Handout HKBM7003

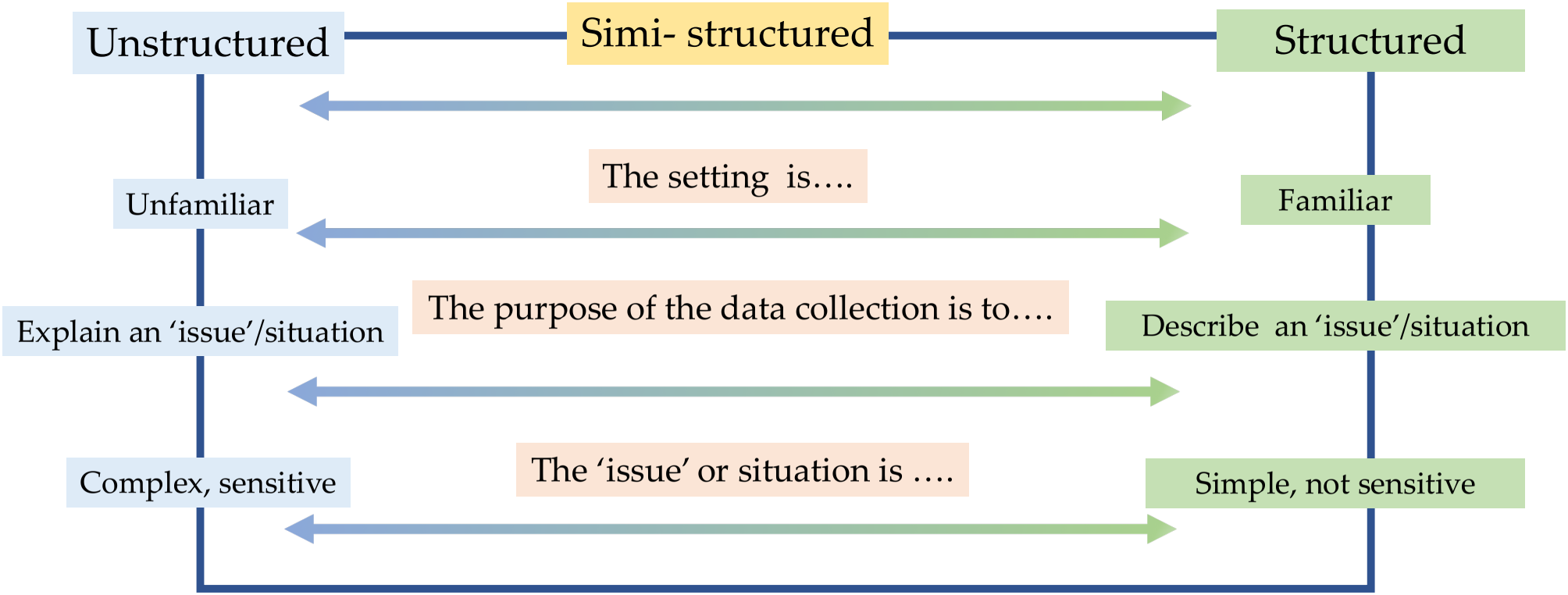
Typology of sampling strategies

Table 7.3 Typology of Sampling Strategies in Qualitative Inquiry

Type of Sampling	Purpose
Maximum variation	Documents diverse variations of individuals or sites based on specific characteristics
Homogeneous	Focuses, reduces, simplifies, and facilitates group interviewing
Critical case	Permits logical generalization and maximum application of information to other cases
Theory based	Elaborates on and examines a construct of a theory or the entire theory
Confirming and disconfirming cases	Elaborates on initial analysis, seeks exceptions, and looks for variation
Snowball or chain	Identifies cases of interest from people who know people who know what cases are information-rich
Extreme or deviant case	Learns from highly unusual manifestations of the phenomenon of interest
Typical case	Highlights what is normal or average
Intensity	Seeks information-rich cases that manifest the phenomenon intensely but not extremely
Politically important	Attracts desired attention or avoids attracting undesired attention
Random purposeful	Adds credibility to sample when potential purposeful sample is too large
Stratified purposeful	Illustrates subgroups and facilitates comparisons
Criterion	Seeks cases that meet some criterion; useful for quality assurance
Opportunistic	Follows new leads; taking advantage of the unexpected
Combination or mixed	Meets multiple interests and needs through triangulation, flexibility
Convenience	Saves time, money, and effort, but at the expense of information and credibility

Source: Miles and Huberman (1994, p. 28). Reprinted with permission from SAGE.

How to choose a qualitative research method?



Adapted from Kielmann, K., Cataldo, F., & Seeley, J. (2012). *Introduction to qualitative research methodology: A training manual.* London, UK: Evidence for Action DFID

Sample Interview Protocol / Guide

Interview Guide project title _____

Time of an interview _____

Date _____

Place_____

Interviewer_____

Interviewee_____

Position of Interviewee (briefly describe the project)

Questions

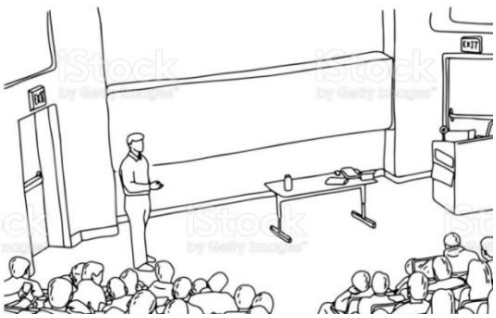
1.
2.
3.
4.
5.

Thank the individual for participating in this interview. Assure them of confidentiality of responses and potential future interviews

Source: adapted from Creswell and Poth, 2018

Sample Observational Protocol

Adapted from Creswell and Poth, 2018, p. 237

Length: 90 min Location:	
Descriptive Notes	**Reflective Notes**
General: How DBA students experience learning of qualitative research methods in the UWTSD-HKMA classroom?	
See classroom layout & comments about physical setting at the bottom of this page	A computer and projector needed to be turned on; I wonder if it was a destruction, when it took extra time to turn on the equipment
Approximately 9:57 am Ms. Shallotte enters the filled room and introduces Dr. Tamara. Class members seem happy	Dr. Tamara and Ms. Shallotte arrived close to starting time. Students seemed a bit anxious. Maybe it has to do with a "weekend" mood or change of a class starting time.
Dr. Tamara gives a brief introduction to the class, focusing on an overall goal of the course	
Descriptive notes	**Reflective notes**
Dr. Tamara begins by telling the class she conducts & writes out qualitative research and highlights this occupation by mentioning her research work	Ms. Shallotte and Dr. Tamara have a good rapport between them, judging from many short exchanges they had
While Dr. Tamara begins her presentation, Ms. Shallotte leaves the room to retrieve handouts	Sketch of a classroom
The first question was 'Give me an example of a qualitative research?" Followed by 'How does business fit in?'	

Sample Coding Matrix

Question/Theme	Sub-Theme/category	Mnemonic Code
Personal circumstances	**PERSONAL circumstances of PLHIV** Any references to personal details of individuals and households, including information on education, employment and household composition but NOT about relationships within the household	**PLHIV_PERS_CIRC**
	PERSONAL circumstances of caregivers References to family background, education, households dynamics, etc.	**HBC_PERS_CIRC**
	Allusions to FAITH and the role of RELIGION in personal histories	**PERS_FAITH-REL**
HIV related trajectories	**HEALTH/CARE/TREATMENT history – up to ART** Description and experience of health (living with HIV) and treatment-seeking up to ART including testing: up until initiation on ART	**PRE-ART_HEALTH**
	HEALTH/CARE/TREATMENT history and experience of ART - AFTER starting ART Treatment seeking (including descriptions of interactions with providers) as well as physical symptomatology, taking ART, physical and psychosocial **transformation,** etc.	**ART_CARE**
	CARE/TREATMENT history specific to TB	**TB_CARE**
	ASSISTANCE/SUPPORT (financial, social, psychological) NOT related to HBC e.g., family, neighbours, support groups, church groups	**SUPPORT_PERS**

* An extract from a coding matrix prepared for a study of home-based care for People Living with HIV (PLHIV) in Zambia by Cataldo and Kielmann (2009).
A specific mnemonic code was created for each sub-theme.
A short description of the theme was added to ensure that all researchers involved in the coding would use the same code

source: Kielmann, K., Cataldo, F., & Seeley, J. (2012). Introduction to qualitative research methodology: A training manual. London, UK: Evidence for Action DFID

Trustworthiness criteria

Source: Lincoln,Y. and Guba, E. (1986). But is it rigorous? Trustworthiness and authenticity in naturalistic evaluation. In D. D. Williams (Ed). Naturalirlic Inquiry. New Directions for Program Evaluation, no.30, (pp.73-84). San Francisco: Jossey-Bass.

For credibility:

- Prolonged engagement—lengthy and intensive contact with the phenomena (or respondents) in the field to assess possible sources of distortion and especially to identify saliencies in the situation
- Persistent observation—in-depth pursuit of those elements found to be especially salient through prolonged engagement
- Triangulation (cross-checking) of data—by use of different sources, methods, and at times, different investigators
- Peer debriefing—exposing oneself to a disinterested professional peer to "keep the inquirer honest," assist in developing working hypotheses, develop and test the emerging design, and obtain emotional catharsis
- Negative case analysis—the active search for negative instances relating to developing insights and adjusting the latter continuously until no further negative instances are found; assumes an assiduous search
- Member checks—the process of continuous, informal testing of information by soliciting reactions of respondents to the investigator's reconstruction of what he or she has been told or otherwise found out and to the constructions offered by other respondents or sources, and a terminal, formal testing of the final case report with a representative sample of stakeholders.

For transferability:

- Thick descriptive data—narrative developed about the context so that judgments about the degree of fit or similarity may be made by others who may wish to apply all or part of the findings elsewhere (although it is by no means clear how "thick" a thick description needs to be, as Hamilton, personal communication, 1984, has pointed out).

For dependability and confirmability:

- An external audit requiring both the establishment of an audit trail and the carrying out of an audit by a competent external, disinterested auditor (the process is described in detail in Lincoln and Guba, 1985a). That part of the audit that examines the process results in a dependability judgment, while that part concerned with the product (data and reconstructions) results in a confirmability judgment.

Where in the Process of Research the Ethical Issue Occurs	*Type of Ethical Issue*	*How to Address the Issue*
Prior to conducting the study	• Seek college/university approval on campus • Examine professional association standards • Gain local permission from site and participants • Select a site without a vested interest in outcome of study • Negotiate authorship for publication	• Submit for institutional review board approval • Consult types of ethical standards that are needed in professional areas • Identify and go through local approvals; find gatekeeper to help • Select site that will not raise power issues with researchers • Give credit for work done on project; decide on author order
Beginning to conduct the study	• Disclose purpose of the study • Do not pressure participants into signing consent forms • Respect norms and charters of indigenous societies • Be sensitive to needs of vulnerable populations (e.g., children)	• Contact participants and inform them of general purpose of study • Tell participants that they do not have to sign form • Find out about cultural, religious, gender, and other differences that need to be respected • Obtain appropriate consent (e.g., parents, as well as children)
Collecting data	• Respect the site and disrupt as little as possible • Avoid deceiving participants • Respect potential power imbalances and exploitation of participants (e.g., interviewing, observing) • Do not "use" participants by gathering data and leaving site without giving back	• Build trust, convey extent of anticipated disruption in gaining access • Discuss purpose of the study and how data will be used • Avoid leading questions; withhold sharing personal impressions; avoid disclosing sensitive information • Provide rewards for participating

source: Creswell, J. (2013). Qualitative inquiry and research design. London: Sage.

Where in the Process of Research the Ethical Issue Occurs	*Type of Ethical Issue*	*How to Address the Issue*
Analyzing data	• Avoid siding with participants (going native) • Avoid disclosing only positive results • Respect the privacy of participants	• Report multiple perspectives; report contrary findings • Assign fictitious names or aliases; develop composite profiles
Reporting data	• Falsifying authorship, evidence, data, findings, conclusions • Do not plagiarize • Avoid disclosing information that would harm participants • Communicate in clear, straightforward, appropriate language	• Report honestly • See APA (2010) guidelines for permissions needed to reprint or adapt work of others • Use composite stories so that individuals cannot be identified • Use language appropriate for audiences of the research
Publishing study	• Share data with others • Do not duplicate or piecemeal publications • Complete proof of compliance with ethical issues and lack of conflict of interest, if requested	• Provide copies of report to participants and stakeholders; share practical results; consider website distribution; consider publishing in different languages • Refrain from using the same material for more than one publication • Disclose funders for research; disclose who will profit from the research

Sample Informed Consent Form

Adapted from the Human Research Ethics Committee, the Education University of Hong Kong

INSTRUCTIONS FOR USE

1. Consent to Participate for Data Collection Site/ School

The Project Investigator must prepare a set of Consent forms / Information sheets for school/ data collection sites so that the school / organization is aware of the research study and agrees in writing to allow the Project Investigator to run the study in the school/ organization.

