LITERATURE REVIEW

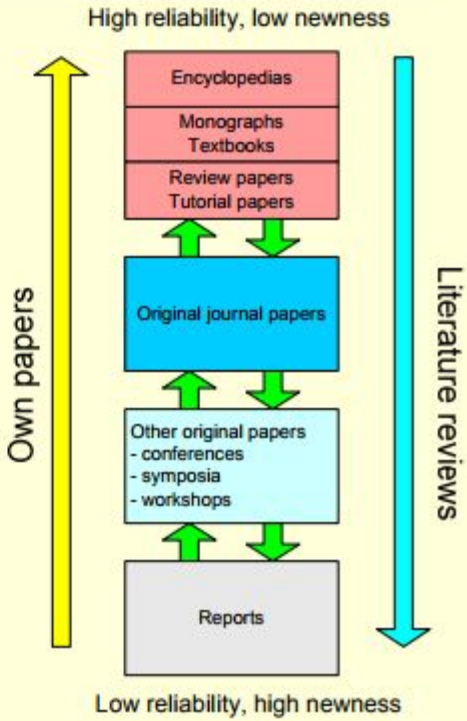
1. PURPOSE

Place of literature review

- Bring clarity and focus to your research problem
  - Helps you understanding the subject
  - Helps you to conceptualize your research problem
  - Helps identifying relationships with existing body of knowledge
- Improve your method
  - How the others have approached the problem
  - Which methods others have used and faced difficulties
- Broaden your knowledge base in your research area
  - You need to know where we are and where the gaps are
- Help identifying trends
  - It is convenient to know what are the hot research topics in the area
  - Also what are the assessment criteria in use
- Contextualize your findings
  - How your results fit into the existing body of knowledge
  - How do your results differ from others

Traditional sources

- Books
- Journal papers
- Conference papers
- Technical reports



[Mämmelä, 2006]

Facilitate contextualization
Ethical issue – Plagiarism, reputation

2. SOURCES

Online sources

- Most publishers are making their products accessible online (subject to subscription)
- Reference databases are also available online
- Some scientific associations give online access to their publications for subscribers / members
- There is a trend in Universities to subscribe packages guaranteeing access to contents from multiple publishers.

  Example:
  In Portugal the b-on initiative offers a collective package of on-line subscriptions (table)

