

Human Subject Protocol

Socio-Economic Profile of Rural Households in India (Sepri-1): A continuation of the ARIS/REDS Panel

Summary of Proposed Project

Since 1971 the ARIS/REDS survey has collected detailed demographic and economic data on a representative sample of villages across 17 Indian states. Although each of the previous four rounds of the survey have differed in additional modules, the core of the survey creates a valuable panel data set which allows researchers to accurately trace changes in rural India across the long arc of India's development story. ARIS/REDS has followed villages from the immediate aftermath of the Green Revolution to efforts to spur development by devolving power to local authorities in the early 2000s. However, India has changed since 2006 when the last survey was conducted, and a new round of the survey is needed. Major policies affecting rural areas such as the Right to Education Act and the National Rural Employment Guarantee Act have been implemented. GDP per capita in current US dollars has increased from \$830 to \$1,498 in 2013 (World Bank 2014). To put in perspective this is more than the increase from 1974 to 2006, a thirty two year period. Clearly, India has been changing. Another round of AIRS/REDS is necessary to help analyze these changes. In particular, AIRS/REDS focuses on situation in rural agricultural communities which tend to be overlooked in economic policy debates.

Currently, there is only funding to do a household listing and village schedule. Nonetheless, this household listing and village schedule includes most of the core economic and demographic information from the earlier rounds of the study. The village schedule is particularly detailed in its breakdown of village infrastructure and government services at a street level. This method allows for an understanding of inequalities within villages which are often understudied. The village schedule is also innovative in its inclusion of diary questions which will allow researcher's to understand how villages have been affected by major shocks varying from the natural, such as crop failures, to the economic, such as the closure of a major nearby firm. Communal tensions and local government will also be covered extensively on the questionnaire. This data will be useful for both looking at the effect of local institutions on development as well as examine the economic effects of communal violence or tension. The village schedule will also include a detailed look at the schools in the village. Particular emphasis will be placed on examining compliance with the right to education act as well as the midday meal scheme since these major development initiatives have been a source of much debate in Indian politics as well as in the academic literature. After touching on health facilities briefly the questionnaire concludes with a detailed look at the Mahatma Gandhi National Rural Employment Guarantee Scheme (MGNREGS) which was a major development initiative implemented largely after the 2006 round of the study. The current Indian government has strongly signaled that they intend to repeal or reform MGNREGS so detailed research on what aspects of the law are affective is particularly timely given the current policy debate.

The survey includes two components. The household listing that is applied to individual household and the village listing that compiles information on attributes of the village. The household listing forms the core of the study including many of the income and asset questions that have been part of AIRS/REDS since 1971. In addition to incredibly detailed data on household income and expenditure, particularly with respect to agriculture, the household listing also has a demographic component. While the study just asks for simple self-reported education levels for --adults, children below eight-grade who are enrolled in school will complete a special section. In this section the children will be tested on reading (in their mother tongue), math, and English. For these assessments the study will use the widely-used multilingual tools developed by ASER, the Annual Status of Education Report. These tools have been shown to be statistically reliable and valid (Vagh 2013). Importantly, the education assessments will be combined with basic height and weight information which can both supplement the food security questions in the income and expenditure section as well as help to show the link between basic health indicators and educational performance. The height and weight measurements will be taken according to the protocols used in previous rounds of the ARIS/REDS survey. The household listing will also tackle in detail the effect of MGNREGS at an individual and family level. As previously explained, the MGNREGS research in particular is likely to directly influence policy. The household listing will also include some individual level questions for adults on social capital and governance which can add perspective to the detailed village level data. Finally, the household listing will include a section on migration which is important both as a way of understanding India's growing trend of urbanization and for simply quantifying where all of the individuals who have moved away from the panel villages since 1972 have gone. Most of the households have stayed stationary. Since 1972 the household attrition rate has been less than 10%.

