Access to Justice Defined
Access to justice: The ability of people to seek and obtain a remedy through formal or informal justice institutions in compliance with human rights standards.
Access to Justice

Requires that people, especially marginalized groups, do not fear the justice system, and therefore avoid it.

Requires that the cost of accessing the justice system does not prevent poor people from using the system or retaining counsel.
Access to Justice

Requires that individuals have basic knowledge of their rights, and a strong justice system to protect those rights.
Requires the standardized and predictable protection of legal rights, the prompt enforcement of judicial decisions, and civil society oversight of the judicial system.
Fundamental Components Required

- Established Legal Principles
- Legal and Rights Knowledge
- Legal Counsel and Representation
- Access to Justice Institutions
- Fair and Transparent Procedures
- Enforceable Judgments
International Context
Basic Concept:

Existence of a legal structure that establishes rights and duties, guarantees access to justice, and provides an environment and systems through which the public may seek resolution of disputes.
Component Parts:

Constitutional guarantee of an independent judiciary.

Transparent processes for selection of qualified judges.

Laws provide means for resolving disputes and guarantee both representation and access to justice institutions.

Civil society participates in the legislative process and oversight.
Legal Frameworks - Constitutional Guarantees

Standards / Best practices

International Principles –

- Restrictions on political interference with the decision making process
- Random assignment of cases to judges
- Unbiased administration of courts
- Independent budget

Research / Baseline Data

Adherence to international conventions and principles

Constitutional review

Court monitoring programs to evaluate executive/legislative influence on courts
Regional and international models

- Singapore – guarantees independence of the judiciary, permits reviews of executive action, and constitutionality of legislation.

- India – Separates court officers from the civil service in order to ensure independence.

Legal Frameworks - Judicial Selection

Standards / Best practices

International Principles

- Clearly defined process for selecting judges
- Individuals selected must meet objective criteria, including: integrity, ability, and reputation
- Judicial selection bodies should include independent legal professionals

Regional and International Models

Thailand – Judicial exam followed by evaluation by panel with judges, CSO representatives, law school faculty, and political party representatives.

Philippines – Selection made by the president on the basis of recommendations submitted by judiciary and bar council.

United States – Separate judicial personnel system ensures merit-based promotion.
Legal Frameworks - Legal Guarantees

Standards / Best practices

Laws identify rights and provide means for resolving disputes:

- Criminal and Civil Procedure Codes
- Administrative Procedure Code
- Laws governing family and marriage
- Land and land use laws
- Labor/Employment laws
- Domestic violence law
- Laws governing contracts and commercial disputes

Research / Baseline Data

Review of specific laws to ensure the laws protect rights and support access to dispute resolution aided by counsel
Legal Frameworks - Civil Society Participation

Standards / Best practices
- Laws drafted with civil society participation
- Public allowed to comment on draft laws
- Legislative impact analyses performed and made public

Research / Baseline Data
- Independent impact analyses of existing or pending legislation
- Financial impact analyses of existing or pending legislation
- Public perception surveys of legislation
Legal and Rights Knowledge

Refers to:

- Awareness of rights and duties under the law

- Awareness of mechanisms and procedures to resolve justice problems
Elements

Individuals should have an understanding of whether they have been wronged or denied something to which they are entitled.

Individuals should understand that there are institutions, organizations and individuals who can help if they have been wronged or denied a right.
Component parts

Institutions within the formal and non-state justice sector are required to educate and inform those entitled to their services.

Civil Society supplements the efforts of institutions to educate individuals as to their rights and the institutions available to resolve legal problems.
Legal and Rights Knowledge:

Education by Institutions

Best Practices:

Singapore

- Legal Aid Bureau created Public Affairs Section to increase public awareness of courts and rights
  - Community outreach and education conducted
  - Educational publications, videos and games developed
- Judges speak publicly about emerging issues
- Court websites improved to provide more information to public
Legal and Rights Knowledge:

Education by Institutions

Best Practices:

United States

• National level
  • Educational tools provided on internet for adults and students
  • Judges speak at conferences to adults and students

• California
  • Online self-help centers created to help parties who go to court without an attorney

• Florida:
  • Judges and lawyers teach about courts and rights through case studies, games and other interactive methods

• Wisconsin:
  • Supreme Court travels to remote areas so adults and students can watch proceedings.
Legal and Rights Knowledge: Education by Institutions

Research / Baseline Data

Mapping of information provided by courts, institutions and officials:

- Type of information provided
- Method by which provided
- Local languages?
- Simple language?
Legal and Rights Knowledge:

Education by CSOs

Best practices

- Philippines
  - “People Power” revolution gave rise to “alternative law groups” that provide training and support to community paralegals, who then train their communities

- South Africa
  - Paralegals provide training and assistance for communities in areas such as land, gender-based violence, employment, and rights of those with AIDS
Legal and Rights Knowledge:

Education by CSOs

Research / Baseline Data

- Same mapping as for government institutions
- Also mapping of:
  - Geographic areas where education provided
  - Topics on which education provided
  - Number of individuals reached
  - Coordination between CSOs
  - Effectiveness of different methods of education
Legal and Rights Knowledge:

Current legal knowledge

Research / Baseline Data

Mapping of users’:

- Understanding of rights and duties
- Understanding of judicial and non-state institutions for dispute resolution
- Understanding of procedures for resolving legal problems
- Ability to access information
- Ability to understand information provided
- Understanding of roles of judicial personnel
- Awareness of legal aid
Counsel and Representation

Individuals are able to access the legal advice and representation necessary to resolve their legal problems and to claim the rights to which they are entitled.
Counsel and representation is:

- Available
- Affordable
- High quality
Component parts

- Government funding for legal aid
- Widespread availability of lawyers, paralegals, and other counsel, even in remote areas
- Quality representation provided by lawyers, paralegals, and other counsel
Counsel and Representation:

Government funding for legal aid

Best Practices: Philippines

- Public Attorney’s Office
  - Offers attorney for all criminal cases
  - Provides advice and representation in varied civil cases
    - Includes employment + cases against government
- Advice
  - Walk-in clinics
  - Telephone/SMS advice
  - Radio call-in shows
- Outreach
  - Prison visits
  - Publications
- Provides alternative dispute resolution services
Counsel and Representation:

Best Practices: South Africa

- Constitution requires legal aid at state expense for:
  - every detained person
  - in criminal cases where injustice would result
  - in cases where children’s rights affected

- Legal Aid South Africa
  - Publicly funded but independent
  - 64 Justice Centers near courts + 64 satellite offices in remote areas
  - Provides advice and representation for criminal cases and most civil cases
  - Provides information regarding legal rights and obligations
Counsel and Representation:

Government funding for legal aid

Component parts

- Government funding for legal aid

Research / Baseline data

- Analysis of counsel costs by case type
- Analysis of amount government spends per case, number of requests for services, percent of requests granted
- Survey of potential users as to availability of free or reduced cost services
Counsel and Representation: Widespread availability of lawyers, paralegals, and other counsel

Best practices

- **Philippines:**
  - Government-provided legal aid provides wide-ranging services throughout country
  - NGOs and law schools supplement government’s efforts

- **Sierre Leone:**
  - Paralegals used to resolve cases through mediation, negotiation and non-state justice system
**Counsel and Representation:**

Widespread availability of lawyers, paralegals, and other counsel

**Component parts**

- Widespread availability of lawyers, paralegals, and other counsel
  - In remote areas
  - In marginalized populations
  - For accused

**Research / Baseline data**

- Survey of lawyers/paralegals by geographic area, population, ethnicity, gender, and type of services provided
- Survey of users as to availability of services
Best practices

- **Indonesia**
  - Legal aid organization trained victims of human rights abuses to work as community paralegals

- **South Africa**
  - Paralegals professionalized through national offices focused on the development of paralegal skills, development of degree programs, and support from legal aid attorneys
<table>
<thead>
<tr>
<th>Component part</th>
<th>Research / Baseline data</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Quality representation provided by lawyers, paralegals, and other counsel</td>
<td>• Difficult to assess</td>
</tr>
<tr>
<td></td>
<td>• Survey of users?</td>
</tr>
<tr>
<td></td>
<td>• Survey of judges?</td>
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</tbody>
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Counsel and Representation:

Quality representation provided by lawyers, paralegals, and other counsel
Access to Justice Institutions

Basic Concept:
Justice institutions are accessible to all
Component Parts:

Justice institutions are affordable, and access is provided to those who cannot afford it.

