

Sociology 247
Research Methods
Spring 2004
Workbook

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Web page: <http://www.lehman.cuny.edu/courses/sociology/soc247>

Assignment 1: Sociological Observation of Your Zip Code

What is your zip code area like? You probably can answer this question without having done any research based on the ordinary observation you have done while living there. In the first lab you did some investigation of the area using statistics and maps from the census bureau and other sources. In this assignment you will continue your study of your zip code area by exploring it on your own and writing your own report combining results from your observation and statistical information.

Before beginning your observation, review Babbie's section on human inquiry in chapter one. For this assignment you want to observe your zip code through a conscious sociological observation, rather than through ordinary human observation. That is, try to avoid selective observation, over generalization and the other errors of ordinary human inquiry.

Spend *at least* one hour walking around your zip code. Make sure that you visit several places along the boundary, including those that are farthest apart. You will want to bring a notebook with you, and you may want to bring a camera. Some things you might want to look for are:

- Different areas—with their own identities, populations, land uses—within the zip code;
- Evidence of the presence of specific ethnic or racial groups;
- The presence of people of different ages;
- The presence of any of the segments listed by PRIZM NE or any other segmentation system you looked at;
- The built environment (What kinds of buildings and open spaces are there? What condition are they in? What kinds of uses (residential, retail, industry)? ;
- Anything about our themes for the semester (such as schools, religious institutions, facilities for the elderly, health care resources, services for immigrants, types of families and workplaces).

Write a brief report on what you learned about your zip code, combining your personal observations and the information from the census bureau and other sources. In your report you should reflect on the usefulness of the different kinds of data that you use (such as the census and direct observation) and any differences

You may want to explore maps of various characteristics for your zip code on [American Fact Finder](#) (make sure you click on "more" to get a longer list). (Note: if you zoom on one of these maps you can get a good map of the zip code boundaries). Also explore some of the other tables that give detailed information on ethnicity, housing patterns and other topics. You may also want to visit the [NYC government homepage](#) website for more data and locations of places of interest (enter your address), the Dept. of City Planning [Neighborhood Maps](#) and [Zoning Maps](#). [NYPIRG \(NY Public Interest Research Group\)](#) has some very interesting maps that can be done at the zip code level, including possible toxic sites, social service agencies, and property use maps.

You do not need to include every statistic in the report, but rather select the ones that you feel are most useful for describing your zip code area (and these might be very different than those that are useful for other areas). Feel free to include selected tables, maps, photographs and drawings to enhance the writing (but not to substitute for it). Be sure to provide citations for any tables, maps or statistics that you use.

Although it would be possible to spend the whole semester doing this project, this assignment is intended to be done in just a week and to have a brief write up (most likely 3-5 pages). There are three main motivations for this assignment:

- to start off the semester with some sociological writing;
- to have you to practice looking at the world using sociological eyes;
- and to have you do some research using both existing data and your own direct, qualitative observation.

A strong paper will not just be descriptive, but will be organized around one or two key points. That is, have a thesis and use evidence to support it.

Make sure that the response has an introduction and a conclusion and that each paragraph has a topic sentence. The response should be proof read for grammar and spelling. Make sure to include the actual zip code on the title page along with your name and section number.

Assignment 2: Reading Social Research

Read item 1 -- the first article -- from your [theme](#) reading list for the semester. These articles are available in [Blackboard](#).

Briefly summarize the article in terms of

- What questions did the author(s) have when they started this research? What were they wondering about?
- According to the article, what have other researchers said about this topic?
- What hypothesis or hypotheses or research questions were there and what variables were used?
- What type of research was done?
- What were the basic findings?

Then give your response to the article:

- Did you agree or disagree with any hypotheses that were stated? Did you think the research questions were interesting? Do you think the conclusions were correct?
- Did the research seem to be done well? Did the researcher(s) make any of the errors of human inquiry that Babbie describes? How did the researcher(s) try to avoid such errors?
- Based on this article, in your opinion, what new research needs to be done on this topic?

This should be short, 3 double spaced pages or less, so you will have to write very concisely. The outline above would produce four to five paragraphs if you don't get bogged down in detail.

If there is something you are not sure about in the article, it is acceptable to say so. However, you should plan to read the article twice, first to get the general idea and then to pick up the details.

Make sure that your paragraphs have topic sentences and a logical structure. Avoid one sentence paragraphs. Check your spelling and grammar before you hand in the assignment.

Assignment 3: Bibliography

In this assignment you will develop a preliminary bibliography for your research proposal.

Step 1: Decide (if you haven't already) what your proposal will be about. See [How to Choose A Research Proposal Topic](#) if you haven't made up your mind yet. Write short paragraph describing your topic.

Step 2: Identify AT LEAST eight SCHOLARLY publications having to do with your proposal topic. Scholarly means that it is published in a [peer-reviewed journal](#) or by a university press. *That means that newspaper and magazine articles do not count nor do popular books. Do not include dissertations, book reviews or presentations at conferences.* However, all of these excluded sources may help you to identify scholars on your topic whose work you can then seek out (in the case of book reviews, you may include the book reviewed rather than the review itself). These sources should all have a clearly shared focus. Write a paragraph describing why you chose these articles based on their abstracts, titles or other information. Type up the bibliography using [ASA format](#).

[Electronic Resources](#) from the Lehman Library is the easiest place to begin a search. Some of the links on this page will only work while you are on a college computer; for others, you can sign in from elsewhere using your library ID number (on the front of your ID card). From home, I especially recommend Social Science Plus Text, Ebsco Academic Premiere (for these two limit your search to peer reviewed articles), and JStor (which has many full text articles from a smaller, but excellent, list of journals many of which are not included in other data bases). For some topics, Education Full Text, PyschAbstracts, and Medline may be appropriate). Sociological Abstracts includes a wide range of materials (use publication type=PT to eliminate conference papers and dissertations), but you will need to find the source for the actual texts of articles. Don't forget [CUNY Library Services: CUNY Online Catalogs](#) for scholarly books.

You do not need to obtain or read the articles for this assignment, but you will need the abstracts and ONE complete article for the next two assignments so you might as well get the abstracts now. You should start looking at articles and books in the next week in order to make good progress on your proposal. It may turn out that some of the sources you identify here will not actually serve your purposes. Therefore, it probably will pay off if you read all of the abstracts now and obtain copies of the articles that seem most relevant.

Finding the actual articles and books

This is VERY IMPORTANT because the materials you find here will be the core of your literature review for the research proposal. Ebsco, ProQuest and JStor and some of the other data bases have many full text articles. For other articles, you will have to go to the periodical room of the library (some education journals, including *Sociology of Education*, are stored in the Education Library on the same floor). Sometimes you can find articles by searching for an author's home page on the internet. If you cannot find a journal at Lehman on on the electronic databases, go to [CUNYPlus](#) and search for the journal title. This will tell you what other CUNY campuses have the journal. You will have to go to the campus to obtain the journal. The [New York Public](#) Library also has many scholarly books and journals.

Assignment 4: Reading and Analyzing Article Abstracts

For this assignment you will need the abstracts for the articles and books from the bibliography which you created in the previous week. (If you have non-abstracted books you need to find a book review; try searching Sociological Abstracts to see if there has been a review in *Contemporary Sociology* (Reviews through 1997 are available in JSTOR). (If you have a copy of the book, skim the first chapter.) For each of the eight items answer the first set of questions. Then, based on the type of article you think it is, select the second set of questions. Answers should not be in essay form, but you should use full sentences. IF the abstract does not explicitly contain the information, say so and then make an educated guess if possible.

Note: If your articles have their full text available, use the abstract from there rather than that from the data base. In ProQuest this is called the "headnote." If there is full text without an abstract (such as from the *Journal of Black Studies*) use the first paragraph.

For all articles:

- What is the topic of the article?
- How does this article or book relate to your research topic?
- Is this article or book original research, pure theory (no original research presented), a literature review or guidance for professional practice? (See examples in blackboard course documents to help answer this.)
- **Based on your answer to the previous question, choose the appropriate set of questions below and answer them.**

if your article is this type:	Answer these questions:
Original research	<ul style="list-style-type: none"> • What was the main hypothesis or research question? • What method was used (for example survey research, qualitative interviews, experiment)? • Who or what was the unit of analysis? How many people or other units of analysis were studied (i.e. sample size)? • What was the main finding? • What are the implications for research, theory or practice are discussed?
Literature review	<ul style="list-style-type: none"> • What was the nature of the literature reviewed? • What were the main themes identified? • What limits of the literature are mentioned? • What is the main conclusion? • What implications for research, practice or theory are discussed?
Pure theory	<ul style="list-style-type: none"> • What is the main idea of the theory presented? • What theoretical paradigms and/or other theorists are discussed? • What are the main concepts mentioned? • What limitations are discussed? • What implications for research, practice or theory are discussed?
Practice-oriented	<ul style="list-style-type: none"> • What type of practitioner is the article aimed at designed for? What kind of clients/subjects is it aimed at? • What kinds of recommendations for practice are made? • What research, theory or previous approaches to practice are mentioned? • Was the recommended practice evaluated? How? • What limitations are mentioned?

Assignment 5: Independent Journal Article Critique

Read a published journal article on your theme that is **NOT** included in the theme bibliography that I provided at the beginning of the semester. Select an article that you found during your bibliography assignment. This should be a **research** (not theory, literature review or practice-oriented) article from a peer-reviewed, academic journal, not from a newspaper or magazine. If you have a question about the acceptability of an article contact the instructor.

In this assignment you should:

- Describe what questions the author(s) had when they started the research. What were they wondering about?
- Describe any theories, hypotheses or specific research questions the author(s) tested (or explored or examined) in their research.
- Describe the research (what method was used, where was it carried out, what the sample size was, etc).
- Summarize the results of the research.
- Discuss the limitations of the research.
- Give your evaluation of the research and the article. Do you have any criticisms of how the research was carried out? Was there information missing from the article that you thought should have been included? Do you agree with their interpretation of the results? What further research needs to be done on this topic?
- Describe how this article relates to your research proposal topic. Are the hypotheses or theories ones you might want to incorporate? Would you like to use a similar research method? Why or why not?

This is a general outline of the assignment. How much emphasis is given to each question will depend on your judgement. Other issues not explicitly stated here may also be relevant for your article. It is up to you to decide this, although you are welcome to consult with your instructor when you have a selected and read a specific article.

Make sure to proof read before handing in the assignment. The assignment should be in essay form including an introduction, topic sentences and so on.

DON'T FORGET TO PUT THE FULL BIBLIOGRAPHIC CITATION IN ASA STYLE ON THE ASSIGNMENT!

Note: Critiques which do not include your personal evaluation of the article and a discussion of its relationship to your research proposal topic will be returned for revision.

Note that you should read a number of scholarly sources on your topic in order to produce a high quality proposal.

Assignment 6: Writing a Survey

Write a survey of *at least 7* close-ended questions related to your topic. The survey should be intended for administration to the general public as a *face-to-face* interview (if you wish to design a survey for a specific population, please see your instructor). The questions and layout of the survey should reflect the fact that you will be reading them out loud to the respondents. The questions should include gender and age as shown below (on the next printed page) as the last two items (unless you wish to ask about income, in which case that may be the last item).

Try to lay out the questions on the page following Babbie's guidelines. In other words, make sure you have read the chapter on surveys before doing the assignment. Look at the web page on [survey layout](#) for ideas about how to do this. You are welcome to try various fonts and font sizes as well as any other ideas that seem useful even for the sections on the next page.

Spelling and grammar are especially important here since mistakes can add to confusion for respondents. Read your survey out loud before handing it in and change any items that don't "speak" smoothly or comfortably. It will also be worthwhile to review [Guidelines for Writing Questions](#) before you begin and check them again when you have a complete draft.

You may use survey questions from other researchers, the Question Bank or the General Social Survey. However, if you do so, you should attach a separate sheet with the citation information.

Bring **two** printed copies of the survey *plus* a copy of the word processing file to the lab on a diskette (or place a copy in the digital dropbox in Blackboard). **To get credit for both this assignment and the lab you must hand in a hard copy at the beginning of the lab. You will need the disk copy to get credit for the lab.**

The top of the survey should say (fill in the blanks with appropriate information):

(Instructions to interviewers are enclosed in parentheses. When doing the interviews, read out loud all of the text that is not in parentheses exactly as it is printed.)

Hello, my name is _____. I am carrying out a survey for a sociology class on research methods. The survey is on the subject of _____. I would appreciate it if you would consent to be interviewed. It should take less than 10 minutes to complete the interview. Your participation in this survey is totally voluntary and you may stop the interview at any time. Neither your name nor any other identifying information will be recorded on the survey, and your responses will be kept completely confidential. In order to keep the information completely confidential, please do not put your name on the survey.

My instructor is Professor _____ of the Department of Sociology and Social Work at Lehman College. He/she can be reached at 718-960-7820 or room B60 of Carman Hall on the Lehman College Campus if you have any questions.

Sex (Code yourself by looking at the person. Ask ONLY if you are not sure)

- Male
- Female

How old are you?

(If respondent refuses to answer ask):
Are you ...

- Under 25
- between 26 and 50
- 51 or older
- (refused to answer)

Bring a hard copy and the disk copy of your survey to the lab. To get credit for both this assignment and the lab you must hand in a hard copy at the beginning of the lab. You will need the disk copy to get credit for the lab.

Assignment 7: Administering the Survey

Administer the survey you created last week to at least 6 people. This survey should be a face-to-face interview, not self-administered. Make sure not to coerce anyone into being interviewed and to read the informed consent statement to the potential subjects. All subjects should be adults unless discussed beforehand with your instructor. Do not interview anyone over whom you have actual or perceived power. This includes clients at a job or field placement site or students in a class you are teaching. Do not record any identifying information on the survey sheet.

On a blank copy take each question and make up an SPSS variable name for it (this needs to be 8 or fewer characters, no spaces allowed). Assign a number to each of the responses. See the figures below (on the next printed page) for an example of this.

You need to turn in 6 copies of the questionnaire with the responses filled in and the copy with the variable names and numbers. Please clip them together.

We will enter the results in SPSS during an upcoming lab so it is essential that you have this assignment done on time.

