Chapter 1

Inspiration and Background

If what is designated by such terms as doubt, belief, idea, conception, is to have any objective meaning, to say nothing of public verifiability, it must be located and described as behavior in which organism and environment act together, or interact. (Dewey, 1938, p. 32)

Table 11.1  Key terms

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
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<tbody>
<tr>
<td>Grounded theory</td>
<td>Glaser and Strauss (1967) developed this qualitative methodology—the purpose of which is to construct theory grounded in data. The method presented in this book reflects Strauss’s approach to grounded theory analysis.</td>
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<tr>
<td>Methodology</td>
<td>A way of thinking about and studying social phenomena</td>
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<tr>
<td>Methods</td>
<td>Techniques and procedures for gathering and analyzing data</td>
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<tr>
<td>Qualitative research</td>
<td>A form of research in which a researcher(s) or designated coresearcher(s) collects and interprets data, making the researcher as much a part of the research process as participants and the data they provide</td>
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Overview

Like Coleridge and Kublai Khan, I woke up dreaming, but since it isn’t a complete dream but only the germ, I thought out the words and here they are. . . .

—Anselm Strauss

In the third edition, the preceding quote and the paragraphs that followed were located toward the end of the chapter. However, after consideration, I couldn’t help but feel that in
this fourth edition they belonged at the beginning of the chapter as they were placed in the second edition. I couldn’t think of a better way to begin this book than with the words of Anselm Strauss! Although he has been dead now for over a decade, he is very much alive in the method that follows.

Persons choose to do research because they have a dream that somehow they will make a difference through the insights and understandings they arrive at through their research. But it is not enough to dream about doing research. Dreams must be brought to fruition by actually following through. This chapter will introduce readers to a methodology that provides a means of achieving research dreams. The methodology is not perfect, and we acknowledge this. However, it is a proven method that has been used successfully for over 40 years by countless students throughout the world—some taught by us, others who were not. Though we wish we could reach across the world and train everyone who is interested in learning how to do grounded theory, we know that this is not possible. Therefore, we have written this book with the hope that we can become “teachers–mentors in absentia.” Like all good teachers, our purpose is to (a) stimulate a love for doing research that will remain with our readers throughout their careers and (b) provide readers with a solid foundation in data analysis.

This chapter will do the following:

- Describe qualitative research.
- Introduce grounded theory as a form of qualitative research.
- Present testimonials by our students about grounded theory.
- Explain why theory construction is important.
- Differentiate theory from description.
- Introduce ethics as it relates to grounded theory research.

Qualitative Research

We begin our text by locating grounded theory within the broader context of qualitative research. This section will provide the following:

- Description of qualitative research
- Explanation of why researchers choose qualitative over quantitative methods
- Summary of characteristics of qualitative researchers

Description of Qualitative Research

Qualitative research is a form of research in which the researcher or a designated coresearcher collects and interprets data, making the researcher as much a part of the research process as the participants and the data they provide. Qualitative research utilizes an open and flexible design and in doing so stands at odds with the notion of rigor so important when doing quantitative research. There are many different types of qualitative research
each with its own purpose and structure. (For just some of the possibilities, see the list under Suggested Readings at the end of this chapter.) The focus of this book is upon one type of qualitative research called grounded theory.

Explanation of Why Researchers Choose Qualitative Over Quantitative Methods

Why do some researchers choose to use qualitative rather than quantitative methods? Here are some of the most frequently given reasons:

- To explore the inner experiences of participants
- To explore how meanings are formed and transformed
- To explore areas not yet thoroughly researched
- To discover relevant variables that later can be tested through quantitative forms of research
- To take a holistic and comprehensive approach to the study of phenomena

However, we think there are additional reasons why some persons choose to do qualitative research. Committed qualitative researchers tend to frame their research questions in such a way that the only manner they can be answered is by doing qualitative research. In addition, qualitative researchers are drawn to the fluid, evolving, and dynamic nature of this approach as opposed to the more structured designs of quantitative methods. In addition, they enjoy serendipity and making discoveries. Statistics might be interesting, but it is the endless possibilities to learn more about the human response that attracts them. Qualitative researchers want the opportunity to connect with their research participants and to see the world from their viewpoints. Furthermore, they enjoy playing with words, making order out of seeming disorder, and thinking in terms of complex relationships. For qualitative researchers, doing research is a challenge—one that brings the whole self into the process. This is not to denigrate quantitative researchers. In fact, all researchers share curiosity about the word and a determination to find answers to questions that will improve the social condition or lead to social justice. But there is no doubt that qualitative researchers are of a certain type, and once bitten by the “qualitative bug,” they seek out opportunities to continue doing this form of research.

