TRAQ DSS: Where is my submission now?

The life cycle of an application

Welcome!

The presentation will commence soon...

Please mute your mic!

If you have a question, please add it to the chat!

*This event will be recorded for later distribution
TRAQ DSS: Where is my submission now?

The life cycle of an application

Thursday, July 9, 2020
12:00 – 1:30 p.m.

Presented by: KGHRI, University Research Services, Research Accounting and Queen’s Partnerships and Innovation
Objectives

• To provide an overview of the life cycle of a TRAQ file (who, what, when, why, how...all of it!)

• To provide an overview of what administrative requirements must be completed before starting, during and after a research project involving human participants or patient data

• To provide resources that will help navigate and complete these requirements (updated manuals, forms and tip sheets)

• To provide contact information for Research Administration. Put a face to the name (KGHRI, Queen’s Grants, Contracts Unit and Research Accounting)
Queen’s VPR Portfolio

Vice-Principal (Research) Portfolio Service Units
Helping people achieve excellence in research and scholarship

University Research Services
- Grants & Institutional Programs
- Human Ethics
- Tools for Research at Queen’s (TRAQ)

Office of Partnerships & Innovation
- Research Contracts
- Research Partnerships
- Technology Transfer

Office of Vice-Principal (Research)
- Prizes & Awards
- Internal Research Programs

Animal Care Committee

Biohazard (Environmental Health and Safety)
Kingston General Health Research Institute

Discovery today... treatment tomorrow.

Administrative Support
- TRAQ
- Clinicaltrials.gov
- CITI GCP training
- N2 SOPs
- Contracts
- Research Space

Education/Training/Resources
- Clinical trials
- Patient Oriented Research
- Hospital based research

Statistical/Methodology Support
Workshops in:
- database design
- Research methods
- statistical analysis

Finance
Administrators of:
- UHKF Grants
- Industry funds

W.J. Henderson Centre for Patient Oriented Research
Overview of the Grants Process

1. Researcher writes Grant Application
2. Approvals and institutional signature
3. TRAQ DSS submission
4. Researcher submits grant and receives NOA
5. RPF and CC review NOA, check for certifications, finalize TRAQ, execute contract/agreements
6. Research accounting request budget template form and establishes Peoplesoft Project
7. Funds flow to Researcher and project commences
8. Maintaining and closing the file
9. Research accounting request budget template form and establishes Peoplesoft Project
10. Funds flow to Researcher and project commences
11. Maintaining and closing the file
Overview of the Grants Process

Pre-Award
- Researcher writes Grant Application
- TRAQ DSS submission
- Approvals and institutional signature
- RPF and CC review NOA, check for certifications, finalize TRAQ, execute contract/agreements
- Researcher submits grant and receives NOA
- Research accounting request budget template form and establishes Peoplesoft Project
- Funds flow to Researcher and project commences
- Maintaining and closing the file

Post-Award

KGH Research Institute
1) Grant Writing

Researcher writes Grant Application

Maintaining and closing the file

Funds flow to Researcher and project commences

Pre-Award

TRAQ DSS submission

Approvals and institutional signature

Post-Award

Research accounting request budget template form and establishes Peoplesoft Project

RPF and CC review NOA, check for certifications, finalize TRAQ, execute contract/agreements

Researcher submits grant and receives NOA

Maintaining and closing the file

Funds flow to Researcher and project commences

Pre-Award

TRAQ DSS submission

Approvals and institutional signature

Post-Award

Research accounting request budget template form and establishes Peoplesoft Project

RPF and CC review NOA, check for certifications, finalize TRAQ, execute contract/agreements

Researcher submits grant and receives NOA
1) Grant Writing

- **Finding the perfect opportunity**
  - Searchable [funding database](#) and [listserv](#)
  - URS website
  - Contact your URS Research Projects Advisor

- **Preparing a strong grant application**
  - URS website resources
  - Webinars / info sessions
  - Peer review
  - Contact your URS Research Projects Advisor
    - For a full review, please allow ≥ 14 days
    - For short administrative review, please allow ≥ 7 days
2) TRAQ DSS Submission

Researcher writes Grant Application

Maintaining and closing the file

TRAQ DSS submission

Pre-Award

Funds flow to Researcher and project commences

 Approvals and institutional signature

Post-Award

Researcher submits grant and receives NOA

Research accounting request budget template form and establishes Peoplesoft Project

RPF and CC review NOA, check for certifications, finalize TRAQ, execute contract/agreements
2) TRAQ DSS Submission

• TRAQ stands for **Tools for Research at Queen’s**

• TRAQ is an e-submission system designed to streamline research-related administrative processes.

