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# **The Case Study Method**

**An Annotated Bibliography  
1983-84 Edition**

**Robert K. Yin**

**September 1983**

**COSMOS**  
CORPORATION

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**Robert K. Yin**

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## Preface

This bibliography is for the serious student of case studies. Its purpose is to cite, with annotations, publications dealing with the case study as a research method. The citations are all methodological in nature. Each reference covers some aspect of the design, conduct, analysis, or teaching of case studies, but none of the references is intended to represent an actual case study, except illustratively.

The bibliography is a second edition, updating the 1982 version with the addition of nearly 30 new citations. These, in combination with the earlier listings, draw together the core readings on case study methodology, although many of the authors may not have been aware of this designation for their work. Most of the citations are of high quality, and many are from sources not usually covered by the traditional review of case study literature. In addition, older as well as more recent citations have been included. The existence of the older citations indicates that much has been known about the case study method for a long time.

Of critical importance in this bibliographic endeavor is the underlying definition of "case study" that has been used. Several definitions of this term are possible. As with any other bibliography, each would result in a different list of citations. (For this reason, every bibliography must be seen as having an implicit theory--whose role is to distinguish those citations that should be included in the bibliography from those that should not.) For the purpose of this bibliography,

A case study is considered any research investigation which analyzes a phenomenon in its real-life context.

Because the phenomenon and its context involve numerous variables, the distinctive feature of the case study is that there will always be far more variables of interest than there will be data points.

Defined in this manner, case studies pose a special problem for standard quantitative analysis, because aggregate statistical techniques (requiring many more data points than variables) are generally inapplicable for analyzing case study data. As an illustrative example, the data in Donald Campbell's famous study of the effects of Connecticut's

speeding law\* cannot be analyzed by any statistical technique,\*\* because each data point represents a single number--the annual fatalities in Connecticut. The single number has no variance, which is normally required for statistical analysis to proceed. This analytic problem posed by case studies leads to the need for a different research strategy, and the methodological works cited herein are the bits and pieces of what will, hopefully, become a coherent strategy in the future.

Not given excessive attention in this bibliography are three topics commonly confused with the case study method:

- Debates between the virtues of qualitative vs. quantitative data (case studies can use either);
- Debates between certain field methods--e.g., ethnography--and other data collection methods (case studies can use either);
- Analytic techniques designed specifically to deal with nonexperimental situations, where the investigator has only passive control over a treatment or intervention (case studies can involve either active or passive situations).

To have included these topics would have diluted the present attempt to focus on the essence of the case study strategy, and would also have expanded the bibliography to unreasonable length. Nevertheless, some relevant citations have been included in Section E ("Indirectly Related Topics"), primarily for illustrative purposes, most of them without annotations.

In short, the bulk of the following bibliography covers the situation where there is only a single or small number of cases under investigation. This type of situation has been encountered in psychology, sociology, history, and political science. Most of the methodological work, however, has been completed in psychology and sociology, and the citations are consequently more numerous in these fields than in the others. A special feature of this 1983-1984 version is a new Section F, which summarizes what traditional textbooks in social science methods have written about case studies (generally, very little).

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\*Donald T. Campbell, "Reforms as Experiments," American Psychologist, April 1969, 24:409-429.

\*\*Ignored here are some very weak nonparametric techniques, such as the Signs Test, which would not provide a powerful interpretation of the data.

The bibliography is divided into six sections: (A) general descriptions of the use of case studies, (B) quality-control issues, (C) design and analysis, (D) data collection, (E) indirectly related topics, and (F) coverage by traditional social science textbooks. These sections will be expanded in the future, as more citations are accessioned. In general, the case study topic is an active and dynamic one; any bibliography should also be considered a growing and adaptive enterprise.

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## A. GENERAL DESCRIPTION OF USES OF CASE STUDIES

### 1. USES IN RESEARCH FIELDS

#### Psychology

Bolgar, Hedda, "The Case Study Method," in Benjamin B. Wolman (ed.), Handbook of Clinical Psychology (New York: McGraw Hill, 1965), pp. 28-38.

Traces the use of case studies in clinical psychology and calls attention to an analogous type of study--the biography. The main focus is on the use of single cases rather than on multiple-case designs. The author notes that these single cases have been extremely important in doing clinical research, and cites several famous examples of clinical cases and cases from child development.

Dukes, William F., "N=1," Psychological Bulletin, 1965, 64:74-79.

Describes the significant contributions made by single-case research in the field of psychology. Included are examples from experimental psychology, animal research, and clinical research. The article also presents a frequency analysis of the occurrence of N=1 studies in the different subfields of psychology. No attempt is made, however, to cover studies where any type of multiple-case design has been used.

Hersen, Michel, and David H. Barlow, Single-Case Experimental Designs: Strategies for Studying Behavior (New York: Pergamon, 1976).

