

Twelve Principles of Reference and Citation

Ken Friedman

**Guidelines for
She Ji
*The Journal of Design, Economics, and
Innovation***

2023

Twelve Principles of Reference and Citation

1. Use citations constructively to substantiate the argument of an article.
2. Use citations creatively to advance the argument.
3. An author should argue the case of the article in the written narrative of the article. It is possible to use external sources to support the argument of the article, but external support cannot replace the argument itself. Only the argument within an article can lead to the conclusion.

All statements necessary to the argument must appear within the narrative of the article itself. Discussions that occur elsewhere do not support the narrative flow of the article, not even when a reference shows readers where to find the external discussion.

Provide definitions for important terms and concepts within the narrative of the article. When a term requires definition, the definition must appear in the article. Referring to definitions that appear elsewhere is insufficient. Quote the source or paraphrase the definition in the article so that readers understand clearly what each term means.

4. Use precise, fine-grained references. These permit the reader to locate cited materials at their exact place in the source document. Fine-grained references allow the reader to examine, question, challenge, and learn from cited sources.
5. Treat direct quotations, indirect quotations, and paraphrases the same way. Give explicit references to the exact page or section in the cited sources for all quotations and paraphrases. This serves readers while building and supporting the knowledge of the field.
6. Review cited passages in the original sources to ensure exact quotes and accurate paraphrasing. Reviewing sources helps authors to use source text well. It allows the author to reflect on the quoted material for added depth and development.
7. The cited source must state what the citing article claims that it states. The citing article must accurately represent the views and position of the cited source. The fact that a word or topic appears in a source does not, by itself, warrant citation. The cited material must be relevant to the citing article.
8. Quoted material and paraphrased ideas belong to the cited author. Research ethics require that the statements, claims, and ideas we attribute to other authors must accurately reflect those authors. Our ideas, interpretations, and conclusions belong to us. Their statements belong to them.

9. Never use second-hand references from other articles or books. Always check cited sources first-hand.

10. Never use loose or vague references. Be precise.

11. Every source document cited in the text must appear in the reference list. Every item in the reference list must appear in the text.

12. Each source in the text requires an appropriate citation in the text and a full entry in the reference list. All sources must be cited using a standard style, including digital sources. Every document has an author – one person or several, a collective author, or an institutional author. Every document has a title. Documents such as journal articles or book chapters require journal or book titles and pages within the journal or book. Every document has a publisher, and the citation requires publisher location and publisher name.

Within the document, a direct quote or an indirect quote (a paraphrase) needs a precise page location unless the document has no page numbers.

Digital sources require a complete reference. A URL or a doi is not sufficient. The World Wide Web is a global library. Many web sites are like bookshelves or file drawers – the URL or doi tells readers where to find a document on the shelf or in the file. The citation provides the details.

Every entry in the reference list must be complete. All citations and all references must use the same style. For *She Ji*, use the *She Ji* style. All citations and references must be complete and consistent to be correct.

**Principles of Reference and Citation for
*She Ji. The Journal of Design, Economics, and Innovation.***

Ken Friedman, Editor-in-Chief

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She Ji requires careful, fine-grained references. Best practice in many fields now calls for the precise location of cited material within the source document. This benefits readers, reviewers, and authors. There are significant reasons for this.

At a time when there were fewer universities and research institutes than we now have, some disciplines accepted loose references. With fewer academic researchers and far fewer journals, authors in any field wrote for a small audience of scholars or scientists. Most knew one another. Even when authors did not know everyone else, they knew the literature and shared a canon of key works.

Most members of a discipline could assume that everyone in their field read the same journals and the same books. Even when these assumptions did not hold, scholars still made these assumptions when writing to the members of their discipline or field. In this context, casual reminders replaced careful citations and fine-grained references.

This situation has changed. In recent decades, university education expanded dramatically. In the early 1950s, the world had between 2,000 and 3,000 institutions designated as universities. Today, the world has between 14,000 and 22,000 institutions designated as universities. The different sets of numbers depend on who is counting and what these institutions do.

