

**The greatest thing in  
the world is not so  
much where we are,  
but in what direction  
we are moving**

*O.W. Holmes*

# **Situating your case study among policy tools**

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Find a book on case study research –

Examples:

*The art of case study research*

*Case study research : design and methods*

*Central area auto restraint : a Boston case study*

*Towards transnational competence : rethinking international education : a U.S.-Japan case study*

**READ** CHAPTER 6 of ***How to Succeed at University*** (“How to Research a Topic”) WHICH CAN BE DOWNLOADED AT:

[http://www.ubcpres.ca/search/title\\_book.asp?BookID=299174910](http://www.ubcpres.ca/search/title_book.asp?BookID=299174910)

# Preparing for your case study

START TO:

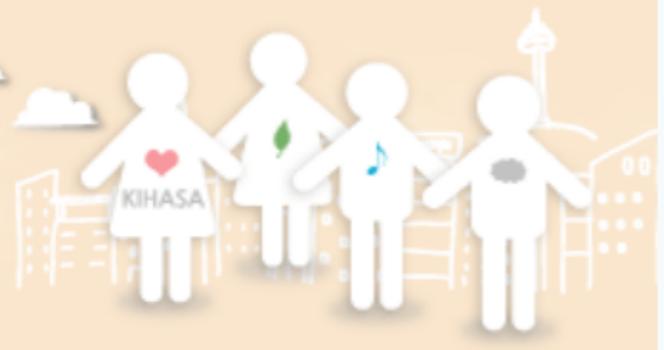
1. Start a **database** that includes: a) articles, including those for our course; b) mass media (newspapers, etc.); c) websites and blogs; d) other sources, such as KIHASA
2. Think about what the specific question is that you will answer?
3. What are the key concepts that you will use: policy process, policy tools, evaluation, outcome, etc.
4. Start to look for additional material for your database

# TO DO

- Subscribe to the Korea Institute for Health and Social Affairs (KIHASA) electronic newsletter at: <http://e-letter.kihasa.re.kr/subscribe01.jsp>

# KIHASA E-NEWS LETTER

kihasa e-news letter will bring bimonthly news and columns regarding korean welfare policies along with publications and events of kihasa.



## Welfare News



- Many singles avoid spending traditional holidays with family
- Cooking fad spreads among men
- Fees to increase for visits to doctors on Saturday morning
- Abusive parents' rights to be limited
- Young Jobseekers, Singles Want to Spend Chuseok Alone
- Foreigners, Korean Expats to Qualify for Health Insurance
- Child abuse claims 12 lives, over 5,000 victims in H1: report
- Sexism still prevalent in Korean media industry
- Avian flu returns to bird farms and markets
- Anti-corruption system gains global recognition
- Why people think of suicide
- Public officials accused of plagiarism on papers
- Wives do 80% of married couples' housework

# Policy Instruments

1. **Privatize** – leave this to the market and individuals – no role for the state (saving for retirement is a purely private decision and action)

# Policy Instruments

2. **Symbolic Response** – “Yes, people should save!”
3. **Exhortation** – persuasion – running ads, providing information about the importance of saving for retirement
4. **Tax Expenditures** – use of tax credits of deductions – if you contribute money to an retirement plan you don’t have to pay tax on that money (so you pay less tax overall)

# Policy Instruments

5. **Public Expenditures** – creating programs such as Old Age Retirement Pension (use money collected from taxes and redistribute)
6. **Regulation** – passing laws that require (force) people to save (National Pension Scheme)

# Choosing Among Instruments

- Criteria for choice:
  - Administrative convenience, efficiency
  - Legal and constitutional jurisdiction
  - Accountability, transparency
  - Degree of legitimacy and political consensus
  - Broad fit with political and fiscal priorities of government

## Choosing among instruments: other considerations

- Policy instruments often bundled, and one often will not be enough
- Government departments have their biases and specialized skills, and often prefer to do what they know
- Intangibles of political leadership, i.e. preferences can be personal

# Question

- What policy tool(s) or instrument(s) are most prominent in your policy area?

# What is Policy?

Policy is:

- The attempts to reach specific goals...
- with certain means...
- and in a certain timepath

# Policy instruments

- 1. Regulatory or legislative instruments (“the stick”: laws and other regulations),
- 2. Economic instruments (“the carrot”: subsidies, fines, grants, taxes),
- 3. Communicative instruments, or interactive steering (“preach”: education, negotiation)

# Using Environmental Regulations

- Mainstay of environmental policies and resource protection in virtually all countries,
  - involves the setting of environmental standards enforced via legislation without the aid of market-based incentives.
- Water and air quality standards and emission standards, land use standards, protected areas bans on fishing and pesticide, etc.