Provides a comprehensive review of the use of case studies in experimental psychology. The introductory chapter contains an excellent historical account of the contrasts between individual and group designs, and the design chapters contain extensive discussions of multiple-case as well as single-case designs. In general, the most important design consideration is the establishment of a "replication" logic in designing multiple-case studies.

Other Social Sciences

Eckstein, Harry, "Case Study and Theory in Political Science," in Fred I. Greenstein and Nelson W. Polsby (eds.), Strategies of Inquiry (Reading, Mass.: Addison-Wesley, 1975), pp. 79-137.

Argues that case studies play a significant role at every stage of theory development: description, hypothesis-generation, and hypothesis-confirmation. A variety of illustrative case studies, mostly from the fields of political science and history, are mentioned in relation to these different stages. Thus, the case study should not be considered as a method limited only to a single stage of theory development.

George, Alexander L., "Case Studies and Theory Development: The Method of Structured, Focused Comparison," in Paul Gordon Lauren (ed.), Diplomacy: New Approaches in History, Theory, and Policy (New York: The Free Press, 1979), pp. 43-68.

Contains extensive discussion of the critical role of case studies in developing political and historical theory. The chapter then presents guidance in designing multiple-case studies, so that small groups of cases can be used to develop general explanations of organizational or behavioral phenomena.

Naroll, Raoul, "Some Thoughts on Comparative Method in Cultural Anthropology," in Hubert M. Blalock and Ann B. Blalock (eds.), Methodology in Social Research (New York: McGraw-Hill, 1968), pp. 236-277.

Summarizes briefly the various case study designs that have been used in anthropology. Numerous, classic studies in anthropology are cited, as are some of the attempts by university groups to build cross-cultural data files. The article then concentrates on the problems of following one specific type of study, which calls for the collection of uniform information from a large number of cases.

Odum, Howard W., and Katherine Jocher, An Introduction to Social Research (New York: Henry Holt & Co., 1929).

Has a chapter on the case study method (pp. 229-243). The book describes the basic role of the case study, how it has been applied in the social sciences, and the ways of improving case study validity and quality. The book is thus remarkable for its contemporary usefulness, in spite of its age.

Schramm, Wilbur, Notes on Case Studies of Instructional Media Projects, Academy for Educational Development, Washington, D.C., December 1971. (Also issued by U.S. Agency for International Development, Studies in Educational Technology, EHR-10.)

Describes the use of case studies in the field of communications. However, most of the topics--e.g., comparing case studies with other research methods, and discussing the documents to be used as case study evidence--are applicable to other fields. The booklet concludes with ten helpful suggestions on how to make case studies more useful.

Welch, Wayne W. (ed.), Case Study Methodology in Educational Evaluation, Minnesota Research and Evaluation Center, Minneapolis, November 1981.

Contains proceedings of a conference, with presentations by David Hamilton, Constance LEEAN, Robert E. Stake, and James R. Sanders. Volume suggests that case studies can be a disciplined, not intuitive inquiry, and can provide different (and important) information as part of an evaluation.

Yin, Robert K., "The Case Study Crisis: Some Answers," Administrative Science Quarterly, March 1981a, 26:58-66.

Discusses the basic range of case study issues: the definition of case studies, single-case design and analysis, multiple-case design and analysis, and case study reporting. The article also includes numerous examples of exemplary case study research.

Yin, Robert K., "The Case Study as a Serious Research Strategy," Knowledge: Creation, Diffusion, Utilization, September 1981b, 3:97-114.

Discusses the ways in which case studies may be used to test propositions. Thus, the explanatory case study represents a different application from the exploratory case study. The article shows how the explanatory objective was pursued in two empirical efforts by the author.

Yin, Robert K., Designing and Doing Case Studies, (Beverly Hills: Sage, forthcoming).

Covers the whole range of problems and issues in doing case studies. The book is intended to be used as an instructional primer for investigators just starting on the topic. Text includes "vignettes" to over thirty famous case studies in the social sciences.

## 2. USES IN TEACHING OR PRACTICE

Bock, Edwin A. (ed.), Essays on the Case Method (Syracuse: The Inter-University Case Program, November 1971, ICP 109).

Focuses on the use of case studies as a teaching device in public administration and public courses.

Fesler, James W., "The Case Method in Political Science," in Edwin A. Bock (ed.), Essays on the Case Method (Syracuse: The Inter-University Case Program, November 1971, ICP 109).

Describes the use of case studies in political science, primarily focusing on the case study as a teaching device.

Llewellyn, K.N., "Case Method," in Edwin Seligman and Alvin Johnson (eds.), Encyclopedia of the Social Sciences (New York: Macmillan, 1948).

Describes the use of case studies as a teaching device in the field of law. The classroom analysis of cases began late in the 19th century and served as an alternative to lectures and apprenticeships.

Pigors, Paul, and Faith Pigors, Case Method in Human Relations: The Incident Process (New York: McGraw-Hill, 1961).

Describes the application of the case study method as a teaching tool in human relations. For this purpose, the authors advocate a specific approach to case studies, involving their own "incident process" analysis.

