

CPHS PROTOCOL NARRATIVE FORM

Instructions: Complete all applicable sections of this form. (If requesting Exempt Status, see instructions on Exempt Request form). Use language that is clear, concise, and non-technical wherever possible. Define all acronyms. A grant proposal or thesis will not be accepted in place of a protocol written according to this format. For renewals or amendments, *highlight* all changes from previously approved version on one copy. Please type. Handwritten or incomplete forms will be returned.

Lead Investigator: Professor Shachar Kariv

Protocol Title: Experimental Social Sciences Laboratory (aka Xlab) **CPHS #:** 2004-1-25

Related CPHS Title: _____ CPHS #: _____

Project(s)? Title: _____ CPHS #: _____

SECTION 1: PURPOSE AND BACKGROUND OF STUDY

- **Purpose:** Provide a brief explanation of the proposed research, including specific *study hypothesis, objectives, and rationale.*

This is the Xlab master protocol which describes the vast majority of research that will be conducted at the Xlab. No research involving human subjects will actually be conducted under this protocol because the Xlab itself conducts no experiments. Instead, Xlab facilitates experiments that fit within the scope of research described in this protocol and these may be reviewed per the Xlab – CPHS agreement (Appendix I). Xlab experiments that do not fall within the scope of research described in this protocol are not eligible for review under the Xlab – CPHS agreement and will be subject to the standard CPHS review processes.

The purpose of the master protocol experiments may be twofold. First, experimenters may wish to test, in a controlled setting, important theories in a number of areas broadly encompassed by the term “behavioral social sciences.” The controlled setting could be a laboratory, a field location or an internet-based setting. The predictive powers of these theories will be tested by conducting experiments which, in essence, involve having subjects/participants engage in a task designed by an experimenter. Second, experimenters may wish to investigate empirical phenomena in and of themselves. Such observations, though not yet described theoretically, could add to a larger picture of behavior in a particular situation.

As mentioned above, experiments conducted under this protocol must fit into one of the following categories below which are described in detail in the List of Experiments and Activities (Appendix II).

- I. Auctions
- II. Bargaining/Fairness
- III. Individual Decisions
- IV. Games
- V. Asymmetric Information
- VI. Markets
- VII. Public Choice
- VIII. Surveys
- IX. Individual Behavior
- X. Group Behavior

- **Background:** Give relevant background information (e.g., summarize previous or current related studies) on the procedures/ products/ techniques under investigation, including citations if applicable.

The Xlab is an interdisciplinary facility at UC Berkeley that supports investigators who wish to conduct research. The Xlab has an Executive Committee, consisting of Professors George Akerlof, Teck-hua Ho, Barbara Mellers and John Morgan, with IBER’s Director, Professor Paul Gertler, an ex officio member.

- [1] The Handbook of Experimental Economics, John Kagel and Alvin Roth, editors, Princeton University Press, 1995.
[2] Behavioral Game Theory: Experiments in Strategic Interaction, Colin Camerer, Princeton University Press, 2003.

[3] *Experimental Methods: A Primer for Economists*, Daniel Friedman and Shyam Sunder, Cambridge University Press, 1994.

[4] *Experimental Economics*, Douglas Davis and Charles Holt, Princeton University Press, 1992.

- *International research*: If research will be done outside the U.S., see CPHS Guidelines on Conducting Research Abroad—Demonstrating Knowledge of “Local Research Context.”

None

- *Collaborative research*: If any non-UCB institutions or individuals are collaborating in the research, discuss here and complete CPHS Cover Sheet, Part IV, *attaching any relevant IRB approvals*.

Individual protocols that are submitted through the Xlab may involve collaborative research with a non-UCB institution or individual(s).

Each protocol is required to give an explanation here that answers the bullet point above.

SECTION 2: QUALIFICATIONS OF STUDY PERSONNEL

- **Expertise**: Explain expertise of Lead Investigator, Faculty Advisor (if applicable), any co-investigators or other key personnel listed in the application, and how it relates to their specific roles on the study team.

Prof Shachar Kariv is assisted by an Executive Committee consisting of Prof. George Akerlof (Economics) and, in the Haas School of Business, Professors John Morgan, Barbara Mellers and Teck-Hua Ho. Ho, Morgan, Mellers and Kariv are all experienced investigators and have conducted hundreds of experimental sessions. Ho, Morgan and Mellers are past Xlab Executive Directors.

