Why does preregistration increase the persuasiveness of evidence? A Bayesian

rationalization

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Author Note

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40 Abstract

The replication crisis has led many researchers to preregister their hypotheses and data 41 analysis plans before collecting data. A widely held view is that preregistration is supposed 42 to limit the extent to which data may influence the hypotheses to be tested. Only if data have no influence an analysis is considered confirmatory. Consequently, many researchers believe that preregistration is only applicable in confirmatory paradigms. In practice, researchers may struggle to preregister their hypotheses because of vague theories that necessitate data-dependent decisions (aka exploration). We argue that preregistration 47 benefits any study on the continuum between confirmatory and exploratory research. To that end, we formalize a general objective of preregistration and demonstrate that exploratory studies also benefit from preregistration. Drawing on Bayesian philosophy of science, we argue that preregistration should primarily aim to reduce uncertainty about the inferential procedure used to derive results. This approach provides a principled justification of preregistration, separating the procedure from the goal of ensuring strictly 53 confirmatory research. We acknowledge that knowing the extent to which a study is 54 exploratory is central, but certainty about the inferential procedure is a prerequisite for persuasive evidence. Finally, we discuss the implications of these insights for the practice of 56

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preregistration.

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Why does preregistration increase the persuasiveness of evidence? A Bayesian rationalization

The scientific community has long pondered the vital distinction between 63 exploration and confirmation, discovery and justification, hypothesis generation and hypothesis testing, or prediction and postdiction (Hoyningen-Huene, 2006; Nosek et al., 65 2018; Shmueli, 2010; Tukey, 1980). Despite the different names, it is fundamentally the same dichotomy that is at stake here. There is a broad consensus that both approaches are necessary for science to progress; exploration, to make new discoveries and confirmation, to expose these discoveries to potential falsification, and assess empirical support for the theory. However, mistaking exploratory findings for empirically confirmed results is dangerous. It inflates the likelihood of believing that there is evidence supporting a given hypothesis, even if it is false. A variety of problems, such as researchers' degrees of freedom together with researchers' hindsight bias or naive p-hacking have led to such mistakes becoming commonplace vet unnoticed for a long time. Recognizing them has led to a crisis of confidence in the empirical sciences (Ioannidis, 2005), and psychology in particular 75 (Open Science Collaboration, 2015). As a response to the crisis, evermore researchers preregister their hypotheses and their data collection and analysis plans in advance of their 77 studies (Nosek et al., 2018). They do so to stress the predictive nature of their registered 78 statistical analyses, often with the hopes of obtaining a label that marks the study as 79 "confirmatory". Indeed, rigorous application of preregistration prevents researchers from 80 reporting a set of results produced by an arduous process of trial and error as a simple 81 confirmatory story (Wagenmakers et al., 2012) while keeping low false-positive rates. This promise of a clear distinction between confirmation and exploration has obvious appeal to many who have already accepted the practice. Still, the majority of empirical researchers 84 do not routinely preregister their studies. One reason may be that some do not find that the theoretical advantages outweigh the practical hurdles, such as specifying every aspect of a theory and the corresponding analysis in advance. We believe that we can reach a greater acceptance of preregistration by explicating a more general objective of preregistration that
benefits all kinds of studies, even those that allow data-dependent decisions.

One goal of preregistration that has received widespread attention is to clearly
distinguish confirmatory from exploratory research (Bakker et al., 2020; Mellor & Nosek,
2018; Nosek et al., 2018; Simmons et al., 2021; Wagenmakers et al., 2012). In such a
narrative, preregistration is justified by a confirmatory research agenda. However, two
problems become apparent under closer inspection. First, many researchers do not
subscribe to a purely confirmatory research agenda (Baumeister, 2016; Brandmaier et al.,
2013; Finkel et al., 2017; Tukey, 1972). Second, there is no strict mapping of the categories
preregistered vs. non-preregistered onto the categories confirmatory vs. exploratory
research.

Obviously, researchers can conduct confirmatory research without preregistration—
though it might be difficult to convince other researchers of the confirmatory nature of
their research, that is, that they were free of cognitive biases, made no data-dependent
decisions, and so forth. The opposite, that is, preregistered but not strictly confirmatory
studies, are also becoming more commonplace (Chan et al., 2004; Dwan et al., 2008; Silagy
et al., 2002).

This is the result of researchers applying one of two strategies to evade the self-imposed restrictions of preregistrations: writing a loose preregistration to begin with (Stefan & Schönbrodt, 2023) or deviating from the preregistration afterward. The latter is a frequent occurrence and, perhaps more worryingly, often remains undisclosed (Akker et al., 2023; Claesen et al., 2021). Both strategies may be used for sensible scientific reasons or with the self-serving intent of generating desirable results. Thus, insisting on equating preregistration and confirmation has led to the criticism that, all things considered, preregistration is actually harmful and neither sufficient nor necessary for doing good science (Pham & Oh, 2021; Szollosi et al., 2020).

We argue that such criticism is not directed against preregistration itself but against 114 a justification through a confirmatory research agenda (Wagenmakers et al., 2012). When 115 researchers criticize preregistration as being too inflexible to fit their research question, 116 they often simply acknowledge that their research goals are not strictly confirmatory. 117 Forcing researchers into adopting a strictly confirmatory research agenda does not only 118 imply changing how they investigate a phenomenon but also what research questions they 119 pose. However reasonable such a move is, changing the core beliefs of a large community is 120 much harder than convincing them that a method is well justified. We, therefore, attempt 121 to disentangle the methodological goals of preregistration from the ideological goals of 122 confirmatory science. It might well be the case that psychology needs more confirmatory 123 studies to progress as a science. However, independently of such a goal, preregistration can 124 be useful for any kind of study on the continuum between strictly confirmatory and fully 125 exploratory. 126

To form such an objective for preregistration, we first introduce some tools of
Bayesian philosophy of science and map the exploration/confirmation distinction onto a
dimensional quantity we call "theoretical risk" (a term borrowed from Meehl, 1978, but
formalized as the probability of proving a hypothesis wrong if it does not hold).

