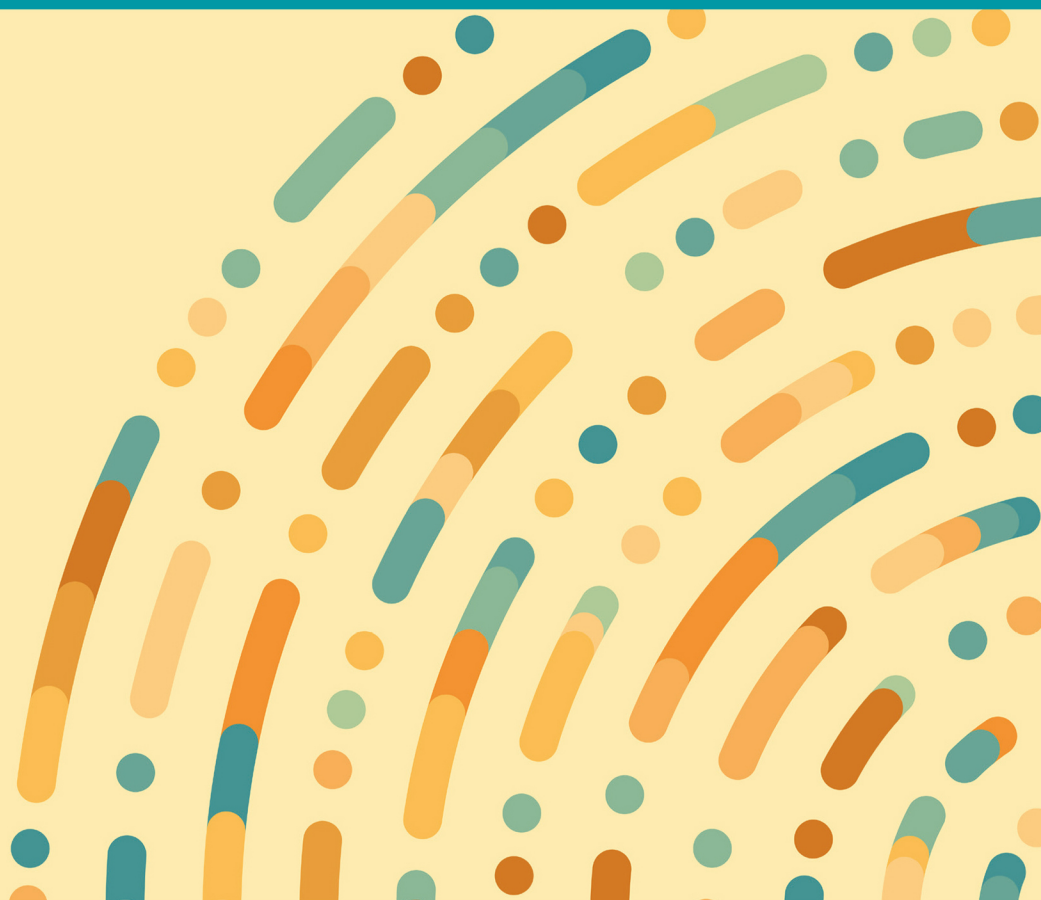


The Handbook of Teaching Qualitative and Mixed Research Methods

A Step-by-Step Guide for Instructors



Edited by Alissa Ruth, Amber Wutich
and H. Russell Bernard

The Handbook of Teaching Qualitative and Mixed Research Methods

The Handbook of Teaching Qualitative and Mixed Research Methods: A Step-by-Step Guide for Instructors presents diverse pedagogical approaches to teaching 71 qualitative and mixed methods.

These tried-and-true methods are widely applicable to those teaching and those being trained in qualitative and mixed-methods research. The methods for data collection cover ethics, sampling, interviewing, recording observations of behavior, Indigenous and decolonizing methods and methodologies as well as visual and participatory methods. Methods for analyzing data include coding and finding themes, exploratory and inductive analysis, linguistic analysis, mixed-methods analysis, and comparative analysis. Each method has its own 1,500-word lesson (i.e., chapter) written by expert methodologists from around the globe. In these lessons, contributors give the reader a brief history of the method and describe how they teach it by including their best practices—with succinct, step-by-step instructions—focusing on student-centered experiential and active learning exercises.

This comprehensive, one-of-a-kind text is an essential reference for instructors who teach qualitative and/or mixed methods across the Social and Behavioral Sciences and other related disciplines, including Anthropology, Sociology, Education, and Health/Nursing research.

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Introduction

Alissa Ruth, Amber Wutich, and H. Russell Bernard

Much of the data about human thought and behavior, around the world, are captured in qualitative data—text, art, music, video, and architecture. Advances in software have made analyzing all these kinds of data common in the social sciences, as well as in allied fields, such as medicine, engineering, and environmental science. All of this adds up to an enormous demand for teaching qualitative and mixed methods.

There are many books about doing qualitative and mixed methods research but the research on *how to teach* those same methods is scattered across disciplinary journals, often siloed, and not readily accessible. In this book, expert methodologists from across the social sciences present 71 lessons with step-by-step instructions for teaching methods for the collection and analysis of qualitative data—including techniques for the quantitative analyses of qualitative data. Training in this broad range of mixed methods is not just for those few students who will become academics but also for most students who will find thousands of jobs analyzing data outside of academe.

Developments in Teaching Research Methods

Teaching research methods is hard because the entire research process is complex (Earley 2014; Howard and Brady 2015; Wagner et al. 2011). Teachers have to convey this complexity while helping students understand how research methods fit into the process and how students can apply them. There is no established field of “research methods education” as there is in, say, STEM education, nursing education, and math education. Many researchers have to teach themselves methods with or no little formal training (Drisko 2016).

Great methodologists are not necessarily the best teachers (Nind et al. 2015). It is not yet clear what personal traits make a good methods teacher (Buskist et al. 2013). We’re still learning what difficulties instructors have when teaching particular methods and how teaching methods should vary among disciplines—if at all (Wagner et al. 2011).

Novice methods instructors face challenges including: (1) not knowing what to include in a course on research methods courses; and (2) not knowing how to teach a method they never used, especially if they never took a course on that method as students (Crooks et al. 2010). Some new instructors of methods may have helpful colleagues down the hall, but most just rely on trial and error in the classroom and hope for the best. In the worst of cases, new methods instructors may suffer from the stress of impostor syndrome or feeling out of place or not equipped with the proper knowledge to teach others (Addison et al. 2022).

There is increasing demand in industry, government, and NGOs, as well as in academe, for graduates with skills in the collection and analysis of data—both qualitative and quantitative—and with that demand, there is a developing culture of methods teaching

scattered across disciplinary journals (Garner et al. 2009; Kilburn et al. 2014; Lewthwaite and Nind 2016; Nind et al. 2015; Swaminathan and Mulvihill 2018; Wagner et al. 2011; and see Chenail [2018] for a list of methods resources). Journals like *Teaching Sociology*, *Teaching Psychology*, *Teaching Anthropology*, *Perspectives in Political Science* (formerly *Teaching Political Science*), *Communication Teacher*, and various education-focused journals have long histories and thousands of articles. Among those sources are several hundred ideas for teaching methods (see, e.g., Cvancara 2017; Della Noce 2006; Gamble et al. 2019; Hosticka 1980; Kilburn et al. 2014; Kirby 2004; Lee 1983; Lewthwaite and Nind 2016; Pfeffer and Rogalin 2012; Roulston 2019; Stoet 2017; Stojmenovska et al. 2019; Tan and Ko 2004; Zamboanga et al. 2016). However, these give instructors little direct guidance on teaching qualitative and mixed methods beyond specific disciplinary practices.

Instructors are not the only ones without guidance. Historically, students have learned methods by reading books and research reports, attending seminars, working in apprenticeships with their mentors, and conducting their own projects (Garner et al. 2009; Ruth et al. 2022). Today, we see research methods training integrated into graduate and undergraduate programs where they were previously absent.

The Best Ways to Teach Methods

It is widely recognized that active learning—where students actively participate rather than just receive information—is the most effective way to teach methods (Drisko 2016; Earley 2014; Lewthwaite and Nind 2016). For teaching methods, three active-learning approaches are: (1) making research accessible; (2) providing students with experiential learning; and (3) working with students on active reflection (Kilburn et al. 2014; Lewthwaite and Nind 2016).

The first approach involves making abstract concepts and principles concrete with hands-on activities such as engaging with secondary data sets and using analysis software. Instructors can also use metaphors, vignettes, films, or video clips, and their personal experiences to spark discussions about the processes of doing research.

The second approach involves actually doing research by collecting and analyzing data. These experiential activities can be exercises focusing on a single method, part of a student's active research project, or engagement in a faculty-led research project.

The third approach involves discussions and written assignments, including journaling about the activities in the first two approaches. Students can reflect on their assumptions, biases, and positionality and how any of these affected their fieldwork or analysis. They can also reflect on the challenges they faced, what they could have done differently, and how they could use particular method(s) in future research settings.

In sum, the key to teaching methods is connecting students to research by giving them opportunities to experience and time to reflect on research practices (Kilburn et al. 2014; Lewthwaite and Nind 2016). **In this handbook, we give instructors the tools they need to engage students actively using a combination of these three approaches.**

The Structure of the Book

Rejecting the qual–quant divide, and under the assumption that any spoken, written, or visual data can be analyzed qualitatively or quantitatively, the chapters in this book offer guidance in the teaching of research ethics, sampling, data collection, and data analysis. As methods teachers ourselves, we find the lessons in this handbook help us teach more effectively. Even for methods that we know well, the details and hands-on instructions enable

us to implement real interactive teaching. The experts who offer these lessons have given us their very best classroom-tested lessons, so that anyone can use them to teach.

Each section of the book has an overarching theme: The first six sections focus on data collection and the last five sections cover data analysis. For each section, we provide an introduction about: (1) the methods covered; (2) how the methods are used; (3) major challenges to teaching the methods; and (4) the lessons in the section. The lessons explain the method, provide key readings, give step-by-step teaching instructions, and offer hands-on activities and topics for discussions and reflection. Most lessons also have companion PowerPoint lectures, datasets, and recommended software. Where possible, the authors have included options for adjusting the activities to reach different levels of learners as well as tips on how to offer the lessons in virtual environments.

The sections are as follows:

Section 1 Research Ethics—The first section begins with foundational lessons on how to teach ethics for qualitative research including how to obtain consent ethically.

Section 2 Sampling in Qualitative Research—In this section, we cover how to teach the most common methods for collecting an acceptable sample of qualitative data. The lessons include respondent-driven and non-probability sampling as well as sample size estimation for qualitative and mixed-methods research.

Section 3 Interviewing as Data Collection—This section presents the many ways researchers collect interview data, including: in-person and semi-structured interviewing, cognitive interviewing, group interviewing, eliciting social network data, and free-list interviewing.

Section 4 Observations as Data Collection—Here we present both well-established and cutting-edge ways to teach observational techniques. Lessons include doing direct observations and recording behavioral observations; doing participant observation (including reflexivity, auto-ethnography, and reflexivity); conducting rapid assessments; taking field notes; writing ethnography; and collecting social media and video data.

Section 5 Indigenous and Decolonizing Methods—The section opens with how to teach critical Indigenous methods and methodologies and how to conduct ethical community-engaged research. This is followed by methods that include practicing *talanoa*, using talking circles, understanding Indigenous data sovereignty, collecting Black feminist life histories, and using sister–girl talk as a form of group interviewing with Black women. The section ends with lessons on conducting community-engaged research and using theater as an ethnographic method.

Section 6 Visual and Participatory Methods—This section presents engaging ways to teach visual techniques for collecting qualitative data. The lessons cover photovoice, photo-elicitation, digital storytelling, 3D e-participatory methods, eliciting drawings from children, and sketch mapping. Any of the data collected with these methods can be analyzed qualitatively or quantitatively.

Section 7 Building Blocks and Basis of Analysis—This section presents the necessary foundation needed for rigorous qualitative and mixed-methods analysis. This includes lessons on producing transcripts, finding themes, creating visual variables, making codebooks, assessing interrater reliability, and how to code data. The section ends with how to teach qualitative content analysis and word-based analysis.

Section 8 Grounded Theory, Phenomenology, and Narrative Analysis—This section covers the rich traditions of exploratory and inductive data analysis. Teaching lessons focus on grounded theory, phenomenology, narrative analysis, and teaching meaning and idioms.

Section 9 Linguistic Analysis—This section presents the different methods in linguistic analysis including those that can be used in pragmatics (the study of how physical and social

contexts influence the production of language) and semiotics (the study of the meaning of linguistic signs and symbols). The section includes lessons on corpus linguistics, sociolinguistics (including linguistic variation and indexicality), conversation analysis, discourse analysis, and critical discourse analysis.

Section 10 Mixed-Methods Analysis—This section presents techniques to analyze qualitative data using computer-aided quantitative techniques. Lessons cover semantic network analysis, whole social network analysis, and cultural domain and cultural consonance analysis.

Section 11 Modeling and Comparative Analysis—The final section focuses on comparing data across cultures, research sites, and datasets using methods grounded in logic. Lessons include topic models using text corpora, agent-based modeling, teaching meta-themes, comparative ethnography, and qualitative comparative analysis.

This Book's Approach

With our emphasis on the how-to of teaching research methods, we don't include instruction on teaching research design, proposal writing, epistemology and ontology, academic writing, and presentation of results. For more on these topics, see: Dawson 2016; Garner et al. 2009; Mayan 2016; Swaminathan and Mulvihill 2018; Wentz 2013.

Teaching Methods Online—Terminology Uses

Most research methods can be taught either in-person or online without any loss of quality (Bernard 2021) so the authors of these chapters suggest how to adapt their lessons to an online audience.

To teach methods online, instructors need a **learning management system (LMS)** where they can make information and documents accessible to students. Many institutions use an LMS like Canvas or Blackboard. At others, instructors can find free or low-cost options like Google Classroom or Moodle. For sharing readings and other materials, there are **document-sharing applications**, such as Dropbox or Google Drive.

For **synchronous** online class meetings—where students and the teacher meet at a predetermined time—instructors and students need **video conferencing software**. There are many available, including Zoom, Google Meet, Webex, and Microsoft Teams. Be sure to test the capabilities of the software before implementing it in a course. For example, many lessons in this handbook suggest having students meet in small groups for discussion or to work on activities. In these cases, the video conferencing software has to support students meeting in break-out rooms.

Of course, for **asynchronous** classes, where students and teachers do not meet at a scheduled time, video conferencing software is unnecessary, but it may be useful for pre-recording and lectures that students can access after the asynchronous class. An easy way to do this is to use video conferencing software (like Zoom) to share your screen and PowerPoint lecture and record your voice and picture. Once recorded, you can save the MP4 file and post to the course LMS or post to a video-sharing website like YouTube or Vimeo and then share with students. Asynchronous classes can also use discussion boards where students respond to a discussion prompt and interact with and respond to each other either in writing or by video/audio responses. Both synchronous and asynchronous classes could benefit from **virtual “whiteboards”** (such as Jamboard or Google Docs) for collaborative work.

How to Use This Book

We hope this book will be your go-to resource for effectively teaching qualitative and mixed methods. We envision it as just one piece of a broader community that is working to build a culture that supports excellence in methods instruction. We encourage you to use the book and online resources to build your own lessons, and to connect with other methods teachers. Together, we can all continue to build and improve methods of teaching.

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Section 1

Research Ethics

Over the last 40 years, since the development of ethics committees to protect human subjects of research, a broad consensus has emerged around the basic tenets of ethical research: respect for persons, beneficence, and justice. While these tenets are understood to be universal, ethical research must be enacted in locally grounded and culturally appropriate ways. Even the assumption that local ethics committees will be available to review and approve qualitative and mixed-methods research designs may not hold true for researchers in every country in the world. Research practices that are considered standard and acceptable in some places may be viewed as highly unethical in others. For scholars engaged in global research, it is important to understand the universal tenants of ethical research—while respectfully adhering to local expectations for ethical research conduct.

Over time, ethical review processes have come to better align with a broader range of local knowledges and conditions. Informed consent provides a good example of this. Ethics committees have recognized that research participants may not be comfortable providing consent through reading and writing. A broader range of consenting procedures, including oral consent, is now standard practice. Local research partnerships and community-based research designs can help improve the fit of ethical research practices, including informed consent, to local situations. As well, new ethical considerations—such as Indigenous data sovereignty—have emerged to challenge the ethical acceptability of long-standing research practices. Ongoing debates about the ethics of extractive research will likely continue to inspire changes to standard research ethics practices in the future.

In this section, two chapters introduce students to the complexities of ethical qualitative and mixed-methods research. Liamputtong's chapter introduces students to concerns covered in any formal ethics training. These include ethical research principles, ethics reviews, and informed consent. Beyond this, Liamputtong covers some important topics that are less often addressed in formal ethics training such as participants' well-being, data malfeasance, authorship requirements, and plagiarism. Liamputtong suggests an engaging role-play approach to help students think through how they would deal with ethical challenges in the field. Nyamongo's chapter focuses on informed consent. Drawing on a series of ethics case examples, Nyamongo explains how to guide students through an understanding of how to plan for and implement informed consent in locally appropriate ways. Covering difficult issues like confidentiality, participant compensation, and research malfeasance, this lesson uses a discussion-based approach to exploring case scenarios. Together, these two chapters give teachers a broad set of tools for teaching ethical research and informed consent in qualitative and mixed-methods data collection.

1 Teaching Ethics in Qualitative Research

Pranee Liamputtong

Brief Description of Ethics in Research

Ethical issues are paramount in research. Researchers must be responsible for the ethical conduct of their research. Research ethics are the moral principles that guide research. The word “ethics” is derived from the Greek word “*ethos*,” attributing to character, manner, and habit. Currently, the word ethics is used synonymously with the word “moral” in research. Ethics aim to prevent research participants from being harmed by the researcher and the research process. Ethics force us to scrutinize what is right and wrong, and what is crucial and relevant. As researchers, ethics makes us justify what we must do. Inevitably, in conducting research, we make decisions that will impact others; thus, we need to know what will be the best course of action. As Gray (2018: 70) contends, in conducting research, we, as researchers, must go “beyond merely adopting the most appropriate research methodology, but conducting research in a responsible and *morally defensive way*.” We must be sensitive to the well-being and rights of our research participants. We need to ensure that our research participants will not be harmed and exploited. We need to consider how we can assist our participants if any harm occurs to them. Remember that we, as researchers, ask our participants to take part in our research. We have intruded into their lives, hence we have the utmost responsibility to safeguard their health and well-being.

References for Further Reading

- Gray, D. E. 2018. *Doing Research in the Real World*. 4th ed. London: Sage.
- Haines, D. 2017. Ethical Considerations in Qualitative Case Study Research Recruiting Participants with Profound Intellectual Disabilities. *Research Ethics Review* 13(3–4): 219–32.
- Israel, M. 2016. *Research Ethics and Integrity for Social Scientists: Beyond Regulatory Compliance*. 2nd ed. London: Sage.
- Ma, X., Y. Wang, T. Gao, Q. He, Y. He, R. Yue, F. You, and J. Tang. 2020. Challenges and Strategies to Research Ethics in Conducting COVID-19 Research. *Journal of Evidence-Based Medicine* 13: 173–77.
- Tolich, M. 2016. *Qualitative Ethics in Practice*. Walnut Creek: Left Coast Press.

Estimated Teacher Prep Time

90–120 minutes

- Review Haines’s paper (2017)
- Prepare PowerPoint slides and homework materials for students

- Search for some examples of papers that discuss ethics from different perspectives or research projects that use different qualitative research methods that can help students see diverse issues regarding ethics in qualitative research. (Research involving sensitive populations are good for this type of activity.)
- Set up class role/play discussion (1 hour)

Estimated Duration of Lesson

- 90 minutes for in-class interactive lecture
- 30 minutes for student independent activity
- 30 minutes for reflective discussion (follow-up class session)

Materials Needed

- PowerPoint slides outlining the essence of ethics in qualitative research, its core issues, and how to ensure that the research is ethical (need to create).
- The Tuskegee Experiment: Crash Course Black American History #29" Youtube Video <https://www.youtube.com/watch?v=56gqCXIUCoE>

Student Pre-Class Preparation

- Read the paper written by Haines (2017) before class

Learning Outcomes

Completing this activity, students will be able to: (1) Identify basic principles of research ethics; (2) learn about ethical codes that researchers must adhere to; and (3) gain knowledge about how ethics are practiced

Lesson Instructions

- 1 Using the PowerPoint that you will create, proceed with the lecture as follows:
Explain to students that there are three ethical principles that have become the bedrock for research endeavors and act as justification for our actions. These include: respect for persons, beneficence, and justice.

Respecting human dignity is a foundation of ethical behavior. There are two aspects of this principle. First, it is personal autonomy that signifies the capacity of individuals to make decisions that may impact their lives and to be able to act on those decisions. Second, the principle advocates that individuals with reduced autonomy must be protected. Some individuals, such as young children or people with cognitive issues, may be unable to exercise self-determination. The researcher must consult and work closely with authorized persons who are responsible for the well-being of these individuals and can make an appropriate decision on their behalf (such as their parents or guardians).

Beneficence alludes to the obligation of researchers to take care of the well-being of research participants throughout the research process. Researchers must ensure that possible benefits are maximized and possible harm is minimized for all individuals who participate in the research. Research benefits may add new awareness that may have an explicit effect on research participants, for example, findings can be used to improve their health condition. Possible risks that the research participants may experience include

physical, emotional, psychological, economic, or social harm in daily life. Beneficence demands that research that investigates the advances of a health treatment with known risks must be justified, especially if these risks are significant.

Justice, according to Portney (2000: 91) refers to “fairness in the research process or the equitable distribution of the benefits and burdens.” Justice covers the equitable inclusion of research participants who are pertinent to the study and selected from a designated population who are most likely to benefit from the research results. The selection of research participants must be based on criteria that are relevant to the research and not be discriminatory. Justice also addresses the burden of research, particularly if participants are selected from vulnerable and marginalized populations. Play the Tuskegee study video (link provided) and invite students to discuss ethical issues that are involved in this infamous study in the U.S. history of abuse in research. This is a good example because syphilis could occur to all people and not be restricted to Black men.

- 2 Then, using slides, explain to students that three codes of ethics, including informed consent, confidentiality, and risk and harm, are carefully scrutinized by ethical review boards. The most important ethical issue in research involving human subjects is the ability of a person to agree to participate in research with sufficient knowledge of what will happen to them. The informed consent process and its components respond to the ethical principles of respect, beneficence, and justice. Informed consent, as defined by Sandu and Frunza (2019: 172), is referred to as “the process where the research participant gives their agreement to participate in the research after being informed about procedures, risks and benefits.” It is recognized as the main way of protecting research participants from being harmed and exploited. Obtaining informed consent from participants is now required before research can be conducted.

In research, anonymity has its focus on the participant, while confidentiality usually focuses on the data. In the research context, anonymity promises that the true identity of the research participant will be safeguarded. For anonymous research, there is no way for readers to link a certain individual with specific data or to know that a particular individual has taken part in the research. Both anonymity and confidentiality aim to conceal the true identity of the participants. In qualitative research, researchers can use the process of anonymization to protect the anonymity of the participants. Anonymization refers to a process to protect the confidentiality of research participants and their activities, which includes not recording names and other data at all, or removing names and identifying details from confidential data as early as possible.

Last, researchers have the responsibility to ensure the physical, emotional, and social well-being of their research participants. Researchers must ensure that the participants will not be adversely affected by participating in the research. In research involving sensitive issues, distress, and emotional harm may occur. This tends to occur more in qualitative research when the participants may bring up painful memories of their life events and they may become emotionally distressed. Researchers need to prepare some strategies to assist the participants if this happens during and after their participation. One common strategy is to provide the participants with a list of social and welfare workers such as counselors or psychologists, from whom they can seek help if needed.

- 3 Then, explain to students how ethics is typically practiced. Researchers are required to submit their research proposals for scrutiny to receive ethical approval from an institutional ethics committee before the research can be conducted. It is mandatory in all

research involving human subjects. The task of research ethics committees is to assess if a research project conforms to the ethics standards of the institution. Failure to do so can have significant implications for the involved researchers. The purpose is to protect both the research participants and the researcher in the research. Research participants must have their welfare, safety, rights, and dignity respected. Usually, an ethics committee is composed of researchers, health and social care professionals, a lawyer, lay members, and a person with a pastoral role in the community.

Members of a human research ethics committee (HREC) (also known as institutional review board (IRB)) must have expertise in and knowledge of the requirements and values that cover across research groups and approaches so that they can make just and fair decisions as well as to do so with due process. A committee should also include a balance of women and men as well as individuals who are regularly present and those who are selected for specialist expertise. Each member of a HREC is obliged to make the decision whether a research proposal is ethically acceptable and meets the requirements of the nation.

In-Class Activity

Role Play Ethical Situations: Here's a webpage that has ethical role-play situations (but not all are human subjects) <https://onlineethics.org/taxonomy/term/1821>. Possible things to cover would be consent, confidentiality, protecting/sharing sensitive information, engaging in illegal activity while conducting research (participant observation specific), data falsification/fabrication, authorship guidelines/inclusion, and plagiarism.

- Invite students to do a "role play" in discussion groups as an HREC/IRB members using the two examples given below. Laud Humphreys' *Tearoom Trade* (1975) examined the behavior of gay men and their sexual activities in public toilets. This study tells us that a few researchers have in the past breached many ethical codes, and although in this case there was no harm to the participants, the researchers' behavior would be deemed unacceptable by many social science researchers today. Students may also read Venkatesh's *Gang Leader for a Day* (2008) for an example of ethnographic research that ignored ethical concerns, broke the confidentiality of his participants, and caused harm to them. This is another research project that has caused a great debate among social science researchers.
- Application Process: Have students look up their institution's requirement for studies with human subjects and begin filling it out for their research.

Reflection and Class Discussion

From these exercises, invite students to discuss the following:

- What does research ethics mean to you?
- Participating in research has been seen as altruism (concern for other people). Many people who have taken part in research will agree with this. What is your opinion about this? Would there be other reasons that you can think of or hold as valuable?
- How will you know whether a research relationship is ethical?
- How can ethics stand in the way of good results?
- How could gaining informed consent from research participants potentially alter the outcome of a research project?

- What might be some ethical considerations for your own research?
- Each student will reflect on their views and then share them with the class. Common themes are then discussed to finish off the lesson.

Homework

Have students complete the research with human subjects training required by your institution and submit their completion proof/certificate (e.g., CITI training).

Online Teaching Modifications

This lesson can be adapted for online teaching. It is more engaging if it is done synchronously using video conferencing as you can break students into separate rooms if needed. This way, you can encourage students to take part in the discussions better.

References

- Humphreys, L. 1975. *Tearoom Trade: Impersonal Sex in Public Places*. New York: Aldine.
- Portney, P. R. 2000. Environmental Problems and Policy: 2000–2050. *Journal of Economic Perspectives* 14(1): 199–206.
- Sandu, A., and A. Frunza. 2019. Informed Consent in Research Involving Human Subjects. In *Ethics in Research Practice and Innovation*, edited by A. Sandu, A. Frunza and E. Unguru, 171–19. Hershey: IGI Global Online. Doi: 10.4018/978-1-5225-6310-5.ch009
- Venkatesh, S. 2008. *Gang Leader for a Day: A Rogue Sociologist Takes to the Streets*. London: Penguin Books.

2 Obtaining Consent

Why, What, and How

Isaac K. Nyamongo

Brief Description of Method

A number of unfortunate experiments involving human subjects have brought the subject of informed consent to the fore. Key among these are the Nazi experiments (in Germany) and Tuskegee experiments (in the United States). The Nazi experiments led to the Nuremberg Trials. In October 1945, the international war crimes trial was started in the city of Nuremberg in Bavaria, Germany. In 1947, 23 Nazi physicians and medical administrators were found guilty. One aspect of war crimes related to human medical experiments. The war crimes tribunal determined that though certain types of medical experiments were ethically justified, they failed to “satisfy moral, ethical and legal concepts.” Consequently, a set of 10 research ethics principles (The Nuremberg Code) for human experimentation was proposed in 1947. Notably, the principles centered not on the researcher/physicians conducting the studies/experiments but on the human subjects in the study/experiment. Almost a decade earlier, in 1932, a study in Tuskegee, Alabama, on the natural history of syphilis was started by the U.S. Public Health Services. The Tuskegee Study (“Tuskegee Study of Untreated Syphilis in the Negro Male”) initially involved 600 Black men—399 syphilitic and 201 free from syphilis. Participants were not given adequate information regarding the study, only being informed that they were being treated for “bad blood,” a local term used to describe a cluster of ailments, including syphilis, anemia, and fatigue. In exchange for participation, the men received free medical exams, free meals, and burial insurance. Although by 1943 penicillin was the widely available treatment of choice for syphilis, the study participants were not given the better alternative. Some 40 years later in 1972, it was revealed that these poor Black men from Tuskegee had been denied treatment for syphilis. The revelations created a demand for more stringent regulations regarding informed and voluntary participation in human research. The study ended in October 1972. In 1973, a class-action lawsuit was filed on behalf of the study participants and their families. It resulted in a US\$10 million out-of-court settlement in 1974.

References for Further Reading

- AAA. 2012. AAA Ethics Forum. November 1, 2012. <http://ethics.americananthro.org/category/state-ment/> (accessed November 30, 2021).
- CDC. n.d. The U.S. Public Health Service Syphilis Study at Tuskegee. <https://www.cdc.gov/tuskegee/index.html> (accessed December 17, 2021).
- FHI360. 2009. Research Ethics Training Curriculum. 2nd ed. <https://www.fhi360.org/sites/all/libraries/webpages/fhi-retc2/RETCTraditional/intro.html> (accessed December 7, 2021).
- Manti, S., and A. Licari. 2018. How to Obtain Informed Consent for Research. *Breathe* 14: 145–52.

Shuster, E. 1997. Fifty Years Later: The Significance of the Nuremburg Code. *New England Journal of Medicine* 337: 1436–40.

U.S. Department of Health & Human Services. 1979. The Belmont Report. <https://www.hhs.gov/ohrp/regulations-and-policy/belmont-report/read-the-belmont-report/index.html> (accessed December 2, 2021).

Estimated Teacher Prep Time

It is estimated that the teacher will take 90–120 minutes in preparation time for this lesson, including the preparation of slides and examples.

- Read Shuster (1997) for background information
- Read the AAA Principles on Professional Responsibility
- Read the Belmont Report
- Read background material on the Tuskegee Study
- Prepare PowerPoint slides and homework materials for students

Estimated Duration of Lesson

- 60 minutes of in-class discussion
- 20 minutes of student activity (independent or group discussion)
- 15-minute follow-up reflective/feedback discussion

It will include a discussion of various scenarios (e.g., where research involves persons below 18 years of age, where infants are involved, or where persons are in refugee/incarceration camps). Potential scenarios:

- What happens when persons below 18 years of age are involved in a research study?
- What happens when infants are involved in a research study?
- What happens where refugees/or incarcerated individuals are involved?
- What happens when children are in foster homes?

Materials Needed

- Whiteboard (for in-class learning)
- MS PowerPoint slides (to be prepared by the instructor)
- Whiteboard Pens
- Worksheets

Student Pre-Class Preparation

Students need to have read/reviewed the following articles: AAA (2021), FHI360 (2009), and U.S. Department of Health & Human Services (1979).

Learning Outcomes

By the end of this lesson, the student will: (1) appreciate why informed consent in research is important; (2) know what informed consent entails; and (3) and know how to administer informed consent to different groups.

Lesson Instructions

The instructor should provide case scenarios in advance of the lesson. These scenarios will be used during the in-class discussion following the lecture. The instructor should provide potential scenarios which the students could consider before coming to class. *Example 1*—Present a scenario in which the research participant is a minor below 18 years of age, with a child, living on their own and making independent decisions. *Example 2*—Present a scenario within a refugee setting where the participants are under the direction of a state (or some other) agency. *Example 3*—Present a scenario in which the research’s focus is on infants under the care of an adult. Ask the class to consider these situations and discuss the potential implications of the administration of informed consent.

This lesson has three parts: (1) an in-class lecture; (2) individual or group homework activity; and (3) a reflective/feedback in-class session.

1 Interactive In-Class Lecture

Using prepared PowerPoint slides, proceed to cover the following:

- Explain to students what ethics in research entails and the origins of ethical concerns in research (5 minutes). Mention the important dates (the Nuremberg Trials and the Tuskegee experiments).
- Cover the fundamental principles of research ethics: respect for persons, beneficence, and justice. Explain what each of these entails (5 minutes).
- Prompt the class to give examples to illustrate the three fundamental principles of respect for persons, beneficence, and justice (5 minutes).
- Next, explain what informed consent is. Explain that it is given by a competent person who has been provided with information, understood it, and, after considering the information provided and without duress, gives permission to participate. Further explain the process of obtaining of informed consent (8 minutes).
- Explain why it is important to obtain informed consent before starting to collect data. With the help of examples, discuss why informed consent is critical in research. Indicate that it gives confidence to the research team that the study participants understand the purpose of the study and what is expected from them. It also improves confidence in the findings (8 minutes).
- Tell the students what information is provided to study participants to facilitate their understanding of the study. Emphasize that the information provided to study participants should be locally and contextually relevant and considers cultural variations. The information should use local language, which study participants can understand, unless they are comfortable with another language. Explain that researchers should use language that is appropriate for the reading level of the average study participant. The informed consent information should cover the following: The description of the research study; objectives; duration of the study; and estimated interview time. Explain the obligations of researchers/study participants; how the study participants have been identified; the risks involved—anticipated or foreseeable risks, physical, social, or psychological as well as cultural. Without exaggeration, the benefits that may result from the study (often benefiting the whole community or beyond); alternatives available to the study participants (are there other ways of getting the required information?) should be explained. Cover issues of confidentiality—who may have access to the information; measures in place to protect the study participants; compensation to cover for time (opportunity costs); and other compensations such as for costs incurred

to reach the study site or place of interview. Provide contact details should the study participants need more information or report negative experiences, and emphasize that participation is completely voluntary (i.e., participants have a right to discontinue their involvement at no penalty for refusal to participate or continue in the study) (15 minutes).

- Next explain the practical steps to have the consent form signed (tell how to do it). Cover the final steps before the signing of the form. Explain that this can only be done once all the information has been given and completely understood by the study participants. Explain that researchers should always remember there could be cultural or social issues in asking individuals to sign documents (8 minutes).

2 Individual or Group Homework Activity

- At this point, the instructor should invite the class to discuss the different case scenarios distributed prior to the class meeting. Together with the students, the instructor should discuss the different scenarios and provide practical steps on how to proceed (15 minutes).
- The instructor will ask students to pair up for a “hands-on” activity to practice obtaining informed consent. Instructor will provide each pair with an example consent form to use for this activity (10 minutes).
- Conclude by providing key take-home messages (2 minutes).

- 1 Ethical principles in research must be followed.
- 2 Consenting is not a legal but an ethical requirement.
- 3 Be aware of cultural/social issues.

Reflection and Class Discussion

- At the end of the lesson, the instructor should ask the students to think about some of the research they have carried out in the past. The instructor should ask the students to list the things they might have done that did not conform to good ethical principles.
- The instructor will give hypothetical scenario(s) depicting different conditions and ask the students to discuss what they would do under each of the identified conditions.
- Ask the students what they could change to right any issues they identify under the set conditions.

Online Teaching Modifications

The lesson can be easily modified for an online class using video conferencing software. The instructors will be required to prepare the slides for the class, acquaint themselves with the online platform they will use, and practice using the online platform. Instructors should be familiar with managing breakout rooms using these online platforms. Instructors should ask reflective questions—students will then respond using functionalities provided by the platform. Alternatively, the instructor could divide the learners into groups and use breakout sessions option. Each breakout group will be asked to select a group leader who will be expected to report back on discussions held in their respective sessions.

Section 2

Sampling in Qualitative Research

Traditionally, estimating the sample size for research using qualitative data was based on rules of thumb and reasoned guesses based on experience and expert readings of the literature. With no empirical guidance, qualitative and mixed-methods researchers could not compete for grants from major funding agencies, plan timelines for long-term projects, or estimate the cost of data collection. This changed with the publication by Guest et al. (2006) of an empirical approach for estimating the sample size needed for what's widely known as saturation—the point where collecting more qualitative data (interviews, song lyrics, movie scripts, soldiers' diaries, paintings from 17th-century Italy, etc.) doesn't lead to the discovery of more themes.

Since then, scholars from many analytic traditions have developed empirical and modeling approaches to estimate sample sizes for analyzing qualitative data. As our understanding of sample sizes for qualitative and mixed methods research has grown, so, too, has research on the performance and implications of different kinds of non-probability sampling approaches, including respondent-driven sampling and theoretical sampling. While we are still a long way from having a rigorous, empirically informed understanding of the many non-probability samples in the literature will perform, the groundwork has been laid for research agenda that will, in time, yield these findings.

Interestingly, much of the research on estimating sample sizes for qualitative data analysis is highly quantitative. That research is particularly prominent in the fields of public and global health, where logical rigor is the most salient requirement for research design and for justifying sampling in grant proposals and publications. The result is that sampling for qualitative and mixed-methods research today requires preparation beyond learning a few rules of thumb and this presents a major challenge: Students may be unaware that they need to learn about sampling. Some may have even been told that sample size estimation and sample design are unnecessary, improper, or impossible to do. The recent and fast-moving nature of research on qualitative and mixed-methods sampling puts a higher burden of preparation on teachers, especially if this was not covered in the teacher's own methods training.

This handbook has four lessons designed to quickly orient teachers to the major considerations in qualitative and mixed-methods sampling. To begin, Hennink provides a nuanced and accessible introduction to sample size estimation. Following that, Wutich and Bernard provide a broad introduction to different approaches to nonprobability sampling. Covering the logic of three different sampling approaches, they explain and compare the different assumptions, procedures, and checks in case-control, respondent-driven, and theoretical

sampling. Next are two lessons with in-depth guidance on how to perform some of the most widely used non-probability samples: (1) McLaughlin explains different techniques and approaches for doing respondent-driven sampling; and (2) Hagaman and Sigdel discuss considerations for designing theoretical samples. Together, these four chapters give teachers a good foundation for teaching sampling for qualitative and mixed methods research.

Reference

Guest, G., A. Bunce, and L. Johnson. 2006. How Many Interviews Are Enough? An Experiment with Data Saturation and Variability. *Field Methods* 18: 59–82.

3 Teaching Qualitative Sample Size Estimation

Monique Hennink

Brief Description of Method

The principle of saturation guides effective sample sizes for qualitative research. Saturation is guided by data adequacy and occurs when data provide a diverse, detailed, and contextualized understanding of the research issues. Saturation is reached when data provide no further understanding on the core study issues. Therefore, the sample size needed to reach saturation will differ for each study and is influenced by the characteristics of a study. Teaching sample size estimation for qualitative research can be challenging because it involves focusing on data adequacy rather than the number of participants per se since a numeric sample size alone provides no indication of data richness, which is a core criterion for reaching saturation. This class activity focuses on using study characteristics to estimate an effective sample size for saturation for a qualitative research proposal.

References for Further Reading

- Constantinou, C., M. Georgiou, and M. Perdikogianni. 2017. A Comparative Method for Themes Saturation (CoMeTS) in Qualitative Interviews. *Qualitative Research* 17(5): 571–88.
- Hennink, H., I. Hutter and A. Bailey. 2020. *Qualitative Research Methods*. 2nd ed., Chapter 6, pp. 108–11. London: Sage.
- Hennink, M., B. Kaiser, and V. Marconi. 2017. Code Saturation versus Meaning Saturation: How Many Interviews Are Enough? *Qualitative Health Research* 27(4): 591–608.
- Hennink, M., and B. Kaiser. 2022. Sample Sizes for Saturation in Qualitative Research: A Systematic Review of Empirical Tests. *Social Science and Medicine* 292: 114523.

Estimated Teacher Preparation Time

2–3 hours

- Read articles.
- Prepare a brief lecture based on reading of articles.
- Review example studies provided and outline potential sample sizes for saturation with appropriate justifications (using instructor notes below) to guide students during the activity.

Estimated Duration of Lesson

- Lecture on saturation and sample size (20 minutes). This can also be pre-recorded and included as student's pre-class preparation.
- Activity (60 minutes).

Materials Needed

- PowerPoint slides for lecture on saturation (prepared by instructor).
- PowerPoint slides for class activity (provided here).
- Class handout that includes: (1) activity instructions, (2) table of parameters influencing saturation, (3) figure of sample sizes for saturation, and (4) two example studies. This handout can be made by printing the PowerPoint slides provided (slides 3–7).

Student Pre-Class Preparation

Read articles:

- Hennink et al. (2017). Review the article to understand the background of saturation, and methods to estimate sample sizes for saturation for a research proposal.
- Hennink et al. (2020). Review Table 6.3 and related text (pp. 108–11) to understand study characteristics that influence saturation.
- Hennink and Kaiser (2022). Review Figure 3.2 and related text on sample sizes for saturation using in-depth interview data and the article's discussion section (pp. 7–9).

Learning Outcomes

On completing this activity, students will be able to:

- 1 Understand how saturation guides sample size estimation in qualitative research.
- 2 Know that saturation is based on data adequacy not the number of participants per se.
- 3 Use study characteristics to *estimate* a sample size for saturation for a research proposal.
- 4 Understand how to identify the *actual* sample size for saturation during data collection.

Lesson Instructions

This lesson has two components: (1) a brief lecture on saturation in qualitative research, (2) a class activity to estimate sample sizes for saturation using study characteristics.

Part 1: Lecture (~20 Minutes)

Prepare a brief lecture using sections of the resources (Constantinou et al. 2017: 4–8; Hennink et al. 2017: 1–4; Hennink et al. 2020: 108–11) to cover the following components:

- Outline the learning objectives of the class (shown on the PowerPoint slide).
- Define saturation and its importance in sample size estimation.
- Describe the challenges in estimating saturation prior to data collection for a research proposal.

- Describe how to *estimate* a sample size for saturation using study characteristics.
- Outline how to identify the *actual* sample size for saturation during data collection.

Part 2: Activity on Estimating Sample Size for a Research Proposal (~60 Minutes)

- Review the overall learning objective of the class activity (to understand how to *estimate* sample sizes for saturation using study characteristics for a research proposal) and the four learning objectives on the PowerPoint slide.
- Arrange students into small discussion groups.
- Provide students with the class handout that includes (a) activity instructions, (b) table of parameters influencing saturation, (c) figure of sample sizes for saturation, and (d) two example studies.
- Show the PowerPoint slide with instructions of class activity ‘Estimating Sample Sizes A Priori’ (provided here) and review the two-step process to estimate saturation using study characteristics, using notes below, to guide students on how to complete the activity:

Step 1: Justify whether a larger or smaller sample size is needed for saturation.

- First, use the table of parameters influencing saturation (Hennink et al. 2020) to discuss how each parameter may influence the sample size needed for saturation in the example study. For example, a broad or exploratory study objective will need a larger sample size for saturation than a focused objective; a homogenous study population will need a smaller sample size to reach saturation than a diverse study population; the use of inductive data collection will need a smaller sample to reach saturation. Consider all parameters combined and decide whether a larger or smaller sample is needed to reach saturation. You don’t need to identify a sample size number at this stage, just decide whether the sample size is likely to be smaller or larger to reach saturation and identify justifications for this based on the study characteristics in the example study.

Step 2: Identify a sample size (the number)

- Next, review Figure 2 in Hennink and Kaiser (2022) to identify the range of sample sizes needed to reach saturation (5–24 interviews) from experiments with in-depth interview data.
 - Based on your assessment in step 1 of needing a smaller or larger sample size for saturation, identify a sample size number for the example study. Remember the sample size range given in Figure 2 is for studies with a homogeneous study population and conducted at a single study site. Your estimated sample size may be outside this range; if so, provide your justification. For example, if the case study has a diverse study population or multiple study sites, you may have estimated a larger sample size than the range indicated in Figure 2.
 - Synthesize your discussion to identify your estimated sample size (the number) and your justifications (the study characteristics). Select a reporter from your group to present this to class.
- Repeat these steps for each example study.
 - Show the PowerPoint slide with the activity instructions while students work on the activity. Allow 30 minutes of group work—15 minutes per case study.

Class Discussion (30 Minutes)

- Begin with Study 1. Ask one group to share their estimated sample size for saturation and their justification based on the study characteristics. Ask other groups to share similarities and differences to group 1.

Instructor notes for study 1: This study has a *focused* study objective, a relatively *homogeneous* study population, is conducted at a *specific* location/campus, and seeks only *main reasons* for non-use of a service to develop a survey instrument. These study characteristics suggest a smaller sample size may be sufficient for saturation (e.g., toward the lower end of the 5–24 interview range indicated by Hennink and Kaiser 2022). However, the interviewers are *inexperienced* in qualitative interviewing, and they will not be using an inductive process of data collection, therefore more interviews may be needed to capture the range of issues needed for saturation (e.g., toward the middle of 5–24 interviews). Ensure that students are using the *study characteristics* to justify whatever sample size they identify and reinforce the point that the sample size justifications come from the study characteristics.

- Move to Study 2. Ask another group to share their estimated sample size for saturation and their justification based on the study characteristics. Ask other groups to share similarities and differences.

Instructor notes for study 2: This study has a *broad/exploratory* study objective, a study population with *diverse* demographic characteristics and varying experience of mental health service use, it will be conducted in *several study sites* (rural and urban), and it seeks to understand the *complexities* of attitudes and behaviors toward mental health services. These characteristics suggest that a larger sample size is needed to reach saturation (e.g., toward the upper end of the 5–24 interview range indicated by Hennink and Kaiser 2022). In addition, there are several study sites (urban and rural) and saturation should be sought in each, thereby increasing the overall sample size for the study, perhaps beyond 24 interviews. However, the study team are *experienced qualitative researchers* so they will know how to probe for rich data; and they plan to use an *inductive* process of data collection, which typically needs a smaller sample for saturation—suggesting saturation may be reached in a slightly smaller sample size than the upper range of 24 interviews. Note that students may identify a sample size for saturation in the rural and urban sites separately, and the total of these two comprises the overall sample size for the study. Again, ensure that students are using the *study characteristics* to justify whatever sample size they identify.

Discussion Questions

- 1 Why did you have different sample size estimates for each example study?
- 2 What did you find most challenging in estimating sample size for the studies?
- 3 What questions do you have on estimating sample size for saturation for a qualitative research proposal?
 - Synthesize main points

Complete the activity by giving a brief synthesis of the reasons for different sample size estimates between the example studies, and the challenges in estimating saturation prior to data collection. Consider these points to reiterate:

- There is no generic sample size for saturation in qualitative research.
- Saturation is influenced by study characteristics, therefore, sample sizes needed to reach saturation likely differ for each study.

- The study characteristics provide justifications for the sample size you select.
- Estimating saturation prior to data collection—for a study proposal—remains an estimate only. The actual sample size for saturation can only be assessed during data collection by reviewing data as you collect it to assess data richness, diversity of issues, and repetition of issues to reach saturation.
- The sample size estimates in the example studies relate to in-depth interview data, however, a similar process is used to estimate saturation for data from focus group discussions.

Online Teaching Modifications

This lesson can equally be delivered in an online format by: (1) providing the brief lecture in pre-recorded format for students to review before class; (2) posting a PDF of the homework readings; (3) posting the class handout; and (4) using video conferencing software and use virtual breakout groups for the activity and the virtual main classroom for feedback and discussion.

4 Non-Probability Sampling

Amber Wutich and H. Russell Bernard

Brief Description of the Method

Non-probability sampling, an umbrella term describing many kinds of samples, is common in qualitative research. The goal is to describe or compare a phenomenon—not estimate prevalence or generalize to a population, as in probability sampling. For non-probability sampling, sample sizes are typically smaller and each case is often selected purposefully. In this exercise, we cover three very different approaches to non-probability sampling: respondent-driven sampling, case-control sampling, and theoretical sampling. Respondent-driven sampling (also called network sampling or chain referral sampling) is useful for studying hard-to-find populations. Case-control sampling, which originated in epidemiology, is used in small n studies designed to determine why similar groups differ on an outcome (such as a rare disease). Theoretical sampling is used to purposefully select respondents who can deepen the researcher’s growing understanding of a grounded theory.

References for Further Reading

- Bernard, H. R. 2018. *Research Methods in Anthropology: Qualitative and Quantitative Approaches*. 6th ed. Chapter 7, pp. 145–62. Lanham, Rowman & Littlefield.
- Patton, M. Q. 2015. *Qualitative Research & Evaluation Methods*. 4th ed. Module 30–40; pp. 264–315. Los Angeles: Sage.

Estimated Teacher Prep Time

60–90 minutes

- Read or review Bernard (2018) and Patton (2015).
- Prepare PowerPoint slides (provided) and homework materials for students (provided).
- Review examples of respondent-driven sampling (RDS), case control, and theoretical sampling. Few students can quickly grasp all three, so the instructor needs a working knowledge of these methods to guide students through the exercises.

Estimated Duration of Lesson

- 60-minute in-class interactive lecture
- 60-minute student-independent activity (homework)
- 60-minute reflective discussion (in a follow-up class session)

Materials Needed

- PowerPoint slides (provided) outlining “Probability & Non-probability Sampling”
- Excel spreadsheet with sampling data for “Case-Control” exercise (provided)

Student Pre-Class Preparation

None. Students are assigned introductory reading on non-probability sampling (e.g., from Bernard, Patton, or another introductory text) before class.

Learning Outcomes

After completing this activity, students will understand the logic for selecting specific non-probability samples and be able to: (1) select RDS, case-control, and theoretical samples and (2) identify potential biases and ethical challenges introduced by these non-probability samples.

Lesson Instructions

Lecture

Using the provided PowerPoint slides:

- 1 *Tell students what we are doing today in class*—3 minutes (PowerPoint slide 1):

Potential script:

Today we will be walking through two major approaches to sampling. Probability samples are used for estimating a value—like the average age or income—in a population and are used in quantitative and mixed-methods studies, like surveys that collect closed-ended and open-ended answers. Non-probability samples are used to understand a phenomenon, experience, or theme. We’ll practice three types of non-probability samples today.

- 2 *Explain the logic of probability sampling and why we use it*—10 minutes (PowerPoint slides 2–11). Give specific examples from established studies (see list in Supplementary materials).
- 3 *Explain the logic of non-probability sampling and why we use it*—10 minutes (PowerPoint slides 12–21). Give specific examples from established studies (see list in Supplementary materials).
- 4 *Work through examples of RDS, case-control, and theoretical samples*—30 minutes. Ask students to describe a study where RDS, case-control, or theoretical samples would be appropriate. For students who have their own research projects: Ask why they think each of the three samples would or would not be a fit. Ask classmates to weigh in on the justifications, adding support or suggesting alternatives. Once you have established that a sample type is appropriate for a project, walk the class through the logistics of the example. Try to do this three times for each of the sample types.
- 5 *Questions and explanation of homework activity*—10 minutes (see homework activity directions below).

Homework Activity

Assignment Instructions for Students:

Draw a sample using the three following techniques:

- 1 Respondent-driven sampling
- 2 Case-control sampling
- 3 Theoretical sampling

Turn in a brief description (<150 words) of what you did. Write this as if it were part of the methods section in a journal article (see Supplementary materials).

Respondent-Driven Sample:

Draw a sample of Spanish-speaking healers who work in *yerberias* (herbal stores) and private practices in an immigrant enclave of a city just north of the U.S.–Mexico border. These healers are typically unlicensed and often work in the informal economy. The hidden nature and specialized expertise of this population pose a significant challenge for this sampling approach. Explain how you will use a respondent-driven sample to gain access to this hard-to-find expert population. You need 20 respondents for semi-structured interviews.

Note to instructor: You can use another population: Replace with any local, hidden expert population that works in the informal economy.

Case-Control Sample:

Draw a case-control sample of schools in U.S. zip code 85006. Your sampling frame is a spreadsheet (provided) with basic descriptive statistics for the student bodies of 25 schools (post to LMS so students can easily access it). You are interested in exploring how student/teacher ratios affect a school's state-assigned designation as "passing" or "failing." You need five cases and five controls for this analysis.

Note to instructor: You can use another population: find a dataset in which the role of one variable in predicting a condition/outcome is unknown—but there are documented predictors that can be matched and controlled for in your sample.

Theoretical Sample:

You are conducting a grounded theory study of "second puberty" among transgender people. This term is used colloquially to describe experiences of people who use hormone replacement therapy as part of a gender-affirming transition after already having previously gone through puberty. Explain how you will select each respondent in your study, and how you will know when to stop.

Note to instructor: You can use another population: Replace with any population experiencing emergent phenomena that are not yet well documented in the literature. (Experiences of new medical technologies, for example, could be good candidates.)

Reflection and Class Discussion

Overview: This discussion should happen after the students have completed the homework activity (~60 minutes). The goals are to have students (a) *reflect on* their difficulties applying the sampling techniques; (b) *hear how* other students navigated challenges in applying the sampling techniques; and (c) *come to understand* the most important rules of thumb for applying these sampling techniques correctly or defensibly. Try to have the conversation be student-led, offering your own expertise as a resource that students can call on. (Note: In our

experience, there is a high rate of misapplication, misunderstanding, and logical error in the students' first-time use of these techniques—expect that you will need to offer students consistent guidance and correction.) Depending on the size of your class, this discussion can be among all members of the class or in small groups that report back to the class.

Discussion Guide:

1 Respondent-driven sampling

- How many seeds did you select?
- How did you find initial and later seeds?
- How did you structure seed incentives? Address conditions under which incentives are offered; the actual incentive; ethics of this incentive structure.
- How many referrals did you allow per seed?
- What kind of referral procedure did you set up?
- What incentives did you offer for recruited participants? Address conditions under which incentives are offered; actual incentive; ethics of this incentive structure?
- How did you handle the hidden nature of this population?
- How did you minimize bias in your RDS sample?

2 Case-control sampling

- Which variable(s) can vary freely (i.e., not matched)?
- What number of variables did you choose to match on and why?
- Which variables did you match on?
- How did you define “matching” (i.e., variable value range)?
- What did you do about variables with missing/incomplete data?
- How well-matched are the observations in your dataset?
- How confident are you that you are controlling for key variables?

3 Theoretical sampling

- How did you select your initial respondent(s)?
- How many respondents did you select to begin?
- What did you do after interviewing your initial respondent(s)?
- How did you select the next respondents?
- Did your process for selecting respondents change over time? How?
- How did you know you could stop sampling?
- How do you know that you have interviewed enough respondents?
- Did you offer incentives? Why or why not?
- Did you anticipate any ethical challenges and how did you address them?

Online Teaching Modifications

This lesson can be adapted for online teaching by (1) sharing readings online; (2) pre-recording the lecture; (3) posting homework materials online; (4) holding student discussions synchronously in small groups or asynchronously in discussion boards; and (5) providing voice memo or written feedback to students.

5 Collecting Data from Networked Populations

Snowball and Respondent-Driven Sampling

Katherine R. McLaughlin

Brief Description of Method

Snowball sampling (also called chain sampling, link-tracing sampling, or referral sampling) is a nonprobability sampling method where study participants recruit future subjects from among their acquaintances. Respondent-driven sampling (RDS) is a type of snowball sampling developed by Heckathorn (1997), where the number of recruits per participant is limited and statistical adjustments are made to try to approximate random sampling. These methods are particularly useful when the population social network is highly connected, and a list of population members and contact information (sampling frame) cannot be obtained. Snowball sampling and RDS are, therefore, commonly used to sample members of hidden populations including sex workers and people who inject drugs. Because of dependence in the sample when participants recruit their peers as well as the difficulty reaching isolated or weakly connected individuals, appropriate methods must be used when analyzing data with the goal of population inference.

References for Further Reading

- Biernacki, P., and D. Waldorf. 1981. Snowball Sampling: Problems and Techniques of Chain Referral Sampling. *Sociological Methods & Research* 10: 141–63.
- Crouse, T., and P. A. Lowe. 2018. Snowball Sampling. In *The Sage Encyclopedia of Educational Research, Measurement, and Evaluation*, Vol. 1, edited by B. Frey, 1532. Thousand Oaks: Sage.
- Gile, K. J., and M. S. Handcock. 2010. Respondent-Driven Sampling: An Assessment of Current Methodology. *Sociological Methodology* 40: 285–327.
- Heckathorn, D. D. 1997. Respondent-Driven Sampling: A New Approach to the Study of Hidden Populations. *Social Problems* 44: 174–99.
- Johnston, L. G. 2013. *Introduction to HIV/AIDS and Sexually Transmitted Infection Surveillance, Module 4: Introduction to Respondent Driven Sampling*. Geneva: WHO/UNAIDS. http://applications.emro.who.int/dsaf/EMRPUB_2013_EN_1539.pdf (accessed January 14, 2022).
- Johnston, L. G., and K. Sabin. 2010. Sampling Hard-to-Reach Populations with Respondent Driven Sampling. *Methodological Innovations Online* 5: 38–48.

Estimated Teacher Prep Time

60–90 minutes

- Read or review the background literature, particularly the first five. The final reference is long and includes detailed information particularly useful for those implementing the method in their own research. Identify a few case studies/example social networks that

will be interesting for the course to provide real-world context (e.g., sex workers, unhoused persons, Facebook, resource sharing, etc.).

- Prepare PowerPoint slides (provided), in-class worksheet (provided), and homework materials (provided) for students by making any customizations needed.
- Read over the two examples and discussion questions in the PowerPoint slides to make sure you are familiar with them. Be prepared to facilitate the discussion where needed.
- Print out copies of the in-class worksheet and homework assignment and/or make them available on the learning management system (e.g., Canvas).

Estimated Duration of Lesson

- 80-minute in-class lecture including group worksheet (Class 1)
- 90-minute student-independent activity (homework)
- 20-minute reflective discussion (Class 2)

Materials Needed

- PowerPoint slides for “Snowball and Respondent-driven Sampling: Collecting Data from Networked Populations” (provided)
- Worksheet for in-class activity (provided)
- Homework assignment (provided)

Student Pre-Class Preparation

None is required for Class 1, although students can be assigned a relevant reading if desired. Students should complete the assigned homework prior to Class 2.

Learning Outcomes

Students will (1) gain a conceptual understanding of snowball and RDS; (2) learn the advantages and disadvantages of each method; (3) understand how the population social network structure, number of seeds, and number of coupons (for RDS); and recruitment effectiveness affect the observed sample; and (4) explore ways in which the methods could be practically implemented.

Lesson Instructions

This lesson consists of three parts: (1) an in-class lecture, group worksheet, and discussion that should take place during class one; (2) a homework activity between the two classes; and (3) a reflective class discussion during Class 2, approximately one week following the first class. It is appropriate for both graduate and advanced undergraduate students. Some background knowledge of basic sampling and social network terminology is assumed.

In-Class Lecture, Group Worksheet, and Discussion (~80 minutes)

Overview

The goal of the lecture is to: (1) explain snowball sampling and RDS as data collection methodologies; (2) identify the advantages and disadvantages of each method; and (3) identify the ways in which the structure of the population social network and choices made by the

researcher may affect the sample that is obtained. One example network is provided as part of the lecture, and another is given to students in a worksheet they should complete in small groups in class, with a discussion following.

Step 1: Proceed with the lecture as follows (using the provided PowerPoint slides) (~45 minutes):

- *Describe the lesson structure to the students*—5 minutes
- *Introduce the concept of snowball sampling*—5 minutes (slides 1–2): It may be helpful, depending on the size of the class, to call on students to demonstrate a few waves of recruitment. Emphasize that this is a nonprobability sampling method and why it relies on the social network.
- *Motivate the concept of the population social network*—5 minutes (slides 3–5): This is a good place to introduce the example network considered during teacher preparation time that will be particularly relevant for the course and/or examples from your own research. Pay particular attention to making sure students are comfortable with the features of the toy example network on slide 4 as this forms the basis for the lecture. For advanced classes, you can ask them to share how they may have used networks in their own research.
- *Work through the snowball sampling example*—10 minutes (slides 6–13): Discussion questions are provided to engage the class. Take time to ask the questions and get student responses. Some questions have multiple correct answers, so soliciting multiple student responses may be helpful. Time permitting, particular attention can be given to the question of how recruitment/participation rate may affect the sample obtained.
- *Describe the advantages and disadvantages of snowball sampling*—5 minutes (slides 14–15): This can be framed in the context of one of the case studies from the readings. Emphasize the ability to collect data and reach people who may be inaccessible via random sampling and why it is used in hidden populations, as well as the biases that may occur.
- *Explain what RDS is and work through the example*—10 minutes (slides 16–25): Discussion questions are provided to engage the class. Take time to ask the questions and get student responses. Some questions have multiple correct answers.
- *Describe the advantages and disadvantages of RDS*—5 minutes (slide 26): Again, this can be framed in the context of one of the hidden population examples from the readings to make it more concrete.

Step 2: Group worksheet and discussion (~30 minutes)

- *Hand out the worksheet and ask the class to form groups of 3–4 students (or assign the groups yourself)*—3 minutes
- *Introduce the worksheet*—2 minutes: This can be done by stating that it provides an additional example of a population social network beyond what was in the slides. Ask the students to take 15 minutes to work with their group to answer the questions on the worksheet, and tell them that they can ask questions while working if needed.
- *Students complete worksheet*—15 minutes
- *Facilitate a discussion of the worksheet*—10 minutes: Either ask for volunteers or call on groups to answer the questions on the worksheet. Questions 5 and 7 can facilitate

deeper discussion, so get multiple groups to share answers. For advanced classes, discuss these questions in the context of a particular example from your/their own research and/or the readings. Unit 4 of Johnston (2013) may provide some helpful examples.

Step 3: Summary and introduction of the homework (~5 minutes)

- *Conclude the lesson* by summarizing the key discussion points and answer any remaining questions—3 minutes
- *Explain the homework activity*—2 minutes (see homework activity directions below)

Homework Activity (~90 minutes)

Overview:

The assignment should be completed individually. Plan to give students about one week to work on the assignment and advise them to start the exercise shortly after the first class. Depending on the class size and perceived comfort in asking members of their social networks to participate, the assignment can be modified such that students are only recruiting other members of the class.

- Students will practice collecting a small RDS from their own social network using coupons. They will pick a noninvasive research question of interest, design coupons, and a data collection framework, and obtain several waves of data.
- The activity may be modified to address any privacy or safety concerns you have, for example, by asking students to create digital coupons rather than physical coupons if trying to limit in-person interactions.
- *Instruct students to follow the procedure outlined in the assignment* (provided)
- *Students should submit the following deliverables:* (1) a written summary of their sampling process and lessons learned; (2) an image of the coupon used; and (3) a drawing of the recruitment chain obtained from data collection. These will all facilitate reflection and discussion during a subsequent class.

Reflection and Class Discussion

Overview

The goals of the discussion are to have students (1) *reflect on* their experiences with the homework; (2) *compare* their approach with those used by other students; and (3) *extend* the lessons learned for future research. Depending on the size of the class, discussion can be among all members or in small groups who report back to the class.

Discussion Questions

- 1 Share your experience designing and carrying out the RDS sample in the homework. What worked well and what could be improved? See the end of the assignment for specific questions that can facilitate discussion.
- 2 How did decisions like coupon design, whom to recruit, and how to collect data affect the sample obtained?
- 3 In what contexts do you think these methods would be helpful for your own research?

Online Teaching Modifications

This lesson can easily be adapted for online teaching by connecting with students via video conferencing and (1) posting a PDF of the slides and worksheet; (2) giving the lecture (Step 1) live and having students interact as described; (3) placing students in breakout rooms to complete the worksheet (Step 2) before returning all students to the main session for discussion; (4) posting the homework instructions and having student turn in online; and (5) holding a second live synchronous class for reflection and discussion.

6 Sampling Design for Qualitative Research

Teaching Theoretical Sampling for Cross-Cultural Research

Ashley K. Hagaman and Kripa Sigdel

Brief Description of Method

Sampling in qualitative research can be mystifying, particularly if the goals of the research are exploratory. Additionally, few methods specifically account for the complexities involved in conducting cross-cultural, multi-linguistic research. This chapter will give an overview and step-by-step approach of *theoretical sampling*, a method closely linked, but distinct, from *purposive sampling*. It is fun to anchor this method's teaching in a concrete topic relevant and salient to student interests and experiences and walk through the process with them to develop their skills.

References for Further Reading

- Corbin, J., and A. Strauss. 2015. Theoretical Sampling. In *Basics of Qualitative Research*, edited by J. Corbin and A. Strauss, 4th ed., 34–152. Thousand Oaks: Sage.
- Conlon, C., V. Timonen, C. Elliott-O'Dare, S. O'Keeffe, and G. Foley. 2020. Confused about Theoretical Sampling? Engaging Theoretical Sampling in Diverse Grounded Theory Studies. *Qualitative Health Research* 30: 947–59.
- Hagaman, A. K., and A. Wutich. 2017. How Many Interviews Are Enough to Identify Metathemes in Multisited and Cross-cultural Research? Another Perspective on Guest, Bunce, and Johnson's (2006) Landmark Study. *Field Methods* 29: 23–41.

Estimated Teacher Prep Time

60–90 minutes

- Read or review Corbin and Strauss, Chapter 13
- Prepare PowerPoint slides with an example salient to your students
- Prepare homework materials for students (provided)

Estimated Duration of Lesson

- 80-minute in-class interactive lecture
- 60-minute student-independent activity
- Application in an applied/active research study (optional)

Materials Needed

- Homework (provided)

Optional Materials

- PowerPoint slides (created by the instructor)

Student Pre-Class Preparation

None.

Learning Outcomes

Completing this lesson, students will be equipped to: (1) define what theoretical sampling is and when it is appropriate; (2) describe theoretical sampling procedures and the use of axes of variation; and (3) apply theoretical sampling concepts to various qualitative research questions, specifically those anchored in rich and varied cultural settings.

Lesson Instructions

1 *Explain what theoretical sampling is.*

Qualitative sampling typically seeks to maximize both diversity and depth of detail to capture a phenomenon's complex dimensions. Theoretical sampling is used to maximize selecting informants whose experiences and perceptions can add rich and dense data to help explain the phenomenon your research is interested in uncovering. This sampling approach is cumulative, beginning with broad definitions and responsively adjusting to the information gathered to become more targeted. Theoretical sampling is not restrained to a priori selection but adjusts to inform what data to collect next to develop a theory or meet your targeted qualitative needs.

2 *Explain when to use theoretical sampling.*

Theoretical sampling is best used when the research is exploring a new or previously unexplored phenomenon because it will help the researcher make sampling decisions that will bring the greatest theoretical return. While purposive sampling involves intentionally selecting characteristics to sample at the outset of a qualitative study to maximize breadth of information gathered (e.g., age, gender identity), theoretical sampling is anchored and dependent on data collected and the processes and contexts the research has pursued to gain a fuller understanding of the phenomenon under study. Therefore, all theoretical sampling is purposive sampling (e.g., the researcher purposefully selects what characteristics to sample on), but not all purposive sampling is theoretical. Theoretical sampling works well for qualitative individual interview-based methods but can be used for focus groups and, though less often, for other qualitative data collection techniques like observations and document reviews. Consider giving examples from your own research to highlight when theoretical sampling was and was not the best choice for a particular research project.

3 *Review the key considerations for developing a theoretical sampling plan.*

In line with the theoretical sampling approach, considerations and sampling decisions will adjust to respond to the data that is collected (e.g., empirically driven). However, the researcher may start with identifying the population they are targeting to answer their research questions (e.g., site(s); group(s); people, events) and sources of

variation, also known as axis of diversity (e.g., gender, age, and other relevant characteristics to consider according to the research question and context). An *axis of diversity* is a feature of the population that the researcher chooses to vary their sample according to. This is informed by theory (e.g., the literature), experience (e.g., researcher expertise in the field), and empirical data (e.g., the interviews you collect over time). Other initial considerations for sampling will also include how long an area will be under study and *how* the researcher will find participants. Vis-à-vis theory and researcher intuition, sampling decisions are also shaped by feasibility (e.g., time, funding, human resources). There are important considerations for teams conducting theory-building research in multi-sited or culturally diverse settings. If sites are heterogeneous (e.g., varying languages, ethnicities, and social hierarchies), it is likely that additional theoretical considerations and interviews may be necessary. In past methodological research, up to 40 interviews per site may be required to make appropriate qualitative comparisons across culturally diverse sites. Consider giving examples from your own research about how you balanced theoretical importance, cultural diversity, and feasibility in a sampling plan.

4 *Walk through step by step the development of a theoretical sampling matrix.*

We have provided one example in the homework, but this works best when the instructor collaborates with the class on a research question that is salient to the class. Together, the instructor and students will identify theoretically relevant categories (e.g., axes of diversity) that are feasible to sample. First, give an overview of each step (below). Then, with your example research question (ideally a grounded theory research question), walk through each step with your prepared example.

- a Step 1: Define study goals and targeted population(s).
- b Step 2: Brainstorm, research, and list all the theoretical axes of diversity (e.g., sources of variation) you believe to be relevant to your study. Include a brief definition of each axis.
- c Step 3: Clarify the theoretical rationale for including each axis of diversity identified above as a potential axis on which to sample.
- d Step 4: Prioritize the list by focusing on theoretical importance and feasibility (helpful tip: if you need to decide which one of two equally important axes to include in your theoretical sampling framework, choose the one which is the most feasible to operationalize when you are selecting participants in the field).
- e Step 5: Define inclusion criteria into something assessable/measurable for each axis of diversity in a framework (e.g., gender identity could be operationalized as male, female, non-binary).
- f Step 6: Define your (initial) matrix (a visual description of the diversity you aim to include in your sample). This will adjust as you collect data and become more informed about your theoretical discoveries.

There is no set limit on the number of axis you can prioritize, however, feasibility (and iterative data collection) will limit these. Typically, grounded theory studies might start with two to three axes, though it is dependent on the heterogeneity of your research population and the research goals.

5 *Questions and explanation of homework activity* (find homework included with detailed instructions).

Reflection and Class Discussion

This discussion should happen after the students have completed the homework. Employ discussion facilitation techniques that work well for your class.

Discussion Questions:

- 1 Before this lesson, what qualitative sampling techniques have you used in the past? How do these approaches compare to theoretical sampling?
- 2 How did you prioritize your axis of diversity in the homework?
- 3 Given your research population, how did cultural or site diversity impact your theoretical sampling matrix?

Online Teaching Modifications

This content has been delivered in-person and via video conferencing software. It may be adapted for fully online teaching in the same way other lessons in this handbook. Post-reading materials, giving the lecture live and having students interact synchronously as described, or pre-recording and posting a modified lecture where you describe each technique and ask students to pause and do the activity rather than soliciting student responses, posting the homework instructions and having students turn their work in online, and follow up in the next class with discussion questions or host a written discussion board where students can respond to each other.

Section 3

Interviews as Data Collection

In unstructured and semi-structured interviews—the most widely used methods for collecting qualitative data—researchers use a free-flowing format and conversational style so that respondents can tell their own stories in their own words. Group interviews use the social dynamics between people to open up new pathways of data collection, reveal hidden knowledge, and learn in-group categories and language use. Unstructured, semi-structured, and group interviews are best at the exploratory stage of research. Structured interviews, like questionnaires, are best at the confirmatory stage of research. Other structured interviews, like listing and sorting exercises, can be important for eliciting the content of cultural domains and social networks. This section covers the various skills required for these interviewing methods.

One difficulty in teaching interviewing is that it hews closely to the conventions of natural conversation, so students may assume they can do it well with very little training. It's common, for example, for students to simply compose a list of the research topics they want to cover, and assume this will be sufficient to collect data to answer their research questions. One of the biggest challenges, then, in teaching interviewing, is to get students to think about conversations they participate in as data, the systematic analysis of which can reveal theoretically interesting patterning. A second significant challenge is teaching the science and the art of interviewing within the confines of one or two lectures or classes.

In this section, we provide three categories of lessons to teach interviewing as data collection. We begin with the most common approach, semi-structured interviewing. Roulston's lesson provides an overview on how to conduct conversational interviewing for a wide range of research studies. Following that, Willis provides a lesson on cognitive interviewing. Cognitive interviewing is one of the most important techniques for refining interview protocols and ensuring that each question performs as the researcher imagines as a data elicitation tool. Next, Baugh provides a lesson on ethnographic interviewing, which draws heavily on linguistic methods and kinship studies.

In the next section, there are three lessons focused on cultural domain and social network elicitation. Cultural domains are sets of culturally shared knowledge. In the first lesson, Weller provides guidance on how to teach free-list interviewing, a technique for listing all the knowledge a respondent has about the content of one cultural domain. Weller also provides broader suggestions for how to teach free listing as part of an overall course on survey methods. In the second lesson, Johnson explains how the cultural knowledge elicited through free listing can be converted into survey questions. Importantly, Johnson covers how and why interview questions can be composed in ways that yield data on cultural sharing and intracultural variability—a key to identifying theoretically-interesting patterning

in interview data. McCarty's lesson teaches students how to elicit ego-centric (or personal) social network data, a unique and valuable form of structured interviewing.

In the third section, two lessons address group interviewing. Morgan's lesson provides a hands-on approach for teaching the moderation of focus group interviewing. Liamputtong goes on to teach students how to design and implement focus groups, with ideas for having students try it out by running a focus group on themselves, using the research topic and questions they identified.

7 Teaching Interviewing

How to Guide Conversations for Qualitative Research

Kathryn Roulston

Brief Description of Method

Interviews are one of the most-used methods in qualitative inquiry, ranging from semi-structured to open-ended formats. Through a range of interview formats, including phenomenological, ethnographic, life and oral histories, feminist, dialogic, and decolonizing approaches, conducted in-person, via telephone, and online, researchers use participants' verbal descriptions to understand people's experiences, perceptions, beliefs, opinions, meaning-making, and reasoning practices. To elicit detailed descriptions from research participants using any of these approaches, researchers must develop skills in asking questions and following-up on participants' answers in ways that extend and deepen conversations. Learning how to conduct semi-structured interviews provides a starting point to explore other interview formats. For example, researchers use a range of elicitation strategies that involve participants in talking about visual images, material objects, and vignettes, or engaging in graphic elicitation. Interviewers ask questions of interviewees while walking or traveling with them in cars or other forms of transportation during everyday activities. Semi-structured interviews are a flexible method that can be used to discuss research topics with participants. Interviews unfold differently because interviewers follow interviewees' leads in what to talk about. This activity helps novice researchers understand how to prepare for interviews, formulate clear, open-ended questions, respectfully listen to participants, and thoughtfully reflect on their interview practice to develop skills in guiding conversations.

References for Further Reading

- Brinkmann, S. 2018. The Interview. In *The Sage Handbook of Qualitative Research*, edited by N. K. Denzin and Y. S. Lincoln, 576–99. Los Angeles: Sage.
- Castrodale, M. A. 2018. Mobilizing Dis/Ability Research: A Critical Discussion of Qualitative Go-Along Interviews in Practice. *Qualitative Inquiry* 24: 45–55.
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- Sampson, H., and I. A. Johannessen. 2020. Turning on the Tap: The Benefits of Using “Real-life” Vignettes in Qualitative Research Interviews. *Qualitative Research* 20: 56–72.
- Söderström, J. 2020. Life Diagrams: A Methodological and Analytical Tool for Accessing Life Histories. *Qualitative Research* 20: 3–21.
- Woodward, S. 2016. Object Interviews, Material Imaginings and “Unsettling” Methods: Interdisciplinary Approaches to Understanding Materials and Material Culture. *Qualitative Research* 16: 359–74.

Estimated Teacher Preparation Time

90–120 minutes

- Review Roulston and Halpin (2022) and Roulston and Choi (2018).
- Outline design decisions concerning theoretical and methodological approaches to interviewing and sampling and recruitment of participants and the steps involved in designing and conducting an interview study.
- Select a topic to be used for a demonstration interview and formulate potential interview questions. The topic should be sufficiently broad that students can conduct and participate in 30-minute practice interviews with a partner during class time.

Estimated Duration of the Lesson

- 30-minute lecture
- 30-minute demonstration interview
- 15-minute class discussion of demonstration interview
- 60-minute practice interviewing in pairs
- 15-minute class discussion of practice interviews

Materials Needed

- Model interview questions (example provided)
- Reflective questions for practice interviews (provided)

Students Pre-Class Preparation

Students need to have read Roulston and Halpin’s chapter prior to class.

Learning Outcomes

After this activity, students will be able to: (1) develop an interview guide to elicit participants’ descriptions to inform research questions; (2) identify a range of elicitation approaches to supplement verbal descriptions; (3) understand the steps involved in recruiting,

consenting, and preparing for a qualitative interview; (4) conduct a 30-minute open-ended interview using an interview guide to elicit verbal descriptions. Optionally, if students are assigned an interview project after the lesson, they will be able to; (5) transcribe an audio-recorded interview using digital tools; (6) format the document in preparation for analysis; (7) reflect on their interview practice and consider implications for using this method; and (8) complete thematic analysis of the interview transcript.

Lesson Instructions

This lesson has four parts: (1) a lecture; (2) an interview demonstration; (3) an in-class practice interview in pairs; and (4) a reflection and class discussion. After the lesson, instructors might choose to assign an interview project for homework. It is appropriate for advanced undergraduate students and graduate students.

Lecture (~30 minutes)

- a Begin the presentation by playing the first 5 minutes of an archived interview (an example is provided; instructors might use archived interviews from a local collection). Ask students to listen for and write down the interviewer's questions and describe the interviewee's responses to the questions. Instructors should ensure that the interview selected provides a good example of how interviewees can respond to short open-ended questions with detailed descriptions.

Example: Athens Oral History Project, Richard B. Russell Library for Political Research and Studies, University of Georgia Libraries, Athens, GA, 30602-1641. Interview with Lemuel LaRoche, January 12, 2015. Alexander Stephens, Interviewer, RBR361AOHP-007 <https://ohms.libs.uga.edu/viewer.php?cachefile=russell/RBRL361AOHP-007.xml>

- b Define "research interview." Describe the variety of approaches that can be used to conduct interviews in terms of modality, elicitation methods, and methodological and theoretical underpinnings (i.e., face-to-face/online; individual/dyadic/group; object, photo and graphic elicitation methods; and phenomenological/ethnographic/oral history/feminist/dialogic/decolonizing).
- c Explain the process involved in designing an interview study, including sampling and recruitment, formulation of an interview guide, ethical approval, planning for an interview (place, time, and recording options), transcription, and analysis.
- d Share examples of interview questions related to a research topic, and how to develop open-ended questions designed to elicit participants' descriptions about past, present, and future experiences, beliefs, perceptions, and opinions.

In-Class Interview Demonstration and Discussion (~45 minutes)

- a The instructor will conduct a 30-minute demonstration interview with a volunteer (e.g., Appendix 1). The interview should demonstrate how follow-up questions might be posed using the participant's own words. Split the class into two groups: One group should take notes on the interviewer's questions and body language; the other group should take notes on the interviewee's answers and body language.

b After the demonstration, ask students what they observed about the questions posed, how the interviewer followed up on the interviewee's accounts, and what they noticed about the interviewer's and interviewee's body language. The instructor should provide an opportunity for the interviewee to talk about their experience being interviewed.

1 Practice interviews (~60 minutes)

In pairs, students will practice conducting a 30-minute interview (e.g., Appendix 1). Students should be encouraged to ask follow-up questions using the participant's own words. Should the interview be shorter than 30 minutes, students should generate other questions related to the topics discussed.

Reflection and Class Discussion (~15 minutes)

a Students will free-write for 5 minutes on their experience as an interviewer. Reflection questions include:

- What went well in the interview?
- What challenges did you encounter in asking questions and following up on your interviewee's answers? Were you able to ask short open-ended questions?
- Did you refrain from talking about your own experiences? If not, what happened?
- Did you allow sufficient wait time for your participant to answer a question before asking another question?
- If you were to conduct this interview again, what would you do differently?

b Students will share the key points from their reflection with a partner (5 minutes).

c The instructor will ask for volunteers from the class to share reflections with the whole group (5 minutes).

Interview Project (~5 hours, optional homework activity)

a Students will plan and conduct one 30- to 45-minute audio-recorded semi-structured interview on a topic of their choice. The instructor could choose to use the same topic for the whole class or students could generate their own interview guides.

b Students will transcribe the audio file and, together with the transcription, submit a paper that includes

- a review of the process of doing the interview (i.e., the process for recruiting the interviewee, where and when the interview took place, and any unexpected challenges that occurred);
- a reflection on the process of conducting the interview (Roulston et al. 2003 includes reflection questions);
- an overall assessment of interview practice that draws on methodological readings on interviewing; and
- an overview of the topics discussed in the interview.

c Optional: Students could bring their interview transcriptions to class and work on group data analysis. This works best when students have conducted interviews on the same topic (~3 hours).

Online Teaching Modifications

This activity can be modified for use in online teaching by (1) including the video and transcription of an archived interview as a demonstration, and (2) creation of a pre-recorded lecture. In asynchronous online classes, rather than practice with a peer, students can be assigned to practice their interview with a friend or family member and write a short discussion post about the experience. In synchronous online classes, students can conduct an online interview with a peer in breakout groups.

8 Cognitive Interviewing for Questionnaire Design and Evaluation

Gordon Willis

Brief Description

Cognitive interviewing—also referred to as cognitive testing—is a generally accepted qualitative research method for avoiding measurement pitfalls in questionnaire design. Although the application of the method is flexible, it normally involves testing questionnaire items on individuals who are as representative as possible of the population to be surveyed, prior to the conduct of a full survey (aka “pretesting the questionnaire”). Cognitive interviewing can be applied to a wide range of types of questionnaires, including those of individuals, business establishments, those intended for either adults or children, and for questionnaire instruments that are administered either through interviewer administration (in person, telephone) or through self-administration (paper- or computer-based). Further, cognitive interviewing can be adapted to the testing and evaluation of a range of materials other than survey questionnaires, including informational brochures, and consent forms for biomedical research. The method is used widely by federal agencies across multiple nations, by survey contract organizations, and by university survey researchers. Increasingly, cognitive interviewing has been used in multicultural and multilingual contexts, where a basic objective is to determine the degree of cross-cultural comparability between translated versions of survey items.