Justice institutions are geographically and physically accessible.

Proceedings and materials are easily understood by those without legal backgrounds.

Proceedings and materials are provided in local languages.
Standards / Best practices

- Court fees are reasonable based on costs to the court system and national income.
- Procedures to waive court fees where individual’s inability to pay court fees can be established.
- Fees are standardized across courts and published.

Research / Baseline Data

- Analysis of court costs in relation to income data
- Analysis of procedures and standards for waiving court fees
- Mapping of court fees and publication of fees
<table>
<thead>
<tr>
<th>Standards / Best practices</th>
<th>Research / Baseline Data</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>International Principles</strong> –</td>
<td><strong>Survey/analysis of court facilities and locations.</strong></td>
</tr>
<tr>
<td>➢ Physical access to court is easy and comfortable, and a central information point guides court users.</td>
<td><strong>Analysis of accessibility of justice sector institutions serving areas under ethnic armed group control.</strong></td>
</tr>
<tr>
<td>➢ Safety is guaranteed, but safety measures do not prevent easy access.</td>
<td><strong>Analysis of justice needs of populations not served by a justice sector institution.</strong></td>
</tr>
<tr>
<td>➢ Justice institutions reach individuals in remote areas where there are no facilities.</td>
<td></td>
</tr>
<tr>
<td>Standards / Best practices</td>
<td>Research / Baseline Data</td>
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<tr>
<td>-------------------------------------------------</td>
<td>-----------------------------------------------------------</td>
</tr>
<tr>
<td>- Materials and proceedings use language that can be easily understood.</td>
<td>Survey/analysis of court materials in local languages</td>
</tr>
<tr>
<td>- Proceedings are conducted in the local language or with interpretation.</td>
<td>Court monitoring/surveys to assess understanding of parties</td>
</tr>
<tr>
<td>- Court materials are in the national language and any relevant local language.</td>
<td></td>
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<tr>
<td>- Judges and staff conduct court-user orientation.</td>
<td></td>
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</tbody>
</table>
Basic Concept:

Individuals and organizations are guaranteed the opportunity to put forth claims and defenses in forums that are efficient, accountable, and transparent.
Component Parts:

Cases are decided in a timely manner, without extended detention or other hardship to litigants.

Judges, court staff, and other justice sector employees are held accountable for their actions.

Justice institutions operate transparently, and decisions are made free from outside influence.

Complaint mechanisms are provided, and complaints are fairly and efficiently considered.
Standards / Best practices

International Principles –

- States establish a limit for pre-trial detention; maximum incarceration is appropriate for alleged crime.
- Singapore – Limited causes for adjournments, pre-trial conferences confirm trial dates and party obligations.
- Malaysia – Fast track system to dispose of case backlogs.
- US – Adoption of standards that provide timelines by case type.
- Myanmar – National strategy to improve and standardize case processing, including limited adjournments and pre-trial conference scheduling.

Research / Baseline Data

- Case docket review and analysis
- Legal aid case review and analysis
- Assessment of prison populations awaiting trial
- Surveys of lawyers and litigants to determine system delays
- Review of civil and criminal procedure codes
Standards / Best practices

- Performance standards, including legal knowledge, integrity, professionalism, and efficiency.
- Merit-based professional development and promotion systems.
- Judicial evaluation commissions include representatives from the independent legal profession and/or civil society.
- India – Judicial standards and accountability law established standards of conduct for judges, and requires disclosure of family's assets and liabilities.

Research / Baseline Data

- Court monitoring activities to assess judicial performance
- Evaluation of codes of conduct and enforcement mechanisms
- Review of corruption commission records related to the justice sector
- Anonymous surveys of lawyers to evaluate judicial performance
Standards / Best practices

International Principles –
- Legal guarantee and protection of independent judiciary
- Transparent judicial appointment systems
- Financial declaration requirements
- Codes and rules that prohibit inappropriate communications with judges and staff
- Automated case tracking systems that ensure accurate court records and processes

Research / Baseline Data

Court monitoring activities to evaluate credibility in decision-making
- Analysis of unenforced decisions/reductions in sentence
- Anonymous surveys of lawyers to evaluate judicial transparency
Standards / Best practices

- Human rights commission or ombudsman
- Judicial complaint mechanisms where reviewing body includes outside members
- Guaranteed anonymity/protection for complainants
- Hearing procedures include right to present a defense

Research / Baseline Data

- Review of current complaint mechanisms
- Public perception surveys on complaint system awareness
- Review of judicial discipline decisions
- Comparative analysis of SE Asia ombudsman functions
Decisions of courts and other decision makers must be fairly and efficiently enforced.
Enforceability of Judgments and Remedies

Component parts

- Processes to enforce decisions are affordable, effective, and timely
- Enforcement of decisions is free from outside influence, and complaint mechanisms are provided
- State and non-state justice institutions cooperate to enforce decisions
Thank you for your attention
Basic Research Skills

Session (1.1)
Introduction to Research, Research Ethics and Principles of Data Protection
What is Research?

✦ “Research” is defined as an undertaking intended to extend knowledge through a disciplined inquiry or systematic investigation.

✦ A determination that research is the intended purpose of the undertaking, is key for differentiating activities that require ethics review by an ethics review and those that do not.

✦ Systematic methodological scientific approach for basic facts around a certain problem in order to find solutions based on these facts.
Key components of Research

- process of systematic inquiry
- inquisitive: seeking to answer the research question
- careful, methodical
- original

- Research has a central concern for theory: testing existing theory (deductive research) or developing new theory (inductive research)
Inductive Reasoning Vs Deductive Reasoning

- Every rabbit that has been observed has lungs. Therefore, every rabbit has lungs. (Inductive)
- Every mammal has lungs. All rabbits are mammals. Therefore, every rabbit has lungs. (Deductive)
Deduction and Induction

Deduction

- Theory
- Hypothesis
- Observation
- Confirmation

Induction

- Observation
- Pattern
- Tentative Hypothesis
- Theory
What Makes a Good Research?

Good science
- Problem selection
- SMART objectives
- Proper methodology
- Proper analysis

Good Ethics
- Fair subject selection
- Favorable Risk-Benefit Ratio
- Independent Review
- Informed Consent
Criteria of “Good” Science Research

- **Systematic:** The research developed, implemented and reported in a systematic manner.

- **Methodolic:** Adopt & use skillfully the research methods, materials, approaches in order to ensure reliability of the results & findings.

- **Scientific:** The research should be scientifically sound through utilizing scientific approaches, tools and techniques.
Criteria for Good Ethics:  
What Makes Research Ethical?

1. **Social or Scientific Value:**
   - Improve health and wellbeing
   - Increase the knowledge

2. **Scientific Validity**
   - Acceptable methods including analysis techniques to produce valid data (*Test the objectives*)
Criteria for Good Ethics: Cont.

What Makes Research Ethical?

3. Fair Subject Selection:
   - Stigmatized and vulnerable are not targeted
   - Rich not favored for the benefit of research
   - Clear inclusion and exclusion criteria according to the objectives.
   - Clear Strategies for recruitment

4. Favorable Risk-Benefit Ratio
5. Independent Review:
   - Review of the Design, the proposed subject selection and risk-benefit ratio.

6. Informed Consent

7. Respect for the potential and enrolled subjects:
   - Privacy and confidentiality
   - Informing about the new discovered risks or benefits
   - Informing about the results
   - Maintaining the welfare of the subjects.
What’s Research Ethics?

- It is the field of ethics that systematically analyze the ethical and legal questions raised by research involving human subjects.

