

Preparing for the Literature Review

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Literature Review

- Presents an overview of other studies related to your proposed work
- Provides a framework bounding your study
- Indicates the importance of your study
- Needed to establish a benchmark for later comparison with your research findings/conclusions

What is a Review of the Literature?

- You must have a vision in your mind of the **history of your problem**
 - Please go to [Harvard Business Review, November 2012](#) for an example of the History of Management
- Who were the contributors to the history of your problem?
- What changes in theory occurred because of these contributions?
- What was the result of each change in theory?
- **A comprehensive review of the major points of your study field from the last 5 years (with the exception of historical or professionally significant articles)**

What is a Review of the Literature?

- Gathered literature should
 - Agree with your research questions
 - Disagree with your research questions
 - Indicate variations from your research questions
- The literature review addresses contrasting perspectives of the research topic
 - Contrasting perspectives include
 - Highlighting the different ways researchers address the study's topic
 - Connections between various but related research efforts
 - The significance of past research to the proposed research
 - A research synthesis that establishes the foundation for understanding the research
- Makes you smart on the emergence of your problem (i.e., history of the problem)

Review of the Literature

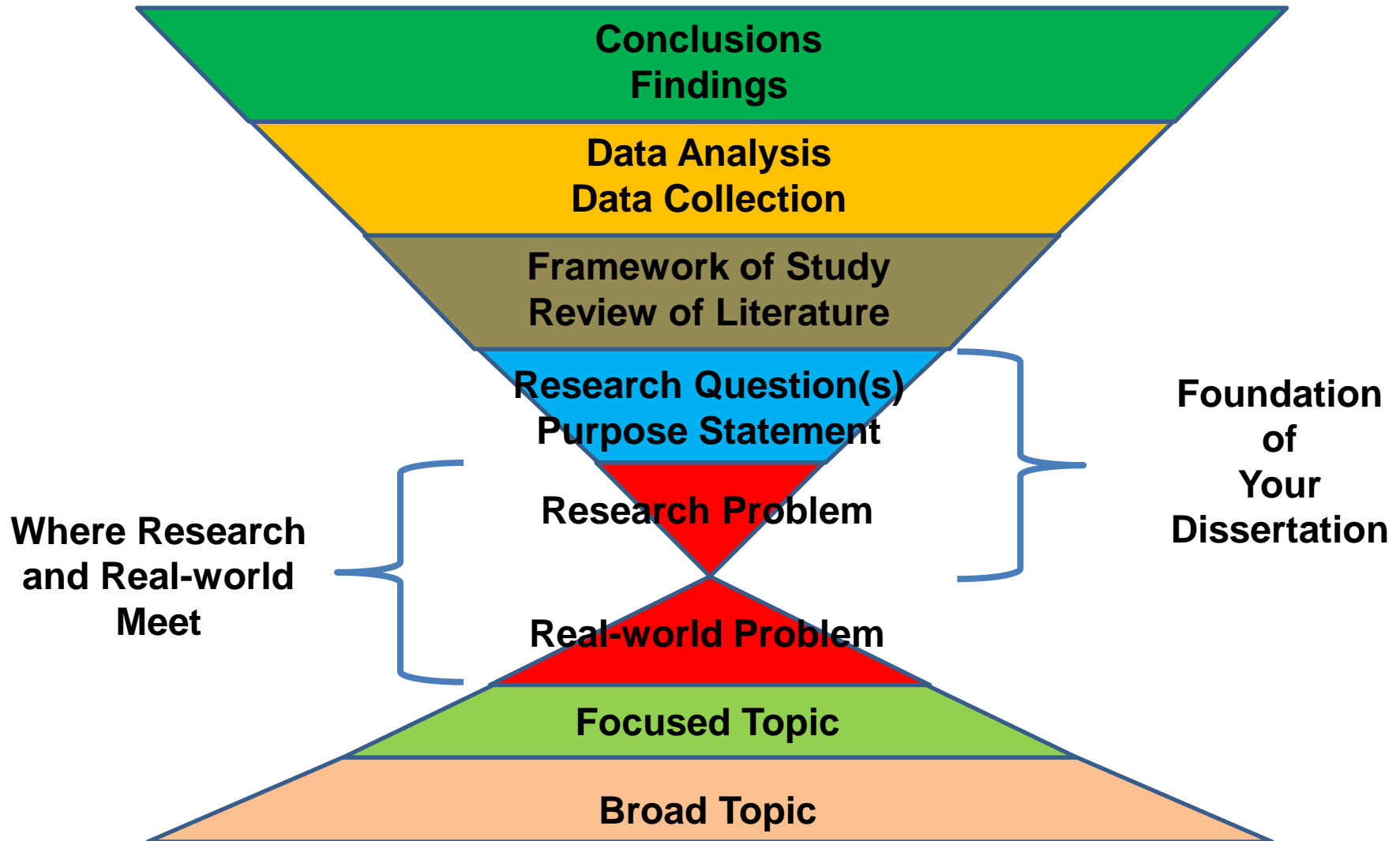
- The details for reaching this point are shown in **Creating the Foundation of your Dissertation**
- The problem to be addressed in the proposed study is **since 1980, more than 50% of small business start-ups fail in the first 5 years** because **the leadership competencies for start-up IT managers** have not been established (reference, year).
- The purpose of the proposed qualitative phenomenological study is to explore **the leadership competencies for start-up IT managers**.
- The central research question is what are **the leadership competencies for start-up IT managers**?
 - Q1-What **leadership competencies for start-up IT managers** have worked in the past?
 - Q2-What **leadership competencies for start-up IT managers** have not worked in the past?
 - Q3-What **leadership competencies for start-up IT managers** should be used in the future?