Research education has also exploded. Along with a massive expansion of university numbers, there has been a massive explosion of student numbers. Many nations reveal major differences. In 1960, there were 3,639,847 college and university students in the United States (Snyder 1993:75). In 2015, there were 20,389,307. This is nearly six times as many college and university students as there were 50 years ago (Snyder, de Bray, and Dillow 2018: 411).

Fifty years ago, there were 197,000 full-time university students in the UK (Jobbins 2013: np). In 2021-2022, there were 1,734,805 full-time university students and 2,182,560 university students altogether, including 552,060 part-time students. Of these 1,734,805 were undergraduates and 444,760 were postgraduates (Universities UK 2023). There were nine times as many full-time students, and a greater number of students of all kinds.

There has also been an increase in the number of people studying for a PhD. For example, there were only 86,466 Australian university students in 1967 – both undergraduate and graduate (Australian Bureau of Statistics 2018: np). In 2016, there were 65,000 PhD students alone (Croucher 2016: np).

Other nations have seen equally massive growth in student numbers, and some have seen even greater expansion.

Universities have hired more people to do research, and the increased use of publishing metrics in recent years leads to far more publications. The growth of fields and subfields also plays a role in the increasing number of journals, books, reports, and other literature.

The increase is so large that no one in any field can keep up with the literature as they might once have done. This is not even possible for subject specialty librarians and bibliographers. One study (Bornmann and Mutz 2015: 2218) found 53,345,550 cited publications between 1650 and 2012, with another 1,859,648 publications from 2012 to 2015. This study focused primarily on natural sciences, medicine, and health – if the authors had included engineering and technology, agricultural sciences, social sciences, and the humanities, the totals would have been far greater.

The size of the scientific literature makes it vital to locate documents quickly and easily. The total number of pages of cited books, articles, and papers in any article makes it important for author to show readers precisely where to find the evidence for an assertion in a cited document.

This is why major disciplines such as psychology have now changed the common referencing style to require fine-grained references on direct and indirect quotes alike, as well as other forms of evidence. This is also the case for disciplines that use version of author-year citations colloquially known as APA Style. In APA, authors must show exact page numbers, allowing readers to find the material providing the warrant for the author's claim. (See, for example, the *Publication Manual of the American Psychological Association*, 2010:170-171).

Many of the classical humanities have long held to this standard.

Careful references are particularly important for hybrid, interdisciplinary journals such as *She Ji – the Journal of Design, Economics, and Innovation*. We attract authors and readers from many fields. Articles that draw on an extensive literature make careful referencing a necessity.

This is important to readers. It is necessary for editors. Editors must work with, check, and verify the details of a manuscript. It is necessary to locate assertions and claims quickly and precisely in the cited sources. This information makes editing possible, and it is crucial in many editorial decisions, including the decision to accept an article following peer review, as well as the many decisions required for copy editing.

For *She Ji*, this is also vital to the review process. Reviewer time is valuable. We only send articles for review when we know that each article contains all the information a reviewer needs to provide sound advice.

There is no point asking reviews for advice unless they can read the article and the underlying literature. Without careful references, each reviewer must read through source documents to locate the basis of cited claims. This often requires checking several dozen pages of an article or several hundred pages of a book to find an idea that appears at a specific point in the source document. Reviewers should not do this work. It is the author's responsibility.

She Ji has an excellent group of editors and reviewers. When we ask members of our team to review a submission, we ensure that the evidence supporting each manuscript is complete and correct prior to review. We do not proceed to review until the references and citations are careful and explicit.

The review process allows journals to evaluate an article. It also allows reviewers to provide advice to potential authors through the peer review process. Reviewers cannot properly fulfill their responsibilities unless authors do the work of building an argument and providing carefully referenced evidence to substantiate the argument of the article. It is the author's job to provide the evidence. That's what references are for. It is inappropriate to ask reviewers to complete the author's job.

In line with many leading journals, we require careful, explicit references. This requirement applies to direct quotations and indirect quotations (paraphrases) alike. While we use the *Chicago Manual of Style*, this is also the common standard for journals using *American Psychological Association* style.

Sections 6.03 and 6.04 of the *Publication Manual of the American Psychological Association* (2010:170-171) note that this is a change from the earlier style permitting paraphrases that do not cite a specific page number. Randolph Smith (2000) discusses these issues in an article that applies to nearly all fields.

