

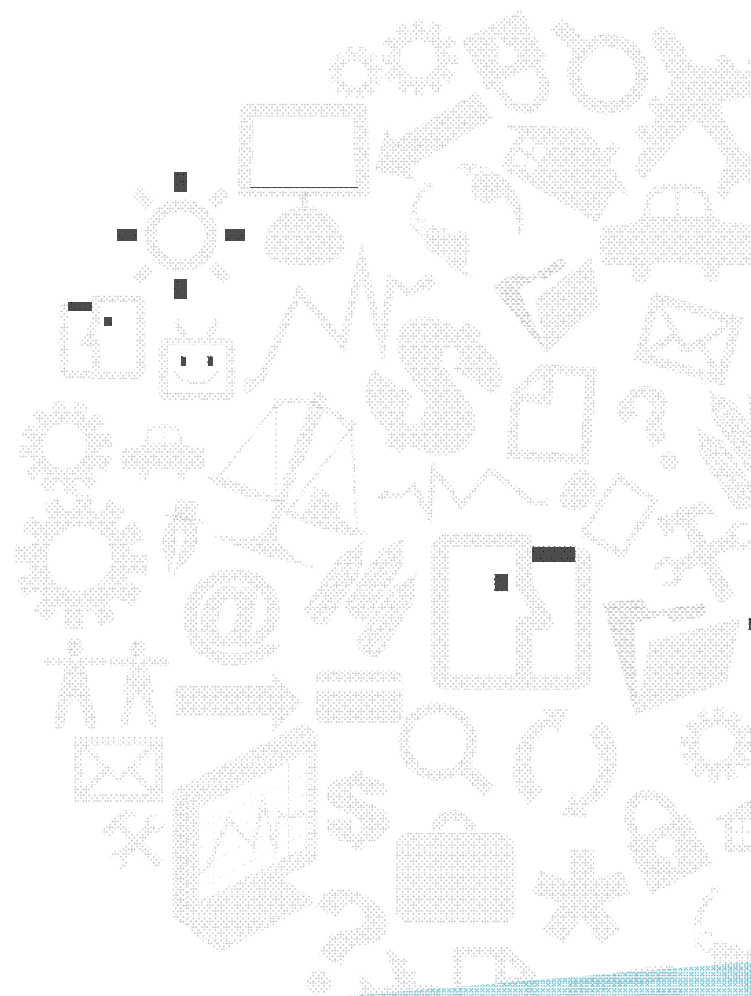
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2014年4月23日



主要内容:

- 样本的选择 (sampling)
- 观察 (observation)
- 访谈 (interview)
- 实物分析 (artifacts)