b-on resources

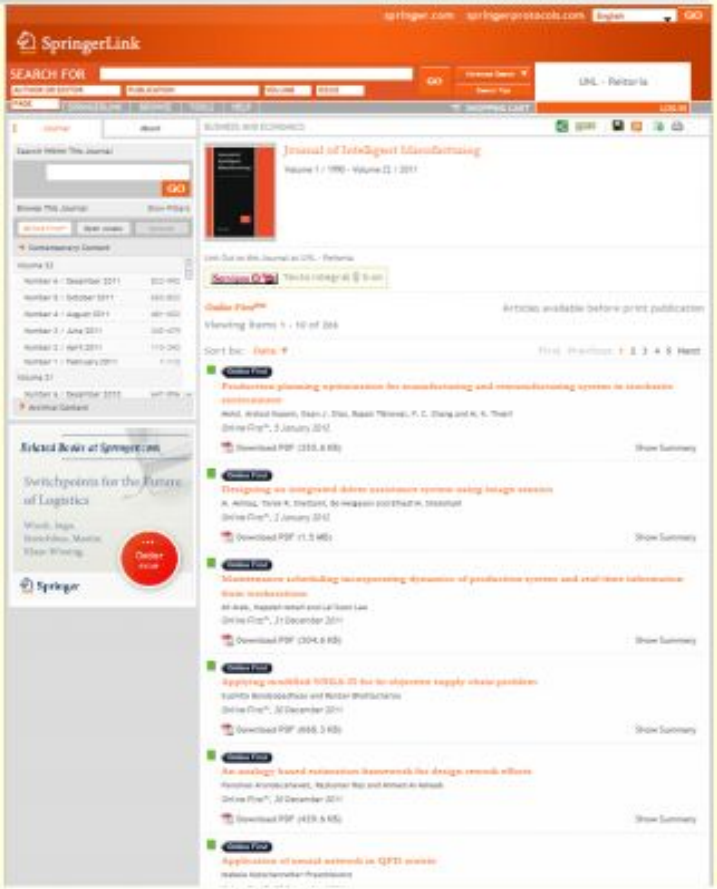
Publisher	Nº of titles
Academic Search Complete	9791 total 5795 periodicals
American Chemical Society	34 periodicals
American Institute of Physics	12 periodicals
Annual Reviews	32 periodicals
Association for Computing Machinery	6 periodicals 10 magazines 28 transactions 256 proceedings 56 newsletters 24 affiliated pubs
Association for Computing Machinery	c. 1 million records
Business Source Complete	4056 total 3166 periodicals
Current Contents (ISI)	n.a.
Derwent Innovation Index (ISI)	n.a.
Elsevier	1961 periodicals
Essential Science Indicators (ISI)	n.a.
Eric	n.a.
IEEE	280 periodicals 10093 proceedings 1004 standards
Institute of Physics	36 periodicals
ISI Proceedings	n.a.
Journal Citation Reports	n.a.
Royal Society of Chemistry	34 periodicals
Sage	66 periodicals
Society for Industrial and Applied Mathematics	14 periodicals
Springer	1132 periodicals
Taylor& Francis	1221 periodicals
Web of Science	n.a.
Wiley	477 periodicals
Zentralblatt	n.a.

Online sources ...

An example of technical publisher

Springer

-> Access to journals
-> Access to some proceedings
(e.g. Proceedings from IFIP conferences)
... “Readers room”



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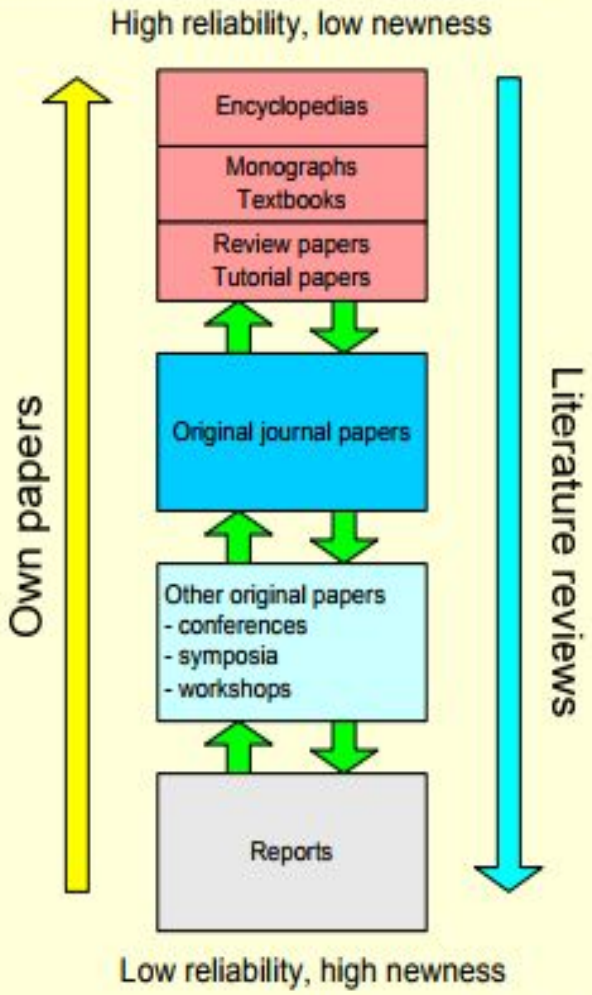


[Mämmelä, 2006]

Online sources ...

