

# Delta Upsilon International Fraternity Policies & Procedures Manual

## POLICY

## PAGE

### 1. Board of Directors Administration

• Delta Upsilon International Fraternity Goals	1.1
• Fraternity Discipline Procedures	1.2
• Reimbursement for Members of the Board of Directors	1.3
• Fraternity Representation at Special Events	1.4
• Board of Directors Spokesman	1.5
• Open Communications	1.6
• Delta Upsilon International Fraternity Mission Statement	1.7
• Establishment of Fraternity Committees and Non-Board Officers	1.8
• Chairman of the Board of Directors Position Description	1.9
• Fraternity President Position Description	1.10
• Fraternity Secretary Position Description	1.11
• Fraternity Treasurer Position Description	1.12
• Alumni Director Position Description	1.13
• Undergraduate Director Position Description	1.14
• Establishment & Authority of the Board Executive Committee	1.15

### 2. International Headquarters Administration

• Document Retention Policy	2.1
• Executive Director Compensation	2.2
• Outside Interest or Employment for Senior Staff	2.3
• International Headquarters Staff Management	2.4

### 3. Financial Management

• Fraternity Cash and Investment Accounts	3.1
• Loss Prevention Fund Investment Policy	3.2
• Accounts Receivable Collection Policy	3.3
• Fraternity Lien Procedures	3.4
• Alumni Chapter/Trustee Attendance at the Assembly of Trustees	3.5
• Fraternity Dues & Assessments	3.6
• Management of the Set-aside Fund	3.7

**3. Financial Management (con't.)**

• Management of the Permanent Trust Fund	3.8
• Fraternity Budget Policy	3.9
• Fraternity Loan and Loan Guarantee Policy	3.10
• Permanent Trust Fund Investment Guidelines & Objectives	3.11
• Late Fee Policy	3.12
• Fraternity Dues & Assessments for a Colony	3.13
• Debt Collection Policy for Suspended Chapters	3.14
• PTF Gift Acceptance Policy	3.15

**4. Chapter Administration**

• Prayer at Chapter Meetings	4.1
• Little Sisters	4.2
• Minimum Chapter Standards	4.3
• Legacies	4.4
• Requirements for Receiving a Delta Upsilon Charter	4.5
• Requirements for Colony Recognition	4.6
• Appropriate Use of the Fraternity's Trademarks	4.7
• Policy on Chapter Excellence Plan	4.8
• Definitions of Recognized Alumni Organizations	4.9
• Minimum Chapter Size	4.10

**5. Loss Prevention Administration**

• Loss Prevention Policies of Delta Upsilon	5.1
• Participation in the General Liability Insurance Program	5.2
• General Liability Insurance Program & Non-Participating Chapters	5.3
• Delta Upsilon Crisis Response Policy	5.4
• Delta Upsilon Alcohol-Free Housing Policy	5.5
• Compliance with Loss Control Inspection Recommendations	5.6
• Management of Claims and Lawsuits	5.7

**6. Quarterly Operations**

• Mission of the Delta Upsilon <i>Quarterly</i>	6.1
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# **Delta Upsilon International Fraternity Policies and Procedures Manual**

**In order to effectively and responsibly manage the affairs of the Delta Upsilon International Fraternity, the Board of Directors develops policies and modes of operation which become standard practice and by custom represent Fraternity law. This Policies and Procedures Manual is issued by the Delta Upsilon Board of Directors in hopes that the International Fraternity might have in one place a record of policies which have been established over time and which govern the operations of the Fraternity.**

**The Policies and Procedures Manual is intended to be a dynamic document, subject to periodic change and updating. Each new policy will be recorded on a single page and coded according to a particular operational area. In addition, the date each new policy is adopted by the Board is recorded. This procedure has been developed so that changes to the Manual may be made simply by adding pages as new policies are approved and replacing pages as policies are modified.**

**Consistent with Delta Upsilon's philosophy, the policies and procedures outlined in this manual are to be disclosed to members of the Fraternity. Additions and changes to the Fraternity's policies and procedures will be made as Alumni Chapter Officers, House Corporation Directors, Undergraduate Members, and the International Headquarters Staff bring issues and proposals to the attention of the Board of Directors. It is the duty of the Board of Directors to analyze any proposals and determine the need for establishment as policy for the Fraternity.**

