



**International Society for  
Neurofeedback and Research  
Journal of Neurotherapy  
& NeuroConnections Editors**

Instructions for filing:

Code of Ethical Principles

Please read

Conflict of Interest

All questions to be completed and document to be signed

Executive Code of Business Conduct

To be signed

Please return only those pages that include filled-in responses or signatures via fax to (415) 485-1348 or email to [office@isnr.org](mailto:office@isnr.org)



# **Code of Ethical Principles & Professional Conduct International Society for Neurofeedback and Research**

## **I. AUTHORITY AND JURISDICTION**

In accordance with the by-laws of the International Society for Neurofeedback and Research (ISNR) membership requires members to consistently maintain standards of professional conduct and pursue practice at the highest level of professional ethics, which include values of competence, fairness, honesty, integrity, objectivity, respect and trustworthiness in dealing with others.

The ethical principles of the Society are to be practiced by members of the society whether life, full, student, or associate members as well as individuals employed by the Society, operating under the auspices of the Society, receiving grant/aide funds administrated by the Society, and volunteers and representatives who speak or act as agents for the Society or its publications.

Ethical principles may be revised at the annual meeting of the Society by majority vote of the membership voting after a thirty (30) day notice of proposed changes is published and sent to all members in good standing.

Members of the Society are encouraged to post the ethical principles in locations accessible to consumers.

## **II. ETHICAL PRINCIPLES**

Members of the International Society for Neurofeedback and Research shall:

1. Actively maintain professional competence within standards and ethical guidelines of his or her profession;
2. Accurately state one's professional credentials, skills, knowledge and make only those claims which can be supported by published, scientific evidence when disseminating information relevant to services or otherwise identify services as experimental;
3. Take all reasonable precautions to protect recipients from harm, always demonstrating a concern for the rights, safety, health, welfare, and dignity of recipients of services-(who include patients/clients and persons involved in education or research activities);
4. Provide services to those in need with the intent to help improve a condition or alleviate impairments without discrimination on the basis of race, creed, age, gender, sexual orientation, national origin, social or religious affiliation;
5. Promote the right of the recipient of services to actively participate in planning services and to refuse or discontinue participation;
6. Maintain professional, objective, goal-related relationships with recipients of service or others;
7. Except as otherwise required by law protect the confidential nature of information gained in professional relationships;

8. Support intellectual freedom through open discussion of theories and factual findings;
9. Assist recipients of services to maintain appropriate autonomy and self-regulation;
10. Maintain good moral character and abide by the Professional Code of Conduct.

### **III. ETHICS COMMITTEE**

#### **A. Purpose and Mission:**

The purpose of the ethics committee is to foster and provide ethical professional standards, which are designed to protect the health and welfare of the consumer of services. The primary mission of the committee is to be proactive, educational, and constructive regarding professional ethical behavior. A secondary mission of the committee is to stop harmful behavior of Society members by investigating allegations of unethical or unprofessional behavior and recommending corrective actions.

In evaluating allegations of misconduct or unethical behavior, the committee shall be bound by the Society's statements of ethical principles and Code of Conduct, as well as the committee's set of standard procedures and clear evaluation criteria for corrective action.

#### **B. Objectives:**

To develop and maintain a current set of ethical principles for the membership which shall be reviewed bi-annually for revisions and recommended for adoption by the Board of Directors.

To inform the membership of the Society's ethical expectations through articles in the journal, presentations at the annual meeting of the Society and through other activities as deemed appropriate.

To develop and maintain a current Code of Professional Conduct which sets forth standards for members of the Society.

To develop and maintain a current set of administrative procedures for the committee, which shall be reviewed regularly and revised with approval of the Board of Directors.

To receive, investigate, and evaluate complaints of alleged unethical or unprofessional conduct engaged in by members in accordance with the procedures specified in Section V of the Administration Procedures.

To support research, surveys, training, and education activities related to appropriate ethical conduct.  
To prepare an annual report to the Board of Directors on the activities of the committee.

#### **C. Membership and Meetings:**

The committee shall consist of five (5) Society members in good standing, appointed by the Board for a three-year term of office. Committee members may be re-appointed for one additional consecutive three-year term. Initial appointees may be appointed for staggered first terms of six, five, four, three and two years at the discretion of the Board of Directors in order to maintain continuity when new members join the committee.

Committee members may be removed by majority action of the Board of Directors for good cause. The Board will name from the appointees a chairperson.

The committee shall be assigned counsel by the Board of Directors. Counsel shall advise the committee on procedural matters and may be appointed as hearing officer for the conduct of hearings.

Public meetings shall be held at least annually. Except for the annual meeting any additional meetings, which may from time to time be held at the call of the chair, may be conducted by mail or electronic conferencing.

Legitimate committee expenses shall be budgeted and, when pre-approved, paid by the Society. Committee members serve without salary.

**D. Duties:**

Members of the committee are expected to participate in and/or initiate ethical educational activities as scheduled by the committee. They shall participate in informal complaint resolution and formal hearings. They shall operate in accord with adopted procedures. Members of the committee are bound by principles of confidentiality whenever a claim of unprofessional or unethical behavior is presented and shall only discuss investigatory matters internally within the committee and the committee counsel. Majority and minority reports may be discussed with the Board of Directors after the committee report (which shall contain both the majority and minority reports) is concluded and presented to the Board of Directors.

