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教育部高等学校心理学教学指导委员会推荐用书

如何成为质性研究专家

Becoming Qualitative Researchers

An Introduction



第 3 版

【美】科琳·格莱斯 (Corrine Glesne) 著

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[美] 科琳·格莱斯 著

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内 容 提 要

本书对质性研究进行了简要而全面的论述。它不仅能够帮助读者理解质性研究方法，还能帮助他们打开思路，了解调查法中的多种可能性。本书还为初学者提供了大量练习，用以帮助他们提高质性研究技能。

本书主要从以下四个方面介绍了质性研究方法：（1）质性研究方法的基本问题，包括什么是质性数据，质性方法与量化方法的联系与区别，质性方法对研究现实问题和理论建构的作用与意义；（2）语库构建的各种途径，包括深度访谈法，焦点小组讨论法，参与性观察法，档案与媒体分析法和个案法等；（3）质性数据的分析方法，包括数据转录和编码，利用计算机软件分析质性数据，从数据分析到理论建构；（4）如何撰写和发表质性研究报告。

本书可作为我国高等院校心理学、社会学、教育学、传播学等学科专业双语教学的教材，以及专业研究人员的参考书。

总序

王垒

中国心理学有一个很早的开端，却只有不长的历史。从1900年京师大学堂开设“心理学概论”课程，1917年北京大学成立中国第一个科学心理学实验室，到随后清华大学、杭州大学等一批学校成立心理学系，说起来有一个多世纪了。但由于20世纪战争与和平的较量以及文化意识形态领域里的跌宕起伏，相当多的时间被耽误了，学科发展被拖了后腿，算起来，真正用心做学问的时间不过半个世纪。

中国心理学有一个不错的开端，却有坎坷的历程。早在1908~1910年、1912~1913年，蔡元培先生两度在德国游学，两度选修了冯特的“实验心理学”课程，这对他后来极力推动北京大学心理学的发展起了很大的作用。更有20世纪20~30年代，唐钺、孙国华、陈立、潘菽、曹日昌、朱智贤、周先庚等一批学者在美国哈佛、斯坦福、康奈尔、芝加哥等著名大学留学归来，投入国内心理学建设，形成了北方、南方诸多学校心理学齐发展的格局。但由于经费困难，后来的战乱，20世纪50~60年代一些对心理学的不公正对待和以后的文化大革命，中国心理学经历了“几起几落”。

改革开放以来，中国心理学迎来了大发展的春天，教学和研究迅速普及，师资队伍和学生规模始终呈高速度扩张。在1980年，国内只有北京大学、北京师范大学、华东师范大学和杭州大学4所学校设有心理学系，到20世纪90年代初中期增加到了约20余所学校，再到21世纪初这几年增加到了100多所学校，发展速度可谓惊人。

然而，高速发展也产生发展中的瓶颈。一方面，众多学校建设心理学系，开展心理学教学和研究，同时国内社会经济与文化的发展对心理学的需求越来越旺盛；另一方面，国内心理学的总体水平相对西方发达国家还比较落后，教学研究队伍并不强大，教学研究水平仍亟待提高。这种需求与供给、速度与质量的矛盾不断激化，要保证国内心理学的健康发展，必须寻求一些有效的方法和途径。

“西学东渐”、“洋为中用”是可以推荐的诸多方法之一。教育部高教司近年来大力提倡引进外版教材和开展双语教学，这无疑对我国心理学教学的发展产生巨大的推动作用。据统计，美国每年授予博士学位人数最多的学科是心理学，可见心理学在美国的重要和普及程度。心理学诞生在西方，同时心理学的高等教育在西方积累了较丰富的经验，教材在内容、形式上都比较成熟，而且快速有效地跟进国际心理学科学发展的前沿趋势，对于保

持高等教育的水平有举足轻重的作用。相比来看,我国内地一些地区心理学师资匮乏,一些自编教材低水平重复,对教、学质量均有很大负面影响,情况堪忧。

教育部高等学校心理学教学指导委员会是国家教育部设立的心理学高等教育指导、咨询机构,负责制定国家心理学高等人才培养的宏观战略和指导规范。根据教育部发展高等教育的有关精神,我们与国内外多家出版机构合作,作为一个长期的工程,有计划、分期分批地引进外版教材,以期推动我国心理学教学的快速高效发展。

培生教育出版集团在出版心理学教材方面富有经验,此次引进的教材均是培生多年再版,被实践证明为适合高等学校教学的优秀教材。特别是这些教材均经过国内著名专家学者鉴定并大力推荐,这对引进教材的质量起到了重要的把关作用。在此谨对这些专家学者表示特别的感谢和敬意!

