



Wills Eye Innovation

Research Grants Program

2013-2014

GUIDELINES & APPLICATION

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Wills Eye Innovation Research Grants

GUIDELINES

Wills Eye Innovation Research Grants

Purpose

Wills Eye is committed to doing our part to achieve what was once thought impossible. As we shared with the world this past fall in the “Never” publication, our commitment to support sight-saving research has never been stronger. The Innovation Research Grants program is a unique and admired example of that resolve to never lose sight, never lose hope.

Wills Eye Institute established the Innovation Research Grants program to advance research conducted by our faculty, residents, and fellows. The program aims to support all research activities, including clinical trials, translational research, and public health, community, and behavioral studies. We invite all members of the Wills Eye faculty to submit proposals for these research grants.

Amounts

A total of \$250,000 will be available to fund Wills Eye research this year. The Wills Eye Foundation will designate the following number of competitive grants of up to \$25,000 each:

- 1 Grant for Cataract and Primary Eye Care Service
- 1 Grant for Cornea Service
- 1 Grant for Glaucoma Service
- 1 Grant for Neuro-Ophthalmology Service
- 1 Grant for Oculoplastics and Orbital Surgery Service
- 1 Grant for Oncology Service
- 1 Grant for Pediatric Ophthalmology and Ocular Genetics Service
- 1 Grant for Retina Service
- 2 Grants for All Other Wills Depts. (e.g. Diagnostic Center, ER, Low Vision, Pathology, Research, Media Technology Services, and Telemedicine)

Assistance

If you have any questions about these guidelines, the application, or the awards process, contact Ann Larsen, Research Grants Coordinator, at (215) 928-3141 or alarsen@willseye.org.

If you have questions or concerns regarding your budget, its allowances and limitations, or the invoice and payment process, contact Brian Burke, Manager of Sponsored Projects in the Department of Finance, at (215) 928-3394 or bburke@willseye.org.

Guidelines

1. The Applicant

a. Eligibility for Grant

- i. Applicant must be a member of Wills Eye faculty and must be a member of the Service or Department offering the grant.
- ii. Applicant must be the Principal Investigator of the submitted research grant application. Only one Principal Investigator is permitted per study.
- iii. Applicant must select **at least** one (1) resident to join the research team as a Co-Investigator at the time of application.
- iv. All novel vision-related research applications will be considered.

b. Restrictions

- i. Applicant may not submit more than one research grant application per year, though an individual may be listed as a Co-Investigator on multiple projects in addition to his or her own proposal.
- ii. Residents and fellows *are not permitted* to be Principal Investigators.
- iii. Research that has already been completed, in part or in full, **will not be eligible for funding**. Expenses incurred prior to the Grant Year will not be reimbursed.

2. The Grant

a. Duration

- i. The Grant Year is July 1, 2013 – June 30, 2014.
- ii. Any unused portion of the award will be relinquished to the Wills Eye Foundation at the completion of the Grant Year, unless an extension is requested and approved. See *Section 3c After the Grant Year* for how to request an extension.

b. Amount of Award

- i. The Wills Eye Foundation will designate ten competitive grants, each worth up to \$25,000. The eight Services will have one grant allocated each, for which members of those Services will compete. The remaining Wills Eye Departments (e.g. Low Vision, Diagnostic Center, ER, Pathology, Research, Media Technology Services, and Telemedicine) will all compete for the last two grants.
- ii. In the event that any available grant is not awarded (or a grant has not been exhausted), that \$25,000 (or the remainder thereof) may

be used to fund additional research grant applications deemed fundable from among those already submitted by any of the Services or Departments in a 2nd round of awards. This additional funding will not require any further application. Funds will be designated at the discretion of the Innovation Grants Committee.