- Its main focus is to ensure that the study participants are protected and, ultimately,

- that clinical research is conducted in a way that serves the needs of such participants and of society as a whole.

It works when and only when it is applied before the research is conducted
Ethical Principles of Research

- Competence
- Non-maleficence
- Justice
- Dignity
- Beneficence
- Autonomy
- Privacy
- Confidentiality
- Integrity
- Honesty
- Responsibility

Researchers

Participants
Historical Background

Born in Scandal... The Evolution of Research Ethics
Eighteenth and Nineteenth Century

- James Lind “scurvy study in sailors - Salisbury
- Edward Jenner cowpox vaccine test
- 1897 Giuseppe Sanarelli yellow fever test

1900 Walter Reed established several [first ever] "safeguards"
- Self-experimentation
- Only adults would be enrolled in research
- Written informed consent
- Reimbursement (inducement)
History of Research Ethics

Pre-World War II
- Research standards left up to the discretion of the individual researcher

World War II
- Experiments conducted on inmates of Nazi concentration camps
- 1945-1949 - Trials in Nuremberg, Germany—physicians convicted of crimes against humanity
Nazi Doctors’ Experimentation
International Research Guidelines

Nuremberg Code (1947)

- As a result of WWII Nazi experiments
- First international code in research ethics

- **Voluntary consent** absolutely essential
  (restricting research with infants, children, developmentally challenged, etc.)

- **Risk/Benefit Analysis** essential to ethics review

- **Scientific Soundness** is important to ethics review
The Nuremberg Code (1947)

The first provision of the code requires that “the voluntary informed consent of the human subject is absolutely essential.” The code provides other details implied by such a requirement:

- Capacity to consent
- Freedom from coercion
- Comprehension of the risks and benefits involved
- Experiment to be conducted by highest qualified persons

Researcher’s bias

- researcher is highly biased
- deep-seated values
- prejudices – for and against
- ‘Know thyself’ is the maxim uniquely imperative to on the investigator of social institutions (Beatrice Webb)
- minimising bias requires reflexivity: intellectual self-awareness
Data Protection

eight ‘data protection principles’:
all data must be:

(1) collected lawfully
(2) obtained for a lawful purpose
(3) adequate, relevant, not excessive
(4) accurate, up-to-date
(5) not kept longer than necessary
(6) processed in accordance with subject’s rights
(7) kept safe from unauthorised access
(8) not transferred outside EEA unless safeguards equal
Privacy

The right to be left alone and to keep personal information inaccessible to others (the condition of limited access to a person)
Privacy

- Relates primarily to Process of clinical examination and collecting data
  - Often Challenging in Natural Environment
  - Can inconvenience research participants
  - Can encounter participants in public
  - Procedures and processes can compromise privacy
  - Some institutions and cultures not accustomed to privacy, or do not value it
Infringements of privacy

- Infringements is justified under certain circumstances; if:
  1. Necessary for research conduct
  2. Doesn’t create harm to participants
  3. There is societal benefit
Confidentiality

- The duty to respect the research participant’s confidence that the researcher/doctor will not disclose the information he/she received as part of research of health care.

- How someone will deal with the information that was disclosed to him in confidence

- Failure to keep private information is an infringement of confidentiality
  - Deliberate
  - Accidental
Measures to respect confidentiality

- Avoid identifiable data
- Encode the collected data
- Limit access to data
- Keep in password-protected PC
- Destroy the original copies after analysis, or publication
- Training of research team on confidentiality
- Release information without identification

To each of the previous conditions, there are ethically-acceptable exceptions
Basic Research Skills

Session (1.2)
Research Methods
Research Classifications

1. Application of research study
   (a) pure research and
   (b) applied research

2. Objectives in undertaking the research
   (a) descriptive
   (b) correlational
   (c) explanatory

3. Inquiry mode employed
   (a) Structured approach
   (b) Unstructured approach
(1) (a) Applications- Pure Research

- Involves developing and testing theories and hypotheses that are intellectually challenging to the researcher but may or may not have practical application at the present time or in the future.

- The knowledge produced through pure research is sought in order to add to the existing body of research methods.
1. (b) Applications-Applied Research

- Applied Research is done to solve specific, practical questions; for policy formulation, administration and understanding of a phenomenon.

- It can be exploratory, but is usually descriptive. It is almost always done on the basis of basic research.
2 (a) Descriptive Research

- Descriptive research attempts to describe systematically a situation, problem, phenomenon, service or programme, or provides information about, say, living conditions of a community, or describes attitudes towards an issue.
- Descriptive research refers to research that provides an accurate portrayal of characteristics of a particular individual, situation, or group.
- Descriptive research, also known as statistical research.
Advantages:
- The people individual studied are unaware so they act naturally or as they usually do in everyday situation;
- It is less expensive and time consuming than quantitative experiments;
- Collects a large amount of notes for detailed studying;
- As it is used to describe and not make any conclusions it is to start the research with it;

Disadvantages
- Descriptive research requires more skills.
- Does not identify cause behind a phenomenon
- Response rate is low in this research.
- Results of this research can change over the period of time.
Correlational research refers to the systematic investigation or statistical study of relationships among two or more variables, without necessarily determining cause and effect.

For example, to test the hypothesis “Listening to music lowers blood pressure levels” there are 2 ways of conducting research:

- Experimental – group samples and make one group listen to music and then compare the Bp levels
- Survey – ask people how they feel? How often they listen? And then compare.
2 (b) Correlation Research (continued)

Advantages:
- Can collect much information from many subjects at one time.
- Can study a wide range of variables and their interrelations.
- Study variables that are not easily produced in the laboratory.

Disadvantages:
- Correlation does not indicate causation (cause and effect).
- Problems with self-report method.
2 (c) Explanatory Research and Exploratory Research

- Explanatory research attempts to clarify why and how there is a relationship between two or more aspects of a situation or phenomenon.
- Exploratory research is undertaken to explore an area where little is known or to investigate the possibilities of undertaking a particular research study (feasibility study / pilot study).
3 (a) Structured approach

- The structured approach to inquiry is usually classified as Quantitative research.
- Here everything that forms the research process- objectives, design, sample, and the questions that you plan to ask of respondents- is predetermined.
- It is more appropriate to determine the extent of a problem, issue or phenomenon by quantifying the variation.
3 (b) Unstructured approach

- The unstructured approach to inquiry is usually classified as qualitative research.
- This approach allows flexibility in all aspects of the research process.
- It is more appropriate to explore the nature of a problem, issue or phenomenon without quantifying it.
- Main objective is to describe the variation in a phenomenon, situation or attitude.
Common Research approaches

1. Ethnography
2. Phenomenology
3. Discourse analysis
4. Grounded Theory
5. Action Research
(1) Ethnography

- Ethnography: is an approach relying on the collection of data in the natural environment.
- Ethnographers are interested in how the behavior of individuals is influenced or mediated by culture in which they live.
- So, human behavior can only be understood if studied in the setting in which it occurs. As people can influence and be influenced by the groups they live in.
- The purpose of ethnographic research is to attempt to understand what is happening naturally in the setting and to interpret the data gathered to see what implications could be formed from the data.
2. Phenomenology

- It focuses on individuals' interpretation of their experience and the ways in which they express them.
- The researchers' task is to describe phenomena as experienced and expressed by individuals.
- Phenomenological research is an inductive, descriptive research approach developed from phenomenological philosophy; its aim is to describe an experience as it is actually lived by the person.
Discourse Analysis

- Discourse is a term used to describe the systems we use in communication with others. These include verbal, non-verbal and written material.
- What we say, how we say it, our choice of words, tone, timing are full of values, meanings and intentions.
- So, analysis of discourse increases our understanding of human behavior through language and interaction.
4. Grounded Theory

- GT is an inductive approach to research whereby hypotheses and theories emerge out or are grounded in data.
- GT research is a research approach designed to discover what problems exist in a given social environment and how the persons involved handle them; it involves formulation, testing, and reformulation of propositions until a theory is developed.
Focusing on Interpretation

- The above 4 approaches are similar in that they place emphasis on interpretation rather than objective empirical observations.

