Section 1: Ethics, Accountability and Organization

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1.1 SRNT Mission and Goals

"Working" Mission Statement *(from the opening page of the website)*

The mission of the Society is to stimulate the generation of new knowledge concerning nicotine in all its manifestations - from molecular to societal. The Society has three main aims:

1. To sponsor scientific meetings and publications fostering the exchange of information on nicotine and tobacco.

2. To encourage scientific research on public health efforts for the prevention and treatment of tobacco use.

3. To provide a means by which legislative, governmental, regulatory and other public agencies can obtain expert advice and consultation on nicotine and tobacco.

Formal Mission Statement and Goals *(from the Bylaws)*

1. *Mission Statement*. The mission of the Society for Research on Nicotine and Tobacco, Inc. (the "Society") shall be to stimulate the generation of new knowledge concerning nicotine and tobacco in all their manifestations, from molecular to societal.

2. *Goals*. The main goal is to sponsor scientific meetings and publications to foster the exchange of information on the biological, behavioral, social, and economic effects of nicotine and tobacco. These activities shall include, though not be limited to, research on mechanisms of action and the use of nicotine as a probe of nervous system function as well as applied research on the behavioral, pharmacological, and health effects of tobacco use, nicotine dependence, the therapeutic uses of nicotine, and research on tobacco control policy. Additional goals are:

(a) To encourage scientific research on public health efforts for the prevention and treatment of smoking and tobacco use by constituting a forum for scientific research on these issues.

(b) To provide the means by which various legislative, governmental, regulatory, and other public agencies, and ethical corporate interests, such as the pharmaceutical industry, can obtain expert advice and consultation on critical issues concerning tobacco use, nicotine dependence, the therapeutic uses of nicotine, and tobacco control policy.

1.2 Values

As a nonprofit, member-focused association, SRNT is mission-oriented and values-driven. The values that inform Board policy and organizational activities include:

- Commitment to the public good
- Accountability to the members and to the public
- Respect for the worth and dignity of individuals
- Inclusiveness and social justice
- Respect for pluralism and diversity
- Transparency, integrity, and honesty
- Responsible stewardship of resources
- Commitment to excellence and to maintaining the public trust
- Commitment to the promotion of excellence in science
- Commitment to use of the evidence base in all aspects of public policy, education and information
- Commitment to personal and professional honor
- Respect for all persons, regardless of race, religion, gender, sexual orientation, abilities, age or national origin
- Commitment to serving the best interest of members and the profession at large

1.3 Code of Ethics

We, as volunteers and staff of SRNT, dedicate ourselves to carrying out the mission of this organization. We will do the following:

1. Recognize that the chief function of SRNT at all times is to serve the best interests of our members.
2. Accept as a personal duty the responsibility to keep up-to-date on emerging issues and to conduct ourselves with professional competence, fairness, impartiality, efficiency, and effectiveness.
3. Respect the structure and responsibilities of the board, provide them with facts and advice as a basis for their making policy decisions, and uphold and implement policies adopted by the board.
4. Keep the community informed about issues affecting it.
5. Conduct our organizational and operational duties with positive leadership exemplified by open communication, creativity, dedication, and compassion.
6. Exercise whatever discretionary authority we have under the law to carry out the mission of the organization.
7. Serve with respect, concern, courtesy, and responsiveness in carrying out the organization's mission.
8. Demonstrate the highest standards of personal integrity, truthfulness, honesty, and fortitude in all our activities in order to inspire confidence and trust in our activities.
9. Avoid any interest or activity that is in conflict with the conduct of our official duties.
10. Respect and protect privileged information to which we have access in the course of our official duties.
11. Strive for personal and professional excellence and encourage the professional developments of others.

1.4 IRS Conflict of Interest Policy

The purpose of the conflict-of-interest policy is to protect SRNT's interest when it is contemplating entering into a transaction or arrangement that might benefit the private interest of an officer or director of the organization or might result in a possible excess benefit transaction. This policy is intended to supplement but not replace any applicable state and federal laws governing conflict of interest applicable to nonprofit and charitable organizations.

