



*Please address the attached questions in numerical order, submitting **ONE** original and **EIGHTEEN** copies with signature(s) copies of your response to:*

*Secretary
Institutional Review Panel for Human Subjects
ORPA, 4 New South Building*

Questions on IRP policy should be directed to your advisor; the Panel Chair, Susan Fiske (sfiske@princeton.edu or call 8.0655); or the Panel Secretary, Andrew Sylvester (asylvest@princeton.edu or call 8.3105). Questions on deadlines or Panel responses may be directed to the Secretary.

Notes: Clearly indicate your status in your response

GS	Graduate Student
'05	Undergraduate Student (your appropriate year)
AD	Advisor
PI	Principal Investigator

Make sure to include your signature and the signature of your advisor (if applicable). **ALL** applicants other than professors **MUST** list an advisor.

In order to ensure prompt review of your Questionnaire A, please respond fully to each of the attached questions. If further information is requested by the Panel, the review process may be delayed. Please be sure to complete the checklist on the final page.

SUBMISSION DEADLINES/12:00 noon MEETING DATES/2004-2005

September 8, 12 noon	September 20, 2004
October 6, 12 noon	October 18, 2004
November 3, 12 noon	November 15, 2004
December 8, 12 noon	December 20, 2004
January 5, 12 noon	January 17, 2005
February 9, 12 noon	February 21, 2005
March 9, 12 noon	March 21, 2005
April 6, 12 noon	April 18, 2005
May 4, 12 noon	May 18, 2005 (Wednesday)

The attached questions reference the "Investigator's Statement of the Policies and Practices to be followed in the Conduct of Research Involving Human Subjects" available on the IRP website: <http://www.princeton.edu/orpa/irp.htm>

1. State the title of the proposed research.

If applicable, please *list the agencies* (University or other) that have been asked to fund this research.

“From Migrant Social Capital to Community Development: A Relational Account of Migration, Remittances and Inequality.” Proposal submitted to (March 1, 2005) and approved for funding by Princeton University’s *Program in Urbanization and Migration* (April 11, 2005).

2. State approximate dates for starting and ending this research project after it has been approved by the Panel.

November 1, 2005 – November 30, 2005.

3. State the name of the Investigator(s), departmental address(es), e-mail address(es), fax number(s), and campus phone number(s). All applicants other than professors must list the name, departmental address, e-mail address of a faculty advisor. Use the abbreviations listed on the cover page to identify all names listed.

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4. Check if data will be collected from or about any of the following protected populations: minors prisoners pregnant women fetuses institutionalized mentally disabled (individuals residing as patients in an institution who are mentally ill or retarded; emotionally disturbed; psychotic; or senile). For additional requirements regarding these categories of protected subjects, consult the Secretary of the Panel.

5. State briefly the purpose of the intended research, specifying the problems addressed, what is to be learned, and identify the specific objectives of the research.

Researchers have long noted the importance of migrant remittances for improving the social and economic status of origin households as well as the development level of origin communities or nations. Remittances from international migrants are estimated to amount to 75 billion dollars annually, a figure that is 50 percent higher than the total of official development assistance (Massey et al. 1997). Rural to urban migration within developing countries also yields remittances and can serve the vital purpose of income and wealth redistribution. Recent findings show that remittances from internal migrants constitute 20 to 40 percent of income in rural households in Africa, and are thought to be in the same order in Asia (Reardon 1997, Williamson 1988).

While these economic aspects of remittances are widely recognized and studied, until now, few studies consider how remittances change the structure of and the relations in origin households. This study attempts to address this gap in the literature, and understand the motivations for and the consequences of migrants' remittance behavior for households, as perceived by migrants and their household members. The objective is to obtain answers for three inter-related questions: (1) Why do migrants send remittances? (2) How do remittances alter the social relations in origin households? (3) How do remittances affect social and economic status of origin households and communities?

