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## Case Survey for Assessing Community-Based Enterprise: A Research Design

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# Case survey for assessing community-based enterprise

A research design

Working paper  
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# 1. Introduction

Community-based enterprise (CBE) has been increasingly acknowledged as a potential solution toward environmental and poverty problems. However, as pointed out in Soviana (2013), despite the increasing implementation, the understanding about the organizational architecture and performance of CBE is still lacking and it is argued that having a good understanding about the nature of CBE is the bottom line of developing an effective CBE. Literature regarding CBE shows that CBE is mostly reported in forms of case studies or project reports. Due to the singularity/individuality of those reports, it is difficult to have a general overview of the CBE in a whole. Thus, two problems are prevailing: (1) lack of comprehensive understanding about the organization of CBE and (2) lack of generalizability of the individual findings. These gaps call for a need of identifying a way to bridge them.

Responding to the first problem, the paper concentrates on researching CBE's concept from the organizational insight. The basic theoretical research framework on organizational architecture and performance has been covered in Soviana (2013). In this working paper, the framework will be further elaborated and accordingly, some hypotheses are generated. The hypotheses will be tested using a selected method, so that some degrees of results' generalization can be achieved.

Regarding the second problem, this paper aims to bridge the gap between singularity/individuality of CBE case studies and the generalization of the case studies' results. Individual qualitative research has been criticized to be largely useless because its objectivity is questionable and it cannot yield generalizable findings (Sandelowski, 2004). As Sandelowski et al. (1997) argue, knowledge development in a particular field is partly influenced by the effort in putting together qualitative studies' findings and these findings should be situated in a larger interpretive context in order to have an impact on (or useable for) the policy making in the real world. This paper concentrates on the possibility of 'case survey' research design to be the bridge. As explained later on, this method seems to be capable of systematically capturing the individual case studies, integrating them into a more generalized result, and thereby offering greater explanatory power.

Rather than presenting the result of the analysis, the intent of this working paper is to present a research design, introducing and explaining the possibility of implementing the case survey methodology for assessing CBE. The paper is structured as follows. In the next section, a brief theoretical background and some hypotheses are provided. Then, the case survey methodology will be explained, both theoretical and the implication for assessing CBE. Finally, some concluding remarks are given at the end of this paper.

## 2. Organizational architecture and performance

### 2.1 Research framework

This paper aligns its insight to the organizational theoretical framework presented in Soviana (2013). Four questions the research tries to answer are as follows:

1. How can the organizational architecture and organizational performance of existing CBE be described?
2. What has been the role of community members and other stakeholders (government, NGOs/donor agencies, and private sectors) in the organization of CBEs?
3. Which impact does the organizational architecture of CBE have on its performance?
4. What are the success determinants of CBE and how can they be used towards constructing a better CBE model?

Organizational problem comprises coordination and motivational problems. As a response to those problems, organizational architecture, defined as “the framework in which the resources and efforts of individuals are coordinated, focused and motivated” (Rickard, 2006, p.18), is needed to make an organization performing well. The performance here is defined as a measure of success of an organization (for more detail, see section 2.2).

A working definition of a CBE is that it is owned and managed by the community<sup>1</sup>, in which the local community is fully involved throughout its development and management, and the community is the main beneficiary through community development (e.g. Manyara and Jones, 2007; Peredo and Chrisman, 2006). It seems that community is at the center of discussion. Community participation level (CPL) is deemed to play a crucial part for the organizational performance (Soviana and Kühl, 2013). However, the community is likely not acting alone. Some other non-community stakeholders (hereafter: outsiders) are usually involved. The question is regarding in which aspects and to which degree the community and the outsiders cooperate. Thus, according to the theory above, an appropriate combination of community participation level and partnership with outsiders, which builds the CBE's architecture, is crucial for the CBE's success. It can be illustrated as:

$$\text{Performance} = \text{CPL} + \text{outsiders' involvement}$$

Another aspect of the architecture is the motivational aspect – incentive system that encourages the stakeholders to act in a way that supports the achievement of organizational goals. This paper draws on the insight of Atkinson's achievement motivation theory (Atkinson

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<sup>1</sup> Community is an aggregation of people that is not defined primarily by the sharing of goals or productive activities of the enterprise, but instead as those who share geographical location and cultural identity. (Peredo and Chrisman, 2006)

and Feather, 1966), which says that the tendency to engage in an achievement-oriented task ( $T_A$ ) depends on two components, namely the tendency to achieve success ( $T_s$ ) and the tendency to avoid failure ( $T_f$ ). The tendency to achieve success is the product of the motive to achieve success, the (subjective) expectancy of success by participating in a particular activity, and the incentive value of success at that particular activity. A similar approach is applied for the tendency to avoid failure. The relationship can be presented as:

