TRAQ DSS Form

Researchers - User Manual

Rev. September 2018

Introduction to TRAQ

- TRAQ (Tools for Research at Queen's) is an electronic research management system which replaced all internal certification paper applications (Human Ethics Certification & Biohazards Certification), and the legacy electronic award application (Data Summary and Signature System – commonly referred to as DSS).

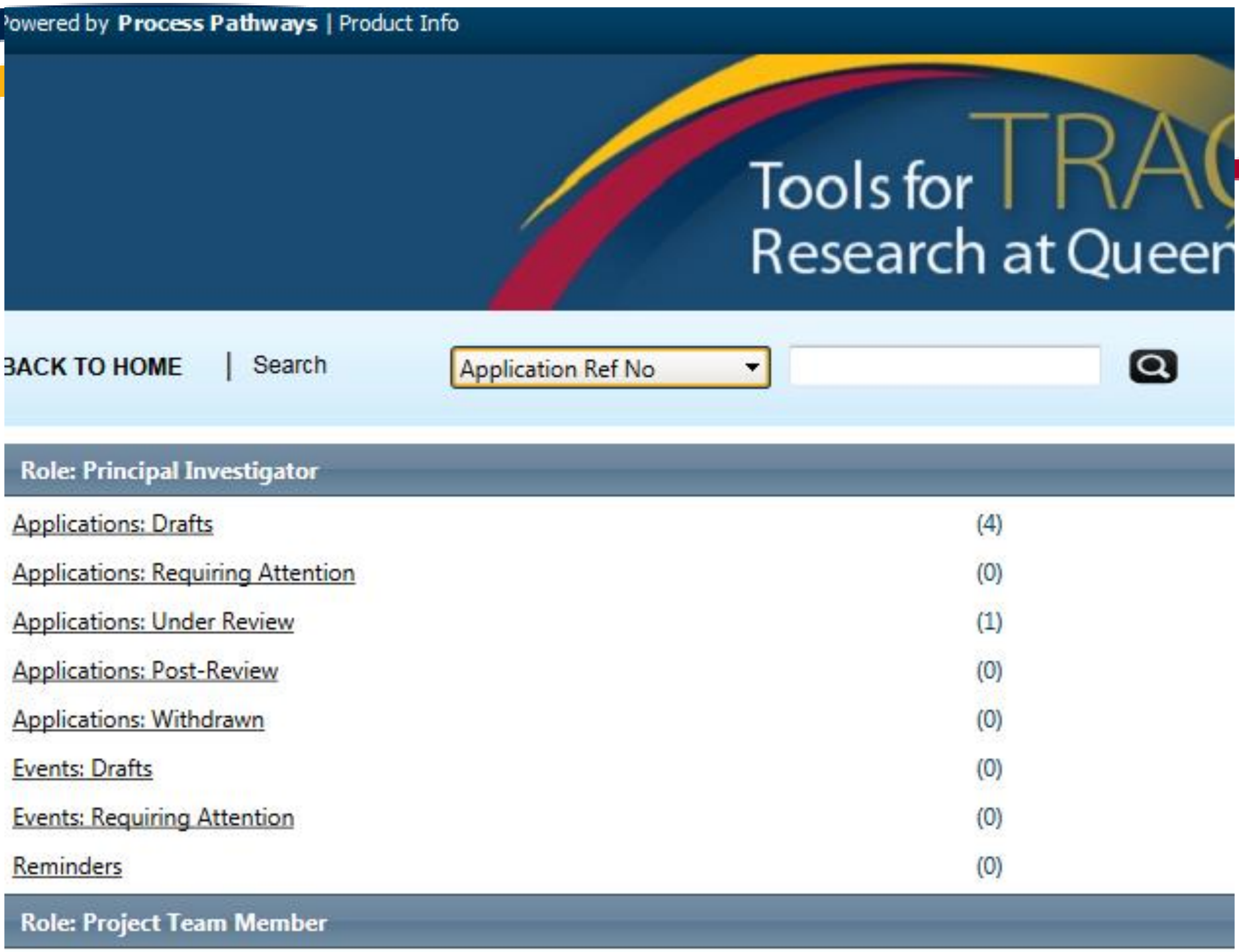
- Following the successful pilot implementation of Human Ethics in 2010, the Researcher Portal in 2011, and Biohazard Certification in 2013, the TRAQ project introduced the Awards Module in 2014.
- For more details regarding TRAQ, please visit our website: http://www.queensu.ca/traq/.

NOTE: All users should safeguard their electronics (computers, smartphones, etc.) and be familiar with the Queen's Electronic Information Security Policy Framework as well as the *Freedom of Information and Protection of Privacy Act* (FIPPA) at Queen's.

Accessing the Researcher's Portal

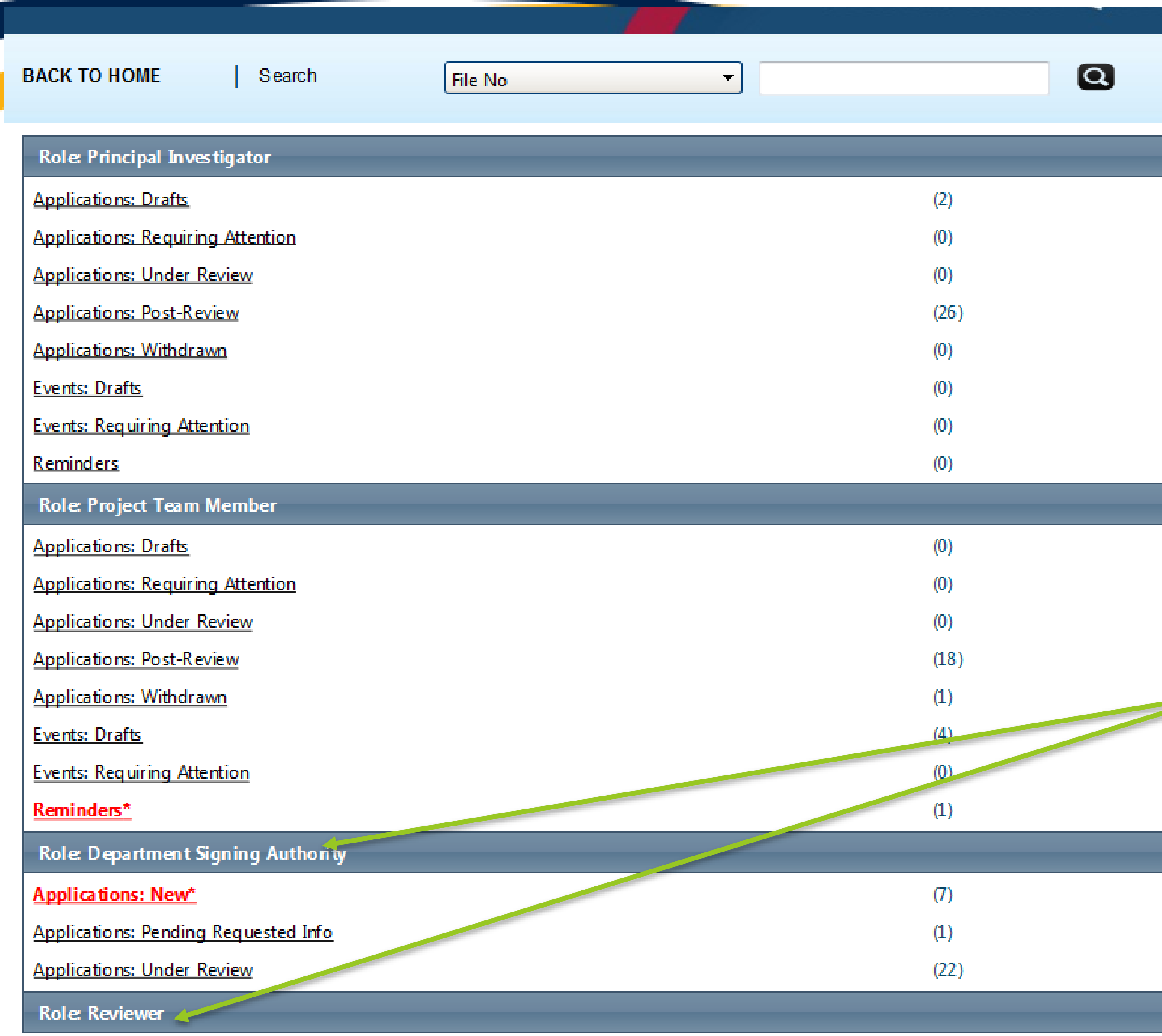
- Queen's faculty and staff should use their regular Queen's NetID and password to log into the Researcher Portal through MyQueensU/SOLUS. Once in MyQueensU, click on the **My Applications** tab. Then, click on the link **Go to the TRAQ Researcher Portal**.
- Access to the Researcher's Portal is also available through the TRAQ website: http://www.queensu.ca/traq/signon.html
- Queen's students and external users, trying to log in for the **first time**, need to complete the Self Registration Form before they can access the Researcher's Portal. Once you have registered, you will receive an automatic email with instructions on setting up your own password. From then on, you will access the Researcher's Portal through the Post-Registration Login Site. Your username is the email address provided at the time of registration.

