FARE Lab: Lab-in-the-Field Experiments

ETHICS-SOP-METHODS\_FARE Lab-in-the-Field Experiments-031

# Document Sign-offs

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

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In Draft

# Revision information

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# Glossary of Terms

Lab-in-the-Field: an experimental setup where the standard laboratory setup (games or decisions made on iPad tablets) is taken into the field. Standard methods are applied to a sample of participants more likely to be representative of the targeted type (ex. farmers or consumers). Examples of settings include gatherings of the target participant type, such as farm shows for farmers, and farmers markets or retail locations for consumers.

# Purpose

To provide the REB and the research community with information pertaining to how the FARE Lab conducts lab-in-the-field 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.
   1. Individuals invited to participate in the experiment by researchers. Researchers ask screening questions to ensure that people are eligible to participate.
2. Participants participate in the game or decision-making activity on an iPad tablet interface.
   1. 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”. Researchers will offer a printed copy of the consent form for the participant to review. Participants indicate their consent by continuing with the study.
   2. Instructions are delivered on-screen.
   3. Most games or activities will include a set of knowledge testing questions before the game begins to check that participants have understood the instructions.
   4. Participants will play a game or make decisions by entering values and clicking buttons on the iPad tablet.
   5. 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.
   6. 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 researcher to receive your payment.” Participants will then return the tablet to the researcher, who will double check the participant’s payment and then deliver their payment in an envelope. Participants are then encouraged to check that the amount is correct and asked to sign that they received that amount. This step is done in private and one at a time.
      1. If the decision-making activity is an auction and the experiment results in a participant purchasing an item, contact information will be collected from individuals to facilitate delivery of the item. This will only occur for participants with winning bids. Their contact information will not be linked to their responses.

# 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 |
| 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 |
| Demographic Questionnaire | Privacy | Minimal | Participants will provide standard demographic information. We do not expect risk or discomfort different than those people encounter in daily life.. |

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 complete the experiment on an iPad provided by the research team and will be spaced appropriately from other participants to prevent participants from potentially becoming critical of others’ responses. |
| Privacy | Participants will have the option to decline to answer some of the demographic questions by answering “choose not to respond. All demographic survey will be set up to allow skipping any question they do not wish to answer. In general, only demographic questions which are essential to data analysis and the main research question will be included in published paper.  Responses will not be linked to participant identifiers. All participant responses in the study will be anonymous.  For auction experiments, contact information is only collected from the participants with winning bids for the purpose of arranging for the provision of the incentive and will not be linked to their responses in the experiment in any way. |

# 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   Additional criteria will apply based on target participant type. For example if farmers are the target participants, an additional exclusion criteria would be “current agricultural producer with access to piece of farmland” |
| J.4.6. Participants who withdraw are still eligible for incentives. Indicate how you will ensure withdrawing participants will receive incentives.  Researchers can prorate the incentive. If you plan to do this, please describe. | If participants start the experiment but do not complete it, they will not receive full financial compensation. Withdrawing at the stage of questionnaire however, doesn’t keep them from receiving the full amount. |

J.5.1. Will you collect identifiable personal information for any purpose (e.g. recruitment, arranging interviews, providing incentives? Yes, however, incentive amount may change for a given study; this information will be specified in the individual REB application. The consent form will be amended as applicable to reflect the incentive amount for each study as well.

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| Who will have access to identifiable personal information? | The PI, Dr. Tongzhe Li and collaborators. To provide the incentive, the provider of the items will also have access to participants with winning bid’s contact information. Provider of the product will be specified in the REB application itself as this may change. |
| How will identifiable personal information be secured? | Identifiable personal information will only be collected from participants with winning bids and will be stored on the PI and collaborator’s 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. |
| How long will identifiable personal information be kept? | Identifiable information will be kept until incentives are provided. |
| How will identifiable personal information be destroyed? | Identifiable information will be removed from all devices once incentives are provided. |

# 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. Consent will be given through an electronic consent form (on iPad). A researcher will be available to read information from the consent form verbally, if needed. If at any point before incentives are given, a participant would like to withdraw during the study, they are free to do so, and any data will be withdrawn. |
| K.3. Documentation of consent | The experiment will be conducted on iPads, the consent form will be online and in-person, and participants will signify consent by selecting the “Next” button to continue to the experiment. |

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. | The consent form will explicitly state that at any point during the study participants have the right to withdraw. Once participants complete the study, data cannot be drawn because we cannot identify which response is from whom. |
| 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. | Data will be anonymous. Participant information and responses do not have direct identifiers, and a code is not kept allowing future re-linkage.  In experiments with auctions, responses from participants with winning bids are still anonymous. Their contact information is collected separately and only to provide the incentive. |

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| K.2. How will information be delivered to participants? | A consent form will be viewed by participants in electronic form on the iPad in which the experiment is completed. Physical copies of the consent form will also be available. Researchers will be on-site to answer questions and go over information verbally, if required. |
| K.3. Documentation of consent | The experiment is completed on an iPad and the consent form is primarily shown on the iPad electronically. Consent is documented through agreeing to the consent form after it is read by “checking” a confirmation button on the iPad. |

# 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 providing incentive |
| Anonymous Information | Data will be anonymous. Names and/or directly identifying information will not be recorded with the exception of contact information from the participants who have binding bids. This will only be for the purpose of administering the incentive and contact information will not be linked to responses. |

# 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: | Data will be collected electronically on the iPads, and will be recorded in a .csv format. |

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 by iPads in .csv format which will only be accessible using the FARE lab authentication credentials. |
| Transit | Data will be collected by iPads in .csv format which will only be accessible using the FARE lab authentication credentials. |
| Processing/analysis | Data files will be transferred to spreadsheets on the PI and collaborator’s encrypted computers for analysis. 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: | Data may be transferred among PI and researchers’ devices. Data will be kept within the research team. |
| M.5. If you are pre-screening participants, describe what will happen to pre-screening information already collected if the participant is deemed not eligible to take part in the project. | Any data collected during the screening process is not recorded. |
| 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. | If publication occurs, anonymous data may be uploaded to the academic journal’s website and will be accessible to anyone who has access to the publication. Contact information of participants with winning bids is not linked to their responses and will not be published. 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 tongzhe@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, de-identified data will be stored in the PI’s computer which is password protected. De-identified data will be retained indefinitely on an encrypted USB key in a locked cabinet accessible only by the PI.  If publication occurs, the final data may become available on the academic journal’s website. |

# Wording for Website

N/A

# Documentation/Record Keeping

Accompanying documents include 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 |
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| 1.0 |  |  |  |  |

# Review Cycle

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

# Appendix

Consent\_Form\_Template.docx