Procedurally, cognitive interviewing is conducted by specially trained interviewers through one-on-one interviews, in which the interviewer asks a volunteer respondent to answer survey questions to be evaluated, but also delves into the thought processes used by respondents to answer the items. The interviewer may rely on asking the respondent to “think aloud” as they answer the questions but generally relies on asking “cognitive probe” questions that actively endeavor to provide an understanding of how the respondent interprets the item and its individual terms, recalls key information relevant to answering, and decides to answer in a certain way. The simplest probe question—and one that is frequently used—involves a request to “Tell me more about that” or “Say more about what you are thinking.” Similar, more targeted probes are also designed to better understand the reasons that a particular response was given (“Why did you answer yes?”); or to address more specific issues that are relevant to the item being evaluated (“What does the phrase *health in general* mean to you?”). On the basis of the accumulated responses to the probe questions, often from small number of interviews (generally 10–30, although sometimes several hundred for a large-scale multicultural/multi-lingual investigation), the interviewer and questionnaire designers determine whether the evaluated items are collecting the type of information required, and if they are understood as intended by the investigators/researchers. Very often, defects are identified that require item revisions, because items are found to be vague, difficult to understand,

ask for information that respondents cannot recall, produce biased responses, or otherwise produce response error (i.e., the discrepancy between the true value of a measure and that provided by the survey respondents). Revised items may be subjected to further, iterative rounds of interviews to determine whether the new version is improved, such that it avoids the problems previously identified, but without creating additional problems. It is common practice to conduct two to three rounds of between 5 and 12 interviews, before ending the cognitive testing process and then finalizing the question wording. Analysis of results is generally based on the application of standard approaches from the qualitative research field, where common or underlying themes in respondent reports are ascertained, interpreted, and summarized. A cognitive testing report will usually be written by the investigators to specify the procedures used, the results, and the recommendations for modifications to tested items. In many applied contexts, the cognitive interviewing team will also work with clients or survey designers to determine precise measurement objectives, and to determine whether the evaluated items are fulfilling those objectives or research questions effectively.

References for Further Reading

- Beatty, P. C., and G. B. Willis. 2007. Research Synthesis: The Practice of Cognitive Interviewing. *Public Opinion Quarterly* 71: 287–311.
- Boeije, H., and G. B. Willis. 2013. The Cognitive Interviewing Reporting Framework (CIRF): Towards the Harmonization of Cognitive Testing Reports. *Methodology* 9: 87–95.
- Collins, D. 2014. *Cognitive Interviewing Practice*. London: Sage.
- Miller, K., S. Willson, V. Chepp, and J. L. Padilla. 2014. *Cognitive Interviewing Methodology*. New York: Wiley.
- Willis, G. 2005. *Cognitive Interviewing: A Tool for Improving Questionnaire Design*. Thousand Oaks: Sage.
- Willis, G. B. 2015. *Analysis of the Cognitive Interview in Questionnaire Design*. New York: Oxford University Press.

Estimated Teacher Prep-time

If the instructor relies on materials that have been previously developed (as by this author and shared in the References for Further Reading, above), it should require about 2 hours for an instructor with knowledge of questionnaire design and qualitative research procedures to be prepared to teach a basic introduction to cognitive testing. This includes creating Power-Point slides and any related practice material. If the objective is to provide a more intensive level of training, then it might take at least one working day, and perhaps more, to develop specialized materials (e.g., a particular questionnaire to be tested/evaluated), to develop presentation slides, and to develop practice materials for use in mock cognitive interviewing exercises.

Estimated Duration of Lesson

The time required to prepare a lesson in cognitive interviewing depends on whether the instructor's objective is to provide an overview, versus conducting training that will enable trainees to begin to conduct cognitive interviewing studies themselves. For an overview, a 1- to 2-hour session is adequate. For training purposes, it is best to provide a one–two-day short course on cognitive interviewing methods that incorporate lecture, demonstration, interviewing practice, and interpretation of results.

Materials Needed

Teaching cognitive testing is best done through the use of a series of presentation slides, interspersed with practice based on paper hand-outs. For general instruction, the instructor can use a sample of items, based on a generic questionnaire, for practice purposes. For project-specific training, it is helpful to include a copy of the questionnaire instrument to be evaluated.

Student Pre-Class Preparation

A general introduction that students can read prior to instruction is Chapter 1 of the book *Cognitive Interviewing: A Tool for Improving Questionnaire Design* (Willis 2005). As background, students should have a working background in questionnaire design, and if this field is new to them, they should consult one of the many existing sources on the topic (Chapter 2 of Willis 2005 provides a short overview; and whole books that focus completely on questionnaire design are also available).

Learning Outcomes

At the most basic level, the student will attain knowledge of basic purposes and procedures of cognitive testing, and be able to interpret and evaluate studies that have incorporated cognitive testing. At a more advanced level of instruction, the student will attain basic proficiency in the development and administration of cognitive probes for the evaluation of a set of tested survey items, for a range of questionnaire-design projects.

Lesson Instructions

Outline of Teaching Steps

The following is an example of teaching steps appropriate for a 9-hour online-based short course in *Cognitive Interviewing: An Applied Approach*, based on materials previously developed by the author:

Day 1 (3 hours)

Part 1: Introduction to cognitive interviewing (based on Willis 2005, Chapter 1): 60 minutes

Present Video: Cognitive interview (pre-recorded), or live mock interview with an assistant: 30 minutes

Part 2: Background theory (based on Willis 2005, Chapter 3): 30 minutes

Exercise A: Demonstration or paired practice: Interviewer-administered cognitive interview: 30 minutes

Discuss Exercise A with attendees: 30 minutes

Day 2 (3 hours)

Part 3: Creating cognitive probes (based on Willis 2005, Chapter 5): 60 minutes

Part 4: Think-aloud and verbal probing approaches (based on Willis 2005, Chapters 6 and 7): 45 minutes

Part 5: Avoiding probing pitfalls (based on Willis 2005, Chapter 8): 30 minutes

Part 6: Adapting to survey administration mode (Based on Willis 2005, Chapter 12): 45 minutes

Day 3 (3 hours)

Exercise B: Demonstration of a self-administered cognitive interview, with class discussion: 45 minutes

Part 7: Logistics of the cognitive interview process (based on Willis 2005, Chapter 10): 45 minutes

Part 8: Evaluation of cognitive interviewing (based on Willis 2005, Chapter 13): 30 minutes

Part 9: Integrating cognitive interviewing into the overall testing and development process (based on Willis 2005, Chapter 14): 30 minutes

Questions/Discussion: 30 minutes

The above plan can be modified, depending upon the amount of time available and the level of detail desired. For a more limited approach, the instructor can reduce or eliminate Parts 2, 6, 8, and 9. It is important to include at least one class participation project, such as the practice of a simple cognitive interview of a brief (5–10 items) questionnaire.

Reflection and Class Discussion

Class discussion should follow each in-class (or take-home) exercise. It is especially helpful to have students engage in paired practice in which pair members alternatively take on the roles of interviewer and volunteer respondent. Subsequent to such practice, the instructor should lead a question-and-answer session to review the insights and lessons that resulted from the practice activities. As part of that activity, the instructor can ask questions such as: (a) How did the process of cognitive probing go – did probes seem helpful in understanding how respondents were thinking about the evaluated survey questions?; (b) What types of issues emerged when you did that probing; and (c) Can you think of ways that cognitive interviewing would be helpful in your own research? Finally, the instructor should be available following the teaching session to address questions that may emerge after students have had time to further review and reflect.

Online Teaching Modifications

Online teaching need not differ markedly from that done in a live environment, and relies largely on instructor presentation accompanied by slides. One major difference is that if attendees are dispersed, it may not be possible to have them engage in paired practice in cognitive testing. As an alternative, the instructor can include a recording of either a real or mock cognitive interview for instructional purposes. Furthermore, online learning of this type of material is difficult within a single session – e.g., 8 hours of instruction could be split into four 2-hour segments. An especially effective modification of the basic teaching plan is to assign participants the task of conducting several cognitive interviews of friends and family, using a questionnaire of their choice, and then reconvening during a later synchronous session to discuss the process, and the results of the practice exercise. In any case, the most effective practice for learning cognitive interviewing is normally to begin to practice it and then reflect on both the process and the results obtained, subsequent to instruction or a classroom introduction.

9 Ethnographic Interviewing

The Life of Language among Families

John Baugh

Brief Description of Method

Students do not share the same linguistic experiences, nor do they have common family backgrounds. Nevertheless, each student has had a personal experience with language, and they live with family members or caregivers with whom they communicate. Students can be taught to conduct ethnolinguistic interviews with those who care for them about their familial relations, including information about the language(s) spoken by different family relatives. The goal is to provide opportunities for students to learn how to interview through discovering their personal linguistic heritage by modifying existing or innovative lesson plans that were designed to examine family genealogy, and to do so in ways that instill a sense of appreciation, if not pride, regarding the linguistic background of every student, whatever it may be. This lesson is adaptable and suitable for all ages, from primary school through college and graduate school.

References for Further Reading

- Bernard, H. R. 2011. *Interviewing I: Unstructured and Semistructured in Research Methods in Anthropology: Qualitative and Quantitative Approaches*. 5th ed., 156–86. Lanham: Rowman & Littlefield.
- Charity-Hudley, A., and C. Mallinson. 2014. *We Do Language: English Language Variation in the Secondary English Classroom*. New York: Teachers College Press.
- Dennis, R. E., and M. F. Giangreco. 1996. Creating Conversation: Reflections on Cultural Sensitivity in Family Interviewing. *Exceptional Children* 63: 103–16.
- Paris, D., and A. H. Samy. 2017. *Culturally Sustaining Pedagogies: Teaching and Learning for Justice in a Changing World*. New York: Teachers College Press.
- Westby, C., A. Burda and Z. Mehta. 2003. Asking the Right Questions in the Right Ways: Strategies for Ethnographic Interviewing. *The ASHA Leader* 8: 4–17.

Estimated Teacher Prep Time

60–120 minutes

- Complete the required readings.
- Create the informational handout.
- Teachers will prepare a handout with instructions on how best to gather the evidence from family members. Whenever possible, recordings will be most convenient, but note taking is also possible and may be preferable in some instances.

- Create the interview questions and instructions.
 - Teacher preparation should be sufficiently adaptable so as to allow the teacher the creative freedom to incorporate relevant subject area lessons. A common requirement, however, will be to create a real or hypothetical illustration of what a family linguistic heritage tree looks like, along with the type of evidence that needs to be collected by each student in order to have the information they need to depict these family linguistic relationships.
 - In primary and secondary schools, teachers will provide a note to parents to be sent home with students. These notes will inform parents about the project their students will be doing and ask for their help.

Notes of Interviewing Protocol

Teachers have the opportunity to formulate age-appropriate questions that students may ask of those who care for them. For primary school students, this project will differ substantially from the more extensive details that would be applicable to students in secondary schools and beyond. Assignments will include the creation of interview questions, taking care to avoid intrusive questions that might be deemed too personal, or that might contain topics that are inappropriate for educational purposes. Interview questions should allow students' and family members' opportunities to describe the language(s) that they speak, including where they learned those languages, and other circumstances related to their language usage associated with their work or hobbies, for example.

Whenever possible, cross-generational interviews should be completed, allowing students to create tree diagrams of their linguistic ancestry, based on the language(s) spoken, the region where their ancestors used these languages, the time period associated with the language development of the people being interviewed, or their knowledge of other family members who are deceased. The following resources provide models that can then be used to create linguistic interviews suitable for each teacher and their students.

<https://archive.storycorps.org/about/getting-started/>

<https://blog.myheritage.com/2017/03/questions-to-ask-your-family/>

<https://blog.myheritage.com/2013/06/10-tips-for-interviewing-family-members-2/>

<https://siarchives.si.edu/history/how-do-oral-history>

Since interviews will be conducted outside the classroom, they may vary in length depending on the age of the student. Younger students may complete shorter interviews between 15 and 20 minutes, whereas primary, secondary, and college students may complete interviews between 30 and 60 minutes.

Brief Targeted Interview

Students may find it necessary to be brief, therefore, specific questions about language usage by caregivers can be focused and truncated so as not to burden caregivers who may not be able to devote more time to this assignment.

Longer Open-Ended Interview

Some circumstances might allow students to have longer extended discussions with their caregivers, in which case it would be possible to have a more extensive discussion about the

linguistic background of family members. Teachers are strongly encouraged to allow flexibility in this regard since access to family members will vary from one student to the another.

Estimated Duration of Lesson

In class: three, 30- to 50-minute class periods; 2–6 hours of outside class interviews

Materials Needed

- Recording equipment—most smart devices provide a means through which students can conveniently make recordings; these can then be partially transcribed as part of classroom assignments to glean content to align the linguistic backgrounds of different caregivers or others with the languages they speak and the circumstances pertaining to their language usage. If it is not possible to record interviews with family members, notes can be used to gather the relevant information.
- A few sheets of lined paper for each student to take notes during the interview.
- A family information handout with space to write information that includes the name, place of birth, and the language(s) spoken by the named relative. The handout should also provide a place to specify the family member's relationship with the student.
- Art paper to create a family tree diagram. Or, if some students have access to computers, it might be possible to create a tree diagram using various software programs. Care should be taken to ensure that equal opportunities for tree diagram production prevail depending on the resources that are differentially available to students and their teachers. Younger students may use crayons for this assignment, or pencils.

Student Pre-Class Preparation

- Younger students do not need any class preparation
- College students should read:
 - Bernard (2011) and/or Westby et al. (2003)
 - Dennis and Giangreco (1996)

Learning Outcomes

Students will learn how to: (1) use ethnolinguistic interviewing techniques with open-ended questions; and (2) combine tracing family history with the identification of the language(s), and perhaps dialects, spoken by different family members, as far back as great-grandparents whenever possible. By so doing, they will learn about their family's language background, which will vary from student to student. While learning outcomes may vary, the most predictable outcome will be that students learn about their own family's linguistic heritage within a pedagogical framework that enhances their ability to speak, write, and read with greater proficiency while emphasizing the value of their personal linguistic background, and a greater acceptance of the linguistic backgrounds of their classmates.

Lesson Instructions

Class 1 (30–50 minutes)

The first class will describe the broad concept of creating a tree diagram that includes family members and the language(s) they speak.

Class 2 (30–50 minutes)

Using the interview protocol, the instructor has created the Class 2 period that should be devoted to rehearsing interview techniques using open-ended questions that will be used to collect evidence from family members in their home settings. Tell the students that open-ended questions that use what and how are good for interviews because they allow individuals to explain and elaborate instead of answering yes or no. Depending on the level of student, they can be assigned to read Bernard's (2011) chapter on interviewing and probing and asked to use these three techniques that are good for novice interviewers:

- Echo Probe—repeating the last thing someone said and then asking the person to continue with what happened next, or paraphrase and clarify, or simply tell more.
- Uh-huh Probe—using affirmative comments like “uh-huh” and nodding head in agreement.
- Tell me more Probe—for interviewees that give a short response the interviewer can respond with “Tell me more,” “Why do you say that,” or “How did that make you feel?”

It would be beneficial for students to practice their interview techniques with peers in classroom settings, emulating the procedures that they envision might be used when recording family members in their home setting. They can practice using the recorder, asking the interview questions, using probes, taking notes, and so on. Teachers should observe these rehearsals, along with other students, offering suggestions about how best to conduct interviews with family members—after the interview techniques have been practiced under teacher supervision.

Homework (2–6 hours)

Outside of class, students will conduct two to six interviews with family members using the interview protocol. It's best to give at least one week between Class 2 and Class 3. Primary school students should conduct brief recorded interviews between 15 and 30 minutes using questions that have been provided by their teacher. Older students may conduct longer interviews, between 30 and 60 minutes. The number of interviews should probably not exceed eight relatives in total so as to provide a manageable amount of evidence for the student to draw on for the purpose of creating their family linguistic heritage tree diagram. The instructor should decide if more advanced students need to transcribe their interview data and possibly analyze it through theme identification (see Section 7, Building Blocks and Basis of Analysis of this handbook for ideas on theme identification).

Students will create the diagram. Higher-level students could optionally produce additional assignments, analyze their data, and write paragraphs or brief essays about their family and their linguistic experiences.

Class 3—Student Presentations (30–50 minutes)

A culminating classroom activity may include presentations or displays of each student's family linguistic tree diagram. These discussions or presentations would be guided by teachers and should always celebrate each family's linguistic heritage with respect. It is important to avoid any disparaging comments about families or the languages or dialects that they speak. Positive emphasis should be placed on the value of linguistic diversity that might be found in any assemblage of students who complete this assignment.

Classroom discussions with students describing their family tree, and the fact that every family member uses language in one way or another, including sign language in some instances. Instructors can ask students about what surprised them about their linguistic history, what commonalities they saw across presentations, and how activities like these can be empowering. These discussions will provide opportunities for students to understand the concept and to appreciate that their classmates may or may not share linguistic backgrounds that are similar to their own.

Reflection and Class Discussion

Depending on class size, have students in small or large groups discuss the following.

- What did they like about the interviewing process? What was challenging with the interviewing?
 - Was it difficult interviewing family or easy? Did people go on tangents or not talk enough?
- How did the students like transcribing (if they were required to transcribe) and/or taking notes?
- What probes did they like to use?
- What lessons would they take forward when interviewing for another project?

Online Teaching Modifications

This lesson can be easily adapted for online teaching. All the created instructions and materials should be posted to an online document shared space or learning management system. The instructor can pre-video record instructions and have students either post their linguistic heritage tree with a written description or present it synchronously. The reflection discussion can be done either via discussion board or in small online groups if done synchronously.

10 Free List Interviewing

Susan C. Weller

Brief Description of Method

Free listing is an open-ended interviewing technique to elicit as many responses as possible from each respondent. It is valuable when trying to understand the breadth of a topical area, structure within a domain, and generating content for survey questions. Probing questions facilitate the generation of an exhaustive set of responses from each respondent, and a comprehensive set of responses can be obtained with small samples of respondents. With a meaningful question and in-depth interviewing, each respondent should provide 10 or more responses. With such depth from each respondent, sample sizes of one to two dozen respondents will usually be sufficient to capture the most salient items in the domain. A similar technique, free-recall listing, is used in psychology to study patterns among recalled items and make inferences about memory storage and processes.

References for Further Reading

- Brewer, D. D. 2002. Supplementary Interviewing Techniques to Maximize Output in Free Listing Tasks. *Field Methods* 14: 108–18.
- Johnson, J. C., and S. C. Weller. 2002. Elicitation Techniques in Interviewing. In *Handbook of Interview Research*, edited by J. Gubrium and J. Holstein, 491–514. Newbury Park: Sage.
- Spradley, J. P. 1979. *The Ethnographic Interview*. Wadsworth, Belmont: Harcourt Brace Jovanovich College Publishers.
- Weller, S. C. 2014. Structured Interviewing and Questionnaire Construction. In *The Handbook of Method in Cultural Anthropology*, edited by H. R. Bernard and C. C. Gravlee, 343–90. Lanham: AltMira.
- Weller, S. C., and A. K. Romney. 1988. *Systematic Data Collection*. Vol. 10, *Qualitative Research Methods*, Chapter 2. (9–19). Newbury Park: Sage.
- Weller, S. C., B. Vickers, H. R. Bernard, A. M. Blackburn, S. Borgatti, C. C. Gravlee, and J. C. Johnson. 2018. Open-ended Interview Questions and Saturation. *PLoS ONE* 13: e0198606.

Estimated Teacher Prep Time

Each week might take 1–2 hours to complete the readings.

Estimated Duration of Lesson

I cover free-listing in a month-long module, meeting twice a week, as part of a class on survey methods. If students already have a clear understanding of the need to ask meaningful

questions and have sufficient background on their topics to ask meaningful questions (weeks 1 and 2 of the 4 weeks), the free-list lesson could focus on 1–2 weeks (two 90-minute classes per week).

Materials Needed

Whiteboard is helpful, but not necessary. All can be done remotely, as well.

Student Pre-Class Preparation

For free lists: Weller and Romney (1988), Brewer (2002). For grand tour, mini tour, and taxonomic interviews: Spradley (1979). Alternatively, free-list and grand tour interviews are described in chapters by Johnson and Weller (2002) and Weller (2014).

Learning Outcome

- Weeks 1 and 2: Students should be able to use a grand tour and taxonomic interview to explore a topic. They should be able to identify productive questions and probes.
- Week 3: Students should be able to conduct free-list interviews, clarify responses, tabulate responses, and write clear, understandable statements.
- The full module can result in good student projects with class papers.

Lesson Instructions

The first two weeks focus on interviewing to gain sufficient understanding of a topic to ask meaningful questions. Free listing begins in the third week when clear productive questions and probes have been identified.

Week 1: “Exploratory” interviewing to get the right question(s). The best overview of the rationale is in Spradley (1979: 1–39). Then, getting started (pp. 55–68) using grand tour and mini tour interview techniques. Alternatively, see the chapters in Johnson and Weller (2002) and Weller (2014).

Day 1: Review interviewing, the importance of language, insider/outsider points of view and language, similarities and differences between conversations and interviews, and the role of interviewer as learner.

Day 2: Continued discussion of interviewing. I recommend a demonstration: Find someone with a hobby and interview the person in front of the class, so that you can openly learn about the activity by encouraging the person to describe it (a typical day or event) and eventually can ask meaningful questions about the topic. The demonstration interview takes about 30 minutes and I take notes on the whiteboard, occasionally stopping to ask and discuss with the class if they noted some special aspect. Demonstrations and homework can be on hobbies or class projects.

Homework is to do a grand/mini tour interview and bring results to class.

Week 2: Continuing with Spradley (Locating Informants, pp. 45–54) and taxonomic interviews (pp. 107–54).

Day 1: Review grand tour homework results. Review characteristics of someone who might make a good informant (has time to be interviewed, is still involved in the activity).

Also, clarify that selection of informants should match the purpose of a study (e.g., age, sex, etc., should be concordant with study purpose).

Day 2: Review taxonomic interviews (this is the beginning of free-list type questions and “kinds of things”). The focus is on the questions, trying to find questions that stimulate more responses and more information from the informant. A class demonstration is helpful using taxonomic interviewing to identify meaningful questions. Bring a volunteer into the class to be interviewed on a topic of class interest, like a class project. I take my notes on the whiteboard, so students can see and I interrupt the interview to comment to students on content and structure of information.

Homework is to do a taxonomic interview and bring results to class, identifying questions that were productive.

Week 3:

Day 1: Introduce free listing (Brewer 2002; Weller and Romney 1988). I usually do an in-class demonstration “Write down all the names of soda pops that you know [in 3 minutes].” Do not provide examples of sodas. If asked what do you mean by sodas, say “However you want to interpret it.” Students can quickly generate 6–12 names. Combining lists is clear, easy, and can be done on the whiteboard. Write the list from one student on the board. Then, add a second list noting how many people said each item. Repeat for a third, fourth, and fifth list. Results from five to seven students will illustrate frequently mentioned items (salience, the proportion of the students listing each item), problems in combining items (Is it important to use brand names? Flavors?), and structure (clustering by type: fruity sodas and dark/cola sodas). Other in-class examples include “Name all the things you might find in an American living room” (Johnson, this volume).

An important part of the discussion is to note that students were able to produce at least ten things on their lists of sodas. When conducting interviews, probing must be used. What allows us to have small samples is getting depth from each person. Here, that means literally getting at least 10 ideas, statements, or themes from each person in response to a question. To encourage respondents to continue supplying information, first cue them that this is not a regular conversation, by repeating the question. Then, you can try repeating their responses: You said ___ and ___, what other things are there? Avoid asking ‘Are there other things?’ a yes/no question, instead ask as if you know there’s more, what other things are there? Questions may also be modified slightly to continue getting content. If you first asked the question requesting why the respondent would do something, then ask why might others do this? Repeating the question, repeating responses, and tweaking the question (making it about others) will help to stimulate getting more content per respondent.

The homework assignment is for each student to do two free-list interviews (on a class project topic) and combine responses into a single list. It is important when interviewing NOT to provide examples to the respondents. This is because if you do so, you give them your list, your ideas, and are asking them to expand on what YOU think about the topic. Instead, the purpose of free listing is to find out what *respondents* know or think about the topic.

Day 2: The follow-up in-class exercise is for students to combine lists (from the same question and probes) across students. This exercise serves as a check on (1) depth of interviewing and probing, making sure they have probed enough to get at least 10 responses per person and (2) clarification of responses, making sure that they have recorded sufficient verbatim detail so that someone else can read the statements and understand the meaning. Combining statements across students is a valuable exercise. What usually happens here is that students do not have sufficient detail *from the informants* and instead have shorthand notes,

assuming that they knew what the informant meant—so it is often difficult and sometimes impossible to combine responses across interviewers/students. The goal of trouble-shooting in this class exercise is to illustrate that the goal is to get statements that can be clearly communicated to people who were not present at the interview and thus, detailed clarification must be sought from the informants.

Homework is to do five interviews with probes and clarification and combine the five lists into a single list (noting how many people said each idea or statement). For class projects, I group students into groups of four and have each student do the listing interviews for four projects (four free lists). That way, when they return with five interviews, results can be passed to others and each student then has 20 completed interviews (the first two lists are often not usable).

Week 4:

Day 1: Students pass their tabulated list of statements from five people to the appropriate person and students can combine their lists in class with discussion. If four people each collected four free list questions from five people, then each student would have 20 lists. Advanced topics include ideas of salience and adequate sample sizes (see Weller et al. 2018). Each list that is combined across five interviews should include the number or proportion of people that said each idea or statement. The sample proportion mentioning each item serves as a good indicator of salience and, in general, a sample of 20 interviews will capture the most salient items—if each interview used productive and exhaustive probing during the interviews. A larger sample cannot compensate for a lack of in-depth interviewing (only a half dozen responses or fewer responses obtained in each interview) and will not collect a comprehensive set of domain items when individual lists are short. One exercise here is to table the results of aggregating the interviews with a column of the obtained statements and the total proportion that mentioned each item with 5, 10, 15, and 20 interviews. Students will observe that the set of items mentioned by 10–20% of the sample stabilizes, even though idiosyncratic items (mentioned by one person) may increase.

Day 2: Students can write up their results, do class presentations, and submit a report.

Reflection and Class Discussion

If the lesson is limited to the week three introduction to free listing, the in-class exercise of combining results emphasizes the need for probing and clarification with respondents. Ask students: Where could you have probed better? What probes worked well for you? Did you avoid yes/no questions? How does this type of interviewing differ from other types of interviewing you have done? What types of projects do you think could benefit from free listing or more aggressive probing? If the whole module is used, the reflection is the realization of how easy the process is and that good results can be gained with small samples and minimal effort.

Online Teaching Modifications

Course can be taught as written face-to-face or remotely with video-conferencing and posting materials to a learning management system.

11 Qualitative Interviewing in the Study of Culture

Jeffrey C. Johnson

Brief Description of Method

One of the single most important aspects of culture is that it is shared. Although shared, culture itself is not monolithic and there is always some degree of intracultural variability. The study of culture and its variation involves two phases. The first phase, or exploratory phase, involves the qualitative collection of cultural beliefs and knowledge in a given cultural domain (e.g., cultural beliefs about climate change, hunter's cultural knowledge of prey behavior). Using qualitative semi-structured elicitation methods will yield individuals' cultural beliefs/knowledge concerning some cultural domain in the form of word lists (called free lists), statements or propositions, and even whole narratives. The second exploratory sub-phase involves the coding and data reduction of these lists and narratives in a final form that facilitates the systematic study of culture. The second phase, or explanatory phase, involves the more formal assessment of the extent to which cultural beliefs are shared (i.e., consensus) and how they vary among group members and involves a second sample of informants. This lesson will cover the first exploratory phase of the process.

References for Further Reading

- Ambrose, W. G., Jr., L. M. Clough, J. C. Johnson, M. Greenacre, D. Griffith, M. L. Carroll, and A. Whiting. 2014. Interpreting Environmental Change in Coastal Alaska Using Traditional and Scientific Ecological Knowledge. *Frontiers in Marine Science* 1: 40.
- Johnson, J. C., and D. C. Griffith. 2010. Finding Common Ground in the Commons: Intra-Cultural Variation in Users' Conceptions of Coastal Fisheries Issues. *Society and Natural Resources* 23: 1–9.
- Johnson, J. C., and S. C. Weller. 2002. Elicitation Techniques in Interviewing. In *Handbook of Interview Research*, edited by J. Gubrium and J. Holstein, 491–514. Newbury Park: Sage.
- Weller, S. C., R. D. Baer, L. M. Pachter, R. T. Trotter, M. Glazer, J. E. Garcia de Alba Garcia, and R. E. Klein. 1999. Latino Beliefs about Diabetes. *Diabetes Care* 5: 722–28.
- Weller, S. C., R. D. Baer, J. G. de Alba Garcia, M. Glazer, R. Trotter, A. L. Salcedo Rocha, R. E. Klein, and L. M. Pachter. 2015. Variation and Persistence in Latin American Beliefs about Evil Eye. *Cross-Cultural Research* 49: 174–203.

Estimated Teacher Prep Time

90–120 minutes

- Review the background literature, paying particular attention to the types of cultural domains in each of the research examples (e.g., beliefs about diabetes). Additionally, note

the sampling methods (e.g., comparison groups) used in the examples since they are important for understanding variation in people's cultural beliefs or knowledge.

- Review the description of the methods used in each of the examples in terms of moving from initial interviews to the final development of cultural beliefs, particularly with respect to the development of cultural statements.
- Decide if relevant software will be used (or will it be done by hand) and the manner in which students can share interview materials (e.g., Dropbox).

Estimated Duration of Lesson

- 60 minutes for the cultural sharing exercise (e.g., things in an American living room).
- 30 minutes for statement elicitation exercise (e.g., characteristics of a good professor).
- 2 hours for interviewing outside the classroom.
- 60 minutes for working on the creation of cultural belief statements from interviews.

Materials Needed

- For in-class exercises, items and statements elicited can be written on a whiteboard or entered into Microsoft Excel (cultural sharing exercise and statement elicitation exercise).
- A program called Visual Anthropac Free-list can be used along with Excel or elicitations can be done using paper and pencils.
- Short interviews conducted by students can be recorded and transcribed. If interviews are conducted using such programs such as Zoom, they can be recorded and are automatically transcribed.

Student Pre-Class Preparation

The Johnson and Weller (2002) reading will give background on the elicitation methods for collecting cultural data that can be used for the construction of cultural belief statements. Some selection of the other supporting readings will provide examples of applications of the method in real-world research. It is not necessary to read all, but students should read at least two of the example studies. However, students may want to look at all studies noting the cultural domain being studied, the sampling approach used, and the procedure for the development of cultural statements, particularly the development of both positive and negative statements (e.g., agree/disagree, true/false).

Learning Outcomes

Students will learn: (1) that culture is shared and varies to some degree in patterned ways; (2) that cultural beliefs and knowledge can be readily elicited through interviews; and (3) the proper way to produce valid cultural belief statements to be used in research on culture sharing and intracultural variability.

Lesson Instructions

This overall lesson will involve at least two class periods (depending on length) and outside-of-class data collection on the part of students. In addition, the instructor will need to aggregate the interviews students collect and make them available for in-class activities.

Lesson 1: Cultural Sharing and Intracultural Variability

This exercise will demonstrate a simple example of the collection of cultural data and provide an example of how data are shared and have patterned variation. This simple elicitation exercise will provide an example of how culture is both shared yet can vary slightly. Much of this portion of the exercise is related to the lessons on “Free List Interviewing” (this section) and “Cultural Domain Analysis” (Section 10).

- Ask students to take out a piece of paper and a pencil/pen (can be done on computer and emailed to the instructor). Then ask them the following elicitation question: “List all the things you would typically find in an American living room.” (Note: This question can be easily adapted to different cultural settings.) Collect the lists from the students and begin to list them on a whiteboard, blackboard, or an Excel spreadsheet projected on a screen.
- Make a final list with frequencies of items. The list should reveal items that are highly shared (mentioned by most students) and mentioned early in students’ lists. For example, my experience with this generally reveals the terms couch or sofa as the first item listed. This reveals how this domain is highly shared and gives an example of the need to disambiguate among elicited terms. For example, is a couch the same as a sofa? Furthermore, items earlier in students’ lists should be more highly shared than things mentioned later in their lists.
- This will facilitate a discussion on factors influencing both sharing and variations in students’ lists. Note that the elicitation question queried about things in a typical American living room and not the student’s living room. Some questions for discussion might include: What are the characteristics of the highly shared items? What are some of the items that vary more across students’ lists and what might account for that variation? (e.g., social class, region of the country, religion, etc.).

Lesson 2: Introduction to Cultural Statement Creation

The purpose of this exercise is to produce a list of cultural statements rather than single-word items.

- Following the procedure above, ask students to list “the characteristics of a good professor/teacher/instructor/advisor”. As in the exercise above, compile student lists of characteristics and calculate their frequency. This will be somewhat more challenging, given characteristics listed could have the same meanings but stated in slightly different ways.
- Have the students work together to compile a set of at least 10 statements derived from the more frequently mentioned characteristics (e.g., a good professor cares about the students’ learning.). Following the discussion in Johnson and Weller (2002), attempt to make the statements vary in terms of the negative and positive (e.g., if giving these to another sample of students, would they agree or disagree with each statement). At least one-third of the statements should be in the negative (i.e., disagree).
- Engage in a discussion of the various challenges of this exercise, particularly creating final statements that best represent students’ themes and the production of negative statements.

Lesson 3: Creating Belief Statements from Narratives

This exercise is more challenging and involves creating statements from people’s narratives or free-flowing semi-structured interviews. The choice of subject matter is certainly up to the instructor, but we will use an example here with which students will have familiarity.

- Outside the classroom, have students interview other students about their lives as students. More specifically, have students ask one other student in an interview to “talk about the challenges of being a student.” In this case, we are not eliciting lists but are having students describe challenges in a more narrative form. Make the interviews short; say no longer than 15 minutes. If possible, the interviews should be recorded. If not, the interviewer should keep notes that capture the free-flowing nature of the interview content.
- The instructor should compile all transcribed interviews (but should maintain anonymity). Use only the first one or two paragraphs from each interview (or notes). Copies of the interviews should be made available to all the students as either a hardcopy or a text file.
- Have students read over the interviews and highlight or underline statements relating to students’ challenges from each interview.
- These statements should be extracted for thematic analysis. The most interactive way to thematically code the extracted statements is to cut them out into strips.
- On a large table, have the students work together to sort the extracted statements into piles according to themes. Once completed, discuss the possible statements that could be constructed representing each of the thematic piles. See “Teaching Theme Identification” by Melissa Beresford and H. Russell Bernard (this handbook) for more information on coding.

Reflection and Class Discussion

Reflect on the challenges each of the exercises presented with respect to the collection of cultural data. Discuss with students sampling issues important for detecting variation in cultural beliefs and knowledge. We have only touched on the exploratory phase of this type of research. In a simple final exercise, have students independently respond as to whether they agree or disagree with the statements derived in Exercise 2. Engage in a discussion of what the modal categories (i.e., the most frequent responses) for each response represent. Once statements are created, they can be administered to a second sample to test for consensus using software packages like UCINET or Anthonpac (see Cultural Domain Analysis in Section 10 of this handbook).

Once finished with the lesson, you can have students reflect and discuss the process of conducting interviews and constructing cultural belief statements. Questions to ask include: How do free-listing and creating belief statements differ from other types of data collection you’ve encountered? When developing belief statements what were the challenges you came across? How do you think you could use these techniques in your own research?

Online Teaching Modifications

The materials in the lesson can be adapted to an online course. Current online interactive technologies lend themselves well to the collection of data online, particularly through interviewing. In addition, file-sharing technology would facilitate the ease of sharing materials.

12 Personal Network Analysis

Christopher McCarty and José Luis Molina

Brief Description of Method

Personal network analysis is a type of egocentric network analysis that focuses on the social network domains in which focal respondents are embedded. The method elicits network members (alters) from the respondent (ego). There are four steps in personal network interview:

- 1 Questions asked about the respondent to use as outcome variables and covariates.
- 2 Elicitation of alters using a name generator.
- 3 Questions asked about each alter using name interpreters.
- 4 Questions asked about the ties between each pair of alters.

The resulting data are converted to compositional and structural variables to be used in models. Network visualizations of a respondent's personal network are often used as ways to conduct an ethnographic interview. This makes it possible to conceive questions that are only possible when both the interviewer and the respondent have the visualization as a point of reference.

References for Further Reading

- McCarty, C. 2002. Measuring Structure in Personal Networks. *Journal of Social Structure* 3: 1. Published as on-line only article. <http://www.cmu.edu/joss/content/articles/volume3/McCarty.html> (accessed November 29, 2022).
- McCarty, C., M. Lubbers, R. Vacca, and J. L. Molina. 2019. *Conducting Personal Network Research: A Practical Guide*. New York: Guilford Press.

Estimated Teacher Prep Time

60–90 minutes

- Read or review McCarty (2002).
- Prepare PowerPoint slides (provided) and homework materials for students (provided).
- As an icebreaker, the instructor should consider asking for free-style drawings of the students' personal networks (e.g., "Draw the people you know and how these people relate among themselves. There is no rule, just try to represent the social world around you. I will collect these drawings, and we will come back later to them"). Also, the drawings will help illustrate the extant diversity and the different measures that can be used (e.g., size, components, density, and degree). These drawings can be compared with the visualizations obtained by the students when applying the personal network analysis methods and tools.

Estimated Duration of Lesson

- 80-minute in-class lecture.
- 90-minute student-independent activity (homework).
- 60-minute reflective discussion (in a follow-up class session).

Materials Needed

- PowerPoint slides (provided) outlining “Personal network analysis”.
- Download **Egonet** program from Sourceforge (<https://sourceforge.net/projects/egonet>). Use the file provided “Class Egonet Study.ego” (30 alters). Egonet requires installation of Java (<https://www.java.com/en>).
- Example Egonet study file (provided).

Student Pre-Class Preparation

None.

Learning Outcomes

Completing this activity will enable students to understand how their personal social network may impact their attitudes, behaviors, and conditions. By the end of this lesson, they will be able to design a personal network study identifying the key variables they will use to explain specific outcome variables. They will also learn how to analyze those variables quantitatively and how to conduct a qualitative interview with respondents using a personal network visualization.

Lesson Instructions

This lesson has three parts: (1) an in-class interactive lecture; (2) a homework activity; and (3) a reflective class discussion where students will present analyses of each other’s personal networks. It is appropriate for advanced undergraduate and graduate students.

Interactive In-Class Lecture (~80 minutes)

Overview:

Using the provided PowerPoint slides, proceed with the lecture as follows:

- 1 Explain what a personal network is and how it differs from a whole network (10 minutes, PowerPoint slides 1–9). Students should understand that personal versus whole networks are two different ways of sampling networks. Ask the class to think of studies that might use each approach.
- 2 Explain that personal networks are determined by different variables, some we are born with and others we choose (10 minutes, PowerPoint slides 10–17). On intervention slide 17, ask students to think about how they can ethically make changes in someone’s personal network.
- 3 Describe the different types of personal network data (PowerPoint slides 18–28). This section will rely heavily on the comparison between two sisters from a migrant study. The instructor should emphasize that the two sisters are close in age and grew up in the same

households, but they have very different personal networks. The differences are notable in the visualizations and the variables derived from their personal networks.

- 4 Describe how to design a personal network study (PowerPoint slides 29–63). This section describes the four main parts of a personal network study. It continues to use an extended example from an acculturation study.
- 5 Introduce the program **Egonet**. Show what Egonet screens look like (PowerPoint slides 64–70).

Homework Activity (~90 minutes)

Students will create their own personal network using Egonet. Here are the instructions:

- 1 Download the program Egonet (see link above). Note that this program requires that Java be installed on the computer.
- 2 Create a folder called Class Egonet Study.
- 3 Save the file called Class Egonet Study (with the extension.ego) to that folder (provided).
- 4 Open Egonet.
- 5 Select the Interviewing and Analysis Tool.
- 6 Click on Select Study.
- 7 Go to the Class Egonet Study folder and select the file Class Egonet Study.
- 8 Do the questionnaire. Please do not use aids (e.g., phone, Facebook) when recalling the names. E-mail me if you are having problems.
- 9 When you are finished exit the program.
- 10 Go to the folder Class Egonet Study and open a folder called Interviews (the Interviews folder will appear when you have completed an interview). Import the *.int* file with the Interviewing and Analysis Tool.
- 11 Select the tab “Graph” and assign color, size, and shape to some of the variables collected (you may want to rearrange the nodes manually *Graph>Choose Mode > Picking* or automatically using some of the visualization algorithms available *Graph> Choose Layout>...*).
- 12 Export the image with the extension.jpg (*File>Save graph as image*).
- 13 Import the image in Word and comment and comment on what you learn from the visualization, what are the main groups, how well connected they are, which people are more central, and why.
- 14 E-mail the instructor the file named with your name and the extension *.int* and the word file with the image of your personal network with comments.

Reflection and Class Discussion

The instructor should pair students who will interview each other using a visualization of their personal network. Once the students have finished the task, start a discussion about the qualitative insights gained from the visualizations during the interview. Summarize the findings. Finally, compare the free drawings collected at the beginning with the visualizations produced by Egonet and discuss the resemblances and differences.

Online Teaching Modifications

This course can be taught asynchronously by pre-recording the PowerPoint and having students submit a report of their interviews with other students.

13 A Strategy to Practice Moderating in Focus Groups

David L. Morgan

Brief Description of Method

This exercise originates from multiple years of teaching graduate-level students how to moderate focus groups. For the exercise, students conduct a focus group in which they take turns being both participants and moderators. The exercise requires little more than an interview guide that will interest the students as participants and a table with a set of chairs. It works best with six to seven students per group.

References for Further Reading

The exercise assumes that the students will have the knowledge that is typical from reading an introductory textbook on focus groups, which could be any of the following:

Barbour, R. 2018. *Doing Focus Groups*. 2nd ed. Thousand Oaks: Sage.

Carey, M. A., and J.-E. Ashford. 2016. *Focus Groups Research*. New York: Routledge.

Krueger, R., and M. A. Casey. 2015. *Focus Groups: A Practical Guide for Applied Research*. 5th ed. Thousand Oaks: Sage.

Morgan, D. 1997. *Focus Groups as Qualitative Research*. 2nd ed. Thousand Oaks: Sage.

Morgan, D. 2019. *Basic and Advanced Focus Groups*. Thousand Oaks: Sage.

Stewart, D., and P.E. Shamdasani. 2014. *Focus Groups: Theory and Practice*. 3rd ed. Thousand Oaks: Sage.

Estimated Teacher Prep Time

The main demand for prior preparation is the writing of an appropriate set of questions that will serve as the moderators' interview guide. In particular, the topic for this guide should be something that interests the students as participants, so that they can generate a lively discussion during the group. For an instructor with experience in writing such guides, this should take 1–2 hours. Another option is for the class to create a guide while working together with the instructor.

Estimated Duration of Lesson

The training session will take 1–2 hours of in-class time, and should be followed by 20–30 minutes of class discussion.

Materials Needed

The exercise requires that each student have a copy of the moderators' guide, along with a table and a set of chairs.

Student Pre-Class Preparation

The questions for the moderators' guide should be distributed in advance, and the students should have read it prior to the exercise.

Learning Outcomes

This exercise will give each participating student a realistic experience with moderating a segment of a focus group.

Lesson Instructions

In this exercise, students take turns serving as both as moderators and participants in their own focus group, to gain experience in moderating. The first stage occurs prior to the actual group when students receive the moderating guide and select the question(s) for which they each will lead the discussion. This requires prior preparation of the guide, which can be done by the instructor alone or by the class working together with the instructor. The main requirement for the guide is that it should address a topic that will be easy for the student participants to discuss, based on a series of questions that interest them. For example, classes with graduate students could discuss their transition from undergraduate to graduate school, and what makes being a graduate student different from being an undergraduate.

The students should then have a chance to study this guide and to think about how they will address the question(s) they have been assigned. For example, an open-ended exploratory group might have as few as five to six extended questions that would last 60–90 minutes, with one question assigned to each student moderator. Alternatively, a more detailed guide might have 10 or so specific questions that would take 90 minutes, with two questions assigned to each moderator.

The optimum size for each training group is six to seven, so for larger classes there would need to be multiple training groups. Note that the number of questions in the interview guide will be linked to the number of students in the training group. Thus, with a group of seven, there should also be seven questions so that students have their own question. With a larger number of questions, each student should ask a pair of questions, which works best when the two questions immediately follow each other (e.g., the first moderator asks both questions number one and number two).

The actual exercise begins with the students taking their seats around a table, using the format as shown in Figure 13.1

In this group of seven students, one serves as the first moderator, another is waiting to serve as the second moderator, and the others serve as participants in the discussion of the first question(s). Note that the second moderator does not participate in the group during the discussion of the first question. This allows the person who is preparing to moderate next to

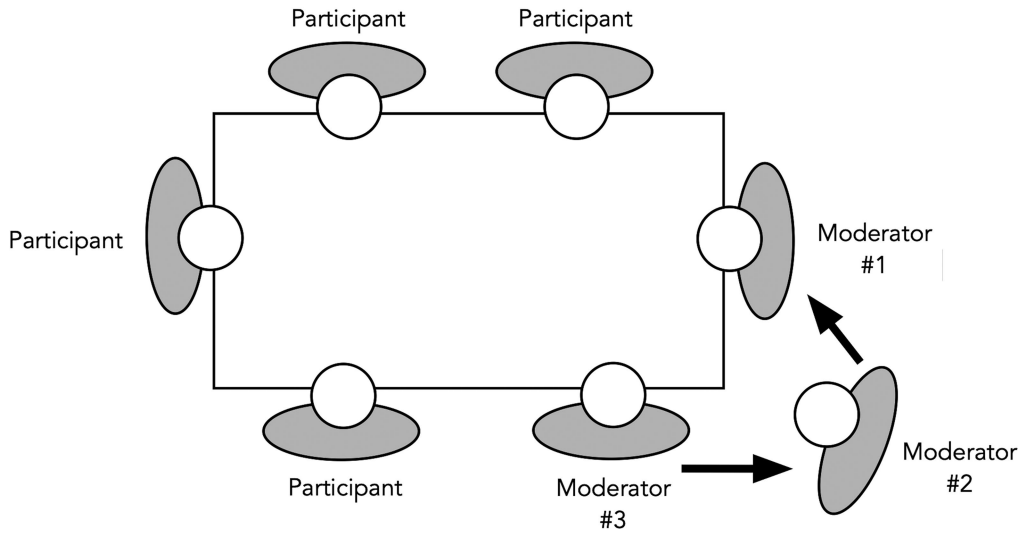


Figure 13.1 Initial seating diagram.

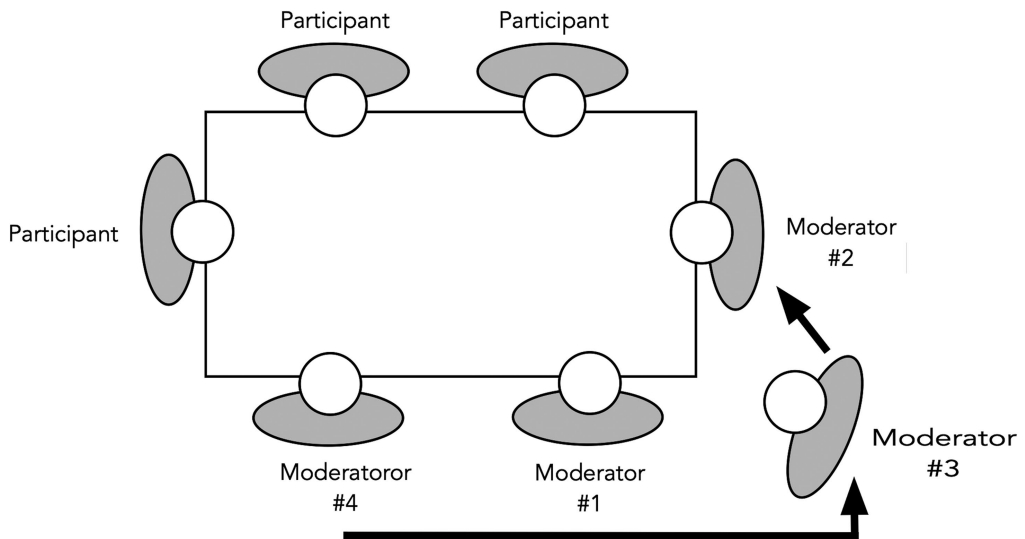


Figure 13.2 Seating diagram for the second moderator.

listen to the discussion and to think about how they will link their upcoming question(s) to what the participants have said so far.

Figure 13.2 shows the transition to the second moderator. At this point, the first moderator shifts to become a participant, while the third moderator leaves the group to listen to the discussion in preparation for their upcoming question(s). This pattern of rotation continues, as the second moderator finishes their question(s) and becomes a participant, and so on. The exercise is complete when every student has moderated their question(s).

Reflection and Class Discussion

The best way to finish the exercise is to ask the students to share their feedback about the experience, typically in the form of an open discussion. Possible questions include: What did you like about the experience? What was odd or awkward? What techniques for asking and probing questions did you prefer? What strengths do you feel a focus group of our size has? What may be the downfalls?

In addition, it is typically advisable to avoid having them ask the instructor for “expert” feedback, so it is wise to announce in the beginning that you will not be evaluating their performance in any way.

Online Teaching Modifications

It would be relatively simple to modify this exercise for a synchronous online format using video conferencing software. As above, the main thing that would be necessary is to assign each of the students an order in which they will serve as a moderator along with a question or questions to ask. To observe, it is recommended that the instructor mute their own audio and video, so that the students are the only ones viewing and listening to each other, as would be the normal case in a focus group. Discussion could include how they believe the online experience may be different than an in person session.

14 Focus Group Interviewing Method

Pranee Liamputtong

Brief Description of Method

A focus group interviewing method is a small group discussion that focuses on a particular issue and is facilitated by a researcher (a moderator). Typically, focus group interviews involve a group of 6–10 people who come from similar social and cultural backgrounds or who have similar experiences or concerns. They gather to discuss a specific issue with the help of a moderator in a particular setting where participants feel comfortable enough to engage in a dynamic discussion for 1 or 2 hours. The method is useful in exploring and examining what people think, how they think, and why they think the way they do about the issues of importance to them without pressuring them into making decisions or reaching a consensus.

References for Further Reading

- Liamputtong, P. 2011. *Focus Group Methodology: Principles and Practice*. London: Sage.
- Lundeby, T., T. E. Wester, J. H. Loge, S. Kaasa, N. K. Aass, K. S. Grotmol, and A. Finset. 2020. Challenges and Learning Needs for Providers of Advanced Cancer Care: Focus Group Interviews with Physicians and Nurses. *Palliative Medicine Reports* 1: 208–15.
- Nyumba, T., K. Wilson, C. J. Derrick, and N. Mukherjee. 2018. The Use of Focus Group Discussion Methodology: Insights from Two Decades of Application in Conservation. *Methods in Ecology and Evolution* 9: 20–32.
- Sim, J., and J. Waterfield. 2019. Focus Group Methodology: Some Ethical Challenges. *Quality & Quantity* 53: 3003–22.

Estimated Teacher Prep Time

90–120 minutes:

- Review Nyumba et al.'s paper (2018)
- Prepare PowerPoint slides and homework materials for students
- Develop or search for some examples of papers that use some of the focus group interviewing methods identified in Nyumba's paper

Estimated Duration of Lesson

- 90-minute in-class interactive lecture
- 30-minute student independent activity
- 30-minute reflective discussion (follow-up class session)

Materials Needed

- PowerPoint slides outlining the main characteristics of a focus group interviewing method, how it is used in qualitative research, and how to run a focus group interviewing session.

Student Pre-Class Preparation

- Read the paper written by Nyumba et al. (2018) before class

Learning Outcomes

Completing this activity, students will be able to:

- 1 Define what a focus group interviewing method is and why it should be used in a research project
- 2 Identify essential characters of a focus group
- 3 Learn how to run a focus group

Lesson Instructions

- 1 Using the PowerPoint that you will create, proceed with the lecture as follows:
Explain what the focus group interviewing method is and its value as a data collection tool in qualitative research (use the description given above). Then explain that generally there are three different ways in which focus groups can be used.
 - First, it is used as a **“self-contained” method**. In this case, the groups serve as the primary sources of data collection. They can be used to examine research questions from the perspectives of the participants as well as to explore new research areas. The basic argument for using focus groups as a self-contained approach, as opposed to individual interviews, is that they reveal participant’s experiences and perspectives that may not be accessible without group interaction.
 - Second, the focus group interviewing method is used as a **“supplementary” source of data**. This often occurs in mixed methods research. Information from them can be used as a source of preliminary data in quantitative research. Most often, focus groups are used to generate survey questionnaires. They may also be used for developing a program or intervention, or to validate the findings of quantitative research methods such as surveys when the results of the survey cannot provide a deeper understanding of the participants’ perspective.
 - Third, focus groups are used in **“multimethod” studies**. In this case, a combination of several approaches is used to collect information. They can be used in conjunction with in-depth interviews and participant observation in an ethnographic study, for example. The main purpose of this multimethod is the mutual enhancement of the understanding of each method by the other. This is known as “triangulation.”
- 2 Then, using slides, explain to students that in whatever form focus groups are used, several points need to be understood to ensure a successful focus group interview. These include:
 - **Group interaction:** Focus group discussions intend to encourage interaction between research participants as much as possible. When group dynamics work well, the co-participants act as co-researchers taking the research into new and often unexpected

directions and engaging in interaction that is both complementary (such as sharing common experiences) and argumentative (questioning, challenging, and disagreeing with each other).

- **The participants:** As the emphasis of the focus group is on group discussion, the composition of the group plays a major role in the interaction. Participants should have something in common so that maximum interaction within the group can be achieved and individuals dominating or withdrawing can be avoided. Generally, there are three points of concern regarding this commonality. First, focus group members should be a homogeneous group. If the participants come from similar social and cultural backgrounds, they may feel more comfortable talking to each other and will be more likely to talk openly. Participants with different backgrounds can restrict the openness and sincerity of the discussion. However, some researchers argue that heterogeneous group compositions can sometimes work well, particularly if researchers want to explore the issues from different perspectives. Second, focus group participants need to be homogeneous in terms of shared experience. People who have common attitudes toward certain issues or have similar health and illness experiences are more likely to talk openly with each other. The reason for this is simple: Participants feel that others in the group can understand them better because of the shared experience. Third, an ideal focus group interview is when the participants do not know each other in advance so that a free dialog can be facilitated. This is particularly important when the topic for discussion is sensitive. There are many situations, though, when using strangers is not permissible or practical. In these situations, familiarity rather than anonymity may be the key to free-flowing discussions. Familiarity can also provide a social context within which people's ideas are formed and their decisions made. Focus groups conducted with acquaintances not only allow the participants to share their experiences but also to disclose personal information. The more the participants interact, the deeper the levels of disclosure that can be obtained. Because of this self-disclosure, the participants can examine their views and the views of others in the group more intensely. This enhances the richness of the information gathered.

3 Explain to students how a focus group is typically run.

- Prepare the location beforehand. The location should be in an area where confidentiality can be maintained as well as quiet enough for the discussion to take place. The location is organized according to the situation of the location. In some cases, the location can be under a tree in a rice field.
- Arrange the location and setting and arrange table and chairs or seatings of participants before commencing the focus group.
- Check the equipment such as the tape recorder and microphone to ensure that they are functioning properly, and set the microphone in the middle of the table that is being used.
- The moderator, a note-taker, or an assistant moderator needs to reach the location before the participants arrive to greet the participants. People will not turn up at the same time if they must travel to the location themselves.
- Some refreshments such as hot and/or cold drinks and snacks should be prepared so that the participants can settle in before the commencement of the focus group session.
- When all participants have arrived and settled in, moderators should introduce themselves and get all participants to introduce themselves.

- The moderator briefly introduces the focus group session, the research topics, the aim of the group discussion, and some ground rules.
 - Some focus group researchers commence their focus group session with some stimulus materials, such as photographs, cartoons, pictures, or some activities such as pile sorting or drawing, to settle the participants before the discussion.
 - The first question of the question guides is then asked.
 - Probes and prompts are used to stimulate discussion and interaction.
 - Ensure that everyone has the chance to speak and interact.
 - Continue until all questions are asked.
 - Finish the session with a brief conclusion, a wrap-up question, and thanks.
 - Refreshments or meals should be provided at the end of the session. People feel more relaxed if they have the chance to eat and drink together, and this may allow an opportunity to clarify some issues in further discussions.
- 4 After the lecture, students participate in the following activities, which can create their experiential learning tasks.
- Elicit from the group a list of research topics for a healthcare context where the use of focus groups would be the most appropriate form of data collection.
 - Choose one of the research projects listed above, and, as a group, students compile a list of ideal individuals to participate in a focus group. Discuss in the class the logic behind each of their choice.
 - Split the class into four groups and assign each group a research topic from the list already compiled by students. Ask each group to write a set of questions for a relevant focus group.
 - Based on this, invite students to conduct a focus group for about 20 minutes. One student will act as moderator and another as note-taker. The group will then present the main information they elicit by the end of a 20-minute focus group discussion.

Reflection and Class Discussion

- From these exercises, invite students to discuss the advantages and pitfalls they have experienced as well as what they could foresee in the future or in other focus groups.
- Play this video “ Conducting a Focus Group” by UBC learn and invite students to discuss what makes it a good or a bad focus group.
<https://www.youtube.com/watch?v=Auf9pkuCc8k>
- Each student will reflect on what they think is good and bad and then share it with the class. Common themes are then discussed to finish off the lesson.

Online Teaching Modifications

This lesson can be adapted for online teaching. It is more engaging if it is done synchronously using video conferencing software as you can break students into separate rooms if needed. This way, you can move through the different breakout rooms to see the interaction among the students, as it should be done in an offline focus group interviewing method.



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Section 4

Observations as Data Collection

All sciences start with on-the-ground observation, asking: What is this? How does this work? This section covers three of the widely used methods of observation in the social sciences: participant observation; direct observation; and unobtrusive observation. Participant observation puts researchers where the action is so they can watch what people are doing, ask them about what they are doing, and record what are doing. This is the method of choice in the inductive, exploratory phase of research. In the deductive, explanatory phase of research, when analytic categories are established, direct observation is more appropriate. Researchers know what to look for, and simply need to collect systematic data about a behavior. Participant observation and direct observation can both be intrusive, causing the people being observed to act differently than they would when they aren't being watched. Unobtrusive observations, like video recording and the collection of social media data, can lower reactivity and can improve the quality of observational data.

Many of the classic methods of direct observation, like focal follows and time allocation, have their roots in animal ethology. This is a set of methods for systematically and rigorously observing animal behavior. Today, human ethology and other observational methods are used in psychology, behavioral ecology, anthropology, sociology, and a range of allied fields.

In teaching observation, students would, ideally, have mastery over the basics of research design, including units of analysis and operationalization. For students who have not had this training, it is easiest to start with exploratory approaches, like participant observation. The challenges for participant observation—including how to capture meaningful variability and how to work without pre-determined theoretical categories—are similar to those in semi-structured interviewing covered in Section 3. After studying exploratory approaches to observation, the more structured approach of direct behavioral observation can come as a relief to students: they just need to plan rigorously what they are looking for. Even the best-planned direct observation research will be labor-intensive and fatiguing. After this, students will be delighted to study unobtrusive approaches to observation, like video, social media, and the detritus of human behavior—things like graffiti, diaries, and family photo albums. These approaches are less demanding for observers and do-overs are usually possible if you miss something.

This handbook has lessons on four approaches to observation. First, there are lessons on the most conventionally used methods in the social sciences: Sugita's lesson on participant observation, Chikowore's lesson on direct observation, and Hames's lesson on behavioral observation. While participant observation can only be used for exploratory research that yields qualitative data, direct (behavioral) observation is more flexible and can produce qualitative or quantitative data for mixed methods research. In the second and third sections,

lessons cover the ways participant observation can be used in ethnographic research. There are Ballesterio and Ford's lesson on ethnographic methods; Sangaramoorthy and Kroegeer's lesson that applies ethnographic methods to rapid, applied, and collaborative research; Burkholder and Thompson's lesson that explains how participant-observers use field notes as data; and Pauli's lesson on generating ethnographic writing from observational data. This section also introduces interpretive approaches to participant observation, including Mahdavi's lesson on reflexivity and positionality and Ettore's lesson on auto-ethnography. This section wraps up with lessons that cover unobtrusive approaches to observational data collection: Li and Gu's lesson on social media and Crowder and Cartwright's lesson on video recording. Together, these lessons cover a wide range of exploratory-to-confirmatory and qualitative-to-mixed methods for observation.

15 Participant Observation

How to Be a Participant and Observer at the Same Time

Elli W. Sugita

Brief Description of Method

Participatory observation is a data collection approach that requires the researcher be present in the field, allowing the researcher to collect various data and making fieldwork fun! By participating in a cultural/social situation, one can see, hear, smell, touch, feel, and experience the theme. However, just seeing as a participant is different from observing and describing; it requires some training. This lesson will go through the basics of participant observation while integrating student activities.

References for Further Reading

- Fowler, E. 1998. *San'Ya Blues: Laboring Life in Contemporary Tokyo*. Ithaca: Cornell University Press.
- Ogawa, S. 2006. Earning Among Friends: Business Practices and Creed Among Petty Traders in Tanzania. *African Study Quarterly* (University of Florida Online Journal) 9: 23–38.
- Spradley, J. 2016. *Participant Observation*. Reissue ed. Long Grove: Waveland Press.
- Whyte, W. F. 1993. *Street Corner Society: The Social Structure of an Italian Slum*. 4th ed. Chicago: University of Chicago Press.

Estimated Teacher Prep Time

90–120 minutes:

- Review the listed references and select or add more ethnographies based on participant observation that would be adequate for your students. For example, if you are teaching in a non-English-speaking country, it would be easier for basic-level students to read an ethnography in your shared language to grasp the essence and strength of participant observation.
- Modify the PowerPoint slides (provided) if necessary.
- Make copies of instructions for the homework assignment available on the class learning management system (LMS) or document-sharing applications.
- Consider if students will submit their homework to the document-sharing application or through an LMS.
- Read the submitted homework prior to Class 2 and prepare to provide feedback and questions for future participant observation.

Estimated Duration of Lesson

Class 1:

- 45 minutes of in-class interactive lecture
- 15 minutes of student group discussion/brainstorming on which setting to choose and what to observe as prep for the homework assignment

Homework:

- 30 minutes for students to conduct participant observation
- 60 minutes for students to write field notes about the observation

Class 2:

- 40 minutes in class to share and discuss the results of student's observation
- 20 minutes reflection/discussion

Materials Needed

- For Class 1: PowerPoint slides (provided) outlining participant observation. Adjust/modify the slides to the teaching environment, if necessary.
- For homework activity: To record their observation, students need recording devices such as paper and pen (or smartphone with memo apps) and a camera (or smartphone) to take pictures. Portability is important.
- For Class 2: Students need to be ready to share their field notes for others to read. Copies of the notes can be shared, or, if available, through the LMS or any document-sharing application for uploading and sharing documents.

Student Pre-Class Preparation

- For Class 1, direct students to read Spradley (2016), Part II, Steps 1–4.
- Before starting the homework activities, students should read some of the suggested classical ethnography based on participant observation.
- For Class 2, students need to prepare the field notes based on their brief observations. Furthermore, students should read about taking field notes found in chapter 20 of this handbook.

Learning Outcomes

Through this lesson, students will be able to:

- 1 understand that just being a participant is different from conducting participant observation (being a participant and observer at the same time)
- 2 understand there are rich data you can acquire through participant observation and identify the benefits of this method
- 3 identify what to observe in a given setting

Lesson Instructions

This lesson has three parts: (1) an in-class interactive lecture; (2) a homework activity; and (3) a reflective class discussion. It is appropriate for advanced undergraduate and graduate students.

Class 1: Interactive In-Class Lecture (45 minutes + 15 minutes)

Overview:

Using the provided PowerPoint slides, proceed with the lecture as follows:

Step 1. As an introduction, ask students simple questions (PowerPoint slide 3).

The purpose is to make them aware that seeing as a participant and observing with a question is different. Example questions can be: (1) What kind of shops are on Street A [INSERT PLACE STUDENTS WOULD KNOW], and how many show the opening hours on the front side? Ask another question to make them understand the difference between using multiple senses. (2) How did your image of a person you had met through video conferencing software change after meeting them in person?

Step 2. Give a lecture on the basics of participatory observation (PowerPoint slides 4–11).

- *What is participant observation?*
Provide a definition of participant observation. Provided here is: “A data collection approach that requires the researcher to be present in the field, involved in people’s lives, while observing, listening, feeling, and recording people’s activities and their social situation.” Explain that there are varying degrees of participation, from complete participant to complete observer.
- *Why do participant observation?*
Demonstrate the strength of this method. Also, introduce suggested readings from the reference list. You may add other references. Explain the role participatory observation played in the given research.
- *How is participant observation conducted?*
Emphasizing explicit awareness is essential. Discuss rapport and the bias/limitations/advantages of “who you are.” Also, discuss the effect and ethics of revealing you are doing research. Explain what to observe with concrete examples. Making field notes is part of the analysis.
- *Making records and field notes*
Explain the role of jotting down memos during the observation. Recoding the results in a field note is itself an analytical process.

Step 3. *Explanation of homework activity*—6 minutes (PowerPoint slides 12–13)
(see homework activity directions below).

Step 4. *Discussion among students*—15 minutes (PowerPoint slide 14)

Students’ group discussion/brainstorming on which setting to choose and what to observe as preparation for the homework assignment. This process will also help them digest the lecture in Class 1 and ask questions.

Homework Activity (30 minutes + 60 minutes)

Overview: Provide students with the instructions to conduct a short observation and make field notes based on it. This homework activity would be Step 5.

Assignment Instructions for Students:

- 1 Choose a familiar location/social situation. It can be a supermarket, park, neighborhood, train, or part-time job workplace.
- 2 Spend approximately 30 minutes observing what is going on in that social situation. You do not need to stop your activities and concentrate just on observation; you can keep doing your usual business (shopping, walking, working) if you can.
- 3 If you can, try to take some quick notes on the spot—keywords, quotes, and descriptions that would trigger your memory. In addition, take some pictures if possible.
- 4 Go home and create a record. Based on your memory and the memos you took during the observation, write up your observation results as a field note (without looking at the photograph). Make sure you do this on the same day as you conducted the observation! Memory fades fast. Writing the field notes often takes more time than the observation, so ensure you secure enough time. Describe your results with sentences and at least one chart, map, or graph.
- 5 As you are about to finish drafting your field notes, look at the photograph you took. How well did you remember? Do you want to add or amend what you have written? In addition to the field notes, write one or two paragraphs reflecting on your short experience of conducting the observation and writing up the field notes. You can include: what you liked, what you did not like, what was easy to observe and remember, what was hard, how representative you believe your notes to be of your experience, etc.
- 6 Upload your field notes (observation records) to the LMS or bring the copies to class: If an online LMS or document-sharing application is available, upload your document for sharing a few days before Class 2. If an online platform is not available, bring several copies of the homework to share among group members for discussion. Do not forget to hand one to the teacher before Class 2. Then be ready to discuss your results and experiences with your classmates.

Class 2: Group Discussion and Reflection (40 minutes + 20 minutes)

Step 6. Share and discuss the results of the student's observation—40 minutes (PowerPoint slide 15)

Within a group, present the results of the homework. Other members should ask questions and give feedback.

Reflection and Class Discussion

Step 7. Reflection/discussion as a whole class—20 minutes (PowerPoint slide 16)

Depending on the class size, facilitate class discussions for reflecting on their experience of the brief participant observations. For example, What was difficult? Did people around you notice you are an observer? Did you “see” what you had not noticed before? What other information were you able to collect other than visual information? How difficult or easy was it to write down your 30-minute observation?

Online Teaching Modifications

Steps 1–3 can be delivered as an online live lecture, or the lecture can be prerecorded and uploaded to a platform for document sharing. **Step 4** discussion can be done online using a video conferencing function such as “breakout room.” Alternatively, students could use the chat function for Step 4 if the situation requires doing so, but it is preferable to do it face-to-face. **Step 5**, which is the homework activity, has to be done synchronously. Even in a total lockdown situation, you can still observe your daily life inside the house. **Step 6** can be modified by each student posting a PDF of their observation results (homework). Other students should read them and provide questions and feedback on an online discussion board. **Step 7** can be done as an online discussion but it is best done *synchronously*, reflecting on the exercise.

16 Observation as Data Collection

Noleen Rutendo Chikowore

Brief Description of Method

The observation method is rooted in anthropology (Atkinson and Hammersley 1998) and is popular in health studies (McDonald et al. 2021). Observations allow researchers to generate a first-hand experience of what they see, feel, hear, taste, and smell in specific contexts. The method focuses on gathering data on the lived experiences of individuals, groups of people, or a phenomenon in its natural setting. Observations are conducted to triangulate emerging findings from other data collection methods, such as interviews (Merriam and Tisdell 2016). There are different types of observations, and the lesson plan below highlights how to engage in observation as a data collection method.

References for Further Reading

- Atkinson, P., and M. Hammersley. 1998. *Ethnography and Participant Observation. Strategies of Qualitative Inquiry*. Thousand Oaks: Sage.
- Creswell, J. W., and C. N. Poth. 2016. *Qualitative Inquiry and Research Design: Choosing Among Five Approaches*. Thousand Oaks: Sage.
- Fix, G. M., B. Kim, M. Ruben, and M. B. McCullough. 2022. Direct Observation Methods: A Practical Guide for Health Researchers. *PEC Innovation* 1: 2–6.
- Hammer, B., F. Fletcher, and A. Hibbert. 2017. Participant Observation: Enhancing the Impact Measurement in Community Based Participatory Research. *Qualitative Report* 22: 439–55.
- Li, J. 2008. Ethical Challenges in Participant Observation: A Reflection on Ethnographic Fieldwork. *Qualitative Report* 13: 100–15.
- Lincoln, Y. S., and E. G. Guba. 1985. *Naturalistic Inquiry*. Beverly Hills: Sage.
- McDonald, M.V., C. Brickner, D. Russell, D. Dowding, E.L Larson, M. Trifilio, I.Y. Bick, S. Sridharan, J. Song, V. Adams, and K.Woo. 2021. Observation of Hand Hygiene Practices in Home Health Care. *Journal of the American Medical Directors Association* 22(5): 1029–1034.
- Merriam, S. B., and E. J. Tisdell. 2016. *Basic Qualitative Research. Qualitative Research: A Guide to Design and Implementation*. 4th ed. San Francisco: Jossey-Bass.
- Methods Space Blog <https://www.methodspace.com/blog/participant-observation-how-does-it-work-online>
- Nørskov, S. V., and M. Rask. 2011. Observation of Online Communities: A Discussion of Online and Offline Observer Roles in Studying Development, Cooperation and Coordination in an Open Source Software Environment. *Forum Qualitative Sozialforschung Forum: Qualitative Social Research* 12(3). <https://doi.org/10.17169/fqs-12.3.1567>
- Phillippi, J., and J. Lauderdale. 2018. A Guide to Field Notes for Qualitative Research: Context and Conversation. *Qualitative Health Research* 28: 381–88.
- Takyi, E. 2015. The Challenge of Involvement and Detachment in Participant Observation. *Qualitative Report* 20: 864–72.

Estimated Teacher Prep Time

90–120 minutes:

- Prepare and review methodological literature on observation as a data collection method.
- Prepare lecture materials on different types of observations, the purpose of the observation method, the role of the observer (researcher), good practices in observations, and methodological challenges in using observations.
- Share samples of observation protocol templates (provided) used to capture descriptive and reflective field notes for participant and non-participant observation methods or see (Creswell and Poth 2018: 236; Merrimack and Tisdell 2016: 141 for guidelines).
- Develop instructions and templates for the students to identify a phenomenon to observe and develop their observation protocol. Students will submit their protocol as part of their module assessment.
- All materials can be provided in a learning management system (LMS).

Estimated Duration of Lesson

- Lecture presentation (Class 1)
- 30 minutes of group discussion to identify a phenomenon to observe and prepare for the observation protocol assignment (Class 1)
- Develop and submit individual observation protocol as homework (Class 1)
- 1-hour individual data collection activity on an observation (Class 2)
- 1-hour group discussions and reflections on the data collection process (Class 3)
- 40 minutes of data analysis and reflection on the process (Class 4) *optional*

Materials Needed

- For Class 1, prepare lecture slides and provide a sample observation protocol
- For homework activities, provide clear instructions
- Students require a notebook and pen for the fieldwork activity
- Printed observation protocol (optional)

Student Pre-Class Preparation

Students are advised to read Merriam and Tisdell 2016 and Creswell and Báez 2020 readings before the Class 1 session as class discussions are based on these readings. For graduate classes, they are recommended readings on positionality, reflexivity, and ethical dilemmas in using observation as a tool.

Learning Outcomes

By the end of the session, students will be able to: (1) conduct either participant observation or non-participant observation as a data collection tool depending on the phenomenon under study; (2) develop and implement an observational protocol in a setting; and (3) reflect on and evaluate the challenges of using the observation method.

Lesson Instructions

Students read the required literature before coming to the first class. The lesson will be carried out over two weeks of 2-hour sessions each. The first-week session prepares students for designing an observation protocol. The second-week session will consider data collection and analysis of observational data. This excludes homework, which is independent learning.

Week 1

Class Session 1: Preparing Students for Homework (60-minute session)

Step 1: Required literature before the class session

- Students read relevant studies before conducting the homework to understand how and why it is important to develop observation protocols and how to use a checklist for conducting an observation (Creswell and Báez 2020: 117–25; Creswell and Poth 2018: 124, 236; Merrimack and Tisdell 2016: 141).

Step 2: Background on observation method

- Background context on the importance of observational data from:
 - Practical perspective
 - Theoretical perspective
 - Methodological consideration
 - Advantages and disadvantages of conducting observations

Step 3: Introduce the homework activity-group and individual activity

- Introduce the purpose of the observation activity using the observational protocol and its importance in different field settings.
- Provide the instructions for the activity and a sample structure of an observational protocol.
- Students get into small groups of two to four (depending on the size of the class) for 20 minutes to identify the most appropriate type of observation they plan to conduct, define the purpose of the observation and the data collection procedures (i.e., unit of observation and the observation period) see (Fix et al. 2022), and brainstorm on phenomena to observe (e.g., observe shopping behaviors at a local grocery store or eating habits at a university dining hall and develop an observational guide).
- Then, students will develop an individual observational guide as their homework and submit it for assessment.
- Instructions need to be clear on the expectations and outcomes of group discussions and the individual activity.
- Inform students that they will visit their observational sites in the next class session to collect observational data. Instructions for this class should be available on the LMS.

Class Session 2: Data Collection

Step 4: Observational data collection activity (60 minutes)

- Using the observational protocol developed for their homework, the students will meet either for a participant or a nonparticipant observation activity at their observational site.

- Using the observation protocol, students should take field notes that include their observations (descriptive notes) and their reactions or interpretations of those observations (reflective notes). In their field notes, they describe and reflect on the following components applicable to their observation (i.e., physical setting, activities that are occurring, social interactions [verbal] between individuals, nonverbal communication, behaviors, and things you might have expected to see—but didn't).
- Students will submit their completed observational protocol or field notes for assessment.

Week 2

Class Session 3: Discussion and Wrap-Up

Step 5: Reflection and Class Discussion (60 minutes)

- Students begin by getting into groups and sharing their observation data by highlighting similarities and differences, and discussing anything interesting/challenging during the data collection process.
- Then, the class reconvenes, and each group reports back on how meaningful the data collection process was in understanding the phenomenon under study (e.g., behaviors of customers at a grocery store, food waste behaviors of college students, use of public library space, etc.).
- What do you think about the quality of the data? How do you address issues of the credibility of the data collection and analysis process?
- Any ethical concerns during the data collection process?
- How did your positionality influence the data collection process, and how did you address any concerns?
- What can be improved in your next data collection?

Class Session 4: Data Analysis (optional)

Step 6: Data analysis of observational data (optional)

- This depends on the knowledge students have about qualitative data analysis. See lessons in this handbook on finding themes and analyzing qualitative data.

Online Teaching Modifications

The observation can be modified synchronously or asynchronously. Step 1 can be converted to online prerecorded lectures, and the group activities in this session can be done using online discussion boards or group-sharing documents. For the homework, students in small online groups of four will be asked to define the goals of their observation of online video observation. In Step 2, the students can watch online videos such as “Ethnography Project—Kevin Fraser” https://www.youtube.com/watch?v=WtOuZMe_FqU using an observation protocol they develop as a group and complete the online observational data collection. In Step 3, students develop a brief reflection and post it on online discussion boards, and they are required to at least comment on one reflection of their colleague.

17 How Behavior Observations Enrich Qualitative Researchers

Raymond Hames

Brief Description of Method

Participant observation is the hallmark of ethnographic research. Behavior observations, whether direct (researcher observing the subject) or indirect (subject recounting a time period to researcher or time diaries) methods, allow researchers to discover patterns of daily behavior that would otherwise remain unknown through standard structured methods such as questionnaires or interviews. How people spend their time is a vital dimension of their culture and lived lives, and can be used to better understand their views, values, orientations, and regular habits. It can also provide a check on the accuracy of informant statements. That is, what people say they do or believe does not always match their behavior. Although behavior observations are quantitative by design, qualitative researchers may find them useful in contextualizing their research.

References for Further Reading

- Hames, R., and M. Paolisso. 2014. Behavioral Observation. In *Handbook of Methods in Cultural Anthropology*, edited by H. R. Bernard and Clarence Gravlee, 293. Lanham: Rowman & Littlefield.
- Harari, G. M., S. R. Müller, M. S. Aung, and P. J. Rentfrow. 2017. Smartphone Sensing Methods for Studying Behavior in Everyday Life. *Current Opinion in Behavioral Sciences* 18: 83–90.
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- Johnson, A., and R. Sackett. 1998. Direct Systematic Observation of Behavior. In *Handbook of Methods in Cultural Anthropology*, edited by H. R. Bernard, 301–30. Walnut Creek: AltaMira.
- Paolisso, M., and R. Hames. 2010. Time Diary Versus Instantaneous Sampling: A Comparison of Two Behavioral Research Methods. *Field Methods* 22: 357–77.
- Robinson, J. P. 2002. The Time-Diary Method. In *Time Use Research in the Social Sciences*, edited by J. P. Robinson, 47–89. Boston: Springer.
- Stinson, L. 1999. Measuring How People Spend Their Time: A Time-Use Survey Design. *Monthly Labor Review* 122: 12–19.
- Vitzthum, V. 1994. Suckling Patterns: Lack of Concordance Between Maternal Recall and Observational Data. *American Journal of Human Biology* 6: 551–62.

Estimated Teacher Prep Time

90 minutes:

- All readings noted above and below and resources such as instructional PowerPoint slides are provided.

- First read Paolisso and Hames (2010), to gain an overview of the differences between direct (instantaneous or spot checks) and indirect (time diary) behavior methods. To prepare for a lecture on the time diary interview, read Robinson (2002) to familiarize oneself with the questionnaire, interview procedures, data input (see Figure 3.1), and general (ATUS) behavior codes (Table 3.1). Your goal is to prepare students for data collection via interview or time diary. Have students use and extend as required the MS Word file entitled “Simplified Time Diary Input Format” for each interview.
- To prepare for lecturing on direct observation, read Johnson 1975 after reading Paolisso and Hames (2010). (By the way, what Johnson calls “spot checks” are actually a kind of instantaneous sampling described in Paolisso and Hames). Instantaneous direct observations require the researcher to record a subject’s behavior along with their location, date, and time. It is akin to a snapshot and not a video, which is a kind of continuous behavior sampling described in Paolisso and Hames. These observations should be done in a public space such as a park, beach, shopping mall, and the like, where people do not have a right to privacy. Parks and playgrounds are ideal because the same subject or set of subjects (play or picnic groups) can be repeatedly observed, which is crucial. Snapshots of each subject should be done 15–20 times at about 5-minute intervals, if possible. Finally, although individuals have no right to privacy in public settings, if someone becomes annoyed because they are being observed, students should explain the exercise, apologize, and cease observation if the subject is not mollified. The MW Word file entitled “Behavior observation data...” should be used to record observations.
- The accompanying PowerPoint slide set entitled “behavior time diary...” can be used and/or modified for a lecture to students.
- Finally, the instructor might want to read the other readings provided in “References for Further Readings” (above) to gain a fuller appreciation of the time diary and direct observation methods. Especially interesting is the new Smart Phone Sensing technologies for Apple and Android phones (see Harari et al. 2017).

Estimated Duration of Lesson

There should be two or three class lessons. The first two (or one) lectures should last about 30 minutes, each describing the basic logic and procedures for time diaries and behavior observations. The third lesson will involve in-class student presentations. Students should present their findings in class for about 6–7 minutes per student. They should describe their descriptive statistical results and the problems or insights they gained in recording behavior. Especially valuable would be fixes or modifications they made to gain consistent and reliable results such as asking informants to be more specific (about 7 minutes per student).