• Through the TRAQ Researcher Portal, researchers submit compliance applications, such as Human Ethics (HSREB/GREB) and Biohazard certifications, as well as research projects (grants & contracts) to seek internal approvals.
The Early Days...before TRAQ

Prior to TRAQ an Ethics submission included:

• 1 Original and 17 copies of the submission form
• 18 Copies of the information/consent form (Sample attached)
• 3 Copies of the Research Protocol, 4 Copies if a Clinical Drug Trial
• 2 Copies of the Investigator’s Brochure
• 1 Original of the Research Data and Summary Sheet
• 1 Original of the Faculty of Health Sciences and Affiliated Teaching Hospitals Data Sheet for Research Involving Human Subjects (HOD Approvals)
• 1 Copy of a current curriculum vitae for each investigator (required by Good Clinical Practice Guidelines to determine if investigator qualified to carry out research)
University Research Services implementation:

2010 – Ethics Certification module (HSREB and GREB) – (transition from paper to electronic)  
2011 – Researcher Portal  
2012 – TRAQ implementation team selected  
2013 – Biohazard module (transition from paper to electronic)  
**2014 - Awards module (transition from electronic to electronic)**  
2014 – TRAQ itrack ticketing system  
2015-2020 – TRAQ sustainment

System integrations (awards connection)  
2015 – FAST reporting system (managed by Research Accounting) – PeopleSoft Finance  
2017 – Faculty180 – CV and annual reports (managed by IT services)
2) TRAQ DSS Submission

The following were **in scope**:  
Secure researcher portal  
Grants and contracts management module/dashboard  
Pre-award data entry by researchers  
  o Electronic proposal approval (by Hospital Operational Directors, Department Heads and/or Deans)  
  o Post-award view-only rights for researchers  
  o Post-award data entry using event forms (amendment, agreement review, certification renewal, SAE e.c.t)  
  o General project and budget details integrated with applicable certifications  
  o Automatic email milestone reminder system  
• Release of funds verification reporting between Research Accounting and URS units  
• Project reporting  
  o Custom report generation capability  
  o Available to administrative staff inside and outside of VP Research portfolio  
• Certifications  
  o Human Ethics, Biohazards, modules that integrate with all awards project information  
  o Automatic email milestone reminder system  
• Attachments capability for all modules (complete removal of paper files)
2) TRAQ Researcher Portal

![TRAQ Researcher Portal Image]

### Role: Principal Investigator

<table>
<thead>
<tr>
<th>Category</th>
<th>Value</th>
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<tbody>
<tr>
<td>Applications: Drafts</td>
<td>0</td>
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<tr>
<td>Applications: Requiring Attention</td>
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<tr>
<td>Applications: Under Review</td>
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<tr>
<td>Applications: Post-Review</td>
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<td>Applications: Withdrawn</td>
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<tr>
<td>Events: Drafts</td>
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<td>Events: Requiring Attention</td>
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<td>Reminders</td>
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### Role: Project Team Member

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<tr>
<th>Category</th>
<th>Value</th>
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2) TRAQ – Applications for 4 modules

<table>
<thead>
<tr>
<th>Awards</th>
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<tbody>
<tr>
<td><strong>Application Name</strong></td>
<td><strong>Description</strong></td>
</tr>
<tr>
<td>Confidential/Non-Disclosure Agreement Form</td>
<td>This form may be used ONLY for Confidential / Non-Disclosure Agreements. All other agreement types must be submitted using the TRAQ DDS Form. Updated June 1, 2012.</td>
</tr>
<tr>
<td>TRAQ DDS Form</td>
<td>This form is to be completed for all research projects. If you are located in an affiliated hospital please complete the Hospital Impact &amp; Information form (form templates can be downloaded in Attachments tab) and attach it to your TRAQ DDS. Only the Principal Investigator (or Faculty member) is to submit TRAQ DDS FORM. Please note: as of August 19, 2019 Project Sponsor Info tab has been adjusted, please populate Total Requested Cash ONLY in the first submission row.</td>
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<tr>
<th>Biohazard</th>
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<tbody>
<tr>
<td><strong>Application Name</strong></td>
<td><strong>Description</strong></td>
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<tr>
<td>Biohazard Permit Application Form</td>
<td>New Electronic Form - updated June 2017. You will need to complete and attach a Biohazard Inventory and Risk Group Table and lab-specific SOPs to submit this form.</td>
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<tr>
<th>GREB</th>
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<tr>
<td><strong>Application Name</strong></td>
<td><strong>Description</strong></td>
</tr>
<tr>
<td>GREB - General Research Ethics Board Standard Application Form</td>
<td>Complete and submit the HNB GREB Standard Application Form for human participant research in Social Sciences or Humanities.</td>
</tr>
<tr>
<td>GREB - Instructor Course Based Research Assignment Application</td>
<td>Please complete this form if you are an instructor and you wish to oversee the conduct of course-based student research assignments, in accordance with the student’s course-based research assignment guidelines. Updated September, 2016.</td>
</tr>
<tr>
<td>GREB - Multi-Jurisdictional Research Application Form</td>
<td>This form is to be used when applying for GREB ethics clearance at Queen’s University for multi-jurisdictional research, when ethics clearance has already been granted by an external ethics board (EBB). This form cannot be used for multi-jurisdictional research in the field of Health Sciences. Updated October 2017.</td>
</tr>
<tr>
<td>GREB - Secondary Use of Data Application Form</td>
<td>This form should be used for conducting research on secondary data sets that were initially collected with an associated research ethics clearance and for which publicly available anonymous data. Refer to the GREB Secondary Use of Data Application Form for Data Sets Initially Collected with an Associated Research Ethics Clearance and for Publicly Available Anonymous Data Guidelines posted on GREB’s website to determine if you are eligible to use this form.</td>
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<tr>
<td>GREB Self-Study Application Form</td>
<td>This application form is to be used for research where self-study is the only type of research being conducted. Research that includes an element of self-study in combination with other forms of research should use the standard application form available through TRAQ. At the university, the most common use of self-study is in the Scholarship of Teaching and Learning (SOTL). However, not all SOTL is self-study nor is all self-study SOTL. New PO# starts as of July 31 2017</td>
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<th>HSREB</th>
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<tbody>
<tr>
<td><strong>Application Name</strong></td>
<td><strong>Description</strong></td>
</tr>
<tr>
<td>HSREB - Non-Recruited Application Form</td>
<td>Uses for research studies that are NOT ACTIVELY RECRUITING participants with the exception of case reports. Form activated January 12, 2019, updated May 15, 2019.</td>
</tr>
<tr>
<td>HSREB - Standard Application Form</td>
<td>Uses for all clinical trials, interventional research studies involving invasive contact or the performance of a physical task (e.g., exercise, KINEMAT, motion capture). Form activated in May 2018, updated May 2019.</td>
</tr>
<tr>
<td>HNB HSREB - Intermediate Application Form</td>
<td>Uses for research studies that involve interviews, surveys, questionnaires, focus groups/staffing circles or evaluation/assessment. Form activated May 1, 2018</td>
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</tbody>
</table>
2) TRAQ DSS Submission – Project Info tab
2) TRAQ DSS Submission – Project Sponsor Info Tab

