

Epoka University

Research Methods in Social Sciences (PIR 801)

A Reader

By  
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Epoka University  
Department of Political Science and International Relations  
Tirana, February 2018

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## **Preface**

This Reader brings together materials related to Research Methods. More specifically, it is related with the materials on the course “Research Methods in Social Sciences” (PIR 801), taught at PhD program in the Political Science and International Relations at Epoka University.

## **Lecturer**

Dr. Islam Jusufi,

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Islam Jusufi, PhD: Lecturer and Head at the Department of Political Sciences and International Relations at Epoka University, Tirana, Albania. Studied Politics at University of Sheffield and International Relations at Universities of Amsterdam, Bilkent and Ankara. He held fellowships at the Wilson Centre, Washington DC; EU Institute for Security Studies, Paris; ERSTE Stiftung, Vienna; UNESCO, Paris; Centre for Policy Studies, Budapest; and NATO, Brussels. His research interests relate to international, European and Balkan politics and security studies.

## Assignments

1. Essay - Literature review (value: 10%): Task is to choose a topic for your PhD thesis and prepare a 800-1000 word essay in the format of the literature review on what resources are available at the Epoka library, other libraries and online on the topic chosen. The essay should include facts and analysis on available resources. Upload to Turnitin.

2. Essay - Research method (value: 10%): Task is to choose a method for your PhD thesis and develop a Research method for your PhD thesis. Length: 800-1000 words. Upload to Turnitin.

3. Blog (value: 10%): Task is to establish a Blog through [www.wordpress.com](http://www.wordpress.com). Example: [namesurname.wordpress.com](http://namesurname.wordpress.com). Blog should include: name, surname, your bio, picture, which class, link to Epoka University, and your assignments.

4. Presentations (value: 10%): Students will present their essays (Literature review and Research Method). All presentations will be presented in seminar format. No power point. 10 minutes of oral presentation.

### Evaluation format for Essays:

Name of student	Content (out of 50 points)	Organization (out of 10 points)	Mechanics - Language (out of 10 points)	Citations and References (out of 10 points)	Style of writing (out of 10 points)	Format (out of 10 points)	TOTAL (100 points)

### Evaluation format for Oral Presentations:

Category	Scoring Criteria	Total Points	Score
<b>Organization (10 points)</b>	The type of presentation is appropriate for the topic and audience.	5	
	Information is presented in a logical sequence.	5	
<b>Content (45 points)</b>	Introduction is attention-getting, lays out the problem well, and establishes a framework for the rest of the presentation.	5	
	Technical terms are well-defined in language appropriate for the target audience.	5	
	Presentation contains accurate information.	10	
	Material included is relevant to the overall message/purpose.	10	
	Appropriate amount of material is prepared, and points made reflect well their relative importance.	10	
	There is an obvious conclusion summarizing the presentation.	5	
<b>Presentation (45 points)</b>	Speaker maintains good eye contact with the audience and is appropriately animated (e.g., gestures, moving around, etc.).	5	
	Speaker uses a clear, audible voice.	5	
	Delivery is poised, controlled, and smooth.	5	
	Good language skills and pronunciation are used.	10	
	Visual aids (if not visual aids), the posture is effective, and not distracting.	5	
	Length of presentation is within the assigned time limits.	5	
	Information was well communicated.	10	
<b>Score</b>	<b>Total Points</b>	<b>100</b>	

**Syllabus and Slides**

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**FACULTY OF ECONOMICS AND ADMINISTRATIVE SCIENCES**  
**DEPARTMENT OF POLITICAL SCIENCE AND INTERNATIONAL RELATIONS**  
**COURSE SYLLABUS**

COURSE INFORMATION							
Course Title: Research Methods in Social Sciences							
Code	Course Type	Regular Semester	Lecture	Recit.	Lab.	Credits	ECTS
PIR 801	B		3	0	-	3	10
Lecturer and Office Hours			Dr. Islam Jusufi ( <a href="mailto:ijusufi@epoka.edu.al">ijusufi@epoka.edu.al</a> ) E-building				
Teaching Assistants and Office Hours							
Language			English				
Compulsory/Elective			Main				
Classroom and Meeting Time							
Description	This course will be divided into two parts. One is ‘Study Skill’ and the other is ‘research methods’. We thought that it is important for students who would like to write an academic paper in English (rather than their mother tongue language) to gain considerable amount of knowledge about study skills. This course seeks to ensure that all students become able to use appropriate research methods on their studies. Further, the course will provide key research methods as well as studies skill tools as preparing bibliography, citation, quotation. In addition, the students’ attention will be drawn into ethical and legal issues to dissertation writing skills which are one of the important areas of academic studies. The course will inform the students to navigate the information resources in their studies which guide them how to use of library, databases and archives, the WWW, and electronically available sources. Consequently, the course will equip the students with what they need while they are conducting academic research and producing an academic essay, report, paper and book.						
Objectives	This course explores the research methods in social sciences, with particular emphasis on political science and international relations. It considers a broad array of methodologies, from qualitative to quantitative methodologies to case studies. The focus is on methodology design, data collection, analysis and writing. The course aims to teach students to learn how to use the quantitative and qualitative methods for investigating political science and international relations topics. It aims to have students learn how to design a methodology, collect and analyse data and write the research. As a final result, the course seeks to ensure that all students become able to use methods on their chosen specific field.						
COURSE OUTLINE							
Weekly Lessons	Topics						
Section 1: Introduction to Methodology							
1	a. Course introduction, overview of texts, and expectations b. Methodologies  <u>Must readings:</u> Neuman: pages: 68-92.						
2	Writing a research proposal and a research paper						
3	General Research design and Ethics  <u>Must readings:</u> Burnham: pages: 38-68; 282-298.						
4	Literature review and Qualitative and Quantitative research designs  <u>Must readings:</u> Neuman: pages: 95-116; 137-166.						

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**COURSE SYLLABUS**

	<u>Optional readings:</u> Burnham: pages: 187-212.
<i>Section 2: Qualitative research techniques</i>	
<b>5</b>	<b>Field research, Elite interviewing</b>  <u>Must readings:</u> Neuman: pages: 363-398. Burnham: pages: 231-247.
<b>6</b>	<b>Historical-Comparative research and Case study methodology</b>  <u>Must readings:</u> Neuman: pages: 402-434. Yin: pages: 1-33.  <u>Optional readings:</u> Burnham: pages: 69-95.
<b>7</b>	<b>Survey research and Focus groups</b>  <u>Must readings:</u> Neuman: pages: 263-303.  <u>Optional readings:</u> Burnham: pages: 96-137.
<b>8</b>	<b>Nonreactive research, Secondary analysis, Discourse analysis</b>  <u>Must readings:</u> Neuman: pages: 308-329. Burnham: pages: 248-281.
<i>Section 3: Quantitative research techniques</i>	
<b>9</b>	<b>Qualitative and Quantitative measurement</b>  <u>Must readings:</u> Neuman: pages: 169-207.
<b>10</b>	<b>Qualitative and Quantitative sampling</b>  <u>Must readings:</u> Neuman: pages: 210-235.
<b>11</b>	<b>Experimental research</b>  <u>Must readings:</u> Neuman: pages: 237-260.
<i>Section 4: Other methods and techniques</i>	
<b>12</b>	<b>Project cycle management</b>  <u>Must readings:</u> European Commission: pages: 16-53.
<b>13</b>	<b>Concluding the research, Research and Policy Process</b>  <u>Must readings:</u> Neuman: pages: 468-479. Burnham: pages: 305-324.
	<b>MID-TERM EXAM (one of the weeks in the middle of semester)</b>



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	<b>FINAL EXAM (15 and 16 weeks of the semester)</b>	
<b>Prerequisite(s)</b>	Class attendance and participation; timely delivery of the assignments.	
<b>Textbook</b>	<p><u>Must readings:</u> Burnham, P. 2008. Research methods in politics. Palgrave Macmillan: New York. (Available in the Library of the Epoka University).</p> <p>European Commission. 2004. Project Cycle Management Guidelines. Brussels. (Available online).</p> <p>Neuman, W. L. 2003. Social research methods: qualitative and quantitative approaches. Allyn and Bacon: Boston. (Available in the Library of the Epoka University).</p> <p>Yin, R. 2002. Case Study Research: Design and Methods. Sage Publications: Thousand Oaks, CA. (Available online)</p>	
<b>Other References</b>	<p><u>Optional readings:</u> Marsh, D., and Stoker, G. 2002. Theory and methods in political science. Palgrave Macmillan: New York. (Available in the Library of the Epoka University).</p>	
<b>Laboratory Work</b>	-	
<b>Computer Usage</b>	No	
<b>Others</b>		
<b>LEARNING OUTCOMES AND COMPETENCIES</b>		
<b>1</b>	To demonstrate knowledge of major research methods in social sciences, including political science and international relations	
<b>2</b>	To demonstrate ability to use these methods in particular cases,	
<b>3</b>	To demonstrate ability to select a topic for research and apply research method	
<b>4</b>	To demonstrate skills evaluating and providing critiques to selected methods.	
<b>COURSE'S CONTRIBUTION TO PROGRAM OUTCOMES</b> (Blank : no contribution, 1: least contribution ... 5: highest contribution)		
<b>No</b>	<b>Program Learning Outcomes</b>	<b>Cont.</b>
<b>1</b>	Having and using advanced knowledge and comprehension supported by textbooks including actual knowledge in political sciences and international relations literature, materials and the other scientific resources	<b>5</b>
<b>2</b>	Gaining the skills to follow actual developments and pursue long-life learning.	<b>5</b>
<b>3</b>	Analyzing data, ideas and concepts of current political issues and international relations	<b>5</b>
<b>4</b>	Having knowledge and thought about actual topics and problems together with their historical, social and cultural aspects	<b>4</b>
<b>5</b>	Gaining IT skills to use computer and technology in order to reach actual knowledge	<b>1</b>
<b>6</b>	Improving skills of working together with the main social science disciplines and other disciplines which are related to Political Science and International Relations	<b>3</b>
<b>7</b>	Improving critical thinking and skills in making research independently	<b>5</b>
<b>8</b>	Developing solutions about the problems and conflicts which are common in national and international arena	<b>5</b>

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<b>9</b>	Gaining skills to follow societal, scientific and ethic values during collecting, interpreting, conducting of data related to social and political developments	<b>5</b>
<b>10</b>	Knowing any foreign language enough to communicate with colleagues and understand actual researches and articles	<b>4</b>
<b>11</b>	Introducing those who are interested in politics and international events with the topics of Political Science and IR and teaching clearly the problems and the types of solutions	<b>5</b>
<b>12</b>	Improving skills for leadership and research and analyze capacity of those who is responsible with national and international ones	<b>3</b>
<b>13</b>	Having consciousness about human rights and environment	<b>5</b>

**COURSE EVALUATION METHOD**

<b>In-term studies</b>	<b>Quantity</b>	<b>Percentage</b>
Mid-Term Exam	1	20
Assignment 1 - Literature review	1	10
Assignment 2 - Research method	1	10
Assignment 3 – Blog	1	10
Assignment 4 – Presentation	1	10
Final Exam	1	30
Participation	1	10
<b>Total</b>		100
<b>Contribution of in-term studies to overall grade</b>		<b>70</b>
<b>Contribution of final examination to overall grade</b>		<b>30</b>
<b>Total</b>		100

**ECTS (ALLOCATED BASED ON STUDENT) WORKLOAD**

<b>Activities</b>	<b>Quantity</b>	<b>Duration (Hour)</b>	<b>Total Workload (Hour)</b>
Course Duration (Including the exam week: 16x Total course hours)	16	4	64
Hours for off-the-classroom study (Pre-study, practice)	32	2	64
Assignments	26	1	26
Mid-terms	26	1	26
Final examination	40	1	40
Other	30	1	30
<b>Total Work Load</b>			<b>250</b>
<b>Total Work Load / 25 (h)</b>			<b>10.00</b>
<b>ECTS Credit of the Course</b>			<b>10</b>

# **PIR 801, Research Methods in Social Sciences**

**Dr. Islam Jusufi**  
**Epoka University**

# Issues to cover

- Introduction of course.
- Review of course objectives.
- Review of syllabus.

# Fact sheet

- Course Title: Research Methods in Social Sciences, PIR 801.
- Course hours per week: 2 hours per week.
- Lessons: 13.

# Description

- Explore research methods in social sciences
- Particular emphasis on political science/IR
- From qualitative to quantitative methodologies to case studies
- Focus is on methodology design, data collection, analysis and writing.

# Objectives

- Learn how to use the quantitative and qualitative methods
- For investigating political science and international relations topics
- Learn how to design a methodology, collect and analyse data and write the research
- Become able to use methods on a chosen specific field

# Learning outcomes

- Knowledge of major research methods in social sciences, including political science and international relations
- Ability to use methods in particular cases
- Ability to select a topic for research and apply research method
- Skills evaluating and providing critiques to selected methods.



# Biography, Islam Jusufi

- Lecturer at the Department of Political Science and International Relations of Epoka University
- Studied Politics at University of Sheffield and International Relations at Universities of Amsterdam, Bilkent and Ankara.
- Fellowships at the Wilson Centre, Washington DC; EU Institute for Security Studies, Paris; ERSTE Stiftung, Vienna; UNESCO, Paris; Centre for Policy Studies, Budapest; and NATO, Brussels.
- Research interests relate to international politics, security studies and foreign aid management.

# Office hours

- By appointment.
- Students are encouraged to use office hours to discuss reading materials, exams, presentations, as well as any other matter, including their future professional development.
- via email: [ijusufi@epoka.edu.al](mailto:ijusufi@epoka.edu.al).
- Office: E-Building.

# Readings

- Wide range of sources
- Available on-line or in the Epoka Library
- If students experience any difficulty accessing material, they should contact the instructor or the assistant immediately.

# Must readings

- Burnham, P. 2008. Research methods in politics. Palgrave Macmillan: New York. (Available in the Library of the Epoka University).
- European Commission. 2004. Project Cycle Management Guidelines. Brussels. (Available online).
- Neuman, W. L. 2003. Social research methods: qualitative and quantitative approaches. Allyn and Bacon: Boston. (Available in the Library of the Epoka University).
- Yin, R. 2002. Case Study Research: Design and Methods. Sage Publications: Thousand Oaks, CA. (Available online)

# Optional readings

- Marsh, D., and Stoker, G. 2002. Theory and methods in political science. Palgrave Macmillan: New York.  
(Available in the Library of the Epoka University).

# Course Outline, Lesson 1

- Section 1: Introduction to Methodology
- Lesson 1a: Course introduction, overview of texts, and expectations.
- Lesson 1b: Methodologies.
- Must readings: Neuman: pp: 68-92.

# Lessons 2-4

- Lesson 2: Writing a research proposal and a research paper.
- Lesson 3: General Research design and Ethics
- Must readings: Burnham: pp: 38-68; 282-298.
- Lesson 4: Literature review and Qualitative and Quantitative research designs.
- Must readings: Neuman: pp: 95-116; 137-166.

# Lessons 5-6

- Lesson 5: Field research, Elite interviewing.
- Must readings: Neuman: pages: 363-398; Burnham: pp: 231-247.
- Lesson 6: Historical-Comparative research and Case study methodology.
- Must readings: Neuman: pp: 402-434; Yin: pp: 1-33.



# Lessons 7-8

- Lesson 7: Survey research and Focus groups.
- Must readings: Neuman: pp: 263-303.
- Optional readings: Burnham: pp: 96-137.
- Lesson 8: Nonreactive research, Secondary analysis, Discourse analysis.
- Must readings: Neuman: pp: 308-329; Burnham: pp: 248-281.

# Lessons 9-10

- Lesson 9: Qualitative and Quantitative measurement.
- Must readings: Neuman: pp: 169-207.
- Lesson 10: Qualitative and Quantitative sampling.
- Must readings: Neuman: pp: 210-235.

# Lessons 11-13

- Lesson 11: Experimental research.
- Must readings: Neuman: pp: 237-260.
- Lesson 12: Project cycle management.
- Must readings: European Commission: pp: 16-53.
- Lesson 13: Concluding the research, Research and Policy Process.
- Must readings: Neuman: pp: 468-479.  
Burnham: pp: 305-324.

# Evaluation and Assignments

• Mid term exam	1	20
• Literature Review	1	10
• Research Method	1	10
• Blog	1	10
• Presentation	1	10
• Final Exam	1	30
• Participation	1	10

# Evaluation and Assignments - 2

1. Essay - Literature review (value: 10%): Task is to choose a topic for your PhD thesis and prepare a 800-1000 word essay in the format of the literature review on what resources are available at the Epoka library, other libraries and online on the topic chosen. The essay should include facts and analysis on available resources. Upload to Turnitin.
2. Essay - Research method (value: 10%): Task is to choose a method for your PhD thesis and develop a Research method for your PhD thesis. Length: 800-1000 words. Upload to Turnitin.

# Evaluation and Assignments - 3

3. Blog (value: 10%): Task is to establish a Blog through [www.wordpress.com](http://www.wordpress.com). Example: [namesurname.wordpress.com](http://namesurname.wordpress.com). Blog should include: name, surname, your bio, picture, which class, link to Epoka University, and your assignments.
4. Presentations (value: 10%): Students will present their essays (Literature review and Research Method). All presentations will be presented in seminar format. No power point. 10 minutes of oral presentation.

# Plagiarism

- Students are expected to do all their assignments themselves and to footnote ideas, quotations, facts, data and other material that they take from any other source.

# Q and A

- Students present themselves: bio and interests.
- Q and A.



# Methodologies

PIR 801, Research Methods in Social  
Sciences

Dr. Islam Jusufi  
Epoka University

# I. Methodologies

- Why Methodology is important?
- Methodology is what makes social science scientific.
- Doubts as to whether the social science is a science remains.

# Three approaches

- 1. Positivism,**
- 2. Interpretive social science, and**
- 3. Critical social science.**

# Positivism

- Approach developed by Auguste Comte, John Stuart Mill, Emile Durkheim.
- Positivist approach looks for: precise quantitative data, experiments, surveys, statistics.
- Purpose is to discover universal laws of human behavior and to learn how the world works.

# Positivism - 2

- Reality is there; it exists and is waiting to be discovered.
- Humans are assumed to be rational individuals.
- Observe their behavior and not unseen motivations.
- Science is different from common sense or from other ways of gaining knowledge, such as magic, personal experience, tradition.

# Positivism - 3

- Science borrows ideas from common sense, but it replaces parts of common sense that are logically inconsistent.
- People are free, but they are restricted by causal laws which act as social forces that shape behavior.
- Causal laws explain causes and effects allowing to predict the behavior of the people. E.g. voting behavior of a part of population.

# Positivism - 4

- Laws of human behavior are universally valid, holding in all historical eras and in all cultures. E.g. increase in crime rate in a city is due to factors such as rising divorce rate.
- Factors logically obey a general law: the rising divorce rates causes an increase in the rate of criminal behavior.

