

Designing and Using Case Studies

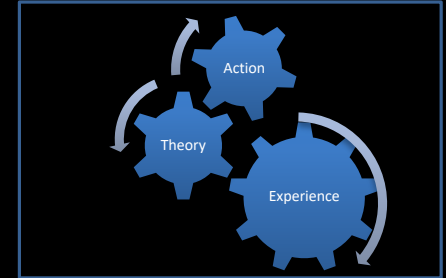


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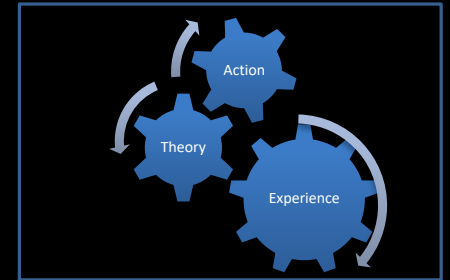


GlobalPDX workshop April 13, 2018

What is a Case Study?



- Based on real events, or
- A construction of events that could reasonably take place
- Tells a story involving issues or conflicts which need to be resolved
- Does not have one obvious solution
- Its content may be complex or simple



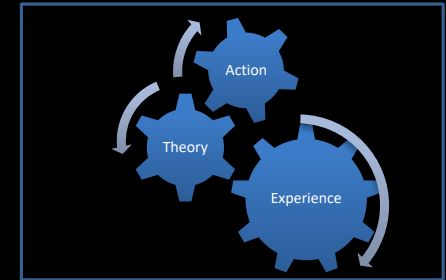
A case study is human story that illustrates a difficult situation requiring a decision

“... what engages [participants] most in a case is that it tells a story: a good case presents an interesting issue and promotes empathy with the central characters.”

“Teaching with Case Studies,” *Speaking of Teaching*, Stanford University Newsletter on Teaching, Winter 1994, Vol 5 No 2

Some Case Study Types

- Illustrative / Descriptive
- Exploratory (or pilot)
- Collective / Imbedded
- Intrinsic
- Cumulative
- Critical Instance / Problem-Posing
- Instrumental / Evaluative



A case study might be used to reinforce a Model of CD

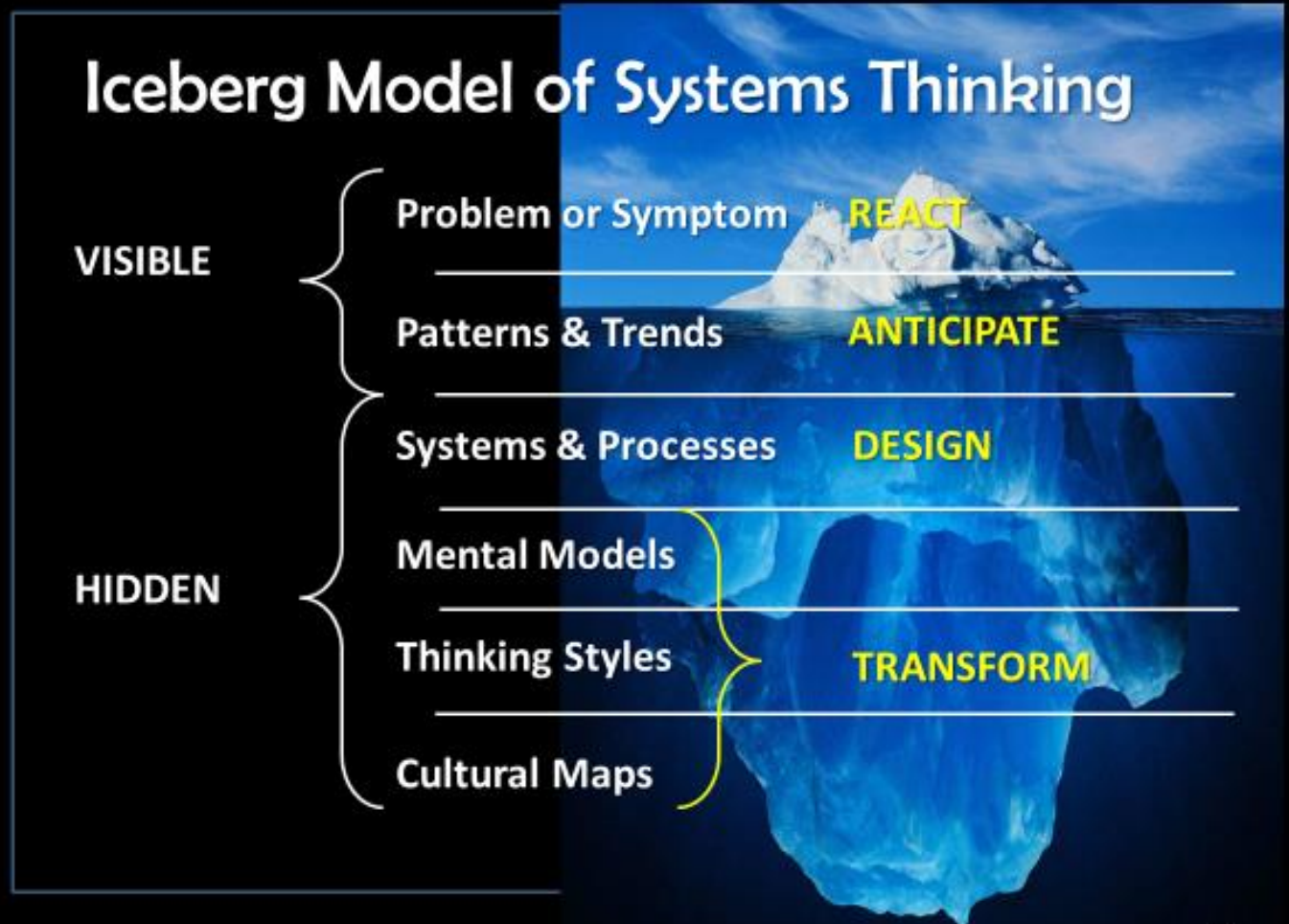
Community Capitals Framework & Asset-Based Community Development