Shachar Kariv is an Associate Professor (with tenure) at the Economics Department. He was educated at Tel-Aviv University and New York University, where he received his PhD in economics in 2003, the same year he joined Berkeley. His fields of research and teaching are economic theory, experimental and behavioral economics. He conducted experimental research on individual and group decision-making in experimental laboratories at Berkeley, NYU, Princeton, and UCLA, among others. He collaborates with faculty at Berkeley, Caltech, Columbia, NYU, Yale, and UCLA. The theoretical and experimental research of Prof Kariv has been published in a variety of leading academic journals, including the *American Economic Review*, the *American Economic Journal: Microeconomics*, *Journal of Economic Theory*, and *Games and Economic Behavior*. Prof Kariv held visiting positions at the European University Institute and at the Institute for Advanced Studies.

John Morgan is the Founding Director of Xlab since its inception in 2002. He was selected by the American Economic Association as its lead instructor in its program on experimental economics. He served on the IRB at Princeton University from 1997-2000. He has run over 100 experimental sessions at Xlab and elsewhere.

Barbara Mellers’ expertise is in the study of human judgment and decision making. Prof Mellers develops behavioral models of what people actually do, as opposed to what optimal models say they should do. She is also interested in the policy implications of behavior that deviates from rationality.

Teck-Hua Ho is the William Halford Jr. Family Professor of Marketing. He is an expert in the behavioral and experimental economics with a spectrum of widely cited publications in top journals of this field.

George Akerlof is the Koshland Professor of Economics and 2001 Nobel Laureate in Economics.

- **Training**: For *graduate or undergraduate students* who are Lead Investigator or key personnel of the study, confirm training to conduct research with human subjects (now required for all student researchers—see CPHS Cover Sheet, Part VI). *Attach copy of completion report for each individual.*

All graduate or undergraduate students who conduct Xlab master protocol experiments are obliged to have training in the protection of human subjects and must complete the Collaborative IRB Training Initiative (CITI) Social/Behavioral modules (link available on the CPHS website). *Copies of CITI certificates must also be included with individual study protocols.* All principal investigators and key personnel involved in Xlab master protocol research that is funded by the NIH must satisfy the mandatory NIH requirements for training in human subjects protections. All certificates of completion will be kept on file at the Xlab.

SECTION 3: SUBJECTS (Persons/Records/Specimens)

- **Eligibility:** Describe proposed subject population, including criteria for study inclusion and exclusion (e.g., age, health status, language group). If any inclusion or exclusion criteria are based on gender, race, or ethnicity, explain rationale for the restrictions. Indicate how, when, and by whom prospective subjects will be identified and eligibility determined (provide fuller discussion of recruitment, screening, and consent process in Sections 4-6). Describe randomization or other assignment method for intervention and control groups.

Xlab plans to establish a subject pool of up to 30,000 potential experiment subjects age 18 and above. From this subject pool, approximately 2500 participants will be recruited for individual experiments. The pool is currently made up of students and staff at the University of California, Berkeley, who indicate an interest in participating in the experiment.

- **Number:** State total number of subjects planned for the study and how many must be recruited to obtain this sample size. Explain how number of subjects needed to answer the research question was determined.

Social science experiments run in the Xlab will vary in sample size. The number of participants will vary between 2 and 50 depending upon the number of subjects needed to answer the research question of the individual experiments.

- **Vulnerable Subject Groups:** Indicate whether any proposed subjects are children/minors, prisoners, pregnant women, those with physical or cognitive impairments, or others who are considered vulnerable to coercion or undue influence.

Xlab experiments will not involve any vulnerable subject groups.

SECTION 4: RECRUITMENT

Summary: Explain how, where, when, and by whom prospective subjects will be identified/selected and approached for study participation. NOTE: If researcher is subject's instructor, physician, or job supervisor, or if vulnerable subject groups will be recruited, explain what precautions will be taken to minimize potential coercion or undue influence to participate.

Subjects will be recruited in one of two ways:

1. The Xlab maintains a database of prospective subjects referred to as the Xlab subject pool. In order to become part of the subject pool, persons register on-line at the Xlab's website. They are asked to supply information about themselves concerning their status (student/staff), year they were born, gender, race/ethnicity, GPA, language ability (native English or not), length of residence in the U.S. They are informed that providing this information is not mandatory, but that the more information they provide the higher their chances of being asked to participate in any particular experiment. A mock-up of this screen is attached as Appendix III.