**E. Administrative Procedures:**

**General:** The committee shall be the sole recipient of complaints alleging unethical or unprofessional behavior by members of the Society. The committee shall first attempt to resolve complaints and allegations privately and informally. When such informal action fails or is inappropriate, the committee shall follow the formal procedures outlined in these administrative procedures. The Committee may modify the procedures when necessary with the concurrence of the Board of Directors. Communications between the ISNR Board members and the committee members shall be through the committee chair. Before formal hearings are instituted, the Society's attorney shall serve as a consultant to the committee.

The committee may refer complaints against members to the local, state, or national professional association (if one exists) or to the licensing/credentialing board of the member's profession. Although the committee has no jurisdiction over individuals who are not members, the committee shall inform and cooperate with any association or agency having jurisdiction by furnishing factual information and consultation.

**Allegations:** Allegations of unethical or unprofessional behavior shall be accepted only in writing from any source with first-hand knowledge. Complaints initially made without written substantiation or those presented anonymously shall not be cause for formal action by the committee. Complaints found to be capricious or malicious may be used by the committee as a basis to file a disciplinary action against the complainant. Counter complaints filed by respondent in response to an allegation shall not be heard by the committee until the initial matter is resolved and closed.

**Investigations:** Upon receipt of an alleged violation of Ethical Principles or the Code of Conduct, at least one member of the committee shall be appointed by the chair to be the investigator to complete a preliminary finding of facts and recommend action to the committee in the form of informal dispute resolution, if agreed to by the respondent. Other findings of fact could lead the investigator to recommend case closure without prejudice or, absent respondent's concurrence; a recommendation for formal hearing may be presented to the committee. The committee shall accept or modify the investigator's recommendations by majority vote within twenty (20) days of receipt of report.

**Complaint Clarification:** Upon receipt of a complaint by the committee, the investigator shall have sent to the complainant copies of the Society's Ethical Principles, Code of Conduct and Administrative Procedures and shall request the following information: (a) complete name, address and telephone number of both the complainant and the respondent, as well as the respondent's profession, (b) complete description of the alleged unprofessional or unethical behavior, (c) names and addresses of any witnesses, (d) previous steps taken, if any, to remedy the situation, and (e) a signed release of information which allows the committee to notify the respondent, contact other appropriate persons and agencies, collect additional information, and adhere to legal due process. The complainant may be asked to provide any necessary additional information needed by the committee and if necessary to present testimony at a hearing. If no response to this request is received from the complainant within twenty (20) days, the case shall be closed unless just cause for the delay is shown. The committee may decide that there are sufficient grounds for initiating an investigation of its own.

The respondent shall be advised informally and via certified mail of the complaint made and by whom. The respondent shall be given twenty (20) days to provide a written response to the complaint via certified mail to the committee investigator. The date of the certified mailing shall be postmarked on or before the twentieth day the respondent signed for the initial certified notice of complaint receipt from the committee.

The respondent shall then be given a choice to accept informal dispute resolution by the investigator or to participate in a formal hearing.

In the event that a respondent refuses to respond to the committee's notification of a complaint in a timely fashion, such refusal to cooperate shall be considered as a basis for a finding of unprofessional conduct and a violation of the Code of Conduct.

Fact Finding: The committee investigator shall interview all involved individuals and obtain information necessary to resolve the different points of view of those involved. The complainant shall be deemed to be only a witness providing evidence. The investigator shall act as a facilitator with the involved individuals to develop an acceptable statement of the facts and issues. The investigator and the respondent shall attempt to reach resolution of the complaint.

Dispute Resolution: In the event a respondent does not agree to informal dispute resolution or does not agree with a proposed settlement, the investigator shall recommend to the committee that they hold a formal hearing on the matter and shall provide written notice at that time to the respondent of his rights in the proposed formal hearing.

Disciplinary Options: An investigator or hearing officer may recommend to the committee one or more possible disciplinary actions, with the goal of adjusting the penalty to the severity of the offense. Disciplinary actions include but are not limited to the following:

1. A finding of No Merit and a recommendation of case closure without prejudice to the respondent, which shall cause all records of the complaint and subsequent action to be expunged.
2. A finding of a Formal Reprimand shall consist of two levels: Private Reprimand shall be given by the committee (usually, but not necessarily, with the respondent in attendance before the committee); and Public Reprimand, which shall be given by the committee (usually, but not necessarily, with the respondent in attendance before the general membership of the Society). Private Reprimands shall be retained in the member's file for two (2) years. A Private Reprimand is a formal, written censure and is the mildest form of sanction. Such a reprimand may be used when Ethical Principles have been violated and there has been no damage or injury to any person or to the Society. A Private Reprimand is not made public and may include suggestions for remediation.
3. Public Reprimand shall be used when ethical principles or the Code of Conduct have been violated and there has been, or potentially could have been, some injury or damage to another person or the Society, but the injury or damage is not sufficient to warrant suspension. Public Reprimand shall be given by the committee in writing (usually, but not necessarily, with the respondent in attendance) before the general membership of the Society. Such reprimand, which remains in effect until lifted by the committee, shall include educational or rehabilitative activities that are required to be completed by the respondent before the reprimand can be lifted. A record of the Public Reprimand shall be retained in the member's file for five (5) years. Public reprimands are published in the Society's newsletter.
4. Suspension of membership in the Society may be used when the ethical principles or Code of Conduct have been violated and injury or damage has occurred to another person or to the Society, which is severe enough to warrant more than a reprimand, but when permanent revocation of membership is not warranted and when the respondent agrees to complete a required, specified sequence of rehabilitative activities set forth by the committee. The suspended member may apply for reinstatement after satisfactorily completing the required rehabilitative activities. A record of the Suspension and Reinstatement shall be retained in the member's file permanently and notice of each shall be published in the Society's newsletter.

