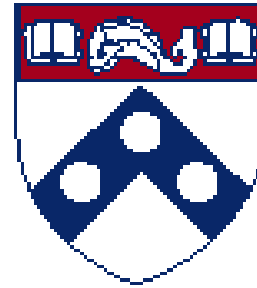




**Beyster
Fellowship
Symposium
San Diego
June 26-29, 2011**



Penn Arts & Sciences
Center for
**Organizational
Dynamics**

Conducting an Interdisciplinary Literature Review; Publishing Interdisciplinary Research

Steven F. Freeman

June 28, 2011

Background: *Effects of ESOP Adoption and Employee Ownership: Thirty-three years of Research and Experience (2008)*

Paper was Very Well-Received

- Basis of successful 1st EO scholar & professional gathering (Penn '08)
- Most downloaded paper in entire U. Penn Scholastic Database
- Extensive media, practitioner interest, a dozen academic cites

But never properly published

- **Interdisciplinary Work Is Tough to Publish**
 - “Not really what we’ve been covering” (*conversational silos*)
 - Strict protocols, “i.e. AoM Research Propositions” (*stylistic silos*)
 - No sacrifice of depth for breadth (*ego-enhancement silos*)
 - *Lack of everyday support/contact (lack of community silo)*
- **But also: *Have I really covered the literature?***

Aids to Overcome Obstacles in Conducting and Publishing Interdisciplinary Work

Get Full Background – Interdisciplinary Lit Review Methods

- How to Get the full literature
- Comprehensively scanning, evaluating and integrating all the world's knowledge

Aiding in Concrete Tasks of Publishing

- Accept rejection sanguinely; move on to *Journal B* immediately
- Reformat *Journal B* in appropriation styles and cites
- Search for *Journal B* references to hook into the conversation

Building an interdisciplinary community

- Working together to access our collective experience

Getting the Big Picture

Thoughts on Conducting an Interdisciplinary Literature Review

**How to Comprehensively Scan,
Evaluate and Integrate All the
World's Knowledge**

Methods (Original): Snowball Sampling

(Effects of ESOP Adoption and Employee Ownership: Thirty-three years of Research and Experience (2007))

Talked to

- Executives at EO firms to understand their issues
- Practitioners (especially Ginny Vanderslice, Michael Keeling) →
- Researchers (Talked to esp. Corey Rosen, Doug Kruse and Joe Blasi)

Snowball Sampling

- technique associated with interview research using recommendations to find *people* with desired characteristics, knowledge or experience.
 1. Find people to study.
 2. Ask them to refer you other people who fit your study requirements, then follow up with these new people.
 3. Repeat until you have interviewed enough people.
- as contacts are made and relationships built through mutual association, a plethora of information can be shared and collected
- much like a snowball that grows as rolls and collects more snow

Shortcomings of Snowball Sampling for an Interdisciplinary Literature Review

Though the term isn't used, Snowball Sampling is the basic method by which Literature Reviews are conducted: The “interviews” or, more generally, the *samples*, are the *individual publications*.

Value/Application: In the general world of research, Snowball Sampling has its functions, for example, Studs' Terkel's masterpiece, “Working”

General Shortcoming: Non-probabilistic system (not a random sample), and more generally, non-theoretical system. Network ties are such that you may miss highly relevant groups entirely.

Specific Shortcoming: But we know that academic work is highly networked! How do I know that I've *sampled* the most relevant and most important work?

A Systematic Approach to Incorporating the World's Knowledge for an Interdisciplinary Literature Review

Identifying Seminal Research: In the general world of research, Snowball Sampling has its functions, for example, Studs' Terkel's masterpiece, "Working"

General Shortcoming: Non-probabilistic system (not a random sample), and more generally, non-theoretical system. Network ties are such that you may miss highly relevant groups entirely.

Specific Shortcoming: But we know that academic work is highly networked! How do I know that I've *sampled* the most relevant and most important work?

Identifying Important Scientific Research through Citation Counts

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Citation Report Topic=("employee ownership")
 Timespan=All Years. Databases=SCI-EXPANDED, SSCI, A&HCI.

This report reflects citations to source items indexed within Web of Science. Perform a Cited Reference Search to include citations to items not indexed within Web of Science.