# Positivism - 5

- In order to determine whether explanation is true, explanations must meet following conditions: must have no logical contradictions; be consistent with observed facts; and replication is needed.
- E.g. if u find that high unemployment in Tirana is due to lack of education skills is important. But, in order to determine causal relationship between unemployment and education, it should be demonstrated via other studies in other places.



# Positivism - 6

- Science is free of personal, political or religious values.
- Criticism of Positivism: It reduces people to numbers.

# Interpretive Social Science

- Developed by Max Weber, Wilhelm Dilthey.
- It seeks to understand personal reasons or motives that guide a person's decisions to act in particular ways.
- It is often called “qualitative method of research”.

# Interpretive Social Science - 2

- It uses techniques: participant observation; field research.
- While positivist research looks for statistics, Interpretive research gathers statistics to get indepth understanding of meaning of life.
- It does look to particular setting and looks to it from the point of view of the people who are in it.

# Interpretive social science - 3

- It takes into account the social actor's reasons and social context of the action.
- For action to be regarded social and to be of interest to social scientist, actor must attach subjective meaning to it and it must be directed towards activities of other people.

# Interpretive social science - 4

- While positivist (realist) views that social life is out there, independent of human consciousness, Interpretive social scientist says that social reality is not waiting to be discovered.
- It is largely what people perceive it to be.
- Social life exists as people perceive it to be.
- E.g. the anarchy is viewed differently from positivist or from constructivist.

# Interpretive social science - 5

- Social life is constructed by people while interacting with others.
- While positivist assumes one reality to all people, interpretive research assumes that there are multiple interpretations of human realities.
- It sees social reality as consisting of people who construct meaning and establish interpretations through their daily social interaction.

# Interpretive social science - 6

- While Positivism looks to what causes, e.g. unemployment, Interpretive research looks to what is happening to the people who are directly involved.
- Interpretive social research does not disregard common sense altogether; it takes it seriously as it informs the meaning of human behavior.

# Interpretive social science - 7

- Humans cannot function in daily life if they base their actions solely on science.
- Interpretive research tells a story and it has limited generalizations.
- It is rich in detail and limited in abstraction.
- In order to determine whether explanation is true it does not need to be easily replicated in other times or places.



# Interpretive social science - 8

- For Interpretive research, evidence cannot be isolated from context or from values of the actors involved.
- E.g. International act is not solely depended on foreign policy structure (positivist, realist), but also on public opinion and different domestic actors (interpretive, constructivist).
- Behaviors can have multiple meanings.

# Critical social science

- A third approach on how to view the meaning of the methodology.
- Developed by Marx, Freud, Jurgen Habermas.
- It is tied to critical theory.
- It rejects both positivist and interpretive research.

# Critical social science - 2

- It agrees with interpretive criticism of positivism; but it also adds that positivist view is defender of status quo and assumes unchanging social order instead of seeing current society as a particular state in an ongoing process (e.g. the end of the cold war).
- CSS sees ISR as too subjective and passive as it does not help people change conditions and build a better world for themselves.

# Critical social science - 3

- Purpose of CSS is to critique and to transform the world or social relations.
- It seeks to uncover the myths, reveal hidden truths, expose hypocrisy.
- It seeks to empower less powerful people, confronts injustices.
- It is action oriented. E.g. racial or ethnic discrimination, class discriminations.

# Critical social science - 4

- It agrees with positivism that social reality is out there to be discovered; but it differs that is views that reality is constantly changes.
- Social reality always changes.
- It focuses on conflicts.
- Observed world rarely reveals everything (some groups in society hold power and exploit the others).

# Critical social science - 5

- Behind the observable surface, lie deep structures.
- Beneath causal observations, there are deep realities.
- CSS seeks to probe below surface reality.
- While ISR focuses on micro-level interpersonal interactions, CSS focuses on larger historical context.

# Critical social science - 6

- While in a situation ISR focuses on the interactions between two social actors in order to explain their behavior, CSS begins with a point of view (e.g. dependency) and questions why only certain states are members of US Security Council, and why there is unequal power.
- Or why marginalized groups are paid less than privileged groups.

# Critical social science - 7

- While positivism looks to the structure as a key in shaping behavior without considering personal wishes, CSS rejects this idea and calls for people to act. E.g. changing historical status of women.
- CSS values common sense, but it says that they are full of myth and illusions that mask realities.
- It calls people to be critical of common sense.



# Critical social science - 8

- While Positivism is deterministic in that that human behavior is determined by causal laws over which the humans have little control; while ISR assumes that people have free will to establish social meanings.
- CSS falls between the two: it recognizes that people are constrained by material conditions, yet people can change these structures.

# Critical social science - 9

- For CSS facts are not neutral, they require interpretation from the perspective of values.
- CSS looks to the facts (e.g. rising health costs), but it also explains on who benefits out of it and who loses.
- CSS rarely appears in scholarly journals. It is often adopted by action groups.

# Feminist research

- Critical of positivism and offers alternatives that build on Interpretive and CSS.
- Feminist research is conducted by researchers who use a feminist perspective.
- It aims to give a voice to women.
- It is also action oriented.

# Post-modern social research

- Critical of positivism and offers alternatives that build on Interpretive and CSS.
- Postmodern approach is part of a larger post-modern movement, including art, music, cultural criticism.
- Postmodernism is a rejection of modernism.
- It distrusts abstract explanations.
- It is anti-elitist.

# Conclusion to approaches

- Most researchers operate primarily within one approach, but many combine elements from the others.
- Each topic can be studied from different approach.
- No single absolutely correct approach to social science research.

# Conclusion to approaches - 2

- Awareness of the approaches will help you to read research reports.
- By being aware of the approaches, it helps you to decide what type of study to conduct.
- Common features of the approaches:  
Empirical; systematic; theoretical; public; self-reflective; open-end processes.

# **Must readings for this lesson:**

- Neuman: pages: 68-92.

# **Writing a research proposal and a research paper**

PIR 801, Research Methods in Social  
Sciences

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Epoka University



# Why writing?

- Research is not complete until it is shared with others (rigorous work; peer review; publication; critical test).
- By publishing, the results are communicated with others.
- Form of publishing is a research report, paper or book.
- Writing starts from day one of the research.

# Why writing? - 2

- The research report does not include only findings, but also methodology, data, and how data was collected.
- Reasons of writing: disseminating knowledge; class assignment; to meet contractual assignments; to convince public about certain issue.

# Writing process

- Audience: know for whom you write; style becomes different depending on audience.
- Students want structured reports.
- Scholars are interested how research relates to theories.
- Practitioners want summary and graphs.
- General public wants simple language.

# Style and Tone

- Research has formal style.
- Tone is professional and serious.
- Goal is to inform; not to advocate.
- Objective and accurate.
- Limiting research to what is supported with an evidence.

# Organizing thoughts

- It is illusion to think that the research flows when you put the pen to paper.
- It is hard work.
- Outline and organization is important.
- Outline ensures all main issues are included and the relationship between them is clear.

# Outline

Helps:

- Putting ideas in sequence.
- Grouping ideas.
- Separating general ideas from specific ones.

Outline does not remain same as the research progresses.

# Writing process

- Writing is a process.
- Way to learn writing is by regular writing.

Three steps:

- Prewriting: prepare for writing.
- Composing: starting to write.
- Rewriting: improving coherence, proofreading.

# Rewriting

- Writer's block: temporary inability to write.
- How to overcome: Start early; Take a break, then return; break into small pieces; do not expect perfection.
- Freewriting helps to exercise writing.
- Expect to rewrite couple of times.
- Revising and editing.



# **Advise for good writing skills**

- Improve typing skills.
- Learn advanced MS Word.
- Read good quality papers and books.
- Share your drafts with colleagues.

# Parts of research reports

- Abstract.
- Executive Summary.
- Research problem.
- Methods.
- Data.
- Discussion.
- Conclusions.

# **HOW TO DEVELOP RESEARCH PROPOSAL**

# What is research proposal?

- Summary (max 3000 words) of research.
- It sets out issues intended to address.
- It outlines area of study of research.
- It demonstrates originality of proposed research.
- It is important document submitted as part of application process.
- It helps to match research interest with an appropriate supervisor.

# Example of structure for research proposal

- Title.
- Abstract.
- Table of contents.
- Context.
- Research questions and hypotheses.
- Methods.
- Significance of research.
- Bibliography.
- Personnel and Budget.

# Value of research proposals

It answers the following questions:

- What do you want to do, how much will it cost, and how much time will it take?
- How does it relate to sponsor's interests?
- What difference will it make?
- What has already been done in the area?
- How do you plan to do it?
- Why should you, rather than someone else, do this research?

# Types of proposals

- Solicited proposals: Submitted in response to a specific solicitation.
- Unsolicited proposals: Submitted to a sponsor that has not issued a specific solicitation but is believed to have an interest in the subject.
- Preproposals: Requested when a sponsor wishes to minimize an applicant's effort in preparing a full proposal in the form of a letter of intent or brief abstract.

# **HOW TO WRITE A PAPER**



# Steps for Design of a paper

1. Choose a topic.
2. Select keywords for your topic.
3. Design Outline or Table of Contents.
4. Design hypotheses.
5. Think of Questions.
6. Specify the Theory.

# Steps for Design of a paper - 2

7. What is the available Evidence?
8. Literature review based on evidence.
9. What Data is needed?
10. How to collect data?
11. Data analysis.
12. Cite for every source used within the text.
13. Provide references in the end.
14. Insert footnotes or endnotes.

# Choose a topic: Ways of selecting topic

- Personal experience.
- Curiosity. E.g. news can increase your interest.
- State of knowledge in a field.
- Solving a problem.
- Social premiums. E.g. availability of funds for certain topic.
- Personal values. E.g. human rights.

# Hypothesis

- Independent Variable: ‘educational attainment of population’.
- Dependent Variable: ‘lack of political dialogue culture in Albania’.
- Hypothesis: “the lower level of educational attainment of population, the greater the chances for lack of political dialogue in Albania”.
- Question: ‘Is lack of political dialogue culture in Albania associated with educational attainment of population?’

# Causality in Hypothesis

- Causal Hypothesis: statement of relationship.
- It has: two variables; relationship; expressed as prediction; logically linked to question; capable to be tested whether true or false.
- Ways to state : causes, leads, is related, is associated with, produces, results, If ... then, the higher ... the lower, reduces, etc. No “prove”.

# Hypothesis example

- E.g. research in assessing the impact if migrants are allowed to enter the country.
- Hypothesis would be that ‘population is pro-migrant and influx of migrants would not change voting behavior in elections’.
- Formulation: “allowing the entry of migrants will not lead to loss of elections for governing party”.
- Then, questions will be designed accordingly.

# Designing research question

- Turn the hypothesis into a research question.
- Qs: How did Albania come to become NATO member? How is stability in currency maintained overtime? What are processes that have led to improvement of education system?

# Ways of selecting question

- Focus on causal relationships.
- Generalize results to universe (specific group, state, nation).
- Apply to a context (place, time, subgroups).



# Outline or Table of Contents

- Title.
- Abstract and Key words.
- Executive Summary.
- Introduction (stating research problem).
- Literature review.
- Methodology (Research questions and hypotheses).
- Data.
- Discussion.
- Conclusions.
- References.
- Annexes.

# Outline/Table of Contents example

## Albanian foreign policy

- I. Albanian foreign policy before WWII.
- II. Albanian foreign policy during communism.
  1. Role of Enver Hoxha.
  2. Role of Ramiz Alija.
- III. Albanian foreign policy after communism.
  1. Role of Sali Berisha.
  2. Role of Edi Rama.
- IV. Conclusion.

# Data specification

- What kind of data are appropriate for answering research questions?

# Data collection

- E.g. In the survey: design of a questionnaire, defining the population to be surveyed, e.g. men or women, urban or rural.
- Browse through Epoka library, another library in Tirana and internet sources to get familiar with your topic.
- Browse through the websites.
- System for taking notes: Source file, Content file.

# REFERENCE LIST

# Reference List

- Reference list appears at the end of paper.
- Provides information for reader to locate source cited in the paper.
- Each source cited in the paper must appear in reference list; likewise, each entry in the reference list must be cited in text.
- References should begin on a new page separate from the text of the essay; label this page "References".

# Which style?

- APA (American Psychological Association) style is commonly used to reference and cite sources within the social sciences.
- Epoka also follows APA style.

# Practice with Reference list

- Book.



# **Bibliographic information required for a book**

- Author,
- Date of publication.
- Title of book,
- Place of publication, and
- Publisher.

# Reference List: Books

**Author, A. A. (Year of publication). *Title of work*. Location: Publisher.**

# Practice with Reference list

- Chapter of a book.

# **Bibliographic information required for a chapter of book**

- Author of the chapter,
- Year of publication,
- Title of the chapter,
- Editor of the book,
- Title of book,
- Pages of chapter in the book,
- Place of publication,
- Publisher.

# Reference list: chapter of a book

**Author, A. A., & Author, B. B. (Year of publication). Title of chapter. In A. A. Editor & B. B. Editor (Eds.), *Title of book* (pages of chapter). Location: Publisher.**

# Practice with Reference list

- Journal article.

# **Bibliographic information required for Journal article**

- Author,
- Date of publication,
- Title of article,
- Title of journal,
- Volume number,
- Issue number, and
- Page numbers.

# Reference List: Journal Articles

- Single Author: Last name first, followed by author initials.

**Author, A. A. (Year of publication). Title of work. *Title of Journal*, Issue number, page numbers.**

- Two Authors: List by their last names and initials. Use the ampersand instead of "and."

**Author, A. A. & Author, A. A. (Year of publication). Title of work. *Title of Journal*, Issue number, page numbers.**



# Reference List: Journal Articles - 2

- Organization as Author:  
Institusi i statistikave. (2014).
- Two or More Works by the Same Author: Use the author's name for all entries and list the entries by the year (earliest comes first).  
**Waltz, K. (1973).**  
**Waltz, K. (1981).**

# Reference List: Journal Articles - 3

- Two or More Works by the Same Author in the Same Year: If you are using more than one reference by the same author published in the same year, organize them in the reference list alphabetically.

**Waltz, K. (1973a).**

**Waltz, K. (1973b).**

# Practice with Reference list

- Internet resource.

# **Bibliographic information required for Electronic source**

- Author,
- Date of publication,
- Title of article,
- Title of Online source,
- Retrieved from:  
<http://www.someaddress.com>.

# Reference List: Electronic Sources (Web Publications)

- Article From an Online Periodical: Online articles follow the same guidelines for printed articles.

**Author, A. A., & Author, B. B. (Date of publication). Title of article. *Title of Online Periodical, volume number* (issue number if available). Retrieved from**

**<http://www.someaddress.com/full/url/>**

# Practice with Reference list

- Newspaper article.

# **Bibliographic information required for Newspaper article**

- Author,
- Date,
- Title of article,
- Title of newspaper.

# Reference List: Newspaper article

- Newspaper Article:

**Author, A. A. (Year, Month Day). Title of article. *Title of Newspaper*.**



# CITATION

# Providing Citations

- You need to document the sources that you use within text.
- How do you do this? With CITATIONS!

# Why is it important to cite sources?

- Helps others find the information used.
- Establish credibility of the research.
- Connects research to the other researches.
- Enter into dialogue with other researchers.
- Honor and acknowledge the work of others.

# Practice with citations

- Book.
- Journal article.

# In-Text Citations

- Include (Author's last name, year) method of in-text citation, e.g. (Waltz, 1981).
- Complete reference should appear in the Reference list at the end of the paper.

# Citing Authors

- A Work by Two Authors: Name both authors in the signal phrase or in the parentheses each time you cite the work. Use the word "and" between the authors' names within the text and use the ampersand in the parentheses.

**Research by Mearsheimer and Walt (2004) supports...**

**(Mearsheimer & Walt, 2004)**

# Citing Authors - 2

- A Work by Three to Five Authors: List all the authors in the signal phrase or in parentheses the first time you cite the source. Use the word "and" between the authors' names within the text and use the ampersand in the parentheses.

**(Kernis, Cornell, Sun, Berry, & Harlow, 1993)**

- In subsequent citations, only use the first author's last name followed by "et al." in the signal phrase or in parentheses.

**(Kernis et al., 1993)**

# Citing Authors - 3

- Six or More Authors: Use the first author's name followed by **et al.** in the signal phrase or in parentheses.

**Harris et al. (2001) argued...**

**(Harris et al., 2001)**

- Unknown Author: If the work does not have an author, cite the source by its title in the signal phrase or use the first word or two in the parentheses.



# Citing Authors - 4

- Organization as an Author: mention the organization in the signal phrase or in the parenthetical citation the first time you cite the source.

**According to Statistical Office (2000),...**

- If the organization has a well-known abbreviation, include the abbreviation in brackets the first time the source is cited and then use only the abbreviation in later citations.

**First citation: (Instituti i statistikave [INSTAT], 2014)**

**Second citation: (INSTAT, 2014)**

# Citing Authors - 5

- Two or More Works in the Same Parentheses:  
When your parenthetical citation includes two or more works, order them the same way they appear in the reference list, separated by a semi-colon.

**(Berndt, 2002; Harlow, 1983)**

- Authors With the Same Last Name: To prevent confusion, use first initials with the last names.

**(E. Johnson, 2001; L. Johnson, 1998)**

# Citing Authors - 6

- Two or More Works by the Same Author in the Same Year: If you have two sources by the same author in the same year, use lower-case letters (a, b, c) with the year in the in-text citation.

**Research by Waltz (1981a) illustrated that...**

# Citing Authors - 7

- Citing Indirect Sources: name the original source in signal phrase. List the secondary source in the parentheses.  
**Johnson argued that...(as cited in Smith, 2003, p. 102).**
- Electronic Sources: Author-date style.  
**Kenneth (2000) explained...**

# Quotations

- If you are directly quoting from a work: author, year of publication, and the page number for the reference (preceded by "p."). Introduce the quotation with a signal phrase that includes the author's last name followed by the date of publication in parentheses.

**E.g. According to Waltz (1981), "proliferation of nuclear weapons would increase the probability of international peace" (p. 11).**

# Quotations - 2

- If the author is not named in a signal phrase, place the author's last name, the year of publication, and the page number in parentheses after the quotation.

He stated, "proliferation of nuclear weapons would increase the probability of international peace" (Waltz, 1981, p. 11).

# Footnotes and Endnotes

- APA does not recommend the use of footnotes and endnotes.
- You can use explanatory notes.
- When using the footnote function, place all footnotes at the bottom of the page on which they appear.
- Footnotes may also appear on the final page of your document (usually this is after the References page).