**The Delta Upsilon International Fraternity Policies and Procedures Manual serves to assist the Board of Directors in the governance of the Fraternity. Through the clarification of the standard operating practices of the Fraternity, the Board of Directors fulfill its charge to effectively govern.**

**April 1997**

# 1.1

## Delta Upsilon Fraternity Goals

The Board of Directors have established the following Goals for the Delta Upsilon International Fraternity:

- Goal #1 – To *Build Better Men*, Delta Upsilon will implement a comprehensive individual membership development program that contributes to the life-long success of our members.
- Goal #2 – To *Build Better Men*, Delta Upsilon will successfully increase each chapter's membership and the Fraternity's number of chapters.
- Goal #3 – To *Build Better Men*, Delta Upsilon will ensure that all chapters meet or exceed the Fraternity's Standards of Excellence.
- Goal #4 – To *Build Better Men*, Delta Upsilon will promote and support greater alumni involvement in all elements of the Fraternity.

Established April 29, 1996

Revised July 27, 2000

### Procedure

1. The members of the Board of Directors will ensure the Goals are regularly reviewed and analyzed.

## 1.2

### **Fraternity Discipline Procedures**

The Fraternity's Board voted unanimously to authorize the Standards Committee to investigate those matters where a chapter, colony, undergraduate member, colony member, or pledge may have failed to comply with the laws and/or policies of the Fraternity, or violated local, state, provincial, or federal laws. Further, the Standards Committee is vested with the authority to conduct chapter or membership disciplinary hearings on behalf of the Board of Directors and in accordance with the Fraternity's Constitution and By-Laws. Upon completion of a Chapter or Undergraduate Member hearing, the Standards Committee will provide an action recommendation to the Board of Directors.

Established October 28, 1995

#### **Procedure**

1. The Standards Committee and the International Headquarters will properly implement this policy.

## **1.3**

### **Reimbursement for Members of the Board of Directors**

It is recognized that membership on the Fraternity's Board of Directors is done so in the spirit of volunteerism and in the interest of promoting the best interests of the Fraternity. Therefore, in order to properly conduct the business of the Fraternity by the men who serve on the Board, the following expenses may be remunerated:

Reimbursed expenses associated with attendance and participation at a meeting of the Board of Directors for the Alumni Officers and Directors and the Undergraduate Directors shall include: coach or its equivalent airline travel, ground transportation, personal automobile travel at \$.25/mile, group meals, and lodging.

In order to receive remuneration for expenses associated with attendance and participation at a Board of Directors meeting, the Board member must forward an itemized report and associated documentation to the International Headquarters within forty-five (45) days after the expense was incurred.

Established January 3, 1997

#### **Procedure**

1. The Fraternity Treasurer will review this policy with each new member of the Board of Directors and at the Board's first quarterly meeting of each new fiscal year.

## 1.4

### **Fraternity Representation at Special Events**

In order to reasonably fulfill requests for Fraternity representation at Special Events, it was established by the Board of Directors that normally only one current Board member, past Board Chairman or President, or IHQ Staff member will attend these events. These could include Regional Leadership Seminars, Founder's Day activities, Initiation Programs, Homecomings, Chapter Installations or Colony Induction, or other Special Events sponsored by an Undergraduate Chapter, Alumni Chapter, or Alumni Club.

When traveling, the individual may submit an expense report. Reimbursed expenses associated with attendance and participation at a DU Special Event may include: coach or its equivalent airline travel, ground transportation, personal automobile travel at \$.25/mile, meals, and lodging.

Established January 3, 1997

#### **Procedure**

1. The Board of Directors will ensure the implementation of this policy.

## **1.5**

### **Board of Directors Spokesman**

In the course of Fraternity business of a potentially controversial nature, it may be necessary for the Board of Directors to designate a Board member to serve as its Spokesman. Unless otherwise directed, the Chairman of the Board of Directors will serve as the Fraternity's Spokesman and, thus, all inquiries received by other Board members and IHQ Staff members will be referred to the Board Spokesman.

Established January 3, 1997

#### **Procedure**

1. The Board of Directors shall implement this policy.

## **1.6**

### **Open Communications**

It shall be the policy of the Delta Upsilon Board of Directors that its members follow principles of open communication in dealing with each other, with alumni and undergraduate members, and with the Executive Director and other employees of the Fraternity. Open communications will be characterized as constructive and used in an effort to ensure a positive approach to the resolution of problems or concerns.

