

NIH FORMS H Required for Applications as of January 25, 2023

NIH will be requiring the use of updated application forms (FORMS-H) for due dates on or after January 25, 2023.

The forms have been updated to accommodate the new [NIH Data Management and Sharing Policy](#) that requires a data sharing plan to be included in applications generating scientific data.

Per the SF424 instructions, “Refer to the list of [NIH activity codes subject to the DMS Policy](#) and your **Funding Opportunity Announcement** to determine if your application is required to provide an attachment and address a Data Management and Sharing (DMS) Plan.”

The **OSP website** has information and resources available for creating Data Management and Sharing (DMS) plans: [NIH Data Management and Sharing Policy](#)

The following lists the specific changes to individual forms and instructions, along with RAPPORT proposal preparation instructions, and examples of SF424 application validation errors.

Data Management and Sharing Plan – Upload in Other Plan(s)

A new **Other Plan(s)** attachment field has been added on the following four application forms, where applicants can attach the required Data Management and Sharing (DMS) plan:

- PHS 398 Research Plan

Other Research Plan Section

10. Resource Sharing Plan(s)

11. Other Plan(s) ☐

12. Authentication of Key Biological and/or Chemical Resources ☐

FORMS-H: A single Data Management and Sharing plan must be attached, if required. See Application Guide and FOA. Recommended <= 2 pages. Typically not part of application image used for peer review; posted as separate document in eRA Commons.

Please review these sections of the **FORMS H SF424 Instructions** for the PHS 398 Research Plan:

[Section 10. Resource Sharing Plan\(s\)](#)

[Section 11. Other Plan\(s\)](#)

- PHS 398 Career Development Award Supplemental Form

Other Research Plan Sections

16. Resource Sharing

17. Other Plan(s) ☐

FORMS-H: A single Data Management and Sharing plan required if research will generate scientific and/or large-scale genomic data. Recommended <= 2 pages. Typically not part of application image used for peer review; posted as separate document in eRA Commons.

Please review these sections of the **FORMS H SF424 Instructions** for the PHS 398 Career Development Award Supplemental Form:

[Section 16. Resource Sharing](#)
[Section 17. Other Plans](#)

- PHS 398 Research Training Program Plan*
- PHS Fellowship Supplemental Form*

*NOTE: Although NIH Data Sharing Policies are not applicable to institutional training applications and fellowship applications, the Other Plan(s) attachment was added for potential future use with other plans.

Budget Instruction Changes for Data Management and Sharing Costs

- PHS 398 Modular Budget

The SF424 Application Instructions for Modular Budgets state when a Data Management and Sharing (DMS) plan is required, the Additional Narrative Justification is required:

2. Budget Justifications			
Personnel Justification	<input type="text"/>	<input type="button" value="Add Attachment"/>	<input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>
Consortium Justification	<input type="text"/>	<input type="button" value="Add Attachment"/>	<input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>
Additional Narrative Justification	<input type="text"/>	<input type="button" value="Add Attachment"/>	<input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>

FORMS-H: If a Data Management and Sharing (DMS) plan is included, you must provide this attachment and include a section titled "Data Management and Sharing Justification" that provides a brief brief summary of DMS activities and justification for their costs.

- R&R Detailed Budget Form

The detailed budget form has not changed, however, the instructions have been updated to include information about how to enter **Data Management and Sharing Costs**:

R&R Budget Form	<ul style="list-style-type: none">• Within section F. Other Direct Costs, added instructions for NIH applications submitting a Data Management and Sharing Plan noting that requested "Data Management and Sharing Costs" must be noted as a single line item• Within section L. Budget Justification, added instructions for NIH applications submitting a Data Management and Sharing Plan to include a brief Data Management and Sharing Justification
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All costs for Data Management and Sharing (DMS) must be included in one line item in **Section F. Other Direct Costs**, therefore, named DMS Personnel must not be included in Sections A or B of the detailed budget per the instructions:

B. Other Personnel

Number of Personnel	Project Role	Months			Requested Salary (\$)	Fringe Benefits (\$)	Funds Requested (\$)
		Cal.	Acad.	Sum.			
<input type="text"/>	Post Doctoral Associates	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	Graduate Students	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	Total Number Other Personnel					Total Other Personnel	<input type="text"/>
						Total Salary, Wages and Fringe Benefits (A+B)	<input type="text"/>

FORMS-H: If a Data Management and Sharing (DMS) plan is included, additional personnel costs specific to DMS activities must not be included in sections A. Senior/Key Person and B. Other Personnel. All DMS costs including personnel must be listed as a specific line item under Section F.8-17 Other.

