社会研究
方法基础

第3版 〔美〕艾尔·巴比（Earl Babbie）著

THE BASICS OF
CIAL RESEARCH

THIRD EDITION

THE BASICS OF
SOCIAL RESEARCH

Third Edition

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Chapman University

出 版 说 明

　　我们引进这套丛书的目的是介绍当前国外社会学理论和方法,使我国的读者能够直接阅读到西方学者撰写的社会学教材。

　　需要重申的是,作者本人的观点和结论有些值得商榷,甚至是不可取的,对此我们提请读者加以甄别,书中的观点均不代表我们出版社。

社会学经典教材影印丛书

学 术 顾 问

（按姓氏拼音排序）

导　读

杨伯淑

　　这是一本系统介绍实证类(Empirical)社会学研究方法的本科教材。

　　一般说来,社会科学探索的主要目的在于回答"是什么"和"为什么",而不是应该如何。这也是社会科学与人文学科之间的重要区别之一。艾尔·巴比(Earl Babbie)这本《社会研究方法基础》(The Basics of Social Research)就是告诉我们该如何回答"是什么"和"为什么"的一本书。该书脱胎于作者久负盛名的《社会研究方法》(The Practice of Social Research)。如果说新版《社会研究方法》凝聚了作者三十余年的心血,那么《社会研究方法基础》的第三版则是作者三十余年心血的精华。同样重要的是,这本书反映了社会科学世界里方法论的最新发展趋势。

　　不管人们对后现代理念是如何的嗤之以鼻,事实上它已经到了不能被忽略的地步。社会科学之所以诞生并能够得以发展,是因为它建筑在"社会现实"不但存在而且是可以理解的这样一种假定上。但持后现代观念的学者却告诉我们并不存在这样的现实。所有的"真实"(Real)只不过是让我们的观点得以贯穿的意(图)像罢了(p.10)。也就是说,根本就没有什么"客观"现实可供观察。《社会研究方法基础》没有回避这种对社会科学釜底抽薪式的最新挑战。作为一个数十年一直从事实证方法教学和研究的社会学家,巴比对此做出的解释不但展示了他的胸怀及对方法论的娴熟驾驭能力,而且使得他这本具有经典性质的本科教材更加优雅。细心的读者可以体会出,该书绝不仅仅是数据搜集(Methods)和分析技术(巧)的演示。事实上,这也是该书与其他介绍研究方法的教科书的根本区别。

　　北美的社会科学家一直在纯研究和应用研究这两极之间徘徊。进行纯研究的学者讲究的是"为知识而知识"。那些侧重于应用研究的则以改善人们现实生活的质量为基本目的。这些区别同样反映在他们所选择和使用的研究方法上。自上世纪末,北美的社会学界又开始关注应用型的研究及重新肯定定性研究。《社会研究方法基础》第三版以增补的方式对这些趋势做出了及时的反应。但相关增补不但丝毫没有损害到该书的学术品味,而且因和现实生活的联系进一步紧密而使得可读性得到了加强。然而,具体到我国的相关学科,特别是对于像传播学这类引进历史较短的交叉学科来说,以中国本土

为核心关注对象的系统知识积累显得格外重要。也就是说,具体到学科建设,真正能够构筑起学术殿堂的是基于范式(Paradigm)的知识的系统积累。就研究方法而言,这正是该书的长处。无论是对定性还是对定量方法的介绍和展示,都显示出作者独具匠心的学术敏感性。

反过来说,纯研究和应用研究也没有必要成为相互排斥的两极。实际上,前者的繁荣正是后者得以真正发展的基础。同样,定量和定性研究之间也不存在不可调和的矛盾。巴比在《社会研究方法基础》中通过对"扎根理论"(Grounded Theory)这一方法的介绍强调了定性和定量分析之间的纽带。此外,该书对涉及国际间的比较历史研究方法(Comparative and Historical Research)给予了持续关注。而比较历史研究就是既需要采用定量研究方法也需要进行定性分析的学科分支。社会科学家需要研究本土的社会现象和社会发展规律。考虑到我国由参与全球化以及追求现代化所出现的社会变革,这种研究必然会涉及对世界上其他社会的分析与比较。这是使我国相关学科的学生从本科就开始了解比较历史研究方法的现实意义。"他山之石,可以攻玉。"《社会研究方法基础》第三版的相关章节所介绍的西方比较历史研究的典型范例非常值得我们深思和借鉴。