Established October 1992

#### **Procedure**

1. The Delta Upsilon Board of Directors will implement this policy.

## 1.7

### **Delta Upsilon International Fraternity Mission Statement**

The Four Founding Principles of the Delta Upsilon International Fraternity are:

- The Promotion of Friendship
- The Development of Character
- The Diffusion of Liberal Culture
- The Advancement of Justice

The Mission of the Delta Upsilon International Fraternity is to *Build Better Men* through the life-long promotion of the Fraternity's Four Founding Principles – Friendship, Character, Culture, and Justice.

Established April 19, 1997

Revised July 27, 2000

#### **Procedure**

1. None Required.

## 1.8

### **Establishment of Fraternity Committees and Non-Board Officers**

Consistent with the Fraternity's By-Laws, the Board of Directors clarified the method and procedure by which Fraternity Committees and Non-Board Officers are selected.

The Board of Directors shall establish such Fraternity Committees and Non-Board Officers as it deems necessary to assist in the administration of Fraternity business. The Chairman of the Board of Directors, after consulting with other members of the Board, shall determine the Fraternity Committees and Non-Board Officers that shall be in effect during his tenure in office. The Chairman of the Board shall appoint the Chairman for each Fraternity Committee.

The following Fraternity Committees and/or Non-Board Officers may be established:

- Administration Committee
- Graduate Activities Committee
- Undergraduate Activities Committee
- Finance Committee
- Alumni Chapter Committee
- Chapter Awards Committee
- Audit Committee
- *Quarterly* Committee
- Membership Recruitment & Expansion Committee
- Alumni Awards Committee
- Standards Committee
- Alumni Advisor Committee
- Investment Committee
- Housing Committee
- Educational Programs Committee
- Educational Conferences Committee
- Loss Prevention Committee
- Other Committees/Non-Board Officers as deemed appropriate by the Chairman of the Board of Directors

Furthermore, consistent with the Fraternity's By-Laws, the President of the Fraternity shall appoint a Nominating Committee of five members to identify candidates to stand for election for the Board of Directors. The following conditions are to be fulfilled when considering Nominating Committee members: no two members may be from the same Alumni Chapter and related Undergraduate Chapter, at least one member must be from each country in which the Fraternity is represented with a chapter in good standing, at least one member must be a past President or Chairman of the Board, and at least one member must be a president of any existing and active Alumni Chapter.

Established April 19, 1997

#### **Procedure**

1. None required.

## 1.9

### Chairman of the Board of Directors Position Description

TITLE: Chairman of the Board of Directors      DATE: July 1, 1997

REPORTS TO: The Assembly of Trustees

#### *POSITION FUNCTION*

The Chairman of the Board of Directors shall be the Chief Executive Officer of the Fraternity and shall preside at all meetings of the Board of Directors.

#### *PRINCIPLE RESPONSIBILITIES*

1. Serve as the Chief Executive Officer of the Fraternity.
2. Preside at and attend all meetings of the Board of Directors.
3. Shall serve as the Chairman of the Board of Directors Executive Committee and shall attend all meetings of the Executive Committee.
4. Appoint all Committees of the Board of Directors, after consulting with the other members of the Board.
5. Shall direct such actions, within the limits of the laws of the Fraternity, as are in the best interest of the Fraternity.
6. Shall deliver an annual report to the Assembly of Trustees and the Undergraduate Convention.
7. Perform other such duties as the Assembly of Trustees or Board of Directors may determine.

Established July 1, 1997

#### **Procedure**

1. None required.

## 1.10

### Fraternity President Position Description

TITLE: Fraternity President

DATE: July 1, 1997

REPORTS TO: The Assembly of Trustees

#### *POSITION FUNCTION*

The President shall serve as the Chief Rituals Officer of the Fraternity and shall preside at all meetings of the Assembly of Trustees.

#### *PRINCIPLE RESPONSIBILITIES*

1. Serve as the Chief Rituals Officer of the Fraternity.
2. Serve on and attend all meetings of the Board of Directors.
3. Shall serve on and attend the Board of Directors Executive Committee meetings.
4. Appoint the Nominating Committee with the approval of the Board of Directors.
5. Preside at and attend the Assembly of Trustees meetings.
6. Shall deliver an annual report to the Assembly of Trustees and the Undergraduate Convention.
7. Shall perform other such duties as the Assembly of Trustees or the Board of Directors may require.

