had the capability to diffuse the content broadly by publishing rich "discovery tools" (Willet, 2009). The existing basic donor-repository relationship between the CHP and the American Psychological Association (APA) was developed into a working partnership where both institutions found benefit: the CHP hired a certified librarian specializing in digital projects to manage the digitization initiatives, and APA received a mass store followed by an ongoing trickle of high quality images of documents to populate research sources for professionals and scholars of psychology and related human sciences. Such a symbiotic relationship permitted the CHP librarian to uncover, process, digitize, and provide access to its largely unknown grey literature documents that may have otherwise spent another several years in unprocessed collections of boxes.

A quick scan across literature discussing collection, description, and access to grey literature shows some common themes: that there is a lot of grey literature, it's valuable research material, and it takes a lot of time to adequately describe in an institution's system of retrieval (see Aina, 2000; Sulouff et al, 2005; Ranger, 2005). The grey literature collection at the CHP is plentiful and considered by patrons and donors tremendously valuable to the historical record, and, by the librarians and archivists, daunting by way of indexing, organization, and access. Further, the staff of the CHP recognizes that the scholarly appeal of the grey literature collection may be limited to a particular audience of researchers in the field of psychology, populous though this audience may be. The CHP itself is the largest collection of its kind in the world, and the only collection of its kind in the United States. The grey literature comprises only a small portion of the collections that also include manuscripts, artifacts, photographs, books, and film. With a global, though specialized, audience requesting access to dusty documents still in the boxes sent by the donor, the staff of the CHP recognized urgency in generating quick and complete availability and dissemination of this one-of-a-kind collection for a specialized, international patronage. This urgency was addressed in the partnership between the CHP and APA.

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The Collections

The CHP's grey literature collection holds national and international military technical reports; organizational newsletters and circulars; conference proceedings, programs, and announcements; advertisements of new books and lectures; and other grey literature documents, but this collection was mostly unknown until the CHP/APA partnership. Presented with 85 boxes from the Saul Sells collection, from donor and CHP Board Member Dr. Ludy Benjamin, the Digital Projects Manager with a team of students unboxed and organized what turned out to be approximately 20,000 Air Force, Navy, and Army technical reports and studies ranging from the 1910s to the 1990s covering topics in survival, auditory and visual perception, medical experimentation, nutrition, statistical processes, and psychological testing. The Sells collection also includes newsletters, circulars, conference programs and proceedings, directories, and advertisements from assorted national and international organizations and psychological societies, special interest groups, and government offices. Documents in this grey literature collection were published from the 1880s until the present. Pulling also from processed and unprocessed collections from additional donors, the digitization team eventually queued 15,000 grey literature documents for digitization. Not every document that was uncovered qualified for digitization because the Digital Projects Manager was legally required (to the best of her knowledge and capability) to adhere to both Title 17 of the US Code and a selection policy written by APA. Documents were selected for digitization based on contracts made between APA and Content Owners regarding access through PsycNET and continued rights to the original work.

The Importance of the Collection to the Research Community

Though most contemporary psychologists rely on peer-reviewed, published literature, grey literature has tremendous potential as a useful resource for psychologists, including the more than 100,000 members of the American Psychological Association. Grey literature is being successfully used in a variety of disciplines to study a vast array of topics such as famine in Africa (von Braun, Teklu, & Webb, 1999), antibiotic use in low-income countries (Radyowijati & Haak, 2003), and the use of medical simulations in teaching (Issenberg, McGaghie, Petrusa, Gordon, & Scalese, 2005). Searches of the literature suggest that grey literature is rarely used among psychologists, though this perhaps reflects the simple fact that it is difficult to locate and obtain. Prior to the implementation of the PsycEXTRA database, there was no unified database for grey literature in the field of psychology. Scholars seeking such literature would have to search miscellaneous databases for conference proceedings, theses, and technical reports and then contact authors to obtain the text (Faragher, Cass, & Cooper, 2005).

Scholars have suggested that grey literature is particularly useful for disciplines such as psychology that make use of meta-analysis, a statistical tool for combining the results of several research studies on a given topic (Conn, Valentine, Cooper, Harris, & Rantz, 2003). Meta-analyses and general literature reviews usually involve combing the published literature for studies on a given topic, and then reviewing and/or statistically combining the results from those published studies to arrive at a tentative conclusion regarding the state of research on that particular topic. Such studies are prevalent and useful in the field of psychology and often serve as the starting point for a new research study on a given topic. However, it has been suggested that because these review studies rely primarily on published findings, they suffer from a publication bias, where studies lacking positive results are less likely to be published. This problem is thought to lead to an overestimation of the magnitude of a relationship or scientific finding (Thornton & Lee, 2000). Because grey literature represents the unpublished scientific record, it may help to ameliorate this bias and make such reviews more comprehensive and more representative of the field. The CHP's holdings, and specifically its large collection of technical reports, are a particularly useful and previously unknown source of data on everything from workplace satisfaction to the physiological and psychological effects of

prolonged isolation. The grey literature collection at the CHP is also a tremendous resource for historians of psychology and related sciences. The test collections document more than 100 years of changing practices in the measurement of aptitudes, personality, abilities, and preferences. The collection of military documents details the long and sometimes complicated relationship between the military and social scientists. Conference proceedings, reports, and agendas all document the ways in which particular aspects of these sciences grew and changed over time. Access to these documents would therefore be indispensable in helping historians trace the development of the field in a variety of ways.

Document Selection

APA staff visited the CHP to triage the collection for digitization. First priority was assigned to documents published by organizations with which PsycEXTRA already had an ongoing agreement. PsycEXTRA partners with nonprofit organizations, educational and research institutions, and for-profit companies to archive, index, and distribute their grey literature to the academic community. Some organizations included in this effort are Psychonomic Society, Society for the Psychological Study of Ethnic Minority Issues, US Air Force, Midwestern Psychological Association, Society for Industrial and Organizational Psychology, Southwestern Psychological Association, Society for the Teaching of Psychology, Rocky Mountain Psychological Association, National Institute of Mental Health, Southeastern Psychological Association, Society for General Psychology, Federal Aviation Administration, US Navy, Western Psychological Association, Stockholm University, and National Institute on Drug Abuse.

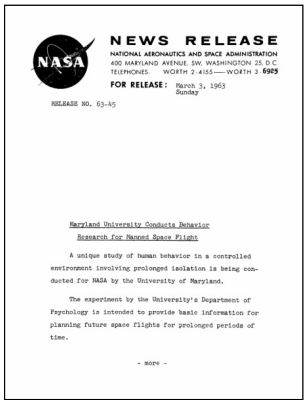
Second priority went to public domain documents that filled a gap in PsycEXTRA holdings. Broad assumptions about current holdings were used to choose material rather than matching each document against the database, and as a result, some duplication occurred.

Finally, documents published by organizations with strong ties to APA were chosen. The promise of archival documents scanned at no charge to these organizations was, in many instances, persuasive reason to partner with PsycEXTRA.

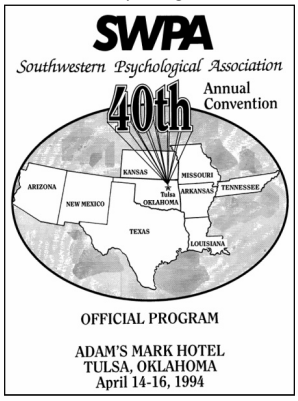
Below is shown a cross-section of organizations and societies whose collections were digitized with images from the CHP digital collections. [Aside: These highlights are going to appear to favor grey literature from the American Psychological Association, research departments of the United States military, and research laboratories of the United States government. The collection is largely composed of documents from these organizations, true, but the underrepresented organizations and societies may have granted permission under contract for us to include their grey literature documents in our digitization project, and subsequently in PsycEXTRA, but we have not obtained permission to necessarily include images in this document.]

Some Content Owners with Images from Mass Digitization Project

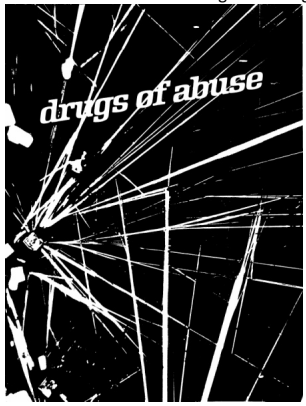
NASA


NEWS RELEASE
NATIONAL AERONAUTICS AND SPACE ADMINISTRATION
400 MARYLAND AVENUE, SW, WASHINGTON 25, D.C.
TELEPHONES: WORTH 2-4155 — WORTH 3-6925
FOR RELEASE: March 3, 1963 Sunday
RELEASE NO. 63-45
Maryland University Conducts Behavior Research for Manned Space Flight
A unique study of human behavior in a controlled environment involving prolonged isolation is being conducted for NASA by the University of Maryland.
The experiment by the University's Department of Psychology is intended to provide basic information for planning future space flights for prolonged periods of time.
- more -

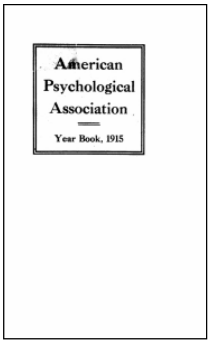
Southwestern Psychological Association



Bureau of Narcotics and Dangerous Drugs



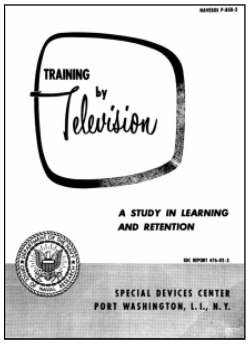
American Psychological Association



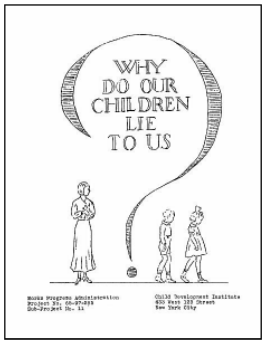
Rocky Mountain Psychological Association

Naval Submarine Medical Research Laboratory

Special Devices Center

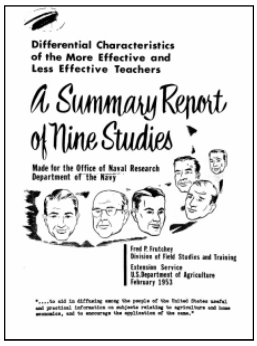


Works Progress Administration



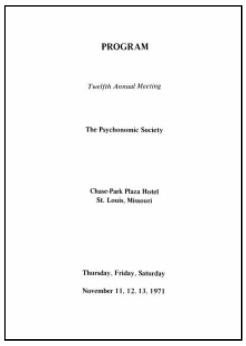
National Institute of Mental Health

US Department of Agriculture



US Department of Labor Children's Bureau

Psychonomic Society



The Mass Digitization Project

University of Akron and American Psychological Association legal teams prepared a contract to outline the relationship and responsibilities of both partners. For example, it was important to the CHP and to the University that, even while APA holds the right to distribute digitized documents to database subscribers, students, staff, and faculty had a right to unrestricted access to CHP documents in both physical and digital forms (Kaufman, 2007) and it was essential to both partners that careful regard was given to the rights of active copyright owners (Radice, 2009).

