CONTENTS

FOREWORD	xiii
PREFACE	xv
ACKNOWLEDGMENTS	xvii

PART I CASE STUDY METHODOLOGY

1	INTRODUCTION			
	1.1	What i	s a Case Study?	3
	1.2	A Brie	f History of Case Studies in Software Engineering	5
	1.3	Why a	Book on Case Studies of Software Engineering?	6
	1.4	Conclu	ision	9
2	BAC	KGRO	JND AND DEFINITION OF CONCEPTS	11
2	BAC 2.1	KGROU	JND AND DEFINITION OF CONCEPTS	11 11
2	BAC 2.1 2.2	KGROU Introdu Resear	JND AND DEFINITION OF CONCEPTS action th Strategies	11 11 11
2	BAC 2.1 2.2 2.3	KGROU Introdu Resear Charac	UND AND DEFINITION OF CONCEPTS action rch Strategies exteristics of Research Strategies	11 11 11 13
2	BAC 2.1 2.2 2.3	KGROU Introdu Resear Charac 2.3.1	UND AND DEFINITION OF CONCEPTS action the Strategies exteristics of Research Strategies Purpose	11 11 11 13 13
2	BAC 2.1 2.2 2.3	KGROU Introdu Resear Charac 2.3.1 2.3.2	UND AND DEFINITION OF CONCEPTS action the Strategies exteristics of Research Strategies Purpose Control and Data	11 11 11 13 13 14

		2.3.4 Replication	16					
		2.3.5 Inductive and Deductive Enquiries	16					
	2.4	What Makes a Good Case Study?	17					
	2.5	When is the Case Study Strategy Feasible?	19					
	2.6	2.6 Case Study Research Process						
	2.7	Conclusion	21					
3	DES	SIGN OF THE CASE STUDY	23					
	3.1	Introduction	23					
	3.2	Elements of the Case Study Design	24					
		3.2.1 Rationale for the Study	24					
		3.2.2 Objective of the Study	24					
		3.2.3 Cases and Units of Analyses	26					
		3.2.4 Theoretical Framework	29					
		3.2.5 Research Questions	30					
		3.2.6 Propositions and Hypotheses	31					
		3.2.7 Concepts	32					
		3.2.8 Methods of Data Collection	32					
		3.2.9 Methods of Data Analysis	33					
		3.2.10 Case Selection	33					
		3.2.11 Selection of Data	35					
		3.2.12 Data Definition and Data Storage	36					
		3.2.13 Quality Control and Assurance	36					
		3.2.14 Maintaining the Case Study Protocol	37					
		3.2.15 Reporting and Disseminating the Case Study	38					
	3.3	Legal, Ethical, and Professional Issues	40					
	3.4	Conclusion	45					
4	DAT	A COLLECTION	47					
	4.1	Introduction	47					
	4.2	Different Types of Data Source	47					
		4.2.1 Classification of Data Sources	47					
		4.2.2 Data Source Selection	49					
	4.3	Interviews	50					
		4.3.1 Planning Interviews	50					
		4.3.2 The Interview Session	52					
		4.3.3 Postinterview Activities	53					
	4.4	Focus groups	54					

	4.5	Obser	vations	56
	4.6	Archiv	val Data	57
	4.7	Metric	cs	58
	4.8	Conclu	usion	60
5	DAT		LYSIS AND INTERPRETATION	. 61
	5.1	Introd	uction	61
	5.2	Analy	sis of Data in Flexible Research	62
		5.2.1	Introduction	62
		5.2.2	Level of Formalism	64
		5.2.3	Relation to Hypotheses	65
	5.3	Proces	ss for Qualitative Data Analysis	65
		5.3.1	Introduction	65
		5.3.2	Steps in the Analysis	66
		5.3.3	Techniques	68
		5.3.4	Tool support	70
	5.4	Validit	ty	71
		5.4.1	Construct Validity	71
		5.4.2	Internal Validity	71
		5.4.3	External Validity	71
		5.4.4	Reliability	72
	5.5	, Improv	ving Validity	72
	5.6	Quanti	itative Data Analysis	74
	5.7	Conclu	usion	76