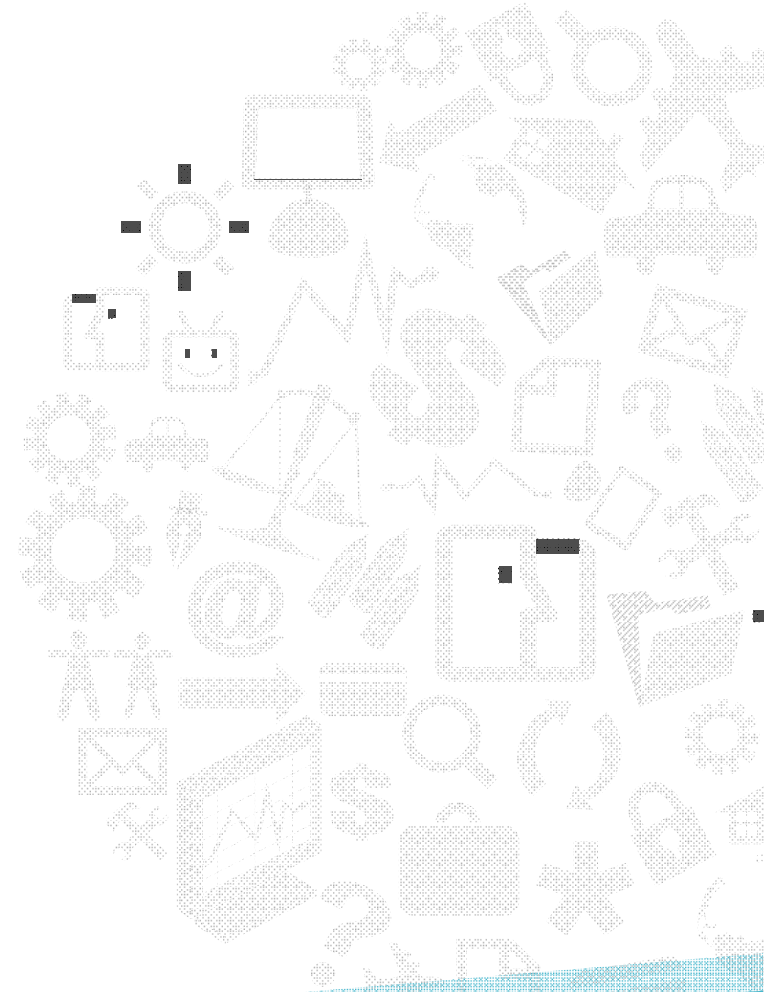
现在我们来设计研究方法，需要考虑：

- • Methodology （研究方法论）
- • Data collection （数据收集）
- • Data analysis （数据分析）
- • Data representation （数据表达）
- • Data interpretation （数据阐释）
- • Data validation （数据有效性）



质性研究的方法论包括:

- • Narrative research
- • Phenomenology
- • Ethnography
- • Grounded Theory
- • Case Study
- •





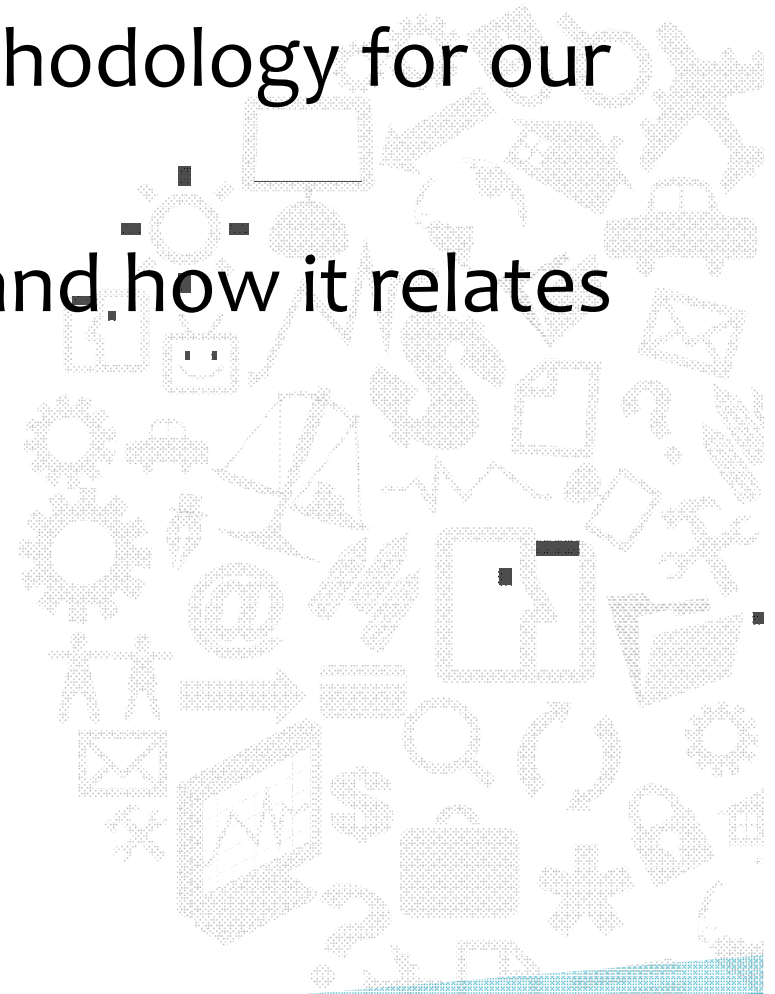
选择研究方法论的标准:

- • 研究目的或研究重心 (Intent or focus)
- • 观众 (Audience)
- • 受过的训练、具备的研究技能 (Personal training/skills)
- • 对研究结构的舒适度 (Personal comfort level with structure)



Now, let's select a methodology for our study

- • Choose a qualitative methodology for our research problem.
- • Explain why we chose it and how it relates to the study's purpose.





Within this methodology, what data will we collect?

