Appendix A: HERO – New Study Human Ethics Application Form

1.1 Study Identification – EEASJ Application

2.0 Study Title: A Qualitative Proposal to Identify Barriers in Marketing Services Directed Toward Immigrants Offered by the Edmonton Public Library.

5.0 Name of Principal Investigator (at the University of Alberta, Caritas, or Capital Health):
   Daniel De Castro

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

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

1.3 Study Funding Information

1.0 Type of Funding:
   • Grant (external)

2.0 Funding Source (if applicable)

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

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

1.4 Conflict of Interest

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

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

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

Important
If you answered YES to any of the questions above, you may be contacted by the REB for more information or asked to submit a Conflict of Interest Declaration.

1.5 Study Locations and Sites

1.0 Specify research locations: Enter all locations where the research will be conducted under this Research Ethics Approval (e.g. university site, hospital, community centre, school, classroom, participant’s home, in the field, clinician’s private office, internet website, etc. - provide details):
Specific locations include Castledowns, Londonderry, Highlands, Stanley A. Milner, and Millwoods branches of the Edmonton Public Library. Various locations of the Edmonton Immigration Services Association and the Edmonton Centre for Newcomers. For the sake of convenience the participant will select the location but recruitment poster will be at these locations.

2.0 If the study involves researchers in other institution(s), will ethics approval be sought from other institutions/organizations (e.g. another university, Alberta Cancer Board, school district board, etc)?
- Not Applicable

2.1 Study Objectives and Design

1.0 Proposed Start Date: July 1 2009

2.0 Proposed Start Date of working with human participants (can be the same as item 1.0): October 15 2008

3.0 Anticipated End Date of working with human participants: November 15 2009

3.1 Risk Assessment

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

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

- Minimal Risk

2.0 In a scale of 0 to 10 where 0 = No Likelihood, 5 = Moderate Likelihood and 10 = Extreme Likelihood, put a numerical rating in response to each of the following:

Rate Description of Potential Risks and Discomforts

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

3.0 Provide details of short- and long-term risks and discomforts:

_Questions regarding reading habits and experience of censorship practices in their native country may cause discomfort._

4.0 Describe how you will manage and minimize risks and discomforts, as well as mitigate harm:

_Continually remind the participant of the option to opt out of any question._

5.0 If your study has the potential to identify individuals that are upset, distressed, or disturbed, or individuals warranting medical attention, describe the arrangements made to try to assist these individuals. Explain if no arrangements have been made:

_Not applicable._

3.2 Benefits Analysis

1.0 Describe any benefits of the proposed research to the participants:
The proposed research may incite participant to visit their community library. They would be participating in a study that may help to optimize services to new Canadians.

2.0 Describe the scientific and/or scholarly benefits of the proposed research:
A local study which attempts to indentify strengths and weaknesses of marketing library services to new Canadians.

3.0 Describe any benefits of the proposed research to society:
This study would identify potential barriers in marketing library services to new Canadians in Edmonton. There would be recommendations offered in how to overcome these obstacles. Edmonton Public Library would be sent a copy of the final paper for their consideration.

4.0 Benefits/Risks Analysis - describe the relationship of benefits to risk of participation in the research:
The benefits include the opportunity to improve services to immigrants. There is very little risk proposed in the study.

4.1 Participant Information

1.0 Describe and justify the inclusion criteria for participants:
All of the candidates must fulfill the primary criteria of having immigrated to Canada after 1990. This is the main criteria selected in a recent study by Susan Burke when she selected her participants. Approximately half of the interview volunteers will be library-users. The other half will be immigrants who have never taken advantage of library services offered. The participants should be from a variety of different ethno-cultural backgrounds to ensure a broad spectrum of perspectives.

2.0 Describe and justify the exclusion criteria for participants:
Interviewees must have a basic proficiency in understanding and speaking English in order to avoid the cost associated in employing translators. All participants must be over the age of eighteen in order to avoid unnecessary complications in the ethics review process. The participants must be current residents of the city of Edmonton. This will be a requirement because the questions selected are an effort to measure awareness of the Edmonton Public Libraries marketing initiatives.