We are interested in why preregistrations should change researchers' evaluation of 131 evidence. Applying a Bayesian framework allows us to investigate our research question 132 most straightforwardly because it directly deals with what we ought to believe, given the 133 evidence presented. Specifically, it allows us to model changes in subjective degrees of 134 belief due to preregistration or, more simply, "persuasion". Please note that our decision to 135 adopt a Bayesian philosophy of science does not make assumptions about the statistical 136 methods researchers use. In fact, this conceptualization is intentionally as minimal as 137 possible to be compatible with a wide range of philosophies of science and statistical 138 methods researchers might subscribe to. One feature of the Bayesian framework, is the 139

strong emphasis on subjective yet rational judgement. Therefore, we assume that
researchers will differ significantly in how they value evidence but that by making
assumptions about the general process, we can make general statements that apply to all
these subjective evaluations. However, we should note that Popperians would be appalled
that we are content with positive inductive inferences (but we regard "failing to disprove"
as too limited), and Neopopperians would flinch that we assign probabilities to beliefs (we
are fond of calculating things). While the latter move is not strictly necessary it allows us
to connect the more abstract considerations more closely with what researchers believe.

Now, we outline two possible perspectives on the utility of preregistration. The first one corresponds to the traditional application of preregistration to research paradigms that focus on confirmation by maximizing the theoretical risk or, equivalently, by limiting type-I error (when dichotomous decisions about theories are an inferential goal). We argue that this view on the utility of preregistration can be interpreted as maximizing theoretical risk, which otherwise may be reduced by researchers' degrees of freedom, p-hacking, and suchlike. The second interpretation is our main contribution: We argue that contrary to the classic view, the objective of preregistration is not the maximization of theoretical risk but rather the minimization of uncertainty about the theoretical risk. This interpretation leads to a broad applicability of preregistration to both exploratory and confirmatory studies.

To arrive at this interpretation, we rely on three arguments. The first is that theoretical risk is vital for judging evidential support for theories. The second argument is that the theoretical risk for a given study is generally uncertain. The third and last argument is that this uncertainty is reduced by applying preregistration. We conclude that because preregistration decreases uncertainty about the theoretical risk, which in turn increases the amount of knowledge we gain from a particular study, preregistration is potentially useful for any kind of study, no matter where it falls on the exploratory-confirmatory continuum.

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Epistemic value and the Bayesian rationale

Let us start by defining what we call expected epistemic value. If researchers plan 167 to conduct a study, they usually hope that it will change their assessment of some theory's 168 verisimilitude (Niiniluoto, 1998). In other words, they hope to learn something from 169 conducting the study. The amount of knowledge researchers gain from a particular study 170 concerning the verisimilitude of a specific theory is what we call epistemic value. 171 Researchers cannot know what exactly they will learn from a study before they run it. 172 However, they can develop an expectation that helps them decide about the specifics of a 173 planned study. This expectation is what we term expected epistemic value. To make our 174 three arguments, we must assume three things about what an ideal estimation process 175 entails and how it relates to what studies (preregistered vs not preregistered) to conduct.

- 1. Researchers judge the evidence for or against a hypothesis rationally.
- 2. They expect other researchers to apply a similar rational process.
 - 3. Researchers try to maximize the expected epistemic value for other researchers.

The assumption of rationality can be connected to Bayesian reasoning and leads to 180 our adoption of the framework. Our rationale is as follows. Researchers who decide to 181 conduct a certain study are actually choosing a study to bet on. They have to "place the 182 bet" by conducting the study by investing resources and stand to gain epistemic value with 183 some probability. This conceptualization of choosing a study as a betting problem allows 184 us to apply a "Dutch book" argument (Christensen, 1991). This argument states that any 185 better must follow the axioms of probability to avoid being "irrational," i.e., accepting bets 186 that lead to sure losses. Fully developing a Dutch book argument for this problem requires 187 careful consideration of what kind of studies to include as possible bets, defining a 188 conversion rate from the stakes to the reward, and modeling what liberties researchers have 189 in what studies to conduct. Without deliberating these concepts further, we find it 190 persuasive that researchers should not violate the axioms of probability if they have some 191

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expectation about what they stand to gain with some likelihood from conducting a study. 192 The axioms of probability are sufficient to derive the Bayes formula, on which we will 193 heavily rely for our further arguments. The argument is not sufficient, however, to warrant 194 conceptualizing the kind of epistemic value we reason about in terms of posterior 195 probability; that remains a leap of faith. However, the argument applies to any reward 196 function that satisfies the "statistical relevancy condition" (Fetzer, 1974; Salmon, 1970), 197 that is, evidence only increases epistemic value for a theory if the evidence is more likely to 198 be observed under the theory than under the alternative. In particular, "diagnosticity" 199 (Fiedler, 2017; Oberauer & Lewandowsky, 2019), a concept highlighted in recent 200 psychological literature, seems to adhere to the statistical relevancy condition. 201

Epistemic value and theoretical risk

Our first argument is that theoretical risk is crucial for judging evidential support for theories. Put simply, risky predictions create persuasive evidence if they turn out to be correct. This point is crucial because we attribute much of the appeal of a confirmatory research agenda to this notion.

Let us make some simplifying assumptions and define our notation. To keep the notation simple, we restrict ourselves to evidence of a binary nature (either it was observed or not). We denote the probability of a hypothesis before observing evidence as P(H) and its complement as $P(\neg H) = 1 - P(H)$. The probability of observing evidence under some hypothesis is P(E|H). We can calculate the probability of the hypothesis after observing the evidence with the help of the Bayes formula:

$$P(H|E) = \frac{P(H)P(E|H)}{P(E)} \tag{1}$$

The posterior probability P(H|E) is of great relevance since it is often used directly or indirectly as a measure of confirmation of a hypothesis. In the tradition of Carnap, in its

direct use, it is called *confirmation as firmness*; in its relation to the a priori probability 215 P(H), it is called *increase in firmness* (Carnap, 1950, preface to the 1962 edition). We 216 concentrate on the posterior probability because of its simplicity but take it only as one 217 example of a possible measure. In reality, researchers surely differ in what function they 218 apply to judge evidence and it is often most fruitful to compare more than two competing 219 hypotheses. The goal is therefore to reason about the space of possible measures 220 researchers might apply. However, since any measure fulfilling the statistical relevancy 221 condition increases monotonically with an increase in posterior probability P(H|E), we 222 might well take it to illustrate our reasoning. 223

In short, we want to increase posterior probability P(H|E). Increases in posterior 224 probability P(H|E) are associated with increased epistemic value, of which we want to 225 maximize the expectation. So how can we increase posterior probability? The Bayes 226 formula yields three components that influence confirmation, namely P(H), P(E|H) and 227 P(E). The first option leads us to the unsurprising conclusion that higher a priori 228 probability P(H) leads to higher posterior probability P(H|E). If a hypothesis is more 229 probable to begin with, observing evidence in its favor will result in a hypothesis that is 230 more strongly confirmed, all else being equal. However, the prior probability of a 231 hypothesis is nothing our study design can change. The second option is equally 232 reasonable; that is, an increase in P(E|H) leads to a higher posterior probability P(H|E). P(E|H) is the probability of obtaining evidence for a hypothesis when it holds. We call this probability of detecting evidence, given that the hypothesis holds "detectability." 235 Consequently, researchers should ensure that their study design allows them to find evidence for their hypothesis, in case it is true. When applied strictly within the bounds of 237 null hypothesis testing, detectability is equivalent to power (or the complement of type-II 238 error rate). However, while detectability is of great importance for study design, it is not directly relevant to what a preregistration is comunicating to other researchers. We later 240 discuss how issues of detectability must be considered in a preregistration. Thus, P(E)

remains to be considered. Since P(E) is the denominator, decreasing it can increase the posterior probability. In other words, high risk, high reward.