Ronstadt, Robert, The Art of Case Analysis: A Guide to the Diagnosis of Business Situations (Dover, Mass.: Lord Publishing Co., 1977, 2d edition).

Describes how case studies should be prepared for classroom use in business courses.

Stake, Robert E., "The Case Study Method in Social Inquiry," Educational Researcher, February 1978, 7:5-8.

Describes the use of case studies in education. The primary orientation, however, is only toward the narrow role of case studies as a hypothesis-generating tool.

Stein, Harold, "Case Method and the Analysis of Public Administration," in Harold Stein (ed.), Public Administration and Policy Development (New York: Harcourt, Brace and World, 1952), pp. xx-xxx.

The introduction to this textbook describes the role of case studies as teaching materials in public and business administration. The teaching purpose is accomplished by focusing on a decision or set of decisions as the major topic, and by relating the perspectives of different participants in the decisionmaking process. Less emphasis is placed on the development of substantive conclusions. The introduction also has an overview of the use of case studies in other professional (as opposed to research) fields: e.g., law, medicine, and social work.

### 3. COMPARISONS BETWEEN CASE STUDIES AND OTHER METHODS

Goode, William, J., and Paul K. Hatt, Methods in Social Research (New York: McGraw-Hill, 1952).

Discusses problems of creating and using coding categories for qualitative data. Acknowledges wholistic characteristic of case studies: "...[the case study] is a way of organizing social data so as to preserve the unitary character of the object being studied" (p. 331).

Hoaglin, David C., et al., Data for Decisions: Information Strategies for Policymakers (Cambridge, Mass.: Abt Books, 1982).

Has a chapter on the case study method, comparing it with other methods. Correctly defines method to include multiple- and single-case designs, and discusses strengths and weaknesses of the method.

Neale, John M., and Robert M. Liebert, Science and Behavior: An Introduction to Methods of Research (Englewood Cliffs, N.J.: Prentice-Hall, 1980, 2nd edition).

Notes that case studies can serve a "descriptive" role as well as role in disconfirming theory through examination of "critical cases."

## B. QUALITY-CONTROL ISSUES IN DOING CASE STUDIES

Edgar, Eugene, and Felix Billingsley, "Believability When N=1," The Psychological Record, 1974, 24:147-160.

Summarizes the main criticisms of case study research, as well as the steps needed to respond to these criticisms. The article focuses usefully on the ways of improving internal validity, with less emphasis on external validity issues.

Foreman, Paul B., "The Theory of Case Studies," Social Forces, May 1948, 26:408-419.

Reviews important ways of assuring the quality of case studies, based on criteria derived from Gordon Allport's work on nomothetic and idiographic methods.

Kaufman, Herbert, "The Next Step in Case Studies," Public Administration Review, Winter 1958, 18:52-59.

A review of a third group of cases in public administration (15 in group; 56 in all). Suggests that the time has come to select multiple cases more purposefully to test and replicate key propositions in public administration theory. Describes potential theory-building role of case studies and case "clusters" as ways of improving case study quality.

Lazarsfeld, Paul, and W.S. Robinson, "The Quantification of Case Studies," Journal of Applied Psychology, 1940, 14: 817-825.

Presents the standard criticism of case studies as being subjective, noncomparable, and imprecise. Although these criticisms are not necessarily warranted as a result of the progress made over the past forty years, the comments nevertheless serve as good reminders for the ways of maintaining quality control.

Lundberg, George A., "Case Studies vs. Statistical Methods-- An Issue Based on Misunderstanding," Sociometry, November 1941, 4:379-383.

(Annotation not available at time of publication.)

Miles, Matthew B., "Qualitative Data as an Attractive Nuisance," Administrative Science Quarterly, December 1979, 24:590-601.

Describes the problems and pitfalls encountered in doing case study research. Although the author offers little advice in dealing with these problems (for some suggested solutions, see Yin, 1981a), the rendition serves as a good reminder of the points at which quality control must be exercised. The article is based on the author's experience in conducting case studies of six public schools.

Rothney, John M., Methods of Studying the Individual Child: The Psychological Case Study (Waltham, Mass.: Blaisdell Publishing Co., 1968).

The appendix of this book contains twenty questions, to be used for evaluating the quality of a case study. The questions are mainly geared to case studies of individual persons, though they can also be adapted for other types of case studies.

Stake, Robert E., "Case Study Methods in Educational Research," American Educational Research Association, Washington, D.C., no date.

Presents a study guide and an audio tape cassette, to assist in applying case studies to educational research. Guide raises a wide range of design, data collection, and analysis issues, and gives clues for critiquing case study research.

Yin, Robert K., Peter G. Bateman, and Gwendolyn B. Moore, Case Studies and Organizational Innovation: Strengthening the Connection, COSMOS Corporation, Washington, D.C., September 1983.

Analyzes methodological characteristics leading to high ratings of case studies in one field--organizational innovation. Results indicate those features of case study research that can lead to methodological improvements in the future, even in fields outside of organizational innovation.



