

## Twitter Thread by Andrea Ruggeri



**Andrea Ruggeri**

[@aruggeri\\_eu](#)



It was fun! I do it to learn more from graduate students' research projects and to push me to think systematically about theorizing. It is my "research gym", the only gym I'm decent at. I prepared a handout and slides (but I forgot to use them. Here some thoughts on theorizing. <https://t.co/0tCBlllZh>



theorizing for  
political scientists

*Andrea Ruggeri*

*University of Oxford*

Just finished an extremely helpful and fun workshop on theorising organised by [@aruggeri\\_eu](#) (who never stops working for his students)! Was great catching up virtually w/ [@natrupesinghe](#) [@EvgenijaKroeker](#) [@CeciliaCorsini](#) Mikael & Ellen!

— Giuseppe Spatafora ([@gspataf95](#)) [January 29, 2021](#)

"By theorizing I mean the process that comes before a theory is presented in its final form" Swedberg 2016, 7

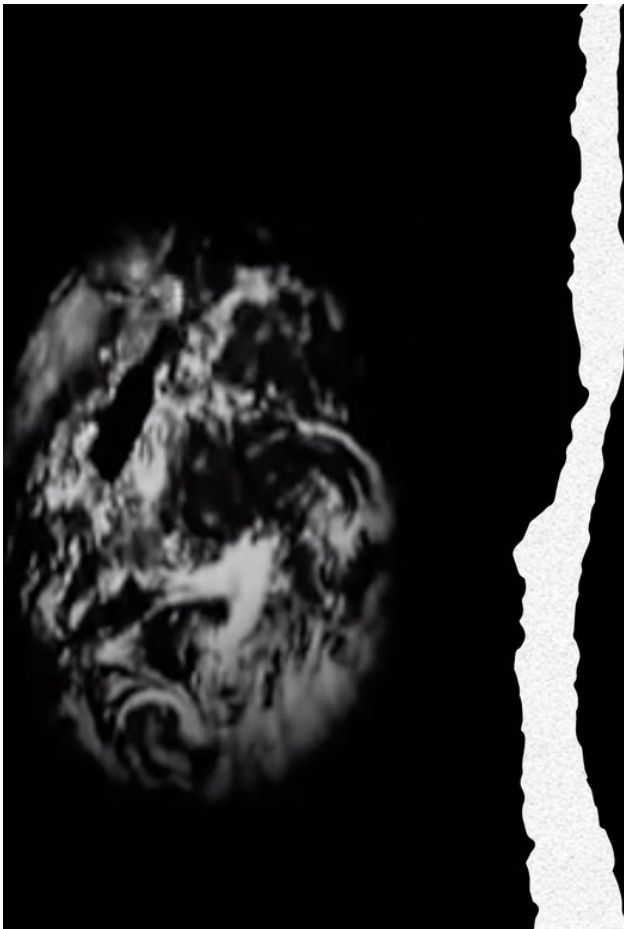
"Although everyone is for "more theory," most of us have rather little understanding of how to get "more theory"."

Dina A. Zinnes, 1980, 315

## Why thinking about theorizing?

- Often, we are asked what our theory is. And we should, indeed, be able to answer that in a quick and sharp fashion.
- However, how do we get there? How do we shape, draft and calibrate our theory?
- This central issue is about theory making or theorizing.
- Oddly, the art and craft of theorizing is not explicitly tackled in graduate courses (except in formal analysis/game theory).
- It is assumed that we learn about theorizing through emulation, comparison and practice.
- My intuition is that, even though we cannot teach theorizing as an out-of-shelf technique/tool, we can aim to improve some guidelines and tricks that can facilitate a more systematic and fruitful theorizing.

How do we shape, draft and calibrate our theory? It is assumed we learn about theorizing via emulation, comparison and practice. Theorizing is a process and we should not confound it with the outcome(a theory). There are pre-theoretical steps/tips that can facilitate the process.



“Le problème ce n'est pas la chute, c'est l'atterrissage”. Kassovitz, 1995

NOPE!

- Kassovitz on this is wrong.
- Theorization is the process, a theory is its outcome.
- You usually see only the outcome.
- Rarely you are walked through the process.
- Few, if anyone, show the process.

Caveats: this is my way to help theorising. These suggestions are just a theorizing “banister”, nothing more. You will have to climb the stairs for your theory.

# caveats

- Not all theorize in this way, I barely know how others theorize.
- This does not aim to substitute game theory/formal theorizing. Different stuff.
- I don’t claim that this is neither the right nor only way to theorize.
- Critical theory and its logics of theorization are very different.
- These slides are a “banister”, not more. You will have to climb the stairs.

