FARE Lab: Laboratory Experiments

ETHICS-SOP-METHODS\_FARE Lab Experiments-030

# Document Sign-offs

|  | Name/ Title | Date |
| --- | --- | --- |
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| Reviewed By |  |  |
| Verified By |  |  |
| Approved By | REB-General | January 24, 2024 |

# Current Status

Approved

# Revision information

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# Glossary of Terms

Participant pool – a pre-existing index of contact information for people who have expressed interest in participating in experiments and consented to us contacting them for the purpose of inviting them to experiments.

# Purpose

To provide the REB and the research community with information pertaining to how the FARE Lab conducts laboratory experiments.

# Scope

Applies to laboratory experiments conducted by members and associates of the FARE Lab

# Responsibility

As PI and Lab Director, Dr Tongzhe Li has ultimate responsibility for ensuring procedure is followed. Responsibility will be held more proximately by lab members and associates facilitating the experiment.

# Distribution of Copies

To be posted on the Research Ethics website and saved to the FARE Lab’s shared Teams folder for reference.

# Procedure

1. Participants are recruited from the FARE Lab’s participant pool via email.
   1. Email invitation includes an unsubscribe option, a brief description of the experiment (including session type and length), a description of the incentive structure, the REB approval number, eligibility requirements, and a Qualtrics link to register for sessions (see “Invitation\_Email\_Template.docx”). The email Invitation will also include the consent form attached.
   2. Session availability information from Qualtrics is used to schedule individuals for sessions. Participants are then sent an email confirming their session and including the date time and location (see “Confirmation\_Email\_Template.docx”). These participants are also sent a brief reminder email the day or so before their session, reiterating the time, date and location of their session (see “Reminder\_Email\_Template.docx)
2. Participants Attend Session
   1. Participants are seated spaced apart (as possible) and with dividers. This ensures that participants have privacy when making their decisions. Each participant is given an iPad tablet on which to play the game and make decisions.
   2. The first page of the iPad interface ensures consent. It will include a message to the effect of “By pressing next, you are demonstrating your consent to participate in this study”. Research assistants will have a printed copy of the consent form available for the participant to review if they desire. Participants indicate their consent by continuing with the study.
   3. Instructions will be delivered to the participants on-screen and audibly (either read aloud or played from recording). A printed copy of the instructions may also be placed at each participant’s station for reference during the game.
   4. Games will include a set of “knowledge test” questions before the game begins to check that participants have understood the instructions and to clarify the instructions that they may have misunderstood.
   5. Participants will play a game or make decisions by entering values and clicking buttons on the iPad tablet.
   6. When the game is complete, they will complete an exit survey which will include standard demographic questions, as well as questions relevant to the experiment.
   7. When the exit survey is complete the interface will display a message to the effect of “The experiment is now complete. Your final earnings are $X. Please bring this tablet to a research assistant to receive your payment.” Participants will then return the tablet to the research assistant, who will double check the participant’s payment and then deliver their payment in an envelope to ensure confidentiality. Participants are asked to check that the amount is correct and to sign that they received that amount. This step is done in private and one at a time.
3. Participants are encouraged to invite others.
   1. Participants are sent an email encouraging them to recommend participating in the experiment if they enjoyed it. Email includes a Qualtrics link to sign up for the participant pool. See “Participant\_Recommendation\_Email.docx”.

# Wording for Consent Forms

Consent forms will be worded according to the template (see Consent\_Form\_Template.docx)

# Section H: Risks – for the REB application

H.1.

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| Procedure/Method | Risk Type | Risk Level | Description |
| Economic Experiment | Social | Minimal | Participants will play economic games in-person We do not expect risk or discomfort different than those people encounter in daily life |
| Economic Experiment and Survey | Privacy | Minimal | Confidentiality can not be guaranteed when data is in transit over the Internet. |

H.2. For each risk identified above describe how the risk will be managed and include an explanation as to why alternative approaches could not be used.

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| Social | Participants will be completing the study within dividers and distanced from other participants to reduce the risk of someone else looking at the computer screen and potentially becoming critical of the participant’s answers. |
| Privacy | Participants’ data will be anonymized to protect their privacy. |

# Section J: Participants – for the REB application

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| J.2.2: Exclusion Criteria | * Must be 18 years old or older * Must be proficient in English * Agree to consent form |
| J.3.1. Consider the list of methods/procedures you made and, for each method/procedure, identify how you plan to recruit the participants. | Email: Individuals who have registered to receive FARE laboratory for experimental and applied economics email updates will receive an email notifying them of an upcoming research project that they can participate in. |
| J.3.2. Are you accessing non-public contact information? | Yes.  Some individuals will receive an email informing them of an upcoming study that they are invited to participate in. This email will only be sent to those who have previously contacted the FARE Laboratory for Experimental and Applied Economics and have given the lab permission to notify them regarding upcoming studies. |

J.5.1. Will you collect identifiable personal information for any purpose (e.g. recruitment, arranging interviews, providing incentives? Yes.