## C. CASE STUDY DESIGN AND ANALYSIS

### 1. SINGLE-CASE DESIGNS AND ANALYSIS

#### Time-Series Designs and Analyses

Barlow, David M., and Michel Hersen, "Single-Case Experimental Designs," Archives of General Psychiatry, September 1973, 29:319-325.

Summarizes the major designs that are applicable to single-case experiments (i.e., where the investigator has control over an intervention or treatment). Most of the designs are relevant to clinical psychology, in situations where the research investigator can repeatedly manipulate the presence or absence (or intensity) of a treatment.

Edgington, Eugene S., "N=1 Experiments: Hypothesis Testing," The Canadian Psychologist, April 1972, 13:121-134.

Presents some usable techniques for analyzing data from repeated trials for a single case. Essentially, the statistical tests are not intended to develop inferences from a sample to a universe of cases. Instead, the tests make it possible to compare the effects of different treatments within the same case, as long as the treatments and repeated trials have been randomly assigned over time.

Edgington, Eugene S., "Statistical Inference from N=1 Experiments," Journal of Psychology, 1967, 65:195-199.

Briefly covers the problems of analyzing repeated trials within the same case. The standard use of the null hypothesis of identical mean effects cannot be used. Moreover, such applications of standard statistical techniques are also inappropriate, even when large numbers of cases are available (as in the standard experiment), if the sample has not been randomly selected.

Holtzman, Wayne H., "Statistical Models for the Study of Change in the Single Case," in Chester W. Harris (ed.), Problems in Measuring Change (Madison: University of Wisconsin Press, 1967), pp. 199-211.

Presents an approach to time-series analysis for individual cases. When there is a large number of data points--e.g., repeated trials--special quantitative analysis can be used. The author notes, however, that such a large number of repeated trials is not always possible, and in these situations different analytic techniques must be used. The article may be used to guide the design of time-series, single-case studies.

Kratochwill, Thomas R., Single Subject Research (New York: Academic Press, 1978).

Each chapter of this book is separately authored and covers some facet of time-series designs and analysis. The book's introductory chapter describes the use of these designs in psychology, and there is also a chapter on the ways of presenting (graphically) time-series data. The book is therefore a comprehensive review of time-series, single-case study design, and analysis.

#### Pattern-Matching and Other Single-Case Designs

Campbell, Donald T., "'Degrees of Freedom' and the Case Study," Comparative Political Studies, July 1975, 8:178-193.

Suggests how case studies can have multiple data points within a given case, thereby creating more degrees of freedom. The investigator's task is to follow a "pattern-matching" process, in which predicted characteristics from theory are compared with observed characteristics in the case study. The article thus provides a basic rationale for designing single-case studies (similar to that of Stouffer, 1941), giving credence to a research strategy the author had previously eschewed.

Cook, Thomas D., and Donald T. Campbell, Quasi-Experimentation: Design and Analysis Issues for Field Settings (Chicago: Rand McNally, 1979), especially pp. 96-98 and 118-124.

Describes the full range of experimental design and analysis techniques. Included among these designs is one that is directly relevant to case studies--the nonequivalent dependent variables design. The text also corrects a previous misconception; thus, the one-group post-test-only design should not be considered a case study design.

Du Mas, Frank M., "Science and the Single Case," Psychological Reports, 1955, 1:65-75.

Describes the design of single cases, and distinguishes the extent to which idiographic and nomothetic purposes are served. In general, a broader contribution to psychology is made if the nomothetic considerations prevail.

Glaser, Barney G., "The Constant Comparative Method of Qualitative Analysis," in George J. McCall and J. L. Simmons (ed.), Issues in Participant Observation (Reading, Mass.: Addison-Wesley, 1969), pp. 216-228.

Focuses on the process of developing appropriate categories and hypotheses for qualitative research. The logic, however, is directly applicable to single-case designs, and the author emphasizes the need to understand the direct relationship between categories and theory-building. Thus, effective within-case designs depend on theory-building about the substance of the case, not just mechanical guidelines.

Kidder, Louise H., "Qualitative Research and Quasi-Experimental Frameworks," in Marilyn Brewer et al. (eds.), Scientific Inquiry and the Social Sciences (San Francisco: Jossey-Bass, 1981), pp. 226-256.

Analyzes several participant-observer studies, to show how they follow implicit designs. These designs actually help to reduce threats to internal validity. Notes that replication is the major means of establishing external validity. A novel and significant exposition of pattern-matching in single-case designs.

Kratochwill, Thomas R., "N=1: An Alternative Research Strategy for School Psychologists," Journal of School Psychology, 1977, 15:239-249.

Presents an array of research designs applicable to single-case situations, especially in education. The designs include: intrasubject replication designs, multiple baseline designs, multi-element baseline designs, and changing criterion designs.