- • Who will be studied? (sampling)
- • What information will be collected? (data collection)





Four considerations for selecting people/sites to study:

- • Can the people and sites help us learn about our central phenomenon? (purposefully select people and sites)
- • How many people and sites should we study? (keep sample size small)
- • Do we have access? (gain access)
- • Do we have permissions (obtain permissions)



Sampling in Qualitative Research

质性研究的样本选择

- Usually small, non-random samples 通常是非随机的小样本
- Purposeful sampling: focuses on selecting information-rich cases for study in depth. 目的性抽样，重在选择能够获取丰富信息的案例进行深度研究。



Types of purposeful sampling:

extreme/deviant case sampling 极端或偏差型个案抽样

Intensity sampling 强度抽样

Maximum variation (heterogeneity) sampling 最大差异抽样

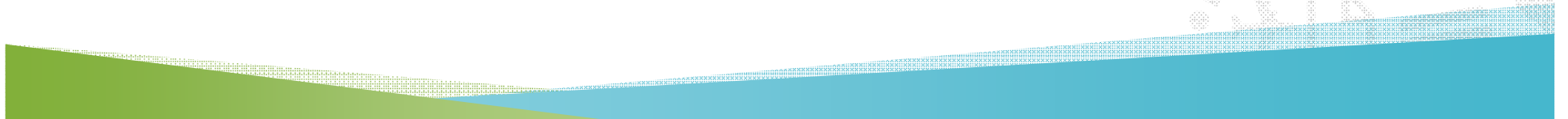
Homogeneous samples 同质性抽样

Typical case sampling 典型个案抽样

Critical case sampling 关键个案抽样

Snowball or chain sampling 滚雪球或链锁式抽样

Criterion sampling 效标抽样





Types of purposeful sampling:

Theory-based sampling, operational construct sampling, and theoretical sampling 理论抽样

Confirming and disconfirming cases 证实和证伪个案抽样

Stratified purposeful sampling 分层目的型抽样

Opportunistic or emergent sampling 机遇式抽样

Purposeful random sampling 目的性随机抽样

Sampling politically important cases 抽取具有政治重要性个案

Convenience sampling 方便抽样

Mixed purposeful sampling 综合式抽样

(Patton, 2002, p.242)

(陈向明, 2006, 105)



Sample size 样本的大小

- There are no rules for sample size in qualitative inquiry 没有固定的规则。
- Sample size depends on what you want to know, the purpose of the inquiry, what's at stake, what will be useful, what will have credibility, and what can be done with available time and resources. 样本大小取决于研究目的，利害关系，时间、资源等因素。



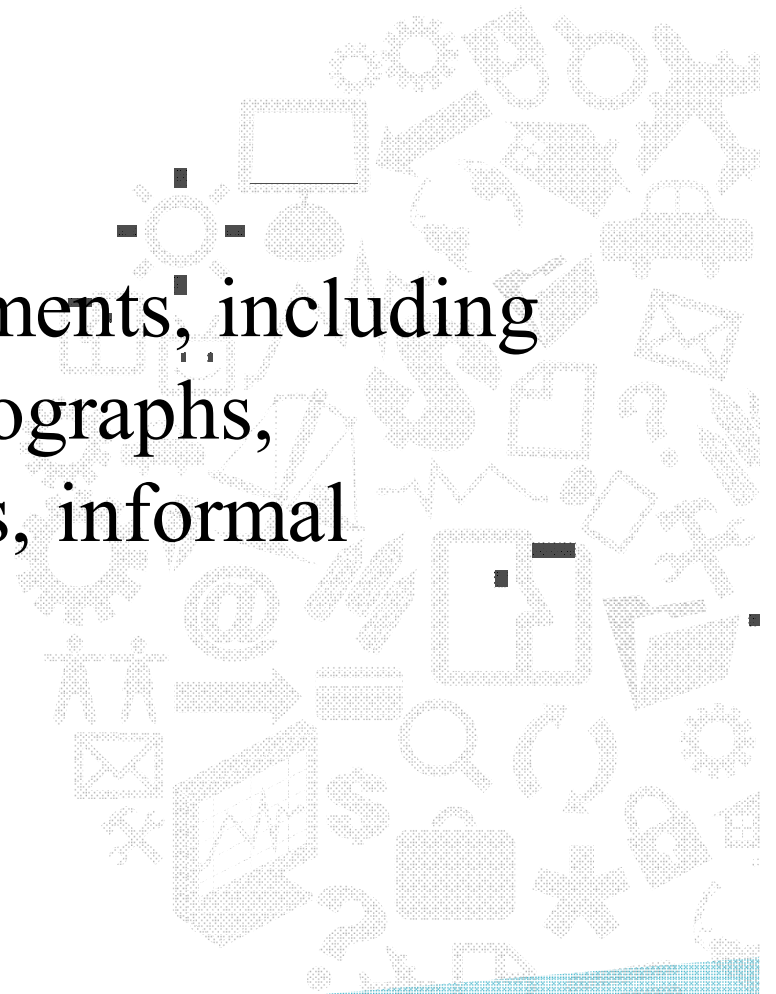
- The validity, meaningfulness, and insights generated from qualitative inquiry have more to do with the information richness of the cases selected and the observational/analytical capabilities of the researcher than with sample size. 质性研究的效度、意义和研究结论更取决于选取个案的数据丰富性和研究者的观察能力、分析能力，研究样本的大小处于次要的地位。