The questions in this survey are largely a subset of the 2006 survey with the exception of the questions about MGNREGS as well as some other questions specific to new policies. In addition, the section which includes educational assessment and anthropometry is a new addition to the survey. In fact, the listing exercise we are currently seeking IRB approval for is far less time consuming and asks less detailed questions than the previously approved 2006 survey. All households that will be surveyed will have at least one member who had been previously surveyed, but consent will be re-obtained under the assumption of no previous knowledge on part of the human subjects. The participants will be educated again on their right to informed consent, confidentiality, freedom to withdraw, and potential risks before consent is sought.

Investigators

Both Prof. Foster and Prof. Hari Nagarajan, who is based at the Institute of Rural Management in Anand, Gujarat and will directly oversee much of the survey implementation, have extensive experience conducting household surveys in India. Prof. Foster has been involved in planning the ARIS/REDS survey since the 1999 round. Prof. Nagarajan has been involved in planning this particular survey since 2006, but he has helped to process the 1999

survey and has run his own five year panel study of two villages in Tamil Nadu interviewing all households in these villages. He has extensive experience implementing research programs working with a variety of organizations such as NIH, IDRC, IFAD, and the DFID. Both of these investigators lead the successful and extensive 2006 round of the study.

The actual surveyors will be from the same firm which was hired for the successful 2006 survey. The Awadh Research Foundation, ARF-House, B-2//874 Vinay Khand, Gomti Nagar, Lucknow-226010. Our contact at ARF is Anupam Chatterjee. Although it is likely many of the same surveyors will be involved everyone will be trained assuming no prior familiarity with ARIS/REDS. All surveyors will receive two rounds of training both overseen by Prof. Nagarajan. The first round of training will be centralized and go over all general aspects of the survey. The second round of training will be at the state level and focus on localization and translation issues since the local teams of investigators will be jointly responsible for translating the questionnaires as these local investigator's mother tongues are the languages which we need to translate the survey into. Throughout the survey Prof. Nagarajan will conduct unannounced visits of the local survey teams, in addition to unannounced visits by local supervisors, in order to ensure the protocols, particularly the consent protocols, are being carefully followed.

Participant Population

The part of the survey which Brown is funding will cover is 90 villages in Maharashtra, Gujrat, West Bengal, Orissa, and Uttar Pradesh. All of the villages we are surveying were also surveyed in 2006. We expect the sample to grow by approximately 10% due to household splits and natural population growth. Below is a table indicating the number of households surveyed and individuals involved in the 2006 survey for states where Brown is funding survey work.

State	Mean Household Size	Standard Deviation in Household Size	Number of Households	Number of Individuals
GUJARAT	5.218615	2.3507729	8563	44687
MAHARASHTRA	4.5495914	2.5529052	5384	24495
ORISSA	5.4994559	3.1377027	4595	25270
UTTAR PRADESH	6.1415465	3.937911	14497	89034
WEST BENGAL	4.6481456	2.7142112	7361	34215
Total			40400	217701

Most of the survey questions will be answered by only the head of the household, but a few questions will have different response profiles. There will be a series of questions on social capital, social relation, and governance which will be asked to all members of the household who are age 18 and above. In addition, any currently enrolled student up to 8th grade will be weighed, measured, and asked to complete a short learning assessment.

The village survey will be administered to elected village leaders or to individuals designated by those leaders who would be knowledgeable about the relevant attributes. Some information such as numbers of households and distance to the nearest town will be available from census records available in the village attributes. Others may require visual inspection by surveyors (e.g., of roads and lights in particular parts of the village).

Confidentiality of the Data

Local snapshots of the data with identifiers will be available to the workers and supervisors in the trusted survey firm (we will higher, but extreme care will be taken to ensure no data is shared with any other people who have any connection to the surveyed localities. The complete data with identifiers will only be available to Prof. Foster, Prof. Nagarajan, and JP Singh who will assist Prof. Nagarajan on field issues and has been involved in the 1970, 1982, and 2006 surveys. We will then remove the identifiers before giving the data to others, but other researchers will be able to access some potentially identifying data if they receive separate IRB approval to do so. Data will be kept in a password protected file on a password protected computer in a locked room at Institute of Rural Management Anand near Dr. Nagarajan office and on PSTC's secure UNIX server at Brown. Files will be transferred to the PSTC server using secure FTP and files will be encoded before transmission. The existence of the secure files with identifiers is necessary to allow for future studies based on this valuable panel of villages. Complete anonymity will be maintained in published reports to ensure participant responses can't be reverse engineered, in whole or in part, from published results.