Application Ref No: 43067  Project Title: A Phase III, Randomized, Double-Blind, Placebo-Controlled, Multi-Center Study of FreshNevSuperDrug Monotherapy or in Combination With AncientDrug as Adjuvant Therapy in Patients on a strict Keto-diet with high Energy (the FAKE trial)

Project Work Flow State: Pre-Submission

Click Add New to add funder and per fiscal year budget details for this project.

<table>
<thead>
<tr>
<th>Add New</th>
<th>Investigator</th>
<th>Agency</th>
<th>Program</th>
<th>Total Requested Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Dr. Queen’s Researcher (Principal Investigator)</td>
<td>CANADIAN INSTITUTES OF HEALTH RESEARCH</td>
<td>COLLABORATIVE HEALTH RESEARCH PROJECTS (CHRP) (NSERC Partnered)</td>
<td>CAD: 500,000.00</td>
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<tr>
<td>Edit</td>
<td>Delete</td>
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</tr>
<tr>
<td></td>
<td>Dr. Queen’s Researcher (Principal Investigator)</td>
<td>ASTRazenica</td>
<td>RESEARCH CONTRACT</td>
<td>CAD: 0.00</td>
</tr>
<tr>
<td>Edit</td>
<td>Delete</td>
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</tbody>
</table>

CAD: 500,000.80
2) TRAQ DSS General Tab – Hospital based question

You need to check "YES" if any of the following situations occur: A) Your research study is being carried out or occurring in a hospital setting; B) Your research lab, unit, centre, space, and/or equipment is located in a hospital setting; C) Your research staff and/or your research offices are located in a hospital setting; D) You will be utilizing hospital resources (space, personnel, equipment, testing, etc.) for your research project. If the answer to Question 1.6 is YES, you must select the appropriate RESEARCH director(s) to approve your hospital based research. Research directors are as follows: KHSC-KGH or HDH - Steven Philip Smith, PC - Allison Philpot. Please also identify all hospital departments that will be impacted by your research on the "Other Approvals" under the Approvals tab.

○ YES (please complete HOSPITAL RESEARCH tab and read instructions available on the top of this tab).
○ NO
3) Approvals and Institutional Signature

- Researcher writes Grant Application
- TRAQ DSS submission
- Maintaining and closing the file
- Funds flow to Researcher and project commences
- Pre-Award
- Approvals and institutional signature
- Research accounting request budget template form and establishes Peoplesoft Project
- Researcher submits grant and receives NOA
- Post-Award
- RPF and CC review NOA, check for certifications, finalize TRAQ, execute contract/agreements
- Research accounting request budget template form and establishes Peoplesoft Project
- Researcher writes Grant Application
3) Approvals and Institutional Signature

Researcher submits TRAQ DSS Form at least 5 business days before the deadline (15 business days for hospital-based research)

If the research is hospital based, hospital officials approve TRAQ DSS Form or move it forward conditionally

Department Head approves TRAQ DSS Form

Faculty Office approves TRAQ DSS Form

URS Research Projects Advisor approves TRAQ DSS Form and obtains institutional signature if required

May return TRAQ DSS Form with requests for information or changes
Hospital based research if your project meets any of the following criteria:

- Occurs in a hospital setting or utilizes or requires hospital staff, space, services and/or other resources;
- Involves obtaining or retrieving biological samples/specimens from patients seen (or in storage) at one of the hospitals for lab projects and will be transported to your research lab located within OR outside of the hospital (i.e. Botterell Hall, CRI);
- Involves extracting patient data from medical charts;
- Involves purchasing supplies or equipment at/through the hospitals;
- Your research office, research staff/students/trainees, lab, unit, centre, space, and/or equipment is located in a hospital setting even if your research is occurring off site;
- Your research funds will be held within one of the hospitals/hospital research institutes.
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 KHSC is one of your hospital locations (HDH or KGH, checkmark – Research (Steve Smith)
- If Providence Care is one of your hospital locations, checkmark PC – Research (Allison Philpot)