Summary of Characteristics of Qualitative Researchers

Over the years, we’ve found that qualitative researchers tend to share the following characteristics, and it is these characteristics that attract them to this form of research:

- A humanistic bent
- Curiosity
- Creativity and imagination
- A sense of logic
Part 1  Introduction to the Grounded Theory of Anselm Strauss

- The ability to recognize variation as well as regularity
- A willingness to take risks
- The ability to live with ambiguity
- The ability to work through problems in the field
- An acceptance of the self as a research instrument
- Trust in the self and the ability to see value in the work that is produced

Grounded Theory Methodology

Grounded theory is a form of qualitative research developed by Glaser and Strauss (1967) for the purpose of constructing theory grounded in data. Though the methodology was developed by two sociologists, its use is not limited to the social sciences. It has applicability to many disciplines for the following reason. It allows for identification of general concepts, the development of theoretical explanations that reach beyond the known, and offers new insights into a variety of experiences and phenomena. This section will present the following:

- Brief history of grounded theory methodology
- Unique features of grounded theory methodology
- Types of data
- Analysis of data

Brief History of Grounded Theory Methodology

After graduating from his doctoral program at the University of Chicago, Strauss held a variety of teaching positions. In the 1950s, he was invited to start a doctoral program in nursing at the University of California, San Francisco (UCSF). Soon after arriving at UCSF, he applied for and received a grant to study death and dying using fieldwork methods. He enlisted the assistance of a nurse named Jeanne Quint Benoliel to help with the research project. Barney Glaser, a recent doctoral graduate from Columbia University also joined the team as a coresearcher. Glaser’s background was in quantitative research, and his expertise added another dimension to the team. The results of the study on dying were reported in Awareness of Dying (Glaser & Strauss, 1965).

During their work together, Glaser and Strauss worked out a methodology that combined their mutual sociological backgrounds with their diverse but complementary approaches to doing research. The methodology they developed became known as grounded theory. It was published in the text The Discovery of Grounded Theory (Glaser & Strauss, 1967).

The publication of Discovery of Grounded Theory was groundbreaking. It argued against what Glaser and Strauss called “armchair theorizing” while emphasizing the need to build theory from concepts derived, developed, and integrated based on actual data. Their book also provided a set of flexible procedures for analyzing data.
Though Glaser and Strauss continued their personal relationship throughout Strauss’s lifetime, the death and dying study was the only major research project that they carried out together. For some years after the study, Glaser taught grounded theory to doctoral students at UCSF. Eventually he left the university setting. Strauss continued teaching and doing research at UCSF, including teaching the qualitative methodology courses.

It stands to reason that by working with other colleagues and over time that Strauss would develop his own style when doing grounded theory. It’s not that he departed from the methodology developed by him and Glaser but that he had his own techniques or ways of thinking about data when doing analysis. More will be said about this in Chapter 2. The Strauss (1987) approach to analysis was first made evident in the book *Qualitative Analysis for Social Scientists*.

It is not differences between Glaser and Strauss that are important. What is important to remember is that had it not been for that fateful meeting and collaboration between Glaser and Strauss during the death and dying study there probably would not be a methodology called grounded theory today.

**Unique Features of Grounded Theory Methodology**

Aside from its emphasis on theory development, what makes grounded theory unique from other forms of qualitative research? The answers to this question are quite simple. First, the concepts out of which the theory is constructed are derived from data collected during the research process and not chosen prior to beginning the research. It is this feature that grounds the theory and gives the methodology its name. Second, in grounded theory, research analysis and data collection are interrelated. After initial data are collected, the researcher analyzes that data, and the concepts derived from the analysis form the basis for the subsequent data collection. Data collection and analysis continue in an ongoing cycle throughout the research process.