What we're aiming at: a theory is a tentative conjecture about the cause of some phenomenon of interest. Logical statement based on assumptions that explain a causal mechanism from which we can derive observable hypotheses and therefore expectations.

“a theory consists of interrelated propositions that say something general about relations and processes in social reality.

A theoretical proposition is “general” in the sense that it transcends description of particular facts; it claims to hold universally, but only under specified conditions”.

Rueschemeyer 2009, 6

"Analytical Thinking": Simplifying should not be oversimplification but can help us to navigate the complexity of the social reality. Only from a simple framework we can start then adding items. Theorizing is like cooking, it easy to add elements but hard then to remove them.

*Economica*



Munari

Da cosa  
nasce cosa



*Editori Laterza*



Start with:

- a. Clear/sharp research question. For help see my piece with [@adammccauley](#) on research questions.
- b. You define your actors and level(s) of analyses: who they are? Why? What are their interdependencies? What could be alternative levels of analysis or actors?

## Research Questions Pillars

What's the puzzle?	<ul style="list-style-type: none"><li>• Are there contradictory findings?</li><li>• Is an outcome unexplained?</li><li>• Is the question puzzling per se?</li></ul>	<ul style="list-style-type: none"><li>○ clashing findings</li><li>○ unexpected outcome</li><li>○ question attractiveness</li></ul>
Filling a gap?	<ul style="list-style-type: none"><li>• What do you know?</li><li>• How main contributions about this differ?</li><li>• Strong/wrong assumptions previous work?</li><li>• Where is agency?</li><li>• Is this gap due to non-interesting topic?</li></ul>	<ul style="list-style-type: none"><li>○ previous knowledge</li><li>○ contradictions</li><li>○ challenge assumptions</li><li>○ level of analysis</li><li>○ interesting</li></ul>
Real world problem?	<ul style="list-style-type: none"><li>• How relevant is this?</li><li>• Would an non-academic care?</li><li>• Could it be translated into policies?</li><li>• Are there ethical implications?</li></ul>	<ul style="list-style-type: none"><li>○ societal relevance</li><li>○ audience reach</li><li>○ policy implications</li><li>○ academic ethics</li></ul>
Methodological rigour?	<ul style="list-style-type: none"><li>• Can you answer this question?</li><li>• How can you answer this question?</li><li>• Can you use new methods?</li><li>• Are new data necessary?</li></ul>	<ul style="list-style-type: none"><li>○ scope</li><li>○ method awareness</li><li>○ method sophistication</li><li>○ data awareness</li></ul>
Will you enjoy it?	<ul style="list-style-type: none"><li>• Is this topic "yours" or imposed?</li><li>• Can you add a creative twist?</li></ul>	<ul style="list-style-type: none"><li>○ autonomy</li><li>○ creativity</li></ul>

- c. Define and link to relevant literature your core concepts:
- What are the core concepts of your theory (DV, IVs, and mechanisms).
  - Define them succinctly.
  - Explain what are "adjacent" but not "correct" concepts.
  - Explain what alternative important concepts could be

# Concepts: Identifications and Definitions

*What are the core concepts of your research project?*

- Sartori (1970, 1053) warned of “conceptual stretching,” the consequence of which would be “a sea of empirical and theoretical messiness,” as “intolerably blunted conceptual tools are conducive, on the one hand, to wasteful if not misleading research, and, on the other hand, to a meaningless togetherness based on pseudo-equivalences.”

Who are the actors, their arenas and their interactions and interdependencies? My friend and colleague [@egocantos](#) wrote very useful in order to think systematically about: actors, space of actions and interactions.

## Actors, Space of Actions and Interactions

“I argue that it is essential to begin the research by proposing a theoretical model of the **sequence or pathway linking cause and effect in positive cases**. This sequential account should identify the **steps in the causal chain and mechanisms** that explain the flow of causal energy that brings about the outcome of interest. I also suggest that doing so involves **providing a stylized description of a “field” of action on the basis of three parameters**:

the **actors** involved with their preferences, logics of action, and resources;

the **spaces of action** where these actors act;

and the consequences of the **interactions** between them.

After conceptualizing these three parameters, and illustrating them with examples, I contend that this type of theorization can help researchers discipline three additional components of the research process.”

