

# Manual of Best Practices in Transparent Social Science Research

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# Contents

<b>1</b>	<b>Introduction</b>	<b>4</b>
<b>2</b>	<b>Ethical Research</b>	<b>6</b>
2.1	Fraud . . . . .	6
2.2	Unintentional Bias . . . . .	6
2.3	Institutional Review Boards . . . . .	8
2.3.1	History . . . . .	8
2.3.2	Training . . . . .	13
<b>3</b>	<b>Study Design</b>	<b>14</b>
<b>4</b>	<b>Registration</b>	<b>14</b>
4.1	Publication Bias . . . . .	14
4.2	Trial Registration . . . . .	15
4.3	Social Science Registries . . . . .	17
<b>5</b>	<b>Researcher Degrees of Freedom</b>	<b>18</b>
5.1	Researcher Degrees of Freedom and Pre-Analysis Plans . . . . .	20
5.1.1	Project Protocols . . . . .	23
5.1.2	Examples . . . . .	24
<b>6</b>	<b>Replication and Reproducibility</b>	<b>27</b>
6.1	Code and Workflow . . . . .	28

6.1.1	Publicly Sharing Code . . . . .	29
6.1.2	Managing Workflow . . . . .	29
6.2	General Workflow Suggestions: . . . . .	32
6.3	Stata-specific Suggestions . . . . .	33
6.4	Sharing Data . . . . .	35
6.4.1	The JMCB Project and Economics . . . . .	35
6.4.2	General Repositories . . . . .	37
6.5	Reporting Standards . . . . .	37
6.5.1	Randomized Trials and CONSORT . . . . .	38
6.6	Social Science Reporting Standards . . . . .	39
6.7	Observational Reporting Standards . . . . .	39
6.8	Differential Privacy . . . . .	40
<b>7</b>	<b>Conclusion</b>	<b>40</b>
<b>8</b>	<b>References</b>	<b>41</b>
<b>9</b>	<b>Index</b>	<b>49</b>

# 1 Introduction

Scientific claims should be subject to scrutiny by other researchers and the public at large. An essential requirement for such scrutiny is that researchers make their claims transparent in a way that other researchers are able to use easily available resources to form a complete understanding of the methods that were used by the original. In the social sciences, especially given the personal computing and Internet revolutions and the wide availability of data and processing power, it is essential that data, code, and analyses be transparent.

This manual is intended to be a source mainly for empirical social science researchers who desire to make their own research transparent to, and reproducible by, others. The entire process of research, from hypothesis generation to publication, is covered. Although norms differ across disciplines, we attempt to bring a broad view of the empirical social sciences to these recommendations, and hope that students and researchers in any social science field may tailor these recommendations to best fit their field.

In section 2 we first discuss the motivation for this document: the desire to do ethical research. A major component of ethical social science research is treating research subjects appropriately. This is mandated by federal law and overseen by Institutional Review Boards (IRBs), and should be taken seriously by researchers. But just as treating subjects fairly is ethical, we believe that transparent, reproducible research is also a major part of ethical research.

In section 3 we discuss study design, including how to power studies appropriately.

In section 4 we discuss one of the major problems in non-transparent research, specifically publication bias. We also discuss how this problem can be resolved through the practice of regis-

tration. Publication bias stems from the fact that published results are overwhelmingly statistically significant. But without knowing how many tests were run, it is impossible to know whether these significant results are meaningful, or whether they are the 5% of tests that we would expect to appear significant due to random sampling, even with no true effect. By publicly registering all studies, we can have a better idea of just how many tests have been run.

In section 5 we discuss researcher degrees of freedom and pre-analysis plans; In addition to registering trials, researchers should also specify their outcomes of interest and their exact methods of analysis to bind their hands during the analysis phase by writing a Pre-Analysis Plan (PAP). This is a relatively new idea in the social sciences, so there is not yet a consensus on when a PAP should be required, what the ideal level of detail is, and how much it should constrain the researchers hand in the actual analysis, but by pre-specifying analyses, researchers can distinguish between confirmatory and exploratory analysis. We do not necessarily place higher intrinsic value on one or the other, but making the distinction clear is key for appropriate interpretation.

In section 6 we discuss workflow and materials sharing, with an eye on making research replicable by others. Researchers should make their code and data publicly available so that others may repeat and verify their analysis. Making data available incentivizes researchers to make their work accurate in the first place, and makes replication easier for others, improving the scientific process, but also raises the concern of differential privacy, since steps should be taken to prevent identification of individuals in the data. We also discuss the issue of reporting standards: a standardized list of things that authors should report to help make their work reproducible.

Section 7 concludes.

## **2 Ethical Research**

We believe that making one's research transparent and reproducible is a key component of ethical research.

### **2.1 Fraud**

While most of us are likely to presume that we ourselves would not conduct outright fraud, fraud does indeed occur. From making up fake data to creating bogus e-mail addresses so one could do one's own peer review, the Retraction Watch blog (<http://www.retractionwatch.com>) documents a distressingly large amount of deliberate fraud in research. Although the blog tends to specialize in the life sciences, there is no good reason to believe that social science researchers are inherently more benevolent. Part of the US Department of Health and Human Services, the Office of Research Integrity (ORI), works to promote research integrity and document misconduct, especially when it involves federally funded research. The misconduct case summaries of the ORI ([http://ori.hhs.gov/case\\_summary](http://ori.hhs.gov/case_summary)), and the stories of Diederik Stapel (Bhattacharjee 2013; Carey 2011) Hwang Woo-Suk (Cyranoski 2014) and Marc Hauser (Johnson 2012) should be sobering warnings to us all.

### **2.2 Unintentional Bias**

Perhaps in addition to the obvious need to avoid deliberate fraud and protect our human subjects is the need to avoid subconsciously biasing our own results.

Nosek, Spies, and Motyl (2012) summarize some of the evidence on this subject, concluding

that there are many circumstances common to academia and the publishing paradigm that cause researchers to frequently use motivated reasoning:

Because we have directional goals for success, we are likely to bring to bear motivated reasoning to justify research decisions in the name of accuracy, when they are actually in service of career advancement (Fanelli, 2010a). Motivated reasoning is particularly influential when the situation is complex, the available information is ambiguous, and legitimate reasons can be generated for multiple courses of action (Bersoff, 1999; Boiney, Kennedy, & Nye, 1997; Kunda, 1990).