$$T_A = T_s + T_f$$

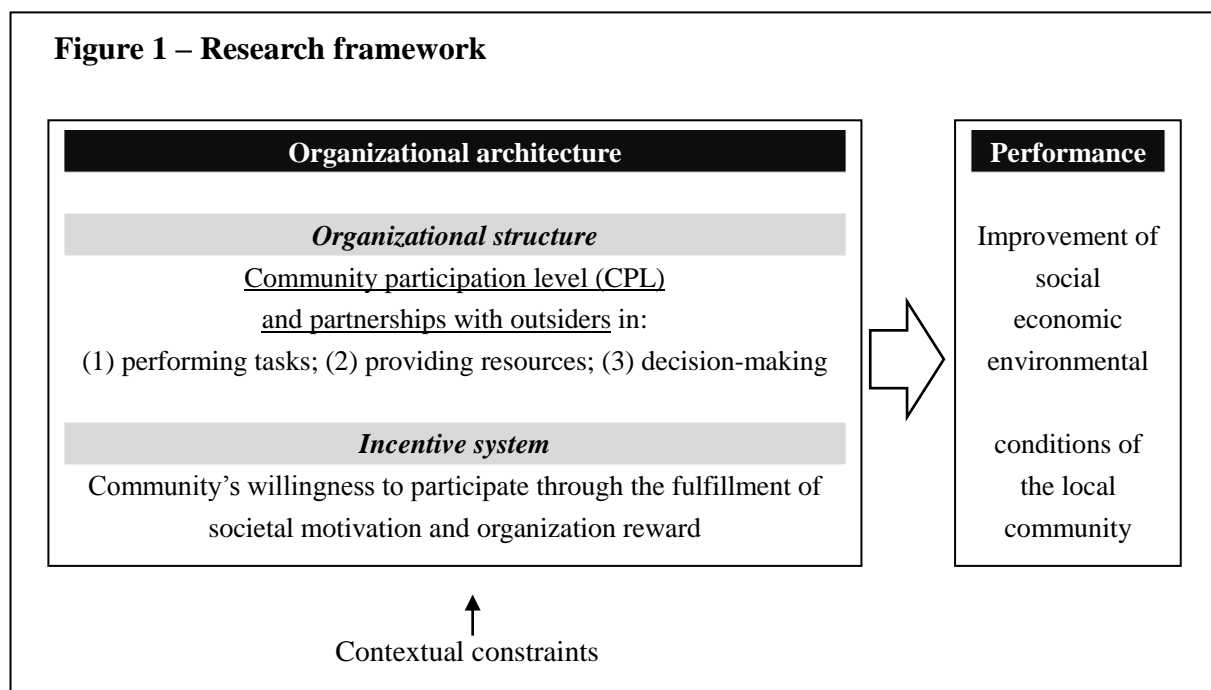
In a broad sense, that insight can be interpreted into the context of CBE in this paper. Active impulse to undertake a particular achievement-oriented activity ( $T_A$ ) in this case is the community participation level (CPL). The  $T_s$  and  $T_f$  are the aspects that respectively encourage and discourage the community to participate. It means:

$$CPL = \text{encouraging aspects} + (- \text{discouraging aspects})$$

Thus, beside of descriptive analyses to answer the first and second research questions, in order to answer the third research question, there are some relationships to be tested and explained, namely:

- |                                  |   |             |
|----------------------------------|---|-------------|
| (1) Encouraging aspects          | – | CPL         |
| (2) Discouraging aspects         | – | CPL         |
| (3) CPL                          | – | Performance |
| (4) Outsiders' involvement       | – | Performance |
| (5) CPL + Outsiders' involvement | – | Performance |

Figure 1 illustrates the overview of this paper's research framework.



The following sections explain the performance criteria and some possible success factors in the CBE context. They will be useful for the further development of the theoretical framework above into some practical hypotheses.

## **2.2 What is success?**

Two most significant success criteria from the academic perspective are community ownership/management and community benefit. There is a gap, however, between the academic definition and the way it is used by practitioners. This paper does not lean to one of them, but instead will use those listed success indicators as a starting point for analyzing the performance of CBEs. A critical literature review results in these following indicators (adapted from Boyer et al., 2008; Halstead, 2003; Goodwin and Santilli, 2009), which, for the purpose of this paper, can be categorized into three groups:

### **(1) Social aspects**

An improvement of the social condition brings enhancement to the livelihood in general and the community's wellbeing in particular. It can be in forms of:

- Development of local infrastructure and facilities, such as road construction, provision of health services, improving access to education, etc.
- Development of community's capacity, e.g. as a result of community empowerment, education and training. The development can be indicated, for example, in the increase of capability to manage or operate the organization (management by and employment from community).

### **(2) Economic aspects**

- Increase the local economic development, which can be indicated by the ability to fund other local projects, creation of business opportunities in the local area as spill-over effect of the CBE, etc.
- Generating financial benefits for the community, in forms of income generation, provision of employment, etc.

### **(3) Environmental aspects**

- Contributing to the sustainable management of resources (e.g. conservation of natural resources, cultural revitalization, developing environmental policies) in the area
- Developing community's awareness and understanding of the importance of sustainably maintaining the resources

### **(4) As mentioned earlier, community participation level is argued as a crucial aspect towards the success of CBE. However, based on the academic perspective argumentation, high community participation level and low dependency on outsiders' supports/ interventions (technical/ management/ financial) can also be used as an indication of success. Therefore,**

in this research, the CPL is considered both as a means goal and an end goal.

Fischer and Gülgel (2013) state that the degree of goal-achievement can be differentiated into two categories: goal-optimization (e.g. minimizing cost or maximizing profit) and goal-satisfaction (reaching a pre-defined level). Pursuing the generalization of various case studies, in this case, this research adopts the goal-satisfaction with *relative measure*. Relative measure here means that an absolute level of achievement is not pre-defined. Instead, the growth or improvement of social, economic, and environmental conditions is to be taken into account by observing if there is any development made after the CBE has been implemented. Metric measurements will be recorded if the cases provide them. Otherwise, the performance will be noted as categorical data according to the coding scheme (see appendix). Keeping in mind that reaching a success is a process, making a little growth is even more sustainable than stagnating and it can be considered as a contribution to success in the long-term.

### **2.3 Critical success factors**

Subsequent to the relative measure of success explained above, one purpose of the research is to identify the critical success factors (CSF) for CBE establishment. As a guideline, this paper uses CSF of organizational efforts, which to a certain extent also dealing with community involvement issue. Based on a critical review, the CSF can be summarized and grouped as follows (adapted from Font, 2013; Wronka, 2013; Boyer et al., 2008; Manyara and Jones, 2007; Thakadu, 2005; Halstead, 2003).

- Enabling contextual conditions (e.g. enabling legal/regulatory environment, country/tribal political stability)
- Strong leadership (e.g. there is influential local/religious leader who can motivate the community members to act collectively)
- Attractiveness and clarity of strategic plan (e.g. attractive and competitive products, good business planning, sales projection, and cost calculation, clarity on steps and roles in the organization development, business planning and marketing, triple-bottom-line planning, exit strategy of external intervention)
- Effective partnerships (e.g. collaboration with public sector, link with private sector, participation of stakeholders in planning, monitoring and evaluation, broad consultation, government support)
- Managerial capability/expertise (e.g. keeping and distributing accurate financial records, good understanding of the business, skill and knowledge to establish/manage/operate the organization, re-investment and maintenance)
- Availability of resources (e.g. proximity to the tourism market, natural resources as asset)
- Community participation/involvement/engagement (e.g. community ownership, broad based participation, clear definition of enterprise ownership)

- Community willingness and readiness to participate
- Social capital (e.g. trust among and social interaction community members)

## 2.4 Hypotheses development

As mentioned earlier, the main hypothesis of this research is that the CBE's organizational architecture is likely influencing its performance. The main hypothesis can be divided into some specific aspects in order to obtain a more comprehensive overview about how each aspect is related to the performance.

