COMMITTEE ON THE USE OF HUMAN SUBJECTS
Request for Approval of Human Subjects Research*
(Microsoft Word version only)

Directions:

1. Download this form into Microsoft Word. Place cursor on the gray boxes and type. Box size will expand as you type.

2. **FOR STUDENTS**: You must have your faculty sponsor sign a paper copy of the application or email a note that s/he has reviewed the completed application and is satisfied with the adequacy of the proposed research design and the measures proposed for the protection of human subjects.

3. Return the completed application as an attachment to: cuhs@fas.harvard.edu or mail to:
   Committee on the Use of Human Subjects
   FAS Research Administration Services
   50 Church St. Fifth Floor
   Cambridge, Massachusetts 02138

   Telephone: (617) 496-CUHS; fax: 496-7400.

   Any of the required attachments not available electronically must be sent or delivered to the Committee Office.

   Thank you!

* Note: There are three IRBs at Harvard University:

Office for Research Subject Protection
Harvard Medical School
Gordon Hall, 25 Shattuck Street
Boston, Massachusetts 02115
(617) 432-3192

Human Subjects Committee
Harvard School of Public Health
1613 Tremont Street, Boston, MA 02120
Phone: (617) 384-5480
Fax: (617) 384-5484
hsc@hsph.harvard.edu

If in doubt as to the proper Committee to review your project, please consult with one of our offices.

HARVARD UNIVERSITY
COMMITTEE ON THE USE OF HUMAN SUBJECTS
Request for Approval of Human Subjects Research

FROM: ***(name, campus address)***

Filiz Garip, 644 William James Hall, 33 Kirkland St., Cambridge, MA 02138

TELEPHONE: 617-496-5351

E-MAIL: fgarip@wjh.harvard.edu

PROJECT TITLE: Internal Migration, Remittances and Development in Thailand

ANTICIPATED FUNDING SOURCE: ***(include grant or contract number if known)****:*

FACULTY SPONSOR'S NAME: ***(for non-faculty applicants)***

(Supervising lecturer, instructor or graduate student:)

SPONSOR'S E-MAIL ADDRESS:

DURATION OF ENTIRE PROJECT:

from 09/15/ 2007 **to** 09/15/2010.

APPROVAL REQUESTED FOR: ***(maximum one year; must be renewed annually)***

from 09/15/2007 **to** 09/15/2008.

1. Please give a brief summary of the purpose of the research in non-technical language. Be sure to include a statement of the research problem and how your project will address it. Cite two or three references directly relevant to the proposed inquiry.

The purpose of this research project is to explain the differential migration, remittance, and development patterns in 22 rural communities in Thailand from 1984 to 2000. During this period, Thailand's economic base shifted from agriculture to export processing, and migration took on added significance in Thai livelihoods. Due to the rapidity of economic and social change, Thailand provides an interesting setting to observe the maturation of migration streams, accumulation of migrant remittances, and initiation of development dynamics in sending communities.

While abundant empirical evidence in the migration literature demonstrates how the accumulation of information within migrant networks facilitates the migration process (Davis, Stecklov, and Winters 2002; Massey and García-España 1987), the consequences of these dynamics for remittance patterns and development outcomes in origin communities remain indeterminate. This ambiguity stems from data and theoretical limitations.

The objective of this study is to overcome these limitations and understand the causal mechanisms that link two disparate strands of migration research, namely, migrant networks and community development,

by demonstrating, in the context of Thailand, how: (1) the structure of migrant networks and the distribution of migrant social capital affect migration and remittance patterns, (2) migration and remittance patterns influence the level and distribution of resources in origin communities, and, (3) cumulative migration and remittance patterns over time generate development outcomes for origin communities

This project will provide an extensive analysis of the migration and remittance patterns in Thailand, potentially generating unique insights for policy makers. The findings may also provide useful insights for many regions of the world, where rural to urban migration forms the greatest demographic challenge.

