

Knowledge production and dissemination

Fredrik Tell 26 October, 2021



Published articles in journals such as *Industrial and* Corporate Change, International Journal of Project Management, Management Learning, Organization, Organization Studies, Research Policy, Strategic Organization, Technological Forecasting and Social Change, etc.

Fredrik



মূ Studentlitteratur

Edited by Fredrik Tell, Christian Berggren, Stefano Brusoni and Andrew H. Van de Ven



Background: Industrial and Corporate Change

- Founded in 1992
- "Industrial and Corporate Change is committed to presenting and interpreting corporate organization and change, innovation, industrial structures and dynamics, drawing from a variety of disciplines, including economics, management, history, political science, and sociology. The ICC Editors strive to publish papers that have sound theory and appropriate methods, whatever the method may be, and that are relevant with clear implications for the economy, organizations, management, public policy, or society."
- One (of several) editors since 2009
- Approximately 350-400 original submissions/year
- Editorial offices: US, Continental Europe, UK & Scandinavia
- 6 issues per annum ≈ 50 articles (≈ reject rate of ca. 85-90%)
- Published by Oxford University Press
- https://academic.oup.com/icc





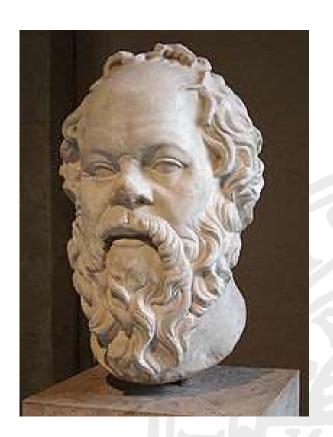
Agenda

- 9.15-10.00 Introduction
- 10.00-10.45 Breakout 1: Outlet selection and preparation
- 11.00-11.45 Discussion: Outlet selection
- 11.45-12.30 Lunch Break
- 12.30-13.15 Good research practice
- 13.30-14.15 Breakout 2: Scientific misconduct
- 14.15-15.00 Discussion: Scientific misconduct



The nature of Science

- Growth of knowledge through dialogue?
- Elenchus
- What is spoken and what is written





What does it mean to "publish"?

- Is all written text a publication?
- If not, how does one publish?
- Making a text public
- Discussing a text
- The "notification" of a text (proclamation)
- The distribution of a text



Where to publish?

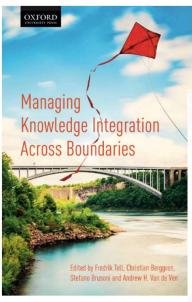
- Informal outlets
 - Conferences, seminars, workshops, www....
- Formal outlets
 - Report series
 - Books (distributed by publisher)
 - Journals and magazines (scientific, popular science, news...)
 - Domestic language or *lingua franca* (English)?

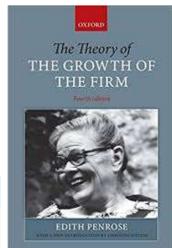


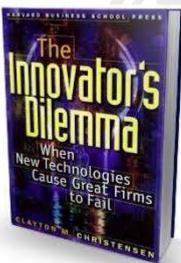
Books

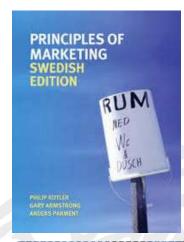
- Monographs vs. edited volumes
- Targeted audience
 - Academics
 - Practitioners
 - Students
 - Informed public

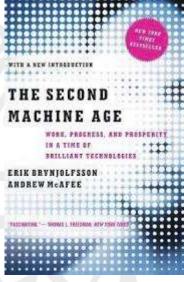














The process of publishing a book

- Write a synopsis
- Consider the purpose and audience of the book
- Processes for publishing may differ between types of books
 - Research monographs manuscript often necessary before submission
 - Textbooks manuscript often developed in collaboration with book editor
 - variants in-between…



Your book proposal in the process...

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Book Title Managing Knowledge Integration Across Boundaries

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Normally we will be the channel for all press enquiries about your book. Please state if we may give your address etc. for the press to contact you directly YES/NO

Last reviewed: May 2014

Guidance for Reviewers of Book Proposals - Oxford University Press

In order to assess whether to proceed with a book proposal, OUP ask the advice of a small number of academic advisors with an interest in the area. The main objectives are to confirm that there is the need for such a book, and to ensure that the proposal is of the highest possible quality. If it is apparent that this proposal will make a useful book, then it is hoped that your comments about content and organisation may help the author strengthen the work.