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

4.0 Participants

Total number of participants you expect to enroll if applicable): 21

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

5.0 Justification for sample size:
In order to avoid a saturation level in themes it is recommended that a study selects somewhere between eighteen and twenty interview subject for optimum results. This will allow for three interviews to be used to refine the effectiveness of questions selected and interview techniques.

6.0 If possible, provide expected start and end date of the recruitment/enrollment period:

Expected Start Date: September 15 2009
Expected End Date: October 15 2009

4.2 Recruit Potential Participants

1.0 Recruitment

1.1 Will potential participants be recruited through pre-existing relationships with researchers (e.g. employees, students, or patients of research team, acquaintances, own children or family members, etc)?
No
2.0 Outline any other means by which participants could be identified (e.g. response to advertising such as flyers, posters, ads in newspapers, websites, email, listservs; pre-existing records or existing registries; physician or community organization referrals; longitudinal study, etc):

*Not Applicable*

### 4.3 Recruitment Contact Methods

1.0 How will initial contact be made? Select all that apply:

- *Potential participants will contact researchers*

2.0 If contact will be made through an intermediary (including snowball sampling), select one of the following:

*Not Applicable*

3.0 If contact will be made through an intermediary, explain why the intermediary is appropriate and describe what steps will be taken to ensure participation is voluntary:

*Not Applicable*

4.0 Provide the locations where participants will be recruited, (i.e. educational institutions, facilities in Capital Health or Caritas, etc):

Specific locations include Castledowns, Londonderry, Highlands, Stanley A. Milner, and Millwoods branches of the Edmonton Public Library. Various locations of the Edmonton Immigration Services Association and the Edmonton Centre for Newcomers. Various ethnic restaurants and foods and goods stores would also be solicited to display the posters (i.e. The Portuguese Canadian Bakery).

### 4.4 Informed Consent Determination

1.0 Describe who will provide informed consent for this study:

- *All participants will be competent to give informed consent*

2.0 How is consent to be indicated and documented?

- *Signed consent form*
- *Explicit oral consent*

3.0 What assistance will be provided to participants, or those consenting on their behalf, who have special needs (e.g. non-English speakers, visually impaired, etc):

*In order to avoid associated costs non-English speaker will likely not be chosen for the study. Visually and physically impaired individual will have the option of participating in the interview in a public location of their choice.*

4.0 If at any time a participant wishes to withdraw or not participate in certain aspects of the research, describe the procedures and the last point at which it can be done:

*Not Applicable: a participant can withdraw or not participate at anytime.*

5.0 Describe the circumstances and limitations of data withdrawal from the study, including the last point at which it can be done:

*Not applicable*

6.0 Will this study involve an entire group where non-participants are present?

*No*

7.0 Describe the incentives and/or reimbursements, if any, to participants and provide justification: *Not applicable*
4.5 Informed Consent Details

1.0 Provide justification for requesting a waiver of consent (if applicable): Not applicable
2.0 Oral consent: explain how oral consent will be documented (if applicable)
   Oral consent will be documented by a digital voice recording.
3.0 Overt action: explain the overt action that will signify consent (if applicable) Not applicable
4.0 Inaction/non-objection: describe the procedures and justification for this type of consent (if applicable) Not applicable

4.6 Authorized Representative or Third Party Consent – if applicable
Not applicable

4.7 Group Research Documentation – if applicable
Not applicable

4.8 Study Population Categories

1.0 This study is designed to TARGET or specifically include the following (does not apply to co- incidental or random inclusion). Select all that apply:
   - Members of any or all of the groups listed below may participate in this study
   - Women
   - Men
   - Minorities (eg. ethno-cultural, linguistic, gender, etc)
   - With Physical Disability
   - With Cognitive Disability

4.9 Aboriginal People – if applicable

1.0 If you will be obtaining consent from Elders, leaders, or other community representatives, provide details:
2.0 If leaders of the group will be involved in the identification of potential participants, provide details:
3.0 Provide details if:
   - property or private information belonging to the group as a whole is studied or used;
   - the research is designed to analyze or describe characteristics of the group, or
   - individuals are selected to speak on behalf of, or otherwise represent the group

4.0 Provide information regarding consent, agreements regarding access, ownership and sharing of research data with communities:
5.0 Provide information how final results of the study will be shared with the participating community (eg. via band office, special presentation, deposit in community school, etc)?