Researcher's Portal – Homepage



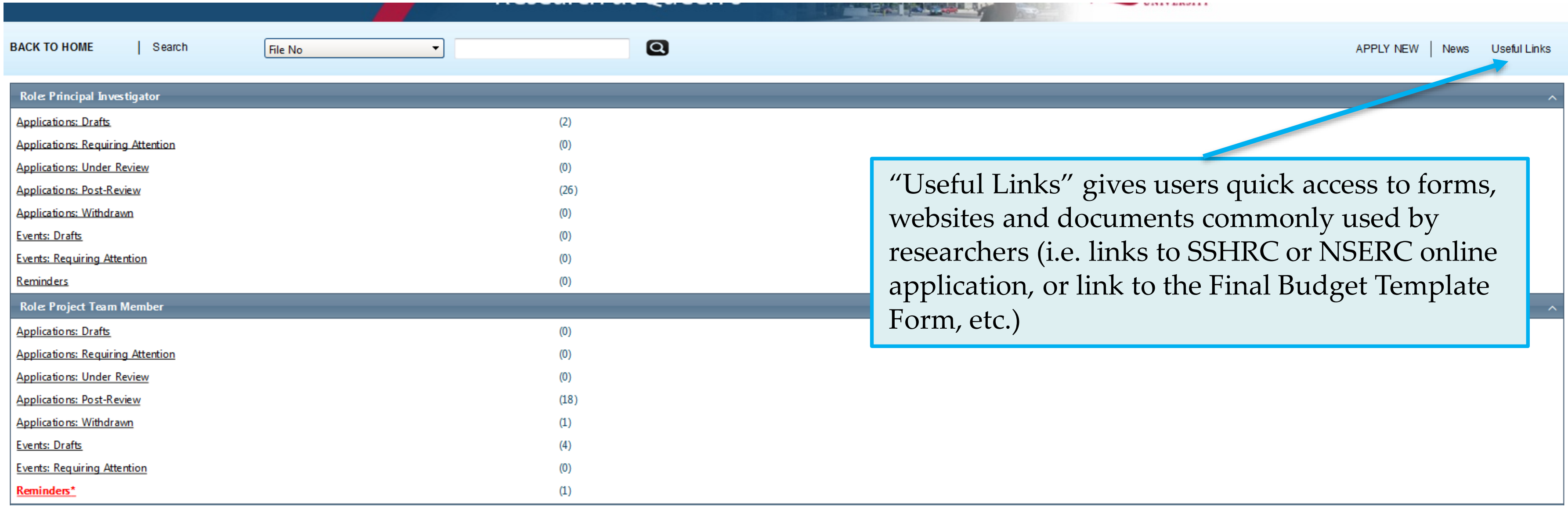
All users have **Principal Investigator** and **Project Team Member** roles. Depending on your role in a particular study, you will access your files (Human Ethics and Biohazard certifications, and TRAQ DSS Form/Agreement Review applications) under one role or the other.

Researcher's Portal – Homepage (Cont.)



Users with review or signing authority (Department Heads/Associate Faculty Deans/Hospital Operational Directors) will have additional roles on their homepage such as **Department Signing Authority, Other Signing Authority (HODs)** and/or **Reviewer**.

Researcher's Portal – The Homepage (Cont.)

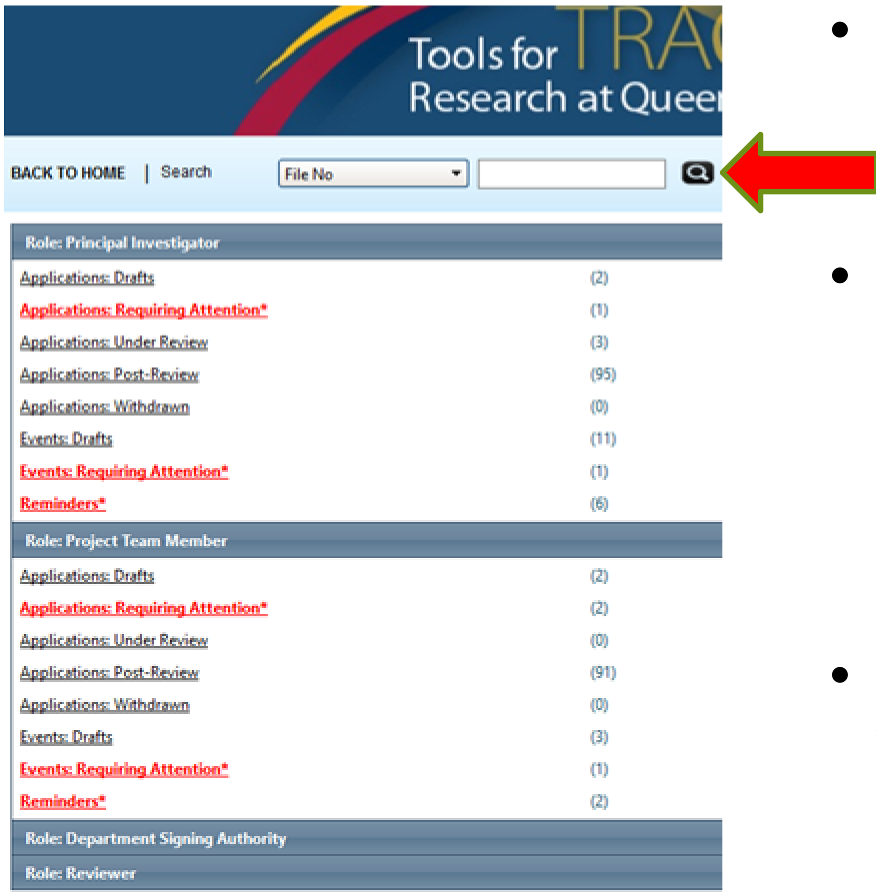


"Useful Links" gives users quick access to forms, websites and documents commonly used by researchers (i.e. links to SSHRC or NSERC online application, or link to the Final Budget Template Form, etc.)

<u>Quick Links</u>:

- **Applications: Drafts –** Applications that are started but have not been submitted for review - applications can still be edited;
- **Applications: Requiring Attention: -** Signing authority or URS has returned to the PI and Project Team Members for edits;
- **Applications: Under Review** - Submitted by PI for review - applications can only be viewed;
- **Applications: Post-Review** - All active or closed approved – applications can only be viewed;
- **Applications: Withdrawn:** PI no longer intend to pursue funding opportunity and withdraws the application The application cannot be withdrawn while it is moving through the approval process.
- **Events: Drafts** – Events that are started but have not been submitted for review yet - applications can still be edited;
- **Events: Requiring Attention** – URS, or the Biohazard Safety Officer, has returned to the PI and Project Team Members for edits;
- **Reminders**:- Indicates which certifications will expire shortly.

NEW SEARCH OPTION - By File No, Application Ref No, Event No, and Event Ref No



- Click on the downward arrow to the right of File No.
- From the list, click on either File No, Application Ref No, Event No, or Event Ref No from the list.
- Type in the number in the box to the right and click the search icon.

NEW SEARCH OPTIONS - By File No, Application Ref No, Event No, and Event Ref No

The Difference Between File No and Application Ref No

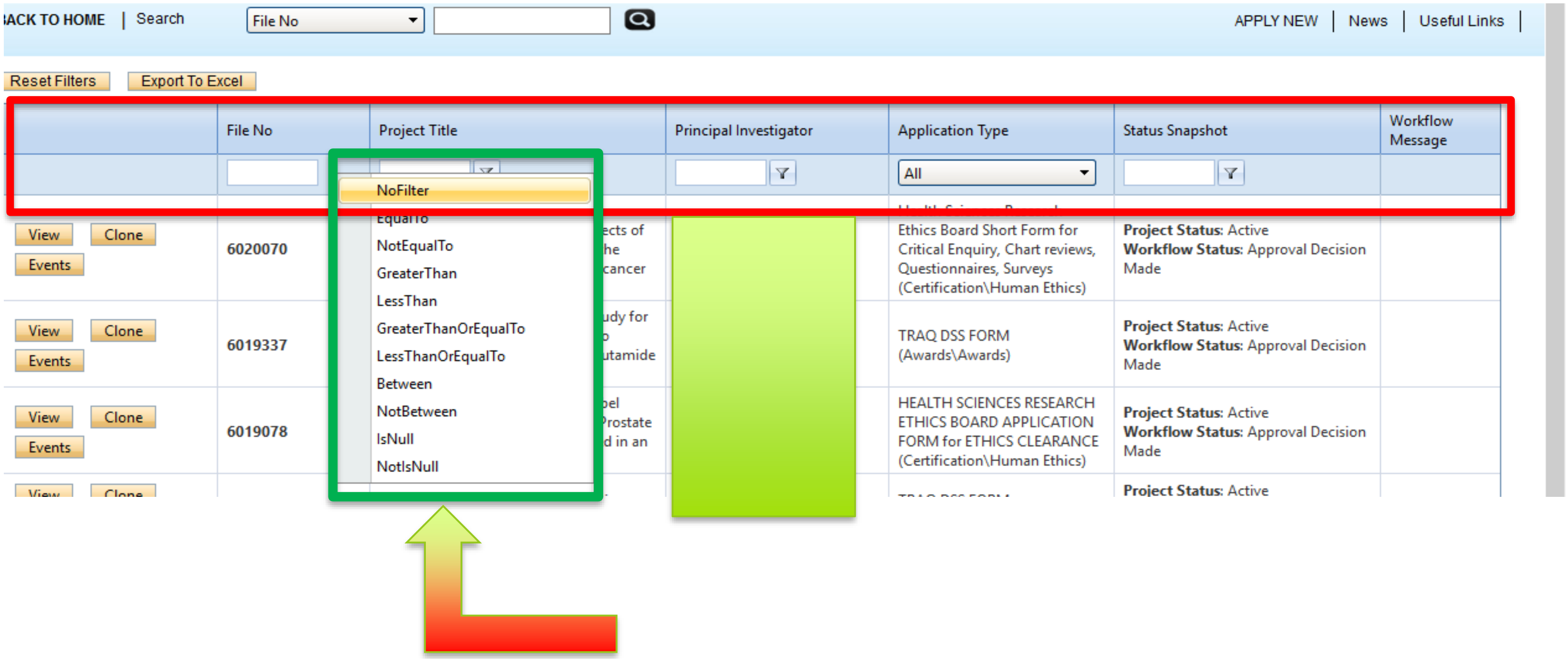
- File No is the 7-digit number (starting with 602) that is assigned to the application when it arrives in the research administration portal for review. Older file numbers begin with either 600 or 601.
- Application Ref No is the 5-digit number associated with an application when it is in draft or in the TRAQ DSS signing authority workflow.

The Difference Between Event No and Event Ref No

- Event No is the 6-digit number (starting with 85) assigned to an event when it arrives in the research administration portal for review.
- Event Ref No is the 5-digit number associated with event in draft.

Researcher Portal – Accessing Existing Applications

- To access your applications, click one of the quick links within the Role. If you have several applications within a link, use the search filters available at the top of each column to quickly identify the application for which you are looking.
- You may use the "Export to Excel" button to export a list of your applications in an Excel spreadsheet.



Researcher Portal – Starting a New Application

<u>Step 1:</u>
Click on “APPLY NEW” to access the TRAQ DSS Form/Agreement Review applications.

