



## Table of Contents

1. INTRODUCTION
  - 1.1. Overview
  - 1.2. Responsibilities
  - 1.3. Definitions
2. STUDY SET UP
  - 2.1. Determinemethod for Participant Payment
  - 2.2. Recording of Payments to Research Participants via Gift Card
  - 2.3. Recording of Payments to Research Participants Additive Pay
  - 2.4. Recording of Payments to Research Participants via Direct Payments
  - 2.5. Recording of Payments to Research Participants who are also Nonresident Aliens
  - 2.6. Recording of Payments to Research Participants ClinCard
  - 2.7. ClinCard Set Up Form
  - 2.8. ClinCard Pick Up and Tracking
3. STUDY MANAGEMENT
  - 3.1. IRS Federal Form ~~W~~
  - 3.2. Participant Registration
  - 3.3. Participant Payment
  - 3.4. Study Log
  - 3.5. Quarterly Reconciliations
4. STUDY CLOSE OUT
  - 4.1. Closeout Notification
  - 4.2. Returning Unissued ClinCards
5. ADMINISTRATIVE TASKS
6. FORMS

The Division of Research Administration in collaboration with the Division of Business and Finance of Saint Louis University instituted a policy to outline participant payments regardless of the source of funding. The policy is entitled "Policy on Participant Payments within Research and/or Sponsored Activities" (R022) referenced hereafter as the policy.

In support of the new policy, the University has created this Procedure Manual to offer guidance on the different avenues available to the University community which to pay participants as well as to outline the appropriate circumstances under which each payment mechanism should be employed in any sponsored activity program, including research studies.

As specified in the policy, the various participant payment mechanisms include

- Gift cards see Section 2.2
- ClinCard see Section 3.
- University payroll see Section 3.
- eSeeDP, see Section 4.

Although the above payment mechanisms remain as alternative options available for use in circumstances outlined here, the University strongly encourages the use of the ClinCard.

The ClinCard payment mechanism provides prompt and efficient payment to participants once approved by the research team (defined below in section 1.2.1). Approved payment can be immediately accessed by the participant to be used as a preloaded

The Research Team is responsible for the following items:

- 1) Identifying the purpose, nature, method and dollar amount of all payments made by the University to Participants;
- 2) Budgeting within their award/proposal the related costs associated with Participant payments, including any fees associated with the payment mechanism and the payment amount associated with the study milestone. For example, ClinCard charges \$3.50 per card and \$1.00 to load the Participant payment. In cases where the Participant is also an employee of the University, the PI will also need to budget for the associated fringe and benefit expenses related to these participant payments found in the link here <http://www.slu.edu/busfin/departments/financialplanningandbudget/fringebenefit-rate-schedules>
- 3) Informing the Participant on usage and access of the ClinCard and its portal
- 4) Collecting required Participant data prior to issuing the payment:
  - a) name
  - b) nine-digit social security number
  - c) mailing address
  - d) contact email address or phone number
  - e) signature
- 5) The physical security of gift cards and/or unissued ClinCard stock
- 6) Collecting required data for issuance of any other form of payment (Gift Card, University Payroll System, or Direct Payment);
- 7) Initiating payments;
- 8) Recording the study and participant visit information within the ClinCard portal or Department Card payment log;
- 9) Reconciling participant payments for accuracy; and
- 10) The accuracy of the data received.

Each department executive official (e.g. Chair, Division/Program Director School Dean) is responsible for establishing and maintaining an environment for research that requires all members of the research team to be both knowledgeable of and compliant with all policies and regulations governing the conduct of research and sponsored activity. The approval of a protocol by the Executive Official acknowledges that the Research Team is both knowledgeable of and in compliance with the protocol's requirements. Departments may implement additional procedures to assist the Research Team and department in both fiscal and operational management of research studies and sponsored activities. Executive Official may delegate responsibilities under this Policy; however, the Executive Official remains ultimately responsible for compliance with this policy.

The CTO is responsible for the development and approval of R;R

stipend amount per visit; and will track payments from sponsors in this system. The CTO will collaborate with OSPA to reconcile participant payments recorded within the ClinCard portal and in