The Xlab advertises its subject pool through a variety of methods including the Xlab website, emails, flyers, information tables at Staff Appreciation Day, and faculty in class announcements about the possibility of participating in Xlab experiments. An example of such solicitations is attached as Appendix IVb. Interested individuals will be asked to subscribe themselves to the Xlab mailing list via email for further notice of our experiments.

The on-line subject recruitment system is managed on a secure site by Sona Systems under contract from the Xlab. Sona Systems performs this service for several other university-based experimental laboratories and has appropriate safeguards for guaranteeing the security of all information collected.

Persons already in the subject pool will be solicited for specific experiments through e-mails sent by the Xlab staff, stating that subjects can sign up for a particular experiment at a given time(s), and that those who participate in the experiment will earn some average hourly payment (typically, \$15 per hour), or some combination of cash, electronic gift code and/or goods (e.g., coffee mugs). An example of such solicitations is attached as Appendix IVa

2. The second method of recruitment is through course subject pools, but not until those courses have been completed. There will be two such subject pools, both at the Haas School of Business: students from UGBA 105 (Organizational Behavior) are available to faculty in the OBIR group, and students from UGBA 106 (Introduction to Marketing) are available to faculty in the Marketing group. Reference CPHS approval #2005-11-42 OBIR subject pool and #2007-8-6 Marketing subject pool. Students in both classes will be asked to sign up for a fixed

number of experiments through the Xlab's on-line subject management system. They will receive course credit (and possible payment) for their participation. At the end of the semester, students in these courses will be offered the opportunity to join the Xlab's general subject pool.

The Xlab will open its subject recruitment and laboratory facilities to the investigators offering course credit referred to above ONLY when each course-based experiment has a CPHS-approved protocol. Course-based experiments will not be submitted to CPHS under the Xlab's Master Protocol.

We will ensure that if a faculty member who wishes to use the Xlab happens to be teaching UGBA 105 or 106, students will not be pressured in any way to sign up for that faculty member's research studies. Students will be reminded before they sign up for a study, and again before each experiment, that their instructor has arranged for alternative assignments if they do not wish to participate in any particular experiment.

- **Recruitment Materials:** Describe and *attach samples of any recruitment materials* (e.g., letters, flyers, advertisements [note type of media/where posted], scripts for verbal recruitment).

Sample recruitment materials are attached as Appendices IVa and IVb. *All recruitment materials for individual Xlab experiments must be included with the individual application.*

- **Permissions:** If applicable, describe and *attach IRB approval or letter of permission/ cooperation* from institutions, agencies or organizations where off-site subject recruitment will take place (e.g., another UC campus, clinic, school district).

N/A

SECTION 5: SCREENING PROCEDURES

- **Summary:** If prospective subjects will be screened via tests, interviews, etc., prior to entry into the "main" study, explain how, where, when, and by whom screening will be done. NOTE: *Consent must be obtained for screening procedures as well as "main" study procedures. As appropriate, either: 1) create a separate "Screening Consent Form," or 2) include screening information within the consent form for the main study (see Section 6).*

Screening could be based on age, gender, race/ethnicity, GPA, language ability (native English or not), length of residence in the U.S. for experiments in economics, psychology, statistics, etc. All volunteers for particular experiments will be accepted up until a fixed number of slots per experimental session is filled on a first-come first-serve basis. When recruitment is done via a volunteer email list, we will simply invite only those subjects' who meet the necessary criteria – if there are any – to participate in a study. If screening is done in the Haas Business School's subject pool (reference CPHS approval #2005-11-42 OBIR subject pool and #2007-8-6 Marketing subject pool.), it must comply with procedures specified in the protocol approved for that experiment. All screening data on non-enrollees will be destroyed and no records will be kept by the researcher.

- **Identifiable Personal Information:** Indicate if identifiable personal information will be obtained as part of the screening process. (Confidentiality issues should be addressed in Section 11).

Yes. Persons registering for the Xlab subject pool supply identifying information. It is used only by the Xlab for the purposes of paying the subjects. Identifying information is stored in a private network managed by Sona Systems and is accessible only by the Xlab staff.