Digitization was conducted onsite at the Center for the History of Psychology (then, the Archives of the History of American Psychology) using two Kirtas book scanners that allowed rapid digitization each with a robotic arm for turning pages and two Cannon EOS SLR cameras mounted above the document for grabbing images. APA rented Kirtas scanners and hired the technicians to run them. In phase one of the project, Kirtas technicians captured and manipulated images of document pages and delivered them to APA server. During phase two of the project, the Kirtas machines were replaced with a

large-surface flatbed scanner for continued digital reproductions, and images continued to be uploaded by the CHP digitization team to APA server.

During the first phase, each document received a unique barcode by which it could be identified in the Kirtas system. At a later phase, the PsycEXTRA team would rename these files within its own system, while maintaining the original barcode as part of the metadata so the original documents could be easily located when necessary.

Three concerns arose in regards to working with hired technicians and rented machinery. Because the grey literature digitization project ran concurrent to a rare book digitization project, the same scanners captured the materials. First, much of the grey literature in the CHP collections is not in book form, so book scanners may not have always offered the most efficient digitization method. Second, common archival practices prohibit the use of automatic feeds for making copies of historical documents, and because of this, it was usually impossible to rely on the automatic features and robotic arms to turn fragile pages of document artifacts. Third, the technicians were experts in using their equipment for rapid mass digitization, though not necessarily experts in careful archival practices, document handling, document organization, and appraisal of document condition and sustainability through the process (Teper, 2011).

Physical documents were organized four times as a result of the many necessary phases from discovery to repository. Those phases are: 1- initial organization of documents by institution, military branch, or government office in order to categorize unknown materials; 2- secondary alphabetical organization of publishing or sponsoring agencies within government or otherwise broad categories, like the Air Training Command, Air University, Human Resources Directorate, and School of Aviation Medicine (few of many laboratories within the Air Force publications); 3- tertiary organization of documents within categorized groups, usually by report numbers, years, volumes, or issues; (In this order, documents were assigned a barcode and queued for digitization); 4- final reorganization of scanned documents and placement in vertical files for on-site viewing.

The Costs of Mass Digitization

Costs were split between the grey literature project and a concurrent book scanning project. This drove down overall project costs due to economies of scale and the guarantee that machines would never be idle while material was being prepared for scanning. APA contracted with Kirtas for onsite digitization. We rented high-end planetary scanners based on the needs of the book scanning project. Full-time technicians were hired and trained by Kirtas to operate the machines. High resolution image files were sent via FTP to a Kirtas facility where they were made into pdfs, optimized, and OCR'ed. Kirtas sent finished files to PsycEXTRA in Washington, DC, for use in the database.

Scanning began in March of the first year with two scanners and two technicians. In October of that year, we stepped down to one Kirtas scanner as the bulk of the work on the concurrent book project was complete. In June of the following year, we concluded our relationship with Kirtas and moved to a flatbed scanner procured by APA and operated by CHP staff.

Costs fell under three general categories: scanning machine rental, per-page scanning charges, and personnel. Rental costs were fixed per machine and steady throughout the project. The per-page scanning charge was more expensive for the grey literature than for books. The grey literature contained fewer images per file on average, increasing set-up and processing times. Because the automated page turner often could not be used, images were generated more slowly.

APA contracted the hiring and management of onsite staff to CHP. In addition to the project manager and scanning operators, students at the University of Akron were hired to help with retrieval and restacking material. Additional personnel were assigned to the PsycEXTRA database to accession and index the new material. Technical staff at University of Akron and APA were also called upon to deal with problems that crept up at the intersection of the various file handling systems.

The Resulting Benefit for APA: PsycEXTRA

PsycEXTRA staff match PDF files to content publishing organizations and investigate files for copyright restrictions. Those documents for which we have an agreement with the content owner, or which are determined to be in the public domain, are accessioned into PsycEXTRA production system. Other documents are retained in a dark archive while staff reach out to the organizations for permission to reproduce the work in PsycEXTRA.

PsycEXTRA staff then create bibliographic records. These records, like all PsycEXTRA records, include abstracts, are indexed with controlled vocabulary, and classified using the same subject system as that used for PsycINFO. Each record for a CHP-sourced document includes the sentence: "This historic document is included through collaboration with The University of Akron, The Archives of the History of American Psychology, University Libraries." Currently almost 15,000 documents from CHP have been released into PsycEXTRA. Created in 2004, PsycEXTRA has about 230,000 records covering historical and current grey literature on subjects relevant to the behavioral science community. Inclusion in PsycEXTRA makes these documents available to individual and institutional subscribers throughout the world.

The Resulting Collections for the CHP

The CHP/APA scanning project represents an attempt to build a partnership between subject-specific special collections and the disciplines with which they are most closely aligned. This partnership has proven to be a very successful one, resulting in the digitization and distribution of 20,000 documents from the CHP Grey Literature collection. In addition to being available through PsycEXTRA, the documents are available to researchers onsite at the CHP and digitally to students, faculty, administration, and staff of the University of Akron, and up to 10% at any time as part of the CHP web-presence. Further, physical arrangement of documents on site at the CHP is now organized in a system of vertical files, currently using 60 sets of filing cabinets with 10 more on deck to accommodate the daily growth of the physical collection. Access to both physical and digital versions of documents remains a priority for the CHP, because, to the archivist and to the historian, "the physical manifestations in which [writings] originally were expressed" (Radice, 2009) are often as important to the historical record as the contents of those documents.

The rapid mass digitization of the grey literature forced the digitization team to worry later about descriptive and bibliographic metadata in order to maintain a constant availability of documents in the scan queue while the equipment was still under the rental agreement. As a result, the CHP staff and researchers are now faced with a massive backlog of documents to index in its onsite system and collections—a recognizable dilemma in rapid and mass digitization projects (Gueguen, 2009), even without addressing legacy data for digital objects. Not all documents digitized are yet available in PsycEXTRA nor did all documents uncovered in the process qualify for digitization. CHP staff and students have created to date more than 50,000 records in local databases, thereby opening access to this impressive collection of grey literature. During the metadata creation phase, the PsycEXTRA team added the following byline to the abstract of each document, thereby enabling easy identification of the CHP materials in PsycEXTRA for the CHP community: "This historic document is included through collaboration with The University of Akron, The Archives of the History of American Psychology, University Libraries."

Sustaining Relationships

At least three distinct relationships have been sustained as a result of the partnership: 1- the Center for the History of Psychology and the American Psychological Association; 2- the donor and research community who supply and access previously unprocessed documents in CHP collections; 3- the broader research community and APA.

The CHP and APA continue to hold a professional relationship to digitize grey literature collections and to make the documents accessible via PsycEXTRA and other APA-published

databases. Currently, the CHP Digitization Center is focused on selection and digitization of documents in the CHP Test Center: paper-and-pencil tests designed to measure intelligence, aptitude, mental and emotional capacity, occupational preferences, academic achievement, and perception. Years of publication of this historical test collection ranges from the 1890s to the present, though not all documents qualify for digitization under APA projects. Careful selection based on public domain and copyright registration renewal results in a stream of documents scanned for PsycTESTS , a new addition to the PsycINFO suite of databases. CHP Digital Projects do not, at this point, digitize materials under Section 108 of Title 17 of the United States Code, that is, to preserve content simply for the sake of generating an archival facsimile (U.S. Copyright Office, 2009) as part of the digital projects partnership with APA. PsycEXTRA is an example of APA's continuing commitment to provide a full range of information products to the psychology community. Archiving information in PsycEXTRA guarantees that these documents will have an electronic home for today's and tomorrow's researchers. This partnership has drawn attention to CHP collections and growing access to archival documents, which inevitably has increased visibility in the research community and strengthened relationships with donors and researchers across the globe. Separate from the CHP researchers can access these documents that have been integrated into the databases of the American Psychological Association to enrich access to historical documents in their collections.

Concluding Thoughts

The grey literature collection at the Center for the History of Psychology was the catalyst for a functional and continuing relationship with the American Psychological Association that produced a research database to diffuse otherwise unknown historical documents. The Center employs digitization experts and supporting students in order to continue document discovery and diffusion on the digital landscape that have increased visibility of collections. The benefits of the collaboration continue to place the right documents into the hands of historians, psychologists, and scholars around the globe.

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Grey Skies Ahead: Grey Literature Reports as Marginalization of Women's Equality in Canada

Heather Syme Anderson (Canada)

Abstract
This article raises critical feminist concerns with the continued marginalization of grey literature as it pertains to Canadian provincial reports on women's inequality. It speculates whether one such report was published as grey literature as a means to subvert the academic hierarchy associated with peer-review, or whether its grey publication was an unintentional remarginalization of the findings within such reports. Grey literature as a publication form and source is considered both in terms of its validity concerns, and in terms of its potential for significant contributions to scholarship.

Keywords: *grey literature; marginalization of grey literature; women's inequality reports; feminist and critical theory; Canada*

In the academic community, grey literature is largely excluded and ignored. Grey, or fugitive, literature is often produced and drafted by skilled academics and professionals (Magnuson, 2009). It presents research which is practically significant, but which is generally un-peer reviewed and therefore unconsidered in the hierarchy of publications. Several reports critiquing the status of women in Canada fall into such a grey literature category making the findings and recommendations of that literature seemingly less important, less valuable, less worthy of attention or further study (Agnew 2000; Status of Women Canada 2007; UNPAC 2010). The United Nations Plan for Action Committee (UNPAC, 2010) document *Manitoba equality report card* exists as an example of one report that might be perceived as less important since it is un-peer reviewed. Because it was published as grey literature, its recommendations and findings will be ignored, its premises marginalized, and its calls for action negated.

Framing Grey Literature Using Feminist and Critical Theory

The conceptual framework used throughout this article is that of critical theory which includes taking a critical stance toward investigating and exposing exploitation, repression, power imbalances, lack of fairness, and false consciousness (Alvesson & Deetz, 1996, p. 192). Critical theory as applied here is concerned with the exclusion of findings on women's issues that exist in grey literature, with the lack of fairness in academia and policy making that negate grey literature, and with the false consciousness created by inflating peer review. Further, this article relies on feminist theory and framing since it alleviates the imbalance of power, engenders social equality, is politically motivated, and addresses the experiences of women (Lichtman, 2006, p. 77).

Grey Literature

A foundational definition of grey literature is found in Auger's (1998) definition of fugitive literature as "nonconventional" or even "invisible" and represented in four categories: (1) materials developed by pressure groups to convey their political agendas to increase constituents; (2) privately published materials such as family histories that are of local interest; (3) alternative literature outside of the dominant culture/ or government control and often with underground or subversive overtones; and (4) ephemera or non-book materials such as posters and flyers that communicate promotional intents of certain groups (as cited in Denda, 2003, p. 77). Pappas and Williams (2010) note that a more current definition needs to be established given the significant strides made within grey literature access through electronic and depository means that seemed to have signaled the end of the "fugitive" status noted by Auger. Of consequence in Auger's (1998) definition, however, to the context of UNPAC's (2010) report is that it exists as a report to

a funding agency, of sorts, and as materials developed by pressure groups to convey their political agendas (Denda, 2003, p.77). In this case, the United Nations as a sponsoring agency could be framed as having both a political and social agenda. The auspices of authority in the UNPAC report through the United Nations as the sponsoring organization, however, is virtually negated by the report's absence of specific authors or their credentials, of citations and sources for its findings, and finally, by its publication form as grey literature.

