Research Methods and Project Design: Article Summaries

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Guba, Egon G. and Yvonna S. Lincoln. 1994. Competing Paradigms in Qualitative Research. Pp. 105-17 in *Handbook of Qualitative Research*, edited by Norman Denzin and Yvonna S. Lincoln. Thousand Oaks, CA: Sage.
Summarized by Hallie Salem.

Within the article, the authors analyze four paradigms in informing and guiding inquiry, particularly qualitative inquiry, including the column headings in table 6.1, which I have broken down below. We know that qualitative data is helpful, because it can: put data into context, provide insight into people or places, help determine the source of the hypothesis, define the theoretical framework, define facts within a set of values, and develop findings through interaction to see how things really are and work. The table below dissects the four paradigms within a framework of three questions.

Four Paradigms for Guiding Inquiry Three Fundamental Questions	**Positivism** Denotes the received view. Used to verify hypotheses usually stated as mathematical propositions.	**Postpositivism** Criticism of positivism. Used to falsify hypotheses.	**Critical Theory** Denotes several alternative paradigms in which there is a "value-determined" nature of inquiry.	**Constructivisim** A paradigm which assumption (ontological) moves from realism to relativism.
Ontology What is the form and nature of reality?	Naïve realism: the way things are without relation to time and context. Research examines the true state of affairs.	Critical realism: reality is imperfect. In order to understand reality, it must be critically examined.	Historical realism: virtual reality shaped over time by social, political, cultural, economic, ethnic, and gender values	Relativism: realities are socially and experientially based, local and specific in nature
Epistemology What must the posture of the "knower" be to find out what can be known?	Dualist and objectivist: The investigator and investigated are assumed to be independent entities	Modified dualist and objectivist: replicated findings are probably true	Transactional and subjectivist: value mediated findings, challenges that one can be known is dependent on the interaction between the knower and knowee	Transactional and subjectivist: due to link between investigator and subjects, findings are created
Methodology What methods fit the predetermined reality or what must be known?	Experimental and manipulative: in controlled conditions (quantitative)	Modified experimental and manipulative: critical multiplism (?) used in falsifying hypotheses, increased qualitative methods, place based	Dialogic: requires dialogue between investigator and subjects, and dialectical: dialogue within context of historic structures	Hermeneutical and dialectical: individual constructions elicited and defined through investigator and respondent relationship.

Table 6.2 is more readable and requires less interpretation. The table examines practical issues and the paradigms' positions towards them. Some key points are that positivism is qualitative, while postpositivism, critical theory, and constructivism are a combination of both qualitative and quantitative. Values are left out of and ethics are extrinsic to positivism and post, while both are included in critical theory and constructivism.

Question: Which paradigm would best address your research question and why?

Reason, Peter. 1994. Three Approaches to Participative Inquiry. Pp. 324-9 in *Handbook of Qualitative Research*, edited by Norman Denzin and Yvonna Lincoln. Thousand Oaks, CA: Sage.
Summarized by Betty Iroku

Note: Other methods and approaches do exist. However, Peter Reason chooses to focus on the following three:

1. Co-operative inquiry has its roots in humanistic psychology, in the notion that individuals can with help choose how they live their lives liberated from the distress of early conditioning and restrictive social custom. Working together in a group with norms of open genuine communication help facilitate this process.
Can be described as occurring in <u>four phases of action and reflection</u>:
1) Propositional knowing
2) Practical knowing
3) Experiential knowing
4) A critical return to propositional knowing

The *validity tool* in this inquiry is "*critical subjectivity*". It makes it possible to see more clearly and better communicate to others the perspective from which that knowledge is derived and shed light on any distortions that may have occurred.

2. Participatory Action Research (PAR) is significant in that it highlights the political aspects of knowledge production. The whole ideology of "enlightenment and awakening of common peoples" and confronting the manner in which the established and power-holding elements of societies are favored because of their monopoly on the definition and employment of knowledge are of primary concern. The preferred way to communicate the application of PAR would be describing actual cases. Again the *key emphasis* here is on *empowerment* and so community meetings and any events that facilitate the process of participation and dialogue are important.
<u>Two primary objectives of PAR</u>
1) Produce knowledge and action directly useful to a group of people through research, adult education and sociopolitical action.
2) Empower people at a second and deeper level through the process of constructing and using their own knowledge.
<u>Three starting points</u>
1) Concerns for power and powerlessness
2) Knowledge and experience of people
3) Authentic commitment

3. Action science and action inquiry are methods of inquiry into practice and are primarily concerned with the progression of useful action that may add to the change of organizations and communities toward better efficiency and fairness.
Essentially both practices aim to engage with one's own action and with others in a self-reflective way making all participants aware of their behaviors and the accompanying underlying theories surrounding those behaviors.

A key skill in this process is to find ways to avoid one's own and others' defensive responses to the painful process of self-reflection.

Four dimensions of conversation:
1) Framing
2) Advocacy
3) Illustration
4) Inquiry

Each of these conversational dimension correspond to the four territories of experience:
1) Purpose
2) Strategy
3) Behavior
4) Outside world

For Discussion: What might be some future implications for orthodox scientific research in light of the successes of these approaches?

Morrow, R.A. with D.D. Brown. 1994. Deconstructing the Conventional Discourse of Methodology: Quantitative versus Qualitative Methods. Pp. 199-225 in *Critical Theory and Methodology*. Thousand Oaks, CA: Sage Publications.
Summarized by Chih-hung Chen

For sociology, there are various aspects of the contemporary discourse on sociological methods that are not adequate. This article attempts to point out the weaknesses of quantitative and qualitative analysis. It is necessary to make a fundamental distinction between these two in terms of methodological implications. Even so, in this article, the author contends that it is hard to assume that a certain type of theorizing automatically requires a particular type of method.

Quantitative sociologists often tend to view qualitative research as imprecise, biased by researcher subjectivity, and effective for neither prediction nor generalization. At the same time, qualitative sociologists tend to view quantitative research as grounded in a naïve objectivity, ineffective for the interpretation of insider actions, generally unable to describe the social construction of reality. However, with debates for many years, the main conceptual distinction in the methodological discourse displays the positive understanding of quantitative research against the relatively negative understanding of qualitative research. Although quantitative sociology is a more dominant methodology than qualitative, the author is attempting to discuss a critical assessment of the overall discourse itself in which both terms are implicated. In other words, the article is concerned more with how methods are conceptualized in general, rather than with how specific methods are practiced. The following is the summary of characteristics of quantitative and qualitative approaches to social research.

Conventional Quantitative Methods:
1. Aggregation of units. This is the central idea of quantitative approach. We do not study individuals but rather aggregates of individuals. By doing so, such set of individuals would constitute a legitimate aggregate for the purposes of most quantitative analysis in sociology. However, it would not constitute any level of social organization from a theoretical perspective.
2. Measurement of variables. Quantitative research needs to collect data efficiently for statistical analysis in order to analyze the correlation between variables, rather then people. It is necessary to collect information about relationships between various individual attributes (variables). Such information typically is collected in survey research by asking people to respond to a highly structured set of questions. And the questions for asking people during a survey should be standardized and quantified.
3. Statistical-causal analysis. Within quantitative sociology, the search for causality becomes a matter of searching for authenticity (not imitation). In a word, it is important to understand how antecedent condition necessarily leads to a particular outcome. Moreover, it also is understood that cause is revealed in patterns of statistical covariation.

Conventional Qualitative Methods:
1. Case study design. Qualitative research tends to involve a case study design. It simply means that unlike the large aggregate approach, a single case or a limited set of cases is examined during the research.
2. Interpretation of action. The central notion of qualitative research in the conventional discourse is in favor of using natural language instead of the use of formal quantitative representations. Furthermore, it is accepted in qualitative sociology that action and local interpretation are always imbedded within the social world of the actors themselves.
3. Thick description. Qualitative research is based on a case study, which always has a rich complexity of factors. The social context of action and interpretation, along with the emphasis on natural language, leads much qualitative research to be concerned with layers of social reality. Therefore, it requires a depth or thick description of the case at hand (Geertz, 1983).

With the brief summary of each method, the author laid out four arguments.
1. A false dichotomy. If the distinction between qualitative and quantitative methods is just based on the use of formal and natural language modes of representation, the dichotomy is false. It is not necessary for qualitative research to preclude the use of quantitative representations or nonquantitative formal methods. If the analysts want to do an appropriate statistical survey for the subject of the research, there is no doubt that they need to engage in the language in terms of question design. The language of research is not an adequate criterion for a major differentiation of research forms.
2. Specific analytic strategies. Although appearing to reference data language, the qualitative-quantitative opposition in practice actually refers to specific analytic strategies. The practices of qualitative and quantitative do represent quite distinct analytic strategies. The main factor here that needs to be made explicit in this regard is that for the most part quantitative research in sociology is always in the sense of statistical modeling. And studies referring to as "statistical" may be involved a specific form of theoretical analysis. Under this circumstance, it is necessary to make a distinction between statistical modeling and other forms of quantitative analysis in sociology. The former is to model the social world in terms of causal relations between an observed system of variables. The latter, as well qualitative, approaches are to comprehend the relations obtaining between social actors and other forms of social organization.
3. Constructing social phenomena. As mentioned above, these specific analytic strategies are not simply different ways of examining the same social phenomena, but are the ways of making a set of individuals into two different kinds of phenomena. As far as theoretical sociology is concerned, nonstatistical, qualitative or quantitative, research attempts to describe a society by referring to the systemic and social relations that constitute it. On the contrary, statistical research has less relations with theoretical sociology. It does not assume that its analysis of variables is based on a population of subjects who interact with one another through communities. It is assumed, however, that members of the sample used are independent of one another. In summary, statistical analysis constructs a certain kind of subject within

sociological discourse. More theoretically oriented analyses construct the subject as the participant in one form of social organization or another.

4. <u>Theoretical inadequacy</u>. Theoretical sociology relying on statistical analysis is inadequate because statistical analysis is not a sociological method. It is not an approach developed within sociology as a tool for its theoretical inquiries. It is a tool that has been incorporated into the discipline of sociology despite its difference from basic sociological concepts. It can at most say that statistical analyses are statistical theoretical models applying general statistical theory. If the quantitative-qualitative distinction is based on statistical analysis, this assumption would be inadequate and misleading.

Miles, M.B. and Huberman, A.M. 1994. *Quantitative Data Analysis: An Expanded Sourcebook. 2nd ed*. Thousand Oaks, CA: Sage.
Chapter 11: Ethical Issues in Analysis
Summarized by Lynn M. Ross

Ethical Theories

Table 11.1 Ethical Frameworks and Aspects of Research (Flinders, 1992)

	Utilitarian	Deontological	Relational	Ecological
Recruitment	Informed Consent	Reciprocity	Collaboration	Cultural Sensitivity
Fieldwork	Avoidance of Harm	Avoidance of Wrong	Avoidance of Imposition	Avoidance of Detachment
Reporting	Fairness	Fairness	Confirmation	Responsive Communication

Principles to Guide Ethical Choices
- Beneficence-Minimize harm and risk, maximize good outcomes for all involved.
- Mutual Respect- Do not damage self-esteem, show respect for individuals as persons without being condescending.
- Justice- Carefully considered and fairly administered procedures. Equitable distribution of costs and benefits to all parties involved.
- Noncoercion and Nonmanipulation- Do not force others to cooperate against their will.
- Support for Democratic Values and Institutions- Committed to equality and working against oppression.

Specific Ethical Issues
1. Worthiness of the Project
 Will my project significantly contribute to the larger body of knowledge?
Do not pursue a project for the sole purpose of your personal advancement. If the work does not have real meaning and significance it is likely to be pursued in a haphazard manner that will produce unreliable data and questionable conclusions. Rival hypotheses should be pursued.

2. Competence Boundaries
 Do I have the skills to conduct a quality project?
Acknowledge your areas of weakness early on and seek help from your colleagues. Unacknowledged incompetence will lead to serious problems in your analysis that could have otherwise been avoided.

3. Informed Consent
 Have I fully informed the people I will study and have they freely consented to be studied?
Truly informed consent is difficult in qualitative studies because your actions and work in the field constantly alter the project. It is important to maintain an ongoing dialogue with participants to keep them informed of such changes and ensure their continued cooperation.

4. Benefits, Costs, and Reciprocity
 What will each party have to invest in the project and what will they gain?

Study participants rarely benefit from projects in the manner that researchers do. This lack of reciprocity may jeopardize your access and damage the quality of your data. Try to understand the action implications of your project from the participant's point of view.

5. Harm and Risk
How might this project harm those involved?
Consider who is most vulnerable in your study (e.g. the visible, the stigmatized, the powerless, the powerful). Remember that when the participants anticipate harm or risk, the quality of access and data collection may be compromised.

6. Honesty and Trust
What is my relationship with project participants? Do we trust each other?
Dishonesty on the part of the researcher can make the continuation of a specific project and future projects by other researchers on the same subject difficult if not impossible.

7. Privacy, Confidentiality, and Anonymity
How might this project intrude on the people I am studying? How will the information and participants be protected?
Explicit agreements regarding confidentiality increase the trust between researcher and participants. When privacy and anonymity are threatened, be prepared to adjust analytic methods to avoid disclosure of the information.

8. Invention and Advocacy
What should I do when I witness illegal or harmful activities during my research? Should advocate for anyone's interest other than my own?
Understand that withholding "guilty knowledge" may skew your findings; however, disclosure might jeopardize your access.

9. Research Integrity and Quality
Is my work being conducted correctly in accordance with some reasonable set of standards?
Beware of conducting "poor science": sloppy data recording, misleading findings, inappropriate citation, etc. As researchers we must avoid lying to ourselves by ensuring that our methodology is credible, defensible, and possibly transferable.

10. Ownership of Data and Conclusions
Who owns my work and who will control the diffusion of my findings?
Most researchers consider themselves the "owners" of their data. The researcher then is responsible for the protection and dissemination of the materials. Consider who will have access to the information and how this might affect the confidentiality of participants.

11. Use and Misuse of Results
Am I responsible for making sure my work is used appropriately? What if my work is used inappropriately?
At the start of your project make it clear that you will be involved in the use of your findings. This early commitment will help focus your data collection and analytic strategies.

Conflicts, Dilemmas, and Trade-offs
Addressing ethical issues inevitably involves making difficult choices. Throughout the research process we will have to face a variety of ethical dilemmas: *anonymity versus visibility, helping versus confidentiality, scientific understanding versus individual rights, validity versus avoiding harm*. For this reason it is important to keep ethical issues out there as a topic to be both thought about and discussed.

Advice

- Awareness – Be aware of the ethical issues surrounding your work.
- Anticipation – Preparation pays off. You can avoid problems later by thinking ahead during the early stages of your project.
- Preliminary Agreements – Agreements between the research and participants should be made early in the process, should be clearly stated, and be committed to paper.
- Documentation and Reflection – Don't lose sight of ethical issues during the data collection process.
- Third Parties – Involving a trusted third party can bring objective insights to the project and its ethical issues.
- Regular Checking and Renegotiation – Make clear from the start that any agreement entered into may need to be renegotiated or otherwise modified as the work progresses.

Tashakkori, Abbas and Charles Teddlie. 1998. *Mixed Methodology: Combining Qualitative and Quantitative Approaches*. Thousand Oaks, CA: Sage.
Pp. 71-6: Sampling Error and Sampling Bias.
Summarized by Marc Boey

Synopsis
The assigned section in Tashakkori and Teddlie (1998) focuses on the key problems that are associated with taking samples and the different strategies for designing the sampling frame. Addressing these problems and understanding the benefits and constraints arising from different sampling frames have important repercussions on the validity of our research findings.

Key Problems
Sampling Bias: It is a nonrandom way of selecting a biased sample that results in findings that cannot be considered to be representative of the population i.e. findings become invalid or distorted.
Example: I am testing the following hypothesis - the development of mega infrastructure projects (e.g. airport) is nothing more than a ploy used by the state to promote selfish interests by providing economic opportunities for corrupt and nepotistic practices. I intend to conduct in-depth interviews to verify or debunk this hypothesis. The sample has a high probability of becoming bias if I intentionally select *only* members of opposition political parties to conduct my in-depth interviews. This is because these respondents are more inclined to providing critically biased judgments on the state bureaucracy.

Sampling Error: The random inaccuracies that arises from the process of generalizing the findings from a narrow selected sample frame to a broader general populace.
Example: I am testing the following hypothesis – the urban built environment in Malaysia reflects a distinct national identity. I intend to conduct interviews with 1,000 members of the general public to seek their views on this. Does this 1,000-person sampling frame reflect the views of the entire population in Malaysia? The answer is no because some of the respondents probably possesses characteristics and offer views that are not typical to the general populace (e.g. a religious fanatic who has a very skewed perception of what constitutes the national identity). This discrepancy is the sampling error. Increasing the size of the sampling frame can help reduce the sampling error. If this is not possible, then one can alternatively get more credible results by carefully selecting respondents who are more representative of the general populace.

Strategies for Designing Sampling Frame
These can be classified into two broad categories: "probability" and "nonprobability/purposive". They are already succinctly summarized in the reading and are thus not reproduced here. The key points that needs to be noted are:

Probability sampling generally involves a more random process of selecting the units for observation. For example, in simple random sampling every individual in a population has an equal and independent chance of being selected for the study. In comparison, purposive sampling involves intentional and directed selection of specific individuals based on purpose of the study, information about these individuals, etc. The sample of the opposition political parties cited above is an example of purposive sampling while the selection of the 1,000 members of the general public is a more of a random sampling.

The techniques are not mutually exclusive to the schools of quantitative and qualitative analyses i.e. they can be employed by either of these approaches. And one can also employ a combination of probability and nonprobability/purposive techniques in a study. For example, I can use a purposive technique of targeting only architects as my sample respondents. But I can then use the probability technique of randomly selecting a sample of architects in the group.

Miles, M.B. and Huberman, A.M. 1994. *Qualitative Data Analysis: An Expanded Sourcebook*.
2nd ed. Thousand Oaks, CA: Sage.
Chapter 4: Early Steps in Analysis.
Summarized by Naomi Penney.

These processes help in organizing data for later analysis. M&H strongly recommend early data analysis to help one with finding new areas/strategies to collect data and refinement of your research topics and interests.

This chapter looks at 8 main methods for data analysis. This chapter assumes your information is coming from your field notes whether they be hand/type written or taped. The focus here is on *words* and that they have been "cleaned up" so they are clear to the reader.

The following are arranged from early to later in the data collection process and from simple to more complex.