Overall, how safe do you feel on the Lehman Campus? *howsafe*

- very safe *1*
- somewhat safe *2*
- not at all safe *3*

If you were the victim of crime while on campus who would you contact first? *Contact*

- campus security *1*
- the New York City Police (NYPD, 911) *2*
- a friend or family member *3*
- someone else *4*
- I would not contact anyone *5*

Have you ever been the victim of a crime while on the Lehman campus? *crimevic*

- 1* yes →
- 2* no

Please briefly describe the crime. Use the back of this sheet if necessary.

crimedesc code to be developed possibly

1=theft 2=robbery

3=other violent

Where do you live? *live*

- The Bronx *1*
- Elsewhere in New York City *2*
(Manhattan, Brooklyn, Queens or Staten Island) *3*
- Westchester County or Rockland County *4*
- Elsewhere *5*

How many years have you been a student at Lehman College regardless of how many credits you have taken? *lehyears*

- This is my first year *1*
- This is my second year *2*
- This is my third year *3*
- This is my fourth year *4*
- This is my fifth or more years *5*

Are you a transfer student? *transfer*

- yes *1*
- no *2*

What describes MOST of the courses you have taken? *schedul*

- Mostly day *1*
- Mostly evening *2*
- Mostly weekend *3*

For the items below each use type will be a separate variables for which 1=it is checked off 0=it is not checked off.

There are many ways that students use computers on campus. Please check all the ways that you have used computers on campus.

Check here if you have never used a computer on campus. *never*

<input type="checkbox"/> working with library catalog or databases <i>library</i> <input type="checkbox"/> word processing <i>wordproc</i> <input type="checkbox"/> e mail <i>email</i> <input type="checkbox"/> to do homework in a particular class <i>hwclass</i> <input type="checkbox"/> during actual class time <i>inclass</i>	<input type="checkbox"/> surfing the internet (world wide web) <i>web</i> <input type="checkbox"/> checking your transcript <i>esyms</i> <input type="checkbox"/> registration <i>register</i> <input type="checkbox"/> Blackboard <i>bboard</i> <input type="checkbox"/> other (please describe) _____ other <i>othdes</i> <i>(transcribe)</i>
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Assignment 8: Sampling

State your research hypothesis or guiding research question and its unit of analysis.

Referring to the hypothesis/guiding research question and the unit of analysis, answer the following questions. (These questions are written as though the unit of analysis is an individual person, however all of the same questions apply to other units of analysis.)

1. What is the theoretical population of interest?
2. What will the study population be?
3. What would a reasonable sampling frame for this population? (*This should be a list or other source of elements that actually exists even if you can't actually get a copy.*) If no sampling frame is available, how would you create one?
4. What type of sampling strategy would you use? Why? (*Some possibilities are simple random sample, systematic sample, cluster sample, quota sample, chain referral (snowball sample), and judgement sample.*)
5. How many elements will you select for your sample?
6. What will you do if someone refuses to participate, has moved or is otherwise unavailable for the study? What about people who are not available when you plan to collect data from them (for example if they are absent from school, not home, or don't show up for an appointment)? Some issues to think about: How many times will you attempt to contact someone before giving up? How will you make sure you get a big enough sample even if some people refuse, are missing or don't participate for other reasons? (Note: In research it is essential to plan for problems before they happen.)

It is really important that you read and understand the Babbie chapter on sampling for this assignment.

Notes on Hypotheses

A hypothesis should be in the form of a statement, not a question. A clearly stated hypothesis should make it obvious what the unit of analysis is. Your hypothesis should include two variables and the relationship between them that you expect to find when doing the research. Variables have variation; they have two or more attributes. Your hypothesis should usually make some kind of comparison between units with different attributes (for example, males versus females or older people versus younger people). Hypotheses usually include some comparative term, such as more, less, higher or lower. Social science hypotheses are probabilistic. That is they usually say something along the lines of "on average," "more likely" or "have a lower probability." This is because there are seldom any social characteristics that apply to every single person in a socially defined group.

Notes on Research Questions

A good research question makes it clear who or what is being studied. Your unit of analysis should be reflected in the research question (and *vice versa*). The question should also refer to one or more variables. A good research question opens the door to understanding how these vary and what the sources of the variation might be. A good research question should not have a yes or no answer.

Assignment 9: Qualitative Book Critique

Write a critique of the qualitative research book for your theme. The critique should focus on how the research was done. Even though this is about a book, the process of writing a critique is essentially the same as that for an article. The guidelines in Lofland and Lofland's "Dissecting Fieldstudy Reports" (pp 231-236) (and relevant materials from the rest of their book) give you some specific guidelines for evaluating qualitative research.

Some of the questions that you will want to address:

- What questions did the researcher have? What was she or he wondering about before the research started?
- How did the existing literature influence the research?
- What was the setting for the research?
- How was the research done? (This might be pretty complicated.)
- How does the author deal with methodological issues such as ethics, sampling, reliability, and validity.

Give your personal response to the book.

- Overall, did you think the research was well done? Give specific examples of strengths and weaknesses?
- Do you think that the researcher made any of Babbie's "Errors of Human Inquiry?"
- What new research do you think needs to be done on this topic?

At this point in the semester your analysis should include the methodological concepts and vocabulary that we have been learning. You may also refer to other reading you have done.

The critique should have an introduction and conclusion. Make sure to proof read before handing it in. There is no specific minimum or maximum number of pages, but most critiques will probably be between 3 and 5 pages long.

Under no circumstances may you substitute a different book for this assignment.

Assignment 10: Study Design Outline

In this assignment you will prepare a detailed outline of the hypotheses and/or research questions and the study design that you plan to present in your research proposal. These correspond to parts 2 and 3 of the brief proposal outline.

The outline below provides a general format. Your plan may require additional headings or subheadings or may not require all of the subheadings shown. However, all of the major headings (those marked with capital letters) should be included. Comments that you have been given previously should be incorporated in this assignment.

Entries may range from a few words or a key phrase to a complete quote with citation. This assignment is for an outline and not a draft. It should be complete and understandable, but not necessarily polished. This outline should also make you think about issues that you have not considered. Work hard to make sure that each of the elements of the outline is logically connected to the others.

- I. Hypotheses and/or Guiding Research Questions
 - 1. State the hypothesis or question (Repeat for each one)
 - A. Key variables or themes
 - B. Unit of analysis
 - C.

If you have a ...	
hypothesis	research question
Evidence and/or theory in support of hypothesis possible subheadings <ul style="list-style-type: none"> i. Citations to scholarly literature (most important) ii. Experience with preliminary research (such as your survey or interview, general social survey analysis etc.) iii. Popular literature iv. Other 	Explanation and origin of the research question possible subheadings <ul style="list-style-type: none"> i. Relationship to existing scholarly literature ii. Personal observation or experience or results from your preliminary research such as your survey, gss results. iii. Popular literature iv. Interrelated questions
Evidence and/or theory opposing the hypothesis possible subheadings <ul style="list-style-type: none"> i. Citations to scholarly literature (most important) ii. Experience with preliminary research (such as your survey, interview, GSS analysis etc.) iii. Popular literature iv. Other 	Expected Answers possible subheadings <ul style="list-style-type: none"> i. Previous scholarly research ii. Theory iii. Your personal observations or results from preliminary research iv. Other

- II. Study Method
 - 1. Method to be used (note: if more than one method repeat this)
 - A. Justification (Why have you chosen this method?)
 - i. Quote or paraphrase from Babbie or Lofland and Lofland
 - ii. Support from other sources
 - iii. Reliability and validity
 - B. Detailed description of how you plan to go about doing the research
 - C. Measurement of each key variable or theme (repeat for each variable)
 - i. Variable
 - a. How will it be measured? Possible approaches (may use more than one)
 - o Preexisting measure from literature
 - o Measure that you have designed

Assignment 11: Open-ended Interview

In this assignment you will conduct an interview with an individual in an area related to the theme and, ideally, related to your research proposal topic. Pay particular attention of pages 78-89 of Lofland and Lofland as you work on this assignment. You may want to use the questions from the burglary study as models of what open ended questions should look like.

Exact details of who will be interviewed will be discussed prior to the assignment. However, the subjects must be adults and must NOT be individuals over whom you have any actual or perceived power, such as clients at a job or field placement site. You will (a) prepare a number (at least 5) of open ended questions designed to elicit in-depth responses, (b) carry out the interview and (c) write up the results (a transcript plus paragraph(s) describing--but not naming--who you interviewed and where the interview took place and very briefly summarizing the interview). Please consider carefully who you will interview if the interview is on a potentially upsetting topic. You will promise confidentiality to your respondent, so if you interview a relative or friend you may be put in an awkward situation in the future. Voluntary, informed consent must be obtained for the interview although in order to protect the respondent's privacy you should not ask for signed consent.

The consent form should be along these lines: My name is _____. I would like to interview you about _____ for a sociology class on research methods that I am taking. The interview is totally voluntary, and you can stop at any time or not answer any particular question. Your name will not be revealed to anyone and only my instructor will read the interview transcript. The interview should take about thirty minutes. If you have any questions you can contact my instructor at Lehman College at 718-960-7820. I would appreciate it if you would allow me to do the interview.

In the interview you should concentrate on a small part of the subject's life experience, preferably something that has a beginning, a middle and an end. Some examples would be:

- Drugs: How a person started or quit smoking. A person's first experience with alcohol or illegal drugs. How someone quit using alcohol or illegal drugs.
- Religion: A memorable event in a person's religious experience. For example, converting to a new religion. leaving a religion, participation in a ritual such as baptism, bat mitzvah or confirmation, or ordination as a member of the clergy.
- Work and Families: How someone balances work and family demands, a first job, how a person got any particular job and what it was like to learn it, having a child.
- School: Math experiences, dropping out of school, deciding to go to college, becoming a teacher, finding day care.
- Immigration: The experience of immigrating, early experiences in the U.S., deciding to come to the U.S., becoming a citizen.
- Age and Aging: Becoming a retired person, experiences with the healthcare system, relationships with children/family as someone ages; moving to a nursing home; becoming a caregiver for an aged parent.

In addition to the interview, you should observe the person's normal surroundings and/or the surroundings in the place where you do the interview and his or her appearance. Hand in: A description of the surroundings and the person, a brief summary of the interview, and the interview transcript. The latter may be hand written.

Assignment 12: Evaluation Article critique.

Read the evaluation article for your theme (item 4 on the theme reading list). Write an article critique in essay form. Some things you will want to do are:

1. Describe the goal of the intervention that was evaluated.
2. Explain why the researchers and/or practioners thought that the intervention would or would not be successful.
3. Summarize the results of the evaluation. Did the intervention work? (The answer to this may be complex).
4. Describe the type of evaluation design, such as experiment, quasi-experiment, single-system, or action research; summative or process; qualitative or quantitative. What research methods were used?
5. Describe the stakeholders in the project (the people and organizations that have a "stake" or investment in the results of the evaluation).
6. Summarize what you see as the strengths and weaknesses of the **evaluation** (not the intervention). Make sure that you consider issues of internal and external validity, sampling and generalizability.
7. If you ran a school, agency or other organization for which it was appropriate would you try this intervention? Why or why not? What was your opinion of the intervention? How, if at all, would you change the program and/or the evaluation.

As always, this should be in essay format and carefully proof read.

Lab 1: Using existing data to explore your zip code

In this lab you will use information available on the internet to do a study of the zip code you live in.

Data Source 1: The 2000 Census

Go to the [American Factfinder](#) at the U.S. Census Bureau. Scroll down and look on the left for "enter your address."

Enter your address in the boxes. Click "go."

Record the following information:

County	
County Subdivision	
Block Group	
Block	
Congressional District 108th Congress	
School District	
Voting District/Remainder	
5-digit Zip Code Tabulation Area	

Highlight "5 Digit Zip Code Tabulation Area," and then click on "Map It." You may want to print the map. How do the boundaries of the zip code compare to your idea of where your neighborhood is?

1. As far as you know, what is the name (or are the names) of the neighborhood(s) in this zip code? Is a zip code the same thing as a neighborhood?

2. Based on the "ordinary human observation" you have done as a resident, how would you describe the kinds of people who live in your zip code?

Click on "Go" and scroll down. You will see a list of maps, tables and other materials about your zip code.

You will have to read the labels of these tables carefully to make sure that you are getting the correct information. For some tables you will have to combine percentages.

Select: DP-1 Profile of General Demographic Characteristics: 2000

Find and record the gender and age distributions for your census tract.

Gender Distribution of your zip code Population	Percent
Male	
Female	
Age Distribution of your zip code Population	Percent
Ages 0-4	
Ages 5-64	
Ages 65 and Above	

Click on Back and Select:

QT-PL Race, Hispanic Status and Age: 2000

Record Race and Latino Status for the entire population.

Race and Latino Status of your zip code	Percent
Latino	
Non-Latino White	
Non-Latino Black	
Asian	
Other	

Click on Back and select:

DP-2 Profile of Selected Social Characteristics: 2000

Find and record nativity information

Nativity of the your census tract	Percent
Native Born	
Foreign Born	

3. Overall, how would you summarize the demographic make-up of your zip code? Were you surprised by any of the results? This should be a whole paragraph. Don't include every statistic, but give enough information from the data to support your description.

Data Source 2: Commercial Segmentation Data from Claritas.

Marketers, politicians and others use data from the census and other sources in order to classify people. Often these groupings are called clusters or segments. These clusters are intended to create more complex groups than are possible using just one or two variables. One well-known system for this is Prizm NE. Prizm NE divides the U.S. Population into 66 segments or types of people. The systems are then used to describe the types of people living in a specific geographic area.

[\(Here is a web page with a lot of information about the ideas behind these systems.\)](#)

[\(Here is a USA Today story about them.\)](#)

Try for yourself (you just need to enter your zip code).

[YOU ARE WHERE YOU LIVE!! - Claritas](#)

After typing in your zip code and clicking "submit" you will get a list of the 5 most common clusters for your zip code. (Clusters must make up at least 5% of a zip code to be listed, so it is possible to have fewer than 5 listed if there are a small number in the other groups.) Feel free to try the other systems too; they tell you about other aspects of lifestyle.

Prizm NE Segment Names	Your notes on the segments

Click on the name of each segment to read a description of the people in the cluster and some of their consumer habits.

4. Summarize what you learned about the people in your zip code from the PRIZM NE and any other segmentation data you looked at. Make sure you give the reader adequate information about the characteristics of each cluster to understand what the names mean.

5. How accurate do you feel the segment data were at describing you and/or the other people who live near you. Do you fit into one of the groups? Do members of your family? Do the people who live near you? Do they reflect what you know about your zip code area?

6. How do you think that the cluster data compares to the census data? Which did you find more interesting? Which did you think was more useful? What purposes would each type of data be used for?