If we equate riskiness with a low probability of obtaining evidence (when the 244 hypothesis is false), the Bayesian rationale perfectly aligns with the observation that risky predictions lead to persuasive evidence. This tension between high risk leading to high gain is central to our consideration of preregistration. A high-risk, high-gain strategy is bound 247 to result in many losses that are eventually absorbed by the high gains. Sustaining many 248 "failed" studies is not exactly aligned with the incentive structure under which many, if not 249 most, researchers operate. Consequently, researchers are incentivized to appear to take 250 more risks than they actually do, which misleads their readers to give their claims more 251 credence than they deserve. It is at this juncture that the practice and mispractice of 252 preregistration comes into play. We argue that the main function of preregistration is to 253 enable proper judgment of the riskiness of a study. 254

To better understand how preregistrations can achieve that, let us take a closer look at the factors contributing to P(E). Using the law of total probability, we can split P(E)into two terms:

$$P(E) = P(H)P(E|H) + P(\neg H)P(E|\neg H)$$
(2)

We have already noted that there is not much to be done about prior probability (P(H)), and hence its counter probability $P(\neg H)$, and that it is common sense to increase detectability P(E|H). The real lever to pull is therefore $P(E|\neg H)$. This probability tells us how likely it is that we find evidence in favor of the theory when in fact, the theory is not true. Its counter probability $P(\neg E|\neg H) = 1 - P(E|\neg H)$ is what we call "theoretical risk", because it is the risk a theory takes on in predicting the occurrence of particular evidence in its favor. We borrow the term from Meehl (1978), though he has not assigned

it to the probability $P(\neg E|\neg H)$. Kukla (1990) argued that the core arguments in Meehl (1990) can be reconstructed in a purely Bayesian framework. However, while he did not mention $P(\neg E|\neg H)$ he suggested that Meehl (1978) used the term "very strange coincidence" for a small $P(E|\neg H)$ which would imply, that $P(\neg E|\neg H)$ can be related to or even equated to theoretical risk.

Let us note some interesting properties of theoretical risk $P(\neg E|\neg H)$. First, 270 increasing theoretical risk leads to higher posterior probability P(H|E), our objective. 271 Second, if the theoretical risk is smaller than detectability P(E|H) it follows that the 272 posterior probability must decrease when observing the evidence. If detectability exceeds 273 theoretical risk, the evidence is less likely under the theory than it is when the theory does 274 not hold (the inverse of statistical relevancy). Third, if the theoretical risk equals zero, then 275 posterior probability is at best equal to prior probability but only if detectability is perfect 276 (P(H|E)=1). In other words, observing a sure fact does not lend credence to a hypothesis. 277

The last statement sounds like a truism but is directly related to Popper's seminal criterion of demarcation. He stated that if it is impossible to prove that a hypothesis is false $(P(\neg E|\neg H) = 0$, theoretical risk is zero), it cannot be considered a scientific hypothesis (Popper, 2002, p. 18). We note these relations to underline that the Bayesian rationale we apply here is able to reconstruct many commonly held views on riskiness and epistemic value (but we of course differ from Popper on the central role of induction in science).

Both theoretical risk $P(\neg E|\neg H)$ and detectability P(E|H) aggregate countless influences; otherwise, they could not model the process of evidential support for theories. To illustrate the concepts we have introduced here, consider the following example of a single theory and three experiments that may test it. The experiments were created to illustrate how they may differ in their theoretical risk and detectability. Suppose the primary theory is about the cognitive phenomenon of "insight." For the purpose of illustration, we define it, with quite some hand-waving, as a cognitive abstraction that allows agents to consistently solve a well-defined class of problems. We present the hypothesis that the following problem belongs to such a class of insight problems:

Use five matches (IIIII) to form the number eight.

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We propose three experiments that differ in theoretical risk and detectability. All
experiments take a sample of ten psychology students. We present the students with the
problem for a brief span of time. After that, the three experiments differ as follows:

- 1. The experimenter gives a hint that the problem is easy to solve when using Roman numerals; if all students come up with the solution, she records it as evidence for the hypothesis.
- 2. The experimenter shows the solution "VIII" and explains it; if all students come up with the solution, she records it as evidence for the hypothesis.
 - 3. The experimenter does nothing; if all students come up with the solution, she records it as evidence for the hypothesis.

We argue that experiment 1 has high theoretical risk $P(\neg E_1|\neg H)$ and high 304 detectability $P(E_1|H)$. If "insight" has nothing to do with solving the problem $(\neg H)$, then 305 presenting the insight that Roman numerals can be used should not lead to all students 306 solving the problem $(\neg E_1)$; the experiment, therefore, has high theoretical risk 307 $P(\neg E_1|\neg H)$. Conversely, if insight is required to solve the problem (H), then it is likely to 308 help all students to solve the problem (E_1) , the experiment, therefore, has high 309 detectability $P(E_1|H)$. The second experiment, on the other hand, has low theoretical risk 310 $P(\neg E_2|\neg H)$. Even if "insight" has nothing to do with solving the problem $(\neg H)$, there are 311 other plausible reasons for observing the evidence (E_2) , because the students could simply 312 copy the solution without having any insight. With regard to detectability, experiments 1 313 and 2 differ in no obvious way. Experiment 3, however, also has low detectability. It is 314 unlikely that all students will come up with the correct solution in a short time (E_3) , even 315

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if insight is required (H); experiment 3 therefore has low detectability $P(E_3|H)$. The
theoretical risk, however, is also low in absolute terms, but high compared to the
detectability (statistical relevancy condition is satisfied). In the unlikely event that all 10
students place their matches to form the Roman numeral VIII (E_3) , it is probably due to
insight (H) and not by chance $P(\neg E_3|\neg H)$. Of course, in practice, we would allow the
evidence to be probabilistic, e.g., relax the requirement of "all students" to nine out of ten
students, more than eight, and so forth.

