§ 18755. Statements of Economic Interests: Person or Persons at an Institution of Higher Education with Principal Responsibility for a Research Project.

(a) Disclosure shall be required under Government Code section 87302 or any conflict of interest code in connection with a decision made by a person or persons at an institution of higher education with principal responsibility for a research project to undertake such research, if it is to be funded or supported, in whole or in part by:

(1) A contract or grant from a nongovernmental entity sponsor, or

(2) Other funds from a nongovernmental entity earmarked by the donor for a specific research project or for a specific researcher.

(b) Types of Statements of Economic Interests.

(1) Initial Statement: The initial statement must be submitted to the university filing officer for the statements of economic interests before final acceptance of a contract, grant, or gift. The statement shall include reportable investments in and positions with the sponsor as of the date of the offer of funding, and income and gifts received from the sponsor within the 12 months prior to the date of the offer.

(2) Interim Statements: A statement must be filed within 30 days after funding is renewed and shall disclose reportable investments, income and business positions held or received during the period between the date the initial statement was filed and the date the funding for the project was renewed.

(c) Content: The disclosure statement shall contain the name and address of the sponsor, a general description of the sponsor's business activity, if any, and the amount of funding.
(1) *Business Positions with Sponsor.* When the principal investigator is a director, officer, partner, trustee, employee, or holds any position of management with the sponsor, the disclosure statement shall contain the title of any position held in the entity by the principal investigator.

(2) *Investments and Equity Interest in the Sponsor.* When the principal investigator holds an investment or equity (ownership) interest in the sponsor, the disclosure statement shall contain a statement of the fair market value of the investment or interest and whether the value of the investment or interest is $2,000 but does not exceed $10,000, exceeds $10,000 but does not exceed $100,000, exceeds $100,000 but does not exceed $1,000,000; or greater than $1,000,000.

(3) *Income from the Sponsor.* When the principal investigator has received reportable income from the sponsor, the disclosure statement shall contain:

(A) A statement whether the aggregate value of income from the sponsor, or in the case of a loan, the highest amount owed to the sponsor, was $500 but does not exceed 1,000, exceeds $1,000 but does not exceed $10,000, exceeds $10,000 but does not exceed $100,000, or greater than $100,000.

(B) In the case of a loan, the annual interest rate and whether the loan was secured or unsecured.

(4) *Gifts from the Sponsor.* In the case of a gift of $50 or more from the sponsor, the disclosure statement shall contain:

(A) A description of the gift;

(B) The amount or value of the gift; and

(C) The date the gift was received.

(5) *Payments for Travel from the Sponsor.* In the case where a payment for travel was received from the sponsor, the disclosure statement shall contain:
(A) A description of the nature of the payment and whether it is a gift or income;

(B) The amount of the payment; and

(C) The dates the travel occurred.

(d)(1) Disclosure shall not be required under Government Code section 87302 (or under a conflict of interest code) in connection with a decision made by a principal investigator to undertake such research, if the nongovernmental entity funding or supporting the research is one of the following:

   Alzheimer's Disease & Related Disorders Association
   American Academy of Dermatology
   American Academy of Pediatrics
   American Association for the Advancement of Science
   American Association for State & Local History
   American Association of Colleges of Pharmacy
   American Association of Obstetricians & Gynecologists
   American Association of Retired Persons
   American Cancer Society
   American Chemical Society
   American College of Obstetricians & Gynecologists
   American College of Radiology
   American Committee for the Weizmann Institute of Science
   American Council of Learned Societies
   American Diabetes Association
   American Foundation for Pharmaceutical Education
American Fund for Dental Education, Inc.
American Gastroenterologic Association
American Health Assistance Foundation
American Heart Association
American Kidney Fund
American Library Association
American Liver Foundation
American Lung Association
American Lupus Society, The
American Nurses Foundation
American Parkinson Disease Association
American Philological Association
American Philosophical Society
American Red Cross
Amyotrophic Lateral Sclerosis Society of America
Arthritis Foundation
Asthma & Allergy Foundation of America

Bush Foundation, The

California Association for Neurologically Handicapped Children
California Division of the American Cancer Society
California Heart Association
California Lung Association

Cargill Foundation

Carnegie Corporation of New York

Carnegie Foundation for the Advancement of Teaching

Cerebral Palsy Foundation

Chicago Community Trust, The

Childs Memorial Fund, The Jane Coffin

Christian Children's Fund

Clark Foundation, The Edna McConnell

Columbia Foundation

Commonwealth Fund, The

Cooley's Anemia Foundation

Council on Library Resources

Culpeper Foundation, Inc., Charles E.