The default position of journals that accept careless references is that reviewers assume that authors have made valid evidentiary claims. If not, reviewers must check to see that this is the case. Rather than check these claims, reviewers tend to read swiftly, jumping to the conclusion. If the conclusion seems generally agreeable, they accept an article. If they do not agree with the conclusion, they call for revisions or they reject.

This is not an appropriate review process. A responsible review process requires reviewers to ensure that the evidence is responsible. If the evidence is sound and the conclusion follows logically from the evidence, they should accept the article. Challenges or suggestions for improvement must be based on the nature and quality of the evidence and the internal logic of the article.

It is on this basis that a journal must sometimes accept revolutionary propositions. This, for example, is why *Annalen der Physik* published Albert Einstein's five revolutionary articles of 1905 (see: Einstein 1998).

While Einstein did not use citations for physical and chemical facts that were widely known and accepted by all trained scientists, he built careful arguments based on well known facts that he carefully restated.

In one well-known example, Einstein's (1905: 549-560; 1998: 85-98) article on Brownian motion had only four citations – three to Einstein's earlier articles in *Annalen der Physik* and one to Gustav Kirchhoff's (1897) *Lectures on Mechanics*.

At that time, many physicists and chemists did not accept atomic theory as a physical reality. While most physicists accepted atomic theory for heuristic purposes and for calculation, many looked on atoms as an idea that no one had been able to demonstrate.

In his article on Brownian motion, Einstein used well known physical and chemical facts to prove the physical reality of atoms. He pointed to established facts that had accumulated from the 1820s, when botanist Robert Brown first observed the phenomenon. Einstein developed a logical argument from well-known facts on which all physicists and chemists agreed to demonstrate the physical reality of atomic theory. This was possible in physics, and most scientists came to agree on the reality of atoms soon after the article appeared.

Design, economics, and innovation have few established facts that we acknowledge in this way. Research assertions therefore require evidence. Authors are free to present the evidence of original research in the form of data and methodological argument. They may also present evidence drawn from other sources. When they draw on evidence from other sources, they must explicitly show readers and reviewers where to find that evidence.

Reviewers and readers should not have to ask "How do you know that these facts are the case?" or "Why do you believe that the author of this cited document supports the assertion you offer at this point?" Careful, explicit references in the submitted article should answer these questions.

The implicit statement of a careless reference is essentially the claim that "readers will find the support for my argument somewhere in the document I cite." This generally means that the reviewer must read the full source document, whether it is a journal article of 5,000 words or a book of several hundred pages. This burden is inappropriate in a submission that may contain several dozen references. The total number of pages for cited sources in many journal articles often runs from 3,000 to 6,000 pages. It is unreasonable to ask reviewers or readers to do that much reading – and it is inappropriate to ask reviewers or readers to take any referenced claim on faith without the opportunity to check the source document.

Precise referencing is also valuable to authors. Careful, fine-grained referencing builds the argumentative stream. It creates specific links to relevant work by other researchers. Most important, it leads to a conceptually rigorous article.

We ask that authors use this short guide to the reasoning and principles behind notes and references in *She Ji*.

Further Reading on Referencing

Authors interested in the larger purpose and history of referencing should read Anthony Grafton's (1997) history of footnotes. Grafton addresses the scholarly importance of careful referencing. In a widely published essay, Gertrude Himmelfarb (1994) writes about the meaning and consequences of references.

Please ensure that articles follow the principles in this guide for submissions to *She Ji – the Journal of Design, Economics, and Innovation*.

<https://www.journals.elsevier.com/she-ji-the-journal-of-design-economics-and-innovation/>

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Date accessed 2023 March 26.

Publishing History

First version:
Friedman, Ken. 1998.
“Ten Principles of Reference.” *Reference, Argument, and Evidence*.
Working paper. Oslo: Norwegian School of Management.

Updated version:
Friedman, Ken. 2023.
She Ji Principles of Reference and Citation.
Shanghai: Tongji University and Tongji University Press.

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Suggested Citation

Friedman, Ken. 2023.
She Ji Principles of Reference and Citation.
Shanghai: Tongji University and Tongji University Press.

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