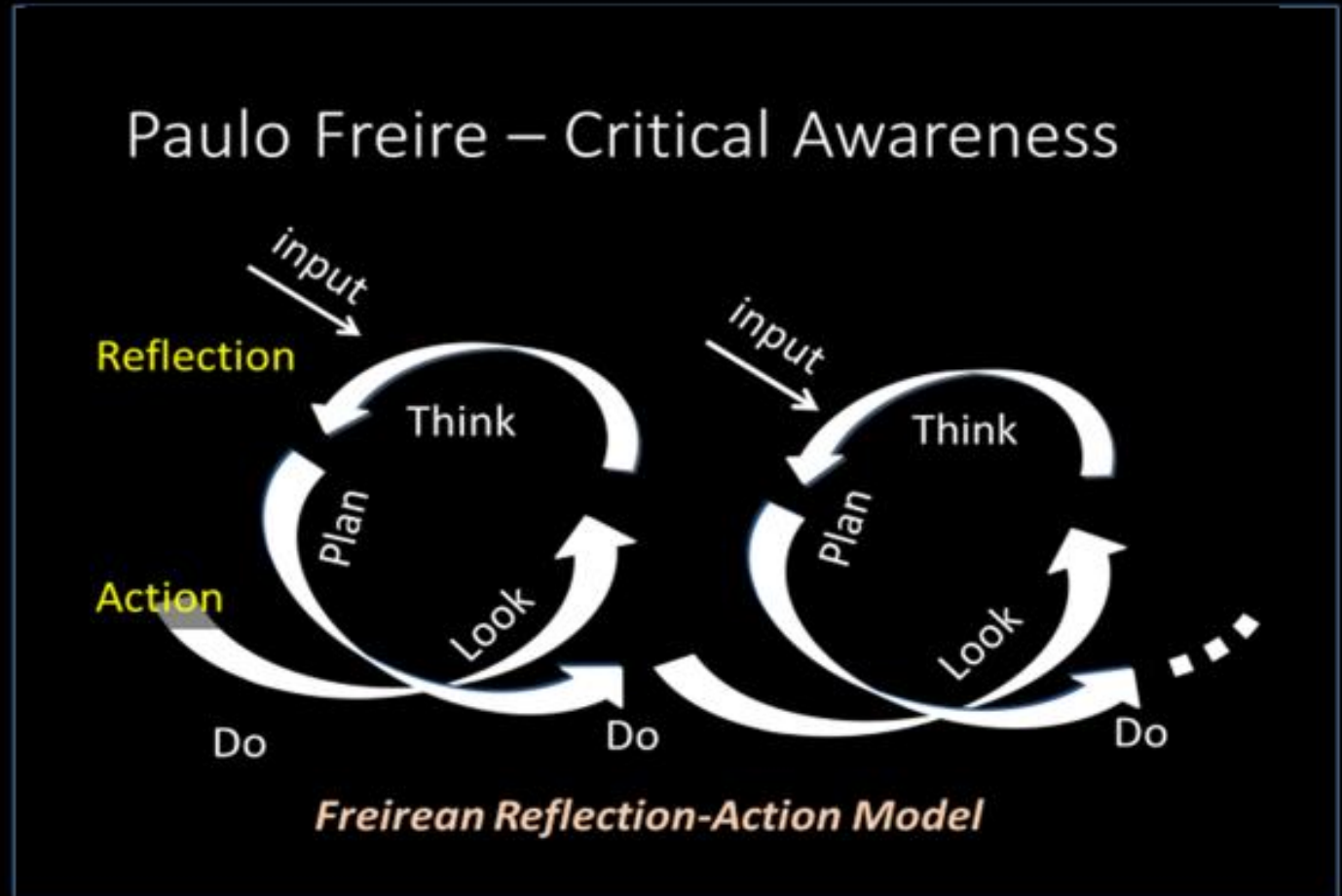
See:
Flora, Flora, & Farmer 2006,
Community Capitals Framework;