c. Allowances and Uses of Award

- i. Key Personnel Costs: Funds may be used to pay appropriate research, technical, and support personnel such as a project manager, lab or research assistants, chart reviewers, or other research and administrative staff working on the project. The maximum fringe rate is 28% for full time and part time Wills Eye employees. Private practice employees may not charge a fringe rate. No more than a total of 20% of grant funds (up to \$5,000, including fringe benefits) may be used as salary support for the Principal Investigator and Co-Investigators combined. **Residents and fellows are not permitted to receive salary support for their participation.**
- ii. Consultant Costs: Funds may be used to pay for external professional consulting services at a maximum hourly rate of \$150. For example, funds may be used to pay for professional biostatistician counseling, cost-effectiveness analysis, and/or economic analysis. See *Section 6b Who to Contact for Assistance* for more information on external consulting services available through Jefferson. No fringe rate should be charged for consultants. Funds may not be used to pay members of an advisory board.
- iii. Equipment Costs: Funds may be used to purchase the equipment necessary to conduct research, including lab, surgical, and office equipment. A maximum of one laptop and one printer can be funded per study. Office equipment costs may not exceed \$3,000. **All equipment purchased with grant money is the property of Wills Eye Institute.**
- iv. Supply Costs: Funds may be used to purchase the supplies necessary to conduct research, including administrative office and medical supplies. Supply costs may not exceed \$3,000.
- v. Transportation Costs: Funds may be used to cover transportation expenses directly related to the research project, including reimbursement for gas and parking fees for travel beyond the daily commute of investigators. The grant will not cover daily commuting expenses. If you are invited to present the findings of awarded

research at a scientific conference, funding for travel and registration expenses will be available, but this cost is not considered part of the grant. See *Section 3c(iii) After the Grant Year* for additional details. Travel reimbursement to patients participating in research should not be calculated as a transportation expense, but rather as a patient compensation expense.

- vi. Patient Care Costs: Funds may be used to cover patient care costs directly related to research. This includes negotiated payments for healthcare services (e.g. phlebotomy, OCT, and pharmaceutical costs). All patient testing should be performed through the Wills Diagnostic Center, when possible. Grant proposals wishing to utilize external diagnostic and imaging services should provide justification in the application. Costs related to patient compensation for transportation, meals, and other incidentals related to participation in research should not be calculated as patient care expenses, but rather as patient compensation expenses.
- vii. Patient Compensation & Remuneration Costs: Funds may be used to compensate patients for transportation, meals, and other incidentals related to participation in research. If patients are remunerated for participating in the study, they must fill out a W-9 for tax purposes.
- viii. Other Costs: Funds may be used to acquire other goods and services directly related to the proposed research, including but not limited to recruitment, staff meal, and animal costs.
 - Recruitment Costs: The funds may be used to pay for recruitment efforts, including printing of flyers, letters, and brochures. Recruitment costs may not exceed \$2,000.
 - Staff Meal Costs: The funds may be used to pay for meal expenses when research team meetings take place during regular mealtime hours. Meals as compensation to patients participating in research should not be calculated as meal costs, but rather as patient compensation costs. Expenses are capped at \$10 per person per meal, and total meal costs may not exceed \$400.
 - Animal Costs: The funds may be used to acquire and maintain live animals for use in research. Itemize expenses to show the cost per animal (including any applicable fees), the monthly rate to cover feed, housing, and care, and the

number of months the animals need to be housed. The review fee for Institutional Animal Care and Use Committee (IACUC) should be included in this expense.

d. Limitations and Exclusions

- i. No more than a total of 20% of grant funds (up to \$5,000, including fringe benefits) may be used as salary support for the Principal Investigator and Co-Investigators combined.
- ii. Funds may not cover indirect costs.
- iii. Funds may not be used for fundraising, recognition awards or ceremonies, living expenses, or as reimbursement for work already completed.
- iv. Funds will be administered to the Awardees by the Wills Eye Department of Finance and will be expended only for the purposes stated and in accordance with the budget included in the research grant application. No substantive changes in a funded research protocol or budget may be made without the written approval of the Innovation Grants Committee.
- v. If the Awardee's association with Wills Eye ends, or if the Awardee is unable to complete the project for any reason, he or she must relinquish immediately to the Wills Eye Foundation any unused portion of the grant.

3. Investigator Responsibilities

a. Before the Grant Year

- i. The Applicant must obtain approval from the Institutional Review Board (IRB) of Wills Eye Institute to conduct any research involving human subjects on its premises, including projects involving retrospective medical chart reviews and prospective surveys, before research-related work is initiated.
 - The IRB application is required alongside this research grant application, unless the IRB application has already been submitted. Applicants, particularly those new to the IRB process, are encouraged to meet with the IRB Coordinator to ensure that IRB requirements are met. The Research Grants Coordinator will arrange for these studies to be reviewed by the IRB; however, it is the Applicant's responsibility to ensure that all conditions of approval are met. Final IRB approval must be secured before any grant funds will be released. The Wills Eye Institute IRB will not

assess a review fee for Innovation Research Grant applications.

