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

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

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 Plan(s)
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:

> **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 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**:

- 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

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:
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.

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

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:

When a DMS plan is not required for your application and uploaded, the following error will appear:
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:

- 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)

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:

- 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)

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:
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

**Equipment = Equipment Line**

**Publication Costs = Publication Line**

**Consultant Services = Consultant Line**

**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.

### General costs:

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

   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:

   ![Apply Inflation]

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

   ![Edit Form]
i. Select ‘No’ to “Apply Inflation?”:

![Apply Inflation Option]

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

<table>
<thead>
<tr>
<th></th>
<th>Period 1</th>
<th>Period 2</th>
<th>Period 3</th>
<th>Period 4</th>
<th>Period 5</th>
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<tbody>
<tr>
<td></td>
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<tr>
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</tbody>
</table>

iii. Select ‘Yes’ to “Include in Indirect Calculations?”:

![Include in Indirect Calculations Option]

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 Activity]

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”:
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:

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