- Many authors make their papers available through their web sites (found by Scholar Google)

- As having publications on-line increases the chance of being cited, many universities are promoting mechanisms to have the publications of their members online

  ... But there is the problem of Copyright !

  ... Some tricks to solve the problem.

- Other specialized sources:
  Patents
  Standards

The issue of reliability

When making a literature survey …
… pay special attention to the reliability of the sources

- Is it coming from a prestigious journal?
- Was it presented in a serious peer-reviewed conference?
- Are there other related references?
  - Is it from a recognized group?
- Use Wikipedia with caution
  - ... A good starting point to get a general idea
  - ... But then seek more reliable and identified sources

The issue of completeness

You cannot guarantee that you checked ALL relevant papers ...

But it is very bad if you miss some major reference !

What to do (besides making exhaustive search):

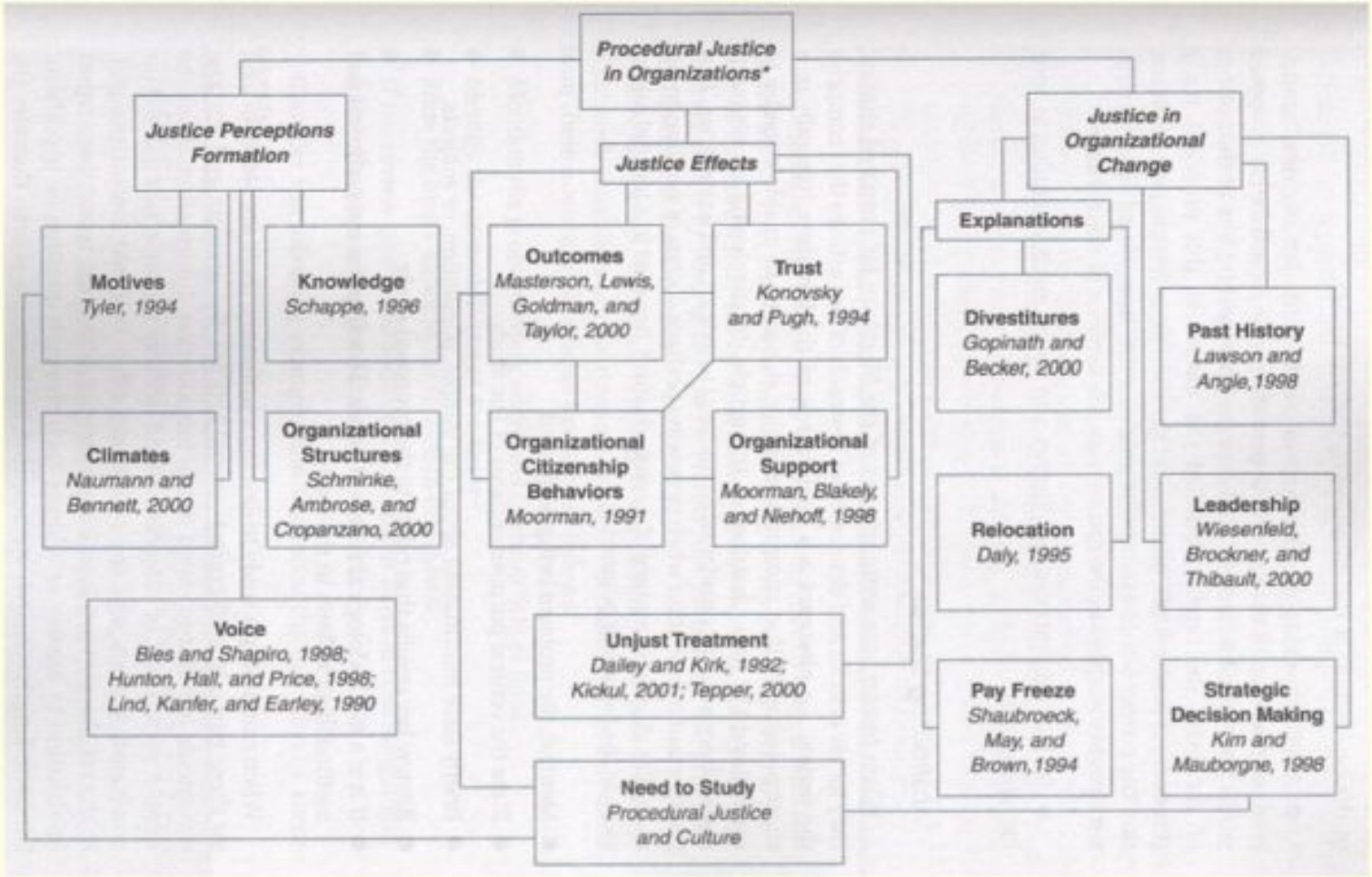
- Get some (initial) help from your supervisor
  (but remember, it is your responsibility !)
- Identify most relevant sources (journals, conferences) in your area
  and check them more carefully
- "Follow the references"
  ... i.e. Follow common references indicated by several of the papers you checked