These are the guiding items for finding literature for your Chapter 2

Linkage to the Theoretical Framework

- A theoretical framework relates to the researcher's questions
 - Thoughts or theories on what the possible answers could be
- Thoughts and theories are grouped together into themes that frame or comprehensively define the research subject
- These themes are used to define the Review of the Literature outline
- Process of identifying the connecting considerations and how they fit together
 - Accomplished by comparing and contrasting the major points of the study field

Dual Pyramid of Research



Preparing for the Literature Review

- Many descriptions exist explaining what must be addressed in the Literature Review, but few indicate how to prepare the Literature Review
- A review of the literature starts with an Annotated Bibliography
- What is an Annotated Bibliography?
 - As you find articles that you believe might be useful in your future work, place the content of interest from the article into an annotated reference
 - Add the annotated reference to your annotated bibliography
 - I call this, Capturing the Golden Nuggets
 - Golden Nuggets are the 3-5 sentences capturing the most important information an article contains related to your research questions

Annotated Bibliography

- An annotated bibliography entry has two parts
 - Reference
 - Annotation
- The reference is no different from a reference in the references section that you have already been providing
- The annotation is your analysis or review of the article
- By capturing what you believe is important from the article in the annotation, you begin to write your literature review section of your doctoral study
- If you prepare your annotations carefully and in a scholarly manner, you could potentially copy-and-paste your annotation information directly into your Dissertation

Annotated Bibliography – Example Entries

Allen, S. J. (2009). An exploration of theories of action in leadership development: A case study. *Organization Development Journal*, 27(2), 39-51. doi:10-89745/76.gwy.9

Allen (2009) analyzed the process and extensions of the user-focused theory of action approach to leadership learning. Allen examined whether leadership development will result in business success. The results suggested a feedback culture helps to improve business results.

Arca, J. G., & Prado-Prado, J. C. (2008). Personnel participation as a key factor for success in maintenance program implementation: A case study. *International Journal of Productivity and Performance Management*, 57(3), 247-255. doi:10-33456aghq8-8

Arca and Prado-Prado (2008) examined the complexity of obtaining commitment and involvement from the personnel most affected by continuous improvement project implementation. Although the result was a successful implementation of the maintenance project, the implementation was designed to follow single-loop learning of detection and correction. The study did not address double-loop learning. In addition, double-loop learning was absent in the process improvement methodology.