BACK TO HOME

APPLY NEW | News | Useful Links |

Role: Principal Investigator

Role: Project Team Member

New Application Forms

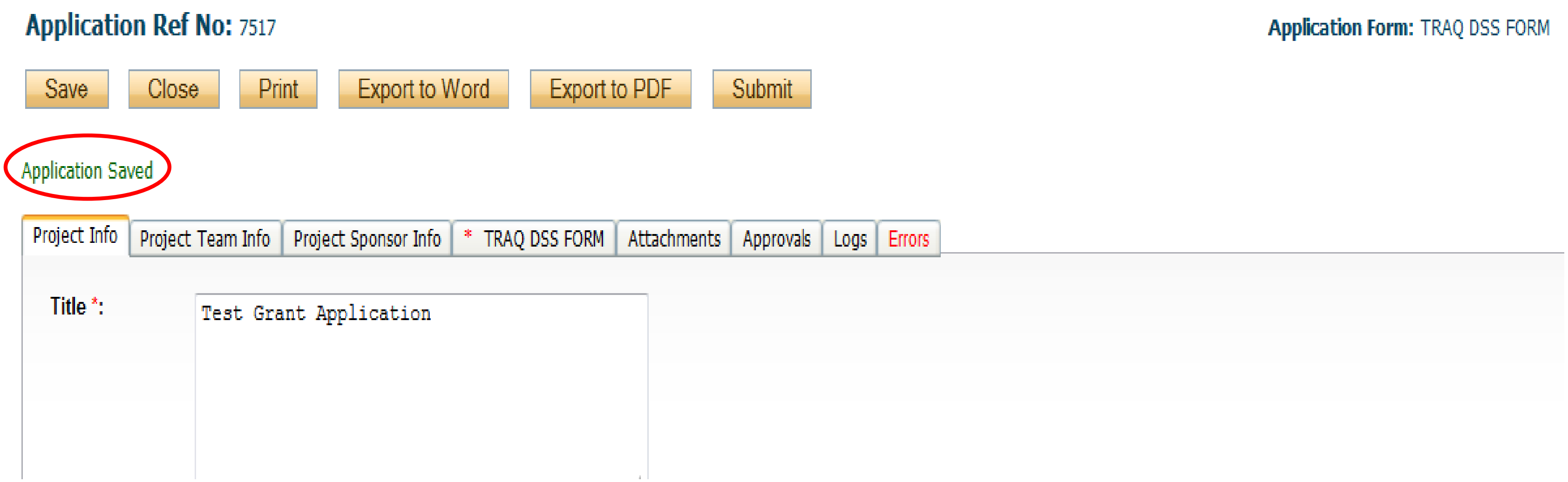
Awards

Application Name	Description	Status
Agreement Review	This form may be used for the following Agreements that DO NOT include incoming funds: Data Transfer/Access, Equipment Loan, License, Material Transfer, Memorandum of Understanding, Network, Non-Disclosure, Participating Centre, Site, Template, and/or Visiting Scientist.	Open
TRAQ DSS FORM	This form is to be completed: 1) if you are seeking approval for any research funding, or 2) when there are no funds for the project BUT your research is located in an affiliated hospital and Hospital Operational Directors signoffs are required. NEW: If you are located in an affiliated hospital please complete the Hospital Impact & Information Form (form template can be downloaded in Attachments tab) and attach it to your TRAQ DSS. Only the Principal Investigator (a Faculty member) can submit TRAQ DSS FORM.	Open

- Researchers have the choice of two forms: 1) Agreement Review; 2) TRAQ DSS
- The Agreement Review form is to be used <u>strictly</u> for the agreement types listed in the description above, and that <u>do not involve</u> incoming funds to the University. Use the TRAQ DSS Form for all other agreements, and grant applications.
- TRAQ **does not** have an automatic save feature. Click the **Save** button after completing each tab. An **Application Saved** message in green font at the top-left of the window when the file is saved successfully.
- TRAQ **does** have a *time out* feature! If you need to step away from your computer, you should always click “Save” and “Close” as a precautionary measure. Failing to do so may result in information being lost and the application being “locked”.

Important TRAQ Tips

- TRAQ does not have an *automatic save* feature. Click the "Save" button after completing each tab. You will know that you have saved your changes when you see the "Application Saved" message in green font at the top-left of the window.



- Though TRAQ does not have an *automatic save* feature, it does have a *time out* feature! If you need to step away from your computer, you should always click "Save" and "Close" as a precautionary measure. Failing to do so may result in information being lost and the application being "locked".

Project Info Tab

- Please note that all fields preceded by * are required. Failing to complete these fields will prevent the user from submitting the form.
- Keywords: Although keywords are not required, researchers are encouraged to use this field to describe their project. Keywords be selected from the drop down menu or typed directly into the text box.
  - **If your study has an international dimension (international partners, international sponsors, etc.) please note the name of the country in the Keywords textbox.**
- Do not enter the start & end dates. Dates will be entered by URS/Research Accounting staff when notice of award is received/contract is finalized.
- Related Certifications: If your study requires Human Ethics, Biohazard, and/or Animal Care Certification(s) you must link your certifications to your application, or at the very least make note of this requirement and of your intent to apply. Please see details on following page.

Project Info Tab - Related Certifications

- If you do not have any active certifications yet, click on 'Add New' to indicate your intention of applying for either Human Ethics/Biohazard Certification.

Related Certifications

- Click Search to attach an existing certification
- Click Add New to attach a certification not yet submitted to a review commitee

Add New Search

		Certification Category	File No	Status	Renewal Date	Notes
Edit	Delete	Human Ethics		Active		This application requires human ethics certification. I will be submitting my application to HSREB shortly.

- If you have already submitted your application for required certifications, or already have active certifications, click on 'Search' to bring up a list of your pending/active certifications. Click on select next to the certification(s) you need to link to your TRAQ DSS Form.

Related Certifications

- Click Search to attach an existing certification
- Click Add New to attach a certification not yet submitted to a review commitee

Add New Search

		Certification Category	File No	Status	Renewal Date	Notes
Edit	Delete	Biohazard	6010284	Active	2014/01/31	

- Note: The renewal date of any related Human Ethics and/or Biohazard Certifications will appear on the Project Info screen making it easier for researchers to keep their certifications current.

Project Info Tab – Animal Care Certifications

- Since Animal Care is not one of the TRAQ modules (researchers apply for Animal Care through TOPAZ), your Animal Care Certification cannot be directly linked to your TRAQ Awards file. However, researchers are still expected to make note of any active, or pending, Animal Care Certification required for their project.
- From the Project Info tab, click on 'Add New' under Related Certifications. Select "Animal Care" from the 'Certification Category' dropdown menu, and note the status and TOPAZ file number of your Animal Care Certification in the 'Notes' textbox.

Related Certifications

- Click Search to attach an existing certification
- Click Add New to attach a certification not yet submitted to a review commitee

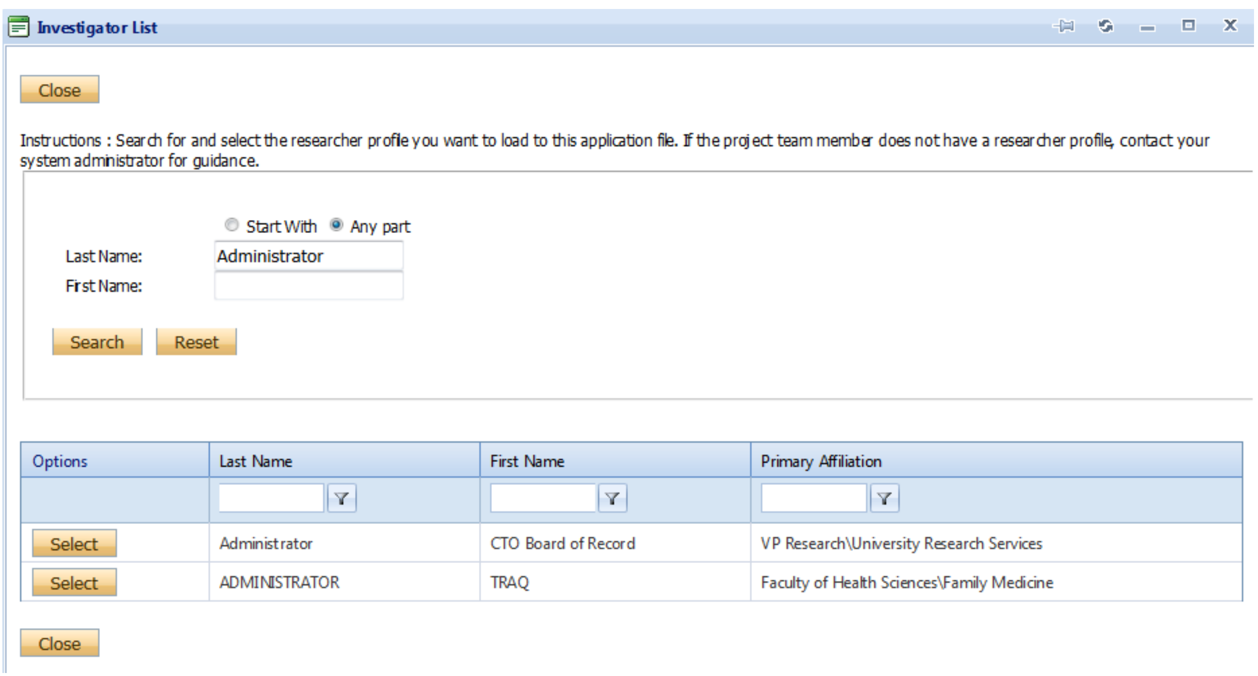
Add New | Search

		Certification Category	File No	Status	Renewal Date	Notes
Edit	Delete	Animal Care		Pending		Active Animal Care Certification, TOPAZ File no. 99999

- Research Administrators will be able to confirm the status of their Animal Care Certification directly in TOPAZ, and change the status from pending to active.

Project Team Member Info

- First, if the PI has multiple affiliations (cross-appointments) make sure that you select the department/research centre where this study will take place. This will ensure that the application is directed to the correct signing authorities and avoid delays.
- Second, to add team members, scroll down to “Other Project Member Info” and click **Add New**.
- Click **Search Profiles** to bring up the Investigator List to search for the team member. **Important: Do not enter Team Member information manually.**
- Click **Select** to the left of the team member’s name.