Concerns with the validity of grey literature as it pertains to meta-analysis suggest that critics have questioned the validity of grey literature as a source of data because it does not employ peer review (Conn, Valentine, Cooper, & Rantz, 2003, p. 259). In the world of academia and policy making, validity reigns supreme. Banks notes that peer reviewed publishing remains the highest validation for a work of scholarship (2006, p. 65). Seymour (2010) notes that despite grey literature being a globally recognized category of publication, it cannot shake its status as a substandard source of scholarly information. By ignoring publications that exist as part of the fugitive literature, a myriad of essential reports and data sources are marginalized.

Some researchers are even suggesting that the distinction between grey and non-grey literature is collapsing and soon there will be no distinction (Banks, 2006). Specifically, Banks notes, "Valuable grey literature also deserves extensive exposure, but in too many cases it languishes unnoticed" (2006, p. 65). Such is likely to be the case with UNPAC's *Manitoba equality report card* despite its widespread accessibility on the Internet. Peer review, says Banks (2006), is not without its own criticisms. He notes that publishers selectively publish statistically significant findings that inflate the perceived significance of results. Further, political and business interests now employ research teams to add a patina of research authenticity to self serving policy goals and development interests. All of these practices taint the flavour of objective scrutiny that is so essentially important to peer review. If this principle of objective scrutiny did apply to much of the grey literature that academia and policy makers frequently marginalize, then perhaps many of the issues that are marginalized by this form's exclusion would receive the proper attention they are due.

Marginalizations of Women's Voices and Grey Literature

It is not without irony that its publication form then marginalizes a report of findings and recommendations for improving women's equality since grey literature has been instrumental in women overcoming other marginalizations. Magnuson states that, "grey literature has been an important outlet for women's writing. Unable to have their voices heard, women have often sought out alternative methods of publication" (2009, p. 93). Historically, grey literature has been a tool for the oppressed and underrepresented to gain and expand their voices (Malina & Nutt, 2000). One dilemma with the supreme reign that validity and peer review hold is that women's voices and research pertaining to women's issues are often marginalized. To this effect, Malina and Nutt are seminally instructive in noting that historically feminism has produced grey literature which has played an essential role in communicating women's knowledge and calling for activism (2000, p. 18). It is with this instigation of activism and how that purpose could be stymied and marginalized through grey literature publication that this article is largely concerned.

Regardless of the UNPAC document's widespread availability, its findings and recommendations are likely going to be marginalized simply because they lack peer review or accreditation via non-grey publication. A feminist critical theory stance would argue that such exclusion of these findings and recommendations by academia serves to marginalize those findings. Additionally, the lack of fairness from academia and policy making groups by not considering such grey literature as holding a modicum of validity serves to marginalize not only these findings, but women's issues in general since reports on women's issues frequently appear in such grey literature forms.

Calls for Action Ignored

The *Manitoba equality report card* has the following for its recommendations:

1. Commit to measures that will address economic inequality including increasing minimum wage and social assistance rates and implementing a gender-based budget process and a timeline of five years for its full integration within all government departments.
2. Keep and act upon all previously made, as well as future, commitments related to women's equality including the establishment of the Manitoba Action Group on Exploited and Vulnerable Women and respond to the Manitoba Association of Women and the Law's 20 year report on the equality guarantee in the Canadian Charter of Rights and Freedoms.
3. Increase stable core funding for services and supports for vulnerable women in line with gender based research and in response to affected women (eg. counselling, housing, resource centres, child care, etc.).
4. Implement province-wide targets or mechanisms for growth in the current five-year plan on child care.
5. Increase housing-related benefits, including Employment and Income Assistance Shelter Allowances and Manitoba Shelter Benefits, by 20% and index them to annual increases in the Rent Increase Guidelines. At the same time build more new affordable housing units while upgrading and maintaining current housing stock.
6. Push the federal government to live up to its commitments under international covenants including CEDAW as well as to sign on to other covenants that are important to women such as the Convention on the Rights Persons with Disabilities and the Declaration on the Rights of Indigenous Peoples. (UNPAC 2010, p.10)

Combined with the findings throughout the report, these recommendations are poignant. They speak to the continued inequitable conditions experienced by women in Manitoba. More importantly, perhaps, is that this report has six tacit recommendations from which policy changes, refunding schemes, and significant reform could begin. These findings and recommendations, however, could be marginalized and disregarded by both academia and policy makers since the report is not within the peer-review process, nor does it subscribe to traditional academic publication standards such as citing sources and authors. Manitoba is not alone in its poor assessment score of gender equality. Identical reports exist (Prince Edward Island Advisory Commission on the Status of Women, 2009; Women's Legal and Education Action Fund, 2010) in which other provinces score poorly with regard to gender equality for women. Further, to counter the mostly glowing report of women's equality as reported to the United Nations by the Government of Canada, the Feminist Allianace for International Action submitted to the United Nations a counter report which paints a less favourable review of how Canada is measuring up in gender equality (Feminist Alliance for International Action, 2010). All of these reports suffer the same plight given that they were published as grey literature. The significance of such disregard for the UNPAC report and the others is that the calls for action within the reports will be stymied, or worse, ignored. Instead of advancing their scourge against Canadian women's continued inequality, these reports will toil in the margins as fugitive, and perhaps for many as futile, literature. The concern with such a publication mode is that the policy makers and academics often consulted on projects for social justice changes may never encounter these publications since they fall outside of the traditional purview of repudiation. Additionally, even if policy makers and academic consultants accessed these documents, their findings and recommendations would be largely negated simply because they had not been vetted through the ever esteemed peer review process.

This raises a question: Is UNPAC complicit in marginalizing their report? By excluding author credentials, such as the fact that at least one of the noted contributors is a PhD and reputable expert in the field of gender discrimination and policy, UNPAC unwittingly

diminished the credibility of their assessments and recommendations. Further, UNPAC's report failed, in the academic and scholarly publication senses, to provide evidence of their findings. Agreed, UNPAC presumably did not produce their *Manitoba equality report card* as a scholarly research document, but they must have had some purposeful agenda otherwise they would not have bothered to collect, report on, and make recommendations on the data that they had. UNPAC has actually marginalized their findings and recommendations on Manitoba women's equality through the academic standard "failure" to cite sources of data, to provide data in support of their findings, and to reference the contributors as noted experts in the field.

Where feminist and critical theory fit with this marginalization assessment is that the perception of grey literature as less valuable or credible creates a false consciousness that reifies women's inequality. Despite not listing contributors' titles and expertise, it is clear to readers that UNPAC has produced a reputable and worthwhile report. They are organized under the umbrella of the United Nations, and the document is hosted on a plethora of government and agency type websites including the Government of Canada's Status of Women, Government of Manitoba, and the United Nations Plan for Action Committee sites. These facts alone grant clout to the document, but are these enough to overcome this report's calls to action being stymied because of lack of peer review?

Out of the Grey and Into the Light?

For feminist organizations, such as UNPAC Manitoba, grey literature is a double-edged sword. On one side grey literature presents itself as an efficient and widely available publication form to which a much wider range of readers have access. On the other side it is generally ignored by both academia and policy makers since it fails to subscribe to the traditional techniques of academic report writing. Some could argue that to accept grey literature as holding validity in an academic sense might be akin to accepting Wikipedia as an academic source; sure, many of the contributors are knowledgeable, but what of those who falsify information or who lack any expertise? There is certainly some truth to this argument, but many who call for the inclusion and consideration of grey literature do so with a proviso that some aspect of the publication be "verified" or "authenticated" such as the sponsoring organization, in this instance, as one who is directly linked to the United Nations or that the host websites be reputable in some capacity (Banks, 2006).

Changing academia and policy makers to accept more fully grey literature is an arduous task. What would have been easier, purportedly, for UNPAC to have done is to have published their findings in a scholarly peer-reviewed forum. That they selected another route is telling in two fronts. One, it suggests a resistance and circumvention of the academic publication traditions which is historically in line with other feminist organizations' writing. Secondly, it suggests that their target audience may not have ever been academia. This notion in reinforced by the fact that they chose to exclude academic titles of their contributors, for example listing one contributor by first and last name instead of including the prefix Dr. They also avoided citations of any sort within their report. These facts indicate a readership that is not academia.

But what, then, was UNPAC's agenda in publishing this report, and were they aware of the ways in which their grey form would actually marginalize their findings and recommendations? One answer proposed in this article is that, yes, UNPAC, as comprised of several well published academics, would have been wholly aware of the lack of currency these findings and recommendations would have as a grey publication instead of peer reviewed. UNPAC has written this report in an uncomplicated, unjargoned way making it more widely accessible to readers than had it been composed in the language of academic scholarship. Accordingly, one can speculate that UNPAC grey published this report as a resistance or conflict model to leverage support for these recommendations not from academia, but rather from the public.

To conclude, Magnuson is instructive:

Given the economic, political, and social realities facing women worldwide, underground organizations with social justice or legal reform agendas will continue to disseminate parallel literature to affirm their viewpoints and augment the number of their constituents. Under these circumstances, fugitive literature output is likely to continue both in print and digital formats. As its significance as a resource is emphasized positively, interest in access provision and bibliographic control will follow, challenging the traditional and singular notion of collection development and management in libraries. (2009, p. 84)

In one sense, the *Manitoba equality report card* works toward positively emphasizing grey literature as a meaningful and articulate resource for raising women's equality issues. In another sense, by publishing their report with the status of "fugitive" literature, UNPAC has potentially further marginalized the very women and women's issues their report sought to overcome.

With grey skies ahead, organizations such as UNPAC may find it difficult to know which direction to head. Do they direct their publication energies toward the marginally sunny skies purported by a future acceptance of grey literature by academia and policy makers, or do they track the storm that is the scholarly peer review? Do such organizations challenge the current systems through conflict model approaches promoted by many feminist organizations, or do they reify their own publication marginalization by accepting that without the peer review their voices and writings do not matter? In either direction, the agency voiced in moving forward women's equality issues such as those highlighted in UNPAC's report remain in the margins hidden in shades of grey.

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Management of Obsolete Grey Literature in Engineering Research Institutions*

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Abstract

This paper depicts the findings of the survey research covering 65 engineering institutions which are recognised as research centres in the state of Karnataka, India. Responses have been sought from research supervisors and research scholars as to the extent of the use of obsolete grey collections. Opinions have also been captured from the chief librarians of the 65 research institutions as regards the ways of managing the obsolete grey literature. The following are the areas covered in the study in respect of obsolete grey resources available in these 65 research libraries.

- *Demand for GL in engineering sciences and technology*
- *Grey Literature collection in English and Foreign languages*
- *Process of weeding-out of obsolete grey literature*
- *Reasons for weeding out of old GL collections*
- *Extent of the use of old GL collections*
- *Weeding-out vis-à-vis Relegation of obsolete GL collections.*

The study was undertaken during 2007-2010 with the objective of understanding the pattern of obsolescence and the method followed in the libraries to manage the old GL collections in the engineering research institutions. The findings also project the practical methods followed by various libraries as to the weeding out process. Importance of old collections of GL for research vis-à-vis weeding out process adopted by the libraries have been depicted in the study based on the opinions exposed by 1270 researchers, which account for 84.6% of the total population. The summary or core of findings eventually shows that 66.4% of the research supervisors and research scholars hold the view that old collection of GL is of vital source for their research and has to be retained along with active collection in the libraries.

