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.
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.
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**.
Quick Links:
- **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.
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.
Step 1:
Click on “APPLY NEW” to access the TRAQ DSS Form/Agreement Review applications.

- Researchers have the choice of two forms: 1) Agreement Review; 2) TRAQ DSS
- The Agreement Review form is to be used strictly for the agreement types listed in the description above, and that do not involve 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”.

![Application Ref No: 7517](image)
• 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.

• 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.

• 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.
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.

- 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.
• 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.
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.

Click Add New to enter the funding details.
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.

Start here to select the agency

If you are unable to locate the sponsor after searching the Agency List (as described on the next few screens), 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.
Sponsor Info – Selecting the Agency

- **Agency** button: Search the Agency List by either typing any part of the agency name or by 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.**
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.
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.

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)
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.
Answer ‘Yes’ to question 1.6 on the TRAQ DSS Form if any 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.
• 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
• 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.

<table>
<thead>
<tr>
<th>Active</th>
<th>Department</th>
<th>Signing Authority Name</th>
<th>Status</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>HDH - Decision Support</td>
<td>John Lott</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>HDH - Electromyography</td>
<td>Adrienne MacIntosh</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>HDH - Emergency</td>
<td>Brian Merkley</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>HDH - GI Function Testing Unit</td>
<td>Brian Merkley</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>HDH - Human Mobility Research Centre</td>
<td>Louise Fries</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>HDH - Imaging</td>
<td>Karen Pearson</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>HDH - Information Technology</td>
<td>Troy Jones</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>HDH - Inpatient - Cardiac</td>
<td>Brian Merkley</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>HDH - Inpatient - Medicine</td>
<td>Brian Merkley</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>HDH - Inpatient - Pediatrics</td>
<td>Brian Merkley</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>HDH - Inpatient - Surgery</td>
<td>Brian Merkley</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>HDH - Laboratories</td>
<td>Joyce deVette-McPhail</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>HDH - Medical Records</td>
<td>Deborah Sapp</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
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.
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.

<table>
<thead>
<tr>
<th>Timestamp</th>
<th>Activity</th>
<th>Initiator</th>
</tr>
</thead>
<tbody>
<tr>
<td>2013/05/14 16:22</td>
<td>Project Work Flow State has been changed from Pre Submission to Department Signing Authority Review</td>
<td>Queen's Researcher</td>
</tr>
<tr>
<td>2013/05/14 15:43</td>
<td>Attachment Vacation Message.docx has been added.</td>
<td>Queen's Researcher</td>
</tr>
<tr>
<td>2013/05/14 15:10</td>
<td>Program/Standard Research Grant/Agency (Social Sciences and Humanities Research Council) Disbursement (Year: 2013/Start Date: 2013/06/01) has been added (Requested Total: $250,000.00/ Awarded Total: $0.00 Actual Total $0.00) Internal Awards Approval Form: General Information Tab -&gt; Has this project been peer reviewed? has been changed from &quot;4&quot; to &quot;YES&quot; Clinical Trial section -&gt; Per Subject Fee has been changed from &quot;NO&quot; Clinical Trial section -&gt; Estimated number of Subjects has been changed from &quot;200&quot; Clinical Trial section -&gt; Clinical Trial phase has been changed from &quot;1&quot; to &quot;Pilot Study&quot; Clinical Trial section -&gt; Clinical Trial Protocol # has been changed from &quot;0000&quot; General Information Tab -&gt; Application submitted for Ethics Purposes Only? has been changed from &quot;YES&quot; Checklist -&gt; Checklist has been changed from &quot;Investigator's Brochure/Insurance Certificate&quot;</td>
<td>Queen's Researcher</td>
</tr>
</tbody>
</table>
Errors Tab

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:

![Message from webpage dialog box]

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