Adding Project Team Members (Cont.)

- If you are unable to locate the team member,
  - If the team member is a **student or external** to the university, have that person register by going to the website:

https://queensu.researchservicesoffice.com/ROMEO.Researcher.Admin/(S(qworqq453k0mo0yv0d0sak45))/Researcher/HomePage/UserInfo.aspx

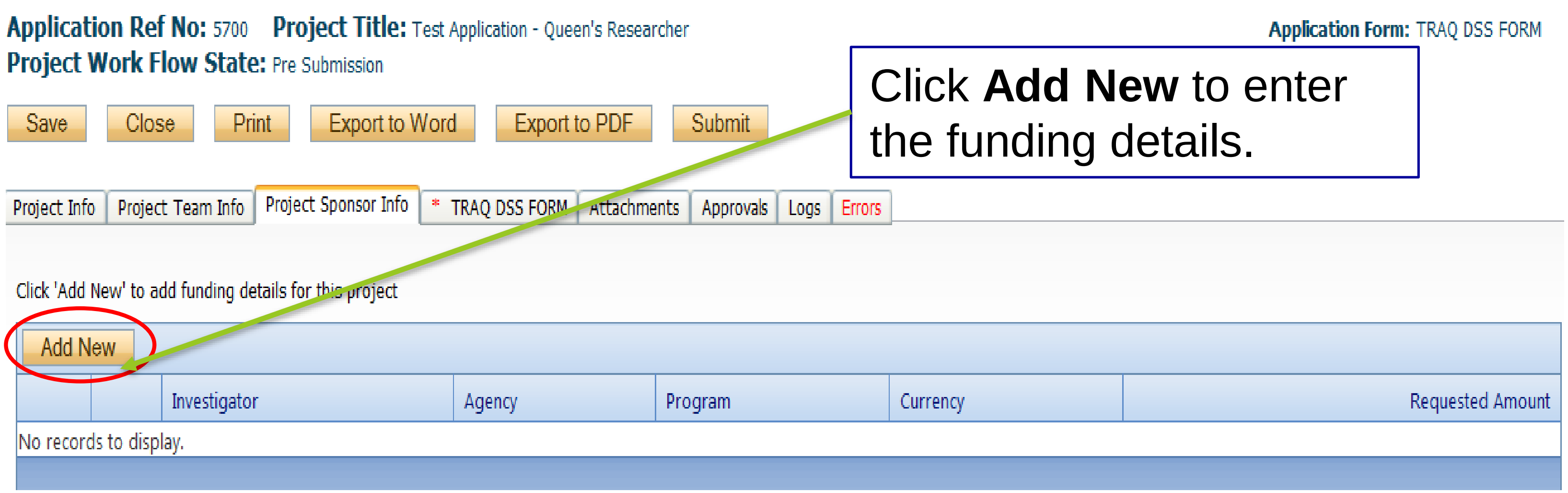
  - Once the student or external member has registered, his or her name will appear when a search by clicking **Search Profiles** is undertaken.
  - If the team member is **staff or faculty**, email the TRAQ Help Desk at traq@queensu.ca with the following information:
    - Prefix
    - First and last name
    - Title/rank
    - Departmental affiliation
    - Email address
- If you are able to locate the team member from the investigator list, choose the role of the team member from the **Role In Project** drop down menu.
- Repeat this process for each team member.
- It is recommended that Research Administrators assign themselves to the Research Coordinators role in the project.

Changing the PI

- The Principal Investigator Info screen is automatically filled out with the profile of the person who started the file.
- If the person who started the file is not the PI, click the **Change PI** button to transfer the PI role to the actual PI prior to submitting the file. **Important:** DO NOT type in the PI's information - always use **Change PI** button.
- Clicking the **Change PI** button will take you to the list of investigators. From there, follow the same steps for searching detailed in the previous slides.
- Once the PI is changed, the **Submit** button, previously located at the top of the form, disappears. This happens because the PI is the only team member who can submit, and re-submit, the application.
- **IMPORTANT:** Once you've transferred the role of PI, add yourself as a team member. This must the next step or you will receive an error and be unable to save the file.
- **NOTE: The PI must be a Queen's faculty member.**

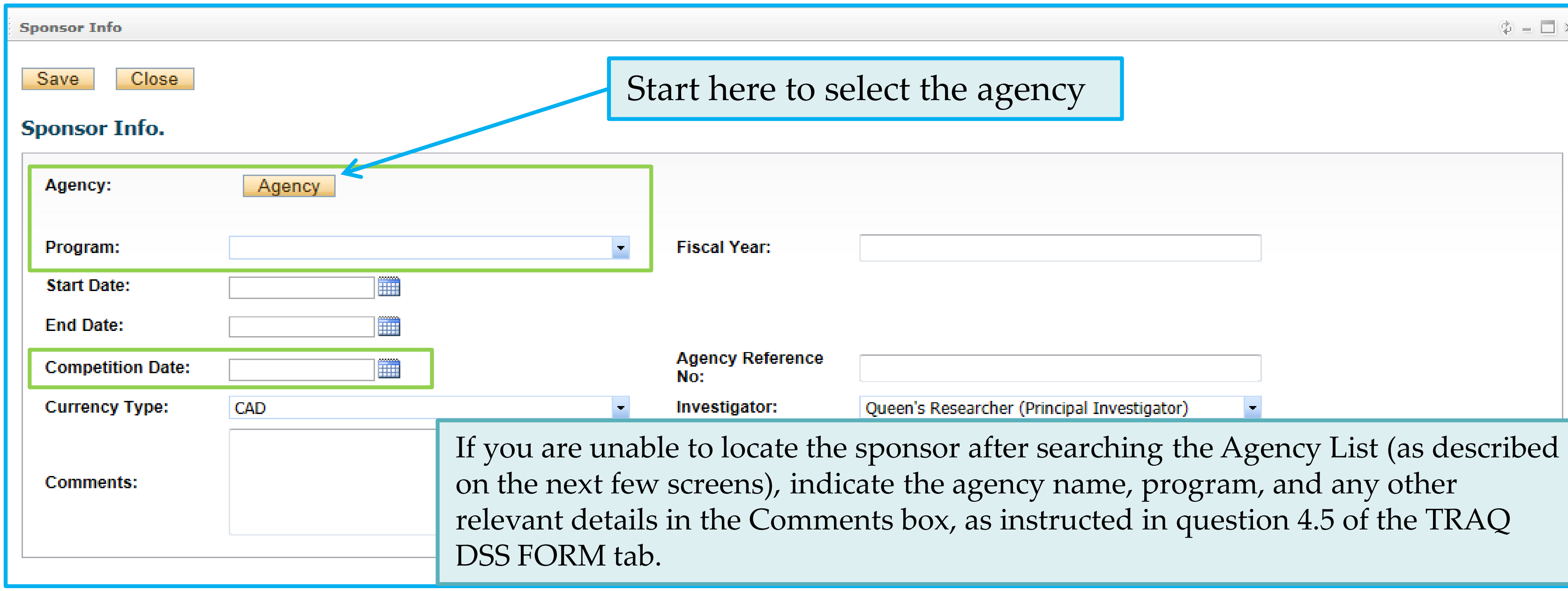
Project Sponsor Info Tab

The Project Sponsor Info tab captures key funding details such as the agency, the program, the requested cash, and requested in-kind and overhead, if applicable. The "Sponsor" refers to the funding agency (NSERC, CIHR, etc.), industry partner, or "other party" in an agreement (contract). Even when there are no research funds, or in-kind contributions awarded through the agency/partner, this party should always be documented.



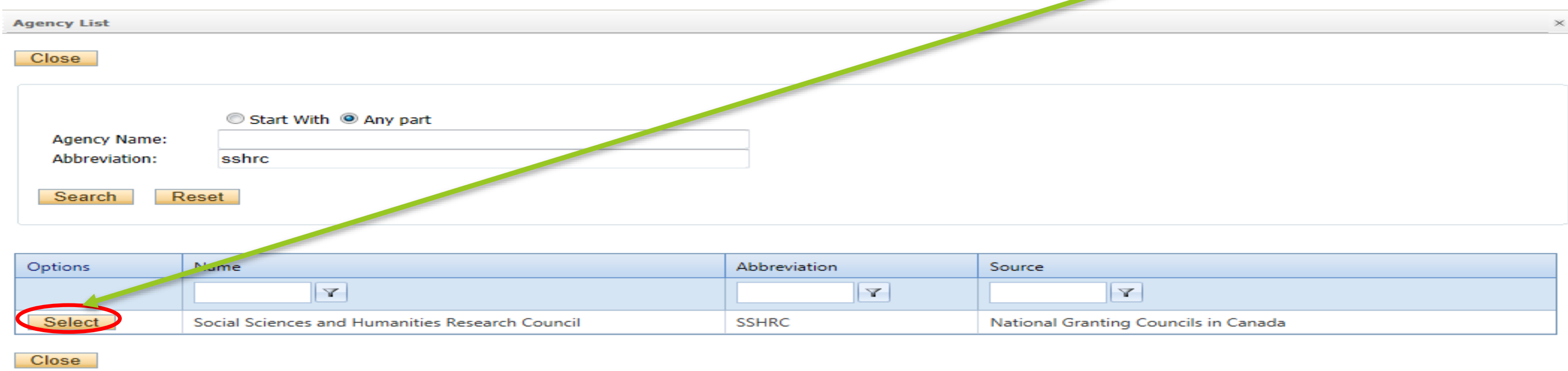
Sponsor Info

The fields in the green squares, Agency, Program, Competition Date and funding disbursement are to be entered. The other fields will be filled automatically, or by an administrator.