3. SYNTHESIS AND CRITICAL SPIRIT

10 steps in literature review

1. Identify a set of keywords (try also synonyms) to search via Google or specialized database.
2. If you are not yet very familiar with the subject, try to identify first surveys / overviews (or even books) that give a general overview of the topic. Then turn to journal articles and then to conference papers.
3. Try to select a set of 40 – 50 articles in order to help you get a first view of the topic.
4. Do a "fast reading" (without spending time with details) of these articles, just trying to filter what seems useful for your work or to give you a first global "picture".
5. Based on the useful literature, start elaborating a literature map, which gives you a visual picture of groupings of literature per sub-topic.

Example of literature map



10 steps in literature review ...

6. While organizing the map, prepare short summaries of the key ideas conveyed by each relevante article.
   ... Use Post-It
   ... Or Add annotations on the margins of the paper
   ... Or use some electronic means (in this case you can also start to organize a references database, e.g. Using Endnote).

7. Use the most relevant articles to find other relevant literature (following the references included in those articles). Try to identify relevant groups of researchers / authors ("schools of thought").

8. Diggest all collected ideas, concepts, findings (read the most relevant articles again, now in detail); try to organize and criticize them. For specific topics consult research reports, PhD thesis, etc.

9. Try to relate your work to the existing literature.

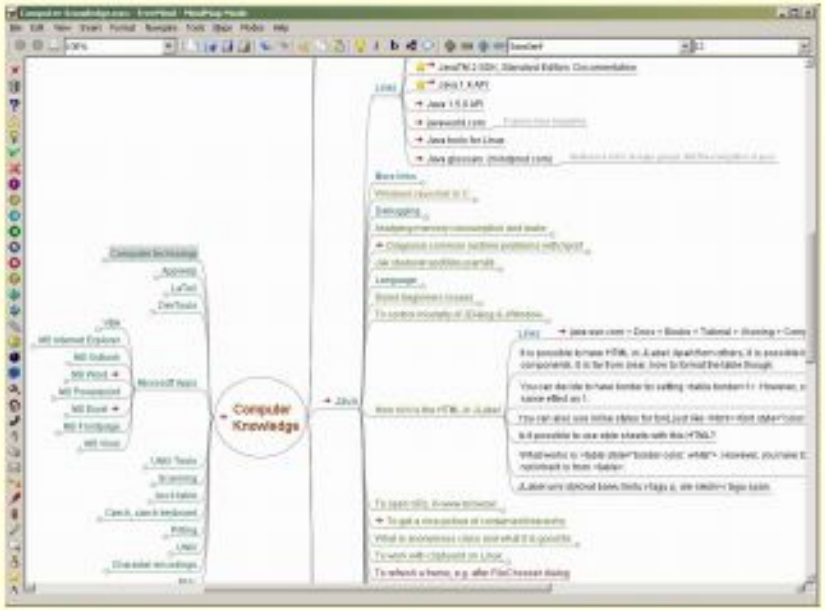
10. Plan a structure for the literature review synthesis; think of original ways of summarizing the ideas (what can be your added-value).

