



SLEEP RESEARCH SOCIETY EXPECTATIONS FOR DIRECTORS

OVERVIEW OF THE ROLE OF THE BOARD

The role of the Board of Directors (the “Board”) of the Sleep Research Society (the “Society”) is to (i) direct the affairs of the Society and (ii) set expectations about the tone and ethical culture of the Society. In doing so, directors are expected to apply their scientific, healthcare, and business judgment and act with due care, in good faith and in accordance with the best interests and mission of the Society.

The Board has the following duties:

1. Execute the mission and vision of the Society
2. Formulate key Society policies and organizational goals
3. Develop and implement a strategic plan for the Society, focusing both on near-term and longer-term challenges and opportunities.
4. Establish and monitor metrics for achievement of Society goals and performance;
Maintain regular communication with the membership, informing them of pertinent Board actions, activities, and outcomes as well as the fiscal health of the Society;
5. Establish and empower committees and task forces to aid with the achievement of the Society’s mission, attainment of goals, implementation of the strategic plan, and fulfillment of policies;
6. Oversee the Governance Review process;
7. Review and approve the Society’s budget and financial objectives;
8. Provide oversight and ensure the integrity of internal and external audit processes, financial reporting and record keeping;
9. Ensure that an ethical culture of trust, honesty, and integrity is promoted throughout the Society;

10. Act with integrity, adhering to the Society's Policies and the Conflict of Interest Policy;
11. Keep confidential all non-public information that relates to the Society's business, unless disclosure and/or use of such information is authorized by the board of directors. Such information includes, but is not limited to, information regarding the finances and operations of the Society, donor lists, mailing lists and any information relating to fundraising (including fundraising efforts, plans, ideas and proposals), minutes, reports and materials of the Board and its committees, and other documents identified as confidential by the Society;
12. Ensure that compliance systems and processes designed to promote legal and ethical compliance are reasonably effective, and monitor the Society's compliance with relevant laws;
13. Monitor the effectiveness of the Society's governance practices and documents, making changes as needed; and
14. Perform such other functions as the Board believes appropriate or necessary, or as otherwise prescribed by law or regulation.

DIRECTOR QUALIFICATION EXPECTATIONS

MINIMUM DIRECTOR QUALIFICATIONS

The Nominating Committee is responsible for reviewing with the Board, on an annual basis, the appropriate skills and characteristics required of directors in the context of the current makeup of the Board. Using input from the Nominating Committee, the Board is responsible for selecting the members who will be placed on the ballot for election to the Board. The Board will review the appropriate experience, qualifications, attributes and skills required of directors in the context of the Society's current circumstances and the Board's needs at least every three years.

The Board expects that all directors will, at minimum:

1. Be a member in good standing of the Society, committed to the Society's mission and programs and in full compliance with the Society's Conflict of Interest Policy.
2. Have relevant research experience

3. Have experience or knowledge with respect to at least one area of the Society's operations or area of board responsibility, such as strategic planning, financial management, technology, fundraising and development, public or government relations, scientific offerings and career development;
4. Be collaborative, with a strong orientation to the future and a commitment to improvement, organizational and personal learning, innovation, organizational sustainability, and intelligent risk-taking.

ADDITIONAL QUALIFICATIONS FOR SOCIETY LEADERSHIP

1. Senior leaders should play a central role in setting values and directions, communicating, creating and balancing value for all stakeholders, and in creating an organizational focus on action. They should strive to create an environment for empowerment, agility, and learning.
2. Senior leaders must strive to build a culture of member engagement, developing the organization's future leaders, and recognizing and rewarding contributions by committee members and staff. They should personally engage with key stakeholders. Senior leaders should continue to enhance their personal leadership skills. They should participate in organizational learning, the development of future leaders, succession planning, and in the recognition of opportunities and events that celebrate the membership.
3. Development of senior leaders will likely include personal mentoring and/or participation in leadership development courses.

DUE CARE OF DIRECTORS

Directors are expected to exercise appropriate diligence in providing managerial oversight and decision-making, and are expected to:

1. Attend and participate actively at all Board meetings, in person; unless excused by the President.
2. Review and thoughtfully consider issues raised in all meeting materials and agendas in advance;

3. Fully consider financial implications of all Board actions and make financially sound decisions consistent with the Society's strategic plan.
4. Request/review other information from directors, staff and trustworthy and reliable experts where appropriate before making decisions or taking actions.
5. Be sensitive to indications of potential problems or concerns and make further inquiry until reasonably satisfied that the board is dealing with those concerns appropriately.

OTHER EXPECTATIONS OF THE DIRECTORS

Together, the Board is expected to:

1. Meet at least four times per year;
2. Conduct self-evaluation and an annual performance review of each committee;
3. Maintain minutes of Board and committee meetings;
4. Review and approve policies and procedures relating to the work and structure of the Board;
5. Approve major engagements with respect to public policy and other external affairs activities; and
6. Provide for the orientation of new directors and make available continuing director education opportunities as appropriate.

In addition, Directors are expected to:

7. Join and participate as Board liaison of a committee, if assigned;
8. Act as an ambassador for the Society to the general public, government agencies, and clients;
9. Advise the President upon any change in the director's professional responsibilities (such as resignation or change of employment) and prior to accepting an invitation to run for or serve on another board of directors;
10. Act as a mentor to other directors; and

11. Suggest to the Nominating Committee any potential Board candidates who fulfill the Board's criteria for directors and who could make significant contributions to the Board and the Society.

CONFIDENTIALITY

Pursuant to their fiduciary duties of loyalty, obedience, and care, directors have an obligation to keep confidential all non-public information obtained by a director that relates to the Society's business. Directors must not use or disclose such information to any person or entity during or after service, except with written authorization of the Board or as may be otherwise required by law or regulation.

BOARD INTERACTION WITH MEDIA AND PUBLIC RELATIONS

The President and Executive Director are the primary communicators on behalf of the Society with donors, employees, clients, suppliers, the media, and others. To maintain consistency of message and protection of confidential information, requests for information or comment from the Board should be directed to the Executive Director. Other directors should not communicate with representatives of the media regarding Society issues unless duly authorized by the President.

TENOR OF BOARDROOM DELIBERATIONS

Achieving an atmosphere in which full and frank discussion can thrive, and consensus can ultimately be reached, is a challenge. It is the responsibility of the Board to act in the best interests of the Society. An environment of trust is essential to open discourse. Accordingly:

1. Any potential conflict of interest with the Society or its deliberations should be fully disclosed before such deliberations wherever possible.
2. Directors should seek to participate and express disagreement in an open and collegial manner, with developing consensus and resolution as the ultimate goal.
3. Directors should seek diverse opinions within the Board, including promoting input from as many Board members as possible for any given discussion.
4. Matters discussed in confidential executive sessions may only be disclosed to other Directors present at those deliberations unless duly authorized by the President.

Guidelines for Reimbursement -- Board Members

All original receipts must be attached

1. The SRS will pay subsistence and transportation expenses of directors requested to attend meetings, scheduled events, or participate as faculty at an educational event, except for the APSS Annual Meeting.
2. Subsistence expenses are expected to commence no earlier than the evening preceding the scheduled event, or continue beyond the morning after the conclusion of the event. Circumstances of travel connections or other situations requiring extra time must be noted on the expense form.

Mode of Travel

Air Travel – Airfare will be reimbursed provided reservations are made at least 21 days in advance for coach seating on common carriers. Directors who have residency in a foreign country and must travel six or more consecutive hours by air to attend meetings, will be reimbursed for an upgrade to one class above coach, with a max of \$5,000 per round trip. The individual assumes the responsibility for the difference in price for tickets purchased outside these guidelines. The purchase of tickets can be direct-billed to the SRS when using the official travel agency. Change fees, cancellation fees, and reissue fees will be reimbursed one time up to a maximum of \$100.

Car Travel – If the member chooses to drive instead of fly, reimbursement within 300 miles radius will be at the current IRS mileage rate. If the destination is greater than 300 miles, the SRS will reimburse the lesser of mileage or the lowest airfare.

Transportation – Transportation between home/airport and between the airport/site destinations should be via shuttle or taxi as the situation warrants; limousine or other car services, such as car rentals, should be avoided and may not be reimbursed unless prior authorization was obtained. Use of a personal vehicle for transportation between your home and airport will be reimbursed mileage at the current IRS mileage rate.

Parking – Airport parking or related charges will be reimbursed only when a receipt is provided.

Lodging

In most cases, the staff person in charge of the event will arrange the event lodging. The master account will cover room and tax charges; incidentals will be the responsibility of the individual. For instances requiring the member to cover the cost of the lodging expenses, the member will need to provide an original, detailed, itemized hotel bill that reflects the bill as paid in full. The regular room rate for single occupancy will be reimbursed. If the member desires enhanced accommodations (i.e. suite), they will assume the difference in cost. Charges of a personal nature (in-room movies, laundry, bar, etc.) will not be reimbursed and are the responsibility of the individual.