Keywords: Grey Literature, Obsolescence; Grey Literature, Weeding out; Grey Literature, Engineering Institution Libraries

Introduction

Grey literature is gaining importance in the sphere of research and development in engineering sciences and technology. Grey resources are produced in limited number of copies and are circulated in a limited circle of users. However, the researchers rely upon them to a greater extent. This trend of producing limited number of copies and not marketed through normal book selling channels makes the researchers rely upon regional libraries (RL).

In the present study, an attempt is made to study the use pattern of GL, especially the use of old collections of GL available in the engineering institutions in the State of Karnataka. 65 institutions have been recognized as research centres by the Visvesvaraya Technological University. The study also aims at identifying the necessity of weeding out process followed in these libraries and the method of maintaining the weeded out / relegated GL collections. Questionnaires were administered to the following respondents to obtain relevant data/ opinion on the topic of study.

1. The Chief Librarians of the 65 engineering institutions which are recognized as research centres.
2. 340 faculty members who are the research supervisors engaged in research activity in these 65 institutions and
3. 930 research scholars who are actively engaged in either full time or part time research, leading to the award of doctoral degree.

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The percentage of total response in the present study is 84.6.

Table 1 here below depicts 9 disciplines identified for research and the number of institutions engaged in research in these disciplines.

Table 1: Institutions Engaged in various Disciplines of Research

Sl. No.	Disciplines of Research	No. of Institutions	Percentage
01	Civil Engineering	26	19.6
02	Mechanical Engineering	31	23.3
03	Electrical Engineering	17	12.8
04	Electronics and Comm. Engineering	18	13.6
05	Computer Science and Engineering	15	11.2
06	Chemical Engineering	06	4.5
07	Textile and Silk Technology	03	2.2
08	General Science	06	4.5
09	Business Administration	11	8.3
	Total	**133**	**100**

Among the disciplines, mechanical engineering and civil engineering departments are more in number representing 23.3% and 19.6% respectively. However, textile and silk technology subject is offered for research only in 3 institutions representing 2.2%.

Table 2: GL collection in the Libraries

Sl. No.	Category of GL	Number	Percentage
01	Theses	793	0.6
02	Dissertations	79845	60.6
03	Institutional Publications	9499	7.2
04	Trade Literature	3021	2.3
05	Technical Reports	22181	16.8
06	Proc. of CSW	16456	12.5
	Total	**131795**	**100%**

Table 2 shows the collection of GL in the 65 engineering institutions. Six categories of GL is identified for the study and the table depicts that the total collection in these institution libraries is 131795. The collection of dissertations being the highest in number account for 60.6%. Technical reports and proceedings of conferences, seminars and workshops are in considerable percentage representing 16.8% and 12.5% respectively in the total holdings of the grey literature covering the 65 institutions. The theses volumes are 796 in number representing just 0.6% because prior to the year 2003-04 the theses were submitted to the state universities for the award of doctoral degree. Since the year 2004 the theses volumes have been submitted to VTU. Hence, the number is the least among the categories of GL considered for the study.

Table 3: Libraries Possessing GL Collection in Foreign Languages

S. No	Libraries Possessing GL in Foreign Languages	Govt. Institutions	Aided Institutions	Private Institutions	Total
01	Positive Response	2 33.3%	Nil	9 18.0%	11 16.9%
02	Negative Response	4 66.7%	9 100%	41 82.0%	54 83.1%
	Total	**6** **100%**	**9** **100%**	**50** **100%**	**65** **100%**

Table 3 depicts the number of libraries which possess GL collection in foreign languages. 11 institutions possess GL in foreign languages which account for 16.9%. Among the government institutions, 33.3% possess GL in foreign languages. From this it is clear that GL collection in foreign languages is not given priority in majority of the institutions. It is only Indian Space Research Organization and Indian Institute of Astro-physics which come under government organization possess adequate and relevant collection of GL in foreign languages. In rest of the institutions, the GL in foreign languages is not the felt need. There are 9 private institutions which possess GL in foreign languages. However, the relevancy and up- datedness is not appreciated.

Table 4: User-wise Frequency of Access and use of GL

S. No.	Frequency	Research Supervisor	Research Scholars	Total
01	Most frequently	20 (5.9%)	67 (7.2%)	87 (6.8%)
02	Frequently	189 (55.6%)	519 (55.8%)	708 (55.8%)
03	Moderately	98 (28.8%)	279 (30.0%)	377 (29.7%)
04	Occasionally	31 (9.1%)	64 (6.9%)	95 (7.5%)
05	Not at all	2 (6.0%)	1 (0.1%)	3 (0.2%)
	Total	340 (100%)	930 (100%)	1270 (100%)

Table 4 projects the extent of access and use of GL collection available in the engineering institutions. It is really encouraging to note that 62.6% of the researchers use GL collections either frequently or most frequently. Just 7.5% of the researchers have expressed that they need GL occasionally, only 3 respondents among 1270, representing mere 0.2% opine that they seldom need grey literature for their research. From this it can be concluded that a large segment of respondents rely upon GL for research purposes.

Table 5: Response on the Use of Old Collection of GL

S. No.	Response on use of old GL collection	Research Supervisor	Research Scholars	Total
01	Positive, yes, useful	277 (81.5%)	661 (71.1%)	938 (73.9%)
02	Negative, No. not useful	63 (18.5%)	269 (28.9%)	332 (26.1%)
	Total	340 (100%)	930 (100%)	1270 (100%)

As regards use of old collection of GL in the engineering institutions, it is highlighting that 81.5% of the research supervisors and 71.6% of the research scholars access old collections. Among the entire population of respondents, 73.9% have offered positive response stating that old collection is of use for research. A small segment comprising 26.1% opines that old collection of GL is not at all useful. From this it can be inferred that old collections of GL is useful according to the opinion expressed by the researchers.

Table 6: Extent of Obsolete GL collections in the Libraries

Category of GL	Extent of Obsolescence				
	100%	75%	50%	25%	Nil
Theses	5	6	21	25	8
Dissertations	4	18	20	11	12
Institution Publications	4	15	19	17	10
Trade Literature	7	21	21	13	3
Technical Reports	2	7	24	22	10
Proc. of CSW	3	7	18	25	12

Table 6 furnishes the extent of obsolete collection according to the librarians working in the 65 libraries of the research institutions. The data in the table depicts that dissertations and trade literature collection are outdated to a considerable extent. 42 librarians hold the view that dissertations available are outdated in the range between 50%, 100%, and 49 librarians are of the opinion that the trade literature collection is out dated in the range between 50% and 100%. It is also clear that theses, technical reports and proceedings of conferences, and seminars and workshops are not outdated in the higher range according to the contention of the respondent librarians. Therefore, it is worthwhile to weed out/ relegate dissertations and trade literature from time to time in order to make provision for easy access to the active collection (recent additions).

Table 7: Weeding out / Relegation of Obsolete GL

S. No	Response on weeding out	Govt. Institutions	Aided Institutions	Private Institutions	Total
01	Positive Response	Nil	4 (44.4%)	9 (18.0%)	13 (20.0%)
02	Negative Response	6 (100%)	5 (55.6%)	41 (82.0%)	52 (80.0%)
	Total	6 100%	9 100%	50 100%	65 100%

Table 7 projects response of librarians on the weeding out process. 13 librarians representing 20.0% have offered positive response stating that they periodically weed out old / obsolete collections of GL. The remaining 52 librarians representing 80.0% have responded negatively. Again, among the librarians of the aided institutions, 44.4% weed out old GL collections periodically. From this it is clear that considerable percentage of institutions which are getting government aid, weed out the old collections of GL.

Table 8: Weeding out of Obsolete GL
(as per year of establishment of the institutions)

S. No	Response on weeding out	Year of Establishment			
		1980	1981-2000	2001-2010	Total
01	Positive Yes weed out	9 (32.1%)	2 (11.8%)	2 (10.0%)	13 (20.0%)
02	Negative Don't weed out	19 (67.9%)	15 (88.2%)	18 (90.0%)	52 (80.0%)
	Total	28 (100%)	17 (100%)	20 (100%)	65 (100%)

Table 8 shows response of librarians on weeding out process. The data in the table is furnished is as per the year of establishment of the institutions. It is clear from the table those 9 libraries which were established prior to 1987 weed out old collection of GL periodically. The institutions which were established prior to 1981 possess large number of GL collections and hence the need to weed out from time to time. As the recently

established institutions possess limited number of GL collection, the necessity of regular weeding out process does not arise.

Table No. 9 : Opinion on Weeding out of Obsolete GL

S. No	Response	Govt. Institutions	Aided Institutions	Private Institutions	Total
01	Yes, weed out	12 (41.4%)	105 (28.4%)	302 (34.7%)	419 (33.0%)
02	No. Don't weed out	17 (58.6%)	266 (71.6%)	568 (65.3%)	857 (67.0%)
	Total	29 (100%)	371 (100%)	870 (100%)	1270 (100%)

As regards opinion of researchers on the weeding out process, a large segment representing 67.0% has responded negatively. According to them the old collection of GL is of value for research. 33.0% have given positive response favouring periodical weeding out process. The researchers from government institutions are in favour of regular weeding out process. The respondents from government institutions who have offered positive response account for 41.4%. On the other hand, the respondents from aided institutions who have offered positive response account for just 28.4%. Hence, majority of the researchers opine that old collections of GL need to be retained and they should not be either relegated or weed out as they also form vital source of information for research.

Table 10: Periodicity of the Weeding out Process

S. No	Periodicity	Govt. Institutions	Aided Institutions	Private Institutions	Total
01	Annually	Nil	Nil	1 (11.1%)	1 (7.7%)
02	Once in 3 years	Nil	Nil	3 (33.3%)	3 (23.1%)
03	Once in 5 years	Nil	1 (25.0%)	2 (22.3%)	3 (23.1%)
04	Once in 10 years	Nil	3 (75.0%)	3 (33.3%)	6 (46.1%)
	Total	Nil	4 (100%)	9 (100%)	13 (100%)

Table 10 depicts periodicity of the weeding out process in the 13 institutions. One of the institutions representing 7.7% weed out obsolete GL collection annually. 23.1% weed out once in 3 years. Another segment of 23.1% weeds out once in 5 years. Further, a large segment of the institutions representing 46.1% weed out once in 10 years. From this it is clear that the necessity of weeding out of old collection of GL is not noticed among the large number of libraries of engineering institutions.

Table 11: Reasons for Weeding out of GL collections

S. No	Reasons for weeding out of GL	Govt. Institutions	Aided Institutions	Private Institutions	Total
01	Lack of space	Nil	4 (100%)	8 (88.5%)	12 (92.3%)
02	Out dated contacts	Nil	2 (50%)	1 (11.1%)	3 (23.0%)
03	Unused by the members	Nil	3 (75.0%)	1 (11.1%)	4 (30.7%)

With reference to the reasons for the weeding out process, 20% of the librarians quote the reason of lack of space in their libraries, 23.0% state the reason that the contents of the old volumes of GL are out dated. Yet another segment of respondent librarians representing 30.7% opines that the old collections are unused by the library members. Yet another reason expressed by the librarians is that there is need to make provision for browsing active collections (recent additions) in the library, which account for 72.3%. Therefore, a large majority of the librarians opines that weeding out is on account of making adequate space for browsing active collections of grey literature.

