





6DQFWLRQV  
1RWLILRDMWLHRSRQVRUV  
\$SSOLFBEHGHKDOHV

# Background

7 K B X U S R W K L R O L W S U R W H L Q W H W U D X W U H V S H F W H [ L F R F K  
L W F D G F R P P X Q Q M W H V H D F W F K Y K V R O V F Q W H W R C H G E O H  
F R P S O Z D W S S O L F D E Q R W K H U X O D H T R U U D H G A S U R W H F W  
L Q Y H V W Z I K J P D V E R H U [ S R W I R B Q I R I L Q W M U W X W W G R I Q V W R G R U P  
L Q Y H V W R L W B G I R U F O U R H A X S U R H Q V L E L O L W L H V

# Interim Policy

## 1. Applicability

### 1.1. Overall Policy

7 K L S R O D S S O M P O Q Y H V W L Q E O V R L Q J I O Q Y H V W L K H W R U V  
S R O E R Y B B W D X S B W H F R V Q L B R D F W M B U M R W L D M K H G  
S D U W L F L O S D W H R B Z K L F E K F O X G H V  
5 H V H D X U F E H R G W K U R X J K L Q F O R X W Q S B B V R U H G  
I X Q G L Q J  
5 H V H B B B Q G X P W F H G H J D U R G B B G V Q J  
1 R Q V S R Q M R H F R G Q F X R H M D H F G S E X I V O 7 H P S O R \ H H V

### 1.2. Disclosure Requirements

7 K F R Q I O L Q W B U M F O R H T X L L H U D I S S I O N O Q Y H V W L K J R D W R U V  
Z R U R N Q  
6 S R Q V I R O U J H G V H D U F K  
1 R Q V S R Q O 7 R U H H G M D K L E W  
+ X P D V Q E N I H F W D U F K  
\$ Q L P D X C E N I H F W B U F K  
5 H V H D X U F E H R G R U F D Z O I U R L P Q W H U T Q D O  
V R X U E D H F H G X E P L R V D S R I Q S R V D O

## 2. Definitions

### 2.1. Conflict of Interest

& R Q A R L F Q W F H B D W L W X D W M L R F Z L D M V H G Y H V W L J D W R U V  
S D U W L F L O S D W H R B Z K L F U M H D V R Q S E H D O O F W R X D O  
S R W H E Q W L R O W  
7 K H Q Y H V W M L J D Q L B B D Q I F O V E B K O L V H F Q A G O \  
V L J Q L ; B B E W W G H V I E R Q G R X L F H S R B I W L T Q U H V H D U F K  
D F W L R I W L H V  
7 K H Q Y H V W M L J D X F R A K G R Q H F Q A G O J Q L ; F I B R S W O R P L V H  
W K S I U B I H V F R L R R Q L D V O R B Q O W J L R O Q F H D P S G M K H  
W \ S H I W L W X D M F D V R P Z L W W K Q H ; Q L Q E B X G H  
+ R O G D Q J R H F Q G L L Q H F H O B X W M Q Q M L K D W  
F R Q G E X W L Q O O V F O R V I H O V W H I B 7  
U H V H R D U H F K Y D L G L U H F W H R S I D U W O J X V W H H  
P D Q D R I H B S O R Q X H D K Q W L W \  
8 Q G H U R D M L H Q U O Z Q H V H D V R I F U X Y K H H V H D U F K  
R B W Q H I U R G D R X W M Q Q Z L W M K R S X W R I Y D O  
1 0 7 R W K U H V H D S U R F O X V R U  
' L U H F S V R L Q H I C H W I H E D U F T X Z D U R I P O 7 D Q G  
W R Z V U Q Y H V W R X V W B O R L O W X W M Q Q V L W \  
L Q K L F K K Q Y H V W D D J D O D R Q L F Q V E U H V W  
7 U D Q V P W B Q X Q M Q Q Z L W W R K X S  
F R Q V R H E Q W K H X Z L I R S H U V R D Q L O S R Q V R U H G  
Z R U S N U R G X F W X O W H U H B B R U G V R U P V D K V L R Q