Meals

When a meal is provided by an event, (including continental breakfast, lunch, buffet or SRS sponsored dinner) no reimbursement for the associate meal will be made. For meals not included in the event, the member will be reimbursed for all moderate meal expenses, not to exceed \$50 per person for dinner, \$30 per person for lunch, and \$20 per person for breakfast. Requests for reimbursement of meals must have the detailed receipt, which itemizes the meal expenses, included with the request.

Communications

The SRS will reimburse a maximum of \$25 per day for the use of telephone and/or Internet services.

Acceptance of Guidelines

Individuals that attend meetings/events on behalf of the SRS must agree to adhere to all the above reimbursement guidelines. Individuals that cannot commit to these guidelines should not participate in meetings, events, or agree to speak at courses, etc.

Signature

by (print name)
Page 6 of 44

Date



Sleep Research Society
2510 North Frontage Road
Darien, IL 60561-1511

Guidelines for Reimbursement – Non Board Members

All original receipts must be attached

1. The SRS will pay subsistence and transportation expenses of committee chairs, members, or SRS volunteers specifically requested to attend meetings, scheduled events, or participate as faculty at an educational event, except for the APSS Annual Meeting.
2. Subsistence expenses are expected to commence no earlier than the evening preceding the scheduled event, or continue beyond the morning after the conclusion of the event. Circumstances of travel connections or other situations requiring extra time must be noted on the expense form.
3. The SRS will reimburse foreign travel only on a case-by-case basis with approval by the Board of Directors.

Mode of Travel

Air Travel – Airfare will be reimbursed provided reservations are made at least 21 days in advance for coach seating on common carriers. The individual assumes the responsibility for the difference in price for tickets purchased outside these guidelines. The purchase of tickets can be direct-billed to the SRS when using the official travel agency. Change fees, cancellation fees, and reissue fees will be reimbursed one time up to a maximum of \$100.

Car Travel – If the member chooses to drive instead of fly, reimbursement within 300 miles radius will be at the current IRS mileage rate. If the destination is greater than 300 miles, the SRS will reimburse the lesser of mileage or the lowest airfare.

Transportation – Transportation between home/airport and between the airport/site destinations should be via shuttle or taxi as the situation warrants; limousine or other car services, such as car rentals, should be avoided and may not be reimbursed unless prior authorization was obtained. Use of a personal vehicle for transportation between your home and airport will be reimbursed mileage at the current IRS mileage rate.

Parking – Airport parking or related charges will be reimbursed only when a receipt is provided.

Lodging

In most cases, the staff person in charge of the event will arrange the event lodging. The master account will cover room and tax charges; incidentals will be the responsibility of the individual. For instances requiring the member to cover the cost of the lodging expenses, the member will need to provide an original, detailed, itemized hotel bill that reflects the bill as paid in full. The regular room rate for single occupancy will be reimbursed. If the member desires enhanced accommodations (i.e. suite), they will assume the difference in cost. Charges of a personal nature (in-room movies, laundry, bar, etc.) will not be reimbursed and are the responsibility of the individual.

Meals

When a meal is provided by an event, (including continental breakfast, lunch, buffet or SRS sponsored dinner) no reimbursement for the associate meal will be made. For meals not included in the event, the member will be reimbursed for all moderate meal expenses, not to exceed \$50 per person for dinner, \$30 per person for lunch, and \$20 per person for breakfast. Requests for reimbursement of meals must have the detailed receipt, which itemizes the meal expenses, included with the request.

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Signature _____ by (print name) _____ Date _____



SLEEP RESEARCH SOCIETY CONFLICT OF INTEREST DISCLOSURE POLICY

I. DEFINITIONS

Conflict of Interest

"A conflict of interest exists when an individual in a position of trust is required to exercise judgment on behalf of others (people, organization, institutions), but that individual also has interests or obligations of the sort that might interfere with the exercise of judgment. In such instances, the person is morally required to either *avoid the conflict or openly acknowledge it*. The lesser requirement of open acknowledgment is usually adopted when it seems too burdensome to require that the person in a position of trust divest herself of the interest that conflicts with her position of responsibility. For example, some journals require that authors disclose any substantial financial interests that might have biased their research assessment. Requiring investigators to divest themselves of investments that they may have made on the basis of their scientific judgment would be too burdensome, and might even suppress publication. ... one needs to look carefully at the nature of a professional's or public official's obligations and responsibilities in order to know when conflicting interests become a conflict of interest, that is, when a situation that requires discretion to handle the actual or potential conflict fairly is one that he is morally required to *avoid altogether*, or at least to *disclose to all parties*. Policies requiring financial disclosure, that is disclosure of financial interests that might conflict with judgment as a researcher or as public official, are very commonly called "conflict of interest policy," although such financial conflict of interest is only one specific type." (Source: The Online Ethics Center

Glossary: <http://www.onlineethics.org/glossary.html#anchC>)

Disclosure

Although the required disclosure of financial interests by scientific investigators is most often discussed relative to the pharmaceutical industry, the moral obligation to disclose personal interests that may affect one's judgment when

representing an organization extends to all financial interests, personal interests, personal commitments, and obligations. In the field of sleep and circadian research this would include support or vested interest in any company, industry, or activity that may affect an investigator's judgment relative to the position he or she holds in the Sleep Research Society. It is essential that scientists disclose any involvement with companies that make devices to monitor sleep, sleepiness, or sleep-related phenomena (e.g., activity monitors, cardiovascular measures, etc.); as well as companies that make or sell interventions for sleep disorders, such as pharmaceuticals, devices (e.g., CPAP machines), or proprietary techniques (e.g., mathematical algorithms, apps, etc.); and companies that offer for-profit services (e.g., sleep medicine networks, fatigue management plans, and CME companies). Financial disclosure should include all direct payments, as well as other goods, services, or expenses provided (e.g., travel, lodging, meals, gifts, etc.). All grants, awards and payments from industry should be divulged, along with any consultative or advisory board payments, and any ownership positions in companies.

II. DISCLOSURE POLICY

SRS Board of Directors

The oversight and management of the Sleep Research Society (SRS) is the responsibility of the SRS Board of Directors. To assure maximal objectivity in the management of this organization, it is necessary for members of the SRS Board of Directors to publicly disclose every professional relationship with commercial or private entities that has the potential to impact the financial or professional status of the Board member and/or members of his/her family. Only by such full disclosure and appropriate monitoring can members of the scientific/medical community and the lay public be assured that the SRS operates with minimum bias.

The basis for operational definitions relevant to most conflicts detailed in the SRS COI policy is the premise of personal financial gain to the SRS Board member from for-profit and certain non-profit entities. Although disclosure of financial or professional relationships with for-profit or certain non-profit entities form the basis of most conflict of interest policies, it is also recognized that appointments to Boards of Directors of other professional societies, academic appointments, or professional relationships may result in conflicts of interest of a non-financial nature. Membership on all boards must be disclosed, and may form the basis for recusal during discussion of agenda items dealing with interactions among the SRS and other professional societies. Memberships on the Board of the

Associated Professional Sleep Societies (APSS) and the Board of Directors of the SRS Foundation are exempt from this COI provision. Additional conflicts of interest that are non-financial in nature include the bestowing of honors or awards upon individual members of the society. Members of the SRS Board of Directors will not be eligible for honors or awards granted by the society during their tenure on the Board. Members of the Board and Committees will be required to recuse themselves from discussions of potential honorees when individuals under consideration for such awards are from the same institution, are current or recent collaborators, or have otherwise interacted with the Board/Committee member in a manner that may be perceived as a conflict of interest (e.g., current or recent [within last 3 years] students, etc.)

Relationships of financial or professional nature with commercial or private entities need not preclude service by individuals on the Board of Directors. However, given that many specialists/investigators in the field will be impacted by decisions made as part of managing the SRS, certain relationships will rightly preclude certain individuals on the Board of Directors from participating in the process of making certain decisions.

Disclosure should be made in full, in writing, annually as a matter of record. Updated disclosure forms must be submitted at such times during the year when either: (a) new financial or professional relationships are established, or (b) previously disclosed financial or professional relationships are terminated.

Disclosure forms should be returned to the President of the SRS c/o the National Office. After initial review by the SRS Executive Committee or Designees, they will be kept on file in the National Office. Information in the disclosure forms will be available for discussion by the Board of Directors. The information in these forms will be considered strictly confidential and will not be available to other persons without the written consent of the particular individual.

In addition, public disclosure should be made by the person at the time in which an issue involving a conflict of interest is discussed. Potential COI disclosure should be added to the agenda for every Board and Committee meeting. The governing body meeting at the time of such disclosure should elicit statements of conflicts of interest before each agenda item is discussed, allowing time to decide whether the disclosing individuals should recuse themselves from further discussions on the topic.

Members of SRS Committees

Members of committees established by the SRS Board of Directors in accordance with the organization's bylaws will be held to the same standards and policies with respect to disclosure as established for the SRS Board of Directors. Any committee member with a Category I COI other than the one(s) specifically listed will be referred to the COI Committee for review and assessment.

SRS Executive Director

The Executive Director of the SRS is held to the same COI standards as the Board of Directors.

Failure of COI Disclosure

Failure of COI disclosure could be considered an ethical violation. All such matters will be referred to the Board of Directors.

