

Use of Gift Cards for Human Subject Participants Guidelines

The usage of gift cards as a recruitment & incentive method for human participant studies continues to grow. The Office of Research & Innovation serves as the Central Gift Cards Bank Card coordinator for gift card purchases for human subjects. When utilizing University funds for participant compensation, Researchers must follow the outlined guidelines below:

How to Start the Gift card Purchase Request

1. The process starts by having an approved IRB protocol for the study that describes how the gift cards will be used. To get IRB approval for your study please email to irb.research@umassd.edu - **If no IRB approval is needed but human subjects are part of the study, the Office of Research & Innovation can assist whether the source of funding is originated by sponsored or non sponsored funds. - This should be the first step in the process.**
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/Expense Prior Approval under the PI Concur Profile. This should be the second step in the process.
3. Once prior approval is granted. The Business Expense Form for the Gift Card expense will need to be completed by the PI. This form must be signed by all required department levels.
4. Send the IRB approval letter (if applicable) and signed Business Expense Form to Zeina Madeiros (zmadeiras@umassd.edu) in the Office of Research & Innovation. Research support staff will review all documents and will contact the Research Faculty with the approval to proceed.
5. Gift Cards are issued electronically via Amazon. Physical gift cards requests will only be issued on an exception basis and with prior approval from the CRO. These gift cards will be purchased from a vendor of the CRO'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 couple of gift cards not given to participants, it is the responsibility of the Research Faculty/College to store them in the Bursar's Office.

**Massachusetts State Employees must complete the: Reportable Gifts Awards and Prizes Documentation - This is a requirement from the University Controller's Office.*
6. The requester must complete and sign a Gift Card Compensation & Tracking Log.
7. The Office of Research & Innovation must receive copies of all receipts and Gift card tracking logs. **Please follow the checklist to complete the process:**

The PI & Department/College Responsibilities are as follows:

Request – Send your request by e-mailing Zeina Madeiros at zmadeiras@umassd.edu Your request should include the following:

IRB Approval Letter (If Applicable) Required for human participant research.

Payment must be reasonable and appropriate to the research task(s).
Researchers are advised to collect, keep & protect data, in accordance with known policies for data security and anonymity

PRIOR APPROVAL FROM THE UNIVERSITY REQUIRED AS OF JULY 1, 2022

For sponsored funds and non sponsored funds, prior approval is required and processed using Concur Platform under the PI Concur profile. Approval must be confirmed prior to the Business Expense Form. Gift cards will NOT be issued until this form is complete.

Business Expense Form – Completed & Signed by all required department levels. Indicate whether or not the compensation is contingent upon certain conditions.
Note: Purchasing a number of gift cards at \$XX each is considered one (1) transaction so only one (1) Business Expense Form will be required.

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 procedure.

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

Complete and submit the compensation/tracking log template

Complete and submit to Human Resources the Reportable Gifts, Awards, and Prizes: Documentation Form. This form is required to be completed and returned by all recipients who received non-electronic gift cards. The only exception to this is that if gift cards (electronics and non-electronic gift cards) are issued to employees, then the Reportable Gift Awards and Prizes Documentation Form must be completed and forwarded to the HR department. This form replaces the GC Acknowledgment Form - please disregard the GC Acknowledgment Form.

ORI Responsibilities are as follows:

- Reminders – A message will be e-mailed to the PI & Department Chair if insufficient documentation is received within the indicated time frame when a transaction has been processed.
- Serving as the Central Bank Card coordinator for gift card purchases for human subjects.
- All Gift Cards will be purchased utilizing a designated Research Gift Cards Bank Card.
- Processing of JE of the Bank Cards transactions to the correct funding source and account code.

Use of centrally purchased gift cards for human subjects' incentives via centrally managed ProCard is conditioned upon compliance with the above procedures. Failure to follow these procedures may result in termination or revocation of such services.

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 (**zmadeiros@umassd.edu**)