Materials Needed

Instructors should use the provided PowerPoint slide set entitled “behavior-time-diary...” to introduce students to the two behavior collection methods (time diary and direct observation). Instructors should make the provided recording forms for time diary (“simplified time diary...”) and direct observation (“behavior observation...”) available to students along with the ATUS codes in “ATUS Time Diary..” MS Word file (which is also found in the Robinson 2002 above).

Student Pre-Class Preparation

Students should read Paolisso and Hames and Robinson above. In preparation for their research, they use the “behavior observation...” and “simplified time diary...” MS Word forms for both time diary and behavior observation. For the time diary format, they should use the behavior codes and tabular format found in the Robinson reading above in the references section. For the direct observation exercise, the behavior codes will largely depend on where and whom they are observing. If, for example, they are going to observe people in a park, they should first visit the park and note as many discrete behaviors as they are able before making their observations. Based on their past experiences, they should generate an initial list (chatting, reading on a bench, people watching, sleeping, playing, etc.).

Learning Outcomes

On completion of these activities, students will be able to do the following: (1) learn how to query subjects about their daily activities; (2) closely observe behavior in a naturalistic setting; and (3) produce simple descriptive statistical characterization of behavior and understand the strengths and weakness of direct and indirect behavior methods. Finally, students should consider how a behavioral approach, if used, might enhance their research interests.

Lesson Instructions

- The first session should be designed to explain the time diary and behavior observation interviews and observational protocols for data input and behavior classification. One might want to have separate sessions for the time diary and instantaneous (spot checks) methods.
 - Assign students to interview several subjects (a roommate, classmate, family member, etc.) using the time diary method. This could also be done during class time by interviewing fellow students.
 - Using direct observation, assign students to view behavior in a public place such as a park, playground, or elsewhere where people are likely to remain visible for at least 15 spot observations (2- to 3-minute intervals) and ask them to observe and record the individuals they have selected.
- In the second or third session students present their data using simple descriptive statistics through the production of an Excel-like table and discuss the pros and cons of each method and problems, discoveries, or solutions they experienced during the research.

Reflection and Class Discussion

Instructors should ask students the following questions:

- What did you learn about everyday behavior?
- Do behavior observations have any relevance to your research interests?
- What research areas could especially benefit from observational methods?
- What are the strengths, weaknesses, and limitations of behavior observations and direct observational approaches?

- How could new technologies such as smartphones and computers enhance behavioral methods?
- Describe some of the ethical issues in this research.

Online Teaching Modifications

Nearly all of the content could be delivered through a combination of video conferencing and a learning management system (LMS). The first two lessons described above could be delivered through the creation of a pre-recorded/narrated PowerPoint based on the supplied PowerPoint slides. If using an LMS instructors might wish to establish a “discussion board” to allow students to share their results and experience in applying these methods. Most lessons could be delivered asynchronously. However, it seems best that student discussion of their results and issues should be done live via video conferencing after students have posted the same on a discussion board.

18 Ethnography

A First Overarching Look

Andrea Ballesterio and Melanie Ford Lemus

Brief Description of Method

Ethnography is a reflexive practice built on systematic engagements over a sustained period of time. This can consist of one long stretch of fieldwork or punctuated engagements. Ethnography is a meta-method that incorporates many data collection techniques but typically includes participant observation. The purpose is to offer insights into a social experience by accounting for everyday practices and taken-for-granted ideas of participants. To accomplish this, the researcher(s) ought to develop ethically appropriate relations with participating individuals, communities, or organizations. As a method, ethnography is capacious. It generates more data than originally expected and allows researchers to learn things that make them adjust their original assumptions. Ethnography is built on a situated form of objectivity that acknowledges that a researcher(s) understanding of the world is shaped by race, class, ethnicity, and gender. Ethnography seeks an understanding that resonates with participants rather than mirroring the thoughts of the researcher. Ethnography is used in scientific, collaborative, engaged, and creative spheres.

References for Further Reading

- Ballesterio, A., and B. R. Winthereik, eds. 2021. *Experimenting with Ethnography: A Companion to Analysis*. Durham: Duke University Press Books.
- Emerson, R. M. 2011. *Writing Ethnographic Fieldnotes*. 2nd ed. Chicago: University of Chicago Press.
- Estalella, A., and T. Sánchez Criado. 2018. *Experimental Collaborations: Ethnography Through Fieldwork Devices*. Vol. 34. New York: Berghahn Books.
- Kara, H. 2015. *Creative Research Methods in the Social Sciences: A Practical Guide*. Bristol: Policy Press.
- LeCompte, M. D., and J. J. Schensul. 1999. *Designing and Conducting Ethnographic Research*. Lanham: AltaMira.
- Smith, L. T. 2012. *Decolonizing Methodologies: Research and Indigenous Peoples*. 2nd ed. London: Zed Books.

Estimated Teacher Prep Time

If the teacher has experience conducting ethnographic research, they will need approximately 30 minutes per session to plan a schedule for in-class activities. If the teacher does not have experience with ethnographic research, we suggest they follow this plan for a research project of their own. First-hand experience will enable them to ground discussions and capture the challenges students face.

Estimated Duration of Lessons

- In total, this plan is designed with a duration of four weeks of a typical university quarter or semester, split into four lessons: project conception, data collection, data analysis, and data presentation.
- Each weekly lesson consists of two 90-minute sessions of in-class activities and homework.

Materials Needed

Essential:

- Notebook
- Pens and/or pencils
- Recording device (such as a Sony ICD PX370 or the default recording application on a smartphone)
- Word processing software

Optional but desirable:

- Camera
- Access to the Internet and local news sources

Student Pre-Class Preparation

Students will benefit the most if they have some familiarity with chapters in this volume that deal with qualitative data collection and management, including sections on observation and interviews.

Learning Outcomes

Students will learn how to (1) conceive of an ethnographic research problem; (2) develop a scaled-down ethnographic project; (3) responsibly collect data; and (4) present preliminary analysis and reflection.

Lesson Instructions

This lesson follows an experiential approach whereby students learn by doing. The resulting projects can be built on as a first research design or as preliminary work for a larger project.

First Lesson: Project Conception

Good ethnography offers rich, detailed, and contextualized analysis. That richness begins as early as the project conception phase. This lesson familiarizes students with the need for knowledge before settling on an ethnographic question.

- 1 *Class 1:* Ask each student to think about a social issue or event they want to research. Have them write two or three options. Ask them to jot down what they know about the issue and compose a paragraph or two for each. Paragraphs should include details like

geography, identities or types of communities involved, important dates, and any other important economic, political, historic, environmental, or cultural factors. Each entry should end with a research question. Ask a few students to share with the rest of the class their entries and focus on research questions.

- 2 *Homework*: Ask students to review the entries they produced in class and each student should select one. This entry will become their ethnographic project. It does not matter if some students have similar research questions, as each student will bring their own perspective and experience to the research dynamic at hand. Ask students to identify and write down the (a) main actors (leaders, organizations, professionals, etc.); (b) historical processes; and (c) material dimensions that help them understand the issue. They should do complementary research on their own by talking to people, consulting the media, or visiting a location if they can. The objective is to produce a preliminary map of who and what constitutes the topic of interest in one–two pages maximum.
- 3 *Class 2*: Divide students into pairs and have them explain the topic of their research and the question they wrote. They should discuss what they find inspiring, troubling, politically important, ethically dangerous in each other's projects. Have students re-write their guiding question. This question should be broad enough to guide empirical investigation, but not so broad that it cannot be answered with specificity. Explain to students that an ethnographic answer combines insights on everyday practices with careful explorations of unspoken assumptions and relevant histories.

Second Lesson: Data Collection

Ethnographic data are collected through a variety of methodologies and techniques. Method selection depends on the research question, access to key community members and actors, the ethics and political implications of the research, and the availability of logistical resources (time, living arrangements, geographical distance, etc.). Ethnographic data collection typically combines systematic participant observation with other techniques such as interviews, surveys, visual research, collection of material culture, and the like.

- 1 *Class 1*: Class will be used to discuss participant observation and complementary methods. Use the first half of class to provide a short lecture on participant observation (see Section 4 in this handbook, Observation as Data Collection). For the second half, ask students to review other chapters in this volume, including but not limited to semi-structured and group interviewing, community-based and participatory methods, social media, and social network data. Have students select one of these methods, describe it to class, and explain how it fits their research topic.
- 2 *Homework*: Building on class work, students will select two methods in addition to participant observation. Students should develop a plan for implementing them while considering the limited time they will have for fieldwork. An activist and collaborative approach would include input from the participating communities (see Section 5 of this handbook, Indigenous and Decolonizing Methods).
- 3 *Class 2*: Ask students to individually reflect on potential ethical issues or any concerns that pertain to their individual projects (see Section 1 of this handbook, Research Ethics). Make a collective list of potential issues and have a discussion of how to avoid dealing with them. Devote the second part of class to talk about field notes, describing the need for detailed note-taking.
- 4 *Homework*: Begin data collection. Schedule interviews, conduct surveys, and so forth. Ask students to keep detailed notes of their process in a fieldwork notebook. Ideas on

how to organize field notes can be found in Emerson (2011). Their records should combine focused attention to specific practices, along with contextual details about how, where, and by whom those practices unfold. They should also include historical or environmental factors if they are relevant to people with whom the student is working on the project or to some dimension of the question.

Third Lesson: Data Analysis

Compiling and analyzing ethnographic data is a rigorous process that should leave room for the unexpected. Ethnographic analysis often makes evident how assumptions made by the researcher were not appropriate for the situation or community with whom they are working (this is intrinsic to the method).

- 1 *Class 1:* Students should bring to class their field notes and any other materials they collected (images, posters, brochures, labels of products, etc.). Divide them into groups of two and give them 30 minutes to walk their partner through their materials. After group work, ask students to select one page of their notes and to catalog the contents with keywords. They can underline or highlight the text and, on the margin, write one word or a very short phrase that captures the spirit of that chunk of text (see Section 7 of this handbook, *Building Blocks of Analysis*). This cataloging should be guided by their research question. Each student will explain to their partner how that material speaks to the research question. Open up a collective discussion and ask a couple of students to share one or two examples by referring to the relation between their guiding question and the keywords in their notes. End class with a discussion of the challenges and unexpected findings the exercise yielded.
- 2 *Homework:* Students should continue organizing the fieldwork materials they collected (textual and multimodal) as they did in class. They should return to the guiding research question and go through the field notes and other materials by singling out the themes or categories that emerge. This is an iterative process. In addition, you might want to assign protocols in *Experimenting with Ethnography* (Ballesteros and Winthereik 2021) to expand their analytic reach.
- 3 *Class 2:* Repeat the structure of class 1 in this week's lesson.

Fourth Lesson: Communicating Results

Ethnographic insights are communicated through text and/or other media. The results of an ethnographic project should provide a rich and contextualized answer to the research question. The medium of communication should reflect that richness.

- 1 *Class 1:* Students will begin to compose an ethnographic account (30 minutes). Have students choose one theme that emerged strongly from their analysis the previous week. Ask them to select three different forms of data that speak to their question (interview quotes, images, news, objects, events, fieldwork notes, etc.). Prompt students to contextualize these data (where they collect it, what material objects were involved, what had happened before, who was present, absent, etc.). Ask students to organize their data into a narrative outline, an organizing "story," that answers their question. The objective is to develop a narrative that connects everyday practices with underlying assumptions about social life. Group students (two or three) and have them explain the outline of their ethnographic narrative to each other. This narrative will become an expanded ethnographic description in their final product.

- 2 *Homework*: Students will expand their outline and should select the format of their final result: an essay and any other media such as video, sound collage, photo essay, and so forth. Their final product should include an explanation of their research question, summarizing their data collection methods, an approach to analysis, and finally a detailed ethnographic account that answers their question. This presentation should be designed with the logistics of Class 2 in mind.
- 3 *Class 2*: Run the class as a conference panel. Depending on the number of students, give them 10–15 minutes to present their research. Have them present in panels of three or four and open up for questions from their peers after each panel. Celebrate the results!

Reflection and Class Discussion

After student presentations hold open discussion around the following questions:

- How does participant observation reveal things about social life that are not accessible when doing narrower data collection?
- What are the challenges in analyzing the relation between data collection and analysis?
- What were some unexpected findings?
- How does the insight offered by ethnographic research differ from those yielded by other methodologies?

Online Teaching Modifications

This lesson plan can be implemented online synchronously over video conferencing software. Lessons one, three, and four need online meeting rooms for group work. For data collection, the second lesson, interviews can be held through video conferencing, and students can participate in local happenings by attending online forums. Students may also review publicly accessible recordings of meetings, announcements, or events. If students are taking an activist or collaborative approach, they may do situated work to support the community's needs. The final presentations can also be held online.

19 Rapid Ethnographic Assessment

Thurka Sangaramoorthy and Karen A. Kroeger

Brief Description of Method

Rapid ethnographic assessment (REA) is a team-based, multi-method, relatively low-cost approach to data collection that relies on interviews, focus groups, mapping, observations, and brief surveys. Rapid means the rapid collection and sharing of information used for action. Traditional research projects often take months or years to design and implement and consume large amounts of resources before findings are finalized and shared. Program managers and practitioners often need to act quickly to decide how well programs are working and what needs to be changed to help them better reach, serve, and respond to their clients' needs. The need for timely, usable data can be critical for policymakers and programs serving marginalized or vulnerable populations that are hidden, hard to reach, or reluctant to use services due to social, political, and environmental factors. Practical research and assessment tools and skills can help decision-makers obtain timely information on emerging problems, engage local communities in problem-solving, foster new collaborations, and inform program and policy adjustments.

References for Further Reading

- Beebe, J. 2001. *Rapid Assessment Process: An Introduction*. Lanham: Rowman AltaMira.
- Beebe, J. 2014. *Rapid Qualitative Inquiry: A Field Guide to Team-Based Assessment*. Lanham: Rowman & Littlefield.
- Needle, R. H., R. T. Trotter, M. Singer, C. Bates, J. B. Page, D. Metzger, and L. H. Marcelin. 2003. Rapid Assessment of the HIV/AIDS Crisis in Racial and Ethnic Minority Communities: An Approach for Timely Community Interventions. *American Journal of Public Health* 93: 970–79.
- Sangaramoorthy, T., and K. A. Kroeger. 2020. *Rapid Ethnographic Assessments: A Practical Approach and Toolkit For Collaborative Community Research*. New York: Routledge.
- Recording of book talk by T. Sangaramoorthy, “STEAM Salon with Dr. Thurka Sangaramoorthy” by the University of Maryland Libraries: <https://www.youtube.com/watch?v=A6Wi9UdacYY>.
- Podcast recording by T. Sangaramoorthy and K. Kroeger, New Books Network: <https://newbooksnetwork.com/t-sangaramoorthy-and-k-kroeger-rapid-ethnographic-assessments-routledge-2020>.
- Trotter, R. T., R. H. Needle, E. Goosby, C. Bates, and M. Singer. 2001. A Methodological Model for Rapid Assessment, Response, and Evaluation: The RARE Program in Public Health. *Field Methods* 13: 137–59.

Estimated Teacher Prep Time

6–8 hours:

- Read or review Sangaramoorthy and Kroeger (2020), including the recorded talk or podcast.
- Prepare a PowerPoint slide deck and in-class materials for students.

- Using the readings (see Case Studies in Chapters 2–5 and Chapter 7 in Sangaramoorthy and Kroeger 2020), identify three interactive in-class activities that help students understand and practice REA planning, methods, and analysis.

Estimated Duration of Lesson

4–6 hours:

- One 60-minute in-class didactic lecture focused on introducing REAs and providing an overview of the approach (prepared by the instructor).
- Three 60-minute in-class interactive lecture sessions that cover REA planning, REA design and methods, and REA analysis and writing up with 30 minutes of student activity per session (prepared by the instructor).
- One 30-minute wrap-up reflective discussion that includes a question and answer session.

Materials Needed

- PowerPoint slides for the didactic and interactive lecture sessions. The slides would include an introduction and overview, planning an REA; REA design and methods; and REA analysis and writing up.
- In-class interactive activities for each session on planning, design and methods, and analysis and writing up. We recommend at least one activity for the time allotted, although you can use two or more.

Student Pre-Class Preparation

None. Although students do not have to have read the Sangaramoorthy and Kroeger (2020) text, it may be helpful for some to have read Chapter 1, *Overview of Rapid Ethnographic Assessment*, or watch the recorded lecture and listen to the podcast on the book.

Learning Outcomes

At the end of this 4- to 6-hour lesson, students will be able to: (1) identify the key concepts and principles of rapid assessment, including when and how REAs are appropriate to use; (2) identify the critical steps in planning and conducting REAs; and (3) identify essential REA methods and analysis tasks.

Lesson Instructions

This lesson has three parts: (1) an in-class didactic lecture introducing REA; (2) an in-class interactive lecture with built-in activities on REA planning, REA design and methods, and REA analysis and write-up; and (3) a wrap-up and reflective class discussion with a question and answer session. It is appropriate for advanced undergraduate and graduate students.

Didactic Lecture (~30 minutes)

Overview:

Prepare a brief PowerPoint slide deck (~20 slides) and proceed with the lecture as follows:

- 1 Using the readings, explain what REAs are and why they are useful. Provide a brief history of the approach. Be sure to emphasize how REAs draw from the fundamental principles of ethnography and how they are different from traditional ethnography. Also, highlight when REAs are used, their basic principles, and the types of findings they generate. Be sure to discuss the team-based aspect of REAs and why that is important.

Interactive In-Class Lecture (three 60-minute sessions ~180 minutes)

Overview:

Prepare three PowerPoint slide decks and proceed with the lecture as follows:

Session 1: REA planning (5–7 slides)

- 1 Using the readings, discuss the importance of the planning process in determining the key questions to be addressed in an REA, whether REA is a suitable approach to answer questions of interest, the types of technical expertise needed, and the time and resources needed depending on the REA's scope and scale. Be sure to highlight that teams undertaking REA should plan how and to whom the findings are shared or given and the role stakeholders/community will play in the assessment.
- 2 Allot 20–30 minutes for an in-class activity. Ask participants to read a case study included in the Sangaramoorthy and Kroeger (2020) book and ask them to discuss it in light of what they have learned. Have them take 10 minutes to discuss what they would do in their group and the things they need to consider. For instance: Which methods would they choose to use and why? What happened in the planning phase of the case study?

Session 2: REA design and methods (20–30 slides)

- 1 Using the readings, provide an overview and REA data collection methods examples. Be sure to go over sampling, methods including ethnographic observation and mapping, in-depth, key informant interviews, and focus groups. Introduce field notes and effective strategies for taking team-based field notes. Finally, highlight the team-based nature of conducting fieldwork during REAs, including strategies for successfully working as a team during all phases of REAs.
- 2 Allot 20–30 minutes for an in-class activity. Have participants practice a methods exercise. For instance, they can practice participant observation using a brief video from YouTube (e.g., “Kindergarten Morning Routine” by Ryan J. Gogerty <http://www.youtube.com/watch?v=t4asKy18MdU&feature=relmfu>). They can also go outside to conduct a short 5- to 10-minute observation of a particular site. In addition, they can practice writing an interview guide or practice interviewing by pairing up with each other using a broad question such as “What is your most memorable travel experience?” or “What would you do if you learned that you won the lottery?”
- 3 Have participants take 10 minutes to reflect on their experiences practicing a method with the group. Ask them to discuss challenges and what they thought they did well with.

Session 3: REA analysis and write-up (20–30 slides)

- 1 Using the readings, provide an overview of qualitative research analysis, including qualitative data management, ways to think about data (codes, categories, facts, and themes), and triangulation strategies. In addition, highlight how to report out REA, including key findings, writing recommendations, and dissemination plans.

- 2 Allot 20–30 minutes for an in-class activity related to qualitative data analysis. Have participants practice conducting analysis using one or two interview transcripts and field notes. If participants practiced interviewing techniques in Session 2, they could use their notes to perform analysis. There are also online oral history interview transcripts available as examples from which participants could conduct analysis.

Wrap-Up and Reflective Class Discussion

Overview: At the end of the three sessions, allow time for a question and answer session so that participants can follow up with any queries or things that remain unclear. In addition, you might allow a few minutes to have a reflective session where students have time to reflect on their experiences of practicing REA techniques. You can also ask students to generate ideas for the types of work they might want to do using REA based on their interests. You can conduct these reflective discussions using smaller groups or a larger class, depending on the number of participants.

Discussion Questions:

- 1 Before this lesson, what were your experiences with ethnographic or qualitative methods? How do REAs compare to your previous experiences with qualitative methods? What are your initial impressions of this approach?
- 2 Describe any activities or research questions for which you might be interested in using REAs. Explain why you think REAs would be an appropriate approach for this particular problem or research question.
- 3 What were some of the biggest surprises for you during this lesson? Please explain.

Online Teaching Modifications

This lesson can be quickly and seamlessly adapted for online teaching. First, electronic versions of the readings can be made accessible to session participants. If the class is being conducted synchronously, it might be best to break up the lesson into two 2-hour blocks over two days, or if there is limited availability, it can be done in a day during a single 4-hour session. Break-out rooms in video conferencing software can be used to facilitate interactive class activities. An asynchronous lesson might be more challenging since REAs involve team-based interaction and activities mimicked in the context of a synchronous lesson but certainly can be done. Instructors can pre-record the lecture ahead of time and ask participants to pause and work on the activity. If the lesson is to be asynchronous, make sure to have a slide outlining in-class interactive exercises. Regardless of whether the lesson is synchronous or asynchronous, make sure to use a virtual “whiteboard” to facilitate questions and answers and reflective discussion. Remember to follow up with participants to wrap up the session, summarize key points, and answer any remaining questions.

20 Teaching Field Notes

Casey Burkholder and Jennifer A. Thompson

Brief Description of Method

Researchers take field notes to document their thinking throughout the research process. Field notes emerged in anthropology as an important tool in ethnographic research and have grown to be used widely in social science research. Field notes help researchers construct an understanding of their research as it unfolds, their role in the study, and the knowledge produced. Field notes encourage researchers to think through key ethical concerns that may emerge in fieldwork. Traditionally, field notes were written notes produced by individual researchers. Field notes practices have grown to also combine modalities of expression such as voice memos, sketches, photos, maps, and video recordings and include field notes produced collaboratively by research teams.

References for Further Reading

- Burkholder, C. 2016. On Keeping Public Visual Fieldnotes as Reflexive Ethnographic Practice. *McGill Journal of Education* 51: 907–16.
- Burkholder, C., and J. Thompson, eds. 2020. *Fieldnotes in Qualitative Education and Social Science Research: Approaches, Practices and Ethical Considerations*. New York: Routledge.
- Emerson, R. M., R. I. Fretz, and L. L. Shaw. 1995. *Writing Ethnographic Fieldnotes*. Chicago: University of Chicago Press.
- Punch, S. 2012. Hidden Struggles of Fieldwork: Exploring the Role and Use of Field Diaries. *Emotion, Space and Society* 5: 86–93.
- Sanjek, R., ed. 1990. *Fieldnotes: The Makings of Anthropology*. Ithaca: Cornell University Press.
- Thompson, J. 2014. On Writing Notes in the Field: Interrogating Positionality, Emotion, Participation, and Ethics. *McGill Journal of Education* 49: 247–54.

Estimated Teacher Prep Time

60 minutes:

- Read introductory chapter to Burkholder and Thompson’s book.
- Prepare PowerPoint slides.
- Students should have familiarity with concepts of objectivity, subjectivity, ethnography, reflexivity, and positionality for this lesson.

Estimated Duration of Lesson

- 45-minute in-class interactive lesson
- 60-minute independent activity (during class time or outside class)
- 60-minute reflective discussion

Materials Needed

Teachers will need:

- Slide deck that introduces field notes and explores ethical issues. Suggested topics:
 - How field notes may have several objectives (e.g., to document observations in the field, to keep a record of the research process, to document research decisions, to begin interpreting field data, to grapple with ideas and engage with theory or the literature, to practice reflexivity, or to reflect on one's positionality).
 - Examples of what field notes can look like through different modalities of expression, including written field notes, image-based field notes, and video/oral notes (see examples in texts above).
 - Key ethical issues related to privacy, anonymity, consent, visual ethics, positionality, and issues of power and representation, as well as data protection and storage.
- A method to document and share students' experiences for the field notes debriefing activity. This may take place on a shared document that is projected to students, on a whiteboard, or on chart paper.

Students will need:

- Appropriate tools for taking field notes (e.g., notebook, sketchbook, phone, tablet, and computer). Students may choose a modality and bring appropriate materials with them, or selected materials may be provided by the teacher.

Student Pre-Class Preparation

Read:

"What about Fieldnotes: An Introduction" in Burkholder and Thompson (2020).

"In the Field: Participating, Observing, and Jotting Notes" in Emerson et al. (1995).

"Move like Honey: Activating Fieldnotes for Building Cultural Health Capital" by LaShaune Johnson in Burkholder and Thompson (2020).

Learning Outcomes

Students will be able to: (1) identify different objectives of field notes within knowledge production; (2) practice taking field notes using a modality of their choice (writing or drawing with a paper and pen, voice notes or audio recording, video or typed notes using a mobile phone or computer); and (3) identify key ethical issues related to different field notes practices, including power, privacy, positionality, and the politics of representation.

Lesson Instructions

This lesson has three parts: (1) an in-class interactive lesson; (2) an independent learning activity (can be conducted during class time or out of class); and (3) a reflective class discussion.

Interactive In-Class Lesson (45 minutes)

Using the slide deck:

- 1 *Engage students in a discussion about field notes.*
How do students take notes? When and where do they take notes? Why? What do students already know about field notes? Where have they seen field notes represented? What do they understand field notes to be about? Why do they think researchers take field notes? What do they think field notes look like?
- 2 *Taking field notes in class.*
Screen a 2- or 3-minute video clip: Something slow moving where there is time for observing in real time, like footage from planet Earth, of people moving around a museum, or of someone engaging in traditional craft. You could also share footage from your own research if you have some. Ask students to take notes about what they notice is happening. This could be more or less focused, depending on the student group and video clip. Encourage students to share their observations. Discuss how everyone notices different things. Remind students about positionality and subjectivity in field notes production.
3. *Introduce the objectives of field notes and key terms.*
Students should understand concepts, such as: consent, anonymity, privacy, ethics, positionality, and reflexivity.

Independent Learning Activity (60 minutes)

- 4 *Introduce the activity.*
Explain that the activity has two goals: (1) to practice taking or making field notes “in the field”; and (2) to reflect on the ethical issues related to field notes.
- 5 *Provide instructions.*
 - 1 Choose a space, event, interaction, or activity to observe. It could be a park bench, a school, a restaurant, a mall, a public event, a meeting, or a family meal. Make sure the site is comfortable and safe.
 - 2 Ask permission to take field notes, if appropriate (e.g., at a family meal).
 - 3 Choose a method or combination of methods that might include handwriting, typing, drawing, audio, photo, or video. You can use a notebook, a sketchbook, a phone, a tablet, a computer, or anything else that you see fit. Make sure to include at least some written text.
 - 4 Take field notes for 45 minutes. Note the date and time of observation (e.g., July 10, 2024, 2:00–2:45 pm) and the kind of place where the observation is taking place (e.g., Middle School X, Urban Mall Y).
 - 5 Observe the site. Focus on what you think is important about the interactions or space you are observing. (This is intentionally vague!) What do you observe? You can think broadly about humans, non-humans, components and materiality of the space, dialogue, emotion, text/signage, action/movement, and social norms/practices. What do

you see happening in the space? Why do you think that what you are observing is important? How does what you are observing connect with your research interest?

- 6 After you have finished taking field notes, take 15 minutes and write a 100- to 200-word reflection on your experience taking notes in this way in this space. How was your experience taking field notes? What did you like and not like? What opportunities and challenges did you encounter? How do you think that the method you chose affected how you took field notes? Did any ethical issues or questions come up? What should researchers keep in mind when they take field notes?
- 7 Submit your field notes to a shared class folder (e.g., on Google Drive). You are welcome to scan/photograph hand-written or hand-drawn notes, or you can submit a Word document if you use computers/text.
- 8 After you have uploaded your field notes, examine your colleagues' field notes. Note the similarities and differences in relation to modality (how they took notes) and content (what they observed and what they focused on in the space).
- 9 Be prepared to discuss your experiences and reflections on taking field notes and viewing others' field notes in class.

Reflection and Class Discussion (60 minutes)

Overview: After the field notes activity, guide students through small and large group discussions to share their reflections. The sets of prompting questions below could also be discussed all together as a group.

During the discussion, take notes of the key points raised in a way that is visible to the group (shared document online, whiteboard, chart paper, etc.).

Small group discussion:

- What site and topic of inquiry did you choose?
- How did you take field notes? What modalities did you use?
- What did you notice about the people, space, event, or interaction that you were observing?
- What was your experience taking field notes? What did you like and not like about this experience?
- What ethical issues emerged in your field notes?
- What is the difference between field notes and a diary? Is there a difference? Does it matter?

Large group discussion:

- How did your field notes practices align with or diverge from the Thompson and Burkholder (2020) reading?
- How did your site shape the modalities you used in your field notes? For example, were you drawn to use a phone so you wouldn't be noticed?
- What kind of conversations or interactions did you have (if any) about your field notes?
- How did taking field notes make you feel?
- What do field notes "do"?
- When during the research process should you start taking field notes?

Extension questions:

- Do you think field notes should be considered research data?
- How might researchers make more explicit and informed choices about their field notes?
- What are the ethical and methodological implications of deciding on a field notes approach before going into the field versus letting a field notes approach emerge in the field?
- How do field notes relate to the politics of knowledge production?

Complementary Learning Activities

For a longer lesson, try some of the activities below.

How do other researchers take field notes? Listen to researchers speaking about their field notes practice:

- Talking about field notes with LaShaune Johnson: <https://www.youtube.com/watch?v=18QVV1XWYZU>
- Talking about field notes with Jayne Malenfant: <https://www.youtube.com/watch?v=xJ2BB5C5GAY>

Making a field note plan. Have students make a field notes plan for their own research by writing one page to answer the following questions:

- Why do you want to keep field notes? What is your objective?
- How will you take field notes, and why?
- Who will you share the field notes with?
- What are some potential ethical issues with your field notes?
- How will you address these issues?

Taking field notes throughout the course. Have students take field notes for 30 minutes/week or complete several field note entries (10 or 12) for the duration of the course to explore different modalities. This activity could build toward a course research project, or prompt reflection about ethical and methodological issues at different moments during the course.

Online Teaching Modifications

Field notes can be taught online either synchronously or asynchronously. If providing asynchronous learning, the teacher can prerecord the introductory lesson and post it to a learning management system. A discussion board can be included where learners could be encouraged to respond to the discussion questions after the field notes activity.

21 Ethnographic Writing

Julia Pauli

Brief Description of Method

An ethnographic text is the central outcome of fieldwork. It is also the most important way in which anthropologists publish their research findings. Despite the centrality of ethnographic texts, how to write ethnographically has not been discussed in any depth until recently. To prepare students to write ethnographically, they first have to read ethnographies. Analyzing the ethnographic writing styles of others helps them develop their own writing. To apply this knowledge, students observe everyday social interactions, like riding an elevator, and write ethnographic texts about their observations. They receive constructive criticism from their peers and instructor(s) and learn how to revise their texts and improve their writing.

References for Further Reading

- Ghodsee, K. 2016. *From Notes to Narrative: Writing Ethnographies That Everyone Can Read*. Chicago: University of Chicago Press.
- Gullion, J. S. 2016. *Writing Ethnography*. Rotterdam, Netherlands: Sense Publishers.
- McGranahan, C., ed. 2020. *Writing Anthropology: Essays on Craft and Commitment*. Durham: Duke University Press.
- Menzfeld, M. 2021. Composing Ethnographic Texts. How to Use Stylistic and Argumentative Techniques Properly. *Ethnoscripts* 23: 92–115.
- Narayan, K. 2012. *Alive in the Writing: Crafting Ethnography in the Company of Chekhov*. Chicago: University of Chicago Press.
- Pauli, J., ed. 2021a. How to Write? Experiences, Challenges and Possibilities of Ethnographic Writing. Special issue, *Ethnoscripts* 23: 5–188. <https://journals.sub.uni-hamburg.de/ethnoscripts/article/view/1673/1527>
- Pauli, J. 2021b. No Magic! Teaching Ethnographic Writing. *Ethnoscripts* 23: 166–79.
- Schneider, C. 2021. Space to Write: A Student's Perspective on Ethnographic Writing. *Ethnoscripts* 23: 180–88.
- Van Maanen, J. 2011 [1988]. *Tales of the Field: On Writing Ethnography*. Chicago: University of Chicago Press.

Estimated Teacher Prep Time

This lesson is split into four parts. The instructor has to prepare the second and the fourth part of the lesson.

Second part: The preparation of the in-class discussion of writing styles will take approx. 80 minutes (defining ethnographic writing and writing techniques, based on Ghodsee [2016] and Menzfeld [2021]).

Fourth part: The reading and commenting on all ethnographic texts written by the students depend on the number of students in class. Per ethnographic text, an instructor should calculate approx. 20–30 minutes of preparation. Thus, for a class of 10 students, preparation time will be between 200 and 300 minutes (3–5 hours).

Estimated Duration of Lesson

- 90 minutes for preparatory homework activity
- 90 minutes for in-class discussion of writing styles
- 240 minutes for outside class observation, writing, and revising by students
- 90 minutes for reflective discussion in class

Materials Needed

- A whiteboard (or a flip chart, or a PowerPoint slide)
- Paper and pencils

Student Pre-Class Preparation

The students should have read ethnographies. Thus, the best results for the lesson will be accomplished with graduate students who have a sound knowledge of ethnographic writing. If students have problems finding ethnographic texts, the instructor can provide a list with exemplary ethnographies (for example, see Pauli 2021a, 2021b). As preparation for the lesson, students have to choose an ethnographic text they like and read Ghodsee (2016) Chapters 9 and 10 and Menzfeld (2021).

Learning Outcomes

Completing the lesson, students will: (1) be able to describe different ways of writing ethnography; (2) be aware of some pitfalls of ethnographic writing; (3) apply this knowledge to their own ethnographic writing; and (4) reflect on how these writing techniques can help improve writing ethnographic texts.

Lesson Instructions

This lesson has four parts: (1) a preparatory homework activity; (2) an in-class discussion of writing styles; (3) an observation and writing exercise; and (4) a final reflective discussion in class.

- 1 A preparatory homework activity (approx. 90 minutes)
The instructor asks the students (by email or in person) to choose an ethnographic text they enjoyed reading. If students have difficulties finding ethnographic texts, the instructor can make suggestions (for examples of ethnographic texts, see Pauli 2021a, 2021b). Out of their chosen texts, each student has to select a paragraph they think is especially compelling. In preparation for the class, the students have to read Ghodsee (2016) Chapters 9 and 10 and Menzfeld (2021).

2 An in-class discussion of writing styles (approx. 90 minutes)

The in-class discussion is divided into three parts: (1) definitions of ethnographic writing and writing advice; (2) discussing and accessing the quality of ethnographic writing; and (3) an observation and writing assignment.

(1) Definition and advice on ethnographic writing

At the beginning of class, the instructor and the students discuss how they define ethnography and ethnographic writing. The instructor can use Ghodsee's (2016) introduction as a guideline.

Next, the students discuss Chapters 9 and 10 from Ghodsee (2016). On a whiteboard (or a flip chart, or a PowerPoint slide), the instructor summarizes the discussion by listing Ghodsee's advice. This summary should include stylistic advice, like avoiding the passive voice, and grammar and syntax advice (e.g., the use of strong verbs). The instructor copies the summary to use again in the last part of the lesson. Next, the text by Menzfeld (2021) is discussed. Students name central elements of composing a compelling ethnographic text according to Menzfeld (2021). The instructor records the discussion on the whiteboard and copies it for later use.

(2) Discussing and accessing the quality of ethnographic writing

In the second part of the class, students introduce the ethnographic text that they have chosen. The students are encouraged to describe why they enjoyed reading the text. The instructor can collect the chosen paragraphs before class and send them to the students by email. This gives all students a chance to read the paragraphs before class. Alternatively, students read aloud their exemplary paragraph. After each reading, all students reflect on the writing style of the paragraph. They list and discuss which of the writing tips offered by Ghodsee and Menzfeld are used in the text. This enables students to access the quality of writing.

(3) Observation and writing assignment (approx. 240 minutes)

At the end of the class, the instructor gives the students an assignment in preparation for the next part of the lesson. The students are asked to ride an elevator, take notes about it, write a text of three to four pages on their observation, and then revise the text with the help of their peers.

The exercise is divided into two parts: (1) in the first part, students observe an everyday situation and write an ethnographic text about their observation; (2) in the second part, they share their texts with their fellow students, discuss the texts and revise them.

(1) Riding an elevator and writing about it (approx. 90 minutes)

Students can choose any elevator they want (Ghodsee 2016: 49). Elevators in university buildings, public train stations, banks, shopping centers, and even a paternoster—a chain of open compartments that move slowly up and down in a loop—in a Humburg municipal building have been the settings for student observations in my classes. Students have to ride the elevator for at least 20 minutes. They have to observe as closely as possible, independently deciding on the focus of their observation. If for some reason, elevators are difficult as sites of observation, an alternative can be bus rides.

(2) Peer discussion and revision of ethnographic texts (approx. 150 minutes)

After the observation exercise, students return home and write about their observation (approx. three to four pages). They send their texts to fellow students. It is recommended that students discuss and revise their initial texts in groups of not more than five students. Larger

classes have to be subdivided into smaller groups. All students in a group read the texts of their peers and then meet to comment and discuss the texts with each other. In my experience, students enjoy exchanging comments on their writing without an instructor (see also Schneider 2021). When an instructor is present, students often find it more difficult to express and accept constructive criticism of their texts. Thus, it is important that this first round of criticism is done without the instructor (see Pauli 2021b; Schneider 2021). After receiving their peers' comments, students revise their text. The revised texts are sent to the instructor and all students in class. In preparation for the next part of the lesson, students and instructor read all texts and make notes on the quality of the writing, including suggestions on how to improve it further.

Reflection and Class Discussion

(4) A final reflective discussion in class (approx. 90 minutes)

At the beginning of the final discussion of the texts, students comment on the observing, writing, and revising process. The instructor can use the following questions as guidance:

- How difficult has it been to do the observation and the writing?
- How did students choose a topic and a focus for their writing?
- Did ethical issues emerge?
- What challenges appeared and how were they overcome?
- How did the peers help each student improve and revise the text?
- What have students learned about their own writing and the writing of others?
- Have they developed techniques to enhance their future writing?

Students are encouraged to make a list on how to improve their writing, reflecting on the criticism they have received.

At the end of the class, the instructor returns to the summary of writing advice (based on Ghodsee's Chapters 9 and 10 and Menzfeld's text) from the beginning of the lesson. Using the summary, the instructor discusses each student's texts, acknowledging the quality of each student's writing, and making suggestions for further improvement and revisions.

This lesson can be repeated with other observational exercises (Pauli 2021b). Other options are, for example, observations at children's playgrounds or at university cafeterias. Students who have finished their own ethnographic fieldwork can use their ethnographic data to work through the composition, writing, and rewriting of ethnographic texts. Ghodsee (2016) and Pauli (2021b) provide further advice on more specific forms of ethnographic writing (e.g., writing portraits or dialog).

Online Teaching Modifications

This lesson can be adapted for online teaching. The in-class parts of the lesson can be done synchronously using video conferencing software and breakout groups. If the observation of an elevator ride is not possible instructors may substitute the elevator exercise with an observational exercise on queuing (or standing in lines).

22 Teaching Reflexivity and Positionality

Pardis Mahdavi

Brief Description of Method

Reflexivity and positionality are foundational to ethnographic research in that they are key components to what some scholars refer to as the ethnographic “pre-terrain.” The pre-terrain refers to all the work that needs to be done by the researcher before entering in the field. A deep understanding of the self; the power, privilege, and position that the researchers bring to their research is vital for students to understand.

Reflexivity can be defined as a look inward, a focus on the self, and being an interpretive inquirer to recognize your own position, perspective, and biases in relation to your field-work. Emerging out of the post-modern tradition, and given birth by the feminist movement, this method is premised on the notion that objectivity isn’t always possible, that you are part of the research question, and that you bring your perspective with you. You yourself are always a part of the research question and process.

As Renato Rosaldo notes, by positionality, we mean

That gender, race, class and other aspects of our identities are markers of relational positions rather than essential qualities. Knowledge is valid when it includes an acknowledgment of the knower’s specific position in any context, because changing contextual and relational factors are crucial for defining identities and our knowledge in any given situation.

(Rosaldo 2003: 20)

References for Further Reading

- Brettell, C., ed. 1996. *When They Read What We Write: The Politics of Ethnography*. New York: Praeger Press.
- Briggs, J. L. 1970. *Never in Anger: Portrait of an Eskimo Family*. Cambridge: Harvard University Press.
- Rabinow, P. 1977. *Reflections on Fieldwork in Morocco*. Berkeley: University of California Press.
- Rosaldo, R. 2003. *Grief and a Headhunter’s Rage*. Chicago: University of Chicago Press.
- Smith, L. T. 1999. *Decolonizing Methodologies: Research and Indigenous Peoples*. New York: Zed Books and St. Martin’s Press.

Estimated Teacher Prep Time

To prepare the lesson, instructors will likely need 90 minutes to do their own work establishing their positionality and reflexivity and to familiarize themselves with the foundational texts and approaches.

Estimated Duration of Lesson

It will take roughly two 60-minute in-class sessions and then an extra 30 minutes on each day to carry out the exercises.

Materials Needed

Pen and paper for all participants. Instructor needs computer, and technology for projecting the PowerPoint slides (provided).

Student Pre-Class Preparation

No need to prepare before class. Have students read Rosaldo (2003), Briggs (1970), and Rabinow (1977) between class sessions one and two.

Learning Outcomes

- 1 Intrapersonal awareness: Students will be able to understand their own privilege, power, and position and how it shifts.
- 2 Interpersonal awareness: Students will comprehend how to be reflexive about their position in relation to others.
- 3 Social transformation: Students will learn how to engage in meaningful social change through understanding power and privilege.
- 4 Building inclusive pedagogies, epistemologies, and research approaches.

Lesson Instructions

Goal: To understand the methodological importance of considering the position and perspective of the research and researcher in designing, conducting, and writing up ethnography

- Part I: What do we need to know?
- Part II: How do we think about ourselves as participants?
- Part III: What do we do along the way?

Enter the lesson through an understanding of power. Invite students to pair and share, what is power? How is it understood? How does it operate? Allow 10 minutes for students to discuss and 15 minutes for students to report back.

Part I: Why do we need to do this work and what do we need to know?

- Remind students of the (exclusionary) origins of knowledge production.
- How we came to talk about positionality and reflexivity: Use the definition above.
- Ask students why they think this matters.

Part II: How do we think of ourselves as participants?

Next talk about positionality. Ask students to take out a piece of paper. Invite them to write down three to five aspects of their identities—how do they define themselves (e.g., mother, daughter, Black woman, gay man, Latinx, veteran, etc.). Invite them to share these identities

with the class. Ask them if their identities ever shift. Read the definition of positionality from above.

Now bring up the Rosaldo piece, “Grief and a Headhunter’s Rage.” Read this beforehand and then summarize it for the class. Highlight for the students: Rosaldo identified as male, anthropologist, husband, Latino. He could not identify with the tribe he was researching in Indonesia because they dealt with their grief at the death of a loved one by going to a nearby tribe and removing the head of a person. The next summer, Rosaldo brought his wife to the field. While they were walking, she slipped and fell to her untimely death. At that moment, Rosaldo felt not sadness but rage that his wife was taken from him. At this moment, his positionality shifted: Now he was a widow. And he understood that grief could bring rage.

Now talk about reflexivity. Read the definition above. Bring into play the Briggs book. Briggs planned to go to the Yukon Territory to research an Indigenous tribal group. She was not reflexive, however, about her presence in the tribal group before leaving. When she arrived, no one wanted to speak with her. She had not done the work of self-reflection to ask herself what her impact might be on the field. Ask your students to reflect on how they change the field and how their researched communities are impacted by their presence.

- Issues of perspective are all part of interpretation, which is one of the cornerstones of this work.
- Ethnography and community engagement in particular are interpretive, so being reflexive about emic or etic perspective helps.
- Ask your students: What does it mean to have power as a researcher? Privilege?
- What does it mean to think about “insider” versus “outsider” status?

Part III: What do we do along the way?

Thinking about the intersections of reflexivity, positionality, and ethics, ask students to divide into groups. There should be four groups in total. Each group will be given one of the scenarios below. Ask them to think about what they would do for their scenario given what they have learned about the importance of reflexivity and positionality. Give them 20 minutes to discuss, then bring them back for 10 minutes to report back. Here are the scenarios:

- 1 You have been asked to conduct a study on runaway youth and street youth in the Santa Monica area. The Institutional Review Board (IRB) has indicated that they will not give you approval to do the project unless you get parental consent as the informants will all be under 18 years old. How are you going to deal with this? How will you design your study to meet your personal ethical requirements as well as IRB requirements?
- 2 You have decided to do a study of women Free Masons in the United States. How are you going to gain access to this highly elite group of people? How are you going to get funding? What will be your study design? How are you going to write up such a sensitive topic? Discuss ethical dilemmas with your project.
- 3 In the aftermath of the U.S. interventions in Iraq and Afghanistan, a lot of women, especially young women, have been displaced. Some have migrated to different parts of the Middle East looking for work, some have been “trafficked” into sex work. How are you going to go about studying this highly sensitive topic in a highly sensitive field setting? Where are you going to get funding? What are the ethical issues facing you?
- 4 You have been asked by the Comstock Commission (the makers and enforcers of the Comstock laws) to conduct an investigation into numbers and locations of pornography

stores, institutions, and filmmakers in the Los Angeles area. The commission is giving you \$500,000 to carry out this investigation but is requesting all the results of your research. They have not told you to what ends the data will be used. Will you undertake this project? Why or why not? What are the ethical dilemmas you are facing? How would you go about designing this project?

Next Exercise: Reflexivity and Positionality in Conflict Resolution:
Think of a past conflict you have had, and share with your partner

- Role-play with you as yourself, then switch and take the role of the opposing party
- Switch and do the same with your partner's situation

Now think of an upcoming possible conflict

- Describe it to your partner
- Role play as yourself, then as the opposing person
- Switch

Reflect

- What did you do differently in the situation where you had a past conflict? What could you do differently if a situation like that arose again?
- In the upcoming possible situation, what are three things you think would work well based on your role-play? What questions or worries do you still have?

Reflection and Class Discussion

To finish, invite students to try this with their own projects:

Design—or give broad sketches of—a study. Talk about how you will incorporate reflexivity and positionality in:

- Study design
- Entering the setting
- Participant observation
- Interviews
- Taking field notes

Writing it up (Bretell's book "When They Read What We Write")

Online Teaching Modifications

This workshop should be done synchronously using video conferencing software with the lecture given live and breakout rooms for student activities. Timed exercises are important, but this can be done via videoconferencing and has been done effectively in the past.

23 Autoethnography

Sensitizing the “I”

Elizabeth Ettore

Brief Description of Method

Autoethnography is an autobiographical research genre that shows multiple layers of awareness, connecting the personal to the cultural. Using I or the first-person voice, autoethnographers look through an ethnographic wide-angle lens, focusing outward on social aspects of personal experience; then inward, exposing a vulnerable self, shaped by cultural diversity. The leading proponents of autoethnography, Carolyn Ellis and Art Bochner, share a consensus: Autoethnography should be evaluated through two lenses, science, and art. Autoethnography makes a substantial, aesthetic contribution to understanding social life; demonstrates reflexivity and has an impact on the reader.

References for Further Reading

- Bochner, A. P. 2000. Criteria Against Ourselves. *Qualitative Inquiry* 6: 266–72.
- Boylorn, R. M. 2013. Black Girl Blogs, Auto/Ethnography, and Crunk Feminism. *Liminalities: A Journal of Performance Studies* 9: 73–82.
- Ellis, C., and A. Bochner. 2000. Autoethnography, Personal Narrative, Reflexivity: Researcher as Subject. In *Handbook of Qualitative Research*, edited by N. K. Denzin and Y. S. Lincoln, 2nd ed., 733–68. Thousand Oaks: Sage.
- Ettore, E. 2016. *Autoethnography as Feminist Method: Sensitizing the Feminist ‘I’*. New York: Routledge.

Estimated Teacher Prep Time

60–90 minutes:

- Read Ettore (2016: 1–23). Focus on Table 1.1 Autoethnography as Feminist Method, p. 5.
- Read Boylorn or Bochner article.
- Prepare PowerPoint slides (provided) and Homework Handout for students (provided).

Estimated Duration of Lesson

- 60-minute in-class interactive lecture
- 60-minute student independent activity (homework)
- 30-minute reflective discussion (in a follow-up class session)

Materials Needed

- PowerPoint slides (provided)
- Homework handout to students (provided)
- Boylorn article

Student Pre-Class Preparation

- Read Boylorn article
- Study Ettore, Table 1.1 on page 5 and read pages 4–13

Learning Outcomes

Listening and asking questions during this lecture, students will: (1) Begin to understand what autoethnography is and how it sensitizes the “I” (i.e., makes one reflective); (2) identify why placing the self in cultural settings (i.e., related to gender, ethnicity, race, sex, etc.) helps one understand the political importance of autoethnography; (3) learn some of the criticisms of autoethnography; and (4) know the importance of sensitizing the “I” in feminist contexts and how this is transferrable into everyday circumstances.

Lesson Instructions

This lesson has three parts: (1) an in-class interactive lecture; (2) homework activity; and (3) a class discussion. This lesson is appropriate for advanced undergraduate and graduate students, especially those graduate students considering using autoethnography in their Masters or Ph.D. theses.

Interactive In-Class Lecture (~60 minutes)

Overview: Using the provided PowerPoint slides, proceed with the lecture as follows:

- 1 *Explain what Autoethnography is*—15 minutes (PowerPoint Slides 2–6). As you explain the basics of autoethnography, give specific examples of what autoethnography is from selected texts. After going through the PowerPoint slides, ask the students for two volunteers to read texts to the class. Select two students. Ask one student to read text from Boylorn’s article on p. 80 paragraph 3 beginning with “Auto/ethnography. ...” Ask the second student to read from Ellis’s and Bochner’s article on p. 76 from “Introduction to Autoethnography” to the bottom of column 2 on page 76.
- 2 *Tell students that what we are doing today is to begin to understand not only what Autoethnography is but also why there is a need for ethical accountability when I am doing autoethnography*—10 minutes (PowerPoint slide 7). Potential script:

Today while we are learning about what autoethnography is and where it comes from, we will be considering the importance of being ethically accountable when doing autoethnography. When we talk about sensitizing the ‘I,’ we mean that we must be sensitive to ourselves as well as to others. Our stories can be very personal. (PowerPoint slide 8). All of this means that we must be researchers with integrity and embody strong ethical considerations. When doing autoethnography, we may show some of the people around us in a bad light, but we do not identify them. Be sensitive to yourself and sensitive to others.

- 3 *We want to look at some of the Criticisms of Autoethnography*—5 minutes (PowerPoint slide 9). Potential script:

We often hear the term, self-indulgent, when scholars criticize autoethnographers. They believe we pander to ourselves as scholars, and this is a terrible thing for them. For them, using the *I* in academic work is forbidden. Autoethnography challenges this type of belief. Also, people may be portrayed in a bad light, but no one is perfect, and we all make mistakes. Why not give a true picture? Yet, about truth, some say, ‘How can we verify our autoethnographic stories?’ All autoethnography is interpretive and demands ‘emotional recall.’ Our stories will reflect the truth but can never be 100% accurate. We are remembering through our feelings—what we experienced. While feelings don’t lie, sometimes our stories may be more interpretive than totally true.

- 4 *Ask the students to consider judging autoethnography and asking themselves, “What is good autoethnography?”* —2 minutes (PowerPoint slide 10). Art Bochner (2000) tells us a good autoethnography needs: Copious detail; a temporal structure revolving between past and present; emotional integrity of the author, reflecting deeply on one’s actions; a plausible journey of transition from who I was to who I am; ethical awareness for others and a reader moved by the story (pp. 70–71).
- 5 *Ask the students if they understand the difference between autoethnography and autobiography* —2 minutes (PowerPoint slide 11). Help them understand that autoethnography, while sensitizing the “*I*,” is focused more on cultural, social, and political contexts rather than on individual or personal contexts and life stories (i.e., like autobiography).
- 6 *Walk through the four ways that autoethnography is a feminist method* on (PowerPoint slide 12) —21 minutes total—5 minutes for each technique

- 1 minute: Explain why this table, *Autoethnography as Feminist Method* is included here and why we are using this table in this class. Potential script:

Feminists are interested in autoethnography because they see the ‘personal as political.’ Autoethnography augments this idea which is related to technique 2. (We will soon discuss this). However, all four techniques which I will outline and discuss with you now are indeed transferrable to everyday life beyond feminism and represent good autoethnographic practice. We’ll look at each technique concerning sensitizing the feminist ‘*I*’ and I will ask you questions.

- 5 minutes: First technique: Ask students: “Why is creating transitional spaces important?” Refer to pages 4–6 in Etorre (2016) under “Autoethnography creates transitional, intermediate spaces, inhabiting the crossroads or borderlands of embodied emotions.”
- 5 minutes: Second technique: Ask students: “What about the personal is political what does this mean?” Refer to pages 6–9 in Etorre (2016) “Autoethnography is an active demonstration of the ‘personal is political.’”
- 5 minutes: Third technique: Ask students: “What does it mean to be performative?” “Is this important for feminists?” Refer to pages 9–11 in Etorre (2016) under “Autoethnography is feminist critical writing which is performative and is committed to the future of women.”

- 5 minutes: Fourth technique: Ask students: “What is precarity?” “What, in your view, is oppositional consciousness?” “Why are these important for autoethnographers?” Refer to pages 11–13 in Ettore (2016) under “Autoethnography helps to raise oppositional consciousness by exposing precarity.”
- 7 Conclude the lecture by explaining the homework activity and what you expect students to do. Go back to PowerPoint slide 10 and give out handouts—5 minutes.

Homework Activity (~60 minutes)

Overview: Provide students with the one-page handout for their homework.

Assignment Instructions for Students:

- 1 We have discussed autoethnography. As you have seen, autoethnographies need emotions and descriptions of emotions. This is the key to good autoethnographies. The use of the “I” is crucial and the “I” is always embedded in a story—a believable story.
- 2 Your instructions are to examine these emotions and think about how they feel. Pick one of these emotions. With that emotion as a basis, please remember a story in your life that was filled with that emotion and write that story.
- 3 Write your story between 500 and 750 words (the word limit). You will be reading and sharing your story with other students in small groups. Try to be ethically aware and focus on how you felt in that story.
- 4 Remember what Art Bochner tells us what a good autoethnography needs: Copious detail; a temporal structure revolving between past and present; emotional integrity of the author, reflecting deeply on one’s actions; a plausible journey of transition from “who I was to who I am”; ethical awareness for others and a reader moved by the story. (See pp. 70–71 from his article.)
- 5 Bring your story to class: Be ready to read your stories with your classmates in small groups.

Reflection and Class Discussion Overview: This discussion should happen after the students have completed the homework activity (~30 minutes).

Students can be placed in small groups and read their stories (15 minutes). Then, reconvene with the larger group and ask the students questions (15 minutes).

The goals are to have students: (1) think about how an emotion or emotions are embedded in their stories and write up these stories as brief autoethnographies; (2) hear how other students used various emotions in their stories; and (3) come to understand the emotional complexities of doing autoethnography. Reading stories should be done in small groups, while asking questions can be done with the whole group.

Discussion questions:

- 1 Before this lesson, you probably had not heard of autoethnography. How did it feel to write a story based on your emotions and past experiences?
- 2 Did you enjoy doing this type of reflecting and writing? If yes, why? If no, why not?
- 3 Could you envisage using autoethnography for your own research? Why or why not? (i.e., autoethnography may not be a suitable method for every researcher.)

Online Teaching Modifications

This lesson can be suitable for online. Instructors should send all students the PDF articles needed, PowerPoint slides, and homework handouts or post them to a learning management system. The lecture can be pre-recorded and a synchronous session using video conferencing software can be used for the 30-minute reflective discussion. Students go into small breakout rooms for 15 minutes and then reconvene for 15 minutes they can debrief as the whole class with the instructor asking them questions.

24 Social Media Data Analysis

Wenwen Li and Zhining Gu

Brief Description of Method

In this class, we will introduce students to quantitative methods for acquiring and analyzing social media data. Specifically, we will teach students the entire workflow of using Twitter application programming interface (API) to retrieve Twitter data of interest and how to apply machine learning (i.e., sentiment analysis) to extract people's perspectives (positive, negative, or neutral) toward a certain theme. Using social media platforms such as Twitter saves a tremendous amount of time for social scientists in conducting surveys, but issues such as data representativeness and uncertainty also arise and will be discussed.

References for Further Reading

Academic research access. <https://developer.twitter.com/en/products/twitter-api/academic-research>
Step-by-step guide to making your first request to the new Twitter API v2. <https://developer.twitter.com/en/docs/tutorials/step-by-step-guide-to-making-your-first-request-to-the-twitter-api-v2>
Twitter developer API. <https://developer.twitter.com/en/docs/platform-overview>
Widener, M. J., and W. Li. 2014. Using Geolocated Twitter Data to Monitor the Prevalence of Healthy and Unhealthy Food References across the US. *Applied Geography* 54: 189–97.

Estimated Teacher Prep Time

180–240 minutes:

- Review procedures for Twitter data acquisition and API documentation.
- Review Widener and Li (2014) for a specific public health-related use case that can benefit from social media data analysis.
- Prepare PowerPoint slides to introduce social media data, their characteristics, and popular applications (need to create).
- Prepare lab materials for students to get hands-on experience retrieving and analyzing social media data.
- Prepare questions to evaluate students' comprehension of the knowledge gained.
- Prepare homework assignments for students to come up with their own ideas associated with social media data analysis.

Estimated Duration of Lesson

- 30 minutes of classroom teaching to help students gain a fundamental understanding of social media data and their applications.
- 60 minutes of Lab 1 for students to become familiar with Twitter data acquisition methods.
- 60 minutes of Lab 2 for students to learn how to conduct sentiment analysis of Twitter data using machine learning.
- 30 minutes for post-lab reflection and discussion.

Materials Needed

- Paper (Widener and Li 2014)
- Tutorial for Twitter data collection
- Tutorial for sentiment analysis based on Twitter data
- PowerPoint slides outlining “Applying Twitter Data for Sentiment Analysis”
- Sample dataset and Python code

Student Pre-Class Preparation

Students are required to read Widener and Li’s (2014) article before class. Students need to have basic skills in Python programming.

Learning Outcomes

Upon completing this activity, students will be able to (1) utilize the Twitter Developer API to retrieve a dataset based on a predefined geographic area, time, and theme of interest; (2) conduct sentiment analysis using cutting-edge machine learning packages; (3) analyze public thoughts and opinions about a certain theme (e.g., an event, a place, food, or a product); and (4) extend their quantitative and computational skills to analyze other datasets.

Lesson Instructions

This lesson has three parts: (1) an in-class interactive lecture, (2) two hands-on labs, and (3) a reflective class discussion. The lesson is designed at a difficulty level appropriate for graduate students and senior undergraduate students.

Interactive In-Class Lecture (~30 minutes)

Overview:

The lecture will proceed as follows:

- 1 *Explain what social media data are and popular platforms for collecting them, ~10 minutes.*
- 2 *Introduce research topics that can benefit from analyzing social media data, with a focus on Widener and Li’s (2014) work, ~15 minutes.*
- 3 *Explain what we are going to do in class, ~5 minutes.* The first part is data acquisition, which will help students develop technical skills for retrieving social media data of interest. The second part is sentiment analysis of social media data. We will introduce the use of a machine learning method to obtain public opinions about a theme of interest.

Hands-on Labs (~120 minutes)

Hands-on Lab 1: Social media (Twitter) data acquisition

Overview: This lab will provide hands-on training on how to obtain tweet messages automatically. Students will be given the following instructions:

- 1 As a class, decide on a theme of interest that has been in recent news. We suggest topics that are of general interest such as sports, cultural events, and disasters (e.g., flooding).
- 2 Gain access to Twitter API. Follow the “Step-by-step guide to making your first request to the new Twitter API v2” to generate an API key, an API secret key, and a bearer token. These are required information for sending a HyperText Transfer Protocol (HTTP) request to the Twitter data server for query and data acquisition. Twitter API v2 also introduced a new feature that enables end users to retrieve the full archive of historical tweets to better support academic research. Students are encouraged to follow the “Academic Research Access” tutorial to access the archived data.
- 3 Write Python code to obtain Twitter data of interest. A Python code with step-by-step instructions will be provided to the students. It will contain examples of (1) what Python libraries are needed for retrieving Twitter data and how to import the libraries; (2) how to set up the bearer token to gain authorization to use Twitter API; (3) how to construct an HTTP “GET” request to communicate and retrieve data from the Twitter data server; and (4) how to set parameters such as the time range of interest, keywords of interest, geographic extent of interest, and other needed information to construct the query.
- 4 Once the request is sent, students will learn how to use the *response.status_code* to check whether a job has been completed and whether the needed data have been successfully fetched. As the resultant format is JavaScript Object Notation (JSON), students will also follow sample code to parse the results and extract data of interest.

Hands-on Lab 2: Sentiment analysis of Twitter data

Overview: In this section, we will further discuss how to apply sentiment analysis to Twitter data to collect public opinions on a subject (e.g., an event, a person, and/or a product). The students will be given the following instructions:

- 1 Download and install a machine learning package, *Huggingface*, and its library, *transformers*, for performing sentiment analysis. Transformer is a cutting-edge deep learning technique in natural language processing.
- 2 Preprocess the Twitter data obtained in Lab 1 for sentiment analysis. First, all tweet messages need to be extracted from the original JSON file. Second, punctuation and emojis need to be removed from the original messages. Third, the processed tweet messages will be reorganized into a “list” (a Python data structure) for batch processing.
- 3 Once ready, the data will be passed to the “sentiment_pipeline” from the *transformers* library. The sentiment of each tweet message will be returned with a label and a score. The label provides the positive or negative sentiment of the tweet message, and the score provides the confidence level for the machine to make the inference.

Reflection and Class Discussion

Overview: This discussion will happen after the students have completed the lab sessions (~120 minutes). The goal is to help students: (a) *reflect* on characteristics of social media

data, their usage, and interesting research questions that these data can help answer; (2) *sharpen their skills* in using automated approach and machine learning to retrieve and analyze these data toward a set goal; and (3) *deepen their understanding* regarding limitations in using social media data for scientific research and the uncertainties that could propagate from data to the analytical results. Depending on the size of class, the discussion can be among all students or small groups first and then students will recap and share their findings.

Discussion Questions

- 1 Before this lesson, have you used social media data in the past? How do your past experiences with social media data compare with the content we learned in this class?
- 2 Have you used Artificial Intelligence and machine learning in the past? How do you think these methods would support your current and future research?
- 3 What other social science applications do you think could benefit from natural language processing and sentiment analysis?
- 4 Sometimes results from sentiment analysis may not be desirable (e.g., positive tweets are interpreted as negative), what reasons might there be? How to further improve the quality and accuracy of the results in data collection, data preprocessing, and data analysis?
- 5 What other challenges do you envision in using social media data to answer a research question?

Online Teaching Modifications

This lesson can be easily adapted for online teaching by (1) posting a PDF of the recommended reading materials to a learning management system (LMS) or document sharing application; (2) uploading all the lab materials (data, code, tutorials) to GitHub and share with students in advance; (3) pre-recording the introductory lecture and uploading it to YouTube and or the LMS; (4) posting all lab instructions and providing support for students with technical questions; (5) having students get hands-on experience with the lab materials; (6) enabling a discussion board where students can interact with each other, and help each other to solve technical problems; and (7) allowing students to submit homework assignments online. Students are always encouraged to reach out to the instructor for questions and concerns.

25 Shooting Video for Social Science Research

Jerome Crowder and Elizabeth Cartwright

Brief Description of Method

This lesson focuses on how to shoot quality video footage that will be useful to social scientist for gathering systematic observational data and for creating video footage that can be edited into a visual narrative. We emphasize the importance of quality, stable images, and static-free sound. Before starting a video project, consider why video is appropriate and how it will help you answer your research question. Once established, it is essential to have a plan in place for *how* the footage will be used by the researcher before shooting any video. The research must consider questions like:

- Is the intent to document an ethnographic action or moment?
- Is the goal to generate video footage for editing into an ethnographic film?
- Will the footage be used for creating a database of comparable actions for later systematic analysis?

Once the researchers are clear about their aims, basic video principles apply to the image and audio capture. This lesson will cover basic shooting principles that can be implemented in any shooting situation. These are fundamental skills that will enable a researcher to create quality footage for use in whatever situation they may find themselves in.

References for Further Reading

- Barbash, I., and L. Taylor. 1997. *Cross-cultural Filmmaking: A Handbook for Making Documentary and Ethnographic Films and Videos*. Berkeley: University of California Press.
- Hewitt, J., and G. Vazquez. 2013. *Documentary Filmmaking: A Contemporary Guide*. 2nd ed. Oxford: Oxford University Press.
- Marion, J., and J. Crowder. 2022. *Visual Research: A Concise Introduction to Thinking Visually* New York: Routledge.
- Ruby, J. 1995. The Moral Burden of Authorship in Ethnographic Film.. *Visual Anthropology Review* 11: 77–82.
- Sutoris, P. 2021. Environmental Futures through Children's Eyes: Slow Observational Participatory Videomaking and Multi-sited Ethnography. *Visual Anthropology Review* 37: 312–32.

Estimated Teacher Prep Time

60 minutes:

- Read Chapters 6 and 7 in Marion and Crowder (2022).
- Review Barbash and Taylor (1997), Chapters 3 and 4 for information on the aesthetic and technical side of image making.
- Prepare PowerPoint slides to demonstrate videography skills: different shots, composition, how to cover action, and basic audio and lighting.
- Review Supplementary Resource Links (provided).

Estimated Duration of Lesson

- 120-minute, combination of lecture and in-class activities
- 60-minute student-independent activity (homework)
- 30-minute reflective discussion (in a follow-up class)

Materials Needed

No previous experience in the visual arts is required and no special equipment beyond a digital camera or your cell phone is needed. Recognize that higher quality cameras, lenses, and microphones will result in overall higher quality data, but there is no need for such specialized gear until your project requires it. To keep your cell phone steady (preventing shaking and jerky movements), consider a three-axis Gimbal stabilizer and shoot horizontally. You can enhance your audio quality by using an external microphone with windscreen, and/or an LED light panel to “punch-out” shadows (especially useful when doing interviews).

Practice does make perfect, and anyone planning on capturing video/sound at an ethnographic event must be familiar with the gear beforehand. Use the gear and learn how to work the camera and microphones so that when you are shooting for real, there is no confusion about how to make it work. Have sufficient digital storage capacity.

Student Pre-Class Preparation

Read Chapters 6 and 7 in Marion and Crowder (1997).

Learning Outcomes

- 1 The student will be able to differentiate between different types of shots.
- 2 The student will demonstrate how to “cover an action” with a variety of shots.
- 3 The student will successfully shoot a 1- to 2-minute clip of ethnographic video and upload it to their Vimeo account.

Lesson Instructions

This lesson consists of three parts: (1) an in-class interactive lecture; (2) a homework activity; and (3) a reflective class discussion. It is appropriate for both graduate students and advanced undergraduate students.

Overview

The goal of the lecture is to (1) describe basic video shots and composition; (2) describe how to cover an action using video footage; (3) and give the students a basic understanding of lighting and audio.

Explain the different possible ways to frame a shot, from a very broad establishing shot to the closest vantage point possible.

- Establishing—wide angle, cover locational context and establish the venue
- Close-up for details, to show the viewer specific behaviors or subtleties that may be missed in a wider shot.
- Super close-up—details that would be overlooked if not indicated by the filmmaker—issues and things that only the ethnographer and participants may recognize as important.
- Pan—left to right, like you read. Pan starts from 4 seconds of still, then move, ideally on a tripod, from left to right. Pan ends on 4 seconds of still (count out seconds). Pans are effective for bringing the viewer into a scene, establishing a place, or in a verité manner, “turning the head” of the viewer to have a broader scope of what is taking place in front of the camera.
- Medium-distance shots are useful for identifying subjects
- Practice shooting video like a still image. Compose your shots and hold the camera still. Ideally, a tripod should be used.

Explain how to compose the video shot within the frame.

Principles of composition:

- Rule of thirds—see references
- Bright spots—reading a picture, the eye goes to the brightest place on the screen
- Telephone poles and other distracting elements—don’t place them behind your subject(s), watch for other vertical or horizontal features that serve to distract the viewer from the scene in any way.
- Q & A about what issues may be important to consider (e.g., movement in the background)

In-Class Activity

- 1 *Describe how to cover an action by generating shots that are different distances and angles from the subject. This footage can then be edited together to make a compelling sequence.*
(a) Close up, (b) face, (c) whole action, (d) over the shoulder, and (e) an innovative angle.
- 2 *Practice covering an action*—have the students practice this for 30 minutes.
- 3 *Discussion*—return to the classroom for this if students have been recording their action videos in the building or outside.
- 4 *Use the PowerPoint to review the general principles of lighting*
Include a discussion of using ambient light and common mistakes that videographers make in different settings. Discuss how to read the room light, emphasizing what aspects can be used to enhance the video footage and what kinds of pitfalls may be encountered. Explain the use of reflectors and key lights.
- 5 *Discuss microphones*—kinds and uses
Students will use either the microphones that are on their cameras or can experiment with lapel and boom microphones if those are available to the instructor.

Homework Activity

Overview

Assignment Instructions for Students:

For this homework mini-project, the students will shoot a short video that is created in a way so that they don't need to edit or splice the scenes together. "In-camera editing" is when the shots are taken in order (or sequence) and no lag time is included between them, basically creating a finished product without the use of non-linear editing software. Students can use any kind of video device depending on what they have access to. The key is for them to conceptualize the order in which to shoot the scenes so when reviewing the footage, it makes sense to the viewer from start to finish.

Cell phones are an excellent option depending on what the final footage is going to be used for. See Supplementary references that have some useful tips on using cellphone video and how to make it good quality. Note to hold your cell phone horizontally, if you are using it to create video. If working with a tablet or cell phone, there are free editing applications that can be used for splicing scenes or dropping in transitions or fade effects.

It is useful to have the students set up a Vimeo account (or other online portal) so that they can submit/share their videos for viewing by other students and for grading by the instructor (see supplementary resources). The key here is for everyone to have access to the same portal so they can upload and share their work. Once the course is completed the videos can be removed.

The students should shoot 1–2 minutes of "ethnographic" footage and post it to Vimeo. When they post their video to Vimeo, they will then put up the link to their Vimeo account on the class website. Students will need to create a general use password for the class, and include that password in the post. We suggest instructors test this out before assigning.

Reflection and Class Discussions

Overview

This lesson gives the students a basic understanding of how to compose and shoot videos from varying distances and with different amounts of detail.

Reading Discussion Questions: Why do anthropologists use film/video for conveying cultural information? How do they use it and how has it changed over time? Further, how have advances in technology allowed researchers to take cameras into situations that they could not before? What are the ethics at play here? And how have subjects'/participants' responses changed to the presence of a camera?

Activity Discussion Questions:

What makes video footage technically good?

What are the mistakes to avoid when recording video footage?

Online Teaching Modifications

This class is easy to use in an online environment, either synchronously or asynchronously. The lecture can be recorded and the readings assigned in advance. The students can work individually or they can work in small groups that they organize themselves. By using the Vimeo accounts, the students work can be easily shared with the other students and the instructor; larger videos can be posted on the Vimeo accounts as the students create more complex visual projects.



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Section 5

Indigenous and Decolonizing Methods

Broad training in Indigenous and decolonizing methods has only recently become the norm in the social sciences. Indigenous and decolonizing methods span Indigenous studies and a variety of decolonizing approaches that seek to undo colonial structures (like imperialism, racism, and sexism) in research practice. A basic tenet shared by these fields is that marginalized communities have valuable and valid ways of knowing, which may have different assumptions and logics than those of conventional social science methods. Indigenous and decolonizing methods reintegrate these long-standing knowledge-making practices, which may predate scientific methods, into social science research. Beyond this, Indigenous and decolonizing methods go far beyond conventional ethics to demand that researchers center community well-being at all stages of their research. An important component of this is the acknowledgment that historical and conventional research practices have done harm—especially to minoritized communities—and the commitment to do better in the future.

Historically, Indigenous and decolonizing methods have been developed, refined, and taught in academic departments that specialize in Indigenous/American Indian/First Nations/Native studies, Black/Africana/Caribbean studies, Gender/Sexuality/Women's studies, and Area/Regional studies. With origins including Latin America, participatory approaches—including community-based research and action research—developed in the social sciences to address practical social problems and advance community liberation. More recently, researchers have experimented with merging and combining different elements of these methods, resulting in research innovations. Methods under the umbrella of Indigenous and decolonizing approaches all have a fundamental goal of building emancipatory practices into every stage of research, from early-stage identification of the research problem to late-stage data ownership and dissemination. As such, they are relevant to any social scientist who is willing to learn and enact the relational and ethical commitments each method involves.

Few professors have expertise in all of the knowledge traditions encompassed in Indigenous and decolonizing methods. Students, many of whom are excited to learn these methods, may have self-taught or sought out specialized training. As a result, a major challenge to teaching Indigenous and decolonizing methods, for many professors, will be that their students know more than they do. Having been in this situation ourselves, we advise humility, patience, and openness toward unfamiliar ways of doing things. While it is important to invite your students to share their knowledge, avoid racial spotlighting—a harmful teaching practice in which minoritized students are asked to be a spokesperson for the experiences or views of a whole group. Help students appreciate that Indigenous and decolonizing methods require all researchers to build lasting, committed relationships with communities and to put respect and reciprocity at the core of every research activity.

In this section, lessons in Indigenous and decolonizing methods are presented in four parts. First, there are two lessons that introduce general approaches to Indigenous and decolonizing methods. Brayboy and Lucero's lesson provides a framework for integrating the core tenets of critical Indigenous research methodologies—respect, responsibility, relationships, reciprocity, and accountability—into research practice. Glegziabher's lesson provides a guide for students to assess their own positions, possible harms of research, and how to engage ethically with marginalized communities. Three important Indigenous methods and approaches are introduced next: Marsters and Hardin's lesson on Talanoa; Figueroa's lesson on Story Circles; and Carroll and Cummins' lesson on Indigenous data sovereignty. Two Black Feminist methods follow this: McClaurin and Brown's lesson on Black Feminist life history method and Mitchell's lesson on sister–girl talk, a focus group method. The final chapters presents two very different kinds of participatory methods: Luque and Martinez Tyson's lesson on Community-engaged Partnerships and Alonso Bejarano's lesson on theater as ethnographic method. Collectively, these lessons give students an orientation to key facets of Indigenous and decolonizing method practices.

26 A Brief Introduction to Critical Indigenous Research Methodologies

Bryan McKinley Jones Brayboy and Danielle D. Lucero

Brief Description of Method

Research has traditionally been concerned with “Reason” and “Truth,” prioritizing objectivity and neutrality in scientific research. Critical Indigenous research methodologies (CIRM) work to reframe this concern with reason” and “Truth.” Maori scholar Linda Tuhiwai Smith (2012) describes research as a *dirty word* when it comes to Indigenous communities. This definition of research references the concern with capital “T” Truth. CIRM suggest that there may be truth (with a lowercase “t”), forgoing the supremacy of a singular idea or a singular truth. More specifically, CIRM reject a singular, hierarchical truth rooted in a particular historical and scientific frame. Within a CIRM framework, this “dirty word” of research is reframed and reoriented toward the end of serving Indigenous communities.

CIRM are an approach to thinking about the research design and methods, rooted in Indigenous knowledge systems, are anticolonial, and are primarily focused on the needs of the communities (Brayboy et al. 2012; Hart 2010; Smith L. 2000; Wilson 2008). This methodological approach promotes emancipatory agendas with distinct attention to self-determination and inherent sovereignty of Indigenous peoples and communities. CIRM follow five core tenets: relationships, responsibility, respect, reciprocity, and accountability. For a CIRM approach, the process of building sustainable relationships between researchers, communities, and the research topic is of the utmost importance. Being a good relative is key to any research project.

References for Further Reading

- Brayboy, B. M. J., H. R. Gough, B. Leonard, R. F. Roehl, II, and J. A. Solyom. 2012. Reclaiming Scholarship: Critical Indigenous Research Methodologies. In *Qualitative Research: An Introduction to Methods and Designs*, edited by S. D. Lapan, M. T. Quartaroli and F. J. Riemer, 423–50. San Francisco: Jossey-Bass.
- Deloria, V., Jr. 1969. Anthropologists and Other Friends. In *Custer Died for Your Sins: An Indian Manifesto*, edited by V. Deloria, 78–100. New York: McMillan.
- Hart, M. A. 2010. Indigenous Worldviews, Knowledge, and Research: The Development of an Indigenous Research Paradigm. *Journal of Indigenous Social Development* 1(1): 1–16.
- Lomawaima, T. K. 2008. Tribal Sovereigns: Reframing Research in American Indian Education. In *Indigenous Knowledge and Education: Sites of Struggle, Strength, and Survivance*, edited by M. Villegas, S. R. Neugebauer and K. R. Venegas, 183–203. Cambridge: Harvard Educational Review.
- McKinley, E., and L. Tuhiwai Smith. 2019. *Handbook on Indigenous Education*. Paris: Springer.
- Sumida Huaman, E., and N. D. Martin, eds. 2020. *Indigenous Knowledge Systems and Research Methodologies: Local Solutions and Global Opportunities*. Toronto: Canadian Scholars.

- Tuhiwai Smith, L. 2000. Kaupapa Maori Research. In *Reclaiming Indigenous Voice and Vision*, edited by M. Battiste, 225–47. Vancouver: University of British Columbia Press.
- Tuhuwai Smith, L. 2012. *Decolonizing Methodologies: Research and Indigenous Peoples*. 2nd ed. London: Zed Books.
- Wilson, S. 2008. *Research Is Ceremony: Indigenous Research Methods*. Winnipeg: Fernwood Publishing.

Estimated Teacher Prep Time

If you're familiar with the topic, prep time is approximately 30 minutes. If you are not, prep time could be up to 2 hours.

Estimated Duration of Lesson

This can be a 45- to 60-minute engagement of in-class discussion time.

Materials Needed

- A whiteboard
- Brayboy video on CIRM (provided at <https://www.youtube.com/@methods4all> – search for “Brayboy” to find video)

Learning Outcomes

- 1 Define what Indigenous knowledge systems (IKS) are and apply IKS within a research agenda.
- 2 Understand the tenets of CIRM (relationality, respect, responsibility, reciprocity, and accountability).

Lesson Instructions

This lesson has two parts: (1) an in-class interactive lecture; and (2) a reflective class discussion and hands-on activity. It is appropriate for all levels, undergraduate, advanced undergraduate, and graduate students.

Start class with the following discussion questions:

- What comes to mind when you hear or read the word method? Methodology?
- What comes to mind when you hear or read the phrase critical Indigenous research methodologies?
- What experiences do you have with CIRM?

After the class discussion, students watch Dr. Bryan Brayboy's Lesson on CIRM video.

After the video, have students either in small groups or as a class list the key points of CIRM from both the video and their readings.

After students have had discussions, elicit their answers and list their responses on the whiteboard.

Once the list is done, see how closely they have come to the key points listed below.

Begin in-class lecture by introducing the following information:

CIRM are focused on setting the terms of research, and the terms of the debate. As stated above, CIRM are rooted in IKS, and it is important to understand what we mean by IKS.

CIRM are informed by IKS:

- 1 Epistemologies: How do we come to learn? Our ways of knowing. This is about our relationship to learning and how we think about it.
- 2 Ontology: What is our reality? Our ways of being. Being in the world, in society, in relation to others, and the places in which we live.
- 3 Axiology: What do we value how do we come to think of what is good, true, right, and beautiful?
- 4 Pedagogy: How do we think about the process of teaching and learning? Theories about both teaching and learning.
- 5 Cosmology: What is the beginning? This is about thinking about origins and origin stories. There is also an emphasis on genealogy.

IKS characteristics:

- 1 Empirical: rooted in observations, which happen over time—data collected, analyzed, and worked through.
- 2 Sensual: engaged through the senses. We see, feel, hear, taste, smell things. Multi-sensory.
- 3 Cumulative: knowledges are accumulated and passed down across time, are long-lasting, and have a level of permanence.
- 4 Connected to place: These are rooted in our relationship to place. Places evolve and so do people.
- 5 They are lived and embodied: Indigenous knowledge systems are active verbs! They are four-dimensional. We live them. There is a spiritual element attached to them.
- 6 Relational: between peoples/peoples, peoples/place, peoples/curriculum. Carry an element of responsibility. There is a level of multi-generationality: I am responsible to my ancestors and I am responsible for my descendants.

Within a CIRM framework, relationships are at the heart of any research project. As such, any research must abide by protocols; communities must be approached, permission granted, and research conducted with an understanding of past, present, and future implications. Research must be conducted with a sense of humility; egos must be discarded; and the researcher must understand and respect the responsibilities that emerge from these relationships with communities but also with the research topic itself.

CIRM are agnostic toward method. It does not push one method over others. The aim and driving force of CIRM are working with Indigenous communities to create futures of their own making/imaginings. The method doesn't really matter in this framework. Regardless of the method chosen or the topic of inquiry, a CIRM framework requires the researcher and the research itself to serve Indigenous communities. It is meant to be a tool of the community to meet the needs of that community and to advance self-determination and sovereignty.

