

Transnationalism and Remittances: A Tale of Two Cities

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*When you come to visit,
said a teacher
from the suburban school,
don't forget to wear
your native costume.*

*But I'm a lawyer,
I said.
My native costume
is a pinstriped suit.*

*You know, the teacher said,
a Puerto Rican costume.*

*Like a guayabera?
The shirt? I said.
But it's February.*

*The children want to see
a native costume,
the teacher said.*

*So I went
to the suburban school,
embroidered guayabera
short sleeved shirt
over a turtleneck,
and said, Look kids,
cultural adaptation.*

--"Native Costume" by Martin Espada

ABSTRACT

Recent journalistic accounts have highlighted Reading, Pennsylvania as a new destination for Dominican immigrants, who are said to move there from New York City upon accumulating enough capital to buy a home. Using information collected from a telephone survey of the New York metropolitan area and the city of Reading, PA, the author will make conclusions about the connections that Spanish-speaking immigrants and their offspring maintain with their countries of origin, and about how those connections fare as immigrants accumulate social and financial capital in the United States. “Transnationalism” and “transnational participation” are conceptualized here as the phenomena of migrants who continue to participate, through economic remittances, travel, and several other practices, in the life of their countries of origin. The study will illustrate interrelationships between time in the US, salary earned, national origin, rurality of place of immigrant origin, location of settlement in the US, gender, previous place of residence in the US, and transnational participation.

INTRODUCTION

In Appalachian mountain region of the United States where I pursued my undergraduate education, people say that “you can take the boy out of Appalachia, but you can’t take the Appalachia out of the boy.” Of course, variations on the cliché abound. City dwellers may say that you can take a person out of the city, but you can’t take the city out of the person, or New Yorkers may formulate a similar phrase to indicate that they are New Yorkers wherever they may go. I left my heart in San Francisco, but San Francisco most certainly left a part of itself inside my remaining viscera.

“Transnationalism” is a concept that scholars of migration, international development, and ethnicity are using lately to describe how immigrants continue to participate in the economic, political, and sociocultural lives of the countries from which they emigrate, even as they integrate themselves into the life of the country to which they have migrated. The current work proposes to study transnationalism as a part of the experiences of Spanish speaking immigrants and their offspring in New York and Reading, PA. It will examine levels of “transnational participation”-- here conceived as frequency of economic remittances, value of economic remittances, and return travel-- as they relate to the migrant’s (the *tranmigrant’s*) motivations for participation, national origin, length of residence in the United States, city of residence in the United States, and kinship relation to people living in a country of origin.

The inspiration for this work is a recent article in the *New York Times* that detailed how a small town outside of Philadelphia, PA is developing a strong community of Dominican¹ immigrants and their descendents (2006). The *Times* article implies that most of the new arrivals in Reading, PA are Dominicans who have already done well for themselves in the immigrant

¹ “Dominicans” here refers to people from the Dominican Republic, a country on the island of Hispaniola, not people from the small Antilles country of Dominica.

community in New York City. The study posits that there are relationships between wealth, time in country, national origin, and transnational participation. It also assumes that migrant groups settle geographically based on a chain of migration by which immigrants first move to one community, and, when they become more prosperous, they often move to a second place. Finally, the study seeks to provide a portrait of the group of migrants to Reading, PA that the *Times* highlights-- does their level of connection to their homeland(s) differ from the level of connection of the Latin@s that were there before, or those that remain in New York?

LITERATURE REVIEW

Conceptualizing Transnationalism

At one time, I lived and worked in an area of the Dominican Republic where a lot of Haitian immigrants had settled in order to work as cane cutters. One day, I overheard an elderly shopkeeper ask a young girl, the descendent of three Haitian grandparents and one Dominican grandfather, what her nationality was. The girl spoke Haitian kreyol, and I had seen her and her brothers help her mother hold parties for the vodun saints, marks of a strong Haitian identity in the community I shared with her family. To the shopkeeper's question, the girl replied that she was Haitian, but the shopkeeper was quick to contradict her. He said, "Your grandfather was Dominican, and your parents were born here. That means that you are at least two-thirds Dominican." More accurately, perhaps, the girl's identity could be parceled out into a mathematical absurdity: she is one hundred percent Dominican and Haitian, all at the same time, all the time.

This young girl's two-hundred percent nationality, what Schiller (1999) calls "simultaneity," is a common proportion for nationality for a lot of immigrants. An immigrant whose nationality is proportioned this way has one foot firmly planted in the cultural and economic world of each

of two countries. Instead of leaving home, never to return, and slowly assimilating to the receiving country, the migrant, conceived as a “transmigrant,” serves as a two-way of conduit for social, cultural, and fiscal capital. He or she continues to participate in the life of country of origin even as he or she is physically absent.

Robert Courtney Smith (2006) gives a much more startling story.

“The water pipes have come in!” Don Emilano tells me and the members of the Ticuani Solidarity Committee with excitement. Months of work are paying off for Ticuani. Committee members explain to me again how the old one-inch pipes cannot handle the pressure needed to pump water to distant parts of the growing *municipio*, and how the committee and the municipal government are working together to install three-inch pipes. The committee members are going to inspect the new pipes, which they tell me are plastic and will not corrode like the old ones. “We will be able to shower any time of day or night,” says one committee member, “and plant trees right in our backyard and water them without any trouble, too. It will make life better in Ticuani..”

This story is startling because it takes place not on just any ordinary day in Ticuani, Mexico, but on a Friday in the bustle of New York’s John F. Kennedy airport. The committee members, some of whom have lived and worked in the US for multiple decades, are about to spend a weekend in Ticuani, their city of birth, inspecting the half-million dollar project that they have funded. These Ticuani men will be back at their jobs in New York on Monday.

In the past, those who studied international migration conceptualized their subject as a one-way street that delivered migrants from a first country, called the sending country, into a second country, called the receiving country. Migration for such scholars was a linear narrative, a neat story that started someplace and ended in another. They studied how immigrants affected and were affected by the receiving country or else studied why emigrants left and what effect their absence had on the sending country. Given the plain story of migration that interested these researchers, they did not do both at the same time. The assumptions behind these sorts of studies were that immigrants left a sending country for good in favor of the recipient country, and once

they arrived in the recipient country, they no longer participated in the life of the sending country. As Levitt explains, migration theory “treated migrants as individuals who either departed (emigrants) or arrived (immigrants).”

Within the past twenty years, a period that several writers date from Glick Schiller, Basch, and Blanc-Szanton’s (1992) work, migration scholars have shown that these assumptions, even if valid before, do not adequately explain the contemporary scope and effects of international migration. In order to speak more accurately about the phenomena connected with migration, researchers have adopted the concept of “transnationalism.” Glick Schiller, Basch, and Blanc-Szanton defined transnationalism as “the processes by which immigrants forge and sustain multi-stranded social relations that link together their societies of origin and settlement.” While the former ideas about migration were formed in relation to, and even “in service to,” the nation-state (Levitt 2004), the new conceptualization studies how migrants and their relationship function in a “transnational field” (Itzigsohn, Cabral, Medina, and Vazquez 1999) that develops despite national borders. Put another way, transnationalism is the idea that changes in technology and society over the past several decades make a linear narrative of migration obsolete, for now immigrants may participate in a discourse of nationality and ethnic identity that transcends the physical boundaries of individual nation-states.

This shouldn’t be a surprising idea since many parts of society transcend the boundaries of sovereign states, and social scientists’ recent theorizing about a variety of issues outside of migration-- including, for example modernity and development (Wallerstein 2004) and the impact of American nationalism globally (Grewal 2005)-- is similarly unbounded. Analogously, large commercial enterprises are often called multinational or transnational corporations precisely because their activities are carried internationally, moving financial, social and human

capital worldwide in search of profit; if anything, they succeed in spite of national borders and the power of the State. Transnational immigrants move human, social, and financial capital across national borders to achieve their objectives, which often have to do with capital accumulation, in a way that in many ways parallels the transnational practices of large corporations. Itzigohn, Cabral, Medina and Vazquez argue that “transnationalism is a product of the present conditions of global capitalism and the type of relations between labor and capital that it creates” (1999). Portes (1996) smirkingly says that “transnationalism is labor’s response to global capital.”