As mentioned earlier, the we restrict ourselves to binary evidence, to keep the mathematical notation as simple as possible. We discuss the relation between statistical methods and theoretical risk in the Statistical Methods section.

Preregistration as a means to increase theoretical risk?

Having discussed that increasing the theoretical risk will increase the epistemic value, it is intuitive to task preregistration with maximizing theoretical risk, i.e., a confirmatory research agenda. Indeed, limiting the type-I error rate is commonly stated as the central goal of preregistration (Nosek et al., 2018; Oberauer, 2019; Rubin, 2020). We argue that while such a conclusion is plausible, we must first consider at least two constraints that place an upper bound on the theoretical risk.

First, the theory itself limits theoretical risk: Some theories simply do not make risky predictions, and preregistration will not change that. Consider the case of a researcher contemplating the relation between two sets of variables. Suppose each set is separately well studied, and strong theories tell the researcher how the variables within the set relate. However, our imaginary researcher now considers the relation between these two sets. For lack of a better theory, they assume that some relation between any variables of the two sets exists. This is not a risky prediction to make in psychology (Orben & Lakens, 2020). However, we would consider it a success if the researcher would use the evidence from this rather exploratory study to develop a more precise (and therefore risky) theory,

e.g., by using the results to specify which variables from one set relate to which variables
from the other set, to what extent, in which direction, with which functional shape, etc., to
be able to make riskier predictions in the future. We will later show that preregistration
increases the degree of belief in the further specified theory, though it remains low till
being substantiated by testing the theory again. This is because preregistration increases
the expected epistemic value regardless of the theory being tested, as we will show.

Second, available resources limit theoretical risk. Increasing theoretical risk 348 $P(\neg E|\neg H)$ will usually decrease detectability P(E|H) unless more resources are invested. 349 This is similar to the well known tradeoff between type-I error rate and statistical power. 350 Tasking preregistration with an increase in theoretical risk makes it difficult to balance this 351 trade-off. Mindlessly maximizing theoretical risk would either never produce evidence or 352 require huge amounts of resources. As noted before, we strive for high detectability and 353 high theoretical risk in planning, conducting, and analyzing studies. Maximizing one at the 354 expense of the other is not necessarily beneficial for increasing epistemic value but depends 355 on the specific function they apply to judge evidence and their specific location on the 356 curve. One advantage of our framework is that researchers can employ it to balance the 357 trade-off more effectively assuming they are willing to make some simplifying assumptions. 358

Uncertainty about theoretical risk

We have established that higher theoretical risk leads to more persuasive evidence.

In other words, we have reconstructed the interpretation that preregistrations supposedly
work by restricting the researchers, which in turn increases the theoretical risk (or
equivalently limits the type-I error rate) and thereby creates more compelling evidence.

Nevertheless, there are trade-offs for increasing theoretical risk. Employing a mathematical
framework allows us to navigate the trade-offs more effectively and move towards a second,
more favorable interpretation. To that end, we incorporate uncertainty about theoretical
risk into our framework.

368 Statistical methods

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One widely known factor is the contribution of statistical methods to theoretical 369 risk. Theoretical risk $P(\neg E|\neg H)$ is deeply connected with statistical methods, because it is 370 related to the type-I error rate in statistical hypothesis testing $P(E|\neg H)$ by 371 $P(\neg E|\neg H) = 1 - P(E|\neg H)$, if you consider the overly simplistic case where the research 372 hypothesis is equal to the statistical alternative-hypothesis because then the nill-hypothesis 373 is $\neg H$. Because many researchers are familiar with the type-I error rate, it can be helpful 374 to remember this connection to theoretical risk. Researchers who choose a smaller type-I 375 error rate can be more sure of their results, if significant, because the theoretical risk is 376 higher. However, this connection should not be overinterpreted for two reasons. First, 377 according to most interpretations of null hypothesis testing, the absence of a significant result should not generally be interpreted as evidence against the hypothesis (Mayo, 2018, p. 5.3). Second, the research hypothesis rarely equals the statistical alternative hypothesis 380 (most research hypothesis are more specific than "any value except zero"). In fact, it is 381 entirely possible to assume the null hypothesis as a research hypothesis, as is commonly 382 done in e.g., structural equation modelling, where the roles of detectability, theoretical risk 383 and type-I/II error rate switch. We argue that theoretical risk (and hence its complement, 384 $P(E|\neg H)$) also encompasses factors outside the statistical realm, most notably the study 385 design and broader analytical strategies. Type-I error rate is the property of a statistical 386 test under some assumptions, whereas theoretical risk is a researchers' belief. One may 387 take such theoretical properties as a first starting point to form a substantive belief but 388 surely researchers ought to take other factors into consideration. For example, if a 380 researcher believes that there might be confounding variables at play for the relation 390 between two variables, this should decrease theoretical risk; after all they might find an 391 association purely on account of the confounders (Fiedler, 2017). 392

Statistical methods stand out among these factors because we have a large and

well-understood toolbox for assessing and controlling their contribution to theoretical risk.

Examples of our ability to exert this control are the choice of type-I error rate, adjustments

for multiple testing, the use of corrected fit measures (i.e., adjusted R^2), information

criteria, or cross-validation in machine learning. These tools help us account for biases in

statistical methods that influence theoretical risk (and hence, $P(E|\neg H)$).

The point is that the contribution of statistical methods to theoretical risk can be 399 formally assessed. For many statistical models it can be analytically computed under some 400 assumptions. For those models or assumptions where this is impossible, one can employ 401 Monte Carlo simulation to estimate the contribution to theoretical risk. The precision with 402 which statisticians can discuss contributions to theoretical risk has lured the community 403 concerned with research methods into ignoring other factors that are much more uncertain. 404 We cannot hope to resolve this uncertainty; but we have to be aware of its implications. 405 These are presented in the following. 406