5. Permanent Revocation of membership may be used when the violation of the ethical principles or Code of Conduct has resulted in severe injury or damage to another person or to the Society, when the behavior is extremely unethical or when the respondent has refused to cooperate with the disciplinary process. A record of the Revocation shall be retained in the member's file permanently.

Final Resolution Report-The Committee's Acceptance of Preliminary Findings and Joint Resolution:

The investigator shall submit a report of the findings of fact agreed upon by the complainant and respondent and recommend the disposition of the complaint agreed upon by the respondent. When complaints are resolvable at the investigator level the committee may, by majority vote, accept or modify the recommended disposition on behalf of the Society. In cases in which there remains minor dispute between the claimant and the respondent, the investigator shall submit a report on the complaint, the results of the investigation including findings of fact and findings of dispute and shall recommend the resolution agreed upon by the respondent to the committee for its majority vote of acceptance or revision. The final committee action shall be forwarded to the Board of Directors of the Society and to the respondent by certified mail. Respondent shall also receive notice of the right to appeal. Appeal requests must be filed with the committee by certified mail within thirty (30) days of respondent's receipt of the notice of the right of appeal.

If at any time, the allegations and findings of misconduct fall within the jurisdiction of other professional associations, regulatory or law enforcement agencies, the Society shall forward information to the appropriate bodies after the period of appeal is ended.

When Dispute Resolution Fails:

If dispute resolution fails and the committee determines by a majority vote that there is a preponderance of evidence to justify consideration of disciplinary action, the respondent shall be notified of a proposed formal hearing in writing by certified mail. If the respondent waives or forfeits a formal hearing in writing within twenty (20) days of receiving notice of the right to request a formal hearing, the committee shall make its decision on the evidence received and shall, after a majority vote, so notify the respondent and the complainant by certified mail and submit the committee report to the Board of Directors.

If the respondent does not waive or forfeit a formal hearing within twenty (20) days of receiving notice of the proposed formal hearing, a hearing at the home office of the Society shall be conducted within sixty (60) days as scheduled by the committee. The hearing may be conducted by telephone conference provided both complainant and respondent agree. The respondent shall have the opportunity to be represented by counsel at his or her expense, present witnesses and evidence and has the right to cross-examine witnesses.

Formal Hearings:

At a formal hearing, the committee chair shall designate a hearing officer to conduct the hearing, and the committee investigator shall present the evidence against the respondent. Three jurors, who shall be members of the Society in good standing, without conflicts of interest, shall be appointed as volunteers by the President of the Society to hear the evidence and reach a decision in the matter. None of those appointed as jurors shall have prior knowledge of or connection with the matter at hand nor shall they be personally or professionally associated with the respondent or complainant.

Prior to the hearing, the hearing officer shall be provided with copies of all the evidence and the names of all witnesses that will be offered in support or defense of the complaint. At the hearing, the hearing officer may employ a stenographer/reporter and legal counsel at the expense of the Society. Audiotapes may be employed if all parties agree ten (10) days prior to the hearing. At the hearing, the evidence in support of the complaint shall be presented by the assigned investigator.

The hearing officer, ethics committee investigator and the jurors shall not discuss the case with anyone outside of a formal hearing and shall not discuss it with others not involved in the hearing. Confidentiality of the testimony, evidence, decision process and written records will be maintained.

The hearing officer shall conduct the hearing with consideration of due process in an informal manner. The hearing officer shall within twenty (20) days of the close of testimony prepare in writing findings of fact

and conclusions regarding each allegation of violation of the ethical principles or Code of Conduct. This report shall be sent to respondent and investigator for comment to be received back within twenty (20) days. The hearing officer shall prepare a final report for the jurors within twenty (20) days with his recommendation for case disposition.

The Jurors within twenty (20) days shall either adopt or modify the recommended disposition based upon the hearings officer's finding of fact. A conference call, mail, or face-to-face meeting may be conducted to deliberate on the disciplinary options. Final decisions of the jurors shall be forwarded to the Ethics Committee chair that shall prepare and send to the respondent and the board a letter of disposition, which includes the allegations, findings of fact and the juror's disposition. All mailings to respondent shall be by certified mail.

