

**Issuing Department:** Human Subjects Protection Program  
**Policy Number:** 2011-015.0  
**Policy Title:** Recruitment and Payment

### **Purpose**

The purpose of this policy is to set forth requirements regarding recruitment of subjects into research studies.

### **Definitions**

See policy 2011-007.0 for definitions of:

Informed Consent Form Treatment Relationship, Direct	IRB Approval Treating Relationship, Indirect	Private Information
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### **Policy**

Recruitment of subjects into a study may not begin prior to final IRB approval by the UConn Health IRB, or official acceptance of another IRB as the IRB of record.

*UConn Health as Reviewing IRB:* The IRB must approve all recruitment methods and material prior to use. Payments to investigators and research staff that are tied to the rate or timing of enrollment (i.e., bonus payments) are designed to accelerate recruitment and are prohibited. Likewise, payment or receipt of a finder's fee for the referral and ultimate enrollment of subjects into a study are prohibited. For example, investigators may not award a treating physician with a financial payment or other incentive for referring a subject to the investigators study. Likewise, investigators may not accept payment or other incentives for referring a subject to another study.

It is however acceptable for the sponsor to pay the institution for the reasonable costs associated with subject enrollment (e.g., research induced procedures, administrative time to manage subjects etc.). Any such arrangements must be delineated in a Clinical Trial Agreement or similar contractual arrangement.

The Principal Investigator is responsible for ensuring that recruitment methods are accurately described in the IRB submission. The content of recruitment materials and the method for communicating it cannot contain misleading language or tactics that create undue influence or coercion. The IRB will evaluate proposed recruitment methods and materials as part of the standard IRB review process. The recruitment process must also be compliant with the Health Insurance Portability and Accountability Act (HIPAA) which regulates how identifiable health information can be used and disclosed in connection with research.

Subjects are considered enrolled at the time of signing a consent form. If a separate consent form is used for the initial screening phase of the study, subjects must be informed that they may be withdrawn if it is determined that they do not meet inclusion criteria. The principal investigator is to report subjects who signed a screening consent but did not meet the inclusion criteria as withdrawals from the study at the time of continuation.

Principal investigators are responsible for tracking the ethnicity or race of subjects who are recruited into studies. Investigators should ask subjects to self-identify at the time of consent. When continuing

review is required, at the time of continuation the investigator will be asked to provide this information as part of an overall summary report of enrolled subjects.

*Recruitment of Health Center Patients:* For any research proposing an interaction or intervention with UConn Health patients, inclusive of research meeting criteria for exemption, the Human Subjects Protection Program (HSPP) at UConn Health must have an opportunity to review the research and determine whether the activity is appropriate. In order for the activity to be deemed appropriate the patient must first be approached about the research by someone with an existing treatment relationship with the patient and any member of the study team that will interact or intervene with the patient must have an affiliation with UConn Health (e.g. faculty appointment, employee, student, intern, volunteer); and if the Principal Investigator is not a paid UConn Health faculty member, there must be a paid faculty member from UConn Health as co-investigator. The Director of the HSPP may grant an exception to the requirement of a paid UConn Health faculty member as co-investigator on a case-by-case basis. The Principal Investigator of the research is responsible for ensuring that the required affiliations are in place and that all training required by UConn Health (e.g., HIPAA, blood borne pathogen, annual compliance) has been completed.

The review by the HSPP may be done by the IRB or the Director of the HSPP.

This does not preclude UConn Health personnel from simply providing patients with information about studies that the patient may then elect to pursue at their own discretion.

*Recruitment on Site without Engagement:* If UConn Health is simply a recruitment site (e.g., recruitment table set up in cafeteria) but not engaged in the conduct of the research; approval should be obtained from the Director of the Human Subject Protection Program for the recruitment activity to occur. The Director may delegate the decision to Department Chairs or other appropriate personnel. Permission is not required for advertising in UConn Health broadcast (e.g., Lifeline) messages.

