Types of Human Subject Participation Payments

▶ E-gift Card (sent via Email or SMS)
▶ Gift Card (security protocol must be implemented)
   ➢ Mail (either sent directly from vendor or study pays postage to mail and distributes)
   ➢ In Person (purchased & distributed by research project manager, not CRDS Staff)

▶ VU ONLY: Non-PO Payment (sent via Mail or ACH)
▶ VUMC/VICTR ONLY: Check Request (sent via Mail)

Per VU Finance, gift cards should not be purchased or distributed to non-US citizens due to international tax implications. Instead, these individuals should be processed as a check request/Non-PO Payment.
## Participant Payment Types Based on Funding

For **VUMC/VICTR Funding ONLY**:  

<table>
<thead>
<tr>
<th>Payment Type</th>
<th>Disbursement Method</th>
<th>Time to Receipt</th>
<th>Supporting Documentation Required for ALL Payment Types</th>
</tr>
</thead>
<tbody>
<tr>
<td>E-gift Card</td>
<td>Email/SMS</td>
<td>2-4 Weeks</td>
<td>• Minimum e-gift/gift card amount is $25</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• Only required for Gift Card Payments</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• Cash Advance &amp; Gift Card Request form from VU Finance</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• IRB FAL</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• VICTR Payment Form including SSN (unless IRB waived)</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• Must be submitted to VICTR for payment</td>
</tr>
<tr>
<td>Gift Card</td>
<td>In person (by research staff)</td>
<td>Immediate</td>
<td>• Tax Tracking Finance Spreadsheet (Excel)</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• Monthly for all previous months’ transactions</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• VICTR dictates specific information <strong>required</strong> (IRB number, study name, ID number, visit type, etc.) for the spreadsheet which also works for VU reimbursement for VICTR funded projects</td>
</tr>
<tr>
<td>Gift Card</td>
<td>Mail (by research staff or vendor)</td>
<td>6-8 Weeks</td>
<td></td>
</tr>
<tr>
<td>Check Request</td>
<td>Mail</td>
<td>6-8 Weeks</td>
<td></td>
</tr>
</tbody>
</table>
## Participant Payment Types Based on Funding

For **VU** Sponsored Project/Funding **ONLY**:

<table>
<thead>
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<tr>
<td></td>
<td></td>
<td></td>
<td>• Payment Form including SSN (unless IRB waived)</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• SSN is <strong>only</strong> required for payments over $300 and <strong>must</strong> be in the form of a Non-PO Payment.</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• Payment options for amounts less than $300 <strong>do not</strong> require a SSN or W-9 Request for Taxpayer Identification and Certification. They include: Gift Card</td>
</tr>
<tr>
<td>Gift Card</td>
<td>In person (by research staff)</td>
<td>Immediate</td>
<td>• <strong>Tax Tracking Finance Spreadsheet</strong> <em>(Excel)</em></td>
</tr>
<tr>
<td></td>
<td>Mail (by research staff or vendor)</td>
<td>6-8 Weeks</td>
<td>• Monthly for all previous months’ transactions</td>
</tr>
<tr>
<td>Non-PO Payment</td>
<td>Mail/ACH</td>
<td>6-8 Weeks</td>
<td>• Specific information <strong>required</strong> (IRB number, study name, ID number, visit type, etc.)</td>
</tr>
</tbody>
</table>
Pros of Using REDCap

▶ Secure and HIPAA Compliant
▶ Widely used for research studies—payment can be integrated into existing REDCap workflow
▶ Information can be pulled from multiple forms in REDCap to create Tax Tracking Finance Spreadsheets and Payment Logs without duplicate entry
▶ Multiple options for secure transmission of payment form PDF and spreadsheets for processing by grants and finance personnel
▶ Data from previous payment forms can be auto filled to reduce completion burden and time for participants while allowing modifications as needed
▶ Non-signature data is either auto filled or typed in, so legibility is not an issue
▶ Wet signature option for participants approved by VUMC/VICTR and VU Finance
▶ VUSN Grants and CRDS staff recommend using REDCap Messenger
Using REDCap for Payment Forms, Finance Spreadsheets, and Payment Logs

▶ Optional Payment Instruction Form
  — Used primarily for survey studies in which instructions can’t be given orally
  — Must be approved by IRB due to customization per study

▶ Payment Form (VU or VUMC/VICTR)
  — Used with surveys or in person via tablet or computer

▶ Incentive Management Form
  — For staff to document payment sent or processed date and other information for finance spreadsheet and/or payment log

▶ Optional Incentive Follow Up
  — Brief survey used to assess whether payment was received
  — Can be automated
Documentation Submission Options for Payment Forms and Tax Tracking Finance Spreadsheet