SECTION 6: INFORMED CONSENT

NOTE: *See CPHS Informed Consent Guidelines before completing this section.*

- **Summary:** Explain how, where, when, and by whom informed consent or assent will be obtained. NOTE: *If any vulnerable subject groups/other special circumstances are involved (e.g., use of surrogate consent), address considerations appropriately.*

Each individual protocol submitted for review under the Xlab-CPHS agreement should include a description of consent procedures specific to and appropriate for the experiment(s) that will be conducted.

Informed consent must be obtained from participants before beginning any experiment(s). In general, the consent process will be carried out in person by one of the key personnel on the individual study protocol who will be available to answer any questions about the research. To be enrolled in the experiment, the participant must sign a consent form that describes one of the permissible categories of Xlab master protocol experiments (see Appendix II) and includes the required elements of informed consent (per CPHS Guidelines on Informed Consent). For some experiments, researchers

may request waiver(s) of the requirement for documented consent (the “signature” requirement) and/or waiver(s) of one or more elements of informed consent. Requests for waivers are discussed in more detail below.

As minors are not eligible to enroll in Xlab experiments, consent documents all include a sentence indicating that by consenting to participate, the individual certifies that he or she is 18 years of age or older.

In cases where audio/video tape recordings may be kept and used for purposes other than the immediate research, the consent document will also include reference, and instruct the participant to fill out, a Media Records Release Form which will be attached to the consent form.

- **Consent Materials:** Describe any consent/assent form(s) to be used, and *attach copies*.

If *screening procedures* will be done for the study, see above. Whichever method is used (separate consent or part of the main consent), the form should include a statement regarding what will happen to screening information collected for individuals who do not enter the study.

If any *vulnerable subject groups* will be involved, address appropriately (e.g., if study includes minors, both an assent form for the child and a consent/permission form for the parent(s) may be required).

For *international research*, provide for and describe *local contacts* in the area.

Sample consent materials are attached as Va, Vb, Vc. *All consent materials for individual Xlab experiments must be included with the individual application.*

- **Request for Waiver of Consent:** If you are requesting waiver of any of the required elements of informed consent, or waiver of documented consent, or waiver of parental consent or child’s assent, provide justification and describe plans for any additional safeguards. (See CPHS Informed Consent Guidelines).

For some experiments, it may be appropriate to request a *waiver of the requirement for documented consent* (the “signature” requirement) and/or a *waiver of one or more elements of informed consent* as follows.

A *waiver of documented consent* should be requested for research in which the participant will be asked to provide consent verbally (for example, over the phone), using a button or checkbox on the web, or indicating consent by some other means that does not involve a signature or thumbprint. In such cases, participants must be presented with a written or oral statement containing the elements of informed consent, as appropriate.

When requesting a waiver of the documentation requirement, a copy of the consent document (script or written statement) to be used must also be provided for review, and the individual study protocol must explain how consent will be obtained and include a rationale for the waiver. The rationale for a waiver of the requirement for documented consent should be based on one of these criteria:

(a) The research presents no risks of harm, considering probability and magnitude, greater than those ordinarily encountered in daily life or during the performance of routine examinations or tests, and the research involves no procedures for which written consent is normally required outside of a research context.

(b) The only record in the researcher’s possession linking the subject and the research would be the consent document, and the principal risk of the study would be potential harm resulting from a breach of confidentiality. Each subject must be asked whether they want documentation linking them with the research, and the subject’s wishes will govern

A *waiver of one or more consent elements* should be requested for research in which when an element of information normally required to be included in the consent form is withheld. For example, if the full purpose of the study or certain study procedure will not be disclosed to participants in the consent document because doing so could bias the results of the experiment a waiver should be requested.

When requesting a waiver of one or more consent elements, a copy of the consent document to be used must also be provided for review and it should include all required information except of course that for which the waiver is being requested. The individual study protocol must explain how consent will be obtained and include a rationale for the waiver. The rationale for a waiver of one or more consent elements should satisfy all of these criteria:

(a) The research presents no risks of harm, considering probability and magnitude, greater than those ordinarily encountered in daily life or during the performance of routine examinations or tests

- (b) The waiver will not adversely affect the rights and welfare of the subjects
- (c) The research could not be feasibly carried out without the waiver or alteration
- (d) Whenever appropriate, the subjects will be provided with additional pertinent information after participation

When a lack of full disclosure is involved, experiments will generally end with a debriefing. The full nature and purpose of the experiment and/or any other information that was withheld will be explained to the participant and the participant will be given the opportunity to withdraw their consent for use of the information collected about them. If for some reason it would not be appropriate to debrief participants and provide them with the information that was withheld, this will be explained and justification will be provided.