本科生的教材写作绝非易事。从大处说,在这本四百多页(正文)的书中,巴比列出的参阅文献就达三百余部(篇)专著或研究论文。这应该得到珍视。从小处讲,作者在该书中结合所讨论的内容不失时机地介绍了西方的相关学术网站。这种友善的做法相信也会受到因特网时代的学生们的欢迎。当然,最能体现《社会研究方法基础》第三版特色的也许是作者新增的第15章——"阅读和写作社会学研究"。当你修初级方法课或第一次写研究报告的时候,就会体会到这一章的意义了。

Dedication

Evelyn Fay Babbie

Henry Robert Babbie

PREFACE

The book in your hands has been about three decades in the making. It began in the classroom, when I was asked to teach a seminar in survey research beginning in 1968. Frustrated with the lack of good textbooks on the subject, I began to dream up something I called "A Survey Research Cookbook and Other Fables," which was published in 1973 with a more sober title: *Survey Research Methods*.

The book was an immediate success. However, there were few courses limited to survey research. Several instructors around the country asked if "the same guy" could write a more general methods book, and *The Practice of Social Research* appeared two years later. The latter book has become a fixture in social research instruction, with the 10th edition published in 2004. The official Chinese edition was published in Beijing in 2000.

Over the life of *Practice*, successive revisions have been based in large part on suggestions, comments, requests, and corrections from my colleagues around the country and, increasingly, around the world. Many also requested a shorter book with a more applied orientation.

From the beginning, social scientists have been interested in both pure and applied research. Some have justified their efforts primarily in terms of "knowledge for knowledge's sake," while others have focused on how their research could affect the quality of people's lives at a practical level. Over time, the emphasis on these two orientations has shifted back and forth.

Early U.S. sociologists such as Lester Ward and Jane Addams were strongly committed to social reform and saw their social scientific training

as preparation for making life better for those around them.

Whereas the third quarter of the twentieth century saw a greater emphasis on quantitative, pure research, the century ended with a renaissance of concern for applied sociological research (sometimes called *sociological practice*) and also a renewed interest in qualitative research. *The Basics of Social Research* was first published in 1999 in support of these trends. The third edition aims at increasing and improving that support.

The book can also be seen as a response to changes in teaching methods and in student demographics. In addition to the emphasis on applied research, some alternative teaching formats have called for a shorter book, and student economics have argued for a paperback. While standard methods courses have continued using *The Practice of Social Research*, I've been delighted to see that the first two editions of *Basics* seem to have satisfied a substantial group of instructors as well. The fine-tuning in this third edition is intended to help *Basics* serve this group even better than before.

CHANGES IN THE THIRD EDITION

The first prominent change to the book can be found in Chapter 15 on "Reading and Writing Social Research." Instructors have requested that students be given more guidance in these aspects of consuming and producing social research, and I am pleased with the new chapter. As you'll see, the chapter deals with both traditional and modern aspects of these issues, devoting considerable

attention to the effective and appropriate use of the Internet.

I have added a running glossary at the bottom of many pages, which will make it easier for students to get immediate definitions of troublesome terms. The appendixes are included in the companion Web site as well as at the end of the text.

Here are some notes regarding the changes you'll find in the specific chapters of the book. Most of these changes are in response to comments and requests from students and faculty.

Part One: An Introduction to Inquiry

Chapter 1. Human Inquiry and Science
- Data in the birthrate illustration have been updated to strengthen this illustration of social phenomena as distinct from individual phenomena.
- Examples have been generally increased and updated.
- More applied/activist examples have been added to expand this special orientation in the book.

Chapter 2. Paradigms, Theory, and Research
- Coverage of postmodernism and science has been expanded.
- Feminist paradigms have been linked with environmental concerns.
- Added discussion of Sherif experiments illustrates the social construction of reality.

Chapter 3. The Ethics and Politics of Social Research
- Web links to professional codes of ethics have been added.
- To update ethical concerns, Project Camelot has been replaced with a section on the politics of sexuality research.
- Commentary about public sociologists, particularly relevant to the applied orientation of this book, has been added.