Appeals:

Respondent may appeal a decision of the Ethics Committee by filing a written request for reconsideration with the Board of Directors within thirty (30) days of receipt of disposition. The Board upon review of evidence may sustain modify or remand the prior disciplinary action. If the Board concludes that sufficient new evidence exists or procedural errors occurred; the case shall be remanded for a new hearing before new jurors and hearing officer.

If appeal requests are filed in an untimely manner or found to be without merit, the Board of Directors may sustain the prior decision and so notify the respondent by certified mail.

Disciplinary actions are suspended during the appeal process.

#### **IV. CODE OF CONDUCT**

Clear ground for investigation and discipline will include actions, omissions, or impairments that raise substantial questions about a member's ability to perform properly in a professional capacity. Examples of such grounds will include, but not necessarily be limited to, the violations of the Code of Conduct. Members of the Society are expected to:

1. Abide by the Ethical Principles of the Society and their profession.
2. Practice within the scope of demonstrable competence, or be supervised by a practitioner who is.
3. Demonstrate relevant continuing education activities to maintain competence.
4. Accurately advertise and present services.
5. Provide access to all client records and office policy.
6. Provide informed consent agreement based upon full disclosure of potential risks, benefits and options.
7. Develop an accessible formal complaint resolution policy.
8. In clinical settings, maintain records of assessment plan, referral, progress, contact notes, consults, and termination in a manner to protect confidentiality.
9. Avoid relationships that interfere with objective judgments.
10. Offer QEEG and NFB services only to prospective recipients for whom it is judged to be appropriate based upon signs or symptoms of cognitive, emotional or physical conditions or behaviors.
11. Require supervisees and trainees to adhere to the Ethical Principles and Code of Conduct.

12. Maintain professional dignity, respect and integrity when discussing the opinions and findings of others.
13. Impart ethical standards of professional conduct through both instruction and example.
14. As an author: (1) guarantee the originality of any scholarly papers or presentation, (2) give credit to others for their works, (3) assume responsibility for accuracy and fairness of presented information, (4) use data of others with specific written permission, and (5) disclose any proprietary interests related to professional papers or presentations.
15. As a reviewer of funding proposals or manuscripts submitted for publication, consider related information to be confidential and not to be used in any other manner without specific written permission, and excuse one's self from the review process if there is a perceived conflict of interest, including business relationships or ongoing legal disputes.

#### **V. ALLEGATIONS THAT MERIT DISCIPLINARY PROCEEDINGS**

Allegations, which will result in investigation and disciplinary proceedings, include but are not limited to:

1. Misrepresentation of qualifications, training, experience, educational degrees, or competence.
2. Misrepresenting the efficacy or appropriateness of treatment, training, instrumentation, or software.
3. Inaccurate or false advertising of professional services.
4. Any false or misleading statement or omission of a material nature.
5. Failure to fully describe and obtain consent for experimental or clinical procedures.
6. Violating the confidentiality of clients, patients, students, or research participants.
7. Practicing without supervision when not qualified to practice independently or without consultation in new situations.
8. Inadequate supervision of students, supervisees, or trainees.
9. Failure to inform all parties involved in a possible conflict of interest.
10. Violations of privacy, health or community standards of decency when touching or attaching electrodes or sensors.
11. Assaulting or threatening to strike a client, patient, student, research participants, colleague, or others with whom there exists a professional relationship.
12. Sexual harassment or exploitation of a client, patient, student, supervisee, trainee, or research participant.
13. Substance abuse related impairment.
14. Failure to cooperate in investigations and hearings.
15. Being found in violation of ethical or professional behavior.
16. Findings of governmental agencies, courts or other professional organizations or proceedings of civil courts resulting in an action against the respondent may be entered as evidence of the behavior found and used as grounds for discipline.

17. Conviction of a felony by a court of competent jurisdiction or revocation of a license or credential by a governmental licensing or credentialing authority may be considered as conclusive proof of the behavior upon which such action was based and used as grounds for discipline.

#### **Procedural Revisions**

The committee may modify the administrative procedures for fact finding, investigations, reporting, decisions, hearings and disciplinary actions only at public meetings and shall advise the membership of such changes at the annual Society meeting if the changes are ratified by the Board of Directors.

Draft changes to administrative procedures of the Ethics Committee may be drafted and discussed between members and adopted by majority vote of the committee and approved by a majority vote of the Board of Directors.

#### **Date of Adoption /Revision**

This edition of the Ethical Principles, Code of Conduct, Ethical Committee and administrative proceedings sections of this document were adopted by the Board of Directors on March 12, 2002 and shall be published annually by the Society.

Each subsequent change must be dated, clearly documented, attached to this document, and published for the membership.



## **International Society for Neurofeedback and Research Journal of Neurotherapy & NeuroConnections Editors Conflict of Interest Policy**

### Preamble

The following policy is intended to protect the International Society for Neurofeedback and Research organization, and the ISNR leadership and membership, from potential or actual conflicts of interest among the ISNR leadership (both elected and appointed members). The policy seeks to balance the ISNR's need as an organization for information about conflicts of interest with an individual ISNR editor's reasonable expectation of privacy with respect to personal matters. The policy is intended to equitably address non-trivial conflicts of interest, as defined below.