407 Sources of uncertainty

As we have noted, it is possible to quantify how statistical models affect the 408 theoretical risk based on mathematical considerations and simulation. However, other 409 factors in the broader context of a study are much harder to quantify. If one chooses to 410 focus only on the contribution of statistical methods to theoretical risk, one is bound to 411 overestimate it. Take, for example, a t-test of mean differences in two samples. Under ideal circumstances (assumption of independence, normality of residuals, equal variance), it 413 stays true to its type-I error rate. However, researchers may do many very reasonable 414 things in the broader context of the study that affect theoretical risk: They might exclude 415 outliers, choose to drop an item before computing a sum score, broaden their definition of 416 the population to be sampled, translate their questionnaires into a different language, 417 impute missing values, switch between different estimators of the pooled variance, or any 418 number of other things. All of these decisions carry a small risk that they will increase the 419

likelihood of obtaining evidence despite the underlying research hypothesis being false. Even if the t-test itself perfectly maintains its type I error rate, these factors influence 421 $P(E|\neg H)$. While, in theory, these factors may leave $P(E|\neg H)$ unaffected or even decrease 422 it, we argue that this is not the case in practice. Whether researchers want to or not, they 423 continuously process information about how the study is going, except under strict 424 blinding. While one can hope that processing this information does not affect their 425 decision-making either way, this cannot be ascertained. Therefore, we conclude that 426 statistical properties only guarantee a lower bound for theoretical risk. The only thing we 427 can conclude with some certainty is that theoretical risk is not higher than what the 428 statistical model guarantees without knowledge about the other factors at play. 429

The effects of uncertainty

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Before we ask how preregistration influences this uncertainty, we must consider the 431 implications of being uncertain about the theoretical risk. Within the Bayesian framework, 432 this is both straightforward and insightful. Let us assume a researcher is reading a study 433 from another lab and tries to decide whether and how much the presented results confirm 434 the hypothesis. As the researcher did not conduct the study (and the study is not 435 preregistered), they can not be certain about the various factors influencing theoretical risk 436 (researcher degrees of freedom). We therefore express this uncertainty about the theoretical 437 risk as a probability distribution Q of $P(E|\neg H)$ (remember that $P(E|\neg H)$ is related to 438 theoretical risk by $P(E|\neg H) = 1 - P(\neg E|\neg H)$, so it does not matter whether we consider 430 the distribution of theoretical risk or $P(E|\neg H)$). To get the expected value of P(H|E)that follows from the researchers' uncertainty about the theoretical risk, we can compute 441 the expectation using Bayes theorem:

$$\mathbb{E}_{Q}[P(H|E)] = \mathbb{E}_{Q}\left[\frac{P(H)P(E|H)}{P(H)P(E|H) + P(\neg H)P(E|\neg H)}\right] \tag{3}$$

Of course, the assigned probabilities and the distribution Q vary from study to

study and researcher to researcher (and even the measure of confirmation), but we can illustrate the effect of uncertainty with an example. Assuming P(E|H) = 0.8 (relective of the typically strived for power of 80%). Let us further assume that the tested hypothesis is considered unlikely to be true by the research community before the study is conducted (P(H) = 0.1) and assign a uniform distribution for $P(E|\neg H) \sim U([1-\tau,1])$ where τ is set to $1-\alpha$, reflecting our assumption that this term gives an upper bound for theoretical risk $P(\neg E|\neg H)$. We chose this uniform distribution as it is the maximum entropy distribution with support $[1-\tau,1]$ and hence conforms to our Bayesian framework (Giffin & Caticha, 2007).

With this, we derive the expected value of P(H|E) as

$$\mathbb{E}_{Q}[P(H|E)] = \mathbb{E}_{Q}\left[\frac{P(H)P(E|H)}{P(H)P(E|H) + P(\neg H)P(E|\neg H)}\right] \tag{4}$$

$$= \int_{[1-\tau,1]} \tau^{-1} \frac{P(H)P(E|H)}{P(H)P(E|H) + P(\neg H)P(E|\neg H)} \, \mathrm{d}P(E|\neg H) \tag{5}$$

$$=\frac{P(H)P(E|H)}{P(\neg H)\tau}\ln\left(\frac{P(H)P(E|H)+P(\neg H)}{P(H)P(E|H)+P(\neg H)(1-\tau)}\right) \tag{6}$$

Figure 1 shows exemplary the effect of theoretical risk (x-axis) on the posterior
probability (y-axis) being certain (solid line) or uncertain (dashed line) about the
theoretical risk of a study. Our expectation of the gained epistemic value varies
considerably depending on how uncertain we are about the theoretical risk a study took on.
Mathematically, uncertainty about theoretical risk is expressed through the variance (or
rather entropy) of the distribution. The increase in uncertainty (expressed as more entropic
distributions) leads to a decreased expected epistemic value.

The argument for a confirmatory research agenda is that by increasing theoretical risk we increase expected epistemic value, i.e., moving to the right on the x-axis in Figure 1 increases posterior probability (on the y-axis). However, if a hypothesis in a certain study

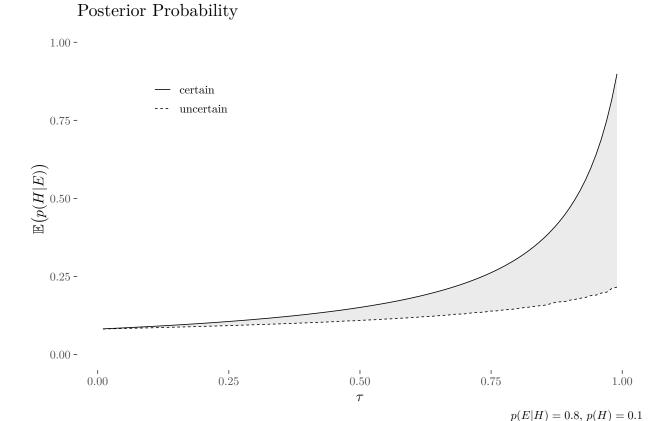


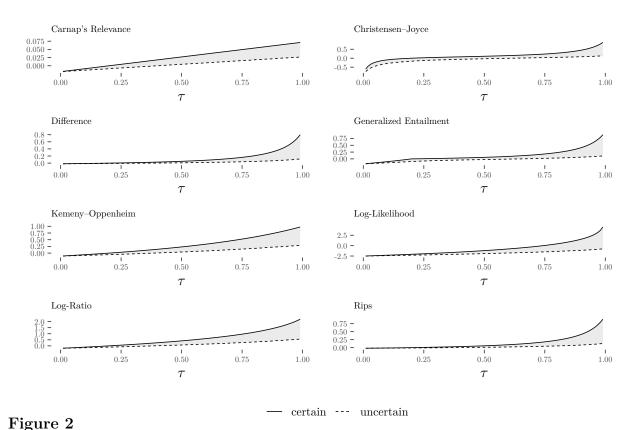
Figure 1

Posterior probability (confirmation as firmness) as a function of theoretical risk τ , where τ is either certain (solid line) or maximally uncertain (dotted line).

has low theoretical risk, there is not much researchers can do about it. However, studies do 463 not only differ by how high the theoretical risk is but also by how certain the recipient is 464 about the theoretical risk. A study that has a very high theoretical risk (e.g., 1.00% chance 465 that if the hypothesis is wrong, evidence in its favor will be observed,) but has also 466 maximum uncertainty will result in a posterior probability of 22%, while the same study 467 with maximum certainty will result in 90% posterior probability. The other factors 468 (detectability, prior beliefs, measure of epistemic value) and, therefore, the extent of the 469 benefit varies, of course, with the specifics of the study. Crucially, even studies with some 470 exploratory aspects benefit from preregistration, e.g., in this scenario with a $\tau = 0.80$ (false 471 positive rate of 0.20) moving from uncertain to certain increases the posterior from 0.15 to 472

Sprenger and Hartmann (2019), Table 1.3, p. 51.