2. Guidelines on Obtaining Consent for Minor Participants

Please note the following guidelines on obtaining consent for minor participants (extracted from the HREC Operational Guidelines, paragraph 29):
The following guidelines for obtaining consent should be adopted if the research participants are minors:

- *For children aged below 9, only the signature of their parents/guardians is required; completion of the task, after verbal explanation of its nature by the researcher, provides implied consent by the child;*
- *For children aged 9 to 15, signature of both the children and their parents/guardians is required; and*
- *For adolescents aged 16 to 17, signature of the adolescents is required and consent from their parents/guardians is optional for studies involving minimal risk.*

3. Language of the Information Sheet

(a) Information Sheets should be written in simple language which is comprehensible to a non-specialist. A good rule of thumb is that the Information Sheet should be readable by a Grade 6 student.
(b) Please be concise and indicate clearly in what procedures a participant will be involved.
(c) Please do not include too many technical details that are not necessary to participants.
(d) Typically one page should be sufficient for providing appropriate and adequate information on the project for purposes of informed consent.
(e) If the consent form and information sheet are to be presented to participants/ parents in Chinese, please also provide a Chinese version to HREC for review, and ensure that there is consistency between the English or Chinese version.

Sample Consent Form and Information Sheet for PARTICIPANTS

THE EDUCATION UNIVERSITY OF HONG KONG
<Name of Department>

CONSENT TO PARTICIPATE IN RESEARCH

<Project Title>

I _____ hereby consent to participate in the captioned research supervised by <Name of Principal Supervisor> and conducted by <Name of Principal Investigator>, who are staff / students of <Name of Department/ Unit> in <Name of Academic Institution>.

I understand that information obtained from this research may be used in future research and may be published. However, my right to privacy will be retained, i.e., my personal details will not be revealed.

The procedure as set out in the **attached** information sheet has been fully explained. I understand the benefits and risks involved. My participation in the project is voluntary.

I acknowledge that I have the right to question any part of the procedure and can withdraw at any time without negative consequences.

Name of participant _____

Signature of participant _____

Date _____

INFORMATION SHEET

<Project Title>

You are invited to participate in a project supervised by <Name of Principal Supervisor> and conducted by <Name of Principal Investigator>, who are staff / students of the <Name of Department/ Unit> in the <Name of Academic Institution>.

The introduction of the research

A) What does the research involve?

- Explain the aim of the study.

B) Why were you chosen for this research?

- Describe why you chose this particular person/group of participants

The methodology of the research

A) Describe how many participants you will include in this study

- Sample size

- How (from whom?) you obtained their contact details.

B) Procedure of the research

- Explain what the participants will be asked to do

- Period of participation

- How much time it will take.

C) Potential benefits (including compensation for participation)

The potential risks of the research (State explicitly if none)

A) Is there any risk or discomfort?

B) How to mitigate it?

C) Basic text:

Your participation in the project is voluntary. You have every right to withdraw from the study at any time without negative consequences. All information related to you will remain confidential, and will be identifiable by codes known only to the researcher.

Describe how results will be potentially disseminated

- Explain clearly and get permission to share your results with larger audiences. If appropriate, give examples such as journal articles, educational presentations, etc.

If you would like to obtain more information about this study, please contact _____ at telephone number _____ or their supervisor _____ at telephone number _____.

If you have any concerns about the conduct of this research study, please do not hesitate to contact the Human Research Ethics Committee by email at ethics.committee (at) email or by mail to the Research and Development Office, <Name of Academic Institution>.

Thank you for your interest in participating in this study.

<Name of Principal Investigator>

Principal Investigator

香港教育大學

<學系名稱>

參與研究同意書

<研究項目名稱>

本人_____同意參加由<首席監督員姓名>負責監督,<首席研究員姓名>執行的研究項目。她/他們是香港教育大學<學系名稱>的學生/教員。

本人理解此研究所獲得的資料可用於未來的研究和學術發表。然而本人有權保護自己的隱私, 本人的個人資料將不能洩漏。

研究者已將所附資料的有關步驟向本人作了充分的解釋。本人理解可能會出現的風險。本人是自願參與這項研究。

本人理解我有權在研究過程中提出問題,並在任何時候決定退出研究, 更不會因此而對研究工作產生的影響負有任何責任。

參加者姓名: _____

參加者簽名: _____

日期: _____

有關資料

<研究項目名稱>

誠邀閣下參加<首席監督員姓名>負責監督,<首席研究員姓名>負責執行的研究計劃。她/他們是香港教育大學<學系名稱>的學生/教員。

研究計劃簡介

A) 闡述研究計劃的目的

B) 說明選擇該組參與者的原因

研究方法

A) 參與人數

- *對比組別的大小*
- *如何獲得參與者的聯絡資料*

B) 說明工作及步驟

- *解釋參與者將被要求做什麼*
- *參與的時間*
- *所需時間*

C) 說明任何利益 (包括對參與者的補償)

- *例如: 是次研究並不為閣下提供個人利益，但所搜集數據將對研究學習動機的問題提供寶貴的資料。*

說明任何風險 (若無, 請明確指出)

A) 參與期間有可能面對的風險及不適

B) 如何降低風險

C) 基本文本:

閣下的參與純屬自願性質。閣下享有充分的權利在任何時候決定退出這項研究,更不會因此引致任何不良後果。凡有關閣下的資料將會保密,一切資料的編碼只有研究人員得悉。

描述將如何發佈研究結果

- *解釋清楚並取得參與者許可，以便分享成果。*
- *試舉例(如期刊論文，教學演示等)*

如閣下想獲得更多有關這項研究的資料,請與_____聯絡,電話_____或聯絡她/他們的導師_____,電話_____。

如閣下對這項研究的操守有任何意見,可隨時與香港教育大學人類實驗對象操守委員會聯絡(電郵: ethics.committee (at) email 地址:香港教育大學研究與發展事務處)。

謝謝閣下有興趣參與這項研究。

<首席研究員姓名>

首席研究員

Sample Application for Research Ethical Approval

Prifysgol Cymru
Y Drindod Dewi Sant
University of Wales
Trinity Saint David

G2 / E1 FORM

APPLICATION FOR ETHICAL APPROVAL

In order for research to result in benefit and minimise risk of harm, it must be conducted ethically. A researcher may not be covered by the University's insurance if ethical approval has not been obtained prior to commencement.

The University follows the OECD Frascati manual definition of **research activity**: "creative work undertaken on a systematic basis in order to increase the stock of knowledge, including knowledge of man, culture and society, and the use of this stock of knowledge to devise new applications". As such this covers activities undertaken by members of staff, postgraduate research students, and both taught postgraduate and undergraduate students working on dissertations/projects.

The individual undertaking the research activity is known as the "principal researcher".

Ethical approval is not required for routine audits, performance reviews, quality assurance studies, testing within normal educational requirements, and literary or artistic criticism.

Please read the notes for guidance before completing ALL sections of the form.

This form must be completed and approved prior to undertaking any research activity. Please see Checklist for details of process for different categories of application.

Delete the Guidance Notes at the end of the form BEFORE submitting your application
SECTION A: About You (Principal Researcher)

Full Name:					
Tick all boxes which apply:		Member of staff:	☐	Honorary research fellow:	☐
Undergraduate Student	☐	Taught Postgraduate Student	☐	Postgraduate Research Student	☐

Institute/Academic Discipline/Centre:	
Campus:	
E-mail address:	
Contact Telephone Number:	
For students:	
Student Number:	
Programme of Study:	
Director of Studies/Supervisor:	

SECTION B: Approval for Research Activity

Has the research activity received approval in principle? (please check the Guidance Notes as to the appropriate approval process for different levels of research by different categories of individual)		**YES**	☐	**NO** ☐
				Date
If Yes, please indicate source of approval (and date where known): ***Approval in principle must be obtained from the relevant source prior to seeking ethical approval***	Research Degrees Committee	☐		
	Institute Research Committee	☐		
	Other (write in)	☐		

SECTION C: Internal and External Ethical Guidance Materials

Please list the core ethical guidance documents that have been referred to during the completion of this form (including any discipline-specific codes of research ethics, and also any specific ethical guidance relating to the proposed methodology). Please tick to confirm that your research proposal adheres to these codes and guidelines.	
UWTSD Research Ethics & Integrity Code of Practice	☐
UWTSD Research Data Management Policy	☐
	☐

SECTION D: External Collaborative Research Activity

Does the research activity involve collaborators outside of the University?		**YES**	☐	**NO**	☐
If Yes, please provide the name of the external organisation and name and contact details for the main contact person and confirmation this person has consented to their personal data being shared.as part of this collaboration.					
Institution					
Contact person name					
Contact person e-mail address					
Has this individual consented to sharing their details on this form?		**YES**	☐	**NO**	☐
Are you in receipt of a KESS scholarship?		**YES**	☐	**NO**	☐
Is your research externally funded		**YES**	☐	**NO**	☐
Are you specifically employed to undertake this research in either a paid or voluntary capacity?	Voluntary	**YES**	☐	**NO**	☐
	Employed	**YES**	☐	**NO**	☐
Is the research being undertaken within an existing UWTSD Athrofa Professional Learning Partnership (APLP)	If YES then the permission question below does not need to be answered.	**YES**	☐	**NO**	☐
Permission to undertake the research has been provided by the partner organisation	(If YES attach copy) If NO the application cannot continue	**YES**	☐	**NO**	☐

Where research activity is carried out in collaboration with an external organisation

Does this organisation have its own ethics approval system?	**YES**	☐	**NO**	☐
If Yes, please attach a copy of any final approval (or interim approval) from the organisation				

SECTION E: Details of Research Activity

Indicative title:			
Proposed start date:		Proposed end date:	

Introduction to the Research (maximum 300 words)

Ensure that you write for a <u>Non-Specialist Audience</u> when outlining your response to the three points below:

- *Purpose of Research Activity*
- *Proposed Research Question*
- *Aims of Research Activity*
- *Objectives of Research Activity*

Demonstrate, briefly, how **<u>Existing Research</u>** has informed the proposed activity and explain

- *What the research activity will add to the body of knowledge*
- *How it addresses an area of importance.*

Purpose of Research Activity

(this box should expand as you type)

Research Question

(this box should expand as you type)

Aims of Research Activity

(this box should expand as you type)

Objectives of Research Activity

(this box should expand as you type)

Proposed methods (maximum 600 words)

Provide a brief summary of all the methods that **may** be used in the research activity, making it clear what specific techniques may be used. If methods other than those listed in this section are deemed appropriate later, additional ethical approval for those methods will be needed.

(this box should expand as you type)

Location of research activity Identify all locations where research activity will take place.
(this box should expand as you type)
Research activity outside of the UK If research activity will take place overseas, you are responsible for ensuring that local ethical considerations are complied with and that the relevant permissions are sought. Specify any local guidelines (e.g. from local professional associations/learned societies/universities) that exist and whether these involve any ethical stipulations beyond those usual in the UK (provide details of any licenses or permissions required). Also specify whether there are any specific ethical issues raised by the local context in which the research activity is taking place, for example, particular cultural and/or legal sensitivities or vulnerabilities of participants.
(this box should expand as you type)

Use of documentation not in the public domain: Are any documents **NOT** publicly available?	**NO**	☐
	YES	☐
If Yes, please provide details here of how you will gain access to specific documentation that is not in the public domain and that this is in accordance with prevailing data protection law of the country in question and England and Wales. *(this box should expand as you type)*		

SECTION F: Scope of Research Activity

Will the research activity include:	**YES**	**NO**
Use of a questionnaire or similar research instrument?	☐	☐
Use of interviews?	☐	☐
Use of diaries?	☐	☐
Participant observation with their knowledge?	☐	☐
Participant observation without their knowledge?	☐	☐
Use of video or audio recording?	☐	☐
Access to personal or confidential information without the participants' specific consent?	☐	☐
Administration of any questions, test stimuli, presentation that may be experienced as physically, mentally or emotionally harmful / offensive?	☐	☐
Performance of any acts which may cause embarrassment or affect self-esteem?	☐	☐
Investigation of participants involved in illegal activities?	☐	☐
Use of procedures that involve deception?	☐	☐
Administration of any substance, agent or placebo?	☐	☐
Working with live vertebrate animals?	☐	☐
Other primary data collection methods, please explain in this box For example, 'focus groups'. Please indicate the type of data collection method(s) in this box and tick the accompany box.		
Details of any other primary data collection method: (this box should expand as you type)	☐	☐

If NO to every question, then the research activity is (ethically) low risk and **may** be exempt from **some** of the following sections (please refer to Guidance Notes).

If YES to any question, then no research activity should be undertaken until full ethical approval has been obtained.