No editor shall serve on the governing body of an entity which has goals and objectives which are either in conflict with or in competition with the goals and objectives of ISNR as determined in the sole discretion of the Board of Directors of ISNR; except however that Directors serving on the governing board of such entity at the time of adoption of this policy shall be authorized to complete his or her term on the governing body of the entity with the goals and objectives which are competing or conflicting with the goals and objectives of ISNR.

A Director (editor) shall abstain from all votes regarding an entity on which the Director (editor) serves on the governing body and which entity has goals and objectives which are competing or conflicting with the goals and objectives of ISNR.

### Basis of Self-Disclosure/Self-Restraint

This policy is based primarily upon the willingness of ISNR leadership to engage in voluntary self-disclosure and self-restraint with regard to potential and actual conflicts of interest. Each person in a leadership position within ISNR (currently including but not limited to Board of Director members, all Committee chairs, including the Chairpersons, editors, the Executive Director and staff and other independent contractors) is required to disclose conflicts of interest. The guidelines that follow describe this self-monitoring process and delineate individual responsibilities in this regard. As provided below, ISNR leaders are encouraged to seek advice and direct questions regarding issues of conflict of interest to the ISNR Ethics Committee. Such private inquiries will be treated confidentially.

### General Guidelines:

**What constitutes Conflict of Interest? You might be in conflict of interest if you or a member or your immediate family:**

- Are in a position to influence business or monetary decisions made by ISNR including purchases.
- Receive monetary remuneration or other amenities from a company that does business with ISNR or that contracts with ISNR regarding the national meeting or year-long business.

- Receive monetary compensation from an agency or organization that has goals and objectives that are in competition with those goals and objectives of ISNR.
- Receive monetary conflict from an agency or organization that has goals and objectives that are in conflict with those goals and objectives of ISNR.
- Receive monetary or other substantial compensation from an organization that contracts with ISNR in the pursuit of its professional, educational, or research activities. (This would include our publisher if you receive royalties.)
- Hold a leadership position, or provide volunteer or professional services or consultation to another organization (including volunteer organizations), that has goals, objectives, or other activities that are in competition with goals, objectives, or activities of ISNR, whether or not these activities, services and consultation are rendered in exchange for compensation.
- Hold a leadership position, or provide volunteer or professional services or consultation to another organization (including volunteer organizations), that has goals, objectives, or other activities that are in conflict with goals, objectives, or activities of ISNR, whether or not these activities, services and consultation are rendered in exchange for compensation.

**What are your responsibilities? You are required to:**

- Assume a fiduciary relationship to and support the principles of ISNR, and therefore avoid unacceptable ethical, legal, financial, organizational, or other conflicts of interest and ensure that your activities are not in conflict with your obligations to ISNR.
- Annually submit a signed Conflict of Interest Disclosure Form to the ISNR Foundation Executive Director immediately after the inception of the new Board year (generally in early September).
- Disclose in writing to the ISNR Foundation Executive Director any new activity or relationship that involves, or reasonably could lead to, an apparent or actual conflict of interest. Such new disclosure should be made in a timely manner after the new activity or relationship, and an updated disclosure form should be filed with the Executive Director within 30 days of the new activity or relationship.
- Abstain from voting on any matter in which there is a potential conflict of interest, and not be counted as part of the quorum necessary to vote on the matter in question.
- Although not required, it is recommended that you retain, for a period of three years, records of compensation, gifts, favors, or hospitalities greater than \$75 that you receive from any person or entity doing business with or interacting with ISNR.

**Illustrative examples of potential or actual conflict of interest situations:**

- Selecting or recommending an ISNR vendor in which you or immediate family members have a financial interest.
- Arranging a no-bid contract for an ISNR vendor who is a personal friend.

- Accepting dinner, lodging, or another amenity from a hotel that is a potential site for a conference. (Such a conflict situation is diminished, but should still be disclosed, in circumstances where the hotel is providing a formally authorized ISNR meeting site committee with complimentary lodging and other amenities).
- Having a relationship with or holding a position in another professional organization whose goals, objectives and/or activities compete or conflict with those of ISNR, and/or that significantly interferes with your leadership role in ISNR.

**Illustrative examples of non-conflict of interest situations:**

- Accepting an honorarium from a book publisher for reviewing a book chapter or manuscript.
- Serving on the editorial board of another applied neuroscience association’s journal.
- Writing a critical commentary regarding an ISNR publication.
- Serving in a leadership position of another professional organization whose goals, objectives, and/or activities do not represent a perceived or actual conflict of interest for ISNR.

Disclosure of Relationships:

The proper governance of ISNR depends on the fidelity and loyalty of its leaders. Accordingly, all members in “leadership” positions within ISNR as defined below shall exercise the utmost good faith in their transactions as leaders of ISNR. Because of the varied backgrounds and professional interests of the ISNR leadership, situations may arise involving a dual interest that may create a potential or actual conflict of interest. ISNR recognizes that potential, perceived or actual conflicts of interest should be fully disclosed by an ISNR leader. Such disclosures should also be reviewed by individuals other than the party involved.