# **General research design, and Ethics**

PIR 201, Research Methods in Social  
Sciences

Dr. Islam Jusufi  
Epoka University



# RESEARCH DESIGN

# Meaning of research design (RD)

- Priorities of research: hypotheses; questions; evidence and data needed to answer the research questions.
- Priorities determine whether evidence should be qualitative or quantitative and how it should be collected and analyzed.
- RD is plan and strategy of research in order to answers questions.
- No ideal RD: there are time/material constraints.

# Research process types

- Linear model, and
- Labyrinth model.

# Linear model

- Theory specification,
- Data specification,
- Data collection,
- Data analysis, and
- Publication.

# Theory specification

- First stage is to decide on the topic, hypotheses, questions and conceptual framework that would analyse relationships between different variables.
- This stage is done desktop and involves everything before the empirical work starts.

# Theory specification - 2

- For hypothesis, e.g. the IR specialist can be asked to assess the impact if migrants are allowed to enter the country. A key hypothesis would be that population is pro-migrant and influx of migrants would not change voting behavior in elections. This could be formulated as “allowing the entry of migrants will not lead to loss of elections for governing party”.
- Questions could be designed accordingly.

# Data specification

- Second stage is to decide on what kind of data are appropriate for answering research questions.
- Experience, expertise and ability to access data will affect the choice of data.
- In the example of migrants, you would probably decide to do survey of population in order to understand how the influx of migrants affects populations' views.

# Data collection instrument

- Third stage is to organize ways in which data is to be collected. In the survey, it will involve designing a questionnaire, defining the population to be surveyed, e.g. men or women, urban or rural.
- Pilot test study is important.
- Data collection kicks off.
- And then fourth stage: **data analysis** and fifth state: **publication** (book, paper, report).



# Labyrinth model

- This is alternative model and it is a model that occurs most of the time.
- While doing an analysis, you may need to go back to redefine the hypothesis; grant application may not be successful, etc.

# Types of Research Design

- Five major types of RD: Experimental, Cross-sectional, longitudinal, case study, and comparative.

# Experimental design

- Experiments are good for causality.
- When X (independent variable) occurs, then Y (dependent variable) will occur. When X is absent, Y will also be absent.
- Expose one of the groups to a stimulus (the independent variable) and not the other. The difference is attributed to stimulus. E.g. Germany attracts more migrants than lets say Italy due to job opportunities, i.e. stimulus.

# Cross-sectional design

- Collection of information on a large number of cases at a single point in time.
- It is collected for a short period of time and then analysed.
- The limitation is that the outcomes are limited in time and it is unable to explain change over time.

# Longitudinal design

- It is extension of survey research in time.
- In the example of the research on the migrants, a sample is interviewed now and identical sample is interviewed a year later in order to identify whether there is a change in the behavior.

# Case study design

- It enables to focus on a single individual, group, community, event, policy area, institution.
- Data obtained cannot be used to generalize for the whole population or for the whole policy area. But, it is very popular.

# Comparative design

- It compares an issue between two or more cases.
- Allows for better generalizations.
- Difficulty is in finding comparable cases.

# ETHICS



# Introduction to Ethics

- Fraud and plagiarism are serious problems in social research.
- Cultural traditions and individual choices affect the behavior.

# Five basic ethical principles

- Beneficence: Researchers should to seek to do good rather than cause harm;
- Veracity: Researchers should to tell the truth;
- Privacy: Right to limit access to information about themselves;
- Confidentiality: Right to control the use of information about oneself;
- Consent: Providing consent to the research.

# Relationship with sponsors

- Funders can influence content and methodology;
- It can force you to provide legitimacy for their existence or to foster hegemony of a country or not to be critical of their views.

# Gatekeepers

- Gatekeepers may not allow access to institutions
- They may ask to be paid
- Institutions may be tired of receiving researchers
- Mind the data protection laws for citizens

# Fraud

- Most common fraud is plagiarism, which means stealing.
- Web eased access to resources, increasing chances for plagiarism.
- “Turintin” software allows to check students’ work, available in Epoka.

# Harm can be caused

- Physical,
- Financial,
- Social,
- Psychological.

# Nuremberg code or Helsinki code

Valid mainly for experiments:

- Consent,
- No injury/no suffering,
- Benefit to society,
- Right of subject to end experiments.

# CONDUCTING RESEARCH



# Conducting research

- Age of abundance of sources of information.
- With so many information sources, knowing where to start, finding what we want can be overwhelming!
- We should aim to answer to questions: Where do I begin? Where should I look for information? What types of sources are available?

# Research: Where do I begin?

1. What kind of information?: Facts?  
Opinions? News? Studies? Analyses?  
History?
2. Where to look?: Libraries? The Internet?  
Academic periodicals? News? Govt records?
3. How much information?: How many  
sources are you looking for? Do you need to  
view both sides of the issue?

# Online or Print Publications

- Mind difference between publications and Internet sources. Internet good, but not best.
- Internet Sources: Published exclusively online
  - Web pages, PDF documents, ebooks.
- Traditional Publications: Published in print - books, textbooks, newspapers, journals.
- Traditional resources now are online (news articles, magazines, books, journal articles).

# Traditional print sources

- Books and Textbooks: Contain more dated and detailed information.
- Newspapers: Covering the latest events and trends. Factual information and opinions. Not “big picture”.
- Academic Journals: Up-to-date information on research. Several forms: literature reviews, theories and history, or specific processes or research.

# Traditional print sources - 2

- Government Reports and Legal Doc: Census, laws, bylaws.
- Press Releases: Organizations produce texts to inform the public.
- Flyers, Pamphlets, Leaflets: Useful for quick reference.
- Multimedia: Radio-tv broadcasts.

# Internet-only sources

- Web sites: Mind the quality and validity of sources.
- Weblogs/Blogs: Prestigious journalists, public figures have blogs, which may be credible.
- Message boards, Discussion lists, and Chat rooms.
- Multimedia: online broadcasts, news, images, audio files.

# Primary Research

- Research is not limited to published material.
- A topic that you choose to write on may not have abundance of sources.
- It may require a different kind of approach.
- This approach involves collecting information directly and can include interviews, observations, and surveys; this is called primary research.

# Primary Research - 2

- Secondary sources not specific.
- E.g. research on new fiscal rules in Albania and how it relates for Elbasan. You find general information, but only few articles on implications in Elbasan. You decide to interview local businesses in Elbasan to learn how new fiscal rules affect their businesses. And you attend and observe municipal council meeting where the fiscal rules are discussed.



# Types of primary research

- Interviews: A conversation between people in which one person (the interviewer) asks a series of questions to another person (the interviewee).
- Surveys and questionnaires: Gathering specific information from people in a systematic way with a set of questions.
- Observations: Careful viewing and documenting of the world around you.

# Must readings for this lesson

- Burnham: pages: 38-68; 282-298.

# **Literature review; Qualitative and Quantitative research designs**

PIR 801, Research Methods in Social Sciences

Dr. Islam Jusufi  
Epoka University

# LITERATURE REVIEW

# What is literature review?

- It is a critical summary of what the literature says about your specific topic or question.
- It will demonstrate your familiarity with work that you hope to conduct.
- It contains following sections:

**Title page**

**Introduction**

**Analysis**

**List of references**

# Literature review

- Reviewing already written literature is essential.
- You need to know that is already answered to your questions.
- People learn from others and build upon already written work.
- Research is collective effort where researchers share their knowledge.

# Goals of literature review

- Demonstrate familiarity with the field.
- Show how current research is linked with earlier work.
- Integrate and summarize what is known in the area.
- Stipulate new ideas.

# Types of literature review

- Self-study review.
- Context review.
- Historical review.
- Theoretical review.
- Integrative review.
- Methodological review.



# How to conduct literature review

- Define and refine a topic.
- Design search strategy.
- System for taking notes:  
Source file, Content file.
- Write the review.

# **QUALITATIVE AND QUANTITATIVE RESEARCH DESIGNS**

# Research Design

- Quantitative research is more concerned with design than qualitative research.
- Quantitative needs good design due to its mainly deductive approach (developing existing theories).
- Qualitative is more concerned about the quality of data as it needs for its inductive approach (developing new theory).

# Triangulation

- Measuring distances between objects from multiple points.
- Observing from different viewpoints.
- It is better to look from several angles rather than from one angle.
- Mainly used by qualitative research.

# Types of triangulation

- Triangulation of measures: taking multiple measures of same phenomenon.
- Triangulation of observers: combining data from different observers.
- Triangulation of theory: Using multiple perspectives in interpreting data.
- Triangulation of method: mixing qualitative and quantitative styles of research.

# Types of triangulation - 2

- Data triangulation: using multiple sources of data.
- Investigator triangulation: different researchers look to the same question.
- Environmental triangulation: collecting data from different location or different seasons.

# Triangulation pros, cons

## Pros:

- Provides more data for same phenomenon.
- Increasing confidence in data.
- Revealing unique findings.
- Providing clearer understanding.
- Avoid inconsistencies.

## Cons:

- Time consuming; Biases.

# Differences between Qualitative and Quantitative research

- Nature of data: soft data (words) vs hard data (numbers).
- Different assumptions and objectives.
- Qualitative: interpretive social research, contextual analysis, case studies, non-linear.
- Quantitative: positivist research, linear research path, variables and hypotheses – causality.



# Differences between Qualitative and Quantitative research - 2

- Technocratic – as it is (quantitative) and transcendent – how it ought be (qualitative).
- Reconstructed logic (Quantitative): highly organized, formal, step-by-step approach.
- Logic in practice (Qualitative): messy, ambiguity, trial and error.

# Ways of selecting topic

- Personal experience. E.g. internship.
- Curiosity. E.g. news can increase your interest.
- State of knowledge in a field.
- Solving a problem.
- Social premiums. E.g. availability of funds for certain topic.
- Personal values. E.g. human rights.
- Everyday life.

# Designing research question

- Turn a topic into a research question.
- You start with unclear research question.
- Topic emerges slowly during study.
- Narrowing of topic occurs when collection of data begins.
- Qs: How did Albania come to become NATO member? How is stability in currency maintained overtime? What are processes that have led to improvement of education system?

# Ways of selecting question

- What is most interesting topic?
- Focus on causal relationships.
- Generalize results to universe (specific group, state, nation).
- Estimate time, costs, skills needed to find answer.
- Examine the literature.
- Talk with others on your ideas.
- Apply to a context (place, time, subgroups).
- Define the aim or outcome of research.

# Qualitative design

- Language of cases and contexts: everything has meaning.
- Grounded theory: data directs the research.
- Context is important. E.g. elections means different in different contexts.
- Bricolage: capacity to use multiple skills.
- Process tracing: sequence of events.
- Interpretation: first-order interpretation (people who behave), second-order interpretation (by researcher), third-order interpretation (assigning theoretical significance).

# Quantitative design

- Language of variables and hypotheses.
- Variable: concept that varies, E.g. turnout.
- Attribute: concept that does not vary. Attribute may become variable.
- Types of variables: independent (cause), depended (effect), intervening variable (accounting for causal relationships). e.g. Educated people (cause) are less likely to commit a crime (effect), due to social integration of educated ones (intervening variable).

# Causality

- Causal Hypothesis: statement of relationship.
- It has: two variables; relationship; expressed as prediction; logically linked to question; capable to be tested whether true or false.
- Ways to state : causes, leads, is related, is associated with, produces, results, If ... then, the higher ... the lower, reduces, etc. No “prove”.
- Testing and refining hypothesis: hypothesis needs several tests, over the years.

# Levels and units of analysis

- Levels of analysis: varies from topic chosen and whether it relates to micro- or macro-level issues.
- Unit of analysis: individual, group, society, geography, product.



# Errors in causal explanations

- Tautology: same thing is said twice.
- Teleology: explanation for something in function of its end.
- Ecological fallacy: Observations are at too high level for causal relationship stated.
- Reductionism: Observations are at too low level for causal relationship stated.
- Spuriousness: Variables have no direct causal connection. Unseen third factor is in play.

# Readings for this lesson:

## Must readings:

- Neuman: pages: 95-116; 137-166.
- Optional readings:
- Burnham: pages: 187-212.

# **Field research, Elite interviewing**

PIR 801, Research Methods in Social  
Sciences

Dr. Islam Jusufi  
Epoka University

# Field research

- Also called **ethnography** or **participant observation research**.
- Qualitative research technique.
- Researcher observes or participates in a setting.
- Face to face social interaction.
- There are no abstract explanations.

# Field research - 2

- It is a natural setting with real people.
- It uncovers many hidden social settings.
- It is appealing to those who would like to travel and meet people.
- It is time consuming, tiring and risky occasionally.

# Field research - 3

- Field research is used when the research is about description of a group of people.
- It involves studying people in a location.
- It starts with interviewing few people.
- Outsider (Field Researcher); and member (insider, interviewee).

# History of field research

- It started with reports of travelers.
- Later became academic in anthropology – science for learning cultures.
- Researcher attaches to a group for extended time and reports on group's view of the world.
- Chicago School of Sociology: Initially, descriptive study of street life with little analysis; later with theoretical analysis.
- Three principles of Chicago school: study people in their natural setting; interact with people; and make theoretical statements.

# Field research as systematic technique

- Today FR is systematic technique.
- FR systematically observes how people establish a social life through interactions.
- Researcher is part of that particular setting.
- It is not neutral actor.



# Modern extensions of FR

- Ethnography: Ethno – people, graphy – describing smth.
- Moving away from describing behavior to what is actually meant.
- Cultural knowledge: explicit and tacit knowledge.
- Thick description: putting events into context.
- Ethnomethodology: Study of commonsense knowledge.

# What is field research?

- It is umbrella method that includes in various techniques for gathering data.
- It is based on naturalism (study of animals, plants, oceans).
- Researcher usually is a single individual.
- Less structured than quantitative research.
- No advanced hypotheses to test.

# Functions of field researcher

- Observes everyday activities.
- Personally observes social life.
- Acquires insider's view, while maintaining analytic perspective.
- Variety of techniques used.
- Extensive written notes.

# Functions of field researcher - 2

- Sees events holistically and individually in their social setting.
- Develops empathy for members.
- Notices explicit and tacit aspects of social life.
- Observes objectively.
- Copes with ambiguity.

# Examples of FR

- How is social structure of a local village in Tirana is organized?
- How do the beggars live in Tirana?
- How decisions are made in an organisation?
- How is diplomacy organized in two different countries, and what are diplomats' experiences in each?

# Examples of FR - 2

- How does education differ across social classes of Albania?
- How is peace constructed by and among Albanian politicians, and what does this mean for our understandings of peace and stability?
- How does a coffeeshop play a role in shaping class and community in Tirana?

# Strengths of Field Research

- Firsthand experience and knowledge about people, events.
- Close up lens on everyday life.
- Detailed data about people and processes, more detailed than any other method.

# Strengths of Field Research - 2

- Understanding social context in shaping people's lives and experiences.
- Uncovering group interactions not previously aware.
- Uncovering social facts that may not be immediately revealed to a researcher.



# Weaknesses of Field Research

- Time and costs intensive.
- Loosing objectivity.
- Documenting observations.

# Stages in field research



# Steps in field research

- Prepare for field and Read literature.
- Select site and gain access.
- Choosing a role.
- Collect data.
- Analyze data.
- Use theoretical sampling.
- Interviews.
- Write report.

# Choosing a site

- Site is determined by research question (not always).
- What do you hope to accomplish?
- What is your topical interest?
- Where are you likely to observe that has to do with that topic?
- How much time do you have to conduct your FR?

# Exercise



# Strategy for entry to site

1. Planning: Consider access barriers and gatekeepers. As level of trust increases, access possibilities increases.
2. Negotiation: Negotiation occurs until stable relations are established.  
Contacts help.
3. Disclosure: From no info provided to full disclosure.

# Choosing a role

- From observer to participant.
- From peripheral to active to complete membership.
- Presentation of self.
- Researcher as instrument for collecting data.
- Attitude of strangeness.
- Building rapport: social skills, trust.
- Freeze outs: uncooperative members.
- Understanding and empathy vs. sympathy.

# Choosing a role - 2

TWO BARBARIANS AND A PROFESSOR OF BARBARIAN STUDIES



CN  
COLLECTION



# Choosing a role - 3

- As field researchers, just as in the cartoon, you immerse yourself in settings that you study.
- Extent to which we immerse ourselves varies (professor is riding horse but has chosen to retain his professorial jacket and pipe).
- What all field researchers have in common is their participation in “the field.”

# Roles in the field

- Overt or Covert?
- Overt: members have awareness about research.
- Covert: members not aware.
- Both have their pros and cons.

# Challenges in the field

- Stress.
- Social relations.
- Small favors.
- Conflicts and social breakdowns.

# Observing in field research

- Pay attention, listen, watch.
- Serendipity.
- Specialized language/argot.

# Taking notes

- Field notes.
- Maps, photos, interviews, tape recordings.
- Types of field notes: jotted notes, observation notes, researcher inference notes, analytic notes, personal notes.

# Example for taking note

- Observation: “She says: I work 10 hours per day”.
- Inference: “She feels tired”.
- Analytic: “Women work hard in Albania”.
- Personal note: “It has been tiring day today”.

# Data analysis

- Obstacles to **reliability** of data: misinformation, lies, deceptions.
- Tests for **validity** of data:
  1. Ecological validity: if events would have occurred without a researcher's presence.
  2. Natural history: if the story is candid.
  3. Member validation: taken back to members.
  4. Competent inside performance: researcher acting as a member.

# Focusing and sampling

- Focusing starts after the start of FR.
- Research question and hypothesis is identified in the field.
- Sampling of time, location and people.



# Field Interviews

- Indepth interviews.
- Extensive discussions.
- Open ended, long, not structured, informal.
- Individual or group setting.
- Social context is noted.
- Life history – biography - as a special field interview type.

# Questions in field interviews

- Three types: Descriptive (in the beginning), structural (middle stage) and contrast questions (middle stage and last part).
- Informants: individual, part of a setting.
- Focus groups: group discussion setting.
- Ethics in FR: deception; confidentiality; involvement with deviants; the powerful; publishing field reports.

# ELITE INTERVIEWING

# Elite interviewing

- Used by IR specialists and political scientists.
- Defined in terms of “target group” being studied: top policy makers.
- Defined in terms of technique used: semi-structured interviews.
- Aimed to learn about decision-makers and on decision-making processes.
- Balance of knowledge is in favor of respondents.

# Principles of elite interviewing

- Elite interviewing can be used as a main or supplementary technique.
- Four key principles of elite interviewing:
  1. Whom you want to interview;
  2. Getting access;
  3. Conduct of interview; and
  4. Results analysis.

# Exercise

- Whom you will interview for your topic?

# 1. Whom to interview?

- Depends on purposes of study.
- Secondary sources can give hints.
- Snowball or referral technique.
- How many interviews? 20-30.
- Time consuming.
- Telephone or email interviewing possible.