To meet the objectives of this project, I will use the already-existing Nang Rong survey data, which have been collected jointly by the University of North Carolina and Mahidol University in Thailand. Nang Rong is a relatively poor district in Northeastern Thailand, a poor region characterized by high fertility and limited land availability for future development. The survey captures the period from 1984 to 2000, when Thailand's economy shifted from agriculture to manufacturing, propelling the migration from rural areas to Bangkok and other urban destinations. The data set contains information about villages, households, and individuals that allows me to test hypotheses about migration and remittance flows as they relate to social networks, individual and household characteristics, as well as village level economic, demographic and cultural factors. (In other words, I will be doing secondary data analysis only.)

The Nang Rong Data is distributed by the Carolina Population Center (CPC) of the University of North Carolina (UNC). The Nang Rong data contain no sensitive or stigmatizing information; no recording of any illegal behavior; and no prisoner data.

References:
Davis, B., G. Stecklov, and P. Winters. 2002. "Domestic and International Migration from Rural Mexico: Disaggregating the Effects of Network Structure and Composition," Population Studies 56:291-309.

Massey, D. and F. García-Espańa. 1987. 'The Social Process of International Migration," Science 237:733-38.

2. Give details of procedures that relate to subjects' participation.
(a) How are subjects recruited? What inducement is offered? ***(Append copy of letter or advertisement or poster, if any.)***

Not applicable - Secondary data analysis.

(b) Salient characteristics of subjects--number who will participate, age range, sex, institutional affiliation, other special criteria:

Not applicable.

(c) Describe how permission has been obtained from cooperating institution(s)--school, hospital, corporation, prison, or other relevant organization. ***(Append letters.)*** **Is the approval of another Institutional Review Board required?**

Not applicable.

(d) What do subjects do, or what is done to them, or what information is gathered? ***(Append copies of instructions, tests, questionnaires, or interview guides to be used.)*** **How many times will observations, tests, etc., be conducted? How long will their participation take? Are interviews to be tape recorded or videotaped?**

Not applicable.

3. Cite your experience with this kind of research and/or this population. List any assistants who will be working with you, and cite their experience also.

My access to this data set as a graduate student has been previously approved by Princeton University's IRP (Human Subjects Protocol B467 on January 8th, 2004) as part of my dissertation advisor Sara Curran's research team.

4. How do you explain the research to subjects and obtain their informed consent to participate? ***(Append a copy of consent form, information sheet, or script to be used.)*** **If subjects are minors, mentally infirm, or otherwise not legally competent to consent to participation, how is their assent obtained and from whom is proxy consent obtained? How is it made clear to subjects that they can quit the study at any time?**

Not applicable.

5. Give details of possible risks of harm to participants.
(a) Are the risks necessary?

Not applicable - Secondary data analysis.

(b) What are the possible risks—physical, psychological, legal, social?

Because the proposed research only involves secondary analysis of existing data, the only risks to subjects are from breach of confidentiality. The security measures I will take to minimize this risk are outlined in the answers to questions 8 &9 on this form.

(c) What steps will be taken to minimize the risk*?*

Not applicable.

(d) Should a subject be injured or otherwise harmed, or experience significant distress, what are your plans for addressing the problem? ***(e.g., emergency care training for lab staff if physical harm is a risk; referral for evaluation or treatment if there are significant psychological risks)***

Not applicable.

If risks are anticipated to be no more than minimal, please so state here and in the consent form, if used.

6. Are subjects deliberately deceived in any way? If so, what is the nature of the deception? Is it likely to be significant to subjects? Is there any other way to conduct the research that would not involve deception, and, if so, why have you not chosen that alternative? What explanation for the deception do you give to subjects following their participation?

No.

7. How will participation in this research benefit subjects? If subjects will be "debriefed" or receive information about the research project following its conclusion, how do you ensure the educational value of the process? ***(Include copies of any debriefing or educational materials.)***

Not applicable.

8. How are confidentiality and/or anonymity assured? At what stage are identifiers removed from the data? If identifiers must be retained, please explain why.

