



National Center for Advancing Translational Sciences

Document Submission System User's Guide

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1. Introduction

1.1 Purpose

The NCATS and OD/ORIP Document Submission System (DSS) is designed to accept documents requiring NCATS or OD/ORIP prior approval submitted by Signing Officials at institutions with applications and/or awards at NCATS or OD/ORIP.

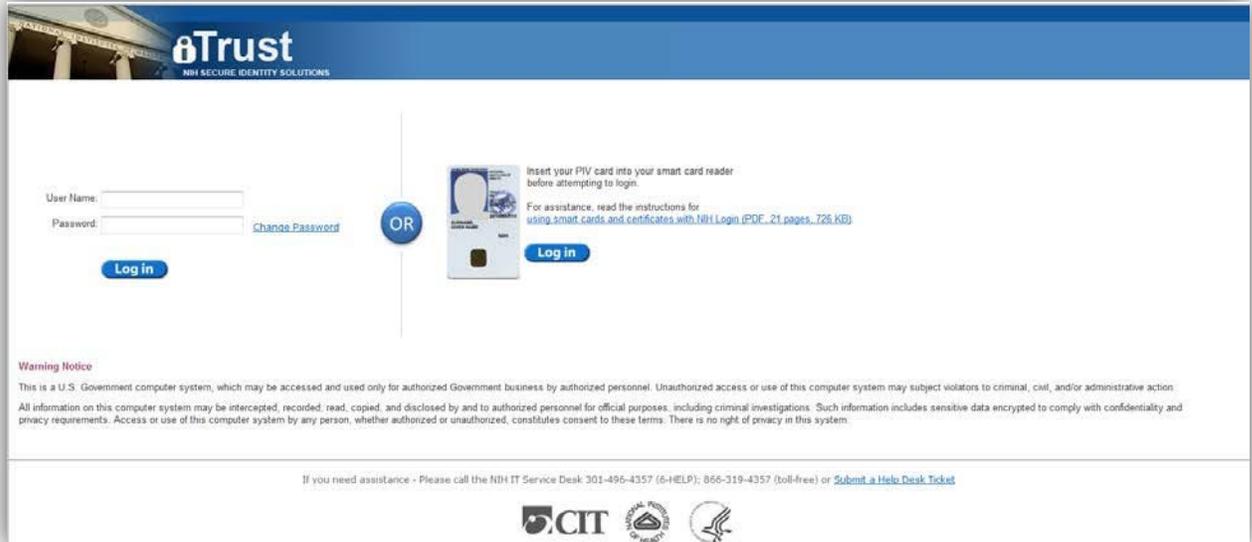
1.2 Acronyms & Abbreviations

Short Form	Description
DPCPSI	Division of Program Coordination, Planning, and Strategic Initiatives. The mission of DPCPSI includes identifying emerging scientific opportunities, rising public health challenges, and scientific knowledge gaps that merit further research.
DSS	Document Submission System
GMS	Grants Management Specialist - NIH staff member who oversees the business and other non-programmatic aspects of one or more grants and/or cooperative agreements.
iTRUST	iTrust is a suite of services that allows approved users both within and outside an organization to gain access to secure applications using their own local identity credentials.
NCATS	National Center for Advancing Translational Sciences
OD	The Office of the Director is the central office at NIH, and is responsible for setting policy for NIH and for planning, managing, and coordinating the programs and activities of all the NIH components.
ORIP	The Office of Research Infrastructure Programs (ORIP) is a new program office in DPCPSI dedicated to supporting research infrastructure and related research programs, and coordinating NIH's science education efforts. ORIP consists of the Division of Comparative Medicine; Division of Instruments, Infrastructure Resources, and Construction; and the Office of Science Education.
PO	Program Officer - The NIH official responsible for the programmatic, scientific, and/or technical aspects of a grant.

2. Login to the Document Submission System

2.1 Login

Open Internet Explorer and browse this URL: <https://docsubmission.ncats.nih.gov>



The National Institutes of Health **iTRUST** secure login screen will be displayed which is where you will perform the following steps to log onto the Document Submission System main screen:

Enter your user name in the “User name” field

Enter your password in the “Password field

Click on the “Login” button

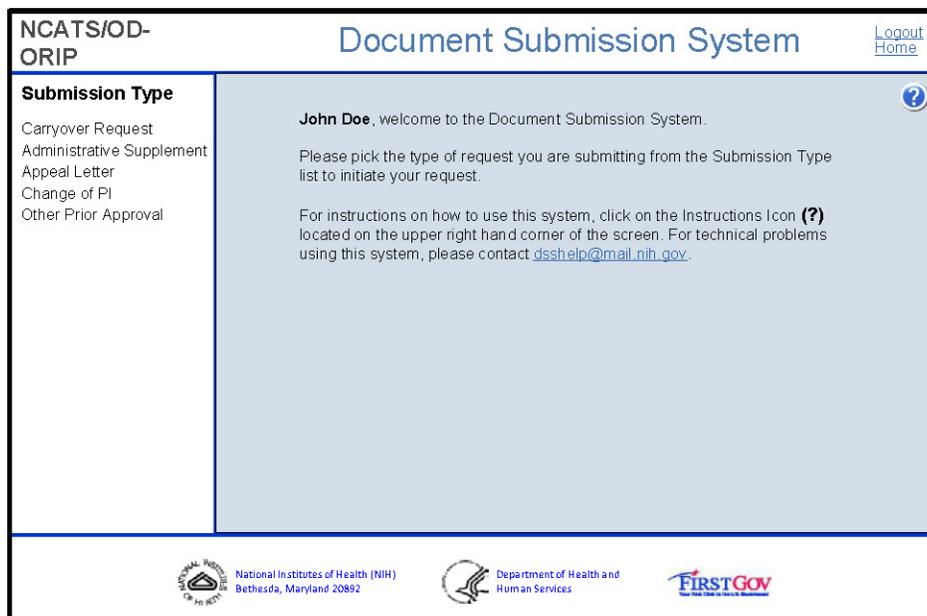
3. Home Screen

DSS is designed to accept documents requiring NCATS and OD/ORIP prior approval submitted by Signing Officials at institutions with applications and/or awards at NCATS or OD/ORIP.

To view the DSS User's Guide, click on the help icon on the top right corner of the screen. For technical assistance using DSS click on the dsshhelp@mail.nih.gov to send an e-mail to the DSS Help Desk.

To initiate a submission, select a document type from the Submission Type menu. Currently, DSS accepts the following:

- Carryover Requests are submitted by grantees that do not have automatic carryover authority to request the use of unobligated prior year grant funds in a current budget period.
- Administrative Supplement submissions are used to request additional funds during the current project period.
- An Appeal Letter is a response to a summary statement addressing specific concerns about the review of a competing application.
- A Change of Principal Investigator submission is a request to change the Principal Investigator assignment on an active NCATS or OD/ORIP grant.
- Other Prior Approval requests are actions requiring NCATS or OD/ORIP prior approval such as change in scope, change of institution or reduction in effort.



4. Document Submissions

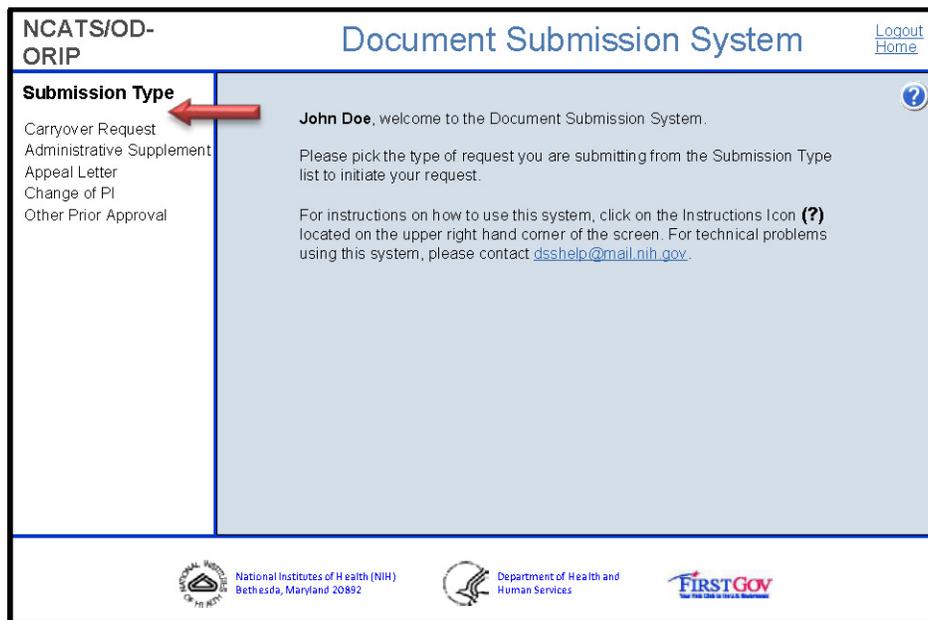
4.1 Carryover Requests

Carryover Requests are for grantees that do not have automatic carryover authority to request the use of unobligated prior year grant funds in a current budget period.

After successful **iTRUST** login you will be presented with the NCATS and OD/ORIP Document Submission System homepage.

Prior to submitting a Carryover Request please review the [NIH Grants Policy Statement](#) Section on Carryover of Unobligated Balances Chapter 8.1.2.4 paying particular attention to the information that should be submitted in the request.

- Select Carryover Request from the Submission Type menu to submit a Carryover Request submission.



- Select the grant number you wish to submit a Carryover Request for from the Select Grant Number list. Please note that the system will only display grant numbers from your institution.
- Browse your computer for the Carryover Request document you wish to upload which must be an Adobe PDF document or Microsoft Word document.
- Click **Submit** to complete your submission

Note: clicking **Cancel** will terminate the submission and all data entered will be lost.

The screenshot shows the 'Carryover Request Submission' page. On the left is a 'Submission Type' menu with options: Carryover Request, Administrative Supplement, Appeal Letter, Change of PI, and Other Prior Approval. The main content area is titled 'Carryover Request Submission' and includes a dropdown menu for 'Select Grant Number' (indicated by a red arrow), a link to the 'Carryover Request Policy', an 'Important Note' about submission requirements, and a file upload section with a 'Browse' button (indicated by a red arrow). At the bottom, there are 'Submit' and 'Cancel' buttons (the 'Cancel' button is also indicated by a red arrow). The footer contains logos for the National Institutes of Health (NIH), the Department of Health and Human Services, and FIRST.GOV.

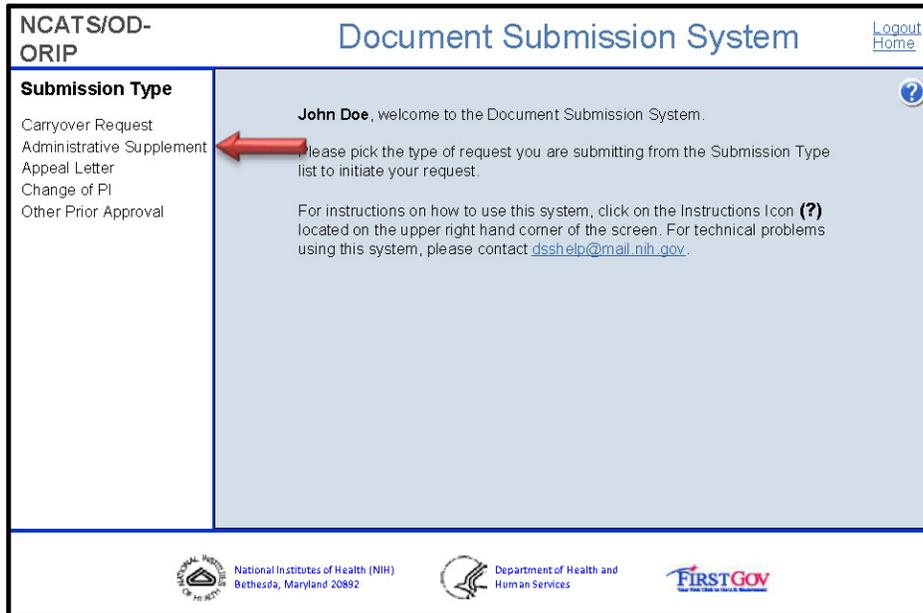
- A confirmation screen summarizing your submission will appear.
- In addition, an e-mail confirmation will be sent to you and the Principal Investigator for the grant you've submitted a Carryover Request for.

4.2 Administrative Supplements

Administrative Supplements are used to request additional funds during the current project period.

After successful **iTRUST** login you will be presented with the NCATS and OD/ORIP Document Submission System homepage.

- Select **Administrative Supplement** from the Submission Type menu to submit an Administrative Supplement request.



- From the Select Grant Number dropdown, choose the grant number for which you wish to submit an Administrative Supplement Request. Please note that the system will only display grant numbers from your institution.
- Browse your computer and upload a complete administrative supplement request which must be an Adobe PDF document or Microsoft Word document. Multiple documents should be combined into one document.
- Enter any comments you may have in the comments section. Note the 500 character limit.
- Click **Submit** to complete your submission

Note: clicking **Cancel** will terminate the submission and all data entered will be lost.

The screenshot shows the 'Document Submission System' interface for 'Administrative Supplement Submission'. On the left, a sidebar lists 'Submission Type' options: Carryover Request, Administrative Supplement, Appeal Letter, Change of PI, and Other Prior Approval. The main form area contains a 'Select Grant Number' dropdown menu, a file upload section with a 'Browse' button, and a 'Comments (500 characters - optional)' text area. At the bottom of the form are 'Submit' and 'Cancel' buttons. A footer contains logos for the National Institutes of Health (NIH), Department of Health and Human Services, and FIRST GOV. Red arrows highlight the 'Select Grant Number' dropdown, the 'Browse' button, the 'Comments' text area, and the 'Cancel' button.

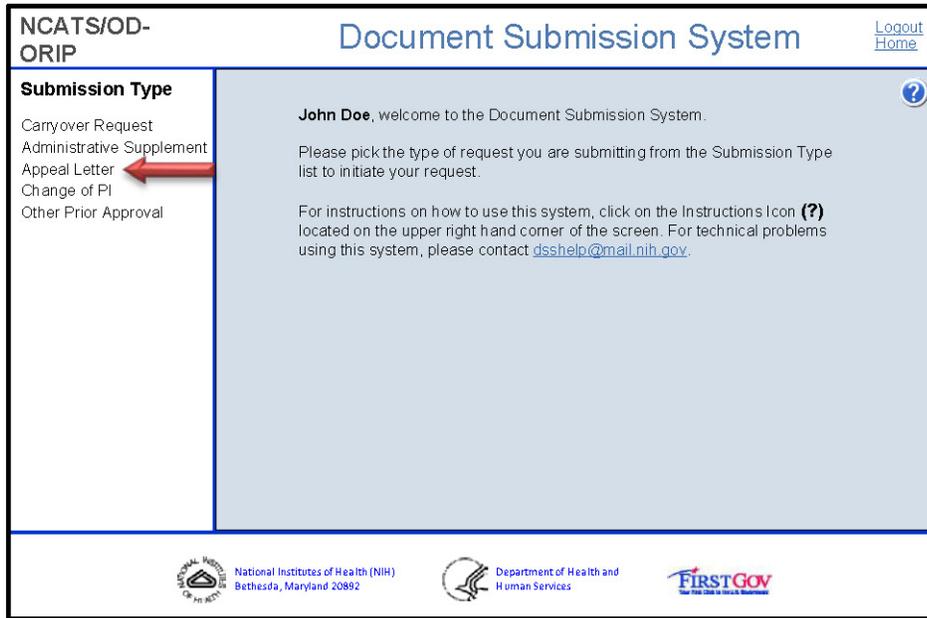
- A confirmation screen summarizing your submission will appear.
- In addition, an e-mail confirmation will be sent to you and the Principal Investigator for the grant you've submitted an Administrative Supplement request for.

4.3 Appeal Letters

An Appeal Letter is a response to a summary statement which addresses specific concerns about the review of a competing application.

After successful **iTRUST** login you will be presented with the NCATS and OD/ORIP Document Submission System homepage.

- Select **Appeal Letter** from the Submission Type menu to submit an Appeal Letter request.



- From the Select Grant Number drop down, choose the grant number for which you are submitting an Appeal Letter. Please note that the system will only display grant numbers from your institution.
- Browse your computer for the Appeal Letter document you wish to upload which must be an Adobe PDF document or a Microsoft Word document.
- If you have multiple documents related to the Appeal Letter you are submitting, please condense them into a single document.
- Enter any comments you may have in the comments section (note the 500 character limit).
- Click **Submit** to complete your submission

Note: clicking **Cancel** will terminate the submission and all data entered will be lost.

The screenshot shows the 'Document Submission System' interface for 'NCATS/OD-ORIP'. The main heading is 'Appeal Letter Submission'. On the left, there is a 'Submission Type' sidebar with options: Carryover Request, Administrative Supplement, Appeal Letter, Change of PI, and Other Prior Approval. The main content area contains a 'Select Grant Number' dropdown menu, a 'Browse' button for file upload, and a 'Comments (500 characters - optional)' text area. At the bottom, there are 'Submit' and 'Cancel' buttons. Red arrows point to the dropdown menu, the 'Browse' button, the comments text area, and the 'Cancel' button. The footer includes logos for the National Institutes of Health (NIH), the Department of Health and Human Services, and FIRSTGov.

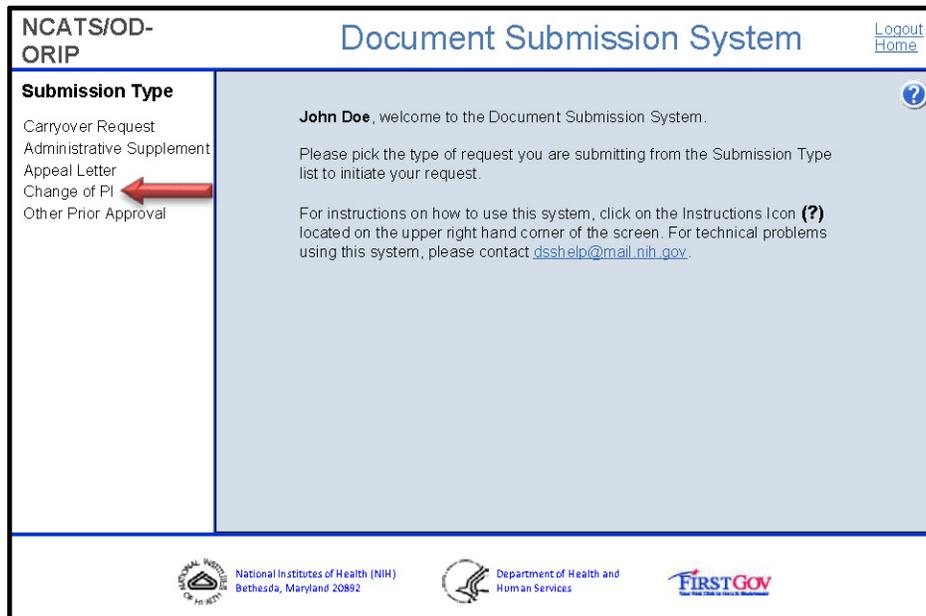
- A confirmation screen summarizing your submission will appear.
- In addition, an e-mail confirmation will be sent to you and the Principal Investigator for the grant you've submitted an Appeal Letter request for.

4.4 Change of PI Requests

A Change of Principal Investigator submission is a request to change the Principal Investigator assignment on an active NCATS or OD/ORIP grant.

After successful **iTRUST** login you will be presented with the NCATS and OD/ORIP Document Submission System homepage.

- Select Change of PI from the Submission Type menu to submit a Change of Principal Investigator request.



- From the Select Grant Number dropdown choose the grant number for which you are submitting a Change of Principal Investigator request. Please note that the system will only display grant numbers from your institution.
- Prior to uploading a Change of Principal Investigator request, please ensure that, at a minimum, you address the following in your request.
 - Justification for the change.
 - A bio-sketch of the proposed PI.
 - Other sources of support for the proposed PI.
 - Any budget changes resulting from the proposed change.
 - Letter signed by the proposed PI indicating their agreement to assume this new role.
- Browse your computer for the Change of Principal Investigator request you wish to upload which must be an Adobe PDF document or a Microsoft Word document.
- Enter any comments you may have (note the 500 character limit).
- Click **Submit** to complete your submission

Note: clicking **Cancel** will terminate the submission and all data entered will be lost.

The screenshot shows the 'Document Submission System' interface for a 'Change of Principal Investigator (PI) Submission'. The page title is 'NCATS/OD-ORIP' and 'Document Submission System'. A 'Logout Home' link is in the top right. The 'Submission Type' sidebar lists: Carryover Request, Administrative Supplement, Appeal Letter, Change of PI, and Other Prior Approval. The main form area is titled 'Change of Principal Investigator (PI) Submission' and contains the following elements:

- A required field 'Select Grant Number' with a dropdown menu, indicated by a red arrow.
- An instruction: 'Upload your Change of PI Request as an Adobe PDF file or Microsoft Word document. Ensure that, at a minimum you address the following in your request:'
- A bulleted list of requirements:
 - Justification for the change
 - A biographical sketch of the proposed PI
 - Other sources of support for proposed PI
 - Any budget changes resulting from the proposed change
 - Letter signed by the proposed PI indicating agreement to assume this new role
- An upload field with a 'Browse' button, indicated by a red arrow.
- A 'Comments (500 characters - optional)' text area, indicated by a red arrow.
- A '* Required fields' note.
- 'Submit' and 'Cancel' buttons, with a red arrow pointing to the 'Cancel' button.

The footer contains logos for the National Institutes of Health (NIH), Department of Health and Human Services, and FIRST.GOV.

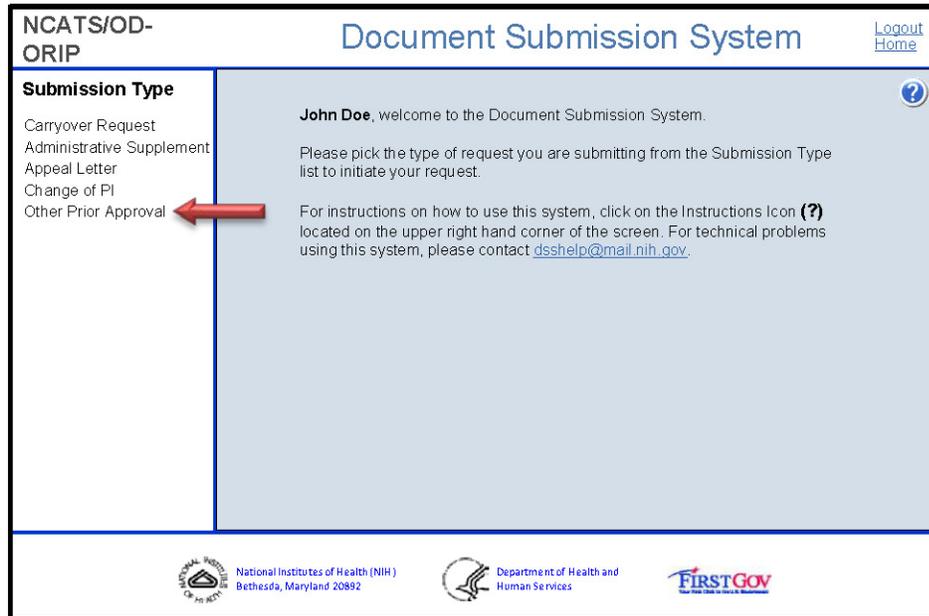
- A confirmation screen summarizing your submission will appear.
- In addition, an e-mail confirmation will be sent to you and the Principal Investigator for the grant you've submitted a Change of Principal Investigator request for.

4.5 Other Prior Approval Requests

Other Prior Approval requests are actions requiring NCATS or OD/ORIP prior approval such as change in scope, change of institution and reduction in effort.

After successful iTRUST login you will be presented with the NCATS and OD/ORIP Document Submission System homepage.

- Select Other Prior Approval from the Submission Type menu to submit an Other Prior Approval request.



- From the Select Grant Number dropdown, choose the grant number for which you are submitting an Other Prior Approval Request. Please note that the system will only display grant numbers from your institution.
 - Enter the nature of the request:
 - Change in Scope
 - Reduction in effort
 - Change of institution
- Browse your computer for the Other Prior Approval document you wish to upload which must be in an Adobe PDF document or a Microsoft Word document.
- Enter any comments you may have (note the 500 character limit).
- Click **Submit** to complete your submission

Note: clicking **Cancel** will terminate the submission and all data entered will be lost.

The screenshot shows the 'Document Submission System' interface for 'NCATS/OD-ORIP'. The main heading is 'Other Prior Approval Request Submission'. On the left, a sidebar lists 'Submission Type' options: Carryover Request, Administrative Supplement, Appeal Letter, Change of PI, and Other Prior Approval. The main form area contains the following fields and controls:

- * Select Grant Number: A dropdown menu with a red arrow pointing to it.
- * Nature of request. Example (Change in Scope, Change of Institution, Reduction in Effort): A text input field with a red arrow pointing to it.
- * Upload your Other Prior Approval request as an Adobe PDF file or a Microsoft Word document. Please include a justification and applicable budget pages.: A text input field followed by a 'Browse' button, with a red arrow pointing to the button.
- Comments (500 characters – optional): A large text area with a red arrow pointing to it.
- * Required fields: A label above the 'Submit' and 'Cancel' buttons, with a red arrow pointing to the buttons.

At the bottom of the page, there are logos for the National Institutes of Health (NIH), the Department of Health and Human Services, and FIRST GOV.

- A confirmation screen summarizing your submission will appear.
- In addition, an e-mail confirmation will be sent to you and the Principal Investigator for the grant you've submitted an Other Prior Approval request for.

5. Document Submission Help

For technical assistance issues: dsshhelp@mail.nih.gov

For questions about policies related to the submission of documents please contact the Grants Management Specialist listed on the most recent Notice of Award.