



<b>GUIDANCE: Use of Drawings as an Incentive for Research</b>		
NUMBER	DATE	PAGE
HRP-927	05/09/2024	1 of 2

## **GUIDANCE: Use of Drawings as an Incentive for Research**

Researchers occasionally want to introduce a “raffle” or drawing as an incentive for research participants to complete a survey or perform some other tasks. In most jurisdictions, these “games of chance” are highly regulated. To minimize the possibility of legal complications the PPHS in consultation with the Office of General Counsel provide the following guidance.

- Researchers should use the term “drawing” rather than “lottery” or “raffle,” since the latter terms imply purchase of tickets by participants.
- To further avoid the possibility that a drawing would be perceived as a lottery, the HRP-503/protocol should describe procedures for ensuring that all individuals who are contacted concerning the research will be allowed to enter the drawing. This would encompass:
  - Individuals who are invited to participate but decline,
  - Prospective participants who are ineligible,
  - Participants who enroll but later withdraw/are withdrawn by the researchers.
  - Additionally, the protocol should affirm that the drawing may be entered by any individual who asks to be included.
- Participation in the drawing shall not require completion of a research task or require payment.
- No one under 18 may participate in or run the drawing
- The drawing cannot be advertised by means addressed to the general public, including newspapers, radio, TV, posters, or flyers. IRB-approved language can be used in MyChart solicitations.
- Laws and regulations for drawings are local and varied. At the moment this guidance is only good for those who are residing in New York, New Jersey, Connecticut and Florida. If drawing participants come from outside those states the PI must also confirm in writing to the IRB that the drawings complies with the applicable laws of such other research locations, including any foreign locations.
- Claiming prizes should not require winners to expend any resources (claiming by email is fine)
- Prize value must be approved by the IRB. In no case may prizes exceed \$100 per prize or \$1,000 in the aggregate per drawing.
- Once advertised, all prizes must be awarded and the drawing may not be cancelled.

**The HRP-503/protocol and consent document(s) should also include the following information:**

- Description of the prizes, including estimated value, and the total number of prizes to be awarded.
- The odds of winning a prize, if known, or explanatory language similar to this: “For any drawing, the odds of winning a prize depend on how many people are entered in the



## **GUIDANCE: Use of Drawings as an Incentive for Research**

NUMBER	DATE	PAGE
HRP-927	05/09/2024	2 of 2

drawing. As we do not know how many people will participate in this study-related drawing, we cannot predict what will be the odds of winning a prize.”

- The sponsor of the drawing (i.e., Icahn School of Medicine at Mount Sinai) and source of the prize funding
- The timing of the drawing (e.g., day/month/year).
- How the location of the participant will be documented
- How prize winners will be notified
- A statement that no purchase or participation in research is necessary to participate in the drawing.