Results found: 217

Sum of the Times Cited [?]: 1,368
[View Citing Articles](#)
[View without self-citations](#)

Average Citations per Item [?]: 6.30

h-index [?]: 21

Results: **217** << Page of 22 [Go](#) >> Sort by:

	2007	2008	2009	2010	2011	Total	Average Citations per Year
Use the checkboxes to remove individual items from this Citation Report or restrict to items processed between <input type="checkbox"/> 1945-1954 and <input type="checkbox"/> 2011 Go	90	100	111	99	41	1,368	40.24
<input type="checkbox"/> 1. Title: EMPLOYEE OWNERSHIP - A CONCEPTUAL-MODEL OF PROCESS AND EFFECTS Author(s): PIERCE JL, RUBENFELD SA, MORGAN S Source: ACADEMY OF MANAGEMENT REVIEW Volume: 16 Issue: 1 Pages: 121-144 Published: JAN 1991	7	4	7	11	1	76	3.62
<input type="checkbox"/> 2. Title: ABSENTEEISM WHEN WORKERS HAVE A VOICE - THE CASE OF EMPLOYEE OWNERSHIP Author(s): HAMMER TH, LANDAU JC, STERN RN Source: JOURNAL OF APPLIED PSYCHOLOGY Volume: 66 Issue: 5 Pages: 561-573 Published: 1981	6	0	2	2	1	76	2.45
<input type="checkbox"/> 3. Title: Understanding compensation practice variations across firms: The impact of national culture Author(s): Schuler RS, Rogovsky N Source: JOURNAL OF INTERNATIONAL	7	7	7	5	7	70	5.00

Identifying Important Scientific Research through Citation Counts

The Institute for Scientific Information (ISI) is a comprehensive index of peer-reviewed journal articles

Shortcomings to equating importance with citation counts:

- (1) Ignores influence beyond narrow scientific community; a book or magazine article read by millions may not generate scientific citations. Presently, *ISI includes only peer-reviewed journal articles.*
- (2) Citation counts are often more a function of funding, gamesmanship and publishing processes than good work.

Still,

ISI citation counts serve as the best available proxy for how influential work is within academia

ISI search of the topic "employee ownership" or ESOP yields a total of **327 articles**. Mean citations: 3.3. Median citations: 0. Mean citations per article/ per year: .25.

Identifying *Influential* Work through Google Scholar Rankings

Relies on citation counts, but also factors in links; accounts for influence beyond the narrow scientific community.

Shortcomings: Haphazard system May include highly biased work, work based on ungrounded assertions and/or assertions that are just plain wrong. Also the database is filled with errors of all types.

Still,

Google Scholar rankings serve as the best available proxy for a publication's use in the larger world of practitioners and policy-makers

Identifying Important Books through Amazon Rankings

Amazon's database lists 1,350 books that are at least tangentially about "employee ownership."

- **Sorted by Relevance**
- Sort by Bestselling
- **Sort by customer rating**

Additionally, can search for only **University Press**.

World Cat search to rank books by Library ownership

Systematically scanning, evaluating and integrating the world's research

Systematically scanning, evaluating and integrating the world's research on employee ownership helps me do better work and also helps YOU.

Not only because it will allow me to better revise and publish this work, but also:

I've use these Systematic searches as the basis for:

- (1) **updating CLEO** to include seminal and other important EO work
- (2) Establishing an Employee Ownership ***Bibliographical*** Database

Include Seminal EO Works and Other Important EO Research in CLEO

Curriculum Library on Employee Ownership (CLEO) stats:

- More than 480 EO materials (largest repository of teaching materials on EO and shared capitalism)
- More than 245,000 views

But

- *No key historical works (e.g., work by Kelso)*
- Minimal inclusion of seminal research -- *only 1 of the 40 most cited academic EO articles* (and that record was incorrect, making it difficult to locate)

Expanding CLEO – Part 1 – Incorporating references from Freeman (2008)

Referenced a wide range of work on big fundamental questions: ***What do we really know about EO?***, and based on what we know, ***What are the benefits and costs of EO?***, as well as derivative Qs:

- Extent of EO and its rate of growth (or decline)?
- Adoption of ESOP legislation and its impact? What role, if any, do tax benefits play in growth or curtailment ?
- Mechanisms by which EO leads to desired outcomes?
- If EO works so well, why isn't it more common, widely reported or appreciated?
- Why are academics reluctant to fully embrace EO?

Expanding CLEO – Part 2 – Incorporating most cited articles based on the ISI Citation Index

Total cites indicates influence over time. **Average annual cites** puts newer articles on a more even footing with older ones. Educators may also want to see newer articles, especially those that seem to be currently influential, so I've also counted more heavily cites in the most **recent 4 years** and most **recent 2 years** as indicators of currently relevant and influential work.

