

**Washington State University
Financial Disclosure Requirements for Subrecipients
of National Science Foundation (NSF), Department of Energy (DOE), and
Public Health Service (and PHS FCOI regulated) Projects**

Disclosure Requirement: You have been identified as a subrecipient investigator/key personnel subject to [Washington State University's Financial Conflicts of Interest \(FCOI\) policy](#). Under the Public Health Service's (PHS) FCOI regulation, the Department of Energy (DOE) FCOI regulation, and the NSF Proposal & Award Policies & Procedures Guide (PAPPG) requirements, **you must disclose your significant financial interests (SFI) on the attached Form 2 (include those of your spouse/ domestic partner, dependent children, and other dependent relatives living in your household that are directly related to the research you are conducting in collaboration with Washington State University)**. If more space is needed to complete this Form, please attach additional pages. All information will be kept confidential.

The primary goal of this process is to promote objectivity by establishing standards that provide a reasonable expectation that the design, conduct, and reporting of research funded under PHS, DOE, and NSF regulated grants, cooperative agreements and contracts will be free from bias resulting from Investigator FCOIs.

Disclosures must be made:

- When submitting a proposal related to PHS, DOE, or NSF regulated funding.
- Within 30 days of discovering or acquiring (e.g., through purchase, marriage, or inheritance) a new SFI. This includes any disclosures that arise between the time the proposal is submitted, and an award is made.
- Annually, during the period of award.
- When travel is reimbursed or sponsored (e.g., travel expense paid on behalf of the investigator and not reimbursed to the investigator so that the exact monetary value may not be readily available), related to the investigator's WSU research work (see Question 4 on page 2).

Part 1: Once you complete this 2-page Form, please send to the WSU Office of Research Support and Operations at orso@wsu.edu.

Part 2: Training Requirement: You also are required to complete the CITI Online Conflict of Interest Training module **before engaging in research related to this DOE or PHS regulated award and once every four years thereafter**. This Online training will take some time to complete, and you will need to email the completed training receipt to our Office of Research Support and Operations at orso@wsu.edu.

To take this training, click here: <https://about.citiprogram.org/series/conflicts-of-interest-coi/>

For walk-through directions please click here:

<https://support.citiprogram.org/s/article/updated-guide-to-getting-started>

Once complete send a copy of your training certificate to orso@wsu.edu



Form 2: Subrecipient Disclosure of Significant Financial Interests (SFI)

Project Title:

Name of Subrecipient Entity:

Name of Discloser completing this form:

Definitions:

Remuneration includes salary and any payment for services not otherwise identified as salary (e.g., consulting fees, honoraria, paid authorship).

Equity interest includes any stock, stock options, or other ownership interest as determined through reasonable measures of fair market value.

Family includes the investigator's or research employee's spouse/domestic partner, dependent children, and other dependent relatives living in his or her household.

When applying for or using NSF, DOE, or PHS (or PHS regulated) funding, the financial interests of the Investigator and Investigators Family that reasonably appears to be related to this WSU subcontract must be disclosed:

1. Did you receive remuneration from a publicly traded entity in the 12 months preceding this disclosure, or do you have any equity interest in the entity as of the date of this disclosure, when aggregated, exceeds \$5,000 or 5% ownership (% ownership required for NSF disclosures)?

No Yes If yes, provide name(s) of business entity, amount, and % ownership, if applicable:

2. Did you receive remuneration from a non-publicly traded entity in the 12 months preceding this disclosure, when aggregated, exceeds \$5,000, or did you and/or family hold any equity interest in a non-publicly traded entity?

a. Remuneration that when aggregated exceeds \$5,000.

No Yes (if Yes, provide name(s) of business entity):

b. Any equity interest:

No Yes (if Yes, provide name(s) of business entity):

3. Do the values in Questions 1 and 2 above include any intellectual property rights and interests (e.g. patents, copyrights), held by the investigator and/or the investigator's family, upon receipt of income related to those rights and interests?

No Yes (if Yes, provide name(s) of business entity):

4. Has your organization sponsored or reimbursed you for any travel you have taken that is related to your work for Washington State University? Note: You are not required to disclose to travel that is reimbursed or sponsored by a Federal, state, or local government agency, an Institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an Institution of higher education.

No Yes If yes, report the name of sponsor/organizer, purpose, destination, and duration of trip:

5. Additional details about reported financial interests:

Certification:

I certify, to the best of my knowledge, that the information reported herein is complete and accurate.

Signature of Disclosure

Date