Now, Let's Prepare the Literature Review

- A review of the literature is a systematic presentation of knowledge (and gaps) about your research problem
- Since many Literature Reviews tend to be somewhat unstructured and take more time than planned, the following sequence of steps offers an efficient options
- **Step 1 – Prepare an Outline**
- **Step 2 – Insert the Annotated Bibliography Information**
- **Step 3 – Look for the Gaps**
- **Step 4 – Organize**
- **Step 5 - Polish**

Step 1 – Prepare an Outline

- The Beginning of [Your Topic]
 - The Essence of [Your Topic]
 - Historical Overview of [Your Topic]
 - Politics of [Your Topic]
 - The Technology of [Your Topic]
 - Leaders in [Your Topic]
 - Current Literature Findings of [Your Topic]
 - Overview of Research Techniques
 - The 21st Century [Your Topic] Strategy
- Where can you find ideas for an outline?
 - Find 3-5 Dissertations related to your Dissertation
 - Extract Chapter 2 from each Dissertation
 - Analyze what each Chapter 2 is presenting
 - Understand the outline of each Chapter 2
 - **Synthesize the 5 outlines into a “best of the best”**
 - In addition, use the References from these dissertations
 - **Each outline topic will need 5-10 references/annotations**

Step 2 – Insert the Annotated Bibliography Information

- The Beginning of [Your Topic]

- Katz(2011)
- Kaywent (2011)
- Kuhn(2012)

- The Essence of [Your Topic]

- Brown (2009)
- Green (2010)
- Read (2012)

- Historical Overview of [Your Topic]

- Politics of [Your Topic]

- Gray (2009)

- The Technology of [Your Topic]

- Arca & Prado-Prado (2008)
- Roper (2011)

- Leaders in [Your Topic]

- Current Literature Findings of [Your Topic]

- Towers (2009)
- Tilley (2010)
- Weinberg (2012)

- Overview of Research Techniques

- Sarros (2010)
- Schein (2011)
- Scott (2010)

- The 21st Century [Your Topic] Strategy

- Within the outline, add reference parts from Annotated Bibliography in the form of Katz (2011), Kaywent (2011), and Kuhn (2012)

- **How do you know if these articles are appropriate for your study?** Because they address -

- What are the leadership competencies for start-up managers?
 - Q1-What leadership competencies for start-up IT managers have worked in the past?
 - Q2-What leadership competencies for start-up IT managers have not worked in the past?
 - Q3-What leadership competencies for start-up IT managers should be used in the future?

- These are placeholders only, but each reference part is placed in the “best” position in the outline

- Katz, Kaywent, and Kuhn are examples of what is found in the annotated bibliography

- Replace all of the Annotated Bibliography reference parts with the associated annotation parts

Step 2 – Insert the Annotated Bibliography Information

- **Replace the reference parts with the annotation parts from your annotated bibliography**

- **The Beginning of [Your Topic]**

- Katz(2011)
- Kaywent (2011)
- Kuhn(2012)

- **The Essence of [Your Topic]**

- Brown (2009)
- Green (2010)
- Read (2012)

- **Historical Overview of [Your Topic]**

One
Example

- **Politics of [Your Topic]**

- Gray (2009)

- **The Technology of [Your Topic]**

- Arca & Prado-Prado (2008)
- Roper (2011)

- **Leaders in [Your Topic]**

- **Current Literature Findings of [Your Topic]**

- Towers (2009)
- Tilley (2010)
- Weinberg (2012)

- **Overview of Research Techniques**

- Sarros (2010)
- Schein (2011)
- Scott (2010)

- **The 21st Century [Your Topic] Strategy**

Arca and Prado-Prado (2008) examined the complexity of obtaining commitment and involvement from the personnel most affected by continuous improvement project implementation. Although the result was a successful implementation of the sustainability project, the implementation was designed to follow single-loop learning of detection and correction. Arca and Prado-Prado did not address double-loop learning and double-loop learning was absent in the process improvement methodology.

Step 3 – Look for the Gaps

- The Beginning of [Your Topic]
 - Katz(2011)
 - Kaywent (2011)
 - Kuhn(2012)
- The Essence of [Your Topic]
 - Brown (2009)
 - Green (2010)
 - Read (2012)
- Historical Overview of [Your Topic] ← Gap
- Politics of [Your Topic]
 - Gray (2009)
- The Technology of [Your Topic]
 - Arca and Prado-Prado (2008) examined the complexity of obtaining commitment and involvement from the personnel most affected by continuous improvement project implementation. Although the result was a successful implementation of the sustainability project, the implementation was designed to follow single-loop learning of detection and correction. Arca and Prado-Prado did not address double-loop learning and double-loop learning was absent in the process improvement methodology.
 - Roper (2011)
- Leaders in [Your Topic] ← Gap
- Current Literature Findings of [Your Topic]
 - Towers (2009)
 - Tilley (2010)
 - Weinberg (2012)
- Overview of Research Techniques
 - Sarros (2010)
 - Schein (2011)
 - Scott (2010)
- The 21st Century [Your Topic] Strategy
- The gaps need literature support
- Find additional literature and insert **golden nuggets** into your annotated bibliography (reference and annotation parts)
- Alternative technique is to use Crocodoc (<https://crocodoc.com/>)