Established July 1, 1997

#### **Procedure**

1. None required.

## 1.11

### Fraternity Secretary Position Description

TITLE: Fraternity Secretary

DATE: July 1, 1997

REPORTS TO: The Assembly of Trustees

#### *POSITION FUNCTION*

The Secretary shall serve as the Chief Recording Officer of the Fraternity.

#### *PRINCIPLE RESPONSIBILITIES*

1. Shall be the Chief Recording Officer of the Fraternity.
2. Shall serve on and attend all meetings of the Board of Directors.
3. Serve on and attend the Board of Directors Executive Committee meetings.
4. Maintain the records of the Fraternity and the minutes of the Assembly of Trustees and the meetings of the Board of Directors.
5. Report on member resignations to the Board of Directors and reviews all member expulsions.
6. Attest to all contracts executed by a duly authorized officer of the Fraternity and affixes the seal of the Fraternity when so required.
7. Shall perform other such duties as the Assembly of Trustees or the Board of Directors may require.

Established July 1, 1997

#### **Procedure**

1. None required.

## 1.12

### Fraternity Treasurer Position Description

TITLE: Fraternity Treasurer

DATE: July 1, 1997

REPORTS TO: The Assembly of Trustees

#### *POSITION FUNCTION*

The Treasurer shall serve as the Chief Financial Officer of the Fraternity.

#### *PRINCIPLE RESPONSIBILITIES*

1. Serves as the Chief Financial Officer of the Fraternity.
2. Shall serve on and attend all meetings of the Board of Directors.
3. Serve on and attend the Board of Directors Executive Committee meetings.
4. Shall collect, receive, and have the care and custody of all moneys and securities of the Fraternity.
5. Is responsible, under the direction of the Board of Directors, for managing the financial affairs of the Fraternity in accordance with the Fraternity's laws.
6. Shall make an annual report at the Convention and Assembly of Trustees meeting as to the financial condition of the Fraternity.
7. Work in cooperation with the Executive Director and other Fraternity officials to prepare an annual budget for approval by the Board of Directors.
8. Be aware of and participate in decisions regarding taxation and accounting procedures which may affect the Fraternity.
9. Review and approve the audits of the Fraternity's operations.
10. Shall perform other such duties as the Assembly of Trustees or the Board of Directors may require.

Established July 1, 1997

#### **Procedure**

1. None required.

## 1.13

### Alumni Director Position Description

TITLE: Alumni Director

DATE: July 1, 1997

REPORTS TO: The Assembly of Trustees

#### *POSITION FUNCTION*

An Alumni Director of the Board of Directors shall, along with other members of the Board of Directors, manage the affairs of the Fraternity during such time as the Assembly of Trustees shall not be in session.

#### *PRINCIPLE RESPONSIBILITIES*

1. Shall serve on and attend all meetings of the Board of Directors.
2. Attend and participate in the Leadership Institute, Undergraduate Convention, Assembly of Trustees meeting, and other Fraternity observances as requested.
3. Serve as a Committee Chairman or on a Fraternity Committee as requested.
4. Serve as a liaison between the undergraduate and alumni chapter leaders and the Board of Directors.
5. Be ready to assist as necessary with chapter development and expansion as requested.
6. Supervise chapter situations as requested by the Board of Directors.
7. Shall perform other such duties as the Assembly of Trustees or the Board of Directors may require.

Established July 1, 1997

#### **Procedure**

1. None required.

## 1.14

### Undergraduate Director Position Description

TITLE: Undergraduate Director DATE: July 1, 1997

REPORTS TO: The Assembly of Trustees

#### *POSITION FUNCTION*

An Undergraduate Director of the Board of Directors shall, along with other members of the Board of Directors, manage the affairs of the Fraternity during such time as the Assembly of Trustees shall not be in session.