Sponsor Info – Selecting the Agency

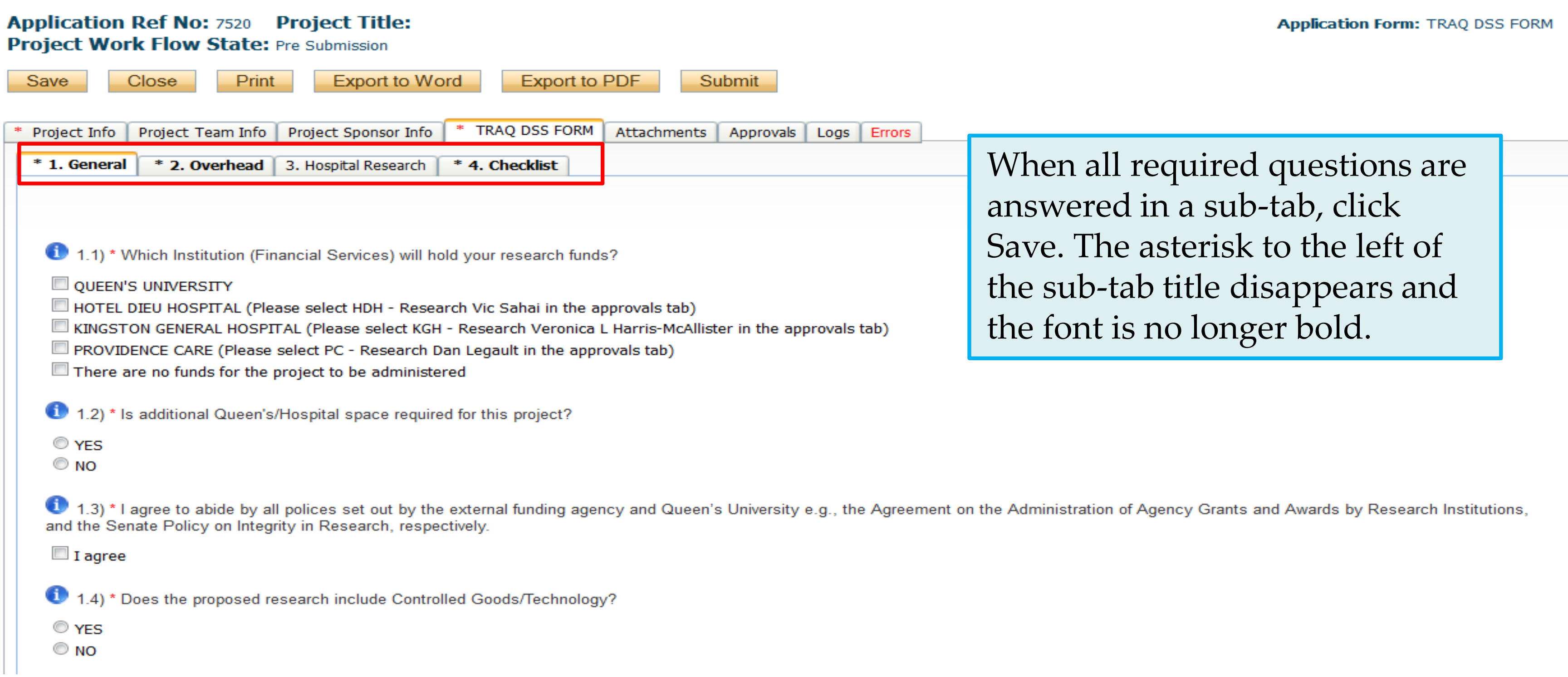
- **Agency** button: Search the Agency List by either typing any part of the agency name or by an putting in an abbreviation (NSERC, SSHRC, etc.). Once identified, click **Select** to choose the agency.



- Based on the agency you have selected, a list of agency-specific programs will be automatically generated in the "Program" dropdown menu. Select the program for which you are applying.
- **NOTE:** Programs preceded by an 'X' are no longer active and should not be selected.
- If you are unable to locate the sponsor after searching the agency list (as described on previous page), indicate the agency name, program, and any other relevant details in the Comments box, as instructed in question 4.5 of the TRAQ DSS FORM tab.
- Use calendar icon to enter **Competition Date** and anticipated project **Start** and **End Date**
- Click **GENERATE**, this will create disbursement table. **Please populate Total Requested Cash ONLY in the first disbursement row.**

TRAQ DSS Form Tab

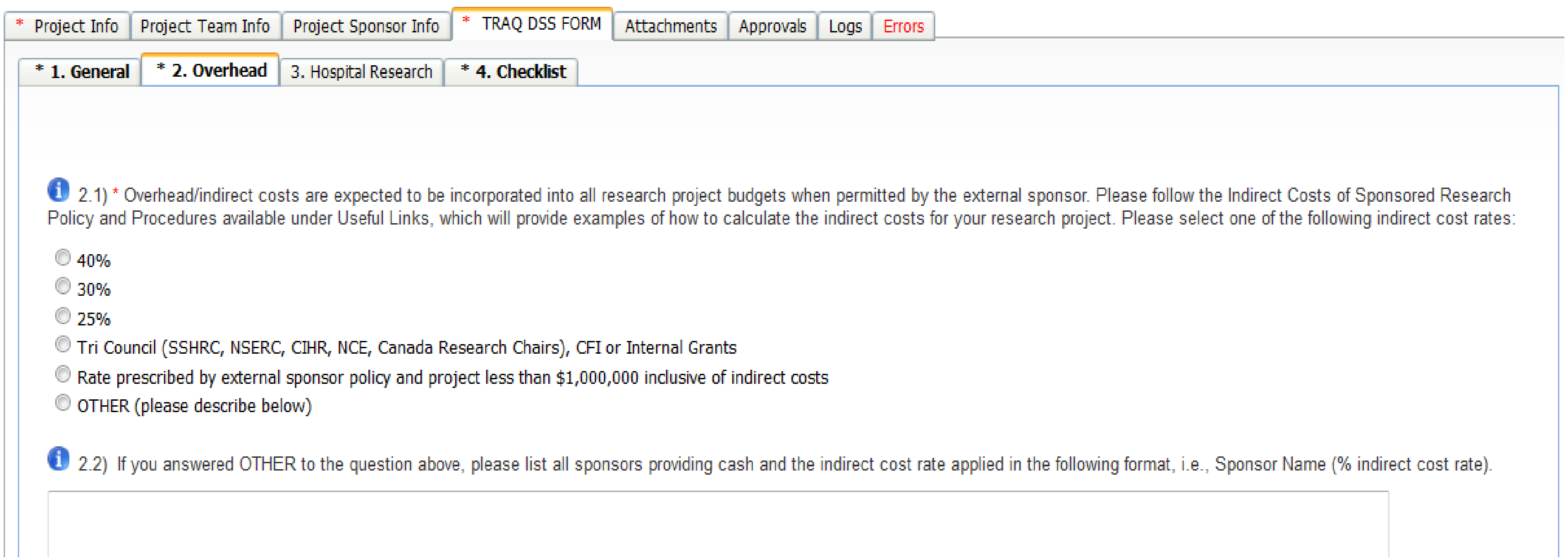
- The TRAQ DSS Form contains four sub-tabs, three of which contain required questions.
- If you are unsure how to answer a question, click the information icon for help. Clicking the information icon a second time will close the information box.



When all required questions are answered in a sub-tab, click Save. The asterisk to the left of the sub-tab title disappears and the font is no longer bold.

TRAQ DSS Form – Sub-tab 2. Overhead

- If you answer ‘OTHER’ to question 2.1, please list all sponsors providing cash and the indirect cost rate in question 2.2.
- You should also download the “Request for Variance to Indirect Cost of Sponsored Research Policy” from ‘Useful Links’, and attach the completed and signed form to your application through the Attachments tab.
- More information regarding the “Indirect Costs of Sponsored Research Policy” is available through ‘Useful Links’, and on the TRAQ website.



* Project Info | Project Team Info | Project Sponsor Info | * TRAQ DSS FORM | Attachments | Approvals | Logs | Errors

* 1. General | * 2. Overhead | 3. Hospital Research | * 4. Checklist

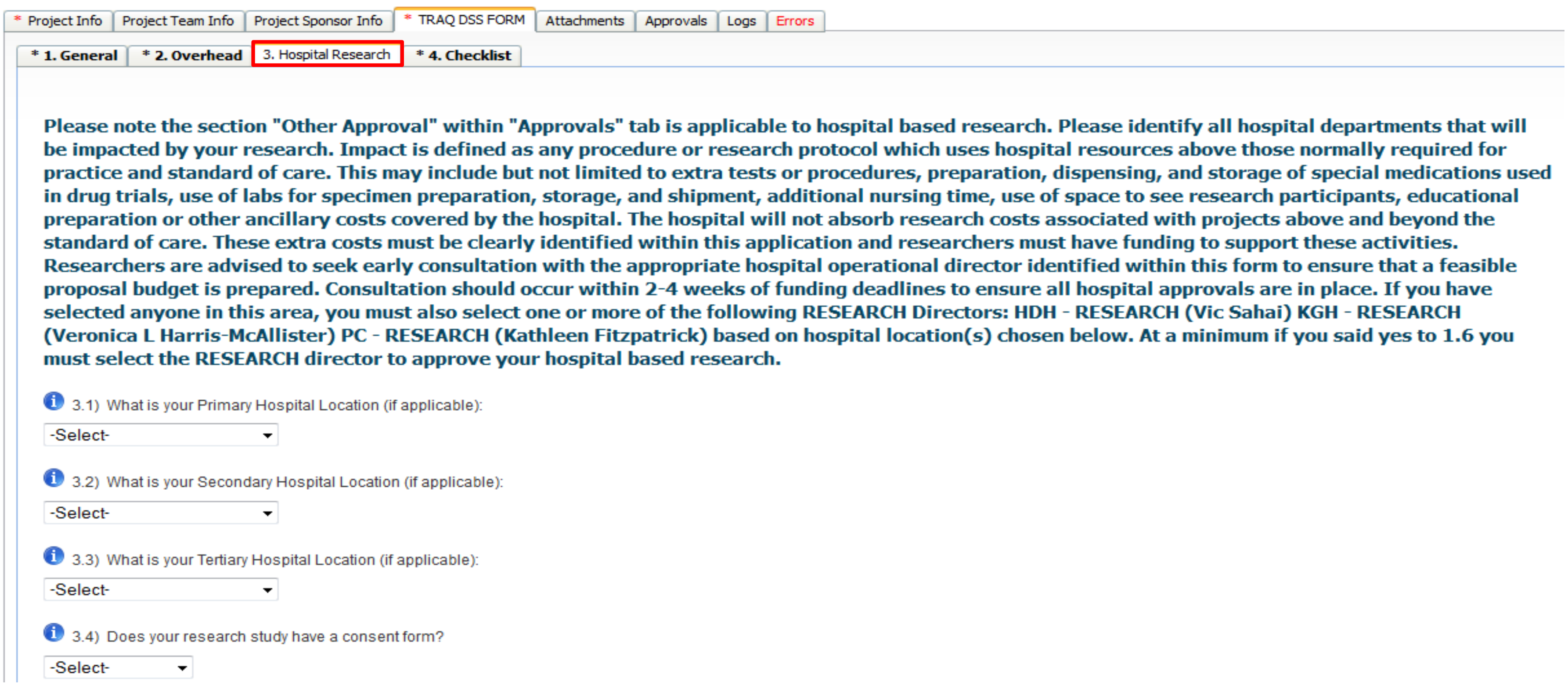
2.1) * Overhead/indirect costs are expected to be incorporated into all research project budgets when permitted by the external sponsor. Please follow the Indirect Costs of Sponsored Research Policy and Procedures available under Useful Links, which will provide examples of how to calculate the indirect costs for your research project. Please select one of the following indirect cost rates:

- 40%
- 30%
- 25%
- Tri Council (SSHRC, NSERC, CIHR, NCE, Canada Research Chairs), CFI or Internal Grants
- Rate prescribed by external sponsor policy and project less than $1,000,000 inclusive of indirect costs
- OTHER (please describe below)

2.2) If you answered OTHER to the question above, please list all sponsors providing cash and the indirect cost rate applied in the following format, i.e., Sponsor Name (% indirect cost rate).