Kretzman & McKnight 1993,
Building Communities from the
Inside Out

... an Abstract Concept



... a Participatory Approach



... A Tool or Skill (*e.g. logic model*)

Proposal Title:

Problem Statement:

Inputs	Outputs		Outcomes – Impact		
	Activities	Participation	Short-Term	Mid-Term	Long-Term

Assumptions

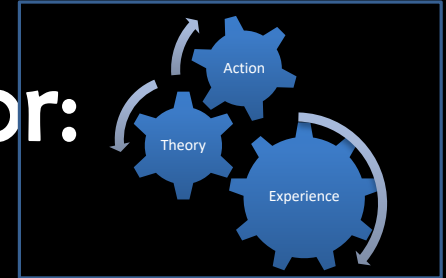
External Factors

... or a set of Values

Guiding Principles of International Community Development Practice:

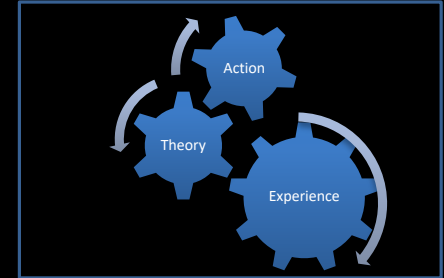
- First you must listen
- Enter with an exit plan
- Everything is connected to everything else
- Never do anything for anyone that they can do for themselves.
- Pay attention to Context -- Contexts Matter
- Pick your issues carefully
- Ordinary people are capable of extraordinary things
- People have a right to self-rule and self-determination
- We don't know what we don't know
- Change is possible

Case Studies could be used for:



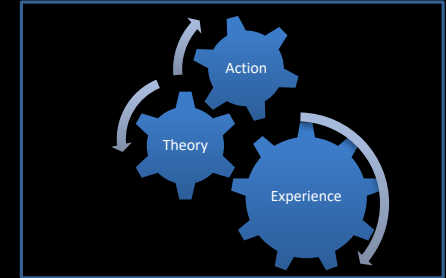
- Community Outreach
- Board Orientation
- Orientation to the Field
- Staff Training
- Volunteer Training
- Skill Building

Planning a Case Study



- Chose something that is both interesting and informative – has lots of dimensions
- Who is your audience? (layperson, professional, specific interests)
- What is your purpose? (describe, inform, instruct, explore, evaluate)
- Develop a “Research Question” to focus / guide your case

How to Build a Case Study

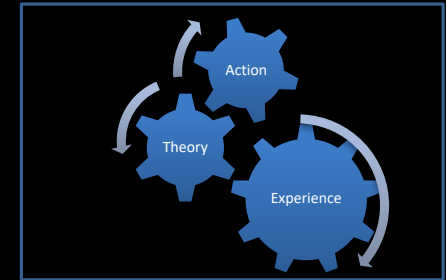


Pre-Case –

Before viewing, reading, or hearing the Case

- Build a context,
- Give participants something to look for or think about, or
- Pose an issue to address or a problem to resolve
 - Provide time to write down their responses individually,
 - Share in groups (2-3 no more than 4), then
 - Report back to the large group, and
 - Probe for explanations as they share

How to Build a Case Study



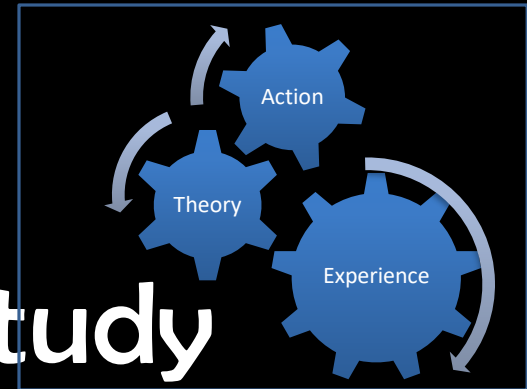
Reading, viewing, hearing the Case

- Have participants keep a “field notebook” – write observations down

Post-Case

- Discuss their observations in groups (2-3, *no more than 4*),
- Report back to the larger group,
- Ask lots of questions (*How? Why? What first? Then what?*)
- Draw out the points you want to focus on,
- Ask more questions
- Summarize – especially the “big question(s)”

Sample Case Study



Letter from Mexico

Read the following email sent from a teacher volunteering in a small town in Mexico.

In the column to the right identify the following: assumptions, dilemmas, elements of "community development," ideas for development

I arrived here at the university on 3 Enero and it's been hectic until recently. My little overloaded Honda Civic managed to drive the 3700 miles and then climbed the last 34 miles of windy mountain road. I lost the muffler during the last 5 miles. When we unloaded the car, it rose about 5 inches higher off the ground!

I am ensconced in a one bedroom apt with white tile floors, white walls and white curtains. The rooms are not huge but are plenty spacious enough for one or two people. The view is stupendous as we are at 6000 ft near a mountain summit. I feel like I am at the top of the world. Every morning I look out my window to see a couple of villages off in the distance and row after row of mountains and I marvel that I am here. Each night I look off to the north and see the village of Ixtlan alit on the hillside and feel blessed to be here. I can see for miles, there is nature everywhere so the villages dotted here and there appear to be oases in the wilderness.