McClintock, Charles C., et al., "Applying the Logic of Sample Surveys to Qualitative Case Studies: The Case Cluster Method," Administrative Science Quarterly, December 1979, 24:612-629.

Shows how subunits within cases may actually have more than a single observation or data point, and how designs can be developed to take advantage of such situations.

Stouffer, Samuel A., "Notes on the Case-Study and the Unique Case," Sociometry, November 1941, 4:349-357.

Compares the case study approach with the statistical approach. Both are needed to deal with patterns of variables, but the statistical approach cannot be applied when the number of configurations exceeds any reasonable sample size. In this situation, the case study investigator can focus on the validity of a given configuration within an individual case, thereby "testing" a theory. The article thus provides one basis for designing single-case studies, similar to that of Campbell (1975).

Wilson, Steve, "Explorations of the Usefulness of Case Study Evaluations," Evaluation Quarterly, August 1979, 3:446-459.

Focuses on the problem of writing a useful case study report. Notes that the logic of writing a case may not match the logic of usefulness to the reader. To communicate with practitioners and others whose time is limited, the article suggests various ways of summarizing the case study evidence more succinctly.

## 2. MULTIPLE-CASE DESIGNS AND ANALYSES

### General Guidance and Issues

George, Alexander L., "Case Studies and Theory Development: The Method of Structured, Focused Comparison," in Paul Gordon Lauren (ed.), Diplomacy: New Approaches in History, Theory, and Policy (New York: The Free Press, 1979), pp. 43-68.

Contains extensive discussion of the critical role of case studies in developing political and historical theory. The chapter then presents guidance in designing multiple-case studies, so that small groups of cases can be used to develop general explanations of organizational or behavioral phenomena.

Glaser, Barney G., and Anselm L. Strauss, The Discovery of Grounded Theory: Strategies for Qualitative Research (New York: Aldine, 1967).

An attempt to describe theory development from the viewpoint of theory generation rather than theory verification. The use of comparative analysis follows the same principles as a cross-case design. Book acknowledges similarity of principles whether qualitative or quantitative data are used.

Gottman, John M., "N-of-One and N-of-Two Research in Psychotherapy," Psychological Bulletin, 1973, 80:93-105.

Describes the basic replication design for multiple-case studies. The emphasis is on analyzing on the basis of "N-of-one-at-a-time," rather than constructing averages or group scores.

Hersen, Michel, and David H. Barlow, Single-Case Experimental Designs: Strategies for Studying Behavior (New York: Pergamon, 1976).

Provides a comprehensive review of the use of case studies in experimental psychology. The introductory chapter contains an excellent historical account of the contrasts between individual and group designs, and the design chapters contain extensive discussions of multiple-case as well as single-case designs. In general, the most important design consideration is the establishment of a "replication" logic in designing multiple-case studies.

Kendall, Patricia L., and Katherine M. Wolf, "The Analysis of Deviant Cases in Communications Research," in Paul F. Lazarsfeld and Frank Stanton (eds.), Communications Research, 1948-1949 (New York: Harper and Row, 1949), pp. 152-157.

Presents one rationale for selecting the cases to be studied--i.e., the examination of deviant or exceptional cases. (See also Patton, 1980.)

Kennedy, Mary M., "Generalizing from Single Case Studies," Evaluation Quarterly, November 1979, 3:661-678.

Discusses how case studies can be used in evaluation research. The article is mainly concerned with external validity--i.e., the ability to generalize from a small number of cases. The article points out several ways of establishing such generalizations, acknowledging that the analysis cannot rely on any statistical techniques.

Leitenberg, Harold, "The Use of Single-Case Methodology in Psychotherapy Research," Journal of Abnormal Psychology, 1973, 82:87-101.

Presents an array of designs applicable to situations in clinical psychology, in which multiple-case as well as single-case designs are possible. The logic underlying the selection of cases or the repetition of trials within a single case is also applicable to case studies in non-psychological settings when the experimental manipulation of treatments is possible.

Lijphart, Arend, "Comparative Politics and the Comparative Method," American Political Science Review, September 1971, 65:682-693.

Defines the comparative method as one involving few cases, to be contrasted with the "statistical method" (many cases) and the "case study method" (single case). Provides few insights, however, into the preferred analytic approaches, other than increasing the number of cases or reducing the number of variables of interest.

Lijphart, Arend, "The Comparable-Cases Strategy in Comparative Research," Comparative Political Studies, July 1975, 8:158-177.

Refines an earlier article (1971) on the comparative method. This method involves the deliberate selection of multiple cases. The method is contrasted to both the "statistical" method (numerous data points, no single case) and the "case study" method (single case only). This terminology appears in the field of political science.

Miles, Matthew B., and Michael Huberman, Analyzing Qualitative Data: A Sourcebook of New Methods, unpublished manuscript, Center for Policy Research, New York, N.Y.

Enumerates and describes a wide array of tactics for analyzing qualitative data. Only considers case study design and analysis indirectly, but tactics provide good illustrations for dealing with case study evidence.