Table 12: Response on Scatter of GL at Different Places

S. No.	GL is scattered and difficult to trace	Research Supervisor	Research Scholars	Total
01	Yes	56 (16.5%)	182 (19.6%)	238 (18.7%)
02	No	284 (83.5%)	748 (80.4%)	1032 (81.3%)
	Total	340 (100%)	930 (100%)	1270 (100%)

Table 12 shows response of researchers on the scatter of GL in the libraries. Only a small percentage of researchers representing 18.7% opine that the GL is scattered in their libraries and difficult to trace. However, a large segment of researchers representing 81.3% find it comfortable as regards the organization of GL and there is no difficulty in locating the needed GL collections. Hence, it can be inferred that a large majority of the respondents find it easy to locate GL in the engineering institute libraries.

Table 13: Training Requirement Projected by Librarians

S. No.	Response on training need	No. of Librarians
01	Positive	57 (87.7%)
02	Negative	8 (12.3%)
	Total	65 (100%)

As regards training requirement of librarians, an overwhelming majority representing 87.7% intends to attend training in order to efficiently manage GL collections. A small portion of librarians amounting to 12.3% does not need any training at all.

Table 14: Extent of Training Needed for Librarians

S. No.	Year of Establishment of Engineering Institutions.	Highly	Moderately	Slightly	Total
01	Till 1980	20 (80%)	4 (16%)	1 (4%)	25 (100%)
02	1981 to 2000	9 (64.3%)	4 (28.6%)	1 (7.1%)	14 (100%)
03	2001 to 2010	12 (6.7%)	6 (33.3%)	Nil	18 (100%)
	Total	41 (100%)	14 (100%)	2 (100%)	57 (100%)

Further, table 14 depicts the extent of training needed by the librarians. However, 20 librarians of the institutions which were established prior to 1981 have expressed that they need intensive training. This group of respondents account for 80% among old institutions. Further, 14 librarians need training to a moderate extent. Therefore, it can be deduced that a large majority of the librarians need intensive training.

Summary of Findings and Recommendations:

- 62.6% of the researchers frequently access GL
- Trade literature and dissertations form major part of obsolete collections in the libraries
- 73.9% of the users also use old collections of GL for research
- 33% of the researchers recommend for weeding out process
- Only 20% of the libraries weed out old GL collections periodically. Majority of these libraries were established prior to the year 1981
- 72.3% of these libraries weed out to accommodate active collection. 20% move obsolete collections to secondary sequence.
- Dissertations of students and trade literature lose value in time and may be weeded out periodically.
- Theses, technical reports and proceedings of CSW form vital source for research. Sharing of the Proceedings of CSW is the felt need among the researchers. These sources may be taken up on priority for digitization and resource sharing programs.

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Acquisition and distribution of technical reports and conference proceedings on science and technology in Korea*

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Abstract

According to a survey in 2006 conducted by Korea Institute of Science and Technology Information (KISTI), technical reports and conference proceedings are the most important types of grey literature for researchers in Korea. Important, recent, and detailed research results are stored in technical reports and are presented at conferences. Despite their importance, these types of grey literature are associated with difficulty when seeking to access. As a national science and technology information center, KISTI has made an effort regarding the acquisition and distribution of technical reports and conference proceedings on science and technology to promote easy access. KISTI has transformed grey literature into white literature to support R&D researchers.

This paper examines the acquisition and distribution status and analyzes the usage statistics pertaining to technical reports and conference proceedings in Korea. KISTI has acquired and distributed domestic and foreign technical reports and conference proceedings for several decades. KISTI provides metadata and the full-text of R&D technical reports produced by government funded projects and conference proceedings through National Discovery for Science Leaders (NDSL). For an analysis of the usage statistics for technical reports and conference proceedings, the frequency of full-text downloads and the use of Document Delivery Service (DDS) are used. The KISTI statistics system, termed the Online Analytical Processing (OLAP) system, shows that conference proceedings and technical reports were used 1,921,150 times and 1,140,411 times, respectively from September of 2009 to September of 2011. These statistics indicate that open access for conference proceedings and technical reports experiencing heavy use by researchers in Korea. KISTI is using new tools and communication skills to distribute more grey literature in effort to assist R&D researchers. New ways of distributing grey literature through Social Networking Services such as Twitter, Facebook are even available on smartphones for users in Korea in the smart age.

Introduction

Grey literature such as technical reports and conference proceedings contains detailed research results as a resource for scientific and technical information. Moreover, this type of literature is published frequently than journals. Therefore, grey literature is considered to be an important information resource, but locating and accessing grey literature is not easy. In fact, it is often overlooked by information centers and libraries. It is important to create access points and provide grey literature to researchers for the improvement of research and development (R&D) in Science and Technology. As a national science and technology information center, Korea Institute of Science and Technology Information (KISTI) took acquisition and distribution steps related to technical reports and conference proceedings on science and technology. KISTI has thus transformed grey literature into white literature to support R&D researchers. This paper examines the acquisition and distribution status and analyzes the usage statistics for technical reports from government agencies and scientific research groups and conference proceedings from academic societies in Korea. In addition, the new methods distributing grey literature through the internet or via smartphones will be mentioned. This offers directions regarding the creation of access point for grey literature according to the new information environment. Although much effort has been made and while these sources of grey literature are produced in great numbers in an environment containing more advanced means of communication technology, getting access to this type of literature remains challenging.

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Objective and Scope of the Study

An objective of this study is to understand users need of grey literature and the status of acquisition and distribution of the grey literature in Korea. Scope of this study is focused on acquisition and distribution of technical reports and conference proceeding through National Discovery Science Leaders (NDSL) in Korea.

Method of the Study

Literature review for grey literature is conducted for understanding domestic and overseas trends. This paper examines the acquisition and distribution status and analyzes the usage statistics pertaining to technical reports and conference proceedings in Korea. For an analysis of the usage statistics for technical reports and conference proceedings, the frequency of full-text downloads and the use of Document Delivery Service (DDS) are used. This study use data from KISTI statistics system, the Online Analytical Processing (OLAP) system. For new access points for grey literature in Korea, actual Social Networking Service in NDSL is invested.

Literature Review

Choi and Cho (1997) categorized grey literature into light, medium, and dark grey literature and studied grey literature production, related databases, and online access through the internet. Debachere (1995) reported that grey literature is frequently original and usually recent. Yoo (2009) noted that conference proceedings are simpler to obtain in libraries than other types of grey literature, such as reprints, because this type has a greater possibility for publication. Most libraries and information centers in Korea subscribe to foreign digital conference proceedings through a purchasing consortium called KESLI (Korea Electronic Site License Initiative) because this initiative allows scholars to obtaining information quickly and reduces the necessary effort by librarians' regarding the collecting and cataloging of this information resources. Nam and Cho (2006) studied the importance grey literature for scholars by analyzing references in the Korean journals listed in Science Citation Index (SCI). According to their study, grey literature represents about 24% in all references types used. KISTI studied the development of an acquisition and distribution model for the foreign grey literature in 2002 and 2006. Jeffery and Asserson (2005) described a systematic process for grey literature and suggested a R&D process for its management. McDermott (1995) mentioned the importance of national level bibliographic control for grey literature. Gelfand (2000) emphasized an international cooperation network for this type of literature.

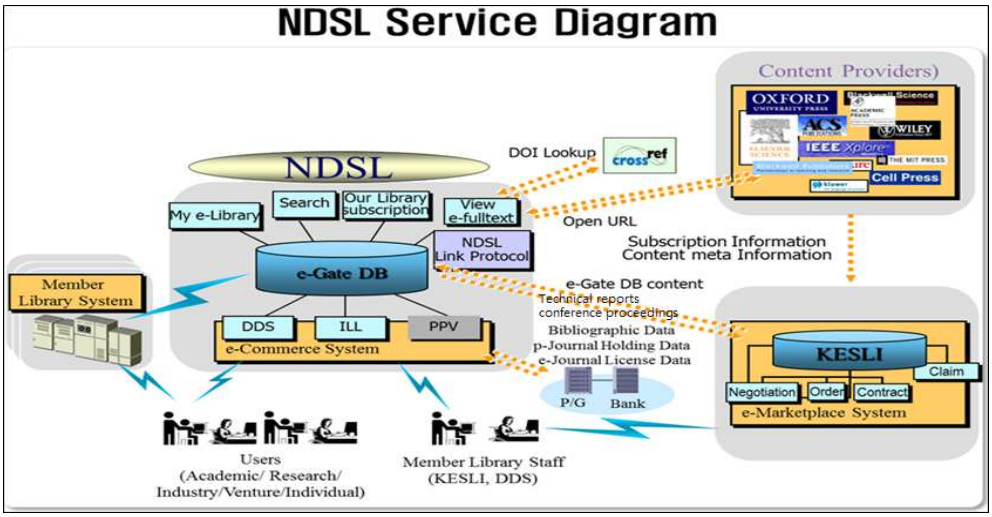
Survey for Grey Literature (GL)

Librarian and information specialists in 38 science and technology institutes participated in a survey conducted by Korea Institute of Science and Technology Information (KISTI) in 2006. According to this survey results, technical reports and conference proceedings are the most useful types of grey literature for researchers in Korea because most research results are stored in technical reports and presented at conferences. An analysis of result of this survey shows the difficulties in each field for grey literature are as follows: acquisition 36.5%, identifying & accessing 27.3%, bibliographic control 27.3%, and managing 89.5%. The most desired format for grey literature is an electronic format (the internet) at 74.5%. Electronic version is more popular than printed version. The most desired format for records was full-text at 57.7% and metadata & abstracts at 32.7%.