#### *PRINCIPLE RESPONSIBILITIES*

1. Shall be elected annually by and from the Undergraduate Advisory Board.
2. Shall serve on and attend all meetings of the Board of Directors.
3. Attend and participate in the Leadership Institute, Undergraduate Convention, Assembly of Trustees meeting, and other Fraternity observances as requested.
4. Serve as a Committee Chairman or on a Fraternity Committee as requested.
5. Serve as a liaison between the undergraduate and alumni chapter leaders and the Board of Directors.
6. Be ready to assist as necessary with chapter development and expansion as requested.
7. Supervise chapter situations as requested by the Board of Directors.
8. Shall perform other such duties as the Assembly of Trustees or the Board of Directors may require.

Established July 1, 1997

#### **Procedure**

1. None required.

## 1.15

### **Establishment and Authority of the Board Executive Committee**

The Board of Directors, by resolution, has established the Executive Committee to facilitate its management of the affairs of the Fraternity. The Chairman of the Board shall serve as the Chairman of the Executive Committee and shall appoint the other members of the Executive Committee with the approval of the Board. Executive Committee membership may include, in addition to the Chairman of the Board, the Fraternity President, the Fraternity Treasurer, the Fraternity Secretary, and other members of the Board of Directors as determined by the Chairman of the Board.

The duties and scope of authority of the Executive Committee will include:

1. To review and establish the agenda for the meetings of the Board of Directors.
2. To aid and advise the Executive Director in all matters concerning the affairs of the Fraternity between meetings of the Board.
3. To review the annual Operating and Loss Prevention Budgets and make recommendations concerning budgeting matters to the full Board.
4. To file a report to the full Board following meetings of the Executive Committee.
5. To conduct a performance evaluation of the Executive Director and to make recommendations to the full Board as to annual compensation of the Executive Director.
6. To undertake such other activities and to formulate other recommendations as may be requested from time to time by the Board in accordance with the Fraternity's Constitution and By-laws.

The Executive Committee shall not have authority to enact Fraternity or Board resolutions and/or policies or to perform any Constitutional duty or function of the Board of Directors.

Established April 25, 1998

#### **Procedure**

1. None required.

## 2.1

### Document Retention Guidelines

It was decided by the Board of Directors to establish a policy concerning the retention of International Fraternity documents in order to reduce storage and maintenance expenses, and to limit excess paper flow. The guidelines seek to prevent the inadvertent destruction of documents that the Fraternity is legally obligated to retain, or otherwise wishes to have available for future staff study. The guidelines reflect Fraternity interests, state or federal requirements, and applicable statutes of limitations.

#### Financial Records

Accounts Receivable ledgers and schedules	7 years
Accounts Payable invoices, schedules	7 years
Expense Reports	7 years
Financial Statements (year end)	Permanently
General Ledgers/Journal Entries	7 years
Payroll Records	7 years
Canceled checks	7 years
Annual audit report of accountants	Permanently
Tax returns and worksheets	Permanently
Bank reconciliation	1 year

#### Membership Records

Member biographical forms	Permanently
Initiation Reports	Permanently
Resignation/Expulsions	Permanently

#### Corporate Records

New York annual report filings	Permanently
Indiana annual report filings	Permanently
Minutes - Board of Directors	Permanently
Articles of Incorporation	Permanently
Constitution and Bylaws	Permanently
Minutes of Convention and Assembly	Permanently
Policies	Permanently

#### Personnel Records

Employee records (after termination)	2 years
Employment applications	2 years

#### Insurance Records

Insurance policies (after expiration)	8 years
Claims	8 years

## Chapter Records

Chapter visitation reports	2 years
Discipline reports	2 years
Chapter rosters	2 years
General correspondence	2 years
Show Cause notices	2 years

## Other Fraternity Records

Contracts, leases (after termination)	4 years
General Fraternity correspondence	2 years
Chapter Loan files (after repayment)	7 years
Leadership Institute materials	4 years
Membership Eligibility Lists	Permanently
Committee records	4 years
Expansion records	As needed

Established July 29, 1995

## **Procedure**

1. The International Headquarters will be responsible for the implementation of this policy.

## **2.2**

### **Executive Director Compensation**

Prior to the conclusion of each fiscal year (June 30) and as new budget projections are determined (March - May), the Chairman of the Board of Directors will meet/discuss with the Executive Director information pertinent to the Executive Director's performance review, professional goals, Fraternity objectives, and compensation. The Chairman will confer with the members of the Board's Executive Committee concerning these matters and will make determinations as to the Executive Director's performance, compensation, and benefits for each new fiscal year.