- Ethnography focuses on ..................culture, Phenomenology on ..................consciousness, Discourse analysis on.................language and Ground theory’s aim is the development of theory through induction.
5. Action Research

- Action research is a style of research, rather than a specific methodology. In action research, the researchers work with the people and for the people, rather than undertake research on them.

- The focus of action research is on generating solutions to problems identified by the people who are going to use the results of research.

- Action research is not synonymous with qualitative research. But it typically draws on qualitative methods such as interviews and observations.
Basic Research Skills

Session (1.3)
Collecting Data sets: Case Studies, Experimental, Comparative, Longitudinal and Action Research
Case Studies
Definition

A case study is an empirical enquiry that investigates a contemporary phenomenon in depth and within its real-life context, especially when the boundaries between phenomenon and context are not clearly evident.

(R. Yin, 2009)
Definition- contd-

It is a systematic inquiry into an event or a set of related events which aims to describe and explain the phenomenon of interest.

(Bromley, (1990)

The case is the core/centre stage of inquiry
Paradigms

1) The research question
2) its propositions
3) its units of analysis
4) determination of how the data are linked to the propositions
5) criteria to interpret the findings

(Yin 1994)
Types

1) **Intrinsic case study** - where the researchers do not have to select the case

   eg: - evaluation of the process of implementing an innovation in an institution
2) **Instrumental case study**- the researchers begin with a research question or problem, and seek out a case that offers illumination. The case may not be typical but can maximise what can be learned about the phenomenon (Stake-1995)
types of designs

1) Single case- holistic (extreme or unique case)
2) Single case-embedded
3) Multiple – holistic (literal or theoretical replication)
4) Multiple – embedded
Basic types of Designs

- **Context**
  - Case

- **Embedded Unit of Analysis 1**
- **Embedded Unit of Analysis 2**

- **Single-case Designs**
- **Multiple-case Designs**
Conducting case studies

• The researcher should have
  • good knowledge of the phenomenon
  • good listening skills
  • adaptability and flexibility.
Data collection

- Documentation
- Archival records
- Interviews
- Direct observations
- Participant observation
- Physical artifacts.
Experimental
EXPERIMENTAL RESEARCH

Independent Variable → Dependent Variable

Experimental or Treatment Variable → Criterion or Outcome Variable
Experimental Research

Experimental research is an objective, systematic, controlled investigation for the purpose of predicting and controlling phenomena and examining probability and causality among selected variables.

Advantages:
• Best establishes cause-and-effect relationships

Disadvantages:
• Feasibility
• Ethical Issues
Experimental Research Designs (variables and groups)

The simplest experimental design includes two variables and two groups of participants. The two variables (IV & DV).

- The IV is the predictor variable whereas the DV is the outcome variable.
- Researchers manipulate and control the IV to study its effect on the DV. The two groups (Control versus Experimental group).
Experimental Research Designs
(Pre-experimental design)

Pre-experimental designs are so named because they follow basic experimental steps but fail to include a control group. In other words, a single group is often studied but no comparison between an equivalent non-treatment group is made.
Experimental Research Designs
(Quasi Design)

- Pretest Posttest Nonequivalent Groups
  \[ O_1 \times O_2 \]
  \[ O_1 \times O_2 \]

- Time Series Designs
  \[ O_1 \ O_1 \times O_2 \ O_2 \]

- Nonequivalent Before-After Design
  \[ O_1 \ O_1 \times O_2 \ O_2 \]
  \[ O_1 \ O_1 \times O_2 \ O_2 \]

Key:
- X = Treatment
- O_1 = Pretest
- O_2 = Posttest
- R = Randomization
Experimental Research Designs
(True Experimental Design)

Posttest Equivalent Groups

\[
\begin{array}{ccc}
R & X & O_2 \\
R & X & O_2 \\
\end{array}
\]

Pretest Posttest Equivalent Groups

\[
\begin{array}{ccc}
R & O_1 & X & O_2 \\
R & O_1 & X & O_2 \\
\end{array}
\]

Key:
\[
X = \text{Treatment} \\
O_1 = \text{Pretest} \\
O_2 = \text{Posttest} \\
R = \text{Randomization}
\]
Comparative
What is Causal-Comparative Research?

- In this type of research investigators attempt to determine the cause or consequences of differences that already exist between or among groups of individual.

- Also known as “ex post facto” research
TYPES of Causal-Comparative Research

There are three types of causal comparative research:

- Exploration of effects
- Exploration of causes
- Exploration of consequences
CHARACTERISTICS

- Attempts to identify cause and effect relationships.

- Involve two or more group variables.

- Involve making comparison.

- Individuals are not randomly selected and assigned to two or more groups.

- Cannot manipulate the independent variables.

- Less costly and time consuming.
EXAMPLES

- How does pre-school attendance affect social maturity at the end of the first grade?

- How does having a working mother affect a child’s school absenteeism?
Steps for Conducting a Causal-Comparative Study

(1) Select a topic
(2) Review Literature
(3) Develop research hypothesis
(4) Select Participants
(5) Select instruments to measure variables and collecting data
(6) Analyze and Interpret results
Logitudinal
Longitudinal Design

- A research design in which data are collected at least two different times, such as a panel, trends, or cohort study
- Used to track changes over time, rather than relying on a cross-sectional design asking retrospective questions
- Allows for more analysis, by treating each data set as if it were cross-sectional and it is possible to do over-time analyses
Panel Study

- A study design in which data are collected about one sample at least two times where the independent variable is not controlled by the researcher.
- Requires following one sample over time
- Panel attrition
  - The loss of subjects from a study because of disinterest, death, illness, or inability to locate them
- Panel Conditioning
  - The effect of repeatedly measuring variables on members of a panel study
  - Participants tend to become more conscious of their attitudes, emotions, and behavior with repeated data collections
Trend Study

• Trend study
  • A study design in which data are collected at least two times with a new sample selected from a population each time.
  • Useful when researchers are interested in identifying changes over time in a large population
  • Avoids the time and expense of relocating the same individuals to track changes
Cohort Study

- A longitudinal study which follows a cohort over time

- A group of people born within a given time frame or experiencing a life event, such as marriage or graduation from high school, in the same time period.
- Birth cohorts are the most frequently selected cohort
- People can exit a cohort (by dying) but no one can enter after it is created
- Either panel or trend study design may be used with a cohort study
Action Research
Kurt Lewin described it as a process of Planning, Action, and Searching.
Definition

“Inquiry or research in the context of focused efforts to improve the quality of an organization and its performance.”
It is a cyclical process ...
You start out with a problem.
You design a potential solution.
You take action on your solution.
You reflect on the results.
You capture the learning.
Then, you repeat the process.
Again and again …
Another essential element of Action Research is . . .
• “A cycle of action and reflection is the heart of action learning.”
Reflection is . . .

- A process of entering into “dialogue based on the data collected and [being] guided by a systemic framework to discover the root causes of the organization's problems.”

• What did we intend to do?
What actually happened?
• Why did this happen?
What are we going to do the next time?
Basic Research Skills

Session (1.4)
Literature Review
What is a literature review?

- An account of what has been published on a topic by researchers, scholars and practitioners
- A systematic method for identifying, evaluating and interpreting the work produced by researchers, scholars and practitioners
Why review the literature?

Without it you will not acquire:

• an **understanding** of your topic, of what has **already been done** on it
• how it has been **researched**,
• what the **key issues** are.
Contents of Literature Review

- What are the key sources?
- What are the major issues and debates about the topic?
- What are the political standpoints?
- What are the origins and definitions of the topic?

- Literature search and review on your topic

- What are the key theories, concepts and ideas?
- What are the epistemological and ontological grounds for the discipline?
- How is knowledge on the topic structured and organised?
- What are the main questions and problems that have been addressed to date?