- Selecting the correct HODs will allow the TRAQ DSS to move smoothly through the approvals process without having the file returned for HOD additions.
Please attach the following documents:
- Research Proposal, Study Protocol or Summary to be submitted to Agency and/or Research Ethics Board (HSREB, CTO, OCREB)
- Research Contract
- Budget or Budget Justification (if not included in the above document)
- If partners are involved, letters of support (if not included in the above document)

Instructions for Approvals TAB
The next tab has a section called "Approvals" that indicates which esignatures are required. Please select Hospital Operational Directors if applicable

Attaching documents to your application: here are some tips when naming your attached documents:
Invalid characters that should not be used in file name:” # % & : < > ? / { [ ] ~[] +()  
be longer than 128 characters  
Do not use the period character consecutively in the middle of a file name  
Do not use the period character at the end of a file name  
Do not start a file name with the period character

TEMPLATE DOCUMENTS FOR HOSPITAL BASED STUDIES if applicable:
- If the research project is located in an affiliated hospital, please download Hospital Impact and Information Form below, complete, save and attach
- If your research project is using Hospital Pharmacy, Labs or Clinical Engineering Services, please use template forms below.

16245 KHSC Laboratory Services Study Request Form FINAL (April 11 2018).pdf
16245 KHSC Clinical Engineering Services Study Request Form FINAL (March 20 2018).pdf
16245 KHSC Pharmacy Services Study Request Form FINAL (June 20 2018).pdf
16245 Hospital Departmental Impact and Information Form FINAL - February 2019.pdf

NOTE: The maximum individual attachment size is 10MB. All attachments larger than 10MB will stall the system, and your data may be lost. However, you may upload multiple attachments, provided that each is no larger than 10MB.
3) Hospital Approvals

Purpose of the Hospital Departmental Impact and Information Form (HDIIF): Collection of information for the hospitals that is not easily extracted from your study protocols/proposals. Form covers:

- How your research will impact various hospital departments?
- What specific hospital resources are needed beyond usual care/standard of care?
- How will the use of hospital resources be reimbursed (if applicable)?
- What research activities will be carried out by hospital staff and/or research staff?
- How will the research activities be coordinated within the existing flow of patient care at the hospital?
- Confidentiality and privacy-related questions.
- W J Henderson Centre for Patient-Oriented Research
3) Hospital Approvals

Section F

Is the Program Manager of the hospital program(s), service(s) and/or clinic(s) where your research will be conducted aware of your research proposal? Please note that Program Managers are not listed under the Approvals tab.

*Please consult the current KHSC Organizational Chart or contact Lisa McAvoy at Lisa.Mcavoy@kingstonhsc.ca for the name(s) of the relevant Program Manager(s).
Section N

Please specify whether access to Medical Records is needed.

- Access to PCS (electronic medical records)
- Access to other hospital electronic databases
- Access to paper medical records (chart pull)
- Request data pull of patient data (use of Decision Support)

*Research Roadmap Accessing Medical Records for Research
Do you need Medical Records stored beyond the KHSC 09-180 Policy (Patient Records: Medical Records Retention/ Destruction), for your research requirements, e.g. 25 years as per Health Canada regulations?

Researchers are required to consult with Medical Records as early as possible with respect to storage/retention needs for research.

* Research Roadmap Archiving
4) Post-Award Process

- Researcher writes Grant Application
- RPF and CC review NOA, check for certifications, finalize TRAQ, execute contract/agreements
- TRAQ DSS submission
- Approvals and institutional signature
- Funds flow to Researcher and project commences
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- Research accounting request budget template form and establishes Peoplesoft Project
- Researcher submits grant and receives NOA

Pre-Award

Post-Award
4) Post-Award Process

- Communicate with numerous Departments, Faculty Offices, Research Accounting, Research Contracts Unit, Ethics Boards, University Animal Care, Biohazard Committee and Hospital Research Coordinators
- Facilitate the release of funds when a grant is awarded
- Coordinate the early release of funding prior to ethics clearance
- Link certifications (human ethics, animal care, biohazard, CTO, FCOI)
4) Post-Award Process

• Amend TRAQ when there is a change to a project (PI, Team Member, Project extensions, Maternity leave, Retirement / Resignations)

• Manage transferring a grant to or from other institutions, and transfer of funds to and from co-investigators at another institution

• Coordinate with the Research Contracts Unit for Grants requiring a contract

• Finalize TRAQ so Research Accounting can set-up Projects

• National Institutes of Health (Progress report submission, Financial Conflict of Interest, adding members to eRA Commons)
### Researcher portal view

**Role: Principal Investigator**

- Applications: Drafts: 2
- **Applications: Requiring Attention**: 1
- Applications: Under Review: 3
- Applications: Post-Review: 38
- Applications: Withdrawn: 0
- Events: Drafts: 0
- Events: Requiring Attention: 0
- **Reminders**: 3