Motivated reasoning can occur without intention. We are more likely to be convinced that our hypothesis is true, accepting uncritically when it is confirmed and scrutinizing heavily when it is not (Bastardi, Uhlmann, & Ross, 2011; Ditto & Lopez, 1992; Lord, Ross, & Lepper, 1979; Pyszczynski & Greenberg, 1987; Trope & Bassok, 1982). With flexible analysis options, we are more likely to find the one that produces a more publishable pattern of results to be more reasonable and defensible than others (Simmons et al., 2011; Wagenmakers, Wetzels, Borsboom, & van der Maas, 2011). Once we obtain an unexpected result, we are likely to reconstruct our histories and perceive the outcome as something that we could have, even did, anticipate all along—converting a discovery into a confirmatory result (Fischhoff, 1977; Fischhoff & Beyth, 1975). And even if we resist those reasoning biases in the moment, after a few months, we might simply forget the details, whether we had hypothesized the moderator, had good justification for one set of exclusion criteria compared with another, and had

really thought that the one dependent variable that showed a significant effect was the key outcome. Instead, we might remember the gist of what the study was and what we found (Reyna & Brainerd, 1995). Forgetting the details provides an opportunity for reimagining the study purpose and results to recall and understand them in their best (i.e., most publishable) light. The reader may, as we do, recall personal examples of such motivated decisions—they are entirely ordinary products of human cognition.

## **2.3 Institutional Review Boards**

In addition to fraud, a major ethical concern relates to our human subjects.

### **2.3.1 History**

World history is rife with examples of atrocities conducted in the name of research. Some of these have resulted in major changes in regulations related to research.

**Nuremberg** Nazi German doctors conducted horrible experiments on subjects during World War II. The “Doctor’s Trial” (USA v. Karl Brandt, et al.) tried 23 defendants, and the verdict included the following ten principles, which although never entered as formal regulations in either Germany or the USA, became widely accepted.

1. The voluntary consent of the human subject is absolutely essential.

This means that the person involved should have legal capacity to give consent; should be so situated as to be able to exercise free power of choice, without the intervention of any element of force, fraud, deceit, duress, over-reaching, or other ulterior form of constraint or



coercion; and should have sufficient knowledge and comprehension of the elements of the subject matter involved as to enable him to make an understanding and enlightened decision. This latter element requires that before the acceptance of an affirmative decision by the experimental subject there should be made known to him the nature, duration, and purpose of the experiment; the method and means by which it is to be conducted; all inconveniences and hazards reasonably to be expected; and the effects upon his health or person which may possibly come from his participation in the experiment.

The duty and responsibility for ascertaining the quality of the consent rests upon each individual who initiates, directs or engages in the experiment. It is a personal duty and responsibility which may not be delegated to another with impunity.

2. The experiment should be such as to yield fruitful results for the good of society, unprocurable by other methods or means of study, and not random and unnecessary in nature.
3. The experiment should be so designed and based on the results of animal experimentation and a knowledge of the natural history of the disease or other problem under study that the anticipated results will justify the performance of the experiment.
4. The experiment should be so conducted as to avoid all unnecessary physical and mental suffering and injury.
5. No experiment should be conducted where there is an a priori reason to believe that death or disabling injury will occur; except, perhaps, in those experiments where the experimental physicians also serve as subjects.

6. The degree of risk to be taken should never exceed that determined by the humanitarian importance of the problem to be solved by the experiment.
7. Proper preparations should be made and adequate facilities provided to protect the experimental subject against even remote possibilities of injury, disability, or death.
8. The experiment should be conducted only by scientifically qualified persons. The highest degree of skill and care should be required through all stages of the experiment of those who conduct or engage in the experiment.
9. During the course of the experiment the human subject should be at liberty to bring the experiment to an end if he has reached the physical or mental state where continuation of the experiment seems to him to be impossible.
10. During the course of the experiment the scientist in charge must be prepared to terminate the experiment at any stage, if he has probably cause to believe, in the exercise of the good faith, superior skill and careful judgment required of him that a continuation of the experiment is likely to result in injury, disability, or death to the experimental subject.

**Tuskegee and US codification** In 1972 whistleblower Peter Buxton revealed to the Associated Press that the US Public Health Service was conducting a 40-year experiment on poor Alabama sharecroppers in which it did not treat those who had syphilis for the disease despite the discovery and verification of penicillin as an effective treatment, and actually prevented sufferers from obtaining treatment elsewhere. As a result, the National Commission for the Protection of Human Subjects of Biomedical and Behavioral Research was formed by law in 1974, and released

the Belmont Report in 1979. The Belmont Report, available at <http://www.hhs.gov/ohrp/humansubjects/guidance/belmont.html>, contains three basic ethical principles, and three applications:

- Ethical Principles

- Respect for Persons: “Respect for persons incorporates at least two ethical convictions: first, that individuals should be treated as autonomous agents, and second, that persons with diminished autonomy are entitled to protection.”
- Beneficence: “Two general rules have been formulated as complementary expressions of beneficent actions in this sense: **(1)** do not harm and **(2)** maximize possible benefits and minimize possible harms.”
- Justice: “An injustice occurs when some benefit to which a person is entitled is denied without good reason or when some burden is imposed unduly. Another way of conceiving the principle of justice is that equals ought to be treated equally.”

- Applications

- Informed Consent: “Respect for persons requires that subjects, to the degree that they are capable, be given the opportunity to choose what shall or shall not happen to them. This opportunity is provided when adequate standards for informed consent are satisfied.”
- Assessment of Risks and Benefits: “It is commonly said that benefits and risks must be “balanced” and shown to be “in a favorable ratio.” The metaphorical character of

these terms draws attention to the difficulty of making precise judgments. Only on rare occasions will quantitative techniques be available for the scrutiny of research protocols. However, the idea of systematic, nonarbitrary analysis of risks and benefits should be emulated insofar as possible.”

- Selection of Subjects: “Individual justice in the selection of subjects would require that researchers exhibit fairness: thus, they should not offer potentially beneficial research only to some patients who are in their favor or select only “undesirable” persons for risky research. Social justice requires that distinction be drawn between classes of subjects that ought, and ought not, to participate in any particular kind of research, based on the ability of members of that class to bear burdens and on the appropriateness of placing further burdens on already burdened persons.”