- How have approaches to these questions increased our understanding and knowledge?
Major reasons for doing literature review

- For planning Primary research
- As an end in itself
A simple model

1. Selecting the topic
2. Setting the topic in context
3. Looking at information sources
4. Using information sources
5. Getting the information
6. Organizing information (information management)
7. Positioning the literature review
8. Writing the literature review
Types of publications

- Journal articles
- Books
- Conference proceedings; Government reports
- Theses/ dissertation
- Newspapers/ magazines
- The Internet
Define what you want to know

“‘I’m looking for literature and data that focus on the factors influencing students’ participation in in-class group work”

• Use this to choose search words and phrases
Define search words and phrases

• group work
• in-class group work
• students’ participation in group work
• students’ participation in in-class group work
• speculated factors: motivation, culture etc.
Look at information sources

Classification of information sources

- **General sources**: daily newspapers, news weeklies, magazines etc.
- **Secondary sources**: books, reviews of research etc.
- **Primary sources**: journals, abstracts, scholarly books etc.
Where?

- Library
- Internet
http://book.google.com/

Google has reached a groundbreaking agreement with authors and publishers.
http://www.eric.ed.gov/
In-text Citation Rules (APA style)

- Use the Past Tense or Present Perfect when using signal phrases to describe earlier research.

  E.g. Jones (1998) found …
  Jones (1998) has found …
In-text Citation Rules

Follow the author-date method:

• in the text:
  
  E.g. (Jones, 1998)

• at the end of the paper: a complete reference should appear in the reference list
In-text Citation Rules

➢ Use a direct quotation:
  • Include the Author, Year, and Page Number as part of the citation.
  • A quotation < 40 words: quotation marks and incorporated into
    the formal structure of the sentence.

  E.g. Patients receiving prayers had “less congestive heart failure, required less
  diuretic and antibiotic therapy, had fewer episodes of pneumonia, had
  fewer cardiac arrests, and were less frequently incubated and ventilated”
  (Byrd, 1988, p. 829).
In-text Citation Rules

- A lengthier quotation of 40 or more words should appear (without quotation marks) apart from the surrounding text, in “block” format.
- Use (...) to indicate where you have omitted the author’s irrelevant words.

E.g. Referring to communicative competence, Savignon (1997) says:

communicative competence is the expression, interpretation, and negotiation of meaning; and communicative competence is always context specific, requiring the simultaneous, integrated use of grammatical competence, discourse competence, sociolinguistic competence, and strategic competence” (p.225)
Plagiarism

➢ **Plagiarism:**
  • uses someone’s words, ideas or information without referencing them, i.e. presenting them as your own.
  • is a very serious academic offence and leads to severe penalties.
Plagiarism

➢ To avoid plagiarism, make sure you:
  • Use quotation marks for the extracts you copy directly from a source and acknowledge the source.
  • Use proper paraphrasing and acknowledge the source.
  • Keep careful notes of your source when you read. Keep the bibliographical information that you will need to write a full reference for the source.
Common mistakes

- Lack some of the required information
- Some sources are cited in text but are not listed in the references
Reference List Rules

- Appear at the end of the paper.
- Reference list entries should be alphabetized by the last name of the first author of each work.
- Chronological by same author

Electronic source


Structure of the LR

- What do you need to do?
- Where do the key points for the literature review come from?
- How to structure the LR?
- What are the characteristics of a good LR?
What do you need to do?

Grouping texts according to the similarities of their ideas or arguments

Grouping studies that focus on similar phenomena or share similar methodologies
What do you need to do?

- Commenting on the main ideas that feature in each group of texts or studies.
- Comparing and contrasting the different studies, methodologies, ... and identifying for the reader those which have the greatest bearing on your own research.
- Indicating which articles, methodologies, ... will form the basis of your investigations.
Where do the key points for the literature review come from?

**Research Objectives**

1. **Identify** the forces driving e-Learning and the barriers to the successful delivery of e-Learning;

2. **Evaluate critically** models and frameworks relevant to supporting academic staff in coping with e-Learning programmes;

**Chapter 2 Literature Review**

2. Literature Review
   2.1 Introduction
   2.2 Forces Driving e-Learning in Universities
   2.3 Barriers to Delivering e-Learning programmes
   2.4 Models/Frameworks to Support Academic Staff
   2.5 Summary and Emerging Issues
How to structure the LR?

- Chronological
  - By publication
  - By trend
- Thematic
- Methodological
What are the characteristics of a good LR?

- It lays out what research has been done by others relevant to your research aim/objectives.
- It presents the work of others in a clear, interesting and progressive manner (to build up a coherent/logical picture).
- It provides evidence of in-depth critical evaluation (i.e. to show that YOU can give an opinion and support it with argument/evidence).
What are the characteristics of a good LR?

- It highlights *emerging issues*
- It *cites a variety of relevant sources properly* (to show that you are well read and scholarly in your approach).
A note on language

• Active vs. Passive
  ▪ Peters (1992) discovered that . . . (active)
  ▪ It was discovered by Peters (1992) that . . . (passive)

→ Depend on your purpose
A note on language

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<thead>
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<th>Asserts</th>
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<th>Convinces</th>
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Basic Research Skills

Session (2.1)
Questionnaires and Surveys
Survey research

• Collection of information from a sample of individuals through their responses to questions

• It is an efficient method of data collection for systematically collecting data from a broad spectrum of individuals and educational settings
Questionnaires

- Survey instrument containing the questions in a self administered survey
- Appropriate questionnaire design is essential to ensure that we obtain valid response to our questions
CLOSED ENDED QUESTIONS

• Include all possible answers/ prewritten response categories and respondents are asked to choose between them

• Types of questions used to generate statistics in quantitative research
CLOSE – ENDED QUESTIONS

- As these follow a set of format
- Most responses can be entered easily into computer for ease of analysis

EX. MULTIPLE CHOICE, SCALE QUESTIONS
OPEN – ENDED QUESTIONS

• Allow respondents to answer in their own words
• Leaves a blank section for respondents to write in an answer
• As it is opinions which are sought rather than numbers
<table>
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<tr>
<th>OPEN QUESTIONS</th>
<th>CLOSED QUESTIONS</th>
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<tbody>
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<td><strong>ELICIT RICH QUALITATIVE DATA</strong></td>
<td><strong>ELICIT QUANTITATIVE DATA</strong></td>
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<td><strong>ENCOURAGE THOUGHT AND FREEDOM OF EXPRESSION</strong></td>
<td><strong>CAN ENCOURAGE “MINDLESS’ REPLIES</strong></td>
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<td><strong>MAY DISCOURAGE RESPONSE FROM LESS LITERATE RESPONDENTS</strong></td>
<td><strong>ARE EASY FOR ALL LITERACY LEVELS TO RESPOND TO</strong></td>
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<td><strong>OPEN QUESTIONS</strong></td>
<td><strong>CLOSED QUESTIONS</strong></td>
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<tr>
<td>TAKE LONGER TO ANSWER AND MAY PUT SOME PEOPLE OFF</td>
<td>ARE QUICK TO ANSWER AND MAY IMPROVE YOUR RESPONSE RATE</td>
</tr>
<tr>
<td>ARE MORE DIFFICULT TO ANALYSE –RESPONSES CAN BE MISINTERPRETED</td>
<td>ARE EAST TO ‘CODE’ AND ANALYSE</td>
</tr>
</tbody>
</table>
Box 2: Types of closed (forced choice) format

Choice of categories
For example, “What is your marital status?”
[ ] Single  
[ ] Married  
[ ] Divorced  
[ ] Widowed

Likert style scale
For example, “Statistics is an interesting subject”

Strongly disagree  Disagree  Cannot decide  Agree  Strongly agree

Differential scales
For example, “How would you rate the presentation?”