Established January 3, 1997

#### **Procedure**

1. The Executive Director will compile performance information for review by the Board of Directors.
2. The Chairman of the Board of Directors will communicate directly with the Executive Director concerning performance, professional goals, and compensation.

## **2.3**

### **Outside Employment or Interest for Senior Staff**

It is inconsistent with employment arrangements for a full-time member of the Senior Staff to engage in any material or outside employment or interest which might create or be construed to create a conflict with duties or responsibilities to the Fraternity. To avoid any employment conflicts, full-time Senior Staff members will not engage in any outside employment or interests without the explicit approval of the Executive Director.

Established April 19, 1997

#### **Procedure**

1. None required.

## **2.4**

### **International Headquarters Staff Management**

The Executive Director shall manage the staffing issues and needs for the International Headquarters. This shall include, but not be limited to, the following areas:

- Employment Process – Interviewing, Hiring, and Termination
- Training and Professional Development (internal and out-sourcing)
- Analysis of Employee Benefits
- Performance Evaluation

Furthermore, the Executive Director shall conduct performance evaluations for IHQ Staff members prior to the conclusion of the fiscal year (June 30) and as new budget projections are being formulated. The Executive Director will determine individual salaries for all employees. Where necessary, the Fraternity's Executive Director will confer with the Executive Director of the Delta Upsilon Educational Foundation to conduct performance evaluations.

Established April 19, 1997

#### **Procedure**

1. None required.

## 3.1

### Fraternity Cash and Investment Accounts

The International Fraternity has several Cash and Investment Accounts that serve a number of general purposes. The Cash and Investment Accounts for the International Fraternity include the following:

1. Payroll Account - All employee payroll activity is segregated in this account. All employee compensation is drawn from this account.
2. General Depository Account - International Fraternity general cash receipts from U.S. Chapters are deposited into this account. The branch bank is conveniently located near the Headquarters, allowing for daily deposits. Periodically, funds in this account are transferred into a higher-yielding account.
3. Insurance Depository Account - General Liability Insurance premiums paid by U. S. and Canadian Chapters are deposited into this account. Periodically, funds in this account are transferred into a higher-yielding account.
4. Royal Bank of Canada Account - General Fraternity dues from Canadian Chapters are deposited into this account, avoiding exchange rate fluctuations.
5. Educational Set-Aside Account - All interest income and net realized gains are segregated into this account to be used for qualified purposes as required by the Internal Revenue Service. Funds are periodically withdrawn to reimburse the Fraternity for qualified expenditures.
6. Short-term Investment Account - Excess General Fraternity cash is periodically transferred into this account. This account also serves as the Fraternity's Checking Account.
7. Short-term Investment Account for Insurance - Excess Insurance funds is periodically transferred into this account.
8. Permanent Trust Fund - The Permanent Trust Fund represents an investment portfolio of cash, stocks, and bonds. The funds are managed by a professional investment management firm and are held by a qualified custodian.

As a matter of practice and in accordance with proper fiduciary requirements, the Board of Directors issues signature authority for the Fraternity's Financial Accounts. Signature authority will be revised as necessary following the election of a new Board of Directors, the appointment of a new Executive Director, and/or reaffirmed at the Board's first quarterly meeting of each fiscal year.

Established January 3, 1997

Revised November 6, 1999

#### Procedure

1. The Fraternity Treasurer and the Executive Director will ensure this policy is properly monitored and implemented.

## 3.2

### Loss Prevention Fund Investment Policy

A conservative approach will be observed in investing excess cash of the Delta Upsilon Loss Prevention Fund. This approach is due to the volatility of the insurance industry for fraternities and the Fraternity's limited claims history. The investment goals are as follows:

1. To preserve and grow the funds to the greatest extent possible, consistent with an acceptable level of stability and security.
2. To maintain sufficient liquidity to meet all cash obligations.

#### Restricted Funds

An analysis will be done to project cash flow requirements and the accompanying timeline. A portion of the funds to be invested will be considered restricted. These restricted funds will only be invested in a money market account. The restricted amount will be the greater of the following

- The current year's self insurance retention requirement
- The previous years' claims reserves plus \$50,000

The analysis will also take into account the need for additional restricted funds due to the Fraternity's past claims history and an estimation of incurred but unreported claims. The analysis will ensure that cash required to meet obligations is available and easily accessible. The cash flow analysis must become part of the permanent record surrounding the investment.

