

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 (for the various types of faculty member, see Sections E.2 and E.3 of the Academic Faculty and Administrative Professional Manual), administrative professionals (including, without limitation, research associates and research scientist/scholars), and other non-classified staff associated with the University who have entered into a Conflict of Interest Management Plan or who are otherwise required as a condition of their association with the University to complete this form. Upon initial appointment or employment, this form should be completed. Each year, this form must be completed again by May 15 to provide an update of current commitments (Annual Disclosure). Additionally, the form should be updated as the individual's commitments change (Event-based Disclosure) throughout the year. Diligent attention to annual and event-based disclosure preserves the individual's ability to participate in activities that may present real or perceived conflicts of interest. It serves to ensure that the individual and institution are acting with integrity, employing sound professional judgment, and adhering to statutory and regulatory boundaries, thus providing certain individual and institutional protections.

Name: _____

Title/Position: _____

Email: _____ Phone: _____

Department or Administrative Unit: _____

College or Vice Presidential Division: _____

PLEASE ANSWER ALL QUESTIONS

If you would like to provide additional details with respect to any of your responses, please feel free to do so either in the space provided or by attaching supplemental information to this document. Note that your Department Head or Supervisor may request or require additional information as well.

PART I—CSU Roles and Responsibilities

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

Yes No

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

Yes No

3. Supervision/Management of Employees: Do you have individual responsibility to hire, promote, make salary recommendation about, or evaluate any University employees, or to provide recommendations or opinions about those matters for others who do have those responsibilities? (An answer of "Yes" to this question indicates that your individual responsibility goes beyond normal service activities such as service on tenure and promotion committees and/or search committees.)

Yes No

4. 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 – including textbooks?

Yes No

5. Author of Textbooks/Academic Materials: Are you the author of a textbook or other academic materials published by an outside entity that is being used at CSU?

Yes No

6. 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?

Yes No

7. Research Areas: Do you have any responsibility related to research involving any of the following?

Animals:	Yes	No
Humans:	Yes	No
Infectious Agents:	Yes	No
Human Tissue/Fluids:	Yes	No
Non-exempt rDNA:	Yes	No
Controlled Substances:	Yes	No
Radiation Producing Machines or Radioactive Materials:	Yes	No
Personal Interest in a Commercial Entity	Yes	No

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 through the University.)

1. List all of the companies and organizations external to CSU with whom you have a financial interest¹ or a fiduciary relationship².

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

Serve on an Advisory Board:	Yes	No
Serve on a Board of Directors:	Yes	No
Act as a Consultant:	Yes	No
Hold a position in the company:	Yes	No
Receive royalties:	Yes	No
Have stock, warrants or options:	Yes	No
Hold a contract with:	Yes	No
Perform research for:	Yes	No

3. Are you employed by any other State of Colorado institution, organization, or agency?
Yes No

4. Have you made full written disclosure of your paid external activities in advance to your supervisor or Department Head/Chair?
Yes No N/A

¹ Financial interest is defined as ownership of an equity interest (e.g. 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.

² 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, as an officer or member of a board of directors you have a fiduciary relationship with the associated entity and owe that entity the duties of good faith, trust, confidence and candor. CSU employees also have a fiduciary relationship with the University and owe the duties of good faith, trust, confidence and candor to the University.

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

Based on the answers to the Survey and any additional information collected, the supervisor or department chair, at his/her discretion, may request completion by the individual of the Guideline for Assessment and Management of Conflicts of Interest/Conflicts of Commitment (the Guideline) to be attached to this form to assist in the determination and management of any potential conflicts.

Department Head/Chair to complete the following after review of Survey:

Please answer the following questions based on your review of the Survey and/or the Guideline:

Potential Conflict of Interest Identified?	Yes	No
Potential Conflict of Commitment Identified?	Yes	No

If yes, select one:

- No management plan is considered to be necessary.
- A relevant management plan is already in place.
- A management plan should be developed and submitted for review.
- Additional assistance is requested

Department Head/Chair
(Signature certifies that all information is believed by me to be true and correct.)

Date

This becomes part of the Personnel Record

Distribution:

Received and Reviewed: _____
Dean

Date