5.1 Research Methods and Procedures

1.0 This study will involve the following (select all that apply)
The list only includes categories that trigger additional page(s) for an online application (and biomedical options have been removed, for LIS 505) .
• Deception or partial disclosure (not including double-blind)
• Interviews (e.g. in-person, telephone, email, chat rooms, etc)

4.0 Internet-based research

*Not applicable*

5.5 Use of Deception or Partial Disclosure – if applicable

*Not applicable*

5.6 Sound or Image (other than audio- or video-recorded interviews) or Material Created by Participants – if applicable

*Not applicable*

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

1.0 Are any of the questions potentially of a sensitive nature?
No

If YES, provide details: *Not applicable*

2.0 If any data were released, could it reasonably place participants at risk of criminal or civil law suits?
No

If YES, provide the justification for including such information in the study: *Not applicable*

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

If YES, provide details:
A digital voice recorder will be used order to assist in the transcription of interview answers.

5.8 Internet-based Interaction with Human Participants – if applicable

*Not applicable*

6.1 Data Collection

1.0 Will the study team know the participants’ identity at any stage of the study?
*Yes* - *Signed consent form.*

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

• All personal identifying information removed

3.0 If identifying information will be removed at some point, when and how will this be done?
*In order to ensure the confidentiality of participant’s pseudonyms will be assigned and used to identify the person in the recorded data. These pseudonyms will consist of the interviewee’s nation of origin followed by a number (ie Sudan 1..Sudan 2 etc.)*
4. If this study involves secondary use of data (i.e., data previously collected by another researcher for another study), list all sources: Not applicable

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

6.2 Data Identifiers

1. Personal Identifiers: will you be collecting any of the following (check all that apply):

   Not applicable

   If OTHER, please describe: Not applicable

3. If you are collecting any of the above, provide a comprehensive rationale to explain why it is necessary to collect this information: Not applicable

4. Specify information that will be RETAINED once data collection is complete, and explain why retention is necessary. Include the retention of master lists that link participant identifiers with de-identified data: Signed Consent forms.

6.3 Data Confidentiality and Privacy

1. How will confidentiality of the data be maintained? Explain the steps you propose to maintain data confidentiality and privacy. (For example, study documents must be kept in a locked filing cabinet and computer files encrypted, etc.) Transcripts of interviews and consent forms will be held in a locked cabinet. Digital records will be password protected.

2. If you involve colleagues, assistants, transcribers, interpreters and/or other personnel to carry out specific research tasks in your study, how will you ensure that they properly understand and adhere to the University of Alberta standards of data privacy and confidentiality? Verbally instruct the research assistants of guidelines ensuring privacy and confidentiality.

4. Data Access

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

4.2 If YES, describe in detail what identifiable information will be released, to whom, why they need access, and what safeguards will be used to protect the identity of subjects and the privacy of their data. Not applicable

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

6.4 Data Storage, Retention, and Disposal

1. Where will the research data be stored? Specify the physical location and how it will be secured to protect confidentiality. The data will be stored in the researcher’s locker.

2. Describe what will happen to the data once the study is completed. Indicate your plans for the destruction of the identifiers at the earliest opportunity consistent with the conduct of the research and/or clinical needs: Letters of consent will be kept for a minimum of 5 years according to GFC Policy. They will be kept in secure location until they are shredded.

3. You must keep your data for a minimum of 5 years according to GFC Policy 92.2. How will you provide for data security during this time? Data will be kept in locked and secure location until they are shredded.

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

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

The following information and subsection can be found at
http://www.uofaweb.ualberta.ca/GFCPOLICYMANUAL/policymanualsection66.cfm

66. Human Research - University of Alberta Standards for the Protection of Human Research Participants

**Note from the University Secretariat:** The *Post-Secondary Learning Act* gives General Faculties Council (GFC) responsibility, subject to the authority of the Board of Governors, over "academic affairs" (section 26(1)). The *Act* further provides that "[a] university may conduct pure research and applied research and may foster innovation" (section 104(1)).

The *Act* also provides that the Board "may require a student…to provide personal information to the [B]oard if the personal information relates directly to and is necessary for an operating program or activity" (section 65(a) of the *Act*). GFC has thus enacted a policy concerning Human Research, as set out below.