**Types of Data**

In grounded theory, data are collected by a variety of means. The most frequently collected types are interviews and observations. However, data collection is not limited to these types. Just about any type of written, observed, or recorded material can be used, including videos, journals, diaries, drawings, internal documents and memos, memoirs, Internet postings, and historical records.

**Analysis of Data**

Regardless of the type of data used, they are analyzed by means of a process termed *constant comparisons*. In doing constant comparisons, data are broken down into manageable pieces with each piece compared for similarities and differences. Data that are similar in nature (referring to something conceptually similar but not necessarily a repeat of the same action or incident) are grouped together under the same conceptual heading. Through further analysis, concepts are grouped together by the researcher to form categories (sometimes
referred to as themes). Each category is developed in terms of its properties and dimensions, and eventually the different categories are integrated around a core category. The core category describes in a few words what the researcher identifies as the major theme of the study. Taken together, the core category and other categories provide the structure of the theory. The properties and dimensions of each category fill in the structure by providing the detail. A more in-depth discussion of the research process is found in the chapters that follow.

Testimonials From Our Students Regarding Grounded Theory

Not every researcher wants to develop theory or is attracted to qualitative methods. For many researchers, grounded theory is an unknown entity—something they may have been introduced to in a research class and have wanted to learn more about. Perhaps they’ve been tempted to try it but need a little more information. A good way to find out more is to read about other students’ experiences with using this method. Here is some of what we’ve noticed about our students and some of what our students have to say about grounded theory:

• They enjoy the mental challenge.
• They are open and flexible.
• They hope that their work has relevance beyond academia.
• There is complete absorption in the work.

They Enjoy the Mental Challenge

Our experience comes from students we have taught or have counseled; therefore, we can’t speak for all persons who have used this method. However, from the students we have worked with, we’ve noticed the following. They tend to choose this method because they enjoy the mental challenge of constructing theory. They are not afraid to draw on their own experiences when analyzing materials, having rejected more traditional ideas of “objectivity” that warned of the dangers of using personal experience. Our former students regard their ideas as provisional, modifiable, and open to negation as new knowledge is accrued. When it comes to doing the analysis, researchers trained by us tend to be flexible—a characteristic enhanced in seminars and occasional team research where they are open to criticism and can enjoy the play of ideas in the give-and-take of group discussion. For example, consider the following statement (the statement has been part of previous editions but is an example of how many qualitative researchers think and work; therefore, we repeat it here):

I’m part of a writing group that has met about once a month for a couple of years. We pass around work in progress and criticize it, sometimes help with analytic rough spots. Recently an old member of the group returned and described to us her unsuccessful attempt to start a similar group in another location. Participants in her group had followed the same procedures we had, in form, but had gotten very harsh with each other’s work and focused more on competitive speeches than genuine collaboration. Our group tried to analyze why we’d been successful, and realized that it had a lot to do with the fact that four of us had been through the grounded theory [seminar]. It isn’t just that we shared an analytic focus, though, because in fact we’re very different. The striking thing was that we had learned to work together in a collaborative and supportive way. (Leigh Star as cited in Strauss, 1987, pp. 303–304)

They Are Open and Flexible

Two of the most important characteristics we try to develop in our students are to be open to serendipity and flexible in their approach to data collection and analysis. The lack of a structured design in grounded theory research makes it difficult for beginning users of the method to know how to proceed at first—especially those trained in quantitative research where there is a set design. They have to learn to live with a considerable amount of ambiguity regarding the meaning of data. They may not know at the start the direction the research will take. Researchers must be willing to follow the leads in the data, altering the type and place of data collection to allow for concept development. In our seminars, we teach students to be open to the many different possible meanings of data. We advise them about how easy it is to make errors in interpretation and caution them about jumping to conclusions regarding meaning too soon. We ask our students to resist the urge to choose a core category before gathering a sufficient amount of data. We emphasize that
constructing a theory is a deliberate and careful process and that researchers have to take the time to do it correctly. In addition, they must be self-reflective about their role in theory construction. Most of all, we teach our students to be skeptical of established theories, however enticing they seem, unless these are eventually grounded through active interplay with data.