Please make sure to put your name, section and zip code on the top of your response.

Keep a copy of your answers for yourself and hand one in at the end of lab.

Lab 2: Content Analysis I (Manifest Content)

In this lab we will be doing a content analysis of scholarly journals in sociology and social work and popular magazines and their coverage of our theme topics from 1993 to 2003. We will test the hypothesis that:

Coverage of specific topics goes up and down at the same time for all three sources of information (sociology journals, social work journals, popular magazines).

Therefore the independent variable is the journal or type of journal and the dependent variable is the amount of coverage in a given year.

We will collect our data using electronic bibliographic data bases available though the Lehman Library. We will count the number of ARTICLES on your theme in each year for 6 specific publications. The journals are:

- Sociology: *American Sociological Review, American Journal of Sociology*
- Social Work: *Families in Society, Social Service Review*
- Popular magazines: *Newsweek, People*

To get to the list of bibliographic data bases available at Lehman [click here](#). If there is any problem with that link, [click here](#)

- To collect data on the sociology journals use *Sociological Abstracts*.
- To collect data on the social work journals use *Social Services Abstracts*.
- To collect data on the popular magazines use *Ebsco Master Premier*.

Here are the search terms to be used

Theme	Sociological/Social Service Abstracts	Ebsco
Immigration	KW=immigra*	immigra*
Religion	KW=religio*	religio*
Work and Families	sociology journals: KW=work and family social work journals DE=Family Work Relationship	work and family
Health and Medicine	KW=health or medicine	health or medicine
Aging	kw=elderly or aged	elderly or aged
Schools and Education	kw=school* or education	school* or education

For Sociological Abstracts or Social Services Abstracts

- Select "Sociological Abstracts" or "Social Service Abstracts" (depending on which journal you are doing). Then click on "advanced search."
- Underneath "Build your Search Strategy" set your search criteria.
- For the first, select "Keyword=(KW=)" or "Descriptors= (DE=)" as listed above, then enter the terms above.
- For the second, select "Journal Name=(JN=)" as listed above.
- Where it says "From" type 1993 and where it says "To" type 1993.
- Click on "Search."
- Just above the list of citations, next to a blue arrow, you will see the number of citations (which may be large, small or even 0). Fill this information in the grid below (explanations of abbreviations are in the second graphic.)
- Enter 0 if there are no citations for a year.
- You can then change the year using the box to the left. Fill in the numbers for each year.
- Repeat this procedure for each of the sociology journals. Switch to the Social Service Abstracts data base

when appropriate.

Caution #1: Make sure to only count citations for the specified journal. Check a few of the citations to make sure that you are getting accurate results.

Caution #2: Make sure that you use the correct data base. There is some overlap between the two databases, but to get all of the articles from a particular journal you need to use the correct database. Select the data base designated above.

For Ebsco

- Scroll down and click on "Master File Premier."
- Click on "Advanced Search."
- Put the the magazine name (e.g. "People") in the first line and change the first line of Default Fields" to "SO Journal_name."
- Enter your search term exactly as written in the table in the next line.
- For the first "Yr" enter "1993" and for the second enter "1993."
- Click on "Search."
- Looking at the list of citations (which may be short or long) copy the number of citations in your journal each year. Fill this information in the grid below (next page in printed version) (explanations of abbreviations are in the second graphic).
- Enter 0 if there are no citations for a year.
- Click on the "search history" tab, and then "Revise." Change the year. OR click on "search options" and change the year.
- Repeat this procedure for each of the popular magazines. (You can just go to search history and click on revise, then change the name of the magazine).

Caution: Make sure to only count citations for the specified journal. If you use a different method of getting the counts, some listings will include other journals which have the same words in the name (for example, when searching for *People* you will also get listings for *People Management* and *Teen People Education*. For *Newsweek* you will get some special editions. Do not count these.

Data Entry

When you have completed the grid,

- If you are in internet explorer, you can click [here](#) to open the data set.

OR

- go into SPSS (click Start, Program Menu, SPSS for Windows).
- Under "Open an Existing Data Source" select "journals.sav" OR click cancel, then *file, open*, and find journals.sav on the data set list and open it (in the lab it will be on the Z drive in the SPSS directory).

Then

- Make sure that the screen looks like the blank grid shown somewhere near here (variable names across the top, years down the sides). If it does not, go to the bottom of the screen and select the "Data View" tab.
- Copy your numbers from the paper to the SPSS file (note: you do not enter the variables soctotal, swtotal and poptotal).
- After you have entered your data, take a look at the variables starting with asrn and going to ssrn. These show you how many total articles each of the publications printed each year. Why is this important?
- Once you have entered your counts, you need to calculate the totals and also the rate at which each publication covered your theme. Click on *file, open, syntax*. Find the file computetotals.sps on the list and open it. This will open a syntax window. (If you are not working in Carman 220 you can [click right and select "save target as"](#) here to copy the syntax file to your floppy or hard disk)
- Click *run, all*. If you look back at the data screen you should now see filled in totals and rates. The totals add up the numbers for each type of publication. The rates are calculating the (number of articles on the theme in a year)

- ÷ (total number of articles on any topic in that year)
- At this point, if you wish, you may save the data set to a floppy diskette by selecting *File, Save As* changing the "Save in" location to A:, typing in the name "journals" and clicking "Save."
- Click on *Edit, Options*. Select the tab labeled "Charts." In the box that says "Fill Patterns and Line Styles" select "Cycle through patterns." Click *OK*.

Creating the Graphs

- Looking at the menu at the top of the SPSS Screen, select *Graph, Sequence*.
- For "Time Axis Labels" select "year." For "variables" put the names of the six journals.
- Click "OK."
- Repeat using *poptotal*, *soctotal* and *swtotal*.
- Now run the following 2 graphs in exactly the same way: (1) *newsrate*, *peoprate*, *asrate*, *ajsrates*, *firate*, *ssrate*; (2) *swrate*, *socrate*, *poprate*.
- When you have all 4 graphs in the output window, put your name on the printout by selecting "*File, Page Set Up*" then *Options*. Type your name in the header.
- Then print (click on the printer icon OR select *File, Print, OK*).

When you have the graphs, look at them closely and compare them to each other. Pay attention to the values on the y axis as the graphs may be deceptive. Answer the following question using a word processor.

IN YOUR OPINION,

- how much attention did the different publications and types of publications pay to your theme?
- Did coverage of your theme change much between 1993 and 2003?
- What were the highest and lowest years of coverage for each journal and for each type (sociology, social work, magazine) of publication?
- Did some publications seem to focus on your theme more than others?

Now look at the graphs that use rates and answer the same questions.

Overall:

- Are the rates or the actual numbers more useful?
- Did the specific publications or the three types of publications tend to have the most and least coverage in the same year?
- Were their trends similar?
- Was the hypothesis supported?
- What do you think about the reliability and validity of this research procedure?

Here are some titles from these publications for the period immediately prior to the period you studied:

- "The Enclave and the Entrants: Patterns of Ethnic Enterprise in Miami before and after Mariel" *American Sociological Review*, 1992, 57, 3, June, 411-414
- "A Cross-National Comparison of the Gender Gap in Income" *American Journal of Sociology*, 1990, 96, 1, July, 69-106
- "When Case Managers Manage the Seriously Mentally Ill: A Role-Contingency Approach" *Social Service Review*, 1990, 64, 1, Mar, 79-93
- "Religious Denominational Policies on Sexuality" *Families in Society*, 1992, 73, 5, May, 304-312
- "Pampering the elderly (II)". *Newsweek*, 11/26/90, Vol. 116 Issue 22, p58, 1p, 1c
- "Princess with a purpose." (cover story) *People*, 7/16/90, Vol. 34 Issue 2, p64, 8p, 15bw

Think about the titles (and any titles or summaries/abstracts you read). How do the articles in the popular magazines differ from those in the scholarly journals? Do you think that any differences you notice have any implications for the validity of our research design?

Journal.sav - SPSS Data Editor

Edit View Data Transform Analyze Graphs Utilities Window Help

1990

	year	asr	ajs	sf	sw	fis	ssr	newsweek	people	newyrkr
1	1990
2	1991
3	1992
4	1993
5	1994
6	1995
7	1996
8	1997
9	1998
10	1999
11	2000
12										

Data View Variable View

SPSS Processor is ready

ournals.sav - SPSS Data Editor

Edit View Data Transform Analyze Graphs Utilities Window Help

Name	Type	Width	Decimals	Label	Values	Miss
2 asr	Numeric	8	0	American Sociological Review	None	None
3 ajs	Numeric	8	0	American Journal of Sociology	None	None
4 sf	Numeric	8	0	Social Forces	None	None
5 sw	Numeric	8	0	Social Work	None	None
6 fis	Numeric	8	0	Families in Society	None	None
7 ssr	Numeric	8	0	Social Service Review	None	None
8 newsweek	Numeric	8	0	Newsweek	None	None
9 people	Numeric	8	0	People	None	None
10 newyork	Numeric	8	0	The New Yorker	None	None

SPSS Processor is ready

Lab 3: Content Analysis (Latent Content)

This exercise involves content analysis. We will be doing a small, but complete, data collection and analysis during the course of the exercise.

The hypothesis of this study is: Heterosexual men and women placing personal advertisements differ in terms of the characteristics they want in a partner.

Warm up questions: are there any more specific differences that you expect to find?

Go to a place on the internet where people place personal ads. There are many places. Some may be found [here](#).

Read the [coding instructions](#) (next printed page). Code at least 6 personal ads--3 placed by men seeking women and 3 placed by women seeking men--in terms of how they describe the person they are looking for. Use one row for each ad coded. Code the gender of the ad writer--m for male and f for female. Each ROW represents 1 advertisement. If the ad you are coding mentions the attribute put a y or 1 in that box. If an attribute is not mentioned, put an n or 0 (zero) in the box. If you are not sure, raise your hand and we will discuss it. When you are done coding on this sheet you will enter these data into an SPSS file. I will explain how to do this, but you can go ahead and exit netscape and then click on the SPSS icon to get the process started. Let me know when you are ready to start inputting your data.

Don't worry I will be working with you on this.

SPSS steps:

- To get into SPSS click Start, Programs, SPSS, SPSS for Windows.
- Click cancel at the dialog box. You will get a blank data sheet. At the bottom are two tabs, "Data View" and "Variable View."
- First, define the variables. Do this by going to Variable View. Give each variable a name (one per row and the name must be 8 or fewer characters), a label (a longer, more descriptive name), and change the Type to string if you have used letters (for example m or f for sex of ad writer)(click on the type button).
- Define *values* indicating what the numbers or letters are valid values (for example 1 and 0 or m and f) for the variable and *value labels* that indicate what they mean (e.g. 0=no; 1=yes).
- When you have defined your variables, switch to Data View and enter your data. Make each row on this sheet one row in SPSS. You can save the file if you wish.
- Click on the Analyze menu, select Descriptive and then Cross tabs.
- Use gender as your column variable and several variables of your choice (if you have time, do them all) as your row variables (it will work best if there is some variation in these variables). Run the table, and print it after it has been checked.
- Write the answers to: What was the relationship between gender and each of the variables you chose? Is the hypothesis supported or not supported? What about your prediction in response to the warm up question? Write a paragraph on your printout or in a word file.

Here are 2 Sample ads that you can try to code before finding your own:

Asian Grace. Very attractive SF, 30, 5'5", 125 lbs looking for tall, attractive, Asian/white gentleman, 30s-40s, successful, professional, lawyer MBA/type with good qualities for LTR.

Seeking Ms. Right SBM, 27, 5'9", 185lbs, curly black hair, seeks warm, kind, understanding SBF, 27-35, to build relationship, possible LTR. Must be sincere and D/D free.

Coding Instructions

Here are the coding instructions that we have from the original article.

Coding scheme for personal advertisements based on : Simon Davis "Men as Success Objects and Women as Sex Objects: A Study of Personal Advertisements" *Sex Roles* 23(11/2)(July 1990): 43-50 reprinted in *Empirical Approaches to Sociology*, (Second Edition) Gregg Lee Carter, Editor, Boston: Allyn and Bacon 1998 477 -482

This information appears on pages 478-479

Remember that that you should read each ad and record the gender of the person WRITING THE AD. For everything else, be careful to code the characteristics of the person BEING SOUGHT, NOT the way that the person placing the ad describes himself or herself.

1. *Attractive* : Specified that a partner should be, for example, "pretty" or "handsome".
2. *Physique* : Similar to 1; however this focused not on the face but rather on whether the partner saw "fit and trim," "muscular" or had "a good figure." if it is not clear if body of face is being emphasized, this variable fell into (1) as a default.
3. *Sex* : specified that the partner should have a, for instance, "high sex drive," or should be "sensuous" or "erotic," or if there was a clear message that this was an arrangement for sexual purposes ("Lunchtime liasons -discretion required.").
4. *Picture* : Specified that the partner should include a photo in his her reply.
5. *Profession* : Specified that the partner should be a professional.
6. *Employed* : specified that the partner should be employed, e.g. "must hold steady job" or "must have steady income."
7. *Financial* : specified that the partner should be, for example, "financially secure" or "financially independent."
8. *Education* : specified that the partner should be, for instance. "well educated" or "well read" or should be a "college grad."
9. *Intelligence* : specified that the partner should be 'intelligent," "intellectual," or "bright."
10. *Honest* : specified for instance that the partner should be "honest" or have "integrity."
11. *Humor* : specified "sense of humor" or "cheerfulness.
12. *Commitment* : specified that the relationship was to be "long term" or "lead to marriage,"or some other indication of stability and longevity.
13. *Emotional* : specified that the partner should be "warm" "romantic," "emotionally supportive," "emotionally expressive," "sensitive," "lovingq," "responsive," of similar terms indicating an opposition to being cold and aloof.

Ad number	Gender of Ad Maker	Attractive	Physique	Sex	Picture	Profession	Employed	Financial	Education	Intelligence	Honest	Humor	Commitment	Emotional
1														
2														
3														
4														
5														
6														

Lab 4: Secondary Data Analysis with the General Social Survey

In this lab we will use SPSS to analyze people's attitudes about topics related to the themes. We will be using the General Social Survey.

First, start SPSS (click on programs, SPSS for Windows). Be patient .. while you are waiting, read the rest of this. Open the GSS96 data set. We will first go through some analyses together. Then, each person will do some independent analyses.