F. Other Direct Costs

	Funds Requested (\$)
1. Materials and Supplies	<input type="text"/>
2. Publication Costs	<input type="text"/>
6. Equipment or Facility Rental/User Fees	<input type="text"/>
7. Alterations and Renovations	<input type="text"/>
8. <input type="text"/>	<input type="text"/>
9. <input type="checkbox"/> Up to 10 additional Other Direct Costs line items can be added. Examples of possible uses: Tuition Remission, Technical Assistance, and Patient Care Costs.	<input type="text"/>
10. <input type="checkbox"/>	<input type="text"/>
11. <input type="checkbox"/> FORMS-H: If a Data Management and Sharing (DMS) plan is included, you must include a "Data Management and Sharing Costs" line item covering DMS costs, including personnel costs (e.g., personnel who will be curating data for the project). If no cost incurred, enter 0. Type the string as requested (without quotation marks) and do not combine the line item with any "Other" costs.	<input type="text"/>
12. <input type="checkbox"/>	<input type="text"/>
13. <input type="checkbox"/>	<input type="text"/>
14. <input type="checkbox"/>	<input type="text"/>
15. <input type="checkbox"/>	<input type="text"/>
16. <input type="checkbox"/>	<input type="text"/>
17. <input type="text"/>	<input type="text"/>
Total Other Direct Costs	

When a DMS plan is required in an application, detailed budget justifications must include a section called, **Data Management and Sharing Justification**, indicating what costs are being incurred or indicating that no funds are being requested for data sharing.

L. Budget Justification

(Only attach one file.)

Add Attachment

Delete Attachment

View Attachment

Budget Justification is required and must cover all budget periods.

FORMS-H: If a Data Management and Sharing (DMS) plan is included, you must include a section titled "Data Management and Sharing Justification" that provides a brief summary of DMS activities and justification for their costs.

SF424 Validation Errors

RR Sub Budget – 9 Budget Periods Bug

Please note that a previous issue has reappeared after the FORMS H patch and is currently being investigated by our vendor to determine a fix.

When RR Sub Budgets map to the SF424 application, the number of budget periods defaults to 9, which means that you will see a validation errors like this:

<div> <div></div> <div>This is a required field; therefore, you must provide a response.</div> </div>	Subaward 1: Period 9: Start Date	Research & Related Subaward Budget Attachment(s) Form 5 YR 30 ATT V3.0
<div> <div></div> <div>This is a required field; therefore, you must provide a response.</div> </div>	Subaward 1: Period 9: End Date	Research & Related Subaward Budget Attachment(s) Form 5 YR 30 ATT V3.0
<div> <div></div> <div>Minimum of 1 Key Person details are required.</div> </div>	Subaward 1: Period 9: Senior/Key Person	Research & Related Subaward Budget Attachment(s) Form 5 YR 30 ATT V3.0

To remove these validation errors, navigate to the SF424 Application and replace 9 with the correct number of budget periods for the project:

▼ Research & Related Subaward Budget Attachment(s) Form

▼ Subawards

* Number of Subawards

1

* Subaward 1

Dartmouth-Hitchcock Clinic

1. Click on Sub Budget

2. Replace 9 with correct number of budget periods

Edit

▼ Research & Related Budget

▼ Budget Information

* UEI

* Budget Type

Subaward/Consortium

* Enter Name of Organization

Dartmouth-Hitchcock Clinic

* Number of Budget Periods:

9

3. Enter UEI for subrecipient

A reminder that the RR SUB Budget V1.4 (old DUNS format) is the only one that can be uploaded into the RAPPORT FP at this time and is the version to give to subrecipients for completion. Since it does not contain the UEI, you will need to enter the subrecipient UEI directly in the SF424 – item 3 above.

NOTE: **running Create/Update SF424 will overwrite the year and UEI manual updates**, so we recommend making these edits at the 2-day Submission Deadline.

PHS 398 Research Plan – Other Plan(s) Attachment

When a DMS plan is required for your application, but not uploaded, the following error will appear when you validate the SF424 application:

<div> <div></div> <div>The "Data Management and Sharing Plan" attachment must be included for this application. (NIH 010.17)</div> </div>	Research Plan Attachments: Other Plan(s)	PHS 398 Research Plan V5.0
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When a DMS plan is not required for your application and uploaded, the following error will appear:

Message	Field Name	Jump To
<div> The "Data Management and Sharing Plan" attachment cannot be submitted for this application. (NIH 010.17.2) </div>	Research Plan Attachments: Other Plan(s)	PHS 398 Research Plan V5.0

PHS 398 Modular Budget – Additional Narrative Upload

If a Data Management and Sharing plan has been uploaded in the new Other Plan(s) section of the PHS 398 Research Plan form and an Additional Narrative Justification has not been uploaded in the Modular Budget, the following error will appear:

Message	Field Name	Jump To
<div> An attachment must be uploaded under the Additional Narrative Justification attachment of the Modular Budget form to specify "Data Management and Sharing Costs". (NIH 019.8.1) </div>	Budget Justifications, Additional Narrative Justification Additional Narrative Justification	PHS 398 Modular Budget V1.2 - Cumulative