The main areas to focus on in review are:

- 1) What, briefly, are the purposes and main arguments of the work?
- Is it an original and significant contribution to the subject? If so, in what respects? (e.g. new interpretation, methodology, sources).
- 3) Is the content well organised?
- 4) Are there any subjects or topics not covered which in your opinion would form a necessary part of this book? Or is there any material you would consider superfluous?
- 5) Is the style appropriate? If provided, what is your opinion on any sample material?
- 6) Are you aware of the author?
- 7) Do you agree with the readership as outlined in the proposal?
- 8) Do you agree with the author's assessment of the competition for the proposed book? Are you aware of any competing books not mentioned in the proposal?
- 9) Do you recommend that OUP pursue this proposal to publication, either in its present form or with any modifications you have suggested, or should we decline this book proposal?
- 10) Finally, if you support the book, what price would you recommend? Hardback or paperback?

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Your agreement to review the proposal/manuscript will be taken as acceptance of these terms. If you are unable to comply with these requests, you should not carry out the review and should return any related material to OUP immediately.

Thank you.



Other outlets

- Newspapers
- Trade magazines
- Popular press
- Blogs
- etc



Öppen innovation – i teori och praktik







What is a scientific journal?

- Publishes scientific contributions
- Organized peer review process
- Continuous publishing
- Accessible (often with a publisher)
- Primarily targeting an academic audience



What types of journals are there?

Some categories (NB! Not mutually exclusive or dichotomous)

- Subject domain (discipline)
- Empirical vs. theoretical
- General vs. specialized
- Science oriented vs. practice oriented
- Content oriented vs. methods oriented
- Global vs. geographical
- English vs. other language
- Format (e.g. article length, sequence, headings, references, etc.)

• ...



The review process: From submit to accept/reject (or: Why does it takes such a long time)

- 1. Manuscript is submitted electronically by author(s)
- 2. Editor is assigned
- 3. Editor glances manuscript
 - a. Should the paper be reviewed?
 - i. Desk reject
 - ii. Review
- 4. Ask potential reviewers
 - a. Ask several reviewers
 - b. Hassle reviewers
 - c. Ask new reviewers
- 5. Referee reports are submitted
 - 1. Suggestion for editorial decision (accept, minor revisions, major revisions, reject)
 - 2. Comments to the editor (not visible for authors)
 - 3. Comments to the author
- 6. Sufficient number of reviews received (2 to 3): Editor reads manuscript + referee reports
- 7. Editor makes editorial decision (when necessary affter having consulted other editors) and writes to author
- 8. If editorial decision is a revision: New version of manuscript is submitted (usually)
- 9. Step 4-8 all over again



Being the editor (or: what is on her/his mind?)

- How to find the best possible contributions for our target audience?
 - Quality
 - Relevance
- How to use our "pool" of reviewers in the best way possible?
- Will this contribution be read and used?
 - Does it say something new, interesting and important?
 - Does it suit the profile of our journal?



Who reviews?

In the first round 3-4 reviewers are asked, based on e.g.,

- Subject expertise
 - Theoretical
 - Empirical
- Core references in manuscript
- Knowledge on used methods
- Degree of seniority
- Geographical dispersion



(The grounds for) editorial decisions

Reviewers' suggestions and the editor's decision

- Unanimous
- "Split"
- Accept
 - Extremely rare for first submission
- Revise and resubmit (RoR) (minor/major revisions)
 - Potential for publication after revision (editor)
- Reject
 - Reviewers' suggestions + editor's judgment
 - Justification
- Desk reject
 - Rejected by editor(s) without reviewing process
- Sometimes the editor and the reviewers have differences in opinion!



What is on the mind of the author?

- Why do I write?
 - "This has to be written"
 - "To contribute to the growth of knowledge"
 - "This is what I do for a living"
 - "I want to make a career"
 - "I want recognition"
 - "Ticking the boxes"
 - Etc.

- For whom do I write?
 - "for the dialogue with my peers/colleagues/community"
 - "For myself"
 - "For the reviewers and the editor"
 - "For the users of my contribution (academics/practitioners)"
 - Etc.