Step 4 – Organize

- Gather all of the annotations within an outline “category”
- “Mix” the annotations together to form “Make Sense” paragraphs
- “Smooth” the annotations with additional writing so the information flows

Example - Gather all of the Annotations Within an Outline “Category”

Arca and Prado-Prado (2008) examined the complexity of obtaining commitment and involvement from the personnel most affected by continuous improvement project implementation. Although the result was a successful implementation of the sustainability project, the implementation was designed to follow single-loop learning of detection and correction. Arca and Prado-Prado did not address double-loop learning and double-loop learning was absent in the process improvement methodology.

Allen (2009) analyzed the process and extensions of the user-focused theory of action approach to leadership learning. Allen examined whether leadership development will result in business success. Allen suggested a feedback culture helps to improve business results.

Argyris (1977) discussed why employees are reluctant to report problems they discover in the organization’s processes to top management. Argyris provided a means for managers to uncover their hidden theories of action and be able to better detect and correct errors in the organizational environment. Argyris presented two models through which he demonstrated the different types of characteristics of learners in a single-loop environment versus those in a double-loop environment. These characteristics will be used to establish a measurement system for the proposed study.

“Mix” the Annotations Together to Form “Make Sense” Paragraphs

Arca and Prado-Prado (2008) examined the complexity of obtaining commitment and involvement from the personnel most affected by continuous improvement project implementation. Allen (2009) analyzed the process and extensions of the user-focused theory of action approach to leadership learning. Arca and Prado-Prado did not address double-loop learning and double-loop learning was absent in the process improvement methodology. These characteristics will be used to establish a measurement system for the proposed study (Argyris, 1977).

Allen (2009) examined whether leadership development will result in business success. The results suggested a feedback culture helps to improve business results. Argyris (1977) discussed why employees are reluctant to report problems they discover in the organization’s processes to top management.

Argyris (1977) provided a means for managers to uncover their hidden theories of action and be able to better detect and correct errors in the organizational environment. Although the result was a successful implementation of the sustainability project, the implementation was designed to follow single-loop learning of detection and correction (Arca & Prado-Prado, 2008). Argyris presented two models through which he demonstrated the different types of characteristics of learners in a single-loop environment versus those in a double-loop environment.

Step 5 -- Polish

- Use additional writing to link the annotation paragraphs together and transition to other categories

The term middle management represents the middle of an organization and the functions that occur there. To facilitate functioning in the traditional organizational hierarchy, middle managers handle internal organizational conflicts, ensure standards are satisfied throughout the operating units, and support the hierarchical flow of information (Mintzberg et al., 2003). Depending upon the organization, the organization's hierarchy may have several layers of middle management. In the study, middle managers defined the level or levels of management that report directly to the board of directors leading an organization. Middle managers manage other lower level managers or senior professionals. In Appendix A, Tables A1 and A2 present a taxonomy of the history of management with specific tendencies toward middle management. The following description addresses the content of the tables.

As the United States entered the 20th century, railroads and factories presented organizational leadership with new and evolving size and complexity issues (Wren, 1994). Industry and the railroads required new managing techniques to address local and remote issues (Wren). Managing the new factories and railroads by personal inspection was impossible. The administration and coordination of large flows of

Middle managers were supervisors of discrete tasks and reported status to higher level management. Such innovative ideas, demanded by size and complexity as well as coordination and control, shaped the horizontally integrated corporation.

The early 20th century activities of Taylor and Ford added to the management revolution by creating time study methods, standard operating procedures, the decomposition of tasks into their simplest parts, scientific pricing, and formal planning (Barnard, 1938; Mintzberg, 2003). Bureaucracy emerged through the placement of workers, specialists, and middle management into a hierarchical structure of management to optimize organizational performance. Layers of middle management positioned themselves to ensure the organization functioned according to plan, reduced waste, and improved operational processes. Discipline became widespread in the manufacturing and industrial sectors (Scott). Middle management concerns emphasized more than operational performance; management was also concerned with the analysis of organizational elements. Fayol and Simon independently established principles that contributed to the definition of middle management and their responsibilities.