They Hope That Their Work Has Relevance Beyond Academia
As with most researchers, our students hope that their work has some relevance for both academic and nonacademic audiences. This is because qualitative researchers take seriously the words and actions of the people studied. Or, as poignantly expressed by one researcher, “I saw that being an intellectual didn’t have to be removed from people’s lives, that it could be connected directly to where people were in the world and what they thought about it” (Fisher, 1991, p. 8).

There Is Complete Absorption in the Work
Almost inevitably, researchers trained in qualitative analysis become completely “absorbed in the work,” which though not always “in the foreground [of our lives] is never gone” (A. Clarke, personal communication, March 21, 1990).

That sense of absorption in and devotion to the research process and the enhanced sense of integrity that comes with it are reflected in the following description written by another student. What the student is describing is the nature of the interaction that took place when she presented her data to the class during one of our research seminars. She was concerned that the class would misread her data because of the cultural differences between them and the participants. What she discovered was that the class was very sensitive to the need to see the data in light of cultural differences. We quote her at length because her words eloquently emphasize many of our assertions about the characteristics of students trained in grounded theory methods and how they look at data. The presenting student, trained in public health, worked for three or four years on a Sioux Indian reservation and during that time became engrossed with this question: What are these people’s basic conceptions of health, for their conceptions are so different than ours? Next is an excerpt of a memo the student wrote to the instructor regarding her perception of the nature of the class interaction.

These concerns and fears [that the class would misread her non-Western, cross-cultural data] were systematically and carefully dispelled over the course of the two-hour session. I watched very carefully and listened intently to what people said and how they worked their ideas and images through the data, carefully questioning of me when more information was needed, and not jumping to conclusions in advance of important additions. The students seemed to search carefully for the richness in the data, picking out critical issues and playing them off against one another for more meaning, noting several possible interpretations to many situations. I was quite overjoyed at the degree of fit between what these analysts were identifying and what I had heard and seen while doing the work. Both the integrity and precision aspects of these
sessions were spared by and sustained by the pedagogical style, which is to say (for it cannot be separated from) the formulations of Interactionist epistemology and the conceptual and analytic framework of qualitative research. (Strauss, 1987, p. 304)

Grounded Theory Is an Important Methodology

With all the different qualitative methods available, why choose grounded theory, which is after all a theory development method? We think that grounded theory methodology remains important for the following reasons. This section will explain them.

• Grounded theory offers explanations.
• Why choose grounded theory methodology

Grounded Theory Offers Explanations

People have been trying to make sense out of their experiences since time began. They want to know why certain things happen, and from the earliest written accounts of humans, we’ve learned that they had many explanations or theories for events. Most of their explanations were derived from superstition and at best were unsubstantiated guesses. Through the years, scientific knowledge has freed us from reliance on superstition; however, humans still seek explanations for why things happen. And to this day we look to theory for answers. The knowledge gained through grounded theory methodology enables persons to, explain and take action to alter, contain, and change situations. Furthermore, grounded theories can be revised and updated as new knowledge is acquired.

Why Choose Grounded Theory Methodology

Why should a researcher choose grounded theory method over other forms of descriptive or theory-building qualitative research? Grounded theory methodology has been around for a long time and provides a “tried and true” set of procedures for constructing theory from data. The procedures enable researchers to examine topics and related behaviors from many different angles—thus, developing comprehensive explanations. The procedures can be used to gain new insights into old problems as well as to study new and emerging areas in need of investigation. The procedures can be used to uncover the beliefs and meanings that underlie action, to examine rational as well as nonrational aspects of behavior, and to demonstrate how logic and emotion combine to influence how persons respond to events or handle problems through action and interaction. A theory developed using the procedures outlined in this book provides a strong foundation for further studies using quantitative measures. These procedures have proven to be culturally sensitive and applicable to individuals as well as to larger organizations and societies. Furthermore, grounded theory methods can be used to develop substantive theories as well as more general theories. Though methodologies aimed at theory construction and this methodology, in particular,
have their critics, there is no denying that the procedures of grounded theory work. One only has to look to the body of knowledge that it has produced over the years. (See Suggested Readings at the end of this chapter.)

