

## Stage 1: Before the case development begins

*Stage 1A: What is the purpose of the case are you envisioning?*

X	Type	Comments
	Research	Objective is to examine cause and effect, typically in a situation where phenomenon being observed are too complex for controlled experiment. May be single case or part of a collection of cases.
	Discussion	Objective is to create a case study that can be used as the basis for class discussion. Typically, such cases present a situation which requires discussants develop and/or evaluate solutions.
	Illustration	Objective is to provide a concrete example of some phenomenon of interest, with the objective of creating a more lasting impression than could be achieved with a more abstract form of presentation.
	Walkthrough	Objective is to provide an example of the analytical process (quantitative or qualitative) that is appropriate for a particular situation, often used within the context of a lecture.
	Exercise	Objective is to present a contextually rich situation that can be analyzed using to one or more approaches. It is similar to the traditional word problem in intent.
	Other	<i>Describe:</i>

*Stage 1B: What is its expected relationship to other cases?*

X	Type	Comments
	Independent	The case stands alone and can be meaningfully discussed, presented or analyzed without reference to other cases. It can be used by itself without creating false impressions.
	Comparative	The case is specifically intended to be used with one or more other cases, where it serves as a basis for comparison. It will normally not be used by itself.
	Cumulative	The case is to be developed as part of an inductive framework (e.g., a multi-case class, a multi-case research project) and could be misleading if used as the only example, situation or observation.

*Questions: If comparative or cumulative:*

1. What is the source of the other cases?
  
2. What role should the case being developed play?

*Stage 1C: How will case material be acquired and presented?*

X	Type	Comments
	Reported Observation	Case writer(s) will acquire non-public information from case site (in-person or by electronic means) and public information. Case will be written as description of the actual situation.
	Lightly Disguised	Case will be developed through reported observation. After the case has been prepared, non-material changes to participant, organization and quantitative elements may be made to preserve privacy.
	Heavily Disguised	Case will be developed through reported observation but, after its development, will be changes in such a way such that material elements (e.g., industry, organization) cannot be determined.
	Public sources	Case is developed entirely using sources available to the public (e.g., public Internet, journal articles, government documents). <i>Permission to release public-source cases is not normally required.</i>
	Fictional	Case study is based on an entirely fictional situation, organization, individual, etc. Similar to a novel, its sources could include the writer's own experience, imagination and public sources.

*Stage 1D: What is the anticipated outlet for the case?*

X	Type	Comments
	Local	The case will be used locally, in the classroom or as an exercise. Write up may assume certain common knowledge (e.g., where the organization is located, its size, role, etc.)
	External	The case is designed for use outside the local organization but is to be distributed informally (e.g., web, email, working paper). Should include information relevant to understanding the local context.
	Published	The case is intended for publication as a research case, teaching case or learning object. Similar to local case except publication criteria (e.g., length) must be considered.

## Stage 2: After case site has been identified

*Explore publicly available sources related to the case situation:*

X	Type	Comments
	Search	Google the protagonist and other relevant keywords
	Research	Examine research databases for relevant literature
	Web	Browse organization-department-project/course web sites
	Repositories	Look for similar cases in sites like HBS (business) or MERLOT
	Records	Is topic described in press, reports (e.g., LexisNexis search).
	Other	<i>Describe:</i>

### Stage 3: First meeting

*Topics for initial discussion:*

X	Type	Questions
	Context	<ul style="list-style-type: none"><li>• What is the <b>industry/field</b> → <b>organization</b> → <b>organizational unit</b> in which the case is taking place?</li><li>• What is the historical context of the case?</li><li>• What are the available data sources?<ul style="list-style-type: none"><li>• Where should I look for publicly available data?</li><li>• Are there any private documents or systems that I can be given access to while I'm developing the case?</li></ul></li></ul>
	Protagonist	<ul style="list-style-type: none"><li>• What is the background of the individual most directly related to the case?</li><li>• What are the available data sources?</li></ul>
	Situations	<ul style="list-style-type: none"><li>• What do you view as your most important recent accomplishments?</li><li>• What interesting issues are you currently facing?</li></ul>

	Possible Topics	<p>For each accomplishment or issue identified:</p> <ul style="list-style-type: none"><li>• What makes the situation particularly interesting?</li><li>• What decisions are you currently facing?</li><li>• What decisions did you (or your organization) make in the past that led up to the current situation?</li><li>• How might my involvement in writing the case assist you with respect to this situation?</li><li>• Who else was involved, and would they be willing to talk with me?</li><li>• What are the available data sources?</li></ul>
	Release	<ul style="list-style-type: none"><li>• When the case is completed, would you like to be listed as a co-author?</li><li>• What, if any, aspects of the case study do you think you may want to disguise?</li><li>• Who has the authority to release the case, once it has been approved?</li><li>• When can I speak to that individual?</li></ul>