To be able to perform well, an organization must implement a suitable organizational architecture respective to its environment (Rickard, 2006; Child, 1972). It is argued that the emerging of CBEs is resulted from combining the lack of acceptable conditions, collective knowledge of organization, and social resources that are optimal to allow the development of a social organization into an economic organization. According to Atkinson's theory of achievement motivation, the tendency to undertake an activity is defined as "the product of motive, expectancy, and incentive" (Atkinson and Feather, 1966, p.328). In this case, it is assumed that the community members are rational. Community's willingness to participate may be influenced by many factors, such as *societal motivation* (e.g. previous collective experience, macro (and also local) social, economic, political situations, credibility and mutual trust among stakeholders, increased awareness of the value of natural resources) and *organization reward* (e.g. expected benefits, community as the beneficiary, distribution of benefits, timing and amount of benefits, transparency of financial records). The relationship of those factors and the CBE performance are to be analyzed individually as well as aggregately.

H1: The motivational factors are not equally influential to CPL.

Mitchell and Reid (2001) argue that the higher the involvement of local communities in community initiatives, the higher the benefits that would accrue to them. Community ownership, community support, as well as capacity to manage and operate the CBEs are claimed to be critical to the success (Manyara and Jones, 2007). Community involvement may foster sense of ownership, which in turn will lead to supportive attitude, higher commitment to achieve common organizational goals. Thus, using the term used in this paper, it can be hypothesized that high community participation level will likely lead to good performance. However, Somerville and McElwee (2011, p.325) argue that "the degree of community control over and participation in CBE are less important than its overall purpose and function, that is to say as long as it brings benefits for the community". This research will analyze the relationship between CPL and performance to see which argument is more likely to happen based on the empirical data.



- H2a: A high degree of CPL in *performing tasks* tends to lead to a good performance
- H2b: A high degree of CPL in *providing resources* tends to lead to a good performance
- H2c: A high degree of CPL in *decision-making* tends to lead to a good performance

Organization structure is an instrument to solve coordination problems, and thus, an appropriate organization structure will lead to the success of an organization. Aside from the CPL aspect, some other coordination related aspects mentioned in the previous sections are claimed as success influencing factors. These aspects include local leadership, attractiveness and clarity of strategic plan, type of CBE's membership, CBE's legal form, and an effective partnership (certain combination of CPL and outsiders' involvement). This research is going to assess the correlation between those aspects and the CBE's success.

- H3a: The coordination related aspects are correlated to the CBE's success.
- H3b: The coordination related aspects are not equally leading to the CBE's success.

Additionally, Peredo and Chrisman (2006, p.318) argue that "a critical resource for CBEs is the social capital that exists in a community". Social capital, including aspects such as social interaction, social ties, and trusting relationship, facilitates the actions of individuals in social context (Nahapiet and Ghoshal, 1998), reduces uncertainty (Fafchamps, 2000), decreases transaction costs (Putnam et al., 1993), and consequently facilitates the achievement of efficiency in labor division and innovation, especially in developing countries with lack of supporting institutional conditions (Nooteboom, 2007). Thus, this research will give a special attention to the relationship between social capital and the success of CBE.

- H4: A high degree of social capital tends to lead to CBE's success.

These hypotheses will be evaluated by means of case survey method, which will be described in detail in the next section.

## **2.5 Expected development of CBE organizational pattern**

At the end of this research, it is expected to obtain a clear overview of the CBE organizational architecture and performance, as well as the relationships among influencing aspects and stakeholders involved. Nine scenarios of relationship between organizational architecture (combination of CPL and outsiders' involvement) and its relative performance (scenario 1-9) can be illustrated in such a matrix shown in figure 2.

So far there is no standard categorization as to how to measure the CPL and outsiders' involvement. To capture the diversity of involvement's aspects on the one hand, and to maintain the broadness of analysis, this paper adopts the categorization suggested in Soviana

and Kühl (2013, table 1). For example, a community is considered to have a high participation in performing tasks when community members perform high-skill labor such as creating strategic plan, conducting research and analysis of technical and management options; meanwhile, low participation is characterized by only performing low-skill labor such as joining meeting and perform physical construction labor. For more details, please refer to the above mentioned paper.

<b>Figure 2 – Matrix of CBE’s organizational pattern</b>				
		Outsiders’ involvement		
		High	Low	No
CPL	High	Scenario 1	Scenario 2	Scenario 3
	Low	Scenario 4	Scenario 5	Scenario 6
	No	Scenario 7	Scenario 8	Scenario 9

### 3. Case survey methodology

#### 3.1 Terminology and applicability

This paper acknowledges the increase of approaches on the integration of qualitative information in social science and professional fields over the past few decades (Major and Savin-Baden, 2011). Generally, synthesizing primary findings is commonly called meta-analysis. Quantitative meta-analysis has been widely applied (perhaps since Glass, 1976) as an approach to integrate published quantitative information. Meanwhile, in synthesizing qualitative information, myriad approaches have risen, but with little agreement as to how they are defined and which method is the most representative one (Thorne et al., 2004; Major and Savin-Baden, 2011). Literature shows a variety of terms which in a certain extent trying to systematically collect, aggregate or synthesize the results of individual qualitative studies. According to Stall-Meadows and Hyle (2010, p. 413), a meta-analysis may also be called “meta-assessment, meta-evaluation, meta-research, cross-case research, cross-site synthesis, research synthesis, research integration, case survey, and integrative review”. Those terminologies are far from complete since there are many others, for example meta-summary (Sandelowski et al., 2007), meta-synthesis (Schofield, 1990), and meta-study (Thorne et al., 2004).

After scanning through many terminologies and their descriptions, one term has captured the author's attention since it is likely the most suitable approach for the purpose of this research, namely 'case survey', which was originally developed for public policy analysis (Lucas, 1974; Yin and Heald, 1975). Some variations of this term also exist, for instance case meta-analysis (Bullock and Tubbs, 1987) and structured content analysis of cases (Jauch et al., 1980). Without undermining other terms, the term consistently used in this paper is 'case survey' since it is "the earliest, simplest, and most distinctive of the three names" (Larsson, 1993, p.1516).