The terrain is piney, in fact, a five needle pine for any pine afficianados.

Pine with lots of leafy trees that I cannot identify. There are orchids that have a symbiotic agreement with some of the leafy trees and you can see these strange flowery shapes swinging down from the branches. In addition to orchids, there are bromides, some relative of the pineapple that is also symbiotic. I live in a cloud forest that grows orchids! How cool is that!

So far, our days have been sunny with only one day consisting of 24 hours of cloudy mist. The nights are cold. We have no central heating and live in whatever temperature mother nature dictates. I sleep under two wool blankets and a comforter and am toasty at night but the 2 or 3 hours before bed can be uncomfortably cold. I am glad I brought my electrical space heater as it helps take off the chill.

ESL is proving to be a challenge. The program here isn't really a program. The university has been open for 6 months and the ESL teacher made a poor choice of a text which she now admits. The students have had little exposure to English and are pre-beginners and Abby has been teaching them grammar. Most of the students speak little or no English and my Spanish is in the same category. So the students often need explanations that I am hard pressed to provide. I limp through my Spanish vocabulary trying to help them, sometimes I succeeding, sometimes not.

We need to convert to an early reading program and so far the college has been unwilling to provide the money to purchase different texts and materials. There is another teacher here who was hired at the same time as I and is Bachelor Degreed from Toronto. Bill taught in public schools for a short period and spent most of his adult life as a horse trainer. He returned to teaching four years ago when horse training became too physically demanding. He taught English in Japan for 3 years and then in Tuxtla, southern Mexico, for 6 mos. Now he is here and having difficulty adjusting to the low English level of these students.

In Japan the emphasis is on speaking because all the children are taught English at school from the early grades on up. By the time they are adults, they are English grammar experts. Here, there is no background of English and the emphasis is on reading comprehension. During their last two years at the university, they will need to read English text books. Speaking is not required but reading and comprehension are. I'm afraid that I'm in over my head but I'm also hopeful that I can master this with some time and training. Any hints or words of encouragement about ESL teaching/mastery will be greatly appreciated.

At the moment, there are 3 English classes with 21-30 students. The 3 of us are team planning and taking turns teaching the classes and observing one another. Of course, the first teacher of the day is at a disadvantage as the two following watch him or her founder and then figure out ways to do a better job the second and third time around. So, I am getting some good exposure and it has been enlightening watching Bill teach. Instead of trying to explain, he's learned to give one word directions. listen; mark; open; example; repeat. Being bilingual, Abby has the advantage of being able to explain things that Bill and I cannot. Our Spanish is at about the same pre-elementary level. So I'm watching Bill and learning to imitate what appears to work.

Starting Feb, we begin a new semester and will rearrange the classes. We will each have two classes of approx 12-15 students. Exactly what and how we will teach remains a mystery to me at this point. I am overwhelmed with the new culture, the need to acquire Spanish, the conversion to a university mindset in a different country and the need to learn to teach ESL. It's going to be a challenging year! We have a computer lab (9 computers per class) and a computer program that is workable, so that's a blessing. I expect to put in long hours and occasionally reach mediocrity this year. Next year I hope to be conversant and to have a handle on ESL. Teaching ESL definitely is not as simple as it may seem on the surface of things. Teaching it in a culturally sensitive way is also not as simple as it may appear.

Today the staff had a special lunch at a trout restaurant just outside of Ixtlan. You may wonder what a trout restaurant is. Well, it's a restaurant that serves only trout! The really terrific part about this is that the restaurant is outdoors and situated at a trout farm where the fish are nurtured in the fresh river water coming out of the mountains. They serve trout about 8 different ways from fried to steamed with various sauces and seasonings from chilis to mushroom and onions. You can also order rice, trout soup, beer, apple juice, coke or coffee. That's the menu. The fish is wonderful, the ambiance is excellent. The price is high for this area but worth it. I paid \$8 American for my meal this afternoon whereas my usual afternoon meal runs \$1.90.

What I particularly like about the trout restaurant is that it is owned by the community of Ixtlan. In 1997 the third age group (senior citizens, cute term, huh?) decided to use the natural trout stream to create a profit with the proceeds to be used for community purposes. So, they got some govt assistance to create the trout farm which appears to be an ongoing work in progress. They not only cater to local customers but I imagine they supply restaurants in Oaxaca with fresh trout. Not only is it a way to contribute to the local community, it's a lovely way to spend an afternoon.

The local community also owns the only gas station in town. Mexican gas is owned by the federal govt and there is no competitive pricing. It's the same price no matter where you buy it in Mexico. Private parties can purchase a govt concession to sell gas in a particular area. The community of Ixtlan purchased a concession and has tagged the profits to go to those citizens who are elderly or handicapped or in some way unable to support themselves! I really like the way these people think about community and entrepreneurship. I will try to buy all my gas in Ixtlan rather than Oaxaca.

