



Financial Conflict of Interest Management Plan

Name: \_\_\_\_\_ College/School: \_\_\_\_\_

Date Submitted: \_\_\_\_\_ Dept./ Unit: \_\_\_\_\_

1. Please provide documentation identifying the business enterprise or entity (company involved and the nature and amount of the financial interest.

Information already provided on a Significant Financial Interest Disclosure Form.

Documentation Attached.

1a. To your knowledge, will any disclosed significant financial interest reasonably appear to be affected by the research, educational, or service activities funded, or proposed for funding by an external sponsor; or will any disclosed significant financial interest in an entity whose financial interest reasonably appear to be affected by the research, educational or service activities funded, or proposed for funding by an external sponsor?

Yes

No

Please Explain:

2. Are you an officer of the company in which you have a financial interest (hereafter the "company")?

Yes

No

2a. If yes, what are your responsibilities, and how much time do you expect to dedicate to the company?

## Financial Conflict of Interest Management Plan

3. Are you a member of the governing board of directors for the company?

Yes

No

3a. If Yes, describe the general nature of the board and your responsibilities as a board member.

4. Does the company plan to submit proposals for federal funding?

Yes

No

4a. If yes, is it for research which could be performed in your laboratory at the University?

Yes

No

4b. If yes, please provide a brief explanation of why it should not be performed by the University.

5. Do you intend to employ any undergraduate or graduate students at the Company?

Yes

No

5a. If yes, for each student, please describe: a) the nature of the work to be performed, b) how the work relates to the student's studies or thesis, and c) the number of hours anticipated work per month.

6. Does the company intend to sponsor any work at the University?

Yes

No

## Financial Conflict of Interest Management Plan

If yes, will it be necessary or preferable for the work to be performed in your laboratory?

Yes

No

Please explain.

7. Describe the significance of the research to any commercial product that the company will sell or manufacture.

8. Will you agree to disclose your relationship in company in any publications, presentations, and papers you submit regarding the research, and abide by all submission requirements from journals or organizations?

Yes

No

Note: Disclosure in all publications or presentations is required when disseminating results of any clinical trial study.

9. If you and/or your cognizant University administrator believes that research oversight is required (please see attached guidelines), please name a colleague, preferably within your department or college, who would be willing to review your research protocol for objectivity.

## Financial Conflict of Interest Management Plan

10. If you and/or your cognizant University administrator believe that research oversight is required (please see attached guidelines), please name a colleague preferably with your department or college, who would be willing to provide oversight during the duration of the research project to ensure adherence to protocol and other sound scientific practices.

11. Have you obtained the concurrence of the person(s) listed in numbers 9 and 10 above to serve in the capacity of reviewer/overseer?

Yes

No

12. Do you intend to use any University facilities on behalf of the company?

Yes

No

12a. If yes, please list each piece of equipment (including property tag number) which will be used, the nature and extent of the use, and the physical location of the equipment (i.e., name of the building and room number).

12b. Please attach a list of the equipment use charges obtained from your cognizant academic administrator.

## Financial Conflict of Interest Management Plan

13. Please list all University clerical and/or service staff support you intend to utilize for or on behalf of your Company.

14. Do you hold stock in the company? If so, state the number of shares, the percentage share ownership, and whether they are subject to the following: 1) anti-dilution provisions; 2) registration restrictions; or, 3) shareholder's agreements.

15. As set forth in the guidelines, please discuss the potential effect your research may have on the value of your stock. If applicable, identify appropriate controls governing the trading or stock to avoid a conflict of interest.

16. Are you intending to or do you now serve as a consultant to the company?

Yes

No

16a. If yes, please describe the general nature of your consulting responsibilities, and attach a copy of the agreement and its provisions governing intellectual property.

\_\_\_\_\_  
Faculty Member/ Employee      Please Print

\_\_\_\_\_  
University Administrator      Please Print

\_\_\_\_\_  
Signature      Date

\_\_\_\_\_  
Signature (Dean or Director)      Date