**Role: Project Team Member**

- Applications: Drafts: 13
- **Applications: Requiring Attention**: 5
- Applications: Under Review: 4
- Applications: Post-Review: 217
- Applications: Withdrawn: 2
- Events: Drafts: 4
- Events: Requiring Attention: 1
- **Reminders**: 8

**Role: Reviewer**
<table>
<thead>
<tr>
<th>File No</th>
<th>Title</th>
<th>Status</th>
<th>Application Form Name</th>
<th>Milestones</th>
<th>Latest Submission</th>
</tr>
</thead>
</table>
| 6023162 | Evaluation and long-term Follow-up of Project Trauma Support for the Reduction of OSIs in First Responders                                                                                             | Pending | TRAQ DSS FORM (Awards/Awards)                                                                             | 2018/10/31 - Waiting for Funding Approval                                                                                                        | Event Category: New Approval Process  
Event Status: Pending  
Submitted by Dr. Dianne Groll on 2018/03/05                                                                                       |
| 6027447 | Understanding the impact of prison work on the mental health of Correctional Officers employed by Correctional Services Canada: Beginning a longitudinal study.                                                 | Pending | TRAQ DSS FORM (Awards/Awards)                                                                             | 2019/08/30 - Waiting for Certifications  
Human Ethics                                                                                                         | Event Category: New Approval Process  
Event Status: Pending  
Submitted by Dr. Dianne Groll on 2019/08/29                                                                                   |
| 6027448 | An interdisciplinary and mixed methods analysis of the Correctional Services Canada’s Academy 12 week Correctional Personnel training program: Building a "tool box" for correctional officers mental health and occupational success by identifying ways to optimize the impact of training for public safety personnel. | Pending | TRAQ DSS FORM (Awards/Awards)                                                                             | 2019/08/30 - Waiting for Certifications                                                                 | Event Category: PeopleSoft Project set-up  
Event Status: Pending  
Submitted by Dianne Groll on 2019/05/09                                                                                   |
Which TRAQ Awards Form to Use

Confidential Disclosure Agreement, Non-disclosure agreement, Confidentiality Agreement

vs.

TRAQ DSS Form

Everything else, whether it has funding or not.

Note:
If there is no funding, just enter $0 in the budget section.
Research Contract Review & Negotiation

- Timelines

Contracts must be signed by authorized representatives of Queen’s University and/or Hospital(s) /Hospital RI
## Managing the Research Contract

### Administrative Process – *Who is responsible for what?*

<table>
<thead>
<tr>
<th>Task</th>
<th>PI / Study Team</th>
<th>P&amp;I – Research Contracts</th>
<th>KGHRI / KHSC/ Providence Care</th>
<th>Research Accounting</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Study Preparation</strong></td>
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<tr>
<td>- Protocol preparation / review</td>
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<tr>
<td>- Negotiate study budget (if applicable)</td>
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<tr>
<td>- Regulatory documents</td>
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<tr>
<td>- TRAQ DSS application</td>
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<td>- Certification application (e.g. HSREB, Biohazard, Animal Care)</td>
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<td><strong>Review / Approval Process</strong></td>
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<tr>
<td>- Review and approve TRAQ DSS application</td>
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<tr>
<td>- Claim TRAQ DSS application</td>
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<tr>
<td>- Negotiate study agreement</td>
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<td>x*</td>
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<tr>
<td>- Draft &amp; negotiate site / sub-agreements (if applicable)</td>
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<tr>
<td>- Verify certifications &amp; overhead</td>
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<tr>
<td>- Approve for signatures</td>
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<tr>
<td><strong>Signature Process</strong></td>
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<tr>
<td>- Queen’s signatures</td>
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<tr>
<td>- KGHRI / KHSC/ PC signature</td>
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<td>- PI signature</td>
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<tr>
<td>- Sponsor / Partner signature</td>
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<tr>
<td><strong>Contract Execution and Budget</strong></td>
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<tr>
<td>- Upload executed agreement to TRAQ</td>
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<tr>
<td>- Approve research project account set-up</td>
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<tr>
<td>- Submit budget and signing authority to Research Accounting</td>
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<tr>
<td>- Set-up research project accounts</td>
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</tr>
<tr>
<td>- Communicate PeopleSoft Fund, Dept, Acct, and Project #s</td>
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<tr>
<td><strong>Reporting</strong></td>
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<tr>
<td>- Financial Reports</td>
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<tr>
<td>- Technical / Scientific reports</td>
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</tr>
</tbody>
</table>

* University and University/Hospital/Hospital RI agreements  ^ Hospital/Hospital RI only agreements
REMEMBER…

• Work on the study and expenditures should not begin before a contract is executed.

• **Do not** sign contract on behalf of Queen’s University or the Hospitals/Hospital RI.

• Submit the TRAQ DSS as early as possible for approvals. **Engage with HODs early on.**

• The PI / Study team is responsible to negotiate the study budget.

• Research studies involving human participants or human participants’ data, whether funded or not, must receive human ethics clearance prior to the start of the project.

• Research studies involving vertebrate animals must receive animal ethics clearance prior to the start of the project.

• Research studies involving biohazardous work (i.e. tissue or fluids of human origin) must receive Biohazard Committee’s clearance prior to the start of the project.