Current Influence Index (CCI) = *Total cites* + (*Average annual cites* * 10) + *cites since 2008* + *cites since 2010*

Expanding CLEO – Part 3 – Incorporating top ranked articles based on Google Scholar

34 influential works:

first three pages of Google Scholar “employee ownership” search finds, which provides 31 references

three additional items from my Google Scholar “ESOP” search

Amazon "employee ownership" Sorted by Relevance

1. *Equity: Why Employee Ownership Is Good For Business* by Corey Rosen, John Case and Martin Staubus (May 1, 2005) (10 customer reviews) 5 stars

2. *Companies We Keep* (Revised & Expanded): *Employee Ownership and the Business of Community and Place* by John Abrams and William Greider (Nov 8, 2008) (5 customer reviews) 5 stars

Excerpt - Page 17: "... a new era: not every man a proprietor, but every employee an owner.⁴ This is not far-fetched, and widespread recognition of the importance of employee ownership may be one of the keys to a restorative future. ..."

3. *All Hands on Deck: 8 Essential Lessons for Building a Culture of Ownership* by Joe Tye (Jul 13, 2010) (7 customer reviews) 5 stars

Excerpt - Page 115: "... characteristic of a culture of ownership is employee engagement. You've probably seen Gallup survey results showing that only ..."

4. *Ownership Thinking: How to End Entitlement and Create a Culture of Accountability, Purpose, and Profit* by Brad Hams (Sep 16, 2011)

5. *Shared Capitalism at Work: Employee Ownership, Profit and Gain Sharing, and Broad-Based Stock Options* (National Bureau of Economic Research Conference Report) by Douglas L. Kruse, Richard B. Freeman and Joseph R. Blasi (May 1, 2011)

6. *Ownership Quotient: Putting the Service Profit Chain to Work for Unbeatable Competitive Advantage* by James L. Heskett, W. Earl Sasser and Joe Wheeler (Dec 8, 2008) (6 customer reviews) 5 stars

Excerpt - Page 7: "... FIGURE 1-1 The ownership hierarchy (for employees and customers) Employee ownership Offering ideas about how to improve ..."

Amazon "employee ownership" Sorted by Relevance

7. *An Introduction to ESOPs: How an employee stock ownership plan (ESOP) can benefit your company, its owners, and its employees* by Scott Rodrick (Nov 1, 2010) - Kindle eBook

8. *Participatory Employee Ownership: How It Works: Best Practices In Employee Ownership* by John Logue, Karen Thomas, Chris Cooper and Alex Teodosio (Jul 1, 1998) (2 customer reviews) 5 stars

9. *Incentive Compensation and Employee Ownership*, Fifth Edition by Scott Rodrick (Apr 2004) Excerpt - Page 4: "... 4 INCENTIVE COMPENSATION AND EMPLOYEE OWNERSHIP with little understanding of what they are getting back. If ..."

10. *Employee Stock Ownership Plan Answer Book*, Second Edition by Idelle A. Howitt (Nov 16, 2005) Excerpt - Page 7: "... Scharf, and Jim Keogh, "Wealth and Income Consequences of Employee Ownership, A Comparative [sic] Study from Washington State" (National Center for Employee ..."

11. *Financial Valuation of Employee Stock Ownership Plan Shares* by Larry R. Cook (Jun 14, 2005) (3 customer reviews) 5 stars Excerpt - Page 1: "... Introduction to ERISA and ERISA Plans* T he employee stock ownership plan, or "ESOP," has emerged as a special qualified retirement ..."

12. *Act Like an Owner: Building an Ownership Culture* by Robert M. Blonchek and Martin F. O'Neill (Mar 25, 1999) (6 customer reviews) 4 1/2 stars

Bibliographic Database: Using

Endnote (or other Bibliographic Software) to:

- organize a research library -- identify articles specific to papers or topics
- Search for articles based on identified properties
- Share files; quick and easy way to get relevant articles on specific topics
- Import references from online databases
- Insert citations into a Word document as you write
- Create bibliographies in a particular journal's style
- Link to PDF files

EndNote X4 Main Screen

The screenshot shows the EndNote X4 main screen with the following elements and annotations:

- 1.** Points to the menu bar (File, Edit, References, Groups, Tools, Window, Help).
- 2.** Points to the Groups list on the left side of the main table.
- 3.** Points to the Smart Groups section in the left sidebar.
- 4.** Points to the Online Search section in the left sidebar.
- 5.** Points to the PubMed (NL...) option in the Online Search list.
- 6.** Points to the search input field containing "marcus gunn" in the search dialog.
- 7.** Points to the "Search" button in the search dialog.
- 8.** Points to the "Quick Search" dropdown menu at the top of the main table.