I thought I was entering some backwater part of the third world and find myself thinking that we could learn a lot from these people. The inhabitants of Ixtlan are well nourished and well dressed and have a thriving local culture as well as strong community. They just live way up in the mountains, aren't city people and don't necessarily want to adopt all of the ways of the western world. They have their individual lives as well as a strong family environment that serves them. Now with the university in place, they have more opportunity for employment. There is also a large local effort at ecotourism but I don't know enough to talk about it at this point.

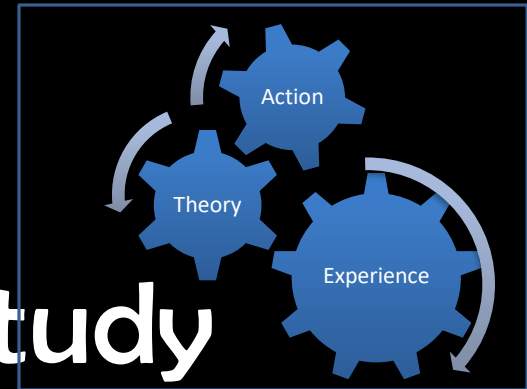
During our afternoon lunch with the university president, I learned that we are going to take a couple days in Feb to visit another university. Sounded good until I heard that each staff member is going to be required to do a bit of research and present our findings at a joint meeting with another university in mid February! I've not only entered Mexico, I've entered higher, higher ed and wonder if I'm up to the challenge. Like I said, it's going to be a hard work year!

Blessings to all of you. If you would like further arm chair dialogs from the world of Ixtlan Juarez, send me an email and I will start a list and send you irregular (and possibly irreverent) missives from the top of Mexico. If you don't reply, I'll wait till you email me and will email as I can.

humility and love and affection,

In truth,

Sample Case Study



Ciudad Saludable - Albina Ruiz

Ciudad Saludable (“Healthy Cities”) in Peru

For use with “New Heroes” DVD 3:1 Power of Enterprise – Albina Ruiz

350,000 people live in Pucalpa, Peru. The city is hot and rainy. In the center of the city is a trash dump where people live year round. They live in the garbage. They are surrounded by the noise of trucks dumping garbage, bulldozers pushing garbage, the smell of rotting garbage, the smoke of burning garbage. Children, elderly persons, pregnant women wade through the mountains of trash, garbage, and toxic waste to find something to recycle or sell. They have no gloves, many have no shoes. Children tend to be underweight and small for their age. Respiratory ailments and stomach problems are prevalent.

During the rainy season people come from the agricultural areas to sell their products in the Mercado at the port of Pucalpa – open markets. The river is high and the banks are steep and muddy. Stall owners and customers throw trash and garbage into the river. Animal feces, rotting fruit and vegetables, paper, plastic all go into the river. Flies are a constant presence – in the food stalls, on the food, on people. In Peru, 75% of the garbage is disposed of informally and improperly.

Carhuaz, Peru is in the mountains. 48,000 inhabitants – a mid-sized city similar to many Peruvian cities. The city dumps its garbage directly into the river. Down river people wash their clothes, children are bathing, communities are taking their drinking water, farmers are taking water for their crops.

You have been called in to consult with a local coalition of organizations that are concerned with community livability. Today you are meeting around the table with them for the first time.

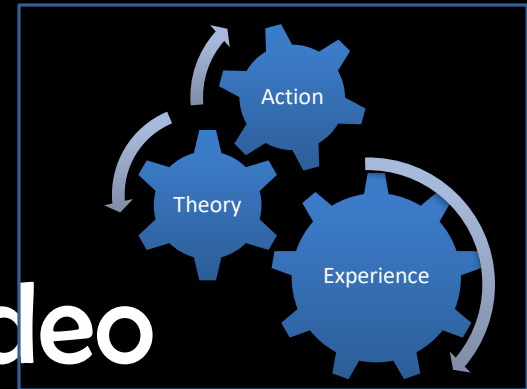
Identify the problems or issues you believe should be addressed:

Identify the possible assets of the community:

What do you want to accomplish? What are one or two end results you want to reach?

Given the issues and the assets what are some steps you might recommend the organizations take? What should be done first? Why?

Watch the Video



Ciudad Saludable - Albina Ruiz

<http://www.youtube.com/watch?v=cwTJr4ORshc>

Ciudad Saludable (“Healthy Cities”) in Peru

“I see many people living in miserable conditions. In order to solve the waste problem we create small businesses for collection, transportation, treatment, recycling, and sale. What Peruvians need to say is, *‘We can do it.’* And not to think of ourselves as poor people waiting for someone to come and fix all our problems or give us something to eat for tomorrow. No. we have to say, *‘Damn it, we have the possibility for change.’* Really, you can’t separate your job from your life.”
--- Albina Ruiz

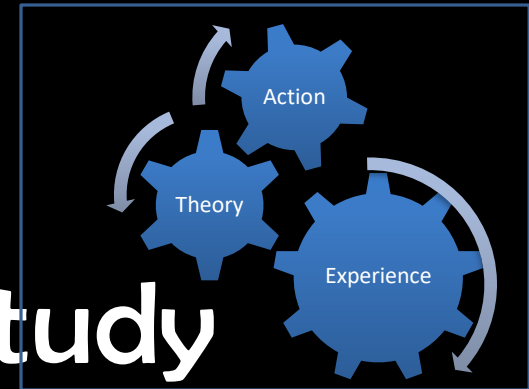
Why are these people living near the dump?

