Appendix A: HERO – New Study Human Ethics Application Form

This is a Word version of the online “smart” form of the HERO ethics application, which has been modified for LIS 505 – e.g., to remove biomedical questions – but question #s have not been changed. Please note that not all questions will apply to all projects, so you may state “not applicable” where appropriate. Consult the “HERO Help” and the forms/templates provided by the “EEASJ REB” as needed.

1.1 Study Identification – EEASJ Application

2.0 Study Title: A Proposal to Investigate the Information Needs and Information Seeking Habits of New Immigrants to the City of Edmonton.

5.0 Name of Principal Investigator (at the University of Alberta, Caritas, or Capital Health): Jody Mendenhall

6.0 Investigator's Supervisor (Required for graduate students, trainees, or researchers from Capital Health, Caritas who do not have an University of Alberta academic appointment): Dr. Lisa Given

7.0 Type of study:
• Graduate Student - Thesis, Dissertation, Capping Project

1.3 Study Funding Information

1.0 Type of Funding:
• Grant (external)

If OTHER, provide details:

2.0 Funding Source (if applicable)

2.2 Write the Sponsor/Agency name(s) in full (you may add multiple funding sources):
Social Sciences and Humanities Research Council (SSHRC)

3.0 Location of funding source (required if study is funded):
• Canada

1.4 Conflict of Interest

1.0 Are any of the investigators or their immediate family receiving any personal remuneration (including investigator payments and recruitment incentives but excluding trainee remuneration or graduate student stipends) from the funding of this study that is not accounted for in the study budget?
Yes  No
If YES, explain:

2.0 Do any of investigators or their immediate family have any proprietary interests in the product under study or the outcome of the research including patents, trademarks, copyrights, and licensing agreements?
Yes No

7.0 Do you have any other relationship, financial or non-financial, that, if not disclosed, could be construed as a conflict of interest?
Yes No

1.5 Study Locations and Sites

1.0 Specify research locations: Edmonton Public library branches, Tim Hortons franchises, Edmonton Mennonite Centre for Newcomers, Assist Community Services Centre, Millwoods Welcome Centre for Immigrants, Edmonton Immigrant Services Association

3.0 If the study involves researchers in other institution(s), will ethics approval be sought from other institutions/organizations (e.g. another university, Alberta Cancer Board, school district board, etc)?
• Yes
• No
• Not Applicable

If YES, provide a list:

2.1 Study Objectives and Design

1.0 Proposed Start Date: July 4, 2011

2.0 Proposed Start Date of working with human participants (can be the same as item 1.0): September 19, 2011

3.0 Anticipated End Date of working with human participants: October 31, 2011

3.1 Risk Assessment

1.0 After reviewing the Minimal Risk Criteria (inserted from User Help), provide your assessment of the risk classification for this study:

Per the Tri-council Policy Statement, the standard of minimal risk is commonly defined as follows: if potential participants can reasonably be expected to regard the probability and magnitude of possible harms implied by participation in the research to be no greater than those encountered by the subject in those aspects of his or her everyday life that relate to the research, then the research can be regarded as within the range of minimal risk. Above the threshold of minimal risk, the research warrants a higher degree of scrutiny and greater provision for the protection of the interests of prospective participants.

• Minimal Risk
• Greater than Minimal Risk
In a scale of 0 to 10 where 0 = No Likelihood, 5 = Moderate Likelihood and 10 = Extreme Likelihood, put a numerical rating in response to each of the following: Rate Description of Potential Risks and Discomforts

- 0 1 2 3 4 5 6 7 8 9 10 Psychological or emotional manipulations will cause participants to feel demeaned, embarrassed, worried or upset
- 0 1 2 3 4 5 6 7 8 9 10 Participants will feel fatigued or stressed
- 0 1 2 3 4 5 6 7 8 9 10 Questions will be upsetting to the respondents
- 0 1 2 3 4 5 6 7 8 9 10 Participants will be harmed in any way
- 0 1 2 3 4 5 6 7 8 9 10 There will be cultural or social risk – for example, possible loss of status, privacy, and/or reputation
- 0 1 2 3 4 5 6 7 8 9 10 There will be physical risk or physiological manipulations, including injury, infection, and possible intervention side-effects or complications
- 0 1 2 3 4 5 6 7 8 9 10 The risks will be greater than those encountered by the participants in everyday life

3.0 Provide details of short- and long-term risks and discomforts: Participants may experience minimal, short-term discomfort while discussing the challenges of being a new immigrant in a new country.