III. CRITERIA

Financial or professional relationships will be classified into one of four categories:

Category I. Relationships are such that individuals **will be unable** to serve on the Board of Directors. Such is the case if the individual:

- Serves on the board of another society whose primary mission relates to sleep and circadian science;
- Serves as a paid editor for a journal owned by the Society;
- Is paid by the Society to perform any kind of work on behalf of the Society (excluding Board stipends).

Relationships are such that individuals **will be unable** to serve on a fundraising committee. Such is the case if the individual:

- Actively fundraises from sleep/circadian related companies for sleep/circadian related activities

Category II. Relationships are such that individuals **will be unable** to participate in a specific discussion or decision-making process. Such is the case if:

- The management decision under review addresses a device, medication, product, service, etc. that is owned by or contractually obligated

- (licensed) to a business in which the individual or family member holds stock or similar ownership interest;
- The individual has any other financial interest other than that due to University or Hospital supervised support;
 - The individual serves on the board of directors, or in a management role of a for-profit company that has a commercial interest in the sleep and circadian field.
 - The decision is related to interactions between the SRS and other professional societies when the individual or family member is a member of the Board of Director of the society under discussion, except in those instances where the individual has been appointed to represent the SRS.
 - The individual actively fundraises for other sleep/circadian organizations or activities.
 - The decision is related to recognition (financial or nonfinancial) of an individual who:
 - Is at the same institution
 - Within the past three years has published with, collaborated with or has been in a mentoring relationship with
 - Has received a letter of support or reference letter for this recognition from the board or committee member

Category III. Relationships that need not, **but may** preclude participation in the process of decision-making for the SRS. Such is the case if an individual or family member participates in research, serves on a scientific advisory board of a business, participates in speaker's bureaus, or has an executive position in a non-profit business related to a device, medication, product, service, etc. that is the subject of a management decision under review.

Category IV. Disclosed relationships that result in a conflict of interest in a technical sense, are allowable because they are accepted practices with minimal financial and professional impact. Such is the case if an individual or family member receives royalties for published works or other writings, accepts honoraria for commissioned papers or lectures, or receives academic institution-approved royalties.

Members of the Board of Directors will be expected to automatically recuse themselves from evaluation of any management decision if they have an apparent conflict (Category II). Furthermore, they will request a decision from other members of the Board of Directors as to whether they should exclude themselves from participation in the case of Category III conflicts. In those

situations where it is uncertain whether a Category II or III conflict exists, the Board of Directors of the SRS will resolve the matter.

**SLEEP RESEARCH SOCIETY
DISCLOSURE FORM**

NAME: 8T
(include credentials)

PHONE: 8T_____

E-mail: 8T

ADDRESS:

Street 1: 8T

Street 2: 8T

City: 8T

State: 8T

Zip Code: 8T

Country: 8T

ACADEMIC TITLE AND AFFILIATION:

8T

OPERATING DEFINITIONS

1. **BUSINESS:** Any corporation, partnership, sole proprietorship, firm, franchise, association, organization, holding company, joint stock company, receivership, business or real estate trust, or any other legal entity organized for profit or charitable purposes.
2. **FAMILY:** Spouse, children, parents, siblings, or other persons living in the same household.
3. **FINANCIAL INTEREST:** An interest in a business consisting of any stock, stock option or similar ownership interest in such business, but excluding any interest arising solely by reason of investment in such business by a mutual, pension, or other institutional investment fund over which the individual does not exercise control, or receipt of, or the right or expectation to receive, any income from such business, whether in the form of a fee, salary, allowance, forbearance, forgiveness, interest in real or personal property, dividend, royalty derived from the licensing of technology, rent, capital gain, real or personal property, or any other form of compensation, or any combination thereof.

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4. **PARTICIPATION:** To be part of the described activity in any capacity, including but not limited to serving as the principal investigator, co-investigator, research collaborator or provider of direct patient care. The term is not intended to apply to individuals who provide primarily technical support or who are purely advisory, with no direct access to the data (e. g. control over its collection or analysis).
5. **TECHNOLOGY:** Any compound, drug, device, algorithm, or diagnostic, medical, or surgical procedure intended for use in health care or health care delivery.
6. **TIME FRAME:** Any relationship within the previous year.

Declarations

Please circle "YES" or "NO" for each question.

If you answer "YES" to any question, please state the nature of the relationship, as indicated. Use additional space as necessary.

1. Do you hold paid or unpaid membership(s) on **industry/corporate** (for profit) board(s) of directors or scientific or financial advisory boards related to sleep research or sleep medicine?
 YES (List names of all industries or corporations): 8T
 NO
2. Do you serve on **board(s) of directors** or advisory board(s) **of a professional organization(s)** other than the SRS? (Excluding the APSS or SRS Foundation Boards)
 YES (List names of all organizations): 8T
 NO
3. Are you an Editor in Chief or deputy editor for a sleep/circadian related journal?
 YES (List name of journal(s)): 8T
 NO

4. Are you or a family member involved in developing goods or services which compete with SRS products or services - e.g. the *Basics of Sleep Guide*, or PubAlert?
- YES (List names of all products or services): 8T
- NO
5. Do you or a family member **have financial interest in, or own part or all of a company** selling sleep products or services *or stock* in such a company, including ownership of a sleep center by a practicing sleep physician? (mutual funds excluded)
- YES (List names of all companies): 8T
- NO
6. Have you accepted payments (honoraria) for **speaking engagements from industry** within the last year or have contracted to accept such payments in the future? Have you received funds from CME-granting organizations? (unrestricted educational grants excluded)
- YES (List names of all industries/sources of funds): 8T
- NO
7. Are you a member of an **industry speaker's bureau**?
- YES (List names of all bureaus): 8T
- NO
8. Do you raise funds from industry for a sleep/circadian related organization or activity?
- YES (List names of all organizations/activities): 8T
- NO
9. Have you or a family member received **consultation fees** from industry or a sleep-related business within the last year? Have you or a family member received a **personal gift**, including travel to scientific or business meetings, provided by industry or a sleep-related business within the last year? Has

your **institution received a gift** from industry or a sleep-related business as a result of your professional relationship?

YES (List names of all companies): 8T

NO

10. Have you or a family member received a **research grant or contract** from **industry** within the last year?

YES (List names of all companies): 8T

NO

11. Have you or a family member received **discounted or free use of material or equipment** from **industry** within the last year?

YES (List names of all companies): 8T

NO

SIGNATURE: _____ **Date:**



Reserve Fund Investment Policy

Purpose

The primary purposes of the Sleep Research Society (SRS) Reserve Fund is to provide reserve funds for the operational security of existing SRS programs and start-up resources for the implementation of new programs as deemed necessary by the SRS Board. This portfolio represents accumulated surpluses and may be used for any purpose designated by the Board of Directors. The funds are long-term (five to ten years) in nature and income and any capital gains are to be retained and reinvested within the fund.

Objectives

The objectives of the Reserve Fund should be pursued as long-term goals designed to maximize the returns without exposure to undue risk. Because fluctuating rates of return are characteristic of securities markets, the emphasis should be long-term appreciation of the assets, safety of the Fund's principal, and consistency of total portfolio returns. The Fund is expected to meet or exceed the results of indices, including those listed below, which most closely match the components of the investment portfolio during the same period.

- Standard & Poors 500 Stock Index;
- Donahue Money Market Index;
- Intermediate Treasury Bond Index;
- Shearson Lehman Brothers/ American Express Government/ Corporate Bond Index;
- Consumer Price Index; and
- Three-month United States Treasury Bills.

The Reserve Fund's minimum total expected return is six percent or the increase in the Consumer Price Index plus three percent annually, whichever is greater. Because the duration, direction, and intensity of inflation cycles vary from cycle to cycle, it is recognized that the return experienced by the Fund over any one cycle may vary from this objective; but it is deemed reasonable to expect a three percent real rate of return over succeeding cycles. The Reserve Fund's total returns are also expected to exceed those available through investment in 90-Day Treasury Bills by at least three percent.

Investment Guidelines

These investment guidelines and restrictions serve, as a framework, to achieve the investment objectives at a level of risk deemed acceptable. The guidelines allow substantial discretion in the asset allocation and diversification for the purposes of increasing investment returns and/or reducing risk exposure. The manager of these funds has broad responsibility to shift assets among asset classes, industry sectors, and individual securities to pursue opportunities presented by long-term secular



changes within the capital markets. The fund manager shall rebalance the portfolio at the end of January and at the end of July, according to the following target asset mix.

Asset Class	Minimum Weight	Target Weight	Maximum Weight
Cash & Equivalents	10%	15%	25%
Equity	25%	50%	65%
Fixed Income	25%	35%	50%

Equities

The equity portion of the portfolio should be maintained at a risk level roughly equivalent to that of the equity market as a whole. Equity holdings may be selected from the New York, American, or NASDAQ markets. Convertible securities may be purchased as equity surrogates. Mutual funds meeting these guidelines may be used.