SECTION G: Intended Participants

Who are the intended participants:	**YES**	**NO**
Students or staff at the University?	☐	☐
Adults (over the age of 18 and competent to give consent)?	☐	☐
Vulnerable adults?	☐	☐
Children and Young People under the age of 18? (Consent from Parent, Carer or Guardian will be required)	☐	☐
Prisoners?	☐	☐
Young offenders?	☐	☐
Those who could be considered to have a particularly dependent relationship with the investigator or a gatekeeper?	☐	☐
People engaged in illegal activities?	☐	☐
Others (please identify specifically any group who may be unable to give consent) please indicate here and tick the appropriate box.		
Other – please indicate here: (this box should expand as you type)	☐	☐

Participant numbers and source Provide an estimate of the expected number of participants. How will you identify participants and how will they be recruited?	
How many participants are expected?	*(this box should expand as you type)*
Who will the participants be?	*(this box should expand as you type)*
How will you identify the participants?	*(this box should expand as you type)*

Information for participants:	**YES**	**NO**	**N/A**
Will you describe the main research procedures to participants in advance, so that they are informed about what to expect?	☐	☐	☐
Will you tell participants that their participation is voluntary?	☐	☐	☐
Will you obtain written consent for participation?	☐	☐	☐
Will you explain to participants that refusal to participate in the research will not affect their treatment or education (if relevant)?	☐	☐	☐
If the research is observational, will you ask participants for their consent to being observed?	☐	☐	☐
Will you tell participants that they may withdraw from the research at any time and for any reason?	☐	☐	☐
With questionnaires, will you give participants the option of omitting questions they do not want to answer?	☐	☐	☐
Will you tell participants that their data will be treated with full confidentiality and that, if published, it will not be identifiable as theirs?	☐	☐	☐
Will you debrief participants at the end of their participation, in a way appropriate to the type of research undertaken?	☐	☐	☐
If NO to any of above questions, please give an explanation			
(this box should expand as you type)			

Information for participants:	**YES**	**NO**	**N/A**
Will participants be paid?	☐	☐	☐
Is specialist electrical or other equipment to be used with participants?	☐	☐	☐
Are there any financial or other interests to the investigator or University arising from this study?	☐	☐	☐
Will the research activity involve deliberately misleading participants in any way, or the partial or full concealment of the specific study aims?	☐	☐	☐
If YES to any question, please provide full details			
(this box should expand as you type)			

SECTION H: Anticipated Risks

Outline any anticipated risks that may adversely affect any of the participants, the researchers and/or the University, and the steps that will be taken to address them. If you have completed a full risk assessment (for example as required by a laboratory, or external research collaborator) you may append that to this form.		
Full risk assessment completed and appended?	**Yes**	☐
	No	☐
Risks to participants For example: emotional distress, financial disclosure, physical harm, transfer of personal data, sensitive organisational information		
Risk to Participant: *(this box should expand as you type)*	*How will you mitigate the Risk to Participant* *(this box should expand as you type)*	
If research activity may include sensitive, embarrassing or upsetting topics (e.g. sexual activity, drug use) or issues likely to disclose information requiring further action (e.g. criminal activity), give details of the procedures to deal with these issues, including any support/advice (e.g. helpline numbers) to be offered to participants. Note that where applicable, consent procedures should make it clear that if something potentially or actually illegal is discovered in the course of a project, it may need to be disclosed to the proper authorities		
(this box should expand as you type)		
Risks to investigator For example: personal safety, physical harm, emotional distress, risk of accusation of harm/impropriety, conflict of interest		
Risk to Investigator: *(this box should expand as you type)*	*How will you mitigate the Risk to Investigator:* *(this box should expand as you type)*	
University/institutional risks For example: adverse publicity, financial loss, data protection		
Risk to University: *(this box should expand as you type)*	*How will you mitigate the Risk to University:* *(this box should expand as you type)*	

Disclosure and Barring Service			
If the research activity involves children or vulnerable adults, a Disclosure and Barring Service (DBS) certificate must be obtained before any contact with such participants.	**YES**	**NO**	**N/A**
Does your research require you to hold a current DBS Certificate?	☐	☐	☐

SECTION I: Feedback, Consent and Confidentiality

Feedback What de-briefing and feedback will be provided to participants, how will this be done and when?
(this box should expand as you type)
Informed consent Describe the arrangements to inform potential participants, before providing consent, of what is involved in participating. Describe the arrangements for participants to provide full consent before data collection begins. If gaining consent in this way is inappropriate, explain how consent will be obtained and recorded in accordance with prevailing data protection legislation.
(this box should expand as you type)
Confidentiality / Anonymity Set out how anonymity of participants and confidentiality will be ensured in any outputs. If anonymity is not being offered, explain why this is the case.
(this box should expand as you type)

SECTION J: Data Protection and Storage

In completing this section refer to the University's Research Data Management Policy and the extensive resources on the University's Research Data Management web pages (http://uwtsd.ac.uk/library/research-data-management/).

Does the research activity involve personal data (as defined by the General Data Protection Regulation 2016 "GDPR" and the Data Protection Act 2018 "DPA")?	**YES**	**NO**
"Personal data" *means any information relating to an identified or identifiable natural person ('data subject'). An identifiable natural person is one who can be identified, directly or indirectly, in particular by reference to an identifier such as a name, an identification number, location data, an online identifier or to one or more factors specific to the physical, physiological, genetic, mental, economic, cultural or social identity of that natural person.*	☐	☐
If YES, provide a description of the data and explain why this data needs to be collected:		
(this box should expand as you type)		
Does it involve special category data (as defined by the GDPR)?	**YES**	**NO**
"Special category data" *means sensitive personal data consisting of information as to the data subjects' –* *(a) racial or ethnic origin,* *(b) political opinions,* *(c) religious beliefs or other beliefs of a similar nature,* *(d) membership of a trade union (within the meaning of the Trade Union and Labour Relations (Consolidation) Act 1992),* *(e) physical or mental health or condition,* *(f) sexual life,* *(g) genetics,* *(h) biometric data (as used for ID purposes),*	☐	☐
If YES, provide a description of the special category data and explain why this data needs to be collected:		
(this box should expand as you type)		
Will the research activity involve storing personal data and/or special category data on one of the following:	**YES**	**NO**
Manual files (i.e. in paper form)?	☐	☐
University computers?	☐	☐
Private company computers?	☐	☐
Home or other personal computers?	☐	☐
Laptop computers/ CDs/ Portable disk-drives/ memory sticks?	☐	☐
"Cloud" storage or websites?	☐	☐
Other – specify:	☐	☐

For all stored data, explain the measures in place to ensure the security of the data collected, data confidentiality, including details of password protection, encryption, anonymisation and pseudonymisation:		
(this box should expand as you type)		
All Data Storage		
Will the research activity involve any of the following activities:	**YES**	**NO**
Electronic transfer of data in any form?	☐	☐
Sharing of data with others at the University?	☐	☐
Sharing of data with other organisations?	☐	☐
Export of data outside the European Union or importing of data from outside the UK?	☐	☐
Use of personal addresses, postcodes, faxes, emails or telephone numbers?	☐	☐
Publication of data that might allow identification of individuals?	☐	☐
Use of data management system?	☐	☐
Data archiving?	☐	☐
If YES to any question, please provide full details, explaining how this will be conducted in accordance with the GDPR and DPA (and/or any international equivalent):		
(this box should expand as you type)		
List all who will have access to the data generated by the research activity:		
(this box should expand as you type)		
List who will have control of, and act as custodian(s) for, data generated by the research activity:		
(this box should expand as you type)		
Give details of data storage arrangements, including security measures in place to protect the data, where data will be stored, how long for, and in what form. Will data be archived – if so how and if not why not.		
(this box should expand as you type)		
Please indicate if your data will be stored in the UWTSD Research Data Repository (see https://researchdata.uwtsd.ac.uk/). If so please explain. (*Most relevant to academic staff)*		
(this box should expand as you type)		
Confirm that you have read the UWTSD guidance on data management (see https://www.uwtsd.ac.uk/library/research-data-management/)	**YES**	☐
	NO	☐
Confirm that you are aware that you need to keep all data until after your research has completed or the end of your funding	**YES**	☐
	NO	☐

SECTION K: Declaration

The information which I have provided is correct and complete to the best of my knowledge. I have attempted to identify any risks and issues related to the research activity and acknowledge my obligations and the rights of the participants. In submitting this application I hereby confirm that I undertake to ensure that the above named research activity will meet the University's Research Ethics and Integrity Code of Practice which is published on the website: https://www.uwtsd.ac.uk/research/research-ethics/		
Signature of applicant:		**Date:**

For STUDENT Submissions:

Director of Studies/Supervisor:		**Date:**
Signature:		

For STAFF Submissions:

Academic Director/ Assistant Dean:		**Date:**
Signature:		

Checklist: Please complete the checklist below to ensure that you have completed the form according to the guidelines and attached any required documentation:

☐	I have read the guidance notes supplied before completing the form.
☐	I have completed **ALL RELEVANT** sections of the form in full.
☐	I confirm that the research activity has received approval in principle
☐	I have attached a copy of final/interim approval from external organisation (**where appropriate**)
☐	I have attached a full risk assessment (and have NOT completed Section H of this form) (where appropriate) *ONLY TICK IF YOU HAVE* ***ATTACHED A FULL RISK ASSESSMENT***
☐	I understand that it is my responsibility to ensure that the above named research activity will meet the University's Research Ethics and Integrity Code of Practice.
☐	I understand that before commencing data collection all documents aimed at respondents (including information sheets, consent forms, questionnaires, interview schedules etc.) must be confirmed by the DoS/Supervisor, module tutor or Academic Director.
☐	I have deleted the guidance notes before submitting the PG2 for consideration

RESEARCH STUDENTS AND STAFF ONLY
All communications relating to this application during its processing must be in writing and emailed to pgresearch@uwtsd.ac.uk , with the title 'Ethical Approval' followed by your name.
You will be informed of the outcome of your claim by email; therefore it is important that you check your University and personal email accounts regularly.

STUDENTS ON UNDERGRADUATE OR TAUGHT MASTERS PROGRAMMES should submit this form (and receive the outcome) via systems explained to you by the supervisor/module leader.

This form is available electronically from the Academic Office web pages:
https://www.uwtsd.ac.uk/academic-office/appendices-and-forms/

Application Process

All staff research projects and all research students must submit the Ethical Approval Form to the **University Research Ethics Committee** via the Academic Office (pgresearch@uwtsd.ac.uk). Staff research directly in relation to personal study for taught undergraduate or Masters programmes should be submitted via the Institute procedures explained below.

Taught masters and taught undergraduate research Ethical Approval Forms are considered **within Institutes.** Institutes will provide details of the specific processes for this. Where the Ethical issues within any single ethical application are of particular concern the Institute will refer these to the University Research Ethics Committee. Any student activity that involves the collection of primary data needs to undergo Ethical approval, this includes assignment work as well as dissertations.

Notes for guidance in completion of this form

Section A: About You
Please complete all relevant sections

Section B: Approval for research activity
Research proposals must be approved in principle before applying for Ethical Approval. The proposal approval only becomes final when the ethical approval is received.

The process for proposal approval varies according the individual and programme of study:

- Research students, by application on form PG1 to the Research Degrees Committee
- Taught students by review of research proposal within Institutes (Institutes provide specific details of these processes)
- Staff, by agreement by the Academic Director/Assistant Dean

Section C: External Ethical Guidance materials
Many discipline areas are required to operate with the discipline specific codes of research ethics (for example health, psychology, education etc.), any such codes must be listed and you must tick to confirm that you have consulted with these.

Section D: External Collaborative Research Activity
Provide details of the external collaborative partners, where appropriate you might want to submit a copy of the external collaboration agreement with the Ethical Approval Form. If the partner requires the research to be subject to its own internal Ethical approval process then please provide details of that process and a copy of any final (or interim) approvals received from the organisation.

Section E: Details of Research Activity
Remember that the individuals reviewing this Ethical Approval Form may not have seen your research proposal, and also may not be experts in the specific area of your research. The information provided should therefore be jargon free and clearly stated.
Indicative Title: please use the same title as used on the research proposal.

Purpose: the Ethical approval process will want to ensure that the methods you propose are adequate and appropriate to address the research aims and objectives. Excessive additional data collection can be seen as unethical.
Proposed Methods: the Ethical approval process seeks to ensure that you understand the methods that are intended, and that the implementation of those methods will be appropriate and without unnecessary impact on respondents. This section must explain how the methods described will lead to the collection of necessary and sufficient data, but not excessive data. Please be specific.
Location: this needs to mention geographical location and also local situation (for example, within Local Authority Offices in Cardiff, using a private room but close to other individuals). If you are collecting data within an organisational setting then you need to explain the permissions that you have obtained to do this.
Research Activity outside of the UK: please complete this section in detail, and note any guidance you have received. Also describe your own familiarity (or not) with the location that you will be utilising.

Section F: Scope of Research Activity
Please tick ALL of the research activities that might be undertaken. If any additional types of activity are intended then please add an extra box and describe these.
If you have answered no to all questions in F then sections G and J do not need to be completed. Section H should be considered, and may be completed. Signatures are still required in section K.

Section G: Intended Participants
Please tick all categories that might apply.
Numbers & Source: if you are using a series of different methods or research activities please list numbers for each stage/phase. Be clear about how you will find respondents. Will you use intermediaries, and if so how? How will you ensure compliance with your sampling strategy?
Information for participants: all participants should be appropriately informed about the research, what is expected of them and what will happen to the information that they provide. The Ethical review process does not ask to see this documentation, but requires this to be reviewed and approved by the Director of Studies in the case of research students, the supervisor/module tutor in relation to students on taught programmes and the Academic Director/Assistant Dean in relation to staff research.