质性研究的数据类型包括:

- • Observations
- • Interviews
- • personal and official documents, including audio-visual materials, photographs, recordings, drawings, emails, informal conversations





访谈:

- 数据收集的主要方式 (Primary strategy, or in conjunction with observation, document analysis, or other techniques) .
 - uses open-ended questions (开放式问题) that allow for individual variations.

三种类型: :1) informal, conversational (开放型); 2) semi-structured (半结构型); and 3) standardized, close-ended (封闭型) .

Interview guide or “schedule” - list of questions or general to be explored during each interview. 访谈提纲

Recording Data: written notes or recorder

If we choose to interview, how do we do it?

- • Decide on the type of interview to use
 - – Individual
 - – Focus group (焦点团体)
 - – Telephone
 - – e-mail
- • Create an interview protocol (访谈提纲) and ask open-ended questions
 - – allows the participant to create options for responding (允许访谈对象用不同方式回答问题)
 - – participants can voice their experiences and perspectives (访谈对象可以讲述他们的经历和视角)
- • tape record and transcribe for analysis (录音并转录)



访谈:

- ...the purpose is to explore and to probe the interviewee's responses in order to gather in-depth data
- ...the interviewer inquires into the interviewees' attitudes, interests, feelings, concerns, and values as these relate to the context being studied
- ...**meaning is jointly constructed between the interviewer and the interviewee; meaning is not just a construction on the part of the interviewee**意义由访谈双方共同构建，而不只是由受访方构建，这点非常重要。



- ...be alert for openings in responses to probe more deeply, starting with mundane questions and gradually easing into more sensitive and more complex questions
- ...interview data collection techniques include taking notes during the interview, writing notes after the interview, or tape recording and transcribing the interview (the transcript is a “**verbatim**”) 访谈技巧包括访谈过程中做笔记，录音和访谈后一字不差地转录。



访谈技巧:

- 多听，少讲；
- 不清楚的追问，深挖掘；
- 多问开放式问题（**open-ended questions**），少问诱导性问题（**leading questions**）
- 不打断；耐心等待回答；



- Do keep interviewee(s) focused
 - Do ask for concrete details
 - Do tolerate silence and space between interviewee's responses; do allow the interviewee time to think
 - Don't be judgmental about or react to an interviewee's opinions, views, or beliefs
 - Don't engage in debate with an interviewee
 - Do record everything the interviewee says and note impressions of interviewee's nonverbal behavior



Focus Groups 焦点小组

- Focus groups are collections of 8-12 individuals who discuss topics as a group. 聚焦小组通常由8-12人组成，
- The important feature of focus group research is that one gathers *group-level* data. 能够获得小组层面上的数据
- A key principle of sociology is that people behave differently in groups. 人们在群组活动中会有不同的行为。
 - Ideas and behavior emerge from interaction with others. 在互动中产生观点和有关行为。
 - The opinions expressed in groups will be different than opinions expressed as an individual. 小组讨论中的观点与一对一访谈中的观点会有所不同。



Focus Groups (Continued)

- Ask the group just a few, general questions.
只提问一些笼统的问题。
- Facilitate conversation by all members of the group.
- 确保每个组员都参与讨论。
- Encourage respect for everyone's opinions.
- 鼓励大家尊重每个组员的观点。
- Use a professional focus group moderator.
- 讨论主持人需擅长组织小组讨论。



Focus Groups (Continued)

- ☐ Socially-oriented research. 以社会研究为主。
- ☐ Flexible. 形式灵活。
- ☐ High face validity. 效度高。
- ☐ Speedy results. 讨论结果出来得快。
- ☐ Relatively low cost. 低成本。
- ☐ Less control over the conversation. 讨论控制少。
- ☐ Difficult to analyze data. 数据分析比较难。
- ☐ Need professional moderators. 主持人专业水准高。
- ☐ Difficult to assemble persons to participate. 召集讨论人员比较困难
- ☐ Need a good setting. 对讨论地点要求高。



Observation观察

通常在自然场景中进行 (Observation of participants in the context of a natural scene) .