As we are doing the analyses, keep SPSS open and do not delete results unless you have made a mistake. In that case, delete only the incorrect results. ASK HOW TO DO THIS.

Make sure to take notes during the time when the class is working together. This is how you will know the correct way to make cross tabs.

Independent Analyses

For the independent analyses you will run crosstabulations with the correct row/column set up and percentages in the correct direction with the variables that follow. You will also run one table with a control (layer) variable. Your professor may give you other specific instructions.

Hypotheses:

1. There is a relationship between sex and your dependent variable.
2. There is a relationship between race and your dependent variable.
3. There is a relationship between marital status and your dependent variable.
4. The relationship between sex and your dependent variable will remain the same if race is controlled for.

Everyone will use the following independent variables: *Race*, *Sex*, *Marital*. For the dependent variable, select the one for your theme:

Religion: *PRAYER*

Work and families: *FEKIDS3*

Schools and education: *SEXEDUC*

Medicine: *HLTHCARE*

Immigration: *IMMAMECO*

Age and aging: *AGED*

Circle the variable for your theme.

To test your hypotheses you will need to run 4 (or if you wish, 5) tables. Instructions for running crosstabs in SPSS are given below.

[Go to the GSS web page and look up your variable on the mnemonic list](#) (The mnemonics are in alphabetical order; you will need to select the appropriate letter of the alphabet at the top first). **Make sure that you read** about what the variable measures! It may not be obvious from the variable name or the response categories.

When you have your tables, you will write up your results.

First, describe your dependent variable. What does it measure?

What, if any, differences do you expect to see in responses to this question between males and females? Blacks, whites and others? Single, married, divorced or widowed people?

Then, write a few sentences about each bivariate table stating what, if any, relationship exists between the independent and dependent variable. Do your tables support the hypotheses 1-3? Were your predictions supported? Do not list every number. Instead select a few key figures that illustrate your conclusion. You may also use the Chi Square as an aid in interpretation.

Then, look at the table with the control variable. Does the relationship between the variables get stronger, weaker or stay about the same when the control variable is introduced? Is hypothesis 4 supported? Think of at least one other

control variable you think would be interesting to use.

At the end of the lab your instructor will come around and check the results on your computer. Do not print until your results have been checked. You will also write a brief summary of your independent results on a sheet of paper or in Word and hand it in at the end of lab. Make sure your name is on the paper. See below for instructions for putting your name on SPSS printouts.

If you are not working in the Carman 220 lab you can [open the Gss96 data set by clicking here](#)

Basic guidelines for crosstabs:

- Click on *Analyze, Descriptive Statistics, Crosstabs*
- Put the independent variable(s) in columns and the dependent variable in the rows (find the variable name on the list, click on it, click on the appropriate arrow).
- Click on the *Cells* button and select column percents. Unselect observed counts.
- Click on the *Statistics* button and select chi square.

To run a cross tab controlling for a third variable

- Put the independent variable in columns and dependent variable in rows, and select options as listed above.
- Put the control variable in the box called "Layer." Note: You will get a separate table for each category of the control variables (that is, 2 for sex or 3 for race).

To put your name on the SPSS printout:

- Go to the output window.
- Click on File, Page Setup.
- Click on the Options button
- Type your name in the header box.

Lab 5: Operationalization Choices

For this lab you need to open both Netscape and SPSS. In SPSS open **gss96**.

This lab will examine the impact of how survey questions are worded on the answers that respondents give. We will do this by comparing questions (1) that measure the same concepts or and (2) questions that measure different dimensions of a concept.

At this point, you should know how to make a correctly formatted cross tab on your own.

Part 1

- Hypothesis 1: How a question is worded influences the answers that respondents give.

The following pairs of GSS variables have SUBTLE differences (often just one or two words) in question wording (usually at the end). [Go to the GSS web site and, for your pair, read the wording of both questions very carefully.](#) Write down the difference between the two versions.

- | | | |
|--|--|--|
| 1. nataid , nataidy | 2. natarms , natarmsy | 3. natcity , natcityy |
| 4. natcrime , natcrimy | 5. nateduc , nateducy | 6. natenvir , natenviy |
| 7. natfare , natfarey | 8. natheal , nathealy | 9. natrace , natracey |
| 10. natspac , natspacy | 11. natdrug , natdrugy | |

Your instructor will tell you which pair to use.

Run a frequency table for each pair and a cross tab of each with RACE. Be sure that you do correct rows, columns and percents; ask only for percentages, not for counts.

- What, if any, differences were there between the two frequency distributions?
- Why do you think that the results did or did not differ? Which wording do you think is better? (note--any differences will generally be just a few percentage points).
- Overall would you say hypothesis 1 is supported or not supported?
- Now look at each of the cross tabs. What is the relationship between race and each of your variables? Does the relationship differ between the two question wordings? Why do you think it does or doesn't? Do the cross tabs support or not support hypothesis 1?

Write or type your answers. Be prepared to share your results with the class.

Part 2

- Hypothesis 2: Questions that ask about different dimensions of a concept will have different results.

Below are listed sets of variables which measure different dimensions of the same underlying concept. Your instructor will tell you which set of variables to use. [Go to the GSS website and, using the mnemonic list, read the actual wording of the questions that were asked in the GSS.](#) For each of your variables run frequencies and then use crosstabs to look at the relationship between it and SEX. Be sure that you do correct rows, columns and percents; ask only for percentages, not for counts. Put your name on the printout. Print the tables. Make sure you pick up the correct printout.

- Are the results from the frequency tables basically the same or are they different?
- Why do you think they are the same or different?
- Looking at the cross tabs, describe the relationship between SEX and each of your variables.
- Are the relationships shown in the different tables basically the same? How, if at all, do they differ?
- Why do you think the tables differ or are similar?
- Overall, is hypothesis 2 supported by your results?

Write up your responses to these questions.

1. Abortion Attitude	Abany , abdefect , abh1th
2. Abortion Attitude	abpoor , abrape , abnomore
3. Abortion Attitude	abdefect , abpoor , absingle
4. Confidence in institutions:	conarmy , conbus , confed
5. Confidence in institutions:	coneduc , confinan , conjudge
6. Confidence in institutions:	conlabor , conlegis , conmedic
7. Confidence in institutions:	conpress , consci , conclerg
8. Confidence in institutions:	conbus , confed , conlabor
9. Confidence in institutions:	confed , conjudge , conlegis
10. Confidence in institutions:	conpress , consci , contv
11. Confidence in institutions:	coneduc , conmedic , conclerg
12. Views About Women's Roles:	feh1p , feh1d , feh1m
13. Tolerance of Controversial Views	colath , colmil , colhomo
14. Tolerance of Controversial Views	colhomo , colmil , colrac
15. Attitudes Towards Immigrants	immcrime , immjobs , immameco
16. Attitudes Toward Police Violence	polhitok , polabuse , polmurdr
17. Attitudes Toward Police Violence	polescap , polattak , polmurdr

Lab 6: Pretesting a survey

For this lab you must bring both two hard copies of your survey and a disk copy to the lab. To get credit for both the lab and the assignment you must turn in a copy of the first version of the survey at the beginning of the lab. If you spend the lab working on the first draft of your survey you will not receive lab credit. **This lab may not be made up.**

This lab will involve pretesting your survey, working on revisions of the survey in response to pretesting, and working on survey layout. By the time you leave the lab you should have a polished survey. Make sure that your instructor reviews your final survey before you leave the lab.

Everyone needs to participate both in testing their surveys and in being subjects for other people's surveys.

Step 1: Take your survey and administer it to someone else in the class. Note any problems that you notice while giving the survey, especially questions that the subject did not understand, response categories which are not exhaustive or mutually exclusive, or problems with grammar. Also note if there are any problems that you as the interviewer notice, such as filter questions that are confusing. After administering the survey ASK the subject for specific comments about the survey. Ask the person to be as critical as possible. Try to get the respondent to tell what he or she thinks you are asking about for each question.

Here are specific questions to ask your subject about each item on the survey

- What do you think the question was trying to measure?
- Were there any words in the question that seemed too difficult or unclear for an average person who has not been to college?
- Did the answer choices I gave you make sense to you?
- Did you have any difficulty determining what response to give?
- Were any additional instructions needed?

Step 2: Revise your survey on your computer disk. Deal with any problems that you noted during the pretesting process. Print the revised survey.

Step 3: Repeat step 1 and 2 with a new subject.

Step 4: Work on making the layout of the survey as professional looking as possible. Some suggestions are: using text boxes and arrows for filter questions, printing landscape with a 2 column format so that you can fold and make a book, using tables, lists and other strategies to keep things organized.

When you feel confident that the survey is ready to go, bring the survey to the instructor, and he or she will review it. **DO NOT** show the instructor surveys that have not been pretested. **Do not leave the lab without having your survey checked and without handing in a final copy of the survey.**

Lab 7: Exploring Sampling

In this lab we will be studying sampling using the software SAMP. Turn on the computer, go into windows and click on the SAMP icon. Read the introduction and then go to the procedures menu.

We will use samples to estimate the **population mean**.

Part 1

Research question: What is the relationship between sample size and the accuracy of sample estimates of the population mean?

For this part of the lab we will use SIMPLE RANDOM samples, so click on the Simple button and read the introduction. In this exercise we will repeatedly take random samples of specific sizes. To do this:

1. Copy the designated percentage of the population from the top line of the table below and put that in the box on the upper right of the SAMP screen.
2. Click on Go
3. Find the sample mean on the list of statistics and write that in the table.
4. Click on Try Again to clear the results.

Do this 6 times for each sample size, then answer the questions. Then go to the next percentage, until the table is full. Answer the questions underneath the table. When you have finished that, go on to part two.

Sample number	.5%	1%	2%	4%	8%
1					
2					
3					
4					
5					
6					
highest mean in the column					
lowest mean in the column					
Difference between the highest and lowest means in this column					

Answer the following:

- What relationship is there between the difference between the highest and lowest means and the size of the sample?
- What impact does changing the sample size have on the estimates of the mean?
- Usually in research we take just one sample. Which sample size do you think is best? Which gives you the most confidence?
- Do very big samples (percentage=8) give you much more confidence than small samples (percentage=.5)?
- Do moderate samples (percentage=4) give you much more confidence than small samples (percentage=.5)?
- Do very big samples (percentage=8) give you much more confidence than moderate samples (percentage=2)?
- Does doubling the sample size double your confidence that a sample will be very close to the true mean?
- How big of a sample do YOU need to feel very confident in a SINGLE estimate?

Part 2

Research question: What sampling methods are most accurate? What sampling methods are most cost effective?

For the second part of the lab we will assume a sample of **1%** of the population or about 110 people. We will take one sample of each of several different types. Go to the procedures menu and select the sample type. Then, read about that sample type and select 1 sample from each (follow the list below). When you are done with each sample, click on the SAVE button. When you have completed one SET go to SUMMARY and print your results.

When you read about each type of sample, make sure to write down what information was needed in order to take the sample (e.g. what was the sampling frame?).

Set 1.

- A simple random sample;
- A stratified sample with 1% selected from each group;
- A cluster sample with 5 areas selected;
- A quota sample with 55 males, 55 females, and 37, 37, and 36 from each age group

Set 2

- A simple random sample
- A cluster sample with 2 areas selected.
- A stratified sample with 1% selected from each group (yes, the same as above)
- A quota sample with 55 males, 55 females, and 37, 37, and 36, respectively, from each age group

Set 3

- A simple random sample
- A cluster sample with 10 areas selected.
- A stratified sample with 1% selected from each group (yes, the same as above)
- A quota sample with 55 males, 55 females, and 37, 37, and 36 from each age group

Look at the print out. What is the true value of the population mean?

How to think about costs:

Samp will tell you the cost per interview, the cost per attempted interview, the cost of drawing the sample, and the about of driving that would have to be done along with the cost per mile. Use these to estimate the costs. We will do this in Excel.

- Click [here](#) to open a spreadsheet with labels

We will work together, but you should start on your own if you are ready.

Start by entering the sample means for each of your 12 samples.

Then enter the true population mean in each column (copy this from your output; you can copy and paste to put it in each column).

Then, in cell b4 calculate the error by subtracting the sample mean from the population mean. You do this by typing in the fomula =b3 -b2. Copy and paste this formula to all of the columns in row 4.

- Which kind of sample gave the best estimates?
- Which gave the worst?
- What patterns do you notice?

For the remainder of the lab work on completing the spread sheet. Not everyone will finish, **this is OKAY!!!**

Start entering the information that you have on your printouts for each of the samples. Items in red are available on your printout. (Look on the web page to see colors) Items in blue were discussed in the introduction to each sampling method and use information given in the printout. Fill the red and blue items in first. Note that you can use copy and paste for information that is the same across the different sample types.

Items in black need to be calculated using Excel and the information in the red and blue cells. Try to determine the formulas for these on your own. Your instructor will assist you with translating the formulas into Excel. The best strategy is to do all of the formulas for one column; you will be able to copy and paste many of them to the other columns.

Some Useful Information for Using Excel			
Start formula with	Multiply	Divide	Refer to any cell by its letter and number.
=	*	/	B2 (column B row 2)
Sample formula:	=3.172-B2	If you copy this and paste it one column to the right, Excel will automatically change b2 to c2.	

To print your table: Use your mouse to highlight the area you typed in. Click on File, Print and select "selected area," print.

- Looking at the various cost factors involved in each method, which is the least expensive?
- Which method is the most expensive?
- How would you balance cost and accuracy in choosing a sampling design?

Lab 8: Entering Data Into SPSS

In this lab we will take the surveys that you administered and enter them into an SPSS data set. Simple statistics will then be produced.

Things you should accomplish:

1. Make sure you have completed [Assignment 7](#) prior to the start of lab.
2. Go into [SPSS](#), open a blank data set, and go to Variable View. Define each variable (variable name, variable label, values -where appropriate). You have already done all of these things in previous labs.
3. Define missing values for those variables for which they are needed (this can be done in combination with 3). To do this pick a number that you haven't already assigned to a response for the variable you are working on (usually in SPSS people use 9 or 99). Click on the cell in the column labelled Missing. Click on the gray box. Select "Discrete Missing Values" and then type the value you selected into one of the boxes and click ok.
4. Go to Data View and enter the data: one row of data for each respondent to the survey.
5. Run a frequency distribution for all of the variables.
6. Before printing, proof read your output carefully, looking for misspelling or values without labels. If there are any, make corrections.
7. If you have time, add any open-ended or "other/please specify" variables.
8. Clear your output and run another frequency of everything. You can print this one.
9. Run at least one cross tab for your survey. Make sure that it makes sense in terms of independent and dependent variables.
10. Write a few paragraphs about what you found in your survey.