*Items to provide before or during the first meeting:*

X	Item	Comments
	Biography	Provide some background on yourself, so they know where your experience lies. Don't just throw in your vita—tailor it to your audience. Compare Exhibit 1 (business version) with Exhibit 2 (NSF version) of same biography.
	Case objectives	Explain why you want to develop the case. First page of Exhibit 3 is an example of a document prepared to solicit business sites willing to participate in case studies.
	Process outline	Outline the case writing process so the site has a clear idea what they are getting into. It is far better to have a potential case site decline to participate early—rather than late—in the case writing process. See Exhibit 3 FAQs for example.
	Benefits summary	Explain what the benefits of participating in the case study are likely to be. Don't assume that "contributing to the world's knowledge" will be enough. Other benefits may include: clarifying a complex situation, access to your unusual expertise, creating a document that can be incorporated elsewhere (e.g., in strategic plan). See Exhibit 3 FAQs for example.
	Sample case	No matter what type of case your writing, many sites will not be familiar with what a case is. Offer them a sample of a case study similar to what you are contemplating writing.
	Other	<i>Describe:</i>

## Stage 4: Determine Topic

*Stage 4A: For each possible topic, what type of case is likely to emerge?*

X	Type	Comments
	Decision-Making	Topic focuses on a decision that needs to be made or the situation leading up a decision that was made in the recent past. Best fits with the "Discussion" objective, though can also be used for "Exercise" objective.
	Knowledge	Topic will serve to convey knowledge to its reader. Such knowledge can include better understanding of the case context or the approach used in some decision-making process. Best fits with "Research" and "Walkthrough" objectives—also useful for cumulative case sets.
	Showcase	Case will illustrate an exemplary handling of some problem or situation, particularly useful when a case is to be used for "Illustration" objectives. <i>Be aware that most sites are hoping your case will serve as a showcase for their activities.</i>
	Fable	Case provides an unambiguous narrative tying a particular series of actions to a particular observed consequence. Can be useful for "Illustration" objectives but is best saved for comparative sets of cases if a balanced perspective is to be maintained.
	Mixed	<i>Describe:</i>

*Stage 4B: What are the sequencing options?*

X	Type	Comments
	Complete	The topic can stand alone as a single entity. If outcome information is desired (for a discussion case) it will be provided in a teaching note or informally by the instructor. Typically, however, such outcome information does not critically contribute to the value of the discussion.
	Staged	The topic naturally breaks into a series of stages—typically labeled A, B, C, etc. Normally used for discussion cases, participants will typically get access to later case stage write ups as the discussion progresses. This format allows for discussions of the potential impact of different actions prior to revealing their consequences.

*Stage 4C: Emphasis on Intelligence-Design-Choice*

X	Type	Description
	Intelligence	Develops knowledge, comprehension and the ability to apply information in a real-world setting. Facts incorporated into the case and techniques described in the case are inherently valuable to students. Cases provide an alternative means of conveying information that would otherwise be presented in lectures.
	Design	Case provides student the opportunity to choose and perform analysis—the form of which must be determined by the reader. Thoughtful preparation of the case may require proposing actions or designing activities not specifically specified by the case. Information in the case must be prioritized with respect to relevance and value.
	Choice	Case requires the reader decide between a two or more plausible alternatives, justifying that decision based upon materials presented in the case. Thoughtful preparation includes identifying the strengths and weaknesses of each possibility and using a deep understanding of the case situation to guide the decision process. Assumptions regarding information not presented in the case but relevant to the decision may be required, and are explicitly justified.

*Stage 4D: Complete each of the following actions*

X	Activity	Description
	Choose the preferred topic	If more than one situation exists, choose the one that you prefer based on your analysis.
	Write opening section	Create an introduction suitable for the case type. For example: <ul style="list-style-type: none"><li data-bbox="690 336 1425 402">• <i>Research</i>: Identify the relevance of the research problem being addressed by the case.</li><li data-bbox="690 408 1486 512">• <i>Discussion</i>: Identify the context of the decision being made and any alternatives that are explicitly being considered</li><li data-bbox="690 517 1256 552">• <i>Illustration</i>: Summarize the situation.</li><li data-bbox="690 557 1520 624">• <i>Walkthrough, Exercise</i>: Present a concise statement of the problem being addressed.</li></ul>
	Get preliminary approval	Email the introduction to the protagonist (if applicable) and ensure there is mutual agreement to proceed on the chosen situation.
	Inventory existing data sources	Determine all public and private resources you've been given access to that are relevant to the specified topic.
	Outline case study	Create an outline of the case with the principal objective of determining what data you need to gather.