Definitions

1. Interested Person
Any director, principal officer, or member of a committee with governing board–delegated powers, who has a direct or indirect financial interest, as defined below, is an interested person.

2. Financial Interest
A person has a financial interest if the person has, directly or indirectly, through business, investment, or family

a. An ownership or investment interest in any entity with which the organization has a transaction or arrangement,
b. A compensation arrangement with the organization or with any entity or individual with which the organization has a transaction or arrangement, or
c. A potential ownership or investment interest in, or compensation arrangement with, any entity or individual with which the organization is negotiating a transaction or arrangement.

Compensation includes direct and indirect remuneration as well as gifts or favors that are not insubstantial.

A financial interest is not necessarily a conflict of interest. Under Article III, Section 2, a person who has a financial interest may have a conflict of interest only if the appropriate governing board or committee decides that a conflict of interest exists.

Procedures

1. Duty To Disclose
In connection with any actual or possible conflict of interest, an interested person must disclose the existence of the financial interest and be given the opportunity to disclose all material facts to the directors and members of committees with governing board–delegated powers considering the proposed transaction or arrangement.

2. Determining Whether a Conflict of Interest Exists
After disclosure of the financial interest and all material facts, and after any discussion with the interested person, he or she shall leave the governing board or committee meeting while the determination of a conflict of interest is discussed and voted upon. The remaining board or committee members shall decide if a conflict of interest exists.

3. Procedures for Addressing the Conflict of Interest
a. An interested person may make a presentation at the governing board or committee meeting, but after the presentation, he or she shall leave the meeting during the discussion of, and the vote on, the transaction or arrangement involving the possible conflict of interest.
b. The chair of the governing board or committee shall, if appropriate, appoint a disinterested person or committee to investigate alternatives to the proposed transaction or arrangement.
c. After exercising due diligence, the governing board or committee shall determine whether the organization can obtain with reasonable efforts a more advantageous transaction or arrangement from a person or entity that would not give rise to a conflict of interest.
d. If a more advantageous transaction or arrangement is not reasonably possible under circumstances not producing a conflict of interest, the governing board or committee shall determine by a majority vote of the disinterested directors whether the transaction or arrangement is in the organization's best interest, for its own benefit, and whether it is fair and reasonable. In conformity with the above determination, it shall make its decision as to whether to enter into the transaction or arrangement.

4. Violations of the Conflicts-of-Interest Policy
a. If the governing board or committee has reasonable cause to believe a member has failed to disclose actual or possible conflicts of interest, it shall inform the member of the basis for such belief and afford the member an opportunity to explain the alleged failure to disclose.
b. If, after hearing the member's response and after making further investigation as warranted by the circumstances, the governing board or committee determines the member has failed to disclose an actual or possible conflict of interest, it shall take appropriate disciplinary and corrective action.

Records of Proceedings

The minutes of the Board and all committees with board-delegated powers shall contain
a. The names of the persons who disclosed or otherwise were found to have a financial interest in connection with an actual or possible conflict of interest, the nature of the financial interest, any action taken to determine whether a conflict of interest was present, and the governing board's or committee's decision as to whether a conflict of interest in fact existed

b. The names of the persons who were present for discussions and votes relating to the transaction or arrangement, the content of the discussion, including any alternatives to the proposed transaction or arrangement, and a record of any votes taken in connection with the proceedings

Compensation

a. A voting member of the board who receives compensation, directly or indirectly, from the organization for services is precluded from voting on matters pertaining to that member's compensation.
b. A voting member of any committee whose jurisdiction includes compensation matters and who receives compensation, directly or indirectly, from the organization for services is precluded from voting on matters pertaining to that member's compensation.
c. No voting member of the governing board or any committee whose jurisdiction includes compensation matters and who receives compensation, directly or indirectly, from the organization, either individually or collectively, is prohibited from providing information to any committee regarding compensation.