#### Unrestricted Funds

All remaining funds will be considered unrestricted. These unrestricted funds will be invested in Treasury Securities of the United States government. The securities will have varying degrees of maturity based on the above cash flow analysis. The securities will be purchased in blocks up to \$75,000.

#### Review

The investment performance and cash flow analysis will be reviewed quarterly by the Investment Committee. The Fraternity Treasurer will periodically report to the Board of Directors with regard to fund size, total return, and investment positions.

Established January 3, 1997

#### Procedure

1. The Investment Committee and the International Headquarters Staff will ensure this policy is properly implemented.

## 3.3

### Accounts Receivable Collection Policy

To ensure Undergraduate Chapters meet their financial obligations to the International Fraternity, the Board of Directors has established the following Accounts Receivable Collection Policy.

1. Chapters will be sent a detailed bill from the International Headquarters on the 1st of each month. The entire balance must be paid by the 15th of the same month. Pledge and initiation fees must be paid within 24 hours regardless of whether they are included on the Chapter's bill.
2. After 30 days, late charges and interest will be assessed. Interest will accrue at a rate of 12% annually. The Fraternity's Accountant will follow-up with the Chapter's leadership to facilitate immediate payment.
3. When the receivable approaches the 60 day period, a warning letter from the Fraternity Treasurer will be sent and copies forwarded to the appropriate Alumni Advisors. The letter will strongly recommend immediate payment to stop further action by the Board of Directors.
4. When the receivable approaches the 90 day period, the Fraternity Secretary will issue a Show Cause Order per directive of the Standards Committee. The Chapter will be instructed to pay the outstanding obligation in full within 30 days or appear before the Standards Committee to show cause why the Chapter's Charter should not be suspended or revoked.
5. The Executive Director will approve promissory notes and payment plans only when extraordinary circumstances exist. This will be determined on a case by case basis, and the events necessitating this must be unusual and infrequent to the chapter's operations. If a Chapter misses a payment or becomes 30 days past due on current fees, the Standards Committee will automatically issue a Show Cause Order. The Chapter will be directed to appear before the Standards Committee and show cause why the Charter should not be suspended or revoked.
6. Chapters with overdue bills may not receive materials from the International Headquarters until the bill is paid in full. Exceptions may be made when the item requested is paid for in advance. If the account is paid in full, materials may be ordered and billed to the Chapter.
7. A fee of \$20 will be charged to the Chapter for any check (Chapter or individual) which is returned for insufficient funds.
8. Communication should continue between the chapter leadership and the Fraternity's Accountant during all phases of collection.

Established October 28, 1995

#### Procedure

1. The International Headquarters will communicate this policy to all chapters.
2. The International Headquarters will notify chapters of their delinquencies and possible action.

## **3.4**

### **Fraternity Lien Procedure**

In a situation where an Undergraduate Chapter or House Corporation is in financial arrears to the International Fraternity and a House Corporation (or other entity) owns or has control of real property and/or a structure occupied by a Chapter, the Board of Directors may request that the House Corporation (or other entity) execute in favor of the International Fraternity a mortgage or other statutory lien to secure the debt owed. This policy will automatically apply to all Chapters and House Corporations on which the financial indebtedness is greater than or equal to \$10,000 and is 120 days past due. At the instruction of the Board of Directors, this policy may also apply for financial indebtedness of less than \$10,000 or 180 days past due.

Established January 3, 1997

#### **Procedure**

1. The International Headquarters shall communicate this policy to all existing House Corporations that own real property occupied by an Undergraduate Chapter.
2. The Board of Directors may authorize the Executive Director to hire legal counsel to effect the aims of this policy.

## 3.5

### **Alumni Chapter/Trustee Attendance at the Assembly of Trustees**

The Board of Directors approved a policy of inviting an Alumni Chapter Officer or a House Corporation Officer or the Alumni Chapter Trustee to represent the Alumni Chapter at the annual Assembly of Trustees, held in conjunction with the Leadership Institute. Further, the Board authorized that the International Fraternity will provide up to one (1) complimentary conference registration for each of the Fraternity's Alumni Chapters. The complimentary conference registration will provide for the cost of one-half (1/2) of a double room for up to three nights for the Alumni Chapter Officer, House Corporation Officer, or Trustee, assuming appropriate attendance at conference activities. The representative will still be responsible for his own travel expenses. To be eligible, the representative must have been appointed to or assumed his position as of January 1 of the same year as the Assembly of Trustees meeting.