2.0 Describe how you will manage and minimize risks and discomforts, as well as mitigate harm: To minimize discomfort, the researcher will make it clear to the participant that he or she may opt out of answering any of the questions asked. The researcher will also remind the participant that he or she has the right to terminate the interview at any time. The interview questions will be designed in a way so as to avoid causing the participant discomfort. If a participant becomes distressed the researcher will have a list of resources and contacts that the participant can make use of if desired. This information will be obtained from organizations that specialize in helping immigrants adjust to life in Edmonton, Alberta, Canada. (e.g. Edmonton Mennonite Centre for Newcomers, Assist Community Services Centre, Millwoods Welcome Centre for Immigrants, Edmonton Immigrant Services Association)

5.0 If your study has the potential to identify individuals that are upset, distressed, or disturbed, or individuals warranting medical attention, describe the arrangements made to try to assist these individuals. Explain if no arrangements have been made: Not applicable.

3.2 Benefits Analysis

1.0 Describe any benefits of the proposed research to the participants: The participants would be part of a study that contributes to the advancement of research. The studies' findings have the potential to improve the information-seeking and finding experience for new immigrants to Canada. The issues being raised in this study have implications for frontline information providers as well as for policy makers interested in programs, policies and funding for organizations that assist with the provision of information to newcomers to Canada.

2.0 Describe the scientific and/or scholarly benefits of the proposed research: The research has the potential to benefit scholarship by revealing the specifics of the varied information needs and information seeking behaviours of new immigrants to Canada.

3.0 Describe any benefits of the proposed research to society:
The proposed research has the potential to positively influence better access to information for new immigrants to Canada. For example, as mentioned above, the issues being raised in this study have implications for frontline information providers as well as for policy makers interested in programs, policies and funding for organizations that assist with the provision of information to newcomers to Canada.

4.0 Benefits/Risks Analysis - describe the relationship of benefits to risk of participation in the research: The risk of participating in the study is that participants may experience some discomfort while discussing the challenges of being a new immigrant in a new country. However, the benefits of the study would be to improve access to information for new immigrants, thereby making the adaption process smoother for future new immigrants.

4.1 Participant Information

1.0 Describe and justify the inclusion criteria for participants:
All of the participants will be new immigrants who have been in Canada for 2 years or less. The inclusion criteria will ensure that participants answer the questions from the position of being new to Canada which comes with a particular set of information needs.

2.0 Describe and justify the exclusion criteria for participants:
Interviewees must have a basic proficiency in understanding and speaking English as the researcher will not be able to hire a translator. All of the participants must be over the age of eighteen in order to avoid a possible lengthy process in regards to the ethics review process. Because the researcher is focusing on new immigrants to the city of Edmonton, only residents of the city will be interviewed.

3.0 Are there any direct recruitment activities for this study?
Yes

4.0 Participants

Total number of participants you expect to enroll if applicable): 23

If this is a multi-site study, how many participants (including controls, if applicable) do you anticipate will be enrolled in the entire study? 0

5.0 Justification for sample size:
When conducting interview, it is recommended to have a sample of 18 to 21 participants in order to avoid saturation of themes. This will allow for 3 interviews to be used for pre-testing purposes. In addition, having 5 interviews above the minimum of eighteen allows for flexibility should anyone withdraw from the study or cancel an interview at the last minute.

6.0 If possible, provide expected start and end date of the recruitment/enrollment period:
Expected Start Date: August 22, 2011 (as long as ethics has given approval)
Expected End Date: September 26, 2011

4.2 Recruit Potential Participants
1.0 Recruitment

1.1 Will potential participants be recruited through pre-existing relationships with researchers (e.g. employees, students, or patients of research team, acquaintances, own children or family members, etc)?
   Yes  No

1.2 If YES, identify the relationship between the researchers and participants that could compromise the freedom to decline (e.g. professor-student). How will you ensure that there is no undue pressure on the potential participants to agree to the study? Not applicable

2.0 Outline any other means by which participants could be identified (e.g. response to advertising such as flyers, posters, ads in newspapers, websites, email, listservs; pre-existing records or existing registries; physician or community organization referrals; longitudinal study, etc):
   Participants will be identified through their response to advertising posters