The classical methods of gathering data are either emphasizing quantitative analysis of few variables across large samples (nomothetic survey method) or focusing on qualitative, multi-faceted, in-depth study of one or a few cases (idiographic case study). It will be generally agreeable that rather than choosing one method over the other, studying many issues in many cases will be more desirable. The case survey method is developed as "a means of bringing diverse case studies together under a common conceptual framework so that the findings will be cumulative" (Lucas, 1974, p.1). It can overcome the generalization problem of case study by testing a sufficient number of previous case studies statistically. At the same time, it can provide more in-depth analysis of complex organizational phenomena since the number of variables can be increased beyond the traditional nomothetic survey method.

<b>Figure 3 – Typology of research synthesis</b>		
Source of data Method of integration	Qualitative case studies (unit=case)	Quantitative studies (unit=article)
Narrative / ad-hoc	Traditional review	
Qualitative, interpretive	Meta-synthesis	---
Systematic, but not quantitative	Systematic review	
Quantitative or otherwise highly structured	Meta-analysis (in a broader sense)	
	Case survey (case meta-analysis)	Meta-analysis (in the narrowest sense)
Source: Newig and Fritsch, 2009, table 1		

As an attempt to shed a light on research synthesis, Newig and Fritsch (2009) presented a typology that provides a better overview of where the case survey can be categorized (see figure 3). The typology is based on two dimensions: the source of data and the method of integration. The unit analysis of a case survey is the 'case' (Lucas, 1974, p.9), which can refer to a particular publication, a part of a publication (one that analyzes multiple case), or a compilation of data from multiple publication (Bullock and Tubbs, 1987).

Despite its potential, case survey seems to receive much less attention than the quantitative meta-analysis. Nevertheless, case survey is an inexpensive and yet powerful method for identifying and statistically testing patterns across studies (Lucas, 1974). This method is particularly suitable when:

- The area of research is dominantly represented by case studies (Yin and Heald, 1975)
- The unit of analysis is at an organizational level (Larsson, 1993)
- The interest is on a broad range of conditions (Jauch et al., 1980)
- Experimental design cannot capture the relevant situations (Bullock and Tubbs, 1987)

The conditions mentioned above match the situations of this research very well: the knowledge about CBE is distributed over numerous cases, which are mostly reported in forms of individual case studies; the unit of analysis is at organization level; and this research tries to capture a complex organizational architecture, in which experimental design is impossible (or difficult). Therefore, in this case, case survey can be granted as the most suitable method to be used. This method will allow the author to convert qualitative case study data into statistically analyzable quantitative data, with the help of a coding scheme and the expert judgment by multiple coders.

### **3.2 Strengths and weaknesses**

As any other research method, case survey has both strengths and weaknesses, which can be summarized as follows (e.g. Larsson, 1993; Yin and Heald, 1975; Bullock and Tubbs, 1987).

#### *Strengths:*

- (1) It taps from and optimizes the use of prior research efforts, reported in numerous case studies.
- (2) The case survey method prevails the major drawbacks of single case studies (statistically weak and lack of generalizability) by allowing the use of cross-sectional analysis upon the sets of cases.
- (3) The method can capture more complex phenomena than the nomothetic survey.
- (4) It is replicable since the coding schemes and the case study reports are documented and available to other researchers.
- (5) Case survey method enables researchers to test the possible effect of case study characteristics by including many cases relevant to research questions, regardless their research designs and publications status, rather than prematurely excluding studies.
- (6) When longitudinal data are available, case survey will be able to analyze the patterns of complex phenomena over time.
- (7) Standing on a broad perspective ground, the case survey method can provide a valuable bridge over traditionally research gaps – between quantitative and qualitative

methods.

*Weaknesses:*

- (1) It is limited to the number of case studies available (too many or too few). However, this limitation can be overcome by using multiple search strategies and sources.
- (2) Case survey is criticized for its limited ability for the secondary investigator to select case studies. Lucas (1974) comes up with stratified case selection method to control that limitation.
- (3) Case study reports available for case survey are sometimes incomplete due to space limitations. Nevertheless, whenever necessary, it is possible to contact the case authors for more access on their primary data.
- (4) The quality of case survey is dependent on the quality of case study reports. Yet, again it is not without possible solution. Careful selection of case study reports and testing the validity of case coding can, to a certain extent, overcome that problem.
- (5) The coding procedure may face a dispute between maintaining and simplifying the complexity of phenomena. It is argued that instead of choosing one extreme, researchers should consider the trade-off by balancing the strengths and weaknesses of the two approaches.

### **3.3 Case survey for theory-testing and theory-building**

Before proceeding further into the stages and techniques of case survey, this section provides a more detailed framework of the case survey's applicability to go beyond providing description, but also for theory-testing (deductive) and theory-building (inductive). Overall, the idea is originated from the use of case study research not only to provide description, but also to test and generate theory (e.g. Hak and Dul, 2009a; Hak and Dul, 2009b; Eisenhardt and Graebner, 2007; Eisenhardt, 1989). Below, a brief description of the case study approach is given and then the adapted version for case survey method will be presented.

The case study approach focuses on understanding the dynamic of present by means of single or multiple cases and it may involve multiple level of analysis (Yin, 1984). The data collection of such studies can be drawn from several sources (e.g. archives, interviews, questionnaires, etc.) and thus the evidences may be qualitative, quantitative, or both. For both theory-testing and theory-building, two ways have been proposed: analyzing within-case data (single case study) and searching cross-case pattern (multiple cases). Analyzing a single case study faces the risk of being bias due to subjectivity and thus lack of generalization. Conducting multiple case-studies, on the other hand, is better than a single case study in terms of its reliability, but it is relatively expensive and time consuming. Besides, the number of cases used is likely limited to 4-10 cases due to the complexity and volume of the data (Eisenhardt, 1989).