Contact Summary Sheet

Problem	Description	Illustration	Variations	Advice	Time needed
What were the main concepts, themes, issues and questions that I saw during this contact?	A single sheet that briefly answers the previous questions	What people, events, or situations were involved? What new hypotheses, speculations, or hunches about the field situations were suggested by the contact? What kind of information should be sought with the next contact?	Themes sheet First impression sheet - not recommended	Keep form simple Focus on primary issues and concepts and questions This form is for quick and easy data retrieval—so keep it that way	Approx. 1 ½ hours per interview

The summary sheet should be done fairly soon after the interview.
Use: (1) guide planning for next contact
          (2) suggest new or revised codes
          (3) help coordinate if several field workers are involved
          (4) reorient self when returning to contact
          (5) help with further data analysis

Codes and Coding

Problem	Description	Illustration	Variations	Advice	Time needed
What is your conceptual framework?

What is your research question?

What are the themes you are seeing? | Codes are tags or labels for assigning units of meaning to the descriptive or inferential information compiled during a study. | Types of codes
-descriptive
-interpretive
-pattern

Codes can be at different levels of analysis

Codes can happen at different times during analysis

Codes help pull together a lot of material | Acts

Activities

Meanings

Participation

Relationships

Settings | Make sure all codes fit into a structure

Keep codes semantically close to the terms they represent

Define codes operationally

Do not wait until the end of data gathering to create codes | Depends—it's a rather involved process—count on 1 day/contact |

On creating codes: Use your conceptual framework as a guide or your research questions/hypotheses, key variables that you the researcher bring to the study.

A more "grounded " approach would have you wait until your data has been collected and worked with before coding occurs. For more information on this approach see Glaser and Strauss (1967), Strauss(1987) Corbin (1990) Bogdan and Biklen (1992).

Pattern Coding

Problem	Description	Illustration	Variations	Advice	Time needed
What are the patterns you are seeing in your data?	Pattern codes are explanatory or inferential codes, ones that identify an emergent theme, configuration or explanation.	Generating pattern codes: What are the commonalities/differences in the data?

Do there are appear to be causal links? | You can also sub-code data | Code regularly

Don't be afraid to recode | This is concurrent with other coding and will probably take up only 5-10% of your coding time |

Why use pattern coding?
1. It reduces large amounts of data into a smaller number of analytic units
2. It gets the researcher into analysis during data collection, so that later fieldwork can be more focused.
3. It helps the researcher elaborate a cognitive map, an evolving, more integrated schema for understanding local incidents and interactions.
4. For multicase studies, it lays the groundwork for cross-case analysis by surfacing common themes and directional processes.

Memoing

Problem	Description	Illustration	Variations	Advice	Time needed
How do you separate and remember all the nuances of your data?	Memos sort of tie concept together. Use them to help you ponder your data and help you make sense of what you are or are not seeing.	See examples in book: On welcoming structures Comparison process Career patterns Barometric events	What is intensely puzzling or surprising about this case? response to someone else's memo to propose a specific new pattern code to integrate a set of previous marginal notes or reflective remarks when you are struggling with some question around a general theme or metaphor that pulls together other observations	Always give priority to memoing Start as soon as field data starts coming in Keep memos sortable Keep them about ideas not more notes Do not standardize your memos It's fun!	Varies

Case Analysis Meeting

Problem	Description	Illustration	Variations	Advice	Time needed
How do you understand quickly and economically what is happening in your research?	The case worker most familiar with the case summarizes where the research it at and where it might be going. Questions are used to guide the meeting.	See Book pg. 76-77	Questions to guide meeting: What is puzzling, strange or unexpected about the recent case? What additional analyses do we need of existing data to understand the case better? What is definitely *not* true of the case at this point?	Don't become complacent with the results from the meetings. They can be coded too and used to help guide the process.	Meetings should be no more than 1 ½ hours

Interim Case Study

Problem	Description	Illustration	Variations	Advice	Time needed
How do you know your data is valid? How do you know you are making the right conclusions? Where are the gaps?	10-25 pages that provide a synthesis of what the researcher knows about the case and what still needs to be found out.	See Example on pg. 79	-outlines of case -smaller connected interim studies	Best time to do this is about a third of the way into your data collection	No more than two days—1 for writing 1 for reporting

Vignettes

Problem	Description	Illustration	Variations	Advice	Time needed
How do you explain a sub-set of what is happening clearly and more quickly than a memo or report?	A vignette is a focused description of a series of events taken to be representative, typical or emblematic in the case you are doing.	A description of a typical day in the life of your contacts.

See pg. 81-82 for better detail | Profiles: narrative summary using informants own words

Narrative scene: composite narrative written at the end of data collection | Be aware of bias in what you have chosen to put into this write-up

Vignettes can be helpful when your data seems to lack meaning | 2 hours from participants

4 hours from researcher—not including 2 hours of time for transcription |

Prestructured Case

Problem	Description	Illustration	Variations	Advice	Time needed
Not enough time.

I need to streamline my data collection!! | For when you have a conceptual framework and a firm set of research questions— This is a case outline created *before* any data is collected | Research questions guide how the data will be collected and what data will be collected.

See example pg. 84 | Can also be used with fully written up data | Not for the inexperienced researcher. It may put blinders on you or bias you. | After the outline is complete(hours depend on you) expect 2-3 days |

This process is iterative and data collection feeds on what it finds until you are no longer seeing new information.

Sequential Analysis

Problem	Description	Illustration	Variations	Advice	Time needed
The need to reorient yourself to your view of the case.	Interim reports and other methods already discussed	See pg. 86

You must keep returning to the data before you go on collecting more and continue until you are "done"— it's a circle. | Transformations of data:

Individual case synopsis

Illustrative narrative

General condensation

General psychological structure | Process will help you look at your data from different angles

Do not be afraid to do this | Depends |

These methods are helpful for early data collection and analysis.

Russell, Joel S. with Meyers, Andrew. 1995. Planning Charrettes. PAS Memo, Chicago IL: American Planning Association August 1995.
http://www.e-architect.com/pia/cote/AIA-COTE/edcw/main/index.asp
Summarized by Marc Boey

Definition of a charrette:

- "a short intense collaborative process for designing projects, planning communities and building consensus", "a workshop held in a two- to three-day period in which architects and other design professionals, community leaders, public officials and citizens work together to envision alternatives for a local building program, neighborhood or regional community project, with an emphasis upon long-term economic, social and environmental sustainability."

Different types of charrettes:

Type	Main Objectives	Public Involvement	Professional Involvement	Decision-Making
Professional Design	Product-driven. Promote project and get initial feedback	Restricted and focused. Minimal short meetings with public officials, representatives of use groups, potential financial sources or project neighbors.	Multidisciplinary team including architects, planners, engineers, etc who spend several days studying the site and designing the project	Confined to professionals and key stakeholders e.g. developers
Participatory Design	Product-driven.	Structured opportunities for input from public. Greater involvement compared to professional design. Focused groups as well as general public.	Design team (similar to that above) moves into community for a week and prepares plan under the eye of the public	Agenda and product controlled by the professional design team It is also controlled by the sponsor
Academic/ Competitive	Design alternatives (not for implementation) Training students and educating public	Not so dependent on public participation as it is more of a pedagogical technique; public may be just invited to see the product	Professional architect assisted by design students	Designs are sometimes submitted to jury for critique
Professional Planning	Identify overall planning problems in a community	Meetings between public officials and representatives of interests groups and large public meetings	Professionals kept at a neutral distance Mainly advisory and facilitator role	Report only makes recommendations. Implementation is left to local government and organizations
Participatory Planning	Local participation Local political support	Maximum citizen participation focusing on community interaction rather than professional prescription	Mainly facilitator role	The community through consensus

Benefits of charettes:
- Reduce adversarial tension and gridlock during project review by putting all concerns on the table at the beginning of the process without triggering the opposition typical of conventional planning and zoning proposals e.g. allow stakeholders the ability to influence projects and community plans in a way that satisfies their concern.
- Give citizens a more meaningful role in planning the future of their communities. Charrettes are an effective means to initiate volunteerism and collaboration from all interested parties to jump start community revitalization that can involve those most affected by environmental quality issues and opportunities.
- Cost- and time-effective because it is an intense collaborative process e.g. professional team members are "locked out" the outside world during the charrette process; reduce costly reiterations and coordination problems because all the key players are present at one time and in one place.
- Synergy created because of the involvement of all key players including professionals, community leaders and citizens; can lead to stimulating design and planning solutions. Charrettes encourage discussion that stretches the envelope of possibilities beyond conventional thinking.
- Charrettes are an effective means of understanding the complex yet vital issues planning and the importance of protecting our environmental, economic and cultural resources.

Limitations with charrettes:
- Conflicting interests and factional bickering. A meeting that brings together a diverse set of community representatives, public leaders and outside "experts" is by definition "loaded" with conflicting agendas, diverse personalities and cross-purposes. Meetings that are not well planned and facilitated can set community discussions back due to miscommunication, misunderstanding or misuse of the initial good will that should otherwise prevail.
- Loses "steam" and "high".
- Poor response/participation e.g. residents who are suspicious of motives. It is important to choose a topic that will engage both positive and substantive community support.

Tips for planning successful charrettes:
- Clarity of purpose. Understand the nature of the group and community and their different reasons for being involved in the project.
- Identifying a significant project. Don't do it unless there is evident local commitment to use the charrette as part of a larger and longer range commitment to take action. It is important to choose a topic that will engage both positive and substantive community support. The initial proposal need not be perfect. It should be open to modification as discussions and planning proceeds. It has to be a project that is inspiring and at the same time feasible, that is, it does not raise false hopes. Community aspiration is too valuable a quality to squander on false starts and dead ends.
- The charrette workshop should be linked to a larger initiative, before and after the event, that builds local community initiative and development. For example, charrette can be used to build upon local networking; link local initiatives (bottom-up) to broad (horizontally linked) networks, such as citywide collaborations.

- Establish Pre-event meetings. Mini pre-charrette meetings in which participants are able to express their needs and priorities in their own terms (rather than to be immediately thrown into an unfamiliar and professional setting).
- Should be planned carefully and well in advanced. A minimum of three months (most typically six months) is needed to prepare for a successful event, with a longer time frame required for more complex events. Requires an organizational structure defined to a sufficient level of detail so that many people can work together, essentially "reading from the same page" to create a smooth running event. Decisions that need to be put into place include a charrette meeting location, sufficient planning time prior to the event, involvement of key stakeholders, and an organizational group or committee.
- "Get stakeholders involved early" and "Don't leave anyone out". If the charrette project involves different groups or communities normally left out of the planning and decision process, organizers may find themselves from the outset dealing with a potentially disruptive situation.
- Follow-up must be adequately planned and budgeted. In the best cases, the charrette workshop is linked to a larger initiative, before and after the event, that builds local community initiative and development. Get early successes but also plan a long-term implementation strategy that affects policy.
- Do not oversell charrette as a solution for all problems. It has to be a project that is inspiring and at the same time feasible, that is, it does not raise false hopes. Community aspiration is too valuable a quality to squander on false starts and dead ends.
- Hire or invite experienced consultants and leaders. Depending on the objectives charettes usually require the assistance of knowledgeable experts, educators and design professionals. For example, a community that is concerned with energy and resource conservation would require expert advice on ways to reduce energy and resource use and resulting pollution and to use renewable energy sources through optimized building design, materials selection, envelope and windows, lighting and day lighting, utility loads, heating, cooling and ventilation systems.
- Putting a Funding Strategy in Place. Sources of such funds included local foundations, utilities, banks, businesses and chambers of commerce, with "contributions in kind" by restaurants, hotels, newspapers, television stations and art materials suppliers. The average "lowest reasonable cost" per charrette is in the range of $5,000, to cover costs typical of space rental, food for participants, travel, honoraria and lodging for facilitators and group leaders and printing and publications.
- Establish a News and Communication Plan. In most cases, the local press is easily involved in public communication and coverage, provided that notice is given (ideally, an informative and interesting press release) so that media reporters know about significant meetings and the event itself. Both the kick-off and the final public presentation of the charrette work can be organized to provide media coverage. Local newspapers are often a readily available means by which to publish the results, such as in a special "Sunday Supplement" printed as a community service.
- Logistics: Where to hold the charrette event. There are several recommendations about the charrette workshop location itself. One recommendation is to hold the event at or near the actual project site, or at least to provide easy access so that site conditions can be visited, seen and discussed. An alternative recommendation is to hold the charrette in a publicly visible and accessible location.

- Evaluating the Event. Most charrette events go quickly with a great degree of intensity and focus, so that when it is over, people leave quickly to catch up with things left undone for several days. However, without some evaluation process, valuable lessons learned may go unheeded. It is therefore recommended that some form of event evaluation be put in place, allowing time in the concluding session for evaluation forms to be completed before participants leave. This evaluation, whether in questionnaire form or otherwise, should allow for commentary to capture creative insights and suggestions for improvement.

How to be good facilitators:
- Practice active listening by (1) staying engaged, (2) being supportive of the participants whether or not there is agreement, (3) searching for the meaning behind participants' comments, and (4) being nonjudgmental.
- Accept conflict as part of the creative process by (1) focusing on the present and issue-oriented problem-solving, (2) allowing a limited amount of venting, and (3) agreeing to disagree when there in no common ground.
- Art of nondirective facilitation. The ability to initiate a group empowerment and leadership process without creating dependence on the leader, that is, to make oneself unimportant.
- Making a checklist to better prepare for a charrette:
  1. Audit existing conditions. Make sure the room will work and that all necessary materials and support functions are in place.
  2. Discuss expectations with the organizing group in terms of goals and outcomes. Establish ways to measure success and consider an evaluation form to measure participant responses at the end of the event to find out what went well and what needs improvement.
  3. Understand the nature of the group and community. The organizing group may or may not be representative of the community that is most impacted by the project or program being envisioned in the charrette.
  4. Organize around goal statements. At any point in a group discussion, people will disagree on any and all points. Some think of parts while others think of wholes. Both are needed, but the best way to get everyone "reading from the same page" is to list goals and outcomes, and then detail how to get there.
  5. Include all stakeholders. A stakeholder can be defined as anyone whose participation, energy, agreement and volunteerism will contribute to the success of the effort. This creates the "quandary" of trying to get some focus and action while listening to all constituents and stakeholders.
  6. Prepare a schedule that anticipates variations in the discussion sequence. An experienced facilitator learns how to balance a fixed schedule with time and alternatives "built in" for discussions to take their own turn.

Chrislip, David D. and Carl E. Larson. 1994. *Collaborative Leadership: How Citizens and Civic Leaders Can Make a Difference*. San Francisco: Jossey Bass. Pp. 3-14, 52-4. Summarized by Worrasit Tantinipankul

What is Collaboration?

It is a mutually beneficial relationship between two or more parties who work toward goals by sharing responsibility, authority and accountability to achieve results. The purpose of collaboration is to create a shared vision and joint strategy to address concerns that go beyond the purview of any particular party.

Why?

Because people feel cut out of the process, unheard and unable to see how they can have real impact on public affairs. They want to have their involvement make a difference in the public interests. Government is out of the reach of ordinary citizens and does not respond to the needs of individuals and communities but to the interest groups and power players.

So?

When nothing else works, people begin to collaborate. The collaborative endeavors are engaging people in new ways, providing the role in public life that citizens want, allowing them to have a sense of commitment to their community.

Collaboration in Business

For more than thirty years, major business corporations in U.S.A – IBM, General Motors, Xerox and Kodak – have been losing ground to more efficient, more innovative and more customer-responsive international competitors. Many of those competitors adopted the ideas of W. Edward Deming (Deming, 1986; Walton, 1991) that, instead of relying on hierarchical organizations and detailed production methods to control the workers and products quality, shifted the focus to the process of how employees work together to produce quality products. If workers were trained in working together and trusted each other, they could produce outstanding work.

Collaboration in Education

A major problem in education reform is the complexity of the system: curriculum, how teachers teach, relation of institutes and community, governance and so on. However, the main problem is the failure of implementation and understanding of stakeholders.   Ideas cannot be implemented because other reformers and stakeholders block action. The implementation can succeed only if teachers, principals, parents, students, institutions and community members are involved. For example, Boulder Valley School District created school-based community to serve as center for decision making.

Collaboration in Family and Children Services

The loss of economic stability, provision of food and other necessities, and physical safety in families are the current problems in family services. Together We Can, a joint publication of US Department of Education and Department of Health and Human Services, identifies that the system divides the problems of families and children into separate categories and fails to link the solution together. In addition, there is a lack of functional communication among public organizations and private agencies. The key success is a family-centered, comprehensive, integrated and flexible system that tries to solve problems in both children and family system.

Collaboration in Community Health Care
The expert-driven, overly centralized and bureaucratic approach has dominated in the cities' health policy and it is very costly. Collaboration between health-care providers and the private voluntary sectors was minimal and narrow-minded. Heath care is not the sole responsibility of providers. The needs of the community have to be revealed and understood. In South Bend, Indiana, Memorial Health System, Mihiana Community and Planned Parenthood of North Central Indiana has worked together as a partnership and has accomplished more than any one of them could working alone.

Collaboration in the "Civic Community"
In the researched comparative study of the twenty government regions of Italy by Robert Putnam, the relative success or failure of each region was not determined by the measures of prosperity but by the degree that civic engagement were woven into the social fabric of the region. Effective civic engagement ensures political equality. A city is defined by Peirce as a region made up of historic center surrounded by cities and towns characterized by social, economic and environmental interdependence. Cities in US need to correct the problem of the inability to create effective systems of coordinated governance, close the gap between poor and rich people and stop the inefficient expansion of wasteful and environmentally damaging suburbs.

Key to successful Collaboration
- Good timing and clear need
- Strong stakeholder groups
- Broad-based involvement
- Credibility and openness of process
- Commitment and/or involvement of high-level, visible leaders
- Support or acquiescence of "established" authorities or powers
- Overcoming mistrust and skepticism
- Strong leadership of the process
- Interim successes and a shift to broader concerns

Martin, Ann and Robert Rich. 1999. Searching and Search Conferences. Mimeo. ILR, Cornell University: Ithaca, NY.
Summarized by Frederick Addison

The "search" brings people together to search for a desirable future for their common enterprise. The process uses a structured, systematic framework for a group to find both common and separate ground and, through an iterative series of discussions, discover how to advance their interests toward the desirable common future. The search conference is not an end in itself, but a catalyst for ongoing planning and implementation.

The Process
It proceeds through a series of small and whole group sessions.