In studying migrants' remittance motivations, much attention is paid to the economic explanations that treat remittance exchanges simply as a category of economic transaction. The principal explanations for remittances in this literature suggest that migrants send remittances to their households in order to maximize household's income, to diversify risks to income, or to receive current or future benefits from household members, such as childcare or inheritance. As an addition to these economic explanations, in this project, I propose that remittances can also serve to reassure ties between migrants and their households. Different than any other economic exchange, remittances also constitute a crucial contribution to the building of reciprocity and arrangements in the household that provide security for the future. I suggest that using this framework, in addition to the economic explanations of remittances, can improve our understanding of the causes and consequences of migrants' remittance behavior. This study strategy can also help inform future policy decisions that aim at enhancing the contribution of migration and remittances to individuals' livelihoods.

Thailand is the proposed locale for this study due to the unique opportunities it presents to understand social and economic consequences of remittances for origin households and communities. First of all, in the last decades, Thailand has undergone a dramatic economic change and growth. During this time, the country's economic base has shifted from an agricultural base to an export processing base, and migration took on added significance in rural Thai livelihoods. Second, different than internal migrant streams in other countries, in Thailand, most migrants to the urban areas are in their teens or early twenties, and at least half of these migrants are women (Chamrathirong et al. 1995). This diverse demographic composition of migrant streams, and rather recent initiation of internal migration in Thailand make it a unique site to study how migrant remittances alter the economic status and social structure in origin households and communities.

6. Describe in detail the procedures that will be used to achieve the objectives of the research project; include copies of the consent form, letters, survey forms, questionnaires or other applicable documentation.

The proposed project will involve the following components:

(1) *Selection of four study villages with varying levels of migration and remittance prevalence in rural Nang Rong district of Thailand.*

The investigator has access to longitudinal survey data from the Nang Rong district in Thailand, collected by University of North Carolina and Mahidol University in Thailand. (The IRP approval to access this data set is attached.) Because of poverty, past high fertility and limited arable land for future development, this region is an important source of migrants to urban centers in Thailand, primarily Bangkok. The survey covers the period 1984-2000, and contains information on individual migration histories, as well as information on household and village characteristics in 22 sample villages in Nang Rong.

Rather than haphazardly enter the field to conduct fieldwork, I will employ 16 years of data to develop a set of typologies differentiating migrant sending communities by migration and remittance patterns. To differentiate communities by their migration levels, I will use the 'migration prevalence ratio' proposed by Massey et al. (1994). For any community in any year, migration prevalence ratio is defined as the percentage of people who have ever been a migrant. I will employ this ratio to evaluate the extent of the migration experience in a community, and then categorize communities as 'high' or 'low' prevalence. To assess the remittances a community receives, I will create a 'remittance prevalence ratio', which is the percentage of migrants that have ever remitted. I will use this ratio to categorize communities as 'high' and 'low' remittance receivers. Using these typologies, I will identify 8 villages with varying combinations of migration and remittance levels (high migration-high remittances, high migration-low remittances, low migration-high remittances, and low migration-low remittances). By doing so, I will attempt to assess whether the migration level of a community affects migrants' remittance behavior.

Before beginning my project, I will spend a week at Mahidol University in Thailand to lay the groundwork. First, I will obtain letters of introduction written by university officials to the head of the Nang Rong district as well as village headmen. Second, since I do not speak Thai, I will interview English speaking master's students at the *Institute for Population and Social Research Program* to be my research assistants. Third, I will work with senior professors in that program for translations of my instruments into Thai. (To assure that the translations are accurate, my strategy will be as follows: I will first ask a senior professor to translate the consent forms and questionnaires into Thai. Then, I will ask another senior professor, who has not read the English version, to translate the document back into English.) Finally, I will pre-test the questionnaires and consent forms by conducting a pilot study in Kanchanaburi (where the *Institute for Population and Social Research Program* has offices) in consultation with a senior professor. (I already have three contacts, who are senior faculty members, at the Institute.)

