



9 April 2015

Improvement of Research Report Distribution and Access and Promotion of More Effective Use of Technical Report Documentation Page, USDOT Form 1700.7

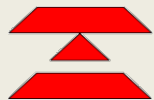
SPEAKERS: Maggie Sacco, HSIInFocus, Tia Mastromatto, Research Associate, TransAnalytics LLC, & Lawrence E. Decina, Senior Associate, TransAnalytics LLC

Improvement of Research Report Distribution and Access (Part A)

and

Promotion of More Effective Use of the Technical Report Documentation Page, USDOT Form 1700.7 (Part B)

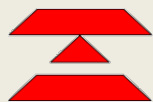
April 2015



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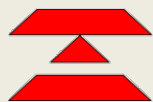
Lawrence E. Decina, MS LIS, BS
Sandra Tucker, MS LIS, MA, BA
Tia Mastromatto, MA, BA

Part A:
**Improvement of Research Report
Distribution and Access**



Objectives

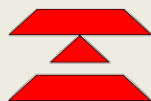
- **To provide insight into and recommendations for resolving State Planning and Research (SPR) Funded report distribution and access process issues to create consistent, sustainable information resources and to streamline the report distribution process.**
- **Improving the process may increase compliance by providers, resulting in overall increased access to transportation information by researchers and practitioners**



Research Methodology

- (Part A.1 – Report Recipients)
 - telephone conversations with 8 recipients (FHWA Office of Corporate Research, Technology, and Innovation Management, FHWA Library, NTL, TRID, NTIS, VOLPE, UC Berkeley, NWU-TL)
 - follow-up email questions
 - summary and table and brief report

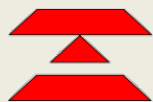
- (Part A.2-A.5 – State DOT Library/Research Center Report Distribution Requirements)
 - identify DOT Libraries/Research Centers
 - advance message on willingness to take survey
 - develop survey (pilot testing, and reviews by committee)
 - survey (Survey Monkey) sent to 39 State DOT Libraries/Research Centers
 - summarize data/prepare report



Results (Part A.1)

Discussions with Eight Recipient Organizations

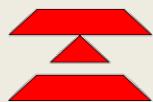
- State DOTs are distributing the SPR-funded reports to one or more institutions specified in the FHWA directive letter.
- None of the 8 recipients pro-actively search for studies being managed by the State DOTs to determine if a final deliverable report has been submitted to them.
- All recipients felt that NTL should be the designated repository for all FHWA-funded reports (including SPR-funded reports).
- Most felt that TRID should be the bibliographic database for all FHWA reports.
- The Universities felt that each State DOT should also be a repository for reports it produces under FHWA funds.



Results (Parts A.2-A.5)

Survey to State DOT Libraries/Research Centers

- All State DOTs are required to send completed SPR-funded reports to **TRID** and nearly all stated they are required to send them to **NTL**
- About $\frac{2}{3}$ send reports to **NTIS** and their **State Libraries**
- About $\frac{1}{2}$ send to FHWA Research Library, FHWA Turner-Fairbanks Highway Research Center and NWUTL
- About $\frac{2}{3}$ have an alert system, and most use **group email distribution**
- All add their own SPR-funded reports to their collections
- Most catalog using their own system and OCLC
- Most rarely receive updates or corrections to SPR-funded reports
- **Over $\frac{1}{2}$ assign their own permanent URL** and it points to their State server
- **Majority do not have a strategy for long-term preservation** of SPR-funded reports



Where?

TRID, NTL, and NTIS

(best practice is already in place)

What?

URLs or Full Electronic Copies

NTL and NTIS confirmed that they will download the full report from a URL

When?

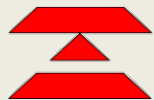
0-3 Months, Upon Approval

(best practice is already in place)

Who?

Group Email List

A group email list was the preferred method among survey respondents



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INSTRUCTIONS

FOR PROVIDING ACCESS TO TRANSPORTATION RESEARCH

This sheet provides an overview of instructions for the distribution of Federal Highway Administration (FHWA) reports funded by the State Planning and Research (SPR) program.

Where?

TRID, NTL, and NTIS

Distributing SPR-funded reports to TRID and NTL is a must. These two organizations play a vital role in providing access to the transportation community. A copy of the report should be sent to the appropriate state or DOT archive as well.

Sending to NTIS is required for all federally-funded reports; it is also ideal to serve as a back-up system.

Send to ANYWHERE ELSE that expresses interest in receiving these reports. Redundancy in catalogs and holdings is useful in improving discovery and access.