Portes, Guaranizo, and Landolt (1999) hold that while migrations of people have always occurred, transnationalism has developed at this time because technology is available that allows relationships to be maintained despite distance. These technologies include jet airline travel, the phone, the Internet, and international financial networks. Contemporary migrations, according to Portes, Guaranizo, and Landolt, are qualitatively different from prior migrations because these technologies allow migrants to continue routine and regular involvement with their places of origin. While previous immigrants may have matched the expectations of the sociologists of the time by arriving in a new place and permanently adapting, new immigrants cultivate transnational social and economic networks that allow them to continue to have an impact on their place of origin, even when they are absent. Again, the conditions that allow for corporations to move capital, plants, and jobs from country to country, are the same ones that allow for the emergence of transnational community (Portes 1996).

The importance of transnationalism

Generally, conceptualizing migration transnationally moves the analysis beyond those who migrate to include those who are connected to migrants (Levitt 2004). This expansion is

necessary to explain some of the effects of migration beyond the life of the individual migrant. These effects are widespread, and are a part of many peoples' everyday lives.

The remittances and other economic activity in which transmigrants engage have become central to the survival of millions of families in Latin American countries, and, indeed, to the economic survival those countries themselves. For many developing countries, remittances alone are double the size of official development aid and foreign investment combined (Levitt 2004). Remittances to Latin America in a recent year totaled \$45 billion (Orozco 2005). They remain the second largest source of foreign currency in Latin American and Caribbean nations (Duany 2005). In the Dominican Republic, the country of origin for many of the migrants in this study, remittances in 2003 amounted to more than 130 times the sum of all official development aid, and 7.5 times the amount of all foreign investment inflow (US Government Accounting Office (GAO) 2006). In addition to their sheer quantity, development advocates believe that remittances reach the neediest of the poor, something that official development efforts rarely do (Levitt 2004).

There are other economic transnational practices. In 2002, when the government of the Dominican Republic ran out of money, it financed its public projects by selling bonds to Dominicans living in New York, appealing strongly to their feelings of belonging to "the Dominican family." Guarnizo and Diaz (1999) remark on the number of small businesses, like neighborhood stores, discos, and bars, that are run in Colombia by Colombians living in the United States, a pattern repeated elsewhere and also commented on by Itzigohn, Cabral, Medina, and Vazquez (1999).

Schiller and Fouron (1999) claim that transnationalism shows that the State is expanding beyond geographic boundaries. Echoing the original formulation of transnationalism in Glick

Schiller, Basch, and Blanc-Szanton (1992), Schiller and Fouron state that “transnational migration is a pattern of migration in which persons, although they move across international borders, settle and establish ongoing social connections within the polity from which they originated.” Migrants feel that they are a part of the country that they left, that their help is needed, and that their opinion is important. They join country-of-origin political parties, and political leaders from those countries seek out their advice (Itzigsohn, Cabral, Medina, and Vazquez 1999).

Other countries include migrants in their regular, formal, political practices. Dominican citizens in New York elect a representative to the Dominican national legislature, and Mexican nationals in the United States voted in their country’s 2006 presidential election. Mexico and the Dominican Republic are only two of a growing list of countries that promote absentee balloting amongst their emigrants (Wucker 2004).

Migrants do live in two worlds. They maintain national identities once they leave: for example, there are almost as many Puerto Ricans in the mainland United States as there are on the island itself (Duany 2005). If the President of the Dominican Republic was raised in the United States (he was), who is he, culturally? The best-selling dance form on the radio in Latin America and in the United States is reggaeton, which combines a Panamanian reggae beat with American-origin rap. This is not, as Levitt (2001) points out, simply a matter of cultural diffusion; there are new cultural forms and forms of identity that relate to a transnational culture.

How to measure transnationalism

As hinted at in the previous section, published work about transnationalism focuses on three different aspects of the phenomenon. Loosely speaking, these are economic transnationalism, political transnationalism, and sociocultural transnationalism. All of these approaches attempt

to examine what Glick Schiller, Basch, and Blanc-Szanton in 1992 seminally defined as “the processes by which immigrants forge and sustain multi-stranded social relations that link together their societies of origin and settlement,” but each examines a different “strand.”

Economic transnationalism examines the economic ties that transmigrants maintain with the sending society, including what Orozco (2005) calls the “five Ts”: family remittance transfers, trade in goods that reinforce national identity, transportation to and from the sending society, telecommunication use to keep in touch with home, and tourism to the sending society. Political transnationalism, exemplified by Glick Schiller and Fouron (1999), attempts to show how new discourses of nationality connected with migrants transcend borders and challenge the common notions of the bounded sovereign nation-state. Sociocultural transnationalism, exemplified by Peggy Levitt’s work, studies “the ideas, behaviors, identities, and social capital that flow from receiving to sending-country communities” and vice-versa (1996; 2001).

For the purposes of the current study, I am using a conceptualization of transnationalism that primarily examines economic ties. While my overarching personal interest is primarily on the construction of the migrant’s identity in a transnational field, the quantitative methodology to be used for this study lends itself to events like travel and remittances that can be counted. By contrast, the work of those who study the other strands is often qualitative; it uses in depth field interviews to understand the migrants’ experiences.

Duany (2005) asserts that “scholars have deemed remittances as one of the strongest transnational economic links between migrant sending and receiving communities,” and this opinion is echoed elsewhere, especially in Orozco, de la Garza, and Baraona (1998). I will use remittances, along with visits, phone calls, and property ownership in the sending society, in

order to quantify the connections that migrants and their offspring maintain with their countries of origin.¹

Predictions in the literature about relationship between independent and dependent variables

In Duany's study of Dominican and Puerto Rican remittance senders (2005), the "average" sender is a middle aged, married Dominican with nine years of education. He notes that Dominicans transfer more than five times the volume of money that Puerto Ricans do, and in fact other studies bear out that the Dominican Republic is the highest per-capita senders of remittances in Latin America. In Duany's study, the average remittance amount from a Dominican was \$189, while the average amount from a Puerto Rican was \$113. The amount and frequency of remittances from Puerto Ricans who had stayed in the United States for longer periods of time were greater. He emphasizes that remittance senders are more likely to have a family member abroad than are non-remitters.

Portes (1999) details the following relationship between national origin and transnational participation:

- a. If immigration is the result of a mass exodus in response to political events, transnational participation is more likely because adversity fosters group solidarity.
- b. If the immigrant's life in the sending community is embedded in a set of strong ethnic or family ties, s/he is more likely to be a part of transnational activities than is a person who was isolated before s/he left. This sort of embeddedness may be more likely for people of rural extraction.
- c. The greater the extent of discrimination and hostility that a groups members face in the receiving society, the more likely its members are to maintain a transnational identity. This identity helps them survive with dignity and self-worth despite the hostility.
- d. Immigrants from countries whose governments have policies encouraging remittances and involvement generally remit more.

Canales (2005) examines the sort of Mexican households that are most likely to receive remittances. He especially points out that the relationship of the recipient to the sender is not necessarily that of close family.

Bendixen and Associates, in conjunction with the Pew Hispanic Center, the Multilateral Investment Fund (MIF), and the Inter-American Development Bank (IDB), has produced two studies about remittances from the United States to Latin America focusing on strategies for improving financial services for migrants so that larger amounts of remittances arrive in the developing world after service fees (Bendixen and Associates, Multilateral Investment Fund, and Inter-American Development Bank 2001; 2004). Their 2001 study showed that 69% of all immigrants send remittances, with a mean remittance amount of \$200. A higher percentage of men (73%) than women (64%) sent money. A higher percentage of noncitizens (75%) sent money than did citizens (25%). Migrants 34 years of age or younger were much more likely to send remittances than were their older peers. Those earning less than \$20,000 a year were also more likely to send. Most of those who remitted funds did so once a month. A state-by-state graphic showed that at least 70% of adult immigrants in New York and Pennsylvania sent money home. The same group reproduced their study in 2004 with similar results.

Based on these studies, my one can assume that youth, Dominican national origin, being born outside the United States, being darker skinned, coming from a rural household in the sending country, having a close relative outside the US, and earning relatively little would be correlated with high levels of transnational participation.

