

ADDGENE, INC.
MANAGEMENT PLAN FOR FINANCIAL CONFLICT OF INTEREST
A PLAN MUST BE DEvised PRIOR TO RECEIPT / EXPENDITURE OF FUNDS

Conflicted Party Information

Name:	Organization:
Funded Project Title:	Job / Role Title:
SFI Disclosure Tracking No.:	Reviewed By:

Attachments (tick all applicable)

<input type="checkbox"/>	Copy of the completed and signed Significant Financial Interest Disclosure Form
<input type="checkbox"/>	Copy of the completed and signed Review & Assessment of Financial Interests Disclosure Form
<input type="checkbox"/>	Other:

Guidelines

To be completed by Addgene's Financial Conflicts of Interest Team in conjunction with the affected Addgene technical and/or financial teams, and to be reviewed and approved by members of Addgene's Executive Team and/or Board of Directors (if needed). While no two Management Plans will be exactly alike, the following conditions or restrictions may be imposed upon the individual or project to eliminate, reduce and manage the financial conflicts interest of the named individual above.

- Public disclosure of financial conflicts of interests (FCOI) in publications and oral presentations (i.e. when presenting or publishing the research; to other employees working on the project; to Addgene's Executive Teams; to Addgene's Board of Directors).
- Appointment of an independent monitor or oversight body capable of taking measures to protect the design, conduct, and reporting of the research against bias resulting from the FCOI.
- Modification of the research plan.
- Double blind data analysis.
- Data analysis and interpretation by independent reviewers or review of raw data and manuscripts by an external independent reviewer.
- Protection of the academic rights and interests on behalf of any collaborators involved in the project.
- Change of personnel or personnel responsibilities, or disqualifications of personnel from participation in all or a portion of the federally funded research.
- Reduction or elimination of the financial interest (e.g., sale of an equity interest).
- Severance of relationships that create the financial conflicts

Management Plan

In the space below, describe the steps taken to manage the named individual's financial conflict of interest. The Management Plan should at least include: the role and principal duties of the conflicted Investigator or Senior / Key Personnel; the conditions of the Management Plan; and any other information relevant to the management of the FCOI.

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Monitoring Investigator or Senior / Key Personnel Compliance with Management Plan
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Name of Appointed Monitor:

Description of Duties & Responsibilities of Monitor:
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Safeguarding Objectivity

Specifically describe how the conditions of the Management Plan above will safeguard objectivity in the research project.

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Other (attach any additional sheets if necessary)
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Other documentation that may be included in the FCOI Management Plan (if applicable):

- Intellectual property developed / utilized by the person that is or may be owned by a third party entity.
- Documentation of any arrangements with a third party entity that restrict publication or presentation of research reports and other scholarship.
- Documentation of an impartial third party to develop and execute purchases from the third party entity, if the Investigator intends to purchase items from the third party entity. The third party should not be under the Investigator's supervision or control.
- Any other Addgene activities and/or sponsored projects that could reasonably be seen as overlapping with activities or projects for which the third party entity receives benefit. If overlap is determined to exist, then the Management Plan should address how the overlap will be managed, such as the Investigator informing the sponsors of overlapping projects.

- Any formal Addgene agreement that is related to the third party entity.

Agreement by Conflicted Party

I have read, understood and agree to abide by the Management Plan set forth above. I understand that a copy of this approved Management Plan will be held by Addgene's Financial Conflicts of Interest Team who will report all instances of FCOI to PHS, NSF or other sponsors.

Signature: _____ Date: _____

Printed Name: _____

NOTICE: The information provided herein may be released or transmitted to the sponsor, including federal agency representatives, and according to Addgene's status as a nonprofit organization, may also be released to the public upon request. These records will be retained for 3 years after termination of this publicly funded research or until resolution of any action by the sponsor, whichever is greater.

Approval of Management Plan

We, the undersigned, have read, understood and will carry out the Management Plan set forth above.

Immediate Manager / Supervisor:

Signature: _____ Date: _____

Printed Name: _____

Management Plan Independent Monitor:

Signature: _____ Date: _____

Printed Name: _____

Addgene FCOI Team Representative:

Signature: _____

Date: _____

Printed Name: _____

Executive Director:

Signature: _____

Date: _____

Printed Name: _____