*Advertisements:* Advertisements should contain only limited information that still provides enough information to the prospective subject to determine their interest and potential eligibility. Visual effects that may create undue influence cannot be used, e.g., placing the word PAID in all capital letters while the rest of the ad is in lower case.

Generally, the elements of any advertisement to recruit subjects should be limited to the elements noted below.

- the name of the principal investigator;
- the department conducting the study;
- the title of the study;
- an accurate description of the condition under study and/or the research purpose e.g. if a placebo is to be used in a drug study, the advertisement should describe the study as a comparison of the drug to the placebo; if investigational products are to be used they must be identified as such and not represented as new treatments;
- in summary form, the eligibility criteria that will be used to admit subjects into the study;
- a straightforward and truthful description of the benefits, if any, to the subject from participating in the study;

- if applicable, a statement that compensation is available or a statement of how much compensation is available and how it will be paid, e.g., “Participants may receive up to \$100 paid in equal installments over 4 visits”
- the amount / length of time or other commitment required of the subjects;
- the location of the research and contact information for obtaining additional information;

The IRB recommends inserting the following reference points on approved advertisements:

- the IRB number, and
- the date the ad was approved.

Advertisements **cannot** incorporate elements that:

- state or imply a certainty of favorable outcome or other benefit beyond what is in the informed consent form;
- make claims that the drug, device or biologic is safe or effective for the purpose under investigation;
- make claims that the drug, device or biologic is known to be equivalent or superior to any other drug, device or biologic;
- use terms such as new treatment, new medication or new drug without identifying it as investigational;
- promise free medical treatment when the actuality is that subjects will not be charged for partaking in the study.
- appear to release the institution, sponsor, or investigator from liability

If the study involves the use of FDA regulated products (drugs or devices) no claims can be made, either explicitly or implicitly, that the drug or device is safe or effective for the purposes under investigation, or that the drug or device is in any way equivalent or superior to any other drug or device. Such representation would not only be misleading to subjects but would also be a violation of the FDA's regulations concerning the promotion of investigational drugs and of investigational devices.

Advertisement may be reviewed through the expedited review process if the content of the ad can be easily compared to the informed consent form. The IRB reserves the right to require full board review of any recruitment material.

The IRB must review and approve the final taped version of any radio or television advertisement. Contingent approval for the ad may be granted based on the script but the final product must be submitted for additional review and approval to ensure consistency with the language / tone presented in the script. The final approval of taped ads may be granted through the expedited review process.

*Web Postings:* IRB review and approval is not required for listings of clinical trials on the internet providing that the listing is limited to providing only basic trial information as listed below. Information pertaining to compensation cannot be listed without IRB review and approval.

- PI name;
- IRB number;
- study title;
- study purpose;
- protocol summary;
- basic eligibility criteria;

- study location;
- contact information

*Payment or Incentives Related to Subjects:* It is acceptable to offer financial payments or other types of incentives, e.g., gift certificates, to research subjects for participation in a study. However, the value of the payment or incentive(s) cannot create undue inducement for subjects to enroll. Furthermore, the payment structure should not be such that a subject cannot withdraw from a study without forfeiting the entire payment. There are no federal regulations that determine what is an acceptable payment or payment structure and it is therefore judged on a case-by-case basis taking into consideration:

- the types and numbers of procedures to be involved
- the time commitment involved
- the expenses incurred by the subject
- the anticipated discomfort or inconvenience
- the level of risk of the study
- the type of populations likely to be enrolled
- the option of using a tiered approach in which subjects receive payment at various stages of the study.

The principal investigator is responsible for ensuring that funds are available to make the payments as presented within the informed consent document. Payment to subjects who withdraw from a study may be held until such time as the payment would have been made had the subject not withdrawn, unless holding the payment will create an undue inconvenience to the subject or a coercive practice. For example, it may be acceptable to hold payment until the end of the study if the study is only a few weeks long, or to hold payment until the first disbursement would have been made if there is only a few weeks difference between the date the subject withdrew and the date the payment was scheduled to be made. The wishes of the subject should be honored when possible. Compensation offered to potential subjects may not include a coupon for discounts on the purchase price of the product once it is approved for marketing.