Part Two: The Structuring of Inquiry

Chapter 4. Research Design
- Discussion of units of analysis has been expanded and clarified.

- Discussion of reductionism has been expanded and clarified.
- A discussion of sociobiology has been added.
- A section on social interactions as a kind of unit of analysis has been added.

Chapter 5. Conceptualization, Operationalization, and Measurement
- The discussion of indicators and dimensions, which students have trouble distinguishing, has been clarified.
- The chapter now contains qualitative examples of conceptualization, so students realize this fundamental issue is not limited to quantitative research.

Chapter 6. Indexes, Scales, and Typologies
- GSS data on illustration of Guttman scale construction has been updated.
- The difference between indexes and scales has been clarified.

Chapter 7. The Logic of Sampling
- Election forecasting data have been updated.
- Discussion of finite population correction has been added, including an exploration of the counterintuitive fact that sampling ratio doesn't matter.
- An experiment on sampling through mailing lists has been added.

Part Three: Modes of Observation

Chapter 8. Experiments
- New examples have been included.
- A new section, "Web-Based Experiments," has been included to help students keep up with developing technology that can be used in conducting experiments.
- Figure 8-4 has been "tidied up" and is now clearer.

Chapter 9. Survey Research
- References to GSS have been elaborated and clarified.
- The section on secondary analysis has been expanded with an illustration of using GSS online.
- The notion of meta-analysis is introduced.

- The discussion of Web surveys has been enlarged.
- A Holocaust survey example has been added to illustrate the importance of question wording in a questionnaire.
- The discussion of response rates has been expanded.

Chapter 10. Qualitative Field Research

- Many new examples now illustrate the variety of approaches to field research.
- A new Quandary box appears on how to observe things without your observation affecting them.
- The additional readings have been expanded.
- The term *reactivity* is now introduced in discussing the possibility of research subjects changing their behavior when they know they are being studied.

Chapter 11. Unobtrusive Research

- New examples, both qualitative and quantitative, appear throughout the chapter.
- The discussion of *comparative and historical research* adopts this more common term, which replaces *historical/comparative research*.

Chapter 12. Evaluation Research

- This chapter now uses the example of soap operas in Ethiopia to illustrate the role of evaluation research. (I visited Ethiopia to work on this one.)
- Bailey's capital punishment data on deterrence have been updated.
- Different types of evaluation are now identified.

Part Four: Analysis of Data

Chapter 13. Qualitative Data Analysis

- This chapter received positive feedback from those who teach this topic in their classes, so I left it as is for the most part, except for adding an additional homework exercise.

Chapter 14. Quantitative Data Analysis

- Data in analysis examples have been updated.

- A new section, "Sociological Diagnostics," shows how the logic of social research can address concrete social problems.
- The discussion of the income discrimination against women has been reorganized and expanded.

Chapter 15. Reading and Writing Social Research

- This new chapter aims at guiding students in reading the social research literature and writing research reports. Special attention is given to the use of the Internet as a resource that must be used carefully.
- To complement this new chapter, Wadsworth has added the *Research Writer CD-ROM*, which is bundled for free with each new copy of the book. This CD-ROM first made an appearance in the Tenth Edition of *The Practice of Social Research*, where it was well received. Given the more applied orientation of *Basics*, it made sense to offer the CD-ROM with this text, because it provides helpful guidance in writing a research project, from start to finish, as well as video clips of me commenting on the interesting and important points in the text—and much more! Please see the description of this CD-ROM in the Student Resources section for more details.

SUPPLEMENTS

The Basics of Social Research, Third Edition, is accompanied by a wide array of supplements prepared for both the instructor and student to create the best learning environment inside as well as outside the classroom. I invite you to examine and take full advantage of the teaching and learning tools available to you.

For the Instructor

Instructor's Resource Manual with Test Bank (with CD-ROM) This manual offers instructors chapter-specific outlines, objectives, teaching suggestions and resources, InfoTrac College Edition

discussion questions, and answers to selected exercises presented in the Student Study Guide. The Test Bank includes 20–25 multiple-choice questions and 10–15 true/false questions with answers and page references, as well as essay questions, for each chapter. The manual also includes a listing of print, film, and Internet resources for instructors, an appendix of the General Social Survey data, and concise user guides for InfoTrac College Edition and WebTutor. Additionally, the manual includes an all new MultiMedia Manager Instructor Resource CD-ROM that includes book-specific PowerPoint lecture slides, graphics from the book itself, the IRM/TB Word documents, CNN video clips, and links to many of Wadsworth's important sociology resources.