The manager is prohibited from investing in:

1. Private placements;
2. Letter Stock;
3. Options; and
4. Securities whose issuers have filed a petition for bankruptcy

The manager is prohibited from engaging in:

1. Short sales
2. Margin transactions; and
3. Any speculative investment activities

The above guidelines give the manager full responsibilities for security selection and diversification, subject to a maximum five percent commitment at cost or 10 percent commitment of the account's market value for an individual security and 20 percent for a particular industry.

Fixed Income:

Investments in fixed income securities will be managed actively to pursue opportunities presented by changes in interest rates, credit ratings, and maturity premiums. The manager may select from corporate debt securities and obligations of the U.S. Government, its agencies, and instrumentalities.

These investments will be subject to the following limitations



1. The weighted average maturity of the portfolio must be 10 years or less with a maximum maturity of 30 years for individual securities.
2. Investments in securities of a single issuer (with the exception of the U.S. Government and its agencies and instrumentalities) must not exceed 10 percent of the portfolio at cost, nor should there be more than 25 percent exposure (at cost) to any one industry.
3. Only corporate debt issues rated AA investment grade or better by Standard & Poors and Moody's may be purchased.
4. The fixed income portion of the portfolio must conform to the following asset mix guidelines:

Asset Quality	Min Weight	Max Weight
U.S Govt., Agencies and Instrumentalities	75%	100%
U.S. Corporate AA or better	0%	25%

The manager is prohibited from investing in private placements, or from speculating in fixed income or interest rate futures. Mutual funds meeting the above guidelines may be used.

Investment Manager

1. The Budget Committee working with the SRS Board of Directors will recommend the hiring or replacing of an investment manager.
2. The Investment Manager will invest SRS funds in accordance with this policy.
3. The Investment Manager will prepare a quarterly financial report showing the performance of investments for various, appropriate time frames and contrasting the performance against pertinent indices over a three year time period. Reported results will be shown net of all fees. Total fees and commissions paid by the SRS for this Reserve Fund will be indicated.
4. The Budget Committee working with the SRS Board of Directors will annually review the performance of the investment manager in accordance with the indices in this policy.

Policy Review

The following procedures will be followed to ensure the investment policy statement is consistent with the current mission of the SRS and accurately reflect the current financial condition of the SRS

1. This investment policy shall be reviewed annually by the Budget committee working with the SRS Board of Directors and Investment Manager.
2. The Budget Committee and SRS Board of Directors will make recommendations for any revision or modifications to the investment policy.

Administrative Policies (cont.)

2.6 Club Hypnos Policy

Purpose

Club Hypnos is to serve as a membership benefit and a recruitment tool for the SRS. This program will help to achieve the following goals from the 2018-2022 Strategic Plan:

- A1: Provide benefits that maximize membership value year-round
- A3: Expand recruitment to a more diverse set of members
- C2: Promote cutting-edge and diverse research at SRS meetings/in the Journal
- F: Develop strategic partnerships nationally and internationally

Structure

Club Hypnos has been expanded into an SRS promotional program as a broader benefit of being an SRS member. Club Hypnos events have been integrated into SRS operations and expanded to include receptions at other scientific meetings (e.g. American Thoracic Society, American Physiological Society, American Psychological Association, American Psychiatric Association, Association for Behavioral and Cognitive Therapies etc.) and as an event at the APSS meeting, which includes a data blitz

Senior members of other organizations who are also members of SRS are invited to be Club Hypnos hosts (i.e Dr. X for the ATS, Dr. Y. for the APA, etc.). Each host would complete the "Club Hypnos Application," and if approved, work with the SRS membership chair, and the SRS Coordinator, be given a small budget (not to exceed \$3,000) for organizing the reception, to include food, services, and appropriate SRS literature.

Club Hypnos hosts are asked to complete the following:

- Provide SRS materials to attendees
- Present a short slide presentation about the SRS, including mission, goals, conferences and journals
- Provide a summary of all sleep & circadian presentations at that conference to attendees
- Consider a datablitz if hosting at a larger conference with a greater sleep/circadian community
- Consider hosting a Club Hypnos at conferences where there is not already an established sleep & circadian community

Application Process

1. The Club Hypnos application can be found on the SRS website. Applications are due to the national office by October 1 each year.
2. Applications will be reviewed by both the Membership Committee and the SRS Board of Directors.
3. Funding decisions for the following calendar year will be made at the November SRS Board of Directors meeting.

2.7 Trainee Workshop Funding Policy

The Sleep Research Society regularly funds and sponsors Trainee Workshops at domestic and international meetings, with the purpose of encouraging trainee education and opportunity. Applications must be received by any organization requesting funds for such an activity, and this request is reviewed and approved or denied by the Trainee Education and Advisory Committee (TEAC).

Because the SRS Annual Meeting (APSS) is the premier scientific meeting on sleep in the world, the Board wishes to encourage high attendance, from scientists, practitioners, and trainees in sleep medicine. To protect SRS interests, no Trainee Workshop proposals will be considered which are planned two weeks prior to the first day, or two weeks after the last day of the APSS annual meeting. This policy shall be enforced by TEAC, and the Board shall serve as a backup to ensure this policy is enforced.

2.8 Policy on Gift Solicitations

The Sleep Research Society Policy on Gift Solicitations is as follows:

1. Donated funds should only be accepted by the Sleep Research Society Board of Directors.
2. Funds may be restricted for specific purposes by the Sleep Research Society Board of Directors.

Fund-raising materials and correspondence should have the approval of the Sleep Research Society Board of Directors.

2.9 Committee Confidentiality Policy

From time to time, SRS Committee and Task Force Members gain access to information that is confidential to the SRS and/or SRSF. All information distributed during SRS and SRSF committee and board meetings should be considered privileged. Examples of

privileged information include membership lists and product pricing lists. Access to this information is for the sole benefit of the SRS and/or SRSF. Committee members are not allowed to share this information with any individuals other than members of the same committee/task force and SRS board members. Committee members are also not allowed to use this information for any non-SRS activities or to the benefit of any other organization. If a breach of confidentiality is suspected, it should be reported to the Conflict of Interest (COI) Committee as soon as possible. The COI Committee will discuss the alleged breach with the involved parties. Sanctioning decisions (including possible removal from the committee or task force) will be based upon the COI Committee's evaluations of 1) the potential harm done by the disclosure and 2) the intent behind the disclosure.



Professional Policies

Faculty-Trainee Relationship Policy

Purpose

The SRS hopes to foster constructive, collegial, and respectful mentoring relationships between faculty and trainees. This policy was developed to ensure that those participating in SRS events maintain a standard of conduct that allows for the best possible work/learning environment.

Policy Statement

Each faculty member participating in training events sponsored or supported by the Sleep Research Society is expected to maintain appropriate professional boundaries with students and other trainees. Because members of the faculty are entrusted with advising and teaching trainees, evaluating their work, and recommending the trainees to other colleagues, they are in a delicate relationship of trust and power. Amorous or sexual relationships are inappropriate in the context of educational supervision and evaluation; such relationships present serious ethical concerns to the SRS, even when both parties have apparently consented to developing such a relationship. Truly consensual relationships do not constitute sexual harassment; however, these relationships are problematic if the parties are of unequal power, because the validity of the consent can be questioned. In addition, circumstances may change and conduct that was previously welcome may become unwelcome. Furthermore, the relationship may be perceived differently by each party in retrospect.

Recipients of unwanted sexual attention or behavior should take the following steps:

1. Object and let the individual know that you want your relationship to be strictly professional.
2. Notify the director of the SRS Training Course and/or the SRS Program Chair for Trainees as soon as possible.



Policy for the Use of Animals in Sleep and Circadian Research

Policies on the Use of Animals in Sleep

Introduction

The Sleep Research Society (SRS) and the American Academy of Sleep Medicine (AASM), acting together as the Associated Professional Sleep Societies (APSS), are professional societies for basic and clinical researchers and clinicians interested in the mechanisms of sleep and its disorders. We endorse and support the appropriate and responsible use of animals as experimental subjects. Knowledge generated by research on animals has led to important advances in the understanding of diseases and in the development of better treatments that reduce suffering in humans and animals. Continued progress in understanding the neural mechanisms of sleep and wakefulness and the influence of behavioral state changes on other bodily functions requires investigation of complex processes in the living body. Because no adequate alternatives exist, much of this research must be done on animal subjects. APSS takes the position that biomedical scientists have an obligation to contribute to this progress through responsible and humane research on animals.

Several functions of APSS are related to the use of animals in research. A number of these involve decisions about research conducted by our members, including the scheduling of scientific presentations at the Annual Meeting, the review and publication of original research papers in *SLEEP* and the defense of members whose ethical use of animals in research is questioned by animal rights activists. APSS's support for the research of individual members defines a relationship between APSS and its members.

The purpose of this document is to outline the policy that guides that relationship. Compliance with the following policy will be an important factor in determining the suitability of research for presentation at the Annual Meeting or for publication in *SLEEP* and in situations where APSS or its member societies are asked to provide public and active support for a member whose use of animals in research has been questioned.

The responsibility for implementing the policy in each of these areas rests with the relevant administrative body (Program Committee, Publications Committee, Editorial Board and Committee on Animals in Research, respectively) in consultation with the Boards of Directors of ASDA and SRS.