- If research involving human subjects will be conducted off premises, the study must be approved by the appropriate IRB of record. Any research conducted at Jefferson, including the Thomas Jefferson University campus, hospital, and its Emergency Room, must obtain TJU IRB's approval. Applicants whose proposals include research to be conducted at Jefferson, by Jefferson personnel, or on Jefferson patients are encouraged to meet with the Wills IRB Coordinator to ensure that IRB requirements at both institutions are met. It is the Applicant's responsibility to ensure that all conditions of approval are met. Final approval must be secured and documented in writing before any grant funds will be released. The IRB review fee for these other institutions should be calculated under the Other Costs section of the budget.
- ii. The Applicant must obtain approval from the appropriate IACUC to conduct any research involving live vertebrate animal subjects before research-related work is initiated.
- Wills Eye Institute does not have an animal care facility. If your research requires working with live animals, you must acquire the animals, find an appropriate facility to house and maintain those animals, and obtain approval from that institution's IACUC to conduct research on its premises. It is the Applicant's responsibility to ensure that all conditions of approval are met. Final approval must be secured and documented in writing before any grant funds will be released.
 - Expenses associated with obtaining and housing animals for research, including the IACUC review fee, should be included under the Other Costs section of the budget.
- iii. All funded research must include the participation of **at least one** (1) Wills Eye resident. A resident Co-Investigator must be named at the time of application. Name and describe the role(s) of the resident (and fellow, if applicable) in the Education Narrative.

b. During the Grant Year

- i. The Awardee must begin the project at the time stated in the application and continue the research throughout the expected duration of the investigation.

- ii. If the Awardee is unable to begin work or must halt work already in progress, the Research Grants Coordinator must be notified in writing. The Innovation Grants Committee will determine whether the recipient will be allowed an extension of time or should relinquish the funds and reapply the following year.
- iii. The Awardee must submit a complete and timely mid-year progress report form describing the status of the research project. Progress Report forms will be sent to Awardees and their study coordinators at least 30 days prior to the deadline.
- iv. The Awardee must submit a complete and timely final summary report form describing the conclusion of the research project and giving a detailed account of project disbursements. Summary Report forms will be sent to Awardees and their study coordinators at least 30 days prior to the deadline.

c. After the Grant Year

- i. Any unused portion of the award will be relinquished to the Wills Eye Foundation at the conclusion of the Grant Year. In the event that the project is expected to extend beyond the Grant Year, a “no-cost extension” request should be addressed in writing to the Research Grants Coordinator by June 1, 2014. These requests will be considered on a case-by-case basis. The Innovation Grants Committee will determine whether an extension will be allowed.
- ii. Currently funded studies will not be eligible for additional funding, except in extraordinary circumstances. For example, a study with a new arm of promising research that requires additional funding may be eligible. Requests should be addressed to the Research Grants Coordinator. The Innovation Grants Committee will determine whether the study may be eligible for additional funding.
- iii. Publications and reports stemming from research strengthen both Wills Eye Institute’s position as a global leader and our ability to not only retain and recruit top physicians but also to obtain the philanthropic support that drives the Institute’s work. Therefore, a presentation of the deliverables and outcomes of awarded research is expected within one (1) year following the Grant Year. This presentation may be in the form of a publication in a major scientific journal or a poster or lecture that takes place at Wills or any ophthalmology-related scientific conference. If you are invited to present the findings of awarded research at a scientific conference, funding for travel and registration expenses will be available, but this cost is not considered part of the grant. Wills Eye will cover

costs related to presenting at and attending a scientific conference for one (1) resident member of the team, including the cost of a membership fee if necessary. Upon the closure of the Grant Year and upon acceptance of your presentation, contact the Manager of Sponsored Projects in the Department of Finance for further details. All expenses must be approved in advance. **Additional grant applications from the PI will not be considered until such a presentation is accepted by a journal or a conference and this obligation is fulfilled (this penalty will not be assessed until one (1) full year following the conclusion of the Grant Year).**