Extremely interesting  1  2  3  4  5  6  7  8  9  10  Extremely dull

It may also be diagrammatic:

Extremely interesting  

Extremely dull
**Checklists**
For example, “Circle the clinical specialties you are particularly interested in”

General medicine
General surgery
Ophthalmology
Paediatrics

Obstetrics and gynaecology
Orthopaedics
Accident and emergency
General practice

**Ranking**
For example, “Please rank your interests in the following specialties”
(l= most interesting, 8=least interesting)

General medicine
General surgery
Ophthalmology
Paediatrics

Obstetrics and gynaecology
Orthopaedics
Accident and emergency
General practice
RULES FOR CONSTRUCTING QUESTIONNAIRE
MAINTAIN CONSISTENT FOCUS

• The research objective should be the primary basis for making decisions about what to include and exclude

• every question serve a clear purpose related to the study’s objective and each section compliments other sections
Build on existing instruments

- If another researcher has already designed a set of questions to measure a key concept, and evidence from previous surveys indicates that this measure is reliable and valid, then, by all means, use that instrument.
Ask precise questions

• The time reference is missing

• “how many books have you borrowed from the library within the past six months altogether?”
Provide a frame of reference

• Overall the performance of the principal is
  • __________excellent
  • __________good
  • __________average
  • __________poor
Provide a frame of reference

- Compared with other principals you are familiar with, the performance of the principal is
  - __________excellent
  - __________good
  - __________average
  - __________poor
Ask for only one piece of information at a time

- Avoid DOUBLE BARRELED: two questions in one
- “Please rate the lecture in terms of its content and presentation” asks for two pieces of information at the same time.
- “Please rate the lecture in terms of its (a) content, (b) presentation”
Avoid negatives

“do you disagree that mathematics teachers should not be required to be observed by their supervisor if they have a master’s degree”?
Minimize bias

- People sometimes answer questions in a way they perceive to be socially acceptable.
- “how many times have you broken the speed limit because you were late?”
- “have you ever felt under pressure to drive over the speed limit in order to keep an appointment?”
Length of questionnaire

- There are no universal agreement in the optimal length of questionnaire.

- However, short simple questionnaires usually attract higher response rates than long complex ones.
Arranging the question

- Put the most important items in the first half of questionnaire
- Don’t start with awkward or embarrassing question
- Start with easy and non-threatening question
Order of questions

- Go from closed to open questions
- Leave demographics and personal questions until last
- Use a variety of question format
- Filter questions create skip patterns
• Matrix questions shortens the questionnaire by reducing the number of words that must be used for each question
• Emphasizes the common theme among questions
• It is important to provide an explicit instruction
layout

• Allow enough room for respondents to answer questions
• Provide plenty of white spaces between questions
• Use clear headings and numbering if appropriate
• A minimum of 10pt should be used
Pretesting the instrument

• “the only good question is a pretested question”

• Discuss the questionnaires with colleagues

• Professional survey researchers – uses cognitive interview
Basic Research Skills

Session (2.2)
Content Analysis
Content Analysis

“An Approach to Documentary Research”
(Holsti, 1969 p. vii)
General Definitions

- “...a research technique that uses a set of procedures to make valid inferences from text” (Weber, 1990, p. 9)

- A summarizing, quantitative analysis of messages relying on scientific method and not limited to types of variables measured or context of messages (Neuendorf, 2002)

- "Any technique for making inferences by objectively and systematically identifying specified characteristics of messages” (Holsti, 1969 p. 14)
Goal of Content Analysis

- To draw inferences about:
  - A text

- To obtain documentary evidence about:
  - A sender
  - A message
  - A receiver (audience)
Procedures

- Communication transmission model (manifest content)
- Semiotic model (latent content) of the signifier and the signified
Analysis of Texts

- Researchers have analyzed texts since the start of writing
- Content analysis draws on Aristotelian principles of textual analysis as described in “Poetics”
  - Subject of text
  - Creator
  - Audience
  - Purpose
  - Context
  - Ethos
  - Pathos
Analysis of Texts

- Medieval Scholastics recognized latent meanings of words, leading to categories

- First documented content analysis:
  - 18th century Sweden
  - Collection of religious hymns blamed for subverting orthodox state church and inciting dissent
  - Words and symbols in songs were same as orthodox hymnal, but occurred in different contexts (Dovring, 1951; Krippendorf, 2009)
During early 20th century Weber studied content of newspapers raising fundamental questions:

- How do newspapers affect readers?
- How do the contents of newspapers compare quantitatively over a generation?
  - What is carried as news
  - What is carried as editorial
  - What is omitted
- Weber is regarded as a pioneer in the sociology of the press
Psychological Analysis

- Gordon Allport
  - Pioneer in personality theory
  - Analyzed “Letters to Jenny” (Diary)
  - Aimed to understand her experienced world by identifying psychological traits as expressed in her letters and diaries (Krippendorf & Bock, 2009)
Questions for Content Analysis

- “How are minority ethnic groups treated in short stories in popular magazines?” (Berelson, 1952)
- “How can communications be tested for propaganda elements?”
- “What ways do motion pictures reflect popular feelings and desires?”
- “What are the dominant images in Shakespeare’s plays?”
- “What happens to a good book when it becomes a movie?”
- “How do criteria used for program effectiveness reflect program objectives?”
- How do attitudes reflect personality structure?
- What domains are currently being studied in library and information science?
A Quantitative Illustration

Research Problem:

- What role does popular magazine fiction play in affecting attitudes toward ethnic minorities?

(Berelson and Salter, 1946)
Hypotheses Asserted

- Sympathetic characters are from the majority
- Unsympathetic characters are from minorities and usually unsympathetic and secondary
- Social interaction between majority and minority groups seldom occurs.
  - When interaction occurs, minority group in a subordinate position.
- The problems of majority and minority groups differ
  - The majority has individual (personal) problems
  - The minority has social and economic problems
  - The goals of the majority (love, comfort) more approved than goals of the minority (material gain).
Hypothesis and Categories

- Hypotheses were translated into categories – a priori assignation
- The first hypothesis yielded 3 categories for analysis:
  - Ethnic identification of character
  - Role in the story
  - Level of approval (sympathy for character)
- Other hypotheses provide more categories:
  - Socio-economic status of characters
  - Kind of interaction
  - Problems
  - Goals
- After categories for the hypotheses are exhausted, they can be addressed by potential data
Final Step in Analysis

- Establish Categories
- Determine Indicators (a priori)
  - First general category was ethnicity
    - Indicators of ethnicity rarely explicit (i.e. “He was Italian-American”)
    - Indirect indicators of ethnicity conceived – indicators involved names (i.e. Antonio), language, appearance, memberships, etc.
  - Second category was character’s role in story
    - Was the role major or minor?
    - Indicator was the space allotted to specific character
  - Third category was socio-economic level
    - Indicator included characteristics as occupation, education, income, possessions, standard of living, etc.
  - After examining the stories other categories and indicators were noted. These emergent categories extended the hypothesis (a posteriori)
The Basic Steps

- Which data are analyzed? (Unit of Analysis)
- How are data defined? (Definition of Terms--these are the variables to measure. Both internal and external validity come into play here.)
- What is the population or unit from which the sampling data are drawn? (Sampling Frame or Unit of Sampling)
- What is the context relative to which the data are analyzed?
- What are the boundaries of the analysis?
- What is the target of inference?
- [Code Book - Coding Form]
Comparison: Berelson’s Study and Krippendorf’s 6 Questions

**Krippendorf**

1. What data are analyzed?
2. How are the data defined?
3. What is the population or unit from which the sampling data are drawn?
4. What is the context relative to which the data are analyzed?
5. What are the boundaries of the analysis?
6. What is the target of inference?

**Berelson**

1. Units of analysis are words.
2. Data defined by categories and their indicators.
3. Frame is fictional story in popular magazine.
4. Context involves attitudes toward ethnicities.
5. Boundary is single story in selection of magazines.
6. Do indicators support hypothesis?
The objective of content analysis is determining answers to questions that the text implies – explicitly and implicitly.

It is a systematic technique of “reading between the lines”

Can this goal be attained most effectively with quantitative or qualitative techniques?