# Exercise

- Plan getting access for elite interviewing.



## 2. Getting access

- Letter, calling, contacts.
- Requests may be rejected.
- Time consuming for interviewees.
- Unstable environments or troubled places not easy for interviewing.
- Some elite are difficult to access.
- Target appropriate individuals.
- Sort out logistics.

# Exercise

- What questions to ask in the interview?

# 3. Conduct of interview

- Preparation.
- No questions for which answers can be found in literature.
- Tape recorder or taking notes?
- Semi-structured questions.
- Prioritizing questions due to time constraints.
- Mind cultural context.
- Particular points pursued in follow-up emails.

## 4. Results analysis

- Notes should be immediately typed.
- Number interviews.
- Off the record.
- Chatham house rules.

# Process tracing and elite interviewing

- PT: to obtain information about specific events and processes, and identify key political actors that have had most involvement with the processes of interest.
- Causal analysis can be carried out within-case analysis rather than through cross-case analysis.

# Uses of Elite Interviews

- Corroborate what has been established from other sources
- Establish what a set of people think
- Make inferences about a larger population's characteristics/decisions
- Reconstruct an event or set of events

# **Corroborate what has been established from other sources**

- Confirm information that has already been collected from other sources.
- When secondary sources provide initial overview, interviews can be used to corroborate the early findings.
- Interviews contribute towards triangulation.

# To establish what a set of people think

- Establish what people think, what are their 'attitudes, values, and beliefs' are.
- To probe respondents at length regarding their thoughts on key issues relevant to the research project.



# **To make inferences about a larger population's characteristics/decisions**

- Obtain a representative sample and generalise from the findings to the wider group.
- E.g. Interviewing both politicians and top civil servants in Albania and generalising findings to the wider population of government administrators.

# To help reconstruct an event or set of events

- Establish the decisions and actions that lay behind an event or series of events.
- Reconstruct political episodes on the basis of the testimony of respondents.
- Shed light on the hidden elements of political action.
- Gain data about debates and deliberations that preceded action, and supplement official accounts with first-hand testimony.

# Advantages of elite interviews

- To interview first-hand participants of the processes under investigation.
- Gaining insights from key participants.
- Gather information about the context and build up to the actions that took place.
- Interviews can compensate for both the lack and limitations of documentary evidence.

# Advantages of elite interviews - 2

- Written materials are sometimes not documenting important processes.
- Over time, documents may also be lost, as they are unintentionally discarded or as archives are destroyed.
- Governmental secrecy rules can also ensure that key documents are withheld from public analysis.

# Advantages of elite interviews - 3

- Documents can entail weaknesses that the researcher must remain aware of.
- Documents can often be incomplete; can present misleading account of the events they relate to.
- Documents often conceal the informal processes and considerations that precede decision making.

# Elite interviewing helping for PT

- Elite interviewing can have in facilitating the process tracing method, and providing the kind of data that can be critical in uncovering the causal processes.
- Process tracing requires the collection of data concerning key political decision-making and activity, often at the highest political level, and elite interviews is a critical strategy.

# Weaknesses of EI

- Interviewees can misrepresent their own positions in ways that raise questions over the reliability of their statements.
- Politicians may attempt to inflate or minimise their own role in an event or process depending on whether there is political capital to be gained or lost from association with the issues in question.

# Weaknesses of EI - 2

- Civil servants in some countries are prone to under-representing their role in political decision-making.
- Interviews will be held some years after the events of interest have taken place, and simple lapses of memory can also limit the usefulness of one-to-one meetings.



# **Must readings for this lesson:**

- Neuman: pages: 363-398.
- Burnham: pages: 231-247.

# **Historical Comparative Research and Case study methodology**

PIR 801, Research Methods in Social  
Sciences

Dr. Islam Jusufi  
Epoka University

# Historical comparative research

- Understanding major events depend on H-C.
- Max Weber, Emile Durkheim, Karl Marx used H-C.
- It is collection of techniques.
- Initially concerned with social change.
- Limited interest until 1960.

# Research questions under H-C

- How public opinion changes?
- How democratic changes happened in Albania?
- Why some societies more successful than others?
- What caused collapse of Cold War?

# Issues considered under H-C

- Examining combination of social factors that produce specific outcome.
- Comparing political systems that is common among countries.
- Revealing connections between divergent social, political factors.

# Issues considered under H-C - 2

- Comparing processes and concepts in different countries or historical contexts.
- Changes within a country over time.
- Interpreting data in its historical cultural context.
- When evaluating event, important conditions in which events happen.

# Issues considered under H-C - 3

- Social meaning, culture and context critical.
- Survival of data from the past.
- Generalizations that hold across the time are limited.
- It focuses on cases and on variables that cut across the cases.
- It examines specific contexts, notes similarities and differences and then generalizes; then looks again to the cases using generalizations.

# Steps in H-C

- Getting familiar with the setting – orientation reading.
- Conceptualizing events studied.
- Concepts are applied to the settings.
- E.g. study of revolutions begins with studying specific revolutions and with study of the concept of revolution.



# Steps in H-C - 2

- Locating evidence.
- Language skills critical.
- Evaluating quality of evidence.
- Organizing evidence and data.
- Evaluating evidence based on theory.
- Synthesizing the evidence: moving towards generalizations.
- Writing the paper.

# Types of historical evidence

- Primary sources: letters, diaries, photos, memos, newspaper articles.
- Secondary sources: books, articles.
- Running records: government data; registry data; business records; court records.
- Recollections: interviews, memoirs, oral records.

# Types of comparative research

- Case study comparative research: study of similarities and differences between units; patterns of behavior that hold across countries.
- Cultural context research: study of a concept in different countries.
- Cross-national research: data for more than 50 nations.
- Transnational research: comparative study between regions.

# Units compared

- Nation: nation, states.
- Sub-state units: states/regions, municipalities, villages.
- Culture: identities, beliefs, traditions, language.

# Dimensions of H-C

H-C can be organized along three dimensions:

- First, focusing on what occurs in one or more than one nation or culture.
- Second, focusing on one period of time or across different time periods.
- Third, combining quantitative and qualitative research.

# Dimensions of H-C - 2

- Cultural and geographic units are compared (states, nations, cities, societies, urban or rural areas).
- Past contexts are researched (periods, epochs, ages, eras, etc).
- It can combine multiple units in one or more time periods.
- When conducting inductive work, theoretical concepts are applied across the time.

# Strategies of comparative research

- Distinction between two types of comparative research: Method of Agreement and Method of Difference.
- Method of Agreement: study of similar cases in order to find their causes.
- Method of Difference: study of contrasting cases in order to find their causes.
- Difference: method of difference uses negative cases to reinforce conclusions drawn from cases of agreement.

# Comparative research designs

- Most Similar System Design: comparing similar cases on the assumption that more similar cases, more possible to isolate the factors responsible for differences between them.
- Most Different System Design: comparing contrasting cases in order to show the relationship between dependent and independent variables. It assumes that by demonstrating that observed relationships hold in a range of contrasting settings.



# Four types of Comparative Research Designs

	Method of difference	Method of agreement
<b>Most Similar System Research Design</b>	Dealing with differences in Similar Cases	Dealing with similarities in Similar Cases
<b>Most Different System Research Design</b>	Dealing with differences in Different Cases	Dealing with similarities in Different Cases

# Case-oriented vs variable-oriented comparative approaches

- Case-oriented method: examination of cases and phenomena to explain experiences of societies, nations, cultures, and other units.
- Variable-oriented approach: assessing relationships between features of social structures across many societies or countries, on the one hand, and theoretical concepts, on the other.

# Types of H-C

- Single nation, past time, quantitative data: E.g. Relationship between emigration and unemployment in Albania in 1995.
- Single nation, past time, qualitative data: E.g. Breast cancer campaigns in Albania 1990s.

# Types of H-C - 2

- Few nations, past time, qualitative data: E.g. reasons of emigration from Albania and from Kosovo in 1990s.
- Single nation, across time, quantitative data: E.g. immigration of rural population to Tirana between 1991-2001.

# Types of H-C - 3

- Few nations, across time,  
quantitative data: E.g. economic growth rates in five Balkan countries between 1991-2001.
- Single nation, across time, qualitative data: E.g. Study of communism in Albania between 1945 and 1991.

# Types of H-C - 4

- Few nations, across time, qualitative data: E.g. Study of emergence of trade unions in 10 post-communist European countries between 1991-1995.
- Single nation, present time, quantitative data: E.g. How income affects voting behavior in Albania.

# Types of H-C - 5

- Few nations, present time, quantitative data:  
E.g. Study of relationship between income and voting behavior in 5 Balkan countries.
- Many nations, present time, quantitative data:  
E.g. Determinants of increasing rate of women participation in politics in all EU countries.
- Single nation, present time, qualitative data:  
E.g. Role of local governments in economic growth in Albania.

# Causality in comparative research

Type of causality	Example
<b>Many causes for the same effect</b>	<b>Increases in level of economic development causes increase in democracy in some cases but does not have this effect in others, where democracy is caused by different set of causes.</b>
<b>Cause dependency on time</b>	<b>Increase in democratic governance is associated with increase in social spending at one point in time (1980s) but not in 1990s.</b>
<b>Same cause different outcomes</b>	<b>Increase in protests causes government turn over in some cases but different outcomes (repression) in other cases.</b>



# Causality in comparative research - 2

Type of causality	Example
<b>Outcomes are the effects of various causes that depend on each other</b>	<b>Successful wage coordination depends on the value of many other variables : social democratic governance and social policy regime - whose values are in turn jointly dependent on each other.</b>
<b>Circular causality</b>	<b>Increase in support for democracy increase stability of democracy and in which increases in stability of democracy also tend to increase support for democracy.</b>

# Equivalence

To correctly read and understand the concepts.

- Lexicon equivalence: correct translation of words.
- Contextual equivalence: correct application of concepts into contexts.
- Conceptual equivalence: ability to use same concept in different contexts.
- Measurement equivalence: measuring same concept in different settings.

# **CASE STUDY METHODOLOGY**

# What do you research in Case study?

- Contribute to knowledge of individual, organizational, social, political phenomena.
- Used in psychology, sociology, political science, anthropology, business, education, nursing, community planning, economics.
- Understand complex social phenomena.
- Retaining holistic and meaningful characteristics of real-life events-such as international relations.

# Studies and Case studies

- Difference between a case study and a study is methodologically significant.
- “Case” is an instance of a more general category.
- To conduct a case study is to investigate something, which has significance beyond its boundaries.

# Studies and Case studies - 2

- “Study” is undertaken for its own sake, without any pretence at wider relevance.
- Historical research consists of studies, not case studies.
- Historians study the French Revolution, or the First World War, because they believe these are important topics.
- Political scientists studying specific countries do not have expertise with wider applicability. They are students of countries, not cases.

# Comparative politics and CS

- Comparative politics prefers case studies to studies.
- Analysis is made within comparative perspective which mandates that the description of the particular be cast in terms of broadly analytical constructs.
- E.g. Russia as an example of presidentialism, Japan as an instance of electoral reform or Australia as an illustration of republicanism.

# Types of CS

- Exploratory case studies,
- Descriptive case studies,
- Explanatory case studies.



# What is case study?

- One of several ways of doing social research.
- Case studies are preferred method when:
  - (a) "how" or "why" questions are being posed,
  - (b) Researcher has little control over events,
  - (c) Focus is on contemporary phenomenon within a real-life context.

This situation distinguishes case study research from other types of research.

# Steps in Case study method

- Literature review.
- Research question: how? why?  
(not: what? Where? How much?)

# EXERCISE

- Defining a Case Study Question:
- Develop a "how" or "why" question that would be the rationale for a case study that you might conduct.

# Which events to study under CS?

- Case study is preferred in examining contemporary events.
- Case study considers two sources of evidence besides secondary sources: direct observation of events being studied and interviews of persons involved in the events.
- Case study is applied also when researchers has little or no control over events.

# Prejudices against the Case Study

- CS lacking rigor and lacking systematic procedures.
- CS providing little basis for scientific generalization. "How can you generalize from a single case?"
- It takes too long and results in massive, unreadable documents.
- CS do not address causal relationships.

# Definition of CS

- CS is three things: logic of design, data collection techniques, and specific approach to data analysis.
- Illuminates “decisions”, “individuals,” “organizations,” “processes,” “events”, why, how.
- Investigating contemporary phenomena in depth and within its real-life context.
- CS includes many variables, multiple sources of evidence, data converging in triangulating fashion, and benefits from theories to guide data collection and analysis.

# Design of CS

1. study's questions;
2. assumptions;
3. units of analysis;
4. logic linking data to propositions;
5. criteria for interpreting the findings.
6. Use of theory in generalizing the results of the case study.

# CS design types

- There can be single- and multiple-case studies.
- Within these two there can be unitary or multiple units of analysis.
- So, four types of designs for case studies:
- (Type 1) single-case, with one unit,
- (Type 2) single-case, with multiple units,
- (Type 3) multiple-case, with one unit, and
- (Type 4) multiple-case, with multiple units.



# Single-case designs

Single-case study is appropriate under several circumstances:

- First: when it represents the critical case in testing a well-formulated theory. E.g. Cuban missile crisis.
- Second: Case represents an extreme case or a unique case.
- Third: When case is typical or representative, when assumed to be informative about the experiences of the average person or institution.

# Single-case designs - 2

- Fourth: Revelatory case; when researcher has opportunity to observe and analyze a phenomenon previously inaccessible.
- Fifth: Longitudinal case; studying same case at different points in time.

# Multiple-Case Designs

- Each case must be carefully selected so that it either (a) predicts similar results or (b) predicts contrasting results.
- Replication; replicating the theory in many cases.
- Steps: study the cases separately, produce individual reports, draw case-cross conclusions.

# Study's questions

- Form of the question: "how" and "why".
- For substance of the question: first, use literature to narrow topic; second, examine closely key studies on topic of interest; third, examine other studies on the same topic.

# Some types of Case Study

Type	Definition	Example
Representative	Typical of the category	Poland's transition from communism
Prototypical	Expected to become typical	de Tocqueville's study of democracy in America
Deviant	An exception to the norm	Military rule in Nigeria
Crucial	Tests a theory in the least favorable conditions	Seeking democratizing trends in Syria
Archetypal	creates the category	French Revolution

# Other types of cases studies

- Atheoretical case study
- Interpretative case study
- Hypothesis-generating case study
- 'Theory confirming' case study
- 'Theory infirming' case study
- Deviant case study

# Atheoretical case study

- Traditional single-country or single-case analyses.
- Entirely descriptive.
- Not guided by generalizations.
- No desire to formulate hypotheses.
- Theoretical value nil, but not useless.

# Interpretative case studies

- Interest in the case rather than an interest in the formulation of general theory.
- Generalization is applied to a specific case with aim to throw light on the case rather than improving generalization.
- Value in terms of theory-building is nil.
- E.g. case study of Albania in the light of existing development theories, in which you can discover a serious discrepancy between the country's socioeconomic and political development.



# Hypothesis-generating case studies

- Start out with a more or less vague notion of possible hypotheses, and attempt to formulate definite hypotheses to be tested subsequently among a larger number of cases.
- Objective is to develop theoretical generalizations in areas where no theory exists yet.
- Such case studies are of great theoretical value.

# Theory-confirming and theory-infirming case studies

- Analyses of single cases within the framework of established generalizations.
- Prior knowledge of the case is limited to a single variable or to none of the variables that the proposition relates.
- The case study is a test of the proposition, which may turn out to be confirmed or infirmed by it.
- If the case study is of the theory-confirming type, it strengthens the proposition in question.

# Deviant case analyses

- Studies of single cases that are known to deviate from established generalizations.
- To uncover relevant additional variables that were not considered previously, or to refine the definitions of some or all of the variables.
- Of great theoretical value.
- They weaken the original proposition, but suggest a modified proposition that may be stronger.
- The validity of the proposition in its modified form must be established by further comparative analysis.

# Preparing a case study protocol

- Case study protocol needs to be prepared: what you are trying to achieve and how you are planning to achieve it.
- Overview;
- Field procedures;
- Research questions;
- Data collection matrix;
- Data analysis and case study reports.

# Value of CS

- Case study method mainly is applied to one case.
- Advantage of CS is that by focusing on a single case, that case can be intensively examined.
- Scientific status of CS method is ambiguous, because science is generalizing activity. Single case does not constitute basis for generalization.
- CS can contribute to establishment of general propositions and to theory building in political science.

# What is a case?

- “Case” means “an instance of”.

Case can be:

- something concrete such as organisation,
- group or individual,
- something more abstract such as event, a management decision or programme.

# Definition of CS

- Intensive study of a single unit for the purpose of understanding a larger class of (similar) units.

# Readings for this lesson:

## Must readings:

- Neuman: pages: 402-434.
- Yin: pages: 1-33.

## Optional readings:

- Burnham: pages: 69-95.



# **Survey research and Focus groups**

PIR 801, Research Methods in Social Sciences

Dr. Islam Jusufi  
Epoka University

# **SURVEYS**

# Introduction to Surveys

- Methods have own limitations if used alone.
- Survey is good to study public opinion.
- Most widely used data gathering technique.
- It requires careful planning and research.
- Surveys emerged in positivism (quantitative).

# History of Surveys

- Its roots are in census.
- Started in academic, then in government.
- Survey research institutes established around the world after WWII.
- Rate of survey as a method has doubles in social sciences.

# What is a survey?

- Surveys test many hypotheses and variables.
- Factors contributing to growth of survey research: IT, institutes, data storage, funding, methodology developments.
- Governments, opinion polling (Gallup), marketing firms (Nielsen), think tanks, media use survey research.

# Research questions in surveys

- People (*respondents*) are asked for their views.
- Survey allows to test many things at the same time.
- What can be asked in survey: behavior, opinions, characteristics, expectations, self-classification, knowledge.
- No “Why” questions in surveys.

# Steps in a survey

- Theory (Deductive approach).
- Hypothesis.
- Type of survey.
- Survey questionnaire.
- Target population.
- Select sample.
- Conduct interviews.
- Record data and provide analysis.

# Things to avoid in Questionnaire

- Jargon, slang, and abbreviations.
- Ambiguity, confusion, vagueness.
- Emotional language, prestige bias.
- Two or more questions joined together (Double-barreled).
- Leading questions.



# Things to avoid in Questionnaire - 2

- Questions that go beyond respondents' capabilities.
- False premises.
- Asking about future intentions.
- Double negatives.
- Overlapping questions.

# Surveys for recalling events

- Good for important historical events.
- But recollection takes time for respondents.

To have better results, apply:

- Situational framing: ask for a specific situation.
- Decomposition: ask for specific events, and then to add them up.
- Anchoring: ask whether something occurred before or after major event.

