



Office of the Vice President for Research

Conflict of Interest Committee

## UNIVERSITY OF NEW MEXICO

### CONFLICT OF INTEREST IN RESEARCH PROCEDURE

Under POLICY: Conflict of Interest Waiver for Technology Transfer, FH Policy E:80

UNM's FHB Policy E80: Conflict of Interest Waiver Policy for Technology invokes the involvement of the UNM COI Committee in decisions pertaining to requests for such a waiver. The steps involved in the process are:

1. STC.UNM will notify the Office of Research & Compliance when a UNM official or employee from UNM Main or Breach Campus proposes to establish a substantial interest in a private entity that contracts with UNM. STC.UNM will determine whether the interest at issue constitutes a substantial interest.
2. The Office of Research & Compliance will contact and instruct the UNM official or employee on the process under E:80 which is:

An officer or employee seeking the permission of the President in accordance with this policy

1. shall do so prior to conducting or formally offering to conduct business with the University
2. shall submit **a written application** for such permission to the President, with copies to the UNM Conflict of Interest Committee [the Committee], and to the Provost (main campus) or Vice President for Health Sciences (HSC). The application shall contain the following:
  - a. A detailed description of the officer or employee's interest in the private entity
  - b. A full description of the nature of the proposed undertaking.
  - c. Factors that demonstrate that the proposed undertaking will benefit the economy of the State of New Mexico.
  - d. Factors that demonstrate that the proposed undertaking will not adversely affect research public service or institutional activities at the University.
  - e. Factors that demonstrate the officer's or employee's interest in the private entity or benefit from the interest, will not adversely affect any substantial interest of the State of New Mexico.
3. The written application for waiver and any supporting documentation shall be submitted by the UNM official/employee to the offices listed in step #2 above and to the COI-D Committee Chair.



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4. The Office of Research & Compliance will notify the President's Office of the commencement of the COI Committee review and the date by which their decision should be issued (within a month of the receipt of the application).
5. The Office of Research & Compliance will assemble the information for the Committee's review, circulate it to the Committee, and assist the Committee with their questions or concerns.
6. The application and the Committee's recommendation signed by the Committee Chair will be sent to the Office of Research & Compliance (OCR). OCR will forward the application and the recommendation to the President. The COI-C Chair is to be included on this communication. OCR will notify STC.UNM and the involved UNM official/employee of the application's submission to the President's Office for consideration. Should the President have follow-up questions for the Committee, OCR will help facilitate that conversation.
8. The President's Office will communicate the President's decision to the employee/official, STC.UNM, the COI Committee Chair, and the ORC.