Section H: Anticipate Risks
All research carries some level of risk. The answers you provide to questions in this section will be reviewed to ensure that you have an appropriate understanding of the type of risks involved and how you can mitigate against these risks. If you have completed a full risk assessment, as required for example for laboratory work, field work, clinical tests, diving operations, or by a collaborative partner, you may append that to this form. In that case, please tick the box indicating this has been provided. You will not then be required to complete Section H.
Risk to participants Think very carefully about how your actions/questions/discussions might affect the people you are involving as participants. You might identify the risk as small but it would still be a risk. Many types of question have the potential to make respondents less content with their life / job; you need to recognise and try to ameliorate any such effects
If these are business owners, time with you may reduce profit.
In some locations physical risk is very real to both participants and yourself, please consider this.
Risk to you, the researcher Think about where you will meet people, if there are any dangers involved in the location. If you are meeting people as individuals think about using a public place. In general do not visit people in their own homes or remote locations. If you are talking to individuals about certain issues think about how their responses might affect you emotionally. What about the risk of collecting insufficient data?
Risk to the University When undertaking your research, you are acting as a member of the University (student or staff). Professionalism is important, so it is important to be well organised and well prepared. Punctuality, clarity etc. are all part of this. What will you do to ensure this? You must ensure you do not harm the good name of the University in any way and do nothing to undermine the reputation of the research it conducts and sponsors. Upholding high standards of conduct and integrity are vital in this regard. You must also conduct the research in such a way to minimise the potential for claims of negligence made against the University, its researchers and any collaborating individual or organisation. In this respect you should always comply with ethical, legal and professional frameworks, obligations and standards as required by statutory and regulatory authorities, as well as the university's Research Integrity and Ethics Code of Practice. Research misconduct in this respect can take many forms, including:

- fabrication: making up results or other outputs (eg, artefacts) and presenting them as if they were real
- falsification: manipulating research processes or changing or omitting data without good cause
- plagiarism: using other people's material without giving proper credit
- failure to meet ethical, legal and professional obligations: for example failure to declare competing interests; misrepresentation of involvement or authorship; misrepresentation of interests; breach of confidentiality; lack of informed consent; misuse of personal data; and abuse of research subjects or material
- improper dealing with allegations of misconduct: failing to address possible infringements such as attempts to cover up misconduct and reprisals against whistle-blowers

Adverse Outcomes. Think carefully about the possibilities, and cover here

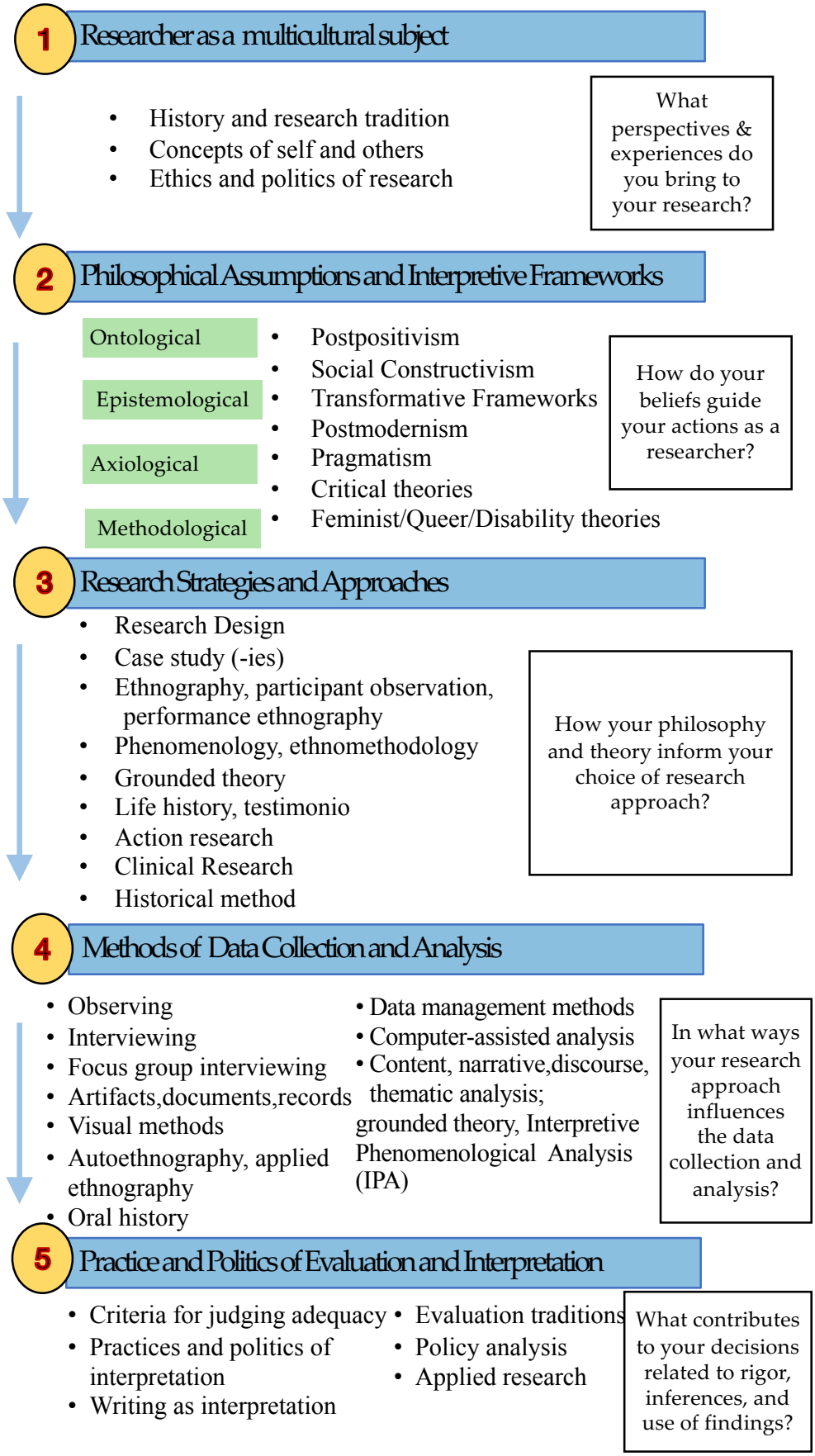
Section I: Feedback, Consent and Confidentiality
Feedback to participants: outline your approach. Will interview transcripts be shared with respondents to check accuracy? Will summaries of questionnaire analysis be made available to respondents in some way? Will an overview report be provided? How and when?
Informed consent: Draft letter / e-mail / or heading (or footer) section of questionnaire must be approved by DoS/supervisor (if research student), supervisor/module tutor if taught student, or Academic Director / Assistant Dean if a member of staff.
Confidentiality/Anonymity. Explain clearly how you will ensure confidentiality and anonymity.

Section J: Data Protection and Storage
Before completing this section it is necessary to read the University's Research Data Management information. The questions that follow are designed to ensure compliance with the Data Protection Act as well as established research protocols.

Many research activities will involve electronic transfer of data and use of data management systems in the summarisation and analysis of data. You will need to explain these in relation to compliance with the Data Protection Act.
Think carefully about who will have access to your data, this will include supervisors and examiners. Also that a thesis will be made available via the University library and the British Library system. If you are seeking an access bar for a period of time after completion then mention it here. If you will provide a copy of your findings, or intend to give a presentation, to a facilitating/ supporting/accessing organisation then explain that in this section. But also think about the general principle of data sharing, as explained in the Research Data Management information.
In terms of storage of data please ensure security, and also mitigate against loss of data.

Section K: Declaration
Ensure the appropriate countersignatures have been provided
Look carefully at the checklist and ensure that you comply with and tick all that are relevant to your research.

Fig. 2.1 Situating Philosophy and Interpretive Frameworks within the Research Process



Qualitative Research Proposals: Four examples

*These four examples speak only to designing a plan or proposal for a qualitative study. In addition to the topics of these proposal formats, the complete study will include additional data findings, interpretations, and a discussion of the overall results, limitations of the study, and future research needs.

Example 1. A Qualitative Constructivist/Interpretivist Format (Creswell, 2009, pp. 74–75)

- Introduction
- Statement of the problem (including literature about the problem) Purpose of the study
- The research questions
- Delimitations and limitations
- Procedures
- Characteristics of qualitative research and philosophical assumptions/interpretive frameworks (optional)
- Qualitative research approach used
- Role of the researcher
- Data collection procedures
- Data analysis procedures
- Strategies for validating findings
- Narrative structure
  Anticipated ethical issues
- Significance of the study
- Preliminary pilot findings
- Expected outcomes
- Appendices: Interview questions, observational forms, timeline, and proposed budget

Example 2. A Qualitative Transformative Format (Creswell, 2009, pp. 75–76)

- Introduction
- Statement of the problem (including literature about the problem)
- The transformative/participatory issue
- Purpose of the study
- The research questions
- Delimitations and limitations procedures
- Characteristics of qualitative research and philosophical assumptions (optional)
- Qualitative research approach
- Role of the researcher
- Data collection procedures (including the collaborative approaches used and sensitivity toward participants)
- Data recording procedures
- Data analysis procedures
- Strategies for validating findings
- Narrative structure of study
- Anticipated ethical issues
- Significance of the study
- Preliminary pilot findings
- Expected transformative changes
- Appendices: Interview questions, observational forms, timeline, and proposed budget

Example 3. A Theoretical/Interpretive Lens Format (Marshall & Rossman, 2010, p. 58)

- Introduction
- Overview
- Topic and purpose
- Significance for knowledge, practice, policy, action
- Framework and general research questions
- Limitations
- Literature review
- Theoretical traditions and current thoughts for framing the question
- Review and critique of related empirical research
- Essays and opinions of experts
- Design and methodology
- Overall approach and rationale
- Site or population selection and sampling strategies
- Access, role, reciprocity, trust, rapport
- Personal biography
- Ethical and political considerations
- Data collection methods
- Data analysis procedures
- Procedures to address trustworthiness and credibility
- Appendices (entry letters, data collection and management details, sampling strategies, timelines, budget, notes from pilot studies)

Example 4. **Maxwell's Nine Arguments for a Qualitative Proposal (2005)**

1. We need to better understand ... (the topic)
2. We know little about ... (the topic)
3. I propose to study ... (purpose)
4. The setting and participants are appropriate for this study ... (data collection)
5. The methods I plan to use will provide the data I need to answer the research questions ... (data collection)
6. Analysis will generate answers to these questions ... (analysis)
7. The findings will be validated by ... (validation)
8. The study poses no serious ethical problems ... (ethics)
9. Preliminary results support the practicability and value of the study ... (pilot project)

Table 4.1 Contrasting Foundational Considerations of Five Qualitative Approaches

Foundational Considerations	Narrative Research	Phenomenology	Grounded Theory	Ethnography	Case Study
Research focus of approach	Exploring the life of an individual	Understanding the essence of the experience	Developing a theory grounded in data from the field	Describing and interpreting a culture-sharing group	Developing an in-depth description and analysis of a case or multiple cases
Unit of analysis	Studying one or more individuals	Studying several individuals who have shared the experience	Studying a process, an action, or an interaction involving many individuals	Studying a group that shares the same culture	Studying an event, a program, an activity, or more than one individual
Type of research problem best suited for approach	Needing to tell stories of individual experiences	Needing to describe the essence of a lived phenomenon	Grounding a theory in the views of participants	Describing and interpreting the shared patterns of culture of a group	Providing an in-depth understanding of a case or cases
Nature of disciplinary origins	Drawing from the humanities including anthropology, literature, history, psychology, and sociology	Drawing from philosophy, psychology, and education	Drawing from sociology	Drawing from anthropology and sociology	Drawing from psychology, law, political science, and medicine

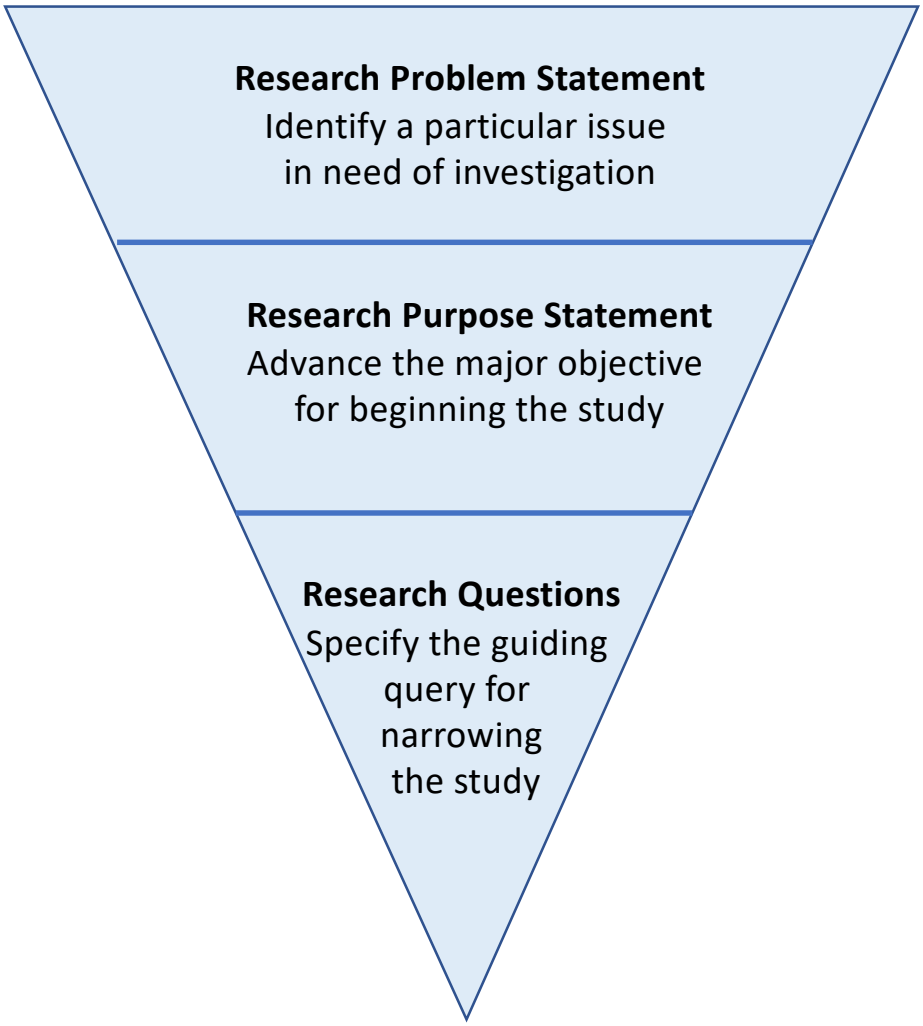
Source: Creswell and Poth (2018)

Table 4.3 Contrasting Research Reporting of Five Qualitative Approaches

Research Reporting	Narrative Research	Phenomenology	Grounded Theory	Ethnography	Case Study
Introduction of written report	Focusing on participant(s) and nature of the story	Focusing on explaining the phenomenon	Focusing on the process (or action) that the theory is intended to explain	Focusing on the culture-sharing group being studied	Using entry vignette and then focusing on central features of the case
Description of research procedures	Stating the rationale, significance of individual to experiences, and data procedures	Stating the rationale, philosophical assumptions, and data procedures	Stating the rationale and data procedures	Stating the rationale, type, and data procedures	Stating the rationale, type, and data procedures
Organization of research outcomes	Telling stories using a variety of ways involving restorying, theorizing, and narrative segments	Reporting how the phenomenon was experienced using significant statements and discussing meaning of themes	Developing theory involving open coding categories, axial coding, selective coding, theoretical propositions, and a model	Describing the culture and analyzing patterns of cultural themes with verbatim quotes	Providing first extensive description of the case followed by key issues (themes or issues) in the case
Concluding format	Interpreting patterns of meaning	Describing the "essence" of the experience	Advancing a theory and	Describing how a culture-sharing group works using a cultural	Making case study assertions and advancing a closing vignette

Source: Creswell and Poth (2018), p. 166

Figure 6.1 Interrelating Study Research Problem, Purpose, and Questions



Creswell and Poth (2018), p. 195.