(2) *Interviews with village headmen.*

In the selected eight study villages, I will first interview village headmen. In these interviews, I will focus on migration-remittance patterns, and their consequences on village development. I will ask each respondent the same set of open-ended questions but encourage them to talk about

other concerns if they were so inclined. (The interview questionnaire and the consent form for these interviews are attached.)

Since I do not speak Thai, these interviews will be conducted in Thai with a Thai research assistant recruited from the *Institute for Population and Social Research Program*. Transcription and translation will also be completed by the same person. The respondents will be informed in advance that the session will be recorded. We will not record the conversations if respondents refuse our request to do so or in cases where we sense that the respondent would be more comfortable if we took notes instead. Once transcription is complete, only the researchers will have access to the tapes that were made, and these tapes will be destroyed at the conclusion of the project. For any transcripts that are made, not only the names but other potentially identifying information (e.g., mentions of specific individuals, events or places) will be either removed or modified.

(3) Focus group interviews with migrant sending households and return migrants.

In order to explore the changes in households due to migrant remittances, I will conduct focus group interviews. These interviews will aim at gaining insights into normative understandings of remittances in households or communities. Discussions in the focus groups will revolve around issues related to remittances and their effects on household relations and economic status. (The focus group interview questionnaire and the consent form are attached.)

Not only will the interviews address the amount and kind of remittances, but also the perceptions and meanings surrounding these exchanges. Although the data generated in these discussions will not be representative in a statistical sense, it will provide me with better informed interpretations about the motivations for and the consequences of migrant remittances.

For this project, I will conduct 4 focus group interviews in each of the 8 Nang Rong villages characterized by different levels of migration and remittances. Each focus group will consist of 6-8 individuals. Focus groups will contain only men or only women. This strategy will not only facilitate group discussion, but also will help me evaluate the gender differences in perceptions of remittance exchanges.

Separate focus groups will be formed for non-migrant members of migrant sending household members (e.g., migrant parents, husbands, wives) and return migrants in order to juxtapose how household members' views differ from those of migrants. In sum, in each village, 4 separate focus groups will be put together: migrant household members (adult men), migrant household members (adult women), return migrants (adult men), return migrants (adult women).

The focus group discussions will be conducted in Thai. Since I do not speak Thai, the discussions will be moderated and recorded by well-trained Thai colleagues. (The moderator and note-taker will be same sex as focus group respondents, which is expected to foster group participation. With the consent of the participants, all discussions will be recorded.) The transcription and translation of these recordings will be done by experienced Thai translators. (The investigator will provide the Institutional Review Panel with the certificates documenting that the Thai colleagues have completed the training required by the university regulations.) The meeting places for the focus group sessions will be arranged well in advance.

Confidentiality: The participants in a focus group will be asked to agree to keep information confidential. Confidentiality may be difficult to enforce, especially since most participants will

already be acquainted with each other. The possibility that participants will gossip after the interviews, or disclose information about others during the interviews can have important consequences for the participants. To avoid such breaches of confidentiality, respondents will be reminded that (1) they should not divulge any information that they would not share publicly, and (2) they should avoid giving information about any third parties without their consent. These precautions will help protect the welfare of the focus group participants (Morgan 1998, Short 2005).

In order to help guarantee confidentiality, the investigator will also take the following steps:

- (1) Once recruitment is completed, only the investigator will have access to any of the recruitment information, and these records will be destroyed at the conclusion of the project.
- (2) During the discussion, participants will be identified only by first names or pseudonyms.
- (3) Once transcription is complete, only the researchers will have access to the tapes that were made, and these tapes will be destroyed at the conclusion of the project.
- (4) For any transcripts that are made, not only the names but other potentially identifying information (e.g., mentions of specific individuals, events or places) will be either removed or modified.