6 REPORTING AND DISSEMINATION

77

6.1	Introduction					
6.2	Why F	Report and Disseminate	78			
6.3	The A	udience for the Report	79			
6.4	Aspec	ts of the Case Study to Report and Disseminate	80			
6.5	When to Report and Disseminate					
6.6	Guidelines on Reporting					
	6.6.1	The Generic Content of an Academic Report	. 82			
	6.6.2	Reporting Recommendations from Evaluative Case				
		Studies	84			
	6.6.3	Reporting to Stakeholders, Including Sponsor(s)	85			
	6.6.4	Reporting the Context of the Case Study	87			

		6.6.5 Reporting to Students	89
		6.6.6 Ad Hoc and Impromptu Reporting	90
	6.7	Formats and Structures for a Report	91
	6.8	Where to Report	94
	6.9	Ethics and Confidentiality	94
	6.10	Conclusion	95
7	SCA	LING UP CASE STUDY RESEARCH TO REAL-WORLI)
	30F		97
	7.1	Introduction	97
	7.2	The Aims of Scaling up Case Studies	98
	7.3	Dimensions of Scale	99
	7.4	Longitudinal Case Studies	100
	1.5	Multiple Case Studies	102
		7.5.1 Multiple Cases and Replications	102
	76	7.5.2 Selecting the Cases	104
	7.0 7.7	Conclusion	105
	1.1	Conclusion	107
8	USIN	IG CASE STUDY RESEARCH	109
	8.1	Introduction	109
	8.2	Reading and Reviewing Case Studies	109
		8.2.1 Development of Checklists	110
		8.2.2 Checklists for Conducting Case Study Research	111
		8.2.3 Checklists for Reading and Reviewing Case Studies	111
		8.2.4 Development of Practice	111
,	8.3	Identifying and Synthesizing Use Case Research	111
		8.3.1 Identifying Primary Studies	112
		8.3.2 Synthesis of Evidence from Multiple Case Studies	113
		8.3.3 Current State of Synthesis	117
	8.4	The Economics of Case Study Research	118
		8.4.1 Costs and Benefits of Evaluation Techniques	119
		8.4.2 Evaluation of the DESMET Methodology	119
		8.4.3 Frameworks for Organizing Methods of Evaluation	119
	8.5	Specializing Case Study Research for Software Engineering	121
		8.5.1 The Longitudinal Chronological Case Study Research Strategy	2h 122
		8.5.2 Controlled Case Studies	123

8.6	Case Studies and Software Process Improvement	123
8.7	Conclusion	125

ix

PART II EXAMPLES OF CASE STUDIES

9	INTRODUCTION TO CASE STUDY EXAMPLES			129
	9.1	Introdu	ction	129
10	CASI STAC	E STUD GE-GAT	Y OF EXTREME PROGRAMMING IN A	133
	10.1	Introdu	ction	133
		10.1.1	Methodological Status	133
	10.2	Case St	udy Design	134
		10.2.1	Rationale	134
		10.2.2	Objectives	134
		10.2.3	Cases and Units of Analysis	135
		10.2.4	Theoretical Frame of Reference	136
		10.2.5	Research Questions	136
	10.3	Plannin	g	136
		10.3.1	Methods of Data Collection	136
		10.3.2	Selection of Data	137
		10.3.3	Case Selection Strategy	137
		10.3.4	Case Study Protocol	137
		10.3.5	Ethical Considerations	137
	10.4	10.4 Data Collection		
	10.5	Data Ar	nalysis	139
		10.5.1	Threats to Validity	144
	10.6	Reporti	ng	144
		10.6.1	Academics	144
		10.6.2	Practitioners	144
	10.7	Lessons	s Learned	146
11	тwo	LONGI	TUDINAL CASE STUDIES OF SOFTWARE	
	PRO	JECT M	ANAGEMENT	149
	11.1	Introdu	ction	149