- a) A Participant payment amount of \$25 or less may be made by gift card as long as the aggregate does not exceed \$100 in a calendar year. Participants, who are also employees, are not eligible to receive their Participant payment by gift card. Payment by gift card will not require the University to collect the Participant's name, nine-digit social security number, mailing address, or other contact information.
- b) A secure reloadable debit card will be used for all Participant payments greater than \$25, and when the aggregate amount of Participant payments exceeds \$100 in a calendar year (e.g., 5 payments of \$25 per payment). The ClinCard payment method will require the University to collect the Participant's name, nine-digit social security number, mailing address, email address, and/or other contact information. A completed IRS Federal Form W-9, Request for Taxpayer Identification Number and Certification or approved intake form, will be submitted before a ClinCard will be issued. ClinCards have usage fees, currently \$3.50 for issuance and \$1 for each payment that is loaded onto the card. These fees must be included in the project/proposal budget and/or within the Award paid for by the project sponsor or the Department or the PI. These fees are separate from the compensation being provided to the Participant for their participation.
- c) In cases where the Participant is also an ongoing recipient of any form of compensation through the University's Payroll System (e.g., full-time employee, graduate student, etc.), the Participant may receive their Participant payments through ClinCard or Payroll, dependent upon the employee's preference. Student Workers must receive their Participant Payments through Payroll. Regardless of payment method and payment amount, the University will withhold income taxes on Participant Payments in accordance with the IRS Federal Withholding Form 941. If paid by ClinCard, withholding will occur from a future paycheck).
- d) Regardless of dollar amount, all nonresident aliens will receive their Participant payment through the eSeePay Direct Payment System due to the immigration and taxation documentation associated with payments to nonresident

Research Participant not employed SLU in calendar year				
SLU Employees paid wages by SLU calendar year (Note that taxes will be withheld on the employee's W-2 regardless of payment type.)				
Student Worker paid wages by SLU calendar year				
SLU Students not employed by SLU				
Nonresident Aliens				

\*Based on description on article 2.1 a) above.

Payments issued by the University in the form of a gift card will be submitted for approval and recorded within the University's accounting system. Gift card purchases will be initiated by the Research Team's department through the SeePay Direct Payment System as a Patient Study Advance. The Research Team is responsible for tracking the purchase, receipt and distribution of gift cards on a departmental [Department Card Study Log](#)

cases of confidentiality whereas a name cannot be identified, a subject patient identifier can be used. The grant fund number to charge and the originating DPV number need to be included on the form. The receipt from the purchase of the cards needs to be attached to the PSCARs. PSCARs need to be submitted monthly, and include the number of cards on hand if an inventory remains from the initial purchase. PSCARs should not combine multiple DPVs. PSCARs must be reviewed and approved by Business and Finance or MC Finance

Find out more at <https://www.slu.edu/Documents/busfin/PSCAR.pdf>

- g) Expense allocation for Participant payments via gift card will be recorded in Account 741010 Participant payment.

Payments issued by the University in the form of Additive Pay will be recorded within the University's accounting system via the Payroll Department and the employee will find payment in their normal payroll.

Payments issued by the University in the form of a Direct Payment will be recorded within the University's accounting system. Payments to research participants that are not processed through Merge follow the same procedure as a new vendor in Banner. DPV is the Direct Pay Voucher that is initiated by the department and routes through CPC (Central Processing Center) for review and approval. The department completes the master vendor form and forwards it to [eseepay@list.slu.edu](mailto:eseepay@list.slu.edu) along with the W9 for vendor set up. Checks are printed and mailed directly to the participant. ACH Direct Deposit is also an option for these payments. The recipient's banking information is on file. The funds are sent electronically to their bank and they receive an email notification when the funds are transferred. If the payee is an employee, Banner will not allow the payment to be used and then the department will process the additive pay.

Payments issued by the University to Resident Aliens will be recorded within the University's accounting system. The department completes the master vendor form and forwards it to [eseepay@list.slu.edu](mailto:eseepay@list.slu.edu) along with the W8BEN form for vendor setup. The payments are generated by the department via Banner. If the payee is an employee, Banner will not allow the payment to be used and then the department will process the additive pay.

Payments issued by the University in the form of a ClinCard will be recorded within the University's accounting system. The Research Team will submit a [ClinCard Study Request Form](#) to the OSPA via [slucard@slu.edu](mailto:slucard@slu.edu). Upon receipt of the request form, OSPA will send the Research Team a ClinCard Study Set Up Form. OSPA will enter the study onto the ClinCard portal according to the information provided on the [ClinCard Study Set Up Form](#). Once

obtained, ClinCards will be safeguarded by the Research Team until distribution to the Research Participant. Upon distribution, ClinCards will be recorded within the corresponding study or sponsored activity's ClinCard portal by the Research Team. Departments can obtain reports on payments to participants via the ClinCard portal.

a) Recording expense types:

- Expense allocation for Participant Payments to Participants not employed by the University, including the \$1.00 per transaction load fee, will be recorded in Account 741010– Participant Payment.
- Expense allocation for the \$3.50 initial cost of the ClinCard will be recorded in Account 741010 Participant Payment, Activity Code CLNCRD.
- Expense allocation for Participant Payments for reimbursing the Participant for expenses incurred (for example, Travel Costs) via a ClinCard will be recorded in Account 784517 Participant Support.
- In cases where the Participant also receives any form of compensation through the University's payroll system during the same calendar year with the exception of student workers, the Research Team will need to account for a0.054( ne)3(e)3(d)4(ti0( )-

registered to their associated site and study. Under normal circumstances, the Site Coordinator will not have a dual role of Approver.