- 7. Describe in detail the method of subject selection. Please be sure to report everything that the subject will be told about the study in advance and during the research. Special attention should be paid to subject selection and affiliation when Princeton students will not be used for the subject sample. Also include information about any compensation rates to subjects.**

Contact by one-to-one visits will be the primary method of recruiting participants. Initial contacts will be determined by interviewing village headmen and asking them about migrant households or return migrants that are likely potential participants. (The screening questionnaire that will be used for recruitment is attached.) Then, each potential participant will be asked to identify others that are likely to participate as well. This will lead to a snowball sample of 6-8 participants for each focus group. (Snowball sampling is the selected methodology, assuming that individuals will be more likely to feel comfortable and participate in a focus group including their friends.) Since I will conduct four focus groups in eight villages, approximately 200 participants will be recruited. Of those contacted, only those individuals who have clearly indicated their willingness and who readily agree to attend the session will be invited. Potential participants will be informed about the study purpose and procedures. (The details are given in the consent form).

- 8. Do you plan to obtain signed consent from all study participants? If not, please explain why. If you plan to use a consent form, please attach a copy (standard adult and minor consent forms are available on the IRP website).**

Yes.

9. Does the proposed research involve deception, e.g., through provision of misinformation, withholding information, etc.? Explain why it is necessary to involve deception(s) in the research.

No.

10. Provide a full account of the debriefing procedures to be followed, if appropriate. If you plan to debrief, please attach a copy of the written debriefing or the interview protocol.

Not applicable.

11. Does participation by human subjects or informants place any group or class of individuals in physical, legal, social and/or psychological jeopardy? If so, how can the potential risk be assessed?

No.

12. Does the research place individual subjects at risk? If so, please describe fully the ways in which the risk will be controlled.

No. I will be asking about migration and remittance patterns. These subjects are not a cultural taboo, and do not place the individuals at risk.

13. In your view, how are any possible risks that may be involved in the research justified by the potential benefits resulting from the investigation?

Not applicable.

14. Please describe what procedure will be used for secure storage of all study materials and consent forms. Signed *consent forms and completed questionnaires must be stored separately and securely in a faculty member's office or a project office accepted only to members of the research team certified to work with human subjects.* Who will have access to these materials?

Interview tapes will be quickly transcribed and then destroyed. Transcripts will be stored in a locked office on the investigator's personal computer and in locked file cabinets. Signed consent forms will also be stored in locked file cabinets, separately from the transcripts. Identifying information of respondents will not be directly obvious from the transcripts. A linking table for matching names to the transcripts will be stored in a separate file in both hard and electronic copy. The access to these documents will be restricted to the investigator only.

15. In the event that outside agencies are involved (in data gathering, processing, and storage), how will the rights of the subjects be guaranteed by that agency?

Princeton University
Institutional Review Panel for Human Subjects
Questionnaire A
Not applicable.

16. Describe the process being undertaken to secure IRB and/or other appropriate institutional approval necessary to conduct research with subjects at another institution or organization. Attach copies of the approval.

Not applicable.

17. Training and Certification. All University personnel who interact with human subjects or with identifiable subject data as part of this research project *must* complete the University's training program and be so certified prior to initiating contact with subjects or identifiable subject data. Furthermore, all third-party contractors or subcontractors or collaborating institutions whose personnel will interact with human subjects or with identifiable subject data as part of this research project *must* certify to the IRP that their personnel have undergone appropriate internal training as well.

Please respond to the following questions:

- a. Have all investigators identified above completed the University's training program (please check appropriate box): **Yes** **No**. If No, please complete the training program immediately after reviewing ORPA's homepage information about this procedure.
- b. Are there any current or anticipated future employees or students working on this project who will interact with human subjects or with identifiable subject data? **Yes** **No**. If Yes, please state that you understand that such personnel must complete the University's training program before they may interact with subjects or identifiable subject data.

I understand that any future employees to work on this project will need to complete the University's training program before they may interact with subjects or identifiable subject data.