Groups	Author	Year	Title	Journal	Ref Type	URL
All References (1185)	Sogaard	2007	[A royal eye lesion]	Dan Medici...	Journal Arti...	http://www
Duplicate Refer... (0)	Tian	2007	[Clinical characteristics of moderate ...	Zhonghua Y...	Journal Arti...	http://www
Imported Refere... (21)	Ibrahim	2007	Use of the levator muscle as a frontal...	Ophthal Pla...	Journal Arti...	http://www
Search Results (42)	Mesa Gutierr...	2007	[Upper eyelid surgery for treatment of...	Cir Pediatr	Journal Arti...	http://www
Trash (49)	Koelsch	2007	Marcus Gunn Jaw-Winking synkinesi...	Mov Disord	Journal Arti...	http://www
	Danek	2006	The challenge of axonal path-finding	Strabismus	Journal Arti...	http://www
	Wikstrand	2006	Ophthalmological findings in children ...	Acta Ophth...	Journal Arti...	http://www
	Doco-Fenzy	2006	Pure direct duplication (12)(q24.1-->...	Am J Med ...	Journal Arti...	http://www
Custom Groups	Festa	2005	Tetralogy of fallot with left heart hypo...	Pediatr Car...	Journal Arti...	http://www
Cornell Fren... (98)	Yamada	2005	A novel KIF21A mutation in a patient ...	Arch Ophth...	Journal Arti...	http://www
	Stokes	2005	Intraosseous hemangioma of the infr...	J Craniofac...	Journal Arti...	http://www
Smart Groups	Tahri	2004	[Marcus-Gunn Syndrome. Based on ...	Bull Soc Be...	Journal Arti...	http://www
Marcus Gunn (272)	Torres	2004	[Marcus Gunn Phenomenon: different...	J Pediatr (...	Journal Arti...	http://www
Vision Rese... (134)	Pieh	2003	Congenital fibrosis syndrome associ...	Graefes Ar...	Journal Arti...	http://www
	Odehnal	2002	[New views on aberrant innervation o...	Cesk Slov ...	Journal Arti...	http://www
	Prakash	2002	Inverse Marcus Gunn phenomenon	Indian J Op...	Journal Arti...	http://www
	Valenca	2001	[Idiopathic facial paralysis (Bell's pal...	Arq Neurop...	Journal Arti...	http://www
Online Search	Otradyec	2001	[Duane's retraction syndrome--overvi...	Cesk Slov ...	Journal Arti...	http://www
Acad Searc... (0)	Hwai	2001	A case of Marcus Gunn jaw winking ...	Am J Ophth...	Journal Arti...	http://www
Bib natl de F... (0)	Kods	2000	Marcus Gunn jaw winking with trigem...	J AAPOS	Journal Arti...	http://www
British Library (0)	Granier	2000	Ophthalmology update for primary pr...	Dis Mon	Journal Arti...	http://www
Cornell U (0)						
ERIC (CSA) (0)						
ERIC (EBS... (0)						
Medline Adv... (0)						
Natl Lib of M... (6)						
PubMed (NL... (1)						
U Kentucky (0)						
U Paris (0)						
more...						

Showing 142 of 142 references in Group. (All References: 1185)

Endnote -- Cite While You Write

- Inserts relevant author and year info
 - Correctly orders citations
 - Keeps track of occurrences of citations (when to use “et al” after first occurrence)
 - Removes reference from list if you remove occurrence
- Instant bibliography (re)formatting
- Layout
- Output styles for every journal

Bibliographic Database:

How it can help individually

- Enable comprehensive searches of material by 25 assigned bibliographic fields including abstract, contents, key words and notes as well as 6 custom fields
- Can use key words and criteria from other fields for creating reference lists, annotated bibliographies, syllabi, etc.
- Links citations and references; eliminates the need to separately add citations and references and then to repeatedly check references to citations.
- “Cite as you write”: Insert citations into a document as you write and automatically generate bibliographies
- Automatically number and order references

Bibliographic Database: How it can help individually

- Import references from online databases
- organize references by a variety of criteria
- Export references to text file or spreadsheet
- automatically generates citations, notes and references in the desired style- e.g., APA
- automatically regenerates citations, notes and references in a different style- so as to more easily enable submitting a paper to a new journal or different type of forum

To Publish interdisciplinary work.

- Accept rejection sanguinely; move on to *Journal B* immediately. Reformat and send. Repeat until published.

Bibliographic Database:

How it can help collectively

- Find and use other relevant articles that colleagues have already read/used/entered/checked/formatted
- Search a wide database for relevant properties such as terms and themes by journal.
- See how colleagues have used references

What are your suggestions for seminal/important work that may have been overlooked through these methods?

Building an interdisciplinary community

Research requires community and culture

- That's why academic disciplines exist.
- Doing interdisciplinary work requires interdisciplinary community.

Shared libraries, insights on perspectives and aid in publishing are important steps along the way to building an interdisciplinary community capable of doing good work and getting that work out.