This paper argues that case survey method can be a good alternative to bridge those gaps. For the theory-testing a case survey can fulfill the goal of *statistical sampling* better than a single or a few case studies, namely to obtain accurate statistical evidence on the distributions of variables within the population. Meanwhile, from the relatively large number of cases used in the case survey, *theoretical sampling* can be applied in order to extend the theory emergence/development. Admittedly, the depth of information will be less than that obtained directly from fields, but overflow of information can also be burdensome instead of beneficial. This paper holds on the perspective that due to the limited writing space, each case reported in the selected articles/papers contains important information extracted from the whole field notes. Hence, it can save some resources on filtering unnecessary information from field notes and instead use them for other activities such as analyzing and interpreting data.

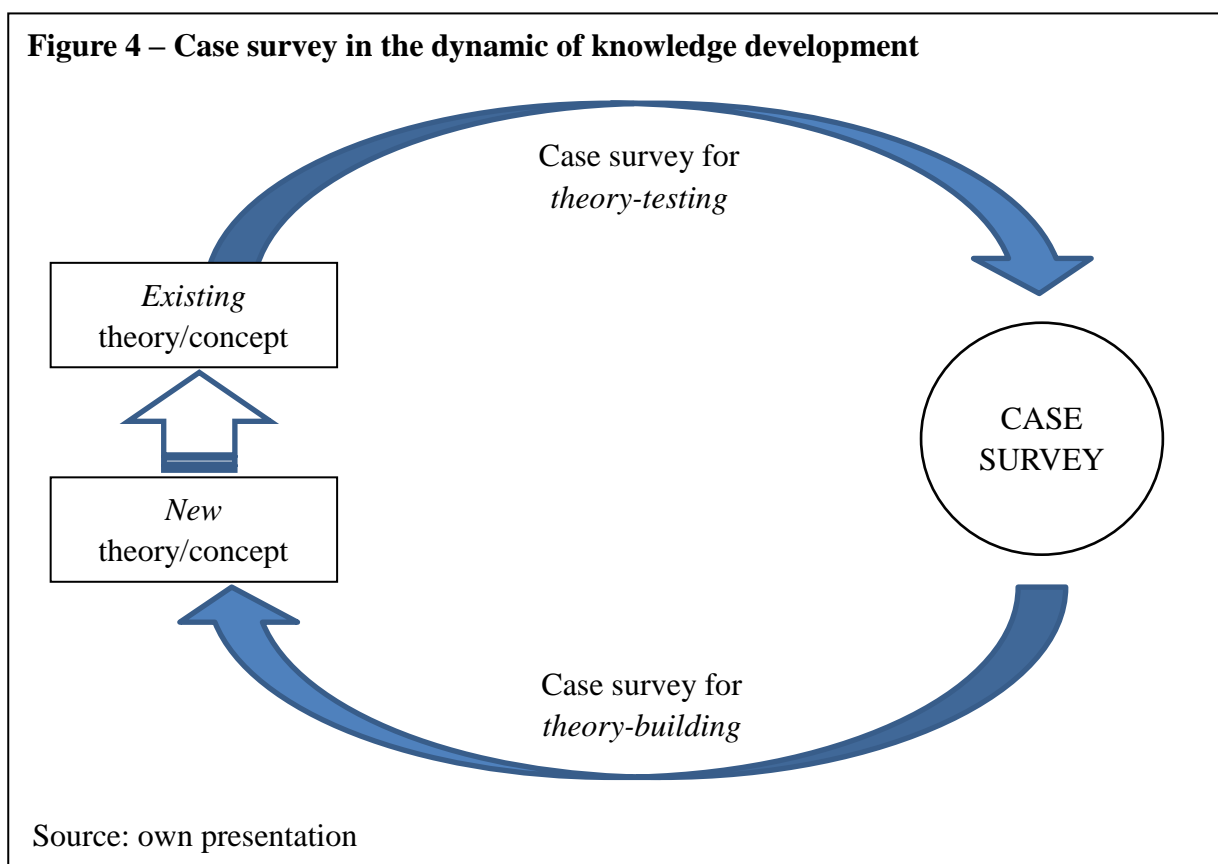


Figure 4 illustrates the possibility of using case survey in the dynamic of knowledge development. It starts from the existing knowledge, based on which hypotheses can be developed. In this case, it focuses on the organizational architecture and performance of CBE (see section 2). Case survey enables the research of gaining more knowledge on those issues. Consequently, it enriches the existing knowledge and enables the achievement of a clearer overview of CBE's organizational architecture and performance (research objective 1 and 2). Besides, a deductive research using case survey can be conducted to test the hypotheses of this research (see section 2.4). The approval (or rejection) of the hypotheses will clarify the

relationships between organizational architecture and performance (research objective 3). Moreover, through case survey some ‘unexpected’ information (not included in the hypotheses) may arise. By implementing theoretical sampling, such information may subsequently substitutes or supplements the existing knowledge, which can be useful for improving the current CBE model (research objective 4). In the future, the results of this research will become the existing knowledge, which then can be tested again. In this way the dynamic of knowledge development is created.