Distinguishing feature between 2 approaches is starting point:
- hypothesis or grounded induction
- methods of deriving categories
- what depth of communication accepted as an indicator
Quantitative Procedures

- Content analysis starts with the hypothesis
- Categories derived from possibilities of hypothesis
- Categories established a priori and indicators based on manifest (surface) meaning
Qualitative Procedures

- Qualitative approach derives categories after examining document – emergent coding
- Factors in latent meanings of words or messages
- Context and proximity suggest the intended meaning of a message
Media: Qualitative Analysis

- Narrative Analysis (focus on literary composition and structure)
- Rhetorical Analysis examines properties of text; emphasis not on meaning, but how meaning is conveyed)
- Discourse Analysis – examines manifest language in text – language and word usage
- Semiotic Analysis – focus is on latent meanings and deep structures
- Interpretive Analysis – formation of theory from observation
- Conversation Analysis – used by social scientists in psychology, communications and sociology
- Critical Analysis – analyzes media messages (how are groups represented in media of all forms)
Consistency within Diversity

- The definitions, uses, and techniques vary according to whether the researcher conducts a quantitative study or a qualitative study.
- Content analysis stipulates three core conditions for qualitative or quantitative character of study.
- These central conditions include:
  - Objectivity
  - System
  - Generality (Holsti, 1969)
Objectivity (Holsti, 1969)

- The test of objectivity is whether another researcher, following identical procedures with the same data, can arrive at a similar conclusion
  - Objectivity, in content analysis, means that explicit rules and procedures guide the research process
  - For example, what criteria will be applied in formulating a category?
  - What criteria determines content unit (word, theme, webpage, animation, imagery, kinds of imagery, narrative, dialogue, space, advertisements, maps, transactions)?
  - Objectivity requires researcher explicitly state ground a category is selected and what rationale prompts one inference rather than an alternative
System

- Systematic procedures facilitate objective, unbiased selection of content and categories (Holsti, 1969)
- Assigning firm rules to regulate inclusion & exclusion of content and categories prevents researcher from biased, self-serving selection
  - Rules preclude an analyst from intentional or unintentional bias in selecting only content or category supporting hypothesis, proposition, or self-interest.
Generality

- Select content based on clear definitions for determining content and categories – fosters objectivity
- Establish procedures for inclusion or exclusion of data -- contributes towards consistency and systematic, impartial selection
- Promote principled, legitimate descriptive analysis with systematic procedures – provides a basis for generalizing about the data collection
- Relate data to an established theory or reasoned proposition for data to be conclusive or meaningful
Basic Research Skills

Session (2.3)
Discourse and Narrative Analysis
Introduction

Discourse has occupied many aspects of everyday life. Learning how to engage in discourse is one of the most important goals in language learning and teaching. Language students or teachers need to pay attention to different patterns in discourse and to focus on context and linguistic strategies that are most relevant.

Discourse Analysis involves Real Text not invented, constructed and artificial text. Discourse Analysis works with Utterances not independent sentences.

Questions Investigated by Discourse Analysts

Participants

- Who are the Participants?
- What is the Relationship between them?
- What are the Differences in Power & Knowledge between them?
- What are their Goals?

Text

- What Does it mean?
- How do we interpret the meaning of text?
- What Knowledge of Context is needed?
- What are the Clues Surrounding Text?
One of the concerns in sociology is to understand how social members make sense of everyday life. To address this problem it pays attention to the most commonplace activities such as conversation. Sociology considers conversation as a particularly appropriate and accessible resource for its enquiry.
Discourse Analysis

Approaches to Discourse Analysis

Sociology
- Conversational Analysis
  - Ethnography
  - Interactional Sociolinguistics
  - Variation Theory

Sociolinguistics
- Structural-Functional
- Birmingham School
- SFL

Philosophy
- Speech Act Theory
- Pragmatics

Linguistics
- Social Semiotic
- SFL
- CDA

Artificial Intelligence

Key questions, conversational analyst attempts to address:

- How to **take turns** in conversation.
- How to **open** and **close** conversation.
- How to **launch new topics**, close old ones, **shift topic**, etc..
- How conversation generally **progresses** satisfactorily **from one utterance to the next**.
Address some of the above question:

**Turn** is defined as a basic unit of social interaction in conversation that starts with occasion when speaker speaks and ends when another speaker takes a turn.

- To get the turn two ways are possible: be chosen or nominated by current speaker or self-selection.
Address some of the above question:

• To show that listener is still following the speaker and wishes him to continue, a mechanism called **Back-channel response** is used (Mmm, yeah, sure, right).

• To predict one another’s turn a mechanism such as completing or overlapping the speaker’s utterance often occurs. (A: I had much trouble when answering the questions…. B: The exam was really hard.)
Patterns in Turn-taking:

One of important patterns in turn-taking is **Adjacency Pairs**. This pattern includes pairs such as: *greeting-greeting* (A: Good morning --- B: Hi, good morning) , *compliment-thanks* (A: Congratulations on the new job ----- B: Oh, thanks), *apology-acceptance* … These are known as **preferred sequence** in contrast with **dispreferred sequence** (A: Hi, how is it going? ----- B: Drop dead!)
Other common Types of pattern:

**Solidary routines** (A: I have a terrible headache ------- B: Oh, I’m sorry, can I do anything) and

**Converging pairs** (A: I just love that green sweater. ------- B: Oh, so do I, ...)

**Note:** Conversational Analysis involves the actual recorded data of naturally occurring interactions and rejects experimental methods of collecting data by simulating dialogues or artificial interactive context.

**Implication:** Using authentic spoken materials in class in addition to examples of course-book.
Approaches to Discourse Analysis

- Sociology
  - Conversational Analysis
  - Interactional Sociolinguistics
  - Variation Theory

- Sociology
  - Ethnography

- Sociology
  - Interactional Sociolinguistics

- Philosophy
  - Speech Act Theory
  - Pragmatics

- Linguistics
  - Structural-Functional
  - Birmingham School
  - SFL
  - SFL
  - CDA

- Artificial Intelligence
  - Social Semiotic
  - SFL
  - CDA
A central theme in Ethnography approach led by Hyms (1972) is Speech Event which represents an extension in the size of the basic analytical unit from the single utterance to stretches of utterances, as well as a shift in focus from .... Text to ...... interaction (Hymes, 1972).

Examples of speech event can be ‘conversation at a party’ or ‘ordering a meal’. Any speech event comprises several components listed as grid and known as Speaking grid.
Discourse Analysis

Approaches to Discourse Analysis

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Speaking grid

This grid emphasizes the **contextual dimensions** that determine our use of language.

One important part of the grid is **genre** which says that there are different **text-types** with their own different **internal structures**, which accord with different **social goals**.
Developed by Lobov (1972) and in particular his description of the structure of spoken narratives has made a major contribution to the analysis of discourse. Structure of a narrative of personal experience:

1-Abstract (summary of story, with its point)  
2-Orientation (in respect of place, time and situation)  
3-Complication (temporal sequence of events, culminating in crisis)  
4-Evaluation (narrator’s attitude towards narrative)  
5-Resolution (protagonist’s approach to crisis)  
6-Coda (point about narrative as a whole)
Approaches to Discourse Analysis

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Discourse Analysis
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Model developed by Sinclair et.al (1975) for analysis of classroom discourse.
Considering *teacher’s questions-pupils’ answers* discourse, they identified *units of pattern* (bounded by discourse markers such as ‘Now, then’ and ‘Right’) which they called ‘Transaction’.
Model developed by Sinclair et al. (1975) for analysis of classroom discourse. The next level of pattern consists of question-answer-feedback which is called ‘Exchange’.
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Model developed by Sinclair et. al (1975) for analysis of classroom discourse. The next level represents a single action such as questioning, answering, and feeding back which is called 'Move'.
Discourse Analysis

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Model developed by Sinclair et al. (1975) for analysis of classroom discourse.

Finally there are local, micro-action (such as nominating a student, acknowledge) which is called ‘Acts’. These levels form a rank-scale in which any level is composed of all the levels below it.
Approaches to Discourse Analysis

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Systematic functional linguistics is one variety of functional linguistics, its distinctive feature being the concern to explain the internal organization of language in terms of the functions that it has evolved to serve (Halliday, 1978, 1994).