“Enterprise is the ability to see a need and fill it in a way that satisfies customers and generates profits. Imagine if these profits weren’t just money, but the improvement of people’s lives.” What makes this kind of business different from any other?

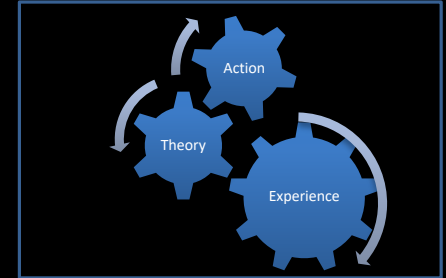
At one point Albina says, “We need to solve this problem, but we need to do it right.” What does she mean? What makes her approach successful?

Who would imagine that there is “money in garbage” and by tapping it, major change might be possible? What other parallels can you think of where what appears like a profoundly negative situation can be turned into something positive – that is, in the problem itself one might find the solution?

Sample Case Study



Child Slavery in India - Kailash Satyarthi

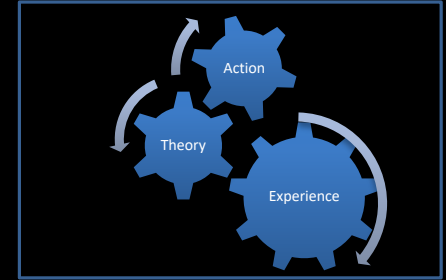


SAMPLE CASE STUDY

Kailash Satyarthi - Child Slavery in India

*A Case posed in a classroom setting using
PowerPoint, Flip Chart, Chalkboard, or Handouts*

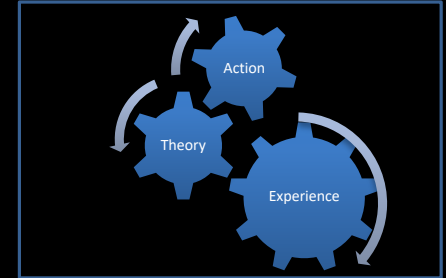
THE NEW  **HEROES**



Prior to the Video

- In groups of four participants
- Using a handout, poster, slides etc. – participants need to refer to instructions,
- The case set-up is given,
- The problem is posed,
- Participants discuss the problem,
- Each group reports back to the larger group
(following two slides)

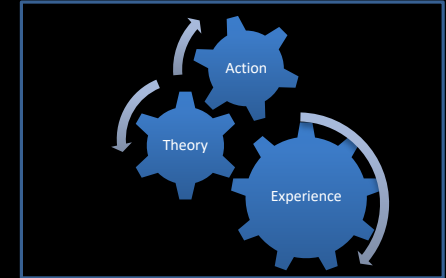
The Context



You are an electrical engineer in India with a promising career and discover that powerful, corrupt businesses and land-owners have conspired to enslave families to work in their factories. The families are kept in remote sites and the factories are frequently manned by armed guards.

You are especially concerned for the children. They have no education and no future. In some cases they are second, third, or even fourth generation slaves.

Action



- You decide you must do something.
- How do you frame the issue? i.e. What is the problem or problems?
- What do you do? Why?
- How will what you have chosen to do change the circumstances in the short term?
- In the long term?

Slide shown to participants in class

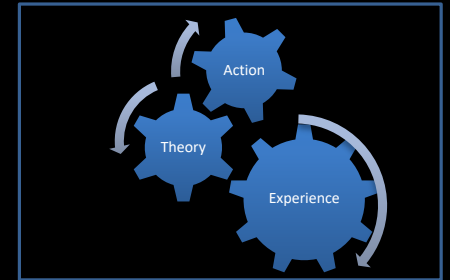
Watch the Video

THE NEW HEROES

Kailash Satyarthi is an Indian children's rights and education advocate and an activist against child labor.

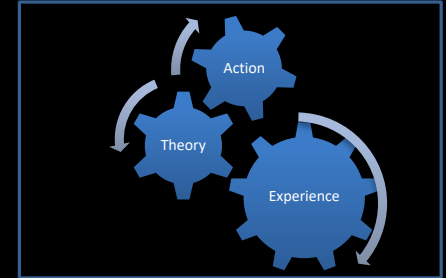
He founded the Bachpan Bachao Andolan in 1980

Won 2014 Nobel Peace Prize



<http://www.youtube.com/watch?v=cwTJr4ORshc>

Case Study – Kailash Satyarthi – Discussion Points

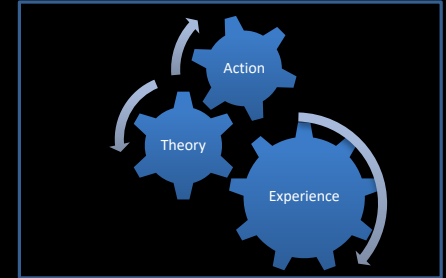


[rlw: Discussed in groups of four then open discussion]

- How were the issue(s) framed?
 - The immediate? Local?
 - The Mid-term? Regional / country?
 - The Long-term? Global?
- What action(s) did he take? i.e., how did the way the issues were framed dictate what was done?