4.3 Recruitment Contact Methods

1.0 How will initial contact be made? Select all that apply:
   • Potential participants will contact researchers

2.0 If contact will be made through an intermediary (including snowball sampling), select one of the following: Not applicable
   • Intermediary provides information to potential participants who then contact the researchers
   • Intermediary provides potential participant’s contact information to researchers with participant’s informed consent for release of contact information
   • Intermediary provides potential participant’s contact information to researchers WITHOUT participant’s informed consent for release of contact information

3.0 If contact will be made through an intermediary, explain why the intermediary is appropriate and describe what steps will be taken to ensure participation is voluntary: Not applicable

3.0 4.0 Provide the locations where participants will be recruited, (i.e. educational institutions, facilities in Capital Health or Caritas, etc): Edmonton Public library branches, Tim Horton’s franchises, Edmonton Mennonite Centre for Newcomers, Assist Community Services Centre, Millwoods Welcome Centre for Immigrants, Edmonton Immigrant Services Association and various ethnic restaurants & specialty stores.

4.4 Informed Consent Determination

1.0 Describe who will provide informed consent for this study:
   • All participants will be competent to give informed consent

2.0 How is consent to be indicated and documented?
   • Signed consent form
3.0 What assistance will be provided to participants, or those consenting on their behalf, who have special needs (e.g. non-English speakers, visually impaired, etc): Due to the high cost associated with hiring a translator, non-English speaking persons will not be chosen to participate in this study. Visually and physically impaired participants would be accommodated through ensuring that interview locations were accessible.

4.0 If at any time a participant wishes to withdraw or not participate in certain aspects of the research, describe the procedures and the last point at which it can be done: A participant can choose to withdraw from the study up to 2 weeks after the date of the interview and the data collected from the participant will be destroyed.

5.0 Describe the circumstances and limitations of data withdrawal from the study, including the last point at which it can be done: Participants can have their data withdrawn from the study at any point up to 2 weeks after the date of the interview. If a participant does withdraw from the study, another participant will be recruited.

6.0 Will this study involve an entire group where non-participants are present? No

7.0 Describe the incentives and/or reimbursements, if any, to participants and provide justification: Not applicable

4.5 Informed Consent Details

1.0 Provide justification for requesting a waiver of consent (if applicable): Not applicable

2.0 Oral consent: explain how oral consent will be documented (if applicable): If the participant requests oral consent, it will be digitally recorded.

3.0 Overt action: explain the overt action that will signify consent (if applicable): Not applicable

4.0 Inaction/non-objection: describe the procedures and justification for this type of consent (if applicable): Not applicable

4.6 Authorized Representative or Third Party Consent – if applicable

Not applicable

4.7 Group Research Documentation – if applicable

Not applicable

4.8 Study Population Categories
1.0 This study is designed to TARGET or specifically include the following (does not apply to co-
incidental or random inclusion). Select all that apply: The study may include any of these 
populations (except for Children/Youth), however, I not of these groups are being 
specifically targeted.

- Members of any or all of the groups listed below may participate in this study
- Women
- Men
- Children/Youth
- Aboriginal People
- Rural Communities
- Northern Communities
- Minorities (e.g. ethno-cultural, linguistic, gender, etc)
- With Physical Disability
- With Cognitive Disability
- Not applicable (i.e., does not target any one group, specifically)

4.9 Aboriginal People – if applicable
Not applicable

5.1 Research Methods and Procedures

1.0 This study will involve the following (select all that apply)
The list only includes categories that trigger additional page(s) for an online application (and
biomedical options have been removed, for LIS 505).