**Difference Between Description and Theory**

Students often have difficulty differentiating between description and theory. They may use a methodology like grounded theory and think that they have developed theory when in fact they have not. In Chapter 4, we explain the differences in greater depth. However, in this section, we introduce the idea that there is a difference between the following:

- Description
- Theory

**Description**

Said simply, description tells about an event or happening while theory offers explanations for why events or happening occur. Good examples of description are some novels and straightforward journalism. Description provides detailed background information, tells about an event(s), and relates how persons experience that event. Descriptive qualitative research is insightful and relevant and also has its place in knowledge development. Sometimes the difference between descriptive qualitative research and theory is confusing because both description and theory are based on concepts and both use interpretive methods of analysis to arrive at those concepts. Both use the words of participants to bring abstract ideas to a human level of understanding. But while rich and thick description provides concepts and tells an interesting story, it is not theory.

**Theory**

What makes theory different from descriptive qualitative research is the overarching structure—the skeleton or framework that explains why things happen. At the top of the structure stands a term that describes in a few words what the theory is all about. For example, my (Corbin, 1987) study of pregnant women with chronic conditions used the term *protective governing* to explain how women working with the health care team took action to minimize the risks associated with a complicated pregnancy and maximize the chances of delivering a healthy baby. What made it theory was the fact that the study not only talked about women’s fears and what they did at different stages of the pregnancy (description) but it explained how women came to identify the various levels of risks they perceived themselves to be in at any time during the pregnancy. Then based on those assigned levels of risks—and after consideration of the various options open to them—they came up with strategies and tactics to minimize those risks in order to have some measure of control over the pregnancy outcome. The study explained how it was that women under varying conditions of risks played an essential role in securing a positive outcome.
Description plays a part in theory development by filling in the details once the theoretical structure is given form. For example, in my theory of protective governing, there was a description of the types of information women gathered in arriving at their definitions of the level of risks. There were also descriptions of the various factors women were balancing when making decisions about what to do. There were descriptions of the many different strategies women employed to manage the pregnancy, their chronic condition, and their fears. Also there were descriptions of the different types of relationships women had with their partners and the health care team at various points in the pregnancy.

Theory begins essentially in the same way as description: with concepts. It evolves just as does description with the development of major concepts (we call these *categories* or *themes*) in terms of their properties and dimensions. However, here is where theory differs. In addition to well-developed categories (themes), there has to be linkages made between the categories to each other and to an even more abstract concept that stands above the rest that we call the “core category.” The core category captures in a few words the major theme or the essence of the study and enables all the other categories and concepts to be integrated around it to form the theoretical explanation of why and how something happens. It may not be the only explanation that can be derived from data, but it does offer a logical and plausible one. If grounded theory methods are used in the manner in which they were designed and if researchers follow through by carrying out that last step of integration, the chances are that they will develop theory.

**Ethics**

In a research approach that blurs the line between researcher and participant, ethics becomes a central issue. From our standpoint, we see three major areas that call for ethical consideration. These are ethics as applied to the following:

- Participants
- Research
- Researcher

**Participants**

Since the researcher and participants often meet face-to-face, researchers must take measures to obtain consent, maintain confidentiality, and develop an atmosphere of mutual trust. Furthermore, participants are volunteers. Their belief systems and values may differ significantly from those of the researcher. Nevertheless participants’ should be treated with dignity and their time respected. Keep in mind that researchers are there to gather information and not to make judgments.

**Research**

When it comes to the research, the researcher has several ethical responsibilities. First, there has to be integrity of method. Naturally, there is some flexibility when using a method.
There are times when it is necessary to alter procedures to meet the demands of the research situation. However, researchers can’t pick and choose which parts of a methodology to use based on what parts suit them or are convenient and then leave the remainder. The different parts of a methodology are meant to work together and must be taken as a whole in order to produce the best results.