Yin, Robert K., and Karen A. Heald, "Using the Case Survey Method to Analyze Policy Studies," Administrative Science Quarterly, September 1975, 20:371-381.

Shows how data from many cases can be aggregated, even when the original cases may have been conducted by different investigators. The resulting "case survey" permits the use of quantitative, cross-case analysis, but can only be applied when there is a large number of cases.

### Specific Examples

Alkin, Marvin C., et al., Using Evaluations: Does Evaluation Make a Difference? (Beverly Hills: Sage, 1979).

This book is about five school districts, each presented as a separate case study. Contains extensive comments regarding quality control in following both within-case and cross-case procedures.

Brinton, Crane, The Anatomy of Revolution (New York: Prentice-Hall, 1952).

A famous historical work that develops a theory of revolution, based on a comparative analysis of the British, French, American, and Russian Revolutions. Especially relevant to the design of multiple-case studies is the author's methodological discussion in the introductory section.

Yin, Robert K., "When Context and Phenomenon are to be Studied Across Sites: A Methodological Case Study," American Behavioral Scientist, September/October 1982 26:84-100.

Describes the combination of case study and telephone survey data, integration of evidence from 19 case study sites and 90 telephone survey sites.



#### D. CASE STUDY DATA COLLECTION

Cochran, Nancy, Andrew C. Gordon, and Merton S. Krause, "Proactive Records," Knowledge: Creation, Diffusion, Utilization, September 1980, 2:5-18.

Discusses the ways of using documentary evidence in studying organizations, including verification against other sources of information. The article also identifies some of the problems in using such evidence, especially where it might have been distorted by the bureaucratic procedures of the organization.

Jick, Todd D., "Mixing Qualitative and Quantitative Methods: Triangulation in Action," Administrative Science Quarterly, December 1979, 24:602-611.

A report of a single case study, in which different types of quantitative and qualitative data were collected: survey data, semi-structured interviews, unobtrusive and nonparticipant observation, and archival material. The author shows how this evidence was integrated around converging lines of argument. The article thus serves as a good example of the use of valid data collection techniques within a case study.

Russett, Bruce M., "International Behavior Research: Case Studies and Cumulation," in Michael Haas and Henry S. Kariel (eds.), Approaches to the Study of Political Science (Scranton, Pa.: Chandler, 1970), pp. 425-443.

Reviews use of case studies on various topics in international politics: e.g., political integration, deterrence and escalation. Describes sequential and complementary relationship between case study method and correlational method.

Sieber, Sam D., "The Integration of Fieldwork and Survey Methods," American Journal of Sociology, May 1973, 78:1335-1359.

Gives several ways in which survey and fieldwork (direct field observations) can be used in a complementary manner. The mixture of data collection methods is not linked, however, to the use of specific research strategies, such as case studies. Rather, the emphasis is on the strengthening of data collection techniques, whatever the strategy being used.

Truzzi, Marcello, "Sherlock Holmes: Applied Social Psychologist," in William B. Sanders (ed.), The Sociologist as Detective (New York: Praeger, 1976, 2d edition only), pp. 50-86.

Describes the craft of the detective, indicating how a case study investigator must also pursue a given case.

Vidich, Arthur J., and Gilbert Shapiro, "A Comparison of Participant Observation and Survey Data," American Sociological Review, February 1955, 20:28-33.

Compares the strengths and weaknesses of field research and survey research. The article shows how both provide complementary strengths and thus how both can be used as part of the same research effort within a case study context.

## E. TOPICS ONLY INDIRECTLY RELATED TO CASE STUDIES

### 1. THE DEBATE BETWEEN QUANTITATIVE AND QUALITATIVE EVIDENCE

Lazarsfeld, Paul A., and Allen Barton, "Qualitative Measurement in the Social Sciences," in David Lerner and Harold D. Lasswell (eds.), The Policy Sciences (Palo Alto: Stanford University Press, 1951), pp. 155-189.

Discusses the classical tradeoffs between quantitative and qualitative data. The tradeoffs are not directly relevant, however, to the use of case studies.

Merton, Robert K., James S. Coleman, and Peter H. Rossi, Qualitative and Quantitative Social Research (New York: The Free Press, 1979).

A collection of 23 essays, in honor of Paul F. Lazarsfeld, covering a variety of methodological and substantive topics. No explicit discussion of the case study method, although it was used by Lazarsfeld to study certain topics--e.g., the utilization of social research.

Reichardt, Charles, and Thomas D. Cook, "Beyond Qualitative versus Quantitative Methods," in Thomas D. Cook and Charles D. Reichardt (eds.), Qualitative and Quantitative Methods in Evaluation Research (Beverly Hills, Calif.: Sage, 1979), pp. 7-32.

Describes the various strengths and weaknesses of quantitative and qualitative research. The two approaches are interpreted to be complementary, and the authors recommend that the approaches be used together. However, the quantitative-qualitative debate is not directly related to the use of case studies.

