



MANAGEMENT PLAN

CONFLICTS OF INTEREST/COMMITMENT

A management plan is required whenever there is a potential for a conflict of interest or commitment, or the perception of such a conflict. A project-specific management plan must be approved for any associated sponsored research project. The management plan should be submitted with the completed Form 13010 Disclosure of Conflict of Interest/Commitment.

APPLICANT

Name _____ Title / Rank _____ Phone _____ E-mail Address _____

Date Submitted: _____

Is this plan related to a specific sponsored project? Yes No

If yes, identify the project _____

POTENTIAL CONFLICT(S)

Describe in detail the nature of the potential conflict.

ACTIONS TO MANAGE OR REDUCE POTENTIAL CONFLICTS

DISCLOSURES (check all that apply):

- Disclosure to the university and approval by university officials.
- Disclosure of significant financial interest in publications and presentations.

MANAGEMENT OF POTENTIAL CONFLICTS IN SPONSORED PROJECTS (check all that apply):

- Applicant will have no involvement in related sponsored research.
- An independent co-principal investigator will be appointed (not subordinate to faculty-owner, nor associated with faculty-owned company, or in any way susceptible to inappropriate influence). The applicant will serve as co-principal investigator only. The independent co-principal investigator will be: (Provide name, rank, department)
- Applicant remains as principal investigator with his/her department head/director retaining fiduciary oversight for the contract. Department head/director will be shown as co-principal investigator in Banner.
- Independent research oversight is required and the activity will be monitored by the below reviewer(s). Certification of review and compliance is required at least annually.

_____ Name	_____ Name	_____ Name
_____ Rank/Title	_____ Rank/Title	_____ Rank/Title
_____ Department	_____ Department	_____ Department
_____ Signature	_____ Signature	_____ Signature

Research plan will be modified to remove any potential conflict. Provide explanation:

Disengagement from company involvement with project.

PROTECTION OF INTERESTS OF STUDENTS, POSTDOCTORAL TRAINEES, OTHER UNIVERSITY EMPLOYEES:

- Yes No Will students, trainees, and/or other university employees be employed by related project/company/faculty member's financial interest?
- Students, trainees, and other university employees must be fully informed about source of funding, the nature of the faculty member's personal interest or involvement, and, if relevant, any agreements concerning data collection, copyright, or patent protection arising from the research.
- Graduate students must meet with graduate program chair, department head or institute director, and associate dean, then sign voluntary agreement.
- Faculty member with significant financial interest may not serve as sole advisor to graduate student funded by related project, company, or external activity. Co-advisor of equal or greater rank will be (Provide name, rank, department):
- Oversight of staff or key personnel on project may not be the sole responsibility of faculty member. Additional oversight will be provided by higher level academic administrator. (Provide name, rank, department):

PROTECTION OF HUMAN SUBJECTS (check all that apply)

- Yes No Will related research involve human subjects?
- An independent co-principal investigator or another individual with no connection to faculty-owned company/financial interest must oversee all aspects of human subject participation. (Provide name, rank, department):
- Faculty member's significant financial interest must be shared with human subjects of research study.

EXPLANATIONS

Use this space to further explain the chosen oversight mechanism(s) which are intended to address the potential conflict(s).

APPLICANT AGREEMENT

I agree to comply with this management plan in order to resolve the conflicts identified herein and will submit reports at least annually providing evidence of compliance with agreed upon provisions.

Applicant

Date

APPROVALS

I approve this management agreement for the mitigation of potential conflicts of interest/commitment.

Department Head/Director

Date

Dean/Vice President

Date

Review and Recommendation by Designated COI Officer:

Internal Use Only

- Recommend plan be approved as submitted.
- Prior approval by the Board of Visitors is required for contracts for research and development and commercialization of intellectual property.
- Recommend plan be approved with the following amendments:

- Disclosure represents an irresolvable conflict of interest. Project cannot proceed.

Designated Conflict of Interest Officer

Date

Approval from Office of the Vice President for Research:

Date