Policy on the Use of Animals in Sleep Research

Sleep research uses complicated, often invasive methods, each of which is associated with different problems, risks and specific technical considerations. An experimental method that would be deemed



inappropriate for one kind of research may be the method of choice for another kind of research. It is, therefore, impossible for APSS to define specific policies and procedures for the care and use of all research animals and for the design and conduct of every experiment.

The U.S. Public Health Service's Policy on Humane Care and Use of Laboratory Animals (PHS policy) and the Guide for the Care and Use of Laboratory Animals (the Guide) describe general policies and procedures designed to ensure the humane and appropriate use of live vertebrate animals in all forms of biomedical research. APSS finds the policies and procedures set forth in the PHS policy and the Guide to be both necessary and sufficient to ensure a high standard of animal care and use and adopts them as its official Policy on the Use of Animals in Sleep Research (APSS policy). All ASDA and SRS members are expected to conduct their animal research in compliance with this policy. Members are required to verify that they have done so when submitting abstracts for presentation at the APSS Annual Meeting or manuscripts for publication in SLEEP. Adherence to the APSS policy is also an important step toward receiving help from APSS in responding to questions about a member's use of animals in research.

Local Committee Review

An important element of the APSS's policy and that of governmental bodies is the establishment of a local committee that is charged with reviewing and approving all proposed animal care and use procedures. In addition to scientists experienced in research involving animals and a veterinarian, the membership of this local committee should include a nonscientist and a person who is not affiliated with the member's institution in any other way. In reviewing a proposed use of animals, the committee should evaluate the adequacy of institutional policies, animal husbandry, veterinary care and the physical plant. The committee should pay specific attention to proposed procedures for animal procurement, quarantine and stabilization, separation by species, disease diagnosis and treatment, anesthesia and analgesia, surgery and post-surgical care, and euthanasia. The review committee also should ensure that procedures involving live vertebrate animals are designed and performed with due consideration of their relevance to human or animal health, the advancement of knowledge or the good of society. This review and approval of a member's use of live vertebrate animals in research by a local committee is an essential component of the APSS policy. For assistance in developing appropriate animal care and use procedures and establishing a local review committee, call APSS and consult the documents recommended at the end of this section.

Other Laws, Regulations and Policies

In addition to complying with the policy described above, APSS members who reside in North America must also adhere to all relevant national, state or local laws and/or regulations that govern the use of animals in sleep research. Thus, U.S. members must observe the U.S. Animal Welfare Act



(as amended in 1985) and its implementing regulations from the U.S. Department of Agriculture. Canadian members must abide by the January 1993 Guide to the Care and Use of Experimental Animals. Members in Mexico must comply with the "Seventh Title of the Regulations of the General Law of Health Regarding Health Research." In addition to complying with the laws and regulations of their home countries, foreign members of APSS should adhere to the official policies outlined here.

General Principles

The following principles, based largely on the PHS Policy on Humane Care and Use of Laboratory Animals, are a useful guide to designing and implementing experimental procedures involving laboratory animals:

Animals selected for a procedure should be of an appropriate species and quality and the minimum number required to obtain valid results.

Proper use of animals, including the avoidance or minimization of discomfort, distress and pain, is imperative.

Procedures with animals that may cause more than momentary or slight pain or distress should be performed with appropriate sedation, analgesia or anesthesia. Surgical or other painful procedures should not be performed on anaesthetized animals paralyzed by chemical agents.

Postoperative care of animals should minimize discomfort and pain and, in any case, should be equivalent to accepted practices in schools of veterinary medicine.

Animals that would otherwise suffer severe or chronic pain or distress that cannot be relieved should be painlessly killed at the end of the procedure or, if appropriate, during the procedure. If the study requires the death of the animal, the animal must be killed in a humane manner.

Living conditions should be appropriate for the species and contribute to the animals' well-being. Normally, the housing, feeding and care of all animals used for biomedical purposes must be directed by a veterinarian or other scientist trained and experienced in the proper care, handling and use of the species being maintained or studied. In any case, appropriate veterinary care should be provided.

Exceptions to these principles require careful consideration and should only be made by an appropriate review group such as an institutional animal care and use committee.



SRS Stakeholder Support Guidelines

(Formerly Conference Grant Support Program Policies)

Background

The Sleep Research Society (SRS) understands that some grant applications require stakeholder support prior to the submission of that grant. The SRS will offer requested support to member applicants of grants requiring such support, given they are aligned with the goals of the SRS Strategic Plan. The SRS will review requests for endorsement of initiatives consistent with the SRS Strategic Plan.

Forms of Support

Due to its status as a member organization, the SRS cannot provide letters of support for principal investigators to include in grant applications for the sole purpose of endorsing the scientific value of the project, such as for NIH R01 mechanisms, or any similar mechanism from any other agency. The SRS may issue a letter of support, a memorandum of understanding or other mechanism of non-financial support of activities that are consistent with SRS strategic goals. Examples of initiatives that may be appropriate include Patient Centered Outcomes Research Initiatives and Training Grants that clearly require such endorsement and are designed to meet the sleep research aims as indicated in the Strategic Plan. View a sample letter.

How to Request Support

The requester must submit a written request to the SRS Board of Directors that details the initiative for which that endorsement is being requested and the SRS strategic goal that is addressed by the initiative.

The request must:

- Describe the governance structure of the organization/group that is requesting the endorsement of the SRS.
- Indicate requirement of endorsement.
- Describe to whom the endorsement will be submitted
- Clearly state any commitment expected of the SRS due to the endorsement. Note that this cannot include a request for funds for activities associated with the endorsement.

Applications will be reviewed by the SRS Board of Directors or Executive Committee and responses will be given within 60 days.

Industry Partner Interaction Policy

I. Preamble

The Sleep Research Society (SRS) is an organization for scientific investigators who educate and conduct research on sleep and circadian science. The SRS serves its members and the field of sleep and circadian research through training and education, and by providing forums for collaboration and the exchange of ideas. The SRS facilitates its goals through a scientific journal, meetings, workshops, conferences, early career investigator development, and outreach efforts designed to educate policy makers and inform the public on issues regarding sleep.

Ethical relationships between members and industry partners are critical to the SRS mission to advance sleep and circadian science. An important part of achieving this mission is ensuring that scientists are equipped to produce and share the results of the highest quality research. Collaborating with organizational partners allows SRS members access to emerging educational and research tools and technologies that may have a profound impact on their research.

Organizational partners are defined as those that make an annual financial commitment to SRS of \$5,000 or more.

Collaboration with organizational partners enables SRS to:

- Advance SRS's goals and objectives, thereby increasing value to SRS members and the scientific community
- Diversify SRS's funding sources
- Gain a deeper understanding of the strategic interests of our partners
- Provide scientific and educational information that benefits all parties
- Share scientific knowledge with our partners and provide feedback and advice about technologies, products, or services through consultation with scientific experts

SRS believes that fostering interaction within the scientific community is central to advancing our mission, vision, and goals. To that end, SRS is committed to following the highest ethical principles and to comply with established industry standards. SRS has created this policy to serve as a guide to ensure that our interactions with scientific organizational partners are professional exchanges designed to benefit SRS, its members, the greater scientific community, and the public.

II. Guiding Principles

SRS established the following overarching principles to guide the society with its relationships and interactions with industry partners and sponsors.

1. SRS will determine the need for a program and verify that the program aligns to their mission before seeking to raise funds or sponsors to implement a program.

2. SRS will not accept funds where sponsor influence or restrictions would unduly impact the program's outcome or change the program's alignment with the mission.
3. SRS will make reasonable effort to seek multiple sponsors for programs or items.
4. SRS will not endorse any company, or product.

III. Organizational Partnerships

SRS understands the importance of partnering with for-profit entities and other organizations to help increase the likelihood of achieving its mission, and to amplify the reach and impact of its scientific work.

SRS's organization partnership program helps develop relationships with organizations that align with SRS's values of unselfish cooperation in research and the highest standards of scientific integrity, that do not harm SRS's brand and reputation, and that share a vested interest in and commitment to advancing and communicating sleep and circadian science. The public statement(s) of our organizational partners shall not directly oppose those of SRS. SRS will not accept funding from organizational partners that promote and/or disseminate scientific misinformation, or that fund organizations or other partners that publicly promote scientific misinformation.

SRS derives direct benefit from organizational partnerships from knowledge sharing and support for innovations in sleep and circadian sciences. Organizational partners benefit from collaboration with SRS scientific thought leaders with the overall goal of advancing science for the betterment of mankind.

There are several vehicles through which SRS partners with organizations, including:

A. Member Research

Member collaboration and research provides significant value to both SRS members and organizational partners by better defining the current and future needs of our members. The two most common mechanisms for providing member research are member surveys and member roundtables, and are defined as follows:

- Member Surveys
 - Member surveys allow organizational partners with a vested interest in SRS and its members the opportunity to collect real-time data from members by conducting short 5-10 question surveys. Typically, these surveys are sent to a sub-set of the SRS membership. Surveys allow members to share their insights while the organizational partner gathers the information they are seeking for market intelligence.
 - SRS utilizes an opt-in system for member surveys that contain content from an organizational partner. Only members that choose to participate will receive select surveys.
 - All member survey content must be approved by SRS and surveys are sent by SRS.