There are linked identifiers for the Nang Rong data. However, I will not have access to these links and pledge not to seek access now or in the future. There are two levels of "link security." In Thailand,

there is a table linking subject identification numbers with actual persons. However, these IDs, which I'll refer to as Thailand subject IDs, are NOT the IDs provided by the Carolina Population Center (CPC) in the Nang Rong data set. Rather, the CPC has created IDs unrelated to these original Thailand IDs, which I'll refer to as the CPC IDs. The table that links the CPC IDs to the Thailand IDs are at the CPC at the University of North Carolina in a secure computer and is accessible only by the Nang Rong data analyst. I do not and will not have access to these ID codes.

There are no direct identifiers in the data set at the level of the household or the individual. There is geographic information in this data set that allows the identification of villages. This information is necessary to study the spatial characteristics of migration. I will not identify any villages in any publications.

Second, deductive disclosure of individuals is possible if a person is demographically unusual (e.g., is the only person in a village with a college education). Yet, these risks are minimized through compliance with the Carolina Population Center requirements including

a. That the data will be used solely for statistical analyses, and that no attempt will be made to identify individual respondents, households or villages, nor will any listing of the data at the individual, family or village level be published or otherwise distributed.

b. To avoid inadvertent disclosure of persons, families, or households by using the following guidelines in the release of statistics derived from the dataset.

i. In no table should all cases in any row or column be found in a single cell.

ii. In no case should the total figure for a row or column of a cross-tabulation be fewer than three.

iii. In no case should a quantity figure be based upon fewer than three cases.

iv. In no case should a quantity figure be published if one case contributes more than 60 percent of the amount.

v. In no case should data on an identifiable case, nor any of the kinds of data listed in preceding items i - iii, be derivable through subtraction or other calculation from the combination of tables released.

c. Data released should never permit disclosure when used in combination with other known data.

d. That no persons other than those identified in the agreement with CPC, or in subsequent amendments to this agreement, as Investigator or Research Staff, be permitted access to the contents of sensitive data files. (Please refer to the Attachment A of contract signed with CPC for further rules regulating my access to the data, which is attached to this application.)

Third, and finally, the information in the data set is not sensitive; indeed most of it is "public" to those who know the subjects (e.g., whether there is indoor plumbing in the house). Hence, the damage that might be done from a highly unlikely breach of confidentiality is relatively minimal, although to be avoided nonetheless.

9. Will research data *(written or otherwise recorded)* be destroyed at the end of the study? If not, where and in what format and for how long will they be stored? To what uses--research, demonstration, public performance, archiving--might they be put in future? How will subjects' permission for further use of their data be obtained?

The data set currently will reside at a secure terminal server at the Department of Sociology. All work on this data set will be stored in subdirectories of the Nang Rong directory. I will create a strong password for my login, which will be kept confidential. All of the data analysis will be performed on this server which I will access through my desktop computer located in my office at 644 William James Hall. No one else will have access to my computer, nor to my login password.

As part of the data security plan with the Carolina Population Center (CPC) of the University of North Carolina, all files in the Nang Rong directory are encrypted. A secure erasure program is run

monthly that erases deleted files so that they cannot be recovered. As per the CPC's requirement, all data extraction files made by users for their analyses are erased four times a year; and the Nang Rong data and all data extraction files are excluded from backup procedures. For details of the data storage plan, please see the attached security agreement with the CPC (Attachment A).

APPLICANT'S SIGNATURE _____

DATE 08/30/2007

(for non-faculty applicants)

I have reviewed this completed application and I am satisfied with the adequacy of the proposed research design and the measures proposed for the protection of human subjects.

FACULTY SPONSOR'S SIGNATURE _____

ATTACHMENTS:

- Recruitment letter, poster, ad
- Written consent form, information sheet, or script
- Subject instructions
- Tests or questionnaires
- Interview guides
- Debriefing materials
- Other institutional approval
- Other Agreement for the Use of Sensitive Data from the Carolina Population Center (Attachment A explains the sensitive data security plan.
- _____