# Regulations

- Relatively easy to put in place
- But high cost of enforcement
- Problems of acceptance

# Economic instruments in Environmental Policy

- Creation of incentives to producers and consumers to make better use of resources.
  - It aims to internalize external cost into the price of a good through economic instruments

# Economic Instruments

- Easier to enforce
- Equal to everybody
- Generate revenue

# Using Markets

- Use the market and price signals to make the appropriate allocation of resources.
- Examples: subsidy removal (energy and water pricing reform in many countries), pesticide and fertilizer subsidy reductions and Indonesia. Taxes on industrial emissions.

# Which Policy Instrument to Choose?

There is no single ideal instrument. Need to consider

- Economically viable
- Socially acceptable
- Culturally adaptive
- Legally based
- Psychologically comfortable

# Four main criteria are used to evaluate national environmental policies and tools

- Environmental effectiveness
- Cost effectiveness
- Distributional effects, including equity
- Institutional feasibility

# Case Study Research

- *The essence of a case study... is that it tries to illuminate a decision or set of decisions: why they were taken, how they were implemented, and with what result.*

Yin, Robert (1994) "Ch 1: Designing Case Studies," **Case Study Research: Design & Methods**, 2nd edition, Thousand Oaks, CA: Sage Publications

# Case Study: Definitions

- Case study is “the study of the particularity and **complexity** of a **single case**, coming to understand its activity within important circumstances” (Stake, 1995, p. xi).
- Case study research is the **in-depth** study of instances of a phenomenon in its natural context and from the **perspective of the participants** involved in the phenomenon (Gall, Gall, & Borg, 2005).
- Case study is “a setting or group that the analyst treats as an **integrated social unit** that must be studied **holistically** and in its particularity” (Schutt, 2006, p. 293).

# CASE STUDY RESEARCH

Uses a number of data-gathering strategies:

- Documents
- Surveys
- Participant or non-participant observation

# PROBLEMS WITH CASE STUDY RESEARCH - 1

- Studying an issue solely from the perspective of one stakeholder/group.

For example, only using data from government sources, or only from mass media sources

‘cherry-picking’

# PROBLEMS WITH CASE STUDY RESEARCH - 2

- presenting a mass of indigestible data and expecting the reader to make sense of the material

For example... graphs, charts, bullet points, appendices, etc., etc.

# PROBLEMS WITH CASE STUDY RESEARCH - 3

- Presenting the conclusions without showing the logical inferences from evidence that make those conclusions possible
- The writer must show the chain of evidence and reasoning

**Research is what I'm  
doing when I don't  
know what I'm doing.**

Wernher von Braun

# Case Study: Advantages

- Gain a holistic understanding of real-life events
- Seek ‘uniqueness’ and ‘commonality’
- Refine and develop theories
- Generate new insights
- Suggest a step to action

# Case Study: Limitations

- Concerns about generalizability
- Use of "abnormal" cases
- Objectivity versus subjectivity
- The data-driven rather than theory-driven approach
- Ethics in protecting the privacy of participants (Duff, 2008)

# Case Studies Design

- Good case study design is vital
- Robert K. Yin suggests five components of good case study design:
  1. The research question
  2. The assumptions
  3. The unit(s) of analysis
  4. The logic linking the data
  5. The criteria for interpreting the findings

# What makes a strong case study?

- The case study must be ‘interesting’
- The case study must display sufficient evidence
- The case study must be ‘complete’
- The case study must consider alternative perspectives
- The case study should be written in an engaging manner
- The case study should contribute to knowledge

# Sources of data and principles to collect data

- Six sources of evidence
  - Data collection methods
- Three principles for collecting data

# Collecting data

- Six primary sources of evidence:
  - Documents
  - Archival records
  - Interviews
  - Direct observations
  - Participant-observation
  - Physical artifacts
- Additional sources exists

# Collecting data from documents

- What to think of
  - Plan the collection of data from documents
    - Different types include letters, memos, email, blogs, videos, academic books and journals
    - Agendas, minutes of meetings
    - Reports, evaluations or studies
  - Make sure you have access to documents
  - Finding documents and investigation takes time
- Why use documents
  - Correctness, corroborate, inference, build on others

# Collecting data from archives

- What to think of
  - Plan the collection of data from archival records
    - Personal records
    - Service records, customer complaint database
    - Survey data
  - Make sure you have access to databases etc.
  - Retrieval and investigation takes time
- Why use archival records
  - Can contain quantitative data for the case