DATA AND METHODS

Hypotheses

Overall, this study seeks to measure transnationalism and the immigrant's career in the United States. There are eight hypotheses of this study.

1. As immigrants and their offspring spend more time in the United States, the frequency and economic value of their participation in the political and economic life of their countries of origin (or their parents' country or countries of origin) decreases compared to those who have spent less time in the United States
2. The greater the monthly salary or wage that an immigrant or his/her offspring earn, the less frequently s/he engages in transnational practices
3. Transnational participation varies by country of origin. Quantitatively, Dominicans remit more money per capita than other groups.
4. Immigrants who emigrate from rural areas are more likely to send money, and they do so more frequently than either non-immigrants
5. Among some national identities, there is a significant difference in the level of transnational participation based on the location of residence within the United States. Specifically, Dominicans in New York engage in more transnational participation than do Dominicans in Reading, PA.
6. In Reading, PA, Dominicans who have moved to the community more recently are less likely, controlling for other factors, to engage in transnational participation, than are latino/as² of other national origins who have lived in Reading for longer
7. Immigrants of some nationalities in Reading, PA are more likely to have lived elsewhere in the United States than are immigrants of similar national origin who currently live in New York
8. Women remit savings more often than do men, but the total amount of their remittances is lower
9. Children of immigrants continue to participate in transnational activities, though at a lower rate than their parents.

For some of these hypotheses, there is no support in the literature. For others, information from different studies conflict.

Participants

Participants will be the Spanish speaking person in households with randomly selected phone numbers whose birthday most closely follows the date of the interview. We will screen to

² This is a gender-neutral term used throughout this paper; sometimes "latin@s" is

make sure that the person is a Spanish speaker, but people who are neither immigrants nor immigrants' offspring will be included in the study.

Deciding to limit the participants to Spanish speakers is entirely arbitrary. Alternatives include asking if there is anyone in the household who is an immigrant or immigrant's offspring, or else limiting the survey to people who consider themselves Latin@/Hispanic. Surveys show that Spanish speakers, Latin@s, and immigrants are sets of people that are only partially inclusive of each other (Pew Hispanic Center 2004, US Census Bureau, 2000).

Ultimately, I believe that since the current political climate about immigration makes questions about national origin sensitive, using such questions for screening would lead to a high refusal rate. Asking to speak with a Latin@ depends on respondent's self-identification with a term that is culturally bound to United States ideas of race and ethnicity. Spanish-speaking, on the other hand, is the most empirically observable. If interviewers can elicit a response when speaking Spanish, they will know that they are speaking to an eligible member of the sample. Nonimmigrant, nonimmigrant-offspring individuals can be kept in the sample, and the small amount of data collected from this minority part of the sample can be saved for later use.

Methodological strategy

The researcher and associates plan to conduct about 800 interviews in New York City and 400 in Reading, PA, for a total of near 1200 completed interviews. This high number will be needed in order to make the intragroup comparisons that are necessary to test the hypotheses. A random multistage clustering sample will be created using a modification of the random digit dialing (RDD) method described by Waksberg .

In the late 1970s, Waksberg improved on earlier telephone survey methods, some of which merely used published phone directories as sampling frames, and others of which used a pure

RDD technique. The most salient weaknesses of the former methods were that a large proportion of residential numbers in the United States phone network have always been unpublished, while the most important problem with pure random digit dialing—where each of the seven digits that follow the a selected three digit area code are chosen at random from the set $0,1,2,3,4,5,6,7,8,9^3$ —is inefficiency. The inefficiency of pure RDD results from the low proportion of working residential numbers (WRNs) to the total number of possible combinations, 9×10^6 , or nine million (NANPA). Czaja and Blair (Czaja and Blair 2004) determined this proportion to be, on average, only fifteen out of every hundred.

In order to improve the efficiency of RDD designs, Waksberg used a feature of the US phone numbering scheme to pick numbers that were more likely than purely random numbers to be WRNs. A ten-digit phone number can be divided into the first three digits from the left, called the area code, the fourth, fifth, and sixth digits from the left, called the prefix, the last four digits, called the suffix, and the last three digits, called the hundred-block. Waksberg noted that not only did the phone company tend to assign the first six digits of a ten digit number exclusively to one town or neighborhood, something others had figured out before, it also tended to assign suffix numbers sequentially to nearby customer for similar uses. As a practical consequence this means that if the phone company assigns a number, “404-378-1345,” to a residential customer, other phone numbers of the form 404-377-13xx are more likely to be residential numbers than are numbers picked at random.

³ In fact, previous to 1992, the North American Numbering Plan restricted the use of zeros so that only the second digit and the last four digits of a ten-digit number could contain the number zero. Today, the first and fourth digits of a ten-digit number may not be zero. Still, even with this restriction, the number of possible seven digit random numbers for any area code is a large number, 9×10^6 , or nine million.

Waksberg's method, then, was to first pick random numbers, and use the hundred-banks of those numbers that turned out to be working residential numbers as clusters. For example, if the randomized phone number 404-377-8677 turned out to be a working residential number, then, following Waksberg, one would form a number of other random numbers in that cluster, the hundred bank, by replacing the last two digits with randomized numbers from 00 to 99. This improved the efficiency of RDD significantly.

Soon thereafter, Blair and Czaja published a way to use this same strategy to efficiently find and sample small groups of people (1982). In rough terms, they noted that because of the way the phone company handed out numbers, hundred-blocks had the same homogenous tendencies that characterize US census tracts or residential blocks. To efficiently find and survey a group of people like the Spanish speakers in the current study, Blair and Czaja suggested that researchers identify what hundred-blocks contained at least one member of the group of interest, and then use these hundred-blocks as clusters. This made it possible to create multistage cluster designs that sampled groups in a manner disproportionate to their membership in the general population.

Variations on the method just outlined abound, but all variations use the ideas explained in the preceding paragraphs. The current study will use a multistage random digit dial sample constructed along these lines. Depending on the funding that the current research receives, I may be able to purchase a preselected sample from a commercial firm, or, as a less expensive but more labor intensive project, a list of hundred banks in the area-code-plus-prefixes that correspond to Reading, PA and New York City. If no money is available to pay commercial vendors, I will pursue construction of a sample from scratch using the method described by Blair and Czaja.

Measurement

The important variables in this work are listed below

a. National origin

This is self-explanatory. The only difference from a common notion of national origin is that people from “Puerto Rico,” an internal colony of the United States, will be measured as having a Puerto Rican national origin.

b. Time in the United States

Time in the United States will be measured in years. Time in the United States will also be computed as a percentage of the individual’s lifespan. This conceptualization is reliable for people who have spent all their lives in the United States, those who immigrated to the United States and never left, and those who have spent significant discontinuous periods of time outside of the United States. For some groups, it will under-represent the years that members have spent away from their country of origin.

c. Residence in the United States

One point of this study is to compare respondents who moved from New York City to the rest of the respondents. There are a series of questions that ask how long the respondent has lived at his/her current residence, and where s/he lived previously.

d. Wealth

This is conceived as a wage that the individual earns in a year

e. Membership in nationality based ethnic group

This is measured based on self-identification.

f. Transnational participation

Transnational participation is measured by rates, frequency, and recency of telecommunications, remittance transfers, and travel from the US to a country where the respondent or respondent’s parent(s) were born. Respondents will also have the

opportunity to define themselves as “Estadounidense” (person of United States national identity) or another national identity, and will answer whether they have property or businesses in the country/countries where they/their parent(s) were born.

g. Gender

In this study, men and women self-identify themselves as “Hembra” or “Varon”.

h. Age

Age is the respondent’s age as of his/her next birthday.

JUSTIFICATION OF METHODS

Designs for quantitative survey work must always balance generalizability and reliability on one hand versus cost on the other (Fowler 2001). Even though the 2000 Decennial Census identified about five percent of all US residents as immigrants from Latin America and ten percent of all US residents as Spanish speakers, Spanish speaking immigrants and their offspring are still a minority in the United States population (US Census Bureau 2000). Based on data from several studies (Bendixen and Associates, Multilateral Investment Fund, and Inter-American Development Bank 2001; Bendixen and Associates, Multilateral Investment Fund, and Inter-American Development Bank 2004; Inter-American Development Bank 2004; Orozco 2005; Pew Hispanic Center 2003; Pew Hispanic Center 2004), I predict that at least forty percent of the eligible respondents will have engaged in “transnational participation,” as it is described in this paper. The small percentage that these individuals represent out of the population of all United States residents makes it especially important to carefully consider what survey method will work best.

