

Procedure 1097: Research Participant Payment Process

Summary of Key Changes

The Procedure has been updated as follows:

- Updated the procedure administrator

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Training Initiatives (CITI) training on “Privacy and Confidentiality” in order to review participants’ names and log books. The Bursar’s Office will receive a Certification from the research investigator that he/she is maintaining the necessary documentation for the period of time required by law in the event of an audit.

Documentation of Research Investigator Certification

The certification should be signed by the Principal Investigator (PI) and include the total amount of research participant fees paid, total number of research participants paid, for a stated period of time. The document should certify that research participants were each paid appropriately and according to protocol approved by the IRB and that signed RPRFs were obtained. Additionally, the research investigator should certify that details pertaining to research participant disbursements (i.e., payee name and other personally identifiable information) are securely filed and available for audit, if necessary. See the [Research Investigator Certification of Participant Payments](#) template for research investigator certification.

The research investigator needs to maintain this documentation for seven years after the final financial and technical reports have been sent, according to State of New Jersey record retention policy.

Payment details to research participants will not be available centrally. As a result, research investigators are required to report the names, addresses, social security numbers and total amount of payments made by the University to individual participants who receive cumulative payments/value of \$600 or more during a calendar year. This information must be forwarded to the Controller’s Office by December 31st every year.

If a research participant’s total compensation from Stockton accumulates to equal or exceed \$600 in one calendar year, Stockton is required to issue an IRS Form 1099, Miscellaneous Income. If a research participant’s total compensation equals or exceeds \$600, the researcher must have the research participant complete an IRS W-9 form prior to the participant receiving the payment that exceeds \$600 and identify an address and social security number, so that Stockton can issue a 1099. Payments made to research participants should be reported in Box 3 of Form 1099-MISC, as other income.

Anonymous Research

In limited circumstances where completely anonymous research participation is necessary, the following provision permits a modification/exception to the above documentation and reporting requirements. To qualify for this exception, the research investigator must have written approval/acknowledgement from the IRB and each anonymous research participant must be paid no more than \$75. In this case the research investigator would not be required to maintain normal identifying information for payments, such as recipient name, address, telephone number, or signature of receipt.

However, the research investigator must maintain some form of documentation in support of these payments to anonymous participants. It is essential that the research

investigator sufficiently document the completion of participation by the research subject, and the payment of Stockton funds for that participation. Examples of proper documentation alternatives would include a unique participant identifier specific to the recipient of Stockton funds and a log maintained showing that, for instance, there are 20 completed surveys to support 20 disbursements of funds.

Obtaining Petty Cash for Research Participant Payments

Please see the [University's Petty Cash Funds Procedure](#) for making payments to research participants. The Controller should be contacted for assistance on petty cash advances that exceed current thresholds.

Questions regarding implementing the requirements while maintaining confidentiality requirements for the IRB:

- Office of Research and Sponsored Program or
- Chair, Institutional Review Board

Review History:

	Date
Procedure Administrator	8/19/2022
AA Leadership	8/19/2022
Faculty Senate	
Deans	
Provost	
Divisional Executive	
General Counsel	
Cabinet	
President	