- Deception or partial disclosure (not including double-blind)
- Interviews (e.g. in-person, telephone, email, chat rooms, etc)
- Focus Groups
- Surveys and Questionnaires (including internet surveys)
- Sound or image data involving participants (other than audio or video-recorded interviews or
focus groups)
- Materials created by participants (e.g. artwork, writing samples, etc)
- None of the above

4.0 Internet-based research

4.1 Will you be doing any internet-based research that involves interaction with participants?
Yes No

4.2 If YES, will these interactions occur in private spaces (e.g. members only chat rooms, social
networking sites, email discussions, etc)?
Yes No

4.3 Will these interactions occur in public space(s) where you will post questions initiating and/or
maintaining interaction with participants?
Yes No

5.5 Use of Deception or Partial Disclosure – if applicable
Not applicable
5.6 Sound or Image (other than audio- or video-recorded interviews) or Material Created by Participants – if applicable

*Not applicable*

5.7 Interviews, Focus Groups, Surveys and Questionnaires – if applicable

1.0 Are any of the questions potentially of a sensitive nature?

*Yes  No*

If YES, provide details: *Questions could inadvertently cause discomfort if they relate to the difficult process of immigrating to a new country and leaving old friends and family behind.*

2.0 If any data were released, could it reasonably place participants at risk of criminal or civil law suits?

*Yes  No*

If YES, provide the justification for including such information in the study:

3.0 Will you be using audio/video recording equipment and/or other capture of sound or images for the study?

*Yes  No*

If YES, provide details: *A digital voice recorder will be used to record interviews with participants. The recorded interview will be transcribed afterwards.*

5.8 Internet-based Interaction with Human Participants – if applicable

*Not applicable*

6.1 Data Collection

1.0 Will the study team know the participants’ identity at any stage of the study?

*Yes, as a result of the consent form.*

2.0 Primary/raw data collected will be (check all that apply):

- Anonymous
- *Confidential*
- Coded
- *All personal identifying information removed*
- Public and cited (including cases where participants have elected to be identified and/or allowed use of images, photos, etc.)
- None of the above
3.0 If identifying information will be removed at some point, when and how will this be done? Confidentiality will be ensured through assigning each participant a code or pseudonym.

4.0 If this study involves secondary use of data (i.e., data previously collected by another researcher for another study), list all sources: Not applicable

5.0 In research where total anonymity and confidentiality is sought but cannot be guaranteed (e.g. where participants talk in a group) how will confidentiality be achieved? Not applicable

6.2 Data Identifiers

1.0 Personal Identifiers: will you be collecting any of the following (check all that apply):
   - Full Name
   - Initials
   - Address
   - Full Postal Code
   - First 3 digits of postal code
   - Telephone Number
   - Fax Number
   - Social Insurance Number
   - Email Address
   - Full Face Photograph
   - Student ID Number
   - Employee ID Number
   - Full Date of Birth
   - Year of Birth
   - Age at time of data collection
   - Vehicle Identification
   - Professional Certificate/License Number
   - None
   - Other

3.0 If you are collecting any of the above, provide a comprehensive rationale to explain why it is necessary to collect this information: This information will be collected when the participant contacts the researcher in order to facilitate communication and the setting up of the interview time and location. Ages of participants will be collected to show range of applicants in final study. No identifying information will be retained or used for the study.

4.0 Specify information that will be RETAINED once data collection is complete, and explain why retention is necessary. Include the retention of master lists that link participant identifiers with de-identified data: Signed consent forms will be retained for proof that consent was obtained

6.3 Data Confidentiality and Privacy

1.0 How will confidentiality of the data be maintained? Explain the steps you propose to maintain data confidentiality and privacy. (For example, study documents must be kept in a locked filing cabinet and computer files encrypted, etc.) Electronic documents (electronic versions of the interview transcripts, audio recordings of the interview proceedings) will be stored on the researcher’s password protected computer. Electronic
documents that exist as a result of communication between the participants and the researcher will be deleted permanently. Any physical documents that exist as a result of the interviews will be stored in a locked filing cabinet in the researcher’s place of residence. After the study is completed, all data and documents will be stored in one location, the locked filing cabinet in the researcher’s home.

3.0 If you involve colleagues, assistants, transcribers, interpreters and/or other personnel to carryout specific research tasks in your study, how will you ensure that they properly understand and adhere to the University of Alberta standards of data privacy and confidentiality? Not applicable.

4.0 Data Access

4.1 Will the researcher make raw data that identify individuals available to persons or agencies outside of the research team?
Yes No

4.2 If YES, describe in detail what identifiable information will be released, to whom, why they need access, and what safeguards will be used to protect the identity of subjects and the privacy of their data.

4.3 Provide details if identifiable data will be leaving the institution, province, or country (eg. member of research team is located in another institution or country, etc.) Not applicable.