R&R Detailed Budget Form – Section F Line Item

If a Data Management and Sharing plan has been uploaded in the new Other Plan(s) section of the SF424 application, but no entry for associated costs has been entered on the R&R Detailed Budget, Other Direct Cost Line, the following error will appear upon validation:

Message	Field Name	Jump To
<div> An entry labeled "Data Management and Sharing Costs" must be entered in the Other Direct Cost section F of the R&R Budget form since an attachment has been uploaded to the Other Plan(s) section of the PHS 398 Research Plan Form (NIH 020.45.1) </div>	Other Direct Costs (Data Management and Sharing Costs)	Research & Related Budget V3.0

The same error message will appear if the exact text is not used, so be sure to call the entry, "Data Management and Sharing Costs" in the SF424 budget.

RAPPORT Budget Instructions

For Detailed Budgets, when a DMS plan is required, a single line item called **Data Management and Sharing Costs** is required, even if no DMS costs are being requested.

Per the SF424 Instructions, the Other line item must only be used for Data Management and Sharing costs and cannot include any "other" costs.

The Modular Budget Form does not contain a line item for Other costs to display DMS costs, however, the RAPPORT budget module will need to contain this Other line item to align with the description of DMS costs in the Additional Narrative Justification.

Step-By-Step Budget Module Instructions (for both Modular and Detailed Budgets):

1. Use budget categories in the General Costs drop down menu for all costs that align with these categories:

General Cost Definition

1. General costs:

Cost Type	Description	Unit Cost
There are no items to display		

Add

1. * **General cost type:**

2. ADP/Computer Services
Alterations and Renovations
Animal

3. Consultant Services
Equipment
Equipment or Facility Rental/User Fees
Materials and Supplies
Other
Patient Care
Publication Costs
Stipends
Subsistence
Trainee: Other

4. Trainee: Stipend
Trainee: Subsistence









Use individual cost categories to map amounts to the corresponding Line Item in the SF424 Budget

Equipment = Equipment Line
Publication Costs = Publication Line
Consultant Services = Consultant Line
etc.

Reserve the use of the Other category for DMS costs ONLY per the SF424 Instructions

If you select the category Other more than once, the system will add ALL of the Other lines together in the SF424 Budget, which is not compliant with the instructions

1. **General costs:**

EXAMPLE			
	Cost Type	Description	Unit Cost
 Update	ADP/Computer Services	Computer Services	\$10,000.00
 Update	Animal	Animal & Per Diem	\$80,000.00
 Update	Consultant Services	Consultants	\$1,500.00
 Update	Equipment	Microscope	\$10,000.00
 Update	Equipment or Facility Rental/User Fees	Core Analysis Fees	\$500.00
 Update	Materials and Supplies	Lab Supplies	\$600.00
 Update	Other	Data Management and Sharing Costs	\$700.00
 Update	Publication Costs	Publications	\$5,000.00
 Update	Travel: Domestic	Annual Conference Attendance	\$900.00
 Update	Travel: Foreign	European Conference Attendance	\$1,100.00
 Update	Tuition	Tuition Remission	\$12,000.00

2. Select “Other” as the General Cost Type to enter DMS costs in SF424 application budget:

a. If DMS costs are being requested, enter the Unit Cost based on the PI estimate:

Edit

1. * General cost type:

Other

2. Unit cost:

\$700.00

3. Description:

Data Management and Sharing Costs

Text added in 3. Description
does NOT map to the
SF424 Other Line Item

The text, Data Management
and Sharing Costs, needs to
be manually entered in the
SF424 at the 2-day
Deadline

i. Select ‘Yes’ to “Apply Inflation?” to automatically inflate the Unit Cost in out-years

- or -

Select ‘No’ to “Apply Inflation?” to change the cost in out-years if they differ from the first budget period Unit Cost:

4. Apply inflation?
☐ Yes ☐ No [Clear](#)

b. If DMS costs are NOT being requested, enter \$1 as the Unit Cost:

Edit

1. * General cost type:

Other

2. Unit cost:

1

3. Description:

Data Management and Sharing Costs

If your budget does not
contain DMS Costs, entering
zero in the RAPPORT budget
will not work

The zero value does NOT
map to the SF424

Enter \$1 in the RAPPORT
budget and manually change
it to \$0 in the SF424 budget
at the 2-day deadline

- i. Select 'No' to "Apply Inflation?":

4. Apply inflation?

☐ Yes ☒ No [Clear](#)

- ii. Then enter zero in the out-years on the next page, General Costs:

General Costs

	Period 1 9/1/2023 8/31/2024	Period 2 9/1/2024 8/31/2025	Period 3 9/1/2025 8/31/2026	Period 4 9/1/2026 8/31/2027	Period 5 9/1/2027 8/31/2028
Cost Type: Other	\$1.00	0	0	0	0

- c. Select 'Yes' to "Include in Indirect Calculations?":

5. Include in indirect calculations?

☒ Yes ☐ No [Clear](#)

3. Run the Create/Update SF424 activity in the FP to map your budget into the SF424 Application Budget, remembering to select the SF424 Budget Form your application uses (Detailed or Modular):

Create-Update SF424

⚠ WARNING: Selecting "OK" below will **override** any manual changes previously made directly in an already created SF424 form. Do not use this activity if you are making a correction requested by a specialist.