D UHRJW Q H P D G G M D L O T B E G R H V Q W F H V V D U L O \\  
S U H F O R X G W E H D W Z M V F X O W M D U D Q H S W K O F U  
R W K H I Z O H [ L F H R F 8 Q L Y H 5 J H / L M G D B N  
& R U S R U D D W L K R O X I B R Q W P U D L W U L W I R  
F R Q A R L L F Q W M U W X V W L R Q V  
8 V L Q U L Y L I O C H J R H U G P D F V T I X R Q R Q Q H Z F L W L K R Q  
W K I Q Y H V W L S I B O A R R O U U I S V H D F U V F I K Y L W L H V  
S H U V J R Q R O M R X J Q D X W K S X W L S J B I G H Y L O H J H G  
L Q I R U P L D Q F I O R K E G I L S E B O V R O Q I F X U H L F A R U G V  
R L Q G L Y I D G X V D L O F R L S V W U H I L G X Q U R I P H I Q F W H V  
D F W I S R Q W Q E B D L H M R J U R Y H U Q R S I H H Q V D V Q L Q R Q V  
N Q R Z O R H I G J H W K F S R U P L J U R D P H O H R F W L R Q  
F R Q W U R D F X A E F F U R Q W O G F Y D R S F E M L D O  
D Q Q R X Q F H P H Q W V  
1 H J R W I R D V Q A Q J V Q H Q J R W R E R V Q V Q D F W V  
U H O V W K I Q Y H V W L S I B O A R R O U U I S V H D U F K  
E H W Z I H F Q Q R G X W M Q Q M Z M W Z K I V F V K H  
L Q Y H V W D E V B O A R X U O T X L R O U G X F U B I O D W L R Q V K L S  
\$ F F H S J V L D Q M R M S H H I V D B U R H P Q W Z M W L K V  
Z K L F 7 G R R D D F R Q G E X F W L Q R R Q Q H F W L R Q  
Z L W B R Q M R O U H I S V H D U J F V K H Q G D Q V R U W L H V  
V S H F D D B U R P S O R R M H K V S R Q X V R G H U  
F L U F X P W W K D G V M R F L D I E Q I Q W H U D S U C H W H G  
D W W W I R S A X M O X F H H F L S L O M K H R V Q G R M F K V H L U  
G X W L H V

**2.2. Investigator**

, Q Y H V V P I H J D O M S H U L Q E Q S B I O W L K I B V S R U L Q Q F Y S D V Q G D W R U  
D Q R W K S H U V L R Q F O K G F L X Q O W M D Q G W X G Z H C R V V H V S R Q R W L K E H H  
G H V I E J R Q G R X F H S R B I V L T Q U H V H \$ O N E Q G L Y L I G X S D R O R D L E O H  
W D W I N F R V X K O D G M L J Q L H J F I D F R O W K U H H V H O H U V F I K R Q G R X F W  
U H S R U V R L Q V L G E H D B Q Y H V M I Y J D O M R O U G L Y G L G E X K O Y H  
V R B E U L P D H U X S R Q I R I W E V H O R M V K U H H V H D U F K

**2.3. Non-NMT Investigator**

**2.3.1. Non-NMT Investigator means any person who is:**

5 H V S R Q R W E G H V I E J R Q G R X F H S R B I V L T Q U H V H D Q G K  
( P S O R E H D G E I Q V R L W W K H K U D O Q Z R U N S X Q U V W I R Q W  
V X E D Z D W Q R W Q M Z I R V \ N D Q Q G H S H F Q G M O R D F W R U  
F R O O D E R F U D K W H F Q U E M P / S I O E \ H G 7

**2.4. Significant Financial Interest**

6 L J Q L ; F O D D Q V F Q V G H B D W \ W R P Q Q H W D O E X H O R Q V L K H  
L Q Y H V V Q V K W S B R V C H R P H S D U L V Q G H U S H G E B H Q Q U H Q  
L Q F O X E C O R D L P I W R H G  
6 D O D B \ D G V W H S V U P H I Q W H U Y V L K E N F R Q V X I Q W L Q J  
R K R Q R U X Q O W M K I M U H J S H F W R I R G W D O R O H R V M U K H  
Q H [ W P R Q W K H Q J U H J B W W I G Y H V V Q V K W S B X V H  
G R P H S D U L V Q G H U S H G E B H Q Q U H Q