- c. Are there or will there be any third party contractors or subcontractors or collaborating institutions working on this project whose personnel will interact with human subjects or with identifiable subject data? **Yes** **No**. If Yes, please append the appropriate training certification information from that entity.

Please note that the IRP **will not approve** this study unless all proper training is completed or certifications are received.

18. Include the signature of the Investigator(s) and the date. Also include the advisor's signature, if applicable

Signatures: Filiz Garip GS

Princeton University
Institutional Review Panel for Human Subjects
Questionnaire A

Student Investigator
Date:

Paul DiMaggio
Faculty Advisor
Date:

Sara Curran
Faculty Advisor
Date:

Checklist for Submission

Please be sure that you have submitted all of the following, whenever appropriate.

- Contact information for all participating investigators
- Consent forms that include a description of the research
- Debriefing forms, if needed
- Complete Questionnaire or interview protocol and recruitment letters (in English if research is being conducted in a foreign country)
- IRB approvals
- Certificate of Human Subjects training
- Secure storage of data
- Secure storage of consent forms, separately from data
- Signatures

REFERENCES:

- Chamrathirong, Aphichat, Kritaya Archavanitkul, Kerry Richter, Philip Guest, Thongthai Varachai, Wathinee Boonchalaksi, Nittaya Piriathamwong, and Panee Vong-ek. 1995. *National Migration Survey of Thailand*. Bangkok, Thailand: Institute for Population and Social Research, Mahidol University.
- Massey, D. S., J. Arango, G. Hugo, A. Kouaouci, A. Pellegrino, and J. E. Taylor. 1997. *Worlds in Motion: Understanding International Migration at the End of the Millenium*. New York: Oxford University.
- Massey, D., L. Goldring and J. Durand. 1994. "Continuities in Transnational Migration: An Analysis of Nineteen Mexican Communities." *American Journal of Sociology* 99:1492-533.
- Morgan, D. L. 1998. *Focus Group Guidebook*. Sage Publications: Thousand Oaks, CA.
- Reardon, T. 1997. "Using Evidence of Household Income Diversification to Inform Study of the Rural Nonfarm Labor Market in Africa." *World Development* 25(5): 735-747.
- Short, S. 2005. "Focus Group Interviews." Forthcoming in *A Handbook for Social Science Field Research: Essays and Bibliographic Sources on Research Design, Methodology, and Fieldwork*, Eds. E. Perecman and S. Curran.
- Williamson, J.G. 1988. "Migration and Urbanization." In H. Chenery and T.N. Srinivisan (Eds.) *Handbook of Development Economics Vol.1*. Amsterdam: North Holland/Elsevier Publishers.

APPENDIX:

QUESTIONS FOR VILLAGE HEADMEN INTERVIEWS

Background:

1. How long have you been living in this village? When did you become the headman?
2. Can you tell us a little about the history of this village? When did migration first start? How did it evolve?
3. How many households live here? How many households send migrants?
4. Have you ever been a migrant? When and where have you migrated? Has anyone else migrated in your household?

Migration Patterns:

5. What kind of jobs do men and women do in households? Why do people migrate? Do men and women migrate for similar reasons?
6. Do migrants eventually return to village? Is there a difference between men and women? What are the reasons for returning?
7. Do prior migrants help people in the village who want to migrate? How? Why? Is this more common for men or women? (*Possible Detour:* What happens if a migrant refuses to help other villagers migrate?)

Remittance Patterns:

8. Do migrants send money or goods to their households? How often? How do they send these goods? Is there a difference between men and women? How do you know this?
9. Do migrants send money or goods to temples or any other institutions? How do they send these goods? Is there a difference between men and women? How do you know this?
10. If migrants send money to village temple, how does this change their status in the village? (e.g., How are they treated when they visit?)

Village Development:

11. Could you tell us about banks, schools and factories in the village? When were these institutions established? Did migrants have anything to do with their establishment?
12. Overall, how did the community change since migration first started? Do you think the village is better off with migration and remittances? How?
13. What kind of changes would you suggest to better use remittances in this village? (or, to attract more remittances from migrants?)
14. We wanted you to help us evaluate the changes caused in this village due to resources provided by migrants. Is there anything we missed? Is there anything you would like to say that you did not get a chance to say?