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Several measures for confirmation as an increase in firmness as a function of τ , where τ is either certain (solid line) or maximally uncertain (dotted line). Measures taken from

0.31. We find it helpful to calculate an example because of the nonlinear nature of the evidence functions.

Preregistration as a means to decrease uncertainty about the theoretical risk

We hope to have persuaded the reader to accept two arguments: First, the
theoretical risk is important for judging evidential support for theories. Second, the
theoretical risk is inherently uncertain, and the degree of uncertainty diminishes the
persuasiveness of the gathered evidence. The third and last argument is that
preregistrations reduce this uncertainty. Following the last argument, a preregistered study
is represented by the solid line (certainty about theoretical risk), and a study that was not
preregistered is more similar to the dashed line (maximally uncertain about theoretical

risk) in Figure 1 and Figure 2.

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Let us recall our three assumptions:

- 1. Researchers judge the evidence for or against a hypothesis rationally.
- 2. They expect other researchers to apply a similar rational process.
 - 3. Researchers try to maximize the expected epistemic value for other researchers.

The point we make with these assumptions is that researchers aim to persuade 488 other researchers, for example, the readers of their articles. Not only the original authors 489 are concerned with the process of weighing evidence for or against a theory but really the 490 whole scientific community the study authors hope to persuade. Unfortunately, readers of a 491 scientific article (or, more generally, any consumer of a research product) will likely lack 492 insight into the various factors that influence theoretical risk. While the authors 493 themselves may have a clear picture of what they did and how it might have influenced the 494 theoretical risk they took, their readers have much greater uncertainty about these factors. 495 In particular, they never know which relevant factors the authors of a given article failed to 496 disclose, be it intentionally or not. From the perspective of the ultimate skeptic, they may 497 claim maximum uncertainty. 498

Communicating clearly how authors of a scientific report collected their data and 499 consequently analyzed it to arrive at the evidence they present is crucial for judging the 500 theoretical risk they took. Preregistrations are ideal for communicating just that because 501 any description after the fact is prone to be incomplete. For instance, the authors could 502 have opted for selective reporting, that is, they decided to exclude a number of analytic 503 strategies they tried out. That is not to say that every study that was not-preregistered 504 was subjected to practices of questionable research practices. The point is that we cannot 505 exclude it with certainty. This uncertainty is drastically reduced if the researchers have 506 described what they intended to do beforehand and then report that they did exactly that. 507

In that case, readers can be certain they received a complete account of the situation.

They still might be uncertain about the actual theoretical risk the authors took, but to a much smaller extent than if the study would not have been preregistered.

The remaining sources of uncertainty might be unfamiliarity with statistical methods or experimental paradigms used, the probability of an implementation error in the statistical analyses, a bug in the software used for analyses, etc. To further reduce the uncertainty about theoretical risk, researchers must therefore publish code and ideally data. After all, computational reproducibility is only possible if the data analytic procedure was communicated clearly enough to allow others to retrace the computational steps (Peikert & Brandmaier, 2021).

In any case, a well-written preregistration should aim to reduce the uncertainty
about the theoretical risk and hence increase the persuasiveness of evidence. Therefore, a
study that perfectly adhered to its preregistration will resemble the solid line in Figure 1/2.
Crucially, perfect means here that the theoretical risk can be judged with low uncertainty,
not that the theoretical risk is necessarily high.

Hacking, harking, and other harms

The importance of distinguishing between low and highly uncertain theoretical risk becomes perhaps clearer if we consider a few hypothetical cases for illustration.

- 1. We know with absolute certainty that researchers will revert to p-hacking to create evidence that is favorable for the theory.
- 2. A hypothesis was picked to explain reported results after the fact (HARKing, Kerr, 1998).
 - 3. We cannot exclude the possibility of p-hacking having led to the reported results.
 - 4. Reported results were obtained by planned exploration.

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5. Reported results were obtained by unplanned exploration.

In case 1, there is no theoretical risk $(P(\neg E|\neg H)=0)$. If we know that the results 533 will be engineered to support the hypothesis no matter what, there is no reason to collect 534 data. A prime example of this case is the $p_{\text{pointless}}$ metric (Hussey, 2021). Case 2 has a 535 similar problem. After all, the hypothesis that it had to happen the way it did happen is 536 irrefutable. In fact, both cases should be problematic to anyone who subscribes to the 537 statistical relevancy condition because if we choose the hypothesis in accordance with the 538 data or vice versa, without restrictions, they are not related anymore (i.e., observing the 539 data does not tell us anything about the hypothesis and the other way around). Case 3 is 540 different since here the theoretical risk is not necessarily low but simply uncertain (and 541 perhaps best represented by the dotted line in Figure 1/2). In case 4, the theoretical risk is 542 neither zero (unless the researcher plans to do run variations of analyses until a favourable 543 outcome is obtained, then we have a particular instance case of 1) nor high (as this is the nature of exploratory approaches). However, we can take advantage of computational reproducibility, use statistical properties, simulation or resampling methods, together with scientific reasoning, to get a reasonably certain evaluation of the theoretical risk and hence are in a somewhat favourable position (i.e., close to the solid line in n Figure 1/2). This 548 favorable position leads us to recommend preregistration of exploratory studies. Case 5 shares the neither zero nor high theoretical risk of case 4 but has additional uncertainty 550 about how much exploration was going on (how hard did researcher try to come up with 551 favourable results). Its low and uncertain theoretical risk make it difficult to produce 552 compelling evidence. 553

Discussion

To summarize, we showed that both higher theoretical risk and lower uncertainty
about theoretical risk lead to higher expected epistemic value across a variety of measures.
The former result that increasing theoretical risk leads to higher expected epistemic value
reconstructs the appeal and central goal of preregistration of confirmatory research
agendas. However, theoretical risk is something researchers have only limited control over.