( T X L V Q W H U X H M W R V W R I S N B B Q M R Z Q H U V K L S  
L Q W H X Q C O M M M R R X I Q R V R O H L V Q D O X Q H G S U B V H Q W  
R O H R V Z / Q H U L Q K V L B O V H L V Q W Q M Z K W D Q J U H J B W K H G  
L Q Y H V W Q W K W S B X G R P H S D U L V Q G H S H Q F B H Q W U H Q  
, Q W H O S U H F S W H L D W W H S D W B I Q F R S \ U D J Q W V  
U R \ D O U R M K H V L H K W V

6 L J Q L ; F O D Q V Q W G B R B V W Q F O W K R H O R Z L Q J  
6 D O D B \ D Q W W H K H P X Q H I W B R P O L R I Q Q F O S G L F Q H Q W V  
R B W M V H U F K Q F R R P R H U F L S O B J D A W L C R V O X U H K Z  
O H [ L F H R F K Q L Y H S J H V L M D B R U S R U D W L R Q  
, Q F R I P U H R V P H P L Q D H U F V R X U H D V F K Q L Q D J H V S I R Q M E R U H G  
S X E R Q R Q S H Q W W W L H V  
, Q F R I P U H R V P H U R I O F G Y L F R R P R L R W H Y S I D Q I H R O V  
S X E R Q R Q S H Q W W W L H V  
, Q W H I U C H L V G W K E D C Y H V M X R I B Q W

O B  
O B  
O B

7 K H Q Y H V G R J D A W R I W F B Q R V R O D Y K H  
D E L O V R V H U F B Q R V R O X I Q G Q M Q I F Q W B U H V W V  
D Q H L W K H R U O H F W X U ' W W H G  
7 K H X Q L S X E O M B O R G D H Y D L O R D E O H  
, W D W V D U W H V G I G Q Y H U M R H J H P S L O M K X I Q K R O G V  
O P R I W H K D O R L V S R L L W M B O M K H H L E X I R I D W O R I O W



S H U Q R S W L P D I P I S O V E \ H G 7 D Q F Q H 1 0 7 R I I L F Z D W K  
D G P L Q L V W M V S R Q I R H E I D R I V R Q W U D F W V  
( D F & R P P L W H V F E Z L L O Ø U D W H K U H H U N I Q D I Z D H E U R W H Z I P Ø O  
E W W D J W H U C H R I R Q W I D Q G R W B W H R Q H U V

### 3.3. Decision Making

\$ T X R U M K U H P H P E H U M T X I L R W H G R P P L W S H H I R W F  
I X Q F W I D F E N P E K I D R Q H Y R W €



W I S H U R S E M M E P D X U F K Q F X U M X H E D E I R S O F F R V Q H I G L E W H U H V W  
I R U M P K G L W F O R K R I O V R Z P R R W M H K U L Q J V  
\$ Q V L J Q L I L E D Q Q W L V M O K Z E R Y X O I G D V R Q S D S E M Z E R H  
D I I H F W W G U H H V H D U F K  
\$ Q V L J Q L I L E D Q Q W L V M O K Z E R Y X O I G D V R Q S D S E M Z E R H  
Z R X O I G D V R Q S D S E M Z E R H D I I H F W W G U H H V H D U F K  
\$ Q R W K H W X V M A Z R Q O G

\$ Q H Z L J Q L I L E D Q W L M O K E R W A O I G D V R Q S E M O R H  
D I I H F W W G U H H V H D U F K  
\$ Q H Z L J Q L I L E D Q W L M O K E R W A O I G D V R Q S E M O R H  
L Q W H Z U R X V M G D V R Q S E M O R H D I I H F W W G U H H V H D U F K  
\$ Q H Z L W X V M W R K O D G O