- observational data used for the purpose of description
- leads to deeper understandings than interviews alone
- skilled observer is trained in the process of monitoring both verbal and nonverbal cues, and in the use of concrete, unambiguous, descriptive language.



观察：观察前准备工作

- 确定观察的问题
- 制定观察计划：观察内容、对象、范围、地点、观察时间、时长、次数、方式、手段、效度、伦理道德问题
- 设计观察提纲（observational protocol）：
谁、什么|何时、何地、如何、为什么、

如何观察？

- • Record fieldnotes
 - – Record descriptive notes (描述性笔记)
 - – Record reflective notes (反思性笔记)
- • Decide on your observational stance
- • Enter site slowly
- • Conduct multiple observations
- • Summarize at the end of each observation



如何观察:

- watch from outside, without being observed.
- maintain a passive presence.
- engage in limited interaction.
- more active control over the observation.
- act as a full participant in the situation



观察的记录方式

- Rely as little as possible upon memory（不要太依赖记忆力）。
- Ask to record, if feasible（条件允许，请求录音）。
- Take notes in stages and as often as possible（当场记笔记）。
- Keep three sets of notes:
 - **Raw Data:** What the subjects say and do.
 - **Interpretation:** Your opinions about relationships, patterns, trends, concepts, theories.
 - **Personal:** Your notes to yourself about your feelings and opinions.



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Five happy little kids 五个快乐的小孩子.

这样记录观察有何不妥?





局内人与局外人的视角: emic V. Etic

- **Emic** perspective 文化主位: the insider's or native's "interpretation" of or "reasons" for his or her customs/beliefs. What things mean to the *members of a society*.
- **Etic** perspective 文化客位: the external researcher's interpretation of the same customs/beliefs: What things mean from an *analytical, anthropological perspective*.
- The anthropologist usually takes both emic and etic interpretations into account when analyzing human society (depending on the project.)
- These funny words, by the way, come from the linguistic terms "phonetic" and "phonemic."
 - (Kenneth Pike, 1954)



主位研究是指研究者不凭自己的主观认识，尽可能的从当地人的视角去理解文化，通过听取当地提供情况的人即报道人所反映的当地人对事物的认识和观点进行整理和分析的研究方法。主位研究将报道人放在更重要的位置，把他的描述和分析作为最终的判断。同时，主位研究要求研究者对研究对象有深入的了解，熟悉他们的知识体系、分类系统，明了他们的概念、话语及意义，通过深入的参与观察，尽量像本地人那样去思考和行动。



客位研究是研究者以文化外来观察者的角度来理解文化，以科学家的标准对其行为的原因和结果进行解释，用比较的和历史的观点看待民族志提供的材料。这样在研究理论和方法上，要求研究者具有较为系统的知识，并能够联系研究对象实际材料进行应用。



主位研究在现代文化人类学中得到日益广泛的重视，人类学家在田野工作和民族志写作过程中都注意本位术语和观念的应用。这种方法的优点是能够详尽的描述文化的各个环节，克服由于观察者的文化差异造成的理解偏差，但是这种研究角度也有一些缺点，即由于当地人自身的文化当中可能会将许多的行为和思想视为当然的和平常的。而在客位研究中，研究者通过对所搜集的材料解释，研究者可以认识和解释那些本土文化中生活的人们在自身文化中可能视为当然的和平常的许多的行为和思想，缺点是不能详尽的描述文化的各个环节，观察者会因为文化的差异、文化假设上的偏差而产生可能错误的认识。