Self-administered mail or email methods can be rejected because there is no listing of the population from which a sample could be drawn. A multistage sample for such a self-administered mail survey could be produced by selecting census tracts and blocks, and then

sending a research associate (a “lister”) to enumerate the households and addresses on selected blocks; since Americans tend to live in ethnically homogeneous clusters, areas with more Spanish speakers could be oversampled. Unfortunately, this last approach has high labor costs compared to the proposed RDD sampling method.

Other detailed studies of remittances have focused on a small community, such as a city neighborhood that is populated by a large number of immigrants, or else have interviewed people in countries that send immigrants. The neighborhood strategy reduces costs and generalizability at the same time because neighborhoods are small and homogenous. For example, Washington Heights in New York City has more Dominicans and recent immigrants than the rest of the city, but can be surveyed relatively quickly. The country-of-origin strategy may, in some cases, reduce costs since many Latin American countries of origin are smaller than the United States. Country-of-origin studies have advantages in that the number of households that would have received remittances or been on the receiving end of transnational participation, but have several concurrent disadvantages. First, in many Latin American countries, rates of telephone ownership are far lower than in the United States, and postal services are less reliable; thus, costly in-person interviews are the norm for social research. Secondly, conducting research in one country-of-origin necessarily implies that relationships involving comparisons that use the nationality of the transmigrant as an independent variable cannot be made.

Given the shortcomings of other options, RDD surveys are the most popular methods for asking questions to broadly representative samples of Latino/as questions. For example, surveys by the Pew Hispanic Center use what amounts to list-assisted RDD (Pew Hispanic Center 2004). The first advantage of RDD is that, with near universal household phone coverage in the United States, the list of all possible phone numbers forms a natural frame for all households, even if no

other frame exists. The second advantage is that, unlike in-person surveys, there is no additional cost incurred for surveying a geographically diffuse sample. Finally, because of the relation of the phone structure to ethnically homogenous geographies, it is possible to use methods similar to what Pew Hispanic Center (2004) and Blair (1982) describe in order to target the population of interest to the study. Hence, the lack of frame aside from the telephone network for the population under study, the small to nonexistent additional cost of surveying a wide geographic area, and the ability to oversample are three reasons that RDD is the best way to conduct the research proposed here.

The main comparative disadvantage the telephone RDD approach has in this instance is that it will under-represent younger immigrants, more recently arrived immigrants, and those who have broken US immigration laws to be here. This is unfortunate, but the other possible survey design method, in-person surveys of a multistage cluster sample based on census data, would suffer from the same problem, and would cost significantly more to complete.

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APPENDICES

Survey Instrument⁴

key: INTERVIEWER INSTRUCTIONS Read to the respondent *substitutions/text variables NOT read*

use one interview sheet per interview.

put the time and the date that you started the interview below:

put the time and the date that you finished the interview in the box provided at the end

¡Muchísimas Gracias!

A: Introduction

1. Hi. I'm conducting a survey of Spanish speakers for the University of Fulano de Tal. My name is STATE YOUR NAME. We're trying to figure out how immigrant Spanish speakers and their offspring in the city see themselves, and what connections they maintain to people outside the United States. Your household is one of a small number that have been chosen at random to participate.	
2. Is there a Spanish speaker over age 18 in the house?	1. Yes 2. No [IF NO, TERMINATE INTERVIEW]
3. I'd like to speak with the adult Spanish speaker in your house whose birthday will come up next. Who is that?	IF RESPONDENT IS THE FIRST PERSON WHO FIRST ANSWERED THE PHONE, CONTINUE AT LINE WAIT FOR RESPONDENT
4. Like I told [<i>you/the person who first picked up</i>] I'm conducting a survey of Spanish speakers for the University of Fulano de Tal. My name is STATE YOUR NAME. We're surveying Spanish speakers in the city to better understand how they see themselves, and what connections they maintain to people outside the United States.	
5. The survey takes about ten minutes, and is voluntary. Your cooperation will help us know more about the Spanish-language community in the city, but what you tell me will be kept confidential. Is this okay?	1. Yes 2. No IF YES, PROCEED TO 6

⁴ Interviewers will refuse to speak any other language than Spanish. This script will be translated.

	ELSE PROCEED TO 7.
6. When would be a better time to call you?	

B:Nacionalidad e inmigración

7. Thank you for agreeing to help. Now I'm going to ask you some questions about where you and your ancestors are from.

8. In which one of the following places were you born?

1. The United States	2. Puerto Rico	3. Canada
4. Dominican Republic	5. Mexico	6. Panama
7. Guatemala	10. El Salvador	12. Nicaragua
Other (SPECIFY) _____ --		

9. In which one of the following places was your mother born?

1. The United States	2. Puerto Rico	3. Canada
4. Dominican Republic	5. Mexico	6. Panama
7. Guatemala	10. El Salvador	12. Nicaragua
Other (SPECIFY) _____ --		

10. In which one of the following places was your father born?

1. The United States	2. Puerto Rico	3. Canada
4. Dominican Republic	5. Mexico	6. Panama
7. Guatemala	10. El Salvador	12. Nicaragua
Other (SPECIFY) _____ --		

IF THE RESPONDENT WAS BORN IN THE UNITED STATES OF PARENTS WHO WERE BORN IN THE UNITED STATES, SKIP TO 60
 IF THE RESPONDENT WAS BORN IN THE UNITED STATES TO FOREIGN-BORN PARENTS OF THE SAME NATIONAL ORIGIN, SKIP TO 30
 IF THE RESPONDENT WAS BORN IN THE UNITED STATES TO FOREIGN-BORN PARENTS OF DIFFERENT NATIONAL ORIGINS, OR TO ONE NATIVE PARENT AND ONE FOREIGN-BORN

PARENT, SKIP TO 45 OTHERWISE, CONTINUE BELOW	
11. How old were you when you first immigrated to the US?	STATE A NUMBER OR 'DON'T KNOW'
12. Since that time, how many years in total have you spent in [<i>name of country/place where the respondent was born</i>]?	1.
13. How many years has it been since you last spent a year or more in [<i>name of country/place where the respondent was born</i>]?	2. Less than one year 3. One year to five years 4. Six years to ten years 5. Eleven years to twenty years 6. Twenty years or more 7. Never
14. When was the last time you visited [<i>name of country/place where the respondent was born</i>] for less than a year?	1. Less than one year 2. One year to five years 3. Six years to ten years 4. Eleven years to twenty years 5. Never IF LESS THAN ONE YEAR, SKIP TO QUESTION ELSE, GO TO QUESTION
15. How many times within the last year have you visited [<i>name of country/place where respondent was born</i>]?	WRITE A NUMBER
16. In what year did you first come to the United States?	WRITE A YEAR
17. How old were you when you came to the United States?	WRITE A YEAR
18. Before you first came to the United States, which of the following sorts of work did you do?	[CIRCLE ALL THAT APPLY] 1. Farming land owned by family 2. Farming land owned by others 3. Chiripero/Journalero 4. Trabajaba en oficina 5. Sold food in a market 6. Sold food in a restaurant 7. Teaching 8. Government 9. Other _____ 10. Don't recall 11. Refused
19. I'd like to know more about the area where you lived in [<i>name of country/place where respondent was born</i>] Which one of the following terms best describes the area in [<i>name of country</i>]	1. Campo 2. Un pueblo pequeño o mediano 3. Las afueras de una ciudad, por ejemplo una colonia o barrio

place where respondent was born] where you lived in the year before you first came to the United States?	popular 4. Una ciudad 5. Don't know 6. Refused
20. Do you own land in [name of the country/place where the respondent was born]?	1. Yes 2. No 3. Don't know 4. Refused
21. Do you own a business in [name of the country/place where the respondent was born]?	1. Yes 2. No 3. Don't know 4. Refused
22. Do you have relatives who live in [name of the country/place where the respondent was born]?	1. Yes 2. No 3. Don't know 4. Refused
23. Have you placed a phone call to someone in [name of the country/place where the respondent was born]? [IF THE RESPONDENT SAYS NO, SKIP TO 27]	1. Yes 2. No 3. Don't know 4. Refused
24. Which one of the following words best describes the person that you most often call in [name of the country/place where the respondent was born]?	1. Mother 2. Father 3. Son/daughter 4. Aunt 5. Godchild 6. Cogodparent 7. Grandparent 8. Friend 9. Business associate 10. Other _____ 11. Refused
25. Which one of the following describes the last time that you called this person [IF THE ANSWER IS 'A YEAR OR MORE AGO' SKIP TO QUESTION 28]	1. Today 2. Yesterday 3. Between yesterday and a week ago 4. More than a week ago, but less than a month ago 5. More than a month ago, but less than a year ago 6. A year or more ago 7. DK/Refused