Relationality, respect, responsibility, reciprocity, and accountability are the tenets of CIRM and they guide all aspects of the research process. CIRM move away from research that is

focused on *being right* to one that focuses on *doing right* (see Deloria 1969; Sumida Huaman and Martin 2020; Tuuhwai Smith 2000, 2012). This means doing right by the community, having intellectual and scholarly freedoms, and engaging in research with humility and integrity.

After the lecture and discussion, it is time for students to apply the knowledge learned in order to understand how CIRM work in a research project.

- 1 Have the key tenets of CIRM and the rationale behind the need for a CIRM approach on the whiteboard for the entirety of this activity.
- 2 Tell students what we are doing today in class: Potential script: “Today we will be thinking about what and how to use a CIRM approach in an actual research design/project. We will be discussing a troubling case that involved the Havasupai nation and the flagrant violation of ethical research.”
- 3 Have students watch the New York Times video on the Havasupai (<https://www.nytimes.com/video/us/1247467672743/blood-journey.html>)
- 4 Allow time for the class to jot down initial thoughts and reactions.
- 5 Break the class up into small groups and give them the following prompt: Think about how you might approach the Havasupai research project through a CIRM framework. What steps were missed? Who was missing from the research team? What should have happened for this research to be conducted ethically? Should this project have ever been approved or even conducted?
- 6 After students write down their reflections and discuss them in their small groups. Open it up to a larger in-class discussion. Have students write on the board the mistakes with the research design. After discussing the mistakes, have students brainstorm how they could have been different using a CIRM framework, specifically addressing the following tenets: relationships, responsibility, respect, reciprocity, and accountability.

Hands-on Activity Option #2: How to build CIRM into a research project from design to implementation:

Your research team is working on a community-based project on early childhood education with the Pueblo of Isleta, a tribal nation in central New Mexico. The topic is on how to use culturally specific teaching pedagogies in a pre-k classroom to help support language revitalization and cultural knowledge. With the topic being early childhood education, how would you go about establishing relationships, enacting responsibility, respect, reciprocity, and accountability, all key tenets of a CIRM framework?

What steps would need to be taken? How could these steps be achieved? How could you figure out approaches to achieving these steps? Which key individuals and/or groups need to be involved in the project?

Reflection and Class Discussion

Instructors can complete this lesson by asking:

- How does CIRM ask/demand that you think of research differently?
- How might this influence your own practices?
- What idea or set of ideas in CIRM did you find most compelling? Why? What needs more elaboration?
- What challenges might you anticipate using CIRM and how do you think you could work through those?

The authors are not arguing that CIRM is superior to other methodologies and methodological concerns. We are arguing that CIRM offers an important intervention in research processes.

Online Teaching Modifications

This can easily be adapted to work online, using pre-recorded lectures and online discussion boards if done asynchronously. Can also be done synchronously as explained using video conferencing software and breakout rooms for small group discussions.

27 Ethically Engaging Marginalized Communities in Research

Meskerem Z. Glegziabher

Brief Description of Method

Doing good social science research requires more than rigorous data collection and analysis techniques. It requires researchers to be attuned to the social contexts and implications of their work. While most sanctioned research conducted among human subjects today requires institutional review and approval, this tends to focus primarily on institutional liability. Students across the social sciences are rarely taught: (1) the ways in which social science research has directly or indirectly harmed or marginalized certain communities; (2) the ways in which their various intersecting identities might inform and shape their planned research; and (3) how to ethically engage with communities in ways that value their expertise and incorporate their perspectives and needs. I find that it is best to teach ethical engagement with communities through acknowledgment of disciplinary histories, personal reflections on positionality, and active discussions with peers and instructors using anecdotes and concrete examples.

References for Further Reading

- Jacobson, D., and N. Mustafa. 2019. Social Identity Map: A Reflexivity Tool for Practicing Explicit Positionality in Critical Qualitative Research. *International Journal of Qualitative Methods* 18: 1–12.
- Liong, M. 2015. In the Shadow of Deception: Ethical Dilemma, Positionality, and Reflexivity in Ethnographic Fieldwork. *Qualitative Research Journal* 15: 61–73.
- Tuck, E., and K. W. Yang. 2014. Unbecoming Claims: Pedagogies of Refusal in Qualitative Research. *Qualitative Inquiry* 20: 811–18.

Estimated Teacher Prep Time

2–4 hours:

- Familiarize yourself with examples of how social science research has been used to marginalize and harm communities (review Tuck and Yang 2014)
- Prepare slides or find videos that summarize such cases, particularly in disciplines relevant to the class being taught
- Read or review Jacobson and Mustafa (2019)
- Reflect on your own positionality and experiences as a researcher and identify two anecdotes that illustrate how your positionality shaped or impacted your research

Estimated Duration of Lesson

- 60-minute in-class lecture
- 90-minute student independent activity (homework)
- 20-minute small group discussion (in follow-up class)
- 40-minute class reflective discussion (in follow-up class)

Materials Needed

- Prepare PowerPoint slides summarizing the history of harm caused to marginalized communities by social science research
- (Optional) Discipline-specific multimedia sources to illustrate above point (e.g., “Here come the anthros,” 1969 song by Floyd Red Crow Westerman available to stream free online.)

Student Pre-Class Preparation

- Read Tuck and Yang (2014) article prior to initial class.
- Read Jacobson and Mustafa (2019) and complete reflection homework prior to follow-up class.

Learning Outcomes

Completing this activity, students will: (1) have a basic understanding of how scientific research has and can harm and marginalize people and communities; (2) be able to reflect on their own positionality and how their intersecting identities might inform and contour their planned research; and (3) know how to be intentional about ethically engaging marginalized communities in research.

Learning Instructions

This lesson has three parts: (1) an in-class lecture; (2) a homework journal reflection and mapping activity; and (3) a reflective small group and class-wide discussion. It is appropriate for advanced undergraduate and graduate students who may be interested in conducting community-engaged research.

In-Class Lecture (~60 minutes)

Overview: After reading or reviewing the Tuck and Yang (2014) article as well as gathering specific examples of harms caused by social science research (or your discipline) on marginalized communities, prepare a lecture and slideshow that gives an overview of the following:

- 1 *The co-evolution of “scientific thought” and the expansion of European colonization during the Enlightenment period (1700s) through to contemporary social science research:* ~20 minutes: Social scientists have been involved in harmful and marginalizing practices since the formal inception of such modes of inquiry—from traveling with colonial expeditions to enumerate and help subjugate Indigenous populations around the world (anthropology), to pathologizing homosexuality and poverty (psychology and sociology

respectively). I recommend tracing the particular disciplinary histories of harm that are closely related to the course being taught and highlighting them in this lecture to make them relevant to the students' own research training. *Optional*: There are many examples of members of marginalized or oppressed communities "speaking back" to academia through songs, films, TED talks, or other mediums. One example is Floyd Red Crow Westerman's 1969 song "Here Come the Anthros" available to stream for free online. Incorporating excerpts of one or more such pieces as part of your lecture may actively engage your students more than a traditional lecture and slide format.

- 2 *The inherent power imbalance within research relationships*: ~10 minutes: The "Inquiry as invasion" section in the Tuck and Yang article (2014: 812) does a great job of explaining this dynamic and can serve as a foundation for this part of the lecture.
- 3 *The function of a researcher as a primary instrument of parameter setting, data collection, and analysis*: ~5 minutes: The introduction section of the Jacobson and Mustafa article (2019: 1–2) provides a good background for this part of the lecture.
- 4 *The ways in which a researcher's various intersecting identities can impact the research*: ~15 minutes: After giving a general overview, present a slide that maps some of your own social identities. Follow this up by highlighting how particular identities have been salient within your research. Specifically, identify at least one (preferably two) specific instance(s) where your positionality shaped or impacted your research. *Optional*: If you have written positionality statements either within your published scholarship or as part of funding applications etcetera, sharing one with students on a slide may help illustrate how to incorporate reflexivity and positionality within their own work. Also, the Liong (2015) article illustrates a concrete example of how a researcher's perceived identity can shape how research collaborators engage with them and may be useful as an additional exemplar to prompt further discussion.

Wrap-up: 10 minutes: Once you have finished the lecture and presentation, walk through the homework assignments and answer any questions.

Homework Activity (2 parts, ~90 minutes)

Overview: Provide students with the Jacobson and Mustafa reading. Assign the following two part homework activity.

Part I: Identity mapping activity instructions for students:

- 1 Read the Jacobson and Mustafa (2019) article.
- 2 Create a blank "social identity map" modeled after the one offered in the article. Feel free to add any "Tier 1" broad social identity categories that are not already included but are relevant to you and your research.
- 3 After completing the "Tier 1" boxes in the map, delve beyond these broad identity categories to identify ways in which each identity position impacts your lived experience.
- 4 Once you have completed your social identity map, reflect on aspects of your identity and background that may be salient to a proposed or desired research and explore the ways in which they situate you within the research context and may impact your research. This may mean how your intersecting identities impact your perspective toward the research and your access to the community or participants, or the ways in which potential participants, collaborators, or others in your "fieldsite" perceive you or respond to you. Write this reflection as the first part of your reflective journal entry described below.

Part II: Reflexive Journaling activity instructions for students:

- 1 Re-review the Tuck and Yang article.
- 2 Below your “social identity” reflection described above, reflect on the following questions: *Think about your research fieldsite. What is my motivation for conducting research with a given community of people? Who will benefit from my research? Am I looking for damage, pain, or hurt? Does my research center the expertise and priorities of my community collaborators? Should I be doing this research?*
- 3 Bring your completed “Social Identity Map” and reflexive journal entry to class. Be ready to discuss both with your classmates and instructor.

Reflection and Class Discussion (~60 minutes)

Overview: This discussion should happen after the students have completed the two-part homework activity. The goals are to have students (1) share and process any new insights gleaned from mapping their social identities and reflecting on the motivation and implications of their proposed research; (2) brainstorm ways to reimagine their projects to center and minimize harm to proposed community collaborators; and (3) question the axiom that research and knowledge production is inherently good. Depending on the size of your class, the small-group discussion questions may be collapsed into a single discussion among all members.

Discussion prompts for small groups:

- 1 Share your reflections from the reflexive journaling activity with members of your group.
- 2 What is the history of social science research (or your discipline in particular) with the community among whom you want to do research? How might this history impact your relationship with community members as a researcher?

Discussion questions for full-class reflection:

- 1 Did you learn anything about yourself previously not considered through the social identity mapping or reflective journaling exercises?
- 2 Did the readings, exercises, or lectures lead you to change aspects of your research? Why or why not?

Online Teaching Modifications

This lesson can easily be adapted for online teaching by (1) posting a PDF of the readings and the lecture slides; (2) giving the lecture synchronously and having students interact as described, or pre-recording the lecture incorporating the slideshow; (3) posting the homework instructions and having the students submit their completed work online; and (4) having the class discussion live with breakout rooms for small group discussions utilizing a virtual meeting platform or requiring a written discussion board where students respond to prompts and each other’s reflections. Peer and guided discussion is a vital component of this lesson, thus live discussion is recommended when possible. If doing written discussion boards, active engagement by the instructor to help navigate sensitive topics and mitigate potential microaggressions is highly recommended as well as a wrap-up post to summarize key points and acknowledge students’ thoughts.

28 Talanoa Research Methodology

Strategies for Teaching an Indigenous Methodology

Caleb Marsters and Jessica Hardin

Brief Description of Method

Talanoa research methodology (TRM) can be defined as an open, informal conversation between people in which they share their stories, thoughts, and feelings. The word “tala” means to talk or to tell and “noa” is literally “nothing in particular” in a variety of Pacific languages (Vaiotei 2006). Others have developed talanoa as a methodology designed to serve Pacific community needs, arguing that Pacific communities “have endured years of disempowering research with little social or economic improvement” (Vaiotei 2006: 22). As a result, this methodology has been explicitly developed to be used *for* and *by* Pacific researchers and communities. It has been designed not to indigenize Western methodologies but rather to “challenge dominant method to adapt to indigenous paradigms” (Fa’avae 2016).

The foundation of TRM is its role as a traditional Pacific deliberation process that goes around in circles and does not necessarily follow a straight line, aiming toward a final decision like many Western processes. Connection is at the heart of TRM, and this connection is critical in illuminating how the appropriate application of TRM as a method may decolonize research in the Pacific and contribute to empowering research practices. At its core, TRM is an inclusive, participatory, transparent dialog process (Vaiotei 2013). From these principles, talanoa research methodology is defined by reflexivity, reciprocity, attention to rank and other forms of positionality, community-defined interests and goals, skillful dialog, warmth and empathy, and process.

Pitfalls and Common Mistakes

There are two important things to keep in mind when practicing TRM. First, talanoa can involve repetition to avoid misunderstandings and come to a collective consensus. Tolerating and even encouraging repetition, therefore, may be valuable and not necessarily an indicator of data saturation.

Second, inspired by its traditional form, the expectation for TRM is that there are no time limits or set agenda—participants decide when talanoa ends. But practitioners must remember that TRM is distinct from the traditional process in that talanoa cannot be guided by participants solely. Researchers need to guide the conversation rather than allowing talanoa to “go anywhere” (Fa’avae 2016).

References for Further Reading

Anae, M. 2010. Research for Better Pacific Schooling in New Zealand: Teu le va—A Samoan Perspective. *MAI Review* 1: 25.

- Fa'avae, D., A. Jones, and L. Manu'atu. 2016. Talanoa'í 'A e Talanoa—Talking about Talanoa: Some Dilemmas of a Novice Researcher. *AlterNative: An International Journal of Indigenous Peoples* 12: 138–50.
- Naepi, S. 2015. Navigating the Currents of Kaupapa Māori and Pan-Pacific Research Methodologies in Aotearoa New Zealand. *Mai Journal* 4: 71–84.
- Vaioleti, T. 2006. Talanoa Research Methodology: A Developing Position on Pacific Research. *Waikato Journal of Education* 12: 21–34.
- Vaioleti, T. 2013. Talanoa: Differentiating the Talanoa Research Methodology from Phenomenology, Narrative, Kaupapa Maori and Feminist Methodologies. *Reo, Te* 56: 191–212.

Estimated Teacher Prep Time

60–90 minutes:

- Read Vaioleti's (2006) "Talanoa Research Methodology" for an overview of talanoa and its relation to other social scientific methodologies.
- Watch the Methods4all lecture.

Estimated Duration of Lesson

- 30-minute in-class introduction to talanoa and its principles
- 15-minute student-led talanoa facilitation activity in small groups
- 15-minute whole class reflection on talanoa and positionality

Materials Needed

- Marsters and Hardin online lecture (provided at <https://www.youtube.com/@methods4all> – search for "Talanoa" to find the video)

Student Pre-Class Preparation

Students will need to have read Vaioleti (2006) before class.

Learning Outcomes

Upon completion of this lesson, students will be able to do the following:

- 1 Define the term talanoa and describe its key principles
- 2 Understand how talanoa can be applied to a wide range of research contexts
- 3 Reflect on how researcher positionality can impact the way they practice talanoa specifically and other collaborative methods more broadly

Lesson Instructions

This lesson consists of three parts: (1) an in-class introduction to TRM; (2) a student-led group activity; and (3) a reflective discussion. It is appropriate for both graduate students and advanced undergraduate students.

In-Class Introduction to TRM

Overview: Together, the class will watch the talanoa methods4all lecture by Caleb Marsters and Jessica Hardin. The goals of this activity are to: (1) introduce students to the concept of

talanoa; (2) explain the principles and values underpinning talanoa; and (3) walk students through the basic steps required to carry out effective talanoa, demonstrating the strengths and practical challenges of applying talanoa to academic research. Proceed with the lesson as follows:

- 1 Brief students on the lesson ahead and encourage them to think about their own research projects as they watch the lecture. Give specific examples of how you might use talanoa in your own research.
- 2 Watch the lecture outlining a series of steps that practitioners should take when using TRM. These include: initiating relational space (or what is often called the *vā* in Pacific contexts), gifts, protocols, and commensality, building relational space, facilitation, and ongoing engagement, reciprocity, and dissemination.
- 3 As a class, briefly discuss the origins and principles of TRM and reflect on the steps outlined and how these are distinct from typical qualitative methodologies.
- 4 Prompt students to ask questions about how they would adopt this methodology in their own research, keeping in mind the student-led talanoa facilitation activity that will come next.

Student-Led Group Activity: Carrying Out and Facilitating Talanoa

Overview: This student-led activity enables students to develop familiarity with TRM and identify ways to implement talanoa principles in practice in their own lives.

- 1 Arrange students in four-person groups.
- 2 Ask students to quickly select a topic of their own interest and develop a basic research question on this topic. TRM is a qualitative method, so ensure the research question will allow for an appropriate level of discussion.
- 3 Ask students to carry out the first step outlined in the lecture: building the relational space. Prompt students by asking them how they might make connections with one another to ensure harmonious and authentic sharing of knowledge around their selected topic/question.
- 4 Ask students to then carry out step two: gifts, protocols, and commensality. Prompt students by asking them how they might show generosity, respect, and reciprocity to the participants and participant communities.
- 5 Ask students to carry out step three: facilitation. Prompt students by asking them how they may facilitate talanoa in ways that both allow for open-endedness but require some researcher guidance. What strategies can they use to maintain both of these qualities? What does this require of the researcher? Further prompt students to think about how they might account for any disagreements or uneven power dynamics between themselves and the research participants and community.
- 6 Ask students to think about step four: ongoing engagement, reciprocity, and dissemination. Prompt students by asking them how they might maintain engagement with research participants and the wider research community once the talanoa is finished. Particularly focus on how students may show ongoing reciprocity through the dissemination of their research findings. What would be the most effective venues or mediums for the research to be shared?

Reflection and Class Discussion

Overview: Final reflections and discussion should take a talanoa format with the entire class, led by the teacher–facilitator. Questions might include: This discussion will provide an opportunity for students to:

- a How did it feel to practice TRM? How did your positionality shape this experience?
- b What did you notice from observing your peers?
- c How does TRM differ from your experience with other qualitative methodologies?

Online Teaching Modifications

Talanoa is best carried out face-to-face, which is especially important in traditional Pacific cultural contexts as an essential part of the protocol, but also as a sign of respect to elders. However, given the COVID pandemic, many Pacific communities and researchers have pivoted to eTalanoa via online video conferencing platforms. This shows that there is room for innovation and flexibility when using talanoa as a research method. The same principles apply online but building the relational space can be more challenging. You can use tools such as breakout rooms to carry out the student-led small group talanoa activity.

29 Centering Indigenous Practice

Talking Circles as Participatory Action Research

Mona Scott Figueroa

Brief Description of Method

Participatory action research (PAR) is a problem-based, learner-centered approach to research grounded in shared power and the belief that all people's knowledges and experiences are valuable (Irizarry and Brown 2014). "Indigenous knowledge is a lived-world form of reason that informs and sustains people ... [who] have produced knowledges, epistemologies, ontologies, and cosmologies that construct ways of being and seeing in relationship to the physical surroundings" (Kincheloe and Steinberg 2008:136). Combining PAR with Indigenous knowledges opens a world of diversity to empower students and privilege their knowledge and experience in research and making change. Students will incorporate aspects of Indigenous ways of being, the talking circle, to collect data. The talking circle originated among Indigenous peoples of the Midwest United States as a form of shared governance and a tool of learning. Nations outside of the Midwest have used the talking circles for healing, problem-solving, and decision-making (Running Wolf and Rickard 2003). In the circle, all voices are equal, power is shared, there is no judgment, and each person is acknowledged whether they speak or not. Acknowledgment occurs when one accepts their time to speak and chooses not to by passing their opportunity to speak. Indigenous knowledges are connected to history, place, and culture and cannot be universalized, however, a holistic approach grounded in Indigenous ways of being will include "accountability, responsibility, respect, compassion, and trust" (Kovach 2021: 87). Talking Circles can be used in non-Indigenous environments as an inclusive learning and problem-solving strategy.

References for Further Reading

- <https://firstnationspedagogy.ca/circletalks.html> (accessed May 10, 2022).
- Irizarry, J. G., and T. M. Brown. 2014. Humanizing Research in Dehumanizing Spaces: The Challenges and Opportunities of Conducting Participatory Action Research with Youth in Schools. In *Humanizing Research: Decolonizing Qualitative Inquiry with Youth and Communities*, edited by D. Paris and M. T. Winn, 63–80. Los Angeles: Sage.
- Kincheloe, J. L., and S. R. Steinberg. 2008. Indigenous Knowledges in Education: Complexities, Dangers, and Profound Benefits. In *Handbook of Critical and Indigenous Methodologies*, edited by N. K. Denzin, Y. S. Lincoln and L. Tuhiwai Smith, 135–77. Los Angeles: Sage.
- Kovach, M. 2021. *Indigenous Methodologies: Characteristics, Conversations, and Contexts*. Toronto: University of Toronto Press.

- Winters, A. 2014. Using Talking Circles in the Classroom. <https://www.heartland.edu/documents/idc/talkingcircleclassroom.pdf> (accessed May 10, 2022).
- Wolf, P. Running, and J. A. Rickard. 2003. Talking Circles: A Native American Approach to Experiential Learning. *Journal of Multicultural Counseling and Development* 31: 39. *Gale OneFile: Health and Medicine* https://link.gale.com/apps/doc/A97483608/HRCA?u=mcc_mesa&sid=googleScholar&xid=f6fde993 (accessed May 10, 2022).

Estimated Teacher Prep Time

If the approach is completely new, use 60–90 minutes of review and time to prepare slides of selected guidelines to follow during the talking circle, explain the history of the talking circle, and explain how the talking circle will commence. I like the short list from First Nations Pedagogy Online (reference above).

If one is familiar with the approach, 30–60 minutes is recommended to review and prepare.

Estimated Duration of Lesson

The duration of class times depends on the number of prompts and number of participants in the circle. A good starting point is 75 minutes over two class periods to share guidelines and allow participants an opportunity to speak and reflect.

Materials Needed

- You may want to use a recording device to capture content shared. Or select two students to take notes during the talking circle. The students selected may also participate in the circle.
- Lecture slides (need to prepare).
- Screen/projector to display the research question during the activity.
- Decide on an item of significance that will be passed around. Preferably something solid that will not break if dropped or will not be noisy if fidgeted with. Choose something meaningful to your group and refrain from selecting Indigenous-related items simply because you are engaging in an Indigenous form of communicating.

Student Pre-Class Preparation

- Students would benefit from reading the brief overview of Talking Circles from First Nations Pedagogy Online (reference above) and Using Talking Circles in the Classroom (Winters, referenced above), however, it is not necessary if the instructor offers a comprehensive explanation in their lecture.

Learning Outcomes

At the end of this activity, students should be able to: (1) explain the talking circle's origin and history among Indigenous peoples, its ability to elevate marginalized voices, and share power; (2) know how to conduct a talking circle; and (3) reflect on ways Indigenous knowledge and practice can be used in data collection and problem-solving.

Lesson Instructions

1 Introduction: Begin with a brief media presentation that introduces talking circles and outlines the instructions for the activity.

- **Introduction to talking circles**

Describe what a talking circle is, its history, and what it has been used for as well as guidelines and advantages. Be sure to note that the leader of the talking circle is there to make sure participants stay on task, gently nudge speakers to wrap up if going too long, remind participants of the rules when needed, and answer questions when they arise.

- **Instructions for the talking circle activity**

Inform students that they will be engaging in a talking circle to problem-solve. Talking circles are effective with 3–20 students. If your group is larger you, may want to create more than one talking circle. If you create more than one circle, allow distance between the groups so students are not talking over one another. Depending on how much time you have, you may suggest a time limit for each person to speak. Discuss the guidelines. Introduce the research question. The research question is your choice; however, action research is an approach used for problem-solving. For example, what might your specific school or department do to increase a sense of belonging for you? Or you might ask: Where do you feel welcomed and supported at your college institution?

Guidelines to highlight:

- Participants will sit in a circle.
- An item of significance (that the instructor has chosen) will be passed from person-to-person to indicate their time to talk.
- Participants will pass the item clockwise to the next person when they are finished. Remember to be intentional about addressing only the prompt and being respectful of your speaking time.
- Adhere to the time allotted if a time limit was determined.
- The item may be passed if a participant does not want to speak. Respect one's choice to pass.
- Participants will respond to the question using "I" statements.
- This is not a time for blame but to share one's experience and perspective.
- No one else may speak while the person with the item is talking.
- Those who are not speaking must listen.
- Everyone will have an opportunity to speak. Speak to address the prompt and be mindful of your response to allow others speaking time.
- No one should reply or comment on what anyone has said.
- What is shared should stay within the group.
- Everyone should be present; no phones or computers should be used except for the students who have been selected to take notes.
- Processing may be done in written form and/or discussion, later.
- The instructor will ensure the guidelines are being followed. They may interrupt students who talk out of turn or make judgmental comments.
- The instructor will interject when students fail to follow the guidelines set forth.

2 Engage: Keep the research question on the screen for participants to review. Inform participants if they will be recorded. Ask for a volunteer to begin the talking circle and have

participants pass the pre-chosen item clockwise to the next person until everyone has had an opportunity to speak.

- 3 **Reflection and Silent Writing:** (Optional) Ask students to write about or draw the themes they heard during the talking circle.
- 4 **Reflection and Discussion:** Ask students to identify the themes they heard during the talking circle. Write them on a whiteboard for everyone to see. Students can respond to the following questions:

Data Collected Questions: Were you surprised by anything that was shared? Were there patterns in the comments? If so, what were they? Were there any conflicting experiences? If yes, how do you explain them?

Participant-Related Questions: How does the talking circle differ from other types of data collection? What key elements make this a decolonizing method? How did it feel to be a participant? What did you learn from this process? What surprised you about this method?

Once the class has finished the discussion, explain to students that their responses to the prompts, their written reflections, and their class discussion are data that can be used to identify opportunities for improvement at their college institution.

Hands-on Activity – Conducting a Talking Circle

There are two options for students to conduct a talking circle. First, you can break students into small groups (three–six) where they will rotate leading the talking circle (60–90 minutes). For this option, you should have separate research questions/topics for the leader to use. Each leader should explain the guidelines to the circle as if the students were fresh to the process. The circles should be recorded but the leader should also be taking notes. They will have to adhere to the guidelines given during the learning activity. They can discuss each topic for 10–15 minutes and then switch leads.

Second, you can assign students a homework project to conduct a talking circle. This can be done with as little as three participants to make it easier for scheduling. As a class, first decide on a key question that students will be asking for their circle. If they are completing the assignment with other students, they can choose the same question as the class activity. If completing with another population, say family or friends, the class will need to brainstorm what they think are issues facing that certain population. Once decided, students should be assigned to conduct at least a 20-minute talking circle, using the guidelines outlined in the class and explaining them to the group. They should record the conversation (with permission from the participants) as well as taking notes on what is being said. As this exercise is about the process, not the data, it is a pedagogical decision to have the students either transcribe the data or just rely on their notes.

Once either option is done, students should reflect (either in writing or as a class) on the process, answering the following questions.

- How was leading the talking circle different than being a participant?
- What difficulties did you have adhering to the guidelines, or having the participants adhering to the guidelines?
- How could you use this method in your own research?

Online Teaching Modifications

This lesson can be adapted to an online-learning setting by:

- Online video conferencing software to facilitate a synchronous lesson.
- Students will pass an imaginary item to one another to indicate their opportunity to speak. Once a student has spoken, type their name on the chat to indicate who has spoken. You will determine who the item may be passed to next based on who is absent from the chat list.
- Students may submit their reflections online on a discussion board so that they can read and comment on others' submissions.

30 Indigenous Data Sovereignty and Governance

Stephanie Russo Carroll and Jewel Cummins

Brief Description of Method

Indigenous data sovereignty (IDSov) defines the right of Indigenous Peoples, nations, and tribes to govern data about their peoples, lands, and resources (Kukutai and Taylor 2016). Indigenous data include information, knowledge, and specimens about Indigenous Peoples at the individual and collective levels (Carroll et al. 2020; Lovett et al. 2019; Rainie et al. 2019). IDSov restores tribes' authority over data about their nations, citizens, communities, and environments (Kukutai and Taylor 2016). Based on inherent sovereignty and grounded in collective traditions, roles, and responsibilities to steward Indigenous knowledge, IDSov is positioned within a human rights framework including court cases, treaties, and recognition (Kukutai and Taylor 2016). For instance, the United Nations Declaration on the Rights of Indigenous Peoples reaffirms Indigenous Peoples' rights in relation to data (Davis 2016). IDSov is actioned through Indigenous data governance (IDGov), which is both the stewardship and the processes necessary to implement Indigenous control over Indigenous data including its collection, storage, analysis, use, and reuse (Carroll et al. 2019; Rainie et al. 2019; Rodriguez-Lonebear 2016; Smith 2016; Walter et al. 2018). The CARE Principles for IDGov (Collective benefit, Authority to control, Responsibility, Ethics) express high level, minimum expectations for non-tribal actors as they collect, analyze, store, use, and reuse Indigenous data (Carroll et al. 2020). The methods of IDSov and IDGov are suited for any class or curriculum where Indigenous Peoples, individuals, topics, research, or data are encountered or handled. When teaching these topics, a common mistake to avoid is looking at IDSov and IDGov through the lens of a non-Indigenous perspective.

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Estimated Teacher Prep Time

- 2 hours reading required readings
- 60 minutes for familiarizing optional further resource readings (provided)
- 45 minutes to customize presentation slides (provided)
- 30 minutes to prepare in-class activity and discussion

Estimated Duration of Lesson

- 2 hours of pre-class preparation
- 60 minutes of in-class lecture and question/answer session
- 30 minutes of in-class discussion
- 60 minutes of homework assignment/activity

Materials Needed

- Computer (if needed for presentation)
- Powerpoint slides (provided at <https://www.gida-global.org/care> - click on “CARE Principles Slides”)
- Lecture notes
- Handout of CARE Principles (found at: <https://www.gida-global.org/care> - click on “Overview of the CARE Principles”)

Student Pre-Class Preparation

Students should complete the required readings (Carroll et al. 2020; Duarte et al. 2019; Raine et al. 2017) as well as one reading (assigned by the instructor or the instructor can let students choose) from the further readings list prior to class.

Learning Outcomes

On completion of the lesson, students will understand (1) the terms “Indigenous data sovereignty” and “Indigenous data governance,” the relationship between them, and recognize the implications of the terms for Indigenous and non-Indigenous peoples, communities, nations, and institutions; (2) the different types of mechanisms for enacting IDGov and sovereignty that Indigenous Peoples, other institutions, and individuals use; and (3) the different ways IDSov and governance apply across disciplines and their possible application or implementation.

Lesson Instructions

Interactive In-Class Lecture (approximately 60 minutes)

- 1 Explain why this method is being discussed and how it relates to the overall course.
- 2 Distribute the *CARE Principles for IDGov* handout and slide deck.
- 3 Present the slide deck with the following information and lecture-discussion prompts to prepare students for the in-class discussion/activity and homework assignment:
 - a Define Indigenous data, IDSov, and IDGov
 - b Explain the relationship between
 - i. IDSov and IDGov
 - ii. FAIR and CARE Principles
 - iii. FAIR and CARE Principles with IDSov and IDGov

On completion of the lecture, conduct in-class activity and reflection: 30 minutes

- 1 If the class is small, provide the following case study prompt either on a handout or via a slide to discuss for the full 30 minutes.

IDSov and Governance—Case Study Prompt

You realize your research team will be collecting Indigenous data as part of a larger project. No one else on the team recognizes this, yet. What considerations do you explain to your team that need to be addressed for how the data are collected, stored, used, and who they might need to interact with? At what stage in the project should you begin the conversation of incorporating the FAIR and CARE Principles into the project?
- 2 If the class is large: Split the class into smaller groups and provide the case study prompts either on a handout or via a slide to discuss for approximately 20 minutes. The remaining 10 minutes should be used to bring the entire class together so they can discuss each group’s main points.

On completion of the in-class discussion/activity: Explain homework assignment.

- 1 Display the last slide, “Tips to Supporting IDSov.”
 - a Students must have enough time to write down the tips or a handout must be provided.

- 2 Explain the homework assignment.
 - a Instructions: Using the CARE Principles handout, the lecture, and the readings, write a 2–3 page, single-spaced response to the Homework Assignment Reflection questions (below).

Homework Assignment and Reflection

Overview: This reflection should occur as a homework assignment. The goals are to have students reflect on (1) where they may encounter Indigenous information; (2) the importance of IDGov and governance for Indigenous Peoples and nations; and (3) tools for enacting IDGov within research practices, Indigenous nations' governance, and other institutions policies and practices.

Questions:

- 1 How do IDGov and governance relate to or apply within your discipline(s) or job?
- 2 What are some mechanisms and tools for enacting IDGov and governance that would be useful in your discipline(s) or job?
- 3 What would you like to know more about regarding IDGov and governance?

In class:

In small or large groups, have students compare and discuss what they wrote for each of the three questions. The instructor should tie the lesson together by reiterating the key tips to supporting IDGov.

Online Teaching Modifications

To adapt this lesson for online teaching:

- 1 Post all readings to the learning management system or online document-sharing application with the same instructions.
- 2 Lecture: 2 options
 - a Prepare a pre-recorded lecture for the students from slides chosen from the slide deck or
 - b Post one or both of the following online lectures for students to watch
 - i Jennings, L. "Be FAIR and CARE: The CARE Principles for Indigenous Data Governance." June 17, 2021. <https://www.youtube.com/watch?v=AYaJLcckNCY&t=668s>.
 - ii Carroll, S. R., and J. Anderson. "Operationalizing the CARE Principles for Indigenous Data Governance." OCLC Works in Progress Webinar. August 12, 2020. <https://www.youtube.com/watch?v=NK3mEwVCYh4>.
- 3 In place of class discussions:
 - a Create an online discussion board with prompts for students to answer the above questions.
- 4 Homework assignment remains the same

31 A Black Feminist Life History Method

How to Center Black Women’s Voices

Irma McClaurin and Shan-Estelle Brown

Brief Description of Method

This method aims to center Black women’s voices as a key aspect of applying a Black Feminist lens to qualitative research. It begins with three premises: (1) that Black women are important contributors to social life regardless of their age, socioeconomic status, education, sexual orientation, physical abilities, national origins, geographic location, political perspectives, or religious/spiritual beliefs; (2) that Black women’s lives, more often than not, are impacted by intersecting systems of oppression, requiring the use of an intersectional frame of analysis to interpret data; and (3) as cultural knowledge bearers, “culture keepers,”¹ the epistemology of Black women offers valid insight into how they navigate interlocking racialized and gendered structures of inequality, power, and privilege as individuals and in groups.

References for Further Reading

- Brown, S.-E. 2019. Gender and Conceptualizing Concern for Sickle Cell Disease in Guadeloupe. In *Gender, Health, and Society in Contemporary Latin America and the Caribbean*, edited by S. Lerman Ginzburg and R. A. Shepard, 93–116. Lanham: Lexington Books.
- Davis, D.-A., and C. Craven. 2022. How Does One *Do* Feminist Ethnography? In *Feminist Ethnography: Thinking Through Methodologies, Challenges, and Possibilities*, 2nd ed., edited by D.A. Davis and C. Craven, 91–122. Lanham: Rowman & Littlefield.
- McClaurin, I. 1999. Salvaging Lives in the African Diaspora: Anthropology, Ethnography, and Women’s Narratives. *Souls* 1: 25–39.
- McClaurin, I. 2001. Introduction: Forging a Theory, Politics, Praxis, and Poetics of Black Feminist Anthropology. In *Black Feminist Anthropology: Theory, Politics, Praxis, and Poetics*, edited by I. McClaurin, 1–23. New Brunswick: Rutgers University Press.

Estimated Teacher Prep Time

60 minutes to gather materials and prepare background information.

Estimated Duration of Lesson

The entire lesson can be completed in two 60-minute class periods, with about three hours spent by students outside of class. We recommend that the above readings be assigned to groups of students to read, identify, and share key learnings rather than have each student read everything. Working in groups creates a sense of collaboration and collective learning and sharing, which are principles of Black Feminist thought.

Materials Needed

Here are some websites for providing background and context on Black women’s history—note that the resources presented here overrepresent Black American women’s experiences to compensate for a history of underrepresentation and exclusion from archival sources:

Social Identities and Systems of Oppression, National Museum of African American History and Culture

<https://nmaahc.si.edu/learn/talking-about-race/topics/social-identities-and-systems-oppression>

Black Women and the Struggle for Equality, National Park Service, U.S. Department of the Interior

<https://www.nps.gov/subjects/womenshistory/black-women-and-the-struggle-for-equality.htm>

“Women”—Archives Library Information Center (ALIC), The United States National Archives and Records Administration

<https://www.archives.gov/research/alic/reference/womens-history.html>

Archives on Black Women: A List of Collections, Blackfeminisms.com

<https://blackfeminisms.com/resources/archives/>

“Ten Things about Black Women Suffragists through a Black Feminist Lens,” by Irma McClaurin, September 14, 2020

<https://www.anthropology-news.org/articles/ten-things-about-black-women-suffragists-through-a-black-feminist-lens-2/>

Human Sacrifices, Not Heroes: U.S. Essential Workers and the COVID-19 Pandemic by Shan-Estelle Brown and Zoe Pearson

<https://doi.org/10.21428/1d6be30e.53617da1>

The Weight I Carry as a Black Woman in America Must Be Lifted, But I Can’t Do It Alone | Opinion, by Natalie Diaz, June 4, 2020

<https://www.northjersey.com/story/opinion/2020/06/04/weight-carry-black-woman-america-must-lifted-opinion/3136412001/>

“The Triple Weight of Being Black, American, and a Woman,” by Sara Lomax-Reese, March 22, 2018

<https://why.org/articles/the-triple-weight-of-being-black-american-and-a-woman/>

We have included a writing template with prompts to guide students on preparing a reflective essay. We recommend the template be used first in class for students to jot down ideas and thoughts for writing a two-page reflective narrative on what it means to be a Black woman in America based on their archival research, with options to write their own life history or write about someone they know or have read about.

Student Pre-Class Preparation

Divide students into small groups and assign (or have them select) from the References for Further Reading.

Learning Outcomes

- 1 Obtain an understanding of the life history method and how it has been used to effectively center Black women’s lived experiences.

Lesson Instructions

Step 1: Students read and then meet and discuss the readings in small groups and develop presentations on key learnings for the entire class. (2 hours, outside class)

Step 2: The small groups will present their key learnings from readings to the entire class. (1-class period)

Instructor should be prepared to discuss the following:

The life history method is designed to capture the total frame of an individual's life through the telling of a story that spans the life cycle from childhood to the present. Although each individual life history is unique and not generalizable to the group experiences of Black people, Black women, or women, there are discernable patterns that may allow for comparative analysis and interpretations. In *Women of Belize*, McClaurin employs the Black Feminist Life History method to capture the experiences of three women in Belize—Creole (Black and British mixture), Garifuna (Black and Ameri-Indian), and East Indian. She employs a simple narrative prompt: "Tell me what it means to be a woman in Belize?" What emerged were narratives that covered the arc of the women's lives from childhood to their present circumstances.

An important component of a Black Feminist application of the life history method is to use active listening, suspend judgment, and adopt what anthropologists call an "emic" (insider's) point of view. Researchers should strive to acknowledge that the narrative they hear is valid, even if what is said conflicts with their own values, worldview, and experiences.

Historically, social scientists have too often used a deficit lens when interrogating/listening to and interpreting Black women's lives. As a result, some of the following pitfalls have surfaced:

- Pitfall 1: Emphasizing traumatic events too often.
- Pitfall 2: Reusing (e.g., appropriating) the words/phrases of interviewees without giving credit—just because they said it doesn't mean that you can use the same words in your analysis without providing context.
- Pitfall 3: Assuming life histories are told as a series of linear or chronological events. A related pitfall involves reordering interviewees' narratives to fit a linear or chronological structure created by the researcher.
- Pitfall 4: Believing that only a Black feminist can utilize a Black Feminist method.

A Black Feminist method informs tools the researcher uses to collect data (formal interview, informal "kitchen talk," consensus modeling, free listing). Methods that can capture Black women's experiences include face-to-face interviews, consensus analysis, and culturally informed surveys. Utilizing a Black Feminist approach means avoiding the four pitfalls above. The Pitfall Avoidance Solutions below are designed to guide any researcher:

- Pitfall 1 Avoidance Solution: Ask women about their hopes and aspirations—what brings them joy, even in the midst of trauma.
- Pitfall 2 Avoidance Solution: Provide citations (e.g., #citeblackwomen) and give proper attribution when incorporating local terms and metaphors into your analysis and interpretation. Also, respect privacy. What is told in confidence should not be revealed in writing the ethnography without getting written permission, even if you think the interviewee will never read what you write.
- Pitfall 3 Avoidance Solution: Resist the temptation to restructure how women told their life histories to create a Western-centric linear tale; present events in the order they emerged

since doing so may reveal what the interviewee believes is important. Look for thematic patterns across the narratives of multiple women that may create subheadings—while maintaining the order in which they appear in the narrative.

- Pitfall 4 Avoidance Solution: Stop believing that ONLY Black Feminists can do this work—not true! Adopting an emic (insider’s) perspective is possible if you acknowledge the pitfalls and deploy the pitfall avoidance solutions above.

Above all, respect and value the people who share their knowledge, life histories, and culture with you, and reciprocate. Be aware and acknowledge that women’s experiences may differ enormously from your own; however, resist the tendency to think their experiences are not credible.

Step 3: Students explore archival sources OR bring transcripts of data they collected from earlier completed interviews (e.g., “Tell me about your life as a Black woman in X country?”) to work on for the essay. Exploration could include looking for cultural beliefs and practices, relationships between individuals and/or institutions, and examples of oppression and trauma and resilience and joy. (1 hour, outside class)

Step 4: Students discuss what they have found in the archives OR in their interview transcripts and begin to complete the writing template (provided in Supplementary materials). (1-class period)

Reflection and Class Discussion

Reflection, or a “thinking through” process, is an important component of the Black Feminist method. The following discussion questions should be used along with the template are:

- What learning was meaningful in your research on what it means to be a Black woman?
- Did you notice evidence of systems of oppression or power differentials in the women’s narratives?
- Why is it important to use a Black Feminist method to center Black women’s voices?
- While using the Black Feminist method, did you discover anything that conflicted with your own beliefs, values, and/or worldview?

Introduce the template and have students begin the assignment in class so they can discuss their ideas with you before the class ends.

Online Teaching Modifications

Consider developing a PowerPoint presentation to provide an overview of Black women’s lives; use one of the archive projects as an example. Use synchronous brainstorming sessions or discussion rooms or asynchronous discussion boards for students to share what they have seen in the archives. Review the writing template with students and have students start to complete it. Regroup with students to have them discuss their initial ideas before they start writing on their own.

Note

- 1 “Culture keepers” is a term coined by Dr. Deborah Johnson-Simon, founder of the African Diaspora Museology Institute.”

32 Sister–Girl Talk

A Method for Group Interviewing Black Women

Charlayne F. Mitchell

Brief Description of Method

Sister–girl talk (SGT) is a novel group interviewing method designed to hold space for Black women to engage in a critical care conversation. For Black women, engaging in critical care conversations is to be heard, use counternarratives combating social imaginaries, and apply conversation as a healing balm to soothe wounds from stereotypes and myths of the “angry Black woman” and “strong Black woman” attached to Black women’s self-expression and health (Jones and Gooden-Shorter 2003; Wallace 2015). The SGT method is *space* transitioned into *place* for a group of four to six Black women to recover identity(ies) and self-expression through conversation and meeting one another in support and calling each other “in” versus “out” (Ross 2021) for one and a half to two hours. The SGT method is useful for providing empathic and less extractive research (Roberts 1997; Showunmi 2017; Washington 2006). The SGT method is not a fail-proof system of navigating the complexities of how Black women express experiences of health but offers an ethics of care.

References for Further Reading

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- Jones, C., and K. Gooden-Shorter. 2003. *Shifting: The Double Lives of Black Women in America*. New York: Perennial, An Imprint of HarperCollins Publishers.
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- Perry-Harris, M. V. 2011. *Sister Citizen: Shame, Stereotypes, And Black Women In America*. New Haven: Yale, University Press.

- Roberts, D. E. 1997. *Killing the Black Body: Race, Reproduction, and the Meaning of Liberty*. New York: Pantheon Books. (Reprinted 2017)
- Ross, L. J. 2021. Don't Call People out—Call Them in. TEDMonterey. TED. https://www.ted.com/talks/loretta_j_ross_don_t_call_people_out_call_them_in?utm_source=rn-app-share&utm_medium=social&utm_campaign=tedsread (accessed August 4, 2021).
- Ryan, G. W., and H. R. Bernard. 2003. Techniques to Identify Themes. *Field Methods* 15: 85–109.
- Showunmi, V. 2017. The Role of the Black Girls' Club: Challenging the Status Quo. In *Feminist Pedagogy, Practice, and Activism: Improving Lives for Girls and Women*, edited by A. E. Nickels, J. L. Martin and M. Sharp-Grier, 29–246. New York: Routledge.
- Smitherman, G., and G. Donaldson-Smitherman. 1977. *Talkin and Testifyin: The Language of Black America*. Detroit: Wayne State University Press.
- Wallace, M. 2015. *Black Macho and the Myth of the Superwoman*. New York: Verso. (Original work published 1978).
- Washington, H. A. 2006. *Medical Apartheid: The Dark History of Medical Experimentation on Black Americans from Colonial Times to the Present*. New York: Anchor Books a Division of Random House, Inc.

Estimated Teacher Prep Time

120–180 minutes:

- Review and reflect on Collins's (1986)
- Review Mitchell et al. (2022)
- Develop PowerPoint slides, reflectivity map (example), and heartwork/homework materials for students

Estimated Duration of Lesson

The lesson can be divided into two classes

- 90 minutes for inside/outside class or remote lecture
 - For outside lesson(s), print lecture and activity materials as handouts and make materials available as PDFs for download
- 50 minutes for independent-back-to-group activity
- 40 minutes for end of the class dialogical reflexivity activity

Materials Needed

- Ethics of care—reflect on Black women's health experiences
- PowerPoint slides: Navigating historical and present harms of research involving Black women (i.e., exploitative and medicalization)
- Collins (1986) article
- Paper to draw a self-reflexivity map (e.g., Jacobson and Mustafa 2019) considering positionality, social location, and privileges to share with students
- Paper for students

Student Pre-Class Preparation

- Read Collins (1986) before class
 - Consider how even as a community member, one can still cause harm by doing research

- Write two-three questions on a note card regarding Black women's health issues (personal if comfortable) that they categorize as "vulnerable" and may answer differently in group settings compared to an interview *if they felt supported*. TikTok and Instagram (IG) are great sources for illness narratives and health questions Black women are asking
- Ask students to bring questions to class for an activity

Learning Outcomes

After engaging with this lesson students should be able to:

- Express/Explain some "whys" for adapting traditional qualitative methods as a liberatory praxis
- Propose a plan for how SGT is essential for your research
- Describe the foundational parts of a SGT

Lesson Instructions

- 1 Create background PowerPoint introducing students to the whys for alternative research methods for collecting data with Black women in a group setting. Recognizing the whys for using SGT builds a case for the *need* for an alternative approach when working with groups whose knowledge is dismissed, experiences erased, and are recovering the power of self-love personally and collectively.

The PowerPoint should address the following:

- Historical identities linked to the "Jezebel Stereotype" (<https://www.ferris.edu/HTMLS/news/jimcrow/jezebel/index.htm>) and controlling images of Black women such as the "Strong Black Woman." Denise Francis's TEDx Talk "The Power of the Black Woman's Self Love Journey" (<https://www.youtube.com/watch?v=uh-M0FzgMcw>) provides a great example of the damaging effects of stereotypes.
 - Present-day depictions of Black women.
 - Medical experimentation view Harriet Washington's lecture on YouTube "Feature: Racism & Health In US Medicine, A Conversation with Harriet A. Washington" on Black bodies and present-day medical experiences (<https://www.youtube.com/watch?v=YVPFUIRAGUU>).
 - Belittling of Black women's competence, silencing of their voices, and child-like treatment (i.e., in Jim Crow South, being called girl as a grown woman). Here are two examples "Maxine Vs. Mnuchin Rematch Was Worth The Wait" by MSNBC (<https://www.youtube.com/watch?v=HOamMNViofA>) and PBS NewsHour "WATCH: Sen. Graham's opening statement in Jackson Supreme Court confirmation hearings" (<https://www.youtube.com/watch?v=Obfy5xVprb0>).
 - Black women being agents and not objects of research.
- 2 Following the background information, have a slide asking students: "*How have you been reflexive on how you see yourself and society sees you?*" This is not a question where students have to produce answers. However, invite answers from those who are comfortable responding.
 - Use slide(s) to introduce self-reflexivity activity; transitioning class from lecture style to a dialogical environment. Next, provide paper to students to create a self-reflexivity

map (e.g., Jacobson and Mustafa 2019) illustrating their identity(ies), positionality, and power dynamics. This could be drawn out in the form of a map, Venn diagram, and the like.

- 3 Groups rejoin after 10 minutes, the instructor shows their self-reflexivity map for 10 minutes; allow students who feel comfortable to discuss their self-reflexivity maps.
 - Consider the Collins (1986) article for 10 minutes, explaining the importance of seeing oneself as part of the research methodology, particularly when working with oppressed and suppressed individuals
- 4 Use PowerPoint slides to explain how a successful SGT takes place in health research. A foundational purpose for SGT is holding a natural space for Black women to talk in their language, ways of knowing, and producing conversation analysis in conjunction with sisterhood. Explain to students that SGT is a culturally understood conversation that Black women engage in naturally. Next, describe the process of a collaborative and successful SGT:
 - **Relationship Building:** SGT is a natural conversational praxis occurring between Black women and alters in each community of Black women. Some degree of trust and belonging are foundational. Advice giving and receiving are cornerstones in SGT. Partnering with a community advisor(s) (i.e., respected community member(s) who has deep ties to the research site is essential to establish trust.
 - **Preparing for SGT: consent, initial communication, confidentiality, materials (group questions and tools), and financial compensation:**
 - Consent forms should be detailed, jargon-free, and clearly state the details of the goals and tasks of the project.
 - SGT should be conducted in local Black Languages to facilitate conversations that are intimate, trusting, and open. Communicating before the talk is key. Consider texting (with consent) to check in with participants.
 - Confidentiality is important (Showunmi 2017). Assigning pseudonyms such as “Beautiful” and “Happy” that counter negative stereotypes (hooks 2015; Perry-Harris 2011) that are used to define Black women. SGT is meant to provide a haven; participants may break confidentiality to exchange information to stay in contact. If SGT is facilitated remotely, apply settings to not display names at entry. The researcher should privately message participants, confirm preassigned pseudonyms, and rename.
 - SGT questions are traditionally formed through patterns of concerns or issues the researcher encountered through previous conversations with community members and community advisor(s).
 - Materials include a recording device and notebook for researcher notes. Assure participants if researcher is note-taking nothing malicious is happening, only active listening.
 - Financial compensation (Darity and Mullen 2020) for time spent in research is mandatory for historically exploited communities. An hourly rate slightly higher than the average local wage is recommended.
 - **Participant Selection and Group Formations:** During the recruitment process, the researcher should reflect on participant group formation (i.e., older, or younger). Familiarity can assist in balancing women with different temperaments, perspectives, and

relationships. For researchers without personal knowledge of participants, a screening process might produce ample information to balance SGT groups in terms of temperament and topics.

- **Class Activity** ~15 minutes (have instructional slide): Have students retrieve their two–three “vulnerable” questions
 - 1 Instructor will:
 - a Use knowledge of students’ personalities placing them in groups of three–five
 - b Choose “researchers” for each group. Additional students are “participants”
 - c Ask participants to not expose their questions
 - 2 First 2 minutes, researchers introduce themselves and “break the ice”
 - 3 Researchers will:
 - a Have participants hold notecards behind their backs for collection and shuffling (like playing cards)
 - b Ask questions
 - 4 Researchers take notes revealing patterns, concerns, hopes for the future of health, and other core themes
 - 5 After 15 minutes:
 - a Rejoin as group
 - b Instructor asks researchers and participants to reflect on the discussion. Provide students 5 minutes to write down thoughts and feelings
- **Facilitation and Data Expression:** SGT should create space where Black women’s voices are valued, not heard as unruly. Heated conversations may occur, requiring more fluid facilitation, responsiveness, and permissiveness than conventional group interview facilitation. Expression of strong opinions and feelings, overlapping voices, and interruptions are natural and show valuable data is being produced.
- **Preliminary Analysis:** SGT often yields preliminary inductive analyses during the data collection. Essential mechanisms are testifying (verbal affirmation like “Yes, girl, you know like what she said over there”) and call and response (using direct repetition, and completion of another participant’s words to acknowledge and unify speakers) (Smitherman and Donaldson-Smitherman 1977). Both mechanisms can facilitate preliminary thematic analysis and identify typical exemplars for preliminary inductive analysis (Ryan and Bernard 2003 and Beresford and Bernard in Section 7 of this handbook). Also, refer to Mitchell et al. (2022).
- **Closing a Sister–Girl Talk Circle:** Center Black women’s voices, silences, and experiences rather than the research goals hold space for them to continue conversations that strengthen each other. Demonstrate gratitude to participants for teaching you and make good promises to stay in touch.

Reflection and Class Discussion

End with small groups using transformational, altering/adding, leaving, and keep (T.A.L.K). Discuss method; consider what is valuable/useful, different from other data collection methods, and may not work. Have students revisit notes from the researcher and participant activity:

Transformational: What about SGT moves beyond immediate research interests creating liberatory praxis for both participants and researcher?

Altering/adding: What parts of SGT need altering or adding to?

Leakage: What (re)work can SGT do to continuously disrupt the *gradual leakage of care* that decenters Black women experiences?

Keep: What about the method would you keep without hesitation?

~15 minutes, discuss in larger group what was T.A.L.K.ed about.

Online Teaching Modifications

This lesson is best done synchronously. For teaching online using video conferencing software, use breakout rooms for collaboration, and whiteboard and annotation features are great for the hands-on experience.

33 Community-Engaged Partnership Research

John S. Luque and Dinorah Martinez Tyson

Brief Description of Method

Community-engaged partnership research or community-engaged research (CEnR) are umbrella terms that encompass various methodologies of participatory research approaches that promote the active involvement of the community as a partner throughout the research process. The most commonly recognized framework for this approach in health research is community-based participatory research (CBPR), in which the community is an equal partner. Researchers will discover varying levels of engagement in the research process, from community partners in the conception and design of the research through the data collection and analysis, and concluding with the dissemination of findings, while working with a variety of research designs. The collaborative process is meant to build trust between research partners. A key feature of CEnR is the participation of community members who are affected by the problem under study, with the anticipated result of improved learning outcomes or direct action, involving issue-driven advocacy efforts to effect social change.

References for Further Reading

- Centers for Disease Control and Prevention. 2011. *Principles of Community Engagement*. 2nd ed. Washington: NIH Publication.
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- Ross, L. F., A. Loup, R. M. Botkin, J. R. Botkin, R. Kost, G. R. Smith, and S. Gehlert. 2010. The Challenges of Collaboration for Academic and Community Partners in a Research Partnership: Points to Consider. *Journal of Empirical Research on Human Research Ethics* 5: 19–31.

Estimated Teacher Prep Time

90–120 minutes

- Read Ross et al. (2010)
- Prepare PowerPoint slides (provided) and homework materials for students (provided)
- Explain preparation for class activity

Estimated Duration of Lesson

- 45-minute in-class interactive lecture
- 60-minute in-class small group activity
- 20-minute reflective discussion on activity
- Explanation of homework assignment

Materials Needed

- PowerPoint slides outlining CEnR (see provided slides)
- In-class small group activity handout (see accompanying class activity description)

Student Pre-Class Preparation

Students need to have read the Ross et al. article before class as well as Chapter 2 from the CDC Report. These readings will help them with their homework activity.

Learning Outcomes

On completing this learning module, students will be able to do the following: (1) understand the origins of CEnR and the development of the tenets of CBPR; (2) understand the benefits and challenges of CEnR; and (3) apply the beginning steps needed to establish CEnR partnerships.

Lesson Instructions

There are four parts to the lesson, which include: (1) an in-class lecture; (2) an in-class small group activity; (3) a reflective in-class discussion; and (4) a homework activity. The lesson is appropriate for both advanced undergraduate students and graduate students.

In-Class Lecture (~45 minutes)

Overview: The goal of this lecture is to (1) provide an overview of the origins of CEnR and the development and tenets of CBPR; (2) describe the benefits and challenges of CBPR; and (3) apply the principles and steps needed to establish CEnR partnerships.

- 1 Describe the development of CEnR (slides 2–4).
- 2 Define CBPR (slides 5–10).
- 3 Describe the core concepts of CBPR (slides 11–18).
- 4 Tell students about the principles of CBPR (slides 19–21). Ask for examples of how these principles can be applied.
- 5 Explain the critiques and caveats of CBPR (slides 22–24).
- 6 Describe the benefits of CBPR (slides 25–26).
- 7 Ask students to list the challenges of CBPR (slides 27–30). After the students list the challenges and ask them how some of these challenges can be addressed/avoided/dealt with in a meaningful way.
- 8 Explain how CBPR can be incorporated into their research using the example from a study on HIV in North Carolina. (slides 31–38).
- 9 Conclude the lecture by providing resources and then move into the case study activity (slides 39–43).

In-Class Small Group Activity (~60 minutes)

Overview: The goal of this class activity is to provide students with exemplary examples of projects that successfully incorporated and applied the principles of CBPR to address real-world problems and practical/actionable solutions through the use of case studies.

- Select two case studies from:
Minkler et al. 2008. *Promoting Healthy Public Policy through Community-based Participatory Research: Ten Case Studies*. Oakland, PolicyLink, which can be found at: https://www.policylink.org/sites/default/files/CBPR_PromotingHealthyPublicPolicy_final.pdf
- Have students break out into small groups of three to four students in each group.
- Assign each group one of the selected cases. Ideally, half of the class would have one case study and the other half of the class would have the other. Have each group select a note taker and someone to report the results to the entire class at the end.
- Have students read the selected case study: 15 minutes.
- Have students discuss and answer the questions below: 25 minutes.
 - What methods were used and what role did the community play in study design, data collection, and/or analysis?
 - How are the principles of CBPR applied in the case study?
 - What were some of the challenges encountered and how were they/or how could they be overcome?
- Have each group report back to the class on their answer to the questions above: 20 minutes.
 - Have the class debrief on the discussion and consider: What lessons can we learn from these case studies that apply to our own work?

Reflective In-Class Discussion (~20 minutes)

Overview: The following are the topics for the discussion: (1) each group leader will present the key points regarding how the case study illustrated principles of community engagement; (2) each group leader will also present the strengths and weaknesses of the case study in terms of the approach to CEnR; and (3) other groups will listen to groups presenting and ask questions or provide feedback at the end. The discussion will take place after the students have completed the in-class small group activity. In class, when the homework activity is due, there will be an additional class discussion to reflect on the results of the homework activity as outlined in the assignment.

Questions and explanation of homework activity: 10 minutes (see homework activity directions below)

Homework Activity (~90 minutes for students to complete)

Overview: The homework assignment allows students to speak to a representative of a community-based organization or local agency to identify a structured group in the community that could be a potential partner in research. Students will submit a reflection paper based on their interview with a community partner.

Assignment instructions for students:

- 1 Identify a representative of a community-based organization or local agency in the community of your choice.
- 2 Do some background research on the organization to determine the structure of the organization you have selected.
- 3 Contact the organization to determine if there is someone in the organization you can interview about the structure of the organization and whether they have partnered with universities or other research organizations for the purposes of conducting research.
- 4 Arrange a time to interview the key informant from the organization you have selected to answer a series of questions about (1) the history of the organization; (2) the groups in the community the organization represents or provides services to; (3) perceived challenges and benefits of partnering on research with universities or research organizations; (4) experience working with universities or research organizations; (5) the willingness of members of the organizations to acquire knowledge or skills relating to research that may benefit the group they represent; and (6) recommendations for universities or research organizations who want to engage and work with community organizations like theirs.
- 5 Write-up: In a two-page reflection paper, please summarize the results of the interview with the community partner. What did you learn about the organization and their experience or interest in partnering on research? Do you have recommendations for researchers who want to partner with the organization?
- 6 Turn in: You will submit your reflection paper to the assignment portal in the learning management system. You will discuss and debrief in the next class period with the instructor.

Online Teaching Modifications

This lesson can be adapted for either synchronous or asynchronous online teaching by (1) giving the lecture live in an online videoconference platform or prerecording the lecture; (2) posting the homework instructions in the assignment portal in the LMS and having students submit their assignments online; (3) facilitating the small group activity through breakout rooms in the online videoconference platform; and (4) providing an area for a discussion board on the learning module where students respond to the reflective discussion questions, and the instructor provides summary comments after all students have posted.

34 Theater as Ethnographic Method

Carolina Alonso Bejarano

Brief Description of Method

Performance is a very effective way to process qualitative ethnographic data. This lesson draws on *Teatro Campesino* (Farmworkers' Theater), a theatrical group founded in California in 1965 on the picket lines of Dolores Huerta and Cesar Chavez's United Farmworkers Union, to propose a method for students to learn about the lives of others. In particular, the lesson mobilizes the play *Undocumented/Unafraid*, written in 2015 by the collective *Teatro Sin Papeles*, to explore alternative methods for disseminating ethnographic data on the joys and struggles of living and working in the United States with no legal immigration status.

References for Further Reading

- Alonso Bejarano, C., L. López Juárez, M. A. Mijangos García, and D. M. Goldstein. 2019. *Decolonizing Ethnography: Undocumented Immigrants and New Directions in Social Science*. Durham: Duke University Press.
- Asad, T. 1973. Introduction. In *Anthropology and the Colonial Encounter*, edited by T. Asad, 1–19. Atlantic Highlands: Humanities Press.
- Broyles-González, Y. 1994. *El Teatro Campesino: Theater in the Chicano Movement*. Austin: University of Texas Press.
- Harrison, F. V., ed. 1991a. *Decolonizing Anthropology: Moving Further Toward an Anthropology of Liberation*. Washington: American Anthropological Association.
- Restrepo, E., and A. Escobar. 2005. "Other Anthropologies and Anthropology Otherwise": Steps to a World Anthropologies Framework. *Critique of Anthropology* 25: 99–129.
- TallBear, K. 2014. Standing with and Speaking as Faith: A Feminist–Indigenous Approach to Inquiry. *Journal of Research Practice* 10: 1–7.

Estimated Teacher Prep Time

30 minutes

Estimated Duration of Lesson

60 minutes in class. 60-minute preparation for students.

Materials Needed

12 copies of the script, "Undocumented/Unafraid" (provided).

Student Pre-Class Preparation

Read the Introduction in Alonso Bejarano et al. 2019.

Learning Outcomes

After completing this activity, students will be able to: (1) include theater in their ethnographic toolkit as a way to learn, convey, and disseminate qualitative data; (2) mobilize the power of performance for understanding the life experience of other people; and (3) challenge the distinction between the subject and the object of ethnographic research.

Lesson Instructions

This lesson has four parts: (1) the preparation of the scripts by the teacher; (2) a homework reading for students; (3) the in-class performance of the play; and (4) a reflective discussion. It is appropriate for undergraduate and graduate students.

Preparing the Scripts

The teacher should print 12 copies of *Undocumented/Unafraid*, one for every character in the play and one for the narrator. For each of the first 11, scripts the lines of one of the characters should be highlighted. In the final script, all the narrator lines (in italics in the script) should also be highlighted.

Homework

Students should read the Introduction to *Decolonizing Ethnography* in preparation for the class.

Performance

Class starts with a short introduction describing the activity (1 minute).

This will be followed by a 5-minute presentation, which can go as follows:

From the Introduction of *Decolonizing Ethnography*, you learned that anthropology emerged as a scientific discipline during the colonial era, when Europeans were consolidating their control over the non-Western territories that they had subjugated to their rule. The people of these territories became anthropology's objects of analysis, and anthropology became the discipline in the Western scientific academy dedicated to the study of non-Western peoples. Critical to this project was the ethnographic method, including the techniques of participant-observation through long-term field research. The colonial domination of non-Europeans made the world safe for anthropological fieldwork: As Talal Asad tells us, with the natives violently "pacified" and their territories opened for exploration, anthropologists could readily move into local Indigenous communities and set up shop. The colonial power structure enabled Europeans to safely observe and participate in the lives of non-Europeans, to establish the long-term, intimate relations that became the basis for and the hallmark of ethnographic fieldwork.

In this vein of anthropological research, which Arturo Escobar and Eduardo Restrepo call "dominant anthropology," the objects of research play no role in defining the research questions and experience little to no benefit as a result of it. In the end, the foreign

researcher can build a career from this work and enjoy a comfortable middle-class Western lifestyle, while those who provide the raw materials for research remain in the conditions in which the ethnographer first encountered them.

Within this paradigm, many scholars—uncomfortable with the inequities of colonial anthropology—have developed approaches that challenge the field’s disconnection from the world while maintaining its intellectual insights and critical edge. These approaches appear under different labels, each with its own characteristic adjective. The “action” anthropology of Sol Tax, for example, was an early attempt to challenge the power of the researcher, goals shared and developed by those who do “Participatory Action Research” such as Orlando Fals Borda. Others have similarly developed “collaborative” or “participatory” research methods to involve local people in the work of ethnography and to advance their particular concerns. Similarly, anthropologists interested in what has been termed the “ontological turn” have asked how Indigenous ideas can converse with Western philosophy and have called for an anthropology that works for the, “permanent decolonization of thought.” Each of these anthropologies represents an important challenge to the colonial variety.

In *Decolonizing Ethnography*, the authors engage with these anti-colonial scholars to explore the lives of undocumented workers in a New Jersey town (in the United States), seeking to challenge the distinction between the object and subject of research by including Mirian Mijangos García, and Lucia López Juárez (two undocumented immigrant workers living in New Jersey) as equal collaborators in the process, from research design to implementation to publication. The authors of the book also wrote and performed a play, *Undocumented Unafraid*.

They met for two years and wrote the one act play in nine scenes inspired by the true story of the work accident that Mirian suffered in a horse farm in New Jersey and her legal battle against her employer while being away from her children, who were in Guatemala. Each scene ends with a short caption about workers’ rights in the United States and reminds undocumented people that these rights apply to everyone, regardless of their immigration status. The authors performed the play in Casa Hometown, a community center, in August 2015 in celebration of the closure of their four-year ethnographic study in Hometown, NJ, and included it in Spanish and English in the last chapter of the book.

From the ancient Greeks to Shakespeare to the Theater of the Oppressed, theater has been understood as a means of social transformation and education. In particular, *Teatro Campesino* (Farmworkers’ Theater), a theatrical group founded in California in 1965 on the picket lines of Dolores Huerta and Cesar Chavez’s United Farmworkers Union, was rooted in a radical Latin American theater tradition where all of the original actors of the group were farmworkers and they performed *actos*, or short skits, on flatbed trucks and in union halls enacting events inspired by their lives. The play follows the collective writing method of *Teatro Campesino*, and it is an accessible way to disseminate the findings of the research. Also, as performers play the role of undocumented workers from Latin America, this helps them better understand at an embodied level the struggles of living undocumented, with the constant threat of violence and deportation.

The teacher will then ask for 11 volunteers to read the different parts of the play, which are highlighted in each script. The teacher will read the narrator part and 11 students will read each character’s part (30 minutes).

Reflection and Class Discussion

The teacher will propose the following discussion questions. Depending on the size of your class, this discussion can be among all members of or in small groups who then come back to report back to the class:

- 1 How is participating in this play different from reading an article about work accidents, family separation, or undocumented immigration?
- 2 Did you learn anything new about work accidents and undocumented immigrants in the United States?
- 3 How does the play highlight differences and similarities between undocumented and documented workers?
- 4 How does including theatre as ethnography differ from more traditional types of ethnography? What are its strengths? What may be some challenges? How could you incorporate this type of work into your own research?

Online Teaching Modifications

For online purposes, the activity is the same and should be done synchronously using video conferencing software. The scripts will be highlighted in electronic format and can be sent via email to each volunteer or they can be shared via the chat function of the platform.

Section 6

Visual and Participatory Methods

This handbook section focuses on visual methods, many of which advance participatory research designs. Most of these methods focus on having participants create visual data. These can be photographs, maps, visual stories, art, and 3-D designs. Nearly all of these methods can be used in participatory research that involves participants in research problem development, data collection, and even data analysis. There is also a unique literature on video analysis—on how to create variables in visual data and how to analyze video data using dedicated software.

Participatory research has a long history in the social sciences, beginning with Kurt Lewin's project at MIT in 1946 on what he called "action research"—bringing social science into engineering; with Sol Tax's adaptation of that model in his "action anthropology" project with the Meskwaki of Iowa; to what we call today, across the social sciences, "participatory action research" or simply "participatory research." Visual methods have an equally long and venerable history in the social sciences—for documenting human behavior in the wild; for studying behavior in the lab; and for studying the visual data produced by people everywhere—not just photos and films, but body art, emojis, tricked-out cars, and ads. The widely used method known as photovoice—eliciting narratives in response to images—was developed in the 1990s explicitly "for participatory needs assessment," as the subtitle of the 1997 foundational article by Wang and Burris makes clear.

In many ways, this may be the easiest of the sections to teach. Visual methods are inherently fun. Students and their research participants are usually enthusiastic about learning and doing them. Social science students and students from allied fields (e.g., engineering, health science) are usually excited about the capacity of participatory methods to bring new knowledge into academic research. These students are also inspired by the capacity of participatory methods to advance justice and equity through community-based research. The only difficulty is that many of the visual methods require specialized software. Teaching the software means managing extensive and technical coordination with students during class time. Each lesson provides clear instructions about how to manage this, but teachers will surely encounter logistical difficulties in the execution.

This handbook section contains four approaches to visual and participatory methods. First, there are lessons about photovoice: Harper and Howard's lesson on photovoice as a participatory visual elicitation method, and Kiaka's lesson about ethnographic approaches to photovoice. Second, there are lessons about participatory digital methods: Fiddian-Green and Gubrium's lesson on digital storytelling and Chassin's lesson on interactive 3-D participatory methods. Third, there are chapters on drawing and art-based methods: Brewis and Ruth's lesson on art-based methods to use with young children and Grandpré, Corbett, and Cochrane's lesson on participatory mapping. Last, there is a chapter on video analysis, with Cartwright and Crowder's lesson on the systematic analysis of video data using visual variables.

35 Photovoice and Participatory Visual Elicitation Methods

Krista M. Harper and Brittini D. Howard

Brief Description of Method

Photovoice is a community-based participatory research method that combines visual elicitation, focus group discussions, and interviewing. Photovoice blends social science research and participatory photography to address community problems, strengths, and needs. Wang and Burriss and others developed Photovoice as a feminist methodology that emphasizes collective, collaborative practices aimed at drawing out women’s varied, intersectional experiences of oppression to mobilize for social change (Davis 2003; Wang and Burriss 1997). Photovoice projects are most successful when there is a partner organization or a clear group of participants who share an experience and are willing to engage in a participatory research process (Gubrium and Harper 2016). This lesson covers Photovoice as a methodology and models the method through two class sessions in which students learn by brainstorming photo themes and taking turns leading and participating in a brief Photovoice focus group discussion.

References for Further Reading

Davis, D.-A. 2003. What Did You Do Today?: Notes from a Politically Engaged Anthropologist. *Urban Anthropology and Studies of Cultural Systems and World Economic Development* 30: 147–73.

Gubrium, A., and K. Harper. 2016. *Participatory Visual and Digital Methods*. New York: Routledge.

Wang, C., and M. A. Burriss. 1997. Photovoice: Concept, Methodology, and Use for Participatory Needs Assessment. *Health Education & Behavior* 24: 369–87.

Estimated Teacher Prep Time

90–120 minutes

Before Class 1:

- Review background literature and select a broad, overarching topic for Photovoice inquiry that is appropriate to your class theme and setting (e.g., campus spaces, pandemic challenges, and sustainability). Anticipate ethical challenges that might arise from students sharing photos related to the topic and be prepared to offer guidance. (45 minutes)
- Review and revise lesson templates and handouts. (10–20 minutes)
- Make readings, handouts, and templates available on the class learning management system. (5–10 minutes)
- Assess whether students need access to a smartphone/digital camera or a laptop (one laptop per team of four to six students) and connect them with library or digital media lab resources. (5–10 minutes)

Before Class 2:

- Make sure students have uploaded and appropriately labeled their photos into their team's Google Slides. (15 minutes)

Estimated Duration of Lesson

- 40 minutes of class lecture and discussion (Class 1)
- 20 minutes of team theme generation (Class 1)
- 10–15 minutes of discussion of homework assignment and photo ethics (Class 1)
- 20 minutes of taking photographs and preparing slides (homework)
- 10 minutes of preparation for focus group facilitation (Class 2)
- 30–40 minutes of team Photovoice focus groups (Class 2)
- 10–20 minutes of individual reflection and debrief discussion (Class 2)

Materials Needed

- Google Slides outlining “The Photovoice Research Process” (provided).
- Google Slides template for students’ “Team Photovoice Focus Groups” (provided).
- Handout on Photovoice homework assignment (provided).
- Handout on preparing and facilitating a Photovoice slideshow discussion (provided).
- For Class 1: whiteboard/chalkboard, markers or chalk, sticky notes, pens, and handouts.
- For homework, students will need access to a smartphone, tablet, or digital camera for taking and uploading photos.
- For Class 2: one laptop per team for viewing slideshows together. It is helpful for each team to have a second laptop or tablet for note-taking, but this is optional.

Student Pre-Class Preparation

- Prior to the lesson, the instructor should ensure that all students have access to a device for taking photos and preparing slideshow presentations.
- For Class 1, students should be instructed to read Gubrium and Harper (2013) and Wang (1997). Students should review the lesson handouts in class prior to the homework activity for Class 2.
- For Class 2, students should take photos related to their chosen theme, upload these into their team's slideshow, and read Davis (2003) and the Photovoice focus group facilitation instructions.

Learning Outcomes

Students will be able to: (1) identify the steps of the Photovoice method; (2) employ collaborative research and decision-making strategies in defining themes for Photovoice research; (3) gain skills in preparing and facilitating a Photovoice focus group; and (4) reflect on the goals, ethics, and appropriate use of Photovoice as a research method.

Lesson Instructions

This lesson takes place over two classes, with a homework assignment between the two class sessions.

Class 1: Introducing Photovoice and Small-Group Activity

Step 1: Provide background and context on Photovoice (20 minutes)

- Provide lecture: PowerPoint slides outlining “The Photovoice Research Process”
- Review the history of Photovoice and introduce qualitative and participatory research concepts. Key points to cover include:
 - Development of Photovoice as a participatory action research method.
 - Steps in the Photovoice research process.
 - Ethical dilemmas using Photovoice: collaborative methods; using visual elicitation; and with vulnerable populations.

Step 2: Discuss lecture and assigned readings (15–20 minutes)

Step 3: Interactive team activity: Photo theme brainstorming (20 minutes)

- Instructor previews the team Photovoice focus groups: Teams of four to six students will generate themes to photograph, take photos related to that theme as a homework assignment, and take turns participating in and facilitating a brief Photovoice focus group discussion during the next class session.
- Instructor presents students with an overarching question or topic for their Photovoice demonstration exercise. The topic or question should focus on aspects of the student’s own experience, and it can be related to the course subject matter. It should be phrased in an open-ended way to allow for varied responses. For example:
 - How do students experience campus spaces?
 - COVID-19 pandemic changes and challenges
 - Sustainability: Everyday-life practices and problems

The instructor asks students to generate photo themes related to this topic. The themes are more specific features of the topic and will serve as prompts for taking pictures. Themes are similar to hashtags used to tag photos on social media. For the “campus spaces” theme above, students might suggest concrete themes like “my happy place” or “where I study,” or more abstract themes like “belonging,” “exclusion,” or “accessibility.” Students should keep in mind that they will be asked to take a photo related to the theme. (2 minutes)

- Individual thinking and jotting down ideas for photo themes (1 minute)
- Pairs (or trios) discuss their initial ideas and refine potential themes (3 minutes)
- Quads (or sextets) share and refine potential themes and select one or two favorite themes that they will explore as a team in the Photovoice exercise (6 minutes)
- Large group sharing and discussion of each team’s photo themes (8 minutes)

Step 4: Introduce the homework (10–15 minutes)

- Distribute the handouts: “Homework Assignment: Team Photovoice Focus Groups” and “Preparing and Facilitating a Photovoice Slideshow Discussion” (provided).
- Preview homework assignment and show the team Google slideshow templates so that students can carry out the homework efficiently before the next class. Remind students

that for each theme, they will need to select just one image that is most important to discuss. This ensures that everyone has a chance to discuss their photos in the time available.

- Discuss photography techniques and ethics.
 - Point students to “Photography Tips” in homework assignment (optional).
 - Come to group consensus about inclusions and exclusions regarding whether to photograph people and the process of informed consent. Some instructors may prefer to allow selfies and students from the class but not include images of others.
 - Many Photovoice projects avoid using pictures of faces entirely for ethical reasons. It can be helpful to discuss possible ways to convey ideas about social life through photos of still life, landscapes, and even abstract compositions.

Homework Assignment:

- Students take photos related to their group’s themes, applying the ethical protocols discussed in class.
- Students upload their most important photos (one photo per theme/person) and relevant information into their team’s Google Slides template (sample template provided).
- Students review the handout, “Preparing and facilitating a Photovoice discussion.”

Class 2: Photovoice Demonstration Exercise and Class Debrief Discussion

Step 6: Preparing for Photovoice focus group facilitation (10 minutes).

Briefly review the handout, “Preparing and facilitating a Photovoice discussion” and explain the process for the team Photovoice discussions.

Step 7: Photovoice focus group facilitation (30–40 minutes).

Using Google Slides template for students’ small group Photovoice focus group slideshows and notes:

- Each team of four to six students should gather around a laptop and open their team’s Photovoice slideshow. It is helpful to have a second device for taking notes in the “notes” section of the slides.
- Students will take turns being a participant and a facilitator to build self-confidence in the method and strategies, and to troubleshoot questions they have from both perspectives.
 - In the first round of discussions, Group A students in each team will facilitate with Group B as participants.
 - In the second round of discussions, Group B students in each team will facilitate with Group A as participants.
- When facilitating, facilitator groups should rotate the tasks of leading the discussion and taking notes on the discussion (ideally in the notes section of the Google Slides).
- The instructor should signal when the end of each round is coming to an end so that the two groups get equal time to discuss photos and practice facilitation skills.

Step 8: Individual reflection followed by large group debrief and discussion (10–20 minutes)

- Reflection and debrief discussion using a selection of questions listed in the next section.

Individual Reflection and Class Discussion

Individual reflection and class discussion should take place after students have completed the Photovoice focus group discussions, weaving together ethical and practical considerations of using the Photovoice community-based participatory research method. Sample questions include:

- 1 After experiencing being a participant—taking photographs, creating a slideshow, and being in a Photovoice focus group discussion—what surprised you? What would you want the facilitator to know?
- 2 Did you encounter ethical dilemmas taking photos? What did you do to address them?
- 3 What went well in the sessions you facilitated? What was difficult about facilitating?
- 4 What prompts generated the most/least elaboration, and why do you think that is?
- 5 What would you like to continue to work on going forward, in terms of your Photovoice preparation and facilitation skills?
- 6 Now that you have successfully carried out a Photovoice focus group, how (if at all) could you see yourself using these techniques in future research projects or careers?

Online Teaching Modifications

This lesson can be taught in a synchronous online course. Video conferencing is needed to teach how to take photos, how to facilitate a focus group, and data analysis techniques. An online whiteboard can be used for generating topics, ideas, and themes virtually. Class 2 team Photovoice discussions can be held in breakout rooms for each team, using “Share Screen” for the slideshow. Materials for an online format include presentation software, phones/tablets, and handouts (provided). Asynchronous instruction is not recommended.

36 Teaching Ethnographic Photovoice as a Method for Studying Marginalized Groups

Richard Dimba Kiaka

Brief Description of Method

Photovoice is a visual participatory action research methodology that puts cameras into the hands of research subjects to help them document, reflect on, and communicate issues of concern to their lives, while stimulating social change. Photovoice was developed by Caroline Wang and Marry Ann Burris in the 1990s as a heuristic tool that can enhance community engagement, increase awareness of community resources, and foster self-efficacy of the research partners (Wang 1999; Wang and Burris 1997).

References for Further Reading

- Castleden, H., and T. Garvin. 2008. Modifying Photovoice for Community-Based Participatory Indigenous Research. *Social Science & Medicine* 66: 1393–405.
- Milne, E. J., and R. Muir. 2020. Photovoice: A Critical Introduction. In *The Sage Handbook of Visual Research Methods*, edited by L. Pauwels and D. Mannay, 282–96. London: Sage.
- Molloy, J. K. 2007. Photovoice as a Tool for Social Justice Workers. *Journal of Progressive Human Services* 18: 39–55.
- Sutton-Brown, C. A. 2014. Photovoice: A Methodological Guide. *Photography and Culture* 7: 169–85.
- Wang, C. C. 1999. Photovoice: A Participatory Action Research Strategy Applied to Women's Health. *Journal of Women's Health* 8: 185–92.
- Wang, C. C., and M. A. Burris. 1997. Photovoice: Concept, Methodology, and Use for Participatory Needs Assessment. *Health Education & Behavior* 24: 369–87.