Experiments covered by the Xlab master protocol may not involve outright deception. Investigators whose experiments do involve deception are not eligible for review under the Xlab-CPHS agreement and are required to submit their protocols directly to CPHS.

SECTION 7: STUDY PROCEDURES

- **Summary:** Describe how the research will be conducted, providing information about all study procedures (e.g., interventions/interactions with subjects, randomization, photographing, audio- and/or videotaping, data collection), including follow-up procedures. (Screening procedures should be discussed in Section 5).
Be sure to make clear what the sequence of study procedures is (i.e., describe in chronological order).

Each individual protocol submitted for review under the Xlab-CPHS agreement should include a description of study procedures specific to the experiment(s) that will be conducted.

Subjects will participate in decision-making tasks, surveys and interviews, and group activities in a computerized environment that enable the experimenter to record all of the responses made by the subjects. Sessions may involve multiple repetitions of a particular economic game or games. Some experiments (e.g., a brief minute survey given to a large number of participants) may be conducted in a classroom setting instead of the Xlab.

Surveys could take different forms. With a typical survey, subjects simply answer a series of questions. However, some surveys are nested in a controlled experiment. For example, if an experimenter were interested in the effects of moods on survey responses, he or she would randomly assign subjects to different groups. In each group, subjects would read materials (e.g., a story, a newspaper article) or watch a film clip that was pre-tested to induce a mild mood (i.e., happy, sad, angry, frightened). Each group would then be given a questionnaire and differences across groups would be attributable to mood effects. Surveys may be conducted online or on paper. In some cases, respondents might be asked to mail back a survey. If so, they will be given envelopes and postage to cover the costs. No sensitive or embarrassing topics will be asked.

In a group or team experiment, subjects might be randomly assigned to pairs to negotiate a solution to a conflict. In other experiments, they might be assigned to larger groups to brainstorm. Once again, if participants were randomly assigned to groups and if groups were given different instructions, group experiments would be nested in a controlled experiment. Subjects might communicate electronically or they might communicate face to face. In either case, no sensitive or embarrassing topics will be discussed.

Interviews will be conducted one on one in a private, comfortable place. Once again, no sensitive or embarrassing topics will be discussed. Some experiments might involve audio or video recording. If so, permission for taping will be requested at the beginning of a session. If a subject declines, his or her decision will not be held against him or her. Subjects will be thanked and debriefed at the end of the experiment.

Some studies might involve web-based data collection from computers in the Xlab or from computers located elsewhere (e.g. subjects home, staff office, etc.). If so, all subjects will be told that their participation is voluntary and, if the subjects are students participating as part of a course requirement, that there are alternative assignments if they prefer. In addition, they will be reminded that their data will kept confidential as it would in any other experiment. Again, subjects will be thanked and an informational debriefing or deception debriefing will be given at the end of the experiment.

- **Study Personnel, Location, Time:** Explain who will conduct the procedures, where and when they will take place. Indicate frequency and duration of visits/sessions, as well as total time commitment for the study.

Experiments will be conducted in the Xlab, located in S460 Haas. Who will conduct the procedures, when they take place, the frequency and duration of the visits/sessions will vary depending upon the experiments.

[If experiments will be conducted somewhere other than the Xlab, this should be explained above].

- **Experimental vs. Standard Procedures:** Identify any procedures that are experimental/ investigational and explain how they differ from standard procedures (medical, psychological, educational). If applicable, distinguish between procedures that the subject would undergo regardless of enrollment in the study and procedures done specifically for study purposes.

All procedures used in the Xlab (see Appendix II for a list of experiment types) are standard within the field of experimental economics/social science.

- **Deception:** If deception will be used, provide justification and explain plans for de-briefing subjects. (NOTE: If deception involves a significant lack of full disclosure at time of subject enrollment/consent, the CPHS may require a post-study re-consent as part of de-briefing process).

Experiments covered by the Xlab master protocol may not involve outright deception.

- **Drugs/Devices:** If study involves an experimental drug or device, complete IND/IDE information on CPHS Cover Sheet. Describe any study drug here, including generic and/or chemical name, how it is supplied (e.g., powder, capsule, liquid), administration method and schedule, etc.

N/A

- **Placebo:** If placebo will be used, provide rationale and explain why active control is not appropriate.