- The scope of surveys varies based on the partner's desired audience; however, survey results are strictly for internal use only by the partners. Partners receive no commercial benefit, nor are they permitted to use the survey results to make a claim, promote their products or services, nor otherwise imply SRS endorsement of specific products or services based on the outcomes of surveys.
 - SRS maintains ultimate control of the survey data and shares only aggregate findings with organizational partners. Individual member data and information are not provided to organizational partners. Recipients of the survey will be told that the survey was developed in partnership with the sponsor and that only aggregate information will be shared.
- Member Roundtables
 - Member roundtable discussions allow organizational partners with an interest in SRS and the affiliated sciences to gain relevant insights on important topics to the field of sleep and circadian science. Roundtable discussions typically last between 60-90 minutes and SRS organizational partners may participate and/or facilitate these discussions. Roundtable discussions are non-commercial in nature and simply allow all participants an opportunity to share their unique perspectives on certain topics.
 - SRS utilizes an opt-in system for member roundtables. Only members that opt-in to participate will receive select roundtable invitations, which also disclose the organizational partner.
 - Roundtables are typically limited to 10-20 individuals.

The participation of organizational partners in SRS member surveys and roundtables is at SRS's sole discretion.

B. Direct Partnership Benefits

- Organizational partners will receive tangible benefits based on their level of support. A tiered partnership benefits program approved by the Society will be offered to all qualifying partners.

C. Recognition

- All organizational partners are showcased through a comprehensive recognition program that may include recognition in SRS print publications, digital publications, and at selected SRS events. SRS's recognition program does not imply endorsement of any product, service, or organization, but rather recognizes those that have made financial investments in SRS and have demonstrated a commitment to the success of SRS members.

IV. Sponsorship

The SRS pursues traditional sponsorship for meetings as a means of generating non-dues and non-registration revenue to help support the costs of the meetings. SRS offers meeting and other sponsorship opportunities when the sponsorship does not interfere with the mission of

SRS or the objectives of the meeting. SRS will appoint their own planning committee to determine objectives, content, faculty, and format in a manner that is consistent with their mission.

Sponsorship at a meeting or event does not constitute an endorsement of or by SRS.

V. Webinars

SRS recognizes that there are instances where information from a for-profit or non-profit entity may be of interest and value to its members. In those instances (for example, update on new product release and how it allows for enhanced and improved research to be consistent with new scientific trends, information about scientific advances through corporate research, etc.), SRS offers the opportunity for a company sponsored webinar.

All webinar content must be approved by SRS. SRS reserves the right to decline any submitted webinar or to discontinue publication of any webinar previously accepted.

SRS will require company informational/educational programs to be clearly distinguished. To ensure a clear differentiation between society-produced content and company sponsored webinars, all webinars must be clearly identified as company sponsored on the first slide of the webinar and the sponsor will be identified [on the link to the webinar, or wherever members will get the content].

VI. Research Awards

SRS assists early career researchers by providing career-development awards and small research grants. SRS utilizes donated funds in order to make these research awards. SRS will retain control over research award programs and will implement safeguards designed to ensure that awards are non-promotional and free from commercial influence or bias. An independent committee will peer review all applications for research awards and the Board of Directors will make the final determination of award winners. Sponsors will not be permitted to select or influence the selection of award recipients, they will have no rights to any intellectual property arising from research award support, and they will not be permitted to control or influence manuscripts arising from research award support.

VII. Criteria for Declining Organizational Partner Support

SRS welcomes the participation of organizational partners and sponsors in support of their mission to advance sleep and circadian science. SRS may decline opportunities for support at its sole discretion. Reasons to decline support may include, but are not limited, to the following:

- The availability of opportunities due to scheduling or inventory limitations.
- Copy, content, or its presentation does not meet SRS guidelines.
- The prospective partner/sponsor and/or the campaign proposed is not in alignment with the mission and vision of SRS, or the public positions of SRS.



SRS Website Policy

Content

All scientific and educational information must be approved by the Board of Directors, Executive Committee, or its designee prior to posting on the website.

Linkage

Links to other worldwide websites are restricted to those non-commercial sites, which are substantially sleep-related, with content specifically addressing public education or professionally relevant topics in sleep/circadian research. Sites for commercial vendors and other E-commerce sites are not eligible for linkage. Candidate sites must be submitted to the SRS Communications Committee for evaluation and will not be included in the SRS Website unless approved by the Board of Directors. Any SRS or AASM member may submit a candidate site to the committee for evaluation. Sites may also be submitted by other appropriate sleep-related organizations for committee review, subject to similar guidelines for approval. The committee can remove active links from the SRS Website without prior notification at any time for any reason deemed appropriate.

Reporting

The SRS Communications Committee and Website Administrator will notify the Board of all modifications in the website and will prepare a monthly report of all modifications for the Board of Directors Meetings.

Disclosure

The website will disclose the SRS Mission Statement, the names, titles and professional addresses of key staff, Board of Directors, and committee chairs, as well as sources of funding for the website.

Advertising

The website will not contain proprietary names for non-educational devices or products. Exceptions to this policy would include any Board approved communication released for public dissemination.

Administrative

The website content and structure will be the responsibility of the SRS Communications Committee in conjunction with the SRS administrator with final authority resting with the Board of Directors.

Updated 5-20-19

SLEEP RESEARCH SOCIETY ONLINE PRIVACY POLICY

Effective June 16, 2021

Sleep Research Society (“SRS” in this Privacy Policy) respects your privacy as a visitor to its website and has developed the following privacy policy to inform you about how SRS handles your personal information after receiving it. This Privacy Policy governs SRS use of your information on the SRS website: <https://www.sleepresearchsociety.org/>.

Please read this Online Privacy Policy carefully to understand our policies and practices regarding your information and how we will treat it. If you do not agree with our policies and practices, your choice is not to use our Website. By accessing or using this Website, you agree to this Policy. This Policy may change from time to time. Your continued use of this Website after we make changes is deemed to be acceptance of those changes, so please check the Policy periodically for updates.

1 CHILDREN UNDER THE AGE OF 13

Our Website is not intended for children under 13 years of age. No one under age 13 may provide any personal information to or on the Website. We do not knowingly collect personal information from children under 13. If you are under 13, do not use or provide any information on this Website or through any of its features, register on the Website, make any purchases through the Website, use any of the interactive or public comment features of this Website, or provide any information about yourself to us, including your name, address, telephone number, email address, or any screen name or username you may use. If we learn we have collected or received personal information from a child under 13 without verification of parental consent, we will delete that information. If you believe we might have any information from or about a child under 13, please contact us at using the information set forth below in Section 15.

California residents under 16 years of age may have additional rights regarding the collection and sale of their personal information. Please see Your California Privacy Rights for more information.

2 CONTROLLER

SRS is the controller and responsible for your personal information (“SRS,” “we,” “us” or “our” in this privacy policy).

We have appointed a data protection officer (DPO) who is responsible for overseeing questions in relation to this privacy policy. If you have any questions about this privacy policy, including any requests to exercise your legal rights, please contact the DPO using the information set forth in Section 15 below.

You have the right to make a complaint at any time to EU supervisory authorities for data protection issues (https://edps.europa.eu/data-protection/our-role-supervisor/complaints_en). We would, however, appreciate the chance to deal with your concerns before you approach such authorities so please contact us in the first instance.

3 TYPES OF INFORMATION COLLECTED AND STORED

3.1 Personal Information Summary.

When you engage in activities such as sign up to become a member of SRS, receive a SRS publication, make donations to SRS, shop on our website, sign up for SRS-sponsored events, or otherwise use the SRS website, SRS may gather your personally identifiable information (“Personal Information”).

Your Personal Information may generally include, but is not limited to, your name, address, phone number, email address, birthdate, electronic signature, personal identification numbers, IP addresses, mobile device identifiers, geo-location, or any other personally identifying data collected from you by SRS or its authorized agents.

By using the SRS website, you agree to allow SRS and its agents to gather, store, and share your Personal Information subject to the limits of this Online Privacy Policy.

3.2 Specific types of data we collect about you.

We may collect, use, store and transfer different kinds of personal data about you which we have grouped together as follows:

3.2.1 Identity Data

Identity Data includes first name, maiden name, last name, username or similar identifier, marital status, title, date of birth and gender.

3.2.2 Contact Data

Contact Data includes billing address, delivery address, email address and telephone numbers.

3.2.3 Financial Data

When you use the SRS website to shop or to make donations to SRS, SRS utilizes third-party payment processors as its agents (“Payment Agents”) to process your payment and provide payment verification to SRS concerning your payment. SRS and its Payment Agents utilize systems whereby we substitute a proxy set of identifying information for your real financial information. Our Payment Agents, which do handle your credit cards and other payment information, are PCI Data Security Standard (“PCI DSS”) compliant. SRS does not collect or store your credit card numbers or other similar financially-related Personal Information and it isn’t exposed more than necessary. For more information about PCI DSS please visit https://www.pcisecuritystandards.org/about_us/.