In 1981 the Department of Health and Human Services and the Food and Drug Administration adopted regulations in line with the Belmont report, and 15 federal agencies adopted these regulations (45 CFR part 46) as the “Common Rule” in 1991. See <http://www.hhs.gov/ohrp/index.html> for more information.

In practice, this means that researchers who receive funding from the US government, or who work at institutions that receive federal funding (i.e. essentially all researchers) should have their research approved by an Institutional Review Board (IRB). IRB are a decentralized approval body set up by each research organization itself, consisting of at least five members, a mix of men and women, scientists and non-scientists, and at least one member not affiliated with the institution. Since IRBs and the approval process are decentralized, the exact process varies from institution to

institution, but one example can be seen at <http://cphs.berkeley.edu>.

When conducting research internationally, researchers should give their human subjects the same protections as those inside the US. Laws in developing countries may not be as well-defined or enforced, but researchers should still register with their US institution's IRB, and obtain approval from the host country government. A list of laws and regulations that cover research in 107 foreign countries is available from the Office for Human Research Protections at <http://www.hhs.gov/ohrp/international/intlcompilation/2014intlcomp.pdf>.

Another key resource for researchers and research conducted outside the US is the Declaration of Helsinki by the World Medical Association (WMA), available at <http://www.wma.net/en/30publications/10policies/b3/index.html>. Originally adopted by the WMA in 1964, the document has significantly influenced the laws and regulations adopted to govern research worldwide.

Lest one think that ethical concerns are limited to monsters of bygone eras, we refer readers to a dilemma caused by an election experiment by researchers from Stanford and Dartmouth in 2014: <http://www.washingtonpost.com/blogs/monkey-cage/wp/2014/11/03/ethics-and-research-in-comparative-politics/>.

### **2.3.2 Training**

A large number of universities participate in the Collaborative Institutional Training Initiative at the University of Miami (CITI, <https://www.citiprogram.org/>). Completing their course on Human Subjects Research is often a requirement of being included on a research proposal.

### **3 Study Design**

### **4 Registration**

One of the problems brought into focus recently is publication bias. Publication bias is the selective publication of only significant results. Thankfully, there are tools available for researchers to combat these problems.

#### **4.1 Publication Bias**

One of the primary drivers of the recent move towards transparency is increased awareness of publication bias. Numerous papers use collections of published papers to show that the proportion of significant results are extremely unlikely to come from any true population distribution (DeLong and Lang 1992; A. S. Gerber, Green, and Nickerson 2001; J. P. A. Ioannidis 2005). By examining the publication rates of null results and significant results from a large set of NSF-funded studies, Franco, Malhotra, and Simonovits (2014) show that the publication of only significant results may stem from the fact that social science researchers largely fail to write up and submit results from studies resulting in null findings, citing lack of interest or fear of rejection. In fact, the percentage of null findings published in journals appears to have been decreasing over time, across all disciplines (Fanelli 2012). Clearly, there is no reason why this would be an accurate reflection of the state of the universe. If journals only publish statistically significant results, we have no idea how many of those significant results are evidence of real effects, and which are the 5% of random draws that we should expect to show a significant result with a true zero effect. One way to combat this problem

is to require registration of all studies undertaken. Ideally we then search the registry for studies of X on Y. If numerous studies all show an effect, we have confidence the effect is real. If 5% of studies show a significant effect, we give the outlier study less credence.

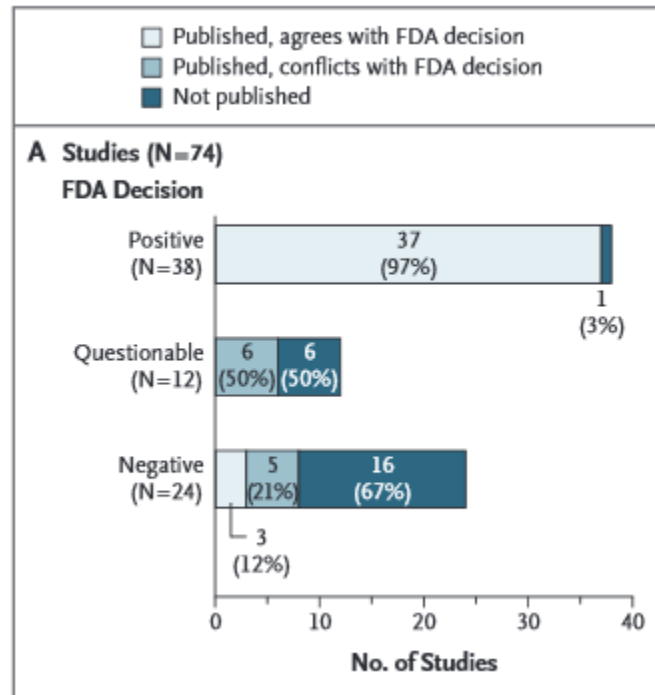
## 4.2 Trial Registration

A basic definition of registration is to publicly declare *all* research that one plans on conducting. Ideally this is done in a public registry designed to accept registries in the given research discipline, and ideally the registration takes place before data collection begins.

Almost all registration efforts have thus far been limited to randomized control trials, as opposed to observational data. (However, we believe that registering all types of analysis would be ideal.) Registration of randomized trials has achieved wide adoption in medicine, but is still relatively new to the social sciences. After congress passed a law in 1997 requiring the creation of a registry for FDA-regulated trials, and the NIH created clinicaltrials.gov in 2000, The International Committee of Medical Journal Editors (ICMJE), a collection of editors of top medical journals, instituted a policy of publishing only registered trials in 2005 (De Angelis et al. 2004), and the policy has spread to other journals and been generally accepted by researchers (Laine et al. 2007).

A profound example of the benefit of trial registries is detailed in Turner et al. (2008), which details the publication rates of studies related to FDA-approved antidepressants. (See also Ioannidis (2008).) The outcome is perhaps what the most hardened cynic would expect: essentially all the trials with positive outcomes were published, a 50/50 mix of questionable studies were published, and a majority of the negative studies were unpublished a minimum of four years after the

study was completed. The figure below shows the drastically different rates of publication, and a large amount of publication bias.



Panel A of Figure 1 from (Turner et al. 2008)

Of course for this sort of exercise to be possible, unless a reader merely assumes that a registered trial without an associated published paper produced a null result, it requires that the registration site itself obtain outcomes of trials. ClinicalTrials.gov is the only publicly available trial registry that requires such reporting of results, and only for certain FDA trials. Hartung et al. (2014) raises concerns about discrepancies between reporting of outcomes in published papers and in the ClinicalTrials.gov database; as many as 20% of studies had discrepancies in primary outcomes and as many as 33% had discrepancies in reporting of adverse events.