ExamView Computerized Testing   Create, deliver, and customize tests and study guides (both print and online) in minutes with this easy-to-use assessment and tutorial system. ExamView® offers both a Quick Test Wizard and an Online Test Wizard that guide you step-by-step through the process of creating tests. The test appears on screen exactly as it will print or display online. Using ExamView®'s complete word processing capabilities, you can enter an unlimited number of new questions or edit existing questions included with ExamView®.

WebTutor™Toolbox for WebCT and BlackBoard
Preloaded with content and available for free via pincode when packaged with this text, WebTutor Toolbox pairs all the content of this text's rich book companion Web site with all the sophisticated course management functionality of a WebCT or BlackBoard product. You can assign materials (including online quizzes) and have the results flow automatically to your gradebook. ToolBox is ready to use as soon as you log on, or you can customize its preloaded content by uploading images and other resources, adding Web links or creating your own practice materials. Students have access only to student resources on the Web site. Instructors can enter a pincode for access to password-protected instructor resources.

For the Student

Study Guide   Designed to help students learn chapter concepts, this guide includes learning objectives, chapter summaries, key terms, matching exercises, multiple-choice review questions, discussion questions, and practice exercises and problems that involve analysis of data from the General Social Survey using SPSS, MicroCase, or other statistical software programs. The Study Guide also includes a General Social Survey appendix and an appendix of answers to the multiple-choice and matching exercises.

The Research Writer: with Chapter Tutorials CD-ROM   Writing a research project for the first time can feel like an overwhelming assignment. This book's brand new CD-ROM removes some of the complexity and helps students put their research into perspective. The CD takes students step-by-step through the various stages of writing a research report. Along the way, the CD offers helpful tips and reminders that reinforce concepts from the text. Students can e-mail their report to their instructor at any stage to see if they're on the right track. And, when the report is finished, students can submit the project and their work will automatically be formatted into a Word document according to standard research report style guidelines.

Also on the CD are videos in which I speak directly to students, highlighting interesting and important points in the text. My comments are accompanied by graphics that evolve as the video progresses and illustrate the ideas discussed. This section of the CD also links students to Chapter Tutorials, Practice Quizzes, Primers on important Data Analysis software, and the Babbie companion Web site where students will find a wealth of useful study resources.

SPSS® CD-ROM version 11.0 (Windows Only)
The SPSS student version for Windows provides real-world software for students to do sociological data analysis. This feature is based on the professional version of one of the world's leading desktop statistical software packages.

GSS DataDisk. These data sets are available to students to use in a variety of ways. Use the data disk with the SPSS 11.0 CD-ROM or any statistical analysis software. This is needed for the *SPSS Companion for Research Methods*.

NVivo CD-ROM *NVivo* is a qualitative analysis program that enables students to interpret non-numerical data. Researchers in the field use this software because of its easy handling of complex data. The CD-ROM offered by Wadsworth is a demo version and provides students with guided ways to explore and learn *Nvivo*.

SPSS Companion for Research Methods, Third Edition This booklet contains a concise, user-friendly introduction to SPSS Student Version 11.0 to help students learn basic navigation, including how to enter data; create, save, and retrieve files; produce and interpret data summaries; and much more. Also included are chapter-by-chapter SPSS exercises designed to supplement *The Basics of Social Research*.

Readings in Social Research Methods, Second Edition The concepts and methodologies of social research come to life as you read the interesting articles in this unique collection. Diane Kholos Wysocki includes an interdisciplinary range of readings from the fields of psychology, sociology, social work, criminal justice, and political science. The articles focus on the important methods and concepts typically covered in the social research course and provide an illustrative advantage. Organized by key concepts, each of the reader's 11 chapters begins with an introduction highlighting and explaining the research concept that the chapter's readings elucidate.