Mind Mapping tools

Perhaps one possibility to build literature maps ...

Examples:

Freemind



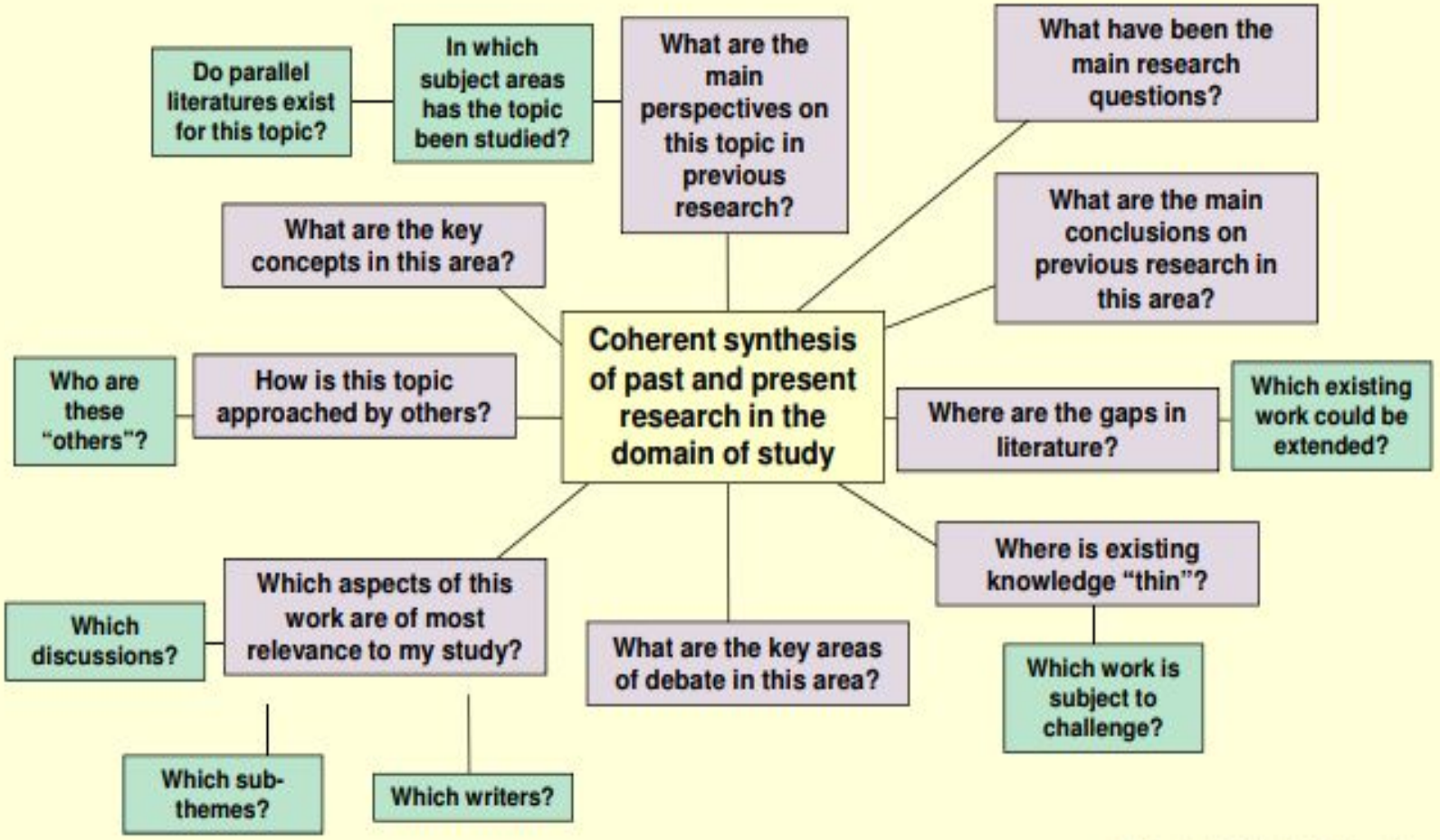
http://freemind.sourceforge.net/wiki/index.php/Main_Page