For example, theories are often vague and ill-defined, resources are limited, and increasing
theoretical risk usually decreases detectability of a hypothesized effect (a special instance of
this trade-off is the well-known tension between type-I error and statistical power). While
we believe that preregistration is always beneficial, it might be counterproductive to pursue
high theoretical risk if the research context is inappropriate for strictly confirmatory
research. Specifically, appropriateness here entails the development of precise theories and
the availability of necessary resources (often, large enough sample size, but also see
Brandmaier et al. (2015)) to adequately balance detectability against theoretical risk.

In terms of preparing the conditions for confirmatory research, preregistration may 568 at most help to invest some time into developing more specific, hence riskier, implications 569 of a theory. But for a confirmatory science, it will not be enough to preregister all studies. 570 This undertaking requires action from the whole research community (Lishner, 2015). 571 Incentive structures must be created to evaluate not the outcomes of a study but the rigor 572 with which it was conducted (Cagan, 2013; Schönbrodt et al., 2022). Journal editors could 573 encourage theoretical developments that allow for precise predictions that will be tested by 574 other researchers and be willing to accept registered reports (Fried, 2020a, 2020b; van 575 Rooij & Baggio, 2021, 2020). Funding agencies should demand an explicit statement about 576 theoretical risk in relation to detectability and must be willing to provide the necessary 577 resources to reach adequate levels of both (Koole & Lakens, 2012).

Theoretical risk may conceptually be related to the framework of "severity" (Mayo,
2018; Mayo & Spanos, 2011). However, there are crucial differences between the two. First,
our perspective on theoretical risk is not primarily concerned with avoiding inductive
reasoning but with subjective changes of belief. This is important because, while severity is
calculable, it remains unclear how severity should be valued, e.g. if an increase in severity
from .80 to .81 should be as impressive as from .99 to .999. Second, severity considerations
are mainly after the fact. Severity, a measure with which we can rule out alternative

explanations, can only be calculated after evidence was observed. However, there also are communalities, like the strong emphasis on counterfactual consideration (imagining the hypothesis was false), and there are even proposals to reconcile Bayesian and severity considerations (van Dongen et al., 2023).

Our latter result, on the importance of preregistration for minimizing uncertainty, 590 has two important implications. The first is, that even if all imaginable actions regarding 591 promoting higher theoretical risk are taken, confirmatory research should be preregistered. 592 Otherwise, the uncertainty about the theoretical risk will diminish the advantage of 593 confirmatory research. Second, even under less-than-ideal circumstances for confirmatory 594 research, preregistration is beneficial. Preregistering exploratory studies increases the 595 expected epistemic value by virtue of reducing uncertainty about theoretical risk. 596 Nevertheless, exploratory studies will have a lower expected epistemic value than a more 597 confirmatory study if both are preregistered and have equal detectability. 598

Focusing on uncertainty reduction also explains two common practices of 599 preregistration that do not align with a confirmatory research agenda. First, researchers 600 seldomly predict precise numerical outcomes, instead they use preregistrations to describe 601 the process that generates the results. Precise predictions would have very high theoretical 602 risk (they are likely incorrect if the theory is wrong). A statistical procedure may have high 603 or low theoretical risk depending on the specifics of the model used. Specifying the process, 604 therefore, is in line with the rationale we propose here, but is less reasonable when the goal 605 of preregistration is supposed to be a strictly confirmatory research agenda. 606

Second, researchers often have to deviate from the preregistration and make
data-dependent decisions after the preregistration. If the only goal of preregistration is to
ensure confirmatory research, such changes are not justifiable. However, under our rational,
some changes may be justified. Any change increases the uncertainty about the theoretical
risk and may even decrease the theoretical risk. The changes still may be worthwhile if the

negative outcomes may be offset by an increase in detectability due to the change. 612 Consider a preregistration that failed to specify how to handle missing values, and 613 researchers subsequently encountering missing values. In such case, detectability becomes 614 zero because the data cannot be analyzed without a post-hoc decision about how to handle 615 the missing data. Any such decision would constitute a deviation from the preregistration, 616 which is possible under our proposed objective. Note that a reader cannot rule out that the 617 researchers leveraged the decision to decrease theoretical risk, i.e., picking among all 618 options the one that delivers the most beneficial results for the theory (in the previous 619 example, chosing between various options of handling missing values). Whatever decision 620 they make, increased uncertainty about the theoretical risk is inevitable and the expected 621 epistemic value is decreased compared to a world where they anticipated the need to deal 622 with missing data. However, it is still justified to deviate. After all they have not anticipated the case and are left with a detectability of zero. Any decision will increase detectability to a non-zero value offsetting the increase in uncertainty. The researchers also may do their best to argue that the deviation was not motivated by increasing theoretical 626 risk, thereby, decreasing the uncertainty. Ideally, there is a default decision that fits well 627 with the theory or with the study design. Or, if there is no obvious candidate, the 628 researchers could conduct a multiverse analysis of the available options to deal with 629 missings to show the influence of the decision (Steegen et al., 2016). In any case, deviations 630 must be transparently reported and we applaud recent developments to standardize and 631 normalize this process (Willroth & Atherton, 2023). 632

As explained above, reduction in uncertainty as the objective for preregistration
does not only explain some existing practice, that does not align with confirmation as a
goal, it also allows to form recommendations to improve the practice of preregistration.
Importantly, we now have a theoretical measure to gauge the functionality of
preregistrations, which can only help increase its utility. In particular, a preregistration
should be specific about the procedure that is intended to generate evidence for a theory.

Such a procedure may accommodate a wide range of possible data, i.e., it may be
exploratory. The theoretical risk, however low, must be communicated clearly. Parts of the
process left unspecified imply uncertainty, which preregistration should reduce. However,
specifying procedures that can be expected to fail will lead to deviation and, subsequently,
to larger uncertainty.