6.4 Data Storage, Retention, and Disposal

1.0 Where will the research data be stored? Specify the physical location and how it will be secured to protect confidentiality. Physical documents pertaining to the study will be stored at the researchers home in a locked filing cabinet. Digital data and documents will be stored on the researcher’s computer.

2.0 Describe what will happen to the data once the study is completed. Indicate your plans for the destruction of the identifiers at the earliest opportunity consistent with the conduct of the research and/or clinical needs: After the study is completed, data will be removed from the computer, saved to a USB drive and stored in the researcher’s locked filing cabinet. All physical documents pertaining to the study will also be stored in the researcher’s locked filing cabinet, in her home.

3.0 You must keep your data for a minimum of 5 years according to GFC Policy 92.2. How will you provide for data security during this time? All data will be stored in a locked filing cabinet that only researcher will have access to.

7.1 Documentation

Attach the following documents (as appropriate for your study) to this application, along with any other relevant documents pertaining to your project.

1.0 Recruitment Materials:
2.0 Letter of Initial Contact:
3.0 Information Letter
4.0 Consent Forms
5.0 Assent Forms:
6.0 Questionnaires, Cover Letters, Surveys, Tests, Interview Scripts, etc.:
10.0 Confidentiality Agreement (e.g., for hired transcriptionists)
Appendix B: Information Letter

Participants are needed for a research study of what it is like to be a new immigrant in Canada in terms of needing and seeking information particular to that experience. Participants have been in Canada for 2 years or less and have a good understanding of spoken English. Participants should be 18 years of age or older. The goal of the research is to explore the information seeking habits and the range of information needs of new immigrants upon arrival in Canada.

This study uses interviews to collect data. Participants will be interviewed between September 19, 2011 and October 31, 2011. Participants will choose the location and time of the interview. Each interview will be approximately 40 to 60 minutes in length and will be recorded with a digital voice recorder. Participants may decline to answer any question at any time for any reason. Participants can withdraw from the study at any point without penalty. Participants may decide up to two weeks after the interview to not have their data included in the study. Participants may request a copy of the interview for their own use. Only the research will have access to digital audio files and any other data pertaining to the research. This data will be kept for in a locked filing cabinet for five years. After five years, all data will be shredded or deleted. Each participant will be assigned a participant number or code so that his or her identity remains confidential.

Data collected from this research study may be used to publish research articles, as well as for teaching and presentations. The data will be used for academic purposes only, not for commercial interest or gain. Participant’s identities will only be disclosed on the signed consent form, which will only be available to Jody Mendenhall and Dr. Lisa Given at the School of Library and Information Studies, University of Alberta. Participants may contact either of these individuals via the contact information provided below.

The researcher is a candidate for a Master’s of Library and Information Studies at the University of Alberta. This study is part of the requirements for the researcher’s directed study course, which is being supervised by Dr. Lisa Given.

Jody Mendenhall (MLIS student) Dr. Lisa Given (Professor)
School of Library and Information Studies School of Library and Information Studies
E-mail: jmendenh@ualberta.ca E-mail: lisa.given@ualberta.ca

The plan for this study has been reviewed for its adherence to ethical guidelines and approved by the Faculties of Education, Extension, Augustana and Campus Saint Jean Research Ethics Board (EEASJ REB) at the University of Alberta. For questions regarding participant rights and ethical conduct of research, contact the Chair of the EEASJ REB c/o (780) 492-2614
Appendix C: Letter of Consent

I, ____________________________________________, agree to participate in an interview that will examine the information seeking habits and needs of new immigrants to Canada. I confirm that I understand and agree to the following conditions of my participation in this study:

I have read the letter of information and my questions have been answered to my satisfaction.

I understand the purpose and process of this study as explained to me by the researcher.

I understand that the identifying data resulting from my participation in this study will be destroyed after member checking has been completed.

I understand that the data resulting from my participation will be kept anonymous and confidential.

I understand that de-identified information will be kept in a locked safe and destroyed after five years have passed.

I understand that I may withdraw from this study at any time during the interview and up to two weeks after the interview. I understand that if I withdraw from the study, all my data will be destroyed and eliminated from the study.

I understand that the interview will be audio recorded and transcribed and that the transcripts will be used for an assignment for the researcher’s class, LIS 505: Introduction to Research

I confirm that two copies of this consent form were provided, one to be kept by the research and one to retain as my own copy.