Even with dramatic growth in medical trial registration, problems remain. Not all journals have adopted the ICMJE policy, and complete enforcement is elusive. Mathieu S et al. (2009) looked



at trials related to three medical conditions and found that only 46% of studies were registered before the end of the trial with primary outcomes clearly specified. Even among those adequately registered, 31% showed some discrepancies between registered and published outcomes, with bias in favor of statistically significant definitions.

### **4.3 Social Science Registries**

Registries in the social sciences are newer but are growing ever more popular. The Abdul Latif Jameel Poverty Action Lab began hosting a hypothesis registry (<http://www.povertyactionlab.org/hypothesis-registry>) in 2009, which was superseded by the American Economic Association's launch of its own registry for randomized trials ([www.socialscienceregistry.org](http://www.socialscienceregistry.org)) in May 2013, which had accumulated 260 studies in 59 countries by October 2014. The International Initiative for Impact Evaluation (3ie) launched its own registry for evaluations of development programs, the Registry for International Development Impact Evaluations (RIDIE, <http://ridie.3ieimpact.org>) in September 2013, which had approximately 30 evaluations registered in its first year.

In political science, EGAP: Experiments in Governance and Politics has created a registry as “an unsupervised stopgap function to store designs until the creation of a general registry for social science research. The EGAP registry focuses on designs for experiments and observational studies in governance and politics.” (<http://e-gap.org/design-registration>) EGAP's registry had 93 designs registered as of October 2014.<sup>1</sup>

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<sup>1</sup>Other less-widely adopted attempts to create registries in political science are the Political Science Registered Studies Dataverse (PSRSD, [http://spia.uga.edu/faculty\\_pages/monogan/registration.php](http://spia.uga.edu/faculty_pages/monogan/registration.php)) and the PAP Registry of the

Another location for registrations is the Open Science Framework (OSF), created by the Center for Open Science. The OSF serves as a broad research management tool that encourages and facilitates transparency (see Nosek, Spies, and Motyl (2012).) Registrations are simply unalterable snapshots of research frozen in time, with a persistent URL and timestamp. Researchers can upload their data, code, hypotheses, etc. to the OSF, register it, and then share the resulting URL as proof of registration. OSF registrations can be relatively free-form, but templates exist to conform to standards in different disciplines. Psychology registrations are presently the most numerous on the OSF (<https://osf.io/explore/activity/#newPublicRegistrations>).

## **5 Researcher Degrees of Freedom**

In addition to publication bias, a problem with research is specification searching: the manipulation of statistical or regression models unknowingly (or deliberately) until significance is obtained. Though registration helps solve the problem of publication bias, it does not solve the problem of fishing for statistical significance within a given study. Simmons, Nelson, and Simonsohn (2011) refer to this as “researcher degrees of freedom,” and it has also been referred to as “fishing” or “p-hacking.” Using flexibility around when to stop collecting data, excluding certain observations, combining and comparing certain conditions, including certain control variables, and combining or transforming certain measures, they “prove” that listening to the Beatles’ song “When I’m Sixty-Four” made listeners a year and a half younger. The extent and ease of this “fishing” is also described in (Humphreys, Sierra, and Windt 2013). Gelman and Loken (2013) agree that “[a]

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Experimental Research section of the American Political Science Association (<http://ps-experiments.ucr.edu/browser>).

dataset can be analyzed in so many different ways (with the choices being not just what statistical test to perform but also decisions on what data to exclude or include, [sic] what measures to study, what interactions to consider, etc.), that very little information is provided by the statement that a study came up with a  $p < .05$  result.” However, they also conclude that:

the term “fishing” was unfortunate, in that it invokes an image of a researcher trying out comparison after comparison, throwing the line into the lake repeatedly until a fish is snagged. We have no reason to think that researchers regularly do that. We think the real story is that researchers can perform a reasonable analysis given their assumptions and their data, but had the data turned out differently, they could have done other analyses that were just as reasonable in those circumstances.

We regret the spread of the terms fishing” and “p-hacking” (and even “researcher degrees of freedom”) for two reasons: first, because when such terms are used to describe a study, there is the misleading implication that researchers were consciously trying out many different analyses on a single data set; and, second, because it can lead researchers who know they did not tryout many different analyses to mistakenly think they are not so strongly subject to problems of researcher degrees of freedom.”

In other words, the problem is even worse than you think. What can be done to solve it? We believe part of the answer lies in detailed pre-analysis plans, described in detail below.

## 5.1 Researcher Degrees of Freedom and Pre-Analysis Plans

Registration of trials and Pre-analysis plans are closely related, but not the same. While registration is now the norm in medicine, registrations, and the associated trial protocols, often do not include detailed analysis plans, even though they are generally publicly available, and sometimes published in peer-reviewed journals. Sometimes this is because the medical researcher intends to do very little, if any, structural or economic-type modeling. But even if a researcher intends only to compare unadjusted means and bootstrap for standard errors, this should be explicitly stated. In the social sciences, this simple comparison is sometimes not the end goal of a randomized trial, so there may be even more value in registration and pre-specification. In the section below we explain some of the differences between registrations and pre analysis plans, and between their uses in medicine and in the social sciences.

Part of registration is a pre-analysis plan (PAP), which contains a specification of the outcomes of the study, as well as a specification of the methods that will be used to analyze the outcomes (sometimes referred to as endpoints in the medical literature). By describing the method(s) of analysis ahead of time, and to some degree tying the hands of the researcher, we reduce the ability to data mine. Though one example of this exists in economics from 2001 (Neumark 2001), the idea is still quite new to the social sciences. The level of detail varies widely, and the research community is still constructing norms for incorporating these documents into final analyses and papers.

Suggestions have been made for the detailed contents of these documents. Glennerster and Takavarasha (2013) suggest including the following:

1. the main outcome measures
2. which outcome measures are primary and which are secondary,
3. the precise composition of any families that will be used for mean effects analysis,
4. the subgroups that will be analyzed,
5. the direction of expected impact if we want to use a one-sided test, and
6. the primary specification to be used for the analysis.