# **TYPES OF QUESTIONS**

# Threatening questions

- Respondents may not answer sensitive questions. E.g. use of drugs; income; health.
- Techniques to increase truthful answers: ask after warm-up, wording of question, computer-assisted self-administered interviews.
- Social desirability bias – people over-report on their behavior.

# Other types of questions

- Knowledge questions: To find out whether respondents know about issue or topic; it can reveal ignorance.
- Skip or contingency questions: answer to first question, conditions response to next question.
- Open vs closed questions.
- Nonattitudes and Middle positions: “not sure”.
- Agree/Disagree, Rankings, Ratings questions.  
Rating significance of issues.

# Questionnaire design

- Length – depending on audience.
- Organization – sequencing.
- Order – first general, then specific questions.
- Context – context affects answers.
- Layout – easy to follow.
- Format – will respondents circle or check boxes?

# Non-response and response rates

- Government surveys with high response rates than private surveys.
- Non-response result of: non-location, non-contact, ineligible, refusal, incomplete.
- Response rates: locate rate, contact rate, eligibility rate, cooperation rate, completion rate, total response rate (i.e. completion rate).

# **TYPES OF SURVEYS**



# Mail and self-administered questionnaires

- Mail and self-administered questionnaires: Advantages - cheapest, time flexibility, wider geography covered. Disadvantages: low response rate.
- Telephone questionnaires: Advantages - people quickly reachable. Disadvantages – high cost, short questionnaires.
- Face-to-face interviews: Advantages - highest response rate and better answers. Disadvantages – high costs, biasness.

# Special situations

- Interviewing elite and special organizations, for special purposes.
- Time budget surveys: to learn how people allocate their time.
- Focus groups.
- Web surveys: low costs, but high response errors.
- Mind: costs; role of interviewers (not of researcher) - biasness, training.

# Ethics in surveys

- Privacy and rigging of results of surveys.
- Items to include when reporting on surveys: Sampling frame used (telephone directory); survey dates; target population; size of sample; sampling method; wording of the questions; method of survey; sponsors of survey; response rate.

# FOCUS GROUPS

# Focus groups

- Qualitative research technique.
- Informal interviewing.
- Group setting.
- 4-6 separate groups.
- 6-12 people in each group; 90 minutes.
- It can be combined with other methods.

# Focus groups best for:

- Electoral campaigning and strategies.
- Study impact of new policy proposals.
- Giving voice to voiceless.
- *Advantages*: natural setting for open discussion.
- *Limitations*: people hiding their views from others; lack of representativeness.

# Rules for focus groups

- Carefully selected groups.
- Discussion a specific topic.
- In-depth discussions, stimulating new ideas.
- Recording data: video or tape recording, note taking.

# Readings for this lesson:

## Must readings:

- Neuman: pages: 263-303.

## Optional readings:

- Burnham: pages: 96-137.



# **Nonreactive research, Secondary analysis, Discourse analysis**

PIR 801, Research Methods in Social Sciences

Dr. Islam Jusufi  
Epoka University

# **NONREACTIVE RESEARCH**

# About non-reactive research

- Surveys, experiments are *reactive* as people know that they are studied.
- In *nonreactive* research, people are not aware that they are studied.
- Nonreactive research is used in all three approaches: positivism, critical and interpretive research.
- People are not aware, but they leave evidence from their behavior and actions.

# Examples

- *Physical traces*: analyzing eating habits; studying whether a company works computer based or paper based.
- *Archives*: studying age of marriage by looking to marriage records.
- *Observation*: gender differences in driving; gender differences spent in time in studying or working.

# **CONTENT ANALYSIS**

# Content analysis

- Quantitative technique.
- Gathering and analyzing content of a text.
- Popular during Cold War to study Soviet communications.
- Content: words, meanings, pictures, symbols, ideas, themes.
- Types: books, newspapers, magazines, speeches, documents, films, photos.

# Content analysis - 2

- With CA, counting is done in order to produce quantitative description.
- Content analysis lets a researcher reveal content in a source of communication.
- You can compare content across many texts and analyze it with quantitative techniques.

# Content analysis - 3

- CA reveals aspects of a text that are difficult to see. E.g.  
commercials include only rich people; not poor ones.
- CA involves random sampling.
- CA turns text into numbers.



# CA topics

- Themes in popular songs.
- Content in hymns.
- Trends in topics that newspapers cover.
- Ideological tone of editorials.
- History books on historical events.

# CA topics - 2

- Helpful for three types of research problems: when there is large volume of text; study of historical documents; revealing messages in a text that are difficult to observe.
- Depicting of events or of other peoples in text books can be hostile or stereotypes without notice.

# CA topics - 3

- For example, it will be good to study covers of newspapers in UK to see how newspapers cover the story of obligation for refugees to wear red ring in UK (whether affirmative, alarmist, or neutral) and what kind of images are attached to the stories.
- Or study of magazines on how other peoples are depicted in photos (the way depicted may give message that the rest of the world is naïve and unusual).

# Measurement

- Text or broadcast can include stereotypes about other peoples (such as backward, ignorant, nationalistic, aggressor, rural, poor).
- Constructs in CA are operationalized with a coding system – systematically observing and recording content from text.
- Units of analysis: word, phrase, theme, newspaper article, character.

# Characteristics of text content

- Frequency: to count whether smth occurs, and if occurs, how often. E.g. How often Kosovo is mentioned in Albanian newspapers?
- Direction: noting direction of messages (positive or negative; supporting or opposed).
- Intensity: strength of a message in a direction.
- Space: recording the size of a space allocated to a theme. E.g. counting words in a text; or counting time in ads.

# Coding

- Manifest coding: coding visible content in a text.  
E.g. counting number of times a word appears in text.
- Latent coding: looking for implicit meaning in the content.
- *Intercoder reliability*: when using several coders, consistency should be checked across coders.
- Studying visual material requires understanding of a cultural context.

# How to conduct CA? Steps.

- Research question: E.g. studying how newspapers cover a refugees story.  
“Coverage” includes amount of coverage, prominence of coverage, whether coverage favors some refugees to others.
- Hypothesis developed.
- Time period to be studied.
- Units of analysis/choosing a source: E.g. each issue of a newspaper.

# How to conduct CA? Steps - 2

- Sampling (random or nonrandom sampling): Population will be editorials of newspapers over a specific period.
- Variables: type of newspaper.
- Coding categories: positive, negative. The one category scoring more, wins.
- Data analysis – inferences. Deciding whether hypothesis is correct or not.



# Qualitative CA

- Researcher decides on material.
- Subjective assessment of content.
- Issues can be researched how are taken up by media (positive/negative) and how this influences politics.
- Party programs can be analyzed and how they relate to particular issues or party programs can be compared by election years.
- Or share of coverage of a party in news and the tone of coverage.

# CA advantages and limits

- Systematic study of large quantity of materials.
- Evidence produced to test assumptions.
- Time consuming.

# EXISTING STATISTICS RESEARCH

# Existing statistics research

- Best for topics involving info collected by govt organizations. E.g. causality between unemployment and crime rates.
- Developing indicators for social well-being.
- Fields: family, population, housing, health, food, education, work, income, participation.
- E.g. crime index, infant mortality rate (death rate of infants during first year of life), school drop out rates.

# Secondary analysis

- Special case of existing statistics research.
- It is re-analyzing earlier done surveys.
- There are archives of surveys open to researchers for use.
- *Limitations*: research may not be related with data; context of data can be different of research.

# Limitations of existing statistics research

- Mixing of unit of analysis: your unit of analysis is individual, while unit of analysis of statistics is a country.
- Differences in variable attributes: you are looking for data on number of youth in the country, but the data did not count youth numbers.

# Limitations of existing statistics research - 2

- Validity problems: no matching of definitions of research and of data (E.g. meaning of unemployed); errors in collection of data.
- Reliability problems: data gathering techniques may change, pointing to decrease or increase in a phenomenon, which may be a result of change only in gathering technique.
- Data may be lost.

# **DISCOURSE ANALYSIS**



# Discourse Analysis (DA)

- Qualitative methodology.
- Increasingly important in politics.
- Focusing on language and communications in shaping policies.
- Focus on: language, texts, speeches, statements, press releases, conversations, media, academic research.
- Practices: talking and writing.

# DA perspective

- From DA perspective, institutions and social reality are constructed via discourses and social interaction.
- Discourse is associate with an object. E.g. rhetoric on refugees.
- Discourse is found at: laws, debates, speeches, minutes, party programs, press, broadcast, books, articles, etc.

# DA as social construction

- Texts determine origins and development of discourses and how they legitimize some policy initiatives.
- Discourses are systems of signification. i.e. reality is socially constructed by people, who give meaning and significance to objects.
- Discourses are often organized in terms of binary opposite contrasting. E.g. good and evil; developed and underdeveloped.

# Discourse as reproduction

- Discourses reproduce assumptions.
- Reproduction is done by those who have access to media: journalists, politicians.
- Discourses frame given courses of action, some of which are encouraged, and some of which are discouraged.
- Public is guided how to respond to events.

# Discourse as symbol of domination

- DA examines origins of practices and institutions.
- DA analyzes discourses that are linked to institutions and continue to give them legitimacy and meaning.
- DA shows how language can be used to deceive and manipulate those to whom it is addressed.
- Discourse is dominated by powerful; thus DA shows winners and losers in a situation.

# Discourse as basis of legitimacy

- Discourse helps to legitimate actions.  
E.g. claiming that the adoption of the law is needed for EU integration.
- Discourse helps remain in government or win/lose elections.
- There can be contradictions between discourse and work done.

# What is Discourse?

- Positivist: effort to legitimate an action; attempt by some to impose their values on others and to promote their own interests. E.g. rhetoric that Iraq possessed WMD.
- Realist: object in its own right with a causal power.

# What is Discourse? - 2

- Marxist: systems of meaning legitimating capitalist exploitation. Thus, DA is emancipatory as it can show unfair distribution of resources.
- Critical: language as integral part of action.
- Poststructuralist: symbolic social systems.



# Types of DA

- Social linguistic analysis: text-based and constructionist.
- Interpretive structuralism: context and discourse.
- Critical discourse analysis: discourse privileging some.
- Critical linguistic analysis: text analysis and power relations.

# Case study 1: Quoting verbs and implicitly implied guilt

- Article in Daily Mail (29 January 2010) on enquiry into UK's participation in invasion of Iraq in 2003, where former UK PM Blair is questioned.
- Daily Mail is hostile to Blair, so attitude taken in the text is negative towards Blair.
- DA helps to show how texts communicate their ideologies in covert way.

# Case study 1: Quoting verbs and implicitly implied guilt - 2

“No regrets: Tony Blair said Britain would ultimately be able to look back on the Iraq War with ‘immense pride’.

Tony Blair was heckled today as he refused to express any regret for the Iraq war and insisted Britain would ultimately be able to look back on the conflict with ‘immense pride’. There were cries of consternation from witnesses watching the official inquiry into the conflict as the former prime minister rejected the chance to note his sorrow at the loss of British lives.

Chairman Sir John Chilcot had to tell audience members to be quiet during Mr Blair’s closing comments, in which he insisted he stood by his actions in the run-up to the 2003 war, despite the 179 British troops killed in the conflict.

# Case study 1: Quoting verbs and implicitly implied guilt - 3

‘It was divisive and I’m sorry about that,’ he conceded but continued: ‘If I’m asked whether I believe we’re safer, more secure with Saddam and his sons out of power, I believe that we are.’ Asked if he had any regrets at all, he replied: ‘Responsibility but not a regret,’ prompting the audience to erupt and cry: ‘What, no regrets? Come on’. When the cameras cut off and Mr Blair readied to leave, he was booed and one audience member shouted ‘you’re a liar’ before another chimed in ‘and a murderer’.”

# Case study 1: Quoting verbs and implicitly implied guilt - 4

- In article there are 13 verbs: 'heckled', 'refused to express', 'insisted' (twice), 'cries', 'rejected', 'tell', 'commented', 'replied', 'erupt and cry', 'booed,' 'shouted' and 'chimed'.
- Article seeks to shape how we interpret Blair.
- He is represented as defensive man.
- In the text, the fact that he 'refused to express' suggests that he should, in the opinion of the writers, express regret.

# Case study 2: Quoting verbs and lack of agency

- In next example you will find UK PM Gordon Brown, represented as having little power.
- Quoting verbs are strategy by which this is done.
- This is an item dealing with event where Brown (or one of his advisers) had written to the mother of a soldier who was killed in Afghanistan, but misspelled his name.
- At the time this text appeared, many people were becoming concerned about the very purpose of the conflict.

# Case study 2: Quoting verbs and lack of agency - 2

“Gordon Brown: Under siege over letter to soldier’s family, he speaks of his

own grief (The Daily Mail, 11 November 2009).

Gordon Brown spoke of his personal grief at losing a child as he responded to criticism of his handwritten letter of condolence to a dead soldier’s mother. The Prime Minister suggested the awful experience of his daughter Jennifer Jane dying at just ten days old meant he understood the pain of bereavement. He had already apologized to the distraught mother of Grenadier Guard Jamie Janes, 20, after she berated him for apparently misspelling her son’s name and other words in his note of sympathy.

## Case study 2: Quoting verbs and lack of agency - 3

- Yesterday he reiterated his sorrow for her loss and said: ‘The last thing on my mind was to cause any offence.’ A shaken-looking Mr Brown was forced to defend his treatment of the war dead – and again try to explain the purpose of the Afghan mission – during his monthly press conference. He revealed he had asked for a full investigation into the circumstances of Guardsman Janes’s death. An inquest has not yet been held.”



# Case study 2: Quoting verbs and lack of agency - 4

- “The Prime Minister suggested the awful experience of his daughter Jennifer Jane dying at just ten days old meant he understood the pain of bereavement”.
- Here we find ‘suggested’, which appears as a lack of conviction, confidence or a lack of forcefulness.
- Here author of the text wished to represent Brown as weak and powerless.

# Case study 2: Quoting verbs and lack of agency - 5

- In the next line: “Yesterday he reiterated his sorrow for her loss and said: ‘The last thing on my mind was to cause any offence.’
- Here is a discourse signalling quoting verb suggesting that he is repeating what he has said before. This gives a sense of a man who is trapped in an ongoing situation where people are not convinced.

# Case study 2: Quoting verbs and lack of agency - 6

- In the next sentence we find: “Mr Brown was forced to defend his treatment of the war dead – and again try to explain the purpose of the Afghan mission”.
- Here has to ‘defend’ himself. Then he is represented as ‘trying to explain’ rather than simply ‘explaining’.
- So it is implied either that he is not capable of explaining or that it is unlikely that he has an explanation.

# **Must readings for this lesson:**

- Neuman: pages: 308-329.
- Burnham: pages: 248-264.

# **Qualitative and Quantitative measurement**

PIR 801, Research Methods in Social  
Sciences

Dr. Islam Jusufi  
Epoka University

# Measurement in social sciences

- It is about measurement of concepts and variables.
- Measurement is done: when a hypothesis is tested; when empirical support is provided to a theory.
- It is about how social scientists measure aspects of social world.
- It is process observing and recording observations as part of research effort.

# Quantitative approach to measurement

- Quantitative research is more concerned with measurement than qualitative research.
- Measurement occurs prior to data collection.
- It begins with concept and then establishes measures that capture it in numbers.

# Qualitative approach to measurement

- Non-numerical ways are used to express concepts.
- They measure social life simultaneously as they establish concepts.



# E.g. How to measure “democracy”?

There can be different measures:

- If people can vote. Or
- If executive function in government is held by elected people. Or
- If civil society can freely be engaged.  
Or
- If there is free media.

# What is “democracy”?

- There is no consensus on how to measure democracy.
- At a minimum, features of a democracy include government based on majority, existence of free and fair elections, protection of minorities and respect for human rights.
- Democracy presupposes equality before the law, due process and political pluralism.

# Democracy measurement example:

## Polity project

- Maintained by Centre for Systemic Peace.
- Polity dataset covers all states system over period 1800-2014.
- It constantly monitors regime changes and provides annual assessments of regime authority characteristics, changes and data updates.
- Polity examines qualities of democratic and autocratic authority in governing institutions.

# Democracy measurement example:

## Polity project - 2

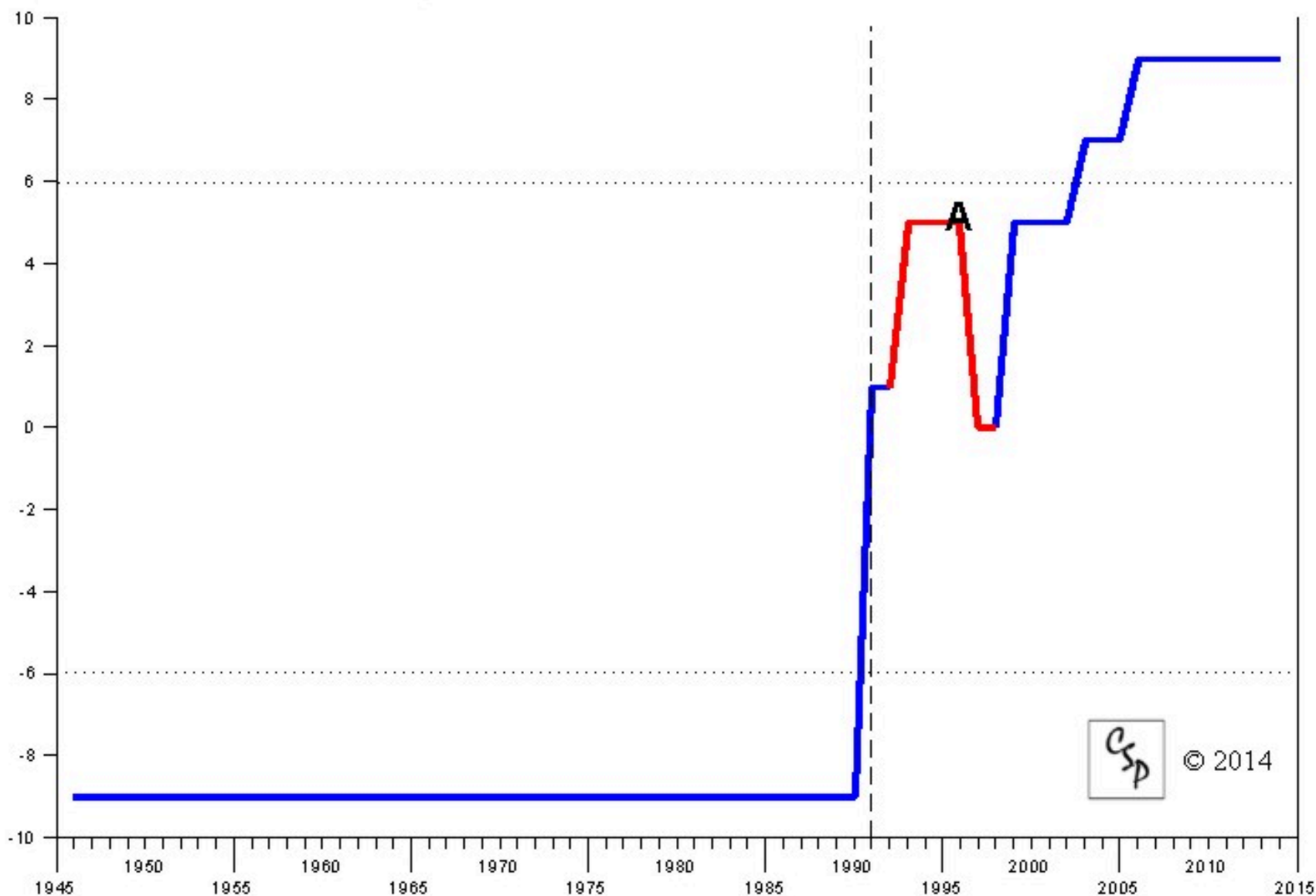
- Governing authority spans autocracies, anocracies to democracies.
- "Polity Score" captures regime authority spectrum on a 21-point scale ranging from -10 (hereditary monarchy) to +10 (consolidated democracy).
- Polity scores are also converted into regime categories in three categorization of "autocracies" (-10 to -6), "anocracies" (-5 to +5), and "democracies" (+6 to +10).