Who?

Group Email List

Creating a group email list of interested parties to notify when new SPR-funded reports have been made available is ideal. This provides necessary information to those who want it, without the burden and margin of error associated with searching for this information on their own.

What?

URLs or Full Electronic

Send a full-text electronic copy of a report, or a URL, to NTL, TRID, and NTIS for their use in creating records. NTL and NTIS will download the full report from a URL .

Follow your state's procedures to ensure that a full electronic copy is added to the appropriate repository / archive.

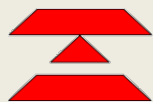
When?

0-3 Months

Upon approval, making SPR-funded reports available as soon as possible allows researchers and practitioners in transportation fields to stay current, conduct research, and access information.

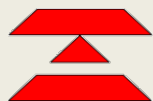
Part B:

Promotion of More Effective Use of the Technical Report Documentation Page, USDOT Form 1700.7



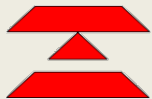
Objectives

- To document the current state of practice in the use of Form DOT F 1700.7
- To identify best practices or methods that will encourage more effective use of the form.



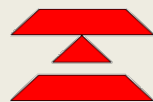
Research Methodology

- Uncover the background on “inception of form” (c.1969,1972,1975) and other similar forms.
- Identify instructions for form fields.
- Canvass State DOT Libraries/Research Centers.
- Case study—sample of 100 records in TRID and NTL published 2013-2014, using search term “FHWA”



Results

- Official USDOT instructions for completing Tech Doc page are from **1975** and the form itself were last revised in 1972.
- Instructions are fairly straightforward, however some fields may not be relevant today.
- There is **no official download** of the form; and authors make copies from previous reports.
- **Most often used fields include:** title, author, abstract, keywords, report date, report number, performing organization, and sponsoring organization
- **Least common and inconsistently used fields include:** distribution statement, number of pages, security classification, and contract/grant number
- **Rarely used fields include:** government accession number, recipient's catalog number, performing organization code, work unit number, sponsoring agency code, and price
- Case study agreed with survey findings.
- Most State DOTs expressed interest in including a **URL** on the form, either in a new field or in the supplementary notes field, but this interest comes with some **reservations**.



Recommended Instructions for Form DOT F 1700.7 (8-72)

1. Report No.	2. Government Accession No.	3. Recipient's Catalog No.	
4. Title and Subtitle		5. Report Date	
		6. Performing Organization Code	
7. Author(s)	8. Performing Organization Report No.		
9. Performing Organization Name and Address		10. Work Unit No. (TRAIS)	
		11. Contractor or Grant No.	
12. Sponsoring Agency Name and Address		13. Type of Report and Period Covered	
		14. Sponsoring Agency Code	
15. Supplementary Notes			
16. Abstract			
17. Key Words		18. Distribution Statement	
19. Security Classification (of this report)	20. Security Classification (of this page)	21. No. of Pages	22. Price

Technical Report Form DOT F 1700.7 (8-72)

Reproduction of completed page authorized

Instructions for Completing Form DOT F 1700.7

- 1. Report No.** Enter the report number assigned by the sponsoring agency
- 2. Government Accession No.** Leave blank
- 3. Recipient's Catalog No.** Reserve for use by the report recipient
- 4. Title and Subtitle.** Enter title and subtitle with volume number and part number, if applicable
- 5. Report Date.** Enter full publication date, including month and day, if available. Must cite the full year. Example: June 5, 2014 or June 2014 or 2014
- 6. Performing Organization Code.** Enter any/all unique numbers assigned to the performing organization, if applicable
- 7. Authors.** Enter name(s) of person(s) responsible for writing the report, performing the research, or credited with the content of the report. Form of entry is first name, middle initial (if applicable), last name, and any additional qualifiers. Primary author is listed first. Example: Jane G. Smith, Ph.D.
- 8. Performing Organization Report No.** Enter any/all unique alphanumeric report numbers assigned by the performing organization, if applicable
- 9. Performing Organization Name and Address.** Enter the name and address of the organization performing the research.
- 10. Work Unit No. (TRAIS).** Leave blank
- 11. Contract or Grant No.** Enter the number of the contract or grant under which the report was prepared.
- 12. Sponsoring Agency Name and Address.** Enter name and address of the organization(s) financially responsible for the work.
- 13. Type of Report and Period Covered.** State the type of report (e.g., final, draft final, interim, quarterly, special, etc.) followed by the dates during which the work was performed. Example: Final Report (June 2012 - June 2014)
- 14. Sponsoring Agency Code.** If available, enter the code or acronyms for the sponsoring agency (e.g., FHWA, NHTSA)
- 15. Supplementary Notes.** Enter information not included elsewhere, such as: project performed in cooperation with; translation of (or by); report supersedes; old edition number; URL or hyperlink; ORCID identifier, etc.
- 16. Abstract.** Enter a brief (approximately 200 words) factual summary of the most significant information, including the purpose, methods, results, and conclusions of the work. When appropriate, the abstract should include advice on how the results of the research can be used.
- 17. Key Words.** Enter words, terms, or phrases that identify important topics in the report. When possible, terms should be selected from the Transportation Research Thesaurus (tr.tb.org)
- 18. Distribution Statement.** Use agency-mandated distribution statements and state any restrictions. Example: No restrictions. This document is available through the National Technical Information Service, Springfield, Virginia 22161.
- 19. Security Classification (of this report).** Enter the security classification of the report (e.g., Unclassified). Reports carrying a security classification will require additional marking giving security and downgrading information as specified by the sponsoring agency.
- 20. Security Classification (of this page).** Enter the security classification of the form (e.g., Unclassified). When at all possible, Form DOT F 1700.7 should remain unclassified. If a classification is required, identify the classified items on the page by an appropriate symbol as per instruction from the sponsoring agency.
- 21. No. of Pages.** Enter the total number of pages in the report, including both sides of all pages and the front and back covers.
- 22. Price.** Leave blank unless applicable