Estimated Teacher Prep Time

90–120 minutes

Estimated Duration of Lesson

- 60-minute classroom lecture (Class 1)
- 120-minute classroom lecture (Class 2)
- 9-hour field exercise (spread over four weeks)
- 50-minute class discussion (Class 3)
- 60-minute reflection report

Materials Needed

Lecture slides or lecture notes for Classes 1 and 2.

Digital cameras, journal books, and pens/pencils for field exercise.

A digital voice recorder for field exercise.

Captioned high-resolution digital photos for Class 3.

Students work in groups of 10 individuals for field exercise. Instructor to modify.

Student Pre-Class Preparation

Attend Classes 1 and 2.

Read assigned literature prior to completing the field exercise.

Learning Outcomes

Students will:

Learn the practical opportunities and challenges of using Photovoice in studying marginalized groups.

Gain practical skills of planning and conducting Photovoice research project.

Lesson Instructions

Classes 1 and 2 prepare students for a field exercise by introducing Photovoice. Photovoice process is explained (i.e., planning, data collection, data analysis, and exhibition).

Preparing Students for Field Exercise

Class 1 (60 minutes): Background and Context

Explain:

The history of Photovoice as a suitable research method for marginalized groups.

A working definition of Photovoice.

Photovoice methodological and ethical challenges.

Key background points to cover include:

Practical point: Qualitative researchers often take photos of what they think the everyday reality of marginalized communities is. The researcher creates meanings for the reality represented by the photo and associated solutions. This reproduces inequalities in research.

Theoretical point: Through Photovoice, marginalized groups can deploy their agential capacity to elicit and educate about realities and meanings that they make of their own lives and situations and ignite suitable social change.

Ethical point: Photovoice ensures that the knowledge to be created and its use is decided by the research subjects (participants). Participants are, therefore, co-researchers and active agents who create their course of social change.

Historical background: Photovoice was developed as a participatory action research method in the 1990s by Caroline Wang and colleagues at the University of Michigan, School of Public Health.

Definition to consider: Photovoice is a participatory action research method that employs photography and group dialog as a means for marginalized people to deepen their

understanding of a community issue or concern with the aim of improving those conditions by making changes at the community level (Wang and Burris 1997). Through Photovoice, marginalized and under-represented groups voice their own lived experiences rather than having their stories interpreted and told by others (Wang 1999).

Identify the advantages of using Photovoice to study marginalized communities:

Marginalized communities can offer insight and teach others about their experiences and things that matter to them.

Photographs have the power to enhance the understanding of decision-makers on issues affecting marginalized people and ignite their desire for social change.

Photovoice emancipates marginalized people to not only generate data but also create an opportunity for themselves to get involved and do what they can to influence the decisions that affect their lives.

Because decision-makers are part of the audience, they can get more insights about policy changes needed and influence social action and social change.

Definition and concepts: Read Wang (1999) and Wang and Burris (1997) and Supplement 1 (Glossary of terms) to define key terminologies such as:

Photovoice participants

Experiential participants

Photovoice facilitator

Target audience

Class 2 (120 minutes): Steps in Photovoice Project

Read the literature provided and develop your lecture slides to explain the steps involved in conducting a Photovoice project.

Step 1: Connecting and consulting with the marginalized community/group to establish rapport, identify a specific issue of concern, and create a link with the group.

Step 2: Planning a Photovoice project, including: developing clear research objectives and questions; setting a project timeline; organizing equipment; planning group meetings; and planning Photovoice events. Emphasize that while the facilitator takes the lead in the planning, the whole process needs to involve the participants.

Step 3: Recruiting Photovoice participants and target audience members. Photovoice participants create the photographs, their meanings, and their understanding of the chosen social issue. The target audience advises the participants on the political and social climate, as the project advances from research to policy. Explain the minimum requirements of a participant and target audience.

Step 4: Establishing the Photovoice group and ground rules. A typical group size ranges from 7 to 10 individuals (Wang 1999). Emphasize that it is important to: explain roles of participants, agree on the timeline of activities, sign participant consents (instructor to customize), train participants in photography, and explain ethical issues for human subjects.

Step 5: Data collection. Explain the following four important data collection activities necessary in Photovoice: (1) taking photographs; (2) recording discussions of group meetings and guided dialog; (3) keeping journals by both participants and facilitators; and (4) giving the Photovoice exhibit feedback and debriefing. Assert that Photovoice generates a large amount of data that requires a high level of organization through the use of folders and sub-folders in a computer.

Step 6: Data analysis. Explain that three stages are involved. These are:

- 1 Selecting photographs, where each of the photographers is asked to select five to seven favorite photographs that are then discussed using SHOWeD technique (Supplement 2). The conversations around the photographs yield critical analyses of the photographs to generate themes, issues, and theories. Discuss the limitation of this technique (Milne and Muir 2020).
- 2 Contextualizing, where participants tell stories about the photos selected and explain what they mean to them. Through a dialog with the group and journaling, participants voice their individual and collective experiences about what the photographs embody. The technique VOICE, standing for Voicing Our Individual and Collective Experience is employed. With the permission of the group, discussions and dialogs are voice-recorded and transcribed.
- 3 Codifying data, where participants identify issues; categories, themes, and theories are identified. To do this, the group chooses two to four photographs and organizes them into topic groups, considering similarities. Emphasize that when codifying an issue of concern, it is important that realistic desires and outcomes are outlined (Wang and Buris 1997).

At the end of the analysis, participants will prepare written statements that accompany the photographs they have selected for the exhibition (Example 1).

Ask students to undertake assignment 4.

Step 7: Preparing and sharing the Photovoice exhibit. This can be either private or public or both, and therefore consent from group members must be granted. Participants need to finalize the captions that go along with each photo. Photos can be printed or digitally displayed.

Step 8: Social action and policy change, where key policy changes are identified and necessary follow-up is undertaken.

Field Exercise (9 Hours Spread over Four Weeks)

Divide students into groups of four or five, depending on the size of the class. The instructor can modify this to suit the situation.

The assignment: By following the steps discussed in Class 2 and working in their groups, ask students to:

- 1 Identify and select a marginalized group from the university community that they have access to and can study. These can be casual laborers on the campus, students who are slow learners, students from marginalized communities, students with fee payment issues, students with social life problems, people living with disabilities, LGBTQ persons, and so on.
- 2 Investigate:
Ways in which members of the group selected experience marginalization and inequality on the campus.
How the resultant marginalization affects their quality of life on the campus and beyond?
What practical and policy changes should be made to better their situation?

3 Adhere to the following time plan

Step 1: 30 minutes

Step 2: 60 minutes

Steps 3 and 4: 60 minutes

Step 5: 120 minutes

Step 6: 180 minutes

Steps 7 and 8: 120 minutes

Class 3: Interactive Class Discussion (after the Completion of the Field Exercise) – 30 minutes

Discuss the challenges students faced throughout the Photovoice project.

Challenges at the planning stage: What proved difficult and what proved easy?

Challenges with recruiting participants and audience: How were these challenges solved?

Were existing networks helpful in creating rapport?

Challenges with data collection and analysis: taking photographs and conversations

Challenges with exhibitions, and so on.

Reflection and Class Discussion

Ask students to write a one-page reflection report about the exercise. In the report, students should reflect about: (1) how well they think the collected data meaningfully reflect the real world of the group they selected; (2) whether the process was emancipatory to the group in ways that other traditional techniques were not; and (3) what improvement could they suggest for the exercise or method.

Online Teaching Modifications

The exercise can be delivered in much the same way over synchronous video conference software as in a classroom. Digital learning materials can also be shared through emails, posted to the LMS, or posted in a document-sharing application. For asynchronous teaching, pre-recorded online lectures can be organized for Classes 1 and 2. Discussion boards and reflection statements can be used for Class 3.

37 Digital Storytelling as a Tool for Critical Narrative Research

Alice Fiddian-Green and Aline Gubrium

Brief Description of Method

Digital storytelling (DST) is a digital and visual participatory method used in community-engaged research (Dunford and Jenkins 2017; Gubrium et al. 2016; Lambert and Hessler 2020). Here, we describe the DST approach created by StoryCenter in 1994, which has since been applied globally in a range of settings and contexts. DST is best used with groups of 6–10 participants who share a specific identity or experience (Gubrium 2009). DST is particularly valuable when working with historically disenfranchised populations to create counter-narratives that challenge stigmatizing social discourses (Fiddian-Green et al. 2017; Krause and Gubrium 2019).

References for Further Reading

- Dunford, M. and T. Jenkins, T. eds. 2017. *Digital Storytelling: Form and Content*. London: Palgrave Macmillan.
- Fiddian-Green, A., S. Kim, A. C. Gubrium, L. K. Larkey, and J. C. Peterson. 2019. Restor(y)ing Health: A Conceptual Model of the Effects of Digital Storytelling. *Health Promotion Practice* 20: 502–12.
- Gubrium, A. 2009. Digital Storytelling: An Emergent Method for Health Promotion Research and Practice. *Health Promotion Practice* 10: 186–91.
- Gubrium, A., A. Fiddian-Green, and A. Hill. 2016. Conflicting Aims and Minimizing Harm: Uncovering Experiences of Trauma in Digital Storytelling with Young Women. In *Ethics and Visual Research Methods: Theory, Methodology, and Practice*, edited by D. Warr, M. Guillemin, S. Cox, and J. Waycott, 157–70. New York: Palgrave Macmillan.
- Gubrium, A., A. Hill, and S. Flicker. 2014. A Situated Practice of Ethics for Participatory Visual and Digital Methods in Public Health Research and Practice: A Focus on Digital Storytelling. *American Journal of Public Health* 104: 1606–14.
- Jernigan, K., and B. Roach. 2021. Indigenous Virginia Digital Storytelling Project: A Creation Story. *Genealogy* 5: 88.
- Krause, E.L., and A.C. Gubrium. 2019. “Scribble Scramble”: Migration, Young Parenting Latinas, and Digital Storytelling as Narrative Shock. *Medical Anthropology Quarterly* 33(3): 420–38.
- Lambert, J. 2013. *Digital Storytelling: Capturing Lives, Creating Community*. New York: Routledge.
- Lambert, J. and B. Hessler. 2020. *Digital Storytelling: Story Work for Urgent Times*. 6th ed. Berkeley: StoryCenter.
- Núñez-Janes, M., A. Thornburg, and A. Booker. 2017. *Deep Stories*. Warsaw: De Gruyter Open Poland.

Estimated Teacher Prep Time

120–150 minutes

- Read references listed above
- Review and tailor PowerPoint slides and assignment materials (provided)
- Review all supplementary material and resources
- Create your own 1- to 3-minute digital story using WeVideo

Estimated Duration of Lesson

In-Class Instruction and Activities:

- Lecture, writing activities, video editing tutorial, reflection, and discussion
 - 375 minutes total
 - five 75-minute classes

Out-of-class time:

- Homework and skills-based practice using video editing software
 - 10–15 hours total
 - 2–3 hours per class

Materials Needed

- 1 Laptop or desktop computer with reliable Internet access
- 2 WeVideo video editing software with an educational or institutional subscription
 - WeVideo works best with a web browser running Google Chrome
 - The app version for smart devices has limited functionality
 - If Internet access is a barrier, select a familiar computer program or phone/tablet app that can be used offline
- 3 Google Drive (or similar) for writing and storage
- 4 Cell phone or digital camera for taking photos and video
- 5 Paper/pens/pencils for free writing (optional)

Student Pre-Class Preparation

Before Class 1:

- 1 Review Digital Storytelling-Assignment Description document (provided)
- 2 Read the suggested references listed above
- 3 Watch two to three sample digital stories (see supplementary resources)

Before Class 2:

- 1 Complete Homework 1: Finding Your Story (provided)
- 2 Review Storyteller Bill of Rights (provided)

Before Class 3:

- 1 Submit the final story script to the instructor for review
 - Students need ample time between receiving feedback on the story script and completing Homework 2 for Class 3
- 2 Complete Homework 2: Recording Your Story and Finding Images (provided)

Before Class 4:

- 1 Complete and publish the final digital story
 - See *How to Use WeVideo* (provided)

Before Class 5:

- 1 Create an assignment for students to reflect on the DST method and/or process

Optional Assignment Following Class 5:

- 1 Consider creating an overarching assignment of which creating a digital story is part

Learning Outcomes

After completing the entire lesson (five classes), students will be able to:

- 1 Describe the digital storytelling method: history, theoretical framework, process, and data collection and analysis
- 2 Create and *share a digital story
- 3 Identify potential ethical and technical challenges that may arise when using digital storytelling

*Sharing should not be required in a research or classroom setting. However, for the purpose of applied learning, this should be encouraged. Remind students of your role as a mandated reporter, and create parameters for what stories are appropriate to share in the classroom. Proactively address arising ethical issues and encourage students to contact you with questions or concerns.

Lesson Instructions

Overview:

This lesson is structured for a semester where courses are scheduled at least once per week for 75 minutes. We recommend having one week between each class to allow ample time

for: (1) the instructor to review/grade assignments; and (2) students to engage with content and assignments.

Class 1: Introduction to DST

Use the PowerPoint slides for Class 1.

1 *Introduction* (5 minutes)

Review slides 2–6 to give students an overview of what will be covered for each of the five classes that comprise this lesson.

2 *Introduction to digital storytelling (DST)* (30 minutes)

Begin with slides 7–12, which provide students with an overview of the history and application of DST. Next, view and discuss two to three exemplar digital stories. Use the links provided on slide 13 to select relevant exemplars. Guide discussion (slide 14) using *7 Elements of Storytelling* (provided). Conclude this portion of the lecture by describing the typical DST workshop format (slide 15) and giving students a step-by-step overview of how they will create their own digital story (slide 16).

3 *Free writing exercise* (20–30 minutes)

This activity helps students generate ideas for their digital story script. The script will be shared in small groups during the *story circle* activity (Class 2). Follow the activity instructions detailed in the *DST Story Generation Activity* (provided).

4 *Conclude* (5 minutes)

Review *Homework 1: Finding Your Story* (provided)

The story circle activity in Class 2 will be most successful if students have a written draft to read in their small groups. We suggest having students submit a story draft of 500 words maximum, either to the course learning management system, by email to the instructor, or in person in class.

Class 2: Adapted “Story Circle” Activity and WeVideo Sign-Up

There are no PowerPoint slides for Class 2.

The story circle is central to the DST method. In a research setting, this activity is recorded and transcribed (assuming permission) and conducted with the entire group of 8–10 participants, who sit together in a circle. Each person gets 8–10 minutes to share their story draft and receive feedback from the group. In the classroom, we have found that students feel more comfortable sharing in small groups of peers (i.e., three to four participants) versus the entire class. Create small groups prior to class to optimize time and student engagement.

1 *Story Circle Activity* (45–50 minutes)

First, collectively and collaboratively develop group guidelines (i.e., ground rules) for the story circle. Some examples include: active listening, confidentiality, and respect. Encourage students to think about what guidelines may be important in a research setting. The finalized guidelines should be visible to the entire class.

Next, begin the story circle activity. In small groups (three to four) and sitting in a circle, students take turns reading their story drafts and giving and receiving feedback. If space allows, allow for some privacy between groups. Each student should receive equal time to share. Determine the amount of time based on the number of students in each group and allotted class time and assign a timekeeper for each group.

We suggest setting the timer to finish two minutes before each student's time has been completed, to allow time for feedback. Remind students to give specific and supportive feedback. For example:

- I liked when you described...
- Can you give more detail about...?
- I'd like to know more about...
- The story made me see/think about these images...

2 *WeVideo Sign-up* (10 minutes)

Set up a WeVideo classroom group prior to class. The classroom group allows the instructor to access students' digital stories and support them remotely in the editing process. In class, share the WeVideo sign-up link with students and add them to the classroom group.

See *Supplementary Resources* (provided) for guidance. Anticipate challenges and practice this before class.

3 *Conclude* (10 minutes)

Review *Homework 2: Recording your story and finding images* (provided).

Class 3: WeVideo Tutorial

There are no PowerPoint slides for Class 3.

1 *WeVideo Tutorial* (60–70 minutes)

Follow the instructions on the *How to Use WeVideo* document (provided). Students need access to computers for this activity.

2 *Conclude* (5 minutes)

Class 4: Story Screening Activity and Discussion

There are no PowerPoint slides for Class 4.

Students must complete their digital stories for this activity (see *How to Use WeVideo*). Create a due date for students to submit their final digital story draft with enough time for your review before they finalize and publish.

1 *Story screening* (Time dependent on class size)

The story screening and group discussion is a critical component of the DST method. In this activity, students share their final digital stories with the entire class and engage in a discussion about the DST method. In a research setting, this activity is recorded and transcribed (assuming permission). We suggest creating a celebratory environment for this culminating DST activity (e.g., model a small film festival, provide snacks, and/or create movie theater seating in the classroom).

- Determine the order of stories prior to Class 4
- Review class-generated guidelines developed for the *story circle* activity (Class 2) prior to beginning the *story screening*
- Give students the option to briefly introduce their stories

Anticipate technical issues:

- Test ALL classroom technology prior to story screening (sound, projector, Wi-Fi)

- Set a due date that allows you to download the final published stories onto a hard drive as a backup if the Internet is unstable
- 2 *Group discussion* (time depends on the length of story screening)
Conduct this activity after all stories have been screened. The discussion can focus on the DST process, thematic connections, and student questions.
 - 3 *Conclude* (5 minutes)
Consider adding a discussion board or similar assignment to promote individual and group reflection.

Class 5: Data Collection and Analysis in DST

Use the PowerPoint slides for Class 5 (slides 22–30).

- 1 *Class overview and introduction to Critical Narrative Intervention (CNI)* (10 minutes)
Begin with an overview (slide 22) and introduce students to the concept of the DST method as CNI. Review key references and the three core functions of CNI projects (slide 23).
- 2 *Key theoretical frameworks for the DST method* (15 minutes)
Review authors and core theoretical constructs to inform class discussion (slide 24). Begin by explaining to students that DST is directly informed by Paulo Freire's critical pedagogy and participatory action research (Freire 1970), in particular, the use of visual cues to promote dialogue that inspires critical thought and emancipatory social change. Expand by reviewing additional theoretical constructs relevant to DST (cited in slide 24) including: culture-centered approach to health communication, critical race theory, narrative theory, and multimodality.
- 3 *Data collection and analysis* (20 minutes)
Describe the range of mixed-methods data that can be gathered when using the DST method (slide 25). References provided throughout the lesson can be used to provide specific examples or case studies for class discussion. Slide 26 lists DST-specific analytic frameworks. Instructors should review and tailor to curricula and field of study.
- 4 *Ethical considerations* (15 minutes)
Introduce the concept of "ethics as a situated practice" (Gubrium et al. 2014) and the importance of storyteller well-being (slide 27). Review and discuss the Digital Storyteller's Bill of Rights (provided). Finish this section by identifying and discussing potential ethical challenges when using DST (slides 28–31).
- 5 *Conclude* (10 minutes)
Conclude the DST lesson. Consider designing a larger assignment (group or individual) that incorporates digital stories.

Reflection and Class Discussion

- 1 What was it like to participate in the DST process and create your own digital story?
- 2 What was it like to hear your group members' digital story ideas in the story circle and then see their final digital story during the story screening?
- 3 How could the DST approach be used in your own research endeavors?
- 4 How are digital stories different than other data?
- 5 What materials could be produced around a group of digital stories?

Online Teaching Modifications

We have successfully adapted the in-person DST workshop to be hybrid or entirely online (synchronously) using video conferencing software. All the components detailed above can be conducted online, using breakout rooms for the story circle (if done with smaller groups within a larger class) and a virtual whiteboard to list ground rules. Individual meetings can be scheduled between the instructor/facilitator and students to check in about story ideas and scripts, and to provide one-on-one support during the digital editing process. The final story screening should be done with the entire group.

38 Introduction to Interactive 3D e-Participatory Methods through the Lens of Urban Planning Projects

Thibaud Chassin

Brief Description of Method

The drastic technical advancement starting at the beginning of the 2000s encourages the use of technologies (e.g., digital 3D) in several domains, including participatory sciences. Interactive digital 3D is a powerful tool for (e-)collaboration supporting the portrayals of volumes or the creation of a common image shared by all participants. However, despite the numerous benefits of these tools, the adoption of digital 3D in a participatory approach is complex to implement, which leads to rare applications. This chapter aims to demystify the complexity of interactive 3D e-participatory methods through examples and hands-on activities.

References for Further Reading

- Al-Kodmany, K. 2001. Visualization Tools and Methods for Participatory Planning and Design. *Journal of Urban Technology* 8: 1–37.
- Jacquino, F., and J. Bonaccorsi. 2019. Studying Social Uses of 3D Geovisualizations: Lessons Learned from Action–Research Projects in the Field of Flood Mitigation Planning. *ISPRS International Journal of Geo-Information* 8: 84.

Estimated Teacher Prep Time

90–150 minutes

- Open the PowerPoint slides (provided).
- Browse (feel free to comment on the existing slides, this process will help improve this lecture regularly), and download the slides (*File→Download→Microsoft PowerPoint*); or use the slides attached to this book.
- Prepare and modify the slides according to your needs, and make yourself comfortable with your teaching style.
- Get familiar with the literature mentioned here.
- Answer the questions raised on the slides to ensure that you will be able to help the students during the lecture and activities.
- Select the examples you want to share with the audience (a minimum of two examples for each hands-on activity are necessary), and make sure that they are still available and running. If it is not the case, browse the web to find a minimum of two examples.
- Before starting the lecture, share a PDF file containing the slides with the students.

Estimated Duration of Lesson

- Two 60-minute split class periods (or 120 minutes in class)
- For the students: 120-minute home activity on one of the case studies (preferably) in groups
- In a follow-up 45-minute class session: presentation of the case studies (preferably done by students) and discussions

Materials Needed

- PowerPoint slides (provided),
- Whiteboard (analog or digital)
- (Optional) post-its (i.e., sticky notes)

Student Pre-Class Preparation

None. The student could read beforehand the articles in the Further Reading section (not required).

Learning Outcomes

This introduction to interactive 3D e-participatory methods aims to illustrate the use of these approaches through their application in real-case scenarios. Following the class, the students should be able to: (1) identify the crucial components in the use of 3D representation in a participatory context; (2) be familiar with a few techniques used in real-case scenarios; (3) have a good understanding of their benefits/drawbacks; and (4) envision their adoption as a participatory approach when the use context is suitable. Additionally, this lecture aspires to develop several soft skills such as working in groups, reading and understanding advanced scientific writing, critical thinking, and speaking in public.

Lesson Instructions

This lesson for advanced undergraduate and graduate students has three parts:

Interactive Lecture:

Notes for the instructor: The title on each slide aims to guide you during the storytelling of the lecture. Then, use the illustration to follow the explanation (always on the left). Try to reflect on your personal knowledge and experience on each slide.

1 Presentation of the theme of this lecture and its outline—15 minutes (slides 1–3)

Notes for the Instructor:

- Ask the students what they understand of the four concepts depicted on slide 2 before showing the answer
- Ask the students if they know any examples of 3D e-participatory methods

2 Present the participatory aspects section—15 minutes (slides 4–8)

- *Slide 5:* Explain that there is currently recognition of the citizens' knowledge by the governments and institutions. Stress the fact that considering the citizens' knowledge is not equivalent to informing them.

- *Slide 7:* Explain the three parts of the definition: (1) initiated by the government; (2) the decision should reflect the public contribution; (3) not every aspect of a project is under negotiation, and the government selects the purpose of the participation.
- *Slide 8:* Present the IAP2's spectrum, you can use the graphic symbol to illustrate your explanation. Interact with the audience to collect examples.

Notes for the instructor: Write down the answers given by the audience to the provided question to engage them

3 Present the technical aspects section—10 minutes (slides 9–13)

- *Slide 11:* VGE is defined in the geographical space (real or artificial), which is crucial for the development of 3D virtual environments related to physical environments.

Notes for the instructor: Ask the audience if they know what is a digital twin, and describe the concept

4 First hands-on exercise—40 minutes (slides 14–20)

- *Slides 15–18:* Show a minimum of two examples (videos or apps) to the audience
- *Slide 19:* Let the students reflect on the questions for 10 minutes. Collect the contributions of the audience on a whiteboard, or flip chart.

Notes for the instructor:

- If the number of students allows it, create groups of two to four individuals, to brainstorm on the questions
- You may distribute a few post-its to the groups, and ask each group to fill the whiteboard themselves (they also could explain what they have written on the post-it)
- Making a break at this point should be considered. If the lecture has to be split, you may consider reshooting the example at the beginning of the next class.
- *Slide 20:* Explain that 3D representations can be evaluated through particular dimensions. Ask the student if they can add these dimensions to their previous review.

5 Explanation of theoretical background and important concepts—30 minutes (slides 21–26)

- *Slide 24:* Present the three factors of complexity. Illustrate your comments with examples that show how different sub-factors can affect the experience of 3D representations, such as the gap between digital early adopter and later adopters and their exposure to technology, the impact of animation portraying a simulation (compared to static representations), and the like.
- *Slide 25:* Present the three questions introduced by Lovett. Have the audience reflect on the examples that have been shared at the beginning of the class. Continue to fill the whiteboard with the answers of the audience.
- *Slide 26:* Present the main dimensions and sub-dimensions. Engage the audience with the last question. One answer could be that the sub-dimensions appear to be similar to the ones described in the previous slide—i.e., [outcome, purpose, audience]

→ when?; [mechanics, aesthetics, scale] → what?; and [co-creation, technology, and tools, scope] → how?

6 Questions and explanation of homework activity—10 minutes

Homework Activity (~120 minutes):

- 1 Introduce briefly the following example section and announce the instructions for the homework—5 minutes (slides 27–33)

Notes for the Instructor:

- You don't have to use all the examples, select a number to present according to the size of the audience
 - Consider making groups for the activity; it is always beneficial for the students and the quality of assignment outcomes
 - *Slide 32:* Distribute the case studies through the audience (or groups). Ask them to prepare for the next time a 6-minute oral presentation (and three slides) that explains briefly the case study to an outsider and illustrates the key elements of the lecture through this case.
- 2 During the next session, pick random students (or groups) to present their case study. Each presentation should be followed by a brief Q&A and discussion about the case study. Make sure that all the homework questions are addressed by the discussion or the presentation.

Notes for the instructor: Ask the audience to engage in the discussion with the presenters

- 3 After all the presentations, reflect with the students on the examples that have been presented. What are the aspects that could work in another project? What is the use context? Are there some similarities? Or differences? Were all the concepts mentioned during the class sufficient to describe the use cases?

From the previous discussion, identify if any topic should be addressed or discussed further.

Reflection and Class Discussion

Start this class discussion by saying that interactive 3D e-methods are only one specific tool of the several techniques that exist in participatory sciences (slide 34). Each selected technique ultimately excludes some part of the population. There is no fit-all-situation tool; to improve participatory approaches, the only possible solution is to identify the target public that you aim to reach and to use various techniques in order to broaden the inclusivity of the overall approach.

Proposition of Discussion Questions

- 1 Did you encounter any situation that could have been improved by the use of interactive 3D e-participatory methods in your neighborhood? City?
- 2 Show slide 35 to the audience. Ask the students to choose a card that represents an interactive 3D e-participatory method according to them (2 minutes). When ready, ask the student which card they selected and why?

Online Teaching Modifications

This lesson can be adapted to an online format without any modification by using videoconferencing software (use the one adopted by your institution) and a digital whiteboard. For group work, you can use virtual breakout rooms. However, teaching online is not the same as teaching in person; the audience is less engaged, therefore, it is essential to interact even more with the student (e.g., ask a random person to give a comment). Also, consider inverting the lecture—i.e., making the students study the concepts at home (through the scientific papers) and conducting the exercise activities during the interactive class.

Notes for the instructor: Use a virtual space to gather online, where the students can virtually join a session with an avatar that can move around virtual spaces (such as a classroom, exercise room).

39 Art-Based Methods for Qualitative Research with Younger Children

Alexandra Brewis and Alissa Ruth

Brief Description of Method

Younger children engage in physical and social worlds differently from adults, and they can have distinct social lives and cultural knowledge. Many qualitative methods are unsuited to extracting data from younger children because they require specific social, cognitive, or language capacities. The use of visual-image-based materials, such as drawings, is a solution, beginning at age four or so. Children's drawings can then be treated as valuable cultural productions and analyzed as texts, such as subsequently coded for theme identification. This lesson covers recruitment and data collection, with reference to a possible analysis activity—providing an exercise particularly suited to early, beginner forays into methods.

References for Further Reading

- Foster, M., and L. Whitehead. 2019. Using Drawings to Understand the Child's Experience of Child-centred Care on Admission to a Paediatric High Dependency Unit. *Journal of Child Health Care* 23: 102–17.
- Gonzalez, P., R. Zarger, C. A. Vitous, and C. Prouty. 2019. Understanding Children's Perspectives on Water Resources in Interdisciplinary Research. *Practicing Anthropology* 41: 32–37.
- Kirk, S. 2007. Methodological and Ethical Issues in Conducting Qualitative Research with Children and Young People: A Literature Review. *International Journal of Nursing Studies* 44: 1250–60.
- Merriman, B., and S. Guerin. 2006. Using Children's Drawings as Data in Child-centred Research. *The Irish Journal of Psychology* 27: 48–57.
- Mitchell, L. M. 2006. Child-Centered? Thinking Critically about Children's Drawings as a Visual Research Method. *Visual Anthropology Review* 22: 60–73.
- Sullivan, A., A. Brewis, and A. Wutich. 2018. Studying Children's Cultural Knowledge and Behaviors Related to Environment, Health, and Food: Methods for Ethnoecological Research with Children. *Journal of Ethnobiology* 38: 276–93.
- Vins, H., A. Wutich, A. Brewis, M. Beresford, A. Ruth, and C. Roberts. 2014. Children's Perceived Water Futures in the United States Southwest. *Human Organization* 73: 235–46.

Estimated Teacher Prep Time

90–120 minutes

- Review the background literature and select a prompt for the drawing elicitation. Here we use the prompt from Vins et al. (2014) on water: “Please draw me a picture of water being used in your neighborhood now [and in 100 years]” but others from the readings can be substituted, like Foster and Whitehead (2019): “Draw me a person in a hospital.”

- Edit the instructions and drawing template for your chosen prompt [Vins et al., materials provided].
- Identify a strategy for how students will be instructed to collect children's drawings, including if drawing materials will be provided to them.
- Optional: Procure class sets of crayons and print off paper templates for the students to use.
- Make copies of instructions and template for the homework assignment available on the class learning management system (LMS).
- Consider if students will submit their drawing as a digital picture file to a file sharing system or through an LMS as an assignment submission.

Estimated Duration of the Lesson

- 30–60 minutes of class interaction to prep for homework assignment (Class 1)
- 3 hours for students' independent activity (homework)
- 30 minutes for in-class discussion (Class 2)
- 30 minutes for optional analysis class activity (Class 2)
- 10 minutes for reflection/discussion (Class 2)

Materials Needed

- For Class 1, prepare lecture slides or notes for step 1 (see below), and prepare optional slides for step 2.
- For homework activity: Students need the instructions, drawing template, and drawing materials (crayons, pencils).
- For Class 2 discussion, students need their elicited drawings.

Student Pre-Class Preparation

Homework activities need to be introduced and any necessary materials provided at a preceding class. Students can be assigned a reading relevant to the selected elicitation prompt prior to completing the homework activity. Students can also be directed to read Mitchell (2006). For advanced classes, readings on the ethics of working with children are recommended (e.g., Kirk 2007).

Learning Outcomes

Students will: (1) learn how qualitative research with young children has unique practical and ethical challenges; (2) identify benefits of visual methods for qualitative data collection, particularly for eliciting children's unique world views and knowledge; (3) be able to collect drawings from children; and optionally (4) gain the ability to analyze visually based qualitative data.

Lesson Instructions

This lesson bridges two classes at least a week apart, one preparing for homework (collecting children's art as primary data), and another to consider the data collection process and (optionally) analyze the visual data. The preparatory first lesson can be conducted at the tail-end of another longer class (omitting Step 2) or take an entire class.

Preparing Students for Homework (30–60 minutes)

Step 1. Provide background and context on (1) why it is relevant to conduct qualitative research with children; and (2) some challenges this creates methodologically and ethically. Key background points to cover include:

- *Practical point:* Many qualitative methods rely on eliciting spoken or written text. Traditional data collection methods like interviewing and focus groups are not suited to most young children simply because they are still developing the relevant language, cognitive, and social capabilities.
- *Theoretical point:* Children—even young children—are social actors and agents in their own right, not merely adults-in-training; this recognition requires methods that center children’s voices and world views. What are needed are methods suited to working *with* (not just *on*) children.
- *Ethical point:* Doing any social research with young children raises specific ethical considerations. For example, there is always a power differential between an adult researcher and a child participant, and traditional research activities can be particularly burdensome for children. Moreover, all interactions with children require parental consent, meaning there is always a gatekeeper who also must identify value in the activity. Methods that are child-directed, low burden, and “fun” are thus preferred.
- *Identify the advantages of using drawing-based methods for qualitative research with children:* Children are familiar with the basic process of producing drawings, generally enjoy the process (reducing burden), and a more child-centered activity can redress some power imbalance and provide them some agency. By middle childhood, children can depict nuances and details of how they understand and navigate their worlds. But children as young as four can produce drawings that can express mental models in ways that can be then identified through methods like theme analysis, which are otherwise difficult to access.

Step 2. Introduce the reading related to the chosen prompt

- Instruct students to read the relevant stud(ies) prior to conducting the homework activity.
- Optional but recommended: Discuss the data collection approach of the reference study Vins et al. 2014 (adds 15–20 minutes to class). Possible questions include: (1) Why do you think the researchers chose the prompts now and in 100 years (rather than say 20 years)? (2) Why did the researchers pretest the research protocols? (3) Looking at the photos in the article, what do you think are the benefits and drawbacks of the activity? (4) Other than environmental issues, what other topics may be interesting to have children’s artwork for research?

Step 3. Introduce the homework activity

- Introduce: This exercise practices an art-based elicitation using a structured activity, as an effective child-centered method particularly suited to working with younger children (ages 4–12).
- Provide the homework instructions and the prepared drawing template.
- Introduce the chosen elicitation prompt and identify the associated reading(s).
- Ensure the homework instructions are understood.
- Note that other methods, such as very brief interviews, can help provide context for children’s drawings. This is why we will also ask the children to explain the art and record what they say.

- Ask students to share ideas with the class about how they will each access a child participant (best through friends and family). Students in the class may have access to multiple children and be willing to facilitate for other students. Discuss how they might conduct the exercise over video conferencing if they only have access to children farther away.
- Optional: Clarify how students will submit their drawings.

Interactive Class Activity (Class 2, following completion of homework): 30 minutes

Step 4. Discuss the challenges students faced in recruiting and conducting research

- Recruitment is often the most challenging part of this exercise. Students will likely not have considered how difficult this is beforehand. Facilitate a discussion of why some students found it easy (e.g., family connections) and others did not.
- Ask students how they developed rapport and related to the child during the process. How did children react to the research? Did parents or caregivers reduce the children's agency in the research process? Does a child's age play a role in how child-centered research should be conducted? (Students will have worked with different ages of children, and they can compare experiences.)
- Identify and discuss other challenges students experienced. Recognize failure is a common part of field research—not all plans work out.

Step 5. (Optional) Students singularly or in groups conduct a preliminary analysis of the drawings (30–60 minutes)

- Details of relevant class activities using theme identification, codebook development, and coding are found in Section 7 of this handbook. Gender and age differences in codes typically emerge in children's drawings and can be the basis for an extended class activity of why that might be the case.

Reflection and Class Discussion

Integrates consideration of ethical and practical aspects of conducting qualitative research with young children. Sample questions include:

- 1 How well do you think the collected data meaningfully reflect children's worlds and knowledge? Do you think using drawings provided quality data that more traditional techniques could not?
- 2 Do you think this use of drawing was successful in creating child-centered research? For example, did it overcome a power difference between the researcher and the participant?
- 3 Might there be better ways to do child-centered research? What improvements would you suggest?

Online Teaching Modifications

The exercise can be delivered in much the same way over synchronous video conferencing software as in a classroom, but with needed materials provided for download on an LMS. To deliver asynchronously, additionally, convert steps 1–3 to online prerecorded lectures, then use discussion boards and reflection statements for steps 4 and the reflection.

40 Reflecting on Place

Group Sketch Mapping

Ayla De Grandpré, Jon Corbett and Logan Cochrane

Brief Description of Method

Participatory mapping encompasses a broad series of map-making processes that facilitate the creation of maps by non-experts. It is used as both a research methodology to gather data and to create opportunities for dialogues on spatially bound issues, as well as a tool to document and draw attention to locally significant concerns. Its practice utilizes a range of different tools and methodologies. This chapter focuses on just one, commonly referred to as sketch mapping. Sketch mapping is a low-cost and widely used tool. Using large pieces of paper, participants draw freehand a map of a specific place, relying on their memory and spatial knowledge of the area. The process relies on perceived representations of place, rather than on formal cartographic conventions such as exact measurements, map scale, and geo-referencing. Thus, sketch maps are not a useful product if locational accuracy is required. Sketch mapping is accessible for non-expert users with little training, and it uses few materials, which are generally easily accessible. It does not rely on digital technology, although aspects of sketch mapping can be reproduced using web-based tools. It is best used to stimulate discussions related to identifying, documenting, and discussing issues with a spatial dimension, furthermore, it can be used at varying scales, from the local neighborhood (e.g., land-use planning) to an entire region (e.g., watershed management).

References for Further Reading

- Chambers, R. 2006. Participatory Mapping and Geographic Information Systems: Whose Map? Who Is Empowered and Who Is Disempowered? Who Gains and Who Loses? *The Electronic Journal of Information Systems in Developing Countries* 25: 1–11.
- Cochrane, L., and J. Corbett. 2020. Participatory Mapping. In *Handbook of Communication for Development and Social Change*, edited by J. Servaes, 705–13. Singapore: Springer Singapore.
- Corbett, J. 2009. Good Practices in Participatory Mapping: A Review Prepared for the International Fund for Agricultural Development. *IFAD*: 1–59. http://www.ifad.org/pub/map/PM_web.pdf
- Fagerholm, N., C. M. Raymond, A. Stahl Olafsson, G. Brown, T. Rinne, K. Hasanzadeh, A. Broberg, and M. Kytä. 2021. A Methodological Framework for Analysis of Participatory Mapping Data in Research, Planning, and Management. *International Journal of Geographical Information Science: IJGIS* 35: 1848–75.
- Harley, J. B. 1989. Deconstructing the Map. *Cartographica: The International Journal for Geographic Information and Geovisualization* 26: 1–20.
- Rambaldi, G., R. Chambers, M. McCall, and J. Fox. 2006. Practical Ethics for PGIS Practitioners, Facilitators, Technology Intermediaries and Researchers. *Participatory Learning and Action Mapping for Change: Practice, Technologies and Communication* 54: 106–13.

Estimated Teacher Prep Time

- Total time for preparation: 30–90 minutes.
- Begin by reading articles in the section above.
- Prepare a PowerPoint presentation with an introduction to sketch mapping and activity instructions (details in the lesson instructions section below).
 - Suggestion: Look up images of sketch maps and the sketch mapping process to share in the introduction of PowerPoint; this presentation should cover the diversity of uses.
- Prepare materials (large pieces of paper and pens) and space, ensure that there is a large flat surface for students to lay out the paper that they will draw on.

Estimated Duration of Lesson

- 65–80 minutes for in-class activity
 - 10 minutes for the introduction
 - 15–20 minutes for the group work
 - 15–20 minutes for the debrief
 - 20–30 minutes for the reflection
- 30-minute take-home activity for students

Materials Needed

- PowerPoint presentation that introduces sketch mapping and the objectives and instructions for the class exercise (need to prepare)
- Large-sized pieces of paper
- Pencils and colored pens

Student Pre-Class Preparation

Students should read Harley (1989) before class to familiarize themselves with topics to consider when critically analyzing their maps.

Learning Outcomes

At the end of this activity, students should be able to: (1) understand what sketch mapping is, its uses, and how to make a sketch map; (2) reflect on the mapping process, and what maps tell us about the people that drew them; (3) develop a better understanding of the place they live in, and how the spatial perspectives of others they share this place with differ from and coincide with their own; and (4) identify how sketch mapping might be used as an effective research method.

Lesson Instructions

This main lesson is composed of three key parts:

- 1 Introduction:** Begin with a brief PowerPoint presentation that introduces sketch mapping and outlines the instructions for the activity.

- **Introduction to sketch mapping**

Drawing on Corbett (2009), describe what sketch mapping is, and what it is used for, as well as some of its weaknesses and advantages. It may be useful to provide visual examples of diverse uses of sketch mapping on the PowerPoint slides for reference.

- **Instructions for the sketch mapping activity**

Inform students that they will be separated into groups of approximately three to five students and will sketch a map of their city, where they feel safe, where they feel unsafe, and their favorite places, using the following scenario as a prompt:

- **Scenario:** City X is planning a project to improve the safety of public spaces and create a more inviting and enjoyable environment for citizens. The city council is looking for citizens to provide feedback regarding where they feel safe and unsafe in the city, and where they currently enjoy spending time. As a citizen of City X, you have been asked to sketch a map of: (1) City X (including main thoroughfares, important buildings, areas of recreation and work); (2) where you feel safe; (3) where you feel unsafe; and (4) your favorite places.

- Note that “City X” should be replaced with whichever city the students are located in.

- Consider encouraging students to create a legend for the map, so that others can understand the content of their sketch map.
- After sketching their map, participants will have a debrief session. Briefly explain the debrief questions (as below), drawing on Harley (1989) to highlight how students can “interpret” the map they made.
- Explain that the group will reconvene and they will need one or more student representative(s) to present their map and the main points of their debriefing to the class. (10 minutes)

2 Group Work: Split the students into groups and ask them to discuss the assignment and come up with a plan of what they would like to draw. Students can collaboratively sketch the map once they have a plan. Ensure that every student has the opportunity to contribute and that the process is not dominated by one or two students in the group. (20 minutes)

3 Debrief: Once the students are finished, they will discuss in their own groups:

- **The process of sketching the map.** They might respond to the following questions: What steps did you take to go from idea to map? How did you decide what went on the map? Were there any conflicting ideas and how did you work through them? What role did everyone play in the map-making process? What did you learn about the place you mapped through this process?
- **What they included on the map and what they excluded, and why.** Encourage the students to examine the elements that they included on the map—including the places, symbols, and directional elements (e.g., an arrow indicating north), if present. Why did they include these elements? Are there things they omitted? If, so why?
- **Who this map might be useful to and what it might tell a “reader” about this place?** They might ask: What type of person/organization would find this map useful, and why? What do the elements you included (and excluded) on the map tell the reader about this place? How can you derive meaningful research data from the map and sketch mapping process? (15–20 minutes)

Reflection and Class Discussion

Once the groups have debriefed, the class will come back, and each group will share their map and the insights from their debrief. This is intended to encourage critical thinking about the map content and mapping process, and help students understand how both aspects reflect the map-maker's values and spatial cognition.

During the reflection session, the instructor should encourage students to reflect on the similarities and differences between the maps and perceptions of place, what their maps tell a reader about who drew it and encourage them to talk about what they learned about the place they drew. It is critical that the instructor encourages them to think about where sketch mapping, or participatory mapping more broadly, could be used as an effective research method. This will be one of the questions that they will write on in their take-home assignment.

To link this experience explicitly to research methodologies, have each group consider how this type of approach (participatory methodology) may provide distinctive perspectives when compared to other approaches. Questions might address issues of power in decision-making as well as how technical or expert-driven mapping/planning processes may exclude perspectives and experiences. (20–30 minutes)

Take-home Assignment:

After the lesson, students will need to prepare a short reflection detailing:

- What they learned about sketch mapping?
- How they created their sketch map in their group?
- What did their map reveal about them and their understanding of their city?
- How the maps of other groups revealed different perceptions of place?
- How they think participatory mapping exercises, like sketch mapping, could be used in research? (30 minutes)

Online Teaching Modifications

This lesson can be adapted to an online-learning setting by using synchronous and asynchronous methods:

- Using video-conferencing software to facilitate the lesson in real-time
- Breaking the students up into "breakout groups"
- Students may collaboratively sketch a map using a virtual whiteboard. Remind students to take a screenshot of the whiteboard before rejoining the main group, so that they can display it for the group during the reflection activity.
- Students may submit their reflections online on a discussion board so that they can read and comment on others' submissions.



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Section 7

Building Blocks and Basics of Analysis

This section is about how to give students a set of methods that will be applicable to any analytic tradition. These foundation methods—the building blocks of analysis—include transcription, translation, identifying and coding of themes, and calculating interrater reliability. Though there are differences in how these techniques are taught and executed across fields, the basics remain the same. This section also includes two additional techniques that anyone can use once they've learned the building blocks.

The foundational techniques covered here come from over a century of research practice and refinement in anthropology, sociology, oral history, folklore, and other interview-focused fields. Today, the techniques are applied differently, depending on the research tradition. Grounded theorists, for example, approach coding in an exploratory and less-structured way. Content analysts, in contrast, take a very structured, reproducible approach to coding. Once students have mastered the lessons in this section, they should be able to easily adapt them to different traditions of qualitative data analysis.

While the lessons in this section are all essential, they can be challenging to teach for instructors who have not been previously trained in specific methods. For instance, teachers trained in qualitative research may not have had experience with testing interrater reliability, a quantitative technique. And teachers coming with training in mixed methods may be unfamiliar or uncomfortable with more interpretive forms of theme analysis. Even so, these are the essential basics for everyone and it's important to cover all of them.

The building blocks of analysis are covered in various chapters. First is SturtzSreetharan's lesson on transcription and Resch's lesson on transcription and translation of multilingual data. Next are lessons on theme identification and analysis. Beresford and Bernard's lesson gives an overview of 12 techniques for theme identification, and Scagliusi's lesson presents a cutting-and-sorting approach to identify themes. Then there are three lessons on coding and codebooks: Saldaña's lesson on how to build a codebook; du Bray's lesson on how to develop and define codes; and O'Connor and Joffe's lesson on how to assess interrater reliability for codes. The last chapters cover two methods of analysis that anyone can do once they've learned the building blocks: Kuckartz and Rädiker's lesson on qualitative content analysis and du Bray's lesson on word-based analysis.

41 Transcription

Understanding Its Analytical Power

Cindi SturtzSreetharan

Brief Description of Method

Transcription is often thought of as a reproduction of (recorded) language—oral or signed. But it is better to think of transcription as an archive of language, because a transcript can never reproduce what was produced through spoken or sign language. As an archive of recorded language, the transcript is one of the first steps in the analysis. This is because the very act of writing recognizes some distinctions and ignores others. Moreover, because any writing system can only partially represent the sounds or units of a language, the beliefs we have about written language are brought to bear on the spoken or sign language we are transcribing. For example, we think of the “n” in the word nose as having the same value as the “n” in the word sink, but these are different values when produced orally. That distinction is lost in the archival (transcription) process. Nonetheless, the necessity of transcription for the analysis of language data is important and typically undertaken across various social science disciplines that use language as a form of data. A transcript has become increasingly common to produce, given that software-based qualitative analytic tools rely on uploaded documents as the data on which to perform the analysis. Therefore, when deciding what kind of transcription to do, it is imperative that you consider what your unit of analysis is: Are you interested in particular sounds or signs? Streams of language? Particular words? The contributions made by different speakers? The answers to these questions will help determine the kind of transcription (close or broad) that you need. One important point about a transcript that represents oral language is what kind of spelling conventions and other formal writing conventions you will use or eschew. There are power dynamics built into this representation that must be attended to with care.

References for Further Reading

- Cameron, D. 2001. *Working with Spoken Discourse*. Chapter 3: Transcribing Spoken Discourse. London: Sage.
- Crasborn, O. 2015. Transcription and Notation Methods. In *Research Methods in Sign Language Studies: A Practical Guide*, edited by E. Organidou, B. Woll and G. Morgan, 75–88. West Sussex: John Wiley & Sons.
- Duranti, A. 1997. *Linguistic Anthropology*. Chapter 5: Transcription: From Writing to Digitized Images. Cambridge: Cambridge University Press.
- Hepburn, A., and G. Bolden. 2013. The Conversation Analytic Approach to Transcription. In *The Handbook of Conversation Analysis*, edited by J. Sidnell and T. Stivers, 57–76. Kindle Edition Books, West Sussex: Wiley-Blackwell.

- Jaffe, A., and S. Walton. 2000. The Voices People Read: Orthography and the Representation of Non-Standard Speech. *Journal of Sociolinguistics* 4: 561–87.
- Jefferson, G. 2004. Glossary of Transcript Symbols with an Introduction. In *Conversation Analysis: Studies from the First Generation*, edited by G. H. Lerner, 13–31. Amsterdam: John Benjamins.
- Sebba, M. 2012. Orthography as Social Action: Scripts, Spelling, Identity and Power. In *Orthography as Social Action: Scripts, Spelling, Identity, and Power*, edited by A. Jaffe, J. Androutsopoulos, M. Sebba and S. Johnson, 1–20. Amsterdam: De Gruyter Mouton.

Estimated Teacher Prep Time

60–90 minutes

- Read or review Cameron’s chapter on “Transcribing Spoken Discourse” and either Sebba or Jaffe and Walton. If you anticipate the need for very detailed transcription, read Hepburn and Bolden.
- Prepare PowerPoint slides (provided) and homework materials for students (provided).
- Record your own conversation (e.g., do the homework/assignment provided) and transcribe 2–3 minutes of it. Write down your own impression of the task and what the transcription captured (or didn’t). This will ensure that you can troubleshoot any pitfalls that may be beyond simply transcribing a conversation. Students who are recording sign language conversations should read Crasborn.

Estimated Duration of Lesson

- 75-minute in-class interactive lecture
- 60-minute student-independent activity (homework to do outside of class; can be split into recording conversation on own time, but doing transcription activity in class)
- 20-minute reflective discussion (in a follow-up class session)

Materials Needed

- PowerPoint slides outlining containing examples of transcription styles (see provided slides)
- Homework template (see provided template on “transcription homework”)

Student Pre-Class Preparation

- Students should have already recorded a 12- to 15-minute conversation with three peers (the student plus two more people); they should bring the recording to class (See homework steps 1–3 under the homework activity below)
- Students should be familiar with the Duranti article and should have access to the Hepburn and Bolden article while doing homework

Learning Outcomes

On completion of this activity, students will be able to: (1) understand how a transcript reflects a unit of analysis; (2) describe the differences between broad and close transcriptions; (3) describe how a transcript represents but does not reproduce language; (4) identify

the way that situational and conversational context drops out of a transcript and be able to suggest ways to ameliorate this problem; and (5) practice with an AI transcription software.

Lesson Instructions

Overview: The goal of the lecture is to (1) introduce the idea of how a transcript is linked to data analysis and research design; (2) explain the differences in and rationale behind broad and close transcription; and (3) enable students to practice both manual and AI transcription techniques, demonstrating what is lost or gained across the various techniques.

Proceed with the lecture as follows using the provided PowerPoint slides.

Interactive In-Class Lecture (~75 minutes)

- 1 Explain what a transcript is, demonstrating how it is the first step of analysis encoding some distinctions and ignoring others: 5–7 minutes (PowerPoint slides 1–2): As you are explaining how a transcript creates particular kinds of distinctions and ignores other, you can use verbal tactics (voice modulations), body language (gestures), and other facial expressions to underscore what a transcript can distinguish easily and how it fails to capture other things that are integral to making meaning through language.
- 2 Explain how ideas and beliefs about language show up in a transcript just as much as they do in live interactions: 7 minutes (PowerPoint slides 3–4): Provide an example of a transcript that is taken from mainstream White American English. Then, look at an example of a transcript that is taken from a regional variety of American English. Discuss how the transcriptions represent not only language but social meanings about language (reference Jaffee and Walton article).
- 3 Explain the difference between broad and close transcription styles: 5–7 minutes (PowerPoint slides 5–6): Using the same conversational interaction, have students discuss and point out what is present/absent in the two different styles. Include a discussion of the advantages/disadvantages of each style depending on the research design.
- 4 Tell students that they will be transcribing the recorded conversations they brought with them: 5 minutes (PowerPoint slides 7–8): These slides show Gail Jefferson's transcription notations (or a subset of them); encourage students to imagine their own notations depending on what they want to highlight in the transcript.

Homework Activity (~60 minutes)

Overview: The homework assignment enables students to develop familiarity with recording and transcribing language (spoken or signed). Students will be recording a language interaction that involves themselves and two other individuals (a group of three people interacting). Students **MUST** get permission to record the others.

Assignment Instructions for Students:

- 1 This assignment requires you to record yourself and two other people (total of three people interacting) having a conversation. The people who participate must know they are being recorded and give their permission (at least informally).
- 2 Students can use their phones, a digital tablet, or laptop computers to record the language interaction. The recording can be either audio only or a video recording.

- 3 The recording should be about 20–30 minutes in length. The recording could take place during a meal, a casual hanging out, or even virtually on one of the teleconferencing platforms (e.g., Zoom, Skype, FaceTime, etc.).
- 4 Select a 3-minute segment from the total conversation to transcribe. Ideally, this would be a segment where the participants are engaged in the conversation and are judged to be “acting typically” for such interactions (even if it is an emotional sequence).
- 5 Transcribe the 3-minute segment of the conversation. Be sure to label the interlocutors, so the transcript makes clear who is saying/signing what. For novice transcribers, the rule of thumb is that it will take 60 minutes to roughly transcribe 15 minutes of interaction.
- 6 Using the articles from the class about transcription, students should take notes on the decisions they are making with regard to the transcript: Did you choose to do a broad or close transcription? What did you do about pauses in the conversation? What did you do with laughter? How did you decide to represent the way that people use language vs formal writing rules? And so on. Remember: The way you transcribe each piece of language used is an active decision on your part, so know what decision you are making.
- 7 Using the same 3-minute segment of the conversation, upload it to a web-based AI transcription service (most have free trials such as Otter.ai; sonix.ai; or even google speak to text. **Note:** This will NOT work for sign languages.)
- 8 Turn in or bring the transcription to the next class for further discussion and reference as needed.

Reflection and Class Discussion

Discussion Questions

- 1 Have students describe and reflect on their experiences doing transcription. What did they notice about the genre of a conversation due to the transcription activity? How was this similar or different from their thoughts about conversations before the exercise?
- 2 Considering the various transcriptions the students did, discuss how analysis is shaped and informed by the transcription style itself.
- 3 Compare the AI software transcript to the ones the students did on their own: What is different? What is the same? How does context play a role in the transcript based on the two modes of transcription? The differences in the way that a human can understand context versus the AI interface tell us something important about language itself.

Online Teaching Modifications

This lesson can be adapted for online teaching by (1) posting the readings to an LMS; (2) giving the lecture synchronously using a video conferencing software or asynchronously by pre-recording and posting to the LMS; (3) posting the homework activity and have students turn in their work online; and (4) requiring the reflection and discussion to be posted to discussion boards or holding synchronous discussions for about 15 minutes per 25 people (if a large class).

42 Handling Multilingual Data

Transcription and Translation

Katharina Resch

Brief Description of Method

Many interviewees prefer speaking in their first language(s) during an interview, leading to multilingual data being analyzed by researchers. Handbooks for qualitative research rarely instruct on this topic, and few students are taught how to (a) *transcribe* and (b) *translate* multilingual data for research purposes. This chapter helps students identify the main challenges and handle them adequately to preserve data quality of multilingual data.

References for Further Reading

- Goitom, M. 2019. Multilingual Research: Reflections on Translating Qualitative data. *The British Journal of Social Work* 38: 548–64.
- Havlin, T. 2022. Multilingualism and Translanguaging in Migration Studies: Some Methodological Reflections. *Forum: Qualitative Social Research* 23(1): Art 2.

Estimated Teacher Prep Time

120–180 minutes

- Experience with multilingual data is recommended
- Read the suggested literature
- Prepare a handout with key terms and find a multi-lingual transcript appropriate for your students' language abilities

Estimated Duration of Lesson

- 75–90 minutes for in-class interactive lecture (knowledge and input session)
- 60 minutes for in-class interactive session (follow-up and application session)
- 15–20 minutes for final discussion and feedback

Materials Needed

- Handout illustrating key terms
- Example of a multilingual transcript

Student Pre-Class Preparation

Students need to be aware of handling multilingual data in the *data collection process* first, before engaging in data analysis of multilingual data. It is therefore recommended that

students participate in a lesson about data collection before taking part in this lesson. In addition, students should be aware of the interplay of language, power, identity, and social inequalities in qualitative research.

Learning Outcomes

After completing this lesson, students will be able to preserve language meaning in multilingual interview data and hence preserve data quality by being able to: (1) explain the main challenges in handling multilingual data; (2) differentiate between transcribing and translating multilingual data; (3) identify the main rules of transcribing multilingual data with respect to code-switching and translanguaging; and (4) identify the most frequent errors in handling multilingual data to avoid these pitfalls.

Lesson Instructions

This lesson has three parts: (1) an in-class interactive lecture (input session); (2) a follow-up and application session; and (3) a final discussion and feedback. It is appropriate for (under) graduate students without experience in handling multilingual data.

Interactive In-Class Lecture (Input Session) (~75–90 minutes)

Overview:

- 1 *Brainstorming of the representation of multilingualism in class*—10–15 minutes. Start the lesson with brainstorming in class. (1) First, ask who speaks one, two, or more languages and with each question, ask students who do to raise their hand accordingly. This helps you and your students differentiate between monolingualism, bilingualism, and multilingualism.
- 2 Then pose the next question to bilingual or multilingual students: In which “spheres” do you speak your languages (e.g., family life, formal education, leisure time, social media, writing, or reading)? Encourage students to give examples of when or where they use which language.
- 3 Finally, discuss with all students the main topic: Which functions does language have in society? How might bilingual or multilingual citizens feel who may be encouraged to use their full language repertoire in a monolingual society? This brainstorming exercise raises awareness for multilingualism in the immediate group and helps students reflect on the interplay of language, power, identity, emotions, and social inequalities.

Give the Problem Statement—10 minutes

In this step, you need to connect the topic to qualitative research. Help students imagine that they have conducted qualitative interviews with a group of people with different first languages than themselves, such as with international students on campus or an immigrant group in their city and that their task is to handle the data analysis of these interviews.

Refer to the main problems in handling multilingual data: (1) multilingual interviews but monolingual publications; (2) expectations of those who transcribe the interviews to have to “smoothe” the transcript into standard language, and therefore risk diluting the richness and uniqueness of the interview; (3) those who transcribe might be staff who have little experience with handling multilingual data and keeping standards of responsible research, resulting in: (4) a lack of data quality.

Introduce Key Terms of the Lesson Using a Handout—10 minutes

Understanding key terms can be taught in a playful manner. Each student picks one term from the handout and explains it to another student. Key terms: monolingualism, bilingualism, multilingualism, translanguaging, code-switching, code-mixing, cross-language research.

Introduce the Two Main Topics of the Lesson—2 minutes

Transcribing multilingual data from the audio file and translating the multilingual transcript into the language of the research team.

Briefly Explain Topic 1. Transcribing Multilingual Data—15–20 minutes

Raise awareness among students that many people utilize more than one language—their full range of linguistic and communicative repertoires—in their everyday communication depending on the (in)formal context, the topic of the conversation or the emotions attached. The utilization of different languages has multiple functions, such as filling semantic gaps, producing a certain dramaturgic effect, or excluding others from understanding. This may lead to code-switching or translanguaging in the interview situation.

To uphold the richness of multilingual data for data analysis, audio files need to be transcribed in the original language to preserve meaning for deeper analysis.

Students need to learn to communicate clear rules for transcribing multilingual data depending on the method of analysis (such as thematic or hermeneutical analysis). Show the transcriber how and in which way the transcript will be analyzed and interpreted to increase mutual understanding of what the transcript is for (check mutual expectations). The transcriber needs clear rules on how to use footnotes, how to mark code-switching or code-mixing in the transcript, since transcription handbooks usually do not give instructions about how to manage these aspects.

Briefly Explain Topic 2. Translating Multilingual Data—15–20 minutes

Use the following arguments to explain Topic 2. The main objective of the translation process is to transfer the transcript from the original language of the interview to the target language of the research team. For this step, researchers need certain skills, which go beyond mere translation.

They need (1) language skills of the original and target languages; (2) intercultural skills such as knowing the social conventions of the cultures involved, differentiating between accents and dialects, knowing the (power) history of the respective cultures; (3) technical skills in translation strategies, terminology databases, software for speech pattern recognition; and (optionally) (4) thematic knowledge depending on the topic of the interview (e.g., medicine, technology development). Give an example of intercultural skills like the use of Russian in Ukraine. Many Ukrainians speak Russian, so interviews could easily be conducted in Russian, however, the language is associated with dominion and power related to the history of the Soviet Union. Hence, interviewees might choose to speak Ukrainian, which makes it more difficult for researchers to find suitable interviewers.

Help students imagine they have a transcript of a multilingual interview in front of them. What they will need to learn is to clarify the aim of the translation: How will the transcript be used and by whom? Who will have to understand the transcript? Parts of the transcript might remain untranslated for this reason.

Then give instructions about how to mark language particularities of the original transcript (Ukrainian–Russian) in terms of regional, social, cultural, or subgroup characteristics. When did the interviewee switch from Russian to Ukrainian or vice versa? In which parts did the

interviewee use dialect? Why? The (lay or professional) translator will then define the translation strategy into English (e.g., word-by-word or equivalent translation).

It is useful to write memos during translation to comment on irregularities in the translation process. In the memos, translators note their perceptions, irritations, and reflection of the translation process, such as terms that do not exist in the target language (English) or might have a different meaning in the original language (Ukrainian), code-switching, the use of culture-specific metaphors, or other language particularities.

Sometimes, a direct translation of the original audio file (Ukrainian–Russian) into English might seem like a pragmatic solution to avoid transcribing the audio file into written Russian or Ukrainian (which none of the researchers might speak). However, such a direct translation is error-prone and is not recommended. Transcriptions have to be done in the original language (in full) and then translated into the target language (in full) to preserve data quality.

Wrap-Up—5 minutes

Ask whether there are unanswered questions and refer to the follow-up session, which should take place in the upcoming week(s).

Interactive In-Class Lecture (Follow-Up Session) (~60 minutes)

Overview:

- 1 *Getting started*—5–10 minutes. Start the lesson by asking students to assemble in groups of three and by handing out the example transcript.
- 2 *Working on a transcript in small groups*—30 minutes. In this step, small groups work on the transcript on two levels: First, they are instructed to assess the quality of how language issues were handled in the transcript (such as usage of footnotes, explanation of terms or dialects) based on their knowledge of the previous lesson (*reflective stance*). Second, they receive a research question depending on the topic of the interview, which will guide their thematic analysis. They are asked to start working on the analysis by identifying the main themes (and subthemes) in the multilingual transcript (*analytic stance*).
- 3 *Discussion in plenary*—15–20 minutes. Interrupt the small groups after 30 minutes and facilitate a discussion. Ask some of these reflective questions: Which differences did you notice working on a multilingual rather than a monolingual transcript? What was difficult for you? What else would you need to continue working on this material? Which themes did you identify in the material?

Final Discussion and Feedback (~15–20 minutes)

Begin a final discussion with two questions: What are your takeaways from doing multi-language data analysis? How do these realizations affect how you will conduct future research?

Conclude the lesson by asking for feedback: What part of the lesson did you enjoy most? What did you find most challenging? What was most surprising? Which parts of the lesson would need further elaboration?

Online Teaching Modifications

This lesson can be transferred to online teaching by pre-recording the lecture and posting to a learning management system or presenting it synchronously using video conferencing software and then using break-out rooms for the group work.

43 Teaching Theme Identification

Melissa Beresford and H. Russell Bernard

Brief Description of Method

Identifying themes is a fundamental activity in analyzing qualitative data. Yet, across the social sciences, few students are taught how to use specific techniques to (1) *systematically* identify different types of themes in a text; or (2) *articulate* how they identified themes when they report their methods of analysis. We find that it is best to teach theme identification through concrete examples and hands-on activities so that students develop their own skills in identifying themes.

References for Further Reading

Ryan, G. W., and H. R. Bernard. 2003. Techniques to Identify Themes. *Field Methods* 15: 85–109.
Spradley, J. 1979. Discovering Cultural Themes. In *The Ethnographic Interview*, 185–203. Belmont: Wadsworth. Reissued by Waveland Press 2016.

Estimated Teacher Prep Time

60–90 minutes

- Read or review Ryan and Bernard (2003).
- Prepare PowerPoint slides (provided) and homework materials for students (provided).
- Using some of the techniques in two readings, identify themes in the two narratives on the PowerPoint slides. This will ensure that you have specific examples to guide students during the lecture and activity.

Estimated Duration of Lesson

- 80-minute in-class interactive lecture
- 60-minute student-independent activity (homework)
- 20-minute reflective discussion (in a follow-up class session)

Materials Needed

- PowerPoint slides (provided) outlining “12 Techniques to Identify Themes”
- Teaching data set (provided) on “illness narratives”

Student Pre-Class Preparation

None. Students need to have read the Ryan and Bernard article before class.

Learning Outcomes

Completing this activity, students will be able to: (1) define what a theme is and describe why identifying themes is important for analyzing qualitative data; (2) identify and articulate 12 techniques for systematically identifying themes in qualitative data; (3) explain the strengths and weaknesses of each theme identification technique; and (4) select theme identification techniques that are more useful or less useful for different types of qualitative data.

Lesson Instructions

This lesson has three parts: (1) an in-class interactive lecture; (2) a homework activity; and (3) a reflective class discussion. It is appropriate for advanced undergraduate and graduate students.

Interactive In-Class Lecture (~80 minutes)

Overview:

Using the provided PowerPoint slides, proceed with the lecture as follows:

- 1 *Explain what a theme is and where themes come from:* 5 minutes (PowerPoint slides 1–5). As you explain the definitions and characteristics of themes, give specific examples of themes in your own research.
- 2 *Tell students what we are doing today in class:* 3 minutes (PowerPoint slides 6–7):

Potential script:

Today we will be walking through 12 techniques to systematically identify themes in qualitative data. These techniques were outlined by Gery Ryan and H. Russell Bernard in their 2003 *Field Methods* article. *Observational techniques* involve close reading and scrutiny of the text itself, while *processing techniques* involve manipulating text in some way that allows you to more easily identify themes. I'll explain what each technique is, and then we will practice using it together. To practice, we will try to find themes in two narratives, collected by Ryan, in which students at the University of Missouri in the United States describe their most recent experience having a cold or flu. Let's start by reading the narratives.

- 3 *Read narratives out loud or select students to read each narrative out loud:* 2 minutes (PowerPoint slide 8).
- 4 *Prompt the class on how to look at the narratives:* 2 minutes (PowerPoint slide 8): Having a cold or flu is such a common experience, the themes in narratives like these may seem too obvious to identify, especially for those who may be insiders to this specific culture. To deal with this, tell students:

Imagine you are the proverbial researcher from Mars and you are here to study how illness manifests in humans. Your prior research has shown that humans contract two diseases that those in English-speaking areas call 'cold' and 'flu,' and now you are here in the United States on Earth to interview humans and find out what people do when they are sick with them.

Re-framing the narrative this way makes it easier for students to identify themes in the narratives—and it also makes the activity silly and fun.

- 5 *Walk through the eight observational theme identification techniques:* 40 minutes total, 5 minutes for each technique (repeating PowerPoint slides 9–10 for each technique). For each technique, do the following:
 - 1 minute: Explain what the theme ID technique is and how it works.
 - 1–2 minutes: Ask students to read through the two narratives on the PowerPoint slide and use the technique that you just explained to identify themes in the narrative.
 - 1–2 minutes: Ask students to share the themes they identified with the class. In small classes, we ask students to call out and share the themes they identified out loud. In larger classes, we ask students to raise their hands if they want to share the themes they identified. If you have more time, you can go around the class asking each student to share.
 - 1–2 minutes: Use the themes that students identified to explain the strengths and weaknesses of particular techniques. For example, word repetition (finding repeated words) is easy to do and can be done very quickly (strength), but it generally identifies themes that are obvious and can be superficial (weakness). The identifying metaphors technique, on the other hand, is a much more difficult technique that can take a long time (weakness), but it often identifies themes that are complex and not always obvious (strength).
 - Repeat for the next technique on the list until you have gone through all eight observational techniques.
- 6 *Briefly explain the 4 processing techniques:* 10 minutes total, 2–3 minutes for each technique (PowerPoint slides 11–16). For these techniques, it is more time efficient to walk through examples outlined on PowerPoint slides. You can use the examples we provide on the slides or other examples from your own research or that of others.
- 7 *Depending on the type of data you have, conclude the lecture by explaining when to use different theme identification techniques:* 5 minutes (PowerPoint slides 17–18). Walk students through the data-type decision tree (slide 17) and the chart that outlines the strengths and drawbacks of each theme ID technique (slide 18).
- 8 *Questions and explanation of homework activity:* 10 minutes (see homework activity directions below).

Homework Activity (~60 minutes)

Overview: Provide students with the digital data file of 25 illness narratives.

Assignment Instructions for Students:

- 1 Open up the 25 illness narratives, either in your computer's text edit program (Notepad and Wordpad on Microsoft machines or TextEdit on the Mac) or word-processing program (Word.doc files on PCs and Pages files on Macs), or import them into a QDA program (e.g., create a MAXQDA or NVivo or Atlas.ti file).
- 2 Of the eight observational theme ID techniques we discussed in class, choose the technique you feel most comfortable with. Use that technique to identify themes from the illness narratives. Write down the themes you identify based on that technique. Most of you will prefer to use your computer, but this can also be done with pen and paper.
- 3 Choose three techniques that are new or unfamiliar to you—these can be from the eight observational techniques or the four processing techniques we discussed in class. Use each of these techniques to identify themes in the illness narratives. Again, write down

the themes you identify based on each technique. You should have four lists of themes total—one list for each theme identification technique you used in steps 2 and 3.

- 4 Write-up: In a paragraph, discuss similarities and differences in using the four different techniques that you chose. How did using the first (more familiar) technique differ from the three new or unfamiliar techniques? Which of these techniques do you think would be most fruitful for your own work and why?
- 5 Turn in/bring to class: Your write-up of the four lists of themes plus one paragraph of discussion. Be ready to discuss your results and experiences with your classmates.

Reflection and Class Discussion

Overview: This discussion should happen after the students have completed the homework activity (~20 minutes). The goals are to have students (1) *reflect on* their experiences using the different theme identification techniques; (2) *hear how* other students used and experienced the techniques; and (3) *come to understand* what techniques come more or less naturally to them based on their own experiences, strengths, goals, and preferences as researchers. Depending on the size of your class, this discussion can be among all members of or in small groups, who then come back to report back to the class.

Discussion Questions:

- 1 Before this lesson, had you used any theme identification techniques (either those covered in the class or others) in the past? How do your past experiences with theme identification compare with the exercise we did in class?
- 2 Are there any techniques that you particularly enjoyed using in the homework assignment? If so, why? In what contexts do you think these techniques would be very useful for your own research?
- 3 Were there techniques you disliked using in the homework assignment? If so, why? Would you use these techniques for your own research? Why or why not?

Online Teaching Modifications

This lesson can easily be adapted for online teaching by (1) posting a PDF of the reading to an learning management system; (2) giving the lecture live and having students interact as described, or prerecording and posting a modified lecture where you describe each technique and ask students to pause and do the activity rather than soliciting student responses; (3) posting the homework instructions and having students turn their work in online; and (4) requiring either a written discussion board where students respond to each other in reflecting on the exercise or synchronous, online class discussion. If doing written discussion boards, follow up with an email or discussion board post to students that wraps up the lesson, acknowledges their thoughts, and summarizes key points.

44 Finding Themes Using the Cutting and Sorting Approach

Guided Exercises with Interview Data

Fernanda Baeza Scagliusi

Brief Description of Method

Interviews are generally a core method in qualitative studies, and identifying the most important themes in qualitative data is a crucial step in data analysis. Nonetheless, it is rare to find step-by-step instructions to teach beginning students. Making this process clear could help guarantee the quality of analysis. Thus, this lesson works as a tutorial of how to use the cutting and sorting approach to identify themes in excerpts of interview data.

References for Further Reading

- Dey, I. 1993. Creating Categories. In *Qualitative Data Analysis. A User-friendly Guide for Social Scientists*, edited by I. Dey, 100–19. London: Routledge.
- Ryan, G. W., and H. R. Bernard. 2003. Techniques to Identify Themes. *Field Methods* 15: 85–109.
- Scagliusi, F. B., P. da Rocha Pereira, R. F. Unsain, and P. M. Sato. 2016. Eating at the Table, on the Couch and in Bed: An Exploration of Different Locus of Commensality in the Discourses of Brazilian Working Mothers. *Appetite* 103: 80–86.

Estimated Teacher Prep Time

60–90 minutes

- Read or review the above-mentioned references.
- Get familiar with the interview data (provided).
- Print two copies of the interview data for each group of students (plan three students per group) and cut the cards.

Estimated Duration of Lesson

120-minute in-class guided activity

60-minute homework activity

40-minute reflective discussion (in a follow-up class session)

Materials Needed

Two copies of the interview data for each group of students, sheets of paper, scissors, glue, markers, and colored pens.

Student Pre-Class Preparation

It is more productive to use this lesson after learning the 12 techniques formulated by Ryan and Bernard (2003) for systematically identifying themes in qualitative data.

Besides that, students should read Ryan and Bernard (2003) and Dey (1993) texts before class.

Learning Outcomes

Completing this activity, students will be able to: (1) identify themes using the cutting and sorting approach with interview data; and (2) reflect on the value of clear data analysis procedures while still valuing researchers' subjectivity.

Lesson Instructions

This lesson has three parts: (1) an in-class guided activity; (2) a homework activity; and (3) a reflective class discussion. It is appropriate for beginner graduate students.

In-Class Guided Activity (~120 minutes)

- 1 Briefly recall the lesson regarding techniques for the identification of themes and, specifically, the cutting and sorting technique. According to Ryan and Bernard (2003: 94), it "involves identifying quotes or expressions that seem somehow important and then arranging the quotes/expressions into piles of things that go together."
- 2 Arrange the students in small groups and provide each group with two copies of the prepared cards. Explain that these cards have excerpts of interview data from Brazilian working mothers about family meals and that they will work in one copy and keep the other intact, for reference.
- 3 Tell them that the aim of the activity is to create themes that describe elements of socialization in the meals, using the cutting and sorting technique. The process will be inductive (i.e., the themes should emerge from the data).
- 4 At this moment, you will give an instruction and the students will immediately do it. First, they will read the cards at least twice.
- 5 Highlight the meaning unit in each card (i.e., the sentences with content related to each other and that can be used to achieve the aim of the analysis). Cut the meaning unit, writing the interviewee's name in the back. Dismiss the sentences that are not meaning units.
- 6 In the margin of each card, make a memo, writing few words that comprise the most salient aspects of that meaning unit. Use a different pen color for each memo (you can use the same memo and pen color for several cards if you think that their salient aspects are the same or very similar).
- 7 Display all cards on a table and start comparing them. Put the cards with the same or similar memo close. Observe if they fit together and relate with each other. Make piles with cards that seem important, related, and cohesive.
- 8 Carefully examine this first attempt with scrutiny. Check if the cards piled together actually belong to this particular group. To do so, compare these cards with others from different piles.

- 9 Usually our first attempt generates many piles. Examine them again and, if necessary, reduce the number of piles.
- 10 Find the hidden or underlying construct (or dimension of meaning) that cuts across the cards piled together and use it to name each pile as a theme.
- 11 Organize your outcome to present each named theme with a preliminary definition and its quotes.

Homework Activity (~60 minutes)

- 1 Review the activity made at class and, if needed, make changes. Be ready to discuss your results with your classmates.
- 2 Read the following paper, which used the same data that you have used (with a larger dataset): Scagliusi et al. (2016: 80–86).
- 3 Reflect if there were differences in the data analysis procedures and in the themes created.

Reflection and Class Discussion

Overview: This discussion (~40 minutes) should happen after the homework activity. The aims are to have students (1) present their work and observe what other students did; (2) recognize the different results obtained by their colleagues and by the text read at home; and (3) reflect on the value of clear data analysis procedures while still valuing researchers' subjectivity. At the end of the discussion, it is important to note that this is a beginner lesson and that the analysis decisions that they will make in their own research will be more complex, since theoretical understandings of the subject and reflexivity will play an important role in identifying themes.

Discussion Questions

- 1 What were the difficulties and challenges involved in this lesson? How did you overcome them?
- 2 Did you make changes in your analysis each time you were prompted to review it? If so, when did you stop making changes and why?
- 3 After hearing the work of your colleagues and reading the text, which themes seemed more powerful, considering their frequency and level of insight?
- 4 In qualitative analysis, do you think there is a set of themes waiting to be identified or are there many ways to see?

Online Teaching Modifications

This lesson can be adapted for online teaching by using a learning management system and (1) posting a PDF of the readings and the interview data; (2) asking the students to gather the materials needed prior to class; (3) conducting a live and synchronous class using video conferencing software, giving time for students to complete each step (they will work alone, and not in groups); (4) posting the homework instructions and having students turn their work in online; and (5) conducting a synchronous, online class discussion.

45 Creating Visual Variables

A First Step in Systematic Analysis of Videotaped Data

Elizabeth Cartwright and Jerome Crowder

Brief Description of Method

In this chapter, we explore how to create visual variables; this is the first step in doing a systematic analysis of non-verbal, videotaped data. By visualizing and coding videotaped moments of life, we can analyze actions and social interactions in interesting and productive ways. This method has been popular with linguists as well as primatologists over the years, but is also valuable for the ethnographic process, depending on the questions being asked.

We discuss the process of recording and creating visual variables that can be coded in video footage in a very basic manner. The students should be encouraged to practice with the software packages that they have available to them; several good-quality software packages are available including the Observer XT by Noldus, HyperReserach, and ELAN (free).

This method of collecting and analyzing video data can be used to help answer many social science questions, ranging from basic proxemics and observational interactions to more nuanced nonverbal communications, behaviors, and engagements. NOTE: This is an intensive method that compliments other ethnographic methods and allows the researcher to unpack subtle behaviors that may not otherwise be noticed during basic observations. Like coding transcriptions, coding and analyzing video data can be time-consuming and monotonous. Be sure that the research question(s) you are asking have a visual component and that systematic analysis is appropriate. This is not a method to employ just because it requires cameras and computer applications.

Reference for Further Reading

- Cartwright, E., and A. L. Clegg. 2017. Peaches for Lunch: Creating and Using Visual Variables. *Medical Anthropology* 36: 519–32.
- Cekaite, A., and M. H. Goodwin. 2021. Touch and Social Interaction. *Annual Review of Anthropology* 50: 203–18.
- Goodwin, M. H., and C. Goodwin. 2012. Car Talk: Integrating Texts, Bodies, and Changing Landscapes. *Semiotica* 2012(191): 257–86.

Estimated Teacher Prep Time

The amount of time needed to prepare for this lesson depends on how familiar the teacher is with this method. The teacher should read the suggested articles beforehand and also have some knowledge of shooting video footage that is of useable quality.

Estimated Duration of Lesson

60-minute in-class interactive lecture

2–4 hours for student independent activity (homework)

60-minute reflective discussion in a follow-up class session

Materials Needed

Students will need an image capture device to use for creating their video footage—cell phones (high quality preferred), camcorders, or digital cameras with video capabilities. (See Cartwright and Crowder on shooting video data, this volume.) Students will also need access to a computer with enough memory and computational power to easily run applications and to keep video files in memory and manipulate them as needed.

Student Pre-Class Preparation

Students should read the Cartwright and Clegg journal article listed above.

Learning Outcomes

- Define visual variables
- Define continuous versus instantaneous variables
- Create a 10-minute recording of individuals engaged in an activity that can be visually coded for the appropriate visual variables
- Show how students could thematically code a section of their video footage

Lesson Instructions

Interactive In-Class Lecture

This lecture introduces the concept of visual variables that can be used for systematically coding videotaped data. Instructor preparation should include thinking of some examples that demonstrate visual variables that would be meaningful to the students in the class. Not all research has a visual component; it is important to help the students focus on concrete actions that can be recorded on videotape for later analysis.

Reviewing videotaped data for visual variables.

- 1 Define a visual variable. A visual variable is one that can be *seen* and is pertinent to the research question. Not all variables are visual; it is important to gather data in more than one mode. Interviewing individuals about their *perceptions* on a topic would be a nonvisual variable. On the other hand, one could assess their interest in an action by observing how long they interacted with a new musical instrument. For example, if a child is given a new trumpet, one could film them as they began to explore it. Did they pick it up? Did they attempt to make some noise on it? How long did they keep attempting the activity (continuous variable)? How many times did they blow into it? (instantaneous variable).
- 2 Give several examples of visual variables. Have the students think about possible visual variables. Have them discuss why or why not the variable could be captured in a visual manner. Examples:

- a Skateboarders at a public park: What can you see in this situation that could be coded visually? Gender of skaters? Turn-taking behaviors? When skaters fall, who helps them if needed? Which skaters wear protective gear?
 - b Cafeteria at school: Who sits where? Does this change during different times of the day? How many people are at tables? Do people wear masks for protecting from Covid? When do they take them off? When do they put them back on?
- 3 Discuss possible ways that visual variables can contribute to important social topics of inquiry. Think through different ways of *seeing* a situation that could reveal: (1) power inequalities; (2) gender differences; (3) ageism; and (4) differential access to speaking at a meeting (turns at talk), and so forth.
 - 4 Think through possible technical pitfalls in gathering the video data. Show the students some video footage that has poor lighting. Discuss how important it is to avoid shooting into the sun, directing the camera at a window or mirror, or not having adequate lighting to see what is going on.
 - 5 Define a continuous variable. A continuous variable can be thought of as either being on or off during the whole action. For example, in the Cartwright and Clegg article, we described a father feeding a toddler her lunch. Our continuous variable was whether or not the father was looking at the toddler, whether his gaze was on her, or if he was looking around the room or at his phone.
 - 6 Define an instantaneous variable. An instantaneous variable would be one that happens in a given space of time and oftentimes occurrences can be counted. For example, how many times did the father pick up the toddler's cup to give her a drink of milk?
 - 7 Q and A

Homework Activity (2–4 hours)

Overview: The homework assignment will give the students a chance to become familiar with finding a social setting where individuals are engaging in behavior that includes visual actions that can be identified as important to the research question and coded in a productive manner. (see examples above)

For this basic exercise, students can list the variables they identify and say whether they are continuous or instantaneous. They can create a Word document or other notation to list their visual codes. Students should be encouraged to practice with the software packages that they have available to them; several good-quality software packages are available including the Observer XT by Noldus, HyperReserach, and ELAN (free).