Schlesinger, Arthur, Jr., "The Humanist Looks at Empirical Social Research," American Sociological Review, 1962, 27:768-771.

Compares quantitative versus qualitative research. The author claims that, though the methodological strengths and weaknesses appear to be complementary, the crux of the difference is that not everything that is socially important is necessarily quantifiable.

## 2. INVENTORIES COVERING "FIELD RESEARCH" METHODS

Bouchard, Thomas J., Jr., "Field Research Methods," in Marvin D. Dunnette (ed.), Handbook of Industrial and Organizational Psychology (Chicago: Rand McNally, 1976), pp. 363-413.

Denzin, Norman K., (ed.), Sociological Methods: A Sourcebook (Chicago: Aldine Publishing Co., 1970).

Most of the articles in this volume are on field research and participant-observation; none are on case studies or case study design.

Fiedler, Judith, Field Research (San Francisco: Jossey-Bass, 1978).

Guba, Egon, "Methods of Collecting and Analyzing Naturalistic Data," unpublished paper, Indiana University, Bloomington, March 1979.

Lofland, John, Analyzing Social Settings: A Guide to Qualitative Observation and Analysis (Belmont, Calif.: Wadsworth, 1971).

McCall, George J., and J.L. Simmons (eds.), Issues in Participant Observation (Reading, Mass: Addison-Wesley, 1969).

Schatzman, Leonard, and Anselm L. Strauss, Field Research: Strategies for a Natural Sociology (Englewood Cliffs: Prentice-Hall, 1973).

Webb, Eugene, and Karl E. Weick, "Unobtrusive Measures in Organizational Theory: A Reminder," Administrative Science Quarterly, December 1979, 24:650-659.

Webb, Eugene J., et al., Unobtrusive Measures (Chicago: Rand McNally, 1966).

Weick, Karl E., "Systematic Observational Methods," Handbook of Social Psychology, 3d edition (to be published).

A fully updated and completely revised version of a chapter that appeared in the second edition.

### 3. APPLICATIONS OF QUALITATIVE EVIDENCE IN VARIOUS DISCIPLINES

Fienberg, Stephen E., "Next Steps in Qualitative Data Collection," Anthropology and Education Quarterly, 1977, 8:50-57.

Reviews the use of ethnographic techniques in educational research. The article argues that such techniques can be most effectively improved if they are incorporated into study experiments. The discussion does not bear directly on the use of case studies, however.

Piore, Michael J., "Qualitative Research Techniques in Economics," Administrative Science Quarterly, December 1979, 24:560-569.

Describes the value of open-ended interviewing and participant-observation in doing economic research. The use of such techniques, however, does not imply a case study design.

Sanday, Peggy Reeves, "The Ethnographic Paradigm(s)," Administrative Science Quarterly, December 1979, 24:527-538.

Describes the logic of inquiry underlying ethnographic research. Such research may be descriptive or explanatory. Ethnographies, however, need not be designed as case studies. Rather, ethnographies involve a distinctive style of data collection--participant-observation--and deal with the relationship between theory development and what has been observed.

Van Maanen, John, "The Fact of Fiction in Organizational Ethnography," Administrative Science Quarterly, December 1979, 24:539-550.

Discusses some of the pitfalls in doing ethnographic research. This type of research is portrayed as involving "a long period of intimate study," with a wide range of observational, participatory, and verbal modes of data collection. The emphasis on nonverbal evidence is based on a central assumption of ethnography--that "people lie about the things that matter most to them."

Whiting, John W. M., "Methods and Problems in Cross-Cultural Research," in Gardner Lindzey and Elliot Aronson (eds.), Handbook of Social Psychology (Reading, Mass.: Addison-Wesley, 1968), pp. 693-728.

Discusses the analytic strategies for preparing large groups of cross-cultural studies for analysis. Such studies emanate from ethnographic research and many have been developed on a case-by-case basis. The purpose of cross-cultural research is to codify these cases, to create a uniform data base (as in the Human Relations Area Files, Yale University), and to develop cross-case generalizations.

## F. COVERAGE BY TRADITIONAL SOCIAL SCIENCE TEXTBOOKS

### 1. COMPREHENSIVE TEXTBOOKS

Carlsmith, J. Merrill, et al., Methods of Research in Social Psychology (Reading, Mass.: Addison-Wesley, 1976).

Cicourel, Aaron V., Method and Measurement in Sociology (New York: The Free Press, 1964).

Covers content analysis of documents and historical materials. However, design section only covers experimental approaches and variable analysis.

De Groot, Adrian D., Methodology: Foundations of Preference and Research in the Behavioral Sciences (The Hague: Mouton and Co., 1969).

Incorrectly depicts case studies as exploratory and descriptive devices only.

Leege, David, and Wayne Francis, Political Research: Design, Measurement, and Analysis (New York: Basic Books, 1974).

Has nothing about designing and doing case studies, other than the Campbell and Stanley characterization as a pre-experimental design, which permits no comparisons.

