

## Annual Role and Responsibility Survey

The State of Colorado, the Board of Governors, Colorado State University, and the Federal Government (where Federal contracts and grants are involved) all have policies that require disclosure concerning your associations with businesses and organizations external to the University. This form must be completed by each academic faculty member and administrative professional upon initial employment and by May 15 of each subsequent year. Additionally, the form should be updated as the individual's commitments change throughout the year.

Name: \_\_\_\_\_ Email: \_\_\_\_\_

Title/Position: \_\_\_\_\_ Phone: \_\_\_\_\_

Department or \_\_\_\_\_ College or Warner College of Natural

Administrative Unit: CEMML - 1490 Vice Presidential Division: Resources

### PLEASE ANSWER ALL QUESTIONS

#### PART I—CSU Roles and Responsibilities

1. Do you have any authority to update or make decisions and direct changes to the information in the University's Financial Reporting System ("FRS")?

Y \_\_\_\_ N \_\_\_\_

2. Teaching & Advising: Do you have responsibility for or do you influence the assignment of grades or advise students AND assign students to paid or unpaid work assignments outside the institution?

Y \_\_\_\_ N \_\_\_\_

3. Research: Do you participate in or influence the proposing of, conducting of, or reporting the results of basic or applied research?

Y \_\_\_\_ N \_\_\_\_

4. Do you have any responsibility related to research using:

Animals: Y \_\_\_\_ N \_\_\_\_      Controlled Substances: Y \_\_\_\_ N \_\_\_\_

Humans: Y \_\_\_\_ N \_\_\_\_      Radiation Producing Machines or

Infectious Agents: Y \_\_\_\_ N \_\_\_\_      Radioactive Materials Y \_\_\_\_ N \_\_\_\_

Human Tissue/Fluids: Y \_\_\_\_ N \_\_\_\_

Non-exempt rDNA: Y \_\_\_\_ N \_\_\_\_

Exempt rDNA: Y \_\_\_\_ N \_\_\_\_

5. Supervision/Management of Employees: Do you have responsibility to recommend and/or hire, promote, make salary recommendations about, or evaluate any University employees, or to provide recommendations or opinions about those matters for others who do have those responsibilities?

Y \_\_\_\_ N \_\_\_\_

6. Purchase/Selection Decisions: Do you have CSU employment responsibilities in which you make decisions about the *selection* or *purchase* of goods, property, rights, or services by the University, or do you serve in a University capacity that allows you to *influence* the selection or purchase of such goods or services?

Y \_\_\_\_\_ N \_\_\_\_\_

7. Purchase/Selection of Textbooks: Have you written a textbook or other academic materials published by an outside entity that are being used in a class that you teach?

Y \_\_\_\_\_ N \_\_\_\_\_

8. Allocation of University Resources: Do you have CSU employment responsibilities in which you make decisions about, or can influence decisions about, the sale, allocation, or transfer of University goods, property, rights (including intellectual property rights), or services to other persons or entities?

Y \_\_\_\_\_ N \_\_\_\_\_

**PART II—External Roles and Responsibilities**

(This section of the form is intended to identify your professional responsibilities outside of your CSU employment and DOES NOT include contract/grant work undertaken as a faculty member at Colorado State University.)

1. List all of the companies and organizations external to Colorado State University with whom you have a financial interest<sup>1</sup> or a fiduciary relationship<sup>2</sup>.

2. For any of the companies or organizations listed above, do you:

Serve on an Advisory Board:	Y _____ N _____
Serve on a Board of Directors:	Y _____ N _____
Act as a Consultant:	Y _____ N _____
Hold a position in the company:	Y _____ N _____

<sup>1</sup> Financial interest is defined as ownership of an equity interest (eg. stocks/bonds/options/partnership interest) in a company greater than 5% of the total value of the company. Mutual funds, retirement plans and publicly traded stocks and bonds where you own less than 5% of the total value of the company are excluded.

<sup>2</sup> Fiduciary relationship is defined to include those instances where you legally owe to another the duty of good faith, trust, confidence and candor or where you manage another's money or property. For example, members of a board of directors have a fiduciary relationship with the associated entity and owe that entity the duties of good faith, trust, confidence and candor. Colorado State University employees also have a fiduciary relationship with the University and owe the duties of good faith, trust, confidence and candor to the University.

Receive royalties: Y \_\_\_\_\_ N \_\_\_\_\_  
 Hold stocks Y \_\_\_\_\_ N \_\_\_\_\_  
 Have stock options: Y \_\_\_\_\_ N \_\_\_\_\_  
 Hold an equity interest: Y \_\_\_\_\_ N \_\_\_\_\_  
 Hold a contract with: Y \_\_\_\_\_ N \_\_\_\_\_  
 Perform research for: Y \_\_\_\_\_ N \_\_\_\_\_

3. Collectively, how many hours per week do you spend on external roles and responsibilities?

4. Are you employed by any other State of Colorado institution, organization, or agency?

Y \_\_\_\_\_ N \_\_\_\_\_

***I certify that I have identified above all of my external financial interests and/or affiliations and my CSU roles and responsibilities. My signature below indicates that I also agree to update this record as required and appropriate.***

\_\_\_\_\_  
 (Signature of individual completing this form) Date \_\_\_\_\_

Read and Reviewed \_\_\_\_\_  
 Department Head/Chair Date \_\_\_\_\_

Resolved by:

Potential Conflict of Interest Yes \_\_\_\_\_ No \_\_\_\_\_  
 Potential Conflict of Commitment: Yes \_\_\_\_\_ No \_\_\_\_\_

If Yes:

Complete Guideline for Assessment: Yes \_\_\_\_\_ No \_\_\_\_\_

Management Plan to follow: Yes \_\_\_\_\_ No \_\_\_\_\_

***This becomes part of the Personnel Record***

Distribution:

Received and Reviewed \_\_\_\_\_  
 Dean Date \_\_\_\_\_