Stages of a typical search:

Day 1

Introduction and Overview → Participant Expectations → Shared History (evening session)

Day 2

Ideal Future → Probable Future → Keep, Drop, create → Areas for Change → Mid-Search Check

Day 3

ACTION PLANNING

Definition of Areas for Change → Workflow Planning → Planning Templates → Follow up Planning → Search Evaluation
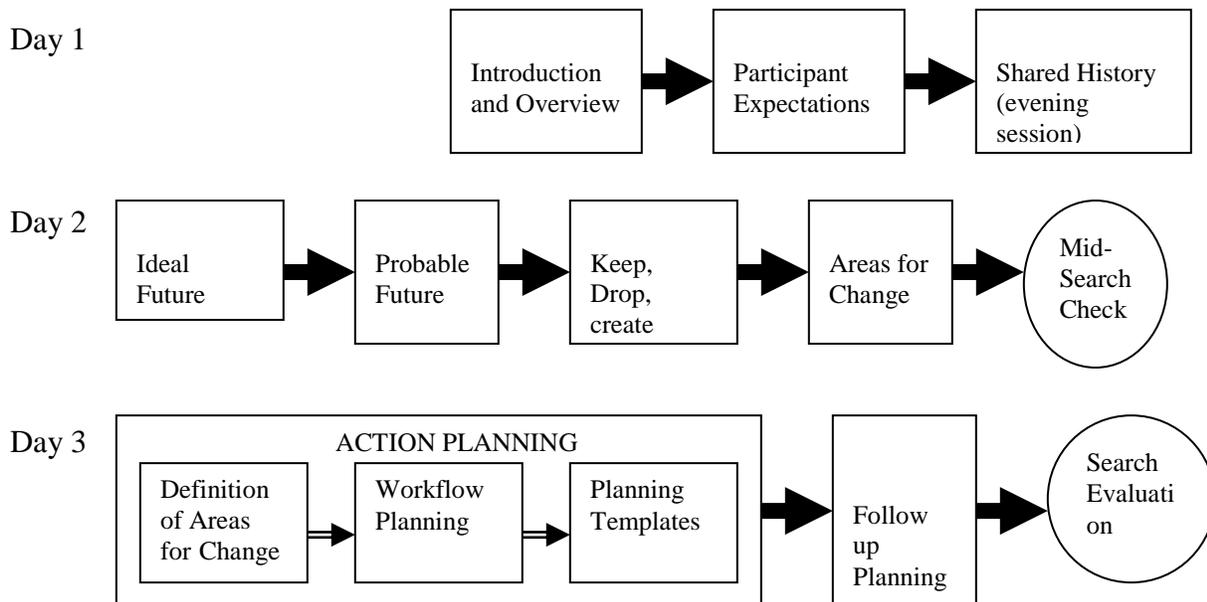
Search Conferences are normally conducted in a socially isolated environment where participants are disconnected from their daily concerns and responsibility. Typically, duration of search conferences are from two and a half days to a week.

Participation
Qualification for participation:
1. Have a genuine interest in advancing the well being of the organization or community on which the search is focused.
2. Be willing to participate in the entire search process.

The conference group should include all of the major functions and interest groups that are important to the planning task. The search is most likely to be successful if people with relevant experience and knowledge, past interest and commitment to improvement, and those with authority and responsibility to act on the outcomes are all represented. It is important that

everyone is given an equal opportunity to participate and contribute since it is assumed that everyone involved has valuable ideas, facts and questions that will help shape the whole.

Conflict and Consensus

The idea of the search is not to resolve conflicts, but rather for people to work together for solutions that will meet their separate interests. The concept of consensus is not an explicit goal, although agreement on certain preferred actions is often an outcome. Discovery of points of collaboration is the real goal of a search.

Outcomes

Outcomes are likely to be general agreement among participants on strategies for meeting the desired future and a preliminary action plan to achieve those strategies.

Preparation

1. Planning group, composed of representatives of community planning search and search managers, meets to clarify search question, set criteria for participation, and to identify all stakeholder groups. Stakeholder groups are asked to select their own representatives to the search
2. Planning group frames question participants will answer when they envision the future.
3. Prior to conference itself, search managers meet with prospective participants to explain the purpose and process of the search and the requirements for participation.

1997. "Building Community and Commitment to the Future: The Search Conference." CDS Practice, 6: 1-8.
Summarized by Frederick Addison

The search conference is growing in popularity as method for developing community plans and to galvanize action to achieve those plans. It has been used in private industry, government, and communities to produce participative strategic or plans. It is commonly used in large group interventions and is very appropriate for use in community settings.

The structure of search conferences is based on the principles of participative democracy and theory concerning how groups form and work together to accomplish tasks. Four features characterize the search conference:

1. The search for "common ground" regarding the desired future.
2. Focus on the desired future, rather than on solving problems.
3. Group-managed activities including self-management or self-facilitation of small group tasks.
4. Emphasis on action-taking in addition to planning. The intent is for the participants to take responsibility for implementation, even if they personally cannot take all the necessary actions.

Common ground differs from consensus-building. It assumes that there is a shared desired future or some outcomes that a diverse group of people can discover and agree to achieve. Areas of disagreement are not the focus of discussion; they are posted on a "disagree" list. Focus is on elements on which there is virtual unanimity.

Focus on desired future or vision leads to a different dynamic and different actions than does problem-solving. Groups tend to be energized and motivated when they focus on what they want. Actions required to create a desired result are often different from those required to get rid of a problem.

Break-out group discussions are self-managed since it is believed that people are capable of managing themselves and do not need to be guided or managed by others not involved in the content discussion. Conflict may arise, but it is assumed that they are capable of working it out because of the clear focus on a compelling task. This assumption has a practical purpose too: in the future they will not have the luxury of calling in a facilitator whenever they want to have a meeting. It is an opportunity to develop the skill needed and experience the power of the working mode of small groups.

The structure of the search supports the building of a sense of responsibility for the outcomes and commitment. Devoting sufficient time to action planning allows participants to decide what they can do as individuals and as a group to affect the choices they make.

The Process
Criteria to determine whether the search conference is the correct process:

a. Is the desire of the sponsoring group to develop a stronger sense of community?

b. Is the desire present that the group or sub-group take responsibility for follow-up, at least on some actions?
c. Will it be beneficial to have a process that will quickly bring a group to a sense of cohesion and common ground around some key areas?
d. Is it possible to convene participants for a 2 1/3 to 3 day period?

Preparing for the Search
1. Organize a pre-conference planning group; should include people from various sectors of the community for whom the search is being conducted, not as representatives, but as those who know about the different sectors. Planning group will make decisions regarding the structure of the search, including the focus question itself.
2. Planning group selects whom to invite. There are two schools of thought on how to do this: First – invitees should be people who have knowledge about the search topic and are willing to be responsible for decision making and implementation. Second – when search conference is for a community, it needs to be inclusive, accommodating all who wish to come, including key people with power to influence and implement. An effective approach to identifying the key invitees is a "community referencing system" – asking people in the community or in each sector who should be there. Other approaches include town hall meetings, open forums, etc.
3. Pre-conference planning group tackles logistical questions regarding time allocation, venue, dinning arrangements, funds needed and how to obtain them, how to enroll people attending.
4. Identification of conference managers, those who will lead the process. These are usually outsiders because trained people in the community often need and want to be in the search as active participants.

The Search
Generally include the following steps:
a. Brainstorming (the whole group) about global trends, forces, events; and then working (in small groups before integrating) on agreement about probable and desired futures for the world.
b. Brainstorming about the "task environment" – those trends, forces, events directly impacting the community or search conference topic.
 (a and b above are designed to help people discover they are psychologically similar to other people and develop a "shared psychological field," both conditions for dialogue.)
c. History or story telling about personal history in the community. Aimed at bonding people through awareness of their common appreciation of what they liked about their community.
d. Identifying (in large groups) those elements existing in the community that attendees want to keep, drop and create. The items are recorded on three different sheets.
e. Work on desirable future of the search topic in break-out groups. Groups are asked to agree to five to seven desired end states that describe what they want in the future.
f. Integration of the major themes from each group. The themes are clarified and discussed by the entire group before accepted. If agreement is not reached on any theme it is placed on the "disagree list".
g. Conduct action planning to develop first steps usually in small groups each working on a theme or element of their greatest interest. All groups develop a vision statement and then identify constraints and strategies to overcome the constraints, then brainstorm and discuss actions to lead to the goal.

h. All small groups report to the whole search community to discuss next steps, including coordination of activities, follow-up meetings, and how to disseminate the information to those who did not attend.

Potential Benefits and Pitfalls

Benefits
1. Development of a cohesive community that is responsible for and committed to its own future.
2. Encourages or creates space for participative democracy to occur both in the planning and in the implementation.
3. Engenders collective burden of responsibility for the outcomes by avoiding the creation of a bureaucratic form in which committee chairs bear the primary burden of responsibility for the outcomes.

Pitfalls
1. When composition of planning committee does not have the necessary networks to attract the key stakeholders or information sources that need to be there. Only when the appropriate people are in the search can significant action occur afterwards.
2. When the search question does not appeal to the interest or and attract people.
3. The potential of under representation or over representation of certain segments of the community due to lack of diligent effort to broaden the recruitment process.
4. The problem of inclusivity when dealing with very large groups and their associated logistical and management problems.

Fontana, Andrea and James Frey. 1994. Interviewing: The Art of Science. Pp. 361-376 in *Handbook of Qualitative Research*. Edited by Norman Denzin and Yvonna Lincoln. Thousand Oaks: Sage.
Summarized by Lynn M. Ross

Structured Interviewing

This type of interview involves a trained interviewer asking each respondent the same set of questions in the same sequence. There is little room for variation in response and all information is recorded by the interviewer according to an established coding format. In order to maintain the structure of the interview it is very important that interviewer adhere to the following guidelines:

- Never get involved in long explanations of the study
- Never deviate from the study introduction, sequence of questions, or question wording
- Never let another person interrupt the interview
- Never suggest an answer or agree or disagree with an answer
- Never interpret the meaning of a question
- Never improvise

The interviewer must "stick to the plan" while establishing rapport and engaging in interested listening. When errors do occur, they can typically be traced to three sources:

1. A respondent gives a socially desirable answer to please the interviewer, omitting or hiding other pertinent information.
2. Faulty wording in the questions or inappropriate type of questionnaire.
3. Flawed questioning techniques on the part of the interviewer.

Group Interviews

A group interview is not necessarily a focus group. There are several different types of group interview (see table 22.1). Regardless of the type of group interview selected, the interviewer requires a different set of skills than those employed for individual interviews. A group interviewer must:

- Prevent an individual or small coalition from dominating the larger group
- Encourage quiet group members to contribute
- Elicit full participation to get the best coverage of the topic
- Balance the role of directive interviewer with the role of moderator

Table 22.1   Type of Group Interviews and Dimensions

Type	Setting	*Role of Interviewer*	Question Format	Purpose
Focus group	Formal-preset	Directive	Structured	Exploratory pretest
Brainstorming	Formal or Informal	Nondirective	Very unstructured	Exploratory
Nominal/Delphi	Formal	Directive	Structured	Pretest exploratory
Field, natural	Informal, spontaneous	Moderately nondirective	Very unstructured	Exploratory phenomenological
Field, formal	Preset, but in field	Somewhat directive	Semistructured	phenomenological

Source: Frey and Fontana (in press)

Unstructured Interviewing
The unstructured interview provides a greater breadth than other interview types because it is qualitative in nature. This type of interviewing differs from the structured approach in that it attempts to understand complex behavior without any preset categorization. The goal is to understand rather than to explain. There are some basic elements of unstructured interviewing.

- *Accessing the Site* varies according to the group under analysis, which means the researcher must be flexible and able to adapt to new and changing situations.
- *Understanding the Language and Culture of the Respondents* is critical to understanding the information one is receiving. Use of an interpreter can be helpful, but may also add a layer of meanings, biases and interpretations that lead to further misunderstanding.
- *Deciding on How to Present Oneself* is very important because it leaves an impression on the respondents and can influence the success or failure of the study.
- *Locating an Informant* can be useful because an insider can help the researcher interpret cultural meanings, jargon, and language thus helping the researcher to avoid mistakes and save time.
- *Gaining Trust* is essential, but fragile. The researcher must always be on guard to avoid any faux pas that might jeopardize or destroy established trust.
- *Establishing Rapport* is key given that the goal of unstructured interviewing is to understand. A close rapport allows for more informed research but may also lead to a loss in objectivity on the part of the researcher.
- *Collecting Empirical Materials* in the field can be difficult, but the researcher should try to following this advice regardless of the circumstance: (a) take notes promptly and regularly, (b) write everything down, (c) try to take notes inconspicuously, and (d) analyze your notes frequently.

Other Types of Unstructured Interviewing
Oral History: Similar methodology with unstructured interview, but different purpose. Used as a way to capture information about groups and individuals that have been ignored, oppressed, and/or forgotten.

Creative Interviewing: Similar to oral history, but the interviewer adapts to ever-changing situations and does not use formal "how-to" rules. These reports go beyond the length of conventional unstructured interviews and may become "life histories" captured during multiple sessions with the respondent.

Postmodern Interviewing: Concerned with minimizing the interviewer's influence on the methods of collecting data and reporting findings. Methods include:

- Polyphonic: Voices of subjects are recorded with little influence from the researcher. The information is presented as multiple perspectives on a variety of subjects rather than as one collapsed report which glosses over the differences and problems discussed.
- Interpretive: Similar to polyphonic and creative interviewing. Attempts to capture epiphanies- moments in people's lives that are transformational experiences.

- Critical ethnography: Relies on critical theory and accounts for the social, economic, and historical situations. Attempts to broaden the political dimensions of cultural work while undermining the existing oppressive systems.
- Oralysis: Traditional interview coupled with visual images captured via video recording.

Gendered Interviews
"Gender filters knowledge"
The traditional interview paradigm (a masculine paradigm) does not account for gender differences, but the sex of the interviewer and of the respondent do make a difference. The hierarchical nature of the interview process places women in a subordinate position and ignores their concerns, personal feeling, and emotions. Traditional problems involving entree and trust are only heightened by the sex of the interviewer. Female interviewers often face the added burden of sexual overtures, covert sexual advances, or are considered low-status strangers.

Addressing the problem
There is a growing reluctance to continue interviewing woman as "objects." New emphasis on establishing a relationship between interviewer and respondent that minimizes status differences, gets rid of the traditional interview hierarchy, allows for the inclusion of the feelings and emotions of both parties by creating a level of reciprocity. Key principles of this new methodology include:

- Heightened moral concern for subjects/participants
- Attempt to redress the male-female hierarchy
- The paramount importance placed upon membership; effectiveness of men interviewing women largely discredited
- Realization that the "objective, distanced" interview gives us a one-sided, inaccurate picture.

Framing and Interpreting Interviews
Framing involves the types of interview selected, the techniques used, and the ways of recording information. In terms of techniques, consider the following:

- Techniques can and should be varied according to the group being interviewed. The researcher must enter the world of the individuals studied to share their concerns and outlooks.
- The use of language is very important in establishing "sharedness of meaning" and determining the type of question (broad, narrow, leading, instructive, etc.).
- Nonverbal communication (looks, body postures, dress, long silences, etc.) both informs and sets the tone for the interview.

Interpreting Typically readers are presented with the researcher's cleaned up, streamlined interpretation of the data in a collapsed, rational format. Many studies using unstructured interviews are not reflexive enough about the interpreting process. New emphasis involves a "confessional" style in which researchers reveal the complexities of their work, problematic feelings, and/or sticky situations. Using deconstructionism, the influence of the author is brought under scrutiny. Additionally, the postmodern approach reveals the human side of the interviewer removing the traditional "faceless, invisible researcher" cover.

Ethical Considerations

It might be useful to take another look at our previous readings on ethical issues and consider how they relate to the interview process. Specific issues to consider include: receiving informed consent, the right to privacy, protection from harm, the surreptitious use of tape-recording devices, degree of involvement on the part of the researcher, and the accuracy of the reporting. Many scholars consider most of the traditional in-depth interview techniques to be unethical because they basically amount to manipulating (to different degrees) respondents and treating them as objects.

Concluding Thoughts

An increasing number of researchers are beginning to realize that pitting one type of interviewing against another is counterproductive. A method of triangulation will achieve broader and often better results. Finally, we must remember that to learn about people we must treat them as people.

Morgan, David L. and Krueger, Richard A. 1993. Pp. 1-24 in *Successful Focus Groups*. Sage
Publications: Thousand Oaks, CA.
Summarized by Yusuke Matsushita

Some Myths About Focus Groups

1. Focus Groups Are Cheap and Quick
    - Focus groups often *appear* to be done cheaply because the research team donates a large
      amount of labor.
    - Although the group itself may last 1 or 2 hours, it takes time to create an effective set of
      questions, locate the appropriate participants, and make sense of data they provide.
    - The reality is that focus groups require planning, effort, and resources.

2. Focus Groups Require Moderators With Highly Developed Professional Skills
    - The first-order goals should be to define what the purposes of the project are and who the
      participants in the groups should be.
    - The moderator is the instrument in a focus group interview.
    - The key is to find someone who has experience working with groups and who is also
      capable of working with both the research teams and the participants in the particular
      project.

3. Focus Groups Must Consist of Strangers
    - If making groups composed of strangers, it becomes difficult to conduct focus groups in
      organizations, communities, and other ongoing social settings.
    - To deal with this problem, we should rely on a skilled moderator to meet the challenges
      posed by such groups.
    - We can also minimize the problem by selecting and ordering the questions in the interview
      guide.

4. People Will Not Talk About Sensitive Topics in Focus Groups
    - According to the author's experience, people readily talk about a wide range of personal
      and emotional topics.
    - The overdisclosure of sensitive information is also a problem.
    - The researchers must make plans both encourage appropriate self-disclosures and
      discourage disclosures that go beyond the legitimate aims of the research.

5. Focus Groups Tend to Produce Conformity
    - The goals of focus groups are not to make decisions or reach consensus but to find out
      about participants' experiences and feelings on a given topic.
    - A good moderator will try to create an open and permissive atmosphere in which each
      person feels free to share his/her point of view.
    - If the researchers are genuinely interested in learning as much as possible about their
      participants' experiences and feelings, conformity is seldom a problem.

6. Focus Groups Are a Natural Means of Collecting Data
   - The goal of focus groups is to collect concentrated discussions on topics of interest to the researcher, but the discussion of these topics may or may not feel natural to the participants.
   - In assessing the naturalness of a set of focus groups, the match between the researchers' topics of interest and the participants' topics of ordinary conversation is often more important than the characteristics of the research setting.