XMind www.xmind.net/

NovaMind www.novamind.com/

More:
http://en.wikipedia.org/wiki/List_of_Mind_Mapping_software

Comprehensive Literature Review



Literature Review & your research evaluation

Towards the end of your dissertation [*or paper*] you will refer back to literature review

- Do your findings confirm those of others?
- Does your work extend that of others?
- Does your work provide new meaning to the work of others?
- Does your work break new ground?
- Does your work raise issues about the methodological choices made in previous studies?
- Does your work challenge existing ideas on your subject?

Some requirements for a PhD

" The capacity for a systematic understanding of his / her specialization area"

"Capacity to analyze with a critical spirit, to evaluate, and to synthesize new and complex ideas in a context of fast technological and socio-organizational change"

[Portuguese Law]

The literature review is one place to show these skills.

What a synthesis is not

- **Definitely not the result of "copy & paste" !**
  - Plagiarism
  - Even if properly referenced, what is the relevance?
  - Copying sentences and making small changes is not acceptable
- **Not a simple (weakly linked) concatenation of excerpts from others !!!**

  "Author X said bla bla.... On the other hand, Y defends that bla bla ...
  Furthermore Z introduced bla bla .... and W agrees with ...."
- **Not a pedagogic text book !**
  - Who is your reader?
  - What is his / her background?
  - What does he / she expect?

What is the relationship to your work?
What is your added value?

Interesting features in a synthesis

It shall:

- **Integrate a set of ideas that were previously dispersed and turn them into a coherent framework**
- **Clarify concepts that were only partially present in other works**
- **Introduce a new / original (fresh) look into the subject**
- **Show a critical perspective and some "personal touch" (how you see the current state of the art)**
- **Identify gaps / unsolved issues**
- **Be synthetic !**
  - Use synthetic representations – graphics, diagrams, tables, etc
  - Focus on the essential (namely what is relevant for your work)
  - But at the same time try to give a broad perspective in order to properly "locate" your work

found in different organizations (ISO-9001 1993). ISO 9000, SW-CMM and CMMI (staged representation) models claim to be flexible and tailorable to the goals of each organization. However, there is no support for tailoring, thus the three improvement efforts cannot be considered **adaptive**. Another problem is that there is no guidance for how much tailoring is acceptable within the limits of the model. Nevertheless, CMMI continuous model is more flexible since process improvement is performed for each process area following the approach proposed by ISO/IEC 15504.

The ISO/IEC 15504 includes two dimensions (processes and capability) which aren't coupled and provide greater flexibility than the CMMI staged representation, because any processes can be managed at any capability level. This standard is tailorable for different software life cycle models, and it is the organization's responsibility to map the activities and tasks of the standard into the chosen model. Several experiences, such as the experiences reported by Cass et al. (Cass et al. 2002), served as examples of the adaptation of the standard for particular industrial sectors and its extension into new domains.

The main problem detected in other SPI models is that they mandate rules that might reduce flexibility and adaptation to organization needs and goals. BOOTSTRAP major challenge was therefore the integration of appropriate mechanisms for tailoring the model to the actual needs of an organization (Stienen et al. 1997). Nowadays, the model is flexible enough to account for various application areas, different organization cultures and sizes across countries. BOOTSTRAP provides guidelines to identify which process highly affect organizations goals, but does not provide any suggestion on how to prioritise process improvement. Defining priorities is up to each organization.