- iv. All abstracts, exhibits, presentations, and publications that are financed in whole or in part from an Innovation Research Grant must include an acknowledgement section naming the Wills Eye Foundation. Copies of any publication resulting from a funded project should be sent to:

Office of Development
Wills Eye Institute
840 Walnut Street, Suite 1540
Philadelphia, PA 19107

Research Grants Office
Wills Eye Institute
840 Walnut Street, Suite 835B
Philadelphia, PA 19107

4. The Application Process

a. Important Dates

Applications are **due Friday, April 19, 2013 by 5:00pm.**

Awardees will be notified in early June 2013.

Grant Year: July 1, 2013 - June 30, 2014.

b. Selection Criteria and Review

- i. Applications will be scored by a Scientific and Educational Review Committee based on the following:
- Significance, scientific merit, and innovation of the project
 - Overall impact for Wills Eye and potential for direct patient benefit
 - Approach, research methodologies, and plan for statistical analysis of the data
 - Educational impact for Wills residents

- ii. The Scientific and Educational Review Committee will comprise one representative from each of the eight Services eligible for grants and two resident Co-Chiefs. This committee will score the applications using the criteria above and make its recommendations to the Innovation Grants Committee, which will rank the applicants for each available grant and designate money to the top ranking applicants. The Innovation Grants Committee's decisions are final.
- iii. The Research Grants Coordinator will notify the Applicants with award decisions in writing. Awards may also be announced online, in posters on and around campus, and/or through institutional communications.

c. Awarding of Grants

- i. Ten total grants will be allocated with \$25,000 each in competitive funds. One grant will be available to each of the eight Services, and two grants will be available among the remaining Departments (Low Vision, Diagnostic Center, ER, Pathology, Research, Media Technology Services, and Telemedicine). The first round of awards will be designated to the top applicants of each available grant.
- ii. In the event that any grant is not awarded (or has not been exhausted), that \$25,000 (or remainder thereof) will be re-allocated in a 2nd round of awards, which will be competitively designated to support additional research grant applications deemed fundable from among those already submitted by all Services and Departments. This additional funding will not require any further application. Funds will be designated at the discretion of the Innovation Grants Committee.

5. Application Instructions

a. Application Checklist

A complete grant application packet consists of the following:

Part 1: **Wills Eye Innovation Research Grant Application Form**

Part 2: **Budget Form**

Part 3: **Budget Justification**, maximum three (3) one-sided, single-spaced pages with 1" margins, 12-pt Arial font. Follow the instructions provided.

Part 4: **Protocol & Timeline w/ Cover Sheet**, maximum six (6) one-sided, single-spaced pages with 1" margins, 12-pt Arial font. Follow the instructions provided.

Part 5: **Narratives**, maximum one (1) one-sided, single-spaced page with 1" margins, 12-pt Arial font. Follow the instructions provided.

Part 6: **Human & Animal Subjects (if applicable)**, IRB application/ approval letter and/or IACUC approval letter.

b. Submitting Your Research Grant Application

- i. All responses must be typed. Print the complete application, attach all required and supplementary documents, and obtain all necessary signatures in **BLACK OR BLUE INK**. No "per" signatures are permitted.
- ii. Submit the original of the completed grant application packet in the correct order with supplementary documents appended, plus (3) copies of the complete packet (collated, not grouped). Secure each completed grant application packet with a binder clip or rubber band.
- iii. Mail or hand deliver materials to:
Ann Larsen
Research Grants Coordinator
840 Walnut Street, Suite 835B
Philadelphia, PA 19107
Applications WILL NOT BE ACCEPTED via fax or email.
- iv. Applications that fail to adhere to these guidelines or that are submitted incomplete will not be considered eligible for an Innovation Research Grant.
- v. Applications are **due Friday, April 19, 2013 by 5:00pm.**