I give my permission to be interviewed for this study.

________________________________________  _________________
Signature of Participant                         Date

________________________________________  _________________
Signature of Researcher                         Date

If you have any questions or concerns regarding this study please contact:

Jody Mendenhall (MLIS student)                     Dr. Lisa Given (Professor)
School of Library and Information Studies         School of Library and Information Studies
E-mail: jmendenh@ualberta.ca                       E-mail: lisa.given@ualberta.ca

The plan for this study has been reviewed for its adherence to ethical guidelines and approved by the Faculties of Education, Extension, Augustana and Campus Saint Jean Research Ethics Board (EEASJ REB) at the University of Alberta. For questions regarding participant rights and ethical conduct of research, contact the Chair of the EEASJ REB c/o (780) 492-2614
Appendix D: Sample Interview Questions

1. Describe your immigration experience (tell your story)

2. How long have you been in Canada?

3. What is your native language?

4. What are the biggest questions and concerns that you are faced with in adjusting to your new home in Canada?

5. When you first arrived in Canada, what did you need to know about immediately?

6. What other things did you need to find out about? For example, housing, health, schooling, driving, banking, employment, language, government, legal issues, etc. How did you find information about these topics?

7. What do you know about finding information in your new home?

8. What resources do you use when you are looking for information (library, Internet, friends) and why?

9. What are your ongoing information needs as result of moving to Edmonton?

10. What is the most difficult information to find and why?

11. If you could change something about the way that you find information, what would it by and why?

12. Tell me about a challenging experience you had while trying to find some information? How did you solve this problem?

13. What information do you feel that you still need and cannot find (in relation to being a new immigrant)

14. What positive experiences have you had in searching for information? What was good about them?

15. What service or person or resource has helped you the most in terms of your information needs?

16. Do you use the Internet to find information? Why or why not?
ARE YOU NEW TO CANADA?

ARE YOU 18 YEARS OLD OR OLDER? HAVE YOU BEEN IN CANADA FOR 2 YEARS OR LESS?

WOULD YOU LIKE TO TALK ABOUT YOUR EXPERIENCE AS A NEW CANADIAN?

IF SO, THEN TAKE PART IN A RESEARCH STUDY TO HELP NEW IMMIGRANTS, LIKE YOU, FIND INFORMATION AND ADAPT TO THEIR NEW HOME

Please contact:

Jody Mendenhall (MLIS student)
School of Library and Information Studies
E-mail: jmendenh@ualberta.ca

Dr. Lisa Given (Professor)
School of Library and Information Studies
E-mail: lisa.given@ualberta.ca
Appendix F: Letter of Permission for On-site Research

Research Location: ________________________________________________________________

This letter confirms that permission has been granted to Jody Mendenhall to conduct research/recruit participants in the above-mentioned space. I further realize and comprehend that this research study has been reviewed for its adherence to ethical guidelines and approved by the Faculties of Education, Extension, Augustana and Campus Saint Jean Research Ethics Board (EEASJ REB) at the University of Alberta, and that any questions, concerns, complaints and/or other queries may be addressed to the Chair of the EEASJ REB at (780) 492-0459.

I recognize that any questions, concerns or complaints arising out of the researcher’s use of the space may be directed to the researcher, Jody Mendenhall, or her supervisor, Dr. Lisa Given via the following means:

Jody Mendenhall (MLIS student) Dr. Lisa Given (Professor)
School of Library and Information Studies School of Library and Information Studies
E-mail: jmendenh@ualberta.ca E-mail: lisa.given@ualberta.ca

Research Location: ________________________________________________________________

(Name and address of Building)

Applicable Dates: ________________________________

Title/Position: ________________________________________________________________

Printed Name: ________________________________________________________________

Signature: _____________________________________________________________________
# Appendix G: Project Budget

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## Appendix H: Project Timeline

### Start date: 07/04/2011

#### Project: Information Needs and Information Seeking Habits of New Immigrants to Edmonton

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**Tasks:**
- Purchasing Supplies
- Ethics Approval Preparation
- Ethics Approval Process
- Interview Preparation
- Recruitment
- Interviews
- Transcription
- Coding and Analysis
- Writing and Editing
Appendix I: References

REFERENCE LIST