Each person in a leadership position within ISNR (currently including but not limited to Board of Director members, editors, all Committee chairs, the Executive Director and ISNR Foundation staff and independent contractors) will be required to make disclosures of relevant relationships and to identify and explain any potential or actual conflicts of interest. A Conflict of Interest Disclosure Form has been developed for this purpose, (see Section below).

Non-Trivial Monetary Relationships Representing Potential Conflicts of Interest for ISNR:

At the present time, ISNR leaders having monetary relationships (salary, transactions, gifts, hospitalities, or other remuneration) in excess of \$250 annually with companies, vendors, text and book publishers, individuals, and other entities involved with ISNR, will be viewed to have a non-trivial relationship which represents a potential conflict of interest for ISNR. Such relationships must be disclosed as part of the ISNR disclosure policy, although the specific monetary level involved need not be disclosed. ISNR leaders may choose to report relationships less than the \$250 annual threshold if they feel it is appropriate. As discussed below, as part of its activities the Ethics Committee may request additional information concerning an ISNR leader’s disclosure, including specific monetary information, in circumstances where the Committee has a concern about a potential or actual conflict of interest.

To assist ISNR leaders with disclosure reporting, the ISNR office will maintain, regularly update, and

periodically distribute to ISNR leaders a list of current ISNR vendors. However, an ISNR leader's responsibility to report relationships will not be confined or limited to vendors represented on this list.

ISNR leaders recognize that not all potential or actual conflicts of interest affecting the ISNR will involve relationships with monetary remuneration or benefit. In particular, there may be non-trivial potential or actual conflicts of interest involving multiple relationships that should be reported, although no monetary relationship or benefit is involved.

### **Types of Disclosure:**

#### **There will be at least three types of required disclosure:**

Annual Disclosure: Disclosure forms will be submitted annually by all members of ISNR leadership to the ISNR Executive Director immediately after the inception of the new Board year (generally early-September).

Updated Disclosure: Disclosure of new relationships and potential conflicts of interest is an ongoing responsibility. In the circumstances of a new relationship or activity arising during the year that involves, or reasonably could lead to, an actual or potential conflict of interest, an ISNR leader should notify the Executive Director in writing in a timely manner about the activity or relationship, and must submit an updated disclosure form to the ISNR Executive Director within 30 days of the new relationship or activity.

Disclosure Related to Candidacy: Candidates for elected or appointed ISNR leadership positions must submit a disclosure form to the Executive Director in a timely manner to allow review and approval by the Ethics Committee at least 7 days prior to presentation to the Board for confirmation of the nomination or appointment. [The time frame indicated above should be viewed as an initial estimate, and may be modified as needed by the Policy and Procedures Committee and/or the Executive Director].

ISNR Member and Public Access to Conflict of Interest Disclosure Information: Conflict of interest disclosure forms and related information submitted by ISNR leaders will be public information and will be available to ISNR members and members of the public upon request to the Executive Director. However, as discussed below, information provided by an ISNR Foundation leader to the Ethics Committee as part of an inquiry or complaint process will be kept confidential and will not be available to ISNR members or the public.

Review of Disclosure Forms and Management of Conflict of Interest: Annual conflict of interest disclosure forms will be forwarded to the ISNR Executive Director by each Board member-for review (see Section IV below). Updated and candidacy related disclosure forms will be forwarded by the ISNR Executive Director to the ISNR Ethics Committee in a timely manner. In cases where an apparent or actual conflict of interest is identified, the ISNR Ethics Committee will enter into a dialogue with the ISNR member in an effort to obtain further information, and if necessary, to manage, reduce, or eliminate the conflict of interest. Unresolved matters between the ISNR member and the Ethics Committee will be referred to the ISNR Board of Directors for final disposition, which may include removal of the ISNR member from his/her position of leadership.

Retention of Conflict of Interest Disclosure Forms and Information: Conflict of interest disclosure forms submitted by Board members or committee chairs will be retained by the Executive Director for an ISNR leader's years of service in that position plus three (3) additional years. Disclosure forms submitted by candidates who were not elected or appointed will be destroyed immediately following that election or failed appointment.

Example: A candidate for the ISNR Board of Directors, an editor, employee, contract laborer, etc would submit a candidacy disclosure form within the time frame prescribed. If elected to the Board, that individual would then also submit an annual disclosure form for each of year of service on the Board, plus one additional year after leaving the Board.

#### Conflict of Interest and Voting and Quorum Procedures

Where a potential or actual conflict of interest exists for an ISNR leader, the following procedures apply to matters of voting and quorum:

- It shall be noted in the minutes by the recording secretary that a potential or actual conflict exists and has been self-disclosed by an ISNR leader, or reported by another ISNR member;
- if a potential or actual conflict of interest exists, the ISNR leader should abstain and/or recuse himself from that portion of the meeting from voting on any matter involving the potential or actual conflict of interest;
- the ISNR leader shall not be counted as part of the quorum necessary to vote on any matter involving the potential or actual conflict of interest;
- the ISNR leader shall be permitted to briefly state his/her position on any matter involving a potential or actual conflict of interest, and may answer pertinent questions that may be relevant to the matter under consideration.