Second, though it is acknowledged that there are always time and financial constraints when engaging in a research project, the researcher owes it to participants and to the research process to make a commitment and follow through on a study. This means it is not okay to take short cuts or be sloppy when gathering data and doing analysis.

Third, there is the responsibility to participants and the profession to publish the results. Participants give freely of their time with the understanding that the information they provide, though not likely to help them, may possibly help others. Failure to publish indicates that the implied bargain made between researchers and participants that the information they provide will benefit others has not been kept. Also, researchers have the responsibility to contribute to the knowledge base of his or her profession. A profession can’t exist or grow without a base of knowledge. It is the continuous generation of new knowledge that keeps a profession relevant over time.

**Researcher**

Not all professionals want to be researchers. Some want to be excellent teachers or practitioners. Often the work environment is such that persons feel compelled to do research and publish in order to obtain a promotion or gain professional respect and recognition. Ethically, research should never be undertaken lightly. Persons should not do research because they have to but because they want to. It may be that during the course of persons’ professional lives that questions arise and can only be answered by doing research.

Once a research project is undertaken, the researcher has an ethical responsibility to self, to participants, and to the profession to produce the highest quality work that he or she is capable of. Doing research is an opportunity for growth. Doing research broadens understanding and gives insight into people and situations that would never occur otherwise. At the same time, doing intensive interviews or observations can be draining especially in emotionally charged situations. A researcher can’t help but be emotionally touched by the stories told by participants. It is important from an ethical standpoint that when a researcher begins to feel overwhelmed or that he or she is becoming too emotionally involved to put aside the research for a short time to care for the self. A researcher can’t do justice to the participants or the research if he or she is physically and emotionally drained or loses the ability to think critically. Keeping a diary of the research process can help a researcher take a critical look at self and also serve as a release of some of the stress of doing research.

**Summary of Key Points**

There are many reasons for choosing to do qualitative research but perhaps the most important is the desire to step beyond the known and enter into the world of participants,
to see the world from their perspective, and in doing so to make discoveries that will contribute to the development of empirical knowledge. A qualitative researcher should be curious, creative, and not afraid to trust his or her instincts. Though there are different styles and approaches to doing qualitative research, the focus of this book is upon grounded theory and in particular Strauss’s approach to doing grounded theory.

Grounded theory is a qualitative methodology that aims at constructing a theory from data. Though there are similarities between description and theory, theory differs from description in that its categories and concepts are integrated around a core category to form a structure that offers a theoretical explanation about the why and how something happens. What makes grounded theory unique among other qualitative methods is its approach to data collection and analysis. The researcher does not begin the research with a pre-identified list of concepts. Concepts are derived from data during analysis. Analysis begins with collection of those very first pieces of data. Concepts derived from initial analysis guide collection of subsequent data. Each data collection is followed by analysis. This process of data collection followed by analysis continues until the researcher constructs a well-integrated and dense theory.

In qualitative research, the lines between researcher and participant are often blurred during the data collection and analysis. This close contact creates ethical challenges in regards to the participants, to the research, and for the researcher.

### Activities for Thinking, Writing, and Discussing as a Group

1. Sit down and write a paragraph or two about what attracts you to doing qualitative research. Explain how you think your personal characteristics will enhance your ability to do good qualitative research.

2. In a group, discuss the qualities of a good qualitative researcher and how these qualities might be fostered through proper mentorship and the teaching–learning situation.

3. Peruse the journals in your field, and pick out one or two research papers that claim to be based on grounded theory methodology. Focus on the methodological process. How did the researcher(s) explain the process? In your judgment, did the researcher(s) actually develop theory, or did their findings remain at the level of description? Explain.

4. Discuss in class what you think are the ethical challenges of qualitative researchers. If you were keeping a diary of your research experience, what kinds of things would you put into it?

### Reading Options and Alternative Perspectives on Qualitative Research

**Introduction to Qualitative Methods**


**Newer and Different Qualitative Methods**


**Ethics**


**Examples of the Use of Grounded Theory to Study Different Cultures**


**Research Articles That Are Good Examples of Theory**


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