**Payment Forms** (VUMC/VICTR requires submission; VU requires submission to point of contact for payment purchasing)
- Must be digitally signed by PI or study personnel with access
- **Hardcopy (Paper)**
  - Hand Deliver
  - Print REDCap PDF and Hand Deliver
- **REDCap (Approved by VU and VUMC/VICTR)**
  - Electronic Payment Form PDF files obtained from REDCap
  - Accellion Secure File Transfer
  - Rocket
  - REDCap (Messenger* or Send-It)
    - Set up one conversation for each study and use it for transmission of all payment form PDFs and Excel spreadsheets, as well as messages regarding participant payments

  *Recommended CONVERSATION Name: [PI Last Name] [Short Study Nickname] Payments*

  *Example: Piano Biomarkers Payments*

**Tax Tracking Finance spreadsheet** (VU and VUMC/VICTR)
- Accellion Secure File Transfer
- Rocket
- REDCap (Messenger* or Send-It)
  - Set up one conversation for each study and use it for transmission of all payment form PDFs and Excel spreadsheets, as well as messages regarding participant payments

  *Recommended CONVERSATION Name: [PI Last Name] [Short Study Nickname] Payments*

  *Example: Piano Biomarkers Payments*
EXAMPLE: Payment Form Instructions for REDCap

About Your Payment Form

If you would like to be paid to be in this study, you must fill out a Vanderbilt payment form. This form includes your name and address, phone number, social security number, and citizenship status. This information will be automatically filled if you’ve entered it into REDCap previously. Please check for errors and correct if you need to. Please fill in any blank values related to these required fields.

REDCap is a secure, HIPAA-compliant, web-based application requiring password authentication. Access to this payment form in REDCap will be restricted to IRB-approved key study personnel or Vanderbilt finance personnel processing your payment.

You will need to sign and date this form in REDCap. You can use a mouse to sign if you’re not on a touchscreen device, or use your finger or a stylus if you’re on a touchscreen device.

Study personnel can help fill out any information that you don’t know, such as the amount of payment or type of visit. You may contact study personnel at [STUDY CONTACT INFORMATION] with any questions.

Once you have filled in all required fields, signed, and dated this form, please SUBMIT it.

If you have any questions, please contact [STUDY CONTACT INFORMATION].

Thank you!

Payment Form Preference

Do you wish to be paid for this study by filling out the Vanderbilt payment form?

- Yes, I would like to fill out the payment form in REDCap
- No, I do not want to be paid for my participation in this study
- I would like study personnel to contact me about an alternative method to fill out this payment form

If applicable
Type of gift card preferred:

- e-card
- US mail

If Applicable
Card company preferred:

- Amazon
- Target
- Other

If Applicable
Are you a Vanderbilt employee?

- No
- Yes, VUMC
- Yes, VU

Submit
Save & Return Later
EXAMPLE: Payment Forms for REDCap submission*

* Same form can be filled out and printed for a paper submission
EXAMPLE: Payment Forms for Paper Payment

▶ VUMC/VICTR (from StarBRITE)

VANDERBILT UNIVERSITY MEDICAL CENTER
SUBJECT PARTICIPATION

NAME: ____________________________

ADDRESS: ____________________________

PHONE NUMBER: ____________________________

SSN: ____________________________

U.S. CITIZEN: _____ YES _____ NO

VICTR Award Protocol Number:

IRB Number:

Study Title:

Principal Investigator:

Subject will be mailed _______ for participation and completion of

for the above study. Date of Visit: ____________________________

Signature: ____________________________ Date: ____________

Subject or Parent/Guardian

Signature: ____________________________ Date: ____________

Study Coordinator

Revised 4/18/2010

▶ VUSN (from VUSN Grants Staff)

SCHOOL OF NURSING
VANDERBILT UNIVERSITY

Participant Payment Form
Page 1 of 1

Study Title:

Participant's Name:

Address:

Social Security Number: ____________________________

Are you a U.S. Citizen or Permanent Resident? Yes _____ No _____

Yield:

Amount:

Note: Payments take between 4 and 6 weeks to process.

Today's Date: ____________________________

Signature of Participant: ____________________________

Signature of Investigator: ____________________________

Account Number: 0240

Project Number: ____________________________
**EXAMPLE: Finance Spreadsheet from REDCap/VU Finance**

This is an example of a finance spreadsheet from REDCap/VU Finance. It includes data for human subject participation payments.

<table>
<thead>
<tr>
<th>IRB #</th>
<th>Name of Study or Reason for Gift/Award/Price/Payment</th>
<th>Date of Payment</th>
<th>Amount of Payment</th>
<th>Type of Payment</th>
<th>Employee's Name</th>
<th>Expense Report Number</th>
<th>Subjects/Recipient Full Legal Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>123456</td>
<td>Human Subject Participation Study</td>
<td>01/01/19</td>
<td>$100</td>
<td>Starbucks Gift Card</td>
<td>Name of gift card/purchase</td>
<td>123456</td>
<td>Participant</td>
</tr>
</tbody>
</table>

This is information related to taxable gifts, awards, and payments to IRB-FI named party. Taxable gifts, awards, and payments to Foreign Nationals must be paid through the proper Non-PO process.