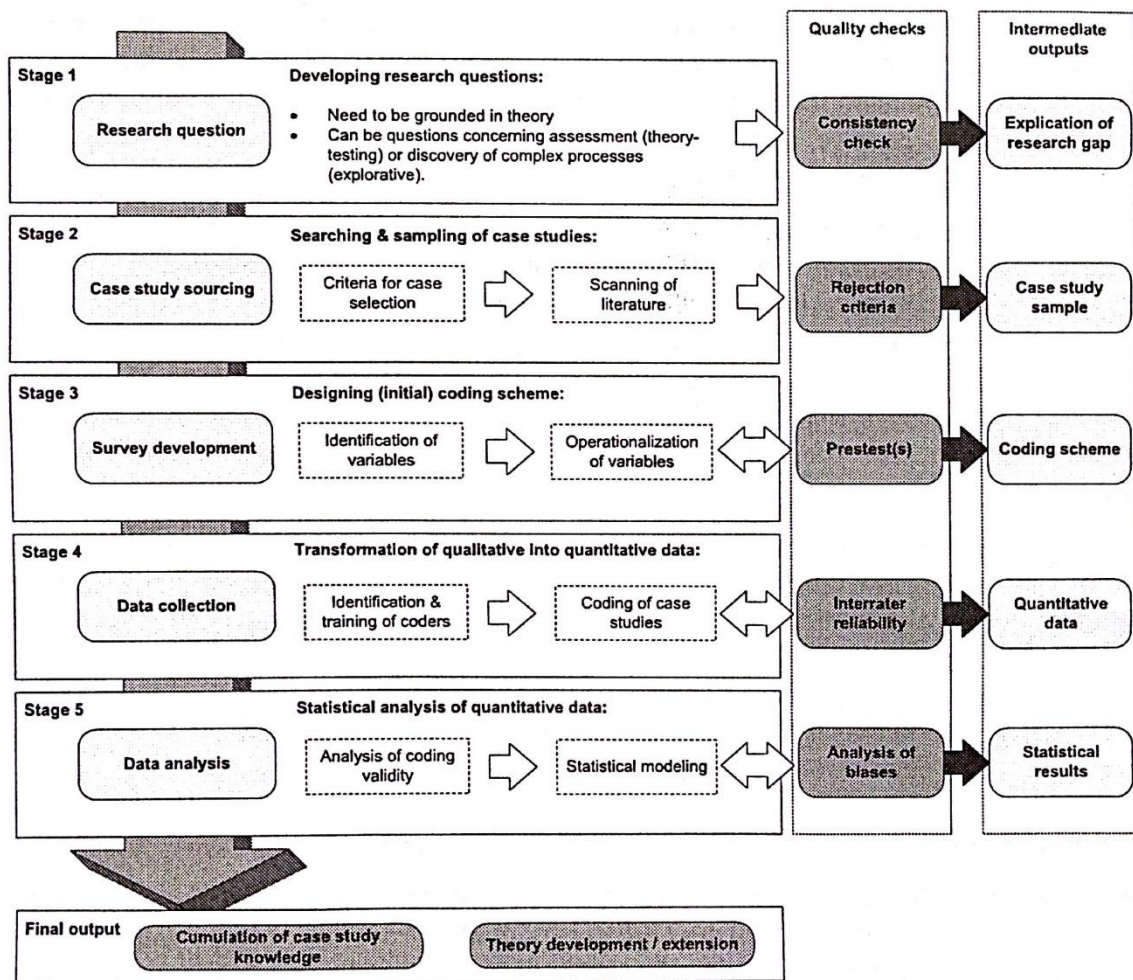
### 3.4 Stages and techniques

In this section, the detailed methodology of case survey approach is described and at the same time, more concrete choices suitable for CBE assessment are determined. Some researchers have suggested different steps on how to conduct a case survey (see figure 5). However, this paper aligns its methodology on a five-stage procedure of the case survey as suggested by Jurisch et al. (2013), namely: (1) develop research questions, (2) searching and sampling of case studies, (3) designing (initial) coding scheme, (4) transformation of qualitative into quantitative data, and (5) conducting statistical analysis of quantitative data (see also figure 6). Those steps are chosen since the author considers them to be just as complete as the other suggestions and yet more clearly arranged. Each of those steps is explained in more detail below and respectively, the possible application for CBE assessment is also presented.

<b>Figure 5 – Some suggested steps of conducting a case survey</b>		
<i>Bullock and Tubbs (1987)</i>	<i>Larsson (1993)</i>	<i>Newig and Fritsch (2009)</i>
1. Develop research questions	1. Develop research questions	1. Develop research questions
2. Set criteria for study collection	2. Set criteria for case selection	2. Determine the methodology
3. Collect case studies	3. Collect sample cases	3. Define case selection criteria
4. Develop coding scheme	4. Design coding scheme	4. Collect sample cases
5. Code case studies	5. Code cases by multiple raters	5. Design initial coding scheme
6. Estimate/measure reliability and coding quality	6. Code cases by original authors	6. Conduct pretest and revision of coding scheme
7. Resolve rating discrepancies	7. Measure inter-rater reliability	7. Code cases by multiple raters
8. Analyze data matrix	8. Resolve coding discrepancies	8. Measure inter-rater reliability
9. Report results of the study	9. Statistical analysis to estimate the validity of coding	9. Resolve (important) coding discrepancies
	10. Statistical analysis to measure the impact of case study's characteristics	10. Statistical analysis of biases
	11. Statistical analysis of the data set	11. Analysis of data set
	12. Report the study's results	12. Report the study



**Figure 6 – Five-stage procedure of case survey method**



Source: Jurisch et al., 2013, figure 2

### 3.4.1 Developing research questions

Developing structured and clear research questions is the starting point for a case survey. They should reflect the kind of knowledge to be obtained from the survey. Case survey can be done for both testing theory-driven hypotheses and exploring the contents of relevant literature. For both purposes, research questions are needed and become the starting point to enable the selection of appropriate cases and the design of an effective coding scheme. The research questions have been presented earlier (section 2.1). In this case, the nature of this research is both explorative and correlative.

### 3.4.2 Searching and sampling of cases

In order to achieve reliability and generalizability, the sampling must be planned and executed systematically (Miles and Huberman, 1994). This stage can be divided into two steps: (1)



determine the case selection (or rejection) criteria and (2) the scanning of literature.

The case selection criteria should be explicit and founded on the research questions (Bullock and Tubbs, 1987). The characteristics of the cases (e.g. type of research design, publication status, and time period studied) should not be used to initially exclude cases, but instead as variables. Moreover, depending on the number of existing cases, available resources, and statistical sufficiency, the selection of cases can be narrowed or broadened. It is suggested to combine different search strategies (e.g. computer search and expert consultations) and to use a pool of different sources (e.g. research publications, dissertations, conference papers, and unpublished sources) to minimize data-sources bias. An explicit screening procedure upon the collected cases needs to be applied in order to exclude cases that appear to contain too little information or to consume too much resource. Moreover, a sampling procedure can be done whenever necessary.

As suggested above, no prior sectorial, time period, and type of publication limitation will be applied. In data collection, the use of ‘lingua franca’ (usually English) can be a good and pragmatic option (Srnrka and Koeszegi, 2007). Following that suggestion (and also to match the available resources), this research limits the case selection to English articles. No combination of search strategy will be applied (only computer search), but with making use of different sources. Computer search will be conducted by filtering the economics database, which is electronically accessible from the university’s library, using the criteria mentioned in the previous subsection as keywords. Depending on the number of cases found and the available resources, it will be decided later on whether all the cases will be fully analyzed or sampling need to be taken into account.