# Democracy measurement example:

## Polity project - 3

- Polity scheme consists of six component measures that record key qualities of executive recruitment, constraints on executive authority and political competition.
- It also records changes in the institutionalized qualities of governing authority.
- Polity data include information only on the institutions of central government and on political groups acting, or reacting, within the scope of that authority.

# Authority Trends, 1946-2013: Albania



# Democracy measurement example: Economist's Democracy Index

Based on five categories:

- electoral process and pluralism;
- civil liberties;
- functioning of government;
- political participation; and
- political culture.

Condition of having free and fair competitive elections, and satisfying political freedom, is requirement of all definitions.

# **Democracy measurement example: Economist's Democracy Index - 2**

- Full democracies: Sweden...
- Flawed democracies: South Africa...
- Hybrid regimes: Albania (83<sup>rd</sup>)...
- Authoritarian regimes: Pakistan...



# E.g. How to measure “poverty”?

There can be different measures:

- If people receive assistance from social programs of the government. Or
- If people do not afford food required to prevent malnutrition. Or
- If people have income less than half of average income. Or
- If people earn wage below the living wage.

# What is “poverty”?

- A common method used to measure poverty is based on incomes or consumption levels.
- A person is considered poor if his consumption or income level falls below minimum level necessary to meet basic needs.
- This minimum level is called "poverty line".
- What is necessary to satisfy basic needs varies across time and societies.
- Each country uses lines which are appropriate to its level of development, and values.

# Measuring consumption and income

- Information on consumption and income is obtained through surveys, where households are asked to answer questions on their spending habits and sources of income.
- These survey methods are increasingly being complemented by participatory methods, where people are asked what their basic needs are and what poverty means for them.

# Measuring poverty at global level

- When estimating poverty worldwide, the same reference poverty line is used, and expressed in a common unit across countries.
- World Bank uses reference lines set at \$1.25 and \$2 per day.
- About 1.4 billion people in the developing world (one in four) are living on less than \$1.25 a day in 2005, down from 1.9 billion (one in two) in 1981.

# Why measure?

- We use measures in daily life to measure physical world: temperature, weight, speed.
- We use measures to measure different non-physical world: good, bad, clever. But they are vague and imprecise.
- Measurement helps people observe what is otherwise invisible.
- It lets observe things that were once unseen and unknown, but were predicted by theory.

# Why measure? - 2

- Before measuring, it is needed idea about what to measure. E.g. it is not possible to see magnetism with senses. It comes from a theory. Magnet allows to see it indirectly.
- Some in social world are easy to see (age).
- Some others cannot be directly observed (ideology, attitudes, divorce rates).
- Social scientists designs measures to measure the social world.

# Differences in measurement

## Quantitative research

- Measurement occurs before data collection.
- Type of data: numbers.
- Concepts developed before data are gathered.

## Qualitative research

- Measurement occurs during data collection.
- Type of data: numbers, words, images.
- Concepts developed during data gathering.

# Measurement process

- Quantitative way: Concept is taken, measure is developed to measure the concept, data is gathered.
- Qualitative way: data is gathered, concept is taken, and data and concept are related to each other.



# Conceptualization in measurement

- A process of taking concept and giving it conceptual or theoretical definition.
- Definitions are clear, explicit, unambiguous.
- Definitions, e.g. democracy, terrorism.
- A concept can have multiple definitions.
- Definitions are linked to theoretical approaches.
- Some are difficult to define, some easier.

# Conceptualization in measurement - 2

- Another aspect is to distinguish it from other concepts. E.g. how you define “democracy”?
- Dictionary, books provide various definitions.
- Multiple definitions are collected.
- How definition of democracy is similar or different from related concepts such as “voting”?
- Conceptualization is thus thinking through the meanings of the construct.

# Conceptualization in measurement - 3

- By looking to various definitions of democracy, you learn that it is type of state regime or ideology, it has several dimensions (electoral or liberal democracy), its characteristic of a state.
- You think about exactly what to include within the definition.
- And then you develop measures.

# Operationalization in measurement

- It is construct's operational definition.
- It links conceptual definition to specific measurement techniques.
- It can be survey questionnaire.
- There are multiple ways to measure a construct.
- A measure can be developed from scratch or it can be borrowed.

# How to come up with a measure?

- Remember conceptual definition.
- Look for better instruments.
- Borrow from others.
- Anticipate difficulties.
- Mind the unit of analysis in the research.

# Quantitative Conceptualization and Operationalization

- First conceptualization, then operationalization, followed by measuring to collect data.
- Linking abstract ideas with measurement procedures that will produce precise quantitative information about empirical reality.

# Quantitative Conceptualization and Operationalization - 2

- “Rules of correspondence” used to link indicator with construct. E.g. if a state’s situation is in agreement with specific statements, then that state is not democratic.
- “Auxiliary theory” used to explain how and why indicators and constructs connect. E.g. you want to measure poverty. An auxiliary theory can suggest that construct has different parts: individual poverty, family poverty, societal poverty.

# Quantitative Conceptualization and Operationalization - 3

- Three levels are considered: conceptual, operational and empirical.
- At conceptual level, causal relationship between two constructs are sought to be understood.
- At operational level, causal relationship between two indicators are sought to be understood.
- If indicator (e.g. questionnaire) is logically linked to a construct (democracy), it will capture what happens in empirical world and relate to conceptual level.



# Quantitative Conceptualization and Operationalization - 4

- So, researcher first conceptualizes a variable by giving it a conceptual definition.
- Next, researcher operationalizes it by developing set of indicators for it.
- Last, researchers applies indicators in the empirical world.

# Qualitative conceptualization

- It refines constructs during data collection.
- It gathers data, develops new ideas, formulates new definitions for concepts, and considers relationship among concepts.
- Concepts are linked to each other to establish theoretical relationship that may or may not be causal.
- Conceptualization is depended on data.

# Qualitative operationalization

- Operationalization precedes conceptualization.
- Operationalization is a description of how a researcher developed working ideas while making observations and collecting data.
- Data gathering occurs with or prior to operationalization.
- By analyzing situation, the researcher applies ideas to establish a case.

# Types of measures

- Survey research: interviews and questionnaires.
- Scaling: developing and implementing a scale.
- Qualitative research: non-numerical measurement approaches.
- Unobtrusive measures: measurement methods that don't intrude on or interfere with the context of the research.

# Survey research

- It is one of most important areas of measurement in applied social research.
- It encompasses any measurement procedures that involve asking questions of respondents.
- It can be anything form a short paper-and-pencil feedback form to an intensive one-on-one in-depth interview.
- Two broad types: Questionnaires and Interviews.

# Reliability and Validity

- Reliability and validity are important as social world is not directly observable.
- Reliability and validity is not easy to achieve.
- Reliability: dependability or consistency – same thing is repeated or recurs under identical or very similar conditions.
- Validity: truthfulness – match between a construct and a measure. It refers to how well an idea about reality fits with actual reality.

# Reliability in Quantitative research

Three types of reliability:

- Stability reliability: reliability across time - does measure deliver same answer when applied in different times?
- Representative reliability: reliability across groups of people - does indicator deliver same answer when applied to different groups?
- Equivalence reliability: reliability across measures or indicators - does measure yield consistent results across different indicators?

# How to improve reliability of measures in quantitative research?

- Clearly conceptualize the constructs: each measure to indicate one construct, not more.
- Use a precise level of measurement: use more precise levels of measurement. E.g. use 10 different categories for measurement (from extremely low to extremely high) rather than simple high or low measures.
- Use multiple indicators.
- Use pilot tests.



# Validity in quantitative research

- One indicator is valid for one purpose; not for other purposes. E.g. Indicator of holding regular elections is indicator for measuring democracy and not for measuring liberal democracy.
- Measurement validity refers to how well conceptual and operational definitions meet each other. E.g. Is the number of internet users as valid measure in measuring internet society in Albania?

# Types of measurement validity

- Face validity: a judgment that indicator really measures the construct.
- Content validity: is full content of a definition represented in a measure? E.g. if my definition of poverty is “not being able to afford for enough food, education, vacation” and my measure is the question whether you have enough money to buy the food, then there is no content validity.

# Types of measurement validity - 2

- Criterion validity: validity of indicator is verified by comparing it with another measure of same construct.
- Construct validity: it is valid for measures with multiple indicators.

# Reliability in qualitative research

- Qualitative research wants to be consistent in observations.
- Range of data sources and multiples measures are applied.
- It questions replication reliability of quantitative - positivist research.
- Different measures can give different results; no need to fix a measure.

# Validity in qualitative research

- Qualitative researchers are more interested in authenticity than validity.
- Authenticity meaning to give balanced and honest account of social life.
- They are less concerned about matching construct with empirical data.

# Relationship between reliability and validity

- Reliability is necessary for validity.
- Reliability is easier to achieve than validity.
- But reliability cannot guarantee that measure is valid.
- Reliability is not sufficient condition for validity. E.g. a measure can produce same result over and over (i.e. it has reliability), but measures may not match the definition of the construct (i.e. validity).

# Relationship between reliability and validity - 2

- Measure can be reliable but invalid.
- Validity and reliability are usually complementary concepts.
- In some situations they conflict with each other.
- Sometimes, as validity increases, reliability is more difficult to attain, and vice versa; this occurs when construct has highly abstract definition.

# Relationship between reliability and validity - 3

- Reliability can be easiest to achieve when measure is precise.
- When research is reliable, it means it can be replicated in other research.
- When research is valid, it means that research findings from small group can be generalized for larger group.



# **GUIDE TO QUANTITATIVE MEASUREMENT**

# Levels of measurement

- Level of measurement depends on the way in which a construct is conceptualized.
- Level of measurement affects the kinds of indicators chosen and is linked to basic assumptions in a construct's or variable's definition.
- Level of measurement refers to relationship among values that are assigned to attributes for a variable.

# Precision and levels

- Appropriate level of measurement for a construct depends on: how construct is conceptualized and type of measure the researcher uses.
- Construct itself limits the level of precision.

# Example of level of measurement

- E.g. variable of "party affiliation". That variable has a number of attributes ("socialist", "democrat", and "liberal").
- We arbitrarily assign values 1, 2, 3 to attributes.
- Level of measurement describes relationship among these three values.
- In this case, we only use the values as a shorter name for the attribute. Here, we would describe the level of measurement as "nominal".

# Why is Level of Measurement Important?

- First, knowing level of measurement helps to decide how to interpret data from that variable.
- Second, knowing level of measurement helps to decide what statistical analysis is appropriate on values that were assigned.

# Four levels of measurement

- Nominal: it indicates only differences among categories. E.g. racial heritage: white, black.
- Ordinal: it indicates difference, and categories are ranked. E.g. Agree, strongly agree, disagree, strongly disagree.
- Interval: measures everything that first two levels measure, and it specifies amount of distance between categories.

# Four levels of measurement - 2

- Ratio: measures everything that first three levels measure, and it specifies relations in terms of ratios. E.g. 1 year, 10 years, 15 years of schooling.
- Each level gives different type of information.

# Nominal level

- Numerical values just "name" the attribute uniquely.
- No ordering of the cases is implied. E.g. jersey numbers in football are measures at the nominal level. A player with number 11 is not more of anything than a player with number 15.



# Ordinal level

- Attributes can be rank-ordered. E.g. on a survey you might code Educational Attainment, with 3=some college; 4=college degree; 5=post college.
- In this measure, higher numbers mean more education.

# Interval level

- Distance between attributes does have meaning. E.g. when we measure temperature, the distance from 10-20 is same as distance from 20-30.

# Ratio level

- Here there is always an absolute zero that is meaningful. E.g. number of clients in past six months. Why? Because you can have zero clients and because it is meaningful to say that "...we had twice as many clients in the past six months as we did in the previous six months."

# Scales and Indexes

- Scale: measure in which a researcher captures the intensity, direction, level of a variable construct. Ordinal level is used.
- Index: measure in which a researcher combines several distinct indicators of a construct into a single score. Interval or ratio level is used.

# Index construction

- Index is combination of items into a single numerical score. E.g. CPI totals the cost of buying list of goods and services and compares the total to the cost of buying same things in the previous year.
- Other examples of indexes: most desirable place to live, university quality indexes, Freedom index, peace index, MDGs for Albania, and others.

# Weighting in indexes

- Unweighted index gives each item equal weight.
- In a weighted index, a researcher values or weights some items more than others.

# Missing data when constructing index

- When data is missing, reliability and validity of an index is in question.
- When missing data, eliminate all cases for which info is missing.

# Index example: Shanghai ranking of universities

- Academic Ranking of World Universities (ARWU), also known as Shanghai Ranking, is an annual publication of university rankings.
- Criteria: Quality of education (10%), Quality of faculty (40%), Research output (40%), Per capita performance (10%).



# Index example: Freedom in the world

- Evaluates the state of freedom in the world.
- Methodology derived from Universal Declaration of HR.
- Each country is assigned two ratings - from 1 to 7 - for political rights and civil liberties, with 1 representing the most free and 7 the least free.
- Two ratings are based on scores assigned to 25 more detailed indicators.
- Average of a country's determines whether it is Free, Partly Free, or Not Free. Albania: partly free.

# Index example: Human Development Index (HDI)

- HDI measures achievement in human development: healthy life, being knowledgeable and have decent standard of living.
- Health dimension is assessed by life expectancy.
- Education dimension is measured by mean of years of schooling for adults aged 25 years and more and expected years of schooling for children of school entering age.
- Standard of living dimension is measured by gross national income per capita.

# Rates and standardization

- Rates involve standardizing value of an item to make comparisons possible.
- Standardization involves selecting base and dividing a raw measure by the base. E.g. In order to get unemployment rate, the raw number of unemployed people is standardized by the total number of workforce.
- Critical issue in standardization is deciding what base to use.

# Scaling

- Involves construction of instrument that associates qualitative constructs with quantitative units.
- Scaling progressed out of efforts in psychology and education to measure "unmeasurable" constructs like authoritarianism.
- It attempts to do one of the most difficult of research tasks - measure abstract concepts.

# Types of Scales

- Likert scale: asking people to indicate whether they agree or disagree with statement.
- Thurstone scaling: asking people to indicate whether they agree or disagree with statement, and later these statements translated into numbers.

# Types of Scales - 2

- Bogardus social distance scale: measuring social distance separating ethnic or other groups from each other.
- Semantic differential: providing a measure of how a person feels about a concept or a person. E.g. to measure closeness with an election candidate.
- Guttman scaling: measuring hierarchical relationship among indicators.

# **Must readings for this lesson:**

- **Neuman: pages: 169-207.**

# **Qualitative and Quantitative sampling**

PIR 801, Research Methods in Social  
Sciences

Dr. Islam Jusufi  
Epoka University



# Sampling

- Primary goal is to get representative sample.
- To study a smaller group and produce generalizations about the larger group.
- Sampling becomes necessary when the population is large.
- Sampling based on theories of probability from mathematics (probability sampling).

# Sampling

- Sample should reflect the population accurately so that it is a microcosm of the population (representative sample).
- Selecting sample through random selection so that each unit in the population has a chance of being selected (probability sample).
- Sample non selected through random selection, i.e. some units in the population being more likely to be selected than others (non-probability sample).

# Quantitative sampling: probability sampling

- Probability sampling is helpful due to limited time spent and low cost and due to accuracy.
- Well designed probability sampling can produce results that are equally accurate to trying to reach every single person in the whole population.
- It can produce similar results as census would produce.

# Qualitative sampling: non-probability sampling

- Less focus on sample's representativeness.
- Focus is on how a case or sample illuminates social life.
- Purpose is to collect cases that would deepen understanding.
- The type of sampling is non-probability sampling.

# Non-probability sampling

- Relevance rather than representativeness which determines the way in which the people to be studied are selected.
- Nonrandom samples are used.
- No determination of sample size in advance.
- Limited knowledge about the larger population from which the sample is taken.

# Types of Non-probability Samples

- Haphazard: getting any cases any manner that is convenient.
- Quota: getting set number of cases in each of predetermined categories that would reflect the diversity of the population.
- Purposive: Get all possible cases that fit particular criteria.

# Types of Non-probability Samples - 2

- Snowball: Get cases using referrals from one or a few cases, and then referrals from those cases.
- Deviant case: getting cases that substantially differ from the dominant pattern.

# Types of Non-probability Samples - 3

- Sequential: Getting cases until there is no additional information.
- Theoretical: getting cases that will help reveal features that are theoretically important about a particular setting topic.



# Haphazard sampling

- It produces highly unrepresentative samples.
- It can seriously misrepresent the population.
- E.g. persons interviewed by TV in a street; they do not represent a group.

# Quota sampling

- Researcher first identifies relevant categories of people. E.g. male, female; under age 65, above 65.
- Then decides how many to get for each category.
- Number of people in each category is fixed.
- It is difficult to represent all population characteristics accurately.

# Quota sampling - 2

- Quota sampling is improvement as researcher can ensure that some differences are in sample.
- Once the quota sampler fixes categories and number of cases in each category, researcher uses haphazard sampling.
- Quota categories do not accurately represent all particular group of people or geographical areas.

# Purposive sampling

- Selecting cases for specific purpose in mind.

Appropriate in three situations:

- Selecting cases that are informative. E.g. for content analysis using specific newspaper or magazine.
- Selecting cases of difficult to reach specialized populations. E.g. drug users.
- Selecting cases for in-depth investigation; they generate insights. E.g. businessmen influence on politics.

# Snowball sampling

- Selecting cases in a network.
- People live in interconnected linkages.
- Drawing *sociogram* helps to understand connections between people.
- Begins small, and it gets bigger.