The SPIQ improvement model has been applied to a number of very different projects with respect to technology, people, products and processes. This shows that the model is applicable in various environments. Second, the fact that the model has been applied for 10 years shows that it is adaptable over time. As the goals of the organization change, so the improvement model does. The SPIQ model evolves according to goals based on the context. Here, adaptivity refers to evolution as well as suitability in different contexts.

ISO 9000, SW-CMM, ISO/IEC 15504, BOOTSTRAP and CMMI appraisal methods are mainly intended for people who have been trained with the management of a large process initiative. They are important for staging and managing a successful program and represent a step towards an institutionalised Software Process Engineering system. The methods have certain strengths and weaknesses when compared to each other's. For the IDEAL, the main strength comes from the fact that it has been derived from actual industry cases, rather than being a theoretical (untested) model. It has also been applied successfully later on, as will be apparent from the industry case reports. The model lacks insights to specific multi-site SPI program issues - e.g. activity synchronization problems

Using critical spirit ...
Discussing ...
Giving opinion ...

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Where to include it? – case of papers

Case 1:

Paper Title
Authors
Afillition

Abstract

1. Introduction
2. **Literature review**
3. Contribution A
4. Contribution B
5. ...
6. Conclusions
7. References

This approach is used in those works that employ a strong theory / literature background on which the work is rooted on

Case 2:

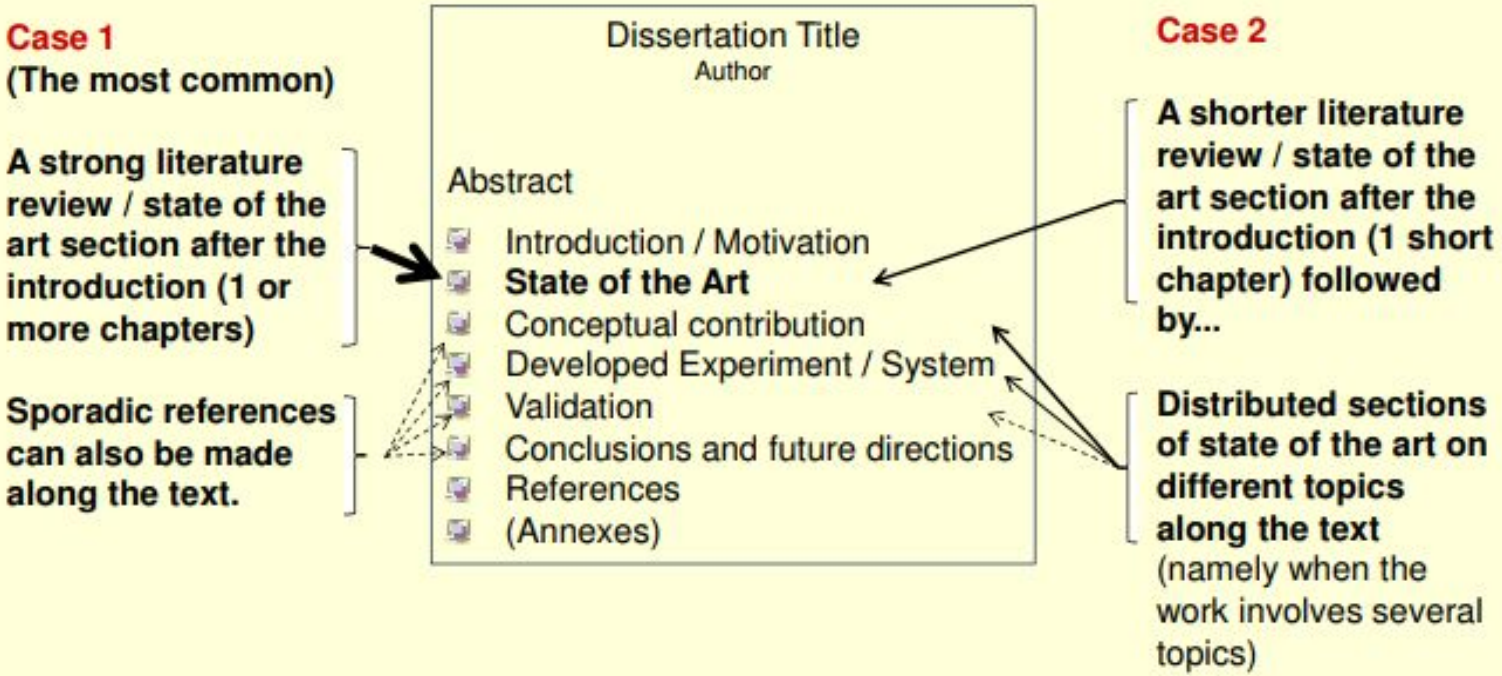
Paper Title
Authors
Afillition

Abstract

1. Introduction
2. Contribution A
3. Contribution B
4. ...
5. **Related work**
6. Conclusions
7. References

This approach is used when the idea is to provide a basis for comparing and contrasting findings of the work

Where to include it? – case of dissertation



4. OTHER PRACTICAL ASPECTS

Referencing styles

There are several referencing styles available

Examples:

Harvard style - http://webhost.bridgew.edu/ebrush/CH135%20PDF/Lit%20Cited%20Guide.pdf
http://www.lib.monash.edu.au/tutorials/citing/harvard.html

Chicago style - http://library.osu.edu/sites/guides/chicagogd.php

A collection of styles and other materials - http://lib.jcu.edu/page/14774
http://www.library.american.edu/subject/citation.html
http://www.newcastle.edu.au/service/library/guides/referencing.html

Conferences and journals usually provide their own style.

Referencing styles ...

A frequent case:

WORK BY ONE AUTHOR:
The most recent study...(Author, 1995) suggests that....

WHEN THE AUTHOR'S NAME IS PART OF THE SENTENCE:
In Author's (1993) study of....

References are then listed alphabetically

WORK BY TWO AUTHORS:
Other researchers (Author1 and Author2, 1981) have suggested....

WORK BY THREE OR MORE AUTHORS:
White-lined bark beetles...(Author1 et al., 1992).

MULTIPLE WORKS BY THE SAME AUTHOR:
The circulatory system...has been described...by Author (1978, 1980, 1983).

MULTIPLE WORKS BY DIFFERENT AUTHORS:
Many different models have been proposed...(Author1, 1977, 1979; Author2, 1988; Author3, 1992).

Another case:

References in brackets - [4], [12]

In the end, references are listed according to the order of referencing in the text

Organization of references

In case there are prescribed rules, follow them !

Additional tips:

- **The list of given references is closely tied to the literature review / state of the art section of the thesis / paper.**
  - **Most examiners / reviewers scan your list of references looking for the important works in the field, so make sure they are listed and referred to.**
    - Most examiners / reviewers, being experts with publications in the field, also look for their own publications … so, if they are in the topic area of your work list these too.
    - When submitting to a journal ... Editors also like to have citations to papers published by that journal (in order to increase their impact factor)!

- **All given references *must* be referred to in the main body of the thesis or paper.**

- **Organize the list of references either alphabetically by author surname (preferred), or by order of citation in the text (if no other rules are imposed).**

- **Although not so common, some thesis include the references at the end of each chapter (and not at the end of the thesis)**

Tools

Some tools:

- **EndNote** — www.endnote.com
  www.library.american.edu/Help/tutorials/endnote/index.html
- **ReferenceManager** — www.refman.com/
- **ProCite** — www.procite.com
- **Biblioscape** — www.biblioscape.com/biblioscape.htm
- **Bibliographix** — http://home.mybibliographix.com/

Lists of free tools:

http://mahbub.wordpress.com/2007/03/04/
comparison-of-free-bibliographic-managers/

http://en.wikipedia.org/wiki/
Comparison_of_reference_management_software