Hand in your printouts and what you have written.

Lab 9: Interpreting Qualitative Data

In this lab we will read transcripts on open-ended interviews with professional burglars. *Some* of the guiding research questions that this study seeks to answer are:

- What is the process of becoming a burglar like?
- How are burglaries organized?
- How do burglars pick targets?
- How do burglars feel about what they are doing?
- What is the role of substance abuse in burglary?

In answering these and other questions, you need to think about what different patterns there are in the transcripts that you read. It is unlikely that there will be only one way of organizing a burglary, to pick one example, but it is also unlikely that everyone does it in a completely unique way.

[The Burglary data set was collected by Richard Wright and Scott Decker.](#)

The interview transcripts were obtained from ICPSR.

Use a table of random numbers or a random number generator to select at least 3 interviews. [Click here to go to a random number generator. Request: 1 set of 3 numbers ranging from 1 to 105.](#)

Do not print the transcripts!

Read the three interviews and write about any common themes or patterns that you can identify in the responses given by the burglars. It may help to compare answers to the same questions in the different interviews. You may want to pick one or two of the research questions listed above to answer.

The first interview usually takes a long time to read, then each additional interview will be faster (because you know what to expect).

Texts of Interviews for burglary dataset

[001](#), [002](#), [003](#), [004](#), [005](#), [006](#), [007](#), [008](#), [009](#), [010](#), [011](#), [012](#), [013](#), [014](#), [015](#), [016](#), [017](#), [018](#), [019](#), [020](#), [021](#), [022](#), [023](#), [024](#), [025](#), [026](#), [027](#), [028](#), [029](#), [030](#), [031](#), [032](#), [033](#), [034](#), [035](#), [036](#), [037](#), [038](#), [039](#), [040](#), [041](#), [042](#), [043](#), [044](#), [045](#), [046](#), [047](#), [048](#), [049](#), [050](#), [051](#), [052](#), [053](#), [054](#), [055](#), [056](#), [057](#), [058](#), [059](#), [060](#), [061](#), [062](#), [063](#), [064](#), [065](#), [066](#), [067](#), [068](#), [069](#), [070](#), [071](#), [072](#), [073](#), [074](#), [075](#), [076](#), [077](#), [078](#), [079](#), [080](#), [081](#), [082](#), [083](#), [084](#), [085](#), [086](#), [087](#), [088](#), [089](#), [090](#), [091](#), [092](#), [093](#), [094](#), [095](#), [096](#), [097](#), [098](#), [099](#), [100](#), [101](#), [102](#), [103](#), [104](#), [105](#),

Lab 10: Movie/Visitor

We will either watch a movie or have a quest speaker this week.

Lab 11: Qualitative Observation

This week we will do a brief qualitative observation of Carman Hall and its surroundings.

Guiding research questions:

- What patterns of interaction or rituals are there in your site?
- What are the "unwritten rules" of the site?
- How is the site socially organized? What groups are there?

You will go to a designated location for between 45 and 60 minutes, observe and take notes (see below). Remember that you need to look at these locations in a different way than you usually would. Look for details of how the space is socially organized and for patterns of behavior and interactions among the people you see in the space.

Your professor may give you specific instructions that differ from these.

Guidelines:

1. Take quick notes while you are doing the observation, if possible, otherwise write up notes immediately afterwards or, if possible, leave the scene every 20 minutes to write the notes. Try sketching a quick map of the area, indicating the major physical locations (chairs, structures etc), where people are located, and where you are located. A quick description of the setting will also be useful. In some cases the physical environment may be an important component of the social organization of what you observe, so you may pay more attention to it.
2. In some instances you will want to observe from one location, but in others you may want or need to move around.
3. After you have observed for about 15 minutes try to observe in a more focused manner. For example, focus on the interaction between students or between students and faculty, or focus on the relationship between behaviors or interactions and social categories such as gender or race/ethnicity.
4. If you haven't been taking notes the whole time, write notes as quickly as possible after leaving the field. If you have been taking notes, make sure that you can read them. Do this while your observation is still fresh in your mind.

After completing an observation of 45 minutes if you go to another building, 60 minutes within Carman Hall, return to the lab.

After looking over your notes you should write a brief document summarizing the experience and what you learned. Try to move beyond just describing the situation to doing a brief sociological analysis. Although this report will not be as elaborate as that for a full scale study, don't forget to include your personal response to the situation.

Hand in both the notes and the write up.

General Notes:

1. If anyone asks what you are doing say that you are doing an assignment for a social research class. Also, assure the person that your report will be read only by the instructor for the class.
2. If anyone says that they do not want to be observed, tell them you will not observe them and then move to a different area. Do not observe that person anymore.
3. If you feel threatened in anyway, leave immediately and include this in your notes.
4. This is an observation assignment, not an interview assignment so do not engage people in conversation except as is absolutely necessary. However, if someone speaks to you, you should, of course, respond politely and appropriately.

Some possible locations (your instructor will assign you to a place).

Carman Cafeteria	Benches in front of Carman	Area around the food truck on Goulden Ave.	Area around Jerome Ave. Gate
------------------	----------------------------	--	------------------------------

Computer Lab (ITC)	ITC Musical Hallway	Carman back door	Vending machine/pay phone area on floor B
An empty classroom	Hallways of a specific floor (B,1,2,3)	Rest room	Area in front of bookstore
Specific area in the library (1,2,3, art, education, periodicals, cafe)	Student cafeteria	Art Gallery	The tunnels
Sociology Lounge	Stairs	Shuster Hall 2nd floor	Gillette Hall
Playing field in front of Carman	Open area between the Old Gym and the Library	Old Gym	The Carman elevator (waiting area and inside)

Lab 12: Understanding Experiments

Does random assignment work?

A *true experiment* is a research design in which subjects are divided into treatment and control groups randomly (as we will do in this exercise). The treatment group is given an intervention of some type while the control group does not get the intervention. An example of a treatment might be a math tutoring program for high school students. The treatment group would get tutoring. The control group would not get tutoring. The outcome measure might be scores on the Regents math test.

Experimental design is considered the strongest design for testing cause and effect relationships because (it is claimed) random assignment insures that any differences in the outcome variable are not due to differences between the treatment and control groups. That is, any relationship between the intervention and the outcome variable is not *spurious*.

In this lab we will see whether randomly assigning people to two groups really creates two groups which are almost identical on all of the background variables.

Hypothesis: Groups that are created by random assignment will be virtually identical on all characteristics.

Go into SPSS and open GSS96. *We will repeat the following steps 5 times.* Fill in the table below as you go along. Please do not print.

1. Randomly divide the sample into two groups:
 - Click on *Transform* and then *compute*.
 - Create a new variable called group by typing GROUP in the box underneath Target Variable.
 - For Numeric Expression you want to either type RV.BINOM(1,.5) or go down the list of functions and select RV.BINOM(n,p) and type in the 1 and the .5. Click OK. This will divide the sample into two groups: 1s and 0s. If you wish, you may go to "variable view" and create value labels for the variable group. For example 1=treatment 0=control.
2. Get the number of 1s and 0s by running a frequency on the variable GROUP.
3. Find the percentage male and the percentage Black in the two groups by running a *crosstab* with GROUP as the independent (column) variable and SEX and RACE and another variable of your choice (not age, educ or any variable with a lot of attributes) as the dependent variables (make sure to ask for the correct percentages). For your variable, report the percent with one of the attributes (responses).
4. Find the mean ages and years of education of the two groups by using *Analyze, Compare Means, Means*. Use GROUP as the independent variable and AGE and EDUC as the dependent variables.

Overall, how well do you think that assigning people to groups using random numbers works at creating groups that are similar to each other? Why (give evidence from your table)?

Was the hypothesis supported?

In your own words, why is experimental design is the strongest design for testing cause and effect relationships?

	trial 1	trial 2	trial 3	trial 4	trial 5
N in Group 0					
N in Group 1					
% male group 0					
% male group 1					
% black group 0					

% black group 1					
Your Variable % from the first row Group 0					
Your variable % from the first row Group 1					
mean age group 0					
mean age group 1					
mean ed group 0					
mean ed group 1					

Lab 13: Single system design and evaluation research

This lab has several parts. You need to open a word processor to type your work.

Part 1

[Did change happen in this system?](#) This web page has you look at 7 single-system time series graphs that compare an outcome measure before and after an intervention. For each one decide whether change happened, didn't happen or you are not sure and explain your answer. **Please do not print the page with the graphs!**

- Overall, which of the graphs gave you the most confidence that change really happened?
- Which is better, short or long before and after periods? Why?
- What are some patterns that might mislead a person interpreting single system graphs?
- Draw a single system graph that shows an intervention that worked and one that shows an intervention that did not work.

Part 2

For the next section of the lab we will be using materials from Trochim, William M. The Research Methods Knowledge Base, 2nd Edition. Internet WWW page, at URL:<http://trochim.human.cornell.edu/kb/index.htm> (version current as of April 09,1999)

Read the KnowledgeBase materials on [single group threats](#), [multiple group threats](#) and [social interaction threats](#).

or [Validity Tutorial](#)

- After reviewing the threats to validity, pick any 4 to explain in your own words.

Part 3:

Read about [Project Star](#), a program evaluation, (when you get there, click on "Shoppers advantage") and take the quiz at the end.

- What was the intervention?
- What was the outcome measure?
- Was the intervention successful?
- Which question on the quiz did you find the hardest?

Lab 14: Applying for IRB approval for your research

In this lab you will complete an IRB application for approval of your research and create an informed consent form if appropriate for your proposal. Although the forms appear to be complex, they are actually relatively straightforward IF you read the instructions carefully. In fact, there are some entire pages on the application that you will be able to skip. If your proposal does not involve human subjects, you should still fill out the form (requesting an exemption) and write the project description.

When you have completed the lab, you will hand in a copy of your responses to the IRB questions and you will retain a copy for inclusion in your proposal. You should also attach to your proposal a copy of the research ethics training certificate that you received when completing the online training. If for some reason you did not do so, have lost your certificate or can't remember your password you will need to redo the training. [Click here to enter the training module.](#)

The IRB forms are available [here](#) along with a sample protocol and consent form along with a consent form template. That is where you will also find the consent form check list.

One crucial issue for the review process is which type of review you will request (exempt, expedited and full). You would prefer to have an exempt review if possible, but if you are studying minors or other vulnerable populations or if subjects could become upset by your questions, you will need to do one of the other forms. Make sure you read the descriptions of types of research which may receive and exempt or expedited review.



Informed Consent Checklist

Use this checklist as a guide when developing procedures to ensure informed consent by participants in your study. Remember that “informed consent” is a **PROCESS**, of which the consent form is one part. The Office of Grants and Contracts is available to consult with you on any questions or concerns about developing procedures for obtaining informed consent.

- Identify the principal investigator (name, student/faculty status, departmental affiliation, school/university affiliation).
- Include a statement directing questions about the research or study to the principal investigator, giving the address, telephone number, and email address of the PI.
- Include a statement directing questions about human subject research at Lehman College to:
Nicole Banks, Office of Grants & Contracts
250 Bedford Park Blvd. W.
Bronx, NY, 10468
(718) 960-8107, nbanks@lehman.cuny.edu.
- Give a clear explanation of the purpose of the research.
- Describe the procedures to be carried out with each subject group in chronological order.
- Outline how long each participant will devote to the study.
- Explain any risks, discomforts, or inconveniences (social, physical or psychological) that subjects may expect from participating in the research.
- Describe any forms of compensation for participation in the research.
- Describe any potential direct benefits to the subject from participating in the research.
- Include a statement that participation is **TOTALLY VOLUNTARY** and that the subject may **WITHDRAW AT ANY TIME** without prejudice or penalty.
- Explain who will have access to the data during and after the study, how the data will be stored, and what will happen to the data after the study is completed.
- Include information about how confidentiality will be maintained.

If you will be audio- or videotaping subjects...

- Include a statement that the subjects will be audio/video taped and who will have access to the tapes
- Explain how the tapes will be stored and whether they will be shared.

If you will be reviewing the subjects' medical, academic or other records...

- Include a statement that the PI will be reviewing the subjects medical/academic/other records.
- If applicable, explain that the results of the study will be included in the subjects permanent medical/academic/other records.

- **Consent Forms should include separate signature lines for each of the following:**
 - Primary consent to participate in the research program
 - Consent for the PI or assistants to access subject medical/academic/other records
 - Consent for the PI or assistants to audio or video tape the subject
 - Consent for the PI or assistants to share data or records
- **Use common, non-technical language that can be clearly understood by the participants. Write at the 6th grade reading level.**
- **Consent forms should be on Lehman College letterhead and only one page long; if more space is needed, create a double-sided form rather than using legal size paper or two separate sheets of paper. Signature lines should be on the same page as the information.**

**INSTITUTIONAL REVIEW BOARD
(I R B)**

APPLICATION FOR APPROVAL TO USE HUMAN SUBJECTS IN RESEARCH

Step-by-step instructions and other information relevant to filling out this form are contained in CUNY's *Principal Investigator's (PI) Manual for Research Involving Human Subjects*, available at your campus IRB Office or by accessing it on-line at http://www.rfcuny.org/ResCompliance/pi_manual.html.* All Principal Investigators are expected to be familiar with the policies and procedures it contains. Failure to follow the instructions may result in a delay in the approval process. Be sure to sign where indicated by the ➡.

1. **Project Title:** _____

PRINCIPAL INVESTIGATOR INFORMATION (See Page 4 of the PI Manual)

2. Principal Investigator: _____

Department: _____ Phone: _____ Fax: _____

Email (**Required**): _____

3. Co-PI (if any) _____

Department: _____ Phone: _____ Fax: _____

Email (**Required**): _____

4. Status (check one): Faculty Doctoral Student Graduate Student Undergraduate Student
 Other (please explain) _____

For student and non-CUNY researchers *only*, please give your home address and telephone number:

FACULTY ADVISOR INFORMATION (See Page 4 of the PI Manual)

NOTE: The IRB will not review protocols submitted by students without the signature of a faculty advisor on page 8 of this application.

5. Faculty Research Advisor: _____

Department: _____ Phone: _____ Fax: _____

Email (**Required**): _____

* A revised version of the *PI Manual* that includes instructions on the questions in this form related to the Research Authorization required by the Privacy Rule issued under the Health Insurance Portability and Accountability Act (HIPAA) will be available shortly. In the meantime, please refer any concerns you have about these questions to your IRB Chair or IRB Administrator.