The complete wording of the section(s) of the *Post-Secondary Learning Act*, as referred to above, and any other related sections, should be checked in any instance where formal jurisdiction or delegation needs to be determined.
Appendix C: Information Letter

Have you immigrated to Canada within the last twenty years? Do you understand and speak English? Are you 18 years of age or older?

Participants are needed for a research study of Canadian immigrant’s attitudes and perceptions of the public library in their community. Ideally subjects will have a good understanding of spoken English and been in Canada for no more than twenty years. The goal of the research is to identify barriers to effective marketing practices by libraries among various cultures.

The main method of data collection for this study is through interview. All people who are eligible to take part in this research will be interviewed in February of 2009. Participants will choose the time and location of the interview. They will be approximately 15-20 minutes in length. The interview will be recorded by a digital voice recorder and copies of the interview will be provided to the participant if requested. Participants may decline to answer a question at any time. Participants also have the option of withdrawing from the interview without any prejudice or blame. There is also the option to have any information taken within the interview to be not included in the study. Data is kept in a safe place for 5 years in digital following the completion of the project in a manner that protects participant’s privacy. All record will be shredded or deleted after this date.

Digital transcripts and information gathered from interviews may be used to publish research articles, web postings, used in teaching, and presentations. The use of the information will be academic in nature and will not be transferred or used for commercial interest or gain. Privacy of the individual participants is granted in the digital recording of the interview by the assigning of an alias. The only disclosure of a participants name will be in the signing of the release form that will only be available to Daniel De Castro and Dr. Lisa Given at the School of Library and Information Studies, University of Alberta. Contact information for these individuals is available at the bottom of this letter. The plan for this study has been reviewed for its adherence to ethical guidelines and approved by the Faculties of Education, Extension and Augustana Research Ethics Board (EEA REB) at the University of Alberta. For questions regarding participant rights and ethical conduct of research, contact the Chair of the EEA REB at (780) 492-3751.

The researcher is a candidate for a Master’s of Library and Information Studies at the University of Alberta. He holds a Bachelors Degree in History/Political Science. This interview is part of a research proposal assignment for Library and Information Studies 505. The Instructor for this course is Dr. Lisa Given. Participation in this interview will increase the researcher’s knowledge of practical research methods. It may lead to directed research or presentation of a thesis on the topic.

Daniel De Castro (MLIS Student)
School of Library and Information Studies
University of Alberta
Email: daniel@ualberta.ca
(780) 231-9836

Dr. Lisa Given
School of Library and Information Studies
University of Alberta
Email: lisa.given@ualberta.ca
(780) 492-2033
Appendix D: Letter of Consent

Letter of Consent
Participation Consent Form

Participants Name:

Date:

As a condition of my participation in this study, I verify that I fully understand the following:

- I confirm that I have read the letter of information provided.
- I confirm that any questions or concerns that I had were answered completely.
- I confirm that I understand the general purpose of the research in which this interview is apart.
- I confirm that no data within the interview can identify me.
- I confirm that I understand that the letter of consent with my name on it will only be available to the researcher and Dr. Lisa Given. (If there is question that this study did not follow ethical guidelines by the University of Alberta then the documentation may be made available to the appropriate research ethics review board.)
- I confirm that I understand my choice to opt out of the interview or refuse to answer any question for any reason.
- I confirm that I know that this interview will be recorded.
- I confirm that I understand that any data collected will be used for educational purposes only.
- I confirm that data recorded from this interview will be kept for five years in a secure place. After the five year period the information will be destroyed

I give my permission to be interviewed.

Participants Signature:

Researchers Signature:
Appendix E: Interview Questions

LIS 505-Interview Assignment

Part One: Country of Origin

1. What is your country of origin? (What country are you from?)

2. Have you been to the library in your native country? What type of library?

3. What services did they offer that appealed to you?

4. Did you attend any special events at that library? What special events? Describe them.

5. Where there any obstacles to what you could read in your home country? What obstacles? Describe them.

6. Have you read any challenged books or literature in your home country?

7. What would be some potential consequences of reading that type of book in your home country?

Part Two: Canadian Libraries

1. How long have you been in Canada?

2. Is English your second language? What is your native language?

3. Have you been to a library while in Canada? What type of library? Explain.

4. What services did they have that appealed to you?

5. Have you found items in your native language?

6. Are there any obstacles to what can read in Canada? What obstacles? Describe them.

8. Have you read any challenged books or literature in Canada?

9. Do you think that there are any consequences for reading challenged books in Canada?
Part Three: Library Marketing

1. Have you seen any commercials, posters detailing services at your library?

2. Has a librarian spoken in your church, school, place of work on services offered by the library?

3. Has anybody told you of the services available to you at your library? Who has informed you?

4. Can you tell me of the services that you know of that is offered at your local public library? How has the library helped you?