3.2.4 Transaction Data

Transaction Data includes details about payments to and from you and other details of SRS products and services you have purchased from us.

3.2.5 Technical Data

Technical Data includes internet protocol (IP) address, browser type and version, time zone setting and location, browser plug-in types and versions, operating system and platform, and other technology on the devices you use to access this website.

3.2.6 Profile Data

Profile Data includes your SRS donations, SRS purchases or orders made by you, your interests, preferences, feedback and survey responses where applicable.

3.2.7 Usage Data

Usage Data includes information about how you use the SRS website, products and services.

3.2.8 Marketing and Communications Data

Marketing and Communications Data includes your preferences in receiving marketing from us and our third parties and your communication preferences.

3.2.9 Aggregated Data / Analytics Information

Aggregated Data / Analytics Information. We also collect, use and share Aggregated Data. In an effort to improve visitors' experiences on the SRS website, SRS gathers this Aggregated Data related to individuals' website visits. This information is used solely to measure and improve our website and services and to better serve our members and customers. SRS uses aggregate statistical data to compile reports. If we combine or connect Aggregated Data with your personal data so that it can directly or indirectly identify you, we treat the combined data as Contact Data, Technical Data, and/or Marketing and Communications Data which will be used in accordance with this privacy policy. This analytics information so gathered is likely to include the following:

- a. Device and network specific information, such as your unique device identifier, operating system and version, the browser you use, your Internet service provider (ISP), and your IP address.
- b. Non-personal information, such as language, zip code, area code, location, and the time zone.
- c. SRS website visit information, such as the domain from which you came to our website or referring links, and details of how you use our website, including but not limited to what webpages you visit on the SRS website, as well as downloads, purchases, and orders during the duration of your visit. At times we will track user behavior over time during interactions with the site in order to pursue legitimate business interests, including, but not limited to, troubleshooting technical user issues with site services.

3.3 Sensitive Information.

We do not collect any Special Categories of Personal Data about you (this includes details about your race or ethnicity, religious or philosophical beliefs, sex life, sexual orientation, political opinions, trade union membership, information about your health, and genetic and biometric data). Nor do we collect any information about criminal convictions and offenses.

3.4 Cookies and Browser "Do Not Track" Notice

- a. SRS may use cookies on your computer. A cookie is a small piece of data sent from a website and stored in a user's web browser while the user is browsing that website. Every time the user loads the website, the browser sends the cookie back to the server to notify the website of the user's previous activity. Third parties that advertise on the SRS website do not have access to SRS cookies, but they may use their own cookies on your computer. Advertisers' use of their cookies and device

identifiers is subject to the advertisers' own privacy policies. SRS does not correlate its use of cookies with your Personal Information.

- b. Certain features of our Website may use local stored objects (or Flash cookies) to collect and store information about your preferences and navigation to, from, and on our Website. Flash cookies are not managed by the same browser settings as are used for browser cookies. For information about managing your privacy and security settings for Flash cookies, see Choices About How We Use and Disclose Your Information
- c. SRS does not respond to browser Do Not Track ("DNT") Signals. SRS websites may utilize page tags or web beacons to track information related to user visits as a part of SRS data analytics processes and user experience customization as described below. Page tags are small pieces of Javascript embedded in webpages that collect data to help track web traffic on our website. Web beacons are very small, effectively invisible, graphic images we use to count and recognize users on our website. Such technologies enable us to improve and customize user experiences while users visit our website. SRS does not correlate its tracking activities through the use of page tags or web beacons with your Personal Information.
- d. SRS may employ third party data analytics firms to track and analyze traffic on the SRS website, to analyze visitor trends, to determine advertising effectiveness, browser types and usage trends, and to present targeted ads based on anonymous information collected through tracking. SRS' third-party analytics firms, as described in this section, do not receive your Personal Information.
- e. Third parties that may advertise on SRS websites may have content embedded that sets cookies on a visitor's browser and/or tracks visitor information that a web browser visited a specific SRS website. Such information may contain a visitor's IP address. Third parties may not collect identifying Personal Information from the SRS website unless you provide it to such third parties.
- f. You can set your browser to refuse all or some browser cookies, or to alert you when websites set or access cookies. If you disable or refuse cookies, please note that some parts of this website may become inaccessible or not function properly.

3.5 Keeping Information Updated

It is important that the personal information we hold about you is accurate and current. Please keep us informed if your personal information changes during your relationship with us.

4 SECURITY OF PERSONAL INFORMATION

SRS takes the security of your Personal Information very seriously. When your Personal Information is stored by SRS, we use reasonable and appropriate measures to protect it from loss, misuse and unauthorized access, disclosure, alteration and destruction. Unfortunately, data transmission over public networks cannot be guaranteed to be one hundred percent secure. While SRS will use all reasonable means to protect your Personal Information, SRS cannot guarantee the security of your transmissions of such Personal Information, and you use the SRS website at your own risk. If you suspect your Personal Information has been compromised, please notify SRS Customer Service using the contact information provided below.

5 HOW WE COLLECT YOUR PERSONAL INFORMATION.

We use different methods to collect data from and about you including through the following methods.

5.1 Direct interactions.

You may give us your Identity, Contact and Financial Data by filling in forms or by corresponding with us by post, phone, email or otherwise. This includes personal data you provide when you:

- 1.1.2. apply for our products or services;
- 1.1.3. create an account on our website;
- 1.1.4. subscribe to our service or publications;
- 1.1.5. request marketing to be sent to you;
- 1.1.6. enter a competition, promotion or survey; or
- 1.1.7. give us feedback or contact us.

5.2 Automated technologies or interactions.

As you interact with our website, we will automatically collect Technical Data about your equipment, browsing actions and patterns. We collect this personal data by using cookies, server logs and other similar technologies. We may also receive Technical Data about you if you visit other websites employing our cookies.

5.3 Technical Data from the following parties:

- a. Analytics providers such as Google based outside the EU;
- b. Advertising networks based inside OR outside the EU; and
- c. Search information providers based inside OR outside the EU.

5.4 Contact, Financial and Transaction Data from providers of technical, payment and delivery services based inside OR outside the EU.

5.5 Identity and Contact Data from data brokers or aggregators based inside OR outside the EU.

5.6 Identity and Contact Data from publicly available sources.

6 HOW SRS USES AND SHARES YOUR INFORMATION

6.1 General Information and Your Rights.

SRS limits its use of your Personal Information to the stated purposes for which such information is collected. In some cases, SRS may be required to disclose your Personal Information in response to lawful requests by public authorities, including to meet national security or law enforcement requirements. You have the right to the following regarding your Personal Information transferred to SRS:

- a. To know the types of Personal Information SRS collects;
- b. To know the purposes for which it collects and uses your Personal Information;

- c. To know type or identity of third parties to which SRS discloses your Personal Information, and the purposes for which it does so;
- d. To access and update your Personal Information; and
- e. To know the choices and means SRS offers you for limiting the use and disclosure of your Personal Information.

6.2 Other SRS Services.

SRS may use your Personal Information to provide services to you upon your request. Such services may include sending you newsletters and publications, responding to your questions and comments, communicating with you concerning your purchases on the SRS website, emailing you updates concerning SRS products and services, and personalizing your visits to SRS website.

You may opt-out of the use of your Personal Information as described in this Section by contacting SRS Customer Service using the contact information provided below.

6.3 SRS Internal Data Sharing

SRS may also share your Personal Information with other SRS offices or SRS subsidiaries in the country in which you reside and in other countries.

6.4 Information Sharing with Third Parties

- a. This website may include links to third-party websites, plug-ins and applications. Clicking on those links or enabling those connections may allow third parties to collect or share data about you. We do not control these third-party websites and are not responsible for their privacy statements. When you leave our website, we encourage you to read the privacy policy of every website you visit.
- b. SRS may utilize third-party service providers that process your Personal Information solely on SRS' behalf ("Agents"). When SRS transfers your Personal Information to its Agents, your Personal Information will be used only for limited and specified purposes. SRS will take reasonable and appropriate steps to ensure that its Agents process your personal information in a manner consistent with the organization's obligations under the Principles. SRS remains responsible and liable if the Agents that SRS engages to process your Personal Information on SRS' behalf do so in a manner inconsistent with this Online Privacy Policy, unless SRS proves that it is not responsible for the event giving rise to the damage.
- c. SRS may share aggregated demographic information with our partners and advertisers. This is not linked to any Personal Information that can identify any individual person.
- d. SRS uses outside third parties to ship orders and financial service-oriented third parties to bill users for goods and services. All parties with which SRS shares your Personal Information are bound by confidentiality and data transfer agreements consistent with this Online Privacy Policy.
- e. SRS may partner with third parties to provide other specific services, including, but not limited to registration for SRS conferences and other SRS program and educational materials. When the user signs up for these services, we may share names, or other contact information that is necessary for the third party to provide these services. SRS may auto-populate forms utilized by these third parties with data contained in SRS managed cookies. These third parties are not allowed to use

your Personal Information except for the purpose of providing these services. All parties with which SRS shares your Personal Information are bound by confidentiality and data transfer agreements consistent with this Online Privacy Policy.