Form DOT F 1700.7 (08/72) Back



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Suggested Revised Form with Instructions

Title and Subtitle:		Period Covered:	
		Contract or Grant No.:	
Author(s):			
Performing Organization Name and Address:		Sponsoring Agency Name and Address:	
Performing Organization Code:		Performing Organization Report No.:	
Supplementary Notes:			
Abstract:			
Key Words:			
This section is reserved for Sponsoring Agency use only.			
Report No.:	Type of Report:	Report Date:	
Distribution Statement:			
Sponsoring Agency Code:	Recipient's Catalog No.:	No of Pages:	Price:
Security Classification (of this report):		Security Classification (of this page):	
URL:			

Instructions for Researchers

Title and Subtitle. Enter title and subtitle with volume number and part number, if applicable

Period Covered. Cite the dates during which the work was performed. Example: June 2012 - June 2014

Contract or Grant No. Enter the number of the contract or grant under which the report was prepared.

Authors. Enter name(s) of person(s) responsible for writing the report, performing the research, or credited with the content of the report. Form of entry is first name, middle initial (if applicable), last name, and any additional qualifiers. Primary author is listed first. Example: Jane G. Smith, Ph.D.

Performing Organization Name and Address. Enter the name and address of the organization performing the research.

Sponsoring Agency Name and Address. Enter name and address of the organization(s) financially responsible for the work.

Performing Organization Code. Enter any/all unique numbers assigned to the performing organization, if applicable

Performing Organization Report No. Enter any/all unique alphanumeric report numbers assigned by the performing organization, if applicable

Supplementary Notes. Enter information not included elsewhere, such as: project performed in cooperation with; translation of (or by); report supersedes; old edition number; ORCID identifier, etc.

Abstract. Enter a brief (approximately 200 words) factual summary of the most significant information, including the purpose, methods, results, and conclusions of the work. When appropriate, the abstract should include a device on how the results of the research can be used.

Key Words. Enter words, terms, or phrases that identify important topics in the report. When possible, terms should be selected from the Transportation Research Thesaurus (tr.tb.org)

Instructions for Sponsoring Agencies

Report No. Enter the report number assigned by the sponsoring agency

Type of Report. State the type of report (e.g., final, draft final, interim, quarterly, special, etc.)

Report Date. Enter full publication date, including month and day, if available. Must cite the full year. Example: June 5, 2014 or June 2014 or 2014

Distribution Statement. Use agency-mandated distribution statements and state any restrictions. Example: No restrictions. This document is available through the National Technical Information Service, Springfield, Virginia 22161.

Sponsoring Agency Code. If available, enter the code or acronyms for the sponsoring agency (e.g., FHWA, NHTSA)

Recipient's Catalog No. Reserve for use by the report recipient

No. of Pages. Enter the total number of pages in the report, including both sides of all pages and the front and back covers.

Price. Leave blank unless applicable

Security Classification (of this report). Enter the security classification of the report (e.g., Unclassified). Reports carrying a security classification will require additional marking giving security and downgrading information as specified by the sponsoring agency.

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URL. Enter the permanent URL for the report