Tacit responsibilities of the middle people tasked to create and execute the evolving requirements. After middle management's initial concern with time management, standard procedures, and worker commands, middle managers soon confronted humanism and the concern for the individual. Managers considered part of the humanist movement, such as Follett, believed individuals could be a contributing entity while strengthening and developing the group of which the individual was a part (Follett, 2003). Follett believed that management allowed each individual to contribute to the collaborative decision-making process making the organization a social institution. As the organization diversified and interdependence among parts of the organization became more important, middle management was required to address the importance and meaning of work tasks rather than the rights or desires of the leader (Shapiro). Middle management found more conflict among diverse groups because each group wanted to do what it thought was best. The humanist considerations required that leaders no longer commanded; rather, they negotiated ("Mary Parker Follett," 2003). In the 1960s,

Remember

- All literature review paragraphs should be compare and contrast style. This means your step 5 paragraphs will look something like
- Home value growth can serve as an important role in mitigating the effects of the U.S. economic and sustaining subsequent economic growth; hence, loan modifications may prevent foreclosures (Nothaft, 2004). Home price appreciation may increase home equity, which stimulates consumption expenditures (Chang & Nothaft, 2007). Jones (2004) found that the home equity-wealth-effect is much stronger than the stock equity-wealth-effect. Conversely, home equity loans, mortgage refinancing, and loan modifications are processes, which allow homeowners a means by which funding for home improvements are possible, thus improving the economy with increased spending (Smith, 2004).
- Notice, more than one reference is cited in the paragraph, which indicates a compare and contrast style of writing is being used

Remember

- You **will not** present paragraphs like
- **Gray (1993)** suggested that quality circles were a group of employees whose focus was to make suggestions for the improvement of the quality of the product being produced. **Gray** suggested there was a substantial difference between total quality management and quality circles and provided a table of those comparisons. **Gray** subsequently suggested quality circles were a sub-set of the total quality management toolset employed by managers. **Gray** indicated Lockheed Missile and Space Company was the first American company to recognize and incorporate quality circles in the daily work schedule.

Apply the “3” Rule

- Create 3 Sentences

OR

- Organize 3 Paragraphs

OR

- Polish 3 Pages

Everyday

Example of the “3” Rule

- Create 3 Sentences

OR

- Organize 3 Paragraphs

OR

- Polish 3 Pages

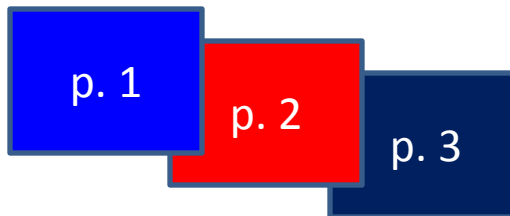
Everyday

Gray (1993) suggested that quality circles were a group of employees whose focus was to make suggestions for the improvement of the quality of the product being produced. Gray suggested there was a substantial difference between total quality management and quality circles and provided a table of those comparisons. Gray subsequently suggested quality circles were a sub-set of the total quality management toolset employed by managers. Gray indicated Lockheed Missile and Space Company was the first American company to recognize and incorporate quality circles in the daily work schedule.

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Allen (2009) examined whether leadership development will result in business success. The results suggested a feedback culture helps to improve business results. Argyris (1977) discussed why employees are reluctant to report problems they discover in the organization's processes to top management.

Argyris (1977) provided a means for managers to uncover their hidden theories of action and be able to better detect and correct errors in the organizational environment. Although the result was a successful implementation of the sustainability project, the implementation was designed to follow single-loop learning of detection and correction (Arca & Prado-Prado, 2008). Argyris presented two models through which he demonstrated the different types of characteristics of learners in a single-loop environment versus those in a double-loop environment.



Summary

- Within your topic's development field, your selected literature presents the historical and philosophical knowledge of research related to your problem
- Your literature review should address unsolved problems and unresolved issues, gaps in the literature, and your study's theoretical framework and variables
- The literature you review should represent a comprehensive review of the major points of your study field from the last 5 years (with the exception of historical or professionally significant articles)
- Seminal literature must be included
- Conflicting literature must be included

- Remember – the articles you use in the Review of the Literature are not fun and interesting articles only. You are presenting a history of your problem AND addressing the needed knowledge described by your research questions.

Thank you for joining this session!



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