Glennerster and Takavarasha (2013) also highlight the “tension between the benefits of the credibility that comes from tying ones hands versus the benefits of flexibility to respond to unforeseen events and results.”

David McKenzie of the World Bank Research Group proposed a list of ten items that should be included in a PAP, reproduced below. (For more detail see <http://blogs.worldbank.org/impactevaluations/a-pre-analysis-plan-checklist>)

1. Description of the sample to be used in the study
2. Key data sources
3. Hypotheses to be tested throughout the causal chain
4. Specify how variables will be constructed
5. Specify the treatment effect equation to be estimated
6. What is the plan for how to deal with multiple outcomes and multiple hypothesis testing?

7. Procedures to be used for addressing survey attrition
8. How will the study deal with outcomes with limited variation?
9. If you are going to be testing a model, include the model
10. Remember to archive it

In their article on researcher degrees of freedom, Simmons, Nelson, and Simonsohn (2011) suggest the following requirements for authors:

1. Authors must decide the rule for terminating data collection before data collection begins and report this rule in the article.
2. Authors must collect at least 20 observations per cell or else provide a compelling cost-of-data-collection justification.
3. Authors must list all variables collected in a study.
4. Authors must report all experimental conditions, including failed manipulations.
5. If observations are eliminated, authors must also report what the statistical results are if those observations are included.
6. If an analysis includes a covariate, authors must report the statistical results of the analysis without the covariate.

### 5.1.1 Project Protocols

The PAP is similar to, but distinct from, a project protocol. Protocols are standard in the medical literature, as in all areas of lab science, but may be less familiar to those used to working with administrative or observational data. A protocol is a detailed recipe or instruction manual for others to use to reproduce an experiment. While the advantages of publishing a protocol related to the development of a new procedure (e.g. “we have developed a new method of isolating mRNA”) should be obvious, the advantages of publishing protocols for randomized trials under way are perhaps less obvious, but still exist. *BioMed Central* and *BMJ Open*, among others, now publish protocols of trials planned or ongoing, with the hopes that this will reduce publication bias, allow patients to see trials in which they might like to enroll, allow funders and researchers to learn of work under way to avoid duplication, and to allow readers to compare what research was originally proposed to what was actually completed. (See <http://www.biomedcentral.com/authors/protocols> and <http://bmjopen.bmj.com/site/about/guidelines.xhtml#studyprotocols>.) The SPIRIT (Standard Protocol Items: Recommendations for Interventional Trials) statement includes a 33-item checklist of what should go into these protocols, of which one item is detailing the statistical methods to be used to analyze primary and secondary outcomes (Chan et al. 2013). *BMJ Open* suggests, but does not require, that its published protocols include the items in the checklist.

Even in published (or otherwise public) protocols, studies have found important differences between protocols and published results. 60-71% of outcomes described in protocols went unreported in the paper while 62% had major discrepancies between primary outcomes in the protocols and in the published papers, though there was a relatively even mix of these discrepancies favoring

significant or insignificant results (Chan A et al. 2004). Another study found that appropriate level of statistical detail is often lacking in protocols, and there are often discrepancies between protocols and published results (Saqib, Saqib, and Ioannidis 2013). 31% of published papers had some sort of pre-specified plan for their regression adjustments (i.e. specifying which baseline covariates would be controlled for), while 70-74% of those that published a design paper or provided a protocol to the authors, but only 53% of the plans matched what was published in the ultimate paper. While there seems to be internal disagreement in both medicine and economics over the appropriateness of including baseline control variables in regression analysis of a randomized trial, having researchers selectively report whatever method gives them the most significant-seeming results is obviously not the optimal outcome (Bruhn and McKenzie 2009).

#### **WHEN TO WRITE THEM**

Before you're done.

#### **PROS AND CONS**

Glennerster says there's zero downside to registration, some potential downside for PAPs from reduced flexibility.

### **5.1.2 Examples**

An example of a paper that resulted from a more detailed PAP is Casey, Glennerster, and Miguel (2012). The online appendix, available at [http://emiguel.econ.berkeley.edu/assets/miguel\\_research/8/\\_Appendix\\_Reshaping\\_Institutions\\_-\\_Evidence\\_on\\_Aid\\_Impacts\\_Using\\_a\\_Pre\\_Analysis\\_Plan.pdf](http://emiguel.econ.berkeley.edu/assets/miguel_research/8/_Appendix_Reshaping_Institutions_-_Evidence_on_Aid_Impacts_Using_a_Pre_Analysis_Plan.pdf), contains the PAP.

Other examples include:



## **Oregon**

Finkelstein, Amy, et al. “The Oregon Health Insurance Experiment: Evidence from the First Year.” *The Quarterly journal of economics* 127.3 (2012): 1057-1106. (Finkelstein et al. 2012)

The Oregon Health Insurance Experiment: Evidence From Emergency Department Data, Analysis Plan (Taubman Et Al. 2013)

The Oregon Health Insurance Experiment: Evidence from Criminal Charges Data, Analysis Plan (Baicker, Katherine, Finkelstein, Amy, and Taubman, Sarah 2014)

## **Toms**

Wydick, Bruce, Elizabeth Katz, and Brendan Janet. “Do in-kind transfers damage local markets? The case of TOMS shoe donations in El Salvador.” *Journal of Development Effectiveness* ahead-of-print (2014): 1-19. (Wydick, Katz, and Janet 2014)

Pre-Analysis Plan: TOMS Shoes Impact Study (Katz, Elizabeth et al. 2013)

## **Turkey**

The Impact of Vocational Training for the Unemployed in Turkey: Pre-Analysis Plan

Rita Almeida, Sarojini Hirshleifer, David McKenzie, Cristobal Ridao-Cano, Ahmed Levent Yener. 2012.(Almeida et al. 2012)

(Available at [http://blogs.worldbank.org/impacetevaluations/files/impacetevaluations/iskurie\\_analysisplan\\_v4a.pdf](http://blogs.worldbank.org/impacetevaluations/files/impacetevaluations/iskurie_analysisplan_v4a.pdf))

Hirshleifer, Sarojini, et al. “The impact of vocational training for the unemployed: experimental evidence from Turkey.” Forthcoming, *Economic Journal* (2014).(Hirshleifer et al. 2014)

## **Olken-Generasi**

Generasi Analysis Plan: Wave II (Olken, Onishi, and Wong 2009)

Generasi Analysis Plan: Wave III (Olken, Onishi, and Wong 2010b)