Cystic Fibrosis Foundation

Deafness Research Foundation, The

Donner Foundation, William H.

Dover Fund, Inc.

Dreyfus Foundation, Inc., The Camille & Henry

Dreyfus Foundation, The Max & Victoria

Dysautonomia Foundation
Earhart Foundation
Easter Seal Research Foundation
Epilepsy Foundation of America
Eye Research Institute of Retina Foundation
Fight for Sight
Ford Foundation, The
Foundation for Child Development
Fuller Fund, The Anna
German Marshall Fund of the U.S.
Giannini Foundation
Grant Foundation, The William T.
Guggenheim Foundation, H.F.
Guggenheim Memorial Foundation, John Simon
Haas Fund, The Walter & Elise
Hartford Foundation, John A.
Haynes Foundation, The John Randolf & Dora
Hearst Foundation, William R.
Hewlett Foundation, The William & Flora
Institute for Educational Affairs
International Research & Exchanges Board

Japan Foundation

Johnson Foundation, The Robert Wood

Juvenile Diabetes Foundation

Kade Foundation, Inc., The Max

Kaiser Family Foundation, The Henry J.

Keck Foundation, William M.

Kellogg Foundation, W.K.

Klingenstein Fund, The Esther & Joseph

Knights Templar Eye Foundation

Kresge Foundation, The

Kunstadter Family Foundation, The Albert

Leakey Foundation, The L.S.B.

Leukemia Society

Levi Strauss Foundation

Lilly Endowment, Inc.

Luce Foundation, Inc., The Henry

Lupus Foundation of America

MacArthur Foundation, John D. & Catherine T.
McKnight Foundation, The
March of Dimes
Markle Foundation, The John & Mary R.
Mellon Foundation, The Andrew W.
Mott Foundation, Charles Stewart
Muscular Dystrophy Association
Myasthenia Gravis Foundation

National Academy of Sciences
National Collegiate Athletic Association
National Council of Teachers of English
National Foundation for Ileitis & Colitis
National Foundation for Infectious Diseases
National Fund for Medical Education
National Geographic Society
National Head Injury Foundation
National Hemophilia Foundation
National Kidney Foundation
National Leukemia Association
National Migraine Foundation
National Multiple Sclerosis Society
National Research Council
National Retinitis Pigmentosa Foundation
National Society to Prevent Blindness
National Sudden Infant Death Syndrome Foundation
National Tuberous Sclerosis Association
Northern California Society to Prevent Blindness
Noves Foundation, Inc., Jessie Smith

Organization for Tropical Studies

Packard Foundation, The David & Lucille
Paralyzed Veterans of America
Pardee Foundation, Elsa U.
Peierls Foundation, Inc., The
Picker Foundation, James
Population Council
Presiding Bishop's Fund for World Relief
Project HOPE

Research Corporation
Research to Prevent Blindness
Resources for the Future, Inc.
Retirement Research Foundation
Richardson Foundation, Smith
Rippel Foundation, Fannie E.
Rockefeller Brothers Fund
Rockefeller Foundation
Rosenberg Foundation
Rubin Foundation, Inc., Samuel
Runyon-Walter Winchell Cancer Fund, Damon
Sage Foundation. Russell
San Francisco Foundation
Scaife Foundation, Inc., Sara
Schiff Foundation
Scottish Rite Schizophrenia Research Program
Sherman Foundation, Nate H.
Skaggs Foundation, L.J. & Mary C.
Skin Cancer Foundation
Sloan Foundation, Alfred P.
Social Science Research Council
Spencer Foundation, The
Teagle Foundation
Tinker Foundation, Inc., The
Treadwell Foundation, Nora Eccles
United Cerebral Palsy
(d)(2) An entity shall be considered a qualified nonprofit entity under this section based on the following factors:

(A) The nonprofit organization has been in existence for an extended period of time;

(B) The nonprofit organization does not receive major funding, nor is it tied to, a corporate source;

(C) The nonprofit organization has a national reputation; and

(D) The nonprofit organization serves, or funds research in, a broad geographic area.


HISTORY
1. New section filed 6-14-2005; operative 7-14-2005 (Register 2005, No. 24).