• Negotiation takes time. **Plan early!**
5) Research Accounting

Pre-Award

- Researcher writes Grant Application
- TRAQ DSS submission
- Approvals and institutional signature
- Researcher submits grant and receives NOA
- RPF and CC review NOA, check for certifications, finalize TRAQ, execute contract/agreements

Post-Award

- Funds flow to Researcher and project commences
- Maintaining and closing the file

Research accounting request budget template form and establishes Peoplesoft Project

Research Institute
5) Research Accounting

Research Project Set-Up

• Signing Authorization and Final Budget Template
  • Must be submitted by the Researcher
  • Budget must match the contract

• Research Accounting Creates a Project
  • Budgets are loaded into Peoplesoft
  • Signing permissions are granted

• Research Team Receives Project Information
  • Email through TRAQ is sent to the research team with chartfield information (fund, department and project number).
Financial Reporting

- All Financial Reports must be Reviewed and Approved by Research Accounting
  - Reports can be created by research team or Faculty office, but should be sent to Research Accounting prior to submission

- Research Accounting will Prepare and Submit all Financial Reports
  - Financial reports will be prepared and submitted in accordance with the contract requirements
6) Maintaining and closing the file

Pre-Award

Researcher writes Grant Application

TRAQ DSS submission

Approvals and institutional signature

Post-Award

Funds flow to Researcher and project commences

Research accounting request budget template form and establishes Peoplesoft Project

RPF and CC review NOA, check for certifications, finalize TRAQ, execute contract/agreements

Researcher submits grant and receives NOA

Maintaining and closing the file
The Difference Between Numbers

- The Difference Between Application Ref No and TRAQ DSS File No
  Numbers associated with your project may look similar but all have a separate purpose.

- The Difference Between ROMEO and TRAQ DSS File No

- The Difference Between Event Ref No and Event No
# Events

[Image: Tools for TRAQ Research at Queen's]

<table>
<thead>
<tr>
<th>File No</th>
<th>Project Title</th>
<th>Principal Investigator</th>
</tr>
</thead>
<tbody>
<tr>
<td>0014273</td>
<td></td>
<td>Dr. Homer Jones (Faculty Sciences\Medicine)</td>
</tr>
<tr>
<td>0012345</td>
<td></td>
<td>Dr. Homer Jones (Faculty Sciences\Medicine)</td>
</tr>
</tbody>
</table>

**Options:**
- **View**
- **Clone**
- **Events**
- **Latest Workflow**

**Search Interface:**
- **Search bar**
- **File No**
- **Reset Filters**
- **Export To Excel**
### What happens when your “no funds, no contract” project gets funded or a contract is added?

<table>
<thead>
<tr>
<th>Event Form Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>AWARDS</strong></td>
<td></td>
</tr>
<tr>
<td>Agreement Event</td>
<td>This form can be completed and submitted by either the Principal Investigator or a project team member to add any of the following events under the main Agreement: Data Transfer / Access Agreement, Equipment Loan Agreement, License Agreement, Master Agreement, Material Transfer Agreement, Memorandum of Understanding, Network Agreement, Non Disclosure Agreement, Participating Centre Agreement, Site Agreement or Template Agreement.</td>
</tr>
<tr>
<td>Research Accounting Form</td>
<td>Please note: This form can be prepared by a project team member but can only be submitted by the Principal Investigator. To be completed upon request from Research Accounting once the application has been approved by University Research Services. Final Budget and/or Signing Authority Form documents need to be attached to this form. You may also need to complete this form if you have received additional years of funding.</td>
</tr>
<tr>
<td>Amendment Form</td>
<td>This form can be completed and submitted by either the Principal Investigator or a project team member to upload a Decision Notice or when there has been a change to an already executed grant, agreement or protocol such as modifying dates, title, partners, sponsors, existing budget, hospital approvals and CTO/OCREB annual renewals. To request changes in project team members please use another form: “Change in Study Team Request Form”</td>
</tr>
<tr>
<td>Change in Study Team Request Form</td>
<td>This form is to be used to request changes to the study team members ONLY. If study team members will be performing significant study-related duties, have access to study data, or require access to the files/correspondence in TRAQ, they must be listed as a Project team member within the study files.</td>
</tr>
<tr>
<td>Transfer of Funds</td>
<td>This form can be completed and submitted by either the Principal Investigator or Research Coordinator when a PI would like to transfer funds to an external co-applicant or co-investigator. Please submit one event form for each transfer.</td>
</tr>
</tbody>
</table>
Add in extra information about this event, the more information you provide the less likely your event will be ‘pushed back’ to you by the administrator.
• TRAQ files that are associated with CTO will not have their ethics letters available within TRAQ
  • KGHRI Administrator – Veronica Lloyd – Veronica.Lloyd@KingstonHSC.ca
## 6) TRAQ DSS – Application Type for Events