Olken, Benjamin A.; Onishi, Junko; Wong, Susan. 2010. *Indonesia's PNPM Generasi program : interim impact evaluation report*. Washington, DC: World Bank. <http://documents.worldbank.org/curated/en/2010/01/13763479/indonesias-pnpm-generasi-program-interim-impact-evaluation-report>

(Olken, Onishi, and Wong 2010a)

Olken, Benjamin A., Junko Onishi, and Susan Wong. *Should Aid Reward Performance? Evidence from a field experiment on health and education in Indonesia*. No. w17892. National Bureau of Economic Research, 2012. Forthcoming, AEJ Applied. (Olken, Onishi, and Wong 2012)

## **Olken-Poverty Targeting**

Pre Analysis Plan (Olken 2009)

AER Paper (Alatas et al. 2012)

Adjust for multiple hypothesis testing (FWER—cite Michael L Anderson and the Van der Laan SuperLearner papers)

One aspect of PAPs that seems to have taken hold widely in the medical literature is the aversion to sub-group analysis (“interactions” to most economists). An oft-repeated story revolves around the publication of a study on aspirin after heart attacks. When the editors suggested including 40 subgroup analyses, the authors relented on the condition they include some of their own. Gemini and Libras had worse outcomes when taking aspirin after heart attacks, despite the large

beneficial effects for everyone else. (Described in Schulz and Grimes (2005), original finding in (ISIS-2 (SECOND INTERNATIONAL STUDY OF INFARCT SURVIVAL) COLLABORATIVE GROUP 1988)) Whether in a randomized trial or not, we feel that economists could benefit from reporting the number of interactions tested, possibly adjusting for multiple hypotheses, and ideally specifying beforehand the interactions to be tested.

Somewhere in either registration or PAP or protocol—discuss exact details of randomization.(Bruhn and McKenzie 2009)

and <http://e-gap.org/resources/guides/randomization/>

Conceal your randomized assignment so nobody subverts it. (Schulz and Grimes 2002)

Limit or pre-specify your sub-group analyses/interactions (Schulz and Grimes 2005)

The original heart attack for libras and Gemini paper: (ISIS-2 (SECOND INTERNATIONAL STUDY OF INFARCT SURVIVAL) COLLABORATIVE GROUP 1988)

## **6 Replication and Reproducibility**

“Economists treat replication the way teenagers treat chastity - as an ideal to be professed but not to be practised.”—Daniel Hamermesh, University of Texas at Austin Economics

“Reproducibility is just collaboration with people you don’t know, including yourself next week”—Philip Stark, UC Berkeley Statistics

Replication, in both practice and principle, is a key part of social science research. We first

define what exactly we mean by replication using the taxonomy developed in Hamermesh (2007) and Hunter (2001). Replication comes in a few different shapes: pure, statistical, and scientific.

- Pure: Using the exact same data and the exact same model to see if the published results are reproduced exactly.
- Scientific: Using a different sample from a different population, and similar, but perhaps not identical model .
- Statistical: Using the same model and underlying population but a different sample. In Hamermesh's view, less relevant to economists, who are likely to already use as large a sample as is available.

Others have described this in terms of a spectrum from full replication (independent collection of data and re-running analysis) to reproducibility, where the same data and code are re-used by other researchers. (Peng 2011) Whatever the terminology used, transparent research requires making data and code available to other researchers.

## **6.1 Code and Workflow**

Reproducing research often involves using the exact code and statistical programming done by the original researcher. To make this possible, code needs to be both (1) easily available and (2) easily interpretable. Thanks to several free and easy to use websites described below, code can easily be made available by researchers without requiring funding or website hosting. Making

code easily interpretable is a more complicated task, nevertheless, the extra effort spent to make a more manageable code pays off with large dividends.

### **6.1.1 Publicly Sharing Code**

Once analysis is complete (or even before this stage) researchers should share their data and code with the public. GitHub (<http://www.github.com>), The Center for Open Science’s Open Science Framework (<http://osf.io>), and Harvard University’s Dataverse (<http://thedata.org>) are all free repositories for data and code that include easy to use version control.<sup>2</sup> Version control is simply archiving previous versions of files so that old versions are not lost and can be returned to if needed. Instead of simply calling one’s analysis code “MyAnalysis.do” and repeatedly saving over and losing old versions, and instead of repeatedly changing the file name from “MyAnalysis.2014.8.13.do” to “MyAnalysis.2014.8.14.do” according to the date, version control creates different versions of files and can compare and highlight the differences in version of text files, and restore the used file to previous conditions if desired. Web services such as GitHub have the advantage of being “distributed” (DVCS) in that several users can have access simultaneously.

### **6.1.2 Managing Workflow**

Code is just one aspect of a larger structure we refer to as “workflow” after Long (2008) and Kirchkamp (?), by which we mean the combination of data, code, organization, and documentation: everything from file and variable names to folder organization as well as efficient and readable

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<sup>2</sup>BitBucket (<http://www.bitbucket.org>) XXX, and XXX are also web services that one can use for free version control and archiving of public data and code.

programming, and data storage and documentation.

Software:

Although there is a movement by many towards open source software such as R and Python, we appreciate that many disciplines have long traditions of using proprietary software such as SAS and STATA, and learning a new programming language may be an undesirable additional task in researchers' busy lives. That said, there are several general coding rules that all researchers should use when organizing and implementing their analysis, and researchers should strive to make their work usable by as many others as possible.

Perhaps the most important rule is to write code, don't work by hand. By that we mean:

- Do not modify data by hand, such as with a spreadsheet. Which is to say, don't use Excel.
- Use neither the command line nor drop-down menus nor point-and-click options in statistical software.
- Instead, do everything with scripts.

The simple reason for this is reproducibility. Modifying data in Excel or any similar spreadsheet program leaves no record of the changes made to the data, nor any explanation of the reasoning or timing behind any changes. Although it may seem easy or quick to do a one-time-only cleaning of data in Excel, or make "minor" changes to get the data into a format readable by a researcher's preferred statistical software, unless these changes are written down in excruciating detail, this is not reproducible by other researchers. It is better to write a code script that imports the raw data, does all necessary changes, with comments in the code that explain changes, and

saves any intermediate data sets used in analysis. Then, researchers can share their initial raw data and their code, and other researchers can reproduce their work exactly.