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| Who will have access to identifiable personal information? | The PI, Dr. Tongzhe Li. |
| How will identifiable personal information be secured? | The PI will have identifiable personal information stored on their encrypted computers. Back-up copies of the data will be stored on an external encrypted USB key which will remain locked in the laboratory room.  Student/RAs and lab manager will have access to identifiers for a given study. This is in order to facilitate experiment scheduling and sessions. |
| How long will identifiable personal information will be kept? | Until participants receive their incentive.    If participants previously agreed to have their personal information used to contact them about future FARE Lab opportunities, their information will continue to be securely stored. |
| How will identifiable personal information will be destroyed? | If participants choose not to continue to be contacted about future studies at the FARE Lab, then their identifiable personal information will be permanently removed from all devices that it was stored on. |

# Section K: Consent – for REB application

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| K.1.3. How will you ensure that consent is ongoing throughout the project? How will you ensure that necessary information is provided to participants on an ongoing basis? | Participants will be asked to give consent prior to beginning the study. If at any point a participant would like to withdraw from the study, they can inform a research assistant and exit the room to withdraw. |

K.1.6 Consider the list of methods/procedures you made in A.5 and, for each method/procedure, identify how you plan to obtain consent from participants.

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| Who will interact with participant during the consent process? | Researcher assistants listed in the REB application. |
| Describe how the participants will be informed of their right to withdraw and outline the procedures that will be followed to allow participants to exercise this right. | Participants can exit the webpage, inform a research assistant and leave the room to withdraw. The consent form will explicitly state that at any point during the study participants have the right to withdraw and that they can exercise this right by exiting the study webpage, informing a research assistant, and leaving the room. Since the data will be anonymized, participants must withdraw before they complete the study. Afterwards, this is not possible as we cannot determine which data is theirs |
| Participants must have the right to withdraw their data from the project. Exceptions include anonymous data and focus group data. Indicate what will be done with participants' data if they withdraw from the study. | If participants’ wish to have their data withdrawn from the study, their data will be deleted from the server which will run the study and an updated dataset will be created to summarize the results. For studies where the data is already anonymized, participants can inform a research assistant that they would like to withdraw their data during their session and their data will be deleted. |

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| K.2. How will information be delivered to participants? | Information will be delivered to participants electronically. Research assistants will be on-site to answer questions from participants. |
| K.3. Documentation of consent | The experiment will be conducted on iPads, the consent form will be online and participants will signify consent by selecting the “Next” button to continue to the experiment. |

# Section L: Information Security – for the REB application

L.1. Describe the data you are collecting in each category:

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| Directly Identifying Information | Name/contact information for purposes of recruitment/scheduling and providing incentive |
| Anonymized Information | Economic experiment results  Survey results |

# Section M: Data Protection – for the REB application

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| M.1. How are you recording your data or observations? Some examples are Qualtrics eSurvey, eNotes, paper notes, video recording, audio recording: | Economic experiment and survey results will be recorded in o-Tree hub. Results will be further analyzed in Microsoft Excel, R, and Stata |

M.2. How will you protect the data you are holding (identified, deidentified, coded, or anonoymous) during the following:

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| Collection | Data will be collected on o-Tree hub which will only be accessible using the FARE lab authentication credentials. |
| Transit | Data will be collected on o-Tree hub which will only be accessible using the FARE lab authentication credentials. |
| Processing/analysis | Data files will only be on the PI’s computer. Back-up copies of the data will be stored on an external encrypted USB key which will remain locked in the laboratory room. |
| After project completion/dissemination | A complete data set will be stored on an encrypted USB key in a locked cabinet accessible only by the PI. |

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| M.4. If data will be transferred electronically, indicate how this will be done securely: | Anonymized data may be transferred among PI devices and PI will ensure that data is kept within the research team. |
| M.6. If data will be made available through Open Access, please describe here. Include a statement of how this should be addressed in the consent form/communicated to participants. | The final anonymized data will be uploaded to the academic journal’s website and will be accessible to anyone who has access to the publication. The following text also appears in the consent form for participants who may wish to inquire further about the study, including accessing the data: “At the end of this study you may request information regarding the purpose and results of the study by sending an email to [farelab@uoguelph.ca](mailto:farelab@uoguelph.ca).” |
| M.6. Describe long term stewardship. Include who is responsible for the data, how it will be stored, and if there are costs involved. | The PI (Tongzhe Li) is responsible for the data. Before publication, anonymized data will be stored in their computers that are protected by passwords De-identified data will be retained indefinitely on an encrypted USB key in a locked cabinet accessible only by the PI. After publication, the final data will become available on the academic journal’s website. |

# Wording for Website

N/A

# Documentation/Record Keeping

Accompanying documents includes template emails for various purposes and a template consent form.

# External Regulatory Requirements

N/A

# Internal Related, or Referenced Policies, Procedures

N/A

# References

N/A

# Revision History

| Revision # | Reviewer | Reason | Date Last Reviewed | Next Review Date |
| --- | --- | --- | --- | --- |
| 1.0 |  |  |  |  |

# Review Cycle

Click on here to enter sources of documents used to write the procedure

# Appendices

Invitation\_Email\_Template.docx

Confirmation\_Email\_Template.docx

Reminder\_Email\_Template.docx

Participant\_Recommendation\_Email.docx

Consent\_Form\_Template.docx