Overview of Grey Literature in KISTI in Korea

KISTI's has collected grey literature in print or micro-film format and distributed it through Document Delivery Service (DDS) since 1962. However, users have wanted electronic versions of grey literature since the internet age began. This tendency was detected in the survey result. Based on the survey result, KISTI tried to create more access points for technical reports and conference proceedings on a portal system, termed the National

Discovery for Science Leaders (NDSL) (Fig. 1). NDSL contains articles, patents, conference proceedings, technical reports, trend information and analysis reports, standards and other types of grey literature. Electronic and printed journals and conference proceedings can be searched by R&D researchers to construct comprehensive metadata. E-conference proceedings such as the IEEE/IEL electronic library proceedings are subscribed by Korean Electronic Site License Initiative (KESLI) consortium members for joint purchasing



<Fig. 1> NDSL (National Discovery for Science Leaders)

Acquisition and Distribution of ST GL on the NDSL System

■Conference Proceedings

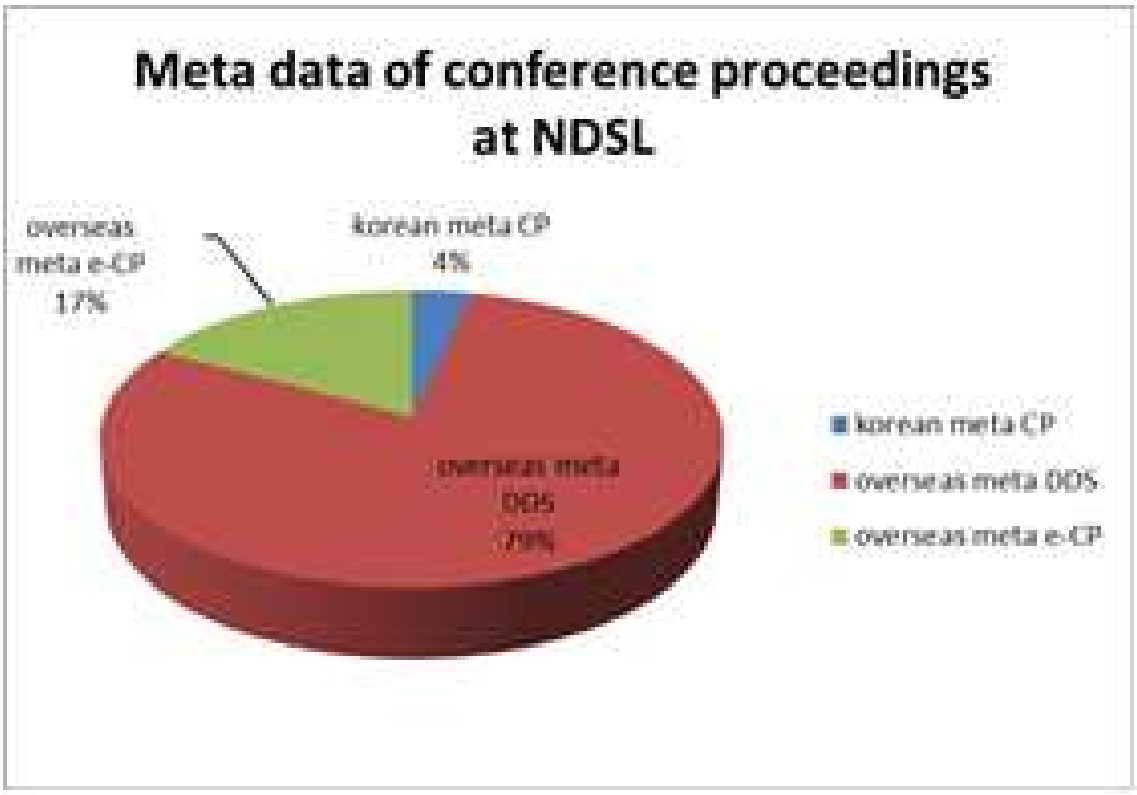
KISTI holds 16,051 conferences proceedings in paper format. Distribution of science and technology conference proceedings on NDSL is focused on making access points than providing full-text, so metadata for domestic and overseas conference proceedings was built. Table 1 shows that NDSL has 6,913,399 records of metadata for overseas print conference proceedings. Users can identify and locate the print conference proceedings and ask document delivery for them. NDSL hold 1,479,345 metadata of overseas e-conference proceedings and 304,935 metadata of Korean e-conference proceedings metadata. If users' organization subscribes the e-conference proceedings and one of Korea Electronic Site License Initiative (KESLI) members, users can access full-text of conference proceedings through metadata on NDSL. Even though KISTI does not provide full-text for conference proceedings, users can identify, locate and access them.

<Table 1> Metadata of ST Conference Proceedings

format	E-Conference Proceedings		Print Conference Proceedings*
matadata	Metadata of Korean CP	Metadata of Overseas CP	Metadata of Overseas CP for DDS
No. of metadata	304,935	1,479,345	6,913,399

*KISTI print CP holdings: 16,051 titles

The metadata of overseas conference proceedings for document delivery accounted for 79% of all metadata from Fig. 2. Korean conference proceedings can also be accessed through the ST Academic Society Village (http://society.kisti.re.kr) constructed by KISTI.

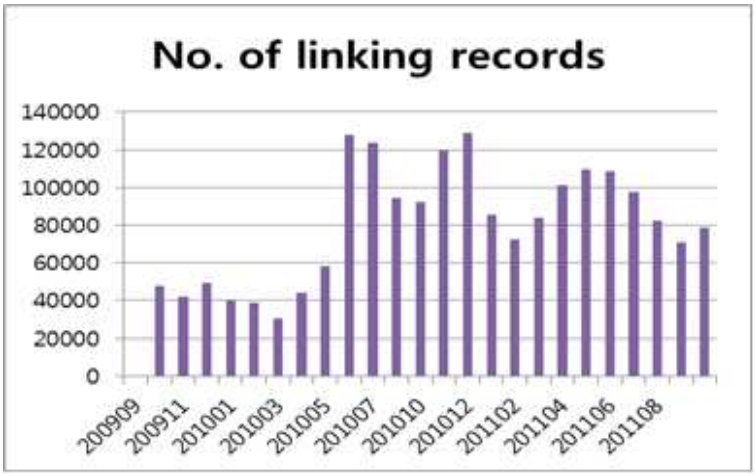


<Fig. 2> Metadata of Conference Proceedings at NDSL

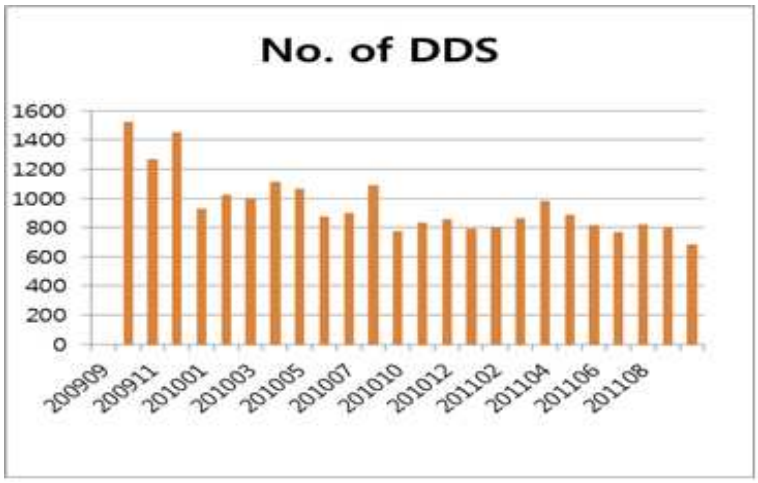
KISTI analyses the usage statistics from the Online Analytical Processing (OLAP), KISTI's statistics system. In Table 2, the numbers of uses for conference proceedings linking to full-text shows 1,921,150 records. If users' institutes did not subscribe to the proceedings, the users cannot access full-text versions of e-conference proceedings. In such case, users can use Document Delivery Service for a document. The numbers of Document Delivery Service requests for conference proceedings through the NDSL were 22,520 records from September of 2009 to August of 2011. There were more usage requests for e-conference proceedings that involved linking to a full-text version than that of the number of requests for the paper Document Delivery Service. The usage numbers for the paper the document delivery is slowly declining.

<Table 2> Usages Types of Full-Text Linking vs. DDS at NDSL (2009/9-2011/8)

type of use	full-text linking	DDS	Total
No. of records	1,921,150	22,520	1,943,670



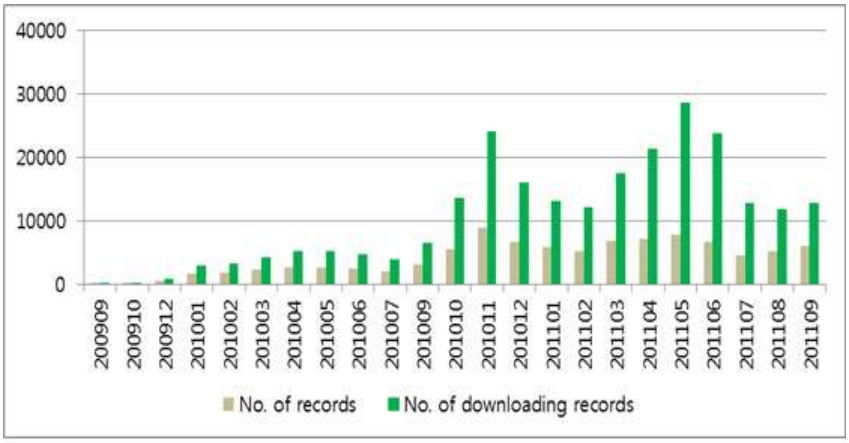
<Fig. 3> Usages Requests for Linking to Full-Text Versions for CP through NDSL Metadata



<Fig. 4> Usages Request for DDS for CP through NDSL Metadata

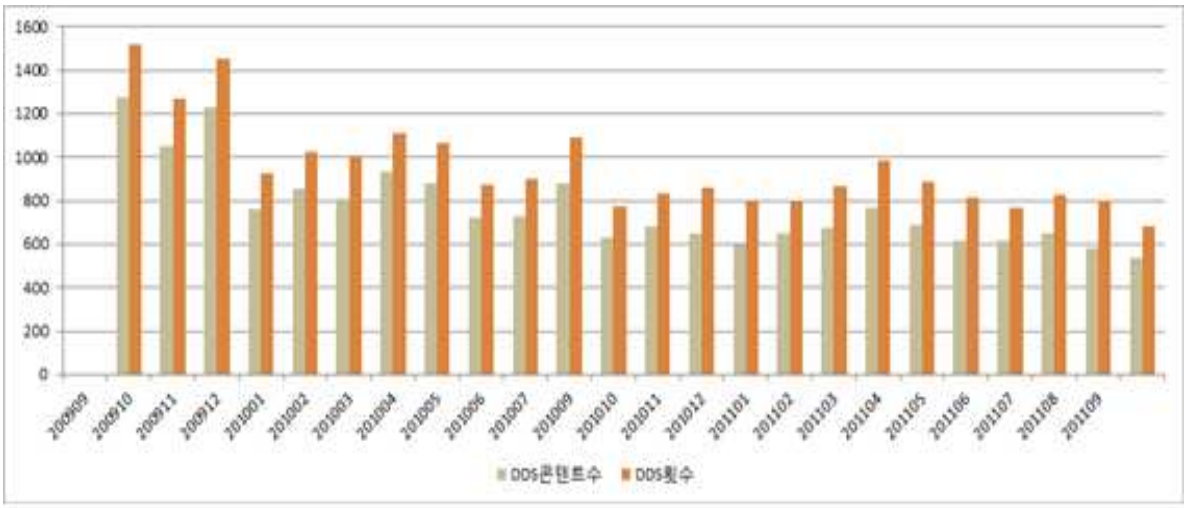
■ Technical Reports

KISTI provides science and technology technical reports that contain national R&D information obtained through the National Science and Technology Information Service (NTIS) system. NDSL provides full-text of 132,732 domestic e-technical reports. The usage numbers related to domestic e-technical reports are increasing gradually. Before this service, it was difficult to access to full-text of national R&D technical reports over the internet. The numbers of download records are 789,554 records for 2009-2010 (12 months) and 1,140,411 records for 2010-2011 (12 months). The numbers of downloads full-text of technical reports increased by 144%. Providing easy access to full-text of Korean government funded R&D research results in technical reports is important for other researchers in Korea.