Though we understand that a fair amount of research has been done using pull down menus in SPSS or Stata, we advise against this. A bare minimum if one insists on going this route is to use the built-in command-logging features of the software. In Stata, this involves the ‘cmdlog’ command, in SPSS, this involves the paste button to add to a syntax.

The ideal is to make everything, including changes like rounding and formatting, done with scripts. Even downloading of data from websites can be done through a script. For example, in R, the `download.file()` function can be used to save data from a website. (Though of course this opens the possibility to the data file changing. When reproducing results from a given dataset is more important than the data from a specific source, researchers should download their raw dataset once, and never save over it, instead saving all modified intermediate datasets in a separate location.) Another extremely important way to prevent unintentional changes to data is to always set the seed for random number generators whenever any random numbers are to be used (`set.seed()` in R, `set seed ()` in Stata). Additionally, information about the exact software version used should be included (Stata version 12.x, or use the `session.info()` command in R) as well as computer processor and operating system information. The casual programmer may assume that sophisticated software would always produce the exact same answer across multiple versions of software and platforms, but this is not the case.

#### Organize Your Work:

Don’t save output. Just save code and data that generates it.

Think about the entire pipeline. Terry White “Hit by a bus test”

## 6.2 General Workflow Suggestions:

- Do not use spaces in directory names
- Use “naming directories”, .i.e. a directory beginning with “-” (so that it will appear first alphabetically) inside each directory to explain the contents of the above directory.
- Add name, date, and describe contents, as well as updates, to all scripting files.
- Keep a research log
- - Make sure that all .do files are self-contained, do not require data in memory, or ideally, certain directory.
- You can never comment too much.
- Indent your code
- - Once you post/distribute code or data, any changes at all require a new file name.
- Separate your cleaning and analysis files; don’t make any new vars that need saving (or will be used by a different analysis file)—better to only create once so you know they’re the same.
- Never name a file “final” because it won’t be.
- Name variables “male” instead of “gender.”
- Use a prefix such as x\_ or temp\_ so you know which files can easily be deleted.



- Never change the contents of a variable unless you give it a new name.
- Every variable should have a label.

### **6.3 Stata-specific Suggestions**

- Use the different missing values (“.a”-“.z”, not exclusively “.”)
- Make sure code always produces same result—set seed and sort/merge stable
- Use the version command
- Don’t use abbreviations for variables (may become unstable after adding variables) or commands
- Avoid using global macros
- Use locals for varlists
- Use ‘return’ command instead of typing in numbers
- If you have a master .do file that calls other .do files, you can run multiple log files at the same time (so you have a master .log file)
- Use the label data and notes commands.
- Use the notes command for variables as well.
- Use the datasignature command to run a hash and ensure that data is the same as before.
- Use value labels for all categorical variables, but include the numerical value in the label.

- Don't use capital in variable names since not all software packages are case sensitive.
- Make your files as non-proprietary as possible (use the 'saveold' command to enable those with earlier versions to use your data. This is why trusted repositories are so good—they'll do this for you.)

In addition to making code available to the public, the code itself should be written in a reader-friendly format, referred to as “Literate Programming” introduced in Knuth (1984) and Knuth (1992). The basic idea is that “the time is ripe for significantly better documentation of programs, and that we can best achieve this by considering programs to be *works of literature*... Instead of imagining that our main task is to instruct a *computer* what to do, let us concentrate rather on explaining to *human beings* what we want a computer to do.” [emphasis original] Simply put, code should be written in as simple and easily understood a way as possible, and should be very well commented, so that researchers other than the original author can more easily understand the goal of the code.

One tool to make literate (statistical) programming significantly easier is Knitr (see (Xie 2014; Xie 2013) which is built into R Studio<sup>3</sup>. Knitr uses R Markdown (a very simple plain text markup language, described at <http://rmarkdown.rstudio.com/>) in which one writes both code and comments that is automatically spun into an easily read and shareable HTML, PDF, or MS Word document. These can be posted and shared for free at RPubs (<https://rpubs.com>), an easy to use hosting service by Rstudio.

#### ADD EXAMPLE

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<sup>3</sup>R Studio is a popular free integrated implementation of R, available at <http://www.rstudio.com>.

## 6.4 Sharing Data

In addition to code, researchers should share their data if at all possible. Many journals do not require sharing of code, but the number that do is increasing.

### 6.4.1 The JMCB Project and Economics

In the field of economics, few, if any journals required sharing of data before “The Journal of Money, Credit, and Banking Project,” published in *The American Economic Review* in 1986 (Dewald, Thursby, and Anderson 1986). *The Journal of Money, Credit, and Banking* started the *JMCB Data Storage and Evaluation Project* with NSF funding in 1982, which requested data and code from authors who published in the journal. With a great deal of research funded by the NSF, it should be noted that they have long had an explicit policy of expecting researchers to share their primary data<sup>4</sup>. Despite this, and despite the explicit policy of the *Journal* during the project, at most only 78% of authors provided data to the authors within six months after multiple requests. (This is admittedly an improvement over the 34% from the control group—those who published before the *Journal* policy went into effect—who provided data.) Of the papers that were still under review by the *Journal* at the time of the requests for data, one quarter did not even respond to the

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<sup>4</sup>“Investigators are expected to share with other researchers, at no more than incremental cost and within a reasonable time, the primary data, samples, physical collections and other supporting materials created or gathered in the course of work under NSF grants. Grantees are expected to encourage and facilitate such sharing.” See <http://www.nsf.gov/bfa/dias/policy/dmp.jsp>

request, despite the request coming from the same journal considering their paper! The submitted data was often an unlabeled and undocumented mess. Despite this, the authors attempted to replicate nine papers, and often were completely unable to reproduce published results, despite detailed assistance from the original authors.

Shockingly, nothing much changed with the publication of this important article. A decade later, in a follow-up piece to the JMCB Project published in the Federal Reserve Bank of St. Louis *Review* (Anderson and Dewald 1994), the authors note that only two economics journals other than the *Review* itself (*Journal of Applied Econometrics*, *Journal of Business and Economic Statistics*) requested data from authors, and neither requested code. The *JMCB* itself discontinued the policy of requesting data in 1993, though it resumed requesting data in 1996. The authors repeated their experiment with papers presented at the St. Louis Federal Reserve Bank conference in 1992, and obtained similar response rates as original JMCB Project. The flagship economics journal, the *American Economic Review* (AER), did not start requesting data until 2003. Finally, after a 2003 article showing the nonlinear maximization methods often produce wildly different estimates across different software packages, that not a single AER article tested their solution with different software, and that fully half of queried authors from a chosen issue of the AER, including a then editor of the journal, failed to comply with the policy of providing data and code, editor Ben Bernanke made the data and code policy mandatory in 2005 (McCullough and Vinod 2003; McCullough 2007).