# Deviant case sampling

- Selecting cases that differ from the dominant pattern.
- Variety of techniques used to locate cases with specific characteristics.
- Cases are not representative of whole.
- Cases are unusual.
- E.g. study of dropouts in schools.

# Sequential sampling

- Gathering cases until amount of new information or diversity of cases is filled.
- All cases are evaluated.
- In purposive sampling, all relevant cases are researched; here cases are researched until saturation point is reached.
- When marginal utility of every additional case drops, the research is stopped.

# Theoretical sampling

- Carefully selected cases.
- Theory guides selection of cases.
- Researcher selects cases based on new insights they may offer.



# PROBABILITY SAMPLING

# Sampling element

- Researcher draws sample from a larger pool of cases or elements.
- It is segment of population that is selected for investigation; subset of population.
- Method selection may be based on probability or nonprobability approach.
- Sampling element is unit of analysis or case in a population: person, group, organization, document, social action.

# Population

- Population is universe of units from which the sample is selected.
- Large pool is population or universe.
- To define the population, first unit being sampled is specified, geographic location, and time boundaries of populations.
- In order to be able to generalize the findings from sample to the population from which it was selected, sample must be representative.

# Population examples

- All students in Tirana in year 2015-2016.
- All businesses operating in Rinas in 2016.
- All poor families in Village X of 2016.
- All movies broadcasted in Albanian TVs on 31 Dec 2015.

Sampling elements: students, businesses, poor families, movies; location; and time.

# Target population and sampling ratio

- *Target population* refers to the specific pool of cases that researcher wants to study.
- *Sampling ratio* is ratio of size of sample to the size of target population. E.g. Village X has 1000 population and researcher draws a sample of 10 from it. Sampling ratio is  $10/1.000$  or 1 percent.

# Sampling frame

- Population is abstract; thus researcher must decide who exactly to count; estimate of population is needed.
- Population needs operational definition: developing a specific list that closely approximates all the elements in the population (sampling frame).
- Sampling frames: telephone directories, tax records, driver's license records.
- Avoid invalid sampling.

# Population parameter

- Characteristic of a population. E.g. smokers.
- Parameters are determined when all elements in a population are measured.
- Characteristics are estimated on the basis of samples.
- Statistics is used to estimate population parameters.

# Random sampling

- Probability theory relies on random processes.
- Researcher can calculate probability of outcomes.
- Each element has an equal probability of being selected.
- Random processes require more work.



# Random sampling - 2

- Random samples are representative.
- Random sampling allows statistically to calculate the relationship between sample and population.
- Sampling error: deviation between sample results and population parameter due to random processes.

# **TYPES OF PROBABILITY SAMPLES**

# Simple random sample

- Developing accurate sampling frame.
- Selecting elements from the sampling frame according to a mathematically random procedure.
- Locating exact element that was selected for inclusion in the sample.
- Numbering all elements in sampling frame.

# Simple random sample - 2

- Using list of random numbers to decide which elements to select.
- Random numbers are needed as many as elements sampled. E.g. for sample of 100, 100 random numbers are needed.
- Numbers are generated from random process.
- IT programs can produce random numbers.

# Sampling distribution

- Distribution of different samples that shows the frequency of different sample outcomes from many separate random samples.
- Over many separate samples, true population parameter (50% women, 50% men) is more common than any other result (pattern).

# Central limit theorem

- Central limit theorem: as number of different random samples in a sampling distribution increases toward infinity, pattern of samples and population parameter becomes more predictable.
- Researchers normally draw one sample.

# Confidence intervals

- Range around specific point used to estimate population parameter; to say with high confidence (e.g. 95%) that true population parameter lies within certain range.
- Margin of error being plus or minus 2% points.

# Confidence intervals - 2

- Sampling distribution lets researcher to calculate sampling error or confidence intervals.
- Characteristics of sample can be combined with central limit theorem to predict specific ranges around parameter with great deal of confidence.



# Systematic sampling

- Simple random sampling with a short cut for random selection.

Process:

- Numbering each element in the sampling frame.
- List of random numbers not used.

# Systematic sampling - 2

- Researcher selects elements from a sampling frame by skipping elements in the frame before selecting one for the sample.
- E.g. selecting every third name of the sample of 300 names from 900 total names; sampling interval is 3.
- Sampling interval as inverse of sampling ratio.  
E.g. sampling ratio for 300 names out of 900 is  $300/900 = .333 = 33.3\%$ ; sampling interval is  $900/300 = 3$ .

# Drawing simple random and systematic samples

- Number each unit in the sampling frame of 40 in sequence.
- Decide on a sample size. E.g. 10 units.
- In simple random continue until number of units in the sample is reached.
- In systematic sample, begin with a random start, then count sampling interval and keep counting until number of units in the sample is reached.

# Stratified sampling

- Dividing population into subgroups (strata) on the basis of supplementary information.
- Drawing sample from each subpopulation.
- Sampling randomly within strata using simple random systematic sampling.
- Researcher controls the size of the subgroup rather than random processes.

# Stratified sampling - 2

- Stratum info should be accurate in order to obtain stratified sampling.
- Stratified sampling offers smaller sampling error than simple random sampling.
- It is also used when a stratum of interest is a small percentage of a population and random processes could miss the stratum by chance.
- It lets to focus on issues most relevant to a subgroup.

# Cluster sampling

- Addresses two problems: researchers lack a good sampling frame for a dispersed population and cost to reach a sampled element is very high.
- Instead of using single sampling frame, researchers use a sampling design that involves multiple stages and clusters.

# Cluster sampling - 2

- Cluster is a unit that contains final sampling.
- Researcher samples clusters, each of which contains elements.
- Draws a second sample from within the clusters selected in the first stage of sampling.

# Cluster sampling - 3

- Researcher randomly samples clusters, then randomly samples elements from within the selected clusters. E.g. researcher wants a sample of individuals from Tirana. First, he randomly samples city blocks, then households within blocks, then individuals within households.
- Cluster sampling is less accurate and lacks representativeness; but it reduces costs.



# Cluster sampling - 4

- Each stage in cluster sampling produces sampling errors.
- E.g. interviewing a sample of 100 students who represent the population of all students in Albania. Rather than travelling to all universities, random sample of 2 universities is drawn from a list of 20 universities; you visit 2 and select 50 students from each.

# Within-household sampling

- Once researcher samples a household in cluster sampling, whom should the researcher choose?  
Individual is to be randomly selected.
- In order to avoid bias in selection, person is specified (husband, wife, oldest person, youngest person).

# Probability proportionate to size

- It is proportionate when size of each cluster is the same.
- When cluster groups are of different sizes, probability or sampling ratio must be adjusted at various stages in sampling.
- Each final sampling element should have equal probability of being selected.

# Random digit dialing

- Used when general public is interviewed by phone.
- Phone directory is not sampling frame.
- 3 kinds of people are missed when phone directory is used: people without phones, migrating people and people with unlisted numbers.
- In RDD, phone nos are randomly selected, avoiding phone directory difficulties; population is phone nos, not people who have phone.

# Hidden populations

- Sampling people who live in clandestine conditions. E.g. aids or drug user population.
- In these situations *respondent-drive sampling* (through financial compensation) can be used in order to attract the population.

# How to determine sample size for probability samples?

- Size depends: kind of analysis, accuracy required for sampling.
- Large sample does not guarantee representativeness.
- Large sample without random sampling with a poor sampling frame is less representative than a smaller one with random sampling and excellent sampling frame.

# How to determine sample size for probability samples? - 2

Sample size can be addressed in two ways:

- Making assumptions about the degree of confidence that is acceptable.
- Rule of thumb: commonly accepted amount.
- Smaller the total population, larger the sampling ratio; larger the population, the smaller sampling ratio.

# How to determine sample size for probability samples? - 3

- For small populations, e.g. 1000, researcher needs a large sampling ratio (about 30%).
- For mid-size populations, e.g. 10000, smaller sampling ratio is needed (about 10%).
- For large populations, e.g. 100.000, 1% of sampling ratio would be enough.
- As the number of total population grows, sampling ratio becomes smaller.
- Increasing the sample size, decreased the errors.



# How to determine sample size for probability samples? - 4

Best sample size depends on:

- Degree of accuracy required (for better accuracy, larger sample size is required);
- Degree of diversity in population (for homogeneous population, smaller size is enough);

# How to determine sample size for probability samples? - 5

- Number of different variables examined in data analysis (smaller sample size when few variables are analysed).
- It also depends on time and cost.
- Important to consider also the non-response rate.

# Drawing inferences

- Drawing accurate inferences (inferential statistics).
- Inferences: conclusion reached on the basis of evidence.
- Researcher generalizes to the population from which the sample was selected.
- But findings cannot be generalized beyond the area and beyond time of research.

# **Must readings for this lesson:**

- **Neuman: pages: 210-235.**

# **Experimental research**

PIR 801, Research Methods in Social  
Sciences

Dr. Islam Jusufi  
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# Experimental research

- It is quantitative technique.
- It fits positivist standards.
- Social sciences do experiments: mostly in psychology, but also in political science.
- Process of experiments: begins with hypothesis; modify smth in situation; compare outcomes with and without modification.

# Experiments and causality

- Experimental research strongest for testing causal relationships.

Three conditions for causality are met in experiments:

- Temporal order.
- Association.
- No alternative explanations.

# Is experiment appropriate technique for your research?

- Some research questions can be addressed with certain techniques but not with others.
- Important to identify which technique best fits which problem.
- Make informed judgment based on readings and experience.



# Research questions for experimental research

- Ethics and practical limitations barrier to experiments.
- It is immoral and illegal to manipulate human life for research purposes.
- In experiments, researcher induces change in some part of social life.
- Then, examines consequences that result from the change.

# Research questions for experimental research - 2

- Experiment best for issues that have narrow scope or scale.
- Experiments can be completed in short period.
- Experiments better suited for micro-level (individual or small group) than for macro-level concerns or questions.

# Research questions for experimental research - 3

- Experiments cannot look to issues related to entire society or across decades.
- In experiments, there is limited number of variables, limited research questions; limited generalizations.

# History of experiment in social research

- Borrowed from natural sciences.
- Began in psychology after 1900.
- After WWII, experimental method became popular in social research.
- Four trends speeded expansion of experimental method: rise of behaviorism, spread of quantification (E.g. IQ tests), changes in research subjects, and practical applications.

# Random assignment

- Valid comparison depends on comparing things that are fundamentally alike.
- Random assignment facilitates comparison in experiments by establishing similar groups.
- In order to compare, groups must be similar.

# Why randomly assign?

- Random assignment as method for assigning cases (individuals, organizations) to groups for purpose of making comparisons.
- Dividing cases into two or more groups with little difference between groups.
- Assignment is automatic; no personal preferences.

# Random assignment

- In random assignment, researcher sorts cases into two or more groups.
- In contrast, in random sampling, researcher selects a smaller cases from larger pool of cases.
- Researcher first randomly samples (10 from 100 people) then randomly assigns (dividing 10 into two groups of 5).

# How to randomly assign?

- Begins with collection of cases (individuals or other units of analysis).
- Continues with division of cases into two or more groups by random process.
- Matching characteristics of cases in each group, such as age, can not be substitute to random assignment.



# Parts of the experiment

Seven parts in experiment:

- Treatment or Independent Variable (IV).
- Dependent Variable (DV).
- Pretest.
- Posttest.
- Experimental group.
- Control group.
- Random assignment.

# Treatment

- In experiments, researcher enters into a situation and modifies it.
- Modification of situation is called “Treatment”.
- In treatment, Independent Variable is measured. E.g. fear of Russia in Europe.

# Treatment - 2

- Instead of asking people whether they are afraid of Russia, experiments put countries into fearing or not fearing situation.
- By inducing change, e.g. Russian attack to Baltic states, some countries feel a fear and others not.

# Dependent variables

- DV: outcomes of experiments - physical conditions, attitudes, feelings, that change in subjects as a result of treatment.
- Pretest: measurement of DV prior to treatment.
- Posttest: measurement of DV after treatment.
- Experimental group: group that receives treatment.
- Control group: group that does not receive treatment.

# Steps in conducting experiment

- Decide on a topic.
- Design a research problem and question.
- Develop hypothesis.
- Decide on experimental design.
- Decide on number of groups to use.
- Decide how to introduce treatment (to induce independent variable).

# Steps in conducting experiment - 2

- Develop reliable measure of dependent variable.
- Pilot testing of the experiment.
- Locate subjects.
- Randomly assign subjects to groups.
- Subjects are given instructions.
- Measure DV before treatment (pretest).

# Steps in conducting experiment - 3

- Introduce treatment to experimental group.
- Measure DV after treatment (posttest).
- Examine data collected and make comparisons between groups.
- Use data to determine whether hypothesis is or not supported.

# Control in experiments

- It is important to control the situation in order to establish causality between IV and DV.
- Deception can be used to control experimental setting.
- Deception can be through not disclosing the aim of the experiment.



# Types of experimental design

- Classical experimental design: that includes random assignment, pretest, posttest, experimental group, control group.
- Preexperimental designs: with short cuts.
- Quasi experimental and special designs.

# Preexperimental designs

- One shot case study design/posttest only design: one group only, treatment, posttest. No pretest, no control group, no random assignment.
- One group pretest posttest design: one group, pretest, treatment, posttest. No control group, no random assignment.
- Static group comparison: two groups, posttest, treatment. No random assignment, no pretest.

# Quasi experimental and special designs

- Two group posttest only design: All, except pretest.
- Interrupted time series: one group, multiple pretest measures.
- Equivalent time series: one group, extended over time period. One pretest, multiple treatments and posttests.

# Quasi experimental and special designs - 2

- Latin square designs: several treatments in different order.
- Solomon four group design: addressing negative effects of pretest. Two group posttest only design and randomly assigning subjects to four groups.
- Factorial designs: looking at simultaneous effects of more than one independent variable.

# Internal Validity

- Ability to eliminate alternative explanations of DV.
- Variables, other than the treatment, that affect DV are threats to internal validity.
- They threaten to say that treatment was true causal factor producing change in DV.

# Threats to internal validity

- Selection bias: no equivalent groups.
- History: unrelated event occurring.
- Maturation: getting older.
- Testing: pretest affecting DV.
- Instrumentation: DV measure changing during experiment.

# Threats to internal validity - 2

- Mortality: subjects stop attending experiment.
- Statistical regression: tendency for random errors to move group results toward average.
- Contamination: subjects from different groups communicating with each other.

# Threats to internal validity - 3

- Compensatory behavior: dissatisfaction for unequal treatment when a group gets a value.
- Experimenter expectancy: researcher communicating desired findings to subjects; “double blind experiment” used to control expectancy.



# External validity

- Ability to generalize findings to events and settings outside experiment.
- If experiment lacks external validity, findings hold true only in experiments, making them useless to science.
- Experimental realism: impact of experimental treatment on subjects - when subjects are truly influenced by treatment.

# External validity - 2

- Mundane realism: is experiment like the real world?
- Two aspects of experiments can be generalized: from subjects to other people; generalizing from artificial treatment to everyday life.
- Reactivity: when subjects react differently in experiment from what they would in real life.

# Field experiments

- Occurring in natural settings.
- Subjects are not aware.
- Opposite to controlled experiments.
- Laboratory experiments: greater internal validity, lower external validity, limited generalizations.
- Field experiments: greater external validity, lower internal validity, greater generalizations.

# Practical considerations in experiments

- Planning.
- Running a test.
- Instructions to subjects.
- Postexperiment interview – debriefing subjects on purpose of experiment; feedback from subjects.

# Results of experimental research

- Comparison as most wanted outcome.
- Causality: treatment's impact on DV.
- Mind ethical considerations when doing experimental research.

# **Must readings for this lesson:**

- **Neuman: pages: 237-260.**

# **Project cycle management**

PIR 801, Research Methods in Social  
Sciences

Dr. Islam Jusufi  
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# **PROJECT CYCLE MANAGEMENT**



# What is a project?

- Series of activities aimed at bringing about clearly specified objectives within defined time-period and with a defined budget.
- Stakeholders, beneficiaries identified.
- Clearly defined coordination, management and financing arrangements.
- Monitoring and evaluation system.
- Financial and economic analysis, which indicates that the project's benefits will exceed its costs.

# Types of project

- Projects can vary in their objectives, scope and scale.
- Smaller projects may involve modest financial resources and last only a few months.
- Large projects may involve many millions of Euro and last for many years.

# Examples of projects

Foreign policy reform project:

- Beneficiary: Ministry of Foreign Affairs of Albania
- Implementing agency: X Consultancy.
- Donor agency: European Commission.
- Budget: Euro 2m.
- Period: 2 years.

# Examples of projects - 2

Civil society improvement project:

- Beneficiary: X NGO.
- Implementing agency: X NGOs.
- Donor agency: DANIDA.
- Budget: Euro 100.000.
- Period: 1 year.

# PCM – project cycle management

- PCM describes management activities and decision-making procedures used during life-cycle of a project.
- PCM differs between the PCM of donor and PCM of a beneficiary.

# PCM help

PCM ensures that projects are:

- Supportive of overarching policy objectives.
- Relevant to an agreed strategy and to real problems of beneficiaries.
- Feasible.
- Sustainable.

# PCM does

- Requires active participation of key stakeholders (ownership).
- Uses LogFrame (Logical Framework Approach).
- Incorporates key quality assessment criteria into each stage of the project cycle.
- Requires the production of good-quality key documents in each phase.

# PCM's three main principles

1. Decision making criteria and procedures are defined at each phase.
2. Phases in cycle are progressive – each phase should be completed for the next to be tackled with success.
3. New programming and project identification draws on the results of monitoring and evaluation as part of a structured process of feedback and institutional learning.



# PCM phases

1. Programming,
2. Identification,
3. Formulation,
4. Implementation, and
5. Evaluation & Audit.

# 1. Programming

- Programming is multi-annual and is coordinated by donor agencies with contributions from partner country authorities.
- Outputs or programming: Country Strategy Paper, multi-annual National Indicative Programs.
- Situation at national and sector level analysed.

# Country Strategy Paper

- Description of co-operation objectives.
- Policy objectives of partner country.
- Analysis of political, economic and social situation.
- Overview of past and ongoing cooperation projects.
- Response strategy.

# Indicative Program or Sectoral strategy

- Once the strategy is defined, it must be translated into a National Indicative Program or Sectoral strategy.
- Management tool covering a period of several years.
- Identifies and defines actions.

# Program or Sector strategy content

- Global Objectives.
- Financial envelopes.
- Specific objectives and results, including conditionalities and outcome indicators.
- Crosscutting issues.
- Projects, beneficiaries and types of assistance (macroeconomic support, technical assistance, training, investment, supply of equipment).

## 2. Identification

- Identify project ideas.
- Assess relevance and feasibility of project ideas.
- Budget the actions.