26. During the past year, which of the following best describes how often you called this person?	<ol style="list-style-type: none"> 1. One or more times a day 2. Two or more times a week 3. Once a week 4. Two or more times a month 5. Once a month 6. At least once, but less than monthly 7. Didn't call this year 8. DK/Refused
27. Have you ever sent money to someone in [<i>name of the country/place where the respondent was born</i>]? [IF RESPONDENT SAYS NO, SKIP TO 60]	<ol style="list-style-type: none"> 1. Yes 2. No 9. DK/Refused
28. Which one of the following describes the time that you last sent money to someone in [<i>name of the country/place where the respondent was born</i>]?[IF RESPONDENT SAYS 'A YEAR OR MORE AGO,' SKIP TO 60]	<ol style="list-style-type: none"> 1. Today 2. Yesterday 3. Between yesterday and a week ago 4. More than a week ago, but less than a month ago 5. More than a month ago, but less than a year ago 6. A year or more ago 10. DK/Refused
29. During the past year, which of the following best describes how often you sent money to someone in [<i>name of the country/place where the respondent was born</i>]??	<ol style="list-style-type: none"> 7. Weekly or more often 8. Every other week 9. Monthly 10. Every other month 11. Less often 11. DK/Refused
[INTERVIEWER: SKIP TO QUESTION 60]	

Questions for US-born people of single national descent

<p>30. Have you ever spent a year or more in [<i>name of country/place where the respondent's parents were born</i>]?</p>	<p>1. Less than one year 2. One year to five years 3. Six years to ten years 4. Eleven years to twenty years 5. Twenty years or more 6. Never 12. DK/Refused</p>
<p>31. When was the last time you spent a year or more in [<i>name of country/place where the respondent's parents were born</i>]?</p>	<p>1.</p>
<p>32. How many years in total have you lived during your life in [<i>name of country/place where the respondent's parents were born</i>]?</p>	<p>2.</p>
<p>33. When was the last time you visited [<i>name of country/place where the respondent's parents were born</i>] for less than a year?</p>	<p>3. Less than one year 4. One year to five years 5. Six years to ten years 6. Eleven years to twenty years 7. Never 13. DK/Refused IF LESS THAN ONE YEAR, SKIP TO QUESTION ELSE, GO TO QUESTION</p>
<p>34. How many times within the last year have you visited [<i>name of country/place where the respondent's parents were born</i>]?</p>	<p>WRITE A NUMBER OR 'REFUSED'</p>
<p>35. Do you own land in [<i>name of the country/place where the respondent's parents were born</i>]?</p>	<p>1. Yes 2. No 14. Don't know 15. Refused</p>
<p>36. Do you own a business in [<i>name of the country/place where the respondent's parents were born</i>]?</p>	<p>1. Yes 2. No 16. Don't know 17. Refused</p>
<p>37. Do you have relatives who live in [<i>name of the country/place where the respondent's parents were born</i>]?</p>	<p>1. Yes 2. No 18. Don't know 19. Refused</p>
<p>38. Have you placed a phone call to someone in [<i>name of the country/place where the respondent's parents were born</i>]? [IF THE RESPONDENT SAYS NO, SKIP TO 42]</p>	<p>1. Yes 2. No 20. Don't know 21. Refused</p>

<p>39. Which one of the following words best describes the person that you most often call in [name of the country/place where the respondent's parents were born]?</p>	<ol style="list-style-type: none"> 1. Mother 2. Father 3. Son/daughter 4. Aunt 5. Godchild 6. Cogodparent 7. Grandparent 8. Friend 22. Null 9. Business associate 10. Other _____ 23. DK/Refused
<p>40. Which one of the following describes the last time that you called this person [IF THE ANSWER IS 'A YEAR OR MORE AGO' SKIP TO QUESTION 42]</p>	<ol style="list-style-type: none"> 1. Today 2. Yesterday 3. Between yesterday and a week ago 4. More than a week ago, but less than a month ago 5. More than a month ago, but less than a year ago 6. A year or more ago 24. DK/Refused
<p>41. During the past year, which of the following best describes how often you called this person?</p>	<ol style="list-style-type: none"> 1. One or more times a day 2. Two or more times a week 3. Once a week 4. Two or more times a month 5. Once a month 6. At least once, but less than monthly 7. Didn't call this year 25. DK/Refused
<p>42. Have you ever sent money to someone in [<i>name of the country/place where the respondent's parents were born</i>]? [IF RESPONDENT SAYS NO, SKIP TO 60]</p>	<ol style="list-style-type: none"> 1. Yes 2. No 26. DK/Refused
<p>43. Which one of the following describes the time that you last sent money to someone in [<i>name of the country/place where the respondent's parents were born</i>]?[IF RESPONDENT SAYS 'A YEAR OR MORE AGO,' GO TO 60]</p>	<ol style="list-style-type: none"> 3. Today 4. Yesterday 5. Between yesterday and a week ago 6. More than a week ago, but less than a month ago 7. More than a month ago,

	but less than a year ago 8. A year or more ago 27. DK/Refused
44. During the past year, which of the following best describes how often you sent money to someone in [<i>name of the country/place where the respondent's parents were born</i>]?	9. Weekly or more often 10. Every other week 11. Monthly 12. Every other month 13. Less often 28. DK/Refused
[INTERVIEWER: SKIP TO QUESTION 60]	

Questions for US- born persons of binational descent

INSTRUCTIONS TO THE INTERVIEWER: FOR THE SUBSTITUTION [name of country/place/countries] IN QUESTIONS 45THROUGH 53, SAY THE NAME OR BOTH OF NAMES OF THE PLACES WHERE THE RESPONDENT'S PARENTS WERE BORN. FOR EXAMPLE, IF THE RESPONDENT'S FATHER WAS BORN IN PUERTO RICO, AND THE RESPONDENT'S MOTHER IN GUATEMALA, FOR 41, YOU WOULD SAY "HAVE YOU EVER SPENTA YEAR OR MORE IN GUATEMALA OR PUERTO RICO?"	
45. Have you ever spent a year or more in <i>[name of country/place/places/countries]</i> ?	7. Less than one year 8. One year to five years 9. Six years to ten years 10. Eleven years to twenty years 11. Twenty years or more 12. Never 29. DK/Refused
46. How long ago was the last time that you spent a year or more in <i>[name of country/place/places/countries]</i> ?	8.
47. How many years of your life have you spent in <i>[name of country/place/places/countries]</i> ?	9.
48. When was the last time you visited <i>[name of country/place/places/countries]</i> for less than a year?	10. Less than one year 11. One year to five years 12. Six years to ten years 13. Eleven years to twenty years 14. Never 30. DK/Refused IF LESS THAN ONE YEAR, SKIP TO QUESTION ELSE, GO TO QUESTION
49. How many times within the last year have you visited <i>[name of country/place/places/countries]</i> ?	WRITE A NUMBER
50. Do you own land in <i>[name of country/place/places/countries]</i> ?	14. Yes 15. No 31. Don't know 32. Refused
51. Do you own a business in <i>[name of country/place/places/countries]</i> ?	16. Yes 17. No 33. Don't know 34. Refused
52. Do you have relatives who live in <i>[name of country/place/places/countries]</i> ?	18. Yes 19. No 35. Don't know 36. Refused

