RESEARCH @ QUEEN’S UNIVERSITY

Orientation Package for New Faculty
August 2017

Helping people achieve excellence in research and scholarship

Prepared by University Research Services
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Vice-Principal (Research) Portfolio
http://www.queensu.ca/vpr/

Research represents one of the most dynamic elements of the university enterprise at Queen's. The role of the Vice-Principal (Research) reflects the responsibilities associated with conducting and promoting research, and advancing the research activities that contribute to new discoveries and creative works, scientific and technical breakthroughs, advances in the social sciences and humanities, innovation, institutional reputation, and to the education and training of both undergraduate and graduate students.

The University Strategic Framework objectives pertaining to research are as follows:

- Increase research support through increasing our research $/faculty ratio by identifying sustainable funding sources for research and increasing faculty external grant applications.
- Improve intra- and inter-faculty and cross-university collaboration to support university research pillars nationally and internationally.
- Improve faculty support services to enhance faculty and staff productivity, research and retention.
- Integrate research to enable active learning and innovation.
- Develop new award programs to recognize faculty for outstanding research.
- Focus on increasing and improving our impact through high peer-reviewed publications, recognized scholarly books and creative activities, and knowledge translation and innovation.

For more information, please visit the Vice-Principal (Research) website at www.queensu.ca/vpr/ and see the “research contacts” at the end of this guide for a listing of the different service units in the Vice-Principal (Research) Portfolio.

Internal Research Award Programs

The Queen’s Research Opportunities Funds (QROF) is managed by the Office of the Vice-Principal (Research) (OVPR) and represents a strategic investment, in areas of institutional research strength, to provide researchers and scholars with opportunities to accelerate their research goals.

The suite of internal research awards are named:

- The Research Leaders' Fund
- The International Fund
- The Arts Fund
- The Post-Doctoral Fund

Award descriptions, FAQs, as well as sample full application templates can be found at www.queensu.ca/vpr/queens-research-opportunities-funds.
University Research Services
http://www.queensu.ca/urs/

University Research Services (URS) provides advice and administrative support services for Queen's University researchers, including grant development, application processes, post-award guidance, and certifications to ensure compliance with human ethics. The units within URS are: Grants and Institutional Programs (GRIP), Research Ethics, and Research Data and Analytics.

Our goals are to help you:

- Develop opportunities for research and scholarship
- Obtain funds to do your research
- Minimize risk through compliance measures and programs

Through:

- Developing research strategies and long-term research goals
- Finding opportunities to fund your research
- Building partnerships and managing relationships
- Opening new accounts and obtaining certifications
- Advocating with funding agencies

Our staff members also contribute to the development of research policies, and provide outreach and education to faculty members on related topics. Our approach is client-centred and service-oriented, and our work flow is tied tightly to deadlines for submissions and reporting to external agencies.

Location

University Research Services, Research Contracts and Legal Services and the University Animal Care Committee is located at:

78 Fifth Field Company Lane
Fleming Hall-Jemmett Wing, Third Floor
Queen's University, Kingston, Ontario, Canada, K7L 3N6
Grants and Institutional Programs Unit (GRIP)

What we do

- Liaise with funding agencies
- For selected programs and proposals submitted by the specified internal deadline: review proposals for grants crafting and compliance with funding guidelines; advise regarding budgets, knowledge translation plan, training highly qualified personnel (HQP), etc.
- Conduct completeness checks (if draft proposals are submitted by the specified internal deadline)
- Broker connections between investigators across campus
- Support non-academic partners (e.g., templates for letters of support)
- Provide project coordination support for multi-investigator/institutional initiatives
- Host workshops (e.g. grant writing, agency/program specific)

To obtain a Signature on a Research Proposal contact the appropriate Research Projects Advisor (see contacts page).

Grants Unit

The Grants Unit manages Health Sciences, Social Sciences and Humanities, and Natural Science and Engineering funding opportunities, which includes all Tri-Council funding, which is 30% of Queen’s research funding.

Institutional Programs Unit

The Institutional Programs Unit manages applications to the:

- Canada Foundation for Innovation (CFI)
- Canada Research Chairs (CRC)
- Ministry of Research Innovation and Science (MRIS)
- Ontario Research Fund – Research Infrastructure (ORF-RI)
- Ontario Research Fund – Research Excellence (ORF-RE)
- Early Researcher Award (ERA)
- Canada Excellence Research Chairs (CERC)
- Canada First Research Excellence Fund (CFREF)
Research Ethics Unit

What we do
The Research Ethics Unit is responsible for the ethical oversight of human participants involved in research. We are committed to the mission of the Vice-Principal (Research) of “Helping people achieve excellence in research and scholarship” through a customer service approach within the constraints of regulatory requirements.

Any research project involving human participants, whether funded or not, must receive ethics approval by one of the Queen’s University Ethics Board prior to the start of the project.

There are two research ethics boards at Queen’s University:

Health Sciences and Affiliated Teaching Hospitals Research Ethics Board (HSREB)

Reviews all health sciences research and any research being conducted at the affiliated teaching hospitals (Kingston Health Sciences Centre (KGH & HDH Sites), Providence Care Centre and Ongwanada).

NOTE: Health Science Researchers who plan on conducting their research at two or more Ontario sites must use the Clinical Trials Ontario (CTO) ethics review process. Oncology Researchers that plan on conducting their research at two or more Ontario sites must use the Ontario Cancer Research Ethics Board (OCREB) ethics review process through Clinical Trials Ontario (CTO).

General Research Ethics Board (GREB)

Reviews all research in humanities, social sciences, science, engineering and administration.

If you have any questions about whether your project requires ethics approval, please consult with: Jennifer Couture, Ethics Compliance Advisor - ext. 78223; Jennifer.couture@queensu.ca
TRAQ

What we do

TRAQ (TOOLS for RESEARCH at Queen’s) [www.queensu.ca/traq](http://www.queensu.ca/traq) are software tools implemented by University Research Services. The e-submission systems are designed to streamline research-related administrative processes.

TRAQ lets you submit research documents electronically for internal approval, e.g., grant and contracts submission forms and applications, compliance applications (GREB, HSREB, Biohazards).

If you are a reviewer/committee member or signing authority (department head, associate dean research, dean), you may also access, review, and approve funding proposals electronically through the system.

Forms completed through TRAQ will be routed electronically for signature – no wet signatures are required unless the external funding agency requires a wet signature on an application form.

Forms Available

Currently available forms include: the TRAQ DSS and Confidentiality/Non-Disclosure Agreement Review forms for internal and external grants and contracts, the HSREB (Health Sciences) human ethics forms, GREB (Social Sciences) human ethics forms and the Biohazard Form.

TRAQ captures all of your research activity over time, providing you with a comprehensive record of all your research initiatives. Even documents (full grant applications, consent forms, etc.) may be housed in the system for quick and easy future reference. Post-approval activities, such as compliance (renewals, amendments, Serious Adverse Events reports), annual report submissions and extension requests for internal awards, can also be submitted online.

Accessing TRAQ

TRAQ is compatible with browsers: Mozilla Firefox 40+, Internet Explorer 10+, 11+, Google Chrome 45+, Internet Edge and Safari.

If you are a current Queen's Faculty or Staff member with a Queen's Net ID, please log in to MyQueensU/Solus available in the drop down menu, top right corner, of the Queen’s homepage ([www.queensu.ca](http://www.queensu.ca)) to access the TRAQ Researcher Portal. Click on My Applications, scroll down and click on the link Go to the TRAQ Researcher Portal. When you click on our link, you go directly to the Researcher Portal.
Learning how to use TRAQ

Many training resources are available to the research community including manuals, videos, webinars, and in-person sessions. We invite you to download role-based training manuals from our website, watch our instructional videos on YouTube (QueensTRAQ), or follow us on Twitter (@QueensuTRAQ) for the latest updates and training courses available.

Training sessions for Human Ethics (HSREB & GREB) and Biohazards Certifications are held monthly between September to November, and January to May. Training sessions for Awards (grants & contracts) are offered during major grant deadlines in the fall and spring.

Visit the TRAQ website regularly (www.queensu.ca/traq/) for updates regarding our training schedule and to register for one of our training sessions. Training sessions will also be advertised through our Twitter feed (@QueensuTRAQ).

We have a dedicated Helpdesk to support the research community at Queen’s. Users may reach us by calling (613) 533-6000 ext. 78426, e-mail: traq@queensu.ca, or using our webform to submit an issue, www.queensu.ca/itrack/TRAQ/traq.php.

Faculty 180

Faculty180 is a new software tool that provides Queen’s faculty with one convenient place to keep a record of and manage CV information such as professional achievements, publications, research funding, and administrative service.

Benefits

- User friendly interface where faculty can maintain CV information
- Importing/exporting integration with the Canadian Common CV (CCCV)
- Time saving output generators such as: Annual/Biennial Report, QUQAP CV for Cyclical Program Review, and a variety of personal CVs
- Workload minimizing ability through delegating access to your account to other Queen’s employees for data input
- Straightforward import functionality of citation information and publications from databases such as PubMed, Web of Science, MLA, International Bibliography, Google Scholar, etc. (in various formats such as BibTex)
- Elimination of duplicate entries for research and academic data already available in existing systems at Queen’s
- Streamlined evaluation process for annual/biennial reviews
- Tri-Agency open-access policy compliance through integration with Queen’s Institutional Repository
- Conforms to Queen’s University Faculty Association (QUFA) Collective Agreement
- International access to your CV information wherever you are via web connection
University Animal Care Committee
http://www.queensu.ca/uvet

The role of the University Animal Care Committee is to ensure that the welfare of the animals used in science is a prime consideration in their procurement, care and use and that the highest ethical standards, as defined by the Canadian Council on Animal Care (CCAC), are observed.

Any research project involving vertebrate animals must receive ethics approval prior to the start of the project.

The University Animal Care Committee is committed to the mission of the Vice-Principal (Research) of “Helping people achieve excellence in research and scholarship” through a customer service approach within the constraints of regulatory requirements.
Office of Partnerships and Innovation
http://www.queensu.ca/partnershipsandinnovation/

The Office of Partnerships and Innovation provides support and incubator space for startups, offers entrepreneurship programming, develops and promotes research partnerships with industry, governments, and not-for-profits including other academic institutions, and provides the intellectual property and commercial expertise that are needed to advance discoveries/technologies to the marketplace. We help innovators find each other. We help partners plan and execute joint projects and funding proposals. We support the regional innovation ecosystem. We protect intellectual property. We negotiate research-agreements between Queen’s and its partners, and we negotiate license agreements for technologies developed by Queen’s researchers with third-parties. We use our extensive international networks to cultivate university-to-business, university-to-government and university-to-not-for-profit engagements.

Research Partnerships Unit

The Research Partnerships Unit advances regional, national, and international collaborations involving the university, our researchers and partners, including industry, and works closely with federal, provincial, and not-for-profit funding agencies to accelerate such collaborations. The Research Partnerships Unit is outward facing and has a mandate to be a responsive institutional front door to industry and not-for-profit organizations that are seeking interactions and collaborations with the university and research community.

Research Contracts Unit

The Research Contracts Unit is responsible for the central review, drafting, negotiation, and authorization for signature of research-related agreements with sponsors, collaborators and partners for Queen's University. The review process ensures that terms of proposed research agreements are in accordance with university policies such as publication rights, intellectual property ownership, conflict of interest, and indirect costs. Please do not sign any proposal or contract on behalf of Queen’s University.

Prior to the review of all research contracts/agreements by the Research Contracts Unit, researchers are required to have the appropriate administrative approvals (from Department Heads, for example) in place. To obtain these approvals, researchers must submit a request/application through the Researcher Portal for TRAQ. Please submit this application as early as possible to avoid delays in the approval and review processes, and establishment of your research projects and accounts.

Researchers may wish to encourage sponsors to use one of our preapproved templates as this will ensure that the contract/agreement will be processed and executed in the shortest possible time.
Technology Transfer Unit

The Technology Transfer Unit is a group of eight professionals with the commercial, financial, and intellectual property expertise that is needed to advance research-based inventions/technologies toward the marketplace. We receive invention disclosures from university faculty, staff and students (and partner institution researchers/staff). Since 1987, technology transfer at Queen’s has supported the founding of over 45 startups, transformed more than 1,200 invention disclosures into over 200 technologies each covered by at least one patent. The Technology Transfer Unit also provides support to technology-based regional startups under the Federal government’s Canadian Accelerator and Incubator Program.

Regional Innovation Ecosystem Unit

The Regional Innovation Ecosystem Unit builds partnerships to strengthen the regional innovation ecosystem in Eastern Ontario, and develops and delivers programs and services to accelerate the growth and retention of high potential startups and SMEs. The Office works with many entrepreneurs, businesses and not-for-profit organizations in the region, and links them to the resources of the university including research and technical expertise, infrastructure, talent, and funding to advance collaboration, commercialization of innovations, and growth.

The university works closely with the City of Kingston, and the Kingston Economic Development Corporation, to identify and advance strategic opportunities. The Office of Partnerships and Innovation collaborates with the City, Kingston Economic Development, Invest Ottawa, Ontario East, Launch Lab, GreenCentre Canada, and Enviro Innovate on specific projects to enhance prosperity in the region. The Office also works with colleagues in Upper New York State to advance cross-border research and innovation collaborations.

Innovation Park

Innovation Park at Queen’s University is a community of innovators and specialists where academia, industry, government and not-for-profits work together to cultivate ideas, identify and transform technological discoveries, and propel innovations into the marketplace. With support from a contribution agreement (2014-2019) from the federal government, the university and numerous partners are co-located at 945 Princess Street, and are advancing the Innovation Park mandate by playing a leadership role in the design and delivery of incubation and acceleration programs and services for, and to, high-potential entrepreneurs, startups and SMEs in Eastern Ontario.
The Centre for Advanced Computing (CAC) at Queen’s University, is a consortium comprised of Carleton University, University of Ottawa, the Royal Military College of Canada, and Queen’s University. We specialize in providing high availability, highly secure, advanced research computing resources and support for academic and medical researchers. The CAC is part of the Compute Ontario and Compute Canada networks serving Canada’s research community.

In addition to highly available systems, and secure computing capable of handling Private Health Information (PHI), the CAC has been successful in delivering a world-class research environment, data storage resources, and support to over 400 Canadian research groups, comprising some 2,100 researchers working in a variety of fields. The CAC also has a team of dedicated developers focused on building cognitive analytics applications. Increasingly, advanced research computing (ARC) is playing an indispensable role in the cultivation of scientific knowledge and technological development - this trend will only increase in the future. CAC is Canada’s leading secure, high availability ARC provider.
FAQs

How do I find funding opportunities?

For information about finding funding opportunities, go to the Funding Sources link in the University Research Services website at http://www.queensu.ca/urs/funding-sources-0.

In addition to these Funding Sources, University Research Services provides information about upcoming funding opportunities and significant research news and events through Funding Opportunities e-mail service.

Please visit www.queensu.ca/urs/find-funding/funding-opportunity-listserv to subscribe to our funding opportunities email list service.

You will be asked to complete a form indicating whether you would like to receive the traditional format (one notice per email) or the digest format (all notices in one email). If you choose to receive the traditional format, please also indicate your area(s) of interest: health sciences (HS), natural sciences and engineering (NSE), and/or social sciences and humanities and fine arts (SSH).

How do I submit a grant application?

Research grant applications are managed by Grants and Institutional Programs (GRIP). The application process is as follows:

1. Your research idea
2. Find an appropriate source of funding
3. Review funding guidelines carefully
   - Questions? Contact the appropriate Research Projects Advisor (RPA)
4. Develop Proposal
   - Give yourself enough time to share drafts with colleagues for peer/scientific review and with the RPA for grants crafting/administrative review
5. Pre-Submission
   - Depending on the funding program, contact RPA before submission of TRAQ DSS to notify them of required University signatures
6. Pre-Submission TRAQ Approvals
   - Complete a TRAQ DSS at least 5 business days (15 business days for hospital based research) in advance of the agency deadline
• Contact your RPA to request a customized TRAQ checklist applicable to the funding program to which you are applying, to assist with the creation of your TRAQ DSS

7. Submission to Funding Agency
• Submission by PI or by RPA on PI’s behalf

8. Notification of Funding Decisions
• If unsuccessful, inform Research Project Advisor or Research Facilitator. Look for other opportunities and/or revise your application and re-submit
• If successful see “How do I open a research account?” below

How do I open a research account?

Each newly awarded research proposal requires a new research project (i.e., account) to be set up in PeopleSoft before you can begin spending. The steps in setting up a research account are as follows:

1. Notification of Awarded Grant
   • Send funding decision (notice of award) to appropriate GRIP member:

2. Post-Award Approvals
   • Complete any certifications required (e.g., human ethics, animal care, biohazards). This is done through TRAQ.
   • Inform GRIP member once all certification approvals are in place

3. TRAQ file is Finalized
   • Once award notice has been received and all applicable certifications are in place, GRIP will finalize your TRAQ file which includes notifying Research Accounting that your funds may be released and the award is ready for project/account set-up.
   • Please note: submissions routed through Institutional Programs may require additional documentation to finalize your award. In addition, a Notice of Award and fully executed agency agreements must be in place prior to the Release of Funds.

4. Project (Account) Set-Up
   • Research Accounting will email you directly requesting their final budget template & signing authority forms be completed and uploaded to TRAQ file
   • For additional information about Research Accounting, including contact information, please go to their website at: www.queensu.ca/financialservices/researchers/research-accounting-contacts
5. Project is Active
   • You can start spending!

**NOTE:** If, during the course of your project, you need to transfer funds to co-applicants at other institutions, contact your GRIP Research Facilitator.

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**REMEMBER:**

Do not sign any proposal or contract on behalf of Queen’s University.

Full proposal submission at least 5 business days in advance of agency deadline – much earlier if you can.

Any research project involving human subjects, whether funded or not, must receive ethics clearance by one of the Queen’s University Ethics Boards prior to the start of the project.

Any research project involving vertebrate animals must receive ethics approval prior to the start of the project.

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**Your Responsibilities**

For Queen’s research policies and guidelines, and external policies and guidelines, please see [www.queensu.ca/urs/policies-and-forms](http://www.queensu.ca/urs/policies-and-forms), or the official Secretariat’s website at [www.queensu.ca/secretariat/policies](http://www.queensu.ca/secretariat/policies).

In particular, please refer to:

• Research Administration Policy (and Procedures)
• Policy on the Indirect Costs of Sponsored Research (and Procedures)
• Special Research Projects
• Conflict of Interest
• Integrity in Research
• Research Initiation Grants (and Procedures)
• Tri-Agency Framework: Responsible Conduct Of Research
• Tri-Council Agreement on the Administration of Agency Grants and Awards by Research Institutions
• Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans
Hospital Based Research

Queen’s University’s health research program operates through the jointly coordinated offices of the Vice-Dean, Research in the Faculty of Health Sciences and Vice President, Health Sciences Research at the Kingston Health Sciences Centre. The affiliated hospitals are Kingston Health Sciences Centre (KHSC), (Kingston General Hospital-KGH Site) and Hotel Dieu Hospital-HDH Site) and Providence Care (PC).

Research carried out at the three hospital sites is supported by the Kingston General Health Research Institute (KGHRI), Hotel Dieu Hospital Kingston Research Institute (HDHKRI) and Providence Care Research Institute (PCRI). They provide support to investigators with their hospital based research, in collaboration with Queen’s University Research Services and the Research Contracts Unit.

For more information in conducting research in a hospital setting, please go to the Kingston General Health Research Institute website: www.kgh.on.ca/research/researchers-staff-trainees.

Hospital Based Research Contacts

Lisa McAvoy  KGHRI  613-549-6666 ext. 3344  mcavoye1@kgh.kari.net
Shari Glustein  HDHKRI  613-544-3400, ext. 2115  glustes@hdh.kari.net
Sally Lake  Providence Care Research Institute  613-544-4900 ext. 53494  lakes@providencecare.ca
# Additional Research Resources

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<tr>
<th>Environmental Health and Safety (Biohazards)</th>
<th><a href="http://www.safety.queensu.ca/">www.safety.queensu.ca/</a></th>
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<tr>
<td>General Research Ethics Board (GREB)</td>
<td><a href="http://www.queensu.ca/urs/ethics/general-research-ethics-board-greb">www.queensu.ca/urs/ethics/general-research-ethics-board-greb</a></td>
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<td>Health Sciences and Affiliated Teaching Hospitals Research Ethics Board (HSREB)</td>
<td><a href="http://www.queensu.ca/urs/ethics/health-sciences-and-affiliated-teaching-hospitals-research-ethics-board-hsreb">www.queensu.ca/urs/ethics/health-sciences-and-affiliated-teaching-hospitals-research-ethics-board-hsreb</a></td>
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<tr>
<td>Kingston General Health Research Institute</td>
<td><a href="http://www.kgh.on.ca/research/researchers-staff-trainees">www.kgh.on.ca/research/researchers-staff-trainees</a></td>
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| Library (Data Management & Open Access)   | [library.queensu.ca/help-services/research-data-management](http://library.queensu.ca/help-services/research-data-management)  
[library.queensu.ca/help-services/scholarly-publishing](http://library.queensu.ca/help-services/scholarly-publishing) |
| Policies & Forms                          | [www.queensu.ca/urs/policies-and-forms](http://www.queensu.ca/urs/policies-and-forms)  
[www.queensu.ca/secretariat/policies](http://www.queensu.ca/secretariat/policies) |
| Research Accounting                       | [www.queensu.ca/financialservices/contact-us/research-accounting](http://www.queensu.ca/financialservices/contact-us/research-accounting) |
| School of Graduate Studies and Office of Post-Doctoral Training | [www.queensu.ca/sgs/post-docs](http://www.queensu.ca/sgs/post-docs) |
| Strategic Procurement Services            | [www.queensu.ca/procurement/](http://www.queensu.ca/procurement/) |
# Research Contacts

## University Research Services

[www.queensu.ca/urs](http://www.queensu.ca/urs)
urs@queensu.ca
613.533.6081

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<tr>
<th>Name</th>
<th>Position</th>
<th>Extension</th>
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<tbody>
<tr>
<td>Karina McInnis</td>
<td>Executive Director, University Research Services</td>
<td>ext. 33108</td>
<td><a href="mailto:karina.mcinnis@queensu.ca">karina.mcinnis@queensu.ca</a></td>
</tr>
<tr>
<td>Sue Richardson</td>
<td>Administrative Manager, University Research Services</td>
<td>ext. 77316</td>
<td><a href="mailto:sue.richardson@queensu.ca">sue.richardson@queensu.ca</a></td>
</tr>
<tr>
<td>Mallory Walker</td>
<td>Office Assistant</td>
<td>ext. 74105</td>
<td><a href="mailto:mallory.walker@queensu.ca">mallory.walker@queensu.ca</a></td>
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## Grants and Institutional Programs

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<tr>
<td>Mary Purcell</td>
<td>Director, Grants and Institutional Programs</td>
<td>ext. 36878</td>
<td><a href="mailto:purcellm@queensu.ca">purcellm@queensu.ca</a></td>
</tr>
<tr>
<td>Karen Samis</td>
<td>Assistant Director, Grants and International Research Development</td>
<td>ext. 78688</td>
<td><a href="mailto:karen.samis@queensu.ca">karen.samis@queensu.ca</a></td>
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## Grants Unit

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<tr>
<td>Alexandra Pedersen</td>
<td>Research Projects Coordinator</td>
<td>Ext. 79399</td>
<td><a href="mailto:a.pedersen@queensu.ca">a.pedersen@queensu.ca</a></td>
</tr>
<tr>
<td>Robin Ashcroft</td>
<td>Research Facilitator (Post-Award), Health Sciences</td>
<td>ext. 74096</td>
<td><a href="mailto:ashcroft@queensu.ca">ashcroft@queensu.ca</a></td>
</tr>
<tr>
<td>Bonnie Stewart</td>
<td>Research Facilitator (Post-Award), Social Sciences and Humanities, and Natural Sciences and Engineering</td>
<td>ext. 74686</td>
<td><a href="mailto:bonnie.stewart@queensu.ca">bonnie.stewart@queensu.ca</a></td>
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<tr>
<td>Diane Davies (URS)</td>
<td>Research Projects Advisor (Pre-Award)</td>
<td>ext. 79422</td>
<td><a href="mailto:diane.davies@queensu.ca">diane.davies@queensu.ca</a></td>
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<tr>
<td>Adrian Kelly (URS/Faculty of Arts and Science)</td>
<td>Research Projects Advisor (Pre-Award)</td>
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<td>Research Projects Advisor (Pre-Award)</td>
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# Office of Partnerships and Innovation

[http://www.queensu.ca/partnershipsandinnovation](http://www.queensu.ca/partnershipsandinnovation)

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## Research Contracts Unit

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<tbody>
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## Research Partnerships Unit

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### Centre for Advance Computing

[http://cac.queensu.ca/](http://cac.queensu.ca/)

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