Annual Statements

Each director, principal officer, and member of a committee with governing board–delegated powers shall annually sign a statement that affirms such person
a. Has received a copy of the conflict-of-interest policy,
b. Has read and understands the policy,
c. Has agreed to comply with the policy, and
d. Understands the organization is charitable and in order to maintain its federal tax exemption it must engage primarily in activities that accomplish one or more of its tax-exempt purposes.

Periodic Reviews

To ensure the organization operates in a manner consistent with charitable purposes and does not engage in activities that could jeopardize its tax-exempt status, periodic reviews shall be conducted. The periodic reviews shall, at a minimum, include the following subjects:
a. Whether compensation arrangements and benefits are reasonable, based on competent survey information, and the result of arm's-length bargaining
b. Whether partnerships, joint ventures, and arrangements with management organizations conform to the organization's written policies, are properly recorded, reflect reasonable investment or payments for goods and services, further charitable purposes, and do not result in inurement, impermissible private benefit, or in an excess benefit transaction

Use of Outside Experts

When conducting the periodic reviews, SRNT may, but need not, use outside advisors. If outside experts are used, their use shall not relieve the governing board of its responsibility for ensuring periodic reviews are conducted.

1.5 ***Policy on Competing Interests***

The science of nicotine and tobacco research, as does all science, must be beyond reproach. The presence of undeclared sources of support and financial interests has the possibility of undermining the reputation, influence, and actions of SRNT regardless of whether the financial factors emanate from tobacco or non-tobacco industries. The issue of credibility is especially salient because nicotine and tobacco research is conducted in a charged political environment. Therefore, the Society believes that full disclosure of potential competing interests is essential for its officers and committee members and is desirable for all members.

Definition of Competing Interest

A competing interest exists when a member has a financial relationship with an organization that has the potential to bias actions taken on behalf of SRNT. The existence of a competing interest does not necessarily mean that a conflict of interest exists, but it does indicate that such a situation is possible. The potential for conflict of interest can exist whether or not an individual believes that the relationship affects his or her scientific judgment or his or her decisions made on behalf of SRNT. Financial relationships (such as employment, research or educational grants, consultancies, ownership of stock shares, honoraria, paid expert testimony, patents) are the most easily identifiable conflicts of interest and the most likely to undermine the credibility of actions taken on behalf of SRNT.

Policy for SRNT Officers and Committee Members

Because of these considerations, it is SRNT policy that all officers of the Society, candidates for office in the Society, and all current and prospective committee members of the Society must disclose all relationships that could be viewed as potential competing interests. This information will be collected and updated annually and will be posted on the SRNT Website. Candidates for office will be required to include this information in their ballot statements.

Individuals are required to disclose, to the best of their recollection, all financial support for the past 3 years and any pending proposals for funding from:

- the tobacco industry (defined as a tobacco company, the Council for Tobacco Research, Center for Indoor Air Research, and law firms or other interests representing one or more tobacco companies to conduct research or provide consultation)
- the pharmaceutical industry or other for-profit company that makes smoking cessation products or other relevant products (e.g., educational materials, test kits)
- government agencies (e.g., NIH, CDC)
- private foundations that fund nicotine and tobacco research or programs (e.g., Robert Wood Johnson Foundation, American Legacy Foundation)
- Advocacy organizations
- any other source of funding that represents a potential competing interest.

The type of funding to be disclosed includes:

- employment (e.g., salary)
- consultancy,
- honoraria
- research or educational grants or contracts,
- ownership of stock shares or equity (not to include ownership of mutual funds that may include these stocks),
- paid expert testimony,
- patents,
- receipt of product for research or educational purposes.

Policy for SRNT Members

While full disclosure is required of officers and committee members, all SRNT members are encouraged to provide this information whenever they are commenting on relevant matters on the Listserve, in the Newsletter, or in other Society communications. All members are required to declare their current employer or affiliation (or last employer, if retired or no longer employed) when applying or renewing SRNT membership. All members must also sign the following statement:

I affirm that I support the goals of the Society to stimulate new knowledge concerning nicotine, to foster the exchange of scientific information on nicotine and tobacco dependence, and to encourage research on public health efforts for the prevention and treatment of cigarette smoking and tobacco use.