Slide shown to participants in class

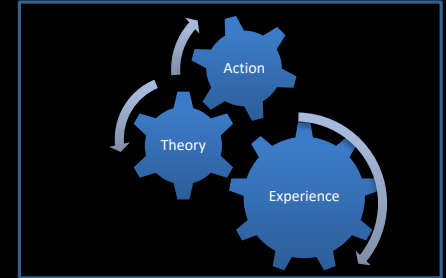
Case Study – Kailash Satyarthi – Discussion Points



- How were issues and conditions “chained” or interconnected?
- What do you consider good practices / best practices?
- What might you have done differently?
- What “transferable concepts” of International Community Development can you find?
 - Good Practice?
 - Basic Principles?

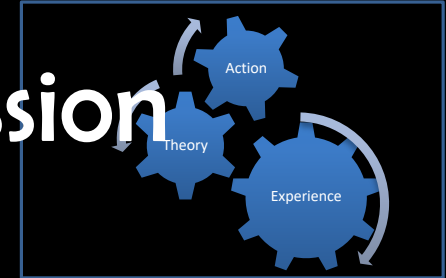
Slide shown to participants in class

Professor's Random Notes on the video:

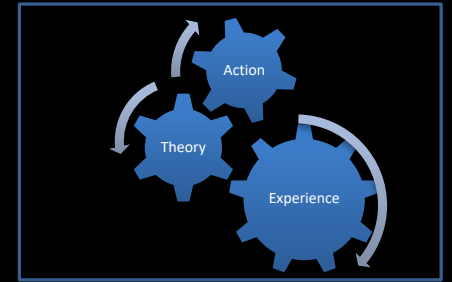


- Not everyone could be saved
- Some will fall back into the same circumstances
- Some will be helped out of the same circumstance more than once
- The future for the extreme poor (and the social outcast) is uncertain

Other “lessons” during discussion



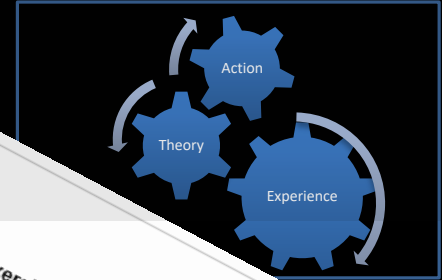
- Relationship of Relief & Development
- Labeling Theory
- Democracy – decision-making theory
- Marginalization / Culture shift
- Power Theory
- Capacity-building
- Framing the Issues – Situation Theory
- Hazard, Risk, and Resource
- Using local assets (children teaching children, former slaves as allies)
- Community Organizing / Planning
- And ... ?



BONUS MATERIAL

Lots of Possible Formats

- Video clip
- Take-home assignment
- In-Class handout
- Guest presenter
- Or?



Case study exercise: The Happy Eden Landfill Project (H.E.L.P.)

Using the following information, identify the major issues that a public participation plan would necessarily address for siting a solid waste landfill for the City of Happy Eden and the unincorporated areas surrounding the town.

Background:

In January 2013, the State Department of Health Services ordered Happy Eden to close its existing landfill due to seepage pollution of groundwater. Happy Eden signed a 3-year contract with its neighboring city, Paradise Valley, to dispose of wastes in an existing landfill owned and operated by that city. Paradise Valley will not extend the contract beyond three years unless Happy Eden has begun construction of a new landfill. Any extension would cover only the construction period of a new landfill.

Happy Eden has implemented a solid waste management plan that includes curbside recycling. A plan to build an incinerator to convert trash to electricity was rejected by voters concerned about air quality issues several years before. The Mayor and City Council have made clear they do not wish to reopen the discussion on an incinerator.

You are the management team for the Happy Eden Department of Public Works – the lead agency for siting the new landfill. Site selection must be approved by the City Council and reviewed by the county Solid Waste Division and the State Department of Health Services.

Already the presidents of three neighborhood associations near a proposed site, the League of Women Voters, and Neighbors Against Garbage (NAG) have sought appointments to discuss the issues.

In addition to overseeing the technical studies, your group will be responsible for planning and conducting an involvement program. Identify the issues that may be most salient. As you identify the issues, you might ask yourself:

- To which groups do these issues matter most? And, why?
- What information will you need to exchange as you consult with these groups in the early stages?
- Who will you need to talk to first? Why?