Since the intended assessment is regarding the CBE, the first and most important criterion is the keyword search “community-based enterprise”. However, due to the lack of uniformity of CBE terminology (for explanation see the working paper of Soviana, 2013), the use of alternative keywords should be considered. In reality, relevant articles may not be exactly entitled “community-based enterprise”, but for example community enterprise, community-based entrepreneurship, community-based tourism enterprise, etc. The keywords search is done mainly in “title” and “abstract” fields, since they represent the important aspects discussed in the paper. In some cases, however, the search engine does not allow for specific search in certain fields. In that case, a general filtering using the keywords is implemented. The keywords search results will then further be refined by scanning through the title and abstract of the articles and it will be determined whether the article is feasible for the case survey. The selected case must contain data on both organizational architecture and performance aspects in order to enable the analysis of their relationships.

<b>Figure 7 – Results of keywords’ search in databases</b>		
<b><i>Database</i></b>	<b><i>Keywords</i></b>	<b><i>Result</i></b>
EBSCO Host (Business Source Premier, EconLit, Regional Business News)	“community-based” and “enterprise” (abstract)	108
	“community enterprise” (abstract)	53
	“community” and “enterprise” (abstract)	5923
	“community” and “enterprise” (title)	<b>244</b>
SciVerse Science Direct	“community-based” and “enterprise” (abstract, title, keyword)	28
	“community” and “enterprise” (abstract, title, keyword)	<b>566</b>
EconBiz	“community-based” and “enterprise” (title)	21
	“community” and “enterprise” (title)	<b>105</b>
Web of science	“community-based” and “enterprise” (title)	7
FAO Publication	“community-based enterprise”	33
	“community enterprise”	<b>39</b>
IFPRI Publication	“community-based enterprise” (title)	11
	“community enterprise” (title)	<b>63</b>
Source: respective websites, accessed on 05.06.2013		

As shown in figure 7, the initial search is done by filtering some databases: EBSCO Host (including Business Source Premier, EconLit, and Regional Business News), Science Direct, EconBiz, Web of Science, as well as FAO and IFPRI publications database. Those databases cover a mix of different type of publications, including peer-reviewed journals’ articles, working/discussion paper, as well as project reports. Besides, they also cover different sectors from various countries. In comparison with all available case studies, those databases might be far from complete. Due to limited resources, it is impossible to do a complete search. Nevertheless, the author argues that conducting this case survey is certainly having more generalization power than a single case study.

### **3.4.3 Design of coding scheme**

An important part of a case survey is the coding scheme. A coding scheme is a guide to document the qualitative case study data into quantified variables respective to the research questions. Before making the categorization, some fundamental decisions concerning these following issues need to be made (Srnrka and Koeszegi, 2007):

- (a) How much of the unitized material should be used to develop the coding scheme?

It is suggested to use the entire data to develop the coding scheme. However, in case of large number of samples, using a balanced random sample of materials can be

acceptable.

- (b) Which categories should be used (existing vs. new; single-level vs. hierarchical)?

The categorization can start with the ‘standard’ categories drawn from theory and later be adapted to the specific research problem or content of data. Hierarchical schemes are theoretically “insightful and valid” (Srnrka and Koeszegi, 2007, p.37) and able to contribute higher reliability since they are more precise.

- (c) How detailed should the scheme be made?

“The more detailed the category scheme, the better it reflects the particular meaning of the unit to be coded, and the higher is thus its validity” (Srnrka and Koeszegi, 2007, p.37). A detailed scheme offers more flexibility in the analysis; thus, starting with a more comprehensive coding scheme and collapsing it whenever necessary later on (Larsson, 1993).

There is no general rule for determining the coding scheme. The bottom-line of designing a coding scheme is the trade-off between availability of resources, reliability, simplicity, and complexity of information (Larsson, 1993). The numbers of variables and the type of scales used may vary for each coding scheme. For this research, an initial coding scheme for assessing CBE (see appendix) has been created and it is a subject to work-in-progress since some revision may take place afterward. The author will take into account the feedback from her fellow researchers in order to refine the scheme.

This paper attempts to record as many relevant variables as possible in order to capture the complexity of each case. Both qualitative and quantitative information will be documented. Later on for the purpose of comparison and analysis, whenever necessary, the data can be collapsed into fewer categories and lower measurement-scales. A kind of semi-structured data collection method will be used, in which the initial coding scheme provided in the appendix is the bottom-line of which information should be gathered at the least.

#### **3.4.4 Transformation of qualitative into quantitative data**

The coding is done by systematically assigned the information extracted from the case studies into units as described in the coding scheme (Srnrka and Koeszegi, 2007). This stage is typically time and resource consuming during the entire case survey procedures. Multiple coding, assigned by two or more raters, is recommended in order to eliminate bias due to single-minded interpretation, and thereby, make case interpretations a collective rather than a subjective attempt. Author participation is also an option for the purpose of providing additional information. However, author participation may lead to lower inter-rater reliability since there is information discrepancy in comparison with non-author rater. Inter-rater reliability is crucial for measuring the quality of case survey. The inter-rater reliability can be measured in two ways: (1) *percent absolute agreement*: the percentage of cases on which all

raters code a variable identically, and (2) *average pairwise percent agreement (APPA)*: the number of pairwise identical codes divided by the total number of pair comparisons. Bullock and Tubbs (1987) argue that the former should be used as the primary index, especially for categorical variables. Meanwhile, Larsson (1993) prefers the latter since it is neutral to number of raters and it is therefore able to capture partial agreements missed by the former. It is also recommended to conduct a pilot coding.

This paper takes the selected cases selected as given, so author-participation approach is not applied in this case. Holding on the perspective that a report should contain the most important facts and findings necessary to be reported, this paper considers each case as a complete data-set, containing all the least essential information. Furthermore, due to limited resources available to conduct the case survey, this research applies one rater per case approach. However, taking heed of the importance of inter-rater reliability, a random selection of cases (5-10% of the total number of cases) will be rated by two other raters at the beginning of the case survey. APPA approach will be used to measure the inter-rater reliability by means of ReCal3 (an online utility that computes inter-rater reliability coefficient for nominal data coded by three or more coders). If the reliability level is low, then the main rater is not eligible to conduct the survey further and he/she is to be replaced by another rater. On the other hand, if high, then it proves that the main rater is able to code the cases objectively.