QUESTIONS FOR FOCUS GROUP INTERVIEWS
Migrant Household Members and Return Migrants

1. (Opening) Tell us your name, and your relationship to the migrant(s) in your household.
2. (Introductory) Why do you think people migrate? Are there typical economic or family reasons? Who decides who will migrate in a household? (*Possible detour*: If someone decides to migrate, but the household does not agree, what happens?)
3. (Introductory) Is becoming a migrant important to be considered an adult? Has it always been like this? Is it more important for men or women? If someone is not a migrant, what happens? (e.g., Does he or she have difficulty getting married?)
4. (Transition) How does the division of housework, farm work or care giving change in a household when a man or a woman migrates? (e.g., Who takes care of migrants' children? Who supervises migrants' local affairs? Who does the housework? Who does the farm work?)
5. (Transition) How do household members communicate with migrants? How often? If a migrant gets out of touch, what happens?
6. (Key) How often in a year do migrants visit? For how long do they typically stay? Is this the same for men and women? What do they do during these visits? What do household members do during these visits? (e.g., Are there celebrations?) How do you feel during these visits?
7. (Key) What kind of goods do migrants send? How often? How do they send these goods? Do men and women send similar things? Do they send any special gifts? What do these special gifts mean?
8. (Key) If migrants send money to their households, to whom do they send it to? Who in the household decides on how to spend it? Does it matter if the money is from a man or a woman migrant? Is this money saved for specific purposes?
9. (Key) Do households also send money or goods to migrants? What kind of goods? Why?
10. (Key) Say in a household, a migrant stops sending money or goods. What would the other household members do? Would they mention it to others in the village? What would people think? What does this mean for the relationship between the migrant and the household members?
11. (Key) Do you think goods or money sent back by migrants makes a household better off socially and economically? (e.g., Are the household members better respected? Do they have more say in village affairs?) What kind of opportunities do these resources provide?
12. (Key) Think about households that do not have migrants. How are they affected by remittances that other households receive? Do they eventually decide to send migrants as well? (If yes, do they send men or women? Why?)
13. (Ending) Do you have banks, factories or schools established in this village in the last ten years? Do you think these have anything to do with the goods or money sent back by migrants? Do you think the village in general is better off because of migration and migrants leaving the village?

Princeton University
Institutional Review Panel for Human Subjects
Questionnaire A

14. (Ending) What kind of changes would you suggest to better use remittances in a household or a community? How could this village attract more remittances from migrants? (e.g., Would having a bank or other channels for sending and receiving money/goods help?)
15. (Ending) We wanted you to help us evaluate the changes caused in your household and village due to resources provided by migrants. Is there anything we missed? Is there anything you would like to say that you did not get a chance to say?

SCREENING QUESTIONNAIRE FOR RECRUITMENT

Creating a snowball sample – Questions for village headmen and recruited households:

1. Do you know any households that have migrants in Bangkok, Eastern Seaboard (urban destinations) or Northeastern region (rural destination)? Are migrants men or women? How old are they? How long have they been away?
2. Do you know any migrants in Bangkok, Eastern Seaboard (urban destinations) or Northeastern region (rural destination) who are currently in the village? Are these migrants men or women? How old are they? How long have they been away?

Screening migrant sending households:

3. Are there any migrants from this household in Bangkok, Eastern Seaboard or Northeastern region? Are they men or women? How old are they? How long have they been away?

Screening migrants:

4. Are there any migrant from this household in Bangkok, Eastern Seaboard or Northeastern region, and who are currently in the village? Are they men or women? How old are they? How long have they been away?

Note: I am asking about migrants' age, sex, destination and duration of migration, because I want to make sure that the focus groups are diverse in terms of these characteristics.