

Management Plan Examples

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All Management Plans

Include:

- You are to disclose your role and interests in [“Company Name”] in any publication or public presentation that either references results derived from the above referenced grant/contract, or that directly references support by the above referenced grant/contract (i.e. if you list the grant/contract award number you must also make the disclosure).
- You are reminded that consulting activities must be consistent with the Provost’s guidelines for outside consulting work, which includes receiving approval from your Dean prior to initiating the work.
<http://www.stonybrook.edu/commcms/provost/resources/consult.html>
- Investigators must comply with SUNY and RF intellectual property and patent policies and procedures.
<http://research.stonybrook.edu/policies/ip-and-patent-policies>
- You are required to report any changes to the information provided in your Investigator Disclosure Form within 30 days of discovering or acquiring a new interest.
- These requirements are in addition to those mandated by applicable professional organizations.

Management Plans where there are human research subjects

Include:

- Although you may briefly explain the various clinical and/or research options available to a patient given his or her clinical condition, you are not otherwise permitted to specifically recruit or consent study participants for the study in question.
- The consent process and consent documents must disclose the conflict of interest that you have with [“Company Name”]. The IRB Consent form templates contain language to be used.

Management Plans where there are students

Include:

- [Dr. Y] will serve in the role as student advocate to monitor the student's academic progress and to be available to assist the student with any questions or concerns regarding their participation in the above referenced grant/contract.

Management Plans that require a monitor

Include:

- The University has appointed [Dr. Y] as an independent and disinterested Compliance Monitor for the [Project] who is reasonably skilled in the design and conduct of X experiments, especially in the discipline of X, to monitor and oversee the conduct of the research under the agreement. The role of the Compliance Monitor will be to:
 - monitor the conduct and performance of the research;
 - to validate that the research is being performed in a professionally responsible manner by certifying in writing that each milestone, as set forth in the contract's scope in the work, are complete and were performed, documented, and reported in a professionally responsible manner; and
 - to report such progress to [Name, Title, University, or his/her designee].
- [Name, Title, University, or his/her designee] shall review and accept the certification of the reviewer before any data or other information generated in the course of the project is disclosed to the Company.

Management Plans where the sponsor is the Investigator's faculty startup company

Include:

- Any use of University Resources by or for ["Company Name"] must be authorized by an independent and disinterested agent of Stony Brook University in writing and for consideration at fair market value.
 - In this context "University" means any Stony Brook University, SUNY, Research Foundation for SUNY, campus auxiliary services, Stony Brook Foundation, and any other SUNY-affiliated entity.
 - "Resources" means
 - a. financial support, funds and grants administered by the University;
 - b. inter-institutional collaborations facilitated by the University;
 - c. equipment, facilities, services, laboratories, or space;
 - d. computers and computer or communications networks not publicly or routinely-available;
 - e. research, clinical, or other scientific instruments;
 - f. time spent by University faculty, students and staff, including secretarial, clerical, administrative staff, and research and teaching assistants;
 - g. confidential information;
 - h. Inventions and other proprietary or intellectual property owned by the University; and
 - i. any privileged access that results from [Dr. X] affiliation with the University.

- [Dr. X] shall not use her position at Stony Brook University to influence, directly or indirectly, any contractual negotiations between the University and [Company X].
- [Dr. X], with any University collaborators, shall submit a New Technology Disclosure covering any work performed to date using University resources that will inure to the benefit of [Company X]. [Dr. X], with any University collaborators, shall file new technology disclosures for any future developments created with the use of University resources, unless this requirement is waived in a writing signed by both parties (e.g., within an incubator client agreement or facilities use agreement).
- For any future research and/or testing proposed to be performed at the University for the benefit of [Company X], Stony Brook University may engage an independent reviewer who is reasonably skilled in the design and conduct of the work to be performed, to monitor and oversee the conduct of the research, for which [Company X] shall compensate Stony Brook University at fair market value.
- [Dr. X] acknowledges that his/her employment relationship with Stony Brook University is in no way dependent or contingent upon any action or performance by or for [Company X]. [Dr. X] also certifies that his/her compensation by/from the Company is neither dependent nor contingent upon any action by the University.

Other terms that may be Included in Management Plans

- Modification of the research plan;
- Disqualification from participation in the portion of the externally funded research that would be affected by the significant financial interests;
- Divesture of significant financial interests;
- Severance of relationships that create actual or potential conflicts;
- Removal of investigator as Principal Investigator/Project Director.