For IRB Use Only

Date Received:
(Form Revised March 2003)

Protocol Number:

PROTOCOL INFORMATION (See Pages 4-12 of the PI Manual)*

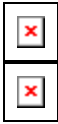
Yes No

6. Does your study involve individually identifiable protected health or mental health information (PHI), including demographic information and biological specimens identified to an individual, created or maintained by, or received from, a person or an entity covered by the Privacy Rule issued under the Health Insurance Portability and Accountability Act (HIPAA) (e.g., a hospital; a physician, or a practice in psychology, psychotherapy, or social work; a health insurer, HMO, or health plan; or a community clinic, or a social service or mental health agency)?
7. If your answer to question (6) is Yes, please list below or on a separate sheet the PHI that is necessary for your research and that you intend to use in your research.
- _____
- _____
- _____
8. If your answer to question (6) is Yes, please list below or on a separate sheet the name and address of each person or entity that is creating, maintaining or providing the PHI for your research.
- _____
- _____
- _____
9. If your answer to question (6) is Yes, please note that a person or entity covered by the HIPAA Privacy Rule can use or disclose PHI only under narrow conditions. Check below the authority under which you intend to obtain, use and/or disclose PHI in your research.
- You will seek each subject's HIPAA authorization (this HIPAA authorization is required **in addition** to each subject's informed consent). *If so, please attach a copy of the appropriate CUNY IRB HIPAA Research Authorization form prepared by you (PI), or the covered entity's HIPAA authorization, to this application. (These forms are available at <http://www.cuny.edu> under Research and Funding on the Faculty and Staff page.)*
 - You intend to request a waiver or alteration of HIPAA authorization. *If so, please attach a copy of the CUNY IRB Request for Waiver or Alteration of HIPAA Authorization form prepared by you (PI). (This form is available at <http://www.cuny.edu> under Research and Funding on the Faculty and Staff page.)*
 - The covered entity will provide you with a "limited data set" for your research.** *If so, please attach a copy of the covered entity's Data Use Agreement to this application (consult the covered entity's Privacy Officer for additional information).*

CUNY Investigators whose research involves PHI are required to ask all non-CUNY personnel who will have access to research data (e.g., co-investigators, outside statisticians, contractors) to sign the CUNY Subject Information Confidentiality Agreement, a copy of which is available at <http://www.cuny.edu> under Research and Funding on the Faculty and Staff page.

* Until the revised *PI Manual* that includes instructions on the questions in this form related to the Research Authorization required by the HIPAA Privacy Rule is available, please refer your concerns about these questions to your IRB Chair or IRB Administrator.

** Until the revised *PI Manual* including information regarding "limited data sets" under the HIPAA Privacy Rule is available, please refer your concerns about "limited data sets" to your IRB Chair or IRB Administrator.



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CUNY Policy for Student Research With Human Subjects

June 14, 2001

Research as defined in the CFR and conducted by graduate and undergraduate students at the City University of New York (CUNY) is subject to federal regulations which require that all research protocols involving human subjects be reviewed by an Institutional Review Board for the protection of Human Subjects in Research (IRB). However, these regulations allow certain types of course-related studies to be exempted from IRB review. The purpose of this policy is to clarify when student research projects and activities must be reviewed by the IRB.

Research is defined as any systematic investigation, including research development (pilot testing), designed to develop or contribute to generalizable knowledge. Generalizable knowledge refers to any systematically gathered data which is intended for dissemination beyond the institutional setting (e.g., program evaluation research for internal use does not usually need review), and which might reasonably be generalized beyond the research sample. A human subject is a living individual about whom a researcher (faculty or student) obtains data or information.

Research Practica

Research practica (usually in the form of course-related research projects and/or directed studies) are designed to provide students an opportunity to practice various research methods such as interview, observation and survey techniques, measurement of behavior (e.g., reaction time, speech, problem solving) as well as data analysis. Typically such projects are quite limited in scope, do not lead to generalizable knowledge and are not undertaken with that goal in mind. For example, a student may interview a peer when the interview does not involve any sensitive, personal information.

Such projects should not put the subjects at more than minimal risk, and the data must be recorded anonymously by the students (i.e., with no names, social security numbers, or any other codes that can be linked to a list of names). These projects are considered "classroom exercises" and are not subject to review by the IRB. They do not require review unless the student researcher anticipates publishing the results or presenting at a professional meeting.

Research Projects, Directed or Independent

Any research conducted by students, graduate or undergraduate, that does not fall under the definition of a research practicum, which uses human beings as subjects, and which is intended to contribute to generalizable knowledge, must be reviewed and approved by the IRB. This includes, but is not limited to, all independent undergraduate research projects and honors theses, masters' theses and dissertations.

Recognizing the time constraints imposed on projects that must be begun and completed within a single semester, the IRB will make every effort to work with instructors to process proposals promptly. However, instructors must plan for and allow adequate time for the review process to occur (approximately a week to a month, depending on the particular human subjects issues raised by the proposed research). The later in the term a proposal is received, the more difficult it will be to accomplish the review in time for the projects to be completed during the current semester. It is very strongly urged that instructors submit proposals within the first three weeks of the semester for projects that must be completed during the current semester. In some cases, when students in a course are all using similar methods of recruitment and data collection, instructors may submit an aggregate proposal.

Student research projects may be submitted to the IRB for consideration as exempt research if they meet federal exemption criteria such as research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures, or observation of public behavior in which data is collected anonymously (i.e., with no names, social security numbers, or any other codes that can be linked to a list of names) or otherwise qualifying under exemption category 2 of the federal regulations. Exemption requests must be submitted to the IRB by the course instructor.

See the following link for a complete listing of the federal exemption categories:

<http://ohrp.osophs.dhhs.gov/humansubjects/guidance/45cfr46.htm#46.101>

All non-exempt student research projects must be submitted for regular IRB review. Keep in mind that all requests for review of non-exempt projects must be submitted two weeks before the next scheduled IRB meeting on the relevant campus if the project requires full review by the IRB. (Check with your IRB for the deadline on your campus.)

Responsibility of Student Advisors for all Student Research Projects

- Faculty advisors of both undergraduate and graduate students must be certified to conduct research with human subjects, even if they are not currently conducting research with human subjects. One way of receiving certification is to complete the Computer-Based Training (CBT) program available on the RFCUNY Office of Research Conduct website as follows: <http://www.rfcuny.org/ResConduct/links.html>

Another method is to attend one of the Human Subjects Protection seminars presented by the Office for Research Conduct at various CUNY campuses throughout the year. Certificates of Completion are given for these seminars and can be used to verify fulfillment of the certification requirement.

- It is the responsibility of faculty advisors to determine when an undergraduate or graduate student project does not meet the definition of a practicum and must be reviewed by the IRB. However, the advisor must be certified as noted in the previous bullet to be authorized to make this decision.
- It is the responsibility of faculty advisors to ensure that research practica and exempt research activities are conducted according to the ethical standards of the relevant discipline.
- When student research activities are not practica, it is the responsibility of faculty advisors to assist students in preparing review materials for the IRB and to ensure that the research is conducted in accordance with CUNY's agreement with the federal government (the MPA) and with applicable CUNY policy.

Potential Practicum Problems

Students engaged in the process of learning research techniques understandably want to focus on compelling or real-life issues. In the process of reviewing student research, however, the IRB has found topics and subjects that raise concerns for the well-being of the subjects and students themselves. Projects collecting data about illegal activities, those which could cause emotional distress in the subjects, those which would place the students at risk if confidentiality were breached, and those with children as subjects need to be constructed with special care.

While practica are not under the purview of the IRB, the staff of the IRB are available for consultation with students and for class presentation regarding issues of the protection of the rights and welfare of human subjects. It is important to note that data collected as practica cannot at a later date be used for presentation at conferences, publications, or doctoral dissertations.

Outline for a Research Proposal

The proposal uses a modified portfolio model. That means that most of the proposal should come from assignments that you did during the semester. You should revise these assignments based on the comments you received on them and your own developing understanding of research methods. There are a few sections where you will have to do original work.

For future reference, you should know that in addition to the sections below you would usually have to include a budget section and a section of the statistical techniques to be used in a proposal to a funding agency. You would also most likely have a separate literature review section. In addition, you would have to fill out a complete set of IRB forms. There is an [online example](#), but it is much more developed and polished than yours will be.

Basic Outline

1. Front matter

- title page
- abstract (1-2 paragraph summary)
- table of contents

2. Introduction

- What is the proposal about and why is it interesting and/or important?

3. Hypotheses or research questions

- Hypotheses or research questions
- For each hypothesis, provide a detailed explanation of why you believe that the hypothesis will be true. This should include the relationship of your hypothesis to existing theoretical and empirical literature.
- For each question, provide a detailed discussion of the question, why it is important and what the likely answer will be. This should include the relationship of your question to existing theoretical and empirical literature.

4. Study Description

- How would the study actually be done? Why have you made the choices you have? This includes method, sampling, measurement of key variables.
- Other study information such as ethical issues and expected problems.
- Limitations

5. Conclusion

- Summary and restatement of why the study is important.

6. References and appendices

- For example, survey questionnaire, statistical information, description of the study location, IRB materials.

Detailed Outline

1. Title Page: The title page should include the title of the study; the names, titles and affiliations of the principal investigator (you); and the date of submission of the proposal.
2. Abstract: The abstract should express the goals, methodology, anticipated results and significance of the proposed research. It should be no more than 250 words (about two-thirds of a page, single spaced). Much of the abstract can be drawn from the text of the proposal. I recommend writing the abstract last.
3. Table of Contents: The table of contents should list all of the major subheadings of the proposal and note the page numbers on which they first appear.
4. Introduction: *This section will be largely based on the bibliography assignment and the follow up work you do*

on it in addition to in-class writing and discussions.

- Purpose: This should be a brief statement answering the following questions: What research question are you attempting to answer? Why is this research needed? How does it contribute to the field of sociology, criminal justice, and/or social work? This should draw the reader into the rest of the proposal and give him or her a sense of the project as a whole. You will cover some of the same items in more detail in other sections.
 - Goal: State the overall general aims or long term goals of the proposed research. Describe the general nature of the problem to be addressed. This should be a more detailed and specific explanation of what the study will contribute.
5. Hypotheses or Guiding Research Questions
- State the hypotheses to be tested or the guiding questions to be explored. Generally, proposals of this length will have between 1 and 5 hypotheses or questions. Make it clear whether your hypotheses are derived from someone else's work.
Each hypothesis or question should be relatively simple, but in the paragraphs before or after them, they should be discussed in detail and tied to the existing scholarly literature on your topic.
6. Description of the Proposed Study: *This will be outlined for assignment 10.*
- Describe how the research is going to be conducted. What research design is to be employed? (some possibilities are experimental, "quasi-experimental," longitudinal, cross sectional).
 - Present concisely your reasons for the proposed method of studying the problem. Is the proposed research a replication, a new approach, etc.?
 - Explain in detail how the data are to be collected - survey, participant observation, case study, or through unobtrusive measures such as the use of existing data. Say why you chose this method, providing support from authorities in the field.
 - Describe the key variables or themes to be studied. *These should correspond to those in your hypotheses or research questions.* Discuss any control variables. *Ideas for control variables should come from the existing literature or from your own ideas.*
 - Explain how each variable or concept will be measured and discuss the issues of reliability and validity of measurement that are involved. If you borrow measurement instruments from somewhere else (that is, if you copy questions), make sure to give that source credit. *This will probably come from the survey assignment or the in-depth interview assignment.*
This should not be a copy of the complete questionnaire, but it should refer to the questionnaire or interview guide which should be included as an appendix.
 - Subjects of the Study:
 - *This section should be a revision of your sampling assignment (which will also be revised for assignment 10).*
 - Describe the unit of analysis to be studied. Justify this selection.
 - Describe the population and/or the sampling frame from which specific subjects will be drawn.
 - Describe any sampling procedure to be used.
 - Discuss any problems you might encounter.
 - Point out the limitations of your study.
 - Ethical considerations:
 - Identify any procedures or situations that may be hazardous and discuss the precautions to be taken. If the research utilizes surveys or interviews, describe the steps the researcher will take to protect the privacy, confidentiality and personal security of the human subjects.
 - If you will be dealing with vulnerable populations, make sure to discuss their needs.
 - Facilities and Special Resources:
 - Describe the facilities available or needed for the project.
 - Describe any special resources you would need to carry out the project or any special expenses you would have (not including paying yourself, but, for example, you could include any payments you would make to interview subjects).
 - Collaborative arrangements:
 - If the proposed project requires collaboration with other institutions, describe it and indicate how you expect it could be obtained.
 - Significance:
 - What is the potential importance of the proposed research? Is it important for theory, practice or policy? Does it offer new ideas or contribute to the bulk of knowledge in this area? Does it open doors for new research? How does it improve studies within this particular field?

This section is the conclusion so it is the final chance for you to convince the reader that this is a project that should be done. You should reiterate the main points and emphasize the contribution of the project.

- Appendices
 - Include a copy of your questionnaire or other research instrument. This should be laid out following the guidelines in Babbie. *Revise the questionnaire or interview guide for this.*
 - IRB materials, specifically a copy of your certificate indicating that you have received ethics training, letters of introduction, advertisements and/or informed consent forms. You may also fill out the IRB application if you wish.
- Bibliography
 - Include all works cited in the text of the proposal, including the sources of any existing statistics. Each citation should include the name of the author(s), the date of publication, the title of the article or book, the name of the journal and the volume, number and page numbers of the article (if the source is an article) or the name and location of the publisher (if the source is a book) using the ASA Style. See below for some models for this. Make sure that your bibliography is in alphabetical order. Do not separate different types of publications.

Writing and Documenting Your Work

For this class, use the ASA style for citations. Some of these documents also discuss the issue of plagiarism (as does Babbie, pp. 430-431 and the *Guide to Writing Sociology Papers.*). Any plagiarism will be grounds for a failing grade FOR THE COURSE. Please be careful, and make sure that you have read the guidelines.

- [ASA Format](#)

How to Choose a Research Proposal Topic

Writing a research proposal is different than writing an ordinary research paper in a number of ways. Most importantly, in a research proposal you are trying to develop and justify a method to answer a question or test a theory whereas in most papers you are trying to actually answer a question or to state whether a theory has been supported (or sometimes to summarize what theories other people have about a question). On the other hand, writing proposals and papers have some elements in common such as picking a topic, creating a bibliography, reading the literature on a topic, organizing your materials into an outline, writing and editing a document and receiving a grade.