- 1 Make a video recording of an action or part of an event that will be analyzed (5–10 minutes long).
- 2 Pay attention to all aspects of making a high-quality recording; this is important for the analysis (e.g., place the camera on a tripod, fixed in one direction, and let the action happen in front of the lens).
- 3 Review the footage several times. Ask yourself: “What stands out as important to the research question? What can be learned just by watching the footage several times?”
- 4 Critically evaluate whether or not you need to record some/more different footage for your analysis. Do you need to be closer or farther away, change the angle of view? Is the audio good quality? Did you capture the important parts of the action/behaviors? If not, what will it take to do so? Are there new variables derived from the initial footage?

Does the footage help you ask new questions about the data or readdress your original question?

- 5 Record more video footage, if needed.
- 6 Review footage again. What themes now emerge from your observations? What variables are becoming apparent to you that you could code?
- 7 Two kinds of variables—continuous variables and instantaneous variables. A continuous variable could be whether someone is touching something or not. This variable would be coded across the whole timeline as either on or off, touching or not. An instantaneous variable could be coding when the subject smiles, frowns, or looks away.
- 8 What do you do with the codes? How to conduct the analysis? Is it enough to simply code the scenes? What does a more sophisticated analysis look like?
 - a Now, with the codes, you can count the number of times things happen
 - b The length of time between occurrences of the action can be counted
 - c Differences in age, gender, or ethnicity may be important and codable
- 9 What do we do with the different variables? With the constant variables, we can measure the time duration, it also gives us a reference point for comparison. What does that tell us about the action or engagement? We can also measure the time between interactions (instantaneous variables), what do these time lapses tell us?

Reflection and Class Discussion

Have the students reflect on their experiences. They can share their video clips and have other students and the teacher comment on what they found and other possible ways to code the data. Possible questions include: What actions were easiest to code? Which ones were more difficult? What surprised you about the process? What might be some other ways you could code the data?

Online Teaching Modifications

This exercise is fairly easy to teach online. A synchronous modality using video conferencing software would be useful for the teaching lecture as this is a bit complex to convey if the students haven't done similar work before. The students' videos can be shared through a video-sharing platform that will allow for the needed file space.

46 Developing a Codebook for a Case Participant

Johnny Saldaña

Brief Description of Method

A codebook is written documentation of all the codes, their defining features, and representative data exemplars of an analyzed qualitative data corpus (e.g., interview transcripts, field notes, documents, and social media) in an organized, indexed array—alphabetically, categorically, thematically, and the like. The codebook is developed primarily for content analysis studies but can be applicable to other qualitative methodologies,

- 1 maintains an analytic record for review and reflection as a study proceeds;
- 2 provides a referential template for multiple coders working on the same qualitative data set or research project; and
- 3 serves as an evidentiary appendix for a study to enhance its credibility and trustworthiness.

Codebooks are recommended, especially for team research projects and significantly large data sets. They are continuously revised and refined throughout their development as coding and analysis progress.

References for Further Reading

Miles, M. B., A. Michael Huberman, and J. Saldaña. 2018. *Qualitative Data Analysis: A Methods Sourcebook*. 4th ed., 77–79. Thousand Oaks: Sage.

Saldaña, J. 2021. *The Coding Manual for Qualitative Researchers*. 4th ed., 41–44, 137–43. London: Sage.

Estimated Teacher Prep Time

60–90 minutes:

- Read or review the pages identified above in the References for Further Reading to familiarize yourself with in vivo coding, categorizing, and codebook development.
- Prepare a PowerPoint slides (provided) and homework materials in Word files for students (provided).

Estimated Duration of Lesson

- 90-minute in-class lecture and analytic activities
- 90- to 120-minute student-independent activity (homework)
- 30-minute reflective discussion (in a follow-up class session)

Materials Needed

- PowerPoint slides of “Developing a Codebook for a Case Participant PPT” (see provided slides) with presentation equipment (e.g., laptop, projector, and screen)
- Pencils and hard copies of the “Developing a Codebook for a Case Participant Data” Word file (provided), one for each student
- Digital copy of the Word file above, emailed to each student

Student Pre-Class Preparation

Students should already be familiar with (1) the methodological premises of coding qualitative data; and (2) basic methods of in vivo coding. If previous classes have not addressed these topics, they can be covered in this lesson. Copies of the pages identified above in the References for Further Reading should be assigned or given to students for pre-class reading.

Learning Outcomes

On completion of this activity, students will be able to do the following: (1) in vivo code, categorize, and create a codebook for a case participant’s interview transcript excerpt; and (2) consolidate two separate case participants’ codebooks into one codebook.

Lesson Instructions

This lesson consists of three parts: (1) an interactive in-class lecture; (2) a homework activity; and (3) a reflective class discussion. It is appropriate for both graduate students and advanced undergraduate students.

Interactive In-Class Lecture (~90 minutes)

Overview:

The goal of the lecture is to (1) review/explain in vivo coding methods; (2) demonstrate the process of categorizing in vivo codes and utilizing related analytic heuristics (e.g., analytic memos, diagrams, and found poetry); and (3) demonstrate the development of a case participant’s codebook. Proceed with the lecture as follows (using the provided PowerPoint slides):

- 1 *Introduce* the topic, learning outcomes, and codebook definitions (PowerPoint slides 1–3). If not addressed in a previous lesson, review/explain in vivo coding methods (PowerPoint slide 4). In vivo is Latin for “in that which is alive,” and refers to codes (consisting of a word or short phrase) extracted verbatim from a data set, most often an interview transcript: 10 minutes.
- 2 *Distribute* hard copies of the “Developing a Codebook for a Case Participant Data” Word file to students. Note that the research question for this hypothetical study is “What does it mean to be an engineer?”
- 3 *Read aloud* “Luke’s Interview Data, In Vivo Coded in Bold” (Word file pp. 3–4; PowerPoint slides 5–7), asking students to notice the in vivo code choices made by the analyst. Ask students if the same and/or different choices would have been made by them: 15 minutes.
- 4 *Proceed* through pp. 5–12 of the Word file, noting how the analyst proceeded from an alphabetized (p. 6) to categorized arrays (pp. 7–9), followed by a processual diagram (p. 10), analytic memo (p. 11), and found poem (p. 12). These are also illustrated in PowerPoint slides 8–14: 20 minutes.

- 5 Review “A Case Codebook for Luke’s In Vivo Codes” (Word file p. 13; PowerPoint slide 15), noting how the analyst constructed the table into four specific columns based on the analytic work thus far. Emphasize column 4s contents (“Coding Description and Example”): 10 minutes.
- 6 Read aloud the first paragraph block from the “Janice Interview Transcript Excerpt” (Word file p. 14, from “I think, being accountable” through “they’re open to those ideas”; PowerPoint slide 16). Reread it, asking students to circle/underline their selections of in vivo codes from the passage. Ask students to compare their initial choices with the analyst’s choices for the codebook on Word file p. 13, looking for similarities and possible new in vivo categories and subcategories arrangements: 10 minutes.

Homework Activity (~90–120 Minutes)

Overview: The homework assignment (see Word file p. 16; PowerPoint slide 19) transfers and applies the principles of the lecture with a new data set. Students can choose to work on a hard copy of the data set, or electronically in the Word file.

Assignment Instructions for Students: 10 minutes

- 1 Continue in vivo coding Janice’s interview transcript excerpt (pp. 14–15).
- 2 Extract the in vivo code choices from Janice’s data and follow (if desired) the analytic processes previously used with Luke’s in vivo codes:
 - a arrange codes in alphabetical order
 - b cluster and hierarchically/processually organize the codes
 - c rearrange and outline the codes into major categories and subcategories
 - d draw a processual diagram with selected in vivo codes
 - e compose a “first impressions” analytic memo about the codes
 - f compose a found poem with selected in vivo codes
- 3 Based on the analytic work thus far, create a separate codebook for Janice’s in vivo codes.
- 4 Consolidate Luke’s and Janice’s individual codebooks into one codebook. Emphasize that there might and might not be exact matches of in vivo categories and subcategories, yet they may fall into a categorical/subcategorical “family” that could be relabeled as such. As one example, Janice’s “analytically minded” in vivo code could be an in vivo subcategory of Luke’s “competent” in vivo category. Or, Janice’s “analytically minded” in vivo code could replace Luke’s “competent” in vivo category label.

Reflection and Class Discussion

Overview: The follow-up class session’s reflective discussion reviews students’ homework assignment: the development of Janice’s codebook, and the consolidation of Luke and Janice’s case codebooks into one codebook: 30 minutes.

Activities, Discussion Topics, and Questions:

- 1 Show PowerPoint slide 20 for the agenda. Share your in vivo code choices for Janice’s transcript with a partner to learn how your codes might have aligned with different coders’ choices.

- 2 (whole group discussion) Share some of your experiences and learnings about progressing from in vivo coding of Janice's transcript, into composing her case participant codebook.
- 3 Share some of your experiences and learnings about consolidating Luke's and Janice's case participant codebooks into one codebook.
- 4 What are some methods learned from this assignment that you might transfer into future analytic work and codebook development?
- 5 If the homework assignment is to be graded, collect students' hard-copy analytic work and codebooks, provide comments on each one, and return them graded.

Optional Follow-Up Discussion: 30 minutes

- 1 Briefly explain the statistical principles and purposes of interrater/intercoder reliability/agreement, along with formulas such as the kappa coefficient, Pearson's r , and the like, versus simple percentages (80–90%) of agreements; see PowerPoint slide 21.
- 2 If time permits, have students, in pairs, compute the simple percentage of agreement between them for their in vivo code choices for Janice's transcript excerpt (Word file pp. 14–15).
- 3 Discuss in vivo coding's applications and complications with interrater reliability.
- 4 Explain qualitative versions of the quantitative methods above for credibility and trustworthiness, known as: consensus coding, interpretive convergence, dialogical intersubjectivity, and the like.
- 5 Discuss "lone wolf" coding and auditing—the procedures of the homework assignment. Each individual student (a lone wolf) has developed a codebook for Janice. The instructor's review, comments, and grading of the assignment will serve as an audit of the student's work.

Online Teaching Modifications

This lesson is best done synchronously using online video conferencing software. The Reflection and Class Discussion activities could utilize breakout rooms of two to four students each for large enrollment classes. For small enrollment classes, utilize a whole group discussion throughout. If the homework assignment is to be graded, students submit a Word or PDF file of their analytic work and codebooks directly to the instructor.

47 Coding in Action

Applying Codes at Various Levels

Margaret V. du Bray

Brief Description of Method

When coding, researchers utilize words or short phrases to capture, describe, and/or summarize data; this is a key process in qualitative content analysis. Coding can include structural coding to organize data, as well as coding particular features within the dataset. Codes can be applied at the word, sentence, segment, or paragraph level with textual data, and can be applied to particular details or whole images with visual data. Though coding can be challenging to start, with practice, the method becomes more intuitive. When done iteratively, coding allows researchers to consider the relationship between individual data points and theory building.

Reference for Further Reading

Saldaña, J. 2009. An Introduction to Codes and Coding. In *The Coding Manual for Qualitative Researchers*, 3–21. Thousand Oaks: Sage.

Estimated Teacher Prep Time

90–120 minutes:

- Read or review Saldaña (2009)
- Prepare PowerPoint slides (provided)
 - Suggestion: Prepare examples of how you have used this method in your own research
- Prepare homework materials for students (not provided)

Estimated Duration of Lesson

- 50-minute in-class, interactive lecture
- 60-minute student-independent activity (homework)
- 20-minute reflective discussion (follow-up class session)

Materials Needed

- PowerPoint slides (provided) that describe the method and provide the opportunity for students to practice the method in class.

- Word processing software (e.g., Microsoft Word, TextEdit, and Google Docs) and/or a QDA program of your choosing (e.g., MAXQDA, Dedoose, NVivo, orAtlas.ti).

Student Pre-Class Preparation

Students need to read the Saldaña chapter prior to class.

Learning Outcomes

By the end of this unit, students will be able to (1) define *what* a code is; (2) explain *the process* of coding; and (3) apply codes to qualitative data.

Lesson Instructions

This lesson has three parts: (1) an in-class, interactive lecture; (2) a 60-minute homework activity; and (3) a follow-up reflective discussion. It is appropriate for advanced undergraduate and graduate students.

Interactive, In-Class Lecture (~50 minutes):

Overview:

Use the provided PowerPoint slides and proceed as follows:

- 1 *Provide an overview of the lesson (2 minutes, PowerPoint slides 1–4):* Potential script: “In this lecture, we will define what codes are, and what the process can look like, and then look at some examples. At the end of the lecture, we will go over the homework assignment.”
- 2 *What is a code, and how do we think about different types of codes? (7 minutes, PowerPoint slides 6–7):* Potential script: “Based on your interpretation of the reading, what is a code?” Allow students to generate their own ideas before providing the definition. “Saldaña gives us this definition: ‘A code ... is most often a word or short phrase that symbolically assigns a summative, salient, essence-capturing, and/or evocative attribute for a portion of data.’ So, what does that mean to you?” Allow some time for reflection.
 - a A *summative* code might be something that helps the researcher quickly explain a large section.
 - b A *salient* code might be something that occurs with high frequency or carries a particular weight decided upon by the researcher.
 - c An *essence-capturing* code might reflect an idea in the data that highlights a particularly important feature, either from the perspective of the researcher or from the respondent.
 - d A *symbolic* code might reflect an insider category or something that is otherwise metaphorical in the data.

There are also particular types of codes:

- a *Structural* codes help orient the researcher to the data and tell you something about how the data have been structured.
- b *In vivo* codes reflect verbatim text or features of data.

- c *Inductive* codes are those that emerge from the data. Sometimes these are specific to the location where data were collected.
- d *Deductive* codes are those that are based on existing literature, theory, or codebooks.

When thinking about the types of codes, you also need to be thinking about how you want to structure your coding; do you tend to be a “lumper” or a “splitter”?

- 3 *Choosing your unit of analysis (5 minutes, PowerPoint slides 8–10)*: Potential script: “If you are coding using an already existing codebook, it’s very likely that your codebook will tell you the unit of analysis. Here are a couple of possible units of analysis.”

For textual data:

- *Word*: Specific words in your data can be codes; a keywords in context analysis is an example of this.
- *Sentence*: Sometimes you may be looking for short segments of text that capture a broad idea; sentence-level coding is often best here.
- *Segment*: Coding at the segment level can be helpful in cases where, for example, a respondent changes topic partway through a paragraph.
- *Paragraph*: Coding at the paragraph level is often helpful when there is a very broad idea that connects across segments or sentences.

For image data:

- a *Feature*: You may be coding images and focusing on small details, such as whether a drawing includes a linear or cyclical process.
- b *Whole image*: Coding the whole image often allows you to capture broad ideas that are informed by the details embedded in the image.
 “Keep in mind that these are not necessarily mutually exclusive units of analysis; depending on the code, you may be taking all of these into consideration at any given time.”

- 4 *Coding as a process (5 minutes, PowerPoint slides 8–9)*: Potential script:

So, what is coding? Generally, it is the process of applying codes to relevant or appropriate sections of data. This is an iterative process, and it is not always straightforward. For this reason, it often requires extensive *memoing*, or taking notes to remind yourself (and anyone working with you) of the thoughts you had while you were coding.

When you start coding, it can feel overwhelming. I find that this analogy can help you understand what it feels like: Imagine you are searching for a chameleon in a forest; the chameleon will blend into the foliage, so you look closely at each and every leaf you pass by. You catch yourself thinking multiple times that a handful of leaves are a chameleon, but once you actually find the chameleon, you recognize it immediately. Coding is a lot like this!

Applying some codes is going to be more obvious than others; as you gain familiarity with the process, the data, and the codes themselves, you’ll find it gets easier. We’re going to go through some examples to give you the opportunity to practice.

- 5 *Show data; allow students time to look over the codebook and attempt coding (8 minutes, PowerPoint slides 13–22)*: Images provided in the PowerPoint slides are an example; please use data from the dataset students will be using for their homework. The first

viewing of the data is meant to help orient the students. Potential script: "I'm going to show you three examples; using the codebook, you'll code this sample data."

6 *Discuss the coding process (8 minutes, PowerPoint slide 23)*: Allow the students to discuss the coding process in pairs for about 4 minutes. Then, discuss as a class for about 4 minutes.

7 *Discuss pitfalls (5 minutes, PowerPoint slide 24)*: Potential script:

As we talked about earlier, it can be challenging initially to apply codes; it can feel like any data point might be worth coding. Becoming discerning takes practice! Reading into the data for hidden subtext is also a common problem. Work on taking the data at its word; don't think about what people "meant"; only look for *what is actually there*. Coding is a much more literal practice than it seems at first. You can analyze and think about what it means once you've finished coding.

8 *Coding as an iterative process (2 minutes, PowerPoint slide 25)*: Potential script:

Coding isn't a one-shot process; you often have to work through the data multiple times. Memos serve as a "trail of breadcrumbs" that you can refer back to. This can include notes on the code itself, observations about the data, and some thoughts about what it all means. Continually working with the data this way helps to move you toward theory building.

9 *Questions and explaining the homework assignment (10 minutes)*: See homework activity directions below.

Homework Activity (~60 minutes):

Overview:

Provide students with the data file of your choosing and assignment instructions as follows. You can build off the dataset and homework from Chapter 44 from Beresford and Bernard to have students create a codebook using Saldaña's chapter (Chapter 46), and then apply the codes per the assignment instructions.

Assignment instructions:

- 1 Open the data file and codebook either in your machine's word processing software (e.g., Microsoft Word, TextEdit, GoogleDocs) or in a QDA program of your choosing (e.g., MAXQDA, Dedoose, NVivo, and Atlas.ti).
- 2 Carefully read the codebook, including what data should be coded.
- 3 Carefully read through the data to familiarize yourself with them.
- 4 After an initial read, review the codebook and begin coding.
- 5 As you code, make sure to memo; are there segments that you're not sure about? Make a memo and come back to it. Are there pieces of data that connect? Make a memo.
- 6 Once you have completed your coding, write a paragraph that details your initial analysis of the data. In a second paragraph, (a) reflect on the experience; (b) describe the challenges you experienced and how you dealt with them; and (c) explain what was effective in this process.
- 7 Turn in your two-paragraph assignment. Be ready to discuss the experience with your classmates.

Reflection and Class Discussion

Overview: The reflection and discussion should take place after students have completed the homework. This should take approximately 20 minutes. Reflection and class discussion should help (1) students to reflect on their experience coding a small dataset using two to three codes; (2) discuss how coding contributes to theory building; and (3) listen to the experiences of others in the class to better understand pitfalls and successes in applying the method.

Discussion Questions

- What did you observe about the method as you worked on the homework? What challenges did you encounter? How did you resolve any problems you had?
- Did you find yourself trying to interpret “hidden subtext” in the dataset you worked with? If so, how did you deal with this? If not, were there any helpful strategies you used?
- How can this process (coding, memoing, etc.) contribute to theory building?

Online Teaching Modifications

This lesson can be adapted to a synchronous or asynchronous online setting by (1) uploading a PDF of the readings to a learning management system; (2) conducting class virtually using video conferencing software, or pre-recording and posting the lecture for individual viewing; and (3) offering ways to interact virtually or using discussion boards. If conducting class virtually and synchronously, use the lecture and offer opportunities for discussion and engagement during the virtual session. If conducting the class asynchronously, offer opportunities in the recording for students to pause the recording and reflect or do a short activity before resuming the recording. Use discussion boards or something similar for the reflection and discussion sections.

48 Teaching Intercoder Reliability Assessment

Cliódhna O'Connor and Helene Joffe

Brief Description of Method

For many research projects, intercoder reliability (ICR) assessment can prove a useful tool in producing a rigorous, reflexive, and systematic analysis. However, the practical steps for conducting ICR assessment are often overlooked in teaching qualitative research methods. This chapter proposes a hands-on exercise for teaching ICR assessment in the social sciences, following the approach developed by O'Connor and Joffe (2020).

References for Further Reading

- Campbell, J. L., C. Quincy, J. Osseman, and O. K. Pedersen. 2013. Coding in-Depth Semistructured Interviews: Problems of Unitization and Intercoder Reliability and Agreement. *Sociological Methods & Research* 42: 294–320.
- Hruschka, D. J., D. Schwartz, D. Cobb St. John, E. Picone-Decaro, R. A. Jenkins, and J. W. Carey. 2004. Reliability in Coding Open-ended Data: Lessons Learned from HIV Behavioral Research. *Field Methods* 16: 307–31.
- MacPhail, C., N. Khoza, L. Abler, and M. Ranganathan. 2016. Process Guidelines for Establishing Intercoder Reliability in Qualitative Studies. *Qualitative Research* 1: 198–212.
- O'Connor, C., and H. Joffe. 2020. Intercoder Reliability in Qualitative Research: Debates and Practical Guidelines. *International Journal of Qualitative Methods* 19: 1–13.

Estimated Teacher Prep Time

120–240 minutes:

- Read O'Connor and Joffe (2020)
- Prepare in-class lecture
- Prepare dataset and coding frame (the time this takes will depend on whether a precoded dataset is available to the teacher and how much data are included in the project)
- Create coding spreadsheet (see below)

Estimated Duration of Lesson

- 60-minute in-class lecture
- 240-minute independent student activity
- 90-minute in-class conclusion and reflection

Materials Needed

- *Dataset*: Teachers should provide an electronic dataset that reflects a topic and format (e.g., interview transcripts, news articles) relevant to their student cohort. Most likely, this will come from the teacher's own prior research; alternatively, viable datasets may be available from open-access repositories. In the dataset, the specific data units to be coded (codable chunks of text, e.g., short segments of interview transcripts) should be highlighted/underlined. For this teaching exercise, we recommend 80–100 short (i.e., <100 words) data units. Provision of the intact raw dataset is important to allow students to interpret the meaning of data units with reference to their surrounding context.
- *Coding frame*: A list of codes applicable to the dataset, with associated code definitions and examples, and organized into higher-order categories as appropriate. For the purposes of this teaching exercise, the coding frame should be limited to approximately 15–20 codes.
- *Coding spreadsheet*: A spreadsheet (e.g., .csv or .xls document) should be created that lists the full set of data units to be coded, with each data unit occupying its own row. Spreadsheet columns should be headed with each of the codes from the coding frame. Figure 48.1 displays a sample spreadsheet layout, abbreviated to 10 data units and 5 codes (for clarity, the column headings Code1, Code2, etc., should be replaced by actual code labels).
- *Computers*: Each student will need access to a computer/laptop/tablet.
- *Software*: ICR assessment is typically easier to perform using dedicated qualitative analysis software packages, such as ATLAS.ti or NVivo. However, since many institutions do not facilitate student access to such software, this exercise is designed for completion using Microsoft Excel or equivalent. In-class access to a statistical software package (e.g., SPSS, Stata) that can compute Cohen's kappa is also required.

Student Pre-Class Preparation

Prior to this lesson, students must have been taught, and ideally independently practiced, the steps involved in generating codes, organizing them into a coding frame/codebook, and applying codes to data (see Section 7 for coding lessons). Students should be advised to read

	A	B	C	D	E	F	G
1	Data-unit #	Data-unit text	Code1	Code2	Code3	Code4	Code5
2	1	The thing about				1	
3	2	When I tried to	1				1
4	3	You know, I did					1
5	4	He always told	1			1	
6	5	I was so surprise	1				
7	6	It was fantastic		1			
8	7	In my home we				1	
9	8	I can't believe th				1	
10	9	When she does				1	1
11	10	My own opinion	1				

Figure 48.1 Example of completed coding spreadsheet.

the O'Connor and Joffe (2020) article before class. Students should also familiarize themselves with the dataset and coding frame prior to the lesson.

Learning Outcomes

On completion of this lesson, students will be able to (1) critically consider the functions of ICR assessment in qualitative analysis; (2) conduct an ICR assessment; and (3) interpret ICR coefficients.

Lesson Instructions

The lesson has three components: (1) in-class lecture; (2) independent student activity; and (3) in-class conclusion and reflection.

1 In-Class Lecture (~60 minutes)

This should involve:

- a Introduction to the concept of quality criteria in qualitative research (~5 minutes)
- b Introduction to the concept of ICR (~10 minutes)
- c Overview of the general method of ICR assessment (i.e., two people separately code the same data, their coding decisions are compared, level of agreement is evaluated using reliability statistics with standardized interpretations) (~15 minutes)
- d Acknowledgment that ICR is somewhat controversial among qualitative researchers; interactive class discussion of its advantages and disadvantages (~15 minutes)
- e Explanation of the independent student activity, which should include: brief introduction to the dataset and coding frame; task instructions (as outlined below) including presentation of the coding spreadsheet; specification of whether data units should be coded with a single code or multiple relevant codes (this is a matter of teacher preference and likely depends on the specific analytic tradition to which they orient); time for questions (~15 minutes)

2 Independent Student Activity (~180 minutes)

This independent student work can be completed during class time and/or as homework, depending on teacher preference and availability.

- a All students should receive three electronic files: the dataset, coding frame, and coding spreadsheet.
- b Before starting to apply codes, students should ensure they are familiar with (i.e., have fully read and understood) the dataset and coding frame.
- c Students work independently to code all data units. In the coding spreadsheet, students should focus on each data unit (row) one-by-one, and decide which code/s to apply. If they find the meaning of a particular data unit unclear, they should return to the original dataset to contextualize it within its surrounding text. Once they decide which codes apply to a data unit, they should indicate this in the spreadsheet by entering 1 in the relevant column. Single or multiple codes can be applied to a data unit (e.g., in Figure 48.1 Data unit 3 has been coded with just Code 5, whereas Data unit 2 has been coded with Code 1 and Code 4). Figure 48.1 illustrates what the spreadsheet should look like. Here, Codes 1–5 are unnamed hypothetical codes but in an actual project, these codes would have meaningful labels (e.g., Signs of Surprise, Signs of Enthusiasm, or Expressions of Disbelief).

- d Once the students have coded all data units, they should review the consistency of their coding decisions (particularly of early-coded data units, which may have been coded before the coding frame had fully consolidated in their working memory). *It is important that students do not change the order of data units (rows) in the file, as this would disrupt the process of calculating ICR (see below).*
- 3 In-Class Conclusion and Reflection (~90 minutes)
- All students bring their completed coding spreadsheets (electronic files) to class. During class, students should have access to a computer/laptop/tablet with the relevant statistical software installed (at least one computer between two students). Students should be assigned to pairs for comparison of coding decisions. The teacher guides the class in the process of statistically computing ICR, ideally using a computer with a screen projector so students can follow the steps taken.
- a Each pair of students should work together to merge their two coding spreadsheets into a single file. This can be achieved by simply copying and pasting the cells indicating Student B's coding decisions into Student A's spreadsheet. Note that the added cells should be pasted horizontally rather than vertically to the existing cells (i.e., besides rather than below Student A's completed cells, see Figure 48.2). The spreadsheet software may require that students change the column headings to avoid duplication; simply add a letter/number to differentiate the newly added Student B columns (e.g., code1_B, code2_B, etc.). Figure 48.2 displays an example of a merged spreadsheet where students' coding decisions are similar but show some discrepancies (e.g., Data unit 2 was coded by Student A with Codes 1 and 4 but just with Code 1 by Student B; Data unit 3 was coded with Code 5 by Student A but Code 4 by Student B. [~10 minutes]).
- b In the merged spreadsheet, use an automated method (e.g., *Go to Special* function in Microsoft Excel) to replace all blank cells with 0 (this can alternatively be done after exporting to the statistical software if preferred). Each 0 indicates that this column's code was *not* applied to this row's data unit. Save the document as a.csv file (~5 minutes).
- c Open the statistical software program that will be used to calculate reliability. Import the merged spreadsheet. The statistical software may have difficulty importing the column that identifies data units (i.e., Data unit text in Figure 48.2) if it contains lengthy amounts of text; this text is no longer needed and can be deleted or truncated (~5 minutes).

	A	B	C	D	E	F	G	H	I	J	K	L
1	Data-unit #	Data-unit text	Code1_A	Code2_A	Code3_A	Code4_A	Code5_A	Code1_B	Code2_B	Code3_B	Code4_B	Code5_B
2	1	The thing about	0	0	1	0	0	0	0	1	0	0
3	2	When I tried to	1	0	0	1	0	1	0	0	0	0
4	3	You know, I did	0	0	0	0	1	0	0	0	1	0
5	4	He always told	1	0	0	1	0	1	0	0	1	0
6	5	I was so surprise	1	0	0	0	0	1	0	0	0	0
7	6	It was fantastic	0	1	0	0	0	0	1	0	0	0
8	7	In my home we	0	0	1	0	0	0	0	1	0	0
9	8	I can't believe th	0	0	1	0	0	0	0	0	1	0
10	9	When she does	0	0	1	0	1	0	0	1	0	1
11	10	My own opinion	1	0	0	0	0	1	0	0	0	0

Figure 48.2 Merged coding spreadsheet (column headings suffixed with A/B indicate Student A/B's respective coding decisions).

- d Student pairs should now calculate Cohen's kappa for each code, via the procedures specific to the statistical software being used. For example, in SPSS 27, kappa can be accessed through the *Analyze>Descriptive Statistics>Crosstabs* function: Simply move the two variables representing each student's application of the same code (e.g., code1_A and code1_B) into the Row and Column boxes respectively, and under Statistics select *kappa*. This should be repeated for each of the codes in the coding frame (~20 minutes).
- e The teacher should remind students of the generally accepted rules of thumb for interpreting kappa coefficients (i.e., 0.81–1.0 = nearly perfect; 0.61–0.80 = substantial; 0.41–0.60 = moderate; 0.21–0.40 = fair; 0.01–0.20 = slight; and <0 = no agreement) (O'Connor and Joffe 2020) (~5 minutes).
- f Once student pairs have generated a kappa statistic for each code, they should discuss their results with each other. In particular, they should identify codes that achieved poor reliability and consider whether there were systematic differences in how each interpreted their meaning. This may require returning to their original coding spreadsheets to compare their interpretations of specific data units (~15 minutes).
- g To conclude the lesson, the teacher should lead a whole-class discussion exploring student experiences of the ICR process, and their resulting thoughts on ICR's benefits and drawbacks (~30 minutes).

Reflection and Class Discussion

Some questions for class discussion include:

- How does ICR assessment change one's experience of coding data? Do these changes improve or detract from the analysis produced?
- How should researchers treat poorly performing codes—discard, modify, and repeat the ICR process, or retain unreliable codes if they are theoretically important?
- Is there a risk of becoming overly fixated on reliability coefficients as the focal objective of the analysis, at the expense of the substantive analytic work?

Online Teaching Modifications

The in-class components of this lesson could easily be adapted for synchronous delivery using an online video conferencing software, with student pairs assigned into breakout rooms for calculating ICR and sharing spreadsheets over email, screen sharing, or using a collaborative spreadsheet (e.g., Google Sheets).

49 Teaching Qualitative Content Analysis

Udo Kuckartz and Stefan Rädiker

Brief Description of Method

Qualitative content analysis (QCA) is a method for the systematic analysis of qualitative data, for example for interviews, focus groups, and many other forms of text and media data. In this lesson, students learn the basic characteristics of qualitative content analysis and its typical procedure. The ability to form appropriate categories for analysis is important to successfully conduct a QCA. Students learn that there are different ways to form a category system and perform the important step of developing a differentiated coding framework themselves. To illustrate that QCA not only proceeds in a category- and topic-oriented manner, but can also integrate case-based perspectives, students also write case summaries.

References for Further Reading

- Kuckartz, U. 2019. Qualitative Text Analysis: A Systematic Approach. In *Compendium for Early Career Researchers in Mathematics Education*, edited by G. Kaiser and N. Presmeg, 181–97. ICME-13 Monographs. Cham: Springer International Publishing. https://doi.org/10.1007/978-3-030-15636-7_8.
- Kuckartz, U. and S. Rädiker. 2023. *Qualitative Text Analysis: A Guide to Methods, Practice & Using Software*. 2nd ed. Thousand Oaks: Sage.
- Rädiker, S., and U. Kuckartz. 2020. *Focused Analysis of Qualitative Interviews with MAXQDA: Step by Step*. Berlin: MAXQDA Press.

Estimated Teacher Prep Time

90–120 minutes if you are giving the lesson for the first time; 30–60 minutes afterward

- Read or review Kuckartz (2019).
- Decide which example of data to use. Here we use data from a project on climate change and climate awareness (worksheets, 1, 2 and 3 – provided).
- Prepare PowerPoint slides with an introduction and explanations.
- Prepare students' homework.
- Consider having students submit their term papers in digital format.
- Conduct the hands-on activity and the homework on your own to identify potential pitfalls.
- For Class 2: 30-minute review homework results and prepare for Class 2.

Estimated Duration of Lesson

- 90–120 minutes for in-class interactive lecture (Class 1)
- 90 minutes for students' independent activity (homework)
- 90 minutes for presentation, discussion, and reflection on the homework (Class 2)

Materials Needed

For Class 1:

- PowerPoint slides outlining the foundation of QCA, the steps of the method, and details on categories and their development (provided)
- data set (if you use your own data)

For homework activity:

- instructions and worksheets for students (provided)

For Class 2

- slides (optional)
- handout with selected homework results (optional)
- flipchart and/or computer to note results

Student Pre-Class Preparation

None. Students may read Kuckartz (2019) before class. Basic knowledge of qualitative methods is helpful, but not mandatory.

For advanced classes, reading general literature on qualitative methods and qualitative data analysis is recommended.

Learning Outcomes

After completing the lesson, students will be able to: (1) recognize the importance of the research question for category development; (2) describe the steps of qualitative content analysis; (3) identify different ways of developing categories; (4) assess the quality of category systems; and (5) further develop categories and differentiate them into subcategories.

They will also reflect on why it is useful to analyze data in multiple cycles and why it is useful to analyze not only in a category-oriented way but also in a case-oriented one.

Lesson Instructions

The lesson consists of three parts that build on each other: (1) an introductory class with hands-on activities; (2) a homework activity; and (3) a reflection class.

1 Introductory Class (~90–120 minutes)

Overview: After a brief lecture on the general process of QCA, its basic features, different types of categories, and how to develop and apply them, students independently develop categories and code text segments from interviews.

Step 1: Introduce QCA, categories, and coding (~30–45 minutes)

Use our slides or create your own to introduce the typical QCA process and key terms and procedures. It is recommended that at least the following questions are addressed:

- What does a typical QCA process look like?—Research questions, read and explore, develop categories, apply categories (code), analyze coded data, and present results.
- What are categories?—Categories are the most important tool in qualitative content analysis. They capture meaning, structure and sort the data, and the like.
- What are the differences between codes, concepts, themes, and categories?—Often, these labels are related to a range of levels of abstraction (e.g., codes with high proximity to the data develop through to more abstract categories).
- What kinds of categories can be distinguished?—It is helpful to be aware of different category types, such as factual, thematic, evaluative, formal, analytical, and theoretical categories. Give examples for each type of category.
- What is a category system?—There are different ways to arrange categories into a coherent system. Usually, categories are arranged in a hierarchical manner.
- How can we develop categories?—Basically, one can distinguish between deductive (concept-driven, a-priori) category development without empirical data and inductive development using the material. Specifically, explain the creation of “open codes” directly next to the text, to later develop categories with the material during the hands-on activity.

You can use Chapters 2–4 of Rädiker and Kuckartz (2020) to prepare your presentation.

Step 2: Hands-on activity “Developing sub-categories inductively” (~45 minutes)

For the following steps, you need example data, typically interviews that have already been coded in a first coding cycle and that are suitable for compiling more detailed text segments. We often work with the data of a study on climate awareness comprising 30 interviews. These have already been coded in a first coding cycle with thematic categories representing the interview guide and from which we can use a short subset of cases and text segments.

- Give students 1–2 pages with text segments that have been coded with the same main category. Ensure that the data is easy to understand without prior knowledge, but at the same time offers several critical coding decisions. (You can use all or a part of our segments coded with the category “Biggest world problems” worksheet 1)
- In the first task (~20 minutes), each student works through the segments and is asked to create about six to nine sub-categories inductively.
- In the second task (~20 minutes), two students at a time present their results to each other and are asked to agree on a category system.

Step 3: Discuss and reflect the results of the hands-on activity (~25 minutes)

- Two to three groups share their results and additional groups explain theirs if they have completely different approaches that might be interesting to compare.
- Discuss and reflect on the process of category development (e.g., how to deal with different perspectives in one category system, such as thematic vs. causal in this short interview statement: “the overpopulation and the resulting poverty in the world”).

2 Homework Activity (~90 minutes)

Overview: The students work through another set of text segments from the same interviews, code them, and write a case summary combining information from both categories for one interviewee.

Step 4: Developing subcategories for another category (~45 minutes)

- Provide students with worksheets that contain segments from another category (e.g., from “Personal behavior” [provided-worksheet 2]).
- Ask students to create and apply sub-categories to each segment (similar to their task in the class before).
- Optionally, depending on the learner’s level, encourage them to use the comment feature in a text processing software or to use a software package for qualitative data analysis such as MAXQDA or NVivo for this task.

Step 5: Writing a case summary (~45 minutes)

- Provide a sheet containing the statements on both analyzed categories for about three interviewees in a table (provided worksheet 3).
- Students select one of the interviewees and write a descriptive case summary, with bullet points or as body text, that reflects key statements about the two categories analyzed (in our example, biggest world problems and personal behavior).
- While writing, students should consider the sub-categories assigned to the relevant text segments in their thoughts and descriptions.
- The students should conclude the summary with initial ideas about the relationships between the two categories; in our example, between perception of biggest world problems and personal behavior.

3. Reflection Class (~90 minutes)

Overview: Students present their homework results, discuss similarities and differences, and reflect on methodical challenges and issues.

Step 6: Presentation of sub-categories and case summaries (~50 minutes)

- First, some students present their sub-categories to the group and the others report whether they came to similar or different results. Then some read their case summaries out loud.

Step 7: Discussion and reflection about the results and the process (~40 minutes)

- Within small groups or in the whole class, discuss at least the following questions: How did developing the sub-categories at home differ from the first process in class? What challenges did you face in writing the case summaries?
- Emphasize that writing case summaries helps avoid an atomistic view of small text parts but brings the whole case to life.

Adaptions depending on the available time and the learner's level:

- To shorten the necessary time, you could discuss already existing solutions for sub-categories in Step 2.
- To extend the time, you could include more text segments or more categories in Steps 2 and 4. In Step 6, the students can present their results in small groups before working in plenary.

Reflection and Class Discussion

Here are some discussion questions that foster a general methodological reflection:

- How can you assess the quality of category systems?
- How much text should a single coded segment include?
- How can you deal with different analytical perspectives in coding?
- How can you deal with redundancies and repeated statements?
- Which options of analysis do you have after coding?
- How can you strike a balance between case- and category-oriented analysis?

Online Teaching Modifications

The lesson can be easily adapted for online teaching. Classes 1 and 2 can be conducted using synchronous video conferencing software. The PowerPoint introduction to QCA can be done via screen broadcast. For group work and homework, the required materials and instructions can be made available for download. The students can upload their results to a learning management system. You can ask students to look into at least three results before the reflection class.

Modifications are required for asynchronous delivery. The introduction to QCA can either be converted to written form (PDF) or you can pre-record the lecture and share the video. Forums are used for follow-up questions, discussions, and reflections. In general, synchronous teaching should be given preference over asynchronous teaching for this lesson.

50 Context Matters

Conducting Word-Based Analysis in Qualitative Research

Margaret V. du Bray

Brief Description of Method

Keywords-in-context (KWIC) analysis is a method of qualitative data analysis that focuses on salient words in textual data. KWIC analysis uses short segments of text to search for patterns of word usage that explain *what* people are talking about, and *how* they talk about it. While KWIC is often criticized for failing to provide insight into broader cultural patterns, when used appropriately, it can be used as a starting place to consider how and why textual patterns emerge and explain the significance of these patterns in the cultural context.

References for Further Reading

Ryan, G., and T. Weisner. 1996. Analyzing Words in Brief Descriptions: Fathers and Mothers Describe Their Children. *CAM Journal* 8: 13–16.

Taylor, K., S. Thorne, and J. L. Oliffe. 2015. It's a Sentence, Not a Word: Insights from a Keyword Analysis in Cancer Communication. *Qualitative Health Research* 25: 110–21.

Estimated Teacher Prep Time

90–120 minutes:

- Read or review Ryan and Weisner (1996)
- Prepare PowerPoint slides (provided)
 - Suggestion: Pull quotes from the dataset you intend to assign; prepare examples of how you have used this method in your own research
- Prepare homework materials for students (not provided)

Estimated Duration of Lesson

- 50-minute in-class, interactive lecture
- 60-minute student-independent activity (homework)
- 20-minute reflective discussion (follow-up class session)

Materials Needed

- PowerPoint slides (provided) that describe the method and provide the opportunity for students to practice the method in class.

- Word processing software (e.g., Microsoft Word, TextEdit, and Google Docs) or a QDA program of your choosing (e.g., MAXQDA, Dedoose, NVivo, and Atlas.ti).

Student Pre-Class Preparation

Students will need to read the Ryan and Weisner article prior to class.

Learning Outcomes

By the end of this unit, students will be able to (1) define *what* a keywords-in-context analysis is, including defining key terms, and explain *when* such an analysis is useful; (2) assemble a list of keywords from a dataset; (3) apply keywords as codes and explain the context in which these words appear; and (4) explain the strengths and weaknesses of this approach.

Lesson Instructions

This lesson has three parts: (1) an in-class, interactive lecture; (2) a 60-minute homework activity; and (3) a follow-up reflective discussion. It is appropriate for intermediate and advanced undergraduate and graduate students.

Interactive, In-Class Lecture (~50 minutes):

Overview:

Use the provided PowerPoint slides and proceed as follows:

- 1 *Provide an overview of the lesson (2 minutes, PowerPoint slides 1–3).* This provides students with a roadmap for the lecture. Potential script:

This lecture focuses on keywords-in-context analysis, which is one form of word-based analysis. Here are the learning outcomes for today's lesson. We will define this method and some of the key terms used, discuss what kind of data we use when conducting this analysis, consider the units of analysis, and consider what type of questions can be answered using KWIC. We will discuss how to assemble an inductive keyword list versus applying a deductive keyword list. Then, we will practice generating a keyword list while looking at some examples. Using these same examples, we will consider the salience, patterns, context, and relationships we observe. Finally, we will discuss conducting a KWIC by hand, versus using machine-assisted coding.

- 2 *What is a keywords-in-context analysis? (5 minutes, PowerPoint slides 4–5).* Potential script: "If you had no prior knowledge of this method, how would you go about defining KWIC?" Allow students to generate some definitions before providing the definition.

This type of analysis is characterized by being word based; therefore, it can be applied to any kind of textual data, including transcribed interviews, news articles, etc. We are interested in this method not just to develop lists of frequently used words, but to understand what people are talking about, and how they talk about it.

Provide examples from your own research, if possible.

- 3 *Brief discussion of Ryan and Weisner's article (3–5 minutes, PowerPoint slide 6).* What initial impressions or questions do students have?
- 4 *Define key terms (5 minutes, PowerPoint slide 7).* Potential script: “Ryan and Weisner bring up these four key terms at the beginning of their article. Based on your reading of the text, and based on your preexisting knowledge, how would you define these terms?” Allow students to generate ideas before providing the definitions. Discuss examples from your own work where these terms apply.
 - a Salience: “When we talk about salience, often we’re talking about frequency (an etic category) or distinguishing terms or phrases with shared meaning (emic category).”
 - b Patterning: “Repetition is one example of patterning; which words do people repeat in particular contexts?”
 - c Context:

The optional reading, Taylor et al., puts a play on the idea that cancer is just a word, not a death sentence. For this type of analysis, they argue that we must look at the context in which words are used, not just singular keywords. This allows us to build toward theme generation and developing cultural understanding.
 - d Relationship between words: “Consider what words are used together—what does this tell us about how people think about the topic?”
- 5 *Read narratives out loud (2 minutes, PowerPoint slides 8–9).* Narratives provided in the PowerPoint slides are an example; please use quotes from the dataset students will be using for their homework. The first reading of the narratives is meant to familiarize students with the data.
- 6 *Generate a keyword list (3 minutes, PowerPoint slides 10–11).* Based on a second reading of the narratives, students should take 2–3 minutes to generate their own keyword list. Potential script: “I will leave the narrative up for you to look at. Based on your reading, generate a keyword list of 2–3 words.”
- 7 *Consider the keyword list and the narratives again (7 minutes, PowerPoint slide 12).* By themselves, students should consider the salience and patterns of the words in their keyword list. This should take ~ 2 minutes. Then, in pairs, students should explain the salience and patterns they see. Provide ~ 5 minutes for partners to discuss the keyword list, and the patterns and salience of the keywords they selected.
- 8 *Consider the context and the potential relationships (10 minutes, PowerPoint slides 13–14).* Potential script: “Review the narratives one more time. Categorize the context of your keywords. What potential relationships between words do you see?” Allow students to share as a group.
- 9 *Hand-coding vs. machine-assisted coding (5 minutes, PowerPoint slide 15).* Potential script:

You have just tried hand-coding. As you can see, hand-coding is very doable, but there are some issues you might encounter. Hand-coding is free, and very possible when you have a small dataset. With a larger dataset, you can imagine that it might be cumbersome. It can be mentally taxing and can take quite a long time; it can also introduce more human error than machine-assisted coding. Programs such as MAXQDA, Dedoose, NVivo, Atlas.ti—all of these can help with a large dataset and/or a short analysis timeline. They are more expensive, however. Regardless of how you approach this method, it is imperative that you closely read the texts that you

are working with, and that you, or another researcher on the project, has insider and/or ethnographic knowledge of the context to be sure that your interpretations are valid.

- 10 *Questions and explaining the homework assignment (10 minutes)*. See homework activity directions below.

Homework Activity (~60 minutes):

Overview:

Provide students with the data file of your choosing and assignment instructions as follows.

Assignment Instructions:

- 1 Open the data file either in your machine's word processing software (e.g., Microsoft Word, TextEdit, and Google Docs) or in a QDA program of your choosing (e.g., MAX-QDA, Dedoose, NVivo, and Atlas.ti)
- 2 Carefully read through the data to develop an understanding of the content and context of the data.
- 3 After a second read, begin to develop a keyword list of three to five keywords. When compiling this list, consider *salience* and *patterns*. You can highlight these keywords in word processing software, or develop *in vivo* codes in a QDA program.
- 4 Once you have decided on the keyword list, go through and code for these keywords in your data.
- 5 On completing the keyword coding, go back and read for *context* and *relationships between words*, while also continuing to think about *salience* and *patterns*. Jot down notes to help formulate your thoughts.
- 6 Once you have completed your coding and third read-through, write a paragraph that details your initial analysis of the data. In a second paragraph, explain (a) how you compiled your keyword list; (b) any shortcomings of your list and this analysis; and (c) what was effective in this analysis.
- 7 Turn in your two-paragraph assignment (see above) and bring your keyword list to class. Be ready to discuss the experience with your classmates.

Reflection and Class Discussion

Overview: The reflection and discussion should take place after students have completed the homework. This should take approximately 20 minutes. Reflection and class discussion should help (1) students to reflect on their experience assembling a list of keywords and explain why they chose these keywords; (2) explain the benefits and limitations of using the method based on their experience; and (3) listen to the experiences of others in the class to better understand pitfalls and successes in applying the method.

Discussion Questions:

- What did you observe about the method as you worked on the homework? What limitations did you notice? What were the benefits?
- What types of research questions can be analyzed using a KWIC analysis? How can it complement other methods in answering these questions?
- Why can't KWIC produce holistic interpretations of cultural norms? What insights can it offer?

Online Teaching Modifications

This lesson can be adapted to a synchronous or asynchronous online setting by (1) uploading a PDF of the readings to an online platform; (2) conducting class virtually, or pre-recording the lecture for individual viewing; and (3) offering ways to interact virtually or using discussion boards. If conducting class virtually and synchronously, use the lecture and offer opportunities for discussion and engagement during the virtual session. If conducting the class asynchronously, offer opportunities in the recording for students to pause the recording and reflect or do a short activity before resuming the recording. Use discussion boards or something similar for the reflection and discussion sections.

Section 8

Grounded Theory, Phenomenology, and Narrative Analysis

Studying human experiences and narratives is the focus of the three methods covered in this section of the handbook. (1) Grounded theory facilitates the discovery of mid-range theory from an analysis of people's experiences. (2) Phenomenology is a descriptive or interpretive method that examines people's lived experiences, how experiences relate to their own consciousness, and how experiences fit in social lives. (3) Narrative analysis examines how people construct and structure stories, whether oral or written.

Grounded theory emerged in the 1960s to address the overemphasis on big theory in sociology. Phenomenology emerged from philosophy to facilitate the exploration of human consciousness, and how it relates to the social world. Narrative analysis comes from a very long tradition in linguistics and folklore and contemporary approaches in psychology, all of which focus on events and experiences. Grounded theory, phenomenology, and narrative analysis are all often used in the social sciences to do inductive or interpretive research.

Grounded theory, phenomenology, and narrative analysis generally require a high degree of creativity, intuition, and spontaneity. As a result, these approaches can be a bit harder to teach than those that easily lend themselves to step-by-step implementation. Another challenge to teaching these methods is their largely inductive or interpretive nature. Ideally, students would be trained in inductive and deductive approaches to theory-building: This would help them understand when to choose these methods over others. Even for those students who never go on to use inductive or interpretive approaches, training to know when and how to use these methods is an enriching experience.

In the first chapter, Foley's lesson covers the basics of grounded theory. In the second chapter, Dahal's lesson introduces phenomenology and explains how to approach a phenomenological interpretation. Next, there are three lessons. Franzosi's lesson is an introduction to narrative analysis that also covers computational approaches. Vindrola-Padros and Maio's lesson takes a more interpretive approach to narrative analysis, emphasizing the role of analyzing what is unspoken in the narrative. Finally, Mendenhall's lesson emphasizes the roles of idioms and takes a mixed-methods approach to life history narratives.

51 Doing Grounded Theory

Key Steps for Design, Data Collection, and Analysis

Geraldine Foley

Brief Description of Method

The grounded theory method is a systematic set of techniques and procedures to identify concepts and build theory from data—its founders were Barney Glaser and Anselm Strauss (Glaser and Strauss 2017 [1967]). The method, which originated in the 1960s, was developed in reaction to an undue emphasis on verification and deduction in social science research. The grounded theory method is primarily inductive, whereby data collection and data analysis together steer the course for sampling.

References for Further Reading

- Birks, M., K. Hoare, and J. Mills. 2019. Grounded Theory: The FAQs. *International Journal of Qualitative Methods* 18: 1–7.
- Corbin, J., and A. Strauss. 2015. *Basics of Qualitative Research. Techniques and Procedures for Developing Grounded Theory*. 4th ed. Thousand Oaks: Sage.
- Flick, U. 2018. *Doing Grounded Theory. The Sage Qualitative Research Kit*. 2nd ed. London: Sage.
- Glaser, B. G., and A. L. Strauss. 2017 [1967]. *The Discovery of Grounded Theory: Strategies for Qualitative Research*. Chicago: Aldine Transaction. 7th paperback printing. (Original work published 1967).
- Timonen, V., G. Foley, and C. Conlon. 2018. Challenges when Using Grounded Theory. A Pragmatic Introduction to Doing GT Research. *International Journal of Qualitative Methods* 17: 1–10.

Estimated Teacher Prep Time

4 hours:

- Refer to Chapters 2–6 in Flick (2018), which documents key procedures for doing grounded theory.
- Read Timonen et al. (2018) and Birks et al. (2019), which answer key questions researchers and students typically have about the method.
- Review PowerPoint slides provided as a supplement to the above reading.
- Expand PowerPoint slides provided on theoretical sampling to substantiate instructor learning.
- A physical whiteboard for in-person teaching.

Estimated Duration of Lesson

- Two 2-hour interactive in-class lectures
- 5 hours for homework
- 2-hour follow-up class with critical reflection

Materials Needed

- In-class integrated audio-visual system
- Physical whiteboard
- Clean dataset of interview transcripts (electronic, e.g., Microsoft Word) from a qualitative study
- Computer-assisted data analysis software (e.g., NVivo) available to all classes if possible
- PowerPoint slides provided

Student Pre-Class Preparation

Students should refer to Chapters 2–6 in Flick (2018) to familiarize themselves with key terminology for data collection and analysis in grounded theory. Supplementary reading may include G. Foley, V. Timonen, C. Conlon, and C. E. O'Dare (2021). Interviewing as a Vehicle for Theoretical Sampling in Grounded Theory. *International Journal of Qualitative Methods* 20: 1–10.

Students should also familiarize themselves with the basic features of a qualitative data analysis software program (e.g., NVivo, MaxQDA) for the purpose of coding qualitative data.

Learning Outcomes

On completing the teaching sessions, students will be able to:

- 1 Outline key considerations for designing a grounded theory study.
- 2 Decipher key procedures for sampling, data collection, and data analysis in grounded theory.
- 3 Code data to form codes, concepts, and categories.
- 4 Compile a protocol for a grounded study on a topic of interest and/or in their field.

Lesson Instructions

Teaching comprises four components: Two in-class interactive lectures, homework activity, and one reflective class discussion. The lesson instructions are appropriate for advanced postgraduate students.

Interactive In-Class Lecture No. 1 (~2 hours)

Use the PowerPoint slides (including if modified and expanded by the instructor) to:

- 1 Introduce the grounded theory method (slides 1–5). Then ask the class what are key features of the method that distinguish it from other qualitative approaches. A key characteristic

that delineates the grounded theory method from other qualitative approaches is the task of analyzing data to determine where and from whom more data should be collected and for what purpose (~15 minutes).

- 2 Use slide 6 to explain when the method is appropriate to use. Then divide the class into groups and ask each group to formulate a research question that could be answered by using the grounded theory method and to present in no more than 2–3 points why their research question justifies the use of the method (~20 minutes).
- 3 Refer to slides 7 and 8 on the feasibility of data collection in a grounded theory study. Generate discussion among the class about the pragmatics of accessing a target population where data need to be generated to trigger theoretical sampling and allow for sampling of concepts in the data (~15 minutes).
- 4 Proceed to outline data collection methods used in grounded theory (slides 9 and 10). Use slide 11 to explain how to formulate an interview guide or focus group schedule at the outset of a study. Ask the students to explain why they think interviews and focus groups might be appropriate to generate data in a grounded theory study (~20 minutes). ~10-minute break
- 5 Refer to slides 12 and 13 to explain how interviewing as a data collection method proceeds in a grounded theory study and why interview questions or the focus of questioning can alter with more data collection (~15 minutes).
- 6 Generate a critical discussion on why theoretical sampling proceeds purposeful sampling in grounded theory. Explain to the class that it is not possible to predict at the outset of a study when theoretical sampling will begin but that when questions evolve or participants are sampled based on the data, it means that the researcher is sampling theoretically (~15 minutes).
- 7 End the session by outlining the homework required of students before the next interactive in-class lecture (~10 minutes).

Homework Activity Following In-Class Lecture No. 1 (~90 minutes)

- 1 Instruct the class to remain in the same groups that formulated a research question they thought at the beginning of the in-class lecture could be answered using the grounded theory method. Then ask each group to revisit their proposed question and, where necessary, modify or change their research question based on what they have learned in the in-class lecture. Each group should then (re)compile 2–3 points why their research question justifies the use of the method.
- 2 Instruct each group to compile an interview guide (a set of open-ended questions) suitable to use as a data collection tool for their proposed study.

Interactive In-Class Lecture No. 2 (~2 hours)

Prior to commencing this interactive in-class lecture, provide, if possible, student access to qualitative data analysis software (e.g., NVivo, MaxQDA). Students and the instructor should use the same software to aid in-class learning. Upload a clean set of pseudonymized interview-based transcripts (i.e., raw data [no more than 10 interviews for the purpose of in-class and homework-based learning], which the instructor has permission to use for teaching). Then share the transcripts with students using the relevant share option available on the software. Alternatively, share the softcopy transcripts directly with students via a shared drive and request students to upload the transcripts themselves. Ask students to read all transcripts prior to the in-class lecture.

- 1 Use slides 14–18 to introduce the primary features of grounded theory analysis. Explain that terminology can differ between methodologists, but that analysis in grounded theory follows the fundamental procedures as outlined in slide 16 (~10 minutes).
- 2 Use slides 19–26 to aid explanation of coding in a grounded theory study. Explain that although there are different phases of coding in grounded theory analysis, the researcher can move back and forth between these phases when looking for relationships between concepts or when building concepts and categories (~15 minutes).
- 3 Outline to students the study and the research question(s) that the data (i.e., transcripts) have come from. Allow students ~30 minutes to practice open coding the first three transcripts. ~10-minute break
- 4 Ask for feedback from students on their open (preliminary) codes, including how they expanded codes to form concepts. Then instruct students to look for connections between codes and concepts to form a category that helps explain a particular concept or category. This will require coding more transcripts to make connections between concepts but also looking for variation within concepts and categories (see slide 23). Remind students that this level of coding is axial coding. Allow ~45 minutes for this task.
Explain to students that at this stage of analysis, it will not be possible to identify a core category because that occurs after analysis of most or all of a dataset and in general from datasets larger than the size of the dataset used here for the purpose of practicing coding.
- 5 End the session by outlining the homework required before a follow-up class to reflect on learning. Inform the students that the follow-up class will involve a presentation and discussion on homework from both in-class interactive sessions (~10 minutes).

Homework Activity after In-Class Lecture No. 2 (~3 and 1/2 hours)

- 1 Instruct students to code an additional three to four transcripts using both open and axial coding to generate tentative categories. Students should also compile a memo outlining how a category came about and what connections between concepts resulted in the category.
- 2 Ask each group from the first in-class lecture to compile a two-page protocol for the proposed study for which they formulated a research question during their first homework activity.

Follow-Up Class—Critical Reflection and Discussion (~2 hours)

- 1 Randomly select three to four students to present to the class their coding sheet (codes, concepts, and a least one category) and a memo that documents the rationale for making connections between the data to form the category. Generate discussion among the class to critically reflect on procedures undertaken (~40 minutes). ~10-minute break
- 2 Randomly select approximately three groups to present their study protocol (which includes the research question and interview guide compiled from the first homework activity) to the class and generate discussion among class to critically reflect on each protocol (~40 minutes).
- 3 Complete the follow-up class to recap on key methodological considerations at the design stage of a grounded theory study and on basic procedures for grounded theory data collection and analysis. Use a physical whiteboard as a tool to capture students' responses (~30 minutes).

Online Teaching Modifications

This lesson can be delivered online (following the same structure as the in-class lesson) by using synchronous video conferencing software and posting documents to a learning management system. The video conferencing platform should allow screen-sharing, enable content and file sharing between multiple users, and incorporate a virtual whiteboard. The software should also accommodate the use of break-out groups to facilitate group work.

52 Phenomenological Interpretation

Creative Lesson on Lived Experience

Bibek Dahal

Brief Description of Method

Phenomenology research cannot exist without an analogical interpretation of the lived experience. Each phenomenon of the lived experience can be interpreted differently through textual analogy. The creative interpretation of any phenomenon has been limitedly taught to the students. It is crucial to develop their basic skills to (1) *honestly* generate the text of lived experience; (2) *systematically* identify each phenomenon accompanying the text; and (3) *creatively* interpret the phenomenon through textual analogy. These three steps are complementary to each other and the students should be well skilled in them. I consider it essential to teach students how to develop phenomenological writing skills. The concrete examples and students' engagement in multiple activities are assertive in their knowledge and skills.

References for Further Reading

- Dahal, B. 2022. Phenomenology of Lived Experience: Multilayered Approach and Positionality. In *Qualitative and Digital Research in Time of Crisis: Methods, Reflexivity, and Ethics*, edited by H. Kara and S.-m. Khoo, 43–46. Bristol: Bristol University Press.
- Tan, H., A. Wilson, and I. Oliver. 2009. Ricoeur's Theory of Interpretation: An Instrument for Data Interpretation in Hermeneutic Phenomenology. *International Journal of Qualitative Methods* 8: 1–15.
- van Manen, M. 2002. *Writing in the Dark: Phenomenological Studies in Interpretive Inquiry*. London: The Althouse Press.

Estimated Teacher Prep Time

90–120 minutes:

- Read and review Dahal (2022) and Tan et al. (2009).
- Generate the text (i.e., narratives) of lived experience that should be representational to any phenomena of your own or others' lifeworld.
- Write some creative textual analogy of the phenomena that you have in the form of text. The analogy depends upon the phenomena associated with the narratives of lived experience. For example, see page 50 of Dahal (2022) and Chapter 1 of van Manen (2002).
- Prepare PowerPoint slides (if you need them) and materials for students' independent activities based on your review, the phenomena of your lived experience, and its textual analogy. Using the narratives of your lived experience as an example, you may assist to write or generate the students' own narratives on any topics based on their lived experience.

- Collect 30 narratives of lived experience for students' independent work. To collect the narratives you can use the Internet, any story books, and random people, but should be on the same phenomena. Alternatively, you can use computer-generated AI text (e.g., ChatGPT) to generate narratives.

Estimated Duration of Lesson

- 100 minutes for in-class interactive lecture
- 60 minutes for students' independent activities/homework
- 20 minutes for reflective discussion on the learning experience

Materials Needed

Class activities: Whiteboard, color board markers, printed copies containing the narratives of your lived experience, PowerPoint (if needed), and projector.

Independent work: The 30 different narratives of lived experience (printed copies), pen and note papers/books.

Reflection: Cardboard papers.

Student Pre-Class Preparation

The session will be more interactive if the students read Dahal (2022). They can read and review Tan et al. (2009) and van Manen (2002) for further understanding. Pre-class reading for students should be thought-provoking and fun.

Learning Outcomes

The students will be able to: (1) generate the text or narratives of their own as well as generate narratives of others' lived experience; (2) identify the multiple phenomena associated with the lived experience; and (3) write creative textual analogy of the different phenomena—i.e., phenomenological interpretation.

Lesson Instructions

Considering the above-suggested resource materials, this lesson has been divided into three parts: (1) in-class interactive lecture; (2) students' independent activities/homework; and (3) reflective discussion on learning experiences.

In-Class Interactive Lecture (~100 minutes):

Class overview

Maximum 30 students. They have already done student pre-class preparation and have basic knowledge of what a phenomenon is. The whole class can be divided into 15 peer groups of two, which make the class more interactive and activity based. Considering your preparation, you can proceed with the lesson by **adapting** the below activities:

Brainstorming (~5 minutes)

Based on the reading references, you can ask some descriptive, interpretive, and critical questions to your students to understand their preparation for this class. Note that your

probing questions will make your students more reflexive toward their prior knowledge, skills, and experiences. Knowing the objectives and proposed activities of this class motivates students to become more active and task-based.

Briefly explain what a text of lived experience is and how it can be generated (~25 minutes)

You can say “The text of lived experience figuratively consists of the context/space, time, body/sense, and mind/consciousness. It is a reflexive narration of any phenomenon that is intentionally experienced by the people.” For example, you can show your narratives of lived experience. Similarly, you can say

There are multiple approaches in generating the text of lived experience, for example, multilayered in-depth interviews, multilayered protocol writing, intense observation, and reflexive narratives (explain briefly). These all seek human experience on particular phenomenon such as ‘experience life having blood cancer’ and ‘experience library *being* quiet, as a new student’.

You can do a role model activity such as calling a student to have a conversation with you in front of other students and creating a “world of discourse.”

Dive into the “world of text” to identify multiple phenomena (~20 minutes)

The “world of text” symbolically refers just to working on the text of lived experience that you have. Provide a printed copy of the narratives of your lived experience to each peer and read loudly through a *close-read approach*. Before reading, ask students to listen carefully and write down each phenomenon that they found in the narratives. To assist students, you can again tell them what the phenomenon is. Listen to peers’ lists of phenomena and write down each of them on the whiteboard, excluding the repetitions. Lastly, you can select two to three phenomena randomly from the list. For instance, the selection of the phenomena depends on your research questions.

Creatively walk through four stages of interpreting phenomena (~50 minutes)

Now you can just focus on the randomly selected phenomena. Ask students to find the context and relevant features of the phenomena from the printed copy that was already provided to them (~2 minutes). Briefly explain the four stages of interpreting phenomena. For four stages, do the following (~12 minutes for each stage):

- 1 Knowing the intentionality of experiencing each phenomenon: Ask students to discuss and write with peers about the reasons behind experiencing each of the selected phenomena. They may find multiple reasons because it depends on their life experiences and worldviews. Knowing the intention of having experience makes it easy to connect the particular phenomenon to the “world of interpreter.”
- 2 Connecting the intentionality to the world of interpreter: The insight getting from the intentionality makes your students reflexive toward their own experience and knowledge. You can say “connecting others’ intention of experiencing a particular phenomenon to your own real world helps you understand the pain of others standing in your own shoes.” Ask them to find multiple connections and make a list of them.
- 3 Visualizing creative realm of the phenomenon: Having such a connection, the interpreters can visualize a new insight of a “parallel universe” [metaphorical] that can be interpreted creatively. Using your textual analogy or Dahal (2022), you can say “While visualizing the creative realm of a particular phenomenon that experienced by others, the

interpreters dive into a 'parallel universe,' which can be connected to their real-world experience." Ask students to visualize a parallel universe of the selected phenomena taking support from the list of connections and listing down its phenomenal features.

- 4 Creating a new account of text through textual analogy: The new account of text connects every dot or phenomenal feature that the students have listed previously. It helps interpret the parallel universe that is visualized by the students. Such interpretation can be possible through textual analogy where students can write consciously connecting to the evidence (i.e., the selected phenomenon experienced by others). Presenting the example from your own textual analogy or Dahal (2022), ask students to write their own new account of the text. Assist them with their curiosity.

Independent Activities/Homework (~60 minutes):

Homework Overview

Provide the 30 different narratives (text) of lived experiences for each student.

Instruction for Students

- a Open the printed copy. You may need a pencil and paper to take notes and underline the text. Now you are in the world of text.
- b Read the narratives of lived experience through a holistic or sententious approach. It helps you figure out what experience is about and prepares you to read in detail or closely.
- c Read the narratives in detail through a close-read approach. Be cool and conscious with your reading. Try to live with the moment that explains in the narratives.
- d While reading, underline the text that you feel is important to identify multiple phenomena. You can make a list of the important phrases.
- e List the phenomena associated with the narratives of lived experience. There might be multiple phenomena; list all of them that you found in your close read.
- f From your list, select any one phenomenon that can be connected easily to your life experience or knowledge. This selection depends on your **research questions** but now it is just to develop your phenomenological interpretation skills.
- g After selecting the phenomenon, you have to look at the context of it by visiting again the printed copy of the narratives. While looking at the context you will know the intentionality of experiencing the phenomenon.
- h Now you can follow the four stages of interpreting phenomena and write a new account of text through textual analogy. Bring it to your reflection session.

Reflection and Class Discussion (~20 minutes):

Provide each student with a piece of cardboard paper and take one yourself. Ask the students to write their experiential learning/reflection of this class in a short and informative way. They do not need to write their name on the cardboard paper. You also have to write your reflection. Share your written cardboard paper with one of the students to read and ask to share their one with the right-hand side's friend and continue the process until you get your own. While doing so, the students and you will have an opportunity to reflect on the whole class activities and students' learning that took place. Collect the written cardboard paper because it can be useful for you to do action research.

Now you can ask your students the following questions and listen to their answers per time availability.

- 1 How well do you think the textual analogy of any phenomenon appropriately reflects the evidence of lived experience?
- 2 Do you think the four stages of interpreting phenomena are sufficient to ensure quality of the phenomenological interpretation?

Online Teaching Modifications

This lesson is easy to conduct synchronously using online video conferencing platforms. It does not need many modifications except using a virtual whiteboard or it can be changed to using the chat box; the printed materials can be shared in PDF via email or posted to a learning management system. For students' activities including reflection, the role model, peer, and independent work can be done using different features of the online platforms. With minor modifications, all of the activities in this lesson can be done synchronously.

53 Narrative Analysis

Roberto Franzosi

Brief Description of Method

Narrative analysis, simply put, refers to the ways and methods of analyzing and understanding narrative. Such words as analysis and methods may tempt us to think that narrative analysis is new, that it is part of the “modern” scientific world. You will then be surprised to know that the first two rhetorical exercises—the famous *progymnasmata*—Greek and Roman schoolchildren had to learn were dedicated to fable and narrative. To analyze the narrative, pupils had to be able to address the following set of questions: *Who* did it? *What* was done? *When* was it done? *Where* was it done? *Why* was it done? *How* was it done? You will easily recognize in this set of questions the well-known 5 Ws + H of modern journalism. Narrative, then, is about people or organizations (i.e., social actors) doing something pro/against someone/something else in time and space. Today, more than 2,000 years later, narrative analysis is *still* all about addressing the *progymnasmata* questions. But if the questions have not changed, the way we address those questions has fundamentally changed in recent decades. Combining the 5Ws structure with relational database technology on a computer, narratives could be analyzed quantitatively. And in the last decade, even this computer-assisted approach to narrative has now been fully automated. Natural Language Processing (NLP) algorithms can automatically extract from narrative texts at least four of the 5 Ws—Who, What, When, and Where—and visualize the results in geographic maps and network graphs.

References for Further Reading

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- Labov, W. 1972. *Language in the Inner City*. Philadelphia: University of Pennsylvania Press.
- Labov, W. and J. Waletzky. 1967. Narrative Analysis. In *Essays on the Verbal and Visual Arts*, edited by J. Helm, 12–44. Seattle: University of Washington Press.

Estimated Teacher Prep Time

120 minutes:

- Read Franzosi (1989, 2012), Franzosi et al. (2022), and Labov and Waletzky (1967).
- Become familiar with PowerPoint slides (provided).
- Read the two provided short stories to be discussed in class so that students can identify the narrative elements (5Ws + H).
- OPTIONAL: If teachers wish to show students how NLP algorithms can now automatically extract and visualize narrative information, they can install the NLP Suite package and run the SVO (Subject-Verb-Object) extractor. Installation on a personal computer will take approximately 120 minutes.

Estimated Duration of Lesson

120-minute in-class interactive lecture

120-minute student-independent activity (homework)

30-minute reflective discussion (in a follow-up class session)

OPTIONAL: An extra 120 minutes if the NLP Suite is installed and used

Materials Needed

- PowerPoint slides (provided) outlining different approaches to narrative analysis.
- The two brief narratives (provided).
- OPTIONAL: Freeware, opensource NLP Suite. Installation on a personal computer will take 120 minutes.

Student Pre-Class Preparation

Students must have read:

- 1 The articles by Franzosi (1989, 2012) and Franzosi et al. (2022) before class.
- 2 The two brief narratives.

Learning Outcomes

Completing this activity, students will be able to: (1) define narrative; (2) answer the questions set forth in the Greek/Latin rhetorical exercises of *progymnasmata*: *Who* did it? *What* was done? *When* was it done? *Where* was it done? *Why* was it done? *How* was it done? Bridging the gap between quality and quantity, students can also use the NLP Suite to *automatically* answer some of the 5Ws + H elements of the narrative.

Lesson Instructions

This lesson has three parts:

- 1 PowerPoint presentation of narrative analysis
- 2 Interactive discussion of Franzosi's assigned readings
- 3 Interactive discussion of the two assigned short narratives

The lecture is appropriate for students at any level, from elementary school through high school to undergraduate and graduate university.

1 What is narrative? A focus on time, story, and plot. Let's answer that question with Labov's definition of narrative (1972: 359–61):

We define narrative as one method of recapitulating past experience by matching a verbal sequence of clauses to the sequence of events which (it is inferred) actually occurred... [in narrative] clauses are characteristically ordered in temporal sequence. ... The skeleton of a narrative then consists of a series of temporally ordered clauses.

Time, from this definition, is of the essence in the narrative, as marked by the time-honored tradition to start a story: "Once upon a time..." (see the articles by Franzosi 1989, 2012). Without time, there is no narrative. And that time can be ordered **chronologically** or not, depending on the storyteller's choice. But that choice of how to use time in narrative has led to a distinction between *story* and *plot*.

- a **Story** refers to the chronological order of events and actions (the What) in the narrative. Little children will typically tell their stories: "And then I did ... and then I went ... and then she said ... and then... and then ..."
- b **Plot** refers to the use of time for rhetorical effect. Great storytellers and great novelists will typically mix up time in a way that best grabs the audience. Hitchcock, for instance, starts a movie with the final scene of a murder, and then goes back and forth in time.

2 What is narrative? A focus on the 5Ws + H. Let's tackle that same question from the perspective of the Greek/Latin *progymnasmata* schoolchildren's rhetorical exercises.

- a Are the *Who, What, When, Where, Why, and How* still valid ways to analyze narrative?
- b Which elements of the 5Ws + H must a text contain to qualify as narrative?

3 What is narrative? A focus on structural parts of narrative. According to Labov (1972: 362–70) a narrative typically presents six functional parts: Abstract, Orientation, Complicating action, Evaluation, Result/Resolution, and Coda. No difference from the *progymnasmata* exercises, Labov looks at narrative as a series of answers to underlying questions:

- a Abstract: what was this about?
- b Orientation: who, when, what, where?
- c Complicating action: then what happened?
- d Evaluation: so what?
- e Result: what finally happened?

The 5Ws + H are then found in the Orientation part of the narrative, with the Complicating action (and even Result) perhaps providing more ways for 5Ws + H to the extent that what happened may involve more Who and What, When, Where, Why, and How.

Do the two short sample narratives you read contain all six functional parts of narrative?

Which of Labov's six functional parts of narrative must a text contain to qualify as narrative?

4 A focus on heroes and villains

- a **Whose side are we on?** The Who and What of narrative points to characters and their actions. Through characters and actions, stories build friends and foes, heroes and villains. And we take sides. As Becker puts it, in a very famous article, “Whose side are we on? ... We usually take the side of the underdog; we are for Negroes and against Fascists”, assures us Becker (1967: 244). There are, of course, “at least two sides to the story ... [with] one or another of the contending points of view... We can never avoid taking sides” (Becker 1967: 244, 246). Whose side do we take on *The Three Little Pigs* story? But both text and context (context, Latin *cum* = with, what goes with the text) lead us to take the pigs’ side. After all, the pigs are “little”; without a mother to look after them (a poor “old sow” who has to let her little children go and fend for themselves, not having enough to keep them); each little pig on his own, “frightened,” confronting a wolf who is canny and repeatedly “very angry indeed,” determined to “eat up” the pigs.
- b **The moral of the story.** If stories depict good characters and bad characters, heroes and villains forcing us to take sides, stories also confront us with a question: What is the point of the story? What is the moral of the story? Labov’s Evaluation functional part of narrative partly serves this function, addressing these questions.

Reflection and Class Discussion

Overview: This discussion should happen after the students have completed the homework activity (~20 minutes). The goals are to have students (1) reflect on their experiences using the 5Ws + H questions about narrative; (2) identify any 5Ws + H elements missing in the assigned sample narratives; and (3) provide a definition of narrative.

Discussion Questions:

- 1 How do you know a text is narrative when you read/hear one?
- 2 Do your sample narratives contain all 5Ws + H elements suggested by the *progymnasmata* exercises?
- 3 Which 5Ws + H elements do you think are most important in order to identify a text as narrative?
- 4 How do you know that you and a friend are engaging in narrative discourse in a casual oral conversation?
- 5 Do you think that narrative is your main form of daily communication with others?
- 6 Can you think of some texts that are **not** narrative? Why?
- 7 In which way, can computer-assisted or automatic narrative analysis provide opportunities to bridge the quality/quantity divide?
- 8 Let’s have a computer *automatically* carry out the *progymnasmata* exercises, automatically extracting most of the 5Ws + H.
- 9 Do you think you could use narrative analysis in your work? On what kind of text would you use it?

Online Teaching Modifications

This lesson can easily be adapted for online teaching by (1) posting readings; (2) giving the lecture live and having students interact as described, or pre-recording and posting a

modified lecture where you describe narrative analysis and put students in breakout rooms to discuss specific issues and report back to the class; (3) posting the homework instructions and having students turn their work in online; and (4) requiring either a written discussion board where students respond to each other in reflecting on the exercise, or synchronous, online class discussion. Homework assignments can be individual or group assignments (group assignments of two or three students would be advisable if the NLP Suite is used to automatically extract and visualize some of the 5Ws narrative elements).

54 Narrative Analysis

The Narrated, Non-Narrated, and the Disnarrated

Cecilia Vindrola-Padros and Laura Maio

Brief Description of Method

Narrative research is based on the idea that “experience is shared and that experience itself is storied, or it has a narrative pattern” (Sandelowski 1991: 162). Narratives not only express individual feelings and identities, but they also provide meaning to daily interaction (Mathieson and Starn 1995). Therefore, these stories allow the researcher to identify the particulars of the subject’s experience, organize the subject’s actions with those around them or with external factors that might influence their decision-making process, and make meaning out of a series of events (Park 2008: 239).

Individuals can implement different formats or narrative types (Frank 1995; Loseke 2007) to express and deal with events in their lives. These culturally available types of narratives act as guidelines that people adapt or combine to tell their own story (Frank 1995: 75). Narrative types also share common components: narrators, plots, settings, and characters, which can be analyzed (Gubrium and Holstein 2009). Narrators might also choose to leave out elements from their story because these might threaten their ability to tell a story as well as lack importance. These omitted or non-narrated elements can also become a component of narrative analysis (Vindrola-Padros and Johnson 2014). In addition to what is narrated and non-narrated, there are other events that storytellers include in their story that could play a different role such as “all the events that do not happen though they could have and are nonetheless referred to (in a negative or hypothetical mode) by the narrative text” (Prince 1992: 30, emphasis in original). This last form of narration is called the disnarrated. This method for narrative analysis will include elements that are narrated, non-narrated, and disnarrated.

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Estimated Teacher Prep Time

60 minutes:

- Read Vindrola-Padros and Johnson (2014)
- Review PowerPoint slides (provided)

Estimated Duration of Lesson

- 80-minute in-class interactive lecture
- 60-minute student-independent activity (homework)
- 20-minute reflective discussion (in a follow-up class session)

Materials Needed

- PowerPoint slides (provided) on narrative analysis
- Teaching data set (can be accessed: <https://healthtalk.org/HERG>). An example of a transcript can be found here, but students should be given the option to select the health condition: <https://healthtalk.org/bone-surgery/jacky>

Student Pre-Class Preparation

The students should read Vindrola-Padros and Johnson (2014) (see above) before the class.

Learning Outcomes

Completing this activity, the students should be able to: (1) recognize the differences between the narrated, non-narrated, and disnarrated; (2) analyze these dimensions of the story in individual narratives; and (3) reflect on the value of analyzing each dimension of the narrative.

Lesson Instructions

This lesson has three parts: (1) an in-class interactive lecture; (2) a homework activity; and (3) a reflective class discussion. It is appropriate for advanced undergraduate and graduate students.

In-Class Lecture (60 minutes)

- 1 Start the session by introducing the students to the field of narrative research. Use slides 1–4 to explore the reasons why narratives are useful as a research method. After going

through the slides, ask the students to reflect on the types of narratives they create/encounter on a daily basis.

- 2 The next section of the lecture introduces students to the three dimensions of narrative analysis explored in this chapter:
 - a The narrated: Slide 5 provides examples of aspects of narrated content that are frequently taken into consideration in narrative analysis.
 - b The non-narrated: Slide 6 introduces the idea that some content might not be included in the story and outline the reasons why this might be useful from a research point of view.
 - c The disnarrated: Slide 7 defines the concept of the disnarrated, presents its origins in the field of literary criticism, and shows how it has been applied to narrative analysis.
- 3 The lecture then includes a step-by-step description of an analysis of narratives that incorporates these three dimensions (slides 8–11). These steps include:
 - a The creation and or cleaning of the dataset. Narratives can be created through interviews, so the transcription and review of transcripts is proposed as a strategy. However, narrative analysis can also be carried out in text that is not created for research purposes (i.e., blogs, social media content, etc.).
 - b The establishment of a framework for the analysis of the narrated. The analysis of narrated content is often based on pre-established frameworks that guide the researcher through the aspects of the text that need to be coded. In traditional narrative analysis, these tend to be components of a story, such as the scenes, characters, and plot.
 - c The identification of the non-narrated. This is one of the most difficult aspects of this type of analysis as it is difficult to identify aspects that have been omitted or erased from the story. The lecture presents examples of how these can be identified by carrying out comparisons across multiple narratives and/or using other data collection methods to cross-check the content included in the narratives.
 - d The analysis of the disnarrated. The final stage in this analytical approach is the rereading of narratives to identify instances where the narrator might have reflected on events that did not actually happen (in hypothetical mode). The lecture presents examples of disnarration and how this lens can shed light on additional layers of interpretation not included in the other two dimensions of analysis.
- 4 Slide 12 then brings together the main points of this method for narrative analysis and also reflects on previous critiques and limitations of this approach.