Because full disclosure of competing interests is not required for SRNT Listserve participation, the following statement will accompany all Listserve postings:

This listserve is unmoderated and open to all SRNT members. Individuals who post messages are expected to disclose any potential conflict of interest that is relevant to the topic of discussion. Unless specifically stated, messages posted on this listserve represent only the views of the individuals posting the messages, and SRNT does not endorse the accuracy of any statements.

1.6 Confidentiality Policy for Board Members, Committee Members and Staff

The following policies apply to members of the SRNT board, its staff, volunteers, and to members of committees authorized by the board. References in the policies to board members are intended also to apply to committee members.

1. Board and Committee Meetings: On any vote of the board, both the numbers of affirmative and negative votes and the individual votes of board members, unless specifically requested by a member otherwise, shall be confidential but the record of individual votes must be kept on file.
1. Board, committee, and staff members shall not disclose to anyone outside of SRNT the statements, positions, or votes by any board or committee member on actions taken by the board or its committees. Only in extraordinary situations will a board or committee member disclose his or her position or vote on a board or committee action, and only after advising the board's chair before making such a disclosure.
2. The general "sense of the board" on a particular matter may be conveyed to an applicant, grantee, vendor, or donor when the sharing of such information is helpful in conveying the board's concerns. However, such information should only be shared with the concerned party. In addition, such information may be shared with a donor or with another grantmaker when the information has been requested and is deemed important in helping the donor or grantmaker arrive at an informed decision on a grant proposal or opportunity.
3. Executive Sessions: The minutes of the board meeting shall indicate when the board goes into executive session but shall not normally reflect any of the topics or discussion that occurs in executive session. However, when the board takes an action in executive session that needs to be recorded, the board chair will provide any such text that is to be included in the official minutes of the meeting.
4. Board and Program Committee Docket: The docket prepared for the board and staff is confidential and should be treated as an internal document restricted to SRNT use. No portion of the docket may be shared, in written or oral form, with any individual or with any organization outside of SRNT. Exceptions may be made only with the consent of the chief executive.
5. Personal Information on Staff and Board Members: The home addresses, telephone numbers, fax numbers, and e-mail addresses of board, committee, and staff members are not to be given out to any individual or organization without the express permission of the person to be disclosed.
6. Information on a Donor's Fund: All information concerning a donor's fund, other than information published in the annual report, newsletter, or SRNT publication, shall remain confidential unless approved by the donor. This includes information on the size and types of grants, the size of the fund, and other such information.
7. Information on Donors and Prospects: All information obtained about donors and prospective donors will remain confidential and not discussed with any individual other than a board or staff member, unless otherwise authorized by the donor or prospective donor.

8. The home addresses, telephone numbers, fax numbers, or e-mail addresses of donors and prospective donors are not to be given out to any individual or organization without the express permission of the person to be disclosed.
9. When a donor requests that his or her gift or fund be treated as an anonymous gift or fund, the donor's wishes are to be honored by both board and staff members.
10. All staff members shall adhere to the principle that all donor and prospect information created by, or on behalf of, SRNT is the property of SRNT and shall not be transferred or utilized except on behalf of SRNT.

In signing this statement, I confirm that I have received a copy of the Confidentiality Policy and agree to abide by the guidelines set forth therein.

_____

Name and Position

_____

Signature and date

Approved November, 2009

1.7 Policy on Receipt of Funds from External Organizations

SRNT hereby acknowledges that the receipt of funds from any individual or organization, other than dues from its full, affiliate and student members, could give rise to a perceived or actual conflict of interest. Therefore, the Society will adhere to the following guidelines to ensure that conflicts of interest are minimized.

1) Because of the longstanding misuse of science by tobacco companies and the incompatibility of goals between the perpetuation of a commercial market for tobacco products and the reduction of morbidity and mortality related to tobacco, SRNT will not accept funds from any organization that manufactures, distributes or markets tobacco products, or their affiliated corporations.