Developing a topic for a research proposal is a complex process which you should begin as soon as possible. Use every possible assignment to develop your proposal. Not only will you have a chance to get early comments and advice from me, you will also avoid panic at the end of the semester. Early in the semester you should begin reading in your theme area. I strongly recommend that you complete the 4 assigned theme readings as early as possible, well before they are due. As you are reading them, in addition to taking your usual notes or highlighting, keep a sheet of paper in which you record questions or comments that occur to you about the research. These may be gut reactions or they may be based on other reading that you have done. These questions might be something like these:

Would it have made a difference if a different (social class, ethnic or racial, gender, geographic location, gender, time period etc.) population had been studied?

What would happen if the variable _____ were included?

Why wasn't _____ theory considered?

Would a different research method have yielded different results?

Why wasn't this really interesting question I have answered?

The author seems biased on the issue of _____

My experience of _____ leads me to think the author is wrong about _____.

Why didn't they just try _____?

These items can help you to come up with a RESEARCH question which could be the basis of a new investigation to be designed (and, in theory, carried out) by you. After you have read the ethnography and the given set of articles, continue reading in the area on your own. You will get ideas for new readings when we work on the Internet and in the library, but don't forget to follow up on interesting sounding studies cited in the bibliographies and on other works by authors who you either like or dislike. (If you really dislike someone's work you may want to propose a study to test the hypothesis that his or her theory is wrong).

The difference between a research question and broad general questions like those listed above is that a research question implies that action--research--will take place. This means that the question must become much more specific and put into a form which is realistic given budgetary, time and other constraints. To achieve this you need to use what you learn from me in class, from Babbie, and from other sources, including the existing research on your topic. It is a normal part of the proposal writing process for a topic to change and, usually, to become more narrow. If you wait too long to start your work on the proposal you will have difficulty in going through this necessary exploration and modification process.

Besides paying attention to the substance of the articles and books that you read, pay attention to the methods that they use. Do any of the particularly interest or excite you? Do you dislike any? Paying attention to your reactions will help you come up with a research plan that fits your interests and tastes.

After doing this thinking and reading, think of a question you want to answer or a theory you want to test. This can be anything that has to do with the general topics; it need not relate directly to the core readings. Then begin to think about what the variables involved in the question or theory are and what the appropriate unit of analysis would be. Also think about what other variables you would need to control for in order to assure that any

relationship you find is not spurious. Then start to think about how and where you would do the research. As you become more and more focused, seek out other research on the topic so that you do not repeat the same mistakes they did.

Other Guidelines

If you want to know if an intervention would work, you need to describe and justify the intervention AND describe and justify a method of evaluating it.

If you want to do a survey, you should write a questionnaire.

If you want to do an ethnography you need to determine where it will be done, what the likely obstacles to access are, and how long you would need to stay in the field.

Return to the [Research Methods home page](#).

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The Belmont Report**Office of the Secretary****Ethical Principles and Guidelines for the Protection of Human
Subjects of Research****The National Commission for the Protection of Human Subjects
of Biomedical and Behavioral Research****April 18, 1979**

AGENCY: Department of Health, Education, and Welfare.

ACTION: Notice of Report for Public Comment.

SUMMARY: On July 12, 1974, the National Research Act (Pub. L. 93-348) was signed into law, there-by creating the National Commission for the Protection of Human Subjects of Biomedical and Behavioral Research. One of the charges to the Commission was to identify the basic ethical principles that should underlie the conduct of biomedical and behavioral research involving human subjects and to develop guidelines which should be followed to assure that such research is conducted in accordance with those principles. In carrying out the above, the Commission was directed to consider: **(i)** the boundaries between biomedical and behavioral research and the accepted and routine practice of medicine, **(ii)** the role of assessment of risk-benefit criteria in the determination of the appropriateness of research involving human subjects, **(iii)** appropriate guidelines for the selection of human subjects for participation in such research and **(iv)** the nature and definition of informed consent in various research settings.

The Belmont Report attempts to summarize the basic ethical principles identified by the Commission in the course of its deliberations. It is the outgrowth of an intensive four-day period of discussions that were held in February 1976 at the Smithsonian Institution's Belmont Conference Center supplemented by the monthly deliberations of the Commission that were held over a period of nearly four years. It is a statement of basic ethical principles and guidelines that should assist in resolving the ethical problems that surround the conduct of research with human subjects. By publishing the Report in the Federal Register, and providing reprints upon request, the Secretary intends that it may be made readily available to scientists, members of Institutional Review Boards, and Federal employees. The two-volume Appendix, containing the lengthy reports of experts and specialists who assisted the Commission in fulfilling this part of its charge, is available as DHEW Publication No. (OS) 78-0013 and No. (OS) 78-0014, for sale by the Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402.

Unlike most other reports of the Commission, the Belmont Report does not make specific recommendations for administrative action by the Secretary of Health, Education, and Welfare. Rather, the Commission recommended that the Belmont Report be adopted in its entirety, as a statement of the Department's policy. The Department requests public comment on this recommendation.

**National Commission for the Protection of Human Subjects
of Biomedical and Behavioral Research****Members of the Commission**

Kenneth John Ryan, M.D., Chairman, Chief of Staff, Boston Hospital for Women.
Joseph V. Brady, Ph.D., Professor of Behavioral Biology, Johns Hopkins University.
Robert E. Cooke, M.D., President, Medical College of Pennsylvania.
Dorothy I. Height, President, National Council of Negro Women, Inc.
Albert R. Jonsen, Ph.D., Associate Professor of Bioethics, University of California at San Francisco.
Patricia King, J.D., Associate Professor of Law, Georgetown University Law Center.

Karen Lebacqz, Ph.D., Associate Professor of Christian Ethics, Pacific School of Religion.

**** David W. Louisell, J.D., Professor of Law, University of California at Berkeley.*

Donald W. Seldin, M.D., Professor and Chairman, Department of Internal Medicine, University of Texas at Dallas.

**** Eliot Stellar, Ph.D., Provost of the University and Professor of Physiological Psychology, University of Pennsylvania.*

**** Robert H. Turtle, LL.B., Attorney, VomBaur, Coburn, Simmons & Turtle, Washington, D.C.*

**** Deceased.*

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Ethical Principles & Guidelines for Research Involving Human Subjects

Scientific research has produced substantial social benefits. It has also posed some troubling ethical questions. Public attention was drawn to these questions by reported abuses of human subjects in biomedical experiments, especially during the Second World War. During the Nuremberg War Crime Trials, the Nuremberg code was drafted as a set of standards for judging physicians and scientists who had conducted biomedical experiments on concentration camp prisoners. This code became the prototype of many later codes⁽¹⁾ intended to assure that research involving human subjects would be carried out in an ethical manner.

The codes consist of rules, some general, others specific, that guide the investigators or the reviewers of research in their work. Such rules often are inadequate to cover complex situations; at times they come into conflict, and they are frequently difficult to interpret or apply. Broader ethical principles will provide a basis on which specific rules may be formulated, criticized and interpreted.

Three principles, or general prescriptive judgments, that are relevant to research involving human subjects are identified in this statement. Other principles may also be relevant. These three are comprehensive, however, and are stated at a level of generalization that should assist scientists, subjects, reviewers and interested citizens to understand the ethical issues inherent in research involving human subjects. These principles cannot always be applied so as to resolve beyond dispute particular ethical problems. The objective is to provide an analytical framework that will guide the resolution of ethical problems arising from research involving human subjects.

This statement consists of a distinction between research and practice, a discussion of the three basic ethical principles, and remarks about the application of these principles.

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Part A: Boundaries Between Practice & Research

A. Boundaries Between Practice and Research

It is important to distinguish between biomedical and behavioral research, on the one hand, and the practice of accepted therapy on the other, in order to know what activities ought to undergo review for the protection of human subjects of research. The distinction between research and practice is blurred partly because both often occur together (as in research designed to evaluate a therapy) and partly because notable departures from standard practice are often called "experimental" when the terms "experimental" and "research" are not carefully defined.

For the most part, the term "practice" refers to interventions that are designed solely to enhance the well-being of an individual patient or client and that have a reasonable expectation of success. The purpose of medical or behavioral practice is to provide diagnosis, preventive treatment or therapy to particular individuals.⁽²⁾ By contrast, the term "research" designates an activity designed to test an hypothesis, permit conclusions to be drawn, and thereby to develop or contribute to generalizable knowledge (expressed, for example, in theories, principles, and statements of relationships). Research is usually described in a formal protocol that sets forth an objective and a set of procedures designed to reach that objective.

When a clinician departs in a significant way from standard or accepted practice, the innovation does not, in and of itself, constitute research. The fact that a procedure is "experimental," in the sense of new, untested or different, does not automatically place it in the category of research. Radically new procedures of this description should, however, be made the object of formal research at an early stage in order to determine whether they are safe and effective. Thus, it is the responsibility of medical practice committees, for example, to insist that a major innovation be incorporated into a formal research project.⁽³⁾

Research and practice may be carried on together when research is designed to evaluate the safety and efficacy of a therapy. This need not cause any confusion regarding whether or not the activity requires review; the general rule is that if there is any element of research in an activity, that activity should undergo review for the protection of human subjects.

Part B: Basic Ethical Principles

B. Basic Ethical Principles

The expression "basic ethical principles" refers to those general judgments that serve as a basic justification for the many particular ethical prescriptions and evaluations of human actions. Three basic principles, among those generally accepted in our cultural tradition, are particularly relevant to the ethics of research involving human subjects: the principles of respect of persons, beneficence and justice.

1. Respect for Persons. – Respect for persons incorporates at least two ethical convictions: first, that individuals should be treated as autonomous agents, and second, that persons with diminished autonomy are entitled to protection. The principle of respect for persons thus divides into two separate moral requirements: the requirement to acknowledge autonomy and the requirement to protect those with diminished autonomy.

An autonomous person is an individual capable of deliberation about personal goals and of acting under the direction of such deliberation. To respect autonomy is to give weight to autonomous persons' considered opinions and choices while refraining from obstructing their actions unless they are clearly detrimental to others. To show lack of respect for an autonomous agent is to repudiate that person's considered judgments, to deny an individual the freedom to act on those considered judgments, or to withhold information necessary to make a considered judgment, when there are no compelling reasons to do so.

However, not every human being is capable of self-determination. The capacity for self-determination matures during an individual's life, and some individuals lose this capacity wholly or in part because of illness, mental disability, or circumstances that severely restrict liberty. Respect for the immature and the incapacitated may require protecting them as they mature or while they are incapacitated.

Some persons are in need of extensive protection, even to the point of excluding them from activities which may harm them; other persons require little protection beyond making sure they undertake activities freely and with awareness of possible adverse consequence. The extent of protection afforded should depend upon the risk of harm and the likelihood of benefit. The judgment that any individual lacks autonomy should be periodically reevaluated and will vary in different situations.

In most cases of research involving human subjects, respect for persons demands that subjects enter into the research voluntarily and with adequate information. In some situations, however, application of the principle is not obvious. The involvement of prisoners as subjects of research provides an instructive example. On the one hand, it would seem that the principle of respect for persons requires that prisoners not be deprived of the opportunity to volunteer for research. On the other hand, under prison conditions they may be subtly coerced or unduly influenced to engage in research activities for which they would not otherwise volunteer. Respect for persons would then dictate that prisoners be protected. Whether to allow prisoners to "volunteer" or to "protect" them presents a dilemma. Respecting persons, in most hard cases, is often a matter of balancing competing claims urged by the principle of respect itself.

2. Beneficence. – Persons are treated in an ethical manner not only by respecting their decisions and protecting them from harm, but also by making efforts to secure their well-being. Such treatment falls under the principle of beneficence. The term "beneficence" is often understood to cover acts of kindness or charity that go beyond strict obligation. In this document, beneficence is understood in a stronger sense, as an obligation. Two general rules have been formulated as complementary expressions of beneficent actions in this sense: **(1)** do not harm and **(2)** maximize possible benefits and minimize possible harms.

The Hippocratic maxim "do no harm" has long been a fundamental principle of medical ethics. Claude Bernard extended it to the realm of research, saying that one should not injure one person regardless of the benefits that might come to others. However, even avoiding harm requires learning what is harmful; and, in the process of obtaining this information, persons may be exposed to risk of harm. Further, the Hippocratic Oath requires physicians to benefit their patients "according to their best judgment." Learning what will in fact benefit may require exposing persons to risk. The problem posed by these imperatives is to decide when it is justifiable to seek certain benefits despite the risks involved, and when the benefits should be foregone because of the risks.

The obligations of beneficence affect both individual investigators and society at large, because they extend both to particular research projects and to the entire enterprise of research. In the case of particular projects, investigators and members of their institutions are obliged to give forethought to the maximization of benefits and the reduction of risk that might occur from the research investigation. In the case of scientific research in general, members of the larger society are obliged to recognize the longer term benefits and risks that may result from the improvement of knowledge and from the development of novel medical, psychotherapeutic, and social procedures.

The principle of beneficence often occupies a well-defined justifying role in many areas of research involving human subjects. An example is found in research involving children. Effective ways of treating childhood diseases and fostering healthy development are benefits that serve to justify research involving children – even when individual research subjects are not direct beneficiaries. Research also makes it possible to avoid the harm that may result from the application of previously accepted routine practices that on closer investigation turn out to be dangerous. But the role of the principle of beneficence is not always so unambiguous. A difficult ethical problem remains, for example, about research that presents more than minimal risk without immediate prospect of direct benefit to the children involved. Some have argued that such research is inadmissible, while others have pointed out that this limit would rule out much research promising great benefit to children in the future. Here again, as with all hard cases, the different claims covered by the principle of beneficence may come into conflict and force difficult choices.

3. Justice. – Who ought to receive the benefits of research and bear its burdens? This is a question of justice, in the sense of "fairness in distribution" or "what is deserved." An injustice occurs when some benefit to which a person is entitled is denied without good reason or when some burden is imposed unduly. Another way of conceiving the principle of justice is that equals ought to be treated equally. However, this statement requires explication. Who is equal and who is unequal? What considerations justify departure from equal distribution? Almost all commentators allow that distinctions based on experience, age, deprivation, competence, merit and position do sometimes constitute criteria justifying differential treatment for certain purposes. It is necessary, then, to explain in what respects people should be treated equally. There are several widely accepted formulations of just ways to distribute burdens and benefits. Each formulation mentions some relevant property on the basis of which burdens and benefits should be distributed. These formulations are **(1)** to each person an equal share, **(2)** to each person

according to individual need, **(3)** to each person according to individual effort, **(4)** to each person according to societal contribution, and **(5)** to each person according to merit.

