

CONFLICT OF INTEREST DISCLOSURE AND MANAGEMENT PLAN FOR (NAME)

Background

1. (NAME) is a Research Professor in the Department of (DEPT.) and is responsible for research as befits their position.
2. In addition, Dr. (LAST NAME) holds a (%) equity position in, serves on the board of directors of, and is an employee of (MOUSE INC.) corporation, whose Montana address is (ADDRESS)
3. In the course of their university duties, Dr. (LAST NAME) has developed technologies related to (vaccine adjuvants). In accordance with Board of Regents and Montana Tech Policy, the university owns all rights and interests in such technologies. The patents are listed below:
 - a. (PATENT TITLE) US Provisional Patent Application No. (USPTO SERIAL #), filed (FILE DATE); (PCT/US2019/019012) (FILED 2/21/2019).
 - b. (PATENT TITLE) US Provisional Patent Application No. (USPTO SERIAL #), filed (FILE DATE); (PCT/US2019/019012) (FILED 2/21/2019).
 - c. (PATENT TITLE) US Provisional Patent Application No. (USPTO SERIAL #), filed (FILE DATE); (PCT/US2019/019012) (FILED 2/21/2019).

Management of Potential Conflicts

Because of Dr. (NAME) interests in (COMPANY) there is the potential for conflicts of interest and conflicts of commitment. To provide appropriate management of the potential conflicts, Dr. (LAST NAME) agrees to safeguards as follows:

1. (DATE) she/he received approval from the Board of Regents in accordance with Policy 407, allowing hers/his participation in (COMPANY) as described above.
2. He/she agrees he/she will fully complete all of his/her faculty and research assignments, his/her work for (COMPANY) will in no way interfere with his/her Montana Tech work, and he/she will use no university resources in the conduct of his/her work for (COMPANY) unless it is in accordance with Board of Regents Policy No. 401.2 (Faculty Consulting) and Montana Tech Faculty Staff Handbook and the fillable consulting form.
3. He/She will disclose his/her interest in and the nature of such interest in (COMPANY) in any grant proposals seeking funding for further development or improvement of the technology licensed by (COMPANY).
4. In his/her sponsored research for Montana Tech, he/she will allow no bias towards results which benefits (COMPANY) or results which may be to the detriment of any competitors.

5. If in the future he/she wishes to solicit or apply for any funds through Montana Tech, either from sponsored research or other funds, which will be used to support development related to the technologies and intellectual property noted above, or to any Montana Tech intellectual property licensed to or owned by (COMPANY), Dr. (LAST NAME) will develop a budget and budget narrative that clearly delineates the scope of work in the grant proposal between the University and (COMPANY) and submit the proposal for approval from the VCR prior to submitting the proposal, or performing such work.

6. He/She will abide by Montana Tech's policies concerning disclosure of any intellectual property developed in connection with his/her work for Montana Tech. He/She will not reveal the results of his/her work, nor use technology developed through his work to benefit (COMPANY) unless it is duly licensed in accordance with Board of Regents and Montana Tech's policies and procedures.

7. If (COMPANY) wishes to use Montana Tech's facilities for testing, such testing will be performed by Montana Tech only if it does not interfere with Montana Tech research and only for standard Montana Tech rates for such testing. If (COMPANY) wants to sponsor research performed by Montana Tech, it will do so only under standard Montana Tech sponsored research policies and procedures.

8. He/She will disclose to Montana Tech his interest in (COMPANY) proposes to sell any equipment to Montana Tech. Further, he/she will disclose his/her interest to the sponsoring agency in any purchase of (COMPANY) equipment included in any grant proposal.

9. Annually, by September 30th, he/she will file the annual Conflict of Interest Disclosure Statement and Certification with the Vice Chancellor for Research.

10. He/She acknowledges that Montana Tech will monitor and evaluate this plan as well as policies related to it, and, at any time should Montana Tech determine, in its sole discretion, that the plan is not sufficient to guard against actual or apparent conflicts of interest or commitment or otherwise not in the interests of Montana Tech, it may revise or terminate this agreement.

Acknowledgement and Agreement

By signing below, I acknowledge my intent to comply with the safeguards laid out in this Plan.

_____ Date: _____
Dr. (NAME)

By signing below, I certify that I have reviewed this Conflict of Interest Disclosure and Management Plan.

_____ Date: _____
Dr. Angela D. Lueking
Vice Chancellor for Research & Dean of the Graduate School

Research Compliance Review

This Conflict of Interest Management Plan meets all the requirements of Board of Regents Policy 770: Conflicts of Interest, Montana Tech's Conflicts of Interest and Financial Disclosure, and Montana statutes regarding conflict of interest and ethical standards for state employees (§2-2-104, §2-2-105, §2-2-121, § 2-2-201, and §20-25-109, MCA), and BOR Policy 407: University System Employee Equity Interest and/or Business Participation.