5. What prompted you to go to the library originally?

6. Can you describe the things you do, the places you go in a typical week?
   - Church, school, work, ethnic stores, community centers.

Part Four: Freedom to Read Week

1. Have you attended special events hosted by your library?

2. Have you heard of Freedom to Read Week?

3. Have you attended Freedom to Read Week events hosted by local library? Do you plan on attending?

Part Five: Identifying Obstacles

1. What is your opinion of this image? (books in chains)

2. Does this image have a different meaning in your origin? Explain.

3. Does this image make you want to go to an event celebrating freedom to read week at your local library?

4. What is your opinion on providing banned or challenged literature to the public?

5. Do you have children? Do they go to the library? Do you have concerns with what they read at the library?
Appendix F: Recruitment Poster

Have you immigrated to Canada within the last twenty years?
Are you 18 years of age or older?
If so then participate in a research study to help Edmonton libraries better serve new Canadians.

Daniel De Castro (MLIS Student)
School of Library and Information Studies
University of Alberta
Email: daniel@ualberta.ca
(780) 231-9836

Dr. Lisa Given
School of Library and Information Studies
University of Alberta
Email: lisa.given@ualberta.ca
(780) 492-2033

The plan for this study has been reviewed for its adherence to ethical guidelines and approved by the Faculties of Education, Extension and Augustana Research Ethics Board (EEA REB) at the University of Alberta. For questions regarding participant rights and ethical conduct of research, contact the Chair of the EEA REB at (780) 492-3751.
Appendix G: Permission Letter for On-site Research

Permission Letter for On-site Research

Researcher’s Name:

Location:

Date:

This is letter confirming that letter confirming that the researcher responsible for conducting this study has received permission to use this space for research. I was informed that if I have any questions not addressed by the researcher that I should contact the following individuals:

Daniel De Castro (MLIS Student)
School of Library and Information Studies
University of Alberta
Email: daniel@ualberta.ca
(780) 231-9836

Dr. Lisa Given
School of Library and Information Studies
University of Alberta
Email: lisa.given@ualberta.ca
(780) 492-2033

I have also been informed that I can contact the Chair of the EEA REB directly at (780) 492-3751.

I give my permission to use this space for the purposes of this research study.

Location:

Name:

Signature:

Position/Authority:
## Appendix H: Budget

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<th>Expense</th>
<th>Price</th>
<th>Quantity</th>
<th>Total</th>
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<tr>
<td><strong>Other</strong></td>
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<td>400.00 GST inc.</td>
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<td><strong>Other Supplies</strong></td>
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<td><strong>$649.99</strong></td>
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<td></td>
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<td><strong>GST</strong></td>
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<td></td>
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<td></td>
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<td><strong>$200.00</strong></td>
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<td><strong>Subtotal of Travel</strong></td>
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<td><strong>Research Assistant/ Part-time</strong></td>
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<td><strong>Total Expenses</strong></td>
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<td><strong>$9,009.71</strong></td>
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# Appendix I: Timetable

## Identification of Barriers in Marketing Library Services to New Canadians

<table>
<thead>
<tr>
<th>Current Week</th>
<th>Tasks</th>
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<tr>
<td><strong>Weeks</strong></td>
<td><strong>07/01 to 07/08</strong></td>
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<tr>
<td><strong>Current Week</strong></td>
<td><strong>Tasks</strong></td>
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<tr>
<td><strong>Grant Applications</strong></td>
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<tr>
<td><strong>Purchasing of Supplies</strong></td>
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<tr>
<td><strong>Ethics Approval Preparation</strong></td>
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<td><strong>Coding and Transcription Verification</strong></td>
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<td><strong>Document Writing and Editing</strong></td>
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