TRAQ DSS Form – For Hospital Research Only

- If you answered ‘Yes’ to question 1.6 on the General sub-tab (research is being conducted at one of the affiliated teaching hospitals), you **must** complete sub-tab 3. Hospital Research.
- Overlooking this sub-tab, will result in a delay in the review and approval process.
- **Please read the instructions provided at the top of this screen carefully.**


* Project Info | Project Team Info | Project Sponsor Info | * TRAQ DSS FORM | Attachments | Approvals | Logs | Errors

* 1. General | * 2. Overhead | 3. Hospital Research | * 4. Checklist

Please note the section "Other Approval" within "Approvals" tab is applicable to hospital based research. Please identify all hospital departments that will be impacted by your research. Impact is defined as any procedure or research protocol which uses hospital resources above those normally required for practice and standard of care. This may include but not limited to extra tests or procedures, preparation, dispensing, and storage of special medications used in drug trials, use of labs for specimen preparation, storage, and shipment, additional nursing time, use of space to see research participants, educational preparation or other ancillary costs covered by the hospital. The hospital will not absorb research costs associated with projects above and beyond the standard of care. These extra costs must be clearly identified within this application and researchers must have funding to support these activities. Researchers are advised to seek early consultation with the appropriate hospital operational director identified within this form to ensure that a feasible proposal budget is prepared. Consultation should occur within 2-4 weeks of funding deadlines to ensure all hospital approvals are in place. If you have selected anyone in this area, you must also select one or more of the following RESEARCH Directors: HDH - RESEARCH (Vic Sahai) KGH - RESEARCH (Veronica L Harris-McAllister) PC - RESEARCH (Kathleen Fitzpatrick) based on hospital location(s) chosen below. At a minimum if you said yes to 1.6 you must select the RESEARCH director to approve your hospital based research.

3.1) What is your Primary Hospital Location (if applicable):

-Select-

3.2) What is your Secondary Hospital Location (if applicable):

-Select-

3.3) What is your Tertiary Hospital Location (if applicable):

-Select-

3.4) Does your research study have a consent form?

-Select-

Hospital Research Question 1.6

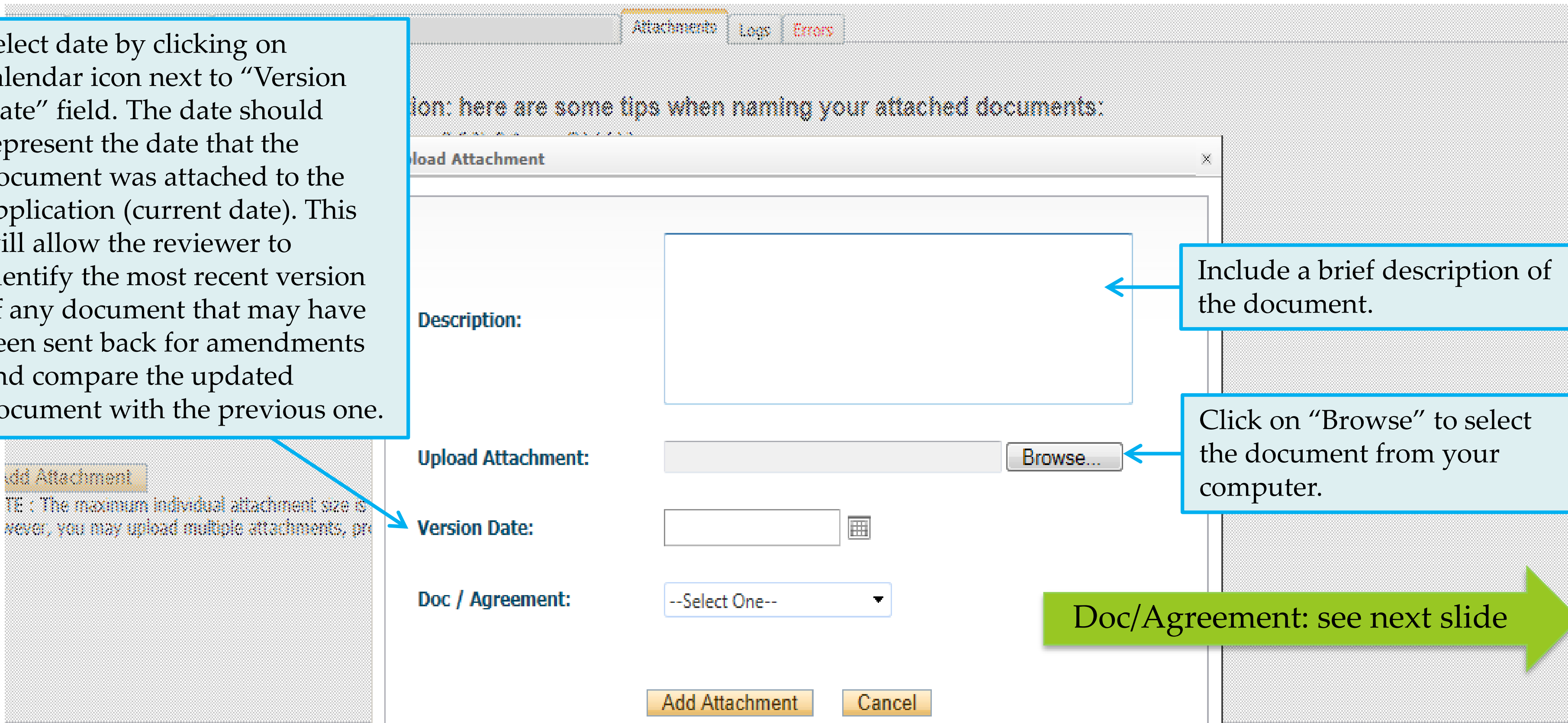
Answer 'Yes' to question 1.6 on the TRAQ DSS Form if <u>any</u> of the following situations will occur:

- Research occurs in a hospital setting;
- Research utilizes or requires hospital staff, space, services and/or other resources;
- Research offices for yourself and/or your research staff/students/trainees are located in a hospital setting OR your research lab, unit, centre, space, and/or equipment is located in a hospital setting, even if your research project is occurring off-site;
- Research involves obtaining or retrieving patient biological samples/specimens from patients seen (or samples stored) at one of the hospitals for lab projects and transported to your research lab located within OR outside of the hospital (i.e. Botterell Hall, CRI);
- Research involves extracting patient data from hospital medical records;
- Research involves purchasing supplies or equipment at/through the hospitals;
- Research involves the use of hospital services and payment to hospital departments;
- Research funds will be held within one of the hospitals/hospital research institutes.

For more information about completing a TRAQ DSS FORM for Hospital-based Research, please check out these links ***Hospital–Based Research Frequently Asked Questions*** ***and*** ***Hospital-Based Research – Tips for Completing the TRAQ DSS Form*****.**

Attachments Tab

- Attach any document(s) identified on the Checklist sub-tab of the TRAQ DSS Form, such as a research proposal, budget, or budget justification, etc. Users may upload multiple attachments in a variety of file types provided that each file is no larger than 5MB.



