

# Instructions on Completing the Research Authorization Form (RAF)

## Section 1: General Project Information

- a. Provide the name of the Principal Investigator (PI). Per SUNY Optometry guidelines, only a faculty or staff member can be a PI of a study (i.e. not an Optometry or Graduate student).
- b. Provide the full name of the study and any abbreviation, if applicable. This title should match what is on the grant submission, contract, etc., and it must match the IACUC or IRBNet submission.
- c. Provide a brief project overview/abstract of the study aims. The description should be in layman's terms, so that someone who is not in academia could still be able to understand the abstract.
- d. Indicate if the RAF submission is for a New Project, Renewal or Amendment of a previously approved project.
  - i. All projects must be re-approved annually by submitting a RAF every year, prior to submitting for IRB/IACUC renewal. This requirement applies to all projects, including those that do not require IRB or IACUC renewal (e.g., exempt human research studies). For all Renewals, provide the previous RAF number.
  - ii. RAF Amendments are only required for changes in the study protocol, personnel and/or budget. For RAF Amendments, provide the most recent RAF number and identify what changes were made [i.e., document(s) amended].
- e. Indicate the type of research: Animal, Human or Other. If Other, describe (i.e., record review, tissue culture).
- f. If Human Research, indicate if the SUNY Optometry IRB or a Central IRB will be used for review of the project.
- g. This section is only for if you are using a Central IRB.
  - i. Identify if the proposed research is multi-center or single center.
  - ii. If single center, provide reason for central IRB oversight.
  - iii. Refer to this link to identify if the IRB used for the study is a member of the SMART IRB: [Participating Institutions - SMART IRB I National IRB Reliance Initiative](#). Indicate "Yes" or "No."

## Section 2: Funding Information

- a. Indicate the type of funding and check all that applies. If SIVR funding is requested in addition to the RAF, please submit a Study description and detailed Budget to Dr. Stewart Bloomfield at [sbloomfield@sunyopt.edu](mailto:sbloomfield@sunyopt.edu).
- b. Fill in the name of the funding agency (i.e., NIH, NEI, Alcon Corp, Foundation Fighting Blindness).
- c. Indicate the specific type of grant, if applicable (i.e., R01, K23, New Investigator Award).

- d. Indicate the total project period. The project period should match what is on the grant submission, contract, etc. Include the total time from study start-up and conduct through close-out.
- e. Indicate the total funds requested as the budget details. If the project is longer than one year, include funding for all years.
  - **Note:** Refer to the [Sponsored Programs Guide](#) for the most current Indirect Cost Rates.
- f. Indicate if there is a request to waive SUNY IRB fees. NIH-funded studies are not charged IRB fees, while all other studies are assessed fees for initial, continuing, and amendment reviews. Provide explanation if “Yes” is indicated.
- g. Indicate the facilities and administrative (F&A, “overhead”) rate.
  - **Note:** Refer to the [Sponsored Programs Guide](#) for the most current rates.
- h. If Human Research was selected in 1e, indicate how subjects will be compensated.

### Section 3: Shared Resources

- a. Choose “Yes” or “No” depending on if the project will require the use of any additional space or institutional resources beyond the Investigator’s approved lab space/equipment.
- b. If “Yes” was selected in 3a, please indicate the location(s). If necessary, select “Other” and describe in the space provided.
  - **Note:** CVRC is the Clinic Vision Research Center.
- c. Choose “Yes” or “No” depending on if additional equipment outside the investigator’s lab will be needed.
  - i. If additional equipment will be borrowed from elsewhere in the college, indicate the name of the equipment and location.
    - **Note:** UEC is the University Eye Center.
  - ii. If additional equipment will be loaned from an outside entity (sponsor), indicate the name of equipment and donor (company).
    - **Note:** If equipment will be loaned from an outside entity, the [Loan Authorization Form](#) must be completed prior to receipt of equipment.
- d. Choose “Yes” or “No” depending on if the use of shared resources (CVRC space, UEC equipment, etc.) has been approved by the responsible party. If “Yes” was indicated, specify who approved the usage. For CVRC, you must attach the CVRC budget with your RAF submission.
- e. Choose “Yes” or “No” depending on if the study will require additional faculty or staff release time (from clinic, teaching or other assignments).
  - i. All changes in effort must be approved by the Chief Academic Officer prior to grant submission. If “Yes” was indicated, provide the name of the Chief Academic Officer.

### Section 4: Study Personnel and Compliance

- Fill out the table for Study Personnel. If additional space is needed, attach a separate sheet with the same table.

- List all key personnel, including the Principal Investigator. “Key personnel” includes any person who will interact with the subjects and/or who contributes to the scientific development or execution of a project in a substantive, measurable way. This includes faculty, students, and staff. Collaborators who are only receiving/reviewing de-identified information may not be considered key personnel.
- List all key personnel’s corresponding role in the study. Some examples of roles include PI, sub-investigator, study coordinator, research assistant, and data analyst. “Student” is not an appropriate entry as it describes someone’s status at the College, not what role they are assuming as part of the study.
- Mark the check box if the personnel has completed the Annual FCOI Disclosure for the current Fiscal Year, which is due every November 1<sup>st</sup>. If they have made any changes with their disclosure between November 1<sup>st</sup> and October 31<sup>st</sup>, please enter the last date when they have made the changes. Record the date of completion in the space provided.
- By marking as “Completed,” the Principal Investigator confirms that listed personnel have completed all required CITI Training Courses. Should there be any key personnel that have not submitted the required annual disclosure or finished CITI Training (new employee, new student, volunteer, etc.), please send an email to [RAFsubmissions@sunyopt.edu](mailto:RAFsubmissions@sunyopt.edu) and indicate the following:
  - 1) Statement that a RAF is currently in the process of submission
  - 2) Title of Research Study
  - 3) First and Last name of Personnel
  - 4) Role in the Study
- Indicate expiration dates for each required CITI Training in the space provided, if completed.

### Section 5: Animal Subjects Research Information

- Indicate “Not Applicable” if no animal subjects will be used in the study.
- List the species of animal being used if applicable.

### Section 6: Human Subjects Research Information

- Indicate “Not Applicable” if no human subjects will be used in the study.
- Indicate if vulnerable populations (e.g., minors, pregnant or breastfeeding women) will be enrolled in the study. If yes, check all the populations that apply.
- Indicate what populations will be targeted for recruitment.

### Section 7: Certification

- After completing the form, the PI should read the certification statement and sign.

**Completed RAFs should be emailed to [RAFsubmissions@sunyopt.edu](mailto:RAFsubmissions@sunyopt.edu). Principal Investigators may attach any other relevant documents to the email.**