希望这套教材对高校的心理学教学有所帮助,并祝愿我国的心理学高等教育事业蓬勃发展!

王垒

北京大学心理学教授
教育部高等学校心理学教学指导委员会主任

序

早在19世纪，西方人类学家和社会学家就开始采用质性研究方法。但是，在20世纪80年代之前，传统的定量研究方法一直在社会科学领域占据统治地位，只有为数不多的大学开设质性研究方法课程。随着后现代主义和建构主义的兴起，实证主义不再是进行学术研究的唯一可接受立场，社会建构的多重现实取代了传统的唯一客观现实。这主要体现在社会科学家已经认识到，传统量化研究的结果往往模糊不清，背离了现实生活，因此在实际运用中遇到很多问题。

近20年来，随着对量化方法的不满与日俱增，质性研究方法已经渗透到社会科学研究的各个领域。质性研究所关注的往往是传统量化研究无法解决的问题；它所感兴趣的问题不是研究的客观性和效度，而是问题多重话语和研究真实性。目前，质性研究方法是当前国际社会科学领域广泛采用的、与量化方法交相辉映的一类研究方法。与以实证主义为基础的量化研究方法不同，以建构主义为基础的质性方法，强调对复杂社会文化和心理现象进行“文化主位”的解释性理解，强调以“现实问题为导向”的原创性研究。当然，质性研究本身并不排斥量化研究。相反，质性研究不仅有助于规范量化研究的概念框架，而且可以用来更为详尽生动地解释量化研究的结果。

在北美、欧洲、拉丁美洲和亚洲的许多国家以及我国台湾地区和香港特别行政区的许多大学，质性研究方法是社会学、人类学、教育学、传播学和心理学的本科生和研究生必修的方法学类课程。它们在这一领域往往不仅有很强的师资队伍、成熟的教材和丰富的文献资料，而且还有与课程相配套的各种视频音频仪器设备和处理不同质性数据的各种计算机软件等。许多研究生也采用质性方法从事他们学位论文研究。近年来，我国社会科学界已经意识到单纯采用量化研究方法来研究复杂的社会文化问题有“削足适履”之感，采用质性研究方法开展学术研究的呼声很高。例如，北京师范大学林崇德教授在其“心理学发展十大关系”中，系统地阐述了质性方法与量化方法的辩证关系。

1996年底，受教育部的派遣，由教育部、香港王宽诚基金会和英国外交部联合设立的王宽诚奖学金资助，我到英国伦敦经济与政治学院社会心理学系攻读博士学位。在那里，我第一次接触到了质性研究方法，并系统地研修了有关课程。后来，我采用深度访谈、焦点小组讨论和媒体分析等多种质性研究方法完成了我的博士学位论文。

从2005年秋季开始，我在北京师范大学心理学院为研究生开设了“质性研究

方法”课程。2006年底，北京师范大学研究生院把这门课程列入了学校研究生学位基础课程建设项目。每年秋季开设这门课程时，都有院内外、校外以及心理学专业和非心理学专业的100多名研究生和青年教师选修这门课程。为了能占到座位，不少人常常提前几个小时赶到教室。这既令我非常感动，也使我意识到学科发展对质性研究方法的需要。现在，我院已有许多研究生在学习这门课程的基础上，采用质性研究方法从事他们的学位论文研究。

美国佛蒙特大学科琳·格莱斯教授的这本《如何成为质性研究专家》，是我向学生推荐的必读书目。科琳·格莱斯教授长期采用质性方法从事教育人类学研究，是质性研究方法领域的专家。她的这本教材在1996年第一版问世后，即成为了畅销书。我们现在看到的是该教材的第三版。它既反映国外这一领域的最新成果，又是一本有关质性研究方法的入门读物。这本书以生动的语言从以下四个方面介绍了质性研究方法：1) 质性研究方法的基本问题，包括什么是质性数据，质性方法与量化方法的联系与区别，质性方法对研究现实问题和理论建构的作用与意义；2) 语库构建的各种途径，包括深度访谈法，焦点小组讨论法，参与性观察法，档案与媒体分析法和个案法等；3) 质性数据的分析方法，包括数据转录和编码，利用计算机软件分析质性数据，从数据分析到理论建构；4) 如何撰写和发表质性研究报告。

我相信，科琳·格莱斯教授的《如何成为质性研究专家》英文影印版在中国大陆的出版发行，必将使我国读者原汁原味地体会到质性研究方法的魅力，推动我国社会科学工作者更加科学有效地运用质性研究方法。这样，一方面，有利于针对我国社会文化的现实问题开展原创性研究；另一方面，可以促进我国社会科学研究在方法学层面与国际学术前沿接轨。

刘力
北京师范大学社会心理学教授

INTRODUCTION: A SENSE OF THINGS TO COME

“What all can be involved in updating a textbook?” my non-academic friends ask me. “Can’t you put in a few recent sources, talk about how technology has changed, add a couple new ideas, and be done with it? Besides, how much can research methods change in five years?”