Gonzalez-Ocantos, Ezequiel. 2020 “Designing Qualitative Research Projects: Notes on Theory Building, Case Selection and Field Research.” In L. Curini and R. Franzese Jr. eds. *SAGE Handbook of Research Methods in Political Science and International Relations*. Thousand Oaks, CA: SAGE

“To explain an event is to give an account of why it happened...this takes the form of citing an earlier event as the cause or the event we want to explain . [But] to cite the cause is not enough: the causal mechanism must also be provided, or at least suggested.” Elster (1989,3)

- “The entity one seeks to generalize about is not the parameter of a statistical model but **the process by which something has been brought about** and the mechanisms governing this process. [...] Properties of actors and/or their social environments often influence the outcomes of individuals' actions. These properties as well as the action outcomes can be measured and represented in the form of variables, but the **causality does not operate at the variable level.**” Hedstrom (2008: 320)
- “A mechanism-based explanation **describes the causal process selectively**. It does not aim at an exhaustive account of all details but seeks **to capture the crucial elements** of the process by abstracting away **the irrelevant details**. The relevance of entities, their properties, and their interactions is determined by their ability to make a relevant difference to the outcome of interest”. Ylikoski (2012: 24)

I use some examples from my recent book, "Composing Peace" w/ @\_vincenzobove & @ruffa\_chiara on, first, using tables to present mechanism and also drawing theory based on the Coleman's boat diagram.

We aim to explain what is the "story" (as Dina Zinnes'd say) on how X affects Y.

**Table 1.1** Previous mechanisms and our mechanisms

Issue	Previous mechanisms		Assumption	New mechanism	
Asymmetric information	<i>Informative fungibility</i>	Any PKOs are able to minimize uncertainty by sharing information with locals	Information gathering as mere function of presence and size. The presence of a PKO is sufficient to gain access to this information	<i>Informative trust</i>	PKOs are able to gain more information due to building trust because of low levels of social, economic, and cultural diversity.
				<i>Informative communicability</i>	PKOs able to hear and understand context due to similarities in norms and culture with locals
Commitment problem	<i>Muscular deterrence</i>	PKOs can impose costs of misbehaviour by conflict actors	PKOs' latent capacity to impose costs is related to size and mandate	<i>Resolve deterrence</i>	PKO's heterogenous composition signals to local actors the resolve of UN and international community.
				<i>Skilled persuasion</i>	Able to affect local preferences due to skill portfolio of peacekeepers and their daily practices.

An exercise I suggest is to draw a theory using different modalities (2X2 Matrix, Coleman's diagram, Sequencing graphs). It is important to specify actors, relations , core phenomena. But also try to draw other people theories.



# Exercise with other PhD fellows

- Draw the theory of another person.
- Come up with at least two alternative theories to yours. And two alternatives for another person.
- How heroic are your assumptions? Which ones you could relax? What consequences?
- Think how your theory would change if :
  - shift in time horizon of core actors
  - introducing some heuristic biases
  - adding some non-linear aspects (costs, profit, thresholds...)

Another exercise to learn how to play with theorizing and mechanism building is to "simulate findings" between X & Y and explain them!

# Empirical Simulation & Theory Formation Solo Exercise

*"a student who has difficulty thinking of at least three sensible explanations for any correlation that he is really interested in should choose another profession"*

Stinchcombe

Simulate empirics :  $\uparrow X \rightarrow \uparrow Y$ , or  $\uparrow X \rightarrow \downarrow Y$

- "more democracy, less political activism"
- "more institutional corruption, more individual happiness"
- Try with your X & Y, both  $\uparrow X \rightarrow \uparrow Y$  AND  $\uparrow X \rightarrow \downarrow Y$
- Provide 3 mechanisms that explain each one relationship

Simulate empirics :  $\uparrow X \rightarrow Z \rightarrow \downarrow Y$ , or  $\uparrow X \rightarrow \neg Z \rightarrow \uparrow Y$

- Provide an example of conditional finding
- Provide 3 mechanisms that explain it

A checklist for start theorizing & link to my workshop handout. Of course, this is not a "general fixer" and it is a hands-on workshop focusing on research projects presented by phd students. But I hope this could somehow help also other graduate students. <https://t.co/nep9UYeoe>

### *Theorizing checklist*

- Concepts and conceptualization
  - Do you borrow? Or do you innovate? Define!
- Ideal types & typologies
  - On what theoretical axes/parameters are created?
  - What is their purpose?
- Analytical framework
  - Level of analysis
  - Actors
  - Arena(s) of actions
  - Interactions/interdependences
- Theory 1: Assumptions
  - What are the pre-existing ones in previous work?
  - Which ones do you challenge? And what are the theoretical consequences?
- Theory 2: Mechanisms
- Empirical Implications
  - If so, what we should we observe?
  - And if you were wrong, what should we be observing?