## 2. Identification - 2

- Source of project ideas may come from a variety of sources (partner governments, non-state actors or international organisations). Why? Because of local ownership.
- Project ideas should be drawn from priorities and targets identified in the relevant Country Strategy Paper and National Indicative Program.

# Steps in identification of projects

- Consultations with key stakeholders (partner government institutions, nonstate entities, civil-society groups, other donors, etc).
- Undertake preparatory work to identify project ideas.
- Prepare draft project list including individual project fiches based on partner proposals.
- Reach internal agreement on a draft project list and project fiches.
- Confirm project list with partners.



# Identification outputs

## Project Fiche content:

- Policy and program context.
- Stakeholder analysis.
- Problem analysis.
- Lessons learned and review of other past, ongoing or planned initiatives.
- Preliminary project description.
- Budget.
- Coordination and management arrangements.
- Cross cutting issues.
- Sustainability.

# 3. Formulation

- Prepare project design in the form of tender documentation, including Terms of Reference, Guidelines, Procurement notices.
- Tendering the project.
- Award of the contract.

## 4. Implementation

- Deliver the activities and results.
- Monitor (internal and external) implementation.
- Report on progress.
- Main periods: Inception phase; main implementation period; and phase-out period.

# 5. Evaluation

- Assessment of an ongoing or completed project.
- Determine relevance, efficiency, effectiveness, impact and sustainability.

# Types of evaluation

- Evaluation of individual projects.
- Evaluation of the results of country or sector projects.

# Audit

- Assessment of
  - (1) the legality and regularity of project expenditure and income;
  - (2) whether project funds have been used efficiently and economically; and
  - (3) whether project funds have been used for purposes intended.

# Duration of PCM phases

- Duration of each phase of cycle vary for different projects, depending on scope and on operating modalities. E.g. construction projects may take many years from programming to implementation.
- Ensure adequate time and resources are committed to each phase.

# Calls for Proposals - CfP

- Used when providing grants, particularly to non-state actors.
- Under CfP approach, the donor produced Guidelines, which establishes the broad objectives it wishes to achieve, the scope of projects it is willing to fund, application and assessment procedures and a set of eligibility criteria for applicants.
- The responsibility for identifying, formulating and implementing projects is passed on to those who apply for funding.



# Quality frame

- At each a cycle, set of quality assessment criteria are provided to support analysis and decision making.
- Quality frame consists of three key quality attributes:
- Relevance: project meets needs.
- Feasibility: project is well designed and sustainable.
- Effectiveness: project is delivering and is being well managed.

# Relevance

- Consistent with development policies.
- Consistent with Partner policies.
- Key stakeholders identified, capacity issues analysed, and local ownership demonstrated.
- Problems have been appropriately analyzed.
- Lessons learned from experience and linkages with other projects.

# Feasibility

- Objectives and activities are logical.
- Resource and costs are clear, financially viable and has a positive economic return.
- Arrangements support ownership.
- M&E and audit arrangements are clear.
- Assumptions/Risks identified and risk management arrangements in place.
- Project is sustainable.

# Effectiveness

- Relevant and feasible.
- Objectives are being achieved.
- Well managed.
- Sustainability issues effectively addressed.
- Good practice principles of project management applied.

# Evaluation and audit criteria

1. Relevance.

2. Efficiency.

3. Effectiveness.

4. Impact.

5. Sustainability.

# Relevance

- Appropriateness of project to problems that it was supposed to address.
- Appropriateness of project to the physical and policy environment within which it operated.
- Quality of project preparation and coherence of project design.

# Efficiency

- Whether project results have been achieved at reasonable cost.
- How well inputs have been converted into activities.
- This generally requires comparing alternative approaches to achieving the same results, to see whether the most efficient process has been adopted.

# Effectiveness

- Assessment of contribution made by results to achievement of project purpose.
- Assessment of benefits given to target groups, including marginalized groups.



# Impact

- Effect of project on its wider environment.
- Its contribution to the wider policy or sector objectives.

# Sustainability

- Assessment of likelihood of benefits produced by project to continue to live after funding has ended.

# **LOGICAL FRAMEWORK APPROACH**

# Logical Framework Approach

- Aims to improve project planning and evaluation system.
- It makes planning clear, with defined objectives that could be used to monitor and evaluate the success (or failure) of a project.
- To state clearly management responsibilities.
- Analytical process to support project planning and management.

# Logical Framework Matrix - LogFrame

Matrix with four columns and four (or more) rows:

- Project's hierarchy of objectives (Project Description or Intervention Logic);
- Factors critical to project's success (Assumptions);
- How project's achievements will be monitored and evaluated (Indicators and Sources of Verification);
- Resource requirements (inputs) and costs (budget).

# Structure of Logframe Matrix

Project Description	Indicators	Source of Verification	Assumptions
<b>Overall Objective :</b> impact to policy or sector	How OO is to be measured?	How will the information be collected?	<i>(empty)</i>
<b>Purpose:</b> direct benefits to target group	How the Purpose is to be measured?	As above	What assumptions must hold true to achieve the OO?
<b>Results</b>	How the Results are to be measured?	As above	What assumptions must hold true to achieve the Purpose?
<b>Activities</b>	<b>Inputs</b>	<b>Costs</b>	What assumptions must hold true to deliver the Results?

# Value of LogFrame

- LogFrame is a core tool used within PCM.
- It is used during all phases of PCM: identification; formulation; implementation; evaluation and audit.
- LogFrame should be prepared before any project documents.

# Development of LogFrame

Two main stages: Analysis and Planning.

## Analysis Stage:

1. Stakeholder Analysis;
2. Problem Analysis;
3. Analysis of Objectives (image of an improved situation in the future); and
4. Analysis of Strategies (comparison of different options to address a given situation).



# Development of LogFrame - 2

## Planning Stage:

- LogFrame matrix is prepared;
- activities and resource requirements are defined and scheduled, and
- budget is prepared.

# Sequence of completion of LogFrame

Project Description	Indicators	Source of Verification	Assumptions
<b>1</b>	<b>8</b>	<b>9</b>	
<b>2</b>	<b>10</b>	<b>11</b>	<b>7</b>
<b>3</b>	<b>12</b>	<b>13</b>	<b>6</b>
<b>4</b>	<b>14</b>	<b>15</b>	<b>5</b>

# 1<sup>st</sup> column: description statements

- IF inputs/resources are provided, THEN activities can be undertaken.
- IF activities are undertaken, THEN results can be produced.
- IF results are produced, THEN purpose will be achieved.
- IF purpose is achieved, THEN this should contribute towards the overall objective.

# 1<sup>st</sup> column: description statements - 2

- IF we wish to contribute to overall objective, THEN we must achieve the purpose.
- IF we wish to achieve the purpose, THEN we must deliver the results.
- IF we wish to deliver results, THEN activities must be implemented; and
- IF we wish to implement the activities, THEN we must apply inputs/resources.

# 1<sup>st</sup> column: writing statements

- Overall Objective: ‘To contribute to.....’.
- Purpose: expressed in terms of benefits to the target group:  
‘Increased/improved/etc.....’.
- Results: expressed in terms of tangible result: ‘delivered/produced/conducted etc’.
- Activities: expressed in present tense starting with an active verb: ‘Prepare, design, construct, research .....’.

# 1<sup>st</sup> column: sample

Objectives hierarchy	Example of how to write statements
Overall objective	To contribute to improved infrastructure of Albania
Purpose	Improved roads in Tirana
Results	Reduced number of holes. Rules for maintenance of Tirana roads improved. Traffic standards effectively enforced
Activities	Close the holes. Establish Agency for maintenance of roads. Train police for enforcement of traffic rules.

# 1<sup>st</sup> column: Exercise

- Think of a project; and
- Design a table with project description statements including for:
  - Overall Objective.
  - Purpose.
  - Results.
  - Activities.

# 4<sup>th</sup> Column: Assumptions

- External factors that are to influence project success, but are outside direct control of project.
- Once Activities are carried, and if Assumptions at this level hold true, Results will be achieved;
- Once Results and Assumptions at this level are fulfilled, Purpose will be achieved; and
- Once Purpose is achieved and Assumptions at this level are fulfilled, contribution to Overall Objectives will be made by the project.



# 4<sup>th</sup> column: identifying assumptions

Assumptions types: policy, institutional, technical, social/economic issues.

- Policy: Government priority to improve road infrastructure.
- Institutional: Laws and bylaws in place for improvement of road infrastructure.
- Technical: Climate change not leading to frequent rainfall that can damage road infrastructure.
- Social/economic: Citizens willing to pay road taxes.

## 4<sup>th</sup> column: sample

- Activities: Close the holes.
- Assumption: Budget allocated.
- Result: Reduced number of holes.
- Assumption: Law passed.
- Purpose: Improved roads in Tirana.
- Assumption: Gov't priority to infrastructure.
- Objective: To contribute to improved infrastructure of Albania.

## 2<sup>nd</sup> column: indicators

- Describe the project's objectives in operationally measurable terms (quantity, quality, time).
- They are formulated in response to the question “How would we know whether or not what has been planned is actually happening or happened? How do we verify success?”
- Indicators should be measurable.

## 2<sup>nd</sup> column: SMART indicators

- **S**pecific to the objective.
- **M**easurable (quantitatively or qualitatively).
- **A**vailable at an acceptable cost.
- **R**elevant to the information needs.
- **T**ime-bound – so we know when we can expect the objective/target to be achieved.

## 2<sup>nd</sup> column: type of indicators

Objective hierarchy	Indicators type
Objective	Impact indicators
Purpose	Outcome indicators
Results	Output indicators

# 3<sup>rd</sup> column: Source of Verification for indicators

- ***How*** the information should be collected (observation, surveys) and/or the available documented source (progress reports, statistics, engineering completion certificates).
- ***Who*** should collect/provide the information (construction workers, project team).
- ***When/how*** regularly it should be provided. (e.g. monthly, quarterly, annually).

# 3<sup>rd</sup> and 4<sup>th</sup> column: sample

Indicator	Sources of verification
<p><u>Indicator</u>: Number of holes in the roads of Tirana,</p> <p><u>Quantity</u>: is reduced by 50% compared to levels in 2014,</p> <p><u>Quality</u>: and meets roads standards,</p> <p><u>Time</u>: by the end of 2015.</p>	<p>People observations, news, govt press releases.</p>

# Logframe

Project Description	Indicators	Source of Verification	Assumptions
<b>Overall Objective :</b> impact to policy or sector	How OO is to be measured?	How will the information be collected?	<i>(empty)</i>
<b>Purpose:</b> direct benefits to target group	How the Purpose is to be measured?	As above	What assumptions must hold true to achieve the OO?
<b>Results</b>	How the Results are to be measured?	As above	What assumptions must hold true to achieve the Purpose?
<b>Activities</b>	<b>Inputs</b>	<b>Costs</b>	What assumptions must hold true to deliver the Results?



# **Must readings for this lesson:**

- **European Commission:  
pages: 16-53.**

# **Concluding the research, Research and Policy Process**

PIR 801, Research Methods in Social  
Sciences

Dr. Islam Jusufi  
Epoka University

# Research and Policymaking

- How research relates to policymaking?
- How to overcome tensions between research and policymaking?
- It is a tension between Supply and Demand: do researchers supply what policymakers demand?

# What policymakers demand from research?

- Research is increasingly providing advise how to improve the situation, rather than only providing analysis of what the situation is.
- Research is often used as a support for a decision that has already been made or the research as a source for undertaking new policy actions.

# What policymakers demand from research? - 2

- Often research is used as legitimacy.
- Research is rarely used as a means for improvement of policies.
- When policy is based on research only, it has its own limits, e.g. it lacks legitimacy.
- Policymakers want solution to problems or reduction of uncertainty; researchers like to analyze problems and emphasize uncertainties.

# Demand side problems

- Lack of awareness : decision-makers are not aware of policy-related research.
- Anti-intellectualism: no value of ideas in policy-making.
- Capacity problem: lack of absorption capacity.
- Politicization: loss of objectivity on the side of policy makers.

# Response to problems

- Replacing opinion-based policy making with evidence-based policy making (EBPM).
- Citizens want to see more evidence in policies.
- EBPM has more quantitative leaning.
- Not clear what kind of evidence the government needs.

# Response to problems - 2

- Govt classify research into three: basic with no immediate application; applied with short-term application; strategic with economic value.
- Government does not lack means to tell what it wants from research.
- Government is often not clear what it wants from research.
- Policy windows get opened and research that has been floating around becomes attached to that problem or solution.



# Problems in the supply of research

- Public goods problem: inadequate supply of policy relevant research.
- Wrong assumption that increase in supply will establish its demand.
- Not all research has policy relevance.
- Researchers overlook the time dimension from point of view of policymaker: Is the research relevant at this particular point in time in the policymaking cycle?

# Problems in the supply of research - 2

- Policymakers have only 48 hours; while researchers need 48 months to research and another 48 months for other aspects (peer-review, critical comment test, etc).
- Lack of access to data.
- Researchers spend more time in finding data, rather than in analyzing data.
- Researchers like to research more than writing.

# Problems in the supply of research - 3

- Poor policy comprehension by researchers.
- Lack of methodologies for evaluating research relevance.
- Researchers may lack communications skills.
- Tension between intellectual standards demands from researchers and practical needs of policymakers.
- Some researchers do not have interest in having impact on policymaking.

# Problems in the supply of research - 4

- Need to understand structure within which institutions function and conceptualizing problems that institutions face.
- Research impact is often implicit, un-attributed.
- Policymakers are influenced by ideas even if they do not explicitly acknowledge it.
- But, new ideas have difficulty to penetrate in policy making quickly; it takes time.

# Research-Policymaking relationship culture in Albania

- Contact between policymakers and researchers very close as often researchers become policymakers.
- Researchers do not shy away from engaging in politics.
- In the world, there is growing detachment of political science from public policy.
- Political parties have research arms.

# Research-Policymaking relationship culture in Albania - 2

- Research is becoming less important in policymaking.
- Policymaking is limited at top due to centralized nature of government offering prospects only to elite researchers to have access to policy.
- Politicization offers opportunities for political scientists to work in administration.
- Contribution of research to policy making is depended on personal relationships.

# Models of knowledge exchange

- Linear: assumptions that users are inexperienced and passive.
- Feedback model: dialogue exists between users and producers; and users are able to provide feedback to research.
- Collaborative: users are involved in the research process.
- Joint production of knowledge model.

# Bridging the gap

- Roles opened for intermediaries.
- They are able to turn research into form usable for policymakers.
- Intermediaries: some govt agencies, NGOs, think tanks, consultancies.
- In countries where power is less concentrated or in federal structures, there is chance for think tanks.



# Bridging the gap - 2

- Seminars including both researchers and policymakers.
- Secondment of researchers into government.
- Requiring research skills when employing government employees.

# **IMPACT OF RESEARCH ON POLICYMAKING**

# Context

- Research with little ability to affect conduct of policies.
- Research's impact on policymaking is regarded as weak.
- Policymakers demand instant responses from researchers.

# Impact

- There is doubt that research affects the policymaking process.
- Policymakers do not make policy in response to “research.”
- Shortening of response time for researchers.
- Decisions are made in haste, sometimes dangerously so.

# Impact - 2

- Instantaneous policymaking demands instant analysis and research.
- As events unfold, policymakers ask reaction before researchers have had a chance to review the case.
- Policymakers drive researchers to have a view.
- Researchers will have to articulate it very quickly.

# Impact - 3

- No time to reflect.
- Time for reaction is compressed.
- Long time for analysis is out.
- Policymaking helps research to penetrate markets.
- Transmission of research ideas via policymaking.
- Research usually follows official actions.

# **CONNECTING THEORY AND PRACTICE**

# Why connecting theory with policy?

- Policy makers pay little attention to theories.
- Scholars uninterested in doing policy.
- Relying on false theory can lead to disasters.
- Theory remains essential for diagnosing events, explaining their causes, prescribing responses, and evaluating the impact of different policies.
- Current incentives discourage policy for many doing theoretical work.



# Why connecting theory with policy? - 2

- Scholarly study not of great value to policy makers.
- Need for powerful theories that could help policy makers design effective solutions.
- Need is due to changing agenda: Emergence of unipolar world, expansion of global trade and finance, failed states and global terrorism, changing human rights agenda, spread of democracy, climate change, growing prominence of NGOs.

# Why connecting theory with policy? - 3

- Theories are either irrelevant or inaccessible to policymakers.
- Theory knowledge is hardly a prerequisite for employment.
- Consider appointments in Albania?

# Why connecting theory with policy? - 4

- Wide gap between theories and practical conduct of policies.
- Some warn that emphasis on “policy relevance” is detrimental.
- Theory is less relevant for policy makers because scholars have little incentive to develop ideas that might be useful.
- Theory is seen as too abstract to influence policy directly.

# How can theoretical help policy makers?

- Provide conceptual framework.
- Inform policy analyses of specific problems.
- Strengthening the transmission belt linking these different activities, so that academic ideas reach the policy maker's desk.

# What Types of Knowledge do Policy Makers Need?

- First, policy makers rely on factual knowledge.
- Second, decision makers employ simple decision rules acquired through experience rather than via systematic study.
- Third, typologies, which classify phenomena based on sets of specific traits. Policy makers rely on empirical laws.
- Finally, policy makers can also use theories.

# What theory offers to policy makers?

- Theories offer explanations, E.g. likelihood of war among particular states; alliances; regimes; spread of ideas, norms, and institutions; transformation of particular international systems.
- E.g. deterrence theory explains why mutual vulnerability may be preferable to either side having a large capacity to threaten the other side's forces.

# What theory offers to policy makers?

## - 2

- E.g. Did Iraq have weapons of mass destruction or not?
- E.g. Forecasts about the long-term effects of the Iraq war?
- E.g. U.S. intervention in Central America justified in part by domino theory.

# How Theory Can Aid Policy?

- Theory and policy are inextricably linked.
- Relationship between theory and policy is not a one-way street.
- Theory informs policy and policy problems inspire theoretical innovation.
- Policy makers must figure out which events merit attention and what instruments to use.
- They do this on the basis of some sort of theory.



# How Theory Can Aid Policy? - 2

- Diagnosis: figure out what sort of phenomena is faced and design appropriate response.
- Prediction: Anticipate events.
- Prescription: Make a choice for a policy with best outcome.
- Evaluation: Whether a policy is achieving the desired results.

# Challenges for dialogue between theory and practice

- Theory as too general and abstract.
- Many theories, little time to read.
- Different agendas.
- Professionalization of IR and PS disciplines; little incentives to work on policy aspects.
- Gulf between scholars and policy makers getting wider as the links between theoretical research and policy problems grow weaker.

# **Must readings for this lesson:**

- **Neuman: pages: 468-479.**
- **Burnham: pages: 305-324.**