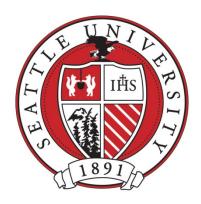
SEATTLE UNIVERSITY



Human Subjects Incentive Payments on Grant-funded Projects

Policy and Procedures Manual

Controller's Office

Table of Contents

I. Policy Overview	. 2
·	
II. Policy and Procedures	. 3
·	
III. Appendix A: Human Subjects Incentive Payment Log	. 4

I. Policy Overview

Incentive payments may be offered to human subjects in surveys or research studies conducted by Seattle University faculty, staff, and students. Payments to human subjects using external grant funds are regulated by this policy. As described herein, these payments may be offered in a variety of forms, and records of the payments must be maintained for the University.

A payment to an individual who participates in a research study is recognized as a legitimate incentive to join the study. The use and protection of human subjects in research studies is governed by the Department of Health and Human Services, Code of Federal Regulations, Title 45, Part 46 (45CFR46). Research with human subjects at SU is monitored by the SU Institutional Review Board, which works with researchers to protect their research subjects and comply with Federal Regulation 45CFR46 (http://www.seattleu.edu/irb).

II. Policy and Procedures

- 1. Human subject incentive payments that are funded through external grants will be recorded on a Human Subjects Incentive Payment Log* that is maintained by the Principal Investigator.
- 2. One or more incentive payments that total(s) more than \$50.00 in a calendar year will require the human subject(s) to complete an IRS Form W-9 for tax purposes. An Investigator may assure a human subject that his/her confidentiality will be maintained if he/she receives \$50.00 or less in incentive payments from the study in a calendar year.
- 3. Any grant-related records of incentive payments, including Human Subjects Incentive Payment Logs,* will be retained by the Principal Investigator for seven years after the close-out of the grant. In the event the Principal Investigator departs from the University, the documents must be transferred to the College or Department to be maintained for retention. The responsible party must be prepared to present any of these records to ORSSP, Controller, funding agency representatives, or auditors upon request.

For information regarding human subjects protections, please contact the IRB at irb@seattleu.edu (http://www.seattleu.edu/irb).

For questions on grants administration, please contact ORSSP at orssp@seattleu.edu (http://www.seattleu.edu/orssp).

^{*} For Human Subjects Incentive Payment Log, see Appendix A.

III. Appendix A: Human Subjects Incentive Payment Log

The log is on the next page.



HUMAN SUBJECTS INCENTIVE PAYMENT LOG

Please complete this log from BOTTOM to TOP.

This approach enables the use of a cover sheet over completed entries/rows in order to maintain confidentiality among participants.

Investigator: Project Title:							College/School:				
							Department:				
Method of payment (circle one): Gift Card Cash Other (descri						ne)					
Column A	Column B	Column C	Column D		Со	olumn E	Column	F	Column G	Column H	
Date of payment		received	If Column C is YES: Total of payments from this study**	Participant Name		pant Name	Participant Signature		Participant ID Number	IRS W-9?	
		multiple payments from this study?			Com		ns E+FOR only Column G Cipant is part of the research	f	(check if done)		
	\$	YES NO	\$								
	\$	YES NO	\$								
	\$	YES NO	\$								
	\$	YES NO	\$								
	\$	YES NO	\$								
	\$	YES NO	\$								
	\$	YES NO	\$								
	\$	YES NO	\$								
	\$	YES NO	\$								
he Investigato ill retain any	or will mainto grant-related esent any of	ain this log as po d records of pay	as required syments from SL ments, such as F	d documer J grant fur Human Sul	ntation fo nds are dis bject Incer	r the reimbursemen stributed. If paymer ntive Payment Logs,	ill complete an IRS W-9 forr t process of the gift cards, c ets are part of a research gro for seven years after the clo auditors upon request. As so	ash, etc. ant, the Investigator, Ojose-out of the grant. Th	ffice, or the S ne responsibl	chool/College e party must l	
Signatur	e and Date					ted Name	5	Title			