'LYHVWRWYH V WLRQ MORIEQWLOQLDHLUH V W V  
SODFLRQV QX V W  
(VFURZ

W KDDVQHEVM IP Q Q D S H GRRJ S H Q GRDZXDUXG G Q G  
N H M SDH H Q R I R U LDF B Q I O L G R V R V Q D V M S F H V V I X O O \  
5 H F R S J H G W H Q W L R Q  
6 \$ Z L Q G H S I F R U D G B Q I R I L G W B U M F O B Q D S O G I V  
D F W W R D Q H W K V S M R F V L N F O R R D N O U H W K W H H  
\ H D D I W W H O H R W K H I V H I Q W V  
7 H U P L Q R D F V L R S O H W K L R W K I L H Q H D I S H Q G L W X U H V  
U H S L R U X E P L R W W H I G 7 U H V H D U F K  
5 H V R O R K W Q R Q H U O F M Q O R Q R O V K H O E R U G V  
R U  
\$ V R W K H S Z B V I E G H D Z

**6. Policy Enforcement**

**6.1. Types of Noncompliance**

6.1.2. 1 R Q F R P I S Z I L F W K S E V O F E Q F P W K U J W K K H O R D Z L V O J R Q V  
) D L O X C B L H F O H R T V X I L O I H R G J P D W L R Q  
) D L O X I R I O D R Z Q I R I L G W F D B D W H S P H D Q V  
( Q I R U F H S P I V S W Q V L E L O L W \  
7 K H W R

**6.4. Sanctions**

7 K 0IL F3U H V IL BSHQWH B 0FKV L P Q H F S 0B D QJRS W DR0V  
V D Q F W0 B Q 0L0Q Y0H V 0 B J0FVR R S00L F000G0H V 0 IL S00L0 D U \  
O H JDF0L0G0H I X R U0H V F L0F0L0S0R0D00 Z 0 U G

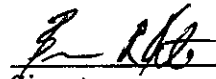
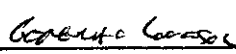
**6.5. Notification of Research Sponsors**

, ID 0 Q Y H V W0 R 0 WRRPUS0 M0K0S0R0R 0 F K D Y 0H D WH0G0H V L J Q  
F R Q GR0U F MS R B W 00 J U H V H D0J7FK S O R P S W 0W L K H  
I X Q G0 Q H 0F H V H 0 S R 0R 0R 0PVS F0V0G L W 0R 0V D00 0 F 0L R 0L V Q J  
V X V S H R 0M L R 0L R 0H [ D P S 0 0 L 0L F V D 0D X 0 F 0V G 0S 0K E O L F  
+ H D 0M U KYR0W H 0D I R W 0L F D E A

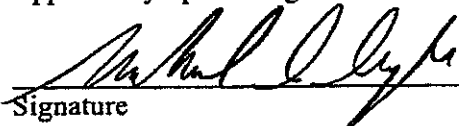
Interim Policy: Conflict of Interest in Research

**New Mexico Tech Interim Policy Signature and Approval Document**

Legal Review (if applicable):

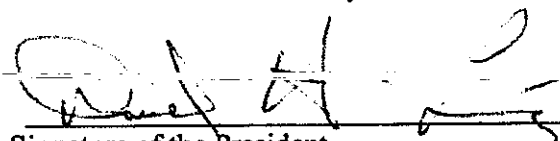
  
Signature \_\_\_\_\_  
  
Title \_\_\_\_\_  
6.20.23  
Date \_\_\_\_\_

Approval by Sponsoring Division Head:

  
Signature \_\_\_\_\_  
Vice President for Research  
Title \_\_\_\_\_  
6/8/2023  
Date \_\_\_\_\_

Approval by President:

Approved on this date by Dr. Daniel H López, President, New Mexico Institute of Mining and Technology.  
Minor editorial revisions may be made. Content of this policy cannot be changed.

  
Signature of the President \_\_\_\_\_  
6-12-23  
Date \_\_\_\_\_

Note: Interim Policies

Interim policies are needed when a policy must be in place and there is not time to follow the procedures outlined in this document. For example, an interim policy might be needed to keep New Mexico Tech in compliance with federal or state laws, or the expectations of an accreditation agency. An interim policy only requires approval by the President. An interim policy must note in its title that it is an interim policy. Such policies are by their nature short-term, and should be replaced by regularly developed and approved policy within one year of their adoption.