Experiencing Social Research: An Introduction Using MicroCase®, Second Edition This workbook and statistical package, written by David J. Ayers of Grove City College, includes short discussions, quizzes, and computerized exercises through which students learn to master and apply key methodological concepts and skills by analyzing, and in some cases collecting and building, simple data files for real sociological data. The workbook and statistical package take a step-by-step approach to show students how to do real sociological research using the same data and techniques used by professional researchers to reinforce, build on, and complement course materials.

InfoTrac College Edition Four months of free access to *InfoTrac College Edition* is automatically bundled with every new copy of this text. This world-class, online library offers the full text of articles from almost 5,000 scholarly and popular publications—updated daily and going back as far as 22 years. With 24-hour access to so many outstanding resources, InfoTrac College Edition will help students in *all* of their courses. Through InfoTrac College Edition, users now also have instant access to *InfoWrite*, a handy resource that covers paper writing, critical thinking, and more.

Babbie's Companion Web Site at Wadsworth's Virtual Society

http://www.wadsworth.com/sociology

Combine this text with Virtual Society's exciting range of Web resources and you will have truly integrated technology into your learning system. And the best news of all . . . site access is FREE to adopters and their students. The Virtual Society resource center features a wealth of online book-specific study materials created especially for this textbook, a student guide to Census 2000, Sociology in the News, study resources, a career center, and much more. And specifically for instructors, there are password-protected instructor's manuals and e-mail access to Wadsworth editors. Click on the Student Companion Web site to find useful learning resources for each chapter of the book. Some of these resources are:

- Tutorial Practice Quizzes that can be scored and e-mailed to the instructor
- Chapter Tutorials
- Internet Links and Exercises
- InfoTrac College Edition Exercises
- Flashcards of the text's glossary

- Crossword Puzzles
- Essay Questions
- Learning Objectives
- Extended Projects
- Social Research in Cyberspace
- Primers for using various data analysis software such as SPSS and NVivo
- Electronic versions of Appendixes A–E
  - A Using the Library
  - B Random Numbers
  - C Distribution of Chi Square
  - D Normal Curve Areas
  - E Estimated Sampling Error
- And much more!

ACKNOWLEDGMENTS

It would be impossible to acknowledge adequately all the people who have influenced this book. My earlier methods text, *Survey Research Methods,* was dedicated to Samuel Stouffer, Paul Lazarsfeld, and Charles Glock. I again acknowledge my debt to them.

Many colleagues helped me through ten editions of *The Practice of Social Research* and the first two editions of *The Basics of Social Research.* At this point, I particularly want to thank the instructors who reviewed the manuscript of this edition of *Basics* and made helpful suggestions:

Melanie Arthur, Portland State University
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Susan Haire, University of Georgia
Robert Kleidman, Cleveland State University
Enrique Pumar, William Patterson University
Thankam Sunil, University of Texas at San Antonio

Over the years, I have become more and more impressed by the important role played by editors in books like this. Since 1973, I've worked with many sociology editors at Wadsworth, which has involved the kinds of adjustments you might need to make in as many successive marriages. Happily, this edition of the book has greatly profited from my partnership with Bob Jucha, Jay Whitney, and Julie Sakaue. Perhaps you have to be a textbook author to appreciate how much of a difference editors make in the writing and publishing experience, but I want to report that I have been blessed with great partners.

In my experience, copy-editors are the invisible heroes of publishing, and it has been my good fortune and pleasure to have worked with one of the very best, Molly Roth, for several years and books. Among her many gifts, Molly has the uncanny ability to hear what I am trying to say and find ways to help others hear it. Molly's partnership with Greg Hubit at Bookworks is something special in the publishing world, and I would not want to do a major text without them.

This edition of the book continues my association with a young sociologist you'll see and hear more of in the future: Sandrine Zerbib. Currently completing her doctorate at the University of California, Irvine, Sandrine is a first-rate methodologist and scholar, working both the qualitative and quantitative sides of the street. She is particularly sensitive to feminist perspectives, and her experiences as a woman add a new dimension to the sociomethodological concerns we share. Sandrine's efforts are most apparent in Chapters 10 and 13, but she has made contributions throughout the book. I look forward to a continuation of our partnership.

I have dedicated this book to my granddaughter, Evelyn Fay Babbie, born during the revision of the second edition of the book, and my grandson, Henry Robert Babbie, born during the revision of the third edition. I am committed to their growing up in a more humane and just world than the one they were born into.

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