I reply that the situation is a bit more intricate. Methodological perspectives do change, particularly in qualitative research, an approach noted for its variety and complexity with no discrete steps as a recipe to follow. That I have new experiences and meet people whose ideas engage and influence mine confounds matters in that the last edition is not the text I would write now. A new edition is a map to an author’s intellectual journey. In preparing this edition, I had to make sense of that journey in light of what it is that I believe and want to communicate regarding the practice of qualitative inquiry.

I’ve spent much of my time since the last edition in countries other than the United States, interacting with scholars, activists, community members, and students. This text reflects some of the ways in which these experiences have influenced my thinking on qualitative research. Qualitative methodologists, in general, currently give attention to issues such as reflexivity, the dynamics of power in research relationships, and other items that feminist and indigenous scholars have been at the forefront of raising. This text reflects these movements as well. I have traveled further along the trajectory I acknowledged in the last edition in that I continue to be partial to inquiry approaches that involve research participants more fully in the work, particularly in identifying the overarching research question and, thereby, in designing research that will be useful to the people who are involved. Nonetheless, I continue to believe that much is to be learned from traditional qualitative methods, that you can learn and practice the basics and then adapt them as your skills and inclinations lead. This book, therefore, is meant to continue as an introductory text to traditional qualitative research techniques of data collection, analysis, and writing. Along the way, however, I have added sections that are meant to probe deeper into and complicate some of these traditional practices.

Chapters tend to compartmentalize thoughts, giving the impression that data collection, for example, is distinct from data analysis. Although the activities of qualitative inquiry tend to be ongoing and overlapping, I use chapters to focus upon one research aspect at a time. My guiding principle throughout these pages has been to create a book I would want to use as a primary text to help you begin to conduct qualitative research. The book therefore guides you through the research process, with separate chapters on research design (Chapter 2), participant observation (Chapter 3), interviewing (Chapter 4), data analysis (Chapter 7), and writing (Chapters 8 and 9). The chapters pose issues, questions, and quandaries with which my students and I have struggled. As students in my classes have noted, my most frequent answer to questions raised by qualitative inquiry is “It depends.” In class discussions and in this book, I provide no solutions, find no truths. My goal is to raise questions, thereby

indicating what is problematic, and suggest guidelines for developing your own judgment in order to learn from and manage the complex issues you may encounter. To become competent researchers, you must acquire the general lore associated with research processes and learn how, in light of your personal qualities and the research situation, you can best conduct your inquiry.

Since many of you will be working on theses or dissertations, I periodically address some of the particular problems that you might encounter. Many of the text examples are drawn from educational settings, but the book is not limited to the context of schools or to the needs of scholars of education. The sources of examples are the experiences of students, my own inquiries, the research of Alan Peshkin (he was the coauthor of the first edition), and published works. I am most indebted to students at the University of Vermont; they have taught me much about qualitative inquiry. With permission, I identify their examples by their first names, or, for some, by pseudonyms.

From my perspective, acquiring the skill and understanding for conducting qualitative inquiry has three dimensions: reading, reflecting, and doing. Preferably, all three are done simultaneously so that the outcomes of each continually interact. Read widely and deeply about your topic *and* about the conduct of inquiry throughout the research process. Practice qualitative research techniques on problems of significance to you as you read about doing qualitative research. Ideally, the course is an occasion for supervised pilot studies for theses and dissertations. Reflect before and after each step in your research journey (from developing your research statement to completing your research report) by keeping a field journal and by discussions with peers, supervisors, and research participants.

Keeping a field journal that describes your practices and, no less important, your critical reflections on these practices is crucial for doing good research. The field journal, in effect, becomes not only an *audit trail* of the research process, but also a personal methods book that contains the insights that result from the interaction of reading, reflecting, and doing research. Learning to reflect on your behavior and thoughts, as well as on the phenomenon under study, creates a means for continuously becoming a better researcher. *Becoming* a better researcher captures the dynamic nature of the process. Conducting research, like teaching or dancing, can be improved; it cannot be mastered.