Homework Activity (60–90 minutes)

For homework, the students are provided with a dataset with patient narratives and are asked to apply the steps outlined above. The dataset can be accessed here: <https://healthtalk.org/HERG>. An example of a transcript from this dataset can be accessed here, but students should be given the opportunity to choose the health condition: <https://healthtalk.org/bone-surgery/jacky>

They are asked to hand in a short document with the main findings from their analysis (similar to the results section of an article published in an academic journal) as well as their overall reflections of using this method.

Reflection and Class Discussion

The class after the homework activity should allow for 20 minutes to discuss their experiences of using the method. The discussion can be guided by the following questions:

- 1 What were the aspects of the method that you liked?
- 2 Were there any aspects that you found challenging?
- 3 Would you make any changes to this method?

Online Teaching Modifications

The lesson can be adjusted for online teaching by giving students access to the prereading materials in PDF, pre-recording the lecture or delivering it live to allow for real-time questions, posting the homework instructions and materials online and having an online synchronous meeting to discuss the students' experiences of using the method after they have submitted the homework activity.

55 Meaning and Idioms in Life History Narratives

Emily Mendenhall

Brief Description of Method

Understanding the meaning and idioms people use to make sense of life's most significant moments is a fundamental tool for anthropologists. Life history narrative interviewing can take place over many years, months, or hours, and each of these approaches has its perks as well as limitations. Over the years, the ethnographer marks ebbs and flows in people's lives, stories, memories, and experiences, which can reveal how present lived experiences are informed by past memories and future anticipations. Over months the researcher discovers the depth through which people experience and embody the world around them by marking time and space. Some projects allow only hours to attempt to capture the complexities through which people perceive, share, and interpret a life remembered. These various methodologies provide different views on how people experience and express certain aspects of personal experience, family life, and society. Many stories people tell of their lives are framed by significant events and exchanges with the interviewer to define periods of one's life, clarifications of specific themes, challenges, and speculations of what might have arisen (see Ochs and Capps 2001). Narrative data provide iterative alternatives to standardized or global checklists where investigators may want to understand how often people experience a feeling, event, or belief. Narrative data not only provide an opportunity to more deeply analyze and understand subjective experience but also to reveal what people prioritize in their life stories.

References for Further Reading

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Estimated Teacher Prep Time

60–90 minutes

- Read Mendenhall's *Syndemic Suffering*, or article in *Culture, Medicine, and Psychiatry*
- Prepare PowerPoint slides (provided) and homework materials for students (provided)
- Read over two narratives on PowerPoint slides for in-class activities or choose your own; make sure you are familiar with techniques for developing codebooks and how to identify themes in narratives using theme identification (see Section 7). This will ensure that you have a specific example to guide students during the lecture and activity.

Estimated Duration of Lesson

- 80-minute in-class interactive lecture
- 60-minute student-independent activity (homework)
- 20-minute reflective discussion (in a follow-up class session)

Materials Needed

- PowerPoint slides
- Hands-on Activity Sheet (provided) – or use your own data set
- Access to qualitative data software: dedoose.com; MaxQDA; NVivo

Student Pre-Class Preparation

Students should read the book or article before class, and they will need the article to reference and work from for their homework activity. If teachers think students will read the whole book, then assign Mendenhall's *Syndemic Suffering*, which has more details about how to identify themes and interpret them through prisms of narrative, themes, and health outcomes.

Learning Outcomes

On completion of this activity, students will be able to do the following: (1) define what a theme is, identify particularly relevant idioms, and describe why identifying themes narratively are important in qualitative data; (2) identify and articulate how and why narratively defined themes can be interpreted and applied to quantitative data; (3) explain what emic perspectives (or themes) mean and what they do for explaining etic perspectives (or categories); and (4) understand how to identify themes, code them, and quantify and evaluate certain themes and outcomes.

Lesson Instructions

Narrative data can be broken down through several steps that we will outline here.

- 1 **Discuss** In Slide 2, students can discuss the narratives that emerged in the book *Syndemic Suffering* and discuss how do people construct stories, how does meaning emerge, and how does one parse out subjective experience from narrative.
- 2 **Explore** what measurements mean, what is measured, and how to understand and measure constructs from an *emic* versus *etic* perspective (slides 3–6).

- a **Emic** are locally constructed notions of an idea/term/idiom/experience
 - b **Etic** are dominant forms, including biomedical, definitions
- 3 **Discuss** conducting interviews, which involve privacy, deep engagement, and extensive field notes (slides 7–8).
- a Privacy is critical for conducting an interview, particularly when it addresses personal experiences related to trauma or severe emotional distress
 - b Field notes are the first step for recording these interviews and interpreting them; usually, a deeply engaged, reflective, and analytic field note goes a long way for analysis at a later date
 - c Interviews must be recorded, audio recordings are preferred and as a last option, heavily recorded notes are okay (but definitely affect data quality)
 - d Field notes and transcripts are very different types of data but both are crucial for data capture of a story, environment, experience, and engagement
- 4 **Develop** a detailed codebook that addresses the major themes or codes laid out in the interview guide or emerging from the data, while providing detailed definitions of what each theme means (slide 9).
- a Codebook construction should begin alongside interviewing
 - b Code definitions should be constructed in teams (when possible) and definitions chosen should be scrutinized
 - c Codebooks should not change once coding begins
- 5 **Closely read** transcripts, which are central to coding and analysis, and require close scrutiny. These transcripts should be analyzed apart and together with field notes (slides 10–11).
- a Coding is best when there are two coders, at least for a subsection of codes, and coding application can be compared and discussed
- 6 **Consider** quantifying themes in large qualitative datasets. It may be possible to quantify themes from datasets of around 30, although modeling would not have much power. It's better to aim for quantifying qualitative datasets that are much more robust, such as datasets with narrative data from around 100 people (slides 12–17).
- a Quantification of themes should only be applied to larger datasets
 - b Small datasets may present descriptive statistics of themes
 - c Modeling themes in larger datasets can provide insights into larger trends among what people think, experience, and do, and what etic measures suggest
 - d Locally constructed surveys of belief, common experiences, or idioms may be translated into quantitative tools that can be applied to larger datasets (see Mendenhall et al. 2021).
- 7 **Provide** multiple examples of how data are presented, which can relate to the sections and slides above. Instructors may want to move these slides earlier or leave them at the end to discuss as examples (slides 18–27).
- a Narrative data may be presented as vignettes
 - b Narrative data may be presented as qualitative excerpts/phrases/quotes

- c Narrative themes may be presented in diagrams or tables
- d Themes may be quantified, either as descriptive or integrated into models with etic variables (e.g., local idioms of distress that may emerge may be analyzed in relation to standardized mental health instruments)

Hands-on Activity (In-Class or Homework)

Overview: Provide students with the provided Word document of mothers talking about the worries of their teenage children (or provide your own data set)

Instructions:

- 1 Using Beresford and Bernard's lesson on theme identification (Section "Learning Outcomes") have students review the metaphor and analogies technique for theme identification.
- 2 Discuss with students the following:
Lakoff and Johnson (2003) define metaphors as "understanding and experiencing one kind of thing in terms of another" (p. 5). So when I say "I am as happy as a clam" it means that I am understanding how I feel in terms of a shellfish. Clams hang out in the sand seemingly without a care. Therefore, one kind of thing = my internal feeling is directly compared to (and experienced as) another thing = clam. Another way to talk about this is using the terms "target domain" and "source domain." The target domain is the thing that is abstract or unfamiliar (like internal feelings/emotions) and the source domain is the thing that is more concrete and familiar (like shellfish).

The animal domain offers us lots of metaphors:

Busy as a bee. (Identify the target [busy] and the source [bee])

Quiet as a mouse. (target = quiet; source = mouse)

Mad as a hornet. (target = mad; source = hornet)

Here we can see where a person's behavior is being understood in terms of the behavior of an animal. So, one kind of thing (human behavior) is being understood in terms of another thing (animal behavior).

Prompt the class with: What are some idioms/metaphors that we use when we talk about others in the way they: annoy, anger, frustrate, please, or delight us? Instructor should scribe these sayings on the board under their corresponding category. Examples could be, get under my skin, makes my blood boil, tickled pink, etc. (students can also be encouraged to search via the internet). Discuss how we use these in everyday language and that identifying and defining them can be difficult in narrative research.

- 3 Then take this idea and move to the provided narratives that are looking at how mothers talk about their worries about their teenage children. Have students read through the excerpts and highlight (either on paper or using a computer word processing program) words/phrases that demonstrate how some experience by the MOM is expressed in terms of something else – something that when thought about literally does not belong. (Note they should NOT highlight something referring to the child's distress.)
- 4 After students are done highlighting, ask them to get into small groups of three to four and discuss what they highlighted. Next, have students start to sort the idioms/metaphors into groups of similar feelings.

- 5 Once groups have their categories, instruct them to (1) label their categories (i.e., code/themes) with a descriptive title; and (2) write a description of the code/theme (suggest referring to chapters in Section 7 on codebooks and coding).
- 6 As a class, ask each group to share their codes and see where there are similarities and differences between groups.

Reflection and Class Discussion

Overview: The goals of the discussion are to have students (1) reflect on their experiences identifying themes and meanings of idioms; (2) hear how students experienced thinking through and interpreting these themes/idioms; and (3) come to understand what meanings/idioms/themes may be applied to quantitative datasets and why. Part of this discussion can be with the whole class, while a smaller discussion of what themes/idioms/etc. may be quantifiable should be completed in small groups of three to four students.

Discussion Questions:

- 1 What was easy and what was challenging about identifying idioms/themes in the narratives?
- 2 What was easy and what was challenging about grouping and defining the idioms you identified? Did everyone in your group agree or were there differences in interpretations?
- 3 What types of data/research might identification of idioms and themes (of distress or other) be utilized? How might you include the identification of idioms/metaphors in your own research?
- 4 Do you think idioms/themes should be quantified? What are the costs and benefits of translating narratively generated themes into quantitative variables? Are there any idioms or themes that cannot be quantified? Discuss why/why not.

Online Teaching Modifications

This lesson can easily be adapted for online teaching by (1) posting a PDF of the reading to an learning management systems (LMS); (2) giving the lecture live over video conferencing software or providing a pre-recorded lecture and posting the lecture online; (3) posting the homework instructions and having students submit online; and (4) requiring written discussion board reflections or having student engage in synchronous break-out room discussions about the homework.

Other Reference

Lakoff, G. and M. Johnson. 2003. *Metaphors We Live By*. Chicago: University of Chicago Press.



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Section 9

Linguistic Analysis

There are five main branches of modern linguistics: phonology (the study of the basic sounds of a language); morphology (the study of how the sounds are put together to form meaningful chunks, like words); syntax (the study of how words are put together into sentences—what we usually mean by grammar); semantics (the study of meaning); and pragmatics (the study of how language is used).

This section is about four of the components of language in use that are regularly taught by social scientists: corpus linguistics, sociolinguistics, conversation analysis, and discourse analysis. Corpus linguistics is the analysis of collections of written or spoken texts (where spoken can mean vocalized or signed phrases). Sociolinguistics is the study of how social factors, like gender, occupation, social class, and geography, affect how we use language. Conversation analysis is a method for detailing how people structure verbal interactions—like how we work with others at taking turns. Discourse analysis is the study of grammar beyond the sentences—the rules every fluent speaker of every language in the world learns for how to construct narratives. Critical discourse analysis is about how power differences—between men and women, doctors and patients, and employers and employees—are perpetuated, reinforced, and resisted in discourse.

Historically, the study of language and languages has ancient roots, but modern linguistics traces to a momentous event in 1786, when Sir William Jones proposed that similarities in the words of Sanskrit, Greek, and Latin meant that all three languages had evolved from a common ancestor. That observation led to the scientific study of historical linguistics—how languages are related to one another—and then to the scientific study of language structure and language in use.

Many corpora are available online for teaching corpus linguistics—things like transcripts of American soap operas, and the 2-billion-word corpus of Spanish from the websites of 21 countries—but students may not be familiar with the software required for studying those corpora. It can take 20 hours to transcribe 1 hour of spontaneous conversation in sufficient detail for conversation analysis. This challenge can be met by having each member of a group of students take on the transcription of a few minutes of a conversation.

This handbook covers linguistic analysis in three parts. In the first part on corpus linguistics and sociolinguistics, Harrington's lesson covers corpus linguistics, while Gleason and SturtzSreetharan's lesson teaches strategies for identifying and working with linguistic variation. In the second part, Musk and Kunitz's lesson introduces conversation analysis and Negrón's lesson covers indexicality, or how language indexes social identities. In the last part, Negrón's lesson introduces discourse analysis and Smith-Merry and McNab's lesson covers critical discourse analysis.

56 Corpus Linguistics and Its Role in Qualitative Research

Kieran Harrington

Brief Description of Method

Corpus linguistics involves the computer-based empirical analyses of collections of naturally occurring spoken and written texts, with a view not only to quantifying the incidence of linguistic items but also with the objective of qualitatively examining these.

While normally associated with the analysis of grammar and lexis in the fields of linguistics, there is also a role for corpus linguistics alongside methodologies with a greater focus on qualitative analysis within linguistic ethnographies, where the focus is on social and communicative processes and the interface between language and culture.

Here, I primarily provide an introduction to corpus linguistics, which includes references to corpora and to corpus methods. Then I focus on one particular research constituent, concordancing, which allows for the observation of language in use and the focus on principles and practices rather than on rules. In the second session, the students will carry out a hands-on concordancing activity.

References for Further Readings

- Harrington, K. 2023. Culture in Language Teaching: Let the Language Do the Talking. In *Demystifying Corpus Linguistics*, edited by K. Harrington and P. Ronan, 163–184. London: Palgrave MacMillan.
- Harrington, K., and P. Ronan. 2023. Introduction to Corpus Linguistics. In *Demystifying Corpus Linguistics for English Language Teaching*, edited by K. Harrington and P. Ronan, 1–17. London: Palgrave MacMillan.
- Shaw, S., F. Copland, and J. Snell. 2015. An Introduction to Linguistic Ethnography: Interdisciplinary Explorations. In *Linguistic Ethnography: Interdisciplinary Explorations*, edited by S. Shaw and F. Copland, 1–13. Basingstoke: Palgrave Macmillan.

Estimated Teacher Prep Time

90–120 minutes:

- Review of readings.
- Familiarization with COCA, AntConc, and Lextutor.
- PPT preparation (provided here) of introduction to corpus linguistics.
- Printing of concordance lines or upload to a learning management system.
- Preparation of step-by-step hands-on concordancing.

Estimated Duration of Lesson

180 minutes in two sessions

Session 1

- Lecture/PPT delivery on corpus linguistics (60 minutes)
- In-class examination of prepared concordance lines (15 minutes)
- Plenary reflection/discussion (15 minutes)

Session 2

- Step-by-step guide on how to create concordance lines (30 minutes)
- Hands-on engagement with a corpus linguistics interface. Students log on to a concordancing platform and create and sort concordance lines and analyze them.
- Plenary reflection/discussion (30 minutes)

Materials Needed

- PowerPoint slides (provided)
- Printout of concordance lines (provided)
- Personal digital devices for access to the Internet and corpus linguistics platforms.

Student Pre-Class Preparation

- Harrington and Ronan (2023)
- Harrington (2023)
- Shaw et al. (2015)

Learning Outcomes

- Students will understand the principles of corpus linguistics.
- Students will be aware of the different types of corpora that are available for research.
- Students will know the different software tools available for analyzing corpora and the methods used to analyze corpora with these tools.
- Students will have become aware of the vast potential of corpus linguistics, especially with regard to using CL as a constituent and synergistic research element of broader qualitative research such as linguistic ethnography.
- Students will have practiced analyzing printed concordance lines and identified connections between language and culture.
- Students will have learned how to log on to an online CL platform, and create, sort, and extract concordance lines.

Unit Lesson Instruction

Session 1: An introductory lecture on corpus linguistics, a classroom examination of concordance lines, followed by plenary reflection.

Session 2: Step-by-step guide to (1) logging on to an online CL platform; (2) creating a concordance; (3) sorting concordance lines; and (4) extracting concordance lines. The students then replicate this activity hands-on. This is followed by a 30-minute plenary reflection.

Session 1, Part I (60 minutes)

Using the provided PPT slides:

- Explain what modern corpus linguistics entails.
- Introduce corpora (collections of written and spoken texts).
- Refer to past pre-digital age corpus collected by field linguists, lexicographers, and so on.
- Explain how the advent of the micro personal computer has been a game changer.
- Refer to landmarks in the production of digital corpora.
- Explain the difference between generalized and specialized corpora.
- Elucidate collection/compiling procedures for spoken and written corpora.
- Refer to different theoretical approaches and engagement with raw corpora versus engagement with annotated/tagged corpora.
- Explain the difference between sophisticated corpus queries and doing basic concordancing or observation of naturally occurring language.
- Explain how to build a research corpus referring to practicalities and logistics.
- Refer to corpus size and give examples of the number of words used for different projects.
- Refer to the care taken with balance and representativeness.
- List and refer to the principles of corpus linguistics.
- List some questions corpus linguistics can answer.
- Explain corpus annotation/tagging.
- Give examples of corpora and corpus software tools.
- Explain in more detail concordancing and how that can be equated to the observation of language use.
- Give examples of concordancing using COCA (with screenshots) or by directly accessing the COCA platform on the smartboard.
- Explain how a corpus can be used as part of a synergistic triangulation of methods within a broader qualitative research project such as a linguistic ethnography.

Session 1, Part II: Interactive Exercise (15 minutes)

The students are given printed extracted concordance lines of the word *drink* taken from a spoken word sample (1 million words) of the British National Corpus (BNC). The objective of the activity is first of all to show them what raw concordance lines look like and how to engage with them. They are then encouraged to make connections between the word *drink* in the concordance lines and social and communicative processes and with the interface between language and culture, taken in the broad ethnographic sense of the shared knowledge, beliefs, morals, attitudes, laws, and customs that are perpetuated and reformulated over time by shared symbols (such as language) and inherited and acquired by members of certain communities.

Note: There is not enough scope in this chapter to address culture in detail and the growing field of linguistic ethnography in which the connections between social and communicative processes are studied. For this reason, students are asked to read Shaw et al. (2015) and Harrington (2022) before this session.

Guiding Questions for the Activity Are

- 1 What are the differences in format between these concordance lines and normal lines in a paragraph?
- 2 What are the differences in language type/presentation between these concordance lines and a normal text paragraph?
- 3 Can you see differences between literal and nonliteral meanings of the word *drink*?
- 4 Can you see any connection of these nonliteral uses to culture or community?
- 5 Do you notice *drink* collocating with particular words or even particular ideas/contexts?
- 6 Is there any use of *drink* in these concordance lines that does not fit with the way you use the word in your language use or within your community or family?
- 7 What would you determine to be the findings or results of this observation of concordance lines?

Session 1, Part III: Plenary Reflection/Discussion (15 minutes)

The teacher begins this session by asking for feedback/questions on the general presentation on corpus linguistics (what do they find interesting, what is confusing, etc.?). This feedback is then contextualized within the specific reaction to the observation of the concordance lines on *drink* and the answers to the guiding questions.

Session 2, Part I (30 minutes)

- Step-by-step guide on how to log in to a concordancing platform, how to run concordance lines, how to sort concordance lines, and how to extract them for more detailed examination and how to see the expanded text (the original context in which the word appeared). The teacher loads the platform on the classroom smartboard and/or uses a PowerPoint presentation (provided) with screenshots to exemplify the different manipulations of the platform and concordance lines.
- As this is their first experience with corpus linguistics, the teacher explains to the students that they are going to use a user-friendly, freely available corpus linguistics platform—Compleat Lextutor. This platform is associated with applied linguistics and language teaching, but here fulfills the basic purpose of showing very simply how we can *observe* naturally occurring language in use. The students can gradually move on to interfaces (such as COCA) with more elaborate searching tools and larger corpora.

Session 2, Part II (30 minutes)

Student In-Class Activity

- Students work in pairs. They log on to www.lexutor.ca with a laptop computer and they replicate the activity that was demonstrated step by step in Session 2, Part I. The teacher can supply a new word or phrase to be concordanced to each pair or the students can suggest a word themselves. Once the hands-on activity has been completed (this should not take more than 15 minutes), the students can then reflect on the concordance lines, guided by the same questions that were used in Section 1, Part II.

Section 2, Part III: Plenary Reflection/Discussion (30 minutes)

The students provide feedback on their hands-on experience with corpus linguistics. Students at this stage can also ask for clarification with regard to the hands-on corpus linguistics activity.

Questions: What did you like about this experience? What is challenging or confusing?

Finally, students are asked to think about how this activity might be used as part of a broader linguistic ethnography project in which they either look at an established online corpus or they may collect their own corpus from a specific community and combine the analysis of the language with other methods such as interviewing and observation.

Online Teaching Modification

This lesson unit is easily developed for online teaching. All materials can be posted on the virtual learning platform.

The lecture in Session 1 can be delivered online synchronously on a video conferencing platform. In Part II of this section, students can be sent to breakout rooms to consider the concordance lines (available in pdf in a virtual learning platform folder). The students then come back into the main session with the teacher for the plenary discussion.

Part I of Session 2 can be delivered in two ways:

- An online video conferencing platform used to present PowerPoint lecture

or

- The teacher shares their screen via the video conferencing software their corpus linguistic platform/interface screen to demonstrate the logging-in process, and the display of concordance lines and their manipulation.

In Part II of Session 2, the students work in pairs in the virtual breakout rooms. The teacher can visit each pair and they can share their screens and iron out any problems/doubts they may be having.

In Part III of Session 2, students are recalled from the breakout rooms to take part in the plenary discussion and feedback session.

Note: There is no homework envisaged for this lesson unit as it is considered more appropriate for the hands-on activity to be done in class with the support/scaffolding of the teacher.

57 Teaching about Variation

Liam Gleason and Cindi SturtzSreetharan

Brief Description of Method

Identifying variation is one fundamental activity in social science investigations of language patterns and use. Studying variation is the key to the study of change. Variation is linked directly to the creation of social meanings across space and time; we can often identify the social meanings being created but may fail to identify the variables undergirding these social meanings. We suggest that it is best to teach about variation by starting with the identification of social meanings and working “backward” to uncover what kinds of variation support the meanings. The lesson provided will rely mainly on language examples.

References for Further Reading

- Bouvier, G., and A. Chen. 2021. The Gendering of Healthy Diets: A Multimodal Discourse Study of Food Packages Marketed at Men and Women. *Gender and Language* 15: 347–68.
- Eckert, P. 1982. Clothing and Geography in a Suburban High School. In *Research American Culture A Guide for Student Anthropologists*, edited by C. Kottak, 139–45. Ann Arbor: University of Michigan Press. (Available at: <https://web.stanford.edu/~eckert/Courses/ParisPapers/Eckert1982.pdf>)
- Eckert, P. 2000. *Linguistic Variation as Social Practice: The Linguistic Construction of Identity in Belten High*. Chapter 2. Oxford: Basil Blackwell.
- Zhang, Q. 2005. Language and Social Change in China: Undoing Commonness through Cosmopolitan Mandarin. *Language in Society* 34: 431–66.

Estimated Teacher Prep Time

45–60 minutes:

- Read or review Eckert (1982, 2000) and Bouvier and Chen (2021).
- Prepare PowerPoint slides (provided) and homework materials for students (provided). The homework can be a longer project (occurring over two to three weeks or a shorter in-class activity).
- Prepare at least two examples (of your choosing) from the homework. Probably best to choose an item not targeted in the homework assignment (e.g., baby clothing, food, children’s games, etc.).
- Prepare a Google form (or other electronic form or shared online document) for recording the data students collect. See homework Step 2 below for form fields to include.

Estimated Duration of Lesson

- 80-minute in-class interactive lecture
- 60-minute student-independent activity (homework)
- 20-minute reflective discussion (in a follow-up class session)

Materials Needed

- PowerPoint slides (provided) outlining how to identify variation and its social meanings
- Homework description for in-class or out-of-class project
- Students can work together on activity; having a laptop/tablet/digital device is desired

Student Pre-Class Preparation

Students should have read Eckert 1982 and 2000 before class.

Learning Outcomes

Completing the lecture and the activity, students will be able to: (1) understand why variation is important to qualitative data projects/research; (2) identify a variable; and (3) explain some social meanings a variable produces.

Lesson Instructions

This lesson has three parts: (1) an in-class interactive lecture; (2) a homework activity; and (3) a reflective class discussion. It is appropriate for introductory undergraduate students and can also be scaffolded (with all of the readings, for example) for more advanced undergraduate students.

Interactive In-Class Lecture (~95 minutes)

Overview:

Using the provided PowerPoint slides, proceed with the lecture as follows:

- 1 *Explain variation*—10 minutes (PowerPoint slides 1–6). As you explain the differences in the kinds of variation (referential, affective, phatic, indexical, etc.), use contemporary examples that you know from everyday life.
- 2 *Explain social meaning*—10 minutes (PowerPoint slides 7–8).
- 3 *Explain how symbols work with these different kinds of meanings*—10 minutes (PowerPoint slides 9–10). You can use examples from daily life (we are surrounded by symbols).
- 4 *Explain different kinds of meanings*—5 minutes (PowerPoint slides 11–12). Students will be most familiar with referential meaning most likely.
- 5 *Explain how a symbol is linked to its social meanings*—10 minutes (PowerPoint slides 13–15). This can take time to unpack the social meanings themselves and then begin to attach the strings to the symbol. Be sure to have two variations of a symbol in order to note how the variation changes the social meaning.
- 6 *Prompt the class to come up with examples of symbols and social meanings. Students should be sure to address variation in this. So, they need at least two symbols or signals that differ and when they differ the social meaning shifts*—30 minutes.

Caution is warranted during this lecture in that if you or students choose mainly negative social meanings that are derived from various contemporary symbols, these may be attached mainly to certain kinds of people and cause discomfort, shame, and harm. Sometimes mundane obvious examples are the easiest and least dangerous. One suggestion is to use famous people's oral speaking styles (e.g., John F. Kennedy; George W. Bush, Meryl Streep, and Catherine O'Hara) rather than using regional styles or varieties of language. Another suggestion is to have students do small group discussions about their high schools—as Eckert's reading is about a high school that includes “jocks and burnouts,” have students discuss the groups in their high schools (or high school groups known to them) and the kinds of ways that people could know who belonged in which group.

- 7 *Conclude the lecture by recapping the movement from recognition of social meaning to the variation that creates it*—10 minutes (PowerPoint slide 27).
- 8 *Questions and explanation of homework activity*—10 minutes (PowerPoint slides 16–26, see homework activity instructions below).

Homework Activity (~45 minutes)

Overview: Provide students with web links to various online stores that have personal grooming goods: Target, Walmart, Amazon, CVS, Walgreens, Yankee Candle, Bath & Body Works, Clinique, Aveda, and so forth. (If students seem particularly engaged, the list of stores can be generated by them.)

Assignment Instructions for the Students:

- 1 Find a minimum of 20 products within your assigned category (hair care, deodorants, hair removal/shaving, body wash/soaps, lotions/moisturizers, skin care/cleanser, and air fresheners). You can find these products either at an online store (Amazon, Target, Walmart, CVS, etc.) or by visiting a brick-and-mortar store that is convenient to you.
 Note: if you are working in a group, each individual student must find a minimum of 20 products. Each student in the group must work on their own SPECIFIC product subcategory within the larger assigned category to avoid duplicating products. For example, if Group 1 has four people and is assigned hair care, then person 1 will focus on shampoo, person 2 will focus on conditioner, person 3 will focus on hairspray, and person 4 will focus on gel/mousse. Each group must decide among themselves which product subcategory (e.g., shampoo, conditioner, hairspray, and gel/mousse) each student will focus on within their group's assigned category (e.g., hair care).
- 2 Data collection: For each product, record the product's:
 - Brand name
 - Type (or subcategory)
 - Scent name
 - Images or art on the container
 - Three or more main colors
 - Indicated gender of the user
 Also, record any other information that may be helpful and a link to where an image of the product is viewable.
- 3 Submit the data you collected on each of the 20 products through the provided Google form. The Google form requires that you submit each product one at a time.

4 Write-up: *Themes/similarities?*

The instructor provides all the data submitted via the online Google form to all students. Then, each student will need to write a page summarizing the following:

- What kinds of variation are noted both within and across products?
- What kinds of social meanings do these variables produce for the products (either individual products or as a group/collection of product types)?

5 Turn in/bring to class: *Your write-up of the list of themes plus one paragraph of discussion.* Be ready to discuss your results and experiences with your classmates.

Reflection and Class Discussion

Overview: This discussion should happen after the students have engaged in the homework activity (about 20 minutes). Depending on the size of the class, this can first be done in small groups and then in a larger class discussion. The goals are to have students (1) *reflect* on their experience of finding the data and identifying the variation across products; (2) *hear how* other students strategized finding variation in their products; (3) *come to understand* the social meanings identified by the variation in the products; and (4) *identify and make explicit* the thematic patterns in the products that allow them to understand a personal grooming product as meant for men, women, or nonbinary gender persons.

Discussion Questions:

- 1 Before this lesson, had you considered what underlies the various social meanings you had noticed in your daily life? How does your previous knowledge (implicit knowledge) connect to what you have learned explicitly in this lesson?
- 2 Prior to engaging in the homework activity, what kind of variation were you aware of in personal grooming products? How is this different from what you noticed/learned during the activity?
- 3 Was the variation that you identified in the activity expected? Or were you surprised? If you were surprised, what did you find that you didn't expect?
- 4 Where else do you think this kind of variation might be found? Do you have any guesses (hypotheses) that you could use to initiate a research project?

Online Teaching Modifications

This lesson can easily be adapted to online teaching by (1) posting the PDF of the readings; (2) giving the lectures on pre-recorded video (or live via video conferencing software) and having students interact as described in break-out rooms (or pre-recording and posting the lecture where students can view; then forming small student groups [maximum five–six] to work on activities and give feedback); (3) posting homework instructions and having students post their homework activity findings to a shared Google sheet; and (4) requiring either a written discussion board where students respond to each other in reflecting on the exercise, or synchronous, online class discussion. If doing something written and online, follow up with an email or discussion board to students that wraps up the lesson, acknowledge their thoughts, and summarize key points.

58 Analyzing Language as Actions-in-Interaction

Nigel Musk and Silvia Kunitz

Brief Description of Method

Conversation analysis (CA) is the study of talk-in interaction. It is a **data-driven** (inductive) method, whereby analyses are firmly grounded in recordings of participants' **observable behavior** in non-contrived settings. CA has its roots in ethnomethodology, a branch of sociology, which highlights "the [ethno-]methods that people use for accounting for their own actions and those of others" (Hutchby and Wooffitt 2008: 27). CA's analytical tools are designed to uncover the interactional mechanisms that underlie spoken and embodied communication. These include how we take turns at talk in an orderly fashion and how we repair interactional trouble, such as breakdowns in communication. The following excerpt (Robinson 2013: 262) illustrates both **turn-taking** and **repair**:

- 1 BOB: how's your heater been working these last few weeks.
- 2 MOE: my heater?
- 3 BOB: yeah=in your car.

Bob's initial question passes the turn to Moe, but in line 2 she displays her current lack of understanding, by repeating the troublesome item with rising intonation. This is understood by Bob as a request for clarification, which he provides in line 3.

This excerpt further illustrates some central tenets of CA:

- CA's **action-based perspective** on language (i.e., the analysis of turns-at-talk as accomplishing social actions). Here, for example, we have an information request in line 1. Other actions include greetings, offers, assessments, and so forth.
- The analysis adopts a **participants'** (emic) **perspective** (i.e., it focuses on how the participants display their understanding of each other to each other, without relying on categories that are external to the interaction). Thus in line 3, by repairing his initial question, Bob displays he understands Moe's turn (line 2) as indicating a problem with part of his previous turn (line 1). As analysts, we understand Moe's turn on the basis of Bob's response to it. Thus tracking a response in the following turn (**next-turn proof procedure**) provides the analyst with important evidence.
- The use of **transcriptions** follows detailed conventions and provides an aid for doing and presenting analyses.

One common pitfall among novice conversation analysts is psychologizing interpretations (i.e., speculating on what participants are thinking, feeling, etc., rather than sticking closely to their **observable behavior**). Anything we do not have direct access to falls beyond CA's scope.

References for Further Reading

- Hofstetter, E. 2016a. Action Ascription. <https://www.youtube.com/watch?v=CN6anGiNMgs> (accessed October 24, 2022).
- Hofstetter, E. 2016b. Response Relevance. <https://www.youtube.com/watch?v=pLSmv9KJcdw> (accessed October 24, 2022).
- Hofstetter, E. 2017. Jefferson Transcription 101: How Conversation Analysts Transcribe. <https://www.youtube.com/watch?v=l1LpilDKp2l> (accessed October 24, 2022).
- Hofstetter, E. 2021. Turn Construction(al) Units. <https://www.youtube.com/watch?v=kh2tbxbHYPM> (accessed October 24, 2022).
- Hutchby, I., and R. Wooffitt. 2008. *Conversation Analysis*. Cambridge: Polity Press.
- Robinson, J. 2013. Epistemics, Action Formation, and Other-Initiation of Repair: The Case of Partial Questioning Repeats. In *Conversational Repair and Human Understanding*, edited by M. Hayashi, G. Raymond and J. Sidnell, 261–92. Cambridge: Cambridge University Press.
- Sacks, H., E. A. Schegloff, and G. Jefferson. 1974. Simplest Systematics for the Organization of Turn-Taking for Conversation. *Language* 50: 696–735.
- Sidnell, J., and T. Stivers. 2013. *The Handbook of Conversation Analysis*. Chichester: Wiley Blackwell.
- Stokoe, E. 2014. The Science of Analysing Conversations Second by Second. <https://www.youtube.com/watch?v=MtOG5PK8xDA> (accessed October 24, 2022).

Estimated Teacher Prep Time

45–60 minutes

Estimated Duration of Lesson

- 90-minute in-class activities (see PowerPoint presentation)
- 20-minute student-independent activity (homework in Review Handout)
- 20-minute reflective discussion (in a follow-up class session)

Materials Needed

- PowerPoint presentation (provided)
- Key to CA Transcription Conventions (provided)
- Review Handout (provided)
- Key to Review Handout (provided)

Student Pre-Class Preparation

Students can watch:

- Elizabeth Stokoe’s “The science of analysing conversations second by second”
- Emily Hoffstetter’s “Jefferson Transcription 101: How conversation analysts transcribe”

Learning Outcomes

On completing these activities students will be able to: (1) view language from CA’s action-based perspective; (2) analyze interactional data using a hands-on CA approach; and (3) understand and use terms and concepts central to CA.

Lesson Instructions

The instructions are organized to accompany the slides in the PowerPoint presentation. The following instructions are generic for most slides:

- Check on students' comprehension of each bullet point and/or question.
- Pairwork entails students discussing the questions on selected slides (~5 minutes) followed by whole-class discussions.
- Possible answers to the questions are included in the PowerPoint notes accompanying each slide.
- The points below are designed to provide extra support for particular slides, bullet points (BP), and questions (Q).

Slide 2

BP3: Provide two examples:

- 1 a greeting. Ask: what usually happens after a greeting? What happens if there is no greeting back?
- 2 an invitation. Ask: how can you respond to an invitation? Do the responses (accepting/rejecting) look the same or different?

Note that what we mean by "rules" is not that these have to be followed; we can also flout these rules for effect. Indeed, if someone doesn't follow them, we start interpreting and accounting for their behavior.

BP4: Possible expansion: to highlight CA's view of language as action discuss the social appropriateness of Gandalf's response to Bilbo's greeting (also noting Bilbo's reaction) in the following clip from "The Hobbit- good morning": <https://www.youtube.com/watch?v=RtnoK-kf3uc>.

BP6: We have already discussed 2 social actions (greetings, invitations). Elicit more examples of social actions: for example, requesting information ("could you tell me ...?"), giving compliments ("you look nice!"), apologizing ("sorry I didn't ..."), thanking.

Possible expansion: watch (part of) Emily Hofstetter's "Action ascription" (link in references above)

Slide 3

We are now going to look at a short dialog.

Inform students: in Excerpt 1, a mother is addressing her son.

Introduce the three questions.

Explain the terms:

- *turn at talk*—each unit of talk by one person, bordered by others' turns;
- *epistemic status*—what a person currently knows;
- *K+* (*knowledge plus*) = someone knows something;
- *K-* (*knowledge minus*) = someone doesn't know something.

Pairwork + follow-up.

Slides 5–6

Pairwork + follow-up.

Slide 7

This and the next slide reflect on different aspects of the excerpt and are designed to provide some of the analytical terms used in CA.

BP1: Possible expansion: watch (part of) Emily Hofstetter's "Turn construction(al) units" (link in references above)

BP2: Explain that after a question in line 1, an answer is now *conditionally relevant* (i.e., normatively expected). Indeed, Russ responds in line 2, though his interpretation of line 1 is not a request for information, but rather a pre-announcement of information.

BP3: Explain that *adjacency* means "next to," so an adjacency pair consists of two turns immediately following one another. In an adjacency pair, the action accomplished by the first turn (here the request for information in line 2) makes conditionally relevant a response in the following turn (here providing the information in line 3). Adjacency pairs are the basic unit of talk. Other examples include greeting + greeting, invitation + acceptance/rejection of an invitation.

BP4: Explain that our analysis of each additional turn in the first excerpt has been based on what is projectable (and conditionally relevant). Most turns also respond in some way to previous ones.

Slide 8

BP1: Explain that by trying to project possible next turns in the above excerpt, the participants have also probably adjusted their understanding of previous turns on a turn-by-turn basis.

BP2: Explain that by tracking how one turn displays how the previous one was understood, we can see whether the participants achieve mutual understanding or intersubjectivity, or whether they have to adjust their displayed or manifested understanding in the light of the next turn. A participant's next turn thus provides the most important evidence of how a previous turn has been understood. This is called the next-turn proof procedure.

BP3: Explain that by using the next-turn-proof procedure, we avoid speculating about what people are thinking. Instead, we ground our analysis in the participants' own displayed understanding of each other's turns and actions. This participant-relevant or emic perspective is central to CA.

Slide 9

Inform students: in Excerpt 2, Nelson is phoning his friend Clara.

Q1: Suggest that students consider what Clara's turns respond to.

Pairwork + follow-up.

Slides 11–12

Pairwork + follow-up.

Slide 13

BP3: Explain that CA's concept of preference isn't to do with people actually preferring to accept an invitation, but rather it has to do with aligning or disaligning with the course of action promoted by the previous speaker. Accepting an invitation is structurally simpler. After the next excerpt (turning down an invitation), we will be able to compare structural features, but don't reveal this to students yet.

Slide 14

Inform students: in Excerpt 3, Edna is talking to her neighbor, Nancy.

Slides 15–17

Make available the handout with the key to CA transcription conventions.

Q1: Remind students that this is a response to an invitation.

Q2: To identify what is meant by “indications,” ask them to look at each noted word/item in lines 3 and 4. Point out that a pause, for example (0.2), is measured in seconds (here = 0.2 of a second) and (.) is a micropause (less than about 0.2 of a second); colons indicate lengthened sounds; a dash at the end of a word indicates an abrupt cut-off (“let- hav-”)

Q3: Point out that the onset (beginning) of an overlap is indicated with an opening square bracket: ‘[...’

Pairwork + follow-up.

Slide 18

BP1: Possible expansion: watch (part of) Emily Hofstetter’s “Response relevance”: (link in references above)

BP2: Explain “mitigated”—the opposite to a bald “no,” displaying that rejecting an invitation is socially sensitive.

Slide 19

Pairwork + follow-up.

Slides 20–21

These slides summarize the content of this teaching unit. Slide 21 also introduces multimodal CA, which takes into account embodied resources (not only verbal resources).

BP4: Elicit what these resources could be before revealing them in the white box.

BP5: Explain that since this has only been an introduction to CA, we have focused on verbal resources. Introducing multimodal CA would require an additional chapter!

Reflection and Class Discussion

The review handout provides students with the opportunity to work independently as they apply a CA approach to the analysis of a short phone conversation. This can be set for homework. In a follow-up class session, go over the students’ answers to the review handout (see possible answers in the key to review handout). Then discuss the following:

- What can be gained by this kind of detailed analysis?
- What kind of research questions can this analysis answer?
- What do you think of CA’s action-based view of language?

Online Teaching Modifications

The PowerPoint slides work equally well with synchronous delivery using video conferencing software. The pairwork and groupwork in the instructions could then be done in groups of three to four students in breakout rooms. Since students will no longer be able to see the excerpts and questions in breakout rooms, these will need to be copied into the chat. Given the important stepwise revealing of the next turn in the three excerpts, the lesson does not lend itself so well to asynchronous online teaching.

59 Teaching Indexicality through a Focus on Identity

Rosalyn Negrón

Brief Description of Method

Much of what people communicate about themselves to others in conversation is implicit. People usually do not call their social identities out loud but invoke them indexically. The same linguistic form—whether language, word, or tone—can tacitly point to, or *index*, different social identities across different contexts. Tracing indexical relationships between language, context, and social meaning is challenging work. Yet, it is fundamental to discourse analysis, including conversation analysis. This lesson will help clarify for students what indexicality means, how it works, and how to systematically study it to understand social identification processes.

References for Further Reading

- Anderson, K. T. 2008. Indexicality. In *The Sage Encyclopedia of Qualitative Research Methods*, edited by L. M. Given, 423–24. London: Sage.
- Bucholtz, M., and K. Hall. 2005. Identity and Interaction: A Sociocultural Linguistic Approach. *Discourse Studies* 7: 585–614.
- Negrón, R. 2014. New York City's Latino Ethnolinguistic Repertoire and the Negotiation of Latinidad in Conversation. *Journal of Sociolinguistics* 18: 87–118.

Estimated Teacher Prep Time

90 minutes–2 hours

- Read or review background literature.
- Review and take notes on short TV show clips to demonstrate concepts in class.
- Review and select three to five 1- to 2-minute-long TV show clips for students to analyze on their own. Alternatively, have students identify their own clips.
- Make copies of readings, homework instructions, and any links to TV show clips available on the class learning management system (LMS) (e.g., Canvas, Blackboard) or other online central location (e.g., Google Drive, Dropbox).

Estimated Duration of Lesson

- 80-minute in-class discussion of readings and review of homework assignment
- 1-hour homework assignment
- 40-minute in-class reflective discussion

Materials Needed

- Teaching slides or handouts summarizing main ideas from readings (e.g., definitions of identity and indexicality)
- TV show clip files or links to online TV show clips (one suggested clip provided)
- Indexicality and identity worksheet (provided)

Student Pre-Class Preparation

Students need to have read the articles by Bucholtz and Hall (2005) and Negrón (2014) before class. This lesson complements course units on discourse and conversation analysis and other approaches to the qualitative study of social interaction. Background knowledge on these topics is preferred, but not required.

Learning Outcomes

As a result of this activity, students will be able to:

- 1 Define indexicality and provide examples
- 2 Define identity and explain its relationship to indexicality
- 3 Explain key components of indexicality: index (linguistic form), social meaning, interactional context, and ideology
- 4 Break down and interpret indexical processes at play in identity positionings

Lesson Instructions

This lesson consists of three parts. First, students will explore the concepts of indexicality and identity, through a discussion of the assigned readings and viewing of a sample TV show clip. Second, students will independently apply an approach for analyzing indexical processes, using clips from TV shows covering identity issues. Third, the lesson ends with a reflective class discussion. It is appropriate for advanced undergraduate and graduate students.

Interactive In-Class Discussion (80 minutes):

- 1 *Tell students what we are going to do today in class:* 2 minutes: Explain that today's lesson will prepare them for a homework assignment on indexicality. The first 50 minutes will focus on discussion of readings. The last 30 minutes will focus on viewing and discussing a sample TV clip.
- 2 *Discuss Bucholtz and Hall (B & H) reading* (focus on pp. 593–98): 20 minutes: This reading provides clear definitions of key concepts and an overview of their sociocultural linguistic framework for analyzing identity in interaction. Guide students through the main ideas of the reading, with a focus on their framework's "indexicality principle." Possible discussion questions and sample script include:
 - What is their broad definition of "identity"?
 - B & H argue for an analysis of identity as "emergent" during interaction rather than a reflection of someone's internal mental state. What do they mean by this? Can you provide examples from your own experience?
 - Let's look at the top of p. 594. Given B & H's explanation of indexicality, can you name key features or components of indexicality? (*We can derive four key components: index (or linguistic form), social meaning, interactional context, and ideology.*)

- Now let's unpack principle #3, again on p. 594. B & H describe four ways that someone may position their identity during interaction: (1) using identity labels; (2) implications and presuppositions; (3) displaying how they orient themselves in relation to values or knowledge; and (4) using linguistic structures and systems (e.g., languages or dialects) associated with certain groups. (*Provide clear explanations of each of these*). To drive home these concepts a bit more, let's look at how these four means of discursively producing identity play out in the article by Negrón.

3 *Discuss Negrón reading*: 20 minutes: The Negrón reading provides a sequence of conversations between two people, through which you can explore how B & H's indexicality principle applies in practice. It also illustrates how analysis of interaction is done. Start by providing an overview of the article. Then take each of the four means of discursively producing identity discussed by B & H and prompt students for examples. Display each of the four in a PowerPoint slide or have students follow along with a handout. Possible discussion questions and sample script include:

- As we look at each of the four means by which identity is discursively produced, I want you to keep in mind the components of indexicality that we discussed earlier. Again, they were: index (linguistic form), social meaning, interactional context, and ideology. So, as we look at different examples, I'll be prompting you: "What is the index?" "What is it pointing to (e.g., social meaning)?" "What are relevant aspects of the interactional context that the indexical link depends on?" "What ideologies are at play?"
- The first way that identity is discursively produced is: (1) "overt mention of identity categories and labels." Can you provide examples of this in the conversation between Roberto and William?
 - *Once students begin to identify examples, prompt them to unpack the components of indexicality for the examples (e.g., "What is the index?," etc.). Here's a list of examples: Extract 2, Line 67; Extract 4, Line 84; Extract 4, Line 104; and Extract 6, Lines 206–210.*
- *Repeat this for the remaining 3. Here's a list of examples for each:*
 - "Implications and presuppositions regarding one's own or others' identity position": Extract 2, Lines 53–67; Extract 4, Lines 83–105; Extract 5.
 - "Displayed evaluative and epistemic orientations to ongoing talk, as well as interactional footings and participant roles": Extract 1, Lines 41–50; Extract 2.
 - "Use of linguistic structures and systems that are ideologically associated with specific personas and groups": Extract 1, Line 41; Extract 2, Line 68; Extract 4, Lines 84 and 89; Extract 6, Lines 153 and 155; and Extract 6, Lines 199–205.

4 *View, analyze, and discuss identity and indexicality in the context of a TV show clip*: 20 minutes: First, pass out the indexicality and identity worksheet. Play a TV show clip portraying identity positioning and ask students to analyze it using the indexicality worksheet. An exemplary clip to show is from the TV show *Atlanta*, Season 1, Episode 9 ("Juneteenth") (available online through various streaming services). The sequence from minute 19:35 to 22:10 provides an example of the ways that linguistic forms (including nonverbal ones) are used to index competing racial identity positions, especially blackness, as well as class. Play the clip, asking students to take general notes. Then play the clip again (up to two more times), as students complete the worksheet. Discuss findings as a class.

- 5 *Questions and explanation of homework activity*: 10 minutes (see homework activity directions below).

Homework Assignment: Indexicality and Identity Worksheet (~1 hour)

Overview: If you have identified and selected 3–5 short TV show clips, like the *Atlanta* one used above, give access to files or links, as well as hard copies of the indexicality and identity worksheet. Students will practice with the approach covered earlier and complete the worksheet on two clips. Graduate students could complete the exercise using data they themselves collected, such as interview data or recording of a naturally occurring conversation.

Assignment Instruction for Students:

- 1 Select two 2- to 3-minute-long TV show clips for your analysis. If finding TV show clips yourself, shows to consider for identity content include *Atlanta*, *Black-ish*, *Fresh off the Boat*, *Girls*, *Jane the Virgin*, *Modern Family*, *Never Have I Ever*, *Orange Is the New Black*, and *Superstore*. Select clips where “social positioning of self and others” (Bucholtz and Hall 2005) is taking place by one or more characters.
- 2 Follow the instructions and complete the indexicality and identity worksheet for *each* of the two clips you selected.
- 3 If possible, save the clip files or links to share in class.

Reflection and Class Discussion

Overview: Once students complete their assignment, take 40 minutes for reflective discussion in class. Ask for four volunteers to play one selected clip for the class and walk the class through their analysis. Presentations/discussions for each of the clips should take no more than 7 minutes. Reserve ~10 for final reflection.

Discussion Questions:

- 1 Indexing identity relies on implicit knowledge. What knowledge or information did you need to better contextualize the identity work in the clips you analyzed?
- 2 Given the presentations and our discussion in the last class, what was one of the more common ways that identity was discursively produced? (*Recall the four ways listed in the worksheet.*)
- 3 What did you find most challenging about doing this type of analysis?

Online Teaching Modifications

The lesson will work in synchronous online sessions using a video conferencing software. Note, however, that some streaming services, such as Netflix, do not allow the presentation of content over online settings. Materials should be made available online through an LMS or a virtual document-sharing application. To deliver asynchronously, pre-record a lecture based on your review of key concepts in the B & H reading, a walkthrough of the analysis in the Negrón reading, and your sample analysis of the *Atlanta* episode. Using Google Slides or a similar tool, students can comment on lecture slides. Use discussion boards and reflection statements after the homework assignment.

60 Teaching Discourse Analysis Using Political Texts

Rosalyn Negrón

Brief Description of Method

Discourse analysis (DA) is the study of language in context and in action. Through DA, researchers study what people *do* with language to accomplish social and communicative goals. It is applicable across a broad range of topics and research questions. However, DA can be a challenge to teach for several reasons. Discourse analysts are not always explicit about their process. DA integrates multiple stages and layers that are not easily broken apart. And since DA draws on linguistic methods, such as looking at grammar, non-linguistics students may be intimidated by the methods. But DA is a versatile, rigorous, and insightful way to study meaning, and teaching it can prompt engaging discussions about issues of broad societal concern.

References for Further Reading

- Bara, B. 2020. *The Representation of Immigrants: A Critical Discourse Analysis of Donald Trump's Immigration Speech in the Presidential Campaign of 2016*. Malmö, Sweden: Malmö University. <https://www.diva-portal.org/smash/get/diva2:1482591/FULLTEXT01.pdf> (accessed April 17, 2022).
- Cisneros, J. D. 2015. A Nation of Immigrants and a Nation of Laws: Race, Multiculturalism, and Neo-liberal Exception in Barack Obama's Immigration Discourse. *Communication, Culture & Critique* 8: 356–75.
- Gee, J. P. 2004. *An Introduction to Discourse Analysis: Theory and Method*. New York: Routledge.
- Ruiz, J. R. 2009. Sociological Discourse Analysis: Methods and Logic. *Forum Qualitative Sozialforschung/Forum: Qualitative Social Research* 10(2). <https://doi.org/10.17169/fqs-10.2.1298>.
- Van Dijk, T. A. 1997. What Is Political Discourse Analysis? *Belgian Journal of Linguistics* 11: 11–52.

Estimated Teacher Prep Time

2–3 hours:

- Review background literature, PowerPoint slides (provided), and teaching dataset (provided).
- Develop notes with examples for each of the DA steps and types of questions covered in the PowerPoint slides.
- Customize PowerPoint slides and prepare homework materials.
- Prepare a list of sample research questions to present to students as options for their DA project.

- Make copies of PowerPoint slides, readings, homework instructions, and sample text available on the class learning management system (LMS) (e.g., Canvas, Blackboard) or other online central location (e.g., Google Drive, Dropbox). You may need to make hard copies of the sample text available for use during in-class lectures.

Estimated Duration of Lesson

- Two 80-minute in-class interactive lectures and review of homework assignment
- 3–4 hours for DA homework assignment
- 30-minute post-assignment paired sharing and reflective discussion

Materials Needed

- PowerPoint slides (provided) outlining the DA steps and example analysis
- Teaching dataset (provided) of five presidential speeches about immigration policy

Student Pre-Class Preparation

Before day 1 of the in-class interactive lecture, students should read at least one introductory reading on DA analysis (e.g., Gee or Van Dijk from further reading list) and one piece based on the DA of text(s) (examples are provided in the reading list above). Before day 2, students should review the sample text of presidential speeches about immigration.

Learning Outcomes

As a result of this activity, students will be able to:

- 1 Explain the purpose of DA and how it compares with other types of qualitative data analysis
- 2 Describe the overall process for doing DA
- 3 Identify key questions discourse analysts can ask to interpret a text
- 4 Explain the usefulness of using DA to analyze political speech
- 5 Write a report of DA findings

Lesson Instructions

With advanced undergraduate or graduate students in mind, this lesson is designed to scaffold a substantial DA assignment. Depending on the topic and goals of the course, the DA assignment could be scaled down.

Interactive In-Class Lecture: Day 1 (~80 minutes)

- 1 *Tell students what we are going to do today in class:* 2 minutes (PowerPoint slide 1). Explain that the two-part lesson will prepare students for a DA assignment. First, the lesson will explain DA and will break down key steps in a DA process. In day 2, you will go over an example of DA.
- 2 *Explain what DA is and summarize the DA process:* 10 minutes (PowerPoint slides 2–4). Explain what distinguishes DA from other qualitative methods and the types of questions that DA helps answer. Give a broad overview of the process.

- 3 *Review steps of the DA process with examples of how each step could be applied:* 60 minutes total, 5–10 minutes per slide (PowerPoint slides 5–12). Throughout the lecture, pull examples and clarifying details from the assigned readings. See notes in PowerPoint slides for specific points to cover.
- 4 *Concluding thoughts and preview of day 2:* 8 minutes. Answer questions and explain what will be covered on day 2 of the in-class interactive lecture: an example DA of presidential speeches about immigration. Make the text of the speeches available so that they can review them before day 2.

Interactive In-Class Lecture: Day 2 (~80 minutes)

- 1 *Tell students what we are going to do today in class:* 2 minutes (PowerPoint slide 13). Today's lesson will apply the last class's content to an example analysis. In their own assignments, students will get to expand on this analysis.
- 2 *Introduce topic of the analysis and review research question:* 3 minutes (PowerPoint slide 14). The lesson assumes that students are familiar with designing a research question and understand how research questions guide analysis. Point out that the research question in slide 14 orients the DA toward "change over time."
- 3 *Review teaching dataset:* 10 minutes (PowerPoint slide 15). The dataset contains different types of presidential speeches about immigration by five U.S. presidents. Prompt students to reflect and share general similarities and differences between the five types of addresses.
- 4 *Explain "genre" as a type of context:* 10 minutes (PowerPoint slides 16–18). Explain that the discourse genre is one of many different types of contexts that discourse analysts may consider.
- 5 *Go over "review and coding" process:* 10 minutes (PowerPoint slides 19–21). Summarize typical steps in a review and coding process of qualitative data. Review the list of themes and prompt students to identify other possible themes. One purpose of "review and coding" is to select text excerpts for fine-grained analysis.
- 6 *Discuss the significance of word choices in presidential speech:* 10 minutes (PowerPoint slides 22–23). Lead students in a discussion about the connotations of different word choices.
- 7 *Discuss the significance of grammatical choices in presidential speech:* 10 minutes (PowerPoint slide 24). Define "subject" and "predicate" and note that through their grammatical choices, speakers can get several things done.
- 8 *Discuss intertextuality:* 5 minutes (PowerPoint slide 25). Define "intertextuality" and provide examples.
- 9 *Conclude the lecture by reviewing the different layers that come together in a discourse analysis:* 10 minutes (PowerPoint slide 26). Review Ruiz's levels of discourse analysis. Explain that the assignment will draw on this organizational structure.
- 10 *Questions and explanation of homework assignment:* 10 minutes (see homework assignment directions below).

Discourse Analysis Homework Assignment (~4 hours)

Overview: Give access to digital and/or physical copies of the sample text of presidential speeches. Students will practice with the DA process and submit a final report. They must use at least two of the five speeches in the teaching data set for their analysis. Graduate students could be required to use all five speeches. The DA will result in a ~5-page paper (double-spaced); length may be increased for graduate students.

Assignment Instruction for Students:

- 1 Select a research question to guide your analysis of presidential speeches about immigration. Consult with your teacher about possible research questions. Decide which texts to use for your analysis. You must select at least two of the texts.
- 2 *Establishing the context:* Do background research on your selected sample texts. Some questions to guide your research: What was the political climate at the time each speech was given? What were public perceptions about immigration at the time? Did the president enjoy broad support among members of the U.S. population? Did the president face opposition? From whom? What was the economy like at the time? Were there major events that led to the speech? Keep track of your research and any relevant sources for later write-up.
- 3 *Review and Coding:* Do an initial reading of your selected sample texts. As you read, jot down notes, reflections, connections you notice between texts, and questions that come up. Organize notes by sample text. Later, do a deeper reading of the text and begin to mark and comment on each text, whether hard or digital copies. Questions to ask: What is notable, interesting, unusual, repeated, or confusing in the text? Keep your research question in mind.
- 4 *Select two to three themes for further analysis:* Once you identify important themes that will be the focus of your analysis, review the texts again to see how these themes play out across them. Take notes. At the end of this step, you will select chunks of text for fine-grained analysis.
- 5 *Asking questions of the text:* Do a closer reading of specific pieces of text. Ask at least three questions about the text to guide your interpretation. Refer to the lesson lecture, along with assigned readings, for ideas on what questions to ask. Use your research question to guide you.
- 6 *Bringing it all together:* Write a four- to five-page, double-spaced, paper integrating the pieces of your analysis. The paper should include sections on your research question and relevant background information about your selected texts. The analysis results should be structured around Ruiz's (2009) levels of DA (also see PowerPoint slides).

Reflection and Class Discussion

Overview: Once students complete their assignment, take 30 minutes for some paired sharing and reflections. Pair students up for 10 minutes; each student will share their findings with their partner for 5 minutes. To guide their discussion, prompt students to share: (1) their research question; (2) one or two important findings; (3) DA step or technique that they found most challenging and why; and (4) DA step or technique they enjoyed most and why. Once students have shared in pairs, bring them all together for 20 minutes of discussion of these questions.

Online Teaching Modifications

The lesson will work in much the same way in-person as in synchronous online sessions using videoconferencing software. Materials should be made available online through an LMS or virtual document-sharing application. To deliver asynchronously, record and post the day 1 and day 2 lectures. Using Google Slides or a similar tool, students can comment on lecture slides. Use discussion boards and reflection statements after the DA assignment.

61 Using Critical Discourse Analysis to Understand Texts in Context

Jennifer Smith-Merry and Justin McNab

Brief Description of Method

Critical discourse analysis (CDA) is an analytical approach to the analysis of discourse. CDA developed out of critical linguistics and has been particularly associated with the work of Norman Fairclough (e.g., Chouliaraki and Fairclough 1999; Fairclough 2014). CDA considers discourse or language broadly and can include an analysis of discourse arising from talk, texts, and other types of nonverbal objects and interactions (Mayr 2016; Smith 2007). The critical aspect of CDA refers to the way that language is linked to social contexts, by having a role in both producing, reproducing, and challenging social norms. The CDA analytical approach is therefore structured to specifically bring out the social practices within everyday discourse that come together to create and address social problems (Farrelly 2019). A problem encountered by students and researchers new to CDA is that many of the academic texts that focus on CDA are pitched at a high level and assume existing knowledge of linguistics and social theory, yet this is not always necessary for the practice of CDA. Teaching is therefore aimed at providing three things: an understanding of the critical dimensions of the approach, an understanding of the multi-level approach prescribed by CDA, and practice-based exercises to familiarize students with the method.

References for Further Reading

- Fairclough, N. 2013. *Critical Discourse Analysis: The Critical Study of Language*. New York: Routledge.
- Fairclough, N. 2014. *Language and Power*. 3rd ed. London: Longman.
- Chouliaraki, L. and N. Fairclough. (1999). *Discourse in Late Modernity: Rethinking Critical Discourse Analysis*. Edinburgh: Edinburgh University Press.
- Farrelly, M. 2019. Critical Discourse Analysis. In *SAGE Research Methods Foundations*, edited by P. Atkinson, S. Delamont, A. Cernat, J.W. Sakshaug, and R.A. Williams. <https://doi.org/10.4135/9781526421036815631>
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- Mayr, A. 2016. Multimodal Critical Discourse Analysis (MCDA). In *Handbuch Sprache im Multimodalen Kontext*, edited by N.-M. Klug and H. Stöck, 261–76. Berlin: De Gruyter.
- Smith, J. L. 2007. Critical Discourse Analysis for Nursing Research. *Nursing Inquiry* 14: 60–70. (Simple how-to-guide to CDA, based on newspaper texts).
- Van Dijk, T. A. 1993. Principles of Critical Discourse Analysis. *Discourse and Society* 4: 249–83.
- Weiss, G., and R. Wodak, eds. 2007. *Critical Discourse Analysis*. New York: Palgrave Macmillan.

Estimated Teacher Prep Time

Familiarization with CDA basic concepts and processes for those new to CDA: 2+ hours depending on the depth of understanding needed.

- Read Smith (2007) (30 minutes)
- Develop PowerPoint slides or handouts with materials relevant to student context (1 hour)
- Identify a range of example texts for students to use in class

Estimated Duration of Lesson

- 90-minute workshop/lecture time
- 1-hour out-of-class exercise
- 30-minute reflective discussion of out-of-class work during the next class

Materials Needed

A range of different texts for you and the students to explore in class (see below). Students will need something to write with (i.e., pen and paper/computer)

Student Pre-Class Preparation

Students will need to have read Smith (2007) prior to the workshop.

Learning Outcomes

At the end of this module, students will be able to:

- understand what is critical about critical discourse analysis.
- understand the main attributes of Fairclough's (2013) three levels of analysis.
- be able to apply Fairclough's three levels of analysis to a variety of texts.

Lesson Instructions

Note: This lesson will fit well with a lesson that focuses on thematic or content analysis as it provides a theoretical and practical framework that can be used with these types of analyses.

1 In-class workshop: introductory discussion.

The first thing that you want students to do is to really think about the ubiquitous nature of texts in society and how the texts that they interact with are linked to the social context in which they live. For this reason, you should begin the class by explaining what a text is. Then start a brief discussion, by asking students to discuss with those around them what the last thing they read was. It doesn't really matter what they have read, whether it is a textbook, a magazine, or even if everyone has just read their social media feed. Once they have had that small group discussion open it up and ask them to comment on the following as part of a whole group discussion:

- a What texts they had interacted with or read?
- b Why they were using those texts?

- c Whether the texts are the same types of texts that people would have used 30–40 years ago?

From this discussion, you can identify some of the differences or similarities between texts and the reasons why people use them. You can then start to talk to them about the social context of discourse and the way that texts represent and reproduce social practices.

2 Lecture part 1: What is critical about critical discourse analysis

Begin the more formal part of the workshop by introducing critical theory and reflecting on the differences between critique and being critical (Marston 2013). Then provide a short introduction to the way that critical theory developed and provide two or three examples of how critical thinking has been used to understand different social problems. These examples should be relevant to the student's own learning and social contexts. Depending on your student's prior knowledge and your own level of comfort with critical theory, you can go into more or less detail about the critical theory aspects of the content.

3 Lecture part 2: The main components of a critical discourse analysis

The next step is to introduce Norman Fairclough and his approach to CDA. This will be the particular approach to CDA that students will learn; however, you should tell them that this is one of a number of different approaches. The main teaching is through an introduction to the three levels at which Fairclough analyzes a text. It is useful to use an image of the three levels (Fairclough 2013). Go through each level in order.

- a The sociocultural practice level: This level of analysis investigates the sociocultural setting in which a text (including verbal discourse) is produced. The context (e.g., political, historical, economic, and social) shapes the contents of the text. You can illustrate this with some clear examples (e.g., historical jokes, which are not funny today).
- b The discourse practice level: This level investigates the way that texts are put together, and the often-unspoken rules around the way texts look, function, and are used. A journal article or a newspaper are good examples of this. Show the students two examples of the same type of text and ask them to point out the similarities in structure. Ask the students who would know how to read and interpret these types of documents and get meaning from them. For example, journal articles have a very particular style and way of making meaning that academics know how to read and others may not. Those practices have been built up in relation to the development of academia and international norms of academic working and communication. While journal articles might not be the best way for spreading information about our findings (e.g., freely available research reports may be better), the history of practices of academia, and the way that the numbers of journal articles and citations are linked to academic promotion means we still prioritize this way of communicating.
- c The level of the text: This level looks at the actual words that are used in the text and the way that particular language choices are made to convey meaning. Textual analysis can take many forms. Traditional discourse analysis is influenced by linguistics and can focus on detailed semantics, but it can also comprise of more thematic analyses. In CDA, the analysis will highlight textual choices in relation to broader political, historical, economic, or social factors. At this point, you can foreshadow other teaching that might focus on different types of textual analysis (e.g., chapter on thematic analysis in this book).

4 Lecture part 3: Explaining CDA through engaging with the prereading

The next step is to talk the students through the example in Smith (2007), which discusses CDA in the context of a media debate over the role of nurse practitioners in the Australian healthcare system. This article does not need any preexisting understanding of the context of nursing. Go through the case study and show how the three levels of CDA have been used in the analysis. Ask students to identify what was important about conducting a text analysis that included the sociocultural and discourse practice levels rather than just the textual level.

5 Workshop activity: Exploring texts and identifying the three levels

At this point, place students into small groups of two or three and give each group a different text that you have brought along to class. Try to make these as varied as possible (e.g., a journal article, a copy of a student newspaper, a magazine, a blog post, and a women's etiquette book from the 1960s) so that you can get students to identify the different social and discourse practices across the varied texts. They should analyze:

- a The level of the text (the actual word choices made to convey meaning). Students may choose to underline words (or otherwise label or identify them) and make notes on particular words or phrases and the explicit or implicit meaning they convey.
- b The discourse practice level. Students can note the way the text looks, what images or other materials accompany the text and why, and any titles, styles, or other linguistic devices that are used and why.
- c The sociocultural practice level. Students should take notes on the intended audience of the text; what its intended purpose is; and in what social context the text might or would be used.

6 Home learning

Ask students to repeat the in-class activity at home with a text of their own choosing.

Reflection and Class Discussion

Students will be able to cement their learning through conducting their own analysis of a text of their choosing, using Fairclough's (2013) three levels of analysis.

In the next class, get students to introduce the text that they have found and provide some insights about the text at each of Fairclough's three levels of analysis. In either small groups, or one group, have students:

- explain the text they chose;
- describe what they identified and observed at the sociocultural practice, the discourse practice, and textual levels.

Wrap up the session by asking students:

- What key things did you learn about language from CDA?
- What aspects of Fairclough's approach resonate with you?
- Where did you find difficulties?
- How could you use this approach in future research?

Online Teaching Modifications

The introductory exercise at the very start can either be a reflective exercise that students undertake on their own, or completed via discussion board posts asynchronously. You might consider prerecording the basic lecture and then hosting a shorter online workshop using video conferencing software where you talk through the examples and students try out CDA in small break-out groups. The final discussion session after the students carry out their own analysis could be conducted via online discussion boards.

Section 10

Network Analysis and Cultural Domain Analysis

This handbook section contains lessons on network and cultural domain analysis. Network analysis encompasses a range of techniques for finding structure in the relationships between people, objects, countries, events, organizations, and, in the case of semantic network analysis, words and codes in text. Cultural domain analysis investigates the structure and content of cultural knowledge. Cultural consensus analysis is a technique to determine how much a group of people share knowledge about a cultural domain—like what to do when you have a cold, or foods that you can eat on a Paleolithic food plan. The measure of sharing—of consensus—allows researchers to select and justify small samples for work based on qualitative data, like interviews. Cultural consonance analysis uses consensus analysis to determine if there are agreed-on cultural ideals (for things like lifestyle or what it means to be a good person) and then to measure how closely individuals conform to these shared cultural ideals.

Historically, research in the social sciences was based on the collection and analysis of profile data, where the cases (people, countries, and organizations) are the rows in a data matrix (like an Excel sheet) and measures about those cases are in the columns. The classical data matrix was (and still is) answers by respondents to a set of questions. Analysis of this kind of data involves making predictions about associations of measures in the columns. For example: How closely can we predict the initial salary of a college graduate if we know their major and GPA? How much better can we do if know the college they went to, their race or ethnicity, their gender, and whether they were raised by a single parent? Beginning in the 1930s, with the study of children’s networks in schoolrooms, and then expanding dramatically in the 1970s, network analysis was based on the collection and analysis of relational data—i.e., measures of association among the cases. For example, a typical network question might be: Can we predict how effective a team is at solving problems if we know how much the members like each other? The application of network techniques expanded in the 1980s with the development of consensus analysis, where a typical question might be: What do people in this organization think are the traits of a good leader and how much, if at all, do they agree on that?

The main difficulty in teaching these methods will be, for some students, that they are highly quantitative. All of the chapters here put a strong emphasis on the role of qualitative *data* in informing network analysis and cultural domain analysis. However, it’s unavoidable that students will need to work with numbers and software to do these analyses. The good news is that students, even those with no relevant prior training, are increasingly open to doing the work. Today’s students have grown up with social networks in social media. It’s a small step for them to move from consuming social network analyses to creating them. Once

students understand how to derive social structure from network analysis, they will be ready to apply the methods for analyzing relational data and grow into cultural domain analysis.

This handbook section contains two parts. The first focuses on network analysis. Moser and Basov's lesson teaches that semantic network analysis can be undertaken using a computational, mixed-methods approach and using an interpretive approach. Bellotti's lesson on social network analysis provides a good background of the field and guidance on how to conduct a qualitative whole network research study. The second part focuses on cultural domain analysis. Reyes-García and Li's lesson provides students with a comprehensive plan for designing and executing a multistage cultural domain analysis. Pessa and Dressler's lesson covers multistage cultural domain analysis, cultural consensus, and cultural consonance methods for studying shared cultural knowledge about ideal lives and how closely individuals approximate those cultural ideals in their own lives.

62 Mixed Semantic Network Analysis to Explore Discursive and Cultural Landscapes

Christine Moser and Nikita Basov

Brief Description of Method

In contrast to other techniques of text analysis, semantic network induction is particularly useful to map discursive and cultural landscapes. This method relies on the idea that the meaning of a word is defined by its relations with other words in a particular social and temporal context. The method includes techniques to capture such relations and represent them as a semantic network, as well as to identify the particular elements of this network to inspect them closer. Mixed-method semantic network analysis offered here includes: (1) manually enhanced computational word collocation approach to produce semantic networks of associations between words; (2) elementary network analysis—to locate key nodes and links in these networks; and (3) interpretive analysis of texts—to understand these key elements in their textual contexts. Apart from capturing what is expressed directly, this approach enables revealing latent cultural surroundings of the main content of statements. This allows for illuminating higher-order cultural structures that mold the meaning of focal expressions.

References for Further Reading

- Basov, N., W. de Nooy, and A. Nenko. 2021. Local Meaning Structures: A Mixed-Method Socio-Semantic Network Analysis. *American Journal of Cultural Sociology* 9: 376–417.
- Carley, K., D. Columbus, and A. Azoulay. 2012. Automap User's Guide 2012, CMU-ISR-12–106. *Center for the Computational Analysis of Social and Organization Systems*. June 11. <https://apps.dtic.mil/sti/pdfs/ADA563083.pdf>
- Deichmann, D., C. Moser, J. M. Birkholz, A. Nerghe, P. Groenewegen, and S. hui Wang. 2020. Ideas with Impact: How Connectivity Shapes Idea Diffusion. *Research Policy* 49: 103881.
- Lee, M., and J. L. Martin. 2015. Coding, Counting and Cultural Cartography. *American Journal of Cultural Sociology* 3: 1–33.

Estimated Teacher Prep Time

180–240 minutes:

- Familiarize yourself with the literature listed above.
- Download the Automap and ORA software and briefly walk through the step-by-step guide offered in the supplementary materials. Affinity with software applications is preferable.

Estimated Duration of Lesson

- Two 90-minute, in-class, hands-on workshops.
- 120-minute student-independent activity (homework).
- 45-minute reflective discussion (in a follow-up class session).

Materials Needed

- Free Automap software from <http://casos.cs.cmu.edu/projects/automap/downloads.php>.
- Free ORA software from <http://casos.cs.cmu.edu/projects/automap/downloads.php>.
- Data set of your own choice (see below).

Student Pre-Class Preparation

- Download the free Automap software from <http://casos.cs.cmu.edu/projects/automap/downloads.php>.
- Download the free ORA software from <http://casos.cs.cmu.edu/projects/automap/downloads.php>.
- Familiarize yourself with the software and the logic building in Carley et al. (2012).
- Select a text that you would like to analyze (min. 1,000 words; max. 3,000 words).

Learning Outcomes

After completing the session, the students will be able to:

- Prepare and preprocess texts for semantic analysis using Automap and ORA;
- Visualize semantic networks;
- Calculate basic network measures;
- Interpret key elements of semantic networks.

Lesson Instructions

This lesson has three parts: (1) two in-class, hands-on workshops; (2) a homework activity; and (3) a reflective class discussion. It is appropriate for advanced undergraduate and graduate students. Part (3) is optional; however, the instructor should provide feedback on the hands-on workshop results and homework activity.

1 In-Class, Hands-On Workshops

For this activity, students work individually or in pairs on the assignment. Prior to the first workshop, the students need to install the two software packages, Automap and ORA, as detailed above. Instructions can be done plenary and if necessary online; however, real-time support during the workshops when the students execute the different procedures is advisable. It will also be useful to flag and share with the class issues that are coming up during analysis. The workshops should be planned for about 90 minutes each.

Workshop 1

During the first workshop, the students will complete two consecutive steps. At the end of this workshop, the students will have the data ready to be analyzed in the second workshop.

First, they will prepare their data. This step requires the students to find a text (e.g., a Wikipedia page or a section of an online forum on the topic of their interest, an interview, or another text of their choice) that has the potential to answer their research question. Then, the students are to manually process the data following the instructions specified in Section 1 of the Step-by-Step Guide in the Supplementary Materials.

Second, the students will complete the automated pre-processing of their data using Automap. This procedure, detailed in Section 2 of the Step-by-Step Guide, will, for example, remove stop words and technical signs. The pre-processing ensures that the data will be suitable and prepared for subsequent semantic network construction.

Workshop 2

The second workshop is dedicated to producing and refining the semantic networks, based on the dataset created in Workshop 1. Students can also make a start to interpret their networks. At the end of this workshop, the students will have a semantic network and network measures that they can further investigate in the homework activity.

To start with, students will produce a semantic network as detailed in Section 3 of the Guide in the Supplementary Materials, using Automap.

Next, the network data are refined in ORA as described in Section 4 of the Guide. The refinement steps are necessary to render the dataset so that students can produce a meaningful network visualization.

Finally, the students are to locate key entities in the semantic network, as per Section 5 of the Guide, and reflect on them, informed by the specificities of the research context. The section contains some guiding questions that students can use in their reflections. Ask the students to write down their reflections and interpretations of the most central concepts. A short discussion may follow.

2 Homework Activity

The homework activity part builds on the original text and the results of the two in-class workshops. The activity involves qualitative analysis of the most central concepts and associations previously located in the dataset, using semantic network analysis. For this, students need the output network from the second in-class workshop, their interpretations of this network, and their original text. The assignment should be between 1,000 and 1,500 words. Instructors can use the following instruction text for the homework activity (see Section 6 of the Step-by-Step Guide in the Supplementary Materials):

“In this assignment, you will conduct qualitative analysis of a focal concept detected in your previous semantic network analysis in their original textual environment, to ensure contextual understanding of their meaning. To achieve this, you need the text that you originally selected, the semantic map that you created during the second in-class workshop, and the interpretations that you wrote down.

Describe the most central concepts and recall your interpretations thereof. Open the original text in your preferred text editor and seek out instances of the central concept of your greatest interest. Examine the pieces of text in which these instances are encountered. Engage with the following questions with your initial interpretations and the network map at hand:

- Did you correctly interpret what this concept denotes, when looking at the semantic network?
- Does the use of the concept correspond to your interpretation of its position in the semantic network?

- What else does the *text* tell you about this concept that the semantic network did not?
- Is there something else to examine in the semantic map now, once your interpretation has been contextualized and, perhaps, refined?
- How does this contextual understanding affect the perception of the central concepts with regard to your original research question?"

3 Reflection and Class Discussion

The follow-up session summarizes key elements of the method. Some possible discussion questions include:

- What were the difficulties you encountered while conducting the analysis?
- What are the strengths and weaknesses of the method?
- Would you use this method again in your research, and why (not)?

Online Teaching Modifications

This lesson can easily be taught online. However, lessons should be taught synchronously so that the instructor can interact with students in case there are questions or difficulties with the software and further analyses. If necessary, students can follow the instruction text asynchronously. In this case, there should be a way for students to ask questions (e.g., using a message board).

63 Walking in Your Footsteps

Using Qualitative Methods in Whole Network Analysis

Elisa Bellotti

Brief Description of Method

Social network analysis (SNA) is a mathematical perspective that reproduces social relationships in a formal and comparable way. It abstracts from the hustle and bustle of everyday interaction, and systematizes this information in terms of presence or absence of relationships (ties) between nodes, where nodes can be individuals, groups, organizations, and so on. SNA does not represent quantities but structures: *patterns* that emerge from interweaving ties. Whole network analysis is a specific SNA approach that represents patterns of ties within a bounded group of people. While much of SNA uses statistical analysis to measure and model such patterns, qualitative methods can be used to collect SNA data and to understand the subjective and collective meanings of networks' patterns and mechanisms. Pioneers of qualitative whole network research were anthropologists of the Manchester school, who used graph theory as a way of dealing with the overwhelming complexity of the relational data they were collecting in their ethnographic case studies. Qualitative whole network research is used in many substantive areas of social sciences, for example, social movement studies, criminal networks, epidemiological and public health studies, and cultural studies.

References for Further Reading

The following readings are required for the first two parts of the lecture. Further readings are indicated in the slides.

- Bernard, H. R., and P. D. Killworth. 1977–79. Informant Accuracy in Social Network Data II. *Human Communication Research* 4: 3–18.
- Crossley, N., and G. Edwards. 2016. Cases, Mechanisms and the Real: The Theory and Methodology of Mixed-Method Social Network Analysis. *Sociological Research Online* 21: 13.
- Curtis, R., S. R. Friedman, A. Neaigus, B. Jose, M. Goldstein, and G. Ildefonso. 1995. Street-Level Drug Markets: Network Structure and HIV Risk. *Social Networks* 17: 229–49.
- Padgett, J. F., and C. Ansell. 1993. Robust Action and the Rise of the Medici, 1400–1434. *American Journal of Sociology* 98: 1259–319.
- Ryan, J. W. 2013. Network Hubs and Opportunity for Complex Thinking Among Young British Muslims. *Journal for the Scientific Study of Religion* 52: 573–95.
- Stevenson, R., and N. Crossley. 2014. Change in Covert Social Movement Networks: The “Inner Circle” of the Provisional Irish Republican Army. *Social Movement Studies* 13: 70–91.
- Whyte, W.F. 1936. *Street Corner Society*. Chicago: The University of Chicago Press.

Estimated Teacher Prep Time

Read the above readings in advance and make sure you familiarize with the epistemological and methodological approach of SNA. Estimated time of prep-reading: 4 hours.

Prepare PowerPoint slides (provided) and materials for students' activities (provided). Estimated time: 1 hour.

Estimated Duration of Lesson

- 3 hours (including a 20-minute break and a 20-minute final Q&A session—excluding Part 3).
- Part 1: Define social network research. 20-minute class, 30-minute activity.
- Part 2: How to conduct qualitative whole network research. 30-minute class, 60-minute activity.
- Part 3: Preparation for the handout essay. 45-minute class including Q&A. Marking and feedback time depend on the number of students (average 30 minutes per assignment).

Materials Needed

- PowerPoint slides (provided).
- Activities worksheet with required readings (provided).
- Final assignment (optional, provided).

Student Pre-Class Preparation

None. Students do not need to read any of the readings before the lecture, but they should be provided with the full list of references ahead of class.

Learning Outcomes

The goals of the lecture are:

- 1 Learn what SNA is, understand why we need to use SNA, understand the reason behind using qualitative methods in whole network research and how we can generalize from whole networks' case studies.
- 2 Define whole networks, identify boundaries, and understand how to use the main qualitative data collection tools.

Optional

- 3 Critically evaluate qualitative whole network research. For the final assignment, students will be required to choose a qualitative whole network study and reflect on its strength and weaknesses.

Lesson Instructions

This lesson consists of three parts:

- 1 A first lecture followed by an interactive group activity;
- 2 A second lecture followed by an interactive group activity; and
- 3 An optional assessment on homework activity.

1. Lecture 1 (20 minutes)

The goal of the lecture is to define what SNA is, what type of research questions it can answer, the rationale for mixing it with qualitative methods, and the generalizability of the approach. It uses Crossley and Edwards (2016) as the main reference.