53. Have you placed a phone call to someone in <i>[name of country/place/places/countries]</i> ? [IF THE RESPONDENT SAYS NO, SKIP TO 57]	20. Yes 21. No 37. Don't know 38. Refused
54. Which one of the following words best describes the person that you most often call in <i>[name of country/place/places/countries]</i> ?	22. Mother 23. Father 24. Son/daughter 25. Aunt 26. Godchild 27. Cogodparent 28. Grandparent 29. Friend 30. Business associate 31. Other _____ 39. DK/Refused
55. Which one of the following describes the last time that you called this person [IF THE ANSWER IS 'A YEAR OR MORE AGO' SKIP TO QUESTION 57]	32. Today 33. Yesterday 34. Between yesterday and a week ago 35. More than a week ago, but less than a month ago 36. More than a month ago, but less than a year ago 37. A year or more ago 40. DK/Refused
56. During the past year, which of the following best describes how often you called this person?	38. One or more times a day 39. Two or more times a week 40. Once a week 41. Two or more times a month 42. Once a month 43. At least once, but less than monthly 44. Didn't call this year 41. DK/Refused
57. Have you ever sent money to someone in <i>[name of country/place/places/countries]</i> ? [IF RESPONDENT SAYS NO, SKIP TO 60]	45. Yes 46. No 42. DK/Refused
58. Which one of the following describes the time that you last sent money to someone in <i>[name of country/place/places/countries]</i> ? [IF RESPONDENT SAYS 'A YEAR OR MORE AGO,' SKIP TO 60]	47. Today 48. Yesterday 49. Between yesterday and a week ago 50. More than a week ago, but less than a month ago 51. More than a month ago, but less than a year ago

	52. A year or more ago 43. DK/Refused
59. During the past year, which of the following best describes how often you sent money to someone in <i>[name of country/place/places/countries]</i> ?	53. Weekly or more often 54. Every other week 55. Monthly 56. Every other month 57. Less often 44. DK/Refused

C. Nationality, Race, Ethnicity, Residency, and Occupation

<p>60. Which one of the following words do you feel best describes your nationality?</p>	<table border="1"> <tr> <td data-bbox="738 310 971 384">1. Estadounidense</td> <td data-bbox="971 310 1203 384">2. Puertoricquense</td> <td data-bbox="1203 310 1443 384">3. Canadiense</td> </tr> <tr> <td data-bbox="738 384 971 457">4. Dominican@</td> <td data-bbox="971 384 1203 457">5. Mexican@</td> <td data-bbox="1203 384 1443 457">6. Panameño</td> </tr> <tr> <td data-bbox="738 457 971 531">7. Guatamalteco</td> <td data-bbox="971 457 1203 531">8. Salvadoreño</td> <td data-bbox="1203 457 1443 531">9. Nicaraguense</td> </tr> </table> <p>Other (SPECIFY) _____--</p>	1. Estadounidense	2. Puertoricquense	3. Canadiense	4. Dominican@	5. Mexican@	6. Panameño	7. Guatamalteco	8. Salvadoreño	9. Nicaraguense
1. Estadounidense	2. Puertoricquense	3. Canadiense								
4. Dominican@	5. Mexican@	6. Panameño								
7. Guatamalteco	8. Salvadoreño	9. Nicaraguense								
<p>61. In the United States, the terms Hispanic, Latino, and Chicano are all used to describe people whose forebears are from Latin America. Do you happen to prefer one of these terms more than the others? Which term do you prefer, Hispanic, Chicano, or Latino?</p>	<p>1. Hispanic 2. Latino 3. Chicano 4. Neither 5. DK/Refused</p>									
<p>62. What race do you consider yourself to be? White, Black or African-American, Asian, or some other race?</p>	<p>1. White 2. Black or African American 3. some other race 45. DK/Refused</p>									
<p>63. Now I'd like to ask you about your citizenship status. Remember, everything that you tell me is confidential, and will only be used for the purposes of this survey.</p>	<p>1. A US citizen 2. Currently applying for citizenship 3. Planning to apply for citizenship 4. Not planning to become a citizen 6. Don't Know 7. Refused [IF RESPONDENT IS A US CITIZEN, SKIP TO QUESTION]</p>									
<p>64. Do you have a green card?</p>	<p>5. Yes 6. No 46. DK/Refused</p>									
<p>65. Because some Hispanics/Latinos are immigrants, or hijos de inmigrantes, sometimes they interest themselves more in government and politics of their or their parents' country of origin than in U.S politics. Others are more concerned</p>	<p>1. More concerned about government or politics in another country. 2. More concerned about gov't/politics in the U.S. 3. Equally concerned about both 4. Uncertain/don't care/no opinion 47. DK/Refused 5.</p>									

<p>about government and politics in the U.S. How about you? Are you...?</p>	
<p>66. I would like to talk with you about the sort of work that you have done for money within the past month. I will read a list of different sort of work. Please indicate which of the following sorts of work you or someone who lives with you has done for pay within the past month</p>	<ol style="list-style-type: none"> 1. Worked as a day labor (jornalero) 2. Worked in construction 3. Worked in landscaping 4. Worked in an office 5. Worked in a restaurant 6. Vended goods on the street 7. Worked in a factory 8. Taught school 9. Worked in a business that you own 10. Not working/Unemployed 11. Other (specify) _____ 48. Refused

D. Language Use

67. Now I'm going to ask you about your preferences about Spanish and English language.	
68. Would you say you can carry on a conversation in Spanish, both understanding and speaking-- very well, pretty well, just a little, or not at all?	<ol style="list-style-type: none"> 1. Very well 2. Pretty well 3. Just a little 4. Not at all 5. Don't Know 6. Refused
69. Would you say you can carry on a conversation in English, both understanding and speaking, -- very well, pretty well, just a little, or not at all?	<ol style="list-style-type: none"> 1. Very well 2. Pretty well 3. Just a little 4. Not at all 5. Don't Know 6. Refused

E. Demographics

Finally, I'm going to ask you to give me some general information about yourself	
70. [INTERVIEWER: ONLY ASK THIS QUESTION IF THE GENDER OF THE RESPONDENT IS NOT APPARENT TO YOU. OTHERWISE, PLEASE MARK THE APPROPRIATE CATEGORY] Are you male or female?	<ol style="list-style-type: none"> 1. Male 2. Female 49. DK/Refused
71. How old will you be on your next birthday?	[WRITE A NUMBER]
72. How much money, combined, did you, earn last year after taxes?	<ol style="list-style-type: none"> 1. \$10,000 or less 2. More than \$10,000 but less than \$20,000 3. More than \$20,000 but less than \$30,000 4. \$30,000 to less than \$50,000 5. \$50,000 or more 6. Don't know 7. Refused
73. What is the highest level of you have completed?	<ol style="list-style-type: none"> 1. Some school, not high school 2. Some high school 3. High school degree or bachillerato 4. University degree or licenciatura 5. Professional or graduate school (estudios postgrados)
74. How many years have you been at your current residence?	
75. Before you moved to this residence, where did you live? [IF "A DIFFERENT NEIGHBORHOOD IN THE SAME CITY," SKIP TO 78]	<p>In a different neighborhood in the same city</p> <p>In a different city or place</p>
76. What city or place did you live in?	
77. For how many years did you live there?	
78. Before you moved to this city, what city or place did you live in?	

Thank you for participating in the survey. Do you have any questions? [WAIT FOR RESPONDENT]. The best way to get answers to those questions would be to call the professor who is running this, Dr. Miriam Villeta, at (xxx)xxx-xxxx.

F. Questions for the Interviewer

<i>Time and date that interview finished</i>	
<i>Interviewer name</i>	
<i>Interviewer sex</i>	
<i>In what language did you complete the interview?</i>	<ol style="list-style-type: none"> 1. Entirely in Spanish 2. More in Spanish than in English 3. Equal parts Spanish and English 4. More in English than in Spanish

*Illinois State University Institutional Review Board (IRB)
Representative Protocol Review Form*

IRB Number

After completing this review form, please attach a copy of the entire protocol to this form and forward to the Research Ethics & Compliance ~ Campus Box 3330. For more information, templates, and forms go to www.rsp.ilstu.edu.