11.2	Background to the Research Project	149
11.3	Case Study Design and Planning	150

		11.3.1	Rationale	, 150
		11.3.2	Objective	150
		11.3.3	Definition of the Case	150
		11.3.4	Units of Analyses	151
		11.3.5	Theoretical Frame of Reference and Research	
			Questions	151
		11.3.6	Case Selection	151
		11.3.7	Replication Strategy	152
		11.3.8	Case Study Protocol	152
		11.3.9	Quality Assurance, Validity, and Reliability	152
		11.3.10) Legal, Ethical, and Professional Considerations	153
	11.4	Data C	ollection	154
		11.4.1	Sources of Data	154
	11.5	Data A	nalysis	157
	11.6	Report	ing	159
-		11.6.1	Internal Reporting of Results	160
		11.6.2	Dissemination of Artifacts	160
	11.7	Lesson	s Learned	160
12	AN I	TERATI	VE CASE STUDY OF QUALITY MONITORING	163
	12.1	Introdu	uction	163
	12.2	Case S	tudy Design	164
		12.2.1	Objectives	164
		12.2.2	Cases and Units of Analysis	165
		12.2.3	Theoretical Frame of Reference	165
		12.2.4	Research Questions	165
	12.3	Plannir	ng	165
		12.3.1	Methods of Data Collection	165
		12.3.2	Case Selection Strategy	167
		12.3.3	Case Study Protocol	167
		12.3.4	Ethical Considerations	167
		12.3.5	Data Collection	168
		12.3.6	Exploratory Study	168
		12.3.7	Confirmatory Study	168
		12.3.8	Explanatory Study	168
	12.4	Data A	nalysis	169
	12.5	Report	ing	169
	12.6	Lesson	s Learned	169

13	A CASE STUDY OF THE EVALUATION OF REQUIREMENTS MANAGEMENT TOOLS			
	13.1	Introdu	ction	171
	13.2	Design	of the Case Study	172
		13.2.1	Rationale	172
		13.2.2	Objective	172
		13.2.3	The Case and Its Context	173
		13.2.4	The Units of Analyses	174
		13.2.5	Theoretical Framework	175
		13.2.6	Research Questions	175
		13.2.7	Propositions, Concepts, and Measures	175
		13.2.8	Case Study Protocol	175
		13.2.9	Methods of Data Collection	176
		13.2.10	Methods of Data Analysis	176
		13.2.11	Case Selection Strategy	177
		13.2.12	Data Selection Strategy	177
		13.2.13	Replication Strategy	177
		13.2.14	Quality Assurance, Validity, and Reliability	177
	13.3	Data C	ollection	178
	13.4	Data A	nalysis	179
	13.5	Reporti	ng and Dissemination	180
	13.6	Lesson	s Learned	181
14			CALE CASE STUDY OF REQUIREMENTS	183
		V LTIIT I		100
	14.1	Introdu	ction	183
	14.2	Case St	udy Design	184
		14.2.1	Rationale	184
		14.2.2	Objectives	184
		14.2.3	Cases and Units of Analysis	185
		14.2.4	Theoretical Frame of Reference	186
		14.2.5	Research Questions	187
	14.3	Plannin	lg	188
		14.3.1	Methods of Data Collection	189
		14.3.2	Case Selection Strategy	190
		14.3.3	Selection of Data	191
		14.3.4	Case Study Protocol	191
		14.3.5	Ethical Considerations	192

14	14.4 Data Collection				
14	.5 D	ata Ar	nalysis	193	
14	.6 L	essons	Learned	195	
	14	4.6.1	Effort Estimation Lessons	195	
	14	4.6.2	Design and Planning Lessons	196	
	14	4.6.3	Data Collection Lessons	197	
	14	4.6.4	Data Analysis Lessons	198	
	14	4.6.5	Reporting Lessons	199	
	14	4.6.6	A General Lesson	199	
EPIL	OGL	JE		201	
Apper	ndix /	A: CH	ECKLISTS FOR READING AND REVIEWING		
		CA	SE STUDIES	203	
Α.	1 D	esign o	of the Case Study	203	
A.2	2 D	ata Co	ollection	204	
A.3	3 D	ata An	alysis and Interpretation	204	
A.4	4 R	eportir	ng and Dissemination	204	
A.:	5 R	eader's	s Checklist	205	
Apper	ndix E	B: EX	AMPLE INTERVIEW INSTRUMENT (XP)	207	
Appen	ndix (C: EX	AMPLE INTERVIEW INSTRUMENT (REVV)	209	
Appen	ndix I	D: EX	AMPLE OF A CODING GUIDE	213	
D .1	1 C	oding	Instructions	213	
D.2	2 C	odes		214	
	D	.2.1	High Level Codes: Research Questions	214	
	D	.2.2	Medium Level Codes: Categories	216	
	D	.2.3	Coding Example	216	
Appen	ndix E	E: EX/	AMPLE OF A CONSENT INFORMATION LETTER	219	
REFE	REI	NCES	S	221	
INDE	X			235	

١

ς.