2) Other organizations that are committed to the mission and goals of SRNT and to basic scientific principles can show their support for the Society through grants or gifts supporting the operations, the publications or the annual meeting of the Society. SRNT reserves the right to refuse or return any grant or gift if it determines that the receipt of the grant is inconsistent with the goals of the Society, or if the grantor has been determined to be operating inconsistently within the bounds of good science.

3) All grants or gifts to the Society shall be acknowledged publicly and subject to audit.

4) Acceptance of a gift or grant by SRNT shall not imply endorsement of the products, policies or programs of the grantor and no grantor shall use the evidence of a grant to imply otherwise.

5) No restriction shall be placed on a grant or award except that which is necessary to satisfy the mission of the granting organization (e.g., regional focus, mandate for training, etc.) and which comports with the desired uses of the funds by SRNT, e.g., funding scholarships, supporting the journal, etc. In no case shall any restriction serve to influence the selection or content of society-sponsored publications or meetings, and in all cases the restrictions shall be fully disclosed.

6) The content of the annual meeting and all publications shall be determined through peer review and will maintain the highest scientific standards. To avoid any appearance of editorial control, for profit institutions shall not be allowed to fund SRNT to support any particular article or scientific session at the annual meeting.

7) Grant support for select portions of the annual meeting, such as meals, printing services, etc., shall be accepted if consistent with the remaining principles. Entities providing such support may disclose this support through the use of corporate logos, announcements and placards but not specific product advertisements. To avoid implication that SRNT endorses the corporate entity or its products, logos from for-profit entities shall not appear proximally to the SRNT logo, e.g. on the same tote bag, but might do so in conference materials where the link between SRNT and the organization is prominently and explicitly stated. Similarly, sponsors shall not use

SRNT's name in promotional materials, e.g. "Sponsor of the SRNT Annual Meeting." Governmental and not for-profit entities, except where they are promoting a specific product or service, are not subject to the restrictions on logos or use of names. External funding of ancillary meetings is not subject to the restrictions in this guideline as long as the source of funding is publicly disclosed.

8) Participation at the Annual Meeting as an exhibitor shall not imply endorsement of the products, policies or programs of the exhibitor. SRNT reserves the right to refuse any exhibitor to the annual meeting. The charge to exhibitors shall not comprise a significant proportion of the budget for SRNT, such that the rejection of any exhibitors or exhibitors would render a financial hardship upon the Society.

9) No SRNT member shall solicit grants or gifts from a private entity with whom the member has a financial interest, if the member would receive benefit from SRNT's acceptance of the grant or gift.

10) SRNT expects that its members will fully and fairly disclose any actual or potential conflicts of interest when presenting at SRNT meetings or when representing SRNT publicly.

1.8 Whistleblower Policy

General
SRNT's Code of Ethics ("Code") requires directors, officers, and employees to observe high standards of business and personal ethics in the conduct of their duties and responsibilities. As representatives of the organization, we must practice honesty and integrity in fulfilling our responsibilities and comply with all applicable laws and regulations.

Reporting Responsibility
It is the responsibility of all directors, officers, and staff to comply with the Code and to report violations or suspected violations in accordance with this Whistleblower Policy.

No Retaliation
No director, officer, or staff member who in good faith reports a violation of the Code shall suffer harassment, retaliation, or adverse employment consequence. A staff member who retaliates against someone who has reported a violation in good faith will be reported to the President/CEO of the management company. This Whistleblower Policy is intended to encourage and enable staff and others to raise serious concerns within the organization prior to seeking resolution outside the organization.

Reporting Violations
Staff members are directed to share their questions, concerns, suggestions, or complaints with someone who can address them properly. In most cases, a staff member's supervisor is in the best position to address an area of concern. However, if someone is not comfortable speaking with his or her supervisor or they are not satisfied with the supervisor's response, staff are encouraged to speak with anyone in management. For suspected fraud, or when staff is not satisfied or uncomfortable with following the organization's open-door policy, individuals should contact the Secretary/Treasurer of the Board.