I. PROJECT DESCRIPTION

Project Title	Transnationalism and Remittances: A Tale of Two Cities		
PI Name	KARL D. KAPPUS		
Co PI Last Names			
(Write one or two sentences briefly describing the proposed research)	The researcher and associates will conduct phone interviews to gather information about the Spanish speaking community in New York City and Reading, Pennsylvania. Data will be used to study the ties that immigrants have to their homelands.		

II. METHODOLOGY

A. Participants:	
1. How many of each type will be recruited?	<u> 1600 </u> Total Adults (over 18) = <u> n/a </u> Males <u> n/a </u> Females <u> </u> Total Minors (under 18) = <u> </u> Males <u> </u> Females
2. Of the above numbers, how many participants will be specifically recruited from the following populations?	<u> 0 </u> Prisoners <u> 0 </u> Mentally Handicapped <u> 0 </u> Mentally Ill <u> 0 </u> Physically Disabled <u> 0 </u> Pregnant Women <u> 0 </u> Physically Ill <u> 0 </u> Other: (please specify)
3. How will they be recruited?	Respondents will be chosen via a random digit dial telephone sampling method.
4. Informed Consent for Participants over 18	Does the study include an informed consent process that includes all of the elements? <u> Yes </u> <u> No </u> Is the informed consent form included? <u> Yes </u> <u> No, but wording for a survey script, including informed consent, is included </u>
5. Consent	Does the study include a parent/ guardian consent process that includes all of

for Minors or those requiring a guardian	the elements? <input type="checkbox"/> Yes <input type="checkbox"/> No not applicable Is the parent/ guardian consent form attached? not applicable Are appropriate assent forms or scripts attached? not applicable
B. Procedure(s)	
1. Which techniques will be used to collect data	<input type="checkbox"/> Questionnaire <input type="checkbox"/> Files/ Records <input type="checkbox"/> Task(s) xxx Interview <input type="checkbox"/> Physical Exercise <input type="checkbox"/> Specimens <input type="checkbox"/> Treatment <input type="checkbox"/> Observation <input type="checkbox"/> Tests <input type="checkbox"/> Other:
	<input type="checkbox"/> Audio taping <input type="checkbox"/> Videotaping
2. Will the study involve...	Psychological Intervention? <input type="checkbox"/> Yes <input type="checkbox"/> No Biomedical Procedures? <input type="checkbox"/> Yes <input type="checkbox"/> No Deception? <input type="checkbox"/> Yes <input type="checkbox"/> No
3. Does the protocol adequately state a plan for...?	Storing the data securely? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Access to the data? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Use of the data? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Disposition of the data? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

III. RISKS

For each of the following potential risks below, does the protocol adequately describe how risks will be minimized?			
Psychological Intervention?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> XXX Not Applicable
Biomedical Procedures?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> XXX Not Applicable
Deception?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> XXX Not Applicable
Coercion of Minors	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> XXX Not Applicable
Coercion of Prisoners	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> XXX Not Applicable
Risks to Mother and Fetus	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> XXX Not Applicable
Risks to Social Standing and Reputation	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> XXX Not Applicable
Other:			

IV. BENEFITS

Does the protocol state anticipated benefits? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
--

V. DEPARTMENT REPRESENTATIVE RECOMMENDATION:

Please review your responses above carefully! All shaded areas indicate an expedited or full level of review

Name (please print):	Date:
----------------------	-------

Recommended Level of Review: ___ Exempt <u>XXX</u> Expedited ___ Full	
Comments:	

**Illinois State University Institutional Review Board
Subjects Protocol Submission Form**

IRB Number

Federal regulations and Illinois State University policy require that all research involving humans as subjects be reviewed and approved by the University Institutional Review Board (IRB). Any person (ISU faculty member, staff member, student, or other person) wanting to engage in human subject research at or through Illinois State University must receive written approval from the IRB before conducting research. For more information, templates, and forms please go to www.rsp.ilstu.edu

Please complete and forward this form and all supporting documents to your Department/Unit IRB representative. If you have any questions, please contact your Departmental/Unit IRB representative or the Research Ethics & Compliance Office, (REC) 438-8451, Campus Box 3330

I. General Information

A. Protocol Information	
Protocol Title: Transnationalism and Remittances: A Tale of Two Cities	
Is this research part of a thesis or dissertation proposal? <input type="checkbox"/> No <input type="checkbox"/> Yes	
If yes, has the thesis or dissertation proposal been approved? <input type="checkbox"/> No <input type="checkbox"/> Yes Not Applicable	

B. Principal Investigator Information (PI must be an ISU faculty or staff member)	
Principal Investigator K. D. KAPPUS	Department SOCIOLOGY AND ANTHROPOLOGY
Telephone Number 415.446.8419	Email Address DANKA@JTAN.COM
Fax Number	Mailing Address 308 ½ E. WALNUT ST., BLOOMINGTON, IL 61710
Co-Principal Investigator Information	
Co- Principal Investigator NOT APPLICABLE	Department NOT APPLICABLE
Telephone NOT APPLICABLE Number	Email NOT APPLICABLE Address
NOT APPLICABLE <input type="checkbox"/> Faculty <input type="checkbox"/> Staff <input type="checkbox"/> Grad. Student <input type="checkbox"/> Undergrad. Student	Mailing NOT APPLICABLE Address
Co-Principal Investigator Information	
Co- Principal NOT APPLICABLE Investigator	Department NOT APPLICABLE
Telephone NOT APPLICABLE Number	Email NOT APPLICABLE Address
NOT APPLICABLE <input type="checkbox"/> Faculty <input type="checkbox"/> Staff <input type="checkbox"/> Grad. Student <input type="checkbox"/> Undergrad. Student	Mailing NOT APPLICABLE Address

II. Principal Investigator Assurance

As Principal Investigator, I certify that to the best of my knowledge:	
1.	The information provided for this project is correct
2.	No other procedures will be used in this protocol
3.	I agree to conduct this research as described in the attached supporting documents
4.	I will request and receive approval from the IRB for changes prior to implementing changes (including but not limited to changes in cooperating investigators or any changes in procedures).
5.	I will comply with IRB and ISU policies for conducting ethical research.
6.	I will be responsible for ensuring that the work of my co-investigator(s)/student researcher(s) complies with this protocol.
7.	Any unexpected or otherwise significant events in the course of this study will be promptly reported to the REC.
8.	In the case of student research, I assume responsibility for ensuring that any student will comply with University and Federal regulations regarding the use of human subjects in research.
9.	In the case of externally funded research, I will request a modification to my approved protocol if any relative changes to the project's scope of work are requested by the agency.

Principal Investigator Signature

Date

III. Protocol Description

- A. Provide a **BRIEF** description, in **LAYMAN'S TERMS**, of the proposed research.

It's a cliché that the world is getting smaller. New technology allows us to keep in touch with people and places that are far away. For immigrants to the United States and elsewhere, this technology provides new opportunities to keep in touch, and even stay involved in, their countries/places of origin. As conceptualized in this work, migrants develop "transnational communities" that transcend national boundaries and sustain their identities even when they are far away from the geographic source of those identities..

Via telephone interviews, this research will collect data about Spanish speakers in two different towns, New York City, and Reading, PA. Many of these people will be immigrants, and the intent of the study is to see how demographic and other factors affect migrants participation in the activities that keep them in touch with the places from which they emigrated.

B. Methodology

1. Participants (**ALL** protocols must have a completed **Appendix A**)

- a. How many participants will be included in the study?

Number: Male _{N/A} Female _{N/A} Total 1200
(N/A _____ if not targeting males/females specifically)

Age range: 18 and up

- b. Where will participants be recruited?

Participants will be chosen based on phone numbers. Phone numbers will be chosen by a system that is like a random lottery. These random numbers will be automatically dialed by dialer software. If someone answers the phone, and it is a residential number, a trained interviewer will ask to speak with the adult Spanish speaker in the house with the next birthday. As such, participants may be recruited while they are in their homes, while the trained interviewers are in the call lab.

- c. How will they be recruited? (Attach all recruitment documentation, i.e. letters, flyers, etc.)