#### Inquiries Regarding Conflict of Interest

ISNR leaders or members with inquiries concerning conflict of interest, or about the ISNR Conflict of Interest policy, are encouraged to contact the Chair of the ISNR Ethics Committee. All such communications will be kept confidential as provided below.

#### Complaints of Conflict of Interest

As stated above, the intent of the ISNR Conflict of Interest Policy is for ISNR Foundation leaders to identify and disclose their own potential and actual conflicts of interest early on, before those conflicts have had any adverse impact on ISNR or its membership. The emphasis on voluntary self-monitoring and self-disclosure is meant to preclude, wherever possible, the need for any other ISNR member or leader to raise a specific concern about conflict of interest involving an ISNR leader. In addition, informal discussion of such concerns with the ISNR leader in question may lead to satisfactory resolution of the matter without the need for further action. However, on occasion there may arise circumstances in which an ISNR member or leader finds it necessary to lodge a complaint of conflict of interest regarding an ISNR leader with the ISNR Ethics Committee.

All complaints should be sent directly to the Chair of the ISNR Ethics Committee and will be handled in strict confidence. In the event that a complainant does not know of this procedure and contacts the ISNR Executive Director or another ISNR leader, the communication will be kept in strict confidence and re-directed to the Chair of the ISNR Ethics Committee.

Upon receipt of a complaint, the Ethics Committee will review the matter using the information that is immediately available. If the Committee determines that there is insufficient evidence of a non-trivial conflict of interest, the matter will be concluded and no further action will be taken. If the Committee determines that there is sufficient evidence to initially support a substantial or non-trivial conflict of interest, the Committee will contact the ISNR leader in question and seek further information. Where these determinations cannot be made from available information, the Committee may seek further information, again to be treated confidentially.

After obtaining additional information, the Committee will reconsider the conflict of interest question and determine whether it merits further action. In the event that the Committee determines the conflict of interest to be non-trivial, the Committee will inform the ISNR leader in writing of this finding and request that the ISNR leader resolve the conflict. Should the ISNR leader in question not provide the additional information requested or indicate an intention to continue the conflict of interest situation; the Committee will then bring the matter to the ISNR Board of Directors. Only at this point will confidential complaint information be disseminated outside of the Committee, and this information will be limited to ISNR Board Members. ISNR Board Members will review the matter, consider the recommendations of both the ISNR Ethics and the ISNR leader in question, and make a final determination and resolve the matter.

**International Society for Neurofeedback & Research**  
**Journal of neurotherapy**  
**& NeuroConnections Editors**

**Conflict of Interest Disclosure Form**

**Persons who must complete this form:** Individuals who are *leaders* of ISNR. ISNR leaders currently consist of all Board Members, all Committee Chairs, including the Research Fund Chairperson, the Executive Director and all members of the ISNR staff, other ISNR contract individuals other than presenters, and the editor and associate editors of ISNR's *Journal of Neurotherapy* and the Newsletter. In addition, all members of the ISNR Ethics Committee are required to complete conflict of interest disclosure forms.

**Procedures for Completing Form:** Please read the full conflict of interest policy statement of ISNR before completing this form. The policy of the International Society for Neurofeedback and Research is to transact all of its business impartially. In order to achieve this objective, as a leader of ISNR you are asked to respond to the following questions pertaining to areas of potential conflict of interest. Refer to the policies and disclosure procedures included in this packet as needed.

Please answer all questions with either "Yes" or "No." In instances where the answer is "Yes," provide a detailed description of the activity in the space provided, and also describe any steps or procedures taken to reduce or eliminate the conflict. Please provide sufficient information (as necessary) so that an evaluation can be made as to whether or not the situation could constitute a potential or actual conflict of interest with your role as a leader in ISNR.

Person completing this form: \_\_\_\_\_

Leadership role(s) in ISNR: \_\_\_\_\_

**Type of Disclosure:** *[Please check the box of the type of disclosure being made]*

- **Annual Disclosure:** Annual disclosure is to be completed during each year of leadership of ISNR. This disclosure should be filed with the Executive Director immediately upon acceptance to the Board and before leadership duties are assumed for that year.
  
- **Updated Disclosure:** In the circumstances of a new relationship or activity arising during the year that involves, or reasonably could lead to, an actual or potential conflict of interest, an ISNR leader should notify the ISNR Executive Director in writing in a timely manner about the activity or relationship, and must submit an updated disclosure form to the ISNR Executive Director within 30 days of the new relationship or activity.
  
- **Candidacy Disclosure:** Candidates for elected or appointed ISNR leadership positions must submit a disclosure form to the Executive Director in a timely manner to allow review and approval by the Ethics Committee at least 7 days prior to presentation to the Board for confirmation of the nomination or appointment.