Risks and Benefits to Participants

There are no physical risks to the subjects. Many of the supervisors and interviewers have had recent contact with these households from prior survey rounds. There is no stigma associated with participation in economic, agricultural, and social science studies in India in general. We do not expect the respondents in the study to face any social, physical, or psychological risks from responding to survey questions, or from the anthropometric measurement and basic learning assessment.

While the learning assessment may be a source of some embarrassment, it has been structured in a way to minimize this risk. This is accomplished by relying on gestured rather than spoken answers, and by selecting questions based on ability demonstrated in previous answers so that, for example, children who can only read words will never be asked to read paragraphs.

The benefit to the participants is the possibility that the results of the survey will be used to help form better policies that will lead to the betterment of their lives (as they will be informed in the consent process). The results of our study will inform future policies and programs that aim to increase the welfare of rural households in India, and in developing countries generally.

Informed Consent

All members of the survey trained will be rigorously trained in how to carry out the consent procedure in a thorough and culturally appropriate manner. Consents will be obtained

within the respondents' home. Subject will be explained in plain language the purpose of the survey and the type of information to be asked. In the case of illiterate subjects, oral consent will be obtained. Respondents will be asked for their consent verbally using a pre-specified form, attached. Respondents will also be informed how to contact Prof. Nagarajan if they have any problems with the conduct of the survey. Attached are two consent forms — one for the individual interview of those older than 14 years of age, and a parental consent form for children 14 and under. Children 9—14 will also be directly informed of their parent's consent and of the voluntary nature of their participation in the attached "Notification of Consent Statement for Children 9— 14 Years of Age." The actual consent forms will be translated into local languages by each state's survey team. The forms will be translated, choosing language appropriate for this population, in a way that retains all of the information contained in the attached English forms. The surveyors understand that the meaning of the English language consents forms must be conveyed to survey subjects in words in their languages which they understand. Since a large portion of this population is illiterate, the survey team will read the consent documents, in a translated form, to the subjects. The survey team will devote all necessary time required to explain the consent form and answer any questions after they have read the forms to the survey subjects.

Sources:

The World Bank, World Development Indicators (2014). GDP per capita, current dollars [Data file]. Retrieved from <http://databank.worldbank.org/data/embed/India-GDP/id/f4bca8a6?>

Vagh, Shaher Banu (2013). *Evaluating the Reliability and Validity of the ASER Testing Tools*. Retrieved from http://www.linguaakshara.org/yahoo_site_admin/assets/docs/ASER-Reliability__Validity_Evaluation.11091338.pdf

ADULT CONSENT FORM

Household # _____ Respondent # _____

Dear [name of adult 15 years and above]:

You have been selected to be part of a survey on household well-being and economic development carried out by the Institute of Rural Management Anand in Gujarat, India and Brown University in the United States of America. You have been selected because you are a part of a village that was first interviewed as part of the Additional Rural Incomes Survey in 1968 by surveyors from the National Council of Applied Economic Research in Delhi. You or a member of your household may also have been interviewed in 1969, 1970, 1982, 1999 or 2006.

How the survey will measure the economic well-being of your household

The survey will collect sources of income in the households and particular details on any crops that you cultivate. It will collect information on household expenditures on food and other goods. It will collect information on education and employment of household members. For children up to the 8th grade it will collect information weight and height and the type of school as well as some basic tests of language and math ability. The survey will collect details on public programs that you or your household may have benefitted from. It will obtain some information on other people from the village from whom you may obtain information or credit or interact socially. It will collect information on assets in the household as well as a history of past heads of this household. Finally, it will collect information of migrants from the household since 2006. The interview will take around 2 hours. The information we will collect from you and your household will be used in research to measure economic well-being of rural Indian households and to formulate policies and schemes to improve them in future.