The only recruitment is the ring of a phone, which varies by model and cannot be reproduced here in any case.

- d. What procedures will be used (and in what order) to secure informed consent/assent?

Upon reaching a person at a working residential number, the interviewer will state

"Hi. I'm conducting a survey of Spanish speakers for the University of Fulano de Tal. My name is STATE YOUR NAME. We're trying to figure out how immigrant Spanish speakers and their offspring in the city see themselves, and what connections they maintain to people outside the

United States. Your household is one of a small number that have been chosen at random to voluntarily participate. “

Having stated this, s/he will ask to speak with the adult Spanish speaker with the next birthday. To that person, the interviewer will state

Like I told [*you/the person who first picked up*] I’m conducting a survey of Spanish speakers for the University of Fulano de Tal. My name is STATE YOUR NAME. We’re surveying Spanish speakers in the city to better understand how they see themselves, and what connections they maintain to people outside the United States.

The survey takes about ten minutes, and is voluntary. You do not have to answer any question that you do not want to answer. Your cooperation will help us know more about the Spanish-language community in the city, but what you tell me will be kept confidential. Is this okay?

e. Where will the research take place?

As in question b, above, the respondent/participant will answer our question in his or her residence.

If consent (and assent) forms are being used, attach copies. If presented verbally, a copy of any presentation text must be submitted. **Templates for informed consent, parent consent /permission, and minor assent can be found at www.rsp.ilstu.edu**

2. Procedure

a. What are you asking the participants to do? In what order?

We are asking them questions. A script is attached.

b. Will you involve them in a psychological intervention, deception, or biomedical procedure?

No.

c. Will you audio _____, or videotape _____, or digitally record _____, participant responses? Please check.

Not applicable

3. Instruments/Apparatus

Not applicable

What forms, surveys, equipment, etc. will you use? (**Attach copies of all forms, surveys and instruments to be used.**)

They are, indeed, attached

4. Data

a. How/where will the data be stored and kept secure?

For the duration of the data collection process, the data will be kept on the hard-drive of the computer that runs the Computer Assisted Telephone Interviewing (CATI) software. This computer will be in the lab supervisor’s office, which is to be locked when the supervisor is not inside. This computer will only be

networked with the computers in the lab itself, and those computers will only be networked with the CATI server. Backup copies of the data and software will be encoded with the researcher's secure encryption key. The passcode for the encryption will be memorized by the researcher, and the only written copy will be put in a secure safe deposit box at the researcher's financial institution. The researcher will not share the encryption passcode.

After the data are collected, the researcher may use them in his office, which is kept locked. Backup copies will be kept in the aforementioned safe deposit box, and encrypted.

b. Who will have access?

The researcher, primarily, along occasionally with people who will be directly and physically supervised by the researcher.

c. How will the data be used (during and after the research)?

They will be used to create articles for publication. At no time will identifiable information about a single respondent be disclosed. This is possible because the data are only useful in aggregate.

d. How will the data be disposed of?

At the time of the researcher's discretion, the media containing the data will be shredded, burned, broken, bent, folded, mutilated, targeted by munitions, or otherwise rendered unusable.

C. RISKS

1. What are the physical, psychological, or social (loss of reputation, privacy, or employability) risks?

Because data are aggregated for publication, the risks are very low. Additionally, individuals will only be identified the phone number that they answer.

2. Will the data be anonymous _____ or confidential _____? (Please check one)

Confidential. In theory, a clever person could identify an individual or household based on a phone number and other information collected. The likelihood of this occurrence is low.

D. BENEFITS

1. What do you hope to learn?

We hope to learn what motivates people to participate in transnational communities.

2. Who might find these results useful?

Scholars of migration, public policy experts, political leaders, and financial services corporations, just to mention a few.

3. How will the participants directly benefit?

They won't, unless they like to talk about themselves. Fortunately, most humans do.

IV. Checklist

This checklist must be completed and attached to all protocols or Department Representatives will return them to the PI. Please note that for any items checked "yes" you must attach the designated, completed appendices.

_____ Yes _____ No Informed consent procedures/ documentation have been clearly explained. (All protocols must have a completed Appendix A.)

_____ Yes **___XXX NO** Is your research being funded? (If yes, complete Appendix B.)

_____ Yes **___XXX NO** Are you recruiting and enrolling subjects 0-7 years old? (If yes, complete and attach Appendix C.)

_____ Yes **__XXX NO** Are you recruiting and enrolling subjects 8-17 years old? (If yes, complete and attach Appendix C.)

_____ Yes **__XXX NO** Are you recruiting and enrolling prisoners as subjects? (If yes, complete and attach Appendix D.)

_____ Yes **__XXX NO** Are you recruiting and enrolling pregnant women as subjects? (If yes, complete and attach Appendix E.)

_____ Yes **__XXX NO** Are you recruiting and enrolling mentally incapacitated individuals as subjects? (If yes, complete and attach Appendix F.)

_____ Yes **__XXX NO** Will the subjects of this study be exposed to the possibility of harm, including physiological, psychological, or social (e.g., loss of reputation, privacy, or employability). (If yes, complete and attach Appendix G.)

_____ Yes **__XXX NO** Will the subjects of this study be exposed to any psychological interventions such as contrived social situations, manipulation of the subject's attitudes, opinions or self-esteem, psychotherapeutic procedures, or other psychological influences. (If yes, complete and attach Appendix H.)

_____ Yes **__XXX NO** Will this study involve any elements of deception? (If yes, complete and attach Appendix I.)

_____ Yes **__XXX NO** Will the proposed research involve any biomedical procedures (e.g., the taking or withholding of medication, ingestion of any food or other substances, injections, blood drawing, or any other procedure which would normally be done under medical supervision). (If yes, complete and attach Appendix J.)

_____ Yes **__XXX NO** Will all or some of the subject(s) of the proposed research be audio or videotaped or recorded in any other manner? (If yes, complete and attach Appendix K.)

_____ Yes **__XXX NO** Will this proposed research involve any elements of technology? (i.e. web-based subject recruitment, email recruitment, web survey, etc.) No appendix needed.

IRB “Appendix A: Elements of Informed Consent”

The informed consent procedures and documents outlined in this protocol contain all of the following:

- | | |
|--|---|
| <p>_____ XXXX YES _____ No1.</p> | <p>A statement that the study involves research</p> |
| <p>_____ XXXX YES _____ No2.</p> | <p>An explanation of the purposes of the research</p> |
| <p>_____ XXXX YES _____ No3.</p> | <p>The duration of the participant’s participation</p> |
| <p>_____ XXXX YES _____ No4.</p> | <p>A description of procedures to be followed</p> |
| <p>_____ XXXX YES _____ No5.</p> | <p>Identification of any experimental procedures</p> |
| <p>_____ XXXX YES _____ No</p> | <p>6. A description of foreseeable risks or discomforts to the participant</p> |
| <p>_____ XXXX YES _____ No7.</p> | <p>A description of any benefits to the participants or any others that may be expected from the research</p> |
| <p>_____ XXXX YES _____ No8.</p> | <p>A disclosure of appropriate alternative procedures or courses of treatment, if any that might be advantageous to the subject</p> |
| <p>_____ XXXX YES _____ No9.</p> | <p>A statement describing the extent, if any, that confidentiality will be maintained</p> |
| <p>_____ XXXX YES _____ No10.</p> | <p>An explanation about any compensation or medical treatments that may be available if injury occurs, what they may be, and where to get further information</p> |
| <p>_____ XXXX YES _____ No11.</p> | <p>An explanation as to whom to contact concerning questions about the research, research participants’ rights, and/or a research related injury or adverse effect. This should include the Principal Investigator’s name and contact information as well as the Research Ethics & Compliance Office name and number, (309) 438-8451.</p> |
| <p>_____ XXXX YES _____ No12.</p> | <p>A statement that participation is voluntary</p> |
| <p>_____ XXXX YES _____ No</p> | <p>13. A statement that refusal to participate involves No penalty or loss of benefits,</p> |
| <p>_____ XXXX YES _____ No</p> | <p>14. A statement that the subject may discontinue participation at any time without penalty or loss of benefits.</p> |