Some structural comments

- The article format provides a specific structure to frame the argument and findings (there are other formats...)
- My contribution needs to be positioned in relation to something (e.g. Problem, previous research)
- Methodology increasingly important



How do reviewers think?

- The reviewer (referee): most often a specialist within this field of research
- Is there a problem (i.e. Is this interesting?)
- Are the contents and arguments convincing?
- Is there a contribution?
- The reviewer is interested in your research (but is in shortage of time)!
- The reviewer serves the role as the "devil's advocate"

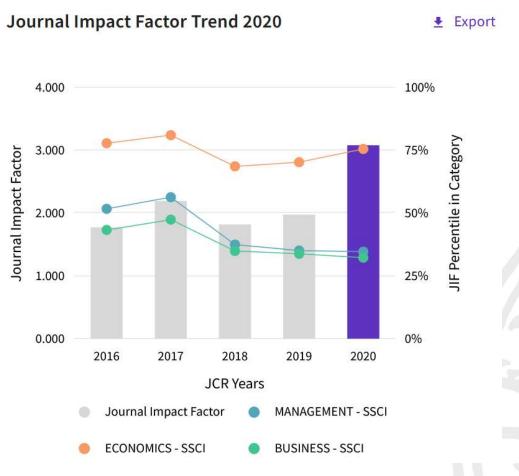


So, what are the concerns of an editor?

- Does the manuscript contribute to the development of ICC?
- What problems with the manuscripts are raised by the reviewers?
 - How serious are the concerns?
 - Are they remediable (in a review process with the same reviewers)
- Are there issues with the manuscript not raised by the reviewers?
 - How serious are the concerns?
 - Are they remediable?



ICC pressure: Impact and rankings



2021 ABS Ranking (Social Science): 3 (Max 4*)



Grounds for rejection...

- Purpose of manuscript
- Framing of manuscript
- Omission of recent literature/ICC literature
- Lack of focus
- Use of theory, derivation of models/hypotheses
- Methodological issues
- Selection of data (e.g. time window, case)

- Presentation issues (e.g. sequencing/structure)
- Generalizability of findings to what domain?
- Derivation of conclusions from findings
- Lack of "punch-line/originality
- Contribution
- Etc.



How to react on criticism?

- Are the reviewers and the editor always right?
- View the reviewers' comments as suggestions for improvement!
 - If you get an RoR, this means that both editors and reviewers are interested (but that there still may be a long way to go...)
 - If the manuscript (observe: <u>NOT</u> YOU) is rejected; read the justification and ponder what should be improved and what is the right outlet for the contribution.
 - If you get an RoR and submit a revised version, always attach a cover letter and (most importantly) responses to every reviewer's comments. Make it easy for reviewers!



Breakout 1: Outlet selection and preparation

Discuss the rationale for outlet selection based on your presentations. Drawing on the readings for today's class (i.e. Kilduff, 2007; Linton, 2010; Billsberry, 2014), please summarize your <u>top-</u>concerns regarding journal submissions.

- What are the most important things to consider when selecting outlet for publication?
- What needs to be there (in the manuscript) in order for you to submit your manuscript?



Is peer-review worthwhile? On good research practice









Good research practice

The Swedish Higher Education Act stipulates "higher education institutions shall uphold academic credibility and good research practice". A university or a university college that is informed about suspected misconduct in research has an obligation to investigate the allegations.



What are good reserach practices?

- Good research practices rest on some fundamental principles: that
 one can be assured that research is of high quality; that research is
 conducted and reported in a truthful way and with respect to
 important societal values; and that researchers take responsibility for
 their research and its consequences.
- When serious deviations from good research practices occur, the
 research can be reported as fraudulent, which at the University is
 defined in brief as falsifying, misrepresenting or plagiarising
 research. The researcher also might not have the necessary permits
 to conduct research or might specify someone as an author
 (participant in the research) who is not entitled to this.