Accounting and Auditing Matters
The Finance Committee will address all reported concerns or complaints regarding corporate accounting practices, internal controls, or auditing. The Executive Director will immediately notify the Finance Committee of any such complaint and work with the committee until the matter is resolved.

Acting in Good Faith
Anyone filing a complaint concerning a violation or suspected violation of the Code must be acting in good faith and have reasonable grounds for believing the information disclosed indicates a violation of the Code. Any allegations that prove not to be substantiated and which prove to have been made maliciously or knowingly to be false will be viewed as a serious disciplinary offense.

Approved November, 2009

Confidentiality
Violations or suspected violations may be submitted on a confidential basis by the complainant or may be submitted anonymously. Reports of violations or suspected violations will be kept confidential to the extent possible, consistent with the need to conduct an adequate investigation.

Handling of Reported Violations
The Executive Director (or the Secretary/Treasurer) will notify the sender and acknowledge receipt of the reported violation or suspected violation within 2 business days. All reports will be promptly investigated and appropriate corrective action will be taken if warranted by the investigation.

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1.9 Record Retention and Document Destruction Policy

SRNT takes seriously its obligations to preserve information relating to litigation, audits, and investigations. The Sarbanes-Oxley Act makes it a crime to alter, cover up, falsify, or destroy any document to prevent its use in an official proceeding. Failure on the part of employees to follow this policy can result in possible civil and criminal sanctions against SRNT and its employees of its management company and possible disciplinary action against responsible individuals (up to and including termination of employment). Each employee has an obligation to contact the Executive Director or Secretary/Treasurer of a potential or actual litigation, external audit, investigation, or similar proceeding involving SRNT. The information listed in the retention schedule below is intended as a guideline and may not contain all the records SRNT may be required to keep in the future. Questions regarding the retention of documents not listed in this chart should be directed to the Executive Director.

From time to time, the Executive Director may issue a notice, known as a "legal hold," suspending the destruction of records due to pending, threatened, or otherwise reasonably foreseeable litigation, audits, government investigations, or similar proceedings. No records specified in any legal hold may be destroyed, even if the scheduled destruction date has passed, until the legal hold is withdrawn in writing by the chief executive.

SRNT will save all historical documents not listed in the table, below.

File Category	Item	Retention Period
Corporate Records	Bylaws and Articles of Incorporation	Permanent
	Corporate resolutions	Permanent
	Board and committee meeting agendas and minutes; chapter reports and minutes	Permanent
	Conflict-of-interest disclosure forms	4 years
Finance and Administration	Financial statements (audited)	Permanent
	Auditor management letters	Permanent
	Payroll records	Permanent
	Journal entries	Permanent
	Check register and checks	[7 years/ Permanent]
	Bank deposits and statements	7 years
	Charitable organizations registration statements (filed with [State] Attorney General)	7 years
	Chart of accounts	7 years
	Expense reports	7 years
	General ledgers and journals (includes bank	7 years

File Category	Item	Retention Period
	reconciliations, fund accounting by month, payouts allocation, securities lending, single fund allocation, trust statements)	
	Accounts payable ledger	7 years
	Investment performance reports	7 years
	Investment consultant reports	7 years
	Investment manager correspondence	7 years
	Equipment files and maintenance records	7 years after disposition
	Contracts and agreements	7 years after all obligations end
	Investment manager contracts	7 years after all obligations end
	Correspondence — general	3 years
Insurance Records	Policies — occurrence type	Permanent
	Policies — claims-made type	Permanent
	Accident reports	7 years
	Fire inspection reports	7 years
	Safety (OSHA) reports	7 years
	Claims (after settlement)	7 years
	Group disability records	7 years after end of benefits
Tax	IRS exemption determination and related correspondence	Permanent
	IRS Form 990s	Permanent
	Withholding tax statements	7 years
	Correspondence with legal counsel or accountants, not otherwise listed	7 years after return is filed
Technology	Software licenses and support agreements	7 years after all obligations end