<table>
<thead>
<tr>
<th>File No</th>
<th>Title</th>
<th>Status</th>
<th>Application Form Name</th>
<th>Milestones</th>
<th>Latest Submission</th>
</tr>
</thead>
<tbody>
<tr>
<td>6025763</td>
<td>Increasing Cirrhosis Incidence in Young Birth Cohorts in Canada from 1997-2016: A Population-based Study</td>
<td>Pending</td>
<td>TRAQ DSS FORM (Awards\Awards)</td>
<td>2019/05/31 - Waiting for Funding Approval; Event Status: Pending; Submitted by Dr. Jennifer Fleming on 2019/01/22</td>
<td></td>
</tr>
<tr>
<td>6028186</td>
<td>Development of a Risk Prediction Tool for Mortality After Non-Hepatic Abdominal Surgery in Patients with Cirrhosis</td>
<td>Pending</td>
<td>TRAQ DSS FORM (Awards\Awards)</td>
<td>2019/12/31 - Waiting for Funding Approval; Event Status: Pending; Submitted by Dr. Jennifer Fleming on 2019/11/06</td>
<td></td>
</tr>
<tr>
<td>6029439</td>
<td>DMED-2352.20: Pregnancy in women with Hepatitis C: A Population-based cohort study</td>
<td>Active</td>
<td>HSREF Non-Recruitment Application Form (Certification\Human Ethics)</td>
<td>2020/07/17 - Renewal Due; Event Category: Change to Project Team; Event Status: Active; Submitted by Jennifer Fleming on 2020/06/24</td>
<td></td>
</tr>
<tr>
<td>6030213</td>
<td>Pregnancy in women with hepatitis C: A Population-based cohort study</td>
<td>Active</td>
<td>TRAQ DSS FORM (Awards\Awards)</td>
<td>2020/07/21 - Waiting for budget; Event Category: New Approval Process; Event Status: Active; Submitted by Dr. Jennifer Fleming on 2020/06/30</td>
<td></td>
</tr>
</tbody>
</table>
Good Practice – Maintaining your TRAQ File

TRAQ DSS Files need to be kept up to date:

- Changes to team
- Changes to project
- New funding
- New agreement
- New ethics approvals (if not through Queen’s HSREB/GREB)

When KGHRI Administered Project Closes*
Putting it All Together

Queen's Workflow Approvals for Research Funding Proposals - From Pre-Submission to Spending

- Depending on the funding program, researcher may contact URS Projects Advisor before submission of TRAQ DSS Form, e.g. to notify them that URS sign-off on a signature sheet will be required or to obtain URS feedback on the proposal.
- Researcher submits TRAQ DSS Form at least 5 business days before the deadline (15 business days for hospital-based research).
- If the research is hospital based, hospital officials approve TRAQ DSS Form or move it forward conditionally.
- Department Head approves TRAQ DSS Form.
- Faculty Office approves TRAQ DSS Form.
- URS Research Projects Advisor approves TRAQ DSS Form and obtains institutional signature if required.
- Researcher or URS submits proposal to funding agency (program dependent).
- Researcher emails notice of decision to URS Facilitator, except for Tri-Council, OCE and Mitacs awards.
- URS Facilitator and/or Research Contracts Unit Coordinator confirm that all required certifications are in place and approved, that any agency conditions are fulfilled, and/or execute any applicable agreements or contracts.
- Once all approvals/agreements are in place, URS Facilitator finalizes TRAQ DSS Form and emails Research Accounting (RA) the Release of Funds Notification.
- RA emails researcher requesting budget template form and signing authority form be completed.
- Researcher submits budget and signing authority form to RA via TRAQ.
- RA establishes Peoplesoft Project in financial system and emails the PeopleSoft Project details to the researcher.
- Researcher is responsible for communicating project changes to URS or Research Contracts Unit via a TRAQ Event Form.
Important Links and Forms

https://www.queensu.ca/traq/

KGHRI Resources (https://kingstonhsc.ca/research/researchers-staff-trainees)
  • Tips for Completing TRAQ DSS FORM for Hospital-based Research
  • Tips for Completing Hospital Departmental Impact & Information Form
  • Hospital-based Research: Frequently Asked Questions (FAQ)
  • Contact List of Hospital Operational Directors/Research Directors

URS Manuals (http://www.queensu.ca/traq/awards-grants-contracts/manuals)
  • Researcher User Manual
  • Completing and Submitting and Re-submitting Event Forms User Manual
  • Submitting a Research Accounting Form User Manual

URS Videos (http://www.queensu.ca/traq/awards-grants-contracts/videos)
  • Research Accounting Form-Where it is? How do I Complete & Submit it?
  • How to Save and Close an Application (Human Ethics, Biohazard, Awards)
  • Submitting and Tracking Event Forms
  • Transferring PI Roles
  • How to Complete a Budget Template
Contacts