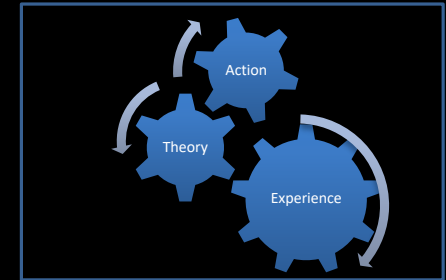
The Major Issues:

Happy Eden Landfill case study

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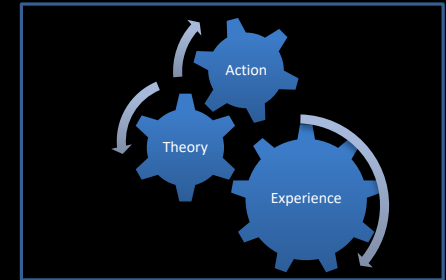
See Problem-based learning

Facilitators



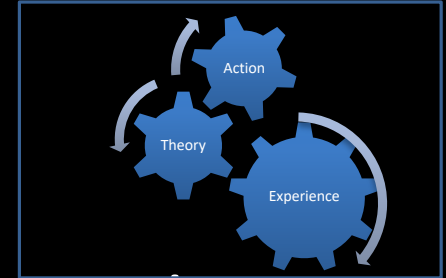
- Must have specific learning objectives (Theory? Skill? Practice? Values?)
- Bridge between theory & concepts to practice
- Assess participants' ability to apply concepts to complex "*real world*" situations
- Help participants build analytic skills
- Help participants make connections between case and learning objectives

Cautions



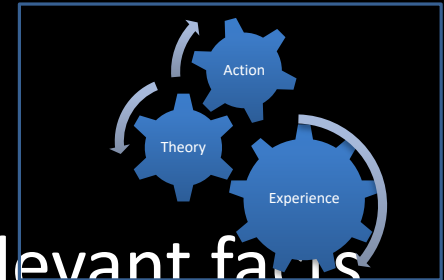
- Participants need clear instructions on their responsibilities
- Facilitators need to be clear on why a Case Study
 - On what concepts should participants rely?
 - What knowledge, skill, or behavior are you attempting to introduce, develop, or assess?

Basic Guidelines



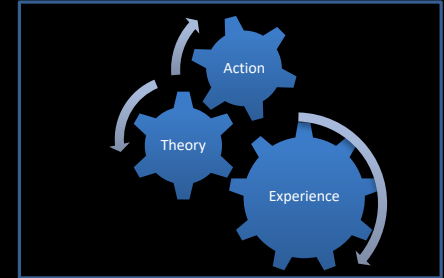
- Set the atmosphere for animated discussion
- In groups first, then open discussion
- No one is criticized for naïve questions or uncertainties
- Recognize the significance of cooperation to
 - Analyze the situation
 - Make sense of the problem
 - Work toward a solution
- Allow freedom to experiment with assumptions & conclusions

Discussion – may be:



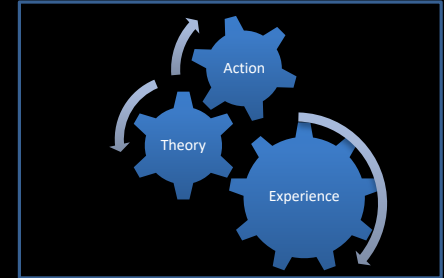
1. Abstract - explore problem, sort relevant facts, develop logical conclusion
 - This is someone else’s problem,
 - Explore it like a neutral observer / researcher,
 - Present findings to other participants & facilitator
2. P.O.V. - Take specific role in the case
 - Take on perspectives, interests, knowledge of character
 - Argue for specific actions from characters P.O.V
3. Full involvement
 - What would, could, should someone choose to do?

Discussion – a little advice



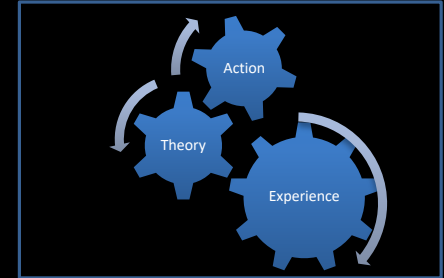
- Facilitate don't dominate
- Ask open-ended questions
- Ask exploratory & relational questions
 - Probe for reasoning behind conclusions
 - Participants want to jump to solutions – RESIST
 - Use good facilitation probes
- List key concerns, concepts, principles on board
- Give immediate positive feedback on comments
- Redirect comments to other Participants for evaluation

Discussion Challenges



- Participants may fear of ambiguity
- Participants may want the instructor to give
 - More information
 - The “right” answer
 - Facts & Truths
- Participants may fear giving inadequate solutions
- Participants can take the discussion on inappropriate tangents

Wrapping Up the Discussion



Summarize the discussion:

- Focus on the process of discovery
 - Note new ideas, concepts, perspectives generated by Participants not on your map
 - Reinforce the value of cooperative learning & problem-solving
- Focus on content – return to the list of key points
 - Make connections between participant discoveries and course content – past, current, future
- Get feedback on case discussion process