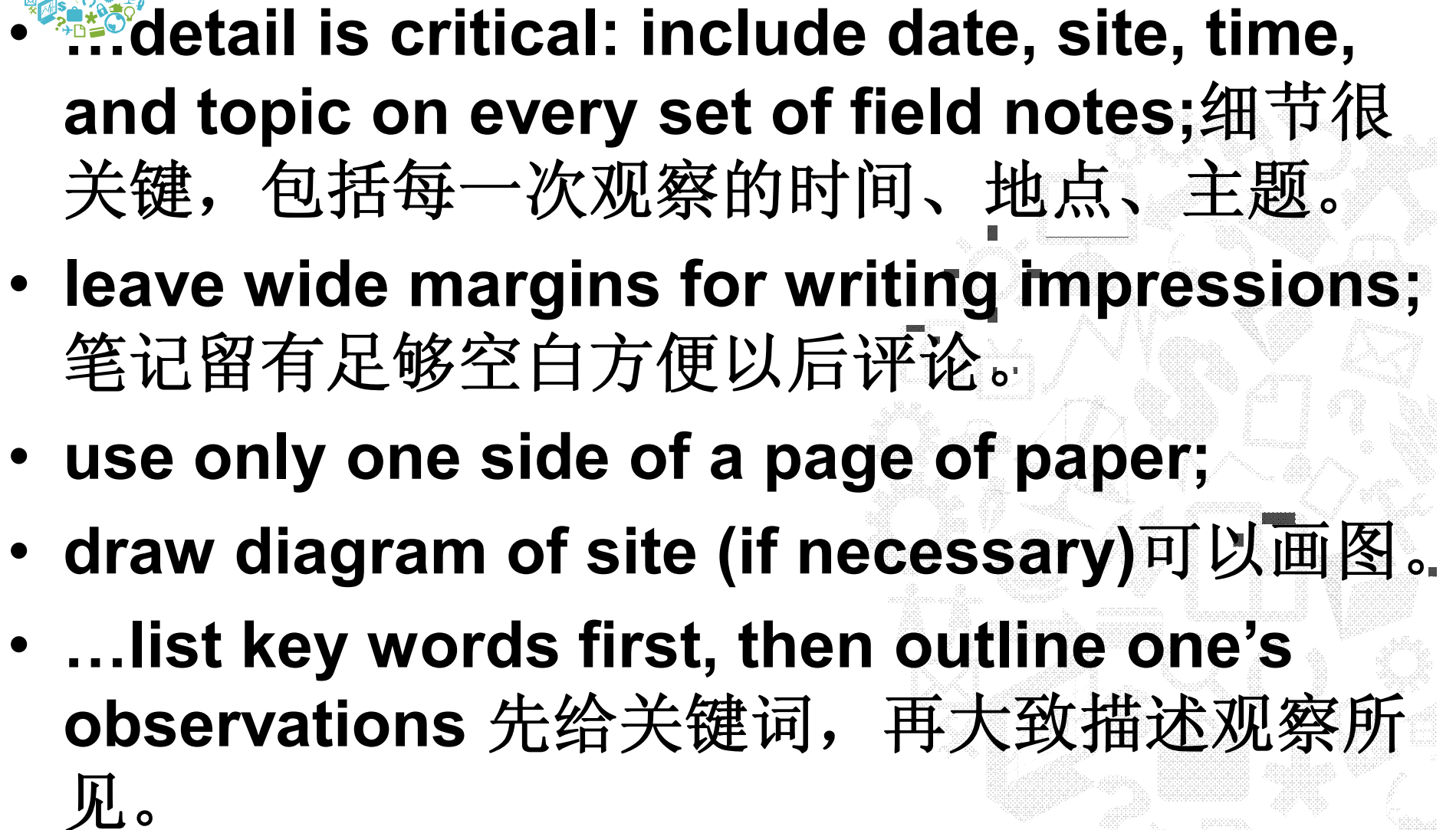
Fieldnotes 田野笔记

- the researcher records descriptive as well as reflective notes about what one has seen, heard, experienced, and thought about a during an observation session
- 研究者记录观察过程中的所见、所听、所经历、所想。形式有描述性笔记和反思性笔记。



regarding field notes...

- ...put aside assumptions, experience context first
- ...see phenomena through participants' perspective
- ...write up notes immediately following an observation







Other Sources of Data: documents, artifacts 实物数据

- 正式官方类：证件证书、历史文献、报刊杂志等
- 非正式个人类：信件、自传、日记、照片、



实物分析的短处:

- 实物的作者有可能有意或无意识地美化自己;
- 实物记录的制造者通常是**有权群体**的行为,较少反映**无权或弱势群体**的声音;
- 实物记录的准确性有时存在偏差;
- 实物意义会存在理解上的偏差。



何时可以结束数据收集？

- 数据达到饱和，进一步收集的数据已经与前面收集的数据重复，没有新内容出现；
- 研究者本人已经“成为本地人”了，对当地情况失去了敏感；
- 数据收集比较密集，分析的理论框架越来越精细；
- 研究者预定时间到，经费使用完毕，研究者急于发表自己的研究。

Let's write down in our plan for our data collection approach

- 1) Sites to be studied
- 2) People to be studied
- 3) Permissions needed
- 4) Types of data to be collected
- 5) Forms needed for data collection