It investigate how language is structured to achieve socio-cultural meaning, it focuses on the analysis of texts, considered in relationship to social context in which they occur.
Approaches to Discourse Analysis

Discourse Analysis

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Artificial Intelligence

It is similar to conversational analysis, both are concerned to describe the relationship between language and its social context.

However the focus of SFL is on the way that language is organized to enable conversation to function as it does, but CA focuses on social life and sees conversation as a key to that.
At first glance it seems that spoken discourse is formless but research on the analysis of spoken discourse shows that spoken English does have a consistent and describable structure and that in many respects the language patterning is the same as written English.

One way of approaching differences between speaking and writing is to plot individual texts along scales.
At first glance it seems that spoken discourse is formless but research on the analysis of spoken discourse shows that spoken English does have a consistent and describable structure and that in many respects the language patterning is the same as written English.

One way of approaching differences between speaking and writing is to plot individual texts along scales.
At one end we have the most formal written texts, such as academic articles. At the other end there are the most informal spoken interactions such as casual conversations. In the middle of the scales are the informal, written text such as letters to friends and the formal spoken text such as job interview. Spoken and written discourse usually have different **lexical density** which is defined as the rate of occurrence of lexical items (content word such as ‘sun, confuse, tiny) against grammatical items (he, was, on). Spoken discourse typically has lower lexical density.
Differences between formal and informal spoken English (Table below) can indicate to some extent (not as extreme) differences between spoken and written discourses.

**Final point:** Both spoken and written discourse have consistent and describable structures.

<table>
<thead>
<tr>
<th>Informal spoken discourse</th>
<th>Formal spoken discourse</th>
</tr>
</thead>
<tbody>
<tr>
<td>Primary purpose is the achievement of interpersonal goals: to establish who we are, how we relate to others and what we think of how the world is</td>
<td>Primary purpose is the achievement of pragmatic goals: to talk to find out information, to pass on knowledge, to make appointments, to get jobs and to jointly participate in practical activities</td>
</tr>
<tr>
<td>Spontaneity phenomena, such as false starts, hesitations, interruptions and overlap</td>
<td>Turn-taking more ordered</td>
</tr>
<tr>
<td>Constantly shifting topics as the goal is not to achieve a particular purpose</td>
<td>Role differentiation: there is clear role differentiation between interactants (for example, in doctor–patient interactions), which results in greater topic control</td>
</tr>
<tr>
<td>Conversations are open-ended and can continue for hours; it is in the process of talking that we explore our social relationships</td>
<td>Formal conversations are closed; once the task is achieved, interaction ends</td>
</tr>
</tbody>
</table>
Discourse Analysis

Spoken and Written Discourse

One Important Aspect of Differences: Grammar

Written Discourse only relies on text-activated context and therefore it is more structured and formal. Spoken Discourse relies on immediate context and has less need to refer to everything. As a consequence of this we face a lot of ellipses in spoken discourse.

E.g. Ellipses in Spoken (Deletion of Item whose reference is implicitly transferred)

Absent of auxiliary:  A: Anybody want soup?  B: No thank you.  (Does Anybody want …)
Absent of pronoun, article:  A: Nice restaurant?  B: Yes, it is, isn’t it.  (It’s a nice restaurant.)

Discourse Grammar appreciates distinction between spoken and written grammar and is interested in the spoken-written divide wherever it is relevant.
**Discourse Analysis**

**Lexical Patterns in Spoken Language**

1. **Repetition**

   Used for signaling and confirming an agreed meaning:

   e.g. A: California was really beautiful. B: It’s a beautiful place.

2. **Relexicalization:** Synonyms & Antonyms

   **Synonyms:** Used for converging on agreed meaning.

   e.g. A: Alice where did you get that skirt? B: Isn’t it lovely. A: It’s so nice. C: In Top Shop

   **Antonyms:** Used for distinguishing instantial meaning from out-of-context semantic meaning.

   e.g. A: …Sometime it’s hard but I really fell… B: Well it is hard, isn’t it. It’s not easy to go forward.

**Final point:** Repetition and relexicalization are part of the speaking skill and in the case of relexicalization (the ability to retrieve synonyms and antonyms) present a considerable challenge to second language learners.
Narrative Analysis

From Raynor, Wall and Kruger (2004, pp.42-52) and Branston and Stafford (2006, 41-64)
• Narrative (interpret the world and shape it into a comprehensible form)
• Photographs (frozen moment)
• Music videos (often tell a story, often a love story)
• A news report (may focus on effects of one family or one individual)
Influence Audiences

• Media producers can tell a story in a particular way:
  
  – By staging the information audiences are encouraged to take a particular side/viewpoint
  
  – Staging can occur in films, documentaries, news items etc (e.g Chicago Tribune (n.d.))
U.S. drones in Pakistan

U.S. drones have been striking militants in Pakistan’s northwest tribal areas; the numbers as of Nov. 15, 2011:

Drone strikes

<table>
<thead>
<tr>
<th>Year</th>
<th>04-07</th>
<th>08</th>
<th>09</th>
<th>10</th>
<th>11</th>
</tr>
</thead>
<tbody>
<tr>
<td>04-07</td>
<td>9</td>
<td>33</td>
<td>53</td>
<td>118</td>
<td>70</td>
</tr>
</tbody>
</table>

Estimated drone deaths

- **Militants**
- **Others**

<table>
<thead>
<tr>
<th>Year</th>
<th>Militants</th>
<th>Others</th>
</tr>
</thead>
<tbody>
<tr>
<td>04-07</td>
<td>101</td>
<td></td>
</tr>
<tr>
<td>08</td>
<td>293</td>
<td></td>
</tr>
<tr>
<td>09</td>
<td>546</td>
<td></td>
</tr>
<tr>
<td>10</td>
<td>794</td>
<td></td>
</tr>
</tbody>
</table>

Where the strikes hit

Of the 70 strikes in 2011

- **Pakistan’s tribal areas**

- **AFGHANISTAN**
  - Kabul
  - Mohmand
  - Peshawar
  - Khyber
  - Orakzai
  - Kurram

- **PAKISTAN**
  - North Waziristan
  - South Waziristan

- 66% of the strikes were in Khyber and Orakzai.
- 31% of the strikes were in North Waziristan.
Four Possible Ways to Structure a Narrative

– Linear uses a chronological sequence as above
– Parallel structuring has two scenes happening at once
– Anti-narrative deliberately disrupts the flow for a particular effect; it may repeat images or interrupt the chronological sequence
– Interactive – found in computer games (some books) where multiple variations are possible
Applications of the Structure

- News stories
- Television documentaries
- Current affairs radio programmes
- Sitcoms
- Films
Who is the Villain?

http://ww2010.atmos.uiuc.edu/(Gh)/guides/mtr/af/frnts/ofdef.rxml
Narrative Characters and Functions

• Which character? (from photobucket.com)
Propp’s Main Characters

– hero
– villain,
– donor (offers gift with magical properties)
– dispatcher (sends hero on mission),
– helper (aids hero)
– princess (hero’s reward)
– princess’s father (who rewards the hero)
– dispatcher (who sends the hero on his way)
– false hero
Other Elements of Narrative

• Modes of address (Branston and Stafford, pp. 49) refers to the way a media text talks to the audience.

• Mode of address can influence the audience’s response (e.g. off-screen narrator).

• Systematic oppositions (Levi-Strauss) narratives could be organized according to a series of oppositions e.g. Americans, Christians/pagans, domestic/savage, weak/strong, technologically advanced/primitive.
• Ideology: The type of characters that play various roles (heros, villains, victims etc.) ‘may reproduce common cultural assumptions about such individuals’ Hartley (2002, p.155); ‘Narrative’s use of shared cultural assumptions lead to the suggestion that all narratives are ideological’ Hartley (2002, p.155).

• Stereotyping Narrative analysis allows investigation of stereotyping (e.g. are people of the same race, gender assigned the same roles in narratives?)