<Fig. 5> Usage of E-Technical Reports (2009-2011)

KISTI holds 53,064 titles of domestic and overseas print technical reports and 149,955 titles of overseas micro-SRIM technical reports. NDSL provides metadata for technical reports for them but some of them do not have metadata. Fig. 6 shows the usage data for the Document Delivery Service for technical reports, showing a gradual reduction. However, users are still use Document Delivery Service for technical reports because some of them are still in print format only or because e-technical reports are not available to the public.



<Fig. 6> Usage of Document Delivery Service for Technical Reports (2009-2011)

New Ways for distributing GL with Social Networking Services

Satisfying users' needs and providing more convenient services, KISTI is expanding the number of access points for grey literature to exceed that of a digital library. KISTI is attempting to construct new ways of distributing grey literature system using Social Networking Services (SNSs). KISTI joined Twitter for this (@NDSL_kr), developing a service for users. The Twibort search system (ndsl_kr twibort) provides 1,000 NDSL records when users short search terms in the Twitter interface. The result can transferred to Twitter users and other social media services such as Facebook. Users also can access GL on NDSL through a smartphone while moving, meaning that they can access GL anywhere, and anytime.

Conclusion

Issues pertaining to the change from grey to white

KISTI has managed non-commercial distribution channels for grey literature for several decades and will continue in an effort to play a central role as a supporter for R&D researchers in Korea.

There are new ways of producing grey literature such as institutional repositories, new ways of communication using social media and etc. In spite of the development of information technology and tools, it is still difficult to access and identify grey literature. The effort of offering new tools and channels with which to access and disseminate scientific and technical grey literature should be continued to support R&D researchers. Additional ideas are given below.

- Identifying, making access points and collecting electronic and print GL
- Increasing metadata for GL on the web as an access point
- Providing full-text GL on the web
- Using new technology and tools for dissemination, e.g., smartphone, the iPad
- Participating social networking services: new ways of communication
- Providing other types of GL, e.g., fact data, statistics
- Discovering new types or formats for GL
- Continuing Document Delivery for paper-only GL
- Cooperating with other domestic or overseas GL networks
- Finding and using institutional repository for GL
- Adapting new research environments and channels for ST communication
- Protecting intellectual property
- Archiving GL

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https://doi.org/10.26069/greynet-2026-000.553-tgj

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Linking full-text Grey Literature to underlying research and post-publication data: An Enhanced Publications Project 2011-2012*

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Debbie Rabina (United States)

Abstract
This project seeks to circumvent the data vs. documents camp in the grey literature community by way of a middle ground provided through enhanced publications. Enhanced publications allow for a fuller understanding of the process in which data and information are used and applied in the generation of knowledge. The enhanced publication of grey literature precludes the idea of a random selection of data and information, and instead focuses on the human intervention in data-rich environments. The definition of an enhanced publication is borrowed from the DRIVER-II project, "a publication that is enhanced with three categories of information: research data, extra materials, and post-publication data". Enhanced publications combine textual resources i.e. documents intended to be read by human beings, which contain an interpretation or analysis of primary data. Enhanced publications inherently contribute to the review process of grey literature as well as the replication of research and improved visibility of research results in the scholarly communication chain.

Introduction

This enhanced publications project seeks to circumvent the data vs. documents camp in the grey literature community by way of a middle ground. Enhanced publications allow for a fuller understanding of the process in which data and information are used and applied in the generation of knowledge. The enhanced publication of grey literature precludes the idea of a random selection of data and information, and instead focuses on the human intervention in data-rich environments. The definition of an enhanced publication is borrowed from the DRIVER-II project, "a publication that is enhanced with three categories of information: 1) research data, 2) extra materials, and 3) post-publication data".[1] Enhanced publications combine textual resources i.e. documents intended to be read by human beings, containing an interpretation or analysis of primary data. Enhanced publications inherently contribute to the review process of grey literature as well as the replication of research and improved visibility of research results in the scholarly communication chain.

The goal of this project is threefold: to enhance GreyNet's existing collection of conference preprints by adding corresponding links to research data, to include commentaries i.e. post-publication data on GreyNet's existing conference preprints in metadata records, and to establish a workflow for future GreyNet enhanced publications based on the results of this project, where permanent access to full-texts and their data enriched components are made available via persistent identifiers accessible in trusted repositories.

Each of the four partnering organizations is brought together based on their expertise and tasks they will execute during the course of the project. GreyNet works together with INIST-CNRS to devise a questionnaire and carry-out a survey among its author base in the acquisition of research data linked to conference preprints. GreyNet will facilitate data entry in the DANS Easy Repository with link backs to corresponding metadata records in the OpenGrey Repository. And, GreyNet cooperates with Pratt Institute to establish basic

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criteria upon which commentaries by LIS students will be compiled and added to existing metadata records.

Not all grey literature is based on research data, and this holds for GreyNet's collection of conference preprints. While it is anticipated that GreyNet's contributing authors will be inclined to make their research data available, some data from previous years will not be retrievable. On the other hand, since student commentaries are related to academic credit, this portion of the project will harvest optimal results. And, the combined results of the project will contribute to a future workflow not only for GreyNet's enhanced publications but also for other grey literature communities.

A research project in progress

The international grey literature community is both diverse in scale and foci of research. The HEP (High Energy Physics) community[2] depicted at CERN in Geneva and the Karst communities such as the one at Florida State University[3] are two such examples. In fact, GreyNet's own community[4] of researchers in the field of library and information science is yet another example – one in which this study is focused.

This project carries with it the connotation of repurposing grey literature in that it not only has a retrospective element but seeks also to enrich already existing records in the collection. Through the years, GreyNet has been involved in providing retrospective access to its collections of conference preprints, which first started with bibliographic records in the SIGLE database, later their full-text records in the OpenSIGLE repository, and now in the newly launched OpenGrey Repository. The notion of enhancing these metadata records with related research data as well as post-publication data such as commentaries explains what is meant by 'repurposing grey literature'.

The Enhanced Publications Project (EPP) is being carried out in six phases, some of which overlap depending on the partnering organizations responsible for their implementation. The initial three phases comprise the first part of the project carried out in 2011 and the final three phases account for the second part of the project that will be carried out in 2012:

1. Project Proposal and Formation of the Team
2. Design of the Questionnaire and Author Survey
3. Criteria for commentaries and the selection of eligible conference preprints
4. Acquisition and Submission of research data
5. Data upload and cross-linking
6. Draft of enhanced publication guidelines and the design of a future workflow

Phase 1: Project Proposal and Formation of the Team

The project proposal was sparked by a paper written by Carroll el al[5] delivered at the Twelfth International Conference on Grey Literature entitled Scientific Data: Increasing Transparency and Reducing the Grey. In order to carry out the project, GreyNet would need to team-up with other partners and to this end, three organizations were contacted. INIST-CNRS who is the data provider for the OpenGrey Repository[6] in which GreyNet's publications are housed. The DANS Easy Repository[7] that would house the research data with crosslinks to the corresponding metadata records in the OpenGrey Repository. And, Pratt Institute's School of Information and Library Science[8] that would involve LIS graduate students in writing-up the commentaries of existing full-text papers in GreyNet's collection.

Phase 2: Design of the Questionnaire and Author Survey

The population of the survey was selected from among the 286 authors and co-authors in the International Conference Series on Grey Literature. It was decided that only first authors would receive the questionnaire, which narrowed the potential population of the survey to 162 authors of which only 95 were actually sent the online questionnaire. The reason the other 67 first authors were not included in the final survey population was due to a number of factors such as no current email address, retired, deceased, etc.

Number of (co)authors in the GL-Series	Number of first authors in the GL-Series	Number of EPP Survey Recipients	Number of EPP Survey Respondents
286	162	95	50

The 95 authors were sent a personalized email with a standardized text inviting them to participate in the survey by completing the online questionnaire. The survey was carried out using the freeware 'Survey Monkey' and the questionnaire contained 10 items, three of which were open-ended. Subheadings were also inserted in the questionnaire set off by quotation marks. These subheadings preceded each odd numbered question and were deemed relevant in achieving informed responses. The final results are based on the response of 50 of the 95 survey recipients, which amounts to roughly a 53% response rate.

Survey Results

While maintaining the anonymity of the individual respondent, it was possible to determine their geographic region (see Table 1, below). This was based on the response to item ten on the questionnaire in which the respondent was asked to enter his/her name and email address.

Table 1: Geographic Region of Respondents

	Percentage	Number
Asia	14,3%	6
Europe	45,3%	19
North America	33,3%	14
Non-Applicable	7,1%	3
	100,0%	42

While only 42 of the 50 survey respondents completed this item on the questionnaire, we were able to determine that authors from some 14 countries responded to the survey, and that the difference in the number of male and female respondents is negligible.

Table 2: Affiliation to the GL-Conference Series

	Percentage	Number
< 1 Year	42,9%	18
2 - 4 Years	16,7%	7
5 > Years	33,3%	14
Non-Applicable	7,1%	3
	100%	42

The respondents to item ten could also be classified into three groups based on their prior affiliation to the GL-Conference Series (see Table 2, above). Results show that about 43% were involved over the past year, about 17% were involved in the conference series 2 to 4 years ago, and some 33% of the respondents were involved as authors in the conference series 5 or more years ago. It was quite interesting to find that twice as many authors who contributed 5 or more years ago to the conference series chose to respond to the survey than authors distanced 2-4 years from the conference series.

"Data exchange is becoming the norm in open access communities"

Question 1: Does one or more of your conference papers in the GL-Series base its findings on empirical or statistical data?

	Percentage	Number
Yes	60%	30
No	40%	20
	100%	50

While it is generally known that not all of the conference papers in the GL-Series are based on statistical data, it still has yet to be determined what percentage of the collection is. However, the fact that 60% of the respondents' state that their work relies on empirical research data provides a clear indication of the relevance that this could have for the project.

Question 2: If so, would these data and/or datasets still be available in part or whole for archiving purposes?

	Percentage	Number
Yes	54,%	20
No	45,9%	17
	100%	37

Some 54% of the respondents to this question indicate that they still have research data available from their former studies. This is no doubt indicative of the value they place on their work.

"A data policy should be in place within research communities and organizations"

Question 3: Are you aware of any existing data archives or data initiatives in your country related to grey literature or other scientific publications?

	Percentage	Number
Yes	43,5%	20
No	56,5%	26
	100%	46

The response to this question shows that over 56% of the respondents are unaware of data initiatives related to grey literature in their own country. Unfortunately, we do not yet have cross tabulations by country. The incentive to further explore this finding takes on the implication that our project could contribute to an increased awareness of such initiatives within the grey literature community. It is also safe to assume that many if not most repositories are insufficiently robust to house and store statistical and other research data - this being the case with the OpenGrey repository. And, it is for this reason that GreyNet sought to partner with DANS in carrying out that phase of the project.

Question 4: If so, please provide the name(s) and corresponding URL(s) here?

	Percentage	Number
Specific	72,2%	13
General	11,1%	2
Non-Applicable	16,7%	3
	100%	18

Responses to this open-ended question were categorized into one of three clusters depending on how specific, general, or non-applicable the responses were. It can be noted that the number of respondents to this question was significantly less than to other items on the questionnaire. Nevertheless, if we look at the number of those who did provide specific names and/or URLs, we are able to compile a short list of archives housing research data on grey literature as show below.