### **3.4.5 Statistical analysis**

Through the coding, the qualitative information is converted into quantitative data. Therefore, researchers can carry out the data analysis through conventional statistics. Manifold methods exist to do the statistical inquiry; for instance, bivariate correlation, multivariate correlation, regression and path analysis. The selection of analysis tools depends on the types of data and scales used.

As can be seen in the coding scheme (see appendix), the type of data designed for the CBE case survey, both for the independent and dependent variables, are categorical with applying a mix of binary, nominal, and ordinal scales. First of all, descriptive statistics will be run, including frequencies and crosstabs analysis. Correlation analysis will also be conducted to test the relationship between two variables in one sample. The analysis includes the use of crosstabs and contingency test, as well as Kendall/Spearman correlation. Furthermore, to be able to predict the degree of influence of independent variables on dependent variable, regression analysis needs to be conducted. However, since the dependent variable in this case is categorical, the use of standard linear regression model is inappropriate. Regression analysis for categorical dependent variable can be done by using Logistic Regression and Loglinear model (Powers and Yu, 2008).

## 4. Concluding remarks

As a response to the lack of organizational knowledge about CBE, this paper aligns its research on organizational theory and hypothesizing that the organizational architecture of CBE is likely influencing its performance. Research on CBE is usually reported in a form of case study or project report. The singularity/individuality of those reports has made it difficult to have a general overview and the results are lacking of generalizability. Therefore, to bridge those gaps, this paper aims to propose a research design, which is a case survey. Despite the lack of popularity, this method is deemed suitable for bringing and analyzing diverse cases under a common conceptual framework and thereby, it is able to achieve a cumulative result, which has higher generalizability than that of a single case study. Some hypotheses and the respective coding scheme have been presented. Additionally, a detailed methodology is also explained. This paper expects to give the readers an option of tool for assessing CBE, whose implementation will enable the future contribution of knowledge development academically and practically.

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## Appendix – Initial Coding Scheme

### *Publication's information*

**Title:**

**Author**

**Year of publication:**

**Type of publication:**

- |                              |   |
|------------------------------|---|
| (1) Journal article          | (2) Dissertation  |
| (3) Discussion/working paper | (4) Project report issued by development/ donor institution |
| (5) Other:                   |   |

### *Contextual constraints*

#### *Macro condition*

Country name:

Corruption Perception Index:

Political Instability Index:

Human Development Index:

Hofstede Cultural Dimension Index

- Power Distance:
- Individualism:
- Masculinity:
- Uncertainty Avoidance:
- Long-term Orientation:

Availability of CBE-supporting regulation (Yes/Partially/No/Not known):

#### *Local condition*

	Completely agree	Partially agree	Completely disagree	Not known
<b>Access to social services</b>				
The community has inadequate access to...				
Education (elementary and high school)				
Basic health services				
Clean water				
<b>Cultural and demographic aspects</b>				
The community has a long historical bound.				
The number of local inhabitants is increasing.				
The size of community is relatively small.				

The community is very homogeneous.				
The community is open to new/outside's influence.				
<b>Economic conditions</b>				
There is low job availability in the local area.				
There is high unemployment in the local area.				
The community has relatively low income.				
The community does not have adequate access to financial support institution.				
There is no cooperative in the area.				
<b>Environmental situations</b>				
The local area suffers from environmental problem.				
The community has high awareness about the importance to conserve environment.				
The community has high interest in conserving environment.				
<b>Social capital</b>				
The community members trust each other.				
There is no local conflict.				
The community members are civically engaged in local affairs.				
The community has positive experience of collective action.				

## ***Organization structure***

### *Type of CBE's membership*

- (1) Open membership to all but only to community members
- (2) Open membership to all those who have a stake in that enterprise, including people and organizations outside the community
- (3) Close membership, restricted to certain members of the community who are selected by the entrepreneurs that run the enterprise
- (4) Close membership, restricted only to those selected by its entrepreneurs from a wide range of stakeholders

### *Legal form of the CBE*

- (1) Cooperative; (2) Association; (3) Trust; (4) Enterprise; (5) Informal; (6) Others:

### *Community participation level and outsiders involvement*

<b><i>Stakeholders participation in performing tasks</i></b>	Community participation level			Outsiders' involvement (Yes=1, No=0)		
	High (2)	Low (1)	No (0)	Government	NGO	Private
<b>Initiation phase:</b>						
Initiate the idea of establishing a CBE						
Communicate the idea to the community members						
Mobilize stakeholders to participate						
Develop a strategic plan						
Conduct research and analysis of technical and management options						
<b>Operational phase:</b>						
Arrange and join meeting						
Manage the CBE						
Perform high-skilled technical work						
Perform low-skilled technical work						
Handle high-skilled management work						
Handle low-skilled management work						
<b>Evaluation/monitoring phase</b>						
Monitor the flow of CBE						
Evaluate the performance of the CBE						
Plan the re-investment/ future strategy						

<b><i>Stakeholders participation in providing capitals</i></b>	Community participation level			Outsiders' involvement (Yes=1, No=0)		
	High (2)	Low (1)	No (0)	Government	NGO	Private
<b>Physical capital</b>						
Infrastructure facilities (e.g. road, electricity, communication services)						
High-tech equipment						
Low-tech equipment						
<b>Financial capital</b>						
Start-up capital						
Operational capital						
<b>Natural resources</b>						
Common-pool resources						
Property rights over CPR						
Local raw material						

Human capital						
Leadership skill						
Organizational skill						
Technical skill						
Networking skill						

<b><i>Stakeholders participation in decision-making</i></b>	Community participation level			Outsiders' involvement (Yes=1, No=0)		
	High (2)	Low (1)	No (0)	Government	NGO	Private
Decide to establish CBE						
Decide the choice of strategic plan						
Control over management issues						
Decide about evaluation issues						

## ***Performance***

	Perceived expected benefits			Actual performance		
	High (2)	Low (1)	No (0)	High (2)	Low (1)	No (0)
Development of local infrastructure and facilities						
Development of community's capacity						
Stimulate local economic development						
Generation of financial benefits for the community						
Contribution to the sustainable resources management						
Development of community environmental awareness and understanding						