The current data policy from the *American Economic Review* can be seen here: <https://www.aeaweb.org/aer/data.php>. In addition to all the journals published by the American Economic

Association, several top journals, including *Econometrica*, *The Journal of Applied Econometrics*, *The Journal of Money Credit and Banking*, *the Journal of Political Economy*, *The Review of Economics and Statistics*, and *the Review of Economic Studies*, now explicitly require data and code to be submitted at the time of publication. The AER conducted a review and found good, but incomplete, compliance (Glandon 2010).

#### **6.4.2 General Repositories**

The previous section on the *JMCB* describes only a few journals in one field of the social sciences. Even if the journal to which you submit your research does not require you to supply them with your code and data, researchers should still share these things. Though some repositories, particularly Harvard's Dataverse, seem equipped to handle data from practically any researcher (a free 1 TB of storage is standard, with more possible), many repositories specialize. The Registry of Research Data Repositories (<http://www.re3data.org>) has described over 900 data repositories to help you find the right data repository for your data. A key advantage to using a trusted repository such as one listed here, in lieu of simply throwing the data up on your own website or making your Dropbox folder public, is that many of these repositories will take your data in its proprietary (Stata, SAS, SPSS, etc.) form, and make it accessible in other formats.

### **6.5 Reporting Standards**

In research, the devil truly is in the details. Whether it is for assessing the validity of a research design or for attempting to replicate a study, details of what exactly was done must be recorded and made available to other researchers. The exact details that are relevant will likely differ from

field to field, but an increasing number of fields have produced centralized checklists that describe (in excruciating detail) what disclosure is required of published studies. These checklists are not often published with the paper, but can be submitted with the original article so that reviewers can check that it has been completed. With infinite and easy web storage, researchers can easily post these materials on their website even if journal editors insist on cutting their methods sections for space reasons.

### **6.5.1 Randomized Trials and CONSORT**

The most widely adopted reporting standard guideline is the Consolidated Standards of Reporting Trials (CONSORT), available at <http://www.consort-statement.org>. Parallel to construction of [clinicaltrials.gov](http://clinicaltrials.gov) and registration, reporting standards evolved, and are now nearly universally adopted for randomized trials published in medical journals, required or requested by reviewers during the review process. This is still in its infancy in the social sciences.

The original CONSORT was developed in the mid 1990's (Begg C et al. 1996). After five years, research showed that reporting of essential details, as required by the checklist, had significantly increased in journals requiring the standard (Moher D et al. 2001). The statement was revised in 2001, and simultaneously published in three of the top journals (Moher, Schulz, and Altman 2001). The statement was again revised in 2010 (Schulz et al. 2010) The statement is a 25-item checklist pertaining to the title, abstract, introduction, methods, results, and discussion of the article in question, and seeks to delineate the minimum requirements of disclosure that may not be sufficiently addressed through other measures.

## 6.6 Social Science Reporting Standards

Though a standard akin to CONSORT has not been formally adopted by social science or behavioral science journals, at least as far as we are aware, there have been attempts to do this: In political science, the Experimental Research Section Standards Committee produced a detailed list of items required for disclosure of experiments in political science (A. Gerber et al. 2014). This checklist is available here.<sup>5</sup>

In economics, one article has highlighted the fact that there is not much discussion of essential features of randomization (how was randomization stratified, if at all? How were control variables determined?), but no standards have been adopted. (Bruhn and McKenzie 2009)

## 6.7 Observational Reporting Standards

Social science has yet to make a serious push for reporting standards in observational work, but the medical/epidemiological literature has created standards in this type of work, though they are not as widely adopted as CONSORT. Perhaps the most well-known is the STROBE Statement (Strengthening the reporting of observational studies in epidemiology), available at <http://www.strobe-statement.org>. STROBE provides checklists for reporting of cohort, case-control, and cross-sectional studies. These standards have been endorsed by approximately 100 journals in the field.<sup>6</sup>

Medicine has in fact come up with too many checklists to describe them all individually. Ac-

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<sup>5</sup><http://www.davidhendry.net/research-supplemental/gerberetal2014-reportingstandards/gerberetal2014-reportingstandards&appendix1.pdf>

<sup>6</sup><http://www.strobe-statement.org/index.php?id=strobe-endorsement>

knowledging that every field and type of research is different, the Equator Network (Enhancing the Quality of Transparency of Health Research) serves as an umbrella organization that seeks to keep tabs on all the best reporting standards and help researchers find which reporting standard is most relevant for their research. See <http://www.equator-network.org/> for more information.

## **6.8 Differential Privacy**

One important caveat to making data widely available, is that despite anonymization, in the age of big data, sometimes individual subjects can easily be identified. Heffetz and Ligett (2014) recount deliberate data releases by Yahoo! Inc., the Massachusetts state government, and Netflix, that could easily be used to identify individuals in the data, despite the absence of direct identifiers such as names or social security numbers. The problem is that “de-identification does not guarantee anonymization.” This problem is well known in computer science, but solutions are not yet agreed upon, nor widely implemented.

## **7 Conclusion**

As you may have noticed, many of the activities described in this manual require extra work. Before you run an experiment, we’re telling you to write down the hypothesis, carefully explain how you are going to test the hypothesis, write down the very regression analysis you’re going to run, write a detailed protocol of the exact experimental setting, and then you have to post all of this publicly on the Internet with some sort of Big Brother organization. Or at least that’s one way to look at it. But we strongly believe these steps are (1) not that difficult once you get used to them



and (2) well worth the reward. You'll get p-values you can believe in. The next time someone asks you for your data, you just point them to the website, where they'll download the data and code, and the code will produce the exact results in the published paper. The next time you open up a coding file you haven't looked at in months to make a change suggested by a reviewer, your code will be so thoroughly commented, you'll know exactly where to go to make the changes. And the next time you want to extend the analysis of a published paper, you click the link in the paper and have the data on your own computer in seconds. Science moves forward.

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## 9 Index

I’m guessing it’s super annoying to make, but we should have an index.