Fig. 6.2 Sample Research Problem Statement (Introduction) to a Study

1 **Research topic**

Exploring the conceptions and misconceptions of teen smoking in secondary schools

2 **Discuss research problem**

Tobacco use is a leading cause of cancer in American society (Johnson, 2020, Smyth 2018; Duke, 2020). Although smoking among adults has declined in recent years, it has increased for adolescents. The Centre for Health Control (CHC) has reported that smoking among secondary school students had risen from 25.5 percent in 2010 to 27.3 percent in 2020 (CHC, 2020). Unless this trend is dramatically reversed, an estimated 5 million of our nation children will ultimately die a premature death due to smoking-related diseases (CHC, 2020).

3 **Summarise literature**

Previous research on adolescent tobacco use has focused on four primary topics. Several studies has examined the topic of smoking initiation, noting that tobacco use begins as early as junior secondary school (Johnson et al, 2020; Smyth ,2021). Other studies (Duke, 2020) have focused on the prevention of smoking and tobacco use in schools. This research has led to massive school-based prevention programs and interventions (Smyth et al., 2018). Fewer studies had examined the 'quit attempts" or cessation of smoking behaviour among adolescents (Harm, 2020)

4 **Point to deficiencies in evidence**

Minimal research attention has been directed towards the social context of secondary schools as a site for examining adolescent tobacco use. Often peers become a strong social influence, and belonging to an athletic team, music group, or a "grudge" crowds can impact thinking about smoking (McSmok, 2019). Schools are also placed where teachers and administrators need to be role models for abstaining from and enforcing policies about tobacco use (O'Hara, 2020). Existing studies on the tobacco use are primarily quantitative with a focus on outcomes and transtheoretical models (Duke, et al., 2020). However, qualitative investigations provide detailed views of students in their own words, complex analysis of multiple perspectives, and specific school contexts that shape students' experiences with tobacco (Smyth, in press). Moreover qualitative study offers the opportunity to involve secondary school students as co-researchers, a data collection procedure that enhances the trustworthiness of students' views uncontaminated by adult perspectives

5 **Argue importance of study for audiences**

By examining these multiple school contexts, using qualitative approaches and involving secondary students as co-researchers, we can better understand the conceptions and misconceptions help about tobacco use in secondary schools. With this understanding, researchers can better isolate variables and develop models about smoking behaviour. Administrators and teachers can plan interventions to prevent and change smoking.

Handout HKMA7003

Examples of purpose statements

The _____study describes and analyses the process of eliciting the life history of a man with a DBA degree in Hong Kong.

The _____story describes the aftermath of the super-typhoon as my family and friends in Hong Kong, the town where I was born and lived, react to and cope with the unanticipated consequences of this natural disaster.

The present _____study is designed to explore the beliefs, perceptions, and needs that current young teachers and teachers-to-be have regarding their role as a leader of the curriculum design group in Hong Kong secondary schools.

The purpose of this _____study is to explore what meaning refugees ascribe to their experiences of waiting for the rite-to-enter at the major refugee boarder centre in Myanmar.

The purpose of this _____study is to understand the processes a person experiences in creating a leadership identity in a small private banking setting of Hong Kong.

The purpose of this _____study is to explore how women maintain their health in geographical, social, political, economic, and historical contexts.

This _____ study examines how the 'work and talk' of Hong Kong bartenders reinforce certain meanings of coffee drinking in society and it reveals how the 'work and talk' create and maintain a 'coffee drinking' culture.

This _____ study aims to fill a gap in the literature by giving an empirical account of the K-pop group movement centered on a description of the group's core values.

The purpose of this _____study is to describe the ways in which three urban elementary schools, in partnership with a local, publicly funded multipurpose university, used a similar array of material and human resources to improve their integration of technology.

The _____study presented in this proposal is a qualitative case analysis that describes and interprets a campus response to a green roof-top construction incident.

Handout HKBM7003

"Turning the Story"

The Incident and Response

The incident occurred on the campus of a large public university in a Midwestern city. A decade ago, this city had been designated an "all-American city," but more recently, its normally tranquil environment has been disturbed by an increasing number of assaults and homicides. Some of these violent incidents have involved students at the university.

The incident that provoked this study occurred on a Monday in October. A forty-three-year-old graduate student, enrolled in a senior-level actuarial science class, arrived a few minutes before class, armed with a vintage Korean War military semiautomatic rifle loaded with a thirty-round clip of thirty caliber ammunition. He carried another thirty-round clip in his pocket. Twenty of the thirty-four students in the class had already gathered for class, and most of them were quietly reading the student newspaper. The instructor was en route to class.

The gunman pointed the rifle at the students, swept it across the room, and pulled the trigger. The gun jammed. Trying to unlock the rifle, he hit the butt of it on the instructor's desk and quickly tried firing it again. Again it did not fire. By this time, most students realized what was happening and dropped to the floor, overturned their desks, and tried to hide behind them. After about twenty seconds, one of the students shoved a desk into the gunman, and students ran past him out into the hall and out of the building. The gunman hastily departed the room and went out of the building to his parked car, which he had left running. He was captured by police within the hour in a nearby small town, where he lived. Although he remains incarcerated at this time, awaiting trial, the motivations for his actions are unknown.

Campus police and campus administrators were the first to react to the incident. Campus police arrived within three minutes after they had received a telephone call for help. They spent several anxious minutes outside the building interviewing students to obtain an accurate description of the gunman. Campus administrators responded by calling a news conference for 4:00 P.M. the same day, approximately four hours after the incident. The police chief as well as the vice-chancellor of Student Affairs and two students described the incident at the news conference. That same afternoon, the Student Affairs office contacted Student Health and Employee Assistance Program (EAP) counselors and instructed them to be available for any students or staff requesting assistance. The Student Affairs office also arranged for a new location, where this class could meet for the rest of the semester. The Office of Judicial Affairs suspended the gunman from the university. The next day, the incident was discussed by campus administrators at a regularly scheduled campuswide cabinet meeting. Throughout the week, Student Affairs received several calls from students and from a faculty member about "disturbed" students or unsettling student relations. A counselor of the Employee Assistance Program consulted a psychologist with a specialty in dealing with trauma and responding to educational crises. Only one student immediately set up an appointment with the student health counselors. The campus and local newspapers continued to carry stories about the incident.

When the actuarial science class met for regularly scheduled classes two and four days later, the students and the instructor were visited by two county attorneys, the police chief, and two student mental health counselors who conducted "debriefing" sessions.

Adapted from Creswell and Poth, (2018), p. 374 -398

Handout HKBM7003

"Campus Response to a Student Gunman"

1. A Case Study

This qualitative case study (Asmussen & Creswell, 1995) presented a campus reaction to a gunman incident in which a student attempted to fire a gun at his classmates. The authors based the composition of this case study on the "substantive case report" format of Lincoln and Guba (1985) and Stake (1995). These formats called for an explication of the problem; a thorough description of the context or setting and the processes observed; a discussion of important themes; and, finally, "lessons to be learned" (Lincoln & Guba, 1985, p. 362). After introducing the case study with the problem of violence on college campuses, the authors turned to a detailed description of the setting and a chronology of events immediately following the incident and events during the following 2 weeks. Then they presented the important themes related to denial, fear, safety, retriggering, and campus planning. In a process of layering of themes, the authors combined the more specific themes into two overarching themes: an organizational theme and a psychological or social–psychological theme. Asmussen and Creswell (1995) gathered data through interviews with participants, observations, documents, and audiovisual materials. From the case emerges a proposed plan for campuses, and the case ends with an implied lesson for the specific Midwestern campus and a specific set of questions this campus or other campuses might use to design a plan for handling future campus terrorist incidents.

Turning to specific research questions in this case, the authors asked the following questions: What happened? Who was involved in response to the incident? What themes of response emerged during an 8-month period? What theoretical constructs helped us understand the campus response, and what constructs developed that were unique to this case? Asmussen and Creswell (1995) entered the field 2 days after the incident and did not use any a priori theoretical lens to guide our questions or the results. The narrative first described the incident, analyzed it through levels of abstraction, and provided some interpretation by relating the context to larger theoretical frameworks. The authors validated the case analysis by using multiple data sources for the themes and by checking the final account with select participants, or member checking.

Handout HKBM7003

"Confrontation of Brothers: Am Interpretive Biography of an African-American Professor"

2. A Narrative Study

How might we have approached this same general problem as an interpretive biographical study with a narrative approach? Rather than identifying responses from multiple campus constituents, we would have focused on one individual, such as the instructor of the class involved in the incident. We would have tentatively titled the project, "Confrontation of Brothers: An Interpretive Biography of an African American Professor." This instructor, like the gunman, was African American, and his response to such an incident might be situated within racial and cultural contexts. Hence, as an interpretive biographer, we might have asked the following research question: What are the life experiences of the African American instructor of the class, and how do these experiences form and shape his reaction to the incident? This biographical approach would have relied on studying a single individual and situating this individual within his historic background. We would have examined *life events* or "epiphanies" culled from stories he told me. Our approach would have been to "restory the stories" into an account of his experiences of the gunman that followed a chronology of events. We might have relied on the Clandinin and Connelly (2000) and Clandinin (2013) three-dimensional space model to organize the story into the personal, social, and interactional components. Alternatively, the story might have had a plot to tie it together, such as the theoretical perspective. This plot might have spoken to the issues of race, discrimination, and marginality and how these issues played out both within the African American culture and between Black culture and other cultures. These perspectives may have shaped how the instructor viewed the student gunman in the class. We also might have composed this report by discussing our own situated beliefs followed by those of the instructor and the changes he brought about as a result of his experiences. For instance, did he continue teaching? Did he talk with the class about his feelings? Did he see the situation as a confrontation within his racial group? For validation, our narrative story about this instructor would have contained a detailed description of the context to reveal the historical and interactional features of the experience (Denzin, 2001). We also would have acknowledged that any interpretation of the instructor's reaction would be incomplete, unfinished, and a rendering from our own perspectives as a non–African American and a non–African Canadian.

Handout HKBM7003

"The Meaning of Fear for Students Caught in a Near Tragedy on Campus"

3. A Phenomenology

Rather than study a single individual as in a biography, we would have studied several individual students and examined a psychological concept in the tradition of psychological phenomenology (Moustakas, 1994). Our working title might have been "The Meaning of Fear for Students Caught in a Near Tragedy on Campus." Our assumption would have been that students expressed this concept of fear during the incident, immediately after it, and several weeks later. We might have posed the following questions: What fear did the students experience, and how did they experience it? What meanings did they ascribe to this experience? As a phenomenologist, we assume that human experience makes sense to those who live it and that human experience can be consciously expressed (Dukes, 1984). Thus, we would bring to the study a phenomenon to explore (fear) and a philosophical orientation to use (we want to study the meaning of the students' experiences). We would have engaged in extensive interviews with up to 10 students, and we would have analyzed the interviews using the steps described by Moustakas (1994). We would have begun with a description of our own fears and experiences (*epoche*) with it as a means to position ourselves, recognizing that we could not completely remove ourselves from the situation. Then, after reading through all of the students' statements, we would have located significant statements or quotes about their meanings of fear. These significant statements would then be clustered into broader themes. Our final step would have been to write a long paragraph providing a narrative description of what they experienced (*textural description*) and how they experienced it (*structural description*) and combine these two descriptions into a longer description that conveys the *essence* of their experiences. This would be the endpoint for the discussion.

Handout HKBM7003

" A Grounded Theory Explanation of the Surreal Experiences for Students in a Campus Gunman Incident"

4. A Grounded Theory Study

If a theory needed to be developed (or modified) to explain the campus reaction to this incident, we would have used a grounded theory approach. For example, we might have developed a theory around a process—the "surreal" experiences of several students immediately following the incident, experiences resulting in actions and reactions by students. The draft title of our study might have been "A Grounded Theory Explanation of the Surreal Experiences for Students in a Campus Gunman Incident." We might have introduced the study with a specific quote about the surreal experiences:

> In the debriefing by counselors, one female student commented, "I thought the gunman would shoot out a little flag that would say 'bang.'" For her, the event was like a dream.