- f. SRS may share email information with third parties who provide a pay-per-use list rental service in order to allow third parties to provide mailed content to other SRS' members.

6.5 Other Possible Disclosures.

In addition to the other disclosures stated herein, SRS may share your information in the following ways:

- a. To comply with applicable laws, regulations, legal processes, or government enforced orders,
- b. To enforce applicable terms of service, protect our legal rights or defend against legal claims,
- c. To defend, prevent, take action, and otherwise address security or technical issues, as well as suspected or potential fraud,
- d. To guard against harm (whether actual or potential) to the legal rights, property or safety of SRS, our visitors or the general public as required or permitted by law.

7 INTERNATIONAL TRANSFERS

We share your personal data within SRS. This will involve transferring your data outside the European Economic Area (EEA).

Many of our external third parties are based outside the EEA so their processing of your personal data will involve a transfer of data outside the EEA.

8 SRS PURPOSES IN USING PERSONAL INFORMATION

We have set out below, in a table format, a summary of the ways we plan to use your personal information, and which of the legal bases we rely on to do so. We have also identified what our legitimate interests are where appropriate.

Note that we may process your personal information for more than one lawful ground depending on the specific purpose for which we are using your data. Please contact us if you need details about the specific legal ground we are relying on to process your personal information where more than one ground has been set out in the table below.

Purpose/Activity	Type of data	Lawful basis for processing including basis of legitimate interest
To register you as a new customer or member.	(a) Identity (b) Contact	Performance of a contract with you
To register you for SRS	(a) Identity	a) Performance of a contract with

<p>events, conferences and programs.</p>	<p>(b) Contact (c) Profile (d) Marketing and Communications (e) Financial (f) Transactional</p>	<p>you (b) Necessary to comply with a legal obligation (c) Necessary for our legitimate interests (to keep our records updated and to study how customers use our products/services)</p>
<p>To process and deliver your order including: (a) Manage payments, fees and charges (b) Collect and recover money owed to us</p>	<p>(a) Identity (b) Contact (c) Financial (d) Transaction (e) Marketing and Communications</p>	<p>(a) Performance of a contract with you (b) Necessary for our legitimate interests (to recover debts due to us)</p>
<p>To manage our relationship with you which will include: (a) Notifying you about changes to our terms or privacy policy (b) Asking you to leave a review or take a survey (c) Inviting you to contribute content, or respond to social media communications (c) Managing SRS member services.</p>	<p>(a) Identity (b) Contact (c) Profile (d) Marketing and Communications (e) Financial (f) Transactional</p>	<p>(a) Performance of a contract with you (b) Necessary to comply with a legal obligation (c) Necessary for our legitimate interests (to keep our records updated and to study how customers use our products/services)</p>
<p>To administer and protect our business and this website (including troubleshooting, data analysis, testing, system maintenance, support, reporting and hosting of data)</p>	<p>(a) Identity (b) Contact (c) Technical</p>	<p>(a) Necessary for our legitimate interests (for running our business, provision of administration and IT services, network security, to prevent fraud and in the context of a business reorganisation or group restructuring exercise) (b) Necessary to comply with a legal obligation</p>
<p>To deliver relevant website content and advertisements to you and measure or understand the effectiveness of the advertising we serve to you</p>	<p>(a) Identity (b) Contact (c) Profile (d) Usage (e) Marketing and</p>	<p>Necessary for our legitimate interests (to study how customers use our products/services, to develop them, to grow our business and to inform our marketing strategy)</p>

	Communications (f) Technical	
To use data analytics to improve our website, products/services, marketing, customer relationships and experiences	(a) Technical (b) Usage	Necessary for our legitimate interests (to define types of customers for our products and services, to keep our website updated and relevant, to develop our business and to inform our marketing strategy)
To make suggestions and recommendations to you about goods or services that may be of interest to you	(a) Identity (b) Contact (c) Technical (d) Usage (e) Profile (f) Marketing and Communications	Necessary for our legitimate interests (to develop our products/services and grow our business)

9 DATA RETENTION

1. We will only retain your personal data for as long as reasonably necessary to fulfil the purposes we collected it for, including for the purposes of satisfying any legal, regulatory, tax, accounting or reporting requirements. We may retain your personal data for a longer period in the event of a complaint or if we reasonably believe there is a prospect of litigation in respect to our relationship with you.
2. To determine the appropriate retention period for personal data, we consider the amount, nature and sensitivity of the personal data, the potential risk of harm from unauthorized use or disclosure of your personal data, the purposes for which we process your personal data and whether we can achieve those purposes through other means, and the applicable legal, regulatory, tax, accounting or other requirements.

10 SRS EMAIL USES

1. SRS never rents or sells email addresses to outside parties without your consent.
2. After you create an online account with SRS, you will receive information about SRS products, services, and educational offerings that relate to your areas of interest unless you choose to opt-out. If you have questions or concerns about SRS' Online Privacy Policy or wish to no longer receive such offers (opt-out), please contact SRS Customer Service using the contact information provided below.

11 HOW TO ACCESS OR CHANGE YOUR PERSONAL INFORMATION

1. To review or make changes to the content of your Personal Information, or to request that we limit the use of your Personal Information, you may make changes and updates by logging into your user profile and making such changes. Alternatively, you may

request such changes by contacting SRS Customer Service using the contact information provided below.

2. In your request, clearly state what information you would like to have changed or updated. SRS will try to comply with your request as soon possible.
3. The deletion of Personal Information and other changes to the data retained by SRS as described above may result in the deletion or limitation of other services SRS provides, including, but not limited to, maintaining and making accessible SRS certification records. SRS may retain certain Personal Information to pursue legitimate business interests, conduct audits, comply with (and demonstrate compliance with) legal obligations, resolve disputes, and enforce agreements.

12 YOUR LEGAL RIGHTS

You have the right to:

1. Request access to your personal data (commonly known as a "data subject access request"). This enables you to receive a copy of the personal data we hold about you and to check that we are lawfully processing it.
2. Request correction of the personal data that we hold about you. This enables you to have any incomplete or inaccurate data we hold about you corrected, though we may need to verify the accuracy of the new data you provide to us.
3. Request erasure of your personal data. This enables you to ask us to delete or remove personal data where there is no good reason for us continuing to process it. You also have the right to ask us to delete or remove your personal data where you have successfully exercised your right to object to processing (see below), where we may have processed your information unlawfully or where we are required to erase your personal data to comply with local law. Note, however, that we may not always be able to comply with your request of erasure for specific legal reasons which will be notified to you, if applicable, at the time of your request.
4. Object to processing of your personal data where we are relying on a legitimate interest (or those of a third party) and there is something about your particular situation which makes you want to object to processing on this ground as you feel it impacts on your fundamental rights and freedoms. You also have the right to object where we are processing your personal data for direct marketing purposes. In some cases, we may demonstrate that we have compelling legitimate grounds to process your information which override your rights and freedoms.
5. Request restriction of processing of your personal data. This enables you to ask us to suspend the processing of your personal data in the following scenarios:
 - 5.1. If you want us to establish the data's accuracy.
 - 5.2. Where our use of the data is unlawful but you do not want us to erase it.
 - 5.3. Where you need us to hold the data even if we no longer require it as you need it to establish, exercise or defend legal claims.
 - 5.4. You have objected to our use of your data but we need to verify whether we have overriding legitimate grounds to use it.
6. Request the transfer of your personal data to you or to a third party. We will provide to you, or a third party you have chosen, your personal data in a structured, commonly used, machine-readable format. Note that this right only applies to automated

information which you initially provided consent for us to use or where we used the information to perform a contract with you.

7. Withdraw consent at any time where we are relying on consent to process your personal data. However, this will not affect the lawfulness of any processing carried out before you withdraw your consent. If you withdraw your consent, we may not be able to provide certain products or services to you. We will advise you if this is the case at the time you withdraw your consent.
8. Nevada residents who wish to exercise their sale opt-out rights under Nevada Revised Statutes Chapter 603A may submit a request to the Contact listed below. However, please know we do not currently sell data triggering that statute's opt-out requirements.
9. If you are a California resident, California law may provide you with additional rights regarding our use of your personal information. To learn more about your California privacy rights, visit <https://oag.ca.gov/privacy/ccpa>.

13 VERIFICATION

SRS will regularly self-assess its compliance with all applicable law regarding Personal Information that is received from the EU. SRS statement on verification and related self-assessment procedures is available to you upon request.

14 NOTICES OF CHANGES TO PRIVACY POLICY

In the event of any change to the SRS Online Privacy Policy, notice of such changes will be posted on the SRS website. Any changes to this Online Privacy Policy will become effective when we post the revised Online Privacy Policy on the SRS website. Your use of the SRS website following these changes means that you accept the revised Online Privacy Policy.

15 CONTACT SRS

For any questions, comments, or further information concerning the terms of this Online Privacy Policy, or to request changes to your Personal Information, subject to such limitations as provided herein, please contact:

Sleep Research Society Customer Service
Coordinator@SRUNET.org
+1 (630) 737-9710