7. Focus Groups Should Not Be Used for Decision Making
   - To determine whether focus groups are adequate for making a decision, the researcher should begin by asking how difficult it would be to obtain "better" information.
   - We need to consider the consequences of a wrong decision.
   - We need to replace a knee-jerk rejection of focus groups as a basis for decision making with a careful specification of when they can provide useful information in a cost-effective manner.

8. Focus Groups Must Be Validated by Other Methods
   - If the goal of the research is specification rather than generalization, focus groups and other qualitative methods are likely to be preferred over quantitative methods.
   - If the goal is to generate theories or explanations, focus groups and other qualitative methods are appropriate tools.

When Not to Use Focus Groups

1. When the Primary Intent Is Something Other Than Research
   - The primary purpose of projects that rely on focus groups is to collect qualitative data to answer research questions.
   - Given the purpose, the fact that they are groups means that they may also serve other purposes as secondary functions.
   - The researcher must make the secondary purpose clear from the beginning.

2. When a Group Discussion Is Not an Appropriate Forum
   - Composing groups that make some participants unwilling to express themselves defeats the purpose of the research.
   - Research concerning sensitive topics must be extremely careful in regard to ethical issues, and insufficient attention to these issues is a sure way to dampen the open discussion that is at the very heart of focus groups.
   - The protection of confidentiality from other members within the group is important.

3. When the Topic Is Not Appropriate for the Participants
   - The match between the researchers' topics of interest and the participants' ability to discuss those topics is essential for successful focus groups.
   - A mismatch with the researchers' interest occurs most often when participants have too little involvement in the topic.
   - A mismatch also occurs when the participants' involvement with the topic is too high.

- Another problem with inappropriate topic occurs when we assemble the appropriate groups, but then ask inappropriate questions.
- The best match between researchers' and participants' interests happens when they each share the same goals. (working with a variety of question within each groups; working with a variety of different groups)

4. When Statistical Data Are Required
   - Focus group samples are usually both unrepresentative and dangerously small.
   - The statistical projections should not be made based solely on focus group results.
   - Some kind of counting may occasionally be useful in either conducting or analyzing focus groups, but one must always keep the fundamentally qualitative purposes of focus groups firmly in mind.

The Advantages of Focus Groups

1. When There Is a Power Differential Between Participants and Decision Makers
   - The interaction that focus groups bring is useful when normal channels between those who hold positions of power and those with no power are sometimes not available, because the interaction allows groups of peers to express their perspective.
   - Focus group interviews are especially useful when working with categories of people who have historically had limited power and influence.

2. When There Is a Gap Between Professionals and Their Target Audiences
   - Because of the interactions in focus groups, they are a powerful means of exposing professionals to the reality of the customer, student, or client.
   - Because the professionals work with the research team to set the questions for the discussions, they can get immediate and vivid feedback about how others respond to their ideas.

3. When Investigating Complex Behavior and Motivations
   - When the goal is to modify behavior that depends on complex information flow or a mix of attitudes, knowledge, and past experiences, the focus groups can provide the researcher with a tool that is uniquely suited to the task.
   - The interaction in focus groups often creates a cuing phenomenon that has the potential for extracting more information than other methods.

4. To Learn More About the Degree of Consensus on a Topic
   - Focus groups have a strong advantage to learn more about the range of opinions or experiences that people have because the interaction in the group can provide an explicit basis for exploring this issue.
   - The advantage of focus groups is that the exchanges among the participants help them to clarify for themselves just what it is that their opinion or behavior depends on.

5. When You Need a Friendly Research Method That Is Respectful and Not Condescending to Your Target Audience
- The friendliness of focus groups extends to both participants and to the end users of the research.
- From the researchers' point of view, a successful focus groups project can help to forge a human connection between those who commission a project and those who serve as the subjects of their investigations.

Sheatley, Paul. 1983. Questionnaire Construction and Item Writing. Pp. 181-203 in
Handbook of Survey Research. Edited by P.H. Rossi, J.D. Wright, and A.B. Anderson.
Thousand Oaks: Sage.
Summarized by Mei-Wen Huang

It is important to realize that the questionnaire is simply an *instrument*, a *tool*, to be employed
in the study of a research problem. It *may* or *may not* be the most suitable instrument for the
task.

Other methods than the questionnaire in survey research are as follows:
- Direct observation / measurement: "counting traffic" / "the Nielsen television ratings"
- Field experiments: the investigator devises a scenario and then records people's
  responses to the contrived situation
- Content analysis of newspaper / magazine articles and advertisements

Of course, all these methods have their own weaknesses as does using questionnaires; we
should not automatically assume that a brand new questionnaire is the only way to provide
the answer to the research problem.

Before deciding to use a questionnaire, we should consider two problems:
- Asking ourselves: "do people have the information?" - A questionnaire can bring out
  only what is in the mind of the respondent, and this is task enough.
- The willingness or readiness of the respondent to reply - Especially on some topics:
  drinking, drugs, sexual behavior, income, cancer …

Standardized questionnaires

A formal questionnaire may not be required when the collected data are not to be handled
statistically. *For example*: in interviewing community leaders about some topic of local
concern, standardized questionnaire may inappropriately narrow the discussion and prevent a
full exploration of each respondent's views.
On the contrary, if the researcher requires a large sample, if the services of many
interviewers will be employed or if the data will be subject to statistical analysis, the task of
designing a standardized instrument cannot be avoided.

In this kind of questionnaire, we should notice:
- There must be a *prescribed wording* for each question, so that each respondent receives
  the same stimulus.
- There must be a *prescribed order* for asking the questions / for the same reasons.
- There must be *prescribed definitions or explanations* to ensure that the questions are
  handled consistently.

There are some obvious disadvantages:
- People understand the questions differently
- Respondents are forced into what may seem to them an unnatural reply
- Respondents have no opportunity to qualify their answers or to explain their opinions
  more precisely

- Respondents may feel they have already answered the question when the interviewer asks other prescribed questions on the same topic.

An important consequence of the use of a standardized questionnaire is that, once it is printed, the researcher *is committed to it* and *can do little or nothing to improve it*. For example: when we conduct a standardized questionnaire, administered by dozens of interviewers working simultaneously in many different locations, the researchers may not even be aware of any problem with the instrument until the field work is largely completed. If they suddenly have some great new thought and now see that an important question has been omitted, they cannot suddenly stop 50 or 100 interviewers and tell them to add the item.

Mode of administration

Many issues of questionnaire design hinge upon the mode of its administration. There are two basic modes: self-administration by the respondent and administration by an interviewer who asks the questions. Each of these can be subdivided or combined in various ways.

Features \ Modes	Self-administration	Administration by an interviewer
Example	Mail survey	Telephone interview
Interviewer	no interviewer is present	Interviewers present
Advantages	Its low cost Collecting data from very specialized and highly motivated groups (ex: opera-goers; members of a professional organization)	A high completion rate Interviewers can be used to reassure respondents, to answer their questions and even to edit their completed questionnaires
Disadvantages	Response rates are generally low with resultant large biases Less-educated persons may have trouble following the instructions Inadequate answers cannot be probed for a more specific or relevant response If respondents are puzzled by an item, there is no interviewer to explain it to them Question order biases may also occur because the respondent can study the whole questionnaire before answering the first question	Cost are high There is also potential bias Such samples are usually inefficient for large-scale research because members of the groups are not independently selected
One obvious distinction	An *untrained* respondent will fill out the questionnaire; thus, the questions should be kept as simple, short and self-explanatory as possible / the instructions should be brief and clear.	The interviewer will be a *trained* individual or can use the survey it proficiently under all circumstances.

Type of sample to be interviewed

A second major variable affecting questionnaire design is the type of sample from which data are to be sought. It might be noted that because questionnaires are usually written by educated persons who have a special interest in and understanding of the topic of their inquiries, it is much more common for questionnaires to be overwritten, overcomplicated,

and too demanding of the respondent than they are to be simpleminded, superficial, and not demanding enough.

Qualities of a good questionnaire

A well-designed questionnaire should: (a) meet the objectives of the research; (b) obtain the most complete and accurate information possible; and (c) do this within the limits of available time and resources.

Deciding on content

The following five steps are generally applicable:
  (1) Decide what information is required.
  (2) Draft some questions to elicit that information.
  (3) Put them into a meaningful order and format.
  (4) Pretest the result.
  (5) Go back to 1.

Note that one does not start by writing down questions. The first task, and the hardest, is *to figure out which factors are relevant to the problem*. Most research begins with at least a vague notion of the kinds of information required.
A checklist of variables: Researchers have long sought to codify the various dimensions of public opinion that should normally be covered in survey research. One of the earliest of these was Gallup's "quintamensional" technique.
  (1)   the respondent's knowledge or awareness of the issue
  (2)   the respondent's interest in the problem or concern about it
  (3)   respondents' attitudes toward the issue, the direction of their opinions
  (4)   why do respondents feel the way they do? (what are the reasons?)
  (5)   how strongly is the opinion held? (what is the intensity of the attitude?)
These five dimensions may seem most applicable to Gallup-type inquiries. Most experts have agreed on these five, but have suggested various others that may also be important in particular cases, such as "respondents' readiness to act" and "perception of others' beliefs." Also, demographic variables such as age, race, or length of residence may be important.

Writing the questions

The *accuracy* and *validity* of our data depend entirely on *the questions we ask* and *the ways in which our respondents perceive and respond to them.*

Open versus closed questions
Survey questions can be classified broadly into two forms: open and closed. Sometimes, researchers make efforts to combine the open and closed forms of question, but this is rarely successful.

Features \ Forms	Open Questions (Open Ended)	Closed Questions (Multiple Choice)
Difference	Ask for a reply in the respondent's own words	Ask respondents to choose one of two or more categories that have been suggested to them
Advantages	allow respondents to answer in their own frames of reference, entirely uninfluenced by any specific alternatives suggested by the interviewer respondents can attach qualifications to their answers or emphasize the strength of their opinions	take less time and cost less money makes coding afterwards easier
Disadvantages	open questions inevitable elicit a great deal of repetitious, irrelevant material respondents will often miss the point of the question the interviewer must then do some sensitive probing to bring respondents back to the subject, to clarify their answers, or encourage them to elaborate takes more time and costs more money	they suggest answers that respondents may not have thought of before they force respondents into what may be an unnatural frame of reference they do not permit respondents to express the exact shade of their meaning
Be usually employed in such cases:	when there are too many categories to be listed or foreseen when one wants the respondent's spontaneous, uninfluenced reply to build rapport during the interview, (following a long series of closed questions that may make respondents feel they have no chance to express themselves) in exploratory interviewing and pretesting, (when the researcher wants to get some idea of the parameters of an issue, with a view to closing up the questions later)	(others than left cases)

Response Categories: closed questions permit researchers to specify the answer categories most suitable to their purposes. Many questions form natural dichotomies and often the researcher will just want to sort the sample into two groups: those who *approve* versus those who *disapprove*, or those who *have knowledge* of a particular issue versus those who *are ignorant of* it. But this provides a poor response distribution. It is worth noting some common response categories that appear on professional surveys ~

(1) *excellent – good – fair – poor*: useful for state of health / housing / transportation
(2) *approve – disapprove; favor – oppose; are you for or against; good idea – bad idea*: opinion
(3) *agree – disagree*: used with a wide variety of statements or propositions
(4) *too many – not enough – about right; too much – too little – about right amount*: for measuring people's satisfaction with amounts
(5) *better – worse – about the same*: for comparisons with past or expectations for future
(6) *very – fairly – not at all*
(7) *regularly – often – seldom – never*: frequency of many kinds of activity
(8) *always – most of the time – some of the time – rarely or never*: another measure of frequency

(9) *more likely – less likely – no difference*: A measure of probability of the respondent's action

Some common errors in question writing:

(1) Double-barreled questions	(2) The false premise
(3) Vague, ambiguous words	(4) Overlapping alternatives
(5) Double negatives	(6) Intentions to act

Some principles of question writing: "Keep it simple" is the most important. Also, be sure to include demographic questions, and make questions comparable to data available in census and other surveys

Question order and format

After deciding on the content of the questionnaire – the variables to be measured – and after drafting specific items designed to elicit that content, the researcher's next task is to group these questions into some reasonable order and put them into questionnaire format. The first part is an "introduction" explaining the purpose of the survey and requesting an appointment for an interview. (If the introduction prepared by the researcher leads 30 or 40% of the respondents to refuse, it is a bad survey, no matter how well designed the questionnaire is.) Two important facts should be revealed in a standardized introduction: (a) who the survey is for; and (b) what it is about.

- Ordering the question:
- Length of the questionnaire:
- Questionnaire format:

Pretesting

The fourth stage of questionnaire design is to try out the questionnaire on a pretest sample. It is recommended that researchers themselves conduct two or more pretest interviews, and not with their colleagues or family, but *with strangers*, because the best way to learn how to write a good questionnaire is to interview with a poor one.
Pretesting reveals the major difficulties and weaknesses in a questionnaire. Usually 12-25 cases will reveal weaknesses.

Back to the drawing board

After the pretest, the researcher can return to Stage 1 of the questionnaire design process and think through again the kind of information necessary to answer the problem that the survey is intended to illuminate. The researcher can then look at the wording, order, and format of the questions used on the pretest. Timely consideration will enable the researcher to sharpen and refine the instrument to make it ever more efficient in fulfilling its task. (If the survey is using many new questions or techniques invented solely for this purpose, a second pretest is strongly recommended.)

Data-base considerations

At this point, it is essential that one give some attention to the management of the data base that the questionnaire will produce. A set of completed interview schedules is , after all, not the end-product of the survey; those completed schedules have to be coded, keypunched, and rendered into computer-analyzable form.

Other types of instruments and materials

Data collection instruments do not necessarily take the form of questionnaires. Sometimes they are report forms, record sheets, or rating forms that may not ask any specific questions but that provide categories for either the interviewer or the respondent to fill by entering a code, a number, or a written response. *For example*: miles traveled, purpose of trip, expenses (parking, tolls, gasoline, etc.) …

All such forms and materials require the same careful design as the questionnaire: consideration of the kind of information needed, clarity and brevity in the wording of the various categories or items and in the instructions for their use, logical ordering of the items, an easy format to follow, and actual testing before they are put into final use.

Bouma, Gary D. and G.B.J. Atkinson. 1995. Selecting a Sample. Pp. 137-63 in *A Handbook of Social Science Research*. Oxford University Press: New York.
Summarized by Ching-Fei Hsu

How to Select A Sample
Given that it is impossible to know everything about everyone or all groups, selections must be made.
  1. Decide what you want to know. Form a hypothesis   Focus it   Make it operational
  2. Whom do you want to know? What is it you want to know? Identify the population about which you want to know something. (See example in p.140)

Types of Sampling Procedure
Non-random Sampling Procedure
If a non-random sampling procedure is used, one can only hope that those selected for study bear some likeness to the larger group. The conclusions drawn from a study of a non-random sample are limited to that sample and cannot be used for further generalizations.

1. Accidental Sampling
Using what is immediately available.
Advantages: accidental samples are handy, and require little effort; particularly useful for pre-testing.
Disadvantages: The findings of a study are strictly limited to those studied, and the researcher does not know in what ways the sample is biased. There is no way of checking this without doing a study of everyone, or a study of a properly drawn random sample.

2. Accidental Quota Sampling
It partially overcomes the difficulty of an accidental sampling that it is uncertain which aspects of the total population are included and which are not. In an accidental quota sampling, the researcher selects individuals or groups on the basis of set criteria.
Advantages: it is useful when a particular group or characteristic is relatively rare in the population. By setting a quota, and selecting people until the quota is filled, the group or characteristics you want in the sample are there. Also, it is often used due to the pressures of time and budget.
Disadvantages: Although the researcher is assured of the presence of certain categories in the sample, the representativeness of the sample is still not ensured. It is due to that the individuals, or groups, are not selected randomly.

3. Purposive Sampling
Researchers use their own judgement or intuition to select the best people or groups to be studied. Carefully qualify any tentative conclusions you might wish to draw on the basis of a study of a purposive sample.

4. Systematic Matching Sampling
When a researcher wants to compare two groups of very different sizes.

Example: a study comparing female and male headteachers of secondary schools in an area in terms of career satisfaction. There are few female secondary heads in the area, so the researcher would study the entire population. However, the researcher might *select* a sample of male heads who matched a female head in certain features deemed to be important to the consideration of career satisfaction. Disadvantages: representativeness is weak.

Random Sampling Procedure
A random sampling procedure provides the greatest assurance that those selected are a representative sample of the larger group.

1. Simple Random Sampling
Ideal method of drawing a sample; however, very difficult to do. It guarantees that each element (person, group, class, school, etc.) in the population has an equal chance of being selected and that every possible combination of the specified number of elements has an equal chance of selection.
To do this, identify the population from which the sample is to be drawn. Then enumerate and list each element (pr persons, households, car owners, etc.) in the population. Finally, devise a method of selection which ensures that each element has the same probability of selection and that each combination of the total number of elements has the same probability of selection.
Acceptable Compromise: given the virtual impossibility of meeting all these criteria, a number of acceptable compromises have been devised.
Example: you want to study a simple random sample of the 250 first-year English students in a particular university. First, identify the population (i.e. the 250 first-year English students in a particular university). Then, identify and enumerate each element in the population. Finally, select the sample.
The most acceptable form of selecting a sample from an enumerated population involves the use of a *table of random numbers*. Another acceptable form of selection is to put all the names or numbers in a hat and draw out the number required.

2. Systematic Sampling
The selection of every n[th] case in a list.
Example: you have a list of 400 students in a school and you want a sample of 80. Select the starting-point, then select each fifth element.
Advantages: it provides an acceptable approximation of the ideals of the simple random sampling procedure.

3. Stratified Random Sampling
Identify and enumerate each sub-section or stratum of the population to be studied and draw elements from it by a random sampling procedure. (divide a large group into smaller more finely defined groups)
Criteria used to stratify populations: age, stage in the life cycle, gender, occupation, location (rural vs. urban), size (large school vs. small school). The criterion for stratification will be suggested by your hypothesis.

4.Cluster Sampling

It is developed to deal with large and scattered populations (national samples). First, divide the population into segments. Then, randomly select elements within each segment following identification and enumeration (only the elements in the selected segment need to be identified and enumerated).

Conclusion
Selecting a procedure for your research depends largely on the population about which you wish to draw conclusions. *Example*: if you are happy to limit your conclusion to the students in your class, that accidental sample will do perfectly well.
Random sampling procedures are particularly important in research which aims to assess the attitudes, values, or beliefs of a population.