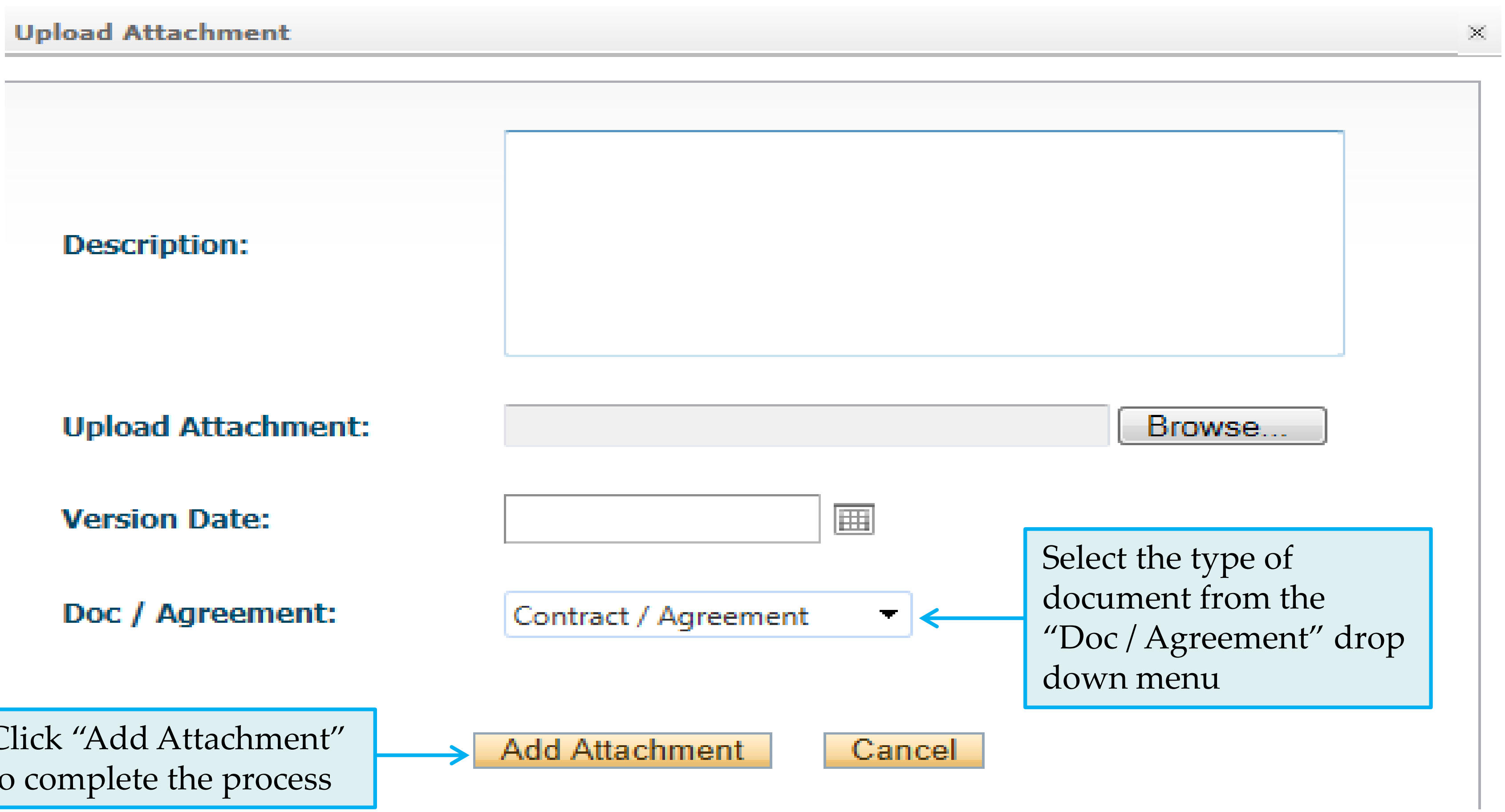
Select date by clicking on calendar icon next to "Version Date" field. The date should represent the date that the document was attached to the application (current date). This will allow the reviewer to identify the most recent version of any document that may have been sent back for amendments and compare the updated document with the previous one.

Include a brief description of the document.

Click on "Browse" to select the document from your computer.

Doc/Agreement: see next slide

Adding an Attachment (Cont.)



Select the type of document from the "Doc / Agreement" drop down menu

Click "Add Attachment" to complete the process

Approvals Tab - For Hospital Research Only

- If you answered 'Yes' to question 1.6 on the TRAQ DSS Form and completed sub-tab 3 (Hospital Research), you must complete the 'Other Approvals' section of the Approvals tab and checkmark all Hospital Operational Directors (HODs) that should review and approve your application.
- **At minimum, you must select the Research Director(s) of the hospital(s) that will be impacted by your research.**
  - If Hotel Dieu is one of your hospital locations, checkmark HDH – Research (Vic Sahai)
  - If KGH is one of your hospital locations, checkmark KGH – Research (Vic Sahai)
  - If Providence Care is one of your hospital locations, checkmark PC – Research (Kathleen Fitzpatrick)
- Selecting the correct HODs will allow the TRAQ DSS to move smoothly through the approvals process without having the file returned for HOD additions.

Other Approvals

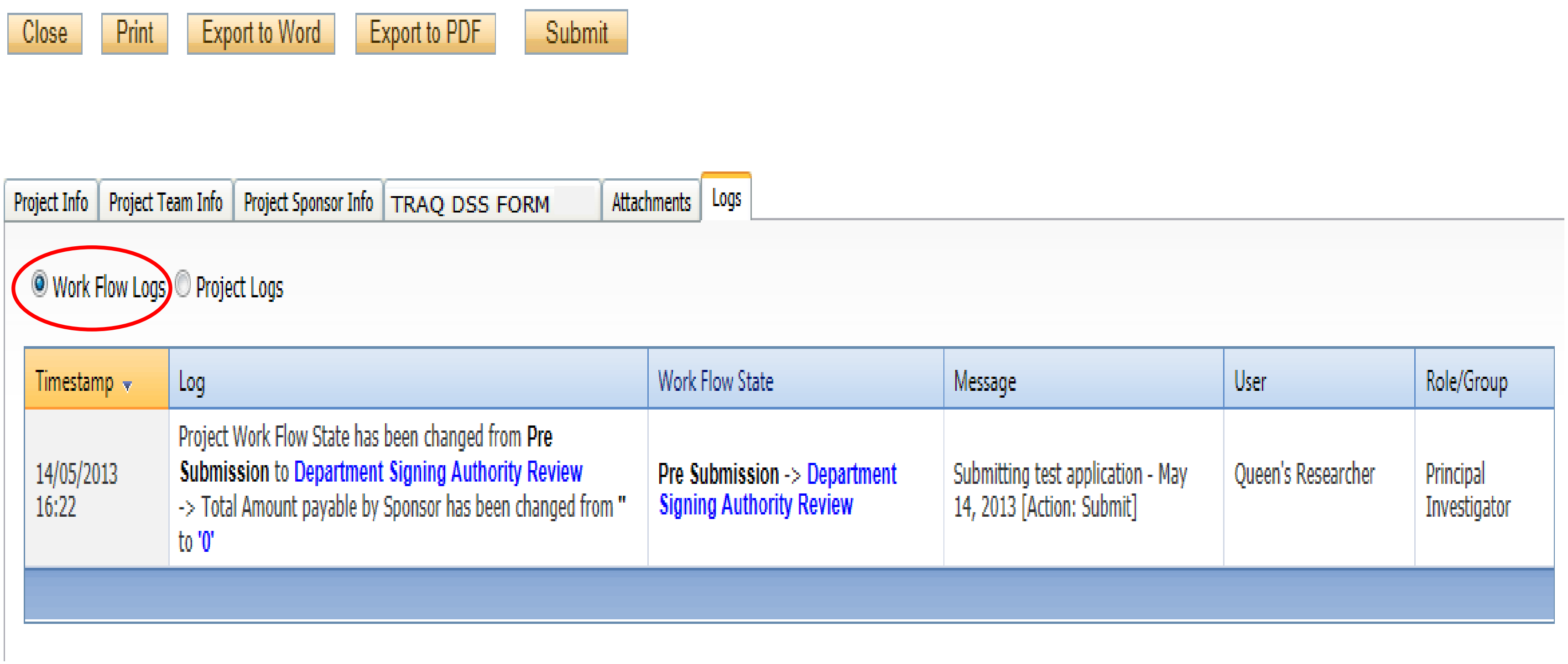
Your institution may require that you obtain additional approvals from other signing authorities. Check any that apply to this current application :

Refresh

Active		Department	Signing Authority Name	Status	Comments
☐		HDH - Decision Support	John Lott		
☐		HDH - Electromyography	Adrienne Leach		
☐		HDH - Emergency	Brian Merkley		
☐		HDH - GI Function Testing Unit	Brian Merkley		
☐		HDH - Human Mobility Research Centre	Leone Ploeg		
☐		HDH - Imaging	Karen Pearson		
☐		HDH - Information Technology	Troy Jones		
☐		HDH - Inpatient - Cardiac	Brian Merkley		
☐		HDH - Inpatient - Medicine	Brian Merkley		
☐		HDH - Inpatient - Pediatrics	Brian Merkley		
☐		HDH - Inpatient - Surgery	Brian Merkley		
☐		HDH - Laboratories	Joyce deVette-McPhail		
☐		HDH - Medical Records	Deborah Sapp		

Logs Tab – Workflow Logs

- The Logs tab is a useful tool that allows researchers and research administrators to track the history of the application and communicate with one another.
- The Workflow Logs tracks and time stamps approvals and messages. The Workflow Logs starts to populate after the P.I. has submitted the application. Refer to the Workflow Log to review all workflow history.



Timestamp	Log	Work Flow State	Message	User	Role/Group
14/05/2013 16:22	Project Work Flow State has been changed from **Pre Submission** to Department Signing Authority Review -> Total Amount payable by Sponsor has been changed from " to '0'	**Pre Submission** -> Department Signing Authority Review	Submitting test application - May 14, 2013 [Action: Submit]	Queen's Researcher	Principal Investigator

Logs Tab – Project Logs

- The Project Logs tracks and time stamps every action taken on the application. Researchers are encouraged to check the Project Logs regularly as it is a good way to ensure that your most recent changes have been saved – text in blue font represents the most recent updates.

Close | Print | Export to Word | Export to PDF | Submit

Project Info | Project Team Info | Project Sponsor Info | TRAQ DSS FORM | Attachments | Logs

Work Flow Logs | Project Logs

Timestamp	Activity	Initiator
2013/05/14 16:22	Project Work Flow State has been changed from **Pre Submission** to Department Signing Authority Review **Internal Awards Approval Form :** Clinical Trial section -> Total Amount payable by Sponsor has been changed from '' to '0'	Queen's Researcher
2013/05/14 15:43	Attachment **Vacation Message.docx** has been Added.	Queen's Researcher
2013/05/14 15:16	Program(Standard Research Grant)/Agency(Social Sciences and Humanities Research Council) Disbursement(Year : 2013/Start Date :2013/05/01) has been Added (Requested Total : $250,000.00/ Awarded Total : $0.00 Actual Total $0.00) **Internal Awards Approval Form :** General Information Tab -> Has this project been peer reviewed? has been changed from '-1' to 'YES' Clinical Trial section -> Per Subject Fee has been changed from '' to 'NO' Clinical Trial section -> Estimated number of Subjects has been changed from '' to '200' Clinical Trial section -> Clinical Trial phase has been changed from '-1' to 'Pilot Study' Clinical Trial section -> Clinical Trial Protocol # has been changed from '' to '0000' General Information Tab -> Application submitted for Ethics Purposes Only? has been changed from '' to 'YES' Checklist -> Checklist has been changed from '' to 'Investigator's Brochure|Insurance Certificate'	Queen's Researcher

Errors Tab

Application Ref No: 1479 **Project Title:** Test - May 10, 2013

Application Form: TRAQ DSS FORM

Project Work Flow State: Pre Submission

Save | Close | Print | Export to Word | Export to PDF | Submit

Project Info | Project Team Info | Project Sponsor Info | TRAQ DSS FORM | Attachments | Logs | Errors

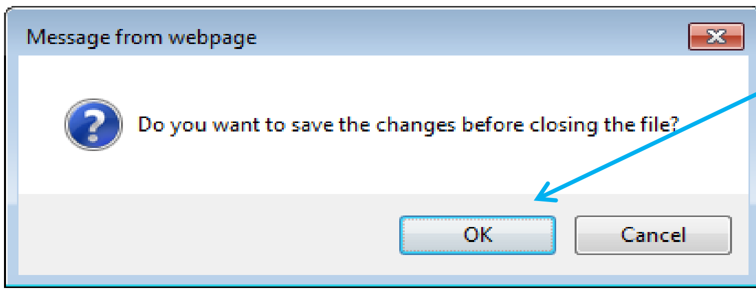
TRAQ DSS FORM -> Clinical Trial section:2.4 Total Amount payable by Sponsoris required.