Your participation is voluntary

This research study is called "Socioeconomic Panel of Rural India" and is directed by Hari Nagarajan a Reserve Bank of India Chair at the the Institute of Rural Management Anand in Gujarat, India. Your participation in the survey is voluntary. You may refuse to answer any question or take any test. We further want to remind you that your participation in the development activities sponsored either by the Indian government or by NGOs in the village will not be affected if you do not concur to participate in our survey. There are no foreseeable physical risks to participating in the survey.

Information collected is strictly confidential

We will keep all identifying information obtained from you and your household confidential. We will not disclose your name to anyone except the survey team from the

Institute of Rural Management Anand. The information we collect will be used only for research purposes. Your name and address will not be given to any government or non-government agency or to any individuals except the research team from the Institute of Rural Management in Anand.

If you have any questions about the survey and its use, please contact the Project Director, Hari Nagarajan, at the Institute of Rural Management Anand.

Our field Research Team will be very happy to provide you with his contact address at the Institute of Rural Management Anand or to pass on a message to him.

Would you like to participate in this survey? If so, please sign this form or provide me with verbal consent.

Agreed to Participate in the Survey:_____

Not Agreed to Participate in the Survey:_____

Name of Interviewer:_____

Signature:_____

Respondent: _____ Date: _____

NOTIFICATION OF CONSENT STATEMENT FOR CHILDREN 9-14 YEARS OF AGE

[The interviewer will read this statement to the child after receiving parental and introducing themselves to the child, but prior to any part of the survey collecting information on specific children.]

My name is _____ Your [mother/father/guardian] said that I could talk to you.

We need your help with this study about the health and educational ability of children. You do not have to answer any questions or take any tests that you do not want to. If I ask you any questions that you do not want to answer, or to do something that you do not want to do, just tell me and I will move on. But, we hope you will answer as many questions as you can because it will make the study better.

When we write a report about this study, it will not tell anyone which answers you gave. Also, we will not tell anyone your name or whether you let us talk to you or give you tests. Your school, village leaders, and the officials of the government will not know what answers you gave to questions or the results of tests that you take, or even if you decided that you did not want to answer any questions at all.

PARENTAL CONSENT FORM

Household ID # _____
Person # _____ of parent
Child # _____

[After reading and receiving the consent of adult respondents with the adult consent form, those that are parents or guardian of children under the age of 15 will be read the following.]

Dear [parent of child 14 and below]: _____

In addition to collecting information on adults in this study, we are also collecting information on all children who live with them. All this information is for research purposes only.

How the survey will measure your child's health and nutrition

The study will weigh and measure children. If they are 8 years old or above, we will also ask them to take some tests of cognitive achievement and logical reasoning in which they will not need to write any answers. They can answer all the questions orally or by pointing with their finger. The information we will collect from your children will be used in research to measure health and educational skills in India and to formulate policies to improve them in future.

Your child's participation is voluntary

As before, the participation of your child [name of child] in the survey is voluntary. You may refuse to have him/her answer any question or take any test. We further want to remind you that your child's participation in the development activities sponsored either by India government or by NGOs in the village will not be affected if you do not concur to participate in our survey. There are no foreseeable physical risks to participating in the survey.

Information collected is strictly confidential

We will keep all identifying information obtained from your child and others in your household confidential. We will not disclose names to anyone except the survey team from the Institute of Rural Management Anand. The information we collect will be used only for research purposes. Your name and address and that of your child will not be given to any government or non-government agency or to any individuals except the research team from the Institute of Rural Management Anand.

If you have any questions about the survey and its use, please contact the Project Director, Professor Hari Nagarajan, at the Institute of Rural Management Anand.

Our field Research Team will be very happy to provide you with his contact address at the Institute of Rural Management Anand, or to pass on a message to him.

Would you like to consent to having you child participate in this survey? If so, please sign this form or provide me with verbal consent.

Agreed to Participate in the Survey: _____

Not Agreed to Participate in the Survey: _____

Name of Interviewer: _____ Signature: _____

Respondent: _____ Date: _____