If this is the first time this activity is being executed, select "OK" and this activity will create your SF424 application.

If this is not the first time this activity is being executed, selecting "OK" will override any manual changes made in the SF424 form.

Select "Cancel" if you do not wish to execute this activity.

Action	Status
<input checked="" type="checkbox"/> Research And Related Other Project Information V1.4	
<input checked="" type="checkbox"/> Research & Related Subaward Budget Attachment(s) Form 5 YR 30 ATT V3.0	
<input checked="" type="checkbox"/> Project/Performance Site Location(s) V4.0	
<input checked="" type="checkbox"/> PHS Human Subjects and Clinical Trials Information V3.0	
<input checked="" type="checkbox"/> SF424 (R & R) V5.0	
<input checked="" type="checkbox"/> PHS Assignment Request Form V3.0	
<input checked="" type="checkbox"/> PHS 398 Cover Page Supplement V5.0	
<input checked="" type="checkbox"/> PHS 398 Research Plan V5.0	
<input checked="" type="checkbox"/> Research & Related Senior/Key Person Profile (Expanded) V4.0	
<input checked="" type="checkbox"/> Research & Related Budget V3.0	
<input type="checkbox"/> PHS 398 Modular Budget V1.2	

[Detailed Budget Example](#)

Create-Update SF424

⚠ WARNING: Selecting "OK" below will **override** any manual changes previously made directly in an already created SF424 form. Do not use this activity if you are making a correction requested by a specialist.

If this is the first time this activity is being executed, select "OK" and this activity will create your SF424 application.

If this is not the first time this activity is being executed, selecting "OK" will override any manual changes made in the SF424 form.

Select "Cancel" if you do not wish to execute this activity.

Action	Status
<input checked="" type="checkbox"/> PHS 398 Modular Budget V1.2	
<input checked="" type="checkbox"/> Research And Related Other Project Information V1.4	
<input checked="" type="checkbox"/> Project/Performance Site Location(s) V4.0	
<input checked="" type="checkbox"/> PHS Human Subjects and Clinical Trials Information V3.0	
<input checked="" type="checkbox"/> SF424 (R & R) V5.0	
<input checked="" type="checkbox"/> PHS 398 Cover Page Supplement V5.0	
<input checked="" type="checkbox"/> PHS 398 Research Plan V5.0	
<input checked="" type="checkbox"/> Research & Related Senior/Key Person Profile (Expanded) V4.0	
<input type="checkbox"/> Research & Related Subaward Budget Attachment(s) Form 5 YR 30 ATT V3.0	
<input type="checkbox"/> PHS Assignment Request Form V3.0	
<input type="checkbox"/> Research & Related Budget V3.0	

[Modular Budget Example](#)

4. For Detailed Budgets only, at the 2-day, Submission Deadline, after running the Create/Update SF424 activity for the last time, navigate into the SF424 Application to update the text "Other" to "Data Management and Sharing Costs":

Change Other to Data Management and Sharing Costs

7.	Alterations and Renovations	
8.	Animal	\$80,000.00
9.	Tuition	\$12,000.00
10.	Other	\$700.00

7.	Alterations and Renovations	
8.	Animal	\$80,000.00
9.	Tuition	\$12,000.00
10.	Data Management and Sharing Costs	\$700.00

Update this text in all budget periods that are requesting funds.

When NO DMS costs are requested, you only need to update the first budget period by changing the text as above and changing the \$1 to \$0:

7.	Alterations and Renovations	
8.	Animal	\$80,000.00
9.	Tuition	\$12,000.00
10.	Other	\$1.00

7.	Alterations and Renovations	
8.	Animal	\$80,000.00
9.	Tuition	\$12,000.00
10.	Data Management and Sharing Costs	0
11.		

Replace "Other" with Data Management and Sharing Costs

Replace the \$1 with 0

This is because the zeroes entered in the out-years do not map at all to the SF424 Detailed Budget:

7.	Alterations and Renovations	
8.	Animal	\$80,000.00
9.	Tuition	\$12,000.00
10.		

Out-years with zero in the RAPPORT Budget do not map to the SF424 Budget

No editing is required