Our research questions might have been as follows: What theory explains the phenomenon of the "surreal" experiences of the students immediately following the incident? What were these experiences? What caused them? What strategies did the students use to cope with them? What were the consequences of their strategies? What specific interaction issues and larger conditions influenced their strategies? Consistent with a structured approach to grounded theory, we would not bring into the data collection and analysis a specific theoretical orientation other than to see how the students interact and respond to the incident. Instead, our intent would be to develop or generate a theory. In the results section of this study, I would have first identified the open coding categories that I found. Then, I would have described how we narrowed the study to a central category (e.g., the dream element of the process) and made that category the major feature of a theory of the process. This theory would have been presented as a *visual model,* and in the model we would have included *causal conditions* that influenced the central category, intervening and context factors surrounding it, and specific strategies and consequences (axial coding) as a result of it occurring. We would have advanced *theoretical propositions* or hypotheses that explained the dream element of the surreal experiences of the students (selective coding). We would have validated our account by judging the thoroughness of the research process and whether the findings are empirically grounded, two factors mentioned by Corbin and Strauss (1990, 2015).

Handout HKBM7003

" Getting Back to Normal: An Ethnography of a Campus Response to a Gunman Incident"

5. An Ethnography

In grounded theory, our focus was on generating a theory grounded in the data. In ethnography, we would turn the focus away from theory development to a description and understanding of the workings of the campus community as a *culture-sharing group*. To keep the study manageable, we might have begun by looking at how the incident, although unpredictable, triggered quite predictable responses among members of the campus community. These community members might have responded according to their roles, and thus we could have looked at some recognized campus microcultures. Students constituted one such microculture, and they, in turn, comprised a number of further microcultures or subcultures. Because the students in this class were together for 16 weeks during the semester, they had enough time to develop some shared patterns of behavior and could have been seen as a culture-sharing group. Alternatively, we might have studied the entire campus community, comprising a constellation of groups each reacting differently.

Assuming that the entire campus comprised the culture-sharing group, the title of the study might have been "Getting Back to Normal: An Ethnography of a Campus Response to a Gunman Incident." Notice how this title immediately invites a contrary perspective into the study. We would have asked the following questions: How did this incident produce predictable role performance within affected groups? Using the entire campus as a cultural system or culture-sharing group, in what roles did the individuals and groups participate? One possibility would be that they wanted to get the campus back to normal after the incident by engaging in predictable patterns of behavior. Although no one anticipated the exact moment or nature of the incident itself, its occurrence set in motion rather predictable role performances throughout the campus community. Administrators did not close the campus and start warning, "The sky is falling." Campus police did not offer counseling sessions, although the Counseling Center did. However, the Counseling Center served the student population, not others (who were marginalized), such as the police or groundskeepers, who also felt unsafe on the campus. In short, predictable performances by campus constituencies followed in the wake of this incident.

Indeed, campus administrators routinely held a news conference following the incident. Also, predictably, police carried out their investigation, and students ultimately and reluctantly contacted their parents. The campus slowly returned to normal—an attempt to return to day-to-day business, to a steady state, or to homeostasis, as the systems thinkers say. In these predictable role behaviors, one saw culture at work.

As we entered the field, we would seek to build rapport with the community participants, to not further marginalize them or disturb the environment more than necessary through our presence. It was a sensitive time on campus with people who had nerves on edge. We would have explored the cultural themes of the "organization of diversity" and "maintenance" activities of individuals and groups within the culture-sharing campus. Wallace (1970) defines the "organization of diversity" as "the actual diversity of habits, of motives, of personalities, of customs that do, in fact, coexist within the boundaries of any culturally organized society" (p. 23). Our data collection would have consisted of observations over time of predictable activities, behaviors, and roles in which people engaged that helped the campus return to normal. This data collection would depend heavily on interviews and observations of the classroom where the incident occurred and newspaper

accounts. Our ultimate narrative of the culture-sharing campus would be consistent with Wolcott's (1994) three parts: a detailed description of the campus, an analysis of the cultural themes of "organizational diversity" and maintenance (possibly with taxonomies or comparisons; Spradley, 1979, 1980), and interpretation. Our interpretation would be couched not in terms of a dispassionate, objective report of the facts, but rather within our own experiences of not feeling safe in a soup kitchen for the homeless (Miller, Creswell, & Olander, 1998) and our own personal life experiences of having grown up in "safe" small Midwestern towns. For an ending to the study, we might have used the "canoe into the sunset" approach (H. F. Wolcott, personal communication, November 15, 1996) or the more methodologically oriented ending of checking our account with participants. Here is the canoe into the sunset approach:

> The newsworthiness of the event will be long past before the ethnographic study is ready, but the event itself is of rather little consequence if the ethnographer's focus is on campus culture. Still, without such an event, the ethnographer working in his or her own society (and perhaps on his or her own campus as well) might have a difficult time "seeing" people performing in predictable everyday ways simply because that is the way in which we expect them to act. The ethnographer working "at home" has to find ways in which to make the familiar seem strange. An upsetting event can make ordinary role behavior easier to discern as people respond in predictable ways to unpredictable circumstances. Those predictable patterns are the stuff of culture.

Here is the more methodological ending:

> Some of our "facts" or hypotheses may need (and be amenable to) checking or testing if we have carried our analysis in that direction. If we have tried to be more interpretive, then perhaps we can "try out" the account on some of the people described, and the cautions and exceptions they express can be included in our final account to suggest that things are even more complex than the way we have presented them.

Creswell, J. and Poth, C. (2018). *Qualitative inquiry and research design: Choosing among five approaches,* (4th ed.), pp. 403-420. London: Sage.

Appendix A An Annotated Glossary of Terms

The definitions in this glossary represent key terms as they are used and defined in this book. Many definitions exist for these terms, but the most workable definitions for us (and we hope for the reader) are those that reflect the content and references presented in this book. We group the terms by approach to inquiry (narrative research, phenomenology, grounded theory, ethnography, case study) and alphabetize them within the approach, and at the end of the glossary, we define additional general qualitative terms that cross all of the five different approaches. In addition to the terms defined in this glossary, see also Given (2008) and Schwandt (2007).

Narrative Research

autobiography This form of biographical writing is the narrative account of a person's life that he or she has personally written or otherwise recorded (Angrosino, 1989a).

autoethnography This form of narrative is written and recorded by the individuals who are the subject of the study (Ellis, 2004; Muncey, 2010). Muncey (2010) defines *autoethnography* as the idea of multiple layers of consciousness, the vulnerable self, the coherent self, critiquing the self in social contexts, the subversion of dominant discourses, and the evocative potential.

biographical study This is the study of a single individual and his or her experiences as told to the researcher or as found in documents and archival materials (Denzin, 1989). We use the term to connote the broad genre of narrative writings that includes individual biographies, autobiographies, life histories, and oral histories.

chronology This is a common approach for undertaking a narrative form of writing in which the author presents the life in stages or steps according to the age of the individual (Clandinin & Connelly, 2000; Denzin, 1989).

epiphanies These are special events in an individual's life that represent turning points. They vary in their impact from minor to major epiphanies, and they may be positive or negative (Denzin, 1989).

historical contexts These are the contexts in which the researcher presents the life of the participant. The context may be the participant's family, society, or the historical, social, or political trends of the participant's times (Denzin, 1989).

life course stages These are stages in an individual's life or key events that become the focus for the biographer (Denzin, 1989).

life history This is a form of biographical writing in which the researcher reports an extensive record of a person's life as told to the researcher (see Geiger, 1986). Thus, the individual being studied is alive, and life as lived in the present is influenced by personal, institutional, and social histories. The investigator may use different disciplinary perspectives (Smith, 1994), such as the exploration of an individual's life as representative of a culture, as in an anthropological life history.

narrative research This is an approach to qualitative research that is both a product and a method. It is a study of stories or narrative or descriptions of a series of events that accounts for human experiences (Pinnegar & Daynes, 2007).

oral history In this biographical approach, the researcher gathers personal recollections of events and their causes and effects from an individual or several individuals. This information may be collected through tape recordings or through written works of individuals who have died or are still living. It often is limited to the distinctly "modern" sphere and to accessible people (Plummer, 1983).

progressive–regressive method This is an approach to writing a narrative in which the researcher begins with a key event in the participant's life and then works forward and backward from that event (Denzin, 1989).

restorying This is an approach in narrative data analysis in which the researchers retell the stories of individual experiences, and the new story typically has a beginning, a middle, and an ending

(Ollerenshaw & Creswell, 2002).

single individual This is the person studied in a narrative research. This person may be an individual with great distinction or an ordinary person. This person's life may be a lesser life, a great life, a thwarted life, a life cut short, or a life miraculous in its unapplauded achievement (Heilbrun, 1988).

stories These are aspects that surface during an interview in which the participant describes a situation, usually with a beginning, a middle, and an end, so that the researcher can capture a complete idea and integrate it, intact, into the qualitative narrative (Clandinin & Connelly, 2000; Czarniawska, 2004; Denzin, 1989; Riessman, 2008).

Phenomenology

clusters of meaning This is the third step in phenomenological data analysis, in which the researcher clusters the statements into themes or meaning units, removing overlapping and repetitive statements (Moustakas, 1994).

epoche, or bracketing This is the first step in "phenomenological reduction," the process of data analysis in which the researcher sets aside, as far as is humanly possible, all preconceived experiences to best understand the experiences of participants in the study (Moustakas, 1994).

essential, invariant structure (or essence) This is the goal of the phenomenologist, to reduce the textural (*what*) and structural (*how*) meanings of experiences to a brief description that typifies the experiences of all of the participants in a study. All individuals experience it; hence, it is invariant, and it is a reduction to the "essentials" of the experiences (Moustakas, 1994, van Manen, 2014).

hermeneutical phenomenology A form of phenomenology in which research is oriented toward interpreting the "texts" of life (hermeneutical) and lived experiences (van Manen, 1990).

horizonalization This is the second step in the phenomenological data analysis, in which the researcher lists every significant statement relevant to the topic and gives it equal value (Moustakas, 1994).

intentionality of consciousness Being conscious of objects always is intentional. Thus, when perceiving a tree, "my intentional experience is a combination of the outward appearance of the tree and the tree as contained in my consciousness based on memory, image, and meaning" (Moustakas, 1994, p. 55).

lived experiences This term is used in phenomenological studies to emphasize the importance of individual experiences of people as conscious human beings (Moustakakas: Giorgi (2009) Moustakas, 1994).

phenomenology of practice describes the "development and articulation of meaning-giving methods of phenomenology" which are based on what van Manen (2014) considers to be the practical examples from the primary literature of phenomenology.

phenomenological data analysis Several approaches to analyzing phenomenological data are represented in the literature. Moustakas (1994) reviews these approaches and then advances his own. We rely on the Moustakas modification that includes the researcher bringing personal experiences into the study, the recording of significant statements and meaning units, and the development of descriptions to arrive at the essence of the experiences. Giorgi (2009) advances a rigorous yet more open approach in his book.

phenomenological study This type of study describes the common meaning of experiences of a phenomenon (or topic or concept) for several individuals. In this type of qualitative study, the researcher reduces the experiences to a central meaning or the "essence" of the experience.

phenomenon This is the central concept being examined by the phenomenologist. It is the concept being experienced by subjects in a study, which may include psychological concepts such as grief, anger, or love.

philosophical perspectives Specific philosophical perspectives provide the foundation for phenomenological studies. They originated in the 1930s writings of Husserl. These perspectives include the investigator's conducting research with a broader perspective than that of traditional empirical,

quantitative science; suspending his or her own preconceptions of experiences; experiencing an object through his or her own senses (i.e., being conscious of an object) as well as seeing it "out there" as real; and reporting the meaning individuals ascribe to an experience in a few statements that capture the "essence" (Stewart & Mickunas, 1990).

phenomenological reflection According to van Manen (2014), this involves two processes of bracketing (withdrawal) and reduction (constitution of meaning)

structural description From the first three steps in phenomenological data analysis, the researcher writes a description of "how" the phenomenon was experienced by individuals in the study (Moustakas, 1994). The researcher writes a "structural" description of an experience, addressing *how* the phenomenon was experienced. It involves seeking all possible meanings, looking for divergent perspectives, and varying the frames of reference about the phenomenon or using imaginative variation (Moustakas, 1994).

textural description From the first three steps in phenomenological data analysis, the researcher writes about *what* was experienced, a description of the meaning individuals have experienced (Moustakas, 1994).

transcendental phenomenology According to Moustakas (1994), Husserl espoused transcendental phenomenology, and it later became a guiding concept for Moustakas as well. In this approach, the researcher sets aside prejudgments regarding the phenomenon being investigated. Also, the researcher relies on intuition, imagination, and universal structures to obtain a picture of the experience, and the inquirer uses systematic methods of analysis as advanced by Moustakas (1994).