(https://www.uu.se/en/research/ethics/)



Research ethics

- Good research practice
- Misconduct: Assessment and penalties
- Ethical approval



Three sources

- **Uppsala University** (2019), Guidelines on the procedure in the event of suspected deviations from good research practice, UFV 2019/1612
- Vetenskapsrådet (2017), Good research practice, Stockholm: Swedish Research Council
- ALLEA The European Code of Conduct for Research Integrity (https://www.allea.org/wp-content/uploads/2017/05/ALLEA-European-Code-of-Conduct-for-Research-Integrity-2017.pdf)



The ethos of modern science: CUDOS

Communism

'Communism', in the non-technical and extended sense of common ownership of goods, is a second integral element of the scientific ethos. The substantive findings af science are a product of social collaboration and are assigned to the community. They constitute a common heritage in which the equity of the individual producer is severely limited.

Universalism

...truth-claims, whatever theii source, are to be subjected to *preestab!ished impersonal criteria:* consonance with observation and with previously confirmed knowledge. The acceptance or rejection af claims entering the lists of science is not to depend on the personal or social attributes of their protagonist; his race, nationality, religion, dass and personal qualities are as such irrelevant.

Disinterestness

The activities of scientists are subject to rigorous policing, to a degree perhaps unparalleled in any other field of activity. The demand for disinterestedness has a firm basis in the public and testable character of science and this circumstance, it may be supposed, has contributed to the integrity of men of science.

Organized Scepticism

Organized scepticism is variously interrelated with the other elements of the scientific ethos. It is both a methodologic and an institutional mandate. The suspension of judgment until 'the fäets are at hand' and the detached scrutiny of beliefs in terms of empirical and logical criteria have periodically involved science in conflict with other institutions.

Merton, Robert K. (1942), A Note on Science and Democracy, *Journal of Legal and Political Sociology*, 1, (1 and 2): 115-126



Examples of misconduct

- Falsification and fabrication
- Misrepresentation
- Plagiarism
- Failure to obtain permits or follow terms and conditions



What does a university consider to be scientific misconduct?

At present, Uppsala University uses the OECD definition: "fabrication, falsification and plagiarism". The University has, in addition, included in its definition of misconduct unauthorised authorship claims and failure to apply for permission where such application is recommended.



A taxonomy of Research Misconduct, Inappropriate and Questionable Conduct

Nature of behavior	Appropriate conduct	Questionable conduct	Inappropriate conduct	Blatant misconduct
Data manipulation	 Winsorization (the assigning of lesser weight to an apparently spurious outlier) 	 HARKing (Hypothesizing After the Results are Known) 	Selective reportingOmitted data	Data fabricationData falsification
Use of work by others	- Drawing from and building on work from others	- Short phrases lifted from others and not put in quotation mark	 Entire sentences reproduced without source or quotation mark Failure to cite or acknowledge others 	 Plagiarism of entire article, whole section etc. Wilfully omitting an entire body of work (e.g. in a proposal)
Use of own work	 Making every effort to diffuse one's own work Avoiding excessive self-citation Maximizing one's research output 	 Hyping own work/excessive self citation Partial overlap with other papers by that author Salami publishing 	Self-plagiarismRedundantpublication	- Using the same theory or data to arrive at a different conclusion (just for the sake of publishing another paper)
Authorship	Including as authors all who have made a substantial contribution	- Obligatory authorship (e.g. expectation that a PhD supervisor should be an author)	·	- Failure to declare an interest

Hall, Jeremy and Ben R. Martin (2019) Towards a taxonomy of research misconduct: The case of business school research, *Research Policy*, 48: 414-427 (Table 1, p. 419)



What happens if there is suspicion of malpractice or you get caught?





Internal procedures: Uppsala University

When the University receives a report of misconduct, the Vice-Chancellor is notified, and the Vice-Chancellor refers the report to the Board for Investigation of Misconduct in Research.

- The accused researcher is informed and an inquiry begins. A reporting officer on the Board is appointed.
- The researcher is offered an opportunity to comment.
- The Board may obtain the opinions of experts, of which at least one is to be from another
 higher education institution. The expert's task is to analyse certain specific issues that are
 important to the inquiry. During the process, additional documentation may be requested.
- The University may, if necessary, seek the opinion of the Central Ethical Review Board, but is always to do so if the person making the allegation or the person being accused desires it and it is not obviously unnecessary.
- When the experts have made their assessment, the accused individual is to be given an opportunity to comment on the assessment.
- When the inquiry is completed, the Board writes a statement of opinion for the Vice-Chancellor, who makes the final decision.
- If the allegations are confirmed, the Vice-Chancellor then decides on a process for possible penalties and disciplinary measures.
- If the study has been published, the publication concerned and any funding agency are contacted.