*Financial Reporting Obligations:* The confidentiality of a subject must be respected throughout their participation in a study. However, in order to make a payment by check payable to the subject certain information may be required to be recorded on financial records and forwarded to accounts payable for compliance with state and federal requirements for income reporting. The subject may choose to decline receiving payment if they do not want the information reported outside of the study, or checks may be issued to cash if the services of the Clinical Research Center are utilized or permission is obtained from Research Administration and Finance.

The subject should also be informed that 1) if cumulative payments to a subject within a year add up to \$600 or more a Form 1099 will be issued by UConn Health and the income will be reported to the IRS.

### **Procedure**

Recruitment –

To request permission to use UConn Health as a recruitment site when UConn Health is not engaged in the conduct of the research (for example, when posting recruitment flyers or setting up a recruitment table set in a common area), external researchers must complete a Request to Use UConn Health as a Recruitment Site form (available on the HSPP website). The completed form and IRB-approved

recruitment materials are submitted to the HSPP via email ([irb@uchc.edu](mailto:irb@uchc.edu)) to obtain approval from the DHSSP. Request forms will be reviewed by the DHSSP and approvals communicated back to the requestor via email within approximately 10 business days.

*Payment - General:*

The Office of Clinical and Translational Research is responsible for negotiation of the Clinical Trial Agreement which may allow for the reasonable costs associated with subject enrollment.

The IRB application informs study personnel that bonus payments and finders fees are not acceptable.

The IRB application process solicits information about recruitment populations and plans and the reviewer will use the reviewer form provided by IRB staff as a prompt to consider the method of recruitment, recruitment materials, and payments to subjects for enrollment during the IRB review process.

To request approval of an exception to the requirement that paid faculty member be appointed as co-investigator when UConn Health patients are being recruited, send communication to the Director of the HSPP indicating who from UConn Health would be appointed as the co-investigator, describing the individual's position at UConn Health and the relationship of the position to the patients. If granted, include this approved exception as part of the IRB submission packet.

*Checks Payable to Subjects:*

The subject should be informed by the person obtaining consent of the following:

- that information will be sent to Accounts Payable, e.g., name, social security or taxpayer identification number, mailing address, and amount paid to the subject.
  - subjects should be given the opportunity to decline payment
- the obligation to report to the IRS earnings from participation in research studies that exceed \$599 in a calendar year.

*Checks Made Payable to Cash:*

Check may only be payable to cash if the services of the Clinical Research Center are utilized, or permission is obtained from Research Administration and Finance. The subject should be informed by the person obtaining consent of the following:

- that the check must either be picked up in person and that identification must be presented at that time, or the check must be sent through certified mail
- that should the check be lost or stolen another check will not be issued
- of the obligation to report to the IRS earnings from participation in research studies that exceed \$599 in a calendar year.

The department must maintain an internal log of the check number, date of issue and to whom it was issued.

*Other Incentives:*

The subject should be informed by the person obtaining consent about any implications regarding other types of incentives, e.g., that lost gift cards will not be replaced etc.

The department must also track distribution and inventory control of such items.

***Related Content***

2011-009.2 – Institutional Review Board - Exemptions  
2011-009.3 – Institutional Review Board – Expedited Reviews  
2011-009.5 – Institutional Review Board – Review by Convened Board  
2011-011.0 – Research Personnel

***Basis***

21 CFR 50 & 56  
45 CFR 46  
45 CFR 164  
21 CFR 312  
21 CFR 812  
Guidance on Institutional Review Board Review of Clinical Trial Websites at  
<http://www.hhs.gov/ohrp/policy/clinicaltrials.html>

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**Reviewed and Approved By:**

*Richard H. Simon*

*6/8/2023*

**Richard H. Simon, MD**  
**Director, Human Subjects Protection Program**

**Date**