: User is a member of the Research Team authorized to view pending Participant Payment requests for manual payments and reimbursement amounts in the Greenphire ClinCard portal and approve/decline them as necessary. Once approved, payments are loaded on the Participant's ClinCard. Note that predefined payments according to the sponsor's approved payment schedule will not require an Approver's authorization.

: User is authorized to view "on demand" reports available on the ClinCard portal.

: User is authorized to add studies, edit current studies, maintain study payments, and maintain and grant access to users associated with each study in the ClinCard portal. This role is currently restricted to OSPA personnel.

The PI and Department/Division Business Manager must sign the ClinCard Study Request Form as evidence of their review and approval. The form will be emailed to [slucard@slu.edu](mailto:slucard@slu.edu). By emailing this form, the PI is formally authorizing the permissions in the ClinCard

assessing the risk or potential harm to the Participants (such as breach of confidentiality) or the study. This request will take into account the unique circumstances of the individual study, protocol, and sponsored activity. Completed forms can be emailed [slucard@slu.edu](mailto:slucard@slu.edu) for consideration. The Vice President for Research or authorized designee can approve the exception request. The form can be found here <http://www.slu.edu/division-of-research-administration/home>

A blank W9 can be accessed from Business & Finance <http://www.slu.edu/busfin/taxes/irs-form-w-9>. Compensation for participating in a research study or sponsored activity is taxable income. In order to participate in the study, the Site Coordinator must obtain a signed IRS Federal Form W9 for each non-employee participant and store it securely and send a digital copy to [slucard@slu.edu](mailto:slucard@slu.edu)

An In-Take Form remains an acceptable alternative to the Federal Form W9 provided it includes the \_\_\_\_\_ of the following information; name, address, social security number, signature.

Note: Thereimbursement of actual expenses incurred by the Participant is not taxable income.

Each participant being compensated using the ClinCard portal must be registered in the ClinCard system. The ClinCard Admin portal can be accessed at <https://clincard.com/login/>

If the Research Participant is new to the ClinCard system, the Site Coordinator will enroll the Research Participant in the ClinCard system and assign the Participant to the specific study. (Please see the ClinCard Reference Guide for all pertinent instructions on the ClinCard system. PDF documents are available by clicking support after the user signs into the system.)

If the Participant is already registered in the ClinCard system under a different Saint Louis University study, the Site Coordinator will assign the Participant to the new study.

After the study visit is complete, the Site Coordinator will request the payment according to the approved payment schedule in the ClinCard portal manual or unscheduled payment only, the approver will log into the ClinCard portal to review the manual payment and approve or deny the request. Once approved, the payment will be loaded to the Participant's assigned ClinCard and will be available for immediate use. The Participant can verify all transactions on their account, including the loading of site visit payments, by logging into their ClinCard Account.

If a new ClinCard was issued to the Research Participant, the Site Coordinator must update the [Department Card Study Log](#) started in Section 2.8- ClinCard Pickup and Tracking. The Site Coordinator will also confirm the balance of cards on hand for the study.

If a gift card was issued to the Participant, the Site Coordinator must update the [Gift Study Log](#) started in Section 2.3 Recording of Payments to Participants via card. The Site Coordinator will also confirm the balance of cards on hand for the study.

6	End of award	Review total cards ordered, total cards issued, and total unissued cards, send unissued cards to OSPA for credit on award.	To ensure charges for the cards are appropriate and charged to the correct award.
7	Closeout	Review value of unissued cards sent back to OSPA against the credit for the return in Banner.	To remove unallowable costs and ensure costs for the cards are appropriate.

When a study has been completed or coming to an end, the PI or designee must notify the OSPA that the study is complete and no additional ClinCards will be issued or payments requested and authorized. This notification will be sent by email to [slucard@slu.edu](mailto:slucard@slu.edu) and must indicate the balance of ClinCards on hand at the end of the study.

If the Department Card Study Log shows a balance of ClinCards on hand at the conclusion of the study, the responsible department personnel will email a ClinCard Relinquishment Form to OSPA at [slucard@slu.edu](mailto:slucard@slu.edu) schedule the return of the cards to OSPA, and initiate a journal entry to return the \$3.50 cost of the unused card(s) to the appropriate fund.

Example: ANONY121210 (or 2 or three of the next available number) and so on...

Study

↑ Here you will select from the draw down listing the correct study to which you are trying to pay/enroll/screen the participant under

Subject Status

↑ Select whether the participant has been "enrolled" etc.

The rest of the form needs to be completed in its entirety such as Name, Address, Subject Email, Subject CellPhone, Initials and Social Security Number (unless this is a study in which it has been pre determined to not require it)

ClinCard program related policy, procedural manual (this document) and related forms may be found by accessing the Saint Louis University, Division of Research website <http://www.slu.edu/division-of-researchadministrationhome>