This applies to reports of misconduct in research received by Uppsala University beginning on 1 January 2017. The report and decisions on cases of suspected misconduct in research are public documents.



External procedures

Domestic procedures

Sweden: National research misconduct board (in effect Jan. 1, 2020)

Nämnden för prövning av oredlighet i forskning https://oredlighetsprovning.se/

Actions in the international academic community Journal procedures: Retraction

https://retractionwatch.com/

About Us

The National Board for Assessment of Research Misconduct

■ The National Board for Assessment of Research Misconduct (Nämnden för prövning av oredlighet i forskning) is a Swedish governmental agency. The government formed the Board January 1 st 2020. The same day a new Swedish law became effective, "lagen (2019:504) om ansvar för god forskningssed och prövning av oredlighet i forskning".

The board investigates research misconduct, cases that previously were handled by the Swedish universities.

Research misconduct is defined in the law as a serious breach of good scientific practice in the form of fabrication, falsification or plagiarism that is committed intentionally or with gross negligence in the planning, performance or reporting of research.

Decisions by the Board are published regularly on our website in Swedish. Twice a year we decide if we will translate decisions of certain principal importance to English.

Our decisions can be appealed to the Administrative Court in Uppsala.



Number of cases



Statistik över pågående ärenden

Typ av ärende	Inkomna 2020	Inkomna 2021
Överlämnat	3	7
Anmält	5	13
Egeninitierat	0	0
Summa	8	20

Tabell uppdaterad 27 september 2021.

2020



A Taxonomy of the Sources of Research Misconduct and Other Questionable Behaviour.

Type	Examples of Behaviour	Theoretical Sources of Misconduct (Greve et al., 2010, plus others as shown)	Severity & Sample Corrective Measures
Premeditated dishonesty	- Fully aware of rules but intent on breaking because risk- reward not aligned	Rational choice (e.g. Arrow, 1963)	
	- Belief that getting caught is unlikely	Cost-benefit analysis (Becker, 1968; Hornuf and Haas, 2014)	Very high
	- Desperate to get published for fear of losing career	Strain theory (Agnew, 1992; Lewellyn et al., 2017; Merton, 1938)	Loss of research funding, employment termination, criminal charges
	- Others have got away with it, so belief that this is the only way ahead	Cultural theories (Schein, 1983, 1985; Monteduro et al., 2016; Sims and Brinkmann, 2003)	***
Bending or gaming the rules	 Aware of rules but attempt to shift boundary between appropriate and inappropriate conduct, exploiting unclear or inconsistent rules for personal gain 	Rational Choice (Arrow, 1963)	High
	 Belief that "anything goes" and "all that is not forbidden is allowed", often with specious post hoc justification (e.g. "I was told not to self-cite") but with evidence of premeditation and/ or covering of tracks 	Entrepreneurial risk-return perspective (Honig et al., 2014)	Public exposure, retraction of papers, formal warning
		Cultural theories (Schein, 1983, 1985; Monteduro et al., 2016; Sims and Brinkmann, 2003)	
Complexity and ambiguity	Unclear or different rules, editorial policies, conventions, etc. General awareness of rules but open to interpretation	Bounded rationality (March and Simon, 1958; Simon, 1969; Vaughan, 1999) Ambiguity (Fanelli, 2009, John et al., 2012;	Medium, but potentially more serious i
	(ambiguity) - Many co-authors, all of whom assume someone else makes final check	Johnson and Ecklund, 2016). Bounded rationality (March and Simon, 1958; Simon, 1969; Vaughan, 1999)	signs of premeditation or cover-up Improved awareness, COPE guidelines, clearer expectations of responsibilities of co-authors
	 Individual co-authors submit slightly different versions to different journals 	Network theories (Ashforth et al., 2008; Breit and Forsberg, 2016)	or co-additions
Ignorance and sloppiness	- Researchers from different 'cultures' where norms/ conventions different	Cultural theories (Schein, 1983, 1985; Monteduro et al., 2016; Sims and Brinkmann, 2003; Umphress et al., 2010).	
	 Lack of experience, research capabilities (e.g. PhD students, junior researchers) May have intended to sort out problem but 'never got round to it' 	Bounded rationality (Simon, 1969; March and Simon, 1958; Johnson and Ecklund, 2016)	
Honest mistake	 Often claimed, but less credible for established researchers, and only valid if not systematic or part of a pattern 	Accidental misconduct (Vaughan, 1999).	Low Better training and supervision