Questions of justice have long been associated with social practices such as punishment, taxation and political representation. Until recently these questions have not generally been associated with scientific research. However, they are foreshadowed even in the earliest reflections on the ethics of research involving human subjects. For example, during the 19th and early 20th centuries the burdens of serving as research subjects fell largely upon poor ward patients, while the benefits of improved medical care flowed primarily to private patients. Subsequently, the exploitation of unwilling prisoners as research subjects in Nazi concentration camps was condemned as a particularly flagrant injustice. In this country, in the 1940's, the Tuskegee syphilis study used disadvantaged, rural black men to study the untreated course of a disease that is by no means confined to that population. These subjects were deprived of demonstrably effective treatment in order not to interrupt the project, long after such treatment became generally available.

Against this historical background, it can be seen how conceptions of justice are relevant to research involving human subjects. For example, the selection of research subjects needs to be scrutinized in order to determine whether some classes (e.g., welfare patients, particular racial and ethnic minorities, or persons confined to institutions) are being systematically selected simply because of their easy availability, their compromised position, or their manipulability, rather than for reasons directly related to the problem being studied. Finally, whenever research supported by public funds leads to the development of therapeutic devices and procedures, justice demands both that these not provide advantages only to those who can afford them and that such research should not unduly involve persons from groups unlikely to be among the beneficiaries of subsequent applications of the research.

Part C: Applications

C. Applications

Applications of the general principles to the conduct of research leads to consideration of the following requirements: informed consent, risk/benefit assessment, and the selection of subjects of research.

1. Informed Consent. – Respect for persons requires that subjects, to the degree that they are capable, be given the opportunity to choose what shall or shall not happen to them. This opportunity is provided when adequate standards for informed consent are satisfied.

While the importance of informed consent is unquestioned, controversy prevails over the nature and possibility of an informed consent. Nonetheless, there is widespread agreement that the consent process can be analyzed as containing three elements: information, comprehension and voluntariness.

Information. Most codes of research establish specific items for disclosure intended to assure that subjects are given sufficient information. These items generally include: the research procedure, their purposes, risks and anticipated benefits, alternative procedures (where therapy is involved), and a statement offering the subject the opportunity to ask questions and to withdraw at any time from the research. Additional items have been proposed, including how subjects are selected, the person responsible for the research, etc.

However, a simple listing of items does not answer the question of what the standard should be for judging how much and what sort of information should be provided. One standard frequently invoked in medical practice, namely the information commonly provided by practitioners in the field or in the locale, is inadequate since research takes place precisely when a common understanding does not exist. Another standard, currently popular in malpractice law, requires the practitioner to reveal the information that reasonable persons would wish to know in order to make a decision regarding their care. This, too, seems insufficient since the research subject, being in essence a volunteer, may wish to know considerably more about risks gratuitously undertaken than do patients who deliver themselves into the hand of a clinician for needed care. It may be that a standard of "the reasonable volunteer" should be proposed: the extent and nature of information should be such that persons, knowing that the procedure is neither necessary for their care nor perhaps fully understood, can decide whether they wish to participate in the furthering of knowledge. Even when some direct benefit to them is anticipated, the subjects should understand clearly the range of risk and the voluntary nature of participation.

A special problem of consent arises where informing subjects of some pertinent aspect of the research is likely to impair the validity of the research. In many cases, it is sufficient to indicate to subjects that they are being invited to participate in research of which some features will not be revealed until the research is concluded. In all cases of research involving incomplete disclosure, such research is justified only if it is clear that (1) incomplete disclosure is truly necessary to accomplish the goals of the research, (2) there are no undisclosed risks to subjects that are more than minimal, and (3) there is an adequate plan for debriefing subjects, when appropriate, and for dissemination of research results to them. Information about risks should never be withheld for the purpose of eliciting the cooperation of subjects, and truthful answers should always be given to direct questions about the research. Care should be taken to distinguish cases in which disclosure would destroy or invalidate the research from cases in which disclosure would simply inconvenience the investigator.

Comprehension. The manner and context in which information is conveyed is as important as the information itself. For example, presenting information in a disorganized and rapid fashion, allowing too little time for consideration or curtailing opportunities for questioning, all may adversely affect a subject's ability to make an informed choice.

Because the subject's ability to understand is a function of intelligence, rationality, maturity and language, it is necessary to adapt the presentation of the information to the subject's capacities. Investigators are responsible for ascertaining that the subject has comprehended the information. While there is always an obligation to ascertain that the information about risk to subjects is complete and adequately comprehended, when the risks are more serious, that obligation increases. On occasion, it may be suitable to give some oral or written tests of comprehension.

Special provision may need to be made when comprehension is severely limited – for example, by conditions of immaturity or mental disability. Each class of subjects that one might consider as incompetent (e.g., infants and young children, mentally disable patients, the terminally ill and the comatose) should be considered on its own terms. Even for these persons, however, respect requires giving them the opportunity to choose to the extent they are able, whether or not to participate in research. The objections of these subjects to involvement should be honored, unless the research entails providing them a therapy unavailable elsewhere. Respect for persons also requires seeking the permission of other parties in order to protect the subjects from harm. Such persons are thus respected both by acknowledging their own wishes and by the use of third parties to protect them from harm.

The third parties chosen should be those who are most likely to understand the incompetent subject's situation and to act in that person's best interest. The person authorized to act on behalf of the subject should be given an opportunity to observe the research as it proceeds in order to be able to withdraw the subject from the research, if such action appears in the subject's best interest.

Voluntariness. An agreement to participate in research constitutes a valid consent only if voluntarily given. This element of informed consent requires conditions free of coercion and undue influence. Coercion occurs when an overt threat of harm is intentionally presented by one person to another in order to obtain compliance. Undue influence, by contrast, occurs through an offer of an excessive, unwarranted, inappropriate or improper reward or other overture in order to obtain compliance. Also, inducements that would ordinarily be acceptable may become undue influences if the subject is especially vulnerable.

Unjustifiable pressures usually occur when persons in positions of authority or commanding influence – especially where possible sanctions are involved – urge a course of action for a subject. A continuum of such influencing factors exists, however, and it is impossible to state precisely where justifiable persuasion ends and undue influence begins. But undue influence would include actions such as manipulating a person's choice through the controlling influence of a close relative and threatening to withdraw health services to which an individual would otherwise be entitled.

2. Assessment of Risks and Benefits. – The assessment of risks and benefits requires a careful arrayal of relevant data, including, in some cases, alternative ways of obtaining the benefits sought in the research. Thus, the assessment presents both an opportunity and a responsibility to gather systematic and comprehensive information about proposed research. For the investigator, it is a means to examine whether the proposed research is properly designed. For a review committee, it is a method for determining whether the risks that will be presented to subjects are justified. For prospective subjects, the assessment will assist the determination whether or not to participate.

The Nature and Scope of Risks and Benefits. The requirement that research be justified on the basis of a favorable risk/benefit assessment bears a close relation to the principle of beneficence, just as the moral requirement that informed consent be obtained is derived primarily from the principle of respect for persons. The term "risk" refers to a possibility that harm may occur. However, when expressions such as "small risk" or "high risk" are used, they usually

refer (often ambiguously) both to the chance (probability) of experiencing a harm and the severity (magnitude) of the envisioned harm.

The term "benefit" is used in the research context to refer to something of positive value related to health or welfare. Unlike, "risk," "benefit" is not a term that expresses probabilities. Risk is properly contrasted to probability of benefits, and benefits are properly contrasted with harms rather than risks of harm. Accordingly, so-called risk/benefit assessments are concerned with the probabilities and magnitudes of possible harm and anticipated benefits. Many kinds of possible harms and benefits need to be taken into account. There are, for example, risks of psychological harm, physical harm, legal harm, social harm and economic harm and the corresponding benefits. While the most likely types of harms to research subjects are those of psychological or physical pain or injury, other possible kinds should not be overlooked.

Risks and benefits of research may affect the individual subjects, the families of the individual subjects, and society at large (or special groups of subjects in society). Previous codes and Federal regulations have required that risks to subjects be outweighed by the sum of both the anticipated benefit to the subject, if any, and the anticipated benefit to society in the form of knowledge to be gained from the research. In balancing these different elements, the risks and benefits affecting the immediate research subject will normally carry special weight. On the other hand, interests other than those of the subject may on some occasions be sufficient by themselves to justify the risks involved in the research, so long as the subjects' rights have been protected. Beneficence thus requires that we protect against risk of harm to subjects and also that we be concerned about the loss of the substantial benefits that might be gained from research.

The Systematic Assessment of Risks and Benefits. It is commonly said that benefits and risks must be "balanced" and shown to be "in a favorable ratio." The metaphorical character of these terms draws attention to the difficulty of making precise judgments. Only on rare occasions will quantitative techniques be available for the scrutiny of research protocols. However, the idea of systematic, nonarbitrary analysis of risks and benefits should be emulated insofar as possible. This ideal requires those making decisions about the justifiability of research to be thorough in the accumulation and assessment of information about all aspects of the research, and to consider alternatives systematically. This procedure renders the assessment of research more rigorous and precise, while making communication between review board members and investigators less subject to misinterpretation, misinformation and conflicting judgments. Thus, there should first be a determination of the validity of the presuppositions of the research; then the nature, probability and magnitude of risk should be distinguished with as much clarity as possible. The method of ascertaining risks should be explicit, especially where there is no alternative to the use of such vague categories as small or slight risk. It should also be determined whether an investigator's estimates of the probability of harm or benefits are reasonable, as judged by known facts or other available studies.

Finally, assessment of the justifiability of research should reflect at least the following considerations: **(i)** Brutal or inhumane treatment of human subjects is never morally justified. **(ii)** Risks should be reduced to those necessary to achieve the research objective. It should be determined whether it is in fact necessary to use human subjects at all. Risk can perhaps never be entirely eliminated, but it can often be reduced by careful attention to alternative procedures. **(iii)** When research involves significant risk of serious impairment, review committees should be extraordinarily insistent on the justification of the risk (looking usually to the likelihood of benefit to the subject – or, in some rare cases, to the manifest voluntariness of the participation). **(iv)** When vulnerable populations are involved in research, the appropriateness of involving them should itself be demonstrated. A number of variables go into such judgments, including the nature and degree of risk, the condition of the particular population involved, and the nature and level of the anticipated benefits. **(v)** Relevant risks and benefits must be thoroughly arrayed in documents and procedures used in the informed consent process.

3. Selection of Subjects. – Just as the principle of respect for persons finds expression in the requirements for consent, and the principle of beneficence in risk/benefit assessment, the principle of justice gives rise to moral requirements that there be fair procedures and outcomes in the selection of research subjects.

Justice is relevant to the selection of subjects of research at two levels: the social and the individual. Individual justice in the selection of subjects would require that researchers exhibit fairness: thus, they should not offer potentially beneficial research only to some patients who are in their favor or select only "undesirable" persons for risky research. Social justice requires that distinction be drawn between classes of subjects that ought, and ought not, to participate in any particular kind of research, based on the ability of members of that class to bear burdens and on the appropriateness of placing further burdens on already burdened persons. Thus, it can be considered a matter of social justice that there is an order of preference in the selection of classes of subjects (e.g., adults before children) and that some classes of potential subjects (e.g., the institutionalized mentally infirm or prisoners) may be involved as research subjects, if at all, only on certain conditions.

Injustice may appear in the selection of subjects, even if individual subjects are selected fairly by investigators and treated fairly in the course of research. Thus injustice arises from social, racial, sexual and cultural biases institutionalized in society. Thus, even if individual researchers are treating their research subjects fairly, and even if IRBs are taking care to assure that subjects are selected fairly within a particular institution, unjust social patterns may nevertheless appear in the overall distribution of the burdens and benefits of research. Although individual institutions or investigators may not be able to resolve a problem that is pervasive in their social setting, they can consider distributive justice in selecting research subjects.

Some populations, especially institutionalized ones, are already burdened in many ways by their infirmities and environments. When research is proposed that involves risks and does not include a therapeutic component, other less burdened classes of persons should be called upon first to accept these risks of research, except where the research is directly related to the specific conditions of the class involved. Also, even though public funds for research may often flow in the same directions as public funds for health care, it seems unfair that populations dependent on public health care constitute a pool of preferred research subjects if more advantaged populations are likely to be the recipients of the benefits.

One special instance of injustice results from the involvement of vulnerable subjects. Certain groups, such as racial minorities, the economically disadvantaged, the very sick, and the institutionalized may continually be sought as research subjects, owing to their ready availability in settings where research is conducted. Given their dependent status and their frequently compromised capacity for free consent, they should be protected against the danger of being involved in research solely for administrative convenience, or because they are easy to manipulate as a result of their illness or socioeconomic condition.

(1) Since 1945, various codes for the proper and responsible conduct of human experimentation in medical research have been adopted by different organizations. The best known of these codes are the Nuremberg Code of 1947, the Helsinki Declaration of 1964 (revised in 1975), and the 1971 Guidelines (codified into Federal Regulations in 1974) issued by the U.S. Department of Health, Education, and Welfare. Codes for the conduct of social and behavioral research have also been adopted, the best known being that of the American Psychological Association, published in 1973.

(2) Although practice usually involves interventions designed solely to enhance the well-being of a particular individual, interventions are sometimes applied to one individual for the enhancement of the well-being of another (e.g., blood donation, skin grafts, organ transplants) or an intervention may have the dual purpose of enhancing the well-being of a particular individual, and, at the same time, providing some benefit to others (e.g., vaccination, which protects both the person who is vaccinated and society generally). The fact that some forms of practice have elements other than immediate benefit to the individual receiving an intervention, however, should not confuse the general distinction between research and practice. Even when a procedure applied in practice may benefit some other person, it remains an intervention designed to enhance the well-being of a particular individual or groups of individuals; thus, it is practice and need not be reviewed as research.

(3) Because the problems related to social experimentation may differ substantially from those of biomedical and behavioral research, the Commission specifically declines to make any policy determination regarding such research at this time. Rather, the Commission believes that the problem ought to be addressed by one of its successor bodies.

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