TRAQ – technical support

Contact us

Email: traq@queensu.ca

Phone: 613-533-6000, ext. 78426

TRAQ Helpdesk Web Form:
https://www.queensu.ca/itrack/TRAQ/traq.php

www.queensu.ca/traq/
<table>
<thead>
<tr>
<th>Name</th>
<th>Email</th>
<th>Phone</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dr. Steven Smith, President &amp; CEO</td>
<td><a href="mailto:sps1@queensu.ca">sps1@queensu.ca</a></td>
<td>613-533-3188</td>
</tr>
<tr>
<td>Smita Sengupta, Director, Research Financial Affairs</td>
<td><a href="mailto:Smita.Sengupta@kingstonhsc.ca">Smita.Sengupta@kingstonhsc.ca</a></td>
<td>613-549-6666 ext. 3290</td>
</tr>
<tr>
<td>Veronica Harris-McAllister, Director, Research Contracts</td>
<td><a href="mailto:Veronica.Harris-McAllister@kingstonhsc.ca">Veronica.Harris-McAllister@kingstonhsc.ca</a></td>
<td>613-549-6666 ext. 3344</td>
</tr>
<tr>
<td>Lisa McAvoy, Clinical Research Liaison Officer</td>
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<td>613-549-6666 ext. 3344</td>
</tr>
<tr>
<td>Veronica Lloyd, Research Operations Assistant</td>
<td><a href="mailto:Veronica.Lloyd@kingstonhsc.ca">Veronica.Lloyd@kingstonhsc.ca</a></td>
<td>613-549-6666 ext. 8171</td>
</tr>
<tr>
<td>Danielle Weese, Research Financial Facilitator</td>
<td><a href="mailto:KGHRIFinance@kingstonhsc.ca">KGHRIFinance@kingstonhsc.ca</a></td>
<td>613-549-6666 ext. 7406</td>
</tr>
<tr>
<td>Wilma Hopman, Research Methodologist</td>
<td><a href="mailto:Wilma.Hopman@kingstonhsc.ca">Wilma.Hopman@kingstonhsc.ca</a></td>
<td>613-549-6666 ext. 4941</td>
</tr>
<tr>
<td>Andrew Day, Senior Biostatistician</td>
<td><a href="mailto:Andrew.Day@kingstonhsc.ca">Andrew.Day@kingstonhsc.ca</a></td>
<td>613-549-6666 ext. 4998</td>
</tr>
<tr>
<td>Patrick Norman, Biostatistician</td>
<td><a href="mailto:Patrick.Norman@kingstonhsc.ca">Patrick.Norman@kingstonhsc.ca</a></td>
<td>613-549-6666 ext. 3019</td>
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</table>

https://kingstonhsc.ca/research
### Contacts

**University Research Services - Grants**

<table>
<thead>
<tr>
<th>Name</th>
<th>Email</th>
<th>Phone</th>
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</thead>
<tbody>
<tr>
<td>Karen Samis, Assistant Director</td>
<td><a href="mailto:Karen.samis@queensu.ca">Karen.samis@queensu.ca</a></td>
<td>613-533-6000 ext. 78688</td>
</tr>
<tr>
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<td>613-533-6000 ext. 32944</td>
</tr>
<tr>
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<td>613-533-6000 ext. 33108</td>
</tr>
<tr>
<td>Kelly Manuel, Research Facilitator (Post-Award)</td>
<td><a href="mailto:km270@queensu.ca">km270@queensu.ca</a></td>
<td>613-533-6000 ext. 74096</td>
</tr>
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</table>

[https://www.queensu.ca/urs/](https://www.queensu.ca/urs/)
# Contacts

*Partnerships and Innovation - Research Contracts*

<table>
<thead>
<tr>
<th>Name</th>
<th>Email</th>
<th>Phone</th>
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</thead>
<tbody>
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<td>613-533-6000 ext. 74578</td>
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<td>613-533-3290</td>
</tr>
<tr>
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<td>613-533-6000 ext. 78979</td>
</tr>
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<td>613-533-6000 ext. 75844</td>
</tr>
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<td>613-533-6000 ext. 78768</td>
</tr>
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<td>613-533-6000 ext. 75936</td>
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[https://www.queensu.ca/partnershipsandinnovation/](https://www.queensu.ca/partnershipsandinnovation/)
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<th>Phone</th>
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<tbody>
<tr>
<td>Louisa Jennings, Associate Director</td>
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<td>613-533-6000 ext. 79366</td>
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<td>613-533-6000 ext. 79647</td>
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<td>613-533-6000 ext. 74159</td>
</tr>
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<td>613-533-6000 ext. 78477</td>
</tr>
<tr>
<td>Young-Tae Kim, Research Accounting</td>
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<td>613-533-6000 ext. 78495</td>
</tr>
<tr>
<td>Colleen Murphy, Coordinator</td>
<td><a href="mailto:clm11@queensu.ca">clm11@queensu.ca</a></td>
<td>613-533-6000 ext. 75825</td>
</tr>
<tr>
<td>Jane Rogers, Research Accounting</td>
<td><a href="mailto:rogersje@queensu.ca">rogersje@queensu.ca</a></td>
<td>613-533-6000 ext. 77493</td>
</tr>
<tr>
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<td><a href="mailto:tamie.whetstone@queensu.ca">tamie.whetstone@queensu.ca</a></td>
<td>613-533-6000 ext. 77627</td>
</tr>
<tr>
<td>Sabrina Zaffino, Research Accounting</td>
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<td>613-533-6000 ext. 77627</td>
</tr>
<tr>
<td>Nasser Hossenbaccus, Research</td>
<td><a href="mailto:nasser.hossenbaccus@queensu.ca">nasser.hossenbaccus@queensu.ca</a></td>
<td>613-533-6000 ext. 75737</td>
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</table>

https://www.queensu.ca/financialservices/contact-us/financial-services-main-office/research-accounting