N/A

- **Data Collection Instruments:** If interviews, questionnaires, surveys, or focus groups will be conducted for the study, provide citations for standard instruments and *attach any non-standard instruments to be used.*

Instruments specific to each experiment will be provided in each individual CPHS application.

- **Identifiable Personal Information:** Indicate if identifiable personal information will be obtained from/about subjects. (Confidentiality issues should be addressed in Section 11).

Identifiable information may include collection of subject identity via enrollment or signed consent forms. In some cases, researchers will only know the code # assigned to a participant but will not maintain a list, or have access to a list that matches code # to subject identity. *Researchers will specify in their Protocol Narrative what type of identifiable personal information, if any, will be collected, recorded or retained for their experiment.*

SECTION 8: RISKS/DISCOMFORTS

- **Summary:** Describe all known risks, discomforts, and/or side effects of study procedures, whether physical, psychological, or social (e.g., pain, stress, invasion of privacy), noting probability and magnitude of potential harm. Include risks of randomization and placebo if applicable.

All experiments conducted at the Xlab will be of minimal risk to participants. The primary “risk” is the possibility of mild dissatisfaction with one’s performance or concerns about information that may have been withheld. Based on past experience with similar experiments, this risk is exceedingly low and full debriefing will be provided when appropriate.

- **Measures to Minimize Risks/Discomforts:** Discuss measures that will be taken to minimize risks or discomforts to subjects.

Subjects are always given the option to leave the experiment at any time. When appropriate, debriefing information will be provided and subjects will be given the option to disallow use of their data.

- **Currently Unknown Risks:** Indicate if study procedures may involve risks to the subject (or to the embryo or fetus, if the subject is or may become pregnant) that are currently unforeseeable.

N/A

SECTION 9: BENEFITS

- **Summary:** Describe any potential benefits to the individual subject, group of subjects, and/or society. If subjects will not benefit directly from study procedures, this should be stated. NOTE: Do not include compensation/ payment of subjects in this section, as remuneration is not considered a “benefit” of participation in research (compensation/ payment should be addressed in Section 12).

There are no direct benefits to the subjects from participation in Xlab experiments. The hope is that information obtained will benefit society in general, with the experiments designed to test various theories of economic and social behavior.

SECTION 10: ALTERNATIVES TO PARTICIPATION

- **Summary:** Describe appropriate alternative resources, procedures, courses of treatment, if any, that are available to prospective subjects. If there are no appropriate alternatives to study participation, this should be stated. If the study does not involve treatment/intervention, put "N/A" here.

N/A

SECTION 11: CONFIDENTIALITY

NOTE: See CPHS website for Data Security Policy before completing this section.

- **Summary:** Explain how subject privacy will be protected and how confidentiality of subject information will be maintained.

When studies are conducted in the Xlab, subjects will be assigned subject numbers, which will be used to record all data. Any records associating subject numbers with subject names will be locked in a secure place by the principal investigator in charge of each experiment, or by the Xlab administrators – depending on each individual study design for identifiable or coded data collection. The list of subject names and subject numbers will be stored separately from any coded data. All data will be stored in a secure, locked location.

When researchers chose to run their experiment outside of the Xlab room and the Xlab staff is not available to provide administrative services, researchers will ask participants to provide their name and UC student/staff ID numbers for the purpose of signing in participants and collecting payment receipts. At the end of the experiment, the sign-in sheet and payment receipts collected will be submitted by the researcher for reimbursement. Once the sign in list and payment receipts are submitted for reimbursement, the researcher will no longer have access to the personal information of the participants. The collection of personal information is sometimes necessary to allow researchers the flexibility to run their experiment elsewhere.

Each individual protocol submitted where a researcher chooses to personally run the experiment should include a description of how the data will be collected anonymously and not connected to the personal identification collected for the purposes of issuing payment.

In team experiments, group members may know the identity of the other participating subjects. In all cases, the individuals involved will be asked to maintain strict confidentiality of others responses in the group session.

Names or other identifying information of participants will not be used in any final reports of the research without prior written consent from the individual. An additional signature line for use of identifying or for direct quotation in final reports will be included in the consent form when applicable.

- **Access to/Security of Study Records:** Discuss who will have access to study records/specimens and how the records will be secured. Address all applicable points below:
 - Will subjects be asked to give permission for release of identifiable data (e.g., information, videotapes), now or in future? If so, explain here and include appropriate statements in consent materials.

Yes for some studies. See attached Appendix IVc Consent Form.

- Will data will be collected anonymously (i.e., no identifying information from subjects will be recorded/collected)?

No, in most cases data will not be collected anonymously.

- If identifying information will be collected, explain at what stage identifiers will be removed from the data/ specimens.

Persons registering for the Xlab subject pool supply identifying information (e.g., student or staff ID number), but such information is not available to individual investigators **unless it is specifically indicated on the researcher's**

individual protocol. It is used only by the Xlab for the purposes of pre-screening and is stored in an encrypted private network managed by Sona Systems and is accessible only by the Xlab staff.

Subjects recruited for individual experiments will be assigned subject numbers, which will be used to record all data from that experiment. Records associating subject numbers with subject names will be available only to the Xlab staff for purposes of generating subject payments and are stored in a secure **unless it is specifically indicated on the researcher's individual protocol**, locked location under control of the Xlab's data stewards.

In most cases, this subject code number will suffice for researcher use and analysis. If researchers will assign any other codes to respondents, this will be specified in each protocol.

- If identifiers will be retained, explain why this is necessary and how confidentiality will be protected.

Persons registering for the Xlab subject pool supply identifying information (e.g., student or staff ID number), but such information is not available to individual investigators. It is used only by Xlab staff for the purposes of pre-screening and is stored in an encrypted private network managed by Sona Systems and is accessible only by the Xlab staff. This is necessary to enable Xlab to recruit subjects multiple times for further experiments.

- If the data is coded, explain where the key to identifiers will be stored, how it will be protected, and who will have access to it.

The key to identifiers is stored on the Sona Systems secure, encrypted private location and is available only to the Xlab's designated data steward.

- Indicate whether research data/specimens will be destroyed at the end of the study. If data will not be destroyed, explain why, where, in what format, and for how long it will be retained.

Research data from individual experiments will always be under the control of individual experimenters and will not be kept by the Xlab in any form. All data from Xlab experiments will be devoid of individual identifiers and thus rendered anonymous to the experimenter. Data are likely to be retained by experimenters to facilitate the scientific review and replication processes.

- Explain how data collection instruments, audiotapes, videotapes, photographs, etc. will be stored and who will have access to them. Indicate at what point they will be transcribed and/or destroyed (if ever).

Data collection instruments, audiotapes, videotapes, etc. from individual experiments will always be under the control of individual experimenters and will not be kept by the Xlab in any form. All such instruments from Xlab experiments are likely to be retained by experimenters to facilitate the scientific review and replication processes.

Individual protocols will describe plans for data retention and confidentiality measures related to long term storage of study materials.

NOTE: The CPHS does not require that researchers destroy their human subjects data at the completion of their research. *Whenever appropriate, researchers may retain study data for future use/ other research purposes as long as they make provision in the protocol and consent documents for such use.* Researchers must spell out in the protocol how confidentiality will be maintained vis-à-vis long-term storage of data and/or granting of access to other researchers, and the consent forms must clearly ask subjects for permissions in this regard.

- **HIPAA:** If any of the study data sources are covered entities under HIPAA (Health Insurance Portability and Accountability Act), explain what arrangements have been made to comply with the Privacy Rule regarding subjects' "protected health information." (See CPHS website for HIPAA guidance).

N/A

- **Reportable information:** If it is reasonably foreseeable that the study will collect information which state or federal law requires to be reported to other officials (e.g., child or elder abuse) and/or ethically requires action (e.g., suicidal ideation), discuss here and reference reporting requirements in consent documents.

N/A

- **Certificate of Confidentiality:** In certain circumstances, researchers may plan to protect research records from subpoena by seeking a Certificate of Confidentiality (<http://grants.nih.gov/grants/policy/coc/index.htm>). If a Certificate of Confidentiality will be sought for this study, indicate here and reference in consent documents.

N/A

SECTION 12: FINANCIAL CONSIDERATIONS

- **Compensation/payment:** Describe plan for compensation of subjects by addressing points below. If no compensation will be provided, this should be stated.

Xlab policy is that investigators must pay a "show-up" fee of at least \$5 (five) to subjects who arrive on time for an experiment but, for some reason beyond the subjects' control (too many subjects, experiment cancelled, etc), do not get to participate in the experiment. As indicated in the Consent Form, subjects who begin, but withdraw from, an experiment will not receive any compensation (course credit, incentive payment, or show-up fee). To be considered as having arrived "on time," subjects must check in at least fifteen minutes prior to the start of an experiment.

Experimenters are required to set compensation rates for subjects participating in their experiments. In economics experiments, a typical average compensation rate is at least \$15 (fifteen) per hour of lab time. It is Xlab policy that a \$15 (fifteen) participation fee be paid to subjects in experiments that are begun but cannot be completed due to technical or other difficulties.

In some experiments, payments will be flat rates (e.g., \$15/hour) for participation. In others, subjects will receive variable payments based on their choices, responses, or decisions during an experiment. Subjects will be paid at the conclusion of the experiment/group activity/survey/interview by check or by cash. Payouts to participants will normally not exceed \$40/hr, and participants will never be in the position of owing money to the experimenter.

For online experiments conducted in remote locations, payments to participants will be made within 48-hours of completion of the experiment. Payment will be by Amazon Electronic Gift Codes and the codes will be sent in an email or subjects will be required to go to a secured website to claim their electronic gift code. Reference Appendix VII, the sample EGC (electronic gift code) email.

Information about any potential payments to be earned or issued for participation in individual experiments as well as course credit for participation will be included in all consent forms.

- If subjects will be compensated for their participation, explain in detail about the amount and methods/ terms of payment.
 - Include any provisions for partial payment if subject withdraws before study is complete.
 - When subjects are required to provide Social Security number in order to be paid, this data must be collected separately from consent documentation. If applicable, describe security measures that will be used to protect subject confidentiality.

N/A

- If non-monetary compensation (e.g., course credit, services) will be offered, explain how it will be provided.

Not all subjects will necessarily be paid. Some may be given only course credit if they were recruited from one of the classroom subject pools.

- Discuss reasoning behind amount/method/terms of compensation, including appropriateness of compensation for the study population and avoiding undue influence to participate.

Modest payments are a standard feature of experiments listed in Appendix III. Differential incentives, essentially based on performance relative to others in the experiment is an essential feature of such experiments, as they focus subjects' attention and keep them from attempting to game the experiment.

- **Costs to Subjects:** Describe any costs/charges which subjects or their insurance carriers will be expected to pay. If there are no costs to subjects or their insurers, this should be stated.

None.

- **Treatment and Compensation for Injury:** *If the study involves more than minimal risk*, indicate that the researchers are familiar with and will follow University of California policy in this regard, and will use recommended wording on any consent forms (see CPHS Informed Consent Guidelines).

N/A

SECTION 13: ADVERSE EVENT MANAGEMENT/REPORTING

- Explain how subjects' unanticipated negative outcomes/experiences or serious adverse events will be managed.

As Xlab studies never involve more than minimal risk, the possibility of unanticipated problems or adverse events is negligible. Negative outcomes will generally be managed on the spot by the individual investigator and the Xlab staff

assisting with the experiment. Problems not amenable to immediate resolution are referred to the Xlab Manager and, ultimately, to the Xlab Director.

- Describe plans for provision of treatment for study-related injuries, and how costs of injury treatment will be covered (see "Treatment and Compensation for Injury" above).

Xlab studies never involve more than minimal risk.

- Discuss plans for reporting adverse events to CPHS (See CPHS website for Adverse Events information).

Any unanticipated problem or serious adverse event (as defined in CPHS Policies & Procedures) will be reported by the Xlab Director to the Director of the Office for Protection of Human Subjects ***as soon as possible, but within no more than one week (seven calendar days) of the Lead Investigator learning of the incident.***

SECTION 14: ATTACHMENTS

- Please list all attachments (e.g., consent forms, survey instruments, recruitment materials, appendices) included with your submission.

Appendix I	Xlab-CPHS Memorandum of Agreement (MOU)
Appendix II	List of Experiments and Activities
Appendix III	Sona Systems Pre-survey Questionnaire
Appendix IVa	Sample Recruitment email – Announcement for New Xlab Experiment
Appendix IVb	Sample Recruitment email –
Appendix Va	Standard Consent Form for Xlab Studies
Appendix Vb	Consent Form For Online Surveys/Questionnaires
Appendix Vc	Media (Photographic, Audio, and/or Video) Records Release Form
Appendix VI	Sample Debriefing Form
Appendix VII	Electronic Gift Code (EGC) sample email