Our emphasis on transparency aligns with other justifications of preregistration, 644 especially those put forth by Lakens (2019)'s, although based on quite different 645 philosophical foundations. Our goal is to contribute a rationale that more comprehensively 646 captures the spectrum of exploration and confirmation in relation to preregistrations, 647 post-hoc changes of preregistrations, and subjective evaluations of evidence. We find it 648 difficult to content ourselves with vague terms like "control" or "transparency" if they 649 ultimately remain unconnected to how much researchers believe in a theory. Within our 650 framework, researchers have the ability to input their assumptions regarding the 651 perspectives of other researchers and calculate the potential impact of their actions on their 652 readership, whether these actions relate to study design, to the preregistration itself, or 653 subsequent deviations from it. We put subjective evaluations at the center of our 654 considerations; we deal explicitly with researchers who are proponents of some theory (they 655 have higher priors for the theory being true), researchers who suspect confounding variables 656 (they assume lower theoretical risk), or those who remain doubtful if everything relevant 657 was reported (they have higher uncertainty about theoretical risk) or even those who place greater value on incongruent evidence than others (they differ in their confirmation 659 function). We, therefore, hope to not only provide a rationale for preregistration for those who subscribe to a Bayesian philosophy of science but also a framework to navigate the 661 complicated questions that arise in the practice of preregistration. 662

At the same time, approaching the evaluation of evidence using a Bayesian formalism is far from novel Fiedler (2017). To our knowledge, it was not yet applied to the

problem of preregistration. However, Oberauer and Lewandowsky (2019) made use of the 665 formalism to model the relation between theory, hypothesis, and evidence. In the context 666 of this conceptualization, they discussed the usefulness of preregistration, though without 667 applying the formalism there. Most importantly, they are rather critical of the idea that 668 preregistration has tangible benefits. Instead, they prefer multiverse analyses but contend 660 that those could be preregistered if one fancies it. Their reasoning is based on two 670 intuitions about what should not influence the evaluation of evidence: temporal order and 671 the mental state of the originator. In our opinion, they disregard the temporal order a bit 672 too hastily, as it is a long-standing issue in Bayesian philosophy of science known as the 673 "problem of old evidence" (Chihara, 1987). However, we agree that not the temporal order 674 is decisive but if the researchers incorporated the information into the hypothesis the 675 evidence is supposed to confirm. For the other, we argue that the mental state of the 676 originator does matter. Suppose there are k = 1, 2, ..., K ways to analyze data, where each k has a $P(E_k|\neg H)>0$. If they intend to try each way after another but happen to be 678 "lucky" on the first try and stop, should we then apply $P(E|\neg H) = P(E_1|\neg H)$ or 679 $P(E|\neg H) = P(E_1 \lor \dots \lor E_k|\neg H)$? We think the latter. However, this "Defeatist" intuition 680 is not universally warranted and depends on what we take H to mean specifically (Kotzen, 681 2013). Addressing, this problem might benefit from combining Oberauer and Lewandowsky 682 (2019)'s idea of updating on two nested levels (theory-hypothesis layered on top of 683 hypothesis-evidence) with our approach to modelling uncertainty. 684

Whatever the difference in evaluating preregistration as a tool, maybe conceptually more profound is that Oberauer and Lewandowsky (2019) conceptualizes "discovery-oriented research" differently than we do "exploratory". They assume the same theoretical risk $(P(\neg E|\neg H) = .05)$ and detectability (P(E|H)) = .8) in their calculation example as we do but assign different prior probabilities, namely .06 for discovery versus .6 for theory testing. Then, they conclude that discovery-oriented researcher requires a much lower type-I error rate to control false positive in light of the low prior probability. This

runs counter to our definition of exploratory research having low theoretical risk. Of course, 692 we agree that low priors require more persuasive evidence; our disagreement, therefore, lies 693 mainly in terminology. They imagine discovery-oriented researchers to conduct 694 experiments where they have low expectations that they obtain positive evidence 695 $(.06 \cdot .8 + .94 \cdot .05 = 0.095)$, but if they do, it raises the posterior significantly (from .06 to 696 .51) In our view, researchers who set out to explore a data set often find "something" (due 697 to low $P(\neg E|\neg H)$; therefore, it should only slightly raise your posterior if they do. On a 698 substantive matter, we believe both kinds of research are common in psychology. It is, 699 therefore, mostly a disagreement on terminology. This disagreement only highlights why 700 using a mathematical framework to investigate such things is so useful and ultimately 701 indispensable because we can clearly see where and how we differ in our reasoning. 702

We believe that our reasoning is quite similar to Höfler et al. (2022), who call for 703 transparent exploration using preregistration. We could be more sure of our agreement, if 704 they had formulated their arguments within a mathematical framework, which would also 705 have helped to dissolve an apparent conflict in their definitions of confirmation, exploration, 706 and transparency. On the one hand, they define "The principle difference between 707 confirmation and exploration is that confirmation adheres to an evidential norm for the 708 test of a hypothesis to pass.", but then suggest that transparent exploration can be 709 conducted using inferences tests as a filtering mechanism. Their distinction between 710 confirmation, intransparent and transparent exploration are otherwise just as well placed 711 along the dimensions, theoretical risk and uncertainty about theoretical risk. 712

With the goal to facilitate rigorous exploration, we have proposed a workflow for
preregistration called *preregistration as code* (PAC) elsewhere (Peikert et al., 2021). In a
PAC, researchers use computer code for the planned analysis as well as a verbal description
of theory and methods for the preregistration. This combination is facilitated by dynamic
document generation, where the results of the code, such as numbers, figures, and tables,

are inserted automatically into the document. The idea is that the preregistration already 718 contains "mock results" based on simulated or pilot data, which are replaced after the 719 actual study data becomes available. Such an approach dissolves the distinction between 720 the preregistration document and the final scientific report. Instead of separate documents, 721 preregistration, and final report are different versions of the same underlying dynamic 722 document. Deviations from the preregistration can therefore be clearly (and if necessary, 723 automatically) isolated, highlighted, and inspected using version control. Crucially, because 724 the preregistration contains code, it may accommodate many different data patterns, i.e., it 725 may be exploratory. However, while a PAC does not limit the extent of exploration, it is 726 very specific about the probability to generate evidence even when the theory does not 727 hold (theoretical risk). Please note that while PAC is ideally suited to reduce uncertainty 728 about theoretical risk, other more traditional forms of preregistration are also able to advance this goal.

Contrary to what is widely assumed about preregistration, a preregistration is not necessarily a seal of confirmatory research. Confirmatory research would almost always be less persuasive without preregistration, but in our view, preregistration primarily communicates the extent of confirmation, i.e., theoretical risk, of a study. Clearly communicating theoretical risk is important because it reduces the uncertainty and hence increases expected epistemic value.

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742 Declarations

All code and materials required to reproduce this article are available under
https://github.com/aaronpeikert/bayes-prereg (Peikert & Brandmaier, 2023a). The
authors have no competing interests to declare that are relevant to the content of this
article.

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