ADP (SI), DANS (NL), IATUL (INT), ICPSR (US), IOP (INT)	ISS (IT), METIS (NL), Morphbank (US), NASA (US), NIH (US)	NOAA (US), NSF (US), NSIDC (US), NUSL (CZ), ORNL (US)	PLEIADI (IT), SIDR (FR), SYNABA (PL), TRAIL/CRL (US),

Of the 19 archives/portals named above, 8 are European, 9 are North American, and 2 are listed as international.

"Data counts as science output and should be recognized in references and citations"

Question 5: Would you be willing to submit data, datasets, or subsets to DANS (Data Archiving and Networked Services) that would in turn be linked to their existing metadata records in the OpenGrey Repository?

	Percentage	Number
Yes	48,9%	22
No	6,7%	3
Uncertain	44,4%	20
	100%	45

Almost half of the respondents appear willing to submit their data to the DANS Archive, while 44% express some uncertainty. The results of this question prove challenging for our project in that it will first be necessary to address the reasons for the respondents' hesitance, before embarking on a campaign to solicit the research data. Perhaps, by underscoring the advantages authors gain through increased referencing and citing of their work, as well as by providing them with ready guidelines for data entry, these authors/researchers would be more than willing to contribute their data to the project.

Question 6: If so, would you prefer that GreyNet entered your retrospective data and/or datasets in DANS, or would you prefer to do this directly?

	Percentage	Number
GreyNet	44,7%	17
Myself	18,4%	7
No Preference	36,9%	14
	100%	38

The 'no preference' response to this question can be interpreted not only as encouraging for acquiring retrospective data but also for the acquisition of ongoing research data that would be added to the DANS Repository and cross-linked to the corresponding metadata records in OpenGrey. While the initial scope of this project is geared to retrospective input, it is to be understood that empirical and statistical data underlying future conference preprints will be directly entered in the DANS Repository by authors themselves.

"Research data should be preserved and accessible in order to enhance scholarly communication"

Question 7: Do you agree that both the data producer as well as the data user stand to benefit by submitting data, datasets, or subsets for this Enhanced Publications Project?

	Percentage	Number
Yes	84,4%	38
No	0%	0
Uncertain	15,6%	7
	100%	45

Over 84% of the respondents agree that both the researcher/author as well as the potential data user would stand to gain from the enhancement of conference preprints with related data, datasets, and/or subsets. While it is long understood that researchers and authors are at the same time information users, and while it has been demonstrated that specific communities of researchers are more likely to first use the sources/resources produced within their own community before searching beyond[9], we are now seeing a new development in which wider audiences (i.e. net users) now have open access to underlying research data, whereby this type of grey literature becomes more transparent and accessible worldwide.

Question 8: Do you think that guidelines for data entry should be available for future conference papers and other types of grey literature?

	Percentage	Number
Yes	91,1%	41
No	0%	0
Uncertain	8,9%	4
	100%	45

Over 90% of the respondents to this question are of the opinion that a set of guidelines should be made available for data entry. And, such guidelines will be addressed in the final phase of this Enhanced Publications Project.

"Data is disciplinary or subject based and this accounts for differences in formats used to acquire it"

Question 9: What kind of data and data formats have you used/are using in your research?

	Percentage	Number
Specific	44%	15
General	38%	13
Non-Applicable	18%	6
	100%	34

Responses to this open-ended question were categorized into one of three clusters depending on how specific, general, or non-applicable the responses were. If for example a respondent replied that they were 'no longer engaged in research' or 'not engaged in research at the moment', then such responses were categorized as non-applicable. If the respondents replied to this question in broad terms such as tables, charts, times series, etc., these responses were categorized as general. And, those respondents who actually

named particular software or statistical packages such as SPSS, Mekov, Excel, Minitab, MS Access, etc. were identified as having provided a specific response.

Question 10: Please enter your name, email address, and any other comments or recommendations for this Enhanced Publications Project?
As indicated earlier in the paper, the response to this open-ended question allowed us to specify the geographic region of the author as well as his/her affiliation over time in the GL-Conference Series. Comments by four of the survey respondents are of particular interest in that they are assumed to be shared by other authors/researchers. These comments are recorded as follows:

> **"**I'm a firm believer that not all data is worth archiving.**"**
> **"**Will your system support the preservation and migration to new platforms?**"**
> **"**For many, it would need to be a local activity linked to our own sites.**"**
> **"**I share data with my colleagues and research teams, but I'm not sure if I would be willing to share them with anybody else at the moment?**"**

It is believed that the tenor of these comments have much to do with the uncertainty expressed in response to Question 5, and must likewise be kept in mind during the acquisition phase of this project.

Phase 3: Criteria for commentaries and the selection of eligible conference preprints
Graduate students from Pratt Institute's School of Information and Library Science were engaged in the selection of GreyNet's conference preprints currently accessible via the OpenGrey Repository. In their initial selection and review of the full-texts, they first determined whether the content would be of value in the research chain and whether the manuscripts were clearly written given the fact that English is not always the first language of the authors in the International Conference Series on Grey Literature.

Standardized Format
In order to facilitate their work, the students developed a standardized format used in drafting the commentaries. Each commentary comprises a brief summary, the strengths of the research, any noticeable limitations, and the takeaway *i.e.* what the student considered the most salient aspect in the study. A sample commentary is provided below.

http://hdl.handle.net/10068/697760 **GL8_Anderson_et_al_2007_Commentary_by_Pratt_Ins**

Harnessing NASA Goddard's Grey Literature: The Power of a Repository Framework

Summary:
In an organization like NASA, where researchers come and go depending on the project, it is especially important to have a central repository for the valuable scientific grey literature that is produced during the lifetime of any given mission. This paper details the steps that went into NASA Goddard Library's development of a Digital Asset System (DAS) capable of managing the wide range of items (multimedia objects as well as text documents) and multiple vocabularies used in its various projects over its long history. The authors developed their own extension of a Dublin Core Metadata scheme, and also created oral and video histories of many projects that had concluded.

Strengths:
- The description of the process the authors used to create and improve upon the DAS is clear and thorough.

Limitations:
- The paper might benefit from more in the way of concrete examples.

Takeaway:
This is a fascinating look at the development of a repository for a fabled government agency, the problems that arose along the way, and the solutions the authors devised. It is a valuable working document for anyone undertaking the creation of a digital repository for grey literature.

Reviewer Eloise Flood, Pratt SILS 2011

Currently 205 commentaries on GreyNet's conference preprints now are available in the OpenGrey Repository. This covers 79% of the total collection. More on this phase of the project was presented by a group of Pratt students during the GL13 Conference Poster Session.[10]

Project Continuation

The final three phases of this project will be undertaken in 2012 and involve the acquisition of research data and their subsequent upload and cross-linking between the DANS Repository and the OpenGrey Repository. This will allow for open access to research data linked to underlying full-texts, to extra materials such as PowerPoints, abstracts, and biographical notes already available via the metadata records, as well as the post-publication commentaries. A set of guidelines will be drafted and used in the future workflow of GreyNet's enhanced publications. In this last phase of the project, existing guidelines for the re-use, verification, and preservation of data[11] will be employed. Furthermore, in line with GreyNet's policy on information access and retrieval, neither the submission of the research data nor the format will be mandated.

In Close

Final conclusions will have to await completion of the enhanced publications project. However, it is worthwhile to summarize the results of the first half pertaining to the survey and post-publication data. While it was known from the start of the project that not all of the conference preprints in GreyNet's Collection were based on research data, it was encouraging that 50 of the 95 authors surveyed completed the questionnaire, 30 of whom stated that their findings were based on empirical or statistical data, and 20 of whom still maintain these data, datasets, and/or subsets, which are still available for archiving purposes. While it was surprising to find that a little over half the respondents were unaware of existing data archives related to grey literature in their own country, it was considered worthwhile to have accumulated a short list of subject-based grey literature repositories that do house research data. This list can now be further expanded and even linked to other subject-based resources.[12]

In the second part of the questionnaire, which focused not only on retrospective data but also ongoing and future research, we found that very few respondents were unwilling to submit their data for input in the DANS Repository. However, on the other hand, nearly half voiced uncertainty. In the next phase of our project, it will be important to address the uncertainties before proceeding with a campaign for data acquisition. Finally, the overwhelming majority of respondents agree that both the data producer and user would benefit from enhanced publications, and they look forward to guidelines for future data submission.

In regard to post-publication data, it was anticipated at the start of the project that the LIS students would produce a significant number of commentaries given this phase of the project was linked to course credit. However, it was beyond expectation that almost 80% of the existing conference preprints would have been completed in the first part of our enhanced publications project. This wealth of post-publication data now provides the opportunity to assess the impact that these commentaries have on GreyNet's collection of conference preprints.

Acknowledgements

Special thanks to the students at Pratt Institute's School of Information and Library Science, who under the direction of Prof. Dr. Debbie Rabina carried out the post-publication phase of this project by enhancing GreyNet's Collection of conference preprints with commentaries. Likewise, a word of thanks to Nathalie Henrot at INIST-CNRS, who was responsible for integrating over 200 commentaries in the OpenGrey Repository.

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[11] http://www.dans.knaw.nl/en/content/categorieen/publicaties/dans-studies-digital-archiving-6 Selection of Research Data: Guidelines for appraising and selecting research data Heiko Tjalsma (DANS) and Jeroen Rombouts (3TU.Datacentrum), 2011.
[12] http://www.greynet.org/greysourceindex.html GreySource Index, A selection of classified web-based resources in grey literature

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FOURTEENTH INTERNATIONAL CONFERENCE ON GREY LITERATURE

Tracking Innovation through Grey Literature

National Research Council, Rome, Italy 29-30 November 2012

Hosted by the Central Library "Guglielmo Marconi", IRPPS Rome, and ISTI Pisa

Conference Outline

DAY 1 Thursday		DAY 2 Friday	
Registration Desk Open Including Coffee Service	8:00-9:00	Registration Desk Open Including Coffee Service	8:30-9:00
Opening Session *Welcome Address: Prof. Luigi Nicolais, CNR President* *Opening Address: Carlos Morais-Pires, EU Commission* *Keynote Address: Dr. Jan Brase, TIB Hannover*	**9:00-10:30**	**Poster Session and Sponsor Showcase**	**9:00-11:00**
Morning Break	10:30-11:00		
Session One Tracing the Research Life Cycle	**11:00-12:30**	**Session Three** Adapting New Technologies	**11:00-12:30**
Lunch	12:30-13:30	*Lunch*	*12:30-13:30*
Session Two Tracking Methods for Grey Literature	**13:30-15:00**	**Session Four** Repurposing Grey Literature	**13:30-15:00**
Afternoon Break	15:00 -15:30	Pause	15:00-15:15
Introduction to Posters *A two minute briefing by Sponsors & Poster Presenters*	**15:30-17:00**	**Closing Session** *Reports Chairpersons, Conference Handoff, Farewell*	**15:15-16:00**
Conference Reception	17:00-18:30	CNR Post-Conference Tour	

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DCMI, Dublin Core Metadata Initiative Home Page http://purl.oclc.org/metadata/dublin_core/

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