**1. Non-Trivial Personal Financial or Other Gain from a ISNR Leadership Role.**

- a. Have you or any member of your immediate family in the past year accepted any gift, services, favor, or hospitality from any individual or entity doing business with ISNR? You are required to report gifts, services, favors, or hospitalities from an individual or entity totaling in excess of \$250 annually; you may also report activities below the \$250 annual threshold if you deem it appropriate. *(If yes, please detail each relationship below, and attach any additional documentation you wish the Committee to consider.)*
- b. Do you or your immediate family have any on-going business, consultative, or other relationship with any commercial entity of any type (such as airlines, hotels, convention vendors, book or test publishers) which provides services to ISNR and/or its annual convention? You are required to report relationships with a commercial entity totaling in excess of \$250 annually; you may also report relationships below the \$250 annual threshold if you deem it appropriate. *(If yes, please detail each relationship below, and attach any additional documentation you wish the Committee to consider.)*

**2. Multiple Relationships.**

- a. Do you hold leadership positions (for example, voluntary, paid, elected, or appointed Board or chair roles) in any other applied neuroscience society or organization? *(If yes, please detail each relationship below, and attach any additional documentation you wish the Committee to consider.)*
- b. Do you have relationships with any other professional organizations which might compromise your ability to fulfill your duties as an ISNR leader? In responding, please note that such relationships may be non-financial in nature. *(If yes, please detail each relationship below, and attach any additional documentation you wish the Committee to consider.)*

**3. Other Matters or Relationships.**

a. Are there other related matters or relationships involving potential or actual conflict of interests not covered by the above which should be disclosed? If a financial matter or relationship is involved, you are required to report relationships totaling in excess of \$250 annually; you may also report relationships below the \$250 annual threshold if you deem it appropriate. (If yes, please detail each matter or relationship below, and attach any additional documentation you wish the Committee to consider.)

b. Are there other personal relationships (i.e., siblings, ancestors, children, grandchildren, great-grandchildren, and spouses) involving potential or actual conflict of interests not covered by the above which should be disclosed? If a financial matter or relationship is involved, you are required to report relationships totaling in excess of \$250 annually; you may also report relationships below the \$250 annual threshold if you deem it appropriate. (If yes, please detail each matter or relationship below, and attach any additional documentation you wish the Committee to consider.)

**\*I attest that the information provided above is accurate to the best of my knowledge and belief.**

EDITOR'S SIGNATURE: \_\_\_\_\_

PRINTED NAME: \_\_\_\_\_

EDITORIAL POSITION IN ISNR: \_\_\_\_\_

DATE: \_\_\_\_\_

**Executive Code of Business Conduct**  
**For Directors, Executive Directors, Editors, Committee Chairs and Employees**

As a Director (or Executive Officer, Committee Chair, Editor or Employee) of the International Society for Neurofeedback and Research (ISNR) (Society), a non-profit organization, I understand there are certain ethical principles and responsibilities governing my professional and ethical conduct.

1. I have read the Society's Code of Ethics, which applies generally to the Society, and this Code of Business Conduct, both of which applies specifically to the terms of office for my role within the Society. I will abide by both Standards in carrying out my role as a Director, Executive Officer, Committee Chair, Editor or Employee of the Society.
2. I will act with honesty and integrity, avoiding actual and apparent conflicts with the interests of the Society. A conflict of interest would incur when an individual's private interest interferes - or even appears to interfere - with the interests of the Society as a whole. When any issue arises that may present an actual or apparent conflict, I will bring that issue to the attention of the Society's Executive Committee, or recuse myself from action on the particular matter.
3. In acting on any business of the Society, I will comply with the rules and regulations of federal, state, provincial and local governments, and any other appropriate private and public regulatory agencies, and will act as appropriate within my position, as defined by job description, to assure that the Society complies with such rules and regulations.
4. I understand my responsibility to help the Society provide full, fair, timely and understandable disclosure to its constituents and will take that requirement into proper account in carrying out the duties as assigned to me and my role.
5. I respect the confidentiality of the Society's information acquired in the course of my duties as a Director, Executive Officer, Committee Chair, Editor or Employee of the Society. Confidential information includes all non-public information that might be of use to others or harmful to the Society or its members if disclosed.
6. I will not use property, information or position for personal gain as long as I am affiliated with ISNR.
7. I will fulfill my duty to the Society to advance its legitimate interests when the opportunity to do so arises. I will carry out my assignments as scheduled to the best of my ability or inform the Executive Director, Senior Editor or President of the Board of Directors if I can't, unless a conflict of interest is identified.

8. I understand that the Society has a duty to deal fairly with its members, suppliers, competitors and employees. It is a principle of the Society that no Director, Executive Officer, Committee Chair, Editor, Employee or appointee should take unfair advantage of another through manipulation, or any other practice of unfair dealing.
9. I understand that I have an obligation to protect the Society's assets and ensure their efficient use and, within the scope of my responsibilities, will ensure that ISNR assets are used for legitimate business purposes.
10. As a Director, Executive Officer, Committee Chair, Editor or Employee, I recognize that the Society should proactively promote ethical behavior through its Code of Conduct. The Society encourages its members, officers, editors and directors to talk to the President, or the Senior Editor when in doubt of the best course of action in a particular situation. The Society also encourages that members and employees report violations of laws, rules, regulations or of this Code of Conduct to the Executive Committee or Senior Editor. In addition, the Society ensures that its members and employees know that there will be no retaliation for reports made in good faith.

I adhere to and support these principles.

Signed: \_\_\_\_\_

Title: \_\_\_\_\_

Dated: \_\_\_\_\_