Proceed with the lecture as follows (PowerPoint slides 3–12):

- a Explain the characteristics of SNA and why it differs from both quantitative and qualitative methodologies. Make sure students understand the concept of structural analysis, which departs from the logic of “the more, the more” of classic statistics, and from the individual subjectivity of qualitative analysis.
- b Focus on the epistemological grounds of SNA, which is systemic, in the sense that we cannot observe a portion of a network to infer the structure of the rest, and contextual, which means that network characteristics are not generalizable via design-based inferences.
- c Explain the concept of dependency: SNA data take into account how observations depend on each other, while classic qualitative and quantitative methods bracket out dependency assuming observations are independent from each other.
- d Explain the approach of case studies and its preference for mixed methods.
- e Define and explain the concept of social mechanisms, as intelligible and recurrent formal patterns in social interaction that allow us to explain why, in a particular situation, events unfolded in one way rather than another.
- f Define and explain the concept of portability, by which we can compare an observed mechanism in other situations where similar patterns may occur.

Activity 1 (30 minutes. PowerPoint slides 14–15)

- a Divide students into small groups.
- b Distribute the text from the Introduction to Whyte (1936) provided in the worksheet Activity 1, point 1, and in slide 14. Ask the students to read the text individually (5 minutes), and discuss it in groups (10 minutes), answering the questions provided in the file Activity 1, point 2, and in slide 15.
- c Regroup students and ask each group to answer one question. Let the students discuss each answer (15 minutes).

2. Lecture 2 (30 minutes)

The goal of the lecture is to define whole networks in terms of boundaries and coverage, and to illustrate with empirical examples how to collect network data via qualitative methods, specifically observations, interviews, and archival materials.

Proceed with the lecture as follows (using the provided PowerPoint slides 17–23):

- a Illustrate the concept of naturally occurring social network and explain how to identify its boundaries.
- b Focus on the distinction between actors and ties: how to select individuals who belong to a network, and how to select the relationships of interest for the research project.
- c Explain the importance of achieving a full coverage in whole network analysis.
- d Slide 21: The example in Padgett and Ansell (1993) illustrates how a research question that has been tackled with traditional methods can be reformulated in network terms, and

how data can be collected via archival materials to explore such question. It provides a clear example of the importance of setting the boundaries of the actors belonging to a network and of focusing on the right type of relationships.

- e Slides 24–27 in the PowerPoint presentation introduce four empirical examples on how to conduct whole network research using qualitative interviews; participant observations with bounded or hidden populations; and archival materials. It uses Ryan (2013), Bernard and Killworth (1977–79), Stevenson and Crossley (2014), and Whyte (1936, Appendix A).
- f Conclude the lecture discussing the limits of using qualitative data in whole network studies (PowerPoint slide 28).

Activity 2 (60 minutes. PowerPoint slides 29–30)

- a Divide students in small groups.
- b Distribute Curtis et al.'s (1995) article to the students and ask them to read it individually (30 minutes).
- c Ask the students to discuss it in groups (10 minutes), answering the questions provided in the file Activity 2, point 2.
- d Regroup students and ask each group to answer one question from Activity 2. Let the students discuss each answer (20 minutes).

3. Homework and Assignment (optional, 30 minutes)

A list of references is provided in the file Essay Questions, from which students should choose one to write a final 2,000-word essay. Slides 31–40 provide brief summaries of each reference.

All references are classic studies in qualitative whole network research. Some of these are freely available, but others are printed books that students should buy or borrow from the library.

Proceed with the lecture as follows:

- 1 In class, go through each proposed study (slides 32–40) and summarize its main content (20 minutes). This overview will provide the students with the opportunity to think about the reading they want to use for their final essay.
- 2 Illustrate the essay questions (5 minutes, slide 41).
- 3 Use the remaining time to discuss the readings and the essay questions and to answer students' questions over the whole class.

Reflection and Class Discussion

Instructors should conclude the lecture by giving the students the possibility of asking questions and expressing their take on qualitative whole network analysis. Discussion time should vary between 15 and 30 minutes. Valuable points for discussion are:

- 1 What do you think are the advantages of using SNA compared to other methodological frameworks?
- 2 What do you think are the main difficulties?

- 3 What type of social mechanisms have you identified in the empirical examples you have read for the class? Can you name at least one of them? How portable do you think these mechanisms may be across social contexts?
- 4 The examples presented in class come from different social sciences disciplines: What do you think these disciplines have in common? Why can we use SNA in such a variety of substantive fields?
- 5 Can you think of any other substantive field where SNA could be applied?

Online Teaching Modifications

This lesson can be done synchronously and asynchronously using a learning management system and video conferencing software. Students should be asked to watch the pre-recorded lecture and read the materials for the activities in advance. Activity 1: Take 15 minutes to answer specific questions on the SNA approach and to explain the first activity to students. Divide students into small groups, with 15 minutes to discuss the first activity questions. Instructor should move around breakout rooms to facilitate discussion, then regroup to discuss student answers collectively.

Then explain activity two to students (5 minutes) and divide into groups. Give students 15 minutes to discuss the second activity questions, instructors should move between groups, then regroup everyone to discuss and conclude the class with the above discussion points.

64 Mapping the Structure of a Cultural Domain

Cultural Domain Analysis

Victoria Reyes-García and Xiaoyue Li

Brief Description of Method

Cultural domain analysis (CDA) is the study of how people in a culture group items that are somehow related. Items in a cultural domain might include observable, physical—e.g., types of foods, phones, medicinal plants, or symptoms of illness—or conceptual items—e.g., religions, professions, and environmental behaviors. CDA aims to explain how people in a culture (or subculture) interpret the content of a domain. The method originates in cognitive anthropology, but it is now used in fields such as public health or marketing. CDA requires first obtaining a list of items comprising a coherent cognitive domain. Some of the most common methods to analyze a cultural domain include multidimensional scaling, hierarchical clustering, and cultural consensus analysis. Software used in CDA includes Visual Anthropac, Flame, and UCINET (the software used for this class). Note that some packages are also available to run consensus analysis in R.

References for Further Reading

- Borgatti, S. P. 1994. Cultural Domain Analysis. *Journal of Quantitative Anthropology* 4: 261–78.
- Borgatti, S. P. 1997. MDS. <http://www.analytictech.com/borgatti/mds.htm> (accessed January 26, 2022).
- Borgatti, S. P. 1998. Elicitation Techniques for Cultural Domain Analysis. In *The Ethnographer's Toolkit*, edited by J. Schensul and M. LeCompte, Vol. 3, 1–26. Walnut Creek: AltaMira.
- Romney A. K., S. C. Weller, and W. H. Batchelder. 1986. Culture as Consensus: A Theory of Culture and Informant Accuracy. *American Anthropologist* 88: 313–38.
- Trotter, R. T., and J. M. Potter. 1993. Pile Sorts, a Cognitive Anthropological Model of Drug and AIDs Risks for Navajo Teenagers: Assessment of a New Evaluation Tool. *Drugs & Society* 7: 23–29.
- Weller, S. C. 2007. Cultural Consensus Theory: Applications and Frequently Asked Questions. *Field Methods* 19: 339–68.

Estimated Teacher Prep Time

90–120 minutes:

- Review background readings so you have specific examples to guide students during the lesson.
- Review (and possibly adapt) PowerPoint slides (provided).
- Install UCINET software and get hands-on practice beforehand. Be aware that the UCINET software only runs in Windows operating system and offers a 60-day free trial.
- Set up the how students will turn in homework.

Estimated Duration of Lesson

- 180-minute in-class interactive lectures (three 60-minute lectures)
- 180-minute student-independent activity (three 60-minute homework assignments)

Materials Needed

- PowerPoint slides on “Mapping the structure of a cultural domain: Cultural domain analysis” (provided)
- UCINET installed in the classroom computer

Student Pre-Class Preparation

- Students need to have read the suggested readings:
 - Lecture 1: Borgatti 1994
 - Lecture 2: Borgatti 1998 and Trotter and Potter 1993. Introduction to MDS Borgatti 1997, retrieved from <http://www.analytictech.com/borgatti/mds.htm>
 - Lecture 3: Weller 2007
- Students need to install UCINET software for doing the homework (lectures 2 and 3).

Learning Outcomes

After completing this lesson, students will (1) be familiar with the variability of methods to analyze cultural domain data and (2) be able to use real-world data to conduct several types of analysis.

Lesson Instructions

This lesson includes: (1) three in-class interactive lectures; (2) three homework activities; and (3) a reflective class discussion. It is appropriate for advanced undergraduate and graduate students.

In-Class Interactive Lectures (~60 minutes/lecture)

Lecture 1: Diverse ways of analyzing a cultural domain

This lecture introduces the various ways in which a cultural domain can be analyzed. Using the provided PowerPoint slides, proceed with the lecture as follows:

- 1 Welcome students and introduce the overall objectives of the lesson (PowerPoint slides 1–2) and of lecture 1 (PowerPoint slides 3–4). 10 minutes
- 2 Review the concept of cultural domain and give examples from your own research. Prompt students to list potential “cultural domains” that they can think of. Discuss examples of cultural domains in the literature (PowerPoint slides 5–6). 10 minutes
- 3 Introduce the purpose of cultural domain analysis and ask students to comment on the assigned reading (Borgatti 1994). Present the most common types of CDA, highlighting the ones that will be explained in coming lectures (PowerPoint slides 7–8). 15 minutes
- 4 Explain how the analysis of relations among items is based on data organized in proximity matrices, and use the examples provided in the presentation (or your own examples) to explain similarity and dissimilarity matrices. Explain how individual proximity matrices can be aggregated (PowerPoint slides 9–12). 15 minutes.
- 5 Questions and homework explanation (PowerPoint slide 13). 10 minutes

Homework Lecture 1 (~60 minutes)

In this homework, students will collect proximity data (using a pile sorting exercise) that will be subject to cultural domain analysis in the coming lectures.

Assignment Instructions for Students:

- 1 On separate pieces of paper, write all the items in a cultural domain of your choice (e.g., all the trees, cities, or environmentally friendly behaviors you can think of).
- 2 Ask 20 people you know to “make piles of things that go together.” For each respondent, jot down the items in a pile and the gender of the respondent. Optional: Follow up with questions such as “Why do you group these together?” so that you can later interpret the data.
- 3 Enter the data in a UCINET readable format.
- 4 Turn in/bring to class.

Lecture 2: Analyzing relations among items: Multidimensional scaling and hierarchical clustering analyses.

This lecture will familiarize students with ways of analyzing relations among items in a cultural domain and introduce the UCINET software. Using the provided PowerPoint slides, proceed with the lecture as follows:

- 1 Welcome students, ask about issues with homework, and introduce the objectives of lecture 2, presenting multidimensional scaling (MDS) and hierarchical clustering as ways to look for structure in proximity matrices (PowerPoint slides 15–16). 10 minutes
- 2 Explain MDS and the meaning of dimensions, clusters, and stress in MDS. Use the example of pile sort data of 18 fruits to explain how to create aggregated proximity data and display the “closeness” of items in the domain (PowerPoint slides 17–26). 15 minutes
- 3 Explain hierarchical clustering and the meaning of “cluster.” Use the example to explain how items are clustered and how to interpret the graphical display (PowerPoint slides 27–30). 10 minutes
- 4 Demonstrate how to run MDS and hierarchical cluster analysis using UCINET (PowerPoint slides 31–34). 15 minutes
- 5 Questions and homework explanation (PowerPoint slide 35). 10 minutes

Homework Lecture 2 (~60 minutes)

- Import into UCINET the pile sort data collected for the homework of lecture 1.
- Run an MDS of your pile sort data. Use the pooled sample and gendered disaggregated samples.
- Run a hierarchical clustering of your pile sort data. Use the pooled sample and gendered disaggregated samples.
- Write a 300-word paragraph describing the mental map of the selected cultural domain according to your informants. Comment on any difference by gender.

Lecture 3: Analyzing informant’s agreements about relations

This lecture will familiarize students with ways of analyzing informants’ agreement about relations among items in a cultural domain using UCINET software. Using the provided PowerPoint slides, proceed with the lecture as follows:

- 1 Welcome students, ask about issues with homework, and introduce the objectives of lecture 3, presenting cultural consensus analysis as a way to analyze informants' agreement about relations in a cultural domain (PowerPoint slides 36–38). 5 minutes
- 2 Explain the theoretical basis for cultural consensus analysis (PowerPoint slides 39–41) and demonstrate how to run cultural consensus analysis using UCINET (PowerPoint slides 42–44). 15 minutes
- 3 Recap on the different methods presented in this lesson and briefly introduce other methods of cultural domain analysis (PowerPoint slides 45–48). 15 minutes
- 4 Prompt reflection and discussion of the methods presented using questions in PowerPoint slide 49. 20 minutes
- 5 Questions and homework explanation (PowerPoint slide 50). 5 minutes

Homework Lecture 3 (~60 minutes)

- Run cultural consensus analysis using the pile sort data collected in the homework from lecture 1. Run the analysis for the pooled sample and for people of different gender.
- Write a 300-word paragraph describing your results for the pooled sample and for people of different genders.

Reflection and Class Discussion

Overview: This discussion should happen after the students have seen all the materials for the lesson, at the end of lecture 3. Reserve ~20 minutes for discussion. The goals are to have students: (1) reflect on any past experiences using different cultural domain analysis methods; (2) consider the potential application of the different techniques to their own research; and (3) ponder the advantages and disadvantages of the use of these methods with specific samples. Depending on the size of the class, this discussion can be done with all students, or in small groups that will report back to the class.

Discussion Questions

- 1 Before this lecture, were you aware of the concept of cultural domain? Were you aware of any of the cultural domain analysis techniques introduced and in which context?
- 2 Do you think any of these techniques would be very useful for your own research? Why or why not?
- 3 What are the main advantages and disadvantages of the use of these techniques when working with the sample you have selected for your research?

Online Teaching Modifications

This lesson can easily be adapted for online teaching by: (1) posting a PDF of the mandatory readings to a learning management system; (2) giving the three lectures live and having students interact as described, or pre-recording and posting a modified version of the lectures where you ask students to pause and do the interactive activity; (3) posting the homework instructions and having students turn their work in online; and (4) requiring online class discussion (if the lectures are live) or a written discussion board where students to respond to each other in reflecting on the exercises (if the lectures are recorded). Discussion boards are most useful if the instructor engages with the questions, providing wraps, acknowledging ideas, or summarizing key points.

65 Measuring Cultural Consonance

Rosane Pilot Pessa and William W. Dressler

Brief Description of Method

Cultural consonance is the degree to which individuals approximate, in their own beliefs and behaviors, cultural norms that are shared in society. Low cultural consonance is a stressful circumstance and leads to adverse health outcomes. Cultural consonance is a way to measure social practice or the reproduction of culture in an individual's life. Most importantly, it enables a researcher to measure beliefs and behaviors with a high degree of *emic validity*, because the measurement is phrased in terms of ideas that are meaningful to the members of that society.

References for Further Reading

- Dengah, H. J. F., J. G. Snodgrass, E. R. Polzer, and W. C. Nixon. 2021. *Systematic Methods for Analyzing Culture: A Practical Guide*. New York: Routledge.
- Dressler, W. W. 1996. Using Cultural Consensus Analysis to Develop a Measurement: A Brazilian Example. *Cultural Anthropology Methods* 8: 6–8.
- Dressler, W. W., M. C. Balieiro, R. P. Ribeiro, and J. E. Dos Santos. 2007. Cultural Consonance and Psychological Distress: Examining the Associations in Multiple Cultural Domains. *Culture Medicine and Psychiatry* 31: 195–224.
- Dressler, W. W., C. D. Borges, M. C. Balieiro, and J. E. dos Santos. 2005. Measuring Cultural Consonance: Examples with Special Reference to Measurement Theory in Anthropology. *Field Methods* 17: 331–55.
- Pessa, R. Pilot, K. S. Oths, W. Dressler, M. C. Balieiro, and J. E. dos Santos. 2021. Cultural Consonance in Food Consumption and Nutrient Intake in Southern Brazil. *Ecology of Food and Nutrition* 61(3): 385–405.

Estimated Teacher Prep Time

2 hours:

- Read or review Dengah et al. (Chapters 3–6), Dressler et al. (2005), and Pessa et al. (2021).
- Prepare PowerPoint slides (provided) and homework materials for students (provided).
- Using some of the techniques in two readings, develop sample survey items that measure both reported behavior and reported beliefs. This will ensure that you have specific examples to guide students.

Estimated Duration of Lesson

- One 75-minute introductory lecture on measuring cultural consonance
- One 90-minute lecture providing a cultural domain analysis of food among American college students
- One 60-minute student-independent activity (homework)
- One 60-minute reflective discussion (in a follow-up class discussion)

Materials Needed

- PowerPoint slides (provided)

Student Pre-Class Preparation

- Students should read Dressler (1996) and Dressler et al. (2005)
- Prior to student-independent activity, they should read Pessa et al. (2021)

Learning Outcomes

Following these lectures and activities, the student will be able to: (1) describe the importance of an emic perspective in the development of valid scales for use in ethnographic research; (2) describe how cultural domain analysis is used to elicit local cultural models; and (3) use the results of cultural consensus analysis to develop scale items for measuring cultural consonance.

Lesson Instructions

This lesson has four parts: (1) an in-class lecture/discussion illustrating the measurement of cultural consonance in two cultural domains (lifestyle and family life); (2) an in-class lecture/discussion on the cultural domain of food among American college students; (3) homework for students in which they generate scale items for a measure of cultural consonance in food among American college students; and (4) a reflective class discussion on items to measure cultural consonance in food among American college students.

Interactive In-Class Lecture I (~75 minutes)

- 1 Explain the importance of conceptualizing culture as shared knowledge encoded in cultural models. Emphasize for students the difference between cultural knowledge and putting that knowledge into social practice or cultural consonance (5 minutes, PowerPoint slides 1–4).
- 2 Introduce the goals of these lectures/discussions, which will include an illustration of cultural domain analysis and the measurement of cultural consonance in two example domains (lifestyle and family life), followed by the presentation of a cultural domain analysis in the domain of food among American college students that will provide the background for students in this class to develop a measure of cultural consonance in food (5 minutes, PowerPoint slide 5).
- 3 Illustrate the steps in doing a cultural domain analysis using the domains of lifestyle and family life in Brazil. In the beginning, explain that this is one, but not the only, approach that can be used. The aim is to, first, identify salient *cultural domains* within a community,

and then to *discover* the elements that make up that domain and how those elements are configured. This is an *emic approach* to eliciting data from respondents themselves. The *free list* is a simple but powerful way of eliciting the terms or phrases that populate the domain. The aim is not to be exhaustive in obtaining the elements but to sample the elements that make up the domain. The pile sort, then, is a way to understand how the respondents themselves understand the domain. This relies strongly on the similarities and differences among terms. By seeing how respondents both group terms and differentiate between those groups, hypotheses can be generated regarding how they make those judgments. The underlying principles that people use to make those judgments are referred to as *features*. In the examples given here, there appears to be a primary feature of *importance*, or the importance of certain lifestyle items/practices for “having a good life,” and certain characteristics of the family important for “having a good family.” To verify that this is so, a cultural consensus analysis can be conducted to determine if people share ideas of what is more and what is less important in each domain (35 minutes, PowerPoint slides 6–14).

- 4 Describe how the results of the cultural domain analysis are used to generate scale items for measures of cultural consonance in each domain. Emphasize that this results in an *emically valid* scale of cultural consonance, or one that orders people along a continuum using the exact terms and features that they use to think about those domains (20 minutes, PowerPoint slides 15–18).
- 5 Demonstrate the importance of measuring cultural consonance and including it as a variable in multivariate models of health (5 minutes, PowerPoint slides 19–20).
- 6 Conclude the lecture/discussion and summarize. This lecture gives a relatively quick overview of the process. In the next lecture, you will go over each of the same steps, but in more detail, in the cultural domain of food among American college students. This will allow the students in the class to have a broad view of the entire process first, and then follow through in much greater detail (5 minutes, PowerPoint slide 21).

Interactive Lecture/Discussion II (~90 minutes)

- 1 Briefly review the material covered in the first lecture/discussion (4 minutes, PowerPoint slides 1–2).
- 2 Discuss software requirements (4 minutes, PowerPoint slides 3–4).
- 3 Describe how to collect a free list in the cultural domain of food. In presenting the free list, emphasize again that the aim is to sample elements in the domain, not to have an exhaustive listing. This is demonstrated by the large number of items in slides 4 and 5, which need to be reduced to a reasonable sample (based on the proportion of respondents who mention the item) for further analysis. Also, note the prompt for the free list, which emphasizes “foods people eat around here,” thus putting the focus on the community and not exclusively on the personal choices of the respondent (10 minutes, PowerPoint slides 5–9).
- 4 Describe how to collect and analyze pile sorts. The pile sort interview is very helpful in generating hypotheses regarding the features that respondents use in thinking about the domain. The pile sort interview requires that each term be written on a separate card. Then, respondents are asked to put the cards into piles, making as many as they want (with a minimum of two), based on the similarities and differences among the foods. The pile sorts are then aggregated into a matrix specifying the proportion of respondents who place them in the same pile. This represents the degree of similarity between the terms.

A matrix of 30 terms is too large to be understood without simplifying it, which can be accomplished with nonmetric multidimensional scaling (MDS). Shorn of mathematical

details, MDS draws a picture of the terms in two dimensions, with similarity and dissimilarity converted to distance. The picture can be further specified by using cluster analysis to group the terms. The result is a graphic of similar and dissimilar foods and the distances between them.

Emphasize that a part of the pile sort interview is to pay close attention to the reasoning the respondent reports while doing it. This is the source of hypotheses for what features the respondent is using in sorting the terms (20 minutes, PowerPoint slides 10–19).

- 5 Describe how to collect further data regarding hypothesized features that configure the items in the cultural domain (5 minutes, PowerPoint slides 20–23).
- 6 Cultural consensus analysis can then be used to test for the sharing of ideas about “health” and “meal construction” in these data (20 minutes, PowerPoint slides 24–34).
- 7 The ultimate step in this process is to correlate the distances in the pile sort configuration with the cultural answer keys, to see if there is evidence that the respondents are actually using those features in doing the pile sort (15 minutes, PowerPoint slides 35–42).

Homework Activity (~60 minutes)

Give the students their homework: to develop scale items to measure cultural consonance in food among American college students. Remind them of the ways that cultural consonance was measured in the domains of lifestyle and family life, and encourage them to use both types of questions in their sample scale items. For example, in the lifestyle scale, ownership of items or engaging in leisure activities were reported as yes or no, or with a frequency (number of times an activity was engaged in). For food, an example would be simply reporting whether that food was eaten or not, or how often it was eaten. For the family life scale, respondents were asked about their perceptions or beliefs about their families. For food, an example of this item would be “A salad is a very healthy food. Do you agree or disagree?” Students should propose both types of questions and discuss the advantages or disadvantages of each (12 minutes, PowerPoint slide 43).

Reflective Class Discussion (~60 minutes)

- 1 Ask students to present scale items they have developed.
- 2 Shape class discussion around the advantages and disadvantages of constructing the questions in different ways. Ask: What difficulties did you have when constructing the scale items? What decisions did you make about what items or language to include? After hearing other’s scale items, where do students think they need to revise their own? What makes a good scale item? Emphasize the importance of developing the scale items relative to the specific aspects of the cultural domain that an investigator might want to assess.
- 3 Wrap up the discussion by asking students how they may incorporate cultural consensus and consonance in their own research. What types of topics could they see this being useful?

Online Teaching Modifications

This lesson can be easily adapted to a synchronous presentation with little modification by using video conferencing software and sharing screen when presenting the interactive lecture.



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Section 11

Modeling and Comparative Analyses

Modeling and comparative methods add analytic power to research with qualitative data. Modeling methods enable researchers to detect hidden patterning in large datasets (e.g., topic modeling) or to extrapolate complex dynamics from rules extracted from qualitative data (e.g., agent-based modeling). Comparative methods enable researchers to compare patterning in qualitative data across groups, such as in meta-theme analysis or qualitative comparative analysis, using formal logic-based methods.

While the computationally intensive modeling and comparative methods covered were once the sole terrain of methodological specialists, advances in computing have made these methods accessible to researchers in many fields, including political science, anthropology, sociology, and environmental studies.

Students with no prior training in computer programming may be intimidated by computationally intensive methods. For them, it's best to start with meta-theme analysis or comparative ethnography, which can be done using just the qualitative analysis of qualitative data. Even so, it's important to give students a taste of computationally intensive methods, like qualitative comparative analysis, agent-based modeling, and topic modeling, and direct them to workshops or institutes where they can get more intensive training. Learning about powerful analyses that can be done with qualitative data is exhilarating for any student researcher, even if they aren't yet ready to do the hands-on work.

This section has lessons on three approaches to modeling and comparative methods. First, there are two lessons on modeling, including Simeone's lesson on topic modeling and Moritz and colleagues' lesson on agent-based modeling. The two modeling approaches are very different: Topic models extract meaning from the words in large numbers of text documents, while agent-based modeling extracts rules from qualitative data and uses them to simulate complex interactions between individuals. Second, there are two lessons on comparative analysis, including Leech and Onwuegbuzie's lesson on meta-theme analysis (or thematic comparisons across groups) and Pacheco-Vega's lesson on comparative ethnography (an approach to cross-cultural comparison). Both can be performed using just the qualitative analysis of qualitative data, though both can also be enriched and scaled with mixed-methods analyses. Third, there are two lessons on qualitative comparative analysis, a logic-based method for determining causality in a small set of cases. Mello provides a conceptual introductory lesson, and Rubinson and Rutten contribute a more advanced lesson on calibration.

66 Topic Models

Modeling from Text Corpora

Michael Simeone

Brief Description of Method

To understand large corpora of documents, creating models of the documents can help us understand trends in the language that we would otherwise miss from manual inspection. These models often simplify document collections by identifying their most predominant patterns of word associations in documents. But when using models of document corpora, a fundamental set of skills is understanding how to break text into topics and validating what the topics represent in a given corpus of text. The distance between a “bag of words” topic and the semantics of the concept that topic represents is something that must be approached carefully and thoroughly.

In this lesson, students will learn some fundamentals of how to transform documents into a model. As a guided example of this general class of approaches, this lesson will introduce how to train a topic model, evaluate the results, and use the topics to generate hypotheses and insights.

References for Further Reading

Chang, J., S. Gerrish, C. Wang, J. Boyd-Graber, and D. Blei. 2009. Reading Tea Leaves: How Humans Interpret Topic Models. *Advances in Neural Information Processing Systems* 22: 1–9.
Topic modeling made just simple enough. (2012, April 7). [web log]. Retrieved October 24, 2022, from <https://tedunderwood.com/2012/04/07/topic-modeling-made-just-simple-enough/#:~:text=You%20assign%20words%20to%20topics,behind%20a%20collection%20of%20documents>.

Repositories and Resources Used for Class Activities

Modeling tool: <https://github.com/aronbg/Topic-Modeling-Tool> (file included)

Update Java: <https://www.java.com/en/download/manual.jsp>

Alternative web-based tool: <https://mimno.infosci.cornell.edu/jsLDA/jslda.html>

Estimated Teacher Preparation

120 minutes:

- Review Chang et al. (2009).
- Download the topic model tool JAR file and confirm that you have the latest version of Java runtime environment installed on your computer. Alternatively, uncompress the topic modeling tool archive and use the files there.

- Review the included corpora in the “data” folder. There is an original source as well as a random sample, the latter of which is ready for use with the lesson.

Estimated Duration of Lesson

80-minute in-class interactive lecture

60-minute student-independent activity (homework)

60-minute reflection discussion (in a follow-up class session)

Materials Needed

PowerPoint Slides (provided), titled “From terms to topics”

Teaching data set (provided) from Reuters News Corpus

Github Topicmodellingtool.jar (provided from <https://github.com/aronbg/Topic-Modeling-Tool>)

Student Pre-Class Preparation

- Download the Topicmodellingtool.jar file to your computer.
- Make sure your computer is running the latest version of Java Runtime Environment for your operating system.
- Download the teaching data set to your computer.

Learning Outcomes

Completing this activity, students will be able to: (1) understand the basic mechanisms of topic model generation; (2) validate topic models through inspection of model output and inspection of documents; (3) use topic models to observe trends in large corpora of text files; and (4) use topic models to generate hypotheses for further research.

Lesson Introduction

The lesson has three parts: (1) an in-class interactive lecture; (2) a homework assignment; and (3) a follow-up discussion in class. It is appropriate for advanced undergraduate students and graduate students.

Lecture (80 minutes)

Overview:

Using the PowerPoint slides included with this chapter, the lecture should cover the following areas:

- 1 Begin with the use case: If a document corpus is large, what do we do when we cannot read every text? Or even if we can, what could we miss?
- 2 Orient the class to the day’s lesson. Potential script:
Today we will learn about one approach to summarizing and clustering a large collection of texts. It’s important to keep in mind that this is one approach of many to accomplishing this task. But, if you are familiar with the context and content of the corpus, topic models can be an effective way of extracting themes and similarities across documents.

- 3 Introduce the idea of turning documents into data. How do we go from an interview or newspaper to a text file of encoded characters to something we can compute at a larger scale than a person can read? What do we lose by translating material, often ephemeral phenomena into text files?
- 4 Explain what a topic model is, and situate the approach as a method for summarizing, clustering, and exploring texts using slide 4. Use slide 5 to introduce the idea of a bag of words models of a document and document model.
- 5 Walk the class through the basic structure of the topic model: terms, topics, and documents. Documents are composed of a distribution of topics; topics are composed of a distribution of topics. These distributions are probabilistic. Use slide 6.
- 6 Introduce the idea of a model having an “initial state.”
- 7 Walk the class through what happens during an iteration of a probabilistic topic model (slide 7).
- 8 Demonstrate how to use the Topic Modeling Tool Java application to produce topic models from the sample document corpus.
- 9 Showcase the output files produced by a topic model: (1) the topic summaries and (2) the topic distributions in documents matrix.
- 10 Conclude by returning to the question of what a topic “means”: What does it represent? What does it not represent? These are parting questions to consider.
- 11 Introduce the homework activity.

Homework Activity (~60 minutes)

- 1 Confirm that you have the necessary files: `topicmodelingtool.jar` and the sample of the Reuters News Corpus included with this dataset.
- 2 Confirm that you have the latest version of the Java Runtime environment installed on your computer.
- 3 Open `topicmodelingtool.jar` by double-clicking the application file.
- 4 Set the input directory to the Reuters News Corpus using the file selector at the top of the tool’s graphical interface.
- 5 Create an output directory and select that directory using the next option from the top in the interface.
- 6 Keep the topic parameter at “10.”
- 7 Click on “learn topics” button.
- 8 Locate the “output_html” folder within the output directory you specified in step 5.
- 9 Click on the “all_topics.html” file to open it in your default web browser. That file will allow for browsing the model output as well as the documents from the input corpus, all in a webpage-style interface. Familiarize yourself with the parts of the model output, including the topics list and the roster of top documents per topic.
- 10 Choose three topics and inspect their 10-word summaries, as well as the documents where they are most prevalent. Continue to inspect documents where the topic in question is less represented.
- 11 Using the inspection from step 10, for each of the three topics you select, write a brief paragraph explaining what each topic means. Put another way, what does each topic represent from each document? If a document has a high presence of the topic, what do we know about that document? For each topic, also answer: At what percentage presence in a document does that topic no longer represent the ideas or concepts understood to be present in the top documents for that topic?

Reflection and Class Discussion (~60 minutes)

Overview: This discussion should take place after the students have completed the homework activity. The goals are to have the students: (1) narrate the basic steps of how a topic model is generated from the application used in class; (2) review what a topic model can and cannot discover in a given collection of documents; (3) present the topics generated from the homework activity, where each student can showcase a topic as well as the settings on the model used to generate the topic; and (4) generate follow-up questions based on any observations from the topic model.

In this conversation, it is important to ask students to carefully narrate what they can know and do not know from the topic model on hand. Connecting how the topic model is made with observed results is a best practice for responsible observations, and therefore research questions are generated from those topics.

Discussion Questions:

- 1 What is the difference between a theme identified by reading a document and a topic generated by a topic model?
- 2 How does this technique for understanding themes and topics differ from reading the documents manually?
- 3 How can we ensure that topics accurately represent trends in the collections of documents?
- 4 What are the limitations of this approach? How can it go wrong?
- 5 Describe follow-up research questions that could be asked based on a topic model of the sample corpus.

Online Teaching Modifications

Adapt this lesson for online learning by pre-recording the first lecture and posting it and the background readings, slides, as well as homework assignment that helps students use the `Topicmodelingtool.jar` application to a learning management system. When it comes to Reflection and Class Discussion, using an asynchronous discussion board can facilitate answers to each of the four questions. Grouping students into teams of four, with each student being responsible for posting an answer to each of the discussion questions (1–4) is recommended to have students engage with one another. A second round of discussion should invite students to respond to the posts of their classmates for one paragraph, and answer question 5 individually in a subsequent paragraph.

67 Agent-Based Modeling in Mixed Methods Research

Mark Moritz, Chelsea E. Hunter,
Daniel C. Peart and Ian M. Hamilton

Brief Description of Method

Agent-based modeling is a computer-based modeling method for creating artificial worlds and generating simulated data to address real-world problems. Agent-based models are particularly useful for examining complex systems in which agents interact with one another and with the world. Agents can represent people, households, organizations, nations, or any other actor that acts in the world. The interactions among agents can lead to the emergence of system-level outcomes that cannot be predicted by studying the attributes of the agents alone. Thus, agent-based modeling is an appropriate method to examine structure–agency dynamics in social systems as well as society–environment dynamics. Agent-based modeling allows researchers to run simulations over long periods of time—years, decades, or even centuries—and experiment with different rules and conditions to see how they impact system outcomes.

References for Further Reading

- Agar, M. H. 2001. Another Complex Step: A Model of Heroin Experimentation. *Field Methods* 13: 353–69.
- Janssen, M. A. 2020. *Introduction to Agent-Based Modeling: With Applications to Social, Ecological, and Social–Ecological Systems*. Available as an e-book: <https://intro2abm.com>.
- Romanowska, I., C. Wren, and S. A. Crabtree. 2021. *Agent-Based Modeling for Archaeology and Social Science*. Santa Fe: The Santa Fe Institute Press. Available as a free PDF download at <https://www.sfi.press.org/books/agent-based-modeling-archaeology>
- Tubaro, P., and A. A. Casilli. 2010. An Ethnographic Seduction: How Qualitative Research and Agent-Based Models Can Benefit Each Other. *Bulletin de Méthodologie Sociologique* 106: 59–74.
- Vázquez, J. C. García, and F. Sancho Caparrini. 2016. *NetLogo: A Modeling Tool/Una herramienta de modelado*. Available as an e-book in English and Spanish: <https://payhip.com/b/VhKb>.
- Wilensky, U., and W. Rand. 2015. *An Introduction to Agent-Based Modeling: Modeling Natural, Social, and Engineered Complex Systems with NetLogo*. Cambridge: MIT Press.

Estimated Teacher Prep Time

NetLogo is easy to use and learn. Students will be able to build a working agent-based model within one hour using the supplemental instructional videos. Instructors may want to use two hours to complete the three NetLogo tutorials that offer a comprehensive, hands-on introduction to the most important components of the app.

- Complete the three NetLogo tutorials (recommended) (120 minutes)
- Watch the three instructional videos and build the model (60 minutes)
- Prepare mini-lecture, discussion questions, and activities (60 minutes)

Estimated Duration of Lesson

This introduction to agent-based modeling in mixed methods research can be completed in a one-week module of either one 2-hour or two 1-hour meetings. We recommend using a flipped-classroom approach in which students complete assignments before they come to class.

- The first meeting, or hour, the instructor explains the concept of complex systems, the methodology of agent-based modeling, and the NetLogo app (60 minutes).
- The second meeting, or hour, students run what-if simulations, conduct preliminary analyses, discuss how they can expand the model, and reflect on how they can integrate agent-based modeling in their own mixed-methods research (60 minutes).

Materials Needed

- Students need a computer or tablet and access to the Internet to access the instructional videos and NetLogo Web.
- Students can use NetLogo Web, which runs in a browser or download the desktop App (<http://www.netlogoweb.org>).
- Students can access the three instructional videos on YouTube.
 - Agent-Based Modeling with Netlogo—Video 1 of 3 https://youtu.be/32_JIfBodWs
 - Video 2 Agent-Based Modeling with Netlogo—Video 2 of 3 https://youtu.be/OPK_zVKNcp8
 - Agent-Based Modeling with Netlogo—Video 1 of 3 https://youtu.be/32_JIfBodWs
- Students and instructors can also learn more about NetLogo using the Beginner's Guide to NetLogo Programming (BIND) (<https://ccl.northwestern.edu/netlogo/bind/>).
- Instructors can access the three NetLogo tutorials on the NetLogo website (<https://ccl.northwestern.edu/netlogo/docs/>).
- Instructors and students can access the instructional model on the Computational Library (<https://www.comses.net/codebases/cbed462f-ae12-4ee0-9b53-26596090bf7c/releases/1.0.0/>).

Student Pre-Class Preparation

This module is organized as a flipped classroom in which students complete some of the work before they come to class.

- Before the first meeting, students read about the use of agent-based modeling in mixed-methods research and explore the NetLogo app (60 minutes).
- Before the second meeting, students watch the three videos and complete the NetLogo models (60 minutes).

Learning Outcomes

After completing this module, students will be able to: (1) explain what agent-based modeling is and for what kinds of research problems it can be used; (2) develop simple agent-based models using NetLogo; (3) run simulations using agent-based models and examine how different settings lead to different emergent outcomes in simple agent-based models; and (4) identify ways to integrate agent-based modeling in mixed methods research.

Lesson Instructions

There are four parts to the lessons; some are homework that students complete before they come to class.

- 1 Before the first meeting, students read about the use of agent-based modeling in mixed-methods research and explore the NetLogo app (60 minutes).
 - a *Students read the article by Michael Agar (2001), which describes the concept of complex systems, the methodology of agent-based modeling, the integration of ethnographic research and agent-based modeling, and includes a step-by-step discussion of how he built an agent-based model of heroin experimentation using StarLogo (a precursor of NetLogo). There are many similarities between Agar’s heroin experimentation model and the instructional infection model.*
 - b *Students access and explore the NetLogo app, either using NetLogo Web, which runs in a browser, or the desktop app. They could explore existing models that are included in the app, for example, the classic Flocking, or Wolf Sheep Predation models. The Model Library is accessible under the “File” tab on the desktop app or through the “Search the Model Library” dropdown menu on NetLogo Web. If students are interested, they may want to explore the three NetLogo tutorials (referenced above).*
- 2 In the first meeting, the instructor explains the concept of complex systems, the methodology of agent-based modeling, and the NetLogo app (60 minutes).
 - a *Explain concept of complex systems and the methodology of agent-based modeling. All the readings listed above explain complex systems and agent-based modeling to broader audiences.*
 - b *Demonstrate how NetLogo works using the Fire model. The Fire model is a simple but effective demonstration of how real-world phenomena can be conceptualized as complex systems and explored using agent-based modeling. In the Fire model, a fire spreads from tree to tree across an artificial forest. The key variable is tree density—the denser the forest, the easier the fire spread. The model is characterized by non-linear dynamics—there is a sharp transition in terms of the spread of fire at a certain tree density.*
- 3 Before the second meeting, students watch the three videos and complete the NetLogo model (60 minutes).
 - a *Students watch the instructional videos, following along to complete their model in the NetLogo App. They can access the three instructional videos on YouTube (see Supplementary materials for URLs). Students can code the model as they watch the videos, pausing and rewinding the videos as needed. After they complete the model, students can explore the dynamics of the model, which is a simple representation of a population affected by an infectious disease.*

- 4 In the second class meeting, students run what-if simulations, interpret the results from the simulations, discuss how they can expand the model, and reflect on how they can integrate agent-based modeling in their own mixed methods research (60 minutes).
 - a *Check if all students have a working model*—In principle, students come to class with a working agent-based model that they coded themselves using the instructional videos. If not, they can download the model from the computational library and participate in all the learning activities (5 minutes).
 - b *Ask students to explore the dynamics of the infectious disease model by changing the values of the sliders.* The main goal of this activity is for students to discover how different initial settings lead to different emergent outcomes, or, to put it in other words, how changes in the attributes of the diseases (i.e., infectiousness, waning immunity) and human behavior (i.e., mobility) can result in minor, major, and/or continuous outbreaks. Ask students to share their findings with the class (15 minutes).
 - c *Develop a few simple hypotheses or questions with the class and systematically evaluate them.* For example, one option would be to examine the role of mobility by keeping all the other variables the same and only changing the distance that agents move. It is important to keep in mind that simulations with the same initial settings can have different outcomes. It is thus important to repeat the simulations with the same distance. You can remind students of the Fire model in which the density of trees can be such that there is 50% chance that the fire reaches the right edge of the world (20 minutes).
 - d *Discuss potential ways in which the model can be expanded or modified.* One possible expansion is to introduce vaccinations that protect agents from the disease. Other options are to modify the model and use it to explore other social dynamics in which goods or information are transmitted from one agent to another, for example, how heroin is shared in Agar's experimentation model (10 minutes).
 - e *Ask students to discuss how they could integrate agent-based modeling in mixed-methods research (including their own).* The article by Tubaro and Casilli (2010) discusses several examples of such integration and also discusses the opportunities and challenges of integrating agent-based models in mixed methods research (10 minutes).

Reflection and Class Discussion

The last two activities described above provide ways to reflect on the potential of integrating agent-based modeling in mixed methods research.

Online Teaching Modifications

This lesson can be easily adapted for synchronous and asynchronous online teaching. All the materials are available online. The model building can be done independently using instructional videos. Students can share the results of their explorations and simulations in a discussion board. Students can also use discussion boards to share and discuss how agent-based modeling can be integrated into mixed-methods research, including their own.

68 Teaching Meta-Themes

A Mixed Methods Approach

Nancy L. Leech and Anthony J. Onwuegbuzie

Brief Description of Method

From a qualitative perspective, meta-themes involve combining/integrating themes from across cultures, participants, cases, or other defining grouping foci. Qualitative ethnographers define meta-themes as “overarching themes that cut across cultures, cases, or sites in a cross-cultural research design” (Wutich et al. 2021: 2).

References for Further Reading

- Bazeley, P. 2009. Analysing Qualitative Data: More Than “Identifying Themes.” *Malaysian Journal of Qualitative Research* 2: 6–22.
- Dickinson, W. B. 2010. Visual Displays for Mixed Methods Findings. In *Handbook of Mixed Methods in Social and Behavioral Sciences*, edited by A. Tashakkori and C. Teddlie, 2nd ed., 469–504. Thousand Oaks: Sage.
- Frels, R. K., A. J. Onwuegbuzie, N. L. Leech, and K. M. T. Collins. 2014. Pedagogical Strategies Used by Selected Leading Mixed Methodologists in Mixed Research Courses. *Journal of Effective Teaching* 14: 5–34.
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- Onwuegbuzie, A. J., and N. L. Leech. 2019. On Qualitizing. *International Journal of Multiple Research Approaches* 11: 98–131.
- Saldaña, J. 2021. Coding Techniques for Quantitative and Mixed Data. In *The Routledge Reviewer’s Guide to Mixed Methods Analysis*, edited by A. J. Onwuegbuzie and R. Burke Johnson, 151–60. New York: Routledge.
- Wutich, A., M. Beresford, C. SturtzSreetharan, A. Brewis, S. Trainer, and J. Hardin, 2021. Metatheme Analysis: A Qualitative Method for Cross-Cultural Research. *International Journal of Qualitative Methods* 20: 1–11.

Estimated Teacher Prep Time

30 minutes

Estimated Duration of Lesson

60 minutes

Materials Needed

PowerPoint slides (to be created) and projector.

Student Pre-Class Preparation

Readings listed above.

Learning Outcomes

After completing this activity, students will be able to derive meta-themes.

Lesson Instructions

Provide the readings and PowerPoint slides for students prior to class. It may be helpful to discuss the PowerPoint slides (or present the slides) to the students.

Interactive In-Class Lecture

Overview:

As early as 1991, Josephides, in an ethnographic study, utilized meta-themes and is thought to be the first qualitative researcher formally to introduce the concept of meta-themes. In the context of mixed-methods research, meta-themes are overarching themes derived from a mixed-methods research study. In other words, meta-themes emerge at a higher level of abstraction or categorization than do themes. More specifically, Onwuegbuzie and Leech (2019) defined a meta-theme as “a phrase or sentence that subsumes one or more themes as a special case” (p. 110). Meta-themes can be developed from both qualitative and quantitative strands of a mixed methods research study, stemming from a qualitative analysis (e.g., constant comparison analysis; see, e.g., Leech and Onwuegbuzie 2007) and/or a quantitative analysis (e.g., correspondence analysis, see Heuristic Example 1 and Figure 4 of Onwuegbuzie and Leech 2019); exploratory factor analysis, cluster analysis (see, e.g., Heuristic Example 2 of Onwuegbuzie and Leech 2019) of qualitative data. Meta-themes even can be obtained via the qualitative analysis of quantitative data (see Saldaña 2021).

Data analysis is all about hierarchy; data (typically) are hierarchical, but researchers who analyze qualitative data tend not to explore this aspect. Instead, these analysts, at best, usually name and describe each theme, followed by one or more quotations that provide an example of each theme, with these themes presented in no particular order and any potential relationship among the themes being ignored. As noted by Bazeley (2009), analysts of qualitative data “rely on the presentation of key themes supported by quotes from participants’ text as the primary form of analysis and reporting of their data” (p. 6), culminating in what Bazeley (2009) refers as a superficial reporting of themes. Yet, a meta-thematic analysis assists the researcher in thinking about the hierarchy, or levels, of the (emergent) themes, as well as the relationship among these themes, and, thus, can assist in the presentation of the results, thereby yielding findings that are more comprehensive, transparent, and meaningful.

To develop meta-themes, researchers should consider the following steps:

- 1 Collect the data
- 2 Analyze the data

- 3 Look for themes
- 4 Consider the structure and hierarchy of the themes, as well as the relationship among themes
 - a Logical themes
 - b Empirical themes—by collecting new data, qualitizing or quantizing the data

Figures 68.1 and 68.2 are adapted from Wutich et al. (2021) and are presented to explicate better the steps for developing meta-themes. As shown in Figure 68.1, theme analysis is

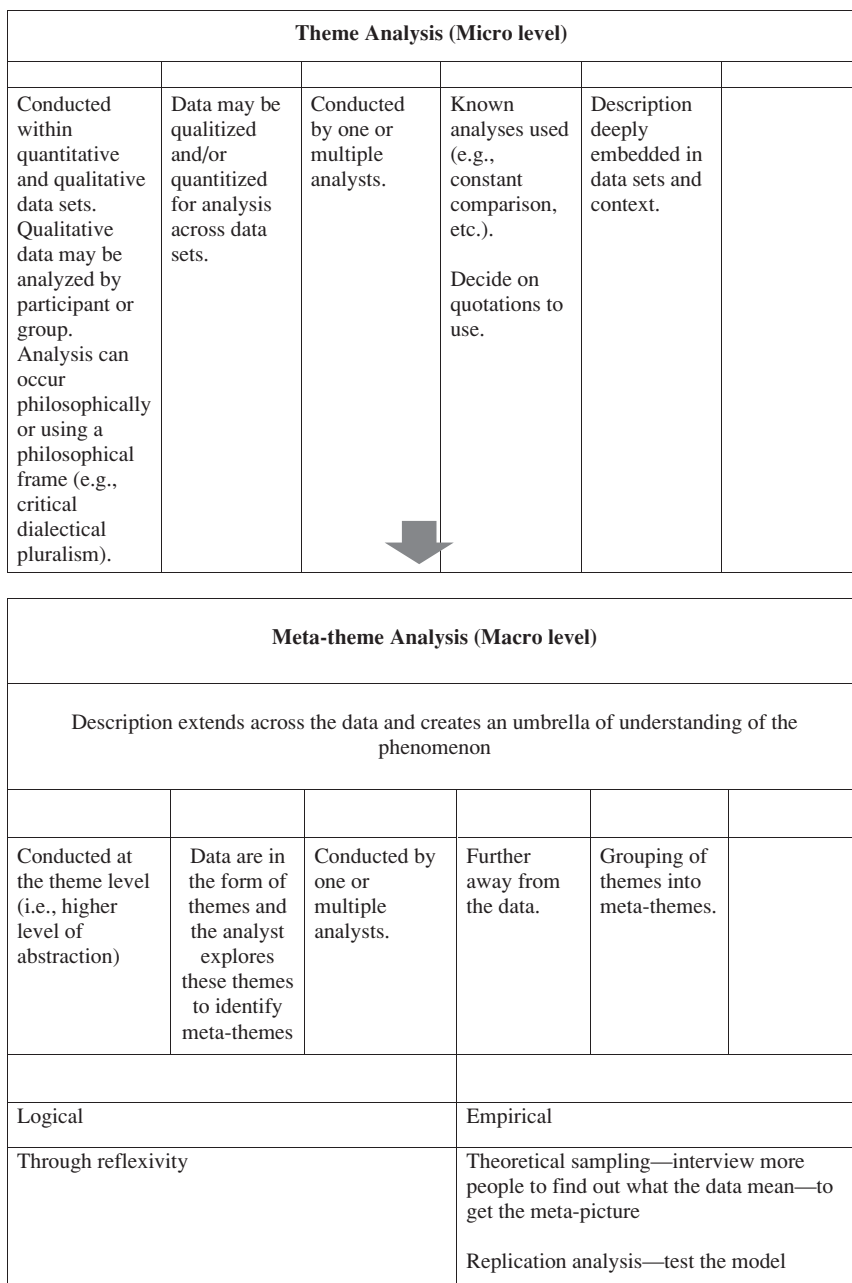


Figure 68.1 Relationship between theme and meta-theme analysis (adapted from Wutich et al. 2021).

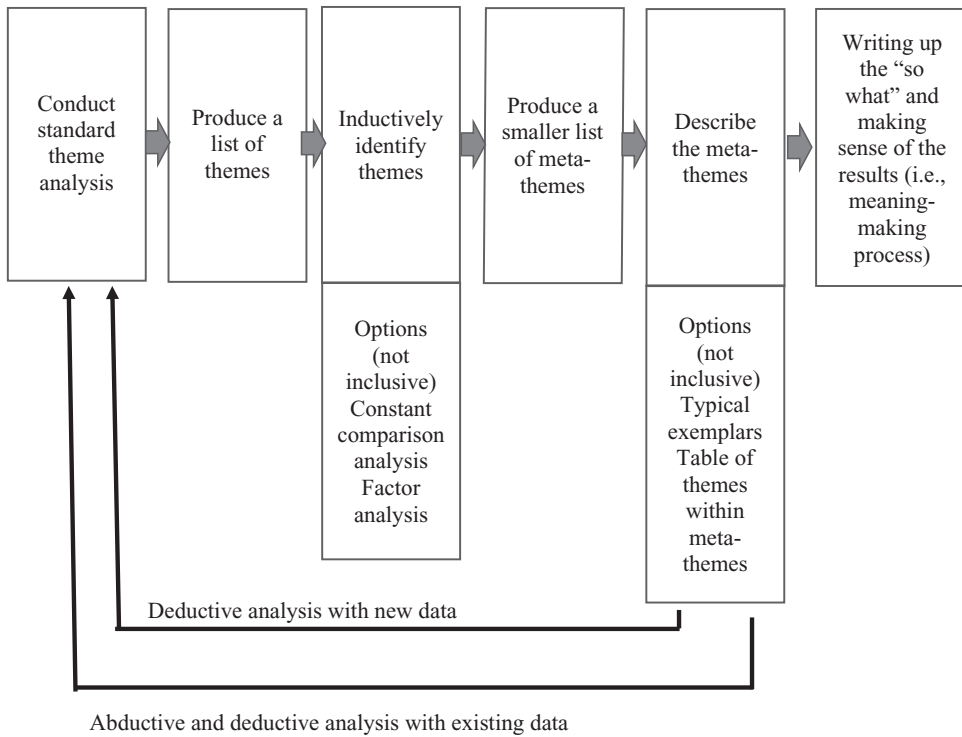


Figure 68.2 Process model for meta-theme development in mixed methods research studies (adapted from Wutich et al. 2021).

conducted at the data level, wherein the data from a mixed methods phase may be qualified or quantized. Theme analysis is a higher level of translation than the first analysis (e.g., constant comparison analysis, factor analysis) and helps the researcher identify latent themes that are (at least) one level removed from the data.

After theme analysis has been conducted, a meta-theme analysis can produce overarching, macro-level ideas, which are meta-themes that cross over, connect, or integrate the multiple themes (as shown in Figure 68.1). Meta-themes represent one more step away from the data than do themes. Meta-theme analysis can be conducted via a logical or empirical approach. With respect to the logical approach, reflexivity is utilized to move from the themes to meta-themes. On the other hand, the empirical approach can be utilized wherein more data are collected via some form of theoretical sampling—which, in the context of meta-thematic development, involves deciding what data to collect based on the emergent themes—leading to a follow-up analysis or a replication analysis that enhances the meaning-making process.

Hands-on Student Activity

Learning how to develop meta-themes can be difficult; therefore, working through multiple data sets in small groups can increase understanding of the process of moving from data, to themes, and then finally to meta-themes.

Discuss as a whole class recent relevant global issues and social phenomena. As a class, choose one to investigate. For example, students might be interested in investigating how parents care for young children.

After deciding on a topic, divide the students into small groups. Each group should choose a different country to explore. In our example, we may have four groups with the following four countries: Ethiopia, New Zealand, the United States, and Germany.

Review the steps

To develop meta-themes, researchers should consider the following steps:

- 1 Collect the data
- 2 Analyze the data
- 3 Look for themes
- 4 Consider the structure and hierarchy of the themes, as well as the relationship among themes
 - a Logical themes
 - b Empirical themes—by collecting new data, qualitizing or quantizing the data

Ask the students to gather newspaper articles from their chosen country on the chosen global issue or social phenomenon (Step 1: Collect the data). In this example, Group A would gather newspaper articles from Ethiopia, Group B would gather newspaper articles from New Zealand, Group C would gather newspaper articles from the United States, and Group D would gather newspaper articles from Germany.

For Step 2 (Analyze the data) and Step 3 (Look for themes), each group would conduct a qualitative analysis and a basic quantitative analysis such as descriptive statistics (if appropriate). For example, students could code the articles separately using constant comparison analysis for each newspaper article, which would generate themes. Pertinent quotations could be identified. Comparisons across students could be conducted to assess interrater reliability.

As a group, work through Step 4 (Consider the structure and hierarchy of the themes, as well as the relationship among themes) by reviewing the themes and organizing the themes based on a hierarchy and/or relationships. Review Figures 68.1 and 68.2. Analyze the themes to develop meta-themes. Describe the meta-themes by writing them in a results section.

Finally, as a large class, bring the meta-themes together from the four countries. Analyze the meta-themes (e.g., using constant comparison analysis) and develop more specific meta-themes. Have the class write the overarching meta-themes as a results section.

Online Teaching Modifications

This lesson could be taught synchronously using video conferencing software with little to no modifications.

69 Teaching Comparative Ethnography

Two Examples from the Environmental Governance Field

Raul Pacheco-Vega

Brief Description of Method

Comparative ethnography (CE) is the systematic study of different cultures through comparisons across multiple dimensions, using participant observation and in-depth fieldwork to collect qualitative data. Understanding different cultures through ethnographic approaches makes comparisons inherent to the research enterprise. Each culture is distinct in multiple ways, but also shares several traits with others. Ethnographic fieldwork enables researchers to capture the deep richness of each individual culture by deeply immersing themselves (and/or their research teams) in the local context of each case study under analysis. Comparing across cases can be done on a relatively light basis or by using a more systematic way that facilitates the capture of global trends and insights. When undertaking comparative ethnography, we purposefully choose research sites, target populations, and phenomena of interest in a rigorously systematic way so that we can compare them while maintaining a rich understanding of each individual context. CE is a research method that can be and is often used by different disciplines and fields, from political science to human geography to medical anthropology. CE studies share at least two main characteristics. First, a systematic approach to designing, with a view to comparing across cases. Research design for a CE project makes strategic decisions about which cases will be examined and what kinds of theoretical paradigms and analytical approaches will be applied throughout the project. Second, CE projects focus on structured, systematic comparisons across cases where culture remains a key variable, whether explanatory or dependent. This lesson offers a structured approach to teaching CE using environmental governance examples.

References for Further Reading

- Abramson, C. M., and N. Gong, eds. 2020. *Beyond the Case: The Logics and Practices of Comparative Ethnography*. New York: Oxford University Press.
- Pacheco-Vega, R. 2020. Using Ethnography in Comparative Policy Analysis: Premises, Promises and Perils. In *Handbook of Research Methods and Applications in Comparative Policy Analysis*, edited by B. G. Peters and G. Fontaine, 308–28. Cheltenham: Edward Elgar Publishing.
- Pacheco-Vega, R. 2021. Comparative Methods for the Study of Waste. In *The Routledge Handbook of Waste Studies*, edited by Z. Gille and J. Lepawsky, 121–38. London: Routledge.
- Pacheco-Vega, R. and K. Parizeau. 2018. Doubly Engaged Ethnography: Opportunities and Challenges When Working with Vulnerable Communities. *International Journal of Qualitative Methods* 17(1): 1–13.
- Schnegg, M., and E. D. Lowe, eds. 2020. *Comparing Cultures. Innovations in Comparative Ethnography*. Cambridge: Cambridge University Press.

Simmons, E. S., and N. Rush Smith, eds. 2021. *Rethinking Comparison: Innovative Methods for Qualitative Political Inquiry*. Cambridge: Cambridge University Press.

SturtzSreetharan, C., A. Brewis, J. Hardin, S. Trainer, and A. Wutich. 2021. *Fat in Four Cultures. A Global Ethnography of Weight*. Toronto: University of Toronto Press.

Estimated Teacher Prep Time

90–120 minutes:

- Read/review Pacheco-Vega (2021) and SturtzSreetharan et al. Chapters 1 and 2 in preparation for in-class discussion.
- Using the vignette/prompt (*provided*), prepare discussion questions to guide the conversation around case study selection, fieldwork strategy, and research questions.
- Identify a strategy to discuss the results of each individual project's comparative ethnography outcomes.

Estimated Duration of Lesson

Students should be able to complete the lesson within a 3-hour time block, structured as 45 minutes in class (discussion of assigned readings and the method itself), 90 minutes of individual work (in/outside of the classroom), and then 45 minutes of discussion of their research designs. Since this is an interactive class with a fieldwork component and a reflection component, the lesson could also be best structured in two sequential sessions (45 minutes in class each time).

- 45 minutes of in-class discussion of readings.
- 90 minutes for research design drafting (individual work).
- 120 minutes for systematic observation (outside of the classroom) and fieldwork note-taking. This would be a homework assignment.
- 45 minutes of in-class discussion of research design and fieldwork outcomes.

Materials Needed

- Fieldwork notebook (for students)
- Assigned readings (listed in References for Further Reading section)
- Vignette/prompt (provided in supplementary materials)

Student Pre-Class Preparation

Students will need to read Pacheco-Vega (2021) and SturtzSreetharan et al. (2021) Chapters 1 and 2.

Learning Outcomes

Students will:

- 1 Learn how to best design a CE research project;
- 2 Experience ethnographic fieldwork from a comparative perspective;
- 3 Evaluate, based on their experience in the field, whether their design answers the research question they intend to.

Lesson Instructions

This lesson requires the bridging of two classes with at least one week in between. The first half of the lesson will be focused on comparative research design and the value of comparative ethnography in understanding social phenomena. The second half will be focused on a reflection on the part of students and sharing of their experiences undertaking ethnographic fieldwork in two locations and/or two settings.

Class 1: Preparing Students for Fieldwork Activities

The first lecture can be conducted as a discussion seminar.

Step 1. Discuss with students what research design entails and how comparative studies can be undertaken using ethnographic approaches. Ask students questions about the readings (provided in a handout for pre-class self-reflection). This discussion should take about 25 minutes.

- Point students to the importance of research design (based on SturtzSreetharan et al. 2021s Chapters 1 and 2).
- *Theoretical point:* CE has a very specific element that needs to come out in the lesson: Comparison is used as the underlying framework for research design and implementation.
- Ask students how they could develop a research project based on a CE research design. Lead the questions using both SturtzSreetharan et al. 2021 and Pacheco-Vega 2021s frameworks. Ask students how these frameworks are similar or different.
- *Practical point:* Designing research projects that use CE requires researchers to think practically about how the project will provide them (and readers of the work) with insights on comparisons, case study characteristics, and community features. Ensure that there is enough time to discuss the practicalities of conducting ethnographic fieldwork in two locations.
- For doctoral students, ask them to bring to the discussion any experience they might have had with ethnographic fieldwork in different sites.
- For Masters: Ask them to consider the sites they are interested in comparing and to think of a rationale to do so.
- Undergraduate students might have been the least exposed to ethnographic fieldwork. If so, focus the discussion on their experiences traveling abroad/domestically and observing differences across multiple sites, communities, and locations.

Step 2. Using the Vignette/Prompts handout (provided), ask students to think about how they would design their CE project. Depending on their choice of an environmental issue (waste or bottled water), encourage them to consider what they might need to best observe, record information, contrast across cases, ethical considerations, and what might be expected as the final product for this CE. This discussion should be approximately 20 minutes long.

- Students must leave this first half of the lesson with a draft plan of their research design (at least in bullet point format) and an idea of what they might want to do (field site choices, communities, and populations to observe, the questions they might ask themselves, and the format for output generation).
- *Theoretical point:* CE fieldwork requires ethical considerations to be put into the research design from the start, particularly when studying vulnerable populations. If necessary, point students to Pacheco-Vega and Parizeau's (2018) piece on the ethnography of vulnerable populations.

- Encourage students to be prepared for contingencies and/or any changes in how they designed their fieldwork, and record those “improvisations.”
- Remind students that their final research design might take up to 90 minutes to craft, and that their fieldwork might require them to be on-site at a minimum total of 120 minutes.

Class 2: Sharing of Experiences

The second lecture can be conducted as a roundtable (strongly recommended). Because there is less theoretical material, students can just jump in and converse about what they learned in the lesson.

Step 3. Build a roundtable in smaller groups to discuss their own findings. Then bring the discussion to the larger group. This discussion might take up to 25 minutes, depending on the speed of each individual group.

- Because CE can be taught in smaller or larger groups, but requires individual fieldwork, one way to provide peer feedback is to break the group into smaller discussion groups (this works equally well in the online space).
- Supervise each group and observe how discussions occur and what students focus on—is it research design? Is it implementation? Is it the actual environmental governance issue? What attracts the most attention?

Step 4. Walk students through their own case studies. This discussion should take about 25 minutes.

- Ask each group to share key lessons they learned.
- Call on one or two students per group to provide their own concerns, challenges, and solutions. This works best if students are informed beforehand about what they must be focusing on.
- Ask what theoretical insights they might have gained from implementing Pacheco-Vega’s (2021) or SturtzSreetharan et al.’s (2021) approaches. Is their own approach to CE very different from what is published in the literature? What kind of challenges did they face when conducting this fieldwork?
- Remind students of the importance of research design in CE—did they end up conducting their fieldwork exactly as they designed it or did they have to make adaptations “on the go”? What lessons can be drawn from these exercises about the need to be flexible?

Reflection and Class Discussion

At the end of the second lecture, remind students of the key insights they gained and ask them to contrast those with what Pacheco-Vega (2021) shares regarding his own fieldwork, and what SturtzSreetharan et al. (2021) discuss about their own research design.

- Provide discussion questions and pointers around what they might have done differently.
- Use your own experiences as guidance for what might have worked better, or what did not work.

Online Teaching Modifications

This lesson could easily be taught and/or adapted for online teaching, both synchronously and asynchronously, though I would recommend synchronous teaching to ensure questions can be addressed relatively rapidly. While round-table style discussions are somewhat hard to do using virtual conferencing software, instructors could easily break out the group into smaller mini-groups (breakout rooms). Provide instructions for discussions in the form of reflective questions (this can be done through a handout—example provided).

70 Uncovering Causal Complexity with Qualitative Comparative Analysis

Patrick A. Mello

Brief Description of Method

Many of the phenomena social scientists are interested in are governed by *causal complexity*, involving, among other things: (1) various combinations of factors that jointly bring about an outcome (*conjunctural causation*); and (2) multiple different pathways that lead toward the same outcome (*equifinality*). Qualitative comparative analysis (QCA) is a software-based comparative method that is ideally suited to uncover causal complexity. This lesson aims to introduce students to the basic features of QCA, including an introduction to the R software environment. Additional resources allow students to further pursue the topic and develop their own skills.

References for Further Reading

- Kahwati, L. C., and H. L. Kane. 2020. *Qualitative Comparative Analysis in Mixed Methods Research and Evaluation*. Los Angeles: Sage.
- Mello, P. A. 2017. Qualitative Comparative Analysis and the Study of Non-state Actors. In *Researching Non-state Actors in International Security: Theory & Practice*, edited by A. Kruck and A. Schneider, 123–42. Oxon: Routledge. [open access]
- Mello, P. A. 2021. *Qualitative Comparative Analysis: An Introduction to Research Design and Application*. Washington, DC: Georgetown University Press.
- Ragin, C. C. 1987. *The Comparative Method: Moving Beyond Qualitative and Quantitative Strategies*. Berkeley: University of California Press.
- Schneider, C. Q., and C. Wagemann. 2012. *Set-Theoretic Methods for the Social Sciences: A Guide to Qualitative Comparative Analysis*. New York: Cambridge University Press.

The method of QCA was first introduced in Ragin (1987), which still serves as the foundational text on its underlying logic. Textbook introductions to QCA with varying emphases are given in Kahwati and Kane (2020), Mello (2021), and Schneider and Wagemann (2012), while the book chapter (Mello 2017) provides a concise introduction to QCA, together with a brief empirical illustration (it is also open access).

Estimated Teacher Prep Time

60–90 minutes:

- Read Mello (2017).
- Prepare PowerPoint slides (provided) and homework materials for students (provided).

- Based on the reading, think about examples where causal complexity may be identified and present these as tasks for students to work on as in-class activity.

Estimated Duration of Lesson

- 80-minute in-class lecture with interactive elements
- 60-minute student activity (homework assignment)
- 30-minute reflective discussion (in a follow-up class session)

Materials Needed

- PowerPoint slides (provided) introducing QCA
- R Manual (located at <https://doi.org/10.7910/DVN/KYF7VJ>)

Student Pre-Class Preparation

To prepare for the in-class activity, students must read the Mello (2017) chapter before class.

Learning Outcomes

Completing this activity, students will be able to: (1) describe what causal complexity is and why it matters in research settings; (2) summarize what the method of QCA entails; (3) explain the strengths and limitations of QCA; and (4) identify appropriate research settings for QCA.

Lesson Instructions

This lesson has three parts: (1) an in-class interactive lecture; (2) a homework activity; and (3) a reflective in-class discussion. It is appropriate for advanced undergraduate and graduate students.

Interactive In-Class Lecture (~80 minutes)

Overview:

Using the provided PowerPoint slides, proceed with the lecture as follows:

- 1 *Explain what causal complexity is and why it matters in daily life and research*—5 minutes (PowerPoint slide 2). Introduce the concept with illustrations from your own research or topics students will be familiar with (see also Mello 2017: 126–27).
- 2 *Tell students what we are doing today in class*—5 minutes (PowerPoint slide 3). Potential script:

Today we will be introduced to the method of Qualitative Comparative Analysis (QCA). QCA was originated by the sociologist Charles C. Ragin in *The Comparative Method* (1987). The basic features of QCA are summarized in the open access chapter by Patrick A. Mello (2017). In today's class, I will introduce the key concepts involved in QCA, then we'll discuss them, and together we'll practice their application on some real-life examples.

- 3 *Introduce the distinction between crisp and fuzzy sets*—5 minutes (PowerPoint slide 5). The slide displays calibration scales for crisp sets and different kinds of fuzzy sets (see also Mello 2017: 124–25).

- 4 *Prompt the class to discuss whether certain concepts are better translated into crisp sets or fuzzy sets—10 minutes (PowerPoint slide 6).*

This exercise should help students make the step from thinking about abstract concepts like “democracy” or “economic development” to assigning scores to cases. For certain concepts, binary distinctions may be warranted, whereas others resonate more with degrees of membership. There may also be complex concepts that require “unpacking” into several components. Eventually, students should think about concepts in terms of “difference-making” criteria that determine whether a case should be considered rather inside or outside a certain set.

- 5 *Introduce the three operators of Boolean algebra (AND, OR, and NOT) (10 minutes, PowerPoint slides 5–6).*

Using a Venn diagram for visualization, introduce students to the logical operators of Boolean algebra. In the next step, add numbers for set membership, so that calculations can be done.

- 6 *Ask students to apply the principles of Boolean algebra to solve the exercises (5 minutes, PowerPoint slides 7–8).*

Give students 3–4 minutes to fill out the blanks and calculate the results of the Boolean operations. Let students provide the answers (and correct them when needed, clarify principles of Boolean algebra).

- 7 *Introduce students to the truth table and its analysis (15 minutes, PowerPoint slides 9–10).*

Use the illustration on the slide to underline the difference between a data sheet and a truth table and highlight the combinatorial logic in QCA. Introduce the Boolean minimization rule (slide 10) so that students can apply it themselves.

- 8 *Prompt students to translate the exercise data into a truth table and to minimize this truth table to the extent possible (10 minutes, PowerPoint slides 11–13).*

Give students enough time to think about the logical structure of the truth table and to figure out how the data fit into this. If needed, provide clues and then let students proceed on their own for the minimization task.

- 9 *Walk students through the exercise’s solution (5 minutes, PowerPoint slide 13).*

- 10 *Open up for questions and introduce the homework activity (10 minutes, see homework activity introduced below).*

Homework Activity (~60 minutes)

Overview: Provide students with the R Manual. Additional material (R Script and Sample Data) can be accessed at: [<https://patrickmello.com/qca-research-design-application/>], but this is not required to conduct the activity. The activity aims to provide students with a step-by-step introduction to the R software environment. All steps are described in plain language in the R Manual. Depending on their background and computer experience, this may be challenging for some students. Alternatively, students could also be asked to simply read the R Manual as a complement to the main reading. This should allow them to understand how the software works, even when they don’t apply it themselves.

Assignment Instructions for Students:

- 1 Read pages 1–5 of the R Manual, then install R and R Studio on your computer (use the directions provided in the manual).

- 2 Follow the instructions to reproduce the commands on pages 4–5, then read the sample data set as described on page 6.
- 3 Install the R packages as described on pages 6–7.
- 4 Load the sample data set as described on pages 7–8.
- 5 After these basics, try to follow the next steps described in the R Manual to conduct a set-theoretic analysis. Consult the reading if some of the steps or concepts are unclear (Mello 2017).
- 6 Reflect on what you learned about QCA in class and during your own time with the material. What do you take away from this? Which questions remain?

Reflection and In-Class Discussion (~30 minutes)

Overview: The reflection and in-class discussion should help students in “putting the pieces together” and make sense of what QCA is and how the method can be applied. The instructor should underline that the lecture and homework assignment could only provide a brief introduction to the method and its underlying logic. Some parts were left out and would have to be introduced in separate sessions (e.g., *calibration*, *measures of fit*, and *solution terms*). Here, the instructor should highlight the available textbooks (see references for further reading) for those who want to further pursue the method for other projects or on their own time. Some students may struggle with the software application (especially if they have never used R before). The instructor should highlight that it is also fine if students just read the R Manual (PDF version) as a complement to the main reading (Mello 2017), without applying the software themselves. Finally, students should collectively summarize the key points about QCA, and the concepts and steps involved in it.

Online Teaching Modifications

This lesson can easily be adapted for online teaching, either (1) through a pre-recorded lecture where the instructor provides a discussion of the key steps and concepts (see points 1–3, 5, and 7 of the lecture part) and then prompts students to apply these by writing responses on a virtual platform asynchronously; or (2) in an interactive online format (using virtual conferencing software) where the lecture parts are complemented by interactive exercise parts that are worked on within breakout groups that collectively engage in answering the questions, also using online whiteboards to record their responses for later in-class discussion.

71 Concepts before Numbers

Teaching Effective Calibration Practices for Qualitative Comparative Analysis

Claude Rubinson and Roel Rutten

Brief Description of Method

Because qualitative comparative analysis (QCA) is highly sensitive to how conditions are calibrated, learning proper calibration practices is essential to correctly conduct QCA. Three challenges confront those learning how to calibrate. First, the calibration process draws on both quantitative and qualitative research traditions by complementing the latter's focus on ontological meaning with the former's concern for epistemological precision. Second, successful calibration requires substantive and theoretical understandings of the domain of inquiry. Third, there is little existing literature that illustrates the processes and practices that produce valid and reliable calibrations. Practicing on conditions of their own choosing sidesteps the third challenge while directly engaging the first two, helping students learn what calibration is and how to do it well.

References for Further Reading

- Goertz, G. 2020. *Social Science Concepts and Measurement*. Princeton: Princeton University Press.
- Kane, H. L., and L. C. Kahwati. 2020. *Qualitative Comparative Analysis in Mixed Methods Research and Evaluation*. Los Angeles: Sage. See esp. Chapter 4, "Calibrating Sets and Managing Data."
- Mello, P. A. 2022. *Qualitative Comparative Analysis: An Introduction to Research Design and Application*. Washington, DC: Georgetown University Press. See esp. Chapter 5, "Calibrating Sets."
- Ragin, C. C. 2008. *Redesigning Social Inquiry: Fuzzy Sets and Beyond*. Chicago: University of Chicago Press. See esp. Chapter 4, "Why Calibrate?" and Chapter 5, "Calibrating Fuzzy Sets."
- Ragin, C. C., and P. C. Fiss. 2017. *Intersectional Inequality: Race, Class, Test Scores, and Poverty*. Chicago: University of Chicago Press. See esp. Chapter 4, "From Variables to Fuzzy Sets."
- Schneider, C. Q., and C. Wagemann. 2012. *Set-theoretic Methods for the Social Sciences: A Guide to Qualitative Comparative Analysis*. Strategies for Social Inquiry. Cambridge: Cambridge University Press. See esp. Chapter 1, "Sets, Set Membership, and Calibration."

Estimated Teacher Prep Time

Approximately 30–60 minutes will be required to review and revise the provided PowerPoint slides and accompanying lecture notes. Students will also need to be assigned to groups if this is done outside of class.

Estimated Duration of Lesson

Two class days. Day 1 consists of a lecture on calibration, having the class develop a list of potential conditions to calibrate, and constructing groups for the upcoming exercise.

A homework assignment may optionally be assigned for each student to come to the next class meeting with a possible empirical measure and tentative definitions of “fully in” and “fully out.”

Materials Needed

PowerPoint slides for the Day 1 lecture are provided. No other special materials are required.

Student Pre-Class Preparation

At a minimum, the class must have already covered an overview of QCA and its three steps: calibration, necessity testing, and sufficiency testing. This lesson may be conducted prior to or following an in-depth discussion of necessity and sufficiency analysis. There is a logical advantage in discussing calibration first since calibration must be completed prior to conducting the necessity and sufficiency analyses. But we have found that it often works better to delay this lesson until *after* those discussions. Early on, it is enough to simply establish what calibrated data are and that QCA requires their use. But understanding the mechanics of performing necessity and sufficiency testing do not, in fact, require understanding how to calibrate well.

Prior to this lesson, students should read one or more of the above-recommended chapters on calibration. We believe that Mello’s (2022) text is the best general introduction to QCA, both in terms of quality and accessibility. Ragin and Fiss (2017) provide an excellent demonstration of *how* to calibrate but should only be assigned in conjunction with one of the other recommended readings. Goertz (2020) is an excellent general treatise on conceptualization and measurement but does not specifically discuss calibration in QCA.

Learning Outcomes

On completion of this lesson, students will (1) gain a clearer understanding of what conditions are in QCA; and (2) how to construct and calibrate them.

Lesson Instructions

Day 1, part 1: Lecture

Day 1 primarily consists of a lecture on what calibration is and the process of conducting it. The lecture concludes by setting up the class exercise that will be conducted in the following meeting. A PowerPoint slide for the lecture is provided; instructors may adapt the slides to their specific course and expertise. Specific points to be covered include:

- 1 Understanding conditions as adjective phrases.
- 2 Presenting the jigsaw puzzle metaphor as a way of explaining calibration as the process of achieving a tight coupling between an ontological concept and one or more epistemological measures.
- 3 Constructing semantically meaningful thresholds.
- 4 Using the fully in, fully out, and crossover thresholds to identify and distinguish between ideal–typical cases, typical cases, atypical cases, and negative cases.

Day 1, part 2: Preparing for the exercise

Time should be reserved following the lecture to prepare the calibration exercise for the subsequent class meeting. In this exercise, the students will construct a rubric for calibrating

a condition of their choosing. The students will be placed into groups of three to six to facilitate discussion. Before creating the groups, however, several potential conditions should be identified. Ask the students to propose conditions that they would like to calibrate. Students will often propose variables that lack qualifying adjectives, which is a good opportunity to reinforce the fact that conditions must always be adjective phrases. Encourage the students to come up with fun and creative conditions that draw from popular media and culture such as “bad movie sequel,” “cheesy pop song,” or “greatest sports teams of all time.” Beyond being more fun for students, such conditions offer the important benefit that students have preexisting knowledge, ideas, and opinions that they can bring to the accompanying discussion.

After developing the list of potential conditions, have students volunteer for the one that they wish to work on. If a particular condition is especially popular, it is fine to have two groups work on the same condition. It can be highly illuminating to see how different groups will produce different calibrations of the same condition. Groups should be of three to six students, and the instructor should feel free to move students around to achieve this.

To stimulate the upcoming group discussion, a brief optional homework assignment can require each student to bring to the next class meeting tentative definitions of “fully in” and “fully out” and one possible empirical measure.

Day 2: Exercise

The exercise emphasizes the iterative nature of calibration. The key is to encourage a vibrant discussion among group participants. A group should only proceed to a subsequent step following the instructor’s approval, as the exercise builds in a sequential fashion. Most of the instructor’s time and effort is devoted to circulating around the classroom to monitor, assess, and stimulate group discussions.

While students work on their calibrations, the instructor draws an empty calibration table on the whiteboard. The calibration table has three columns: “Condition,” “Type of Fuzzy Set,” and “Construction rule(s).” Students fill in the empty columns with their completed calibrations. The completed calibration table will be used to motivate the end-of-class discussion.

Step 1: The group identifies at least three potential measures of the condition. Students determine whether these measures are complementary or substitutable for one another. The optional homework assignment will reduce the amount of time required for this step.

Step 2: The group then picks one of the measures to calibrate. For this exercise, the group must pick either a discrete or continuous measure, not dichotomous.

Step 3: Identify 1.0. Have the group define what fully in means. Debate and discussion over the definition of the condition and/or its revision should be encouraged, as this reflects good calibration practice.

Step 4: Identify 0.0. Have the group define the negation of their condition. Some may propose the opposite, and this is a good opportunity to reemphasize for the entire class that the inverse is not the same as the opposite. (For example, “Not being rich doesn’t mean that you’re poor. What does it mean if someone is not rich?”)

Step 5: The group determines what type of fuzzy set they are constructing: discrete or continuous. For a discrete fuzzy set, the group must decide on how many thresholds the fuzzy set will possess and how each is defined. The crucial practice here is that the group will draft a verbal definition for each threshold that explains how one recognizes when the threshold has been met. For a continuous fuzzy set, the instructor introduces the direct and indirect methods of calibration. If the group chooses to apply the direct method, only 0.5 must be defined since 1.0 and 0.0 have already been identified. This provides a good opportunity to discuss the ambiguous meaning of 0.5 and foster debate over what distinguishes typical from atypical cases. Applying the indirect method will instead require that the group identify

representative observations that delineate different levels of membership. For complete details regarding the direct and indirect methods of calibration, see Ragin (2008: Chapter 5).

Step 6: Have the group reflect on the calibration process by answering the following questions:

- 1 How confident are you in the thresholds that you've chosen? Are they semantically meaningful?
- 2 For discrete fuzzy sets: Do you have the correct number of thresholds? If your thresholds are balanced (i.e., an equal number above and below the crossover point), should they be?
- 3 For continuous fuzzy sets: What are the differences between observations falling above the crossover point (typical cases) and those falling below (atypical cases)? Is it possible for an observation to be very close to the crossover point and, if so, how common is this? (When observations frequently land on or close to the crossover point, this often indicates a problem with the calibration.)
- 4 Considering the real world, would you expect a disproportionate number of observations to fall above (or below) the crossover point? While calibrations should never be designed to "maximize variation," highly skewed data in QCA are effectively a constant and, therefore offers no explanatory leverage. This indicates that the condition is not analytically useful (or, alternatively, that there is a problem with the calibration procedure).

Step 7: A representative from the group adds their calibration to the calibration table on the whiteboard. The representative also distinguishes the adjective (qualifier) from the noun (object).

Step 8: As time permits, repeat steps 2–7 for an additional measure.

Reflection and Class Discussion

Once all groups have added their calibrations to the calibration table, the instructor facilitates a short class discussion. Students discuss which aspects of the calibration procedure were easiest and most difficult, what was surprising and/or confusing, and the disagreements that group members had and how they resolved them. The most important takeaway from the exercise is that calibration requires theoretical and substantive expertise. Ask the students if they would have been able to successfully complete the exercise without already being familiar with the concept they were calibrating. It can be enlightening to identify any students who were part of a group calibrating a concept with which they had limited or no prior knowledge and inquire about their experience and the extent to which they were or were not able to contribute to the group discussion.

Online Teaching Modifications

This lesson is easily adapted to both synchronous and asynchronous online environments. In a synchronous course, one can use virtual conferencing software to create breakout rooms for each group. An asynchronous environment provides students with additional opportunity to reflect on their assigned condition and how to calibrate it. The challenge of the online environment is that good calibration requires active engagement, so there needs to be real and substantive discussion between group members.



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