*Stage 4E: If none of the topics seem appropriate, return to the contact and see if there are any other options.*

## Stage 5: Second meeting

### *Stage 5A: Establish ground rules for data gathering*

X	Activity	Description
<b>Acquiring direct quotes</b>		
	Record	Record interviews as they are conducted
	Paraphrase	Approximate quotes then let individual correct, as necessary, in draft
	On request	Send individual request for quote on a specific topic
<b>Circulating rough drafts</b>		
	Independent	Each individual interviewed for the case is contacted privately to approve relevant materials prior to anyone seeing draft
	Coordinated	The contact point for the case is given all drafts of the case and is in charge of gaining approvals for all participants
	Broadcast	A group of individuals is granted simultaneous access to each draft of the case as it is finished
	Managed	The contact point for the case is given all drafts of the case and determines if other participants need to see it when its finalized

**Responsibility for getting permissions for included materials**

Contact	The contact point takes responsibility, desirable if many of the materials require organizational approval
Case writer	The case writer takes responsibility, desirable if many of the materials are 3 <sup>rd</sup> party (e.g., newspaper clippings)
Mixed	Both parties take responsibility, based upon the source of the materials

**Responsibility for setting up interview schedules, if needed**

Contact	Site contact identifies the appropriate contacts and sets up a schedule of interview times
Site administrator	Case writer contacts an administrative assistant at the site with requests to meet specific individuals
Case writer	Case writer contacts individuals to be interviewed directly, and sets up appointments as desired

*Stage 5B: Conduct in-depth interview of contact*

*Stage 5C: Create to-do list for remainder of case development*

*Stage 5D: Determine timing of release document (for teaching cases)*

X	Item	Description
	Prior to first use	The case must be released prior to any use in the classroom
	Subsequent to first use	A one-time release is granted for first use, with the formal release made after a "test run" in the classroom

## Stage 6: Write the case

*Typical organization for discussion and research cases:*

Discussion Case	Research Case
<b>Introduction</b> Present the decision setting and motivate the decision being made.	<b>Introduction</b> Motivate the research topic by highlighting its importance and demonstrating that it is not fully understood.
<b>Environment</b> Describe the environment (e.g., industry, field, country/culture) in which the case is set, explaining aspects pertinent to the case.	<b>Literature Review</b> Review previous literature related to the case situation and frameworks that have been proposed
<b>Organization</b> Describe the organization (e.g., agency, company, institution) in which the case is situated.	<b>Research Framework</b> Research questions to be addressed and the analytical framework to be used. Formal hypothesis testing is less common than presentation of arguments relating to cause and effect.

<p><b>Locale</b> Describe the small group (e.g., department, tribe, neighborhood, subculture) in which the case is situated.</p>	<p><b>Data Gathering Protocol</b> Methods used to gather data related to the case, often emphasizing triangulation (gathering data from multiple sources to confirm the same observation)</p>
<p><b>Protagonist</b> Describe the individual or small group most directly responsible for any actions or decisions relevant to the case.</p>	<p><b>Background &amp; Situation</b> Description of the case situation and the key elements of the case.</p>
<p><b>Situation</b> Describe the specific situation to be addressed in any analysis of the case that is to be performed.</p>	<p><b>Analysis</b> Discussion of the case in the context of the analytical framework.</p>
<p><b>Constraints and Requirements</b> Revisit the case situation specifying all constraints (e.g., time pressure, specific criteria that must be met) and requirements (e.g., alternatives to be considered or important priorities).</p>	<p><b>Conclusions</b> Presentation of conclusions from the case, with particular attention being paid to their likely generalizability to other situations.</p>
<p><b>Exhibits</b> Source documents, images and tables relevant to the case.</p>	<p><b>Appendices</b> Source documents, images and tables relevant to the case.</p>

### Stage 7: Gain case approval

X	Item	Description
	Copyright	Copyright could be held by author, author's institution or site organization. This can become a particular issue in the event the case is subsequently published.
	Duplicating rights	If a case is to be used in the classroom, it's a good idea to explicitly provide duplication rights to the author, the author's institution and the site organization.
	Right to recall case	Sometimes an organization may wish to recall a case. Typically, such a clause should be in place only if the case is being distributed or published locally, and never in research cases.
	Non-material changes	It is a good idea to add a clause allowing minor edits, not affecting the overall case, to be made. This prevents multiple rounds of approvals for typos or small changes.
	Consequential damages	Particularly in a commercial setting, it may be appropriate for the site organization and author to agree not to pursue each other if the case leads to unintended consequences.
	Good faith and arbitration	Particularly in a commercial setting, it may be reassuring to the site for you to state that you'll try to act in good faith to resolve any disputes and that you'll submit to arbitration if you can't