(Hall & Martin, 2019, p. 421)



Practicing good research practice

- Before the study
 - Ethical considerations in planning the research and in applying for research funding
 - Ethical approval
 - Reviewing applications: ethical considerations and respective rules of conflict of interest
 - All partners in research collaborations agree at the outset on the goals of the research, on the process for communicating their research, on the sequence of authorship, acknowledging, on the sequence of authorship etc. (see points in ALLEA guidelines)
- During the study (bullet points taken from ALLEA guidelines)
 - Researchers take into account the state-of-the-art in developing research ideas.
 - Researchers design, carry out, analyse and document research in a careful and wellconsidered manner.
 - Researchers make proper and conscientious use of research funds.
- After the study (bullet points taken from ALLEA guidelines)
 - Researchers publish results and interpretations of research in an open, honest, transparent and accurate manner, and respect confidentiality of data or findings when legitimately required to do so.
 - Researchers report their results in a way that is compatible with the standards of the discipline and, where applicable, can be verified and reproduced.
 - Authors acknowledge important work and intellectual contributions of others



Swedish Ethical Review Authority (Etikprövningsmyndigheten)

Swedish Ethical Review Authority examines applications for ethics review of research involving humans and human biological material.



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Ethical review

If you are going to process special category data, or sensitive personal data, in a research project, you must have an ethical approval from the Swedish Ethical Review Authority. Sensitive personal data concern for instance:

- racial or ethnic origin
- political opinions
- religious or philosophical beliefs
- trade union membership
- a person's health, sex life, or sexual orientation
- genetic data
- biometric data which uniquely identify a person.

An ethical approval is also needed if a research project:

- involves a physical intervention on a living or deceased person
- will be carried out in accordance with a methodology that aims to have a physical or psychological effect on the research participant
- poses a clear risk that the research participant could suffer physical or psychological harm from the research
- concerns studies of biological material that has been taken from a living or deceased person and may be traced back to that person
- will process personal data relating to criminal offences.

Manage Data Plan ^ Data Management Plan **Funding Application Ethical Review** Agreements with Other Parties Research Material with Personal Data Protect the Data Organise Document Work with Data Prepare and Share Guides **Training Resources** V

Consent

In most cases, if a person is going to participate in a research project, they must give consent for their participation, in accordance with The Act concerning the Ethical Review of Research Involving Humans (2003:460). Such consent is valid only if the research participant has been given adequate information about the research before consenting to it ("informed consent"). Their consent must always be documented.

The Ethical Review Act requires that research subjects are informed about for instance:

- the overall plan for and aim of the research
- which methods will be used
- possible consequences and risks that the research may entail
- who the research principal is
- that participation in the research project is voluntary
- that the research subject may at any time withdraw their participation.

In addition, there are the requirements of the General Data Protection Regulation (GDPR), which are stipulated in for instance Article 13, that the data subject should have been provided in advance with information that clearly states:

- what personal data will be collected
- the purposes of the collection of the personal data
- how the data will be processed and stored
- the legal basis for the data processing.

Note: Remember that you cannot promise confidentiality to the research subjects! A privacy impact assessment shall be made every time someone requests access to the data. You cannot in advance say anything about who may be able to gain access to the research material. Instead, the Swedish Ethical Review Authority recommends to use phrases which express that no unauthorized persons will be able to gain access to the data.

Note: Consent to participating in the research is not connected to the legal basis for consent according to the General Data Protection Regulation. (See Research material with personal data.)

On the Swedish Ethical Review Authority website, you can read more about how you can write information about consent. (At present, the information is in Swedish only.)



Breakout 2: Scientific misconduct

Read the appendix (esp. Case 1) to Hall & Martin, 2019.

https://ars.els-cdn.com/content/image/1-s2.0-S0048733318300568-mmc1.docx

Drawing on the literature provided (i.e. Hall & Martin, 2019; Martin, 2013), discuss:

- What could be considered scientific misconduct in your field of research, given the research methods applied and common ways of publishing your research?
- What are the key drivers for these wrongdoings? How can research misconduct and academic dishonesty be mitigated?