Lindzey, Gardner, and Elliot Aronson (eds.), The Handbook of Social Psychology (Reading, Mass.: Addison-Wesley, 1968, 2d edition).

Vol. II, Research Methods, has nothing about case studies in psychology. The chapters only comment on doing field-work.

Miller, Delbert C., Handbook of Research Design and Social Measurement (New York: David McKay, 1970, 2d edition).

Mentions case study as a data collection strategy, emphasizing intensity and in-depth nature of data. Does not describe how to do case study.

Nachmias, David, and Chava Nachmias, Research Methods in the Social Sciences (New York: St. Martin's Press, 1976).

Follows classic definition of "one-shot case study" as providing no checks or internal validity and being poor basis for generalizing because analysis is of "single, unsampled systems." Suggests that case studies are possibly useful in exploratory research, for generating hypotheses.

Philliber, Susan Gustavus, Mary R. Schwab, and G. Samsloss, Social Research: Guides to a Decision-Making Process (Itasca, Ill.: Peacock, 1980).

Considers three main types of study designs: case studies, surveys, and experiments. Notes that case studies are a separate (and the oldest) method, but states their stereotypic short coming: lack of generalizability and causal weaknesses. This incorrect logic is restated in survey section, in which survey is considered a design investigating "many cases at once."

Selltiz, Claire, et al., Research Methods in Social Relations (New York: Holt, Rinehart and Winston, 1976, 3d edition).

Notes that case studies are mainly for generating hypotheses ("insight-stimulating"). The textbook says little else about case studies.

## 2. TRADITIONAL TEXTBOOKS ON EVALUATION METHODS

Cronbach, Lee J., et al., Toward Reform of Program Evaluation (San Francisco: Jossey-Bass, 1980).

Says little about case studies.



Isaac, Stephen, and William B. Michael, Handbook in Research and Evaluation (San Diego, Calif.: Robert R. Knapp, 1971).

Correctly describes case studies as in-depth investigations, "resulting in a complete, well-organized picture..." Nevertheless, notes problems of generalizing and subjectivity, and repeats criticism based on assumption that the case study is only a pre-experimental design.

Patton, Michael Quinn, Qualitative Evaluation Methods (Beverly Hills: Sage, 1980), especially pp. 302-306.

Describes a few aspects of case study research. However, one portion, dealing with within-case procedures (pp. 302-306), incorrectly assumes that the writing of a case record must precede the writing of the case study narrative. Another portion (pp. 100-105) does correctly describe the logic underlying the selection of cross-case samples, based on either extreme or critical cases.

Rossi, Peter H., Howard E. Freeman, and Sonia R. Wright, Evaluation: A Systematic Approach (Beverly Hills: Sage, 1979).

Contains nothing about case studies, even as a complementary part of a larger evaluation study.

Rutman, Leonard (ed.), Evaluation Research Methods: A Basic Guide, (Beverly Hills: Sage, 1977).

Contains nine articles, but none mention case studies.

Suchman, Edward A., Evaluative Research: Principles and Practice in Public Service and Social Action Programs (New York: Russell Sage Foundation, 1967).

Has few comments about case studies.

### 3. BOOK REVIEWS

Argyris, Chris, "Using Qualitative Data to Test Theories," Administrative Science Quarterly, December 1979, 24:672-679.

A lengthy book review of The Swine Flu Affair, by Richard Neustadt and Harvey V. Fineberg (1978). The review suggests that this single case study, based on interviews and documents analysis, can be used to establish causal inferences.

Lowi, Theodore J., "American Business, Public Policy, Case-Studies, and Political Theory," World Politics, July 1964, 16:677-715.

This is an extensive book review of American Business and Public Policy, by Raymond A. Bauer, Ithiel de Sola Pool, and Lewis A. Dexter (1963). The role of case studies in furthering the development of political science theory is discussed in passing.

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## PUBLICATIONS

The following related publications are available from COSMOS Corporation.

Yin, Robert K., Peter G. Bateman, and Gwendolyn B. Moore, Case Studies and Organizational Innovation: Strengthening the Connection, COSMOS Corporation, September 1983, \$15.00.

Moore, Gwendolyn B., and Robert K. Yin, Innovations in Earthquake and Natural Hazards Research: Unreinforced Masonry Buildings, COSMOS Corporation, July 1983, \$10.00.

Moore, Gwendolyn B., and Robert K. Yin, Innovations in Earthquake and Natural Hazards Research: Local Government Liability, COSMOS Corporation, April 1983, \$10.00.

Moore, Gwendolyn B., and Mark Eads, Small-Business Innovation: An Annotated Bibliography, COSMOS Corporation, March 1983, (no charge).

Yin, Robert K., "The Case Study as a Serious Research Strategy," Knowledge: Creation, Diffusion, Utilization, September 1981, 3:97-114. (no charge).

Yin, Robert K., "The Case Study Crisis: Some Answers," Administrative Science Quarterly, March 1981, 26:58-65, (no charge).

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