Grounded Theory

axial coding This step in the coding process follows open coding. The researcher takes the categories of open coding, identifies one as a central phenomenon, and then returns to the database to identify (a) what caused this phenomenon to occur, (b) what strategies or actions actors employed in response to it, (c) what context (specific context) and intervening conditions (broad context) influenced the strategies, and (d) what consequences resulted from these strategies. The overall process is one of relating categories of information to the central phenomenon category (Strauss & Corbin, 1990, 1998).

category This is a unit of information analyzed in grounded theory research. It comprises events, happenings, and instances of phenomenon (Strauss & Corbin, 1990) and given a short label. When researchers analyze grounded theory data, their analysis leads, initially, to the formation of a number of categories during the process called open coding. Then, in axial coding, the analyst interrelates the categories and forms a visual model.

causal conditions In axial coding, these are the categories of conditions I identify in my database that cause or influence the central phenomenon to occur.

central phenomenon This is an aspect of axial coding and the formation of the visual theory, model, or paradigm. In open coding, the researcher chooses a central category around which to develop the theory by examining his or her open coding categories and selecting one that holds the most conceptual interest, is most frequently discussed by participants in the study, and is most "saturated" with information. The researcher then places it at the center of his or her grounded theory model and labels it *central phenomenon*.

coding paradigm or logic diagram In axial coding, the central phenomenon, causal conditions, context, intervening conditions, strategies, and consequences are portrayed in a visual diagram. This diagram is drawn with boxes and arrows indicating the process or flow of activities. It is helpful to view this diagram as more than axial coding; it is the theoretical model developed in a grounded theory study (see Harley et al., 2009).

conditional or consequential matrix This is a diagram, typically drawn late in a grounded theory study, that presents the conditions and consequences related to the phenomenon under study. It enables the researcher to both distinguish and link levels of conditions and consequences specified in the axial coding model (Strauss & Corbin, 1990). It is a step seldom seen in data analysis in grounded theory studies.

consequences In axial coding, these are the outcomes of strategies taken by participants in the study. These outcomes may be positive, negative, or neutral (Strauss & Corbin, 1990).

constant comparative This was an early term (Conrad, 1978) in grounded theory research that referred to the researcher identifying incidents, events, and activities and constantly comparing them to an emerging category to develop and saturate the category.

constructivist grounded theory This is a form of grounded theory squarely in the interpretive tradition of qualitative research. As such, it is less structured than traditional approaches to grounded theory. The constructivist approach incorporates the researcher's views; uncovers experiences with embedded, hidden

networks, situations, and relationships; and makes visible hierarchies of power, communication, and opportunity (Charmaz, 2006).

context In axial coding, this is the particular set of conditions within which the strategies occur (Strauss & Corbin, 1990). These are specific in nature and close to the actions and interactions.

dimensionalized This is the smallest unit of information analyzed in grounded theory research. The researcher takes the properties and places them on a continuum or dimensionalizes them to see the extreme possibilities for the property. The dimensionalized information appears in the "open coding" analysis (Strauss & Corbin, 1990).

discriminant sampling This is a form of sampling that occurs late in a grounded theory project after the researcher has developed a model. The question becomes this: How would the model hold if we gathered more information from people similar to those I initially interviewed? Thus, to verify the model, the researcher chooses sites, persons, and/or documents that "will maximize opportunities for verifying the story line, relationships between categories, and for filling in poorly developed categories" (Strauss & Corbin, 1990, p. 187).

generate or discover a theory Grounded theory research is the process of developing a theory, not testing a theory. Researchers might begin with a tentative theory they want to modify or no theory at all with the intent of "grounding" the study in views of participants. In either case, an inductive model of theory development is at work here, and the process is one of generating or discovering a theory grounded in views from participants in the field.

grounded theory study In this type of study, the researcher generates an abstract analytical schema of a phenomenon, a theory that explains some action, interaction, or process. This is accomplished primarily through collecting interview data, making multiple visits to the field (theoretical sampling), attempting to develop and interrelate categories (constant comparison) of information, and writing a substantive or context-specific theory (Strauss & Corbin, 1990).

in vivo codes In grounded theory research, the investigator uses the exact words of the interviewee to form the names for these codes or categories. The names are catchy and immediately draw the attention of the reader (Strauss & Corbin, 1990, p. 69).

intervening conditions In axial coding, these are the broader conditions—broader than the context—within which the strategies occur. They might be social, economic, and political forces that influence the strategies in response to the central phenomenon (Strauss & Corbin, 1990).

memoing This is the process in grounded theory research of the researcher writing down ideas about the evolving theory. The writing could be in the form of preliminary propositions (hypotheses), ideas about emerging categories, or some aspects of the connection of categories as in axial coding. In general, these are written records of analysis that help with the formulation of theory (Strauss & Corbin, 1990).

open coding This is the first step in the data analysis process for a grounded theorist. It involves taking data (e.g., interview transcriptions) and segmenting them into categories of information (Strauss & Corbin, 1990). I recommend that researchers try to develop a small number of categories, slowly reducing the number to approximately 30 codes that are then combined into major themes in the study.

properties These are other units of information analyzed in grounded theory research. Each category in grounded theory research can be subdivided into properties that provide the broad dimensions for the

category. Strauss and Corbin (1990) refer to them as "attributes or characteristics pertaining to a category" (p. 61). They appear in open coding analysis.

propositions These are hypotheses, typically written in a directional form, that relate categories in a study. They are written from the axial coding model or paradigm and might, for example, suggest why a certain cause influences the central phenomenon that, in turn, influences the use of a specific strategy.

saturate, saturated, or saturation In the development of categories and data analysis phase of grounded theory research, researchers seek to find as many incidents, events, or activities as possible to provide support for the categories. In this process, they come to a point at which the categories are saturated, and the inquirer no longer finds new information that adds to an understanding of the category.

selective coding This is the final phase of coding the information. The researcher takes the central phenomenon and systematically relates it to other categories, validating the relationships and filling in categories that need further refinement and development (Strauss & Corbin, 1990). I like to develop a "story" that narrates these categories and shows their interrelationship (see Creswell & Brown, 1992).

strategies In axial coding, these are the specific actions or interactions that occur as a result of the central phenomenon (Strauss & Corbin, 1990).

substantive-level theory This is a low-level theory that is applicable to immediate situations. This theory evolves from the study of a phenomenon situated in "one particular situational context" (Strauss & Corbin, 1990, p. 174). Researchers differentiate this form of theory from theories of greater abstraction and applicability, called midlevel theories, grand theories, or formal theories.

theoretical sampling In data collection for grounded theory research, the investigator selects a sample of individuals to study based on their contribution to the development of the theory. Often, this process begins with a homogeneous sample of individuals who are similar, and as the data collection proceeds and the categories emerge, the researcher turns to a heterogeneous sample to see under what sample conditions the categories hold true.

Ethnography

analysis of the culture-sharing group In this step in ethnography, the ethnographer develops themes—cultural themes—in the data analysis. It is a process of reviewing all of the data and segmenting them into a small set of common themes, well supported by evidence in the data (Wolcott, 1994).
artifacts This is the focus of attention for the ethnographer as he or she determines what people make and use, such as clothes and tools (cultural artifacts; Spradley, 1980).
behaviors These are the focus of attention for the ethnographer as he or she attempts to understand what people do (cultural behavior; Spradley, 1980).
complete observer The researcher is neither seen nor noticed by the people under study.
complete participant The researcher is fully engaged with the people he or she is observing. This may help him or her establish greater rapport with the people being observed (Angrosino, 2007).
critical ethnography This type of ethnography examines cultural systems of power, prestige, privilege, and authority in society. Critical ethnographers study marginalized groups from different classes, races, and genders, with an aim of advocating for the needs of these participants (Madison, 2011; Thomas, 1993).
cultural portrait One key component of ethnographic research is composing a holistic view of the culture-sharing group or individual. The final product of an ethnography should be this larger portrait, or overview of the cultural scene, presented in all of its complexity (Spradley, 1979).
culture This term is an abstraction, something that one cannot study directly. From observing and participating in a culture-sharing group, an ethnographer can see "culture at work" and provide a description and interpretation of it (H. F. Wolcott, personal communication, October 10, 1996; Wolcott, 2010). It can be seen in behaviors, language, and artifacts (Spradley, 1980).
culture-sharing group This is the unit of analysis for the ethnographer as he or she attempts to understand and interpret the behavior, language, and artifacts of people. The ethnographer typically focuses on an entire group—one that shares learned, acquired behaviors—to make explicit how the group "works." Some ethnographers will focus on part of the social-cultural system for analysis and engage in a microethnography.
deception This is a field issue that has become less and less of a problem since the ethical standards were published in 1967 by the American Anthropological Association. It relates to the act of the researcher intentionally deceiving the informants to gain information. This deception may involve masking the purpose of the research, withholding important information about the purpose of the study, or gathering information secretively.
description of the culture-sharing group One of the first tasks of an ethnographer is to simply record a description of the culture-sharing group and incidents and activities that illustrate the culture (Wolcott, 1994). For example, a factual account may be rendered, pictures of the setting may be drawn, or events may be chronicled.
emic This term refers to the type of information being reported and written into an ethnography when the researcher reports the views of the participants. When the researcher reports his or her own personal views, the term used is *etic* (Fetterman, 2010).

ethnography This is the study of an intact cultural or social group (or an individual or individuals within the group) based primarily on observations and a prolonged period of time spent by the researcher in the field. The ethnographer listens and records the voices of informants with the intent of generating a cultural portrait (Thomas, 1993; Wolcott, 1987).

etic This term refers to the type of information being reported and written into an ethnography when the researcher reports his or her own personal views. When the researcher reports the views of the participants, the term used is *emic* (Fetterman, 2010).

fieldwork In ethnographic data collection, the researcher conducts data gathering in the "field" by going to the site or sites where the culture-sharing group can be studied. Often, this involves a prolonged period of time with varying degrees of immersion in activities, events, rituals, and settings of the cultural group (Sanjek, 1990).

gatekeeper This is a data collection term and refers to the individual the researcher must visit before entering a group or cultural site. To gain access, the researcher must receive this individual's approval (Hammersley & Atkinson, 1995).

holistic The ethnographer assumes this outlook in research to gain a comprehensive and complete picture of a social group. It might include the group's history, religion, politics, economy, and/or environment. In this way, the researcher places information about the group into a larger perspective or "contextualizes" the study (Fetterman, 2010).

immersed The ethnographic researcher becomes immersed in the field through a prolonged stay, often as long as 1 year. Whether the individual loses perspective and "goes native" is a field issue much discussed in the ethnographic literature.

interpretation of the culture-sharing group The researcher makes an interpretation of the meaning of the culture-sharing group. The researcher interprets this information through the use of literature, personal experiences, or theoretical perspectives (Wolcott, 1994).

key informants (or participants) These are individuals with whom the researcher begins in data collection because they are well informed, are accessible, and can provide leads about other information (Gilchrist, 1992).

language This is the focus of attention for the ethnographer as he or she discerns what people say (speech messages; Spradley, 1980).

nonparticipant or observer as participant The researcher is an outsider of the group under study, watching and taking field notes from a distance. He or she can record data without direct involvement with activity or people.

participant as observer The researcher is participating in the activity at the site. The participant role is more salient than the researcher role. This may help the researcher gain insider views and subjective data. However, it may be distracting for the researcher to record data when he or she is integrated into the activity.

participant observation The ethnographer gathers information in many ways, but the primary approach is to observe the culture-sharing group and become a participant in the cultural setting (Jorgensen, 1989).

realist ethnography A traditional approach to ethnography taken by cultural anthropologists, this

approach involves the researcher as an "objective" observer, recording the facts and narrating the study with a dispassionate, omniscient stance (Van Maanen, 1988).

reflexivity This means that the writer is conscious of the biases, values, and experiences that he or she brings to a qualitative research study. Typically, the writer makes this explicit in the text (Hammersley & Atkinson, 1995).

structure This is a theme or concept about the social–cultural system or group that the ethnographer attempts to learn. It refers to the social structure or configuration of the group, such as the kinship or political structure of the social–cultural group. This structure might be illustrated by an organizational chart (Fetterman, 2010).

