TRAQ – Human Ethics Module

Health Sciences Research Ethics Board (HSREB)

Applying for HSREB Certification

Researchers’ User Manual

November 2017
Accessing the TRAQ Researcher Portal

- Queen’s faculty and staff should use their regular Queen’s NetID and strong password* to log into the TRAQ Researcher Portal through MyQueensU/SOLUS. (Once in MyQueensU, click on My Applications, and then on Go to the TRAQ Researcher Portal hyperlink.)

- The Researcher Portal is also available through the TRAQ website.

*Information regarding managing your Queen’s NetID and strong password is available on the ITS website.

Queen’s University
• Queen’s students and external users, trying to log in for the first time, will need to complete the Self Registration Form before they can access the Researcher 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 Portal through the Post-Registration Login Site.

• When logging in 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 be able to access your files (Human Ethics and Biohazard certifications, and TRAQ DSS Form/Agreement Review applications) under one role or the other.
Any research project involving human participants, **whether funded or not**, must receive ethics approval of one of the Ethics Boards prior to the start of the project.

- Non-Health Sciences (Social Sciences) submit to the General Research Ethics Board (GREB)
- Health Sciences and affiliated teaching hospitals submit to Health Sciences Research Ethics Board (HSREB)

The names of the forms are hyperlinks, click on them once to open a blank application.

* HSREB applicants must choose between two application forms: the long form and short form for low risk studies. Please contact the Ethics Coordinator of the HSREB if you are unsure which form you should be completing.
Project Info tab

**IMPORTANT:** Please note that all fields preceded by a red asterisk (*) are required. Failing to complete these fields will prevent the user from submitting the form.

Enter project title here

Do not select Start and End Date on Project Info tab

Keywords can be selected from the drop down menu, or typed directly into the textbox.
• If your project is receiving funding, either through a grant or contract, it is important to link your TRAQ DSS Form to your human ethics application.

• Use the side bar to scroll down to the ‘Related Awards’ section of the Project Info tab screen and click on the yellow ‘Search’ button to view your submitted TRAQ DSS Forms.
Click on ‘Select’ next to the project file you wish to link to your human ethics application.
The top section of the Project Team Info tab (Principal Investigator section) is automatically filled out with the information of the person who created the application. If you are the PI, please continue following the steps outlined in this manual. If you are not the PI, please consult the user manual for Research Coordinators.
From the Project Team Info tab, scroll down to Other Project Member Info and click Add New.

Click the Search Profiles button to find the person you need to add as team member – Important: Do not enter this information manually always use ‘Search Profiles’.
You can search the Investigator List for the name of the person to be assigned as team member. The list can be searched in a variety of ways, i.e. type the last name of the person in the “Last Name” field, use the filter beside it to select a search criteria such as “EqualTo” or “Contains”.
Once you’ve identified your team member – click on Select. The project team member form will be updated automatically.

If you are unable to identify the person you are looking for from the investigators list, please email the TRAQ helpdesk (traq@queensu.ca). Your email should include the person’s full name, title, business address and email address. You will be notified as soon as the person has been added to the investigators list and will then be able to add them to the project team.
From there, you may select the role of the team member from the ‘Role In Project’ drop down menu. (Important: Student applicants should always assign their supervisor(s) as team members and select “supervisor” role)

You may add as many team members as required by clicking ‘Add New’, team members can also be edited or deleted. Keep in mind that anyone who will need to have access to the application should be added as team members. However, only the P.I., the Supervisor and the Research Coordinator will be copied on all system generated email correspondence. It is therefore recommended that Research Administrators assign themselves to the Research Coordinator role.

Important: Although all team members will have access to view and edit the application, the P.I. is the only member of the project team who can submit the application once it is ready to be reviewed.
Health Sciences Research Ethics Board Application Form tab

- This tab has several sub-tabs all of which contain required questions. If you are unsure how to answer a question, try clicking on the info tab (i) additional information may be available as seen in the screenshot below!

TRAQ Tip! ROMEO does not have an automatic save feature. Users are encouraged to hit the “Save” button after completing each tab.
Attachments tab

- Applicant should attach any document(s) identified on the Checklist sub-tab of the Ethics Form. Users may upload multiple attachments, provided that each is no larger than 5MB. Attachments may be word files, spreadsheets, jpeg files, pdfs, etc.

Include a brief description of the document

Click on “Browse” to select the document from your computer

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).
Attachments tab (Cont.)

Select the type of document from the “Doc / Agreement” drop down menu.

Click “Add Attachment” to complete the process.
The Approvals tab simply describes the workflow of an application in TRAQ. For example, this HSREB application will be submitted straight to the HSREB (Office of Research Services/Office of Research Ethics). This workflow is pre-determined. You may skip this tab.
Logs tab – Workflow Logs

- The Logs tab is a useful tool that allows the applicant(s), reviewer(s) and the Ethics Office to track the history of the application and communicate with one another. Text in blue font represents most recent updates.

- The Workflow Logs tracks and time stamps approvals and messages.

<table>
<thead>
<tr>
<th>Timestamp</th>
<th>Log</th>
<th>Work Flow State</th>
<th>Message</th>
<th>User</th>
<th>Role/Group</th>
</tr>
</thead>
<tbody>
<tr>
<td>16/01/2013 09:48</td>
<td>Project Work Flow State has been changed from ORS Review to Pending Info by ORS</td>
<td>ORS Review -&gt; Pending Info by ORS</td>
<td>Consent Form still missing.</td>
<td>Office of Research Ethics</td>
<td></td>
</tr>
<tr>
<td>15/01/2013 11:43</td>
<td>Project Work Flow State has been changed from Pending Info by ORS to ORS Review</td>
<td>Pending Info by ORS -&gt; ORS Review</td>
<td>Changes made as requested [Action: Re-Submit]</td>
<td>Principal Investigator</td>
<td></td>
</tr>
</tbody>
</table>
| 15/01/2013 09:50       | Project Work Flow State has been changed from ORS Review to Pending Info by ORS | ORS Review -> Pending Info by ORS | Dear Dr Gagnon & Dr Herra,  
Your application went through review board - reviewer requires clarification from researcher. Revised consent form needed. Jan. 15, 2013  
Please submit revisions within 2 business days.  
Regards,  
Kathy | Office of Research Ethics |                         |
• The Project Logs tracks and time stamps every action taken on the application.
Errors tab

The Errors tab keeps a log of any required questions that were left unanswered. If all required questions were answered, the Errors tab disappears.
Save and Continue…

• At any point in the process, the applicant may Save and Close the application and complete it at a later date. The information entered will be saved and the user can access it again through the TRAQ Researcher Portal under **Applications: Drafts**. 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.

<table>
<thead>
<tr>
<th>Role: Principal Investigator</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Applications: Drafts</strong></td>
</tr>
<tr>
<td><strong>Applications: Requiring Attention</strong></td>
</tr>
<tr>
<td><strong>Applications: Under Review</strong></td>
</tr>
<tr>
<td><strong>Applications: Post-Review</strong></td>
</tr>
<tr>
<td><strong>Applications: Withdrawn</strong></td>
</tr>
<tr>
<td><strong>Events: Drafts</strong></td>
</tr>
<tr>
<td><strong>Events: Requiring Attention</strong></td>
</tr>
<tr>
<td><strong>Reminders</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Role: Project Team Member</th>
</tr>
</thead>
</table>

**TRAQ Tip!** Though ROMEO has no *automatic save* feature, it does have a *time out* feature! If you need to step away from your computer, you should always hit the Save and Close buttons 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 (ext. 78426; email: traq@queensu.ca)
Submitting an HSREB Application

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.

Please enter a comment in the textbox provided. Comment can be a simple sentence (e.g. “Submitting HSREB for review.”)
Applications Under Review

- Once you have submitted the application for review, you will receive an email confirming the reception of your application – any team member associated with the application will be copied on the correspondence. At this stage, you will not be allowed to make any changes to the application. However, it is still available for viewing under Applications Under Review.

Click on Applications Under Review to see the work flow state of your applications.
Work Flow State of Applications Under Review

- Check the status of your application(s) under review under the Status Snapshot column.
- In the example below, the HSREB application is pending approval from HSREB (Workflow Status: ORS Review).

<table>
<thead>
<tr>
<th>File No</th>
<th>Project Title</th>
<th>Principal Investigator</th>
<th>Application Type</th>
<th>Status Snapshot</th>
<th>Workflow Message</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ref No: 18790</td>
<td>Enter title</td>
<td>Dr. Queen's Researcher (Faculty of Health Sciences/Biomedical and Molecular Sciences)</td>
<td>HEALTH SCIENCES RESEARCH ETHICS BOARD APPLICATION FORM for ETHICS CLEARANCE (Certification/Human Ethics)</td>
<td></td>
<td>Project Status: Pending Workflow Status: ORS Review</td>
</tr>
</tbody>
</table>
Applications Requiring Revisions

- If the reviewer(s) require any revisions, the application will be pushed back to the applicant(s). At this stage, you will be able to edit the application by clicking on **Applications Requiring Attention**. The P.I., Research Coordinator and Supervisor will receive an automatic email notifying them that they have an application which requires their attention. Any member of the team will be able to edit the application, but the P.I. is the only person who has the ability to re-submit the application.
• Once the application has been approved, the P.I., Research Coordinator and Supervisor will receive a formal approval letter and email. The application can no longer be modified but is available for viewing under Applications: Post Review
Need assistance/have a question?

Contact the TRAQ Helpdesk
(613) 533-6000, ext. 78426
Email: traq@queensu.ca