Established January 3, 1997

Revised November 6, 1999

#### **Procedure**

1. The International Headquarters will communicate this policy to Alumni Chapter Officers and Alumni Chapter Trustees.

## 3.6

### Fraternity Dues & Assessments

In accordance with the Delta Upsilon International Fraternity Constitution and By-Laws, on an annual basis prior to the Undergraduate Convention the Board of Directors will propose a universal fee structure for members and chapters of the Fraternity. The proposed structure will be established concurrently by the Board of Directors and the Undergraduate Advisory Board.

Provided below is the current fee structure for the International Fraternity.

- Initiation Dues.....\$200 per Member
- Pledge Dues .....\$60 per Member
- Membership Dues.....\$100 per Member (\$55 fall, \$45 spring)
- Fraternity Conferences Assessment.....\$1,600 per Chapter
- Liability Insurance Assessment .....To be determined on an annual basis prior to the Fall meeting of the Board of Directors (**US Funds**)

Established April 19, 1997

Revised July 23, 1998

Revised April 24, 1999

Revised July 27, 2000

Revised July 29, 2001

Revised July 28, 2002

#### Procedure

1. The Board of Directors will communicate with the Undergraduate Advisory Board concerning the Fraternity's fee structure.
2. The International Headquarters staff will distribute information on a regular basis to undergraduate chapters and members concerning the Fraternity's fee structure.

## **3.7**

### **Management of the Set-aside Fund**

Consistent with Internal Revenue Service requirements, the Fraternity has established a Set-aside Account where all interest income, royalties, and net realized gains are segregated into a separate fund. The funds are to be used for qualified educational purposes as required by the IRS, or to fund operating expenses, understanding that there may be tax liabilities to assume.

After careful analysis, should the Fraternity need to utilize any of the funds in the Set-aside Fund, the Board approved a policy stating that the distribution of any funds in any ninety (90) day period is authorized according to the increments provided below.

1. The Executive Director is authorized to transfer funds from the Set-aside Account to the general operating account up to \$25,000.
2. The Executive Director will seek endorsement from the Fraternity Treasurer for any transfers between \$25,000 and \$50,000.
3. The Executive Director will seek endorsement from the Board's Executive Committee for any transfers between \$50,000 and \$100,000.
4. The Executive Director will seek endorsement from the full Board for any transfers in excess of \$100,000.

Established January 9, 1998

#### **Procedure**

1. The Fraternity Treasurer and the Executive Director will ensure this policy is properly monitored and implemented.

## 3.8

### Management of the Permanent Trust Fund

The Board of Directors is the body within the Fraternity authorized to direct the use and maintenance of the Permanent Trust Fund ("PTF"). The PTF has two purposes:

1. To provide funds for the purpose of developing, designing, and implementing educational programming and management resources for the betterment of the Fraternity and its members.
2. To provide adequate financial reserves for the Fraternity should the Fraternity face a challenging fiscal situation.

It is the policy of the Board of Directors that acceptable reserves shall be maintained in the PTF. "Acceptable reserves" shall be defined as the greater of \$1.2 million or one hundred percent (100%) of the prior year's total combined general operating and loss prevention expenses for the Fraternity.

The members of the Board of Directors shall strictly observe their fiduciary duty when considering appropriate uses of the PTF. Appropriate uses of the PTF shall include:

1. To address a serious financial crisis for the Fraternity; and,
2. For long-term investments in:
  - a) Educational Programming;
  - b) Chapter House Loans;
  - c) Technology; and,
  - d) Management Resources.

A three-fourths (3/4) vote of the full Board is required to authorize any use of the PTF.

If the PTF falls or is below "acceptable reserves" at any time, the Board of Directors shall immediately adopt measures to replenish the PTF to acceptable reserves as quickly as prudently possible. During any period in which the PTF is below acceptable reserves, the PTF may not be used for any purpose other than to address a serