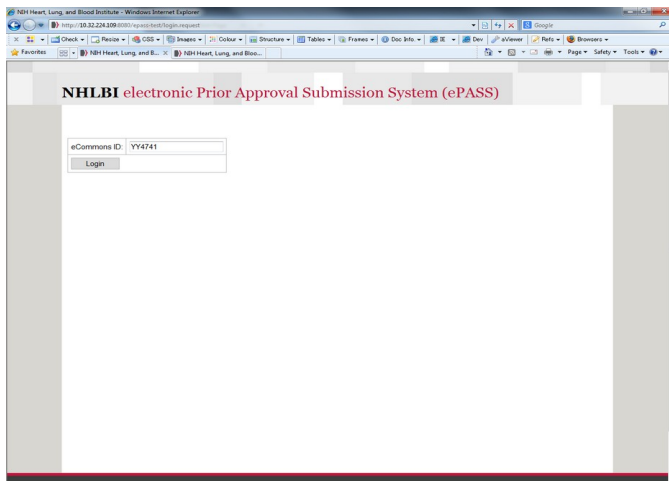


Public reporting burden for this collection of information is estimated to average 30 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to: NIH, Project Clearance Branch, 6705 Rockledge Drive, MSC 7974, Bethesda, MD 20892-7974, ATTN: PRA (0925-XXXX). Do not return the completed form to this address.

The External Face of ePASS

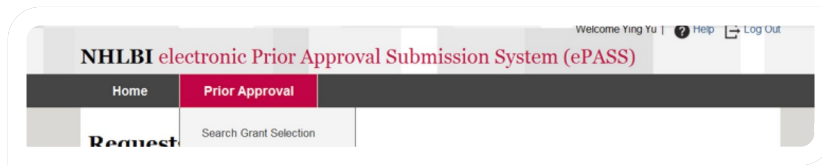
NIH requires applicant institutions and grantees to request Prior Approval for some specific actions as required by NIH policy. Such approvals must be obtained before undertaking the proposed activity or spending NIH funds. NHLBI's Electronic Prior Approval Submission System (ePASS) was developed to accommodate the external submission and in-house processing of these requests.



This is the login site (see Figure 1 – ePASS Login Screen left) for NHLBI's ePASS on the externally facing landing page. The grantee business official (AOR) will login using their Commons ID that will prompt a search function for various queries. The AOR can select what action they would like to take such as requesting the following Prior Approvals: 1) No Cost Extension, 2) Carryover 3) Change of PI/Key Personnel, 4) Change in Effort of Key Personnel, 5) NRSA Waiver and 6) Change of Scope. The AOR will only be able to take action on grants within their authority as defined by their Commons profile.

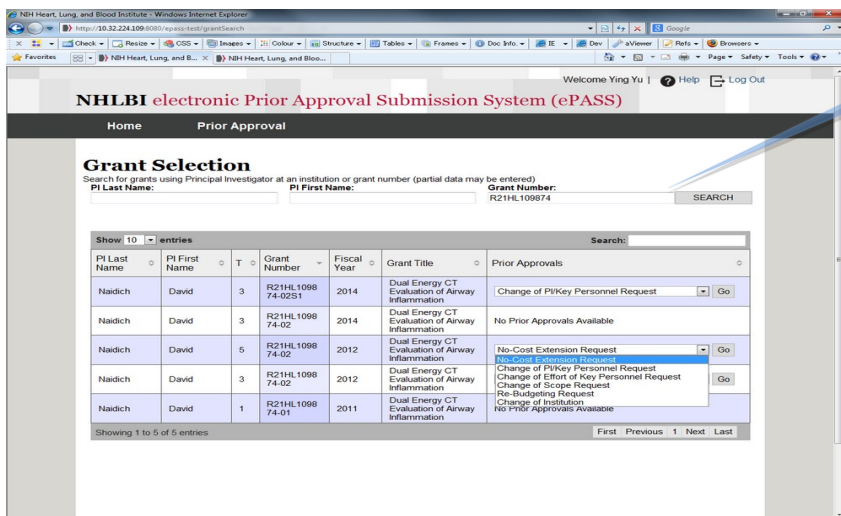
Figure 1 - Begin Your Search

Figure 2 - ePASS Login Screen



The following set of screens walk you through the submission of a **No Cost Extension (NCE)** request after the Grantee/AOR searches for and selects a grant.

Definition of a No Cost Extension: An extension of a project period without additional funds.



The Grantee can search for their grant by entering the PI Last Name, PI First Name or Grant Number. If there are existing grants in the system that match the search criteria, ePASS displays the results of the search and the type of actions that can be executed for each grant. [Figure 3 Initiating a No Cost Extension Request](#)

After selecting No Cost Extension from the Prior Approvals dropdown and clicking on 'Go,' the Grantee/ AOR is taken to the form shown in [Figures 4 and 5](#) below.

NIH Heart, Lung, and Blood Institute - Windows Internet Explorer

http://10.32.224.109:8080/epass-test/noCostExtension?appId=8302344

Welcome Ying Yu | Help | Log Out

NHLBI electronic Prior Approval Submission System (ePASS)

Home | Prior Approval

No Cost Extension Request Submission

Link to Policy: NHLBI No-Cost Extension Request Policy | Request ID: Status: Started

Grant Information

Grant Number: 5 R21HL109874-02 | PI: David David P Naidich Naid
 PCC Code: PCC3557960 | GMS: Howard Moore
 Title: Dual Energy CT Evaluation of Airway Inflammation
 Institution: HL | PO: Hannah H Peavy
 FOA #: HL409209
 Sponsoring Institution: Institution Name
 Current Budget Date: 07/01/2012 - 11/30/2014
 Project Date: 07/15/2011 - 11/30/2014

No Cost Extension Request Submission

Select the length of the extension requested

3 months
 6 months
 9 months
 12 months

Proposed New Budget End Date: 11/30/2015

The top area of the form self-populates basic grant information along with a link to the relevant NIH policy. The form (see Figure 4 - top half of the NCE form, left) requires that the AOR select the length of the extension being requested and the system will recalculate and display the new budget/project end date. The AOR is then asked to enter the amount of unobligated funds remaining, attach an interim progress report, and ensure that IRB/IACUC assurances are valid (see Figure 5 - bottom half of the NCE form below). The system will perform a check to ensure that all information is complete at "submit request".

Figure 4 - No Cost Extension Request Form

Proposed New Project End Date: 11/30/2015

* Amount of unobligated funds remaining to complete the proposed work:
 \$ 400,456

* Provide an Interim Progress Report (For guidance, please Click Here).

 Interim Progress Report.docx

* List factors/problems that led to the need for additional time and how they can be avoided in the extension period:
 Needed additional time to complete some additional research and paper work

* Budget (For guidance, please Click Here).

 Budget.docx

* Do all assurances remain in place? Yes

Grantee/AOR Input

NIH National Heart, Lung, and Blood Institute

Help
 System requirements
 Terms of use

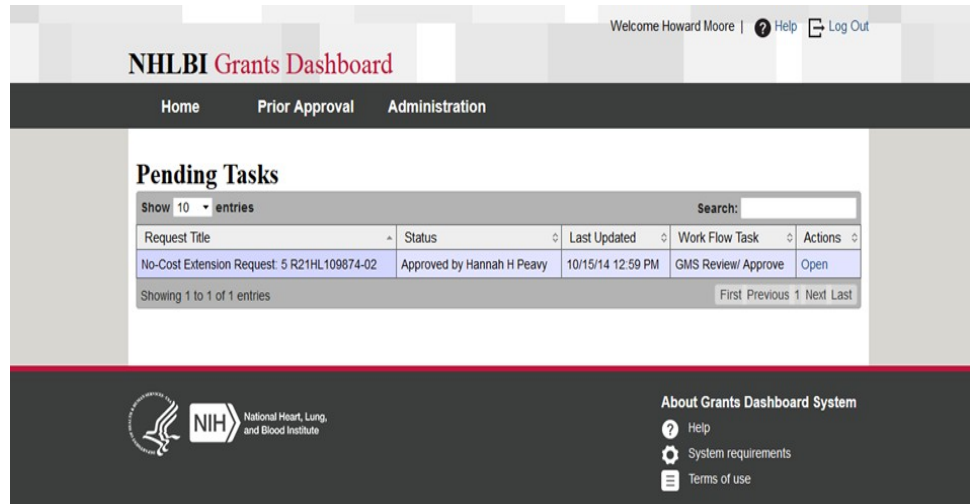
Figure 5 - No Cost Extension Form

In-house ePASS Processing of a No Cost Extension

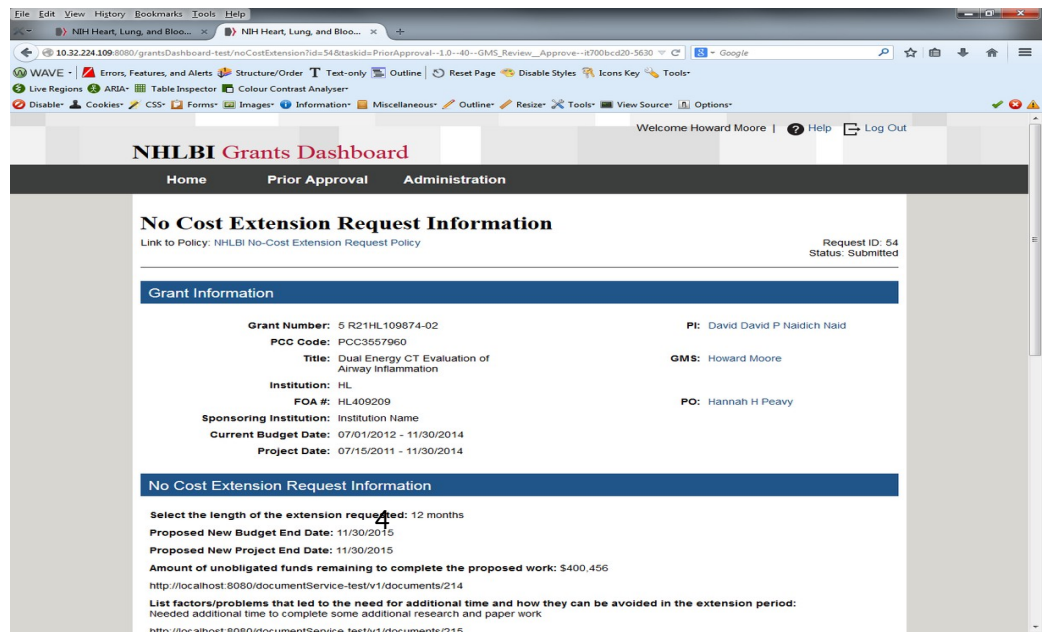
When all requirements are met, the request generates a workflow task for NIH staff associated with that grant. The Program Official (PO) and Grants Management Specialist (GMS) will see the task appear as “pending” in their home page dashboard or as an e-mail. There will be NIH login verification in order to proceed with the completion of the task.

Figure 6 - Pending Tasks for the GMS

Pending Tasks list (see Figure 6, right) the request title, status of the request, when the request was last updated, where the request is in the workflow and the actions that can be taken. The screens that follow show the path a request takes when under review by the GMS. Similar screens have been designed for the PO to complete the workflow process.



After opening the item in Pending Tasks, the GMS can view and analyze the information provided by the grantee and make a determination to Save, Hold, Deny or Approve. The PO



can review the information entered by the Grantee (see Figure 7a, below) request concurrently and both will be able to view a history of the actions taken in processing the request, the date of the action, where the action is in the workflow, who performed the action, the status of the request and any previously entered comments (see Figure 7b, below).

NCE Information

Action History

GMS / PO Decision

Figure 7a - No Cost Extension Information Entered by the Grantee

Current Status: Approved Assigned To: Grants Management Specialist

Action Date	Task Name	Action Performed By	Action Description	Comments/Justification
10/15/2014 12:59 PM	PO Review/ Approve	Hannah H Peavy	Approved	

GMS Review/ Approve

Consider the following guidelines to review the request. [Click Here](#) for guidance.

Considering the above, the request is appropriate.

Action Comments
The request is appropriate. So Approving

Is updated NOA required?
Yes

Buttons: Cancel Save Hold Deny Approve

Figure 7b - No Cost Extension Review Page (GMS View w/ history)

NHLBI electronic Prior Approval Submission System (ePASS)

Home Prior Approval

Requests
Your request has been successfully submitted.


Show 10 entries Search:

Request Id	Request Title	Request Date	Request Status	Fiscal Year	PI
54	No-Cost Extension Request. 5 R21HL109874-02	10/15/14 1:17 PM	Approved	2012	David Dav Naid

Showing 1 to 1 of 1 entries First Previous 1

After the PO and GMS reach a final

decision, a standardized response is returned to the AOR and the ePASS record is updated ([See Figure 8 below.](#))



NCE Status
Approved

Figure 8 – No Cost Extension Status Marked Approved

The request with supporting documentation will be (automatically) uploaded to the official grant file.

The workflow processes for the other types of requests are very similar with flexibility for additional roles if Team Leader or Branch Chief approvals are necessary.