Determining Sample Size

Several basic issues need to be considered in determining sample size.
1. If statistics are going to be used in the analysis and interpretation of data, there are usually requirements for sample size.
2. The more accurately the data must reflect the total population, the larger will be the sample.
3. The more questions asked, the more controls introduced, the greater the detail of the analysis of the data, the larger the sample will have to be in order to provide sufficient data for the analysis.

Suggestions for student projects.
1. Thirty individuals are required in order to provide a pool large enough for even the simple kinds of analyses.
2. You need a sample large enough to ensure that it is theoretically possible for each cell in your analytical table to have five cases fall in it.
Example: student snack selections (see p.153)
*A dummy table is a table prepared before the collection of data to help to focus the issues of the research, to guide data collection, and to help determine sample size.

Sweet	Fruit	Other

Figure 7.2 A dummy table for the categorization of student snack selection

The minimum sample size would be $3\times5=15$; but it would still be preferable to have 30 because of the first basic rule.

Miles, M.B. and Huberman, A.M. 1994. *Qualitative Data Analysis: An Expanded Sourcebook*. Thousand Oaks, CA: Sage.
Chapter 9: Matrix Displays: Some Rules of Thumb
Summarized by Worrasit Tantinipankul

Matrices and networks are systems for using data. Matrices essentially involve the crossing of two or more main dimensions or variables to see how they interact. They lend themselves to a variable-oriented analysis style and can be expanded to more case-oriented styles. Networks involve a series of nodes connected by links. They lend themselves to a case-oriented, syntagmatic approach that re-creates the "plot" of events over time, as well as showing the complex interaction of variables.

Matrix Elements
We can construct a matrix by considering the character of data to lay out in two dimensions.

1. Descriptive v. explanatory intent. There are two purposes of data. The first one is data to describe what's there and the second is data to explain why it's there. The second may be more complex in form of ordering.
2. Partially ordered v. well-ordered. We should look at the order of data in each row and column to see the continuity and relationship of data in the same group.
3. Time-ordered v. not time ordered. Ordering matrix by time can help for analysis of flow, sequences and chronology and create cause and effects.
4. Categories of variables. How you categorize the data. For instance, in groups of doctors, are we sorting doctors by specialty or status? For patients, by age or by symptom?
5. Two-way, three-way. We can subdivide data in each column or row to have clearer display in detail of data.
6. Cell entries.
7. Single-case v. multiple case data. The single case explaining phenomena in an individual or group may be need only a simple row and column arrangement, but in multiple cases, row and column need to serve the cases to provide more data in matrix display.

Entering Matrix Data
The quality of conclusions derived from a matrix cannot be better than the quality of data. A complete matrix cannot be good even though it looks good, if the data were collected poorly.

Rules of Thumb for Data Entry
1. Be clear about the level of data. Higher density and more categories of data make the data display more useful.
2. Remain aware of what you have done. There is always a great deal of selection condensation from the mass of field notes.
3. Use code to locate material. It is important to know where the data came from.
4. Keep an explicit record of the decision rules that we can follow in selection of data.

5. The decision rule must display clearly its association with the matrix.
6. Show the data in matrix even if some are missing.
7. The basic strength of qualitative matrices is the inclusion of the text.

Drawing Conclusions from Matrix data
The matrix can help the analyst understand the data better in situation of research.

1. The matrix is helpful for a quick scan of data, and the researcher can notice what is jumping out from the rows and columns.
2. The matrix can help to draw the first conclusion by noting patterns, themes, contrasts and comparison.
3. Make sure the conclusion is explicit.
4. Check back with the matrix to make sure that conclusions are not oversimplified.
5. First conclusion needs to check back to the written-up field notes.
6. The matrix is useful when we can seek confirmation through the feedback from informants.
7. Researchers need to understand a single case before they go through the cross-cased pattern.
8. In writing conclusions, look for genuinely representative exemples of the conclusions.
9. Clarify the conceptual import of the conclusion that may tie into other theories of social behavior.
10. Document conclusion-drawing procedure and ask for an occasional review from colleagues.
11. Be careful about the data that readers will read along with the text

Miles, M.B. and Huberman, A.M. 1994. *Qualitative Data Analysis: An Expanded Sourcebook, 2nd Edition*, Thousand Oaks, CA: Sage.
Chapter 10: Making Good Sense: Drawing and Verifying Conclusions.
Summarized by Marc Boey

I am covering two sections in my review:

Tactics for generating meaning: These are the strategies for sifting, ordering and organizing 'chaotic' data so that they make sense to us. These tactics help us arrange raw data to facilitate better analysis and interpretation.

Tactics for testing or confirming findings: These are the strategies that can verify whether your findings are correct or wrong.

A. Tactics for generating meaning
Miles and Huberman listed 13 specific tactics for sifting, ordering and organizing of data.

No	Tactic	Explanation
1	Noting Patterns	Identifying themes from a seemingly senseless/abstract collection of empirical data. E.g. Noting that many of the MSC buildings uses wood for interior decoration, has *ikat* or *batik* prints for decoration, has dome-like structures for their roofs, arches in their structural forms, engages foreign architects, composed of glass and steel, have high-tech gadgets, etc.
2	Seeing Plausibility	Taking leads or pointers that can help you organize your data more effectively. It is a preliminary and exploratory method and needs to be verified by the other tactics listed below. E.g. is there a connection between buildings, which uses lots of wood with those that use has ikat, or *batik* prints for decoration.
3	Clustering	Grouping and conceptualizing the data; bundling the variables or themes which you have identified earlier. E.g. buildings that uses wood for interior decoration, has *ikat* or *batik* prints for decoration can be grouped together because they bear strong local architectural characteristics; those with domes and arches can be grouped separately because they are very similar to those in the Middle East or India; those of glass and steel and with high-tech gadgets in another group.
4	Making Metaphors	Labeling the different clusters of data in meaningful ways that can better integrate the clusters. E.g. traditional architecture; Islamic architecture; modern architecture.
5	Counting	Simply quantifying the data that have been collated above. It is a good way of testing for possible bias, and seeing how robust our insights are. E.g. How many building in the MSC uses dome structures?
6	Making Contrasts/ Comparisons	It is a technique that provides yet another layer of meaning to the data. E.g. Comparing and contrasting buildings designed by local and foreign architects. Are they similar or different?

7	Partitioning Variables	It is another way of clustering data and can occur in the early stages of the process. It depends on your needs. E.g. traditional architecture can be further broken down into Traditional-local such as *ikat* and *batik* art forms or tradition-foreign such as Islamic architectural forms.
8	Subsuming Particulars into the General	A more sophisticated level of clustering that entails a deeper analysis or investigation into the often intuitive clustering that occurred earlier on. It is often a theoretical and conceptual activity. E.g. I can take two broad groups of architectural traits - traditional and power (eg mammoth size of buildings) architecture – and regroup them under hegemonic architectural forms. In this case size of buildings and their forms seem to be unconnected at an intuitive level. But deeper analysis finds that they are connected in that both attempt to exert a form of hegemonic control.
9	Factoring	Finding communalities in clusters of data. Almost similar to Tactic No.8.
10	Noting Relations Between Variables	Trying to decipher the relationship between different variables. E.g. Does a foreign architect increases the level of modernity in a building? Does traditional building forms necessary mean traditional building materials?
11	Finding Intervening Variables	Similar to Tactic No.8.
12	Building a Logical Chain of Evidence	This tactic essentially involves linking up the earlier ordered groups of data to reach some supposition. The causal links must make sense in order for them to be viable. E.g. use of wood is a local architectural trait; it is affiliated with Malay cultural tradition rather than those of the other ethnic group; the projects that utilizes wood are government-linked; the government is dominated by Malays; the dominance in the use of wood in the MSC projects is used by the government to assert cultural hegemony over the other ethnic groups.
13	Making Conceptual/ Theoretical Coherence	Building theory by connecting the organized data with theoretical constructs from sources outside the primary research. The theories may be from your literature review and may conflict as well as support the findings from your data. E.g. Existing theories of architectural hegemony suggest that 'size does matter' and gargantuan structures are symbols of hegemonic control (e.g. the architecture in Nazi Germany).

B. Tactics for testing or confirming findings

Miles and Huberman also listed 13 specific tactics for increasing our confidence in the data.

No	Tactic	Explanation
1	Checking for Representativeness	To take a broad enough sample that can accurately portray a trend. This can be done by increasing the number of case studies, looking for contrasting cases (discussed below), and careful selection of the sampling frame.
2	Checking for Researcher Effects	Two different types of effects: the distorting effect an 'outsider' interviewer has on the 'insider' interviewee; and the distorting effect an 'insider' interviewee has on the 'outsider' interviewer.

3	Triangulating	Different type of triangulation: by data source (Which can include places, times, persons, etc); by method (observation, interview document) by researcher (different investigators), by data type (qualitative and quantitative). Using more than one source helps to verify the findings. The aim is to pick triangulation sources that have different biases, different strengths, so they can complement each other.
4	Weighting the Evidence	Understanding that different some data sources are stronger or weaker than others. The objective is to maximize the use of the strong ones and minimize reliance on those that are weak. E.g. data collected later and after repeated contact is stronger than those collected early during entry. The strategy is to keep a good log of data quality issues.
5	Checking the Meaning of Outliers	Investigating deeper into outliers. These cases usually provide evidence that strengthens an original conclusion.
6	Using Extreme Cases	Questioning informants that may have a strong bias. E.g. Soliciting opposition political parties for their views on the MSC landscape. Or policy-makers involved directly in the MSC projects. If the latter criticizes the project then the answer may be very persuasive because you would not expect this administrator to make such a statement at all.
7	Following-Up Surprises	Findings that deviate from your suppositions but offer new perspectives on your research. These 'surprises' should be followed up by looking at how they could lead to a new theory or a revised theory. E.g. My initial supposition is that MSC landscape is used to promote culture hegemony. But an informant may reveal information that suggests that the MSC landscape also sustains economic hegemony.
8	Looking for Negative Evidence	Looking for data that opposes your conclusions.
9	Making If-Then Tests	Trying to draw causal relationship between findings and suppositions (?).
10	Ruling out Spurious Relations	Revaluate and reexamine seemingly causal relationships to verify if it is spurious. E.g. Intuitive assumption that traditional architecture is for preserving national identity. But a deeper investigation may reveal that promoting national identity is not the main goal; promoting cultural hegemony is the real objective.
11	Replicating a Finding	Testing out the findings at other sites/with other case studies. E.g. Are the reasons for the hybrid landscape in Malaysia similar to those in Singapore, Hong Kong, and Jakarta? Will conducting a similar study in these other cities replicate the findings?
12	Checking Out Rival Explanations	Comparing rival explanations on the same subject matter. This helps to eliminate biases if any. E.g. The hybrid MSC landscape results from meeting the conflicting needs of hegemony and economic development. Are there any other explanations for hybrid landscapes?
13	Getting Feedback from Informants	Feeding back findings to informants for verification. This allows informants to confirm the accuracy of the information that is being collected/recorded. May be carried out at the end or during the data collection process itself. E.g. sending a interview summary to the informant.

Miles, M.B. and Huberman, A.M. 1994. *Qualitative Data Analysis: An Expanded Sourcebook*. Thousand Oaks, CA: Sage.
Chapter 10: Making Good Sense: Drawing and Verifying Conclusions
Summarized by Worrasit Tantinipankul

C. Standard for the quality of Conclusions

This section is about the question of the liability of conclusions mostly in qualitative method. How can we know that the final findings are good? The basic question of the goodness can be approached from a "Justificatory" point of view. However, many researchers have pointed out that the problem of quality in qualitative studies needs to be understood in its own terms not the justification devices. Many interpretivist researchers suggest that it is not really possible to specify criteria for good qualitative work. Moreover, the effort to do was viewed as expert–centered and exclusionary, and not responsive to contingent, contextual interpretative nature of any case study.

The view of Miles and Huberman is that quantitative studies take place in a real social world and can have real consequences in people's lives; that is reasonable view of " what happened" in particular situation. The researchers should not consider the work is unjudgable. The authors suggest the five main criteria for goodness.

1. objectivity/ confirmability of qualitative work
2. reliability/dependability/auditability
3. internal validity/creditability/authenticity
4. external validity/ transferability/fittingness
5. utilization/application/action orientation

Objectivity/ Confirmability
The basic issues are relevant queries of neutrality and unbiased conclusion

1. Do we feel that we have a complete picture including "backstage" information?
2. Can we follow the process that transforms data to specific conclusion drawn?
3. Are the conclusions linked with the exhibit data?
4. Is there a record of study methods and procedures, detailed enough to be followed as an "audit trail"?
5. Has the researcher been explicit and as self-aware as possible about personal assumptions, values and biases?
6. Were competing hypotheses or rival conclusions really considered? At what point of study?
7. Are study data available for reanalysis by another researcher?

Reliability/Dependability/Auditability
The issues are the consistency, reasonability and stability of the study process and method over the time.

1. Are research questions clear, and are the features of the study design congruent with

    them?
2. Is the researcher's role and status within the site explicitly described?
3. Do findings show meaningful parallelism across data sources?
4. Are basic paradigms and analytic constructs clearly specified?
5. Were data collected across the full range of appropriate settings, times, respondents, and so on suggested by the research questions?
6. If multiple field-workers are involved, do they have comparable data collection protocols?
7. Were coding checks made, and did they show adequate agreement?
8. Were data quality checks made (for bias or deceit)?
9. Do multiple observers' accounts converge, in instances, settings or times when they might be expected to?
10. Were any forms of peer or colleague review in place?

Internal Validity/Credibility/Authenticity
Do the findings make sense and provide the real picture of story?

1. How context-rich and meaningful are the descriptions?
2. Does the account "ring true," make sense, seem convincing or plausible, enable a "vicarious presence" for the reader?
3. Does the account render a comprehensive arrangement of local context?
4. Did triangulation among complementary methods and data produce generally converging conclusions?
5. Are the presented data well linked to the categories of prior or emerging theory?
6. Are the findings internally coherent?
7. Were rules used for confirmation of propositions, hypotheses?
8. Are areas of uncertainty identified?
9. Was negative evidence sought for?
10. Have rival explanations been actively considered?
11. Have findings been replicated in other parts of the database than the one they arose from?
12. Were the conclusions considered to be accurate by original informants?
13. Were any predictions made in the study, and how accurate were they?

External Validity/ Transferability
The issue is the transferability of conclusion of a study. Can it be applied to other contexts?

1. Are the descriptions of sample data displayed fully enough to compare with other samples?
2. Does the report examine possible threats to generalizability? What is the limitation that affects sample selection?
3. Is sampling theoretically diverse enough to encourage broader applicability?
4. Does the researcher define the scope and boundaries of reasonable generalization from the study?
5. Do findings include enough "thick description" for readers to assess the potential

transferability, appropriateness for their own settings?
6. Does a range of readers report the findings to be consistent with their own experience?
7. Are the finding congruent with, connected to or confirmatory of prior theory?
8. Are the processes and outcomes described in conclusions generic enough to be applicable in other settings?
9. Is the transferable theory study explicit?
10. Have narrative sequences been preserved unobscured?
11. Does the report suggest settings where the findings could fruitfully be tested further?
12. Have the findings been replicated in other studies to assess their robustness?

Utilization/Application/Action Orientation
The study needs to provide its goodness to researchers and participants as well as consumers. Are there ethical issues that researchers should consider about consequence of the study? Real people will be affected from research. Who will benefit from the research, and who may be harmed?

1. Are the findings intellectually and physically accessible to potential users?
2. Do the findings stimulate " working hypotheses" on the part of the reader as guidance for future action?
3. What is the level of usable knowledge offered?
4. Do the finding have a catalyzing effect leading to specific actions?
5. Do the actions taken actually help solve the local problem?
6. Have users of the findings experienced any sense of empowerment, of increase control over their lives?
7. Have users of findings learned, or developed new capacities?
8. Are value-based or ethical concerns raised explicitly in the report?

D. Documentation

The problem
This issue is about the report of qualitative research. The researchers in qualitative research should have audiences for process of their research. There are three steps in this.

1. The first audience is researchers to keep track what they had done along the way.
2. The second is the people who are the readers of the report and need to know the result of report. They need to know the reason of analysis.
3. The third is other researchers who may interested in doing a subsequent analysis of data.

Why do we need the report and documentation of qualitative research? Lofland argued that qualitative research seem to lack a public, shared and codified conception of how what they is done and how they report should be formulated. Qualitative studies are rich in description of settling, people, events and processes but often indicate little about the way to get information and almost nothing about how conclusion were drawn. It is difficult to verify that the information is correct. The researchers need to verify their

methodology by the report. Presently, many journals require authors of empirical studies to report their procedures so researchers and readers can track down and use the research data for other analysis.

Suggestion

Lofland and Lofland suggest the explaining the study inception, relation with informants, private feeling and data gathering, data focusing and analysis.

Illustration

The documentation form that Miles and Huberman developed is focused on a single research question issue in first item and asks for the explanation of analysis design to and complete description of procedure as follow.

Qualitative Analysis Documentation Form
_____

In this analysis task, what, specifically, were you aiming to do? (Give context and a short rationale; say whether focus is exploratory or confirmatory; make the connection with earlier analyses.)

Description of procedures. Work sequentially, keeping a log or diary of steps as you go through the analysis. Use a second sheet if needed. If the analysis task changes substantially, use a new form, redoing items 1 and 2 above.

Specific data set in use	Procedural Steps (number each one, explain what was done, and exactly how it was done)	Analysis Operations (enter codes)			Conclusions Drawn	Research Comments
		Readying data for analysis	Drawing conclusion	Confirming conclusions	From these specific analysis operations; give substance in brief.	reflections, remarks on any of the preceding.

The procedure includes the data sets which analysis was conducted, procedural steps , the decision rule used to manage data, the analysis operations involved, the primary conclusions to which the analysis led, and any concluding comments.

Advice
1. Be clear what is our objective in doing documentation: for study steering and revision, for personal learning, for getting feedback, for actual credit.
2. Remember that audits always have a political dimension.
3. Documentation detail depends on different study focus.

Lofland, John and Lyn Lofland. 1995. *Analyzing Social Settings: A Guide to
Qualitative Observation and Analysis*. Belmont, CA: Wadsworth.
Chapter 7: Asking Questions.
Summarized by Frederick Addison

Social analysts commonly pose eight basic questions about social topics. The following
figure summarizes the eight types of questions and their relationships:
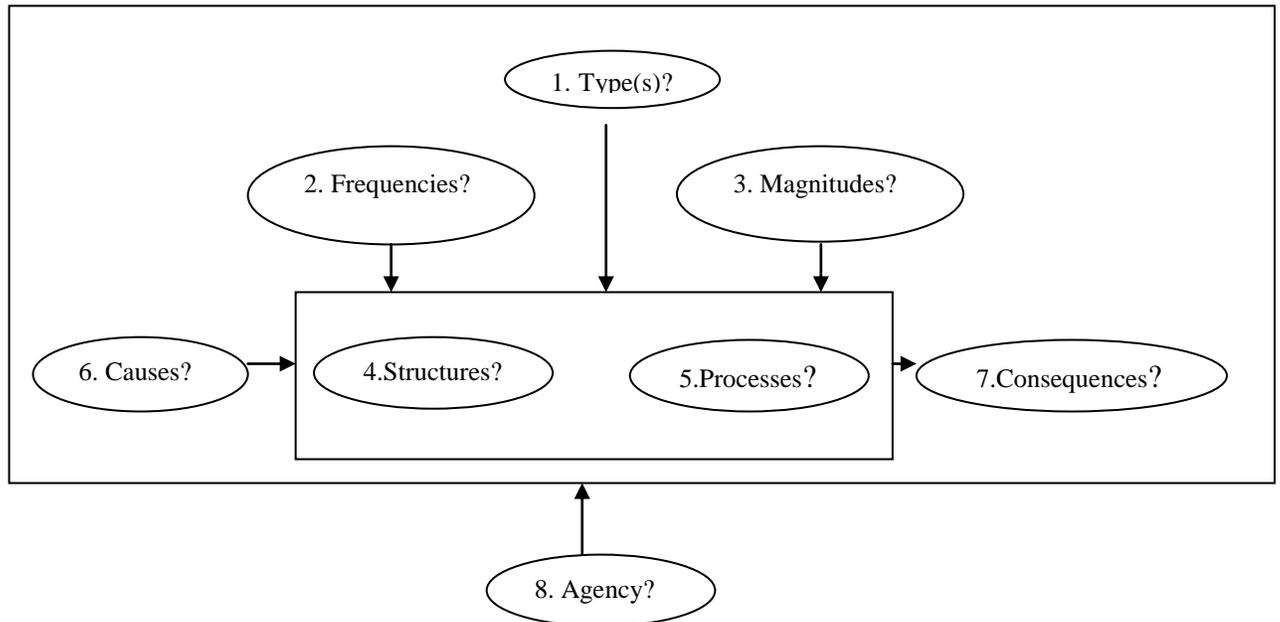
What are the topic's types?
The Loflands see the definition of the case under study as fundamental and important in
any social study. That is, "What is this thing (or things) I see before me?" or "What type
of some already identified unit or aspect is it?" Topic types can be Single or Multiple.

Single Types: Social analysis based on, for instance, a single type of practice,
relationship, meaning, hierarchy, etc.

Multiple Types: Where for instance one is observing more than one concrete setting, or
multi-dimensional case. Example, types of cliques in organizations, associations in a
community etc.

Rules of Typing: two basic rules of procedure and outcome guide classification or type
schemes.
1. Rule of mutual exclusiveness of categories. Each case must fall in only one category.
2. Rule of exhaustiveness. Classification should allow for categorization of all relevant
cases. (Make room for a mixed or other classification)

Typologizing: Where topics under study possess some complex but systematic

interrelation, one can discover what that interrelation is by specifying a small number of relevant variables whose conjoint variations accurately incorporate the patterns you have already discerned (and point out others you have not). This process is called typologizing, dimensionalizing, cross-classifying, or substructing.

What are the topic's frequencies?
That is counting how often something occurs.

What are the topic's magnitudes?
That is the strength, intensity, or size of instances of an occurrence.

What are the topic's structures?
The question of structures can be viewed as a more elaborated and detailed version of the question of types. That is, what are its more intricate and precise characteristics? Of what more complicated and exhaustive properties and traits is it comprised? Ideal typing is both a prominent procedure for answering and a form of answer to the question of structures. Ideal typing involves the analyst's identification of the components of the structure of the case and some logical structural patterns then using that partial construct to define a potential "pure" or "ideal" type or types. The units and aspects under study present themselves as an incoherent aggregation of infinite aspects and the task of the analyst is to "disaggregate" them to achieve a coherent identification and ordering. For example see Fig. 7.3, page 130.

What are the topic's processes?
Researchers seek to observe and analyze three basic forms of processes:
1. Cycles: "recurrent sequence of events which occur in such order that the last precedes the recurrence of the first in a new series." "Course of operations or events returning upon itself and restoring the original state." Or "A series of changes leading back to the starting point." Social settings tend to be organized in terms of cycles based on the calender: seasons, months, days and so forth. In addition, there are revolving regularities of a less planned, recognized, and scheduled nature.
2. Spirals: "Continuously spreading and accelerating increase or decrease." Some processes do not show the degree of relative stability seen in cycles, they display a spiral pattern. E.g., tension or conflict between social units that are hostile to one another.
3. Sequences: The most common rendering of process is as a time-ordered series of steps or phases, which is different from cycles or spirals. In sequences the first and last steps are not connected as in cycles, nor is there an accelerated movement to a "stronger" or "weaker" level of operation as in spirals. Investigators tend to trace sequence processes from one of three different starting points.
   * Tracing Back: Perhaps the most common starting point is an outcome. E.g., a person has embezzled money, used a drug; an organization has disbanded. In a tracing-back analysis, the researcher attempts to discern any typical stages through which the actors or action pass in a process that culminates (or does not culminate) in a particular outcome.
   * Tracing Forward: Concern with what happens after a decisive event, e.g. veterans

returning from war, newlyweds adapting to marriage, or communities being hit by a disaster.
- Tracing through: Starting point is to consider the history of the process as a whole. Advantageous in situations lacking a dramatic episode from which to trace forward or backward, e.g. stages of development in adulthood.

What are the topic's causes?

"What are the causes of X?" is perhaps the most frequently asked question in social science. Very elaborate procedures, though often quite difficult to implement in field situations, have been developed to meet the requirements of establishing causality.

Requirements of Causal Inference

Five things are required to say "A causes B" with any reasonable degree of confidence:
1. For whatever you want to find the causes of, you must have instances not only of its occurrence but also of its nonoccurrence (or absence or attenuation). That is, you must begin with a variation in the "dependent variable", even if not a strong variation.
2. You must have some reliable and consistent way to determine or measure presence or absence, stronger versus weaker, over a set of units that display the variation.
3. You must consider this measured variation in the dependent variable conjointly with some other measured variation that you provisionally think causes it in some sense.
4. The presumed cause precedes the effect in time.
5. The question of whether despite covariation and proper time order, you can ever be really certain a particular independent variable is the cause (or among the causes) of the dependent variable. That is, the problem of "correlation not proving causation."

The Moral

The techniques and technology of qualitative studies are not the same as those of quantitative studies. Using qualitative guide alone, you will not acquire measured and controlled variations in dependent and independent variables and will therefore not have the systematic data necessary to determine causation. A combination of both qualitative and quantitative procedures is desirable to produce a better causal analysis.

Causation and Conjecture

Given the difficulty in ascertaining causal relations, it is important to recognize that whatever account or explanation you devise is conjecture (hypothesis or theory). It is therefore important to phrase such conjectures in a qualified way. E.g. "It is possible that….." "It seems to be the case that…." Etc.

The Importance of Auxiliary Causal Accounts

Three reasons why Auxiliary conjectures are not only permissible but also play important and indispensable roles in social science:
1. Quantitative researchers and theorists rely on the conjectures raised by the variations and patterns recorded as a foundation for quantitative research.
2. Members of social settings also make variations and puzzle over their causes. They develop their own hypotheses or theories to account for variations. Researchers who do not comprehend participants' own causal theories are likely to make profound

errors not only in ascribing causes but also in characterization.
3. Under many circumstances of limited time, money, and topic importance, the causal theories that the qualitative analyst presents may be sufficient to the task. Elaborate quantitative research may contribute only marginal precision.

Forms of Causal Accounts
1. Single Cause: A single factor or cause as explaining some variation, which is hardly the case.
2. List of Causes: Greater accuracy achieved by developing a series of independent variables that account for a variation.
3. Cumulating Causes: Attempt to specify the manner in which factors must accumulate through time and in what certain sequence in order to cause a particular variation. The concern is with successions of dependencies through time or ways in which prior conditions may or may not develop into succeeding conditions of a given outcome.

Situational vs. Dispositional Causes
To a social analyst, the appropriate content of variables to stress in a causal account is situational or social organizational. That is, the social researcher seeks the explanation of variations in behavior in situations and social organization rather than in physics, biology, psychology, or other nonsocial realms. E.g. "Disoriented behavior and heavy drinking, rather than being precipitants of homelessness, are responses to homelessness."

What are the Topic's Consequences?
Consequences can be seen as the second half of the causal question. Here the dependent variable becomes an independent variable and we attempt to look at its dependent variable consequences.

Requirements of Inferring Consequences
Similar to requirements of causal inference: (1) a variation that you can (2) measure (3) in covariation with another relevant variable, and in (4) the appropriate time order, and (5) you must control for spurious associations.

Consequences of What, for What?
Consequential accounts typically depict relationships between a given central topic and one or several affected topics. A procedure for tracing consequences is to decide on a specific topic and then survey other topics (units and aspects) in terms of the effects the central topic has on them. However, your actual analysis of consequences must take into account such constraints as the amount of relevant data you have and how interesting the things you have to say about them are.

Consequences and Systems Needs: Functionalism
One special form of consequential analysis assumes that the unit of analysis is a social system, an integral whole that is striving to maintain itself in its current state. Analysts, therefore, look for the contribution that various parts of the system make to maintaining the larger whole. However, analyses can be done without positing the existence of a social system with functional needs. Moreover, consequences analysis need not focus

only on effects that maintain a social arrangement. It could focus on consequences that bring change in the arrangement.

<u>Consequences Distinguished from Intentions</u>
Consequences and functions of social activity are not necessarily direct results of intentions of participants.

What is Human Agency?

<u>Passivist vs. Activist Images</u>
The seven foregoing questions illustrate the passivist conception of humans and social life. In this view humans are treated as more or less neutral media through which social forces operate and out of which social forms and organizations are composed. In the activist view, the focus is on how people construct their actions in various situations, on how their activity is pieced together, thought about, tried out, and worked out.

<u>Activist Questions</u>
Once you understand this activist-passivist contrast, the procedural question for doing actual research then becomes how to develop an analysis that implements the activist image. In the activist approach the central question used to focus data is "What is human agency?" or "What are people's strategies?" This can be divided into two questions, namely
1. What is the situation being dealt with?
2. What strategies are being employed in dealing with that situation?

People do not just act blindly, they often construct their actions to deal with situations. The activist analyst is therefore concerned with deciphering and depicting exactly what sort of situation the participants are facing. Reports answering the agency question tend to be organized into two sections, one of which analyzes the situation and the other the strategies.

Humans devise strategic social arrangements but then lose sight of that fact over time because the "structure" presents itself as an "object" (objectivation). The human agency question is one way to "deobjectify" social arrangements. In deobjectivation we come to realize that no social arrangement simply "is." Rather, arrangements are incessantly fabricated and this can be seen by decomposing them into their strategic components. By asking the "strategy question" you can achieve a better causal understanding of many social events.

Lofland, John and Lyn Lofland. 1995. *Analyzing Social Settings: A Guide to Qualitative Observation and Analysis*. Belmont, CA: Wadsworth.
Chapter 8: Arousing Interest.
Summarized by Hallie Salem

Chapter 8 examines features of a report that make it more interesting. There are three classic features of a report that arouse interest:

- the report is true or accurate,
- the report is new, and
- the report is important.

Social Science Framing

A. <u>True</u>: the report must give the reader confidence that the material is accurate
   Three validating criteria:
   1. Theoretical Candor – candid exposition of when and why the author came to employ the particular form of analysis that organizes the facts
   2. The Ethnographer's Path – the author reports with whom he or she interacted, in what sequence, and how
   3. Fieldnote Evidence – the author reports procedures for assembling and processing data and the practices of presenting the data

B. <u>New</u>: the author does not waste the readers time by repeating already established ideas
   1. Relating to Existing Work – the approach differs in some way from existing work
   2. First Report – the report documents a new formation or practice
   3. Unusual Setting – the social situation or setting is different, strange, etc.

C. <u>Important</u>: there are five framing practices that tend to prompt the response "that's important"
   1. Questioning Mindset – There is no final word, there is nothing that should not be doubted, and everything must be examined…
   2. Propositional Framing – The purpose of asking questions about topics is to develop social science answers or propositions
   3. Generic Concepts – seeks to specify abstract propositions of which the historical particulars are instances (rather than reported as chronological activities). The historical uniqueness of the context is not denied, but other patterns are emphasized. To develop generic conceptualizations, authors may use metaphors, irony, or new forms:
      a. metaphor – ex. The Catholic Church is the General Motors of religion.
      b. irony – a state of affairs or events that is the reverse of what was or was to be expected: a result opposite to and as if in mockery of the appropriate result
      c. new forms – new variations on established types of social units or aspects, but don't rediscover what is already well understood.
   4. Developed Treatment – developed along three dimensions
      a. conceptual elaboration – the author presents evidence of having given

detailed thought to one or more propositions used to structure and analyze the data. One must be sure not to underelaborate or overelaborate

b. balance between conceptual theme and presentation of data – suggestion: somewhat more than half of the pages of an article should consist of qualitative data, and less than one half of the pages of analysis

c. interpenetration – the continuing and intimate alternation of data and analysis within the text. It is the logical consequence of a thorough working through of the data in analytic terms

5. Resonating Content – the degree to which the content reverberates with and evokes existential concerns. The audience asks: does it strike a responsive cord? Does it inform understanding of events and experiences within our world? Consider: is it important to you? Is it more than a fad?

Social Science Value Commitments – the social science approach embraces a number of moral and value positions:

A. Humanism and Liberal Science are the value perspectives in which social science is rooted

B. New Perception – strengthens our ability to recognize general patterns. The process of inquiry is never final

C. Demystification and Reform – "unshrouds" the special knowledge and powers of social scientists, and widens people's perceptions

D. Human and Moral Complexity – appreciates human complexity rather than designating people as the good guy or bad guy based on their situation.

E. Larger, Dispassionate Understanding – tries to be reasonably dispassionate or judicious and calm in examining and reexamining all data and concepts patiently and carefully. Field studies and their appearance in generic consolidations can enlarge and deepen how larger audiences understand their experiences and those of others.

Other Framings:

A. Mainstream Improving – Large, mainstream audience – policy research, posed by authorities

B. Radical Liberating – the researchers adopt a vantage point of the disadvantaged or oppressed, as in participatory research

C. Villain Pillorying – utilize public records (mainly) to identify and harm a reprehensible person or group

D. Expressive Voicing – tries to give a voice to those being studied

Lofland, John and Lyn Lofland. 1995. *Analyzing Social Settings: A Guide to Qualitative Observation and Analysis*. Belmont, CA: Wadsworth.
Chapter 9: Developing Analysis
Summarized by Lynn Ross

Analysis is viewed as an inductive and emergent process. That is, the researcher is the central agent guided by data, topics, and questions to an analysis that answers questions by ordering the data. Chapter 9 presents six overall categories of strategies aimed at helping the researcher achieve analysis. The authors stress that there is no single way to achieve analysis, and therefore any approach taken should be flexible.

Strategy One: Social Science Framing
The researcher should have the goal of presenting their data within a social science framework, that is devising an analysis that is empirically true. Propositions can be used to "sum up and provide order" to the data. There are eight formal kinds of propositions (detailed in Chapters 7 and 8): type, frequencies, magnitudes, structures, processes, causes, consequences, and agency.

In keeping within a social science framework, the researcher should remember when writing that they are not preparing a traditional term paper. A term paper focuses on a "review-summary" approach, whereas a fieldwork report is based on an "analysis-report" approach.

Finally, the research must decide how many propositions to develop during the course of the project. This decision depends on several factors:

(1) how long one is in the field and how much data one collects;
(2) the stage of the project we are talking about; and
(3) the number and the scale of the reports one plans and completes.

Strategy Two: Socializing Anxiety
"Formulating potential major propositions from your data is an emergently inductive activity." The open-ended nature of this activity is likely to produce some amount of anxiety or frustration in the researcher. There are, however, ways to manage this anxiety. First, accept that this type of work is neither mechanical nor easy to do. Second, persistently work at data collection. "The sheer accumulation of information is itself anxiety-reducing because it ensures that you will, at minimum be able to say *something*." Finally, have faith that you will be able to generate a proposition to answer one or more of your research questions. Participating in a seminar of peers can aid in this process.

Strategy Three: Coding
The word (or short set of words) you apply to an item of data in answering questions is a code. "Coding and memoing (discussed in the next section) are the core physical activities of developing analysis." The point is to group the raw data items into "packages of items that are related to one another."

Physical Methods
1. Filing: Prior to the use of computers, the researcher employed an expanding set of file folders with code names to analyze data.
2. PC Databasing: Uses the same logic as file folders, but increases the speed and efficiency with which data can be coded. The authors warn that the technology does not necessarily lead to better analysis.

Types of Coding
1. Housekeeping: this type of coding supports the analytic process by recording the facts necessary for later analysis. Although somewhat mundane, this type of coding is critical in locating information, maintaining chronology, and providing the basis for further analysis.
2. Analytic: this is the central coding task. The goal is to generate as many separate codes and files as one is prompted to which may include multiple codes for a single item. This process involves engaging regularly in the activity of coding. The sheer number of codes may lead to category saturation (a code requiring no further analysis) or subdivision (further elaboration of a code).
3. Fieldwork and Analysis: this type of coding documents the process of the fieldwork itself because the final report should contain an "account of the pertinent aspects" of the field experience.
4. Maintaining a Chronological Record: a chronological set of materials is useful for locating information not readily available in another file, providing historical context, and providing a stimulus to thinking about larger patterns and units of analysis.

Stages of Analytic Coding
1. Initial Coding: the researcher determines what can be defined and discovered from the data. These observations are numerous and varied.
2. Focused Coding: in this process, less productive codes are weeded out in order to focus on the most useful codes. The selected codes are then applied to an increasing array of data. The weeding out and refocusing process is repeated until some codes become overarching ideas or propositions that will be central to the analysis.

Strategy Four: Memoing
Memos are the written "explanations and elaborations of the coding categories." The eventual goal of memoing is to aid the researcher in developing a coherent analysis. There are three kinds of memos that aid in achieving this goal:

1. Elemental: a detailed, but succinct, analysis of a very specific subject matter. A researcher may write one to several dozen memos of this type.
2. Sorting: analyzes several or all of the elemental memos to achieve a higher level of "abstraction or generalization."
3. Integrating: used to explain the connections between the sorting memos. There may be several possible modes of integration, however is may not be feasible to develop and write up more than a few of them.

Strategy Five: Diagramming
"The word diagram is both a noun and a verb. *A* diagram is an object or a product *of* analysis and *to* diagram is an activity or process *in* analysis." The diagram should be a succinct visual display of the relationship between concepts. There are four techniques that may be used to accomplish this:

1. Typologizing: the central feature is the cross-classification of two or more ideas, concepts, or variables. Typologies can be tools of production as well as a product or end result.
2. Matrix Making: detailed in Chapter 6, a matrix is a more complicated typology or cross-classification.
3. Concept Charting: although these charts often do not appear in the final report, this charting strategy can be useful for visualizing relationships between concepts. This technique can be accomplished on a single sheet of paper, by using classroom blackboards, or even by tacking notes to the wall.
4. Flow Charting: same basic features of concept charting, but illustrate an "order of elements through time or in a process."

Strategy Six: Thinking Flexibly
The computer can be an excellent resource for data collection and storage, but is generally not appropriate for data analysis. Data analysis involves a level of flexibility and creativity not allowed for in computer applications. The authors suggest several devices that may help the researcher to "think flexibly."

- Rephrase your question using synonyms and antonyms.
- Change your diagram design.
- Constantly compare the items under analysis.
- Think in extremes and opposites to make better comparisons.
- Talk *and* listen to your peers.
- Remember to draw back and look at the big picture.
- Withhold judgment about the final shape of the analysis for as long as possible.

Tashakkori, Abbas and Charles Teddlie. 1998. *Mixed Methodology: Combining Qualitative and Quantitative Approaches*. Thousand Oaks, CA: Sage.
Pp. 112-36, Alternatives to Traditional Data Analytic Strategies.
Summarized by Chih-hung Chen

This chapter has discussed three types of data analysis: traditional quantitative data analysis, traditional qualitative data analysis, and strategies for mixed QUAL-QUAN.

Traditional quantitative data analysis
Descriptive methods: the most commonly used methods of descriptive data analysis and presentation are
- Measures of central tendency
- Measures of relative standing
- Measures of association/relationship between variables

Inferential method is to estimate the degree of variation. In addition, the methods of data analysis provide information regarding the magnitude of the effect, or the relationship. A brief summary of this method is as follows.
- Testing differences between group means:
  (a) comparing the mean of a sample with the mean of a population: z-test
  (b) comparing the means of two samples: t-test
  (c) comparing the means of two or more samples or comparing means in factorial designs: analysis of variance (ANOVA)
  (d) comparing the means of two or more samples while controlling for the variation due to an extraneous variable: analysis of covariance (ANCOVA)
- Determining if correlation coefficients are truly different from zero:
  (a) t-test for the significance of Pearson r from zero
  (b) F-test for the significance of multiple correlation
  (c) t- or F-test for the significance of slopes in multiple regression analysis.

Traditional qualitative data analysis
A priori themes analyses. Three examples of a priori themes analyses: simple variance analysis, manifest content analysis, and the effects matrices of Miles and Huberman.

Simple variance analysis: the researchers used a coding scheme in which two raters analyzed a sample of the responses and coded each response into three predetermined categories.

Manifest content analysis: a research technique for the objective, systematic, and quantitative description of the manifest content of communication. Examples include the analysis and comparison of textbooks, popular magazines and newspapers, writings of the classic authors, and political speeches. Once the content has been selected using appropriate sampling techniques, a coding or classification system needs to be developed for analyzing the content.

The effects matrices of Miles and Huberman: Miles and Huberman (1994) presented qualitative data analysis as having three parts.
- Data reduction, or taking the raw data and simplifying and transforming them using the aforementioned codes.
- Data display, which is displaying the data in an organized assembly of information that permits the drawing of conclusions.
- Conclusion drawing and verification, or deciding what everything means and determining the validity of those conclusions.

An emerging themes analysis

Three examples of emerging themes analyses: latent content analysis, constant comparative analysis, and the developmental research sequence.

Latent content analysis: the latent content of a text is determined by a subjective evaluation of the overall content of the narrative.

Constant comparative analysis: this analytical scheme involves two general processes. (a) unitizing, or breaking the text into units of information that will serve as the basis for defining categories, and (b) categorizing, or bringing together into provisional categories those units that relate to the same content, devising rules that describe category properties, and rendering each category set internally consistent and the entire set mutually exclusive.

The developmental research sequence: there are three stages of data gathering and three stages of data analysis.
1. Broad descriptive questions are asked.
2. Data based on responses to these descriptive questions are analyzed using domain analysis.
3. Structural questions are then asked.
4. Data based on responses to structural questions are analyzed using taxonomic analysis, which shows the relationships among all included terms in a domain.
5. Contrast questions allow the ethnographer to discover the dimensions of meaning that informants employ to distinguish events and objects in their world.
6. Data based on responses to these contrast questions are analyzed using componential analysis, which involves the systematic search for the attributes or components of meaning associated with cultural scenes.

Strategies for mixed QUAL-QUAN data analysis

Summary of mixed data analysis strategies:
1. Data transformation: the conversion or transformation of one data type into another so that both can be analyzed together.
2. Typology development: the analysis of one data type yields a typology that is then used as a framework applied in analyzing the contrasting data type.

3. Extreme case analysis: extreme cases identified from the analysis of one data type and pursues via analysis of data of the other type, with the intent of testing and refining the initial explanation for the extreme cases.
4. Data consolidation/emerging: the joint review of both data types to create new or consolidated variables or data sets, which can be expressed in either quantitative or qualitative form. These consolidated variables or data sets are then typically used in further analysis.

Summary of alternative mixed method data analysis strategies:
1. Concurrent mixed analysis: simultaneous analysis of QUAL and QUAN data.
    (a) Concurrent analysis of different data: parallel mixed analysis
    (b) Concurrent analysis of the same data: quantitizing
    (c) Concurrent analysis of the same data: qualitizing
2. Sequential QUAL-QUAN analysis: Qualitative data analysis followed by confirmatory quantitative data collection and analysis.
    (a) Forming groups of people/settings on the basis of qualitative data, comparing the groups on QUAN data.
    (b) Forming groups of attributes/themes through QUAL analysis, followed by confirmatory QUAN analysis.
    (c) Establishing a theoretical order of relationship/causality through exploratory QUAL analysis, confirming the obtained sequence through QUAN data and analysis.
3. Sequential QUAN-QUAL analysis: Quantitative data analysis followed by qualitative data collection and analysis.
    (a) Forming groups of people/settings on the basis of QUAN data, comparing the groups on QUAL data.
    (b) Forming groups of attributes/themes through exploratory QUAN analysis, confirming with available/new QUAL data and analysis.
    (c) Establishing a theoretical order of relationship/causality through exploratory QUAN analysis, confirming the obtained sequence through QUAL data and analysis

Miles, M.B. and Huberman, A.M. 1994. *Qualitative Data Analysis: An Expanded Sourcebook*. Thousand Oaks, CA: Sage.
Chapter 12: Producing Reports.
Summarized by Worrasit Tantinipankul

Form of reporting

The conventional formats of quantitative research such as those displayed below are too structurally constraining.
- Statement of the problem
- Conceptual framework
- Research questions
- Methodology
- Data Analysis
- Conclusions
- Discussion

Many researchers may not follow the format above and may reorganize these items to match the research character. We cannot have a fixed set of reports but may provide choices for reporting.
- The qualitative studies do not report data but rather describe scenes.
- The reports are not the compilation of accurate data but rather outline forms of analysis of the materials.
- The reports may deal with the form of analytical processes and the results because the data analysis includes selecting, condensing and transforming data.

Audiences and Effects

The responses of a specific audience group can be a part of report process because they observe the original setting, see the evidence, weigh the writer's interpretation and note the way they change. So by this way we can separate the types of reader as below.
- Local respondents who give data
- Program operators who evaluate and run the study
- Practitioners who have the same type of work but different settings
- Other researchers who are in committee or academic field
- Policy makers
- General readers who purchase the trade book
- Mass readers who see the article in magazine

Effects will differ depending on type of readers: Aesthetic, Scientific, Moral, and Activist. What effect the researchers intend for which type of readers must be considered. For dissertation committee, the stance will be effects of the theoretical and methodological advancement. For policy makers and readers, the moral clarification and illumination may be better.

Voices, Genres, and Stances (Perspective toward reader)

We can detect the tone and standpoint of research that defines the relationship between writer and reader. The data is the same but the report will describe the story in a different tone. It is your choice to report.
- Realist: portray the fact
- Confessional: write from field worker's view point with personalized authority
- Impressionist: personalized aiming to link reality and the field-worker to reliving the experience.

Style – Formats and Structures

Analytic mix. Good qualitative research needs to be a mixture of two interactive views
- Analytical view: matrix form
- Synthetic view : network display

Conventional data analysis can be viewed in these two ways
- Propositional thinking: formal and theoretical interpretation.
- Figural thinking: holistic reasoning

The structure of qualitative research is composed by two thoughts and depends on their composition to make the research interesting
- Descriptive idea: story setting, events, scene and episode.
- Analysis idea: conceptual framework, determination of the factors that construct themes

Structure outline: each researcher must use a specific structure that fits into the local and intellectual context of particular study such as choosing climax first or last. However, the basic is the following:
- What? Introduction, background
  For my project, it is Preservation Planning for Rattankosin island, the inner historic District of Bangkok.
- Why? Rational, concept, framework, core and theme of the report
  For my project, it is a question that why preservation effort did not work successfully in this area? or What happen in the past make preservation of national identity is so weak in Thailand? or What is the social factor that makes it weak? What is the current condition of the place? How can preservation be fit in the context of Thai culture and Buddhism in modernity?
- How? Methodology
  For my project, it is a question that how can I know all information of Thai political and social history? How can I know the attitude of governmental agencies, Buddhist monks, local communities toward historic preservation and national identity? Who I must interview and what will the case studies take place? What is the attitude of monk for preservation of temple and the modern use of temples in community? Do they agree to preserve the old building or build the new one instead? Why? If they don't. What are the attitudes of the major supporters of temple for the role of monks in their everyday lives? both local and non-local. What is the attitude of different governmental agencies in practice of preservation?
- Analysis

> *My analysis will determine what is the factor that shape historic place and affect the historic preservation in Buddhist culture? What is the mechanism that can facilitate historic preservation planning in present time and what the attitude in all parties in preservation should be? What is the proper attitude for preservation and national identity that should be considered?*

- Meaning, conclusion
  The historic preservation planning of Buddhist heritage in Rattanakosin Island that sustainable and suitable for promoting national identity in modern society.

Advice to guide report structure is as follows:
- The report should describe what the research is about
- The report should communicate a clear context of setting and data
- The report should tell history of inquiry and key concept that emerge from the inquiry
- The report should provide the data in focused form
- The report should describe the conclusions clearly and show the broader idea that conclusion can apply and affect

Using Reports

The report should be effective to the real audiences at various levels of consciousness and should vary with different kind of audiences.

Level of diffusion	Innovator with special interest	Key players or leader of opinion	Majority of audience	Everyone who might be affected
Awareness				
Reception of message				
understanding				
acceptance				
adoption				
utilization				
integration				
routinization				

Morse, Janice M.. 1994. Designing Funded Qualitative Research. Pp. 220-235 in
Handbook of Qualitative Research. Edited by Norman Denzin and Yvonna Lincoln.
Thousand Oaks: Sage.
Summarized by Yizhao Yang

In this chapter, Morse identifies and describes some major design issues in the process of
qualitative research, including six stages, from identifying a research topic to the write-up
of final reports. Some techniques and advice are provided in a sequence that one would
use when planning to conduct a qualitative project, and they are summarized as follows:

The stage of reflection

Identifying the topic
The key to selecting a qualitative research topic is to identify something that will hold
one's interest over time. The research questions (topics) can be a) real personal interests,
b) problems noted in the course of practice or experience in every day life, c) research
topics suggested at the end of a published article, as well as d) those derived from
literature reading.
What should the researcher do at this stage -- Having identifying a topic, the researcher's
next step is to go to the library to read in the general area of the research topic. The
researchers should let him/herself become familiar with the literature, with what has been
done generally in the area and with the "state of the art". Some advice provided in this
Chapter includes a) it is inappropriate to spend too much time in the library at this point,
b) it is wise to avoid chasing obscure references.

Identifying Paradigmatic Perspective
Three "postures" underlying qualitative research: theory-driven, concept-driven, and
"reform-focused" or "problem-focused".
"Theory-driven" or "concept-driven" should be understood in the light that the theory is
used to focus the inquiry and give it boundaries for comparison in facilitating the
development of the theoretical or conceptual outcomes, rather than to guide data
collection and analysis. "Reform-focused" or "problem-focused" ideas are typical in
critical theory research, in which the underlying purpose of the research is political, with
predetermined goals.
What should the researcher do at this stage – Examine the research questions in light of
the expected results, considering the potential audience and aims of the research. Place
the study in the broader picture, which will help refine the question and the focus of data
collection and analysis, and guide the style of presentation of the final report.

The stage of planning

Work at this stage involves many elements, including selection of a site and a research
strategy, the investigator's preparation, creation and refinement of the research question,
the writing of the proposal, and if necessary, obtaining clearance from an institutional
review.

Selecting a site
When selecting a site, the researcher should consider the tolerance from administrators on the site, the possible participation of the staff, the amount of time needed for negotiation for entry, as well as the availability of resources. Selecting of more than one site is suggested for purpose of comparison. One warning is provided in this chapter that it is not wise for an investigator to conduct a qualitative study in a setting in which he or she is already employed and has a work role.

Selecting a strategy
The research strategy is determined by the nature of the research question. Morse has tabulated five major qualitative research methods (p224); each of them offers a particular and unique perspective that illuminates certain aspects of reality and produces a type of results suited for certain applications.

Methodological Triangulation
To use more than one method within a project is preferred because by doing so the researcher can gain a more holistic view of the setting. The triangulation in methodologies can be the simultaneous or sequential use of two or more qualitative methods, as well as the incorporation of quantitative methods into qualitative research.

Investigator preparation
The competence of an investigator determines the quality of the result of a qualitative study. Traits that make a good researcher include (a) flexibility and patience in obtaining trust from informants on the site, (b) versatility in research methods, data collection and analysis, (c) sensitivity in finding clues and interpreting data, as well as (d) good working habits. To build up the wisdom, patience and skills needed for the success of a qualitative research requires practice and experience.

Creating and refining the research questions
The wording of the research question determines the focus and scope of the study. The researcher should make the question as broad as possible rather than prematurely delimit the study with a narrow question. Sometimes it is necessary to refine or even discard original questions when the researcher gets to know the setting and becomes to realize that there is a poor fit between the original questions and the real situation.

Writing the proposal
The proposal should be clear, interesting to read, technically neat, and professional in appearance. Writing a good proposal requires a skill to balance persuasiveness and realism. Before starting to write, one should, with an interesting topic in mind, mentally go through all the steps listed above, including site selection, strategy selection, methodology design, refinement of research questions, and etc. The actual writing of the proposal can begin as soon as decisions regarding the research design and the setting have been made. Morse summarizes basic components of a qualitative proposal (p228). Special attention and suggestion is given to the description of qualitative research methods and budgeting.

The stage of entry

The stage begins after the funding is received. At the beginning, data collection is necessarily unfocused. Researchers need to give themselves some time to get used to and familiar with the setting.

Sampling
Technique that can be employed at this stage to help researchers identify appropriate informants:
1. Primary selection by the criteria that a good informant is one who has the knowledge and experience the researcher requires, has the ability to reflect, is articulate, has the time to be interviewed, and willing to participate in the study.
2. Secondary selection taking place when the primary selection failed and participants are obtained by some other means.

Guidelines for sampling (Patton, 1990, quoted)
The logic and power behind purposeful selection of informants is that the sample should be information rich. The selection methods include extreme or deviant case sampling (participants exemplifying the characteristics of interest are selected), intensity sampling (experts or authorities about a particular experience are selected), maximum variety sampling (a heterogeneous group are selected, and then the commonalties in their experience are observed), and critical case sampling (examples that are significant for the identification of critical incidents are selected).

Bottom-line of all these methods is that the situation of the sample is determined according to the needs of the study not according to external criteria, such as random selection.

Interview techniques
The researchers should start with broad interviews, letting the participants tell their stories, and then use subsequent interviews to get more targeted information.

The stage of productive data collection

This stage begins when the researcher no longer feels uncomfortable in the setting and can relax and focus on what is happening, instead of on him- or herself. This is the stage when the pieces of puzzles are connected and patterns of relationships are uncovered.

Data collection and analysis should be conducted concurrently in order to allow the analysis to guide data collection. Data management methods and tools are necessary during this stage to assure the efficiency of the research. The reliability and validity of data analysis need to be checked. Methods that can be used to ensure rigor in qualitative work include:
1. Criteria of adequacy and appropriateness of data (adequacy refers to the amount of data, appropriateness refers to selection of information according to the theoretical needs of the study),
2. The audit trail (six type of documentation that leave an adequate amount of evidence that can help reconstruct the research process),

3. Verification of the study with secondary informants (confirmation of the findings by informants), and
4. Multiple raters (asking a secondary investigator or someone else to check the validity of a category. This is not recommended by the author*.)

The stage of withdrawal

When the time that the researcher becomes part of the setting comes, the researcher has reached the point of withdrawal. During this stage, the data collection is saturated while data analysis is intense. The model or theory should become more refined.

The stage of writing

The qualitative report must be a convincing argument systematically presenting data to support the researcher's case and to refute alternative explanations. Two main approaches to qualitative articles:
1. To write the article as though the reader is solving the puzzle with the researcher
2. To present a summary of the major findings and then present the findings that supports the conclusion.

When writing, the researcher should consider issues of privacy (revealing identity) and honesty (editing quotations). And finally, the researcher should show some reciprocal gesture to the participants and organizations involved in the research by presenting the results, preparing a summary of the study, or providing a copy of the completed study and final report to relevant agents.

Hollister, Robinson G. and Jennifer Hill. 1999. Problems in the Evaluation of Community Wide Initiatives. In *New Approaches to Evaluating Community-Wide Initiatives Volume 1: Concepts, Methods, and Contexts*. Edited by James P. Connell, Anne C. Kubisch, Lisbeth B. Schorr, and Carol H. Weiss.
Online at http://www.aspenroundtable.org/vol1/hollister.htm
Summarized by Mei-Wen Huang and Yusuke Matshushita

The authors outline the types of problems that can arise when an attempt is made to evaluate the effects of community-wide programs, or comprehensive community initiatives (CCIs).

Key Problems in the Evaluation of Community-Wide Initiatives

The Counterfactual
The basic question an evaluation seeks to address is whether the activities generated a change in the outcomes of interest. The problem in this case is to establish what would have happened in the absence of the program initiative. This is often referred to as the *counterfactual*. Indeed, most of our discussion turns around a review of alternative methods used to establish a counterfactual for a given type of program intervention.
To those who have not steeped themselves in this type of evaluation, it often appears that this is a trivial problem, and simple solutions are usually proposed. However, these simple solutions are not adequate to the problem – primarily because individuals and communities are changing all the time with respect to the measured outcome even in the absence of any intentional intervention. Therefore, measures of the situation before the initiative or with comparison communities are not secure counterfactuals – they may not represent well what the community would have looked like in the absence of the program.

The Unit of Analysis
For most of the programs that have been rigorously analyzed by quantitative methods to date, the principal subject of program intervention has been the individual. When we turn to community-wide initiatives, however, the target of the program and the unit of analysis usually shift away from just individuals to one of several possible alternatives.
1. Still the individual, but individuals within geographically bounded areas – a defining factor that remains important.
2. The family: many of the recent community-wide interventions seem to have this type of focus.
3. The institutions: e.g. the schools, the police, or the health providers.
The unit of analysis becomes critical because, when using statistical theory, the ability to make statements about the effects of interventions will depend on the size of the samples.

The Problem of Boundaries
For the purposes of evaluation, these boundary problems introduce a number of complex issues:
1. Where the evaluation uses a before-and-after design – that is, a counterfactual based on measures of the outcome variables in a community in a period before the

intervention is compared with such measures in the same area after the intervention – the problem of changes in boundaries may arise. Such changes could occur either because some major change in the physical landscape takes place or because the data collection method is based on boundaries that are shifted. Similar problems would arise where a comparison community design is used for the evaluation, and boundary changes occur either in the treatment community or the comparison community.

2. An evaluation must account for inflow and outflow of people across the boundaries of the community.
3. The limited availability of regularly collected small-area data causes serious problems for evaluations of community-wide initiatives.

Problems with Outcome Measures
In many past evaluations in the social policy arena, the major outcome variables have been relatively straightforward and agreed-upon. *EX:* the level of employment, the rate of earnings. For community-wide initiatives, these traditional types of outcomes may not be the primary outcomes sought, or, even if they are, they may not show detectable effects in the short term.
Therefore, we need to (1) distinguish intermediate outcomes and final outcomes. (2) In addition, there may be types of outcome measures that have not been used traditionally but are regarded as outcomes of sufficient interest in and of themselves, regardless of whether they eventually link to more traditional outcome measures. That might be particularly relevant where the object of the community initiative is a change in institutional behavior. (3) Finally, we would want to make a careful distinction among input measures, process measures, and outcome measures.
The criteria for determining the important outcomes to be measured and evaluated are likely to vary with the audience.
Another dimension of this problem is the degree to which the audience is concerned with the outcomes for individuals versus the outcomes for place.

Establishing the Counterfactual Using Comparison Groups: Selection Bias and Other Problems

Random Assignment as the Standard for Judgment
For quantitative evaluators random assignment designs are a bit like the nectar of the gods. The key benefit of a random assignment design is that, as soon as the number of subjects gets reasonably large, there is a very low probability that any given characteristic of the subjects will be more concentrated in the treatment group than in the control group. Most important, this holds for unmeasured characteristics as well as measured characteristics.

Experiences with Creating Comparison Groups: We now turn to assessing the utility of more feasible alternatives for establishing comparison groups. We compare impact results from studies in which random assignment of individuals was used to create comparison groups with impact results when alternative methods were used to create the comparison groups. (Experiences: 1~11)

1.   <u>Constructed Groups of Individuals.</u> Constructed comparison groups of individuals were the most-often used method of evaluation prior to the use of random assignment in large-scale social policy studies and other programs in the 1970s and 1980s.

- The earliest type of constructed group was a before-and-after, or "pre–post," design. Measurements were made on the individuals before they entered the treatment, during the treatment, and following the conclusion of the treatment. Impacts were measured as the change from before program to after program. This strategy for establishing counterfactuals is recognized as highly vulnerable to naturally occurring changes in individuals.
- Another strategy for constructing comparison groups is to compare non-participants with participants in a program. This type of design is recognized as producing bias due to selection on unobserved variables. Usually there is a reason why an individual does participate or does not participate in the program--for example, an individual's motivation, or subtle selection procedures followed by the program administrators.
- A third strategy for creating comparison groups is to use existing survey data to sample individuals for the comparison group. The most commonly used source of information is the U.S. Census Bureau's Current Population Survey (CPS), which has large national samples of individuals.

2.   <u>Constructed Comparisons: Institutions.</u> In a few cases, where the primary unit of intervention and analysis has been an institution, attempts have been made to construct comparison groups of institutions. Those procedures come closer to the problems encountered in community-wide initiative evaluations.

3.   <u>Comparison Communities</u>. In most cases, the treatment site has been selected before the constructed comparison site is selected. The most common method for selecting comparison communities is to attempt to match areas on the basis of selected characteristics that are believed, or have been shown, to affect the outcome variables of interest. Usually, a mixture of statistical weighting and judgmental elements enters into the selection.

- Often a first criterion is geographic proximity – same city, same metropolitan area, same state, and same region – on the grounds that this will minimize differences in economic or social structures and changes in area-wide exogenous forces.
- Sometimes an attempt is made to match communities based on service structure components in the pre-treatment period.
- Most important is the statistical matching on demographic characteristics. (e.g. the decennial Census, because this provides characteristic information) Of course, the further the time period of the intervention from the year in which the Census was taken, the weaker this matching information will be.

4.   <u>Treatment and Comparison Sites Randomly Assigned.</u> There is an example where the treatment sites were not predetermined but rather were selected simultaneously with the comparison sites.
Example: The largest such evaluation is that of the State of Washington's Family Independence Program (FIP), an evaluation of a major change in the welfare system of the State. The evaluators created east/west and urban/rural stratification within the state

in order to obtain a geographically representative sample. Within five of these subgroups, pairs of welfare offices, matched on local labor market and welfare caseload characteristics, were chosen and randomly allocated to either treatment (FIP) or control (AFDC) status. This project's initial results surprised the researchers: utilization of welfare increased and employment decreased, whereas the intent of the reform was to reduce welfare use and increase employment. The researchers do not attribute these counterintuitive findings to flaws in the comparison site method, but that possibility exists. Again, it is doubtful that random assignment of just five matched pairs is sufficient to assure a balance between the treatment group office and comparison office in unmeasured variables affecting outcomes, even though the pairs were matched on several characteristics.

5.   Pre-Post Design, Using Communities. Contrasting measurements before and after exposure to the treatment has often been advocated. The attraction of this approach is that the structural and historical conditions that might affect the outcome variables that are unique to this location are controlled for directly.
Often a pre-post design simply compares a single pre-period measurement with the post-treatment measure of the same variables. However, multiple measures of the outcome variable (especially in the pre-treatment period) allow for more reliable estimates of change in the variable. This procedure is often referred to as an "interrupted time-series," with the treatment taken to be the cause of the interruption.
The better the researcher's ability to model the process of change in a given community over time, the stronger is this approach.

6.   Problems of Spillovers, Crossovers, and In- and Out-migration. Where comparison communities are used, potential problems arise because of the community's geographic location relative to the treatment site and/or the movement of individuals in and out of the treatment sites and comparison sites.
● Often investigators have chosen communities in close physical proximity to the treatment community on the grounds that it helps to equalize regional influences. However, proximity can cause problems. (1) Economic, political, and social forces often create specialized functions within a region. (2) Spillover of services and people can occur from the treatment community to the comparison community, so the comparison community is "contaminated" either positively or negatively.
● In-migration and out-migration of individuals occur constantly in communities. At the treatment site, these migrations might be considered "dilutions of the treatment." Focusing data collection only on those who stay in the community creates a selection bias arising from both migration processes. Also, it is not clear whether the program treatment itself influenced the extent and character of in- and out-migration.

7.   Dose-response Models of Treatment versus Comparison Communities. Sites can vary in the types and/or intensity of treatment, and this variation in dosage can be examined as part of the evaluation. (e.g. teen pregnancy prevention program – three different treatment groups. The absolute changes in numbers in these three treatment groups seem to confirm the "dosage" effect.)
A type of selection bias. Most important, this procedure does not get around the

underlying problem of comparison communities – the questionable validity of the assumption that once matched on a set of characteristics, the communities would have evolved over time in essentially the same fashion with respect to the outcome variables of interest. If this assumption does not hold, then the "dose of treatment" will be confounded in unknown ways with underlying differences among the communities.

8. <u>The Magnitude of Problems with Comparison Communities Methods:</u>
A Case Study: This recent study allows us to get a fix on the magnitude of bias that can arise when comparison community designs of the several types just reviewed are used.

- Data: from the Manpower Demonstration Research Corporation's (MDRC) Work/Welfare studies in several states.
- Comparison communities: In this case, the investigators used the treatment group from the Work/Welfare experiments and constructed comparison groups by using control groups from other program locations or other time periods to construct alternative comparison groups.
- Importance of this study: The study showed substantial differences between the estimated impacts from the true experimental results and the constructed comparison groups. It clarifies the problem of bias arising when comparison groups are constructed by methods other than random assignment, and it points to the severity of the problem. It shows that statistical controls using measured characteristics are in most cases inadequate to overcome this problem.

It has long been recognized that counterfactuals obtained by using constructed comparison groups may yield biased estimates of the true impact of a program. What is important about this study is that it demonstrates that various types of constructed comparison groups yield substantially biased estimates. These real-life experiments demonstrate that investigators could have been seriously misled in their conclusions about the effectiveness of these programs had they used methods other than random assignment to construct their comparison groups. Moreover, we must keep in mind that these studies created comparison groups after the fact, with the luxury of making adjustments to potential comparison groups using all the data from the study.

9. <u>Statistical Modeling of Community-Level Outcomes</u>. Another approach to creating counterfactuals for the evaluation of community-level interventions is statistical modeling. This approach develops a statistical model of what would have happened to a particular outcome or set of outcomes at the community level had an intervention not been instituted. The predictions from the model are then used as the counterfactual and are compared with what happens in the community following the intervention. The difference is the estimated impact of the intervention.

10. <u>Time-series Modeling</u>. Time-series models of community-level outcomes have long been advocated as a means of assessing the effects of program innovations or reforms. In the simplest form, the time-series on the past values of the outcome variable for the community is linearly extrapolated to provide a predicted value for the outcome during and after the period of the program intervention (e.g. the pre–post designs). It has been recognized for a long time that the simple extrapolation design is quite vulnerable to error because community variables rarely evolve in a simple linear fashion.

11. Multivariate Statistical Modeling. These multivariate models would attempt to specify, measure, and estimate the effects of the variables that determine the community-level outcome that are not themselves affected by the treatment. Then, with these variables "controlled," the effect of treatment would be estimated. Most analysts consider the results of these models to be unreliable for program evaluation purposes. Statistical modeling at the community level also runs up against the persistent lack of small-area data, particularly data available on a consistent basis, over several periods of time or across different communities. Such data are necessary both to estimate the statistical model of the community-level outcome and to project the counterfactual value of the outcome for the program period.

Research Questions to Address in the Context of Community-Wide Initiatives
This section discusses the types of research questions which are particularly relevant to community-wide initiatives. Especially, this section focuses on several types of multiple effects, which help explain how the participants' characteristics might influence treatment outcomes, how various dimensions of one treatment or multiple types of treatments may interactively affect treatment outcomes, and how different configurations of participant or institutional characteristics may produce different outcomes.

Networks and Group Learning
The importance of associational networks has been increasingly emphasized in the literature on communities and families. Group learning about the intervention is likely to be faster and greater than learning by isolated individuals. The evaluation problems will differ depending on how the associational and institutional networks are considered.

Effects of Formal and Informal Institutions
Most interventions take the form of an attempt to alter some type of formal institution that affects individuals (e.g., a day care center, a welfare payment, an education course). Most of those concerned with community-wide initiatives appear to be more interested in either the way the formal institutional structure in a given community conditions the individuals' responses or with the behavior of the formal institutions themselves as outcomes of the intervention. Informal institutions (e.g., associational contacts) are also subjects of interest.

Interactions with External Conditions
Some attempts have been made to see how changes in conditions external to an intervention have conditioned the response to the treatment.
Example: In a study which investigated whether the response to the treatment (supported work) varied systematically with the level of local unemployment, there were no statistically significant differences in response, but researchers felt it may well have been due to the weakness of statistics on the city-by-city unemployment rate.

Dynamics
An intriguing and largely unaddressed question for evaluation of community-wide initiatives is how to represent the dynamics of interventions as they change over time--in

response to lessons learned from implementation and where the alterations are largely idiosyncratic. Although some evaluators of programs might prefer to delay their initial measures of outcomes until the program has stabilized and matured, many community-level initiatives are not expected to achieve a "steady state" but rather to evolve constantly in response to incoming results.

Steps in the Development of Better Methods
Following steps might improve our understanding of how communities evolve over time and help us create methods of evaluation that are less vulnerable to the types of bias.

Improve small-area data.
Detailed small-area demographic data are very hard to get except at the time of the decennial census. But increasingly records data are being developed by a wide variety of entities that can be tied to specific geographic areas (geo-coded data). One type of work that might be fruitfully pursued would combine various types of agency records data with data taken from two or more censuses.

Enhance community capability to do systematic data collection.
It is possible to pull together records data to create community data bases that could be continuously maintained and updated. These data would provide communities with some means to keep monitoring.
Going a step beyond this aggregation of records, attempts could be made to enhance the capability of communities to gather new data of their own.
e.g., simple surveys of physical structures based on externally observed characteristics

Create a panel study of communities.
In the absence of common formats to put together local records data, it might be possible to imitate the several nationally representative panel studies of individuals, which have been created and maintained in some cases since the late 1960s. They would provide us with important information on what the cross-section and time-series frequency distributions of community level variables look like--important ingredients for an evaluation sample design effort with communities as units of observation.

Model community-level variables.
Statistical modeling might provide the basis for generating more reliable counterfactuals for community initiatives. A good model would generate predicted values for endogenous outcome variables for a given community in the absence of the intervention by using an historical time-series for that community and such contemporaneous variables as are judged to be exogenous to the intervention.

Develop better measures of social networks and formal and informal community institutions.
Considerably more information on and experience with various measures of associational networks are needed, given their central role in most theories relating to community-wide processes.

<u>Tighten relationships between short-term (intermediate) outcome measures and long term outcome measures.</u>
The inability or unwillingness to wait for the measurement of long-term outcomes is a problem that many studies (esp. children and youth) face. Systematic compilations of information about short-term and long-term correlations for outcome variables would be very helpful and could set an agenda for more data-gathering on these relationships where necessary.

<u>Conduct more studies to determine the reliability of constructed comparison group designs.</u>
It should be possible to find more situations in which a type of study (that uses random assignment data as a base and then constructed comparison groups to test the degree of error in the comparison group estimates) could be carried out. First, the replication of such studies should look at variables other than employment or earnings as outcomes to determine whether any difference in degrees of vulnerability exist according to the type of outcome variable and/or a different type of intervention. Second, more studies of this type would give us a far better sense of whether the degree of vulnerability of the nonexperimental methods is persistent and widely found in a variety of data sets and settings.

In this paper Weiss suggested an alternative mode of evaluation, theory-based evaluation, as in contrast to those using appropriate outcome measures (quantitative indicators) to measure the degree of success--or at least progress--in attaining desirable results.

Weiss began by describing this evaluative approach and discussing its advantages. As proposed by Weiss, the theory-based evaluation starts by examining the theories underlying the program, which are important assumptions or hypotheses implied in a series of "micro-steps" of the program. (Weiss gave an example in this paper). By examining and testing the theories or hypotheses (assumptions), problematic linkages between those steps can be identified. There are four advantages of taking this theory-based evaluative approach:

1. It concentrates evaluation attention and resources on key aspects of the program.
2. It facilitates aggregation of evaluation results into a broader base of theoretical and program knowledge.
3. It asks program practitioners to make their assumptions explicit and to reach consensus with their colleagues about what they are trying to do and why.
4. Evaluations that address the theoretical assumptions embedded in programs may have more influence on both policy and popular opinion.

Weiss also made a preliminary attempt to elucidate the theories, or assumptions, on which current initiatives are based. The case she used is community-based comprehensive cross-sector Initiatives for children, youth, and families. The purpose of giving this example is to suggest the kinds of questions that evaluation might address in the current case. Weiss identified seven assumptions that are implied in the rationality of the Initiatives, and discussed each assumption in detail by breaking them into further specific hypotheses.

After the creation of this hypothesis list, the next step of the theory-based evaluation is to test those theories. Weiss specified that by "test" she means asking questions that bear on the viability of the hypotheses in the particular cases, through whatever methods of inquiry are chosen. The resources that can help test theories include evidence from previous research and evaluation, as well as experience, which can be either supportive or contradictory. It is important to subject those theories or assumptions to the test of available evidence and have practitioners and residents engaged in the initiatives think through the implicit hypotheses as they go about their practice.

Not restricting herself to the simple presentation of this theory-based approach, Weiss also compared this approach with the one based on outcome indicators. She suggested that examination of theories underlying the program or initiatives provide a variegated and detailed accounting of the why's and how's of obtaining the outcomes that are observed. Hence program theories serve as guidance for collecting appropriate data to measure (evaluate) the expected outcome of the program in a coherent and logical way. Several shortcomings of only relying on indicator data make this exclusively indicator-based approach problematic.

Finally, she discussed some problems existing in implementation of this approach, which include problems of theorizing, measurement, testing, and interpretation.
Weiss explained each of these problems in detail.
1. Problems of theorizing result from a) the inherent complexity of the effort, b) the difficulty to reach agreement among participants about the theory of the whole initiatives, c) the potential political risks incurred when making the assumptions explicit to the public, and d) political barriers.
2. Problems of measurement result from a) some of the theories of change may not lend themselves to quantitative measurement and b) whether exclusively quantitative measurement is desirable is not yet clear.
3. Problems of testing theories result from a) the possibility that theories of change are too general and loosely constructed to allow for clear-cut testing and b) data collected may be susceptible to alternative interpretations.
4. Problems of interpretation result from the generalizability of the theories to explain the success of particular initiatives in particular places.