In my late teens and early twenties, I spent summers teaching swimming. Communicating the process of qualitative inquiry provides me some of the same kinds of rewards that teaching swimming did. At the end of a semester (or, better, two semesters), students no longer fear to jump in, nor are they at risk of drowning in data. With careful, sure strokes, they stride through data collection, analysis, and writing—albeit, not without the occasional stormy day. Students gain a useful skill that can serve them beyond the thesis and dissertation stages. In return, I learn much from students about both the process of doing qualitative research and their topical areas. They educate me, for example, about the social construction of developmental disabilities or about the workings of effective partner team-teaching in middle schools. I believe that qualitative research can provide a forum for reflection and communication that results in better programs, gives voice to those who have been marginalized, and assists researchers, participants, and readers to see the world in new ways. For comments, suggestions, or questions, please contact me at ceglesne@yahoo.com.

ACKNOWLEDGMENTS

I cowrote the first edition of this book with Professor Alan Peshkin who died from aggressive brain cancer in 2000. As I reworked the text, I heard his voice strongly in places and reflected on how influential he had been in encouraging many in my cohort at the University of Illinois to become qualitative research methodologists. I am grateful. Carolyn White and Marleen Pugach are two friends from that group who continue to support, guide, and teach me; and I am ever thankful.

This is not yet the methodology book that Gustavo Esteva would like me to write, but I thank him for how he has affected my thinking and life path since I first took a group of students to Mexico in 1996. Appreciation also goes to the International Honors Program (IHP) and its country coordinators who introduced me to individuals, communities, and experiences in their countries. I'm indebted to many IHP students and to my friend Patricia Martin. Since the last edition, these people have been my diffused community and have taught me much.

Even though I am no longer in Vermont, I am grateful to Laura and Toby Fulwiler, Rosalind Andreas, Glenda Bissex, and Michael Strauss for their continued encouragement. I miss them and our monthly food and writing feasts. Many thanks to friends Kelly Clark/Keefe and Gustavo Teran for their contributions, to Terry Denny for materializing when I needed him, to Caroline Manheimer, Brian Burke, and my nephew Seth Alvarado for their assistance, and to Catherine Austin, Chris Hayes, Jane Hodge, Johanna Silver, Elizabeth Miller, and Darryl Wong who allowed me to use photographs of them. I would also like to thank the following reviewers for their insightful comments: Elizabeth J. Allan, University of Maine; Michael P. Grady, University of Saint Louis; Flora Ida Ortiz, University of California, Riverside; and Amy E. Wells, University of New Orleans. Finally, gratitude and love go to my parents, particularly my mom who continues to help me with my homework.

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CHAPTER

1

Meeting Qualitative Inquiry

Sofie knew and taught me that everyone had some story, every house held a life that could be penetrated and known, if one took the trouble. Stories told to oneself or others could transform the world. Waiting for others to tell their stories, even helping them do so, meant no one could be regarded as completely dull, no place people lived in was without some hope of redemption, achieved by paying attention.

(Myerhoff 1979, 240)

Beginnings

Anthropologist Barbara Myerhoff was talking about the grandmother who raised her and who, through her love of stories, perhaps set the course for Myerhoff's life. Learning to listen well to others' stories and to interpret and retell the accounts is part of the qualitative researcher's trade.

Since qualitative researchers seek to make sense of personal narratives and the ways in which they intersect, I begin with an account of my connections to research. If you know something about my story, you may better understand and interpret my perspectives in the work that follows. This beginning also contextualizes and introduces you to different research projects that I refer to throughout the book as I draw upon my life experiences to illustrate thoughts and ideas.

I do not remember "discovering" qualitative inquiry. The process, however, is one with which I have been familiar for some time. I grew up in a small, rural, Midwestern town where almost everyone went to church (no synagogues) and almost everyone had European ancestry (mine was Norwegian and a northern European mix). I was always interested in people who were culturally different from me and my neighbors. I read each month's *National Geographic* and filled my nights with folk tales from around the world. Books such as *Arctic Wild* (Crisler 1958) and *No Room in the Ark* (Moorehead 1959) from my parents' bookshelves supplemented library books about travelers, explorers, and adventurers from Charles Darwin to Genghis Khan to Amelia Earhart.

I gravitated toward anthropology as an undergraduate, which allowed me to continue learning about the many different ways people live. For anthropologists, fieldwork—being present in others' lives—is the way to learn about another culture. The more I read, the more I wanted to experience life elsewhere. Thus began a postgraduate trek in which I traveled