6. Who to Contact for Assistance

a. Internal

Ann Larsen	Research Grants Coordinator & IRB Coordinator	Alarsen@willseye.org 215-928-3141
<i>For questions regarding research application guidelines, grant requirements, IRB review process, and regulatory issues related to human subjects research.</i>		
Brian Burke	Manager of Sponsored Projects, Finance Department	Bburke@willseye.org 215-928-3394
<i>For questions regarding your budget, its allowances and limitations, or the invoice and payment process.</i>		
Lisa Hark, PhD, RD	Project Director, Department of Research	Lhark@willseye.org 215-928-3045
<i>For help with research design and implementation and writing the grant application.</i>		
Lauren Koenigsberg, Esq	Research Compliance Coordinator & Associate Counsel	Lkoenigsberg@willseye.org 267-733-9667
<i>For questions regarding research regulations and help with drafting consent documents and contractual agreements.</i>		

b. External

Terry Hyslop, PhD	Director, Jefferson Division of Biostatistics	Terry.hyslop@jefferson.edu 215-503-7806
Benjamin Leiby, PhD	Professor, Jefferson Division of Biostatistics	Benjamin.leiby@jefferson.edu 215-503-3803
<i>For assistance with study design and data analysis. Consulting rates are \$55/hour for staff and \$127/hour for faculty.</i>		
Laura Pizzi, PhD	Associate Professor, Jefferson School of Pharmacy	Laura.pizzi@jefferson.edu 215-955-1159
<i>For assistance with cost effective analysis and/or economic analysis. Consulting rates are \$55/hour for staff and \$127/hour for faculty.</i>		

Site licenses, such as SAS, are available at a discounted rate through the Jefferson Bookstore for Wills Eye employees with a Wills ID badge. Include this fee, if applicable, in the budget under the supplies category.

Wills Eye Innovation Research Grants

APPLICATION

APPLICATION PART 1

RESEARCH GRANT APPLICATION FORM

Due Friday, April 19, 2013 by 5:00 PM

1. PROJECT TITLE

2. APPLICANT/PRINCIPAL INVESTIGATOR

2a. NAME: *(Last, first, middle)*

2c. TELEPHONE AND FAX *(Area code, number, ext)*

TEL: ~~////~~EXT FAX:

2b. MAILING ADDRESS: *(Street, city, state, zip)*

E-MAIL ADDRESS:

3. PERSON TO BE NOTIFIED IF AWARD IS MADE

(If different from the Principal Investigator)

NAME:

TITLE:

ADDRESS:

TEL: ~~////~~EXT FAX:

E-MAIL ADDRESS:

4. AMOUNT REQUESTED *(Up to \$25,000)*

5. TYPE OF GRANT *(Check one, name Service/Dept)*

Service:

Departmental:

6. CONFLICT(S) OF INTEREST?

NO YES

6b. If Yes, explain:

7. HUMAN SUBJECTS RESEARCH

NO YES

7a. REVIEWED BY IRB If Yes, IRB #:

NO YES

7b. DRUGS / BIOLOGICS RESEARCH

NO YES

7c. MEDICAL DEVICE RESEARCH

NO YES

8. VERTEBRATE ANIMALS RESEARCH

NO YES

8a. REVIEWED BY IACUC

NO YES

**APPLICANT
SIGNATURE:** _____

Date / /

Applicant: I certify that the information I have provided in this application is complete and accurate to the best of my knowledge, and accept the obligation to comply with the terms and conditions if a grant is awarded as a result of this applications. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. **Resulting publication(s) will acknowledge funding from "Wills Eye Foundation."**

**ADMINISTRATOR
SIGNATURE:** _____

Date / /

Service Chief/Dept Head: I certify that the information given by the applicant is complete and accurate to the best of my knowledge. I approve the use of time and resources proposed in this application.

DO NOT WRITE BELOW THIS LINE – FOR OFFICE USE ONLY

DATE RCV'D: / /	ELIGIBLE? Y / N	COMPLETE? Y / N	APPLICATION ID#	R1 SCORE:	RANK:	AWARDED? Y / N
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APPLICATION PART 2

BUDGET FORM

DETAILED BUDGET FOR BUDGET PERIOD: DIRECT COSTS ONLY			From 7/1/2013	To 6/30/2014	
<u>ALL KEY PERSONNEL COSTS</u> <i>(Attach another sheet if necessary)</i>			AMOUNT REQUESTED (ROUNDED)		
Name	Project Role	% Effort	Salary Requested	Fringe Benefits	TOTALS
SUBTOTALS:					
<u>CONSULTANT COSTS (itemized)</u>					
<u>EQUIPMENT COSTS (itemized)</u>					
<u>SUPPLY COSTS (itemized)</u>					
<u>TRANSPORTATION COSTS (itemized)</u>					
<u>PATIENT CARE COSTS (itemized)</u>					
<u>PATIENT COMPENSATION & REMUNERATION COSTS (itemized)</u>					
<u>OTHER COSTS (itemized)</u>					
TOTAL DIRECT COSTS FOR BUDGET PERIOD:					

APPLICATION PART 3

BUDGET JUSTIFICATION

Budget Justification should be typed separately, with Project Title and Applicant Name on top.

Use the headers provided and follow the instructions below.

Maximum 3 one-sided, single-spaced pages with 1" margin in 12-pt Arial font.

Key Personnel Costs

Combined PI and/or Co-I salary support, including fringe benefits, may not exceed 20% of grant funds (or up to \$5,000). Only Wills Eye employees are entitled to fringe benefits. Residents and fellows may not receive salary support.

For all key personnel, address the following items in justifying the figures given on Budget Form: name, title, role in study, requested salary support. Wills Eye employees must also include a % effort.

Consultant Costs

Describe any consulting or advising services you will utilize. For each consultant, address the following items in justifying the figures given on the Budget Form: name, title, role in study, requested salary support, and an estimate of hours to be worked during Grant Year. Maximum consulting fees are \$150/hr; no fringe benefits allowed. Advisory Board members may not receive funding for this role.

Equipment Costs

Describe what equipment will be purchased and how it will be used in the study. Grant funds can pay for 1 computer and 1 printer per research study. Office equipment costs may not exceed \$3,000. **All equipment purchased is the property of Wills Eye Institute.**

Supply Costs

Describe what supplies will be purchased and how they will be used. Office, clinic, and lab supplies necessary to conduct the research study can be charged. Supply costs may not exceed \$3,000.

Transportation Costs

Describe any travel above and beyond the regular commute which you anticipate for any members of the research team. Do not include subject compensation for travel. Do not include travel costs for presenting research.

Patient Care Costs

Describe any expenses for patient care costs (e.g. phlebotomy, OCT, pharmaceutical costs) directly related to research. Calculate the cost per patient for each type of expense.

Patient Compensation & Remuneration Costs

Describe any expenses related to patient compensation & remuneration for participation in research. Calculate the cost per patient for each type of compensation or remuneration (e.g. parking passes, meal vouchers, gift cards).

Other Costs

Describe any other cost associated with the research. This includes but is not limited to patient recruitment costs, staff meal costs, and animal care costs. Include all relevant details including per patient/staff member/animal calculations. Meal expenses are capped at \$10/person/meal and may not exceed \$400 total. Recruitment costs may not exceed \$2,000.

APPLICATION PART 5

NARRATIVES

Narratives should be typed separately, with Project Title and Applicant Name on top.

Use the headers provided and follow the instructions below.

Maximum 1 one-sided, single-spaced page with 1" margin in 12-pt Arial font.

1. Executive Summary

Provide a detailed, **technical description** of the research aims and study design written to an audience of your scholarly peers. Describe the overall impact for Wills Eye Institute. **<250 words**

2. Project Narrative

Provide a brief, **non-technical description** of the research aims and study design written to a general audience and suitable for lay publications. Describe the overall impact for Wills Eye Institute. **<100 words**

3. Education Narrative

Provide a detailed description of a plan for research mentorship. Describe how the residents/fellows fit into the research team and study design and what role the residents/fellows will play in fulfilling the stated research aims. Provide the name of the resident Co-Investigator on your team (required). **<250 words**

APPLICATION PART 6

HUMAN & ANIMAL SUBJECTS

If your study involves research with human subjects at Wills, attach a copy of your IRB approval letter or a complete Wills Eye IRB application.

If your study involves research with human subjects at another institution, attach a copy of the appropriate IRB approval letter or evidence that an application has been submitted.

If your study involves research with animal subjects, attach a copy of the appropriate IACUC approval letter or evidence that an application has been submitted.