Case Study

analysis of themes Following description, the researcher analyzes the data for specific themes, aggregating information into large clusters of ideas and providing details that support the themes. Stake (1995) calls this analysis "development of issues" (p. 123).

assertions This is the last step in the analysis, where the researcher makes sense of the data and provides an interpretation of the data couched in terms of personal views or in terms of theories or constructs in the literature.

bounded system The case selected for study has boundaries, often bounded by time and place. It also has interrelated parts that form a whole. Hence, the proper case to be studied is both "bounded" and a "system" (Stake, 1995).

case This is the unit of analysis in a case study. It involves the study of a specific case within a real-life, contemporary context or setting (Yin, 2009). The case might be an event, a process, a program, or several people (Stake, 1995). The case could be the focus of attention (intrinsic case study) or the issue and the case used to illustrate the case (Stake, 1995).

case description This means simply stating the facts about the case as recorded by the investigator. This is the first step in analysis of data in a qualitative case study, and Stake (1995) calls it narrative description (p. 123).

case study research This type of research involves the study of a case within a real-life, contemporary context or setting (Yin, 2009).

case themes These are one aspect of the major findings in a case study. In Stake's (1995) terms, these would be called categorical aggregations, the larger categories derived during case study data analysis and made up of multiple incidents that are aggregated.

collective case study This type of case study consists of multiple cases. It might be either intrinsic or instrumental, but its defining feature is that the researcher examines several cases (e.g., multiple case studies; Stake, 1995).

context of the case In analyzing and describing a case, the researcher sets the case within its setting. This setting may be broadly conceptualized (e.g., large historical, social, political issues) or narrowly conceptualized (e.g., the immediate family, the physical location, the time period in which the study occurred; Stake, 1995).

cross-case analysis This form of analysis applies to a collective case (Stake, 1995; Yin, 2009) in which the researcher examines more than one case. It involves examining themes across cases to discern themes that are common and different to all cases. It is an analysis step that typically follows within-case analysis when the researcher studies multiple cases.

direct interpretation This is an aspect of interpretation in case study research where the researcher looks at a single instance and draws meaning from it without looking for multiple instances of it. It is a process of pulling the data apart and putting them back together in more meaningful ways (Stake, 1995).

embedded analysis In this approach to data analysis, the researcher selects one analytic aspect of the case

for presentation (Yin, 2009).

holistic analysis In this approach to data analysis, the researcher examines the entire case (Yin, 2009) and presents description, themes, and interpretations or assertions related to the whole case.

instrumental case study This is a type of case study with the focus on a specific issue rather than on the case itself. The case then becomes a vehicle to better understand the issue (Stake, 1995). We would consider the gunman case study (Asmussen & Creswell, 1995), mentioned in Chapter 11, to be an example of an instrumental case study.

intrinsic case study This is a type of case study with the focus of the study on the case because it holds intrinsic or unusual interest (Stake, 1995).

multisite When sites are selected for the case, they might be at different geographical locations. This type of study is considered to be multisite. Alternatively, the case might be at a single location and considered a within-site study.

multiple sources of information One aspect that characterizes good case study research is the use of many different sources of information to provide "depth" to the case. Yin (2009), for example, recommends that the researcher use as many as six different types of information in his or her case study.

naturalistic generalizations In the interpretation of a case, an investigator undertakes a case study to make the case understandable. This understanding may be what the reader learns from the case or its application to other cases (Stake, 1995).

patterns This is an aspect of data analysis in case study research where the researcher establishes patterns and looks for a correspondence between two or more categories to establish a small number of categories (Stake, 1995).

purposeful sampling This is a major issue in case study research, and the researcher needs to clearly specify the type of sampling strategy in selecting the case (or cases) and a rationale for it. It applies to both the selection of the case to study and the sampling of information used within the case. We use Huberman and Miles' (1994) list of sampling strategies and apply it in this book to case studies as well as to other approaches of inquiry.

within-case analysis This type of analysis may apply to either a single case or multiple collective case studies. In within-case analysis, the researcher analyzes each case for themes. In the study of multiple cases, the researcher may compare the within-case themes across multiple cases in cross-case analysis.

within-site When a site is selected for the case, it might be located at a single geographical location. This is considered a within-site study. Alternatively, the case might be different locations and considered to be multisite.

General Qualitative Terms

aesthetic merit A piece succeeds aesthetically when the use of creative analytical practices opens up the text and invites interpretive responses. The text is artistically shaped, satisfying, complex, and not boring.

approaches to inquiry This is an approach to qualitative research that has a distinguished history in one of the social science disciplines and that has spawned books, journals, and distinct methodologies. These approaches, as I call them, are known in other books as "strategies of inquiry" (Denzin & Lincoln, 1994) or "varieties" (Tesch, 1990). We refer to narrative research, phenomenology, grounded theory, ethnography, and case studies in this book as approaches to inquiry.

audit trail This is document that allows a researcher to retrace the process by which the researcher arrived at their final findings.

axiological This qualitative assumption holds that all research is value laden and includes the value systems of the inquirer, the theory, the paradigm used, and the social and cultural norms for either the inquirer or the respondents (Creswell, 2009; Guba & Lincoln, 1988). Accordingly, the researcher admits and discusses these values in his or her research.

central question A central question in a study is the broad, overarching question being answered in the research study. It is the most general question that could be asked to address the research problem.

codebook Also called a master code list, this document contains the record of the codes and categories for a study for the purpose of guiding consistent application of codes either by an individual researcher or across a research team.

coding This is the process of aggregating the text or visual data into small categories of information, seeking evidence for the code from different databases being used in a study, and then assigning a label to the code.

critical race theory This is an interpretive lens used in qualitative research that focuses attention on race and how racism is deeply embedded within the framework of American society (Parker & Lynn, 2002).

critical theory This is an interpretive lens used in qualitative research in which a researcher examines the study of social institutions and their transformations through interpreting the meanings of social life; the historical problems of domination, alienation, and social struggles; and a critique of society and the envisioning of new possibilities (Fay, 1987; Madison, 2011; Morrow & Brown, 1994).

disability interpretive lens Disability is focused on as a dimension of human difference and not as a defect. As a human difference, its meaning is derived from social construction (i.e., society's response to individuals), and it is simply one dimension of human difference.

encoding This term means that the writer places certain features in his or her writing to help a reader know what to expect. These features not only help the reader but also aid the writer, who can then draw on the habits of thought and specialized knowledge of the reader (Richardson, 1990). Such features might be the overall organization, code words, images, and other "signposts" for the reader. As applied in this book, the features consist of terms and procedures of an approach that become part of the language of all facets of research design (e.g., purpose statement, research subquestions, methods).

epistemological This is another philosophical assumption for the qualitative researcher. It addresses the relationship between the researcher and that being studied as interrelated, not independent. Rather than "distance," as we call it, a "closeness" follows between the researcher and that being researched. This closeness, for example, is manifest through time in the field, collaboration, and the impact that being researched has on the researcher.

feminist research approaches In feminist research methods, the goals are to establish collaborative and nonexploitative relationships, to place the researcher within the study so as to avoid objectification, and to conduct research that is transformative (Olesen, 2011; Stewart, 1994).

foreshadowing This term refers to the technique that writers use to portend the development of ideas (Hammersley & Atkinson, 1995). The wording of the problem statement, purpose statement, and research subquestions foreshadows the methods—the data collection and data analysis—used in the study.

hyperlinks In qualitative analysis software, a hyperlink allows the electronic cross-referencing between two points link passage within the database for easy retrieval.

impact A piece has an impact when it affects the reader emotionally or intellectually; generates new questions; or moves him or her to write, try new research practices, or move to action.

intercoder agreement This term means that researchers check for reliability of their coding. It involves coding agreements when multiple coders assign and check their code segments to establish the reliability of the data analysis process.

interpretation In qualitative research, this term represents a phase in qualitative data analysis involving abstracting out beyond the codes and themes to the larger meaning of the data.

interpretive framework Beliefs or frameworks that guide the actions of the researcher in conducting a study.

interview protocol The interview protocol is a form in qualitative data collection in which the researcher directs the activities of an interview and records information provided by the interviewee. It consists of a header, the major substantive question (typically five to seven research subquestions phrased in a way that interviewees can answer), and closing instructions.

maximum variation sampling This is a popular form of qualitative sampling. This sampling approach consists of determining in advance some criteria that differentiate the sites or participants and then selecting sites or participants that are quite different on the criteria.

methodological congruence This describes the interconnectedness and interrelatedness of a study purpose, questions, and methods that appears cohesive rather than as fragmented parts (Morse & Richards, 2002; Richards & Morse, 2012).

methodology This assumption holds that a qualitative researcher conceptualizes the research process in a certain way. For example, a qualitative inquirer relies on views of participants and discusses their views within the context in which they occur, to inductively develop ideas in a study from particulars to abstractions (Creswell, 1994, 2009).

observational protocol This is a form used in qualitative data collection for guiding and recording observational data. It typically consists of two columns representing descriptive and reflective notes. The researcher records information from the observation on this form.

ontological This is a philosophical assumption about the nature of reality. It addresses this question: When is something real? The answer provided is that something is real in qualitative research when it is constructed in the minds of the actors involved in the situation (Guba & Lincoln, 1988). Thus, reality is not "out there," apart from the minds of actors.

paradigm This is the philosophical stance taken by the researcher that provides a basic set of beliefs that guides action (Denzin & Lincoln, 1994). It defines, for its holder, "the nature of the world, the individual's place in it, and the range of possible relationships to that world" (Denzin & Lincoln, 1994, p. 107). Denzin and Lincoln (1994) further call this the "net that contains the researcher's epistemological, ontological, and methodological premises" (p. 13). In this discussion, I extend this "net" to also include the axiological assumptions.

philosophical assumptions These are stances taken by the researcher that provide direction for the study such as the researcher's view of reality (ontology), how the researcher knows reality (epistemology), the value-stance taken by the inquirer (axiology), and the procedures used in the study (methodology). These assumptions, in turn, are often applied in research through the use of theories (or, as we call them, interpretive frameworks).

postmodernism This interpretive perspective is considered a family of theories and perspectives that have something in common (Slife & Williams, 1995). Postmodernists advance a reaction or critique of the 19th-century Enlightenment and early 20th-century emphasis on technology, rationality, reason, universals, science, and the positivist, scientific method (Bloland, 1995; Stringer, 1993). Postmodernists assert that knowledge claims must be set within the conditions of the world today and in the multiple perspectives of class, race, gender, and other group affiliations.

postpositivism This interpretive perspective has the elements of being reductionistic, logical, empirical, cause-and-effect oriented, and deterministic based on a priori theories.

pragmatism This interpretive lens focuses on the outcomes of the research—the actions, situations, and consequences of inquiry—rather than antecedent conditions. There is a concern with applications —"what works"—and solutions to problems. Thus, instead of a focus on methods, the important aspect of research is the problem being studied and the questions asked about this problem.

purpose statement This is a statement typically found in an introduction to a qualitative study in which the author sets forth the major objective or intent of the study. It can be considered a "road map" to the entire study.

purposeful sampling This is the primary sampling strategy used in qualitative research. It means that the inquirer selects individuals and sites for study because they can purposefully inform an understanding of the research problem and central phenomenon in the study.

qualitative research This is an inquiry process of understanding based on a distinct methodological approach to inquiry that explores a social or human problem. The researcher builds a complex, holistic picture; analyzes words; reports detailed views of participants; and conducts the study in a natural setting.

queer theory This is an interpretive lens that may be used in qualitative research that focuses on gay, lesbian, or homosexual identity and how it is culturally and historically constituted, is linked to discourse, and overlaps gender and sexuality (Watson, 2005).

reciprocity This is an aspect of good data collection in which the author gives back to participants by providing rewards for their participation in the study. These rewards may be money or gifts or other forms of remuneration. The idea is that the researcher gives back to participants rather than taking the data from the participant and leaving without offering something in return.

reflexivity An approach in writing qualitative research in which the writer is conscious of the biases, values, and experiences that he or she brings to a qualitative research study. In writing a reflexive passage, the researcher discusses her or his experiences with the central phenomenon and then how these experiences may potentially shape the interpretation that the researcher provides. This passage can be written into a qualitative project in different places in the final report (e.g., methods, vignette, threaded throughout, at the end).

represent the data This is a step in the data analysis process of packaging findings (codes, themes) into text, tabular, or figure form.

research design We use this term to refer to the entire process of research, from conceptualizing a problem to writing the narrative, not simply the methods such as data collection, analysis, and report writing (Bogdan & Taylor, 1975).

research focus We use this term in reference to a general area of study interest such as a study objective or goal. This area of interest typically leads to the researcher narrowing the focus for the need of the study and the specific research problem.

research problem A research problem typically introduces a qualitative study, and in this opening passage, the author advances the issue or concern that leads to a need to conduct the study. We discuss this problem as framed from a real-life perspective or a deficiency in the literature perspective.

rhetorical This assumption means that the qualitative investigator uses terms and a narrative unique to the qualitative approach. The narrative is personal and literary (Creswell, 1994, 2009). For example, the researcher might use the first-person pronoun *I* instead of the impersonal third-person voice.

sample size Sample size in qualitative research generally follows the guidelines to study a few individuals or sites, but to collect extensive detail about the individuals or sites studied.

social constructivism In this interpretive framework, qualitative researchers seek understanding of the world in which they live and work. They develop subjective meanings of their experiences—meanings directed toward certain objects or things. These meanings are varied and multiple, leading the researcher to look for the complexity of views rather than narrow the meanings into a few categories or ideas. The goal of research, then, is to rely as much as possible on the participants' views of the situation. Often these subjective meanings are negotiated socially and historically.

social justice theories These advocacy/participatory theories seek to bring about change or address social justice issues in our societies.

social science theories These are the theoretical explanations that social scientists use to explain the world (Slife & Williams, 1995). They are based on empirical evidence that has accumulated in social science fields such as sociology, psychology, education, economics, urban studies, and communication. As a set of interrelated concepts, variables, and propositions, they serve to explain, predict, and provide generalizations about phenomena in the world (Kerlinger, 1979). They may have broad applicability (as in grand theories) or narrow applications (as in minor working hypotheses; Flinders & Mills, 1993).

subquestions Subquestions are a form of research questions in a qualitative study in which the researcher subdivides the central question into parts and examines these parts. These subquestions are often used in interview and observational protocols as the major topics.

substantive contribution A piece makes a substantive contribution when it contributes to our understanding of social life, demonstrates a deeply grounded social scientific perspective, and seems "true."

themes In qualitative research, themes (also called categories) are broad units of information that consist of several codes aggregated to form a common idea.

theories or theoretical orientations They are found in literature and provide a general explanation as to what the researcher hopes to find in a study or a lens through which to view the needs of participants and communities in a study.

transformative framework Researchers who use this interpretive framework advocate that knowledge is not neutral and it reflects the power and social relationships within society, and thus the purpose of knowledge construction is to aid people to improve society (Mertens, 2003). These individuals include marginalized groups such as lesbians, gays, bisexuals, transgenders, queers, and societies that need a more hopeful, positive psychology and resilience (Mertens, 2009).

triangulation Researchers make use of multiple and different sources, methods, investigators, and theories to provide corroborating evidence for validating the accuracy of their study.

verisimilitude This is a criterion for a good literary study, in which the writing seems "real" and "alive," transporting the reader directly into the world of the study (Richardson, 1994).