The Errors tab keeps a log of any required questions that were left unanswered. If all required questions have been answered, the Errors tab disappears.

Save and Close

- You will know that you are closing the file properly (i.e. using the "Close" button) when the following dialog box pops up on your screen:

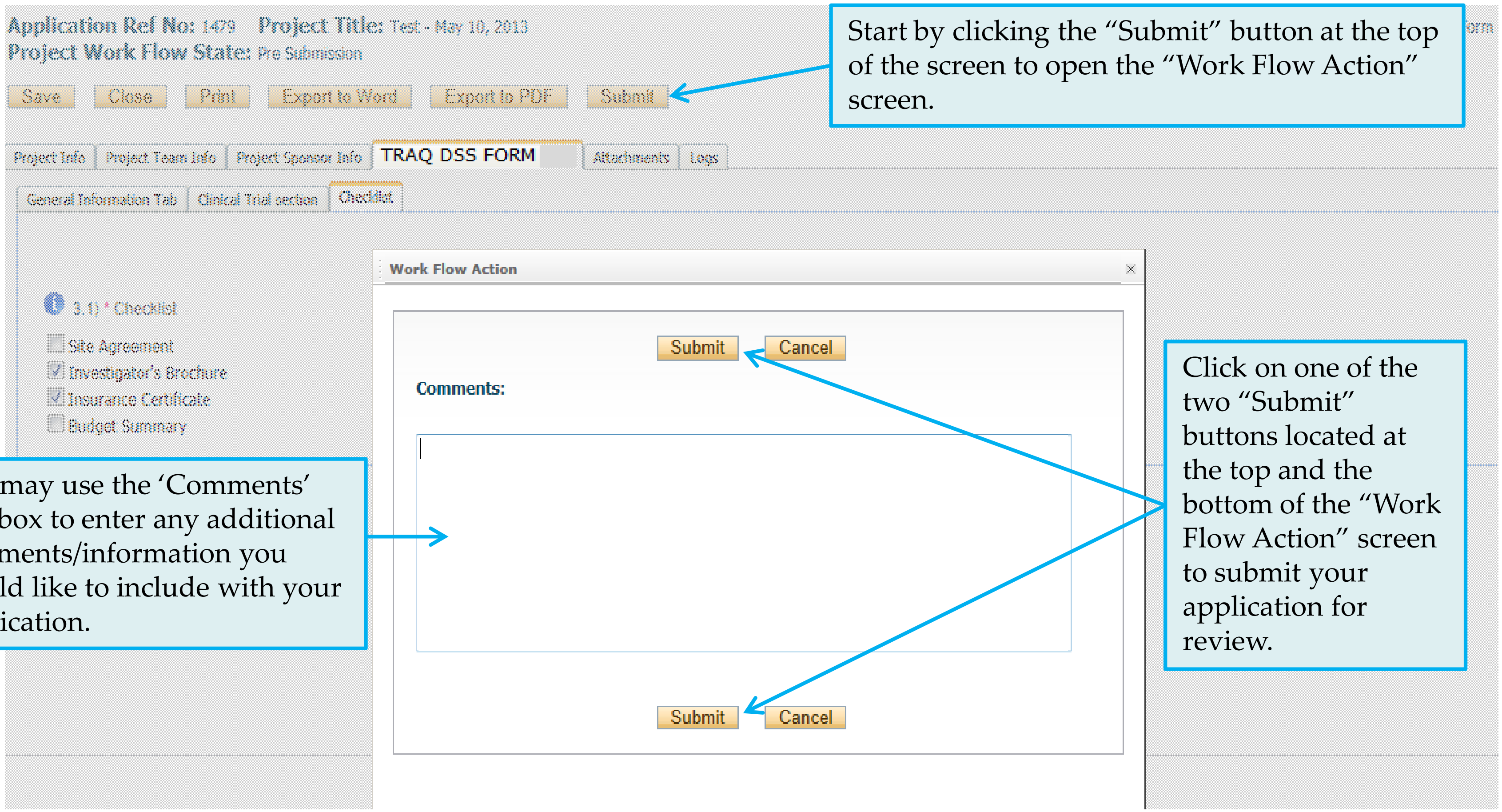
Click "OK" to save your changes and close the file



- Important: Do not close that application by clicking the X at the top of your browser, doing so will result in the application being "locked" preventing other team members from accessing it

TRAQ Tip! Though TRAQ has no *automatic save* feature, it does have a *time out* feature! If you need to step away from your computer, you should always click "Save" and "Close" as a precautionary measure. Failing to do so could result in information being lost and the application being "locked". The user responsible for "locking" the application is able to "unlock" it by accessing it again and exiting properly. All other team members, who find themselves "locked out" of the application, can either contact the user who "locked" it or the TRAQ team for support using the online help form (https://www.queensu.ca/itrack/TRAQ/traq.php); or by email: traq@queensu.ca); by phone (ext. 78426);

Submitting the TRAQ DSS Form

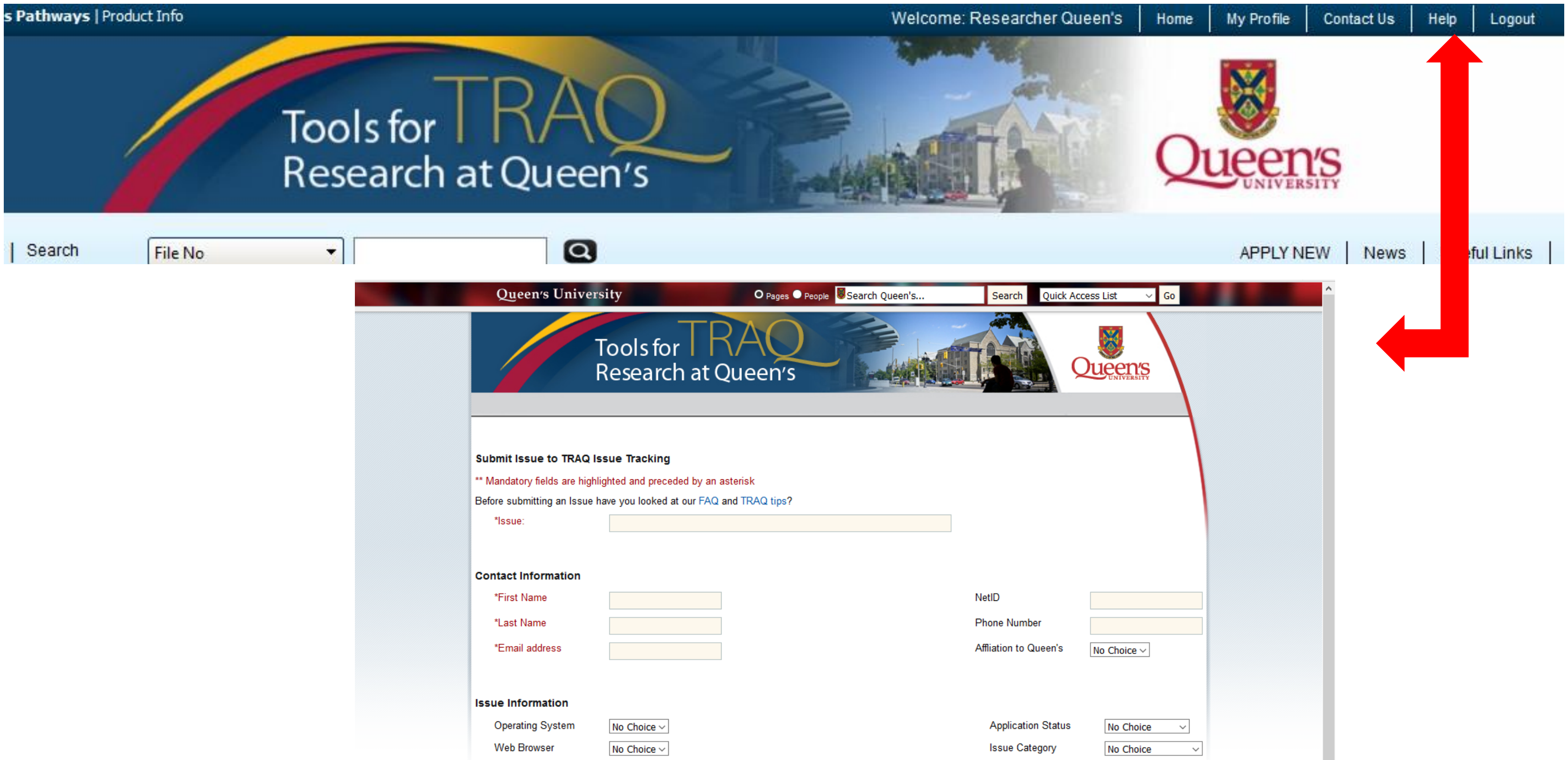


Start by clicking the “Submit” button at the top of the screen to open the “Work Flow Action” screen.

Click on one of the two “Submit” buttons located at the top and the bottom of the “Work Flow Action” screen to submit your application for review.

You may use the ‘Comments’ text box to enter any additional comments/information you would like to include with your application.

Help Link is Connected to TRAQ Help Desk Online Form



Need assistance?

Contact the TRAQ Help Desk

Submitting an online form

Email: traq@queensu.ca

(613) 533-6000, ext. 78426