

Gift Cards Guidelines

Use of Gift Cards for Human Subject Participants Guidelines

The Office of Research & Innovation supports gift card purchases for human subjects on research projects funded by sponsored projects (external funds), OUR Awards (institutional funds), and Internal SEED Awards (institutional funds). Researchers must follow the outlined guidelines below:

How to Initiate the Gift Card Purchase Request

1. An approved IRB protocol is required for the study that describes how the gift cards will be distributed. To get IRB approval for your study please email (irb.research@umassd.edu)
2. Effective July 1st, 2022: In order to obtain gift cards for your research study, prior approval is REQUIRED. Concur Platform is used to initiate a New Request/Prior Approval under the PI's Concur Profile. This step is completed at the Department/College level. Please select "Sponsored Funds" if the award is funded externally and select "Non Sponsored Funds" if the award is funded by institutional funds – This will determine the approval workflow.
3. Once prior approval is granted, the Business Expense Form for the Gift Card expense will need to be completed by the PI. The form must be signed by the Requester and the Supervisor. Dean signature is needed only if it is required by the college.
4. Once the IRB approval letter, a screenshot of the Concur Prior Approval and the signed Business Expense Form are received by Zeina Madeiros (zmadeiros@umassd.edu), Research Support staff in ORI will review all documents and will contact the Research Faculty to proceed.
5. Gift Cards are issued electronically via Amazon. Physical gift cards requests will only be issued on an exceptional basis and with prior approval from the CRO/AVCR. These gift cards will be purchased from a vendor at the CRO/AVCR's discretion. Per Controller's Office – Gift cards are a form of cash; we are not allowed to purchase them months in advance. If purchase of physical gift cards is approved, the Research Faculty and/or the College is responsible to distribute to participants within a short period of time. Research Faculty cannot hold for future purposes. If

for any reason, there are - gift cards not given to participants, it is the responsibility of the Research Faculty/College to store them in the Bursar's Office.

6. Massachusetts State Employees must complete the Reportable Gift Card Form if they received a gift card as a participant - Once completed and signed, Research Faculty will need to send to HR.
7. For non-employees participants, the Controller approved the usage of the compensation log as a certification form that physical cards were issued to those participants as long as each participant sign on that compensation log. This will be in lieu of filling out a Reportable form for each participant when managing a large number of physical gift cards.
8. The requester must complete and sign a Gift Card Compensation & Tracking Log.
9. The Office of Research & Innovation must receive copies of all receipts via the Acknowledgement Form and Gift card tracking logs.

The PI & Department/College Responsibilities are as follows:

- **Request** – Send your request by e-mailing Zeina Madeiros at zmadeiros@umassd.edu Your request should include the following:
- **IRB Approval Letter** – Required for human participant research.
- **Prior approval** – Required and processed using Concur Platform under the PI Concur profile.
- **Business Expense Form** – Completed & Signed by all required department levels.

Gift cards will NOT be issued until all of these documents are received.

PI Responsibilities:

- PI shall not use a University ProCard that has been issued to them for the purpose of purchasing gift cards in association with this process Reimbursement will not be approved. There are no exceptions to this.
- PI is required to retain and submit any confirmation of a gift card being sent to the individual (e.g. Amazon e-mail) Receipt confirmation is the responsibility of the PI.
- Completion and submission of the compensation/tracking log template.
- Complete and submit to Human Resources (for Employees) the Reportable Gifts, Awards, and Prizes: Documentation Form.

This form is required to be completed and returned by all recipients (Employees/Non Employees) who received non-electronic gift cards. Exception: If the gift cards quantity is too large, the compensation log can be used as long as each non-employee participant is able to sign the log -- the log/form will be saved in Research files for auditing purposes.

Failure to follow these procedures may result in termination or revocation of such services upon the discretion of the CRO.

ORI Responsibilities are as follows:

- Reminders – A message will be e-mailed to the PI & Department Chair if insufficient documentation is not received within the indicated time frame when a transaction has been processed.
- All Gift Cards will be purchased utilizing a designated Research Gift Cards Bank Card.
Processing of a journal entry of the Bank Cards transactions to the correct funding source and account code.

Please note, depending on the paperwork required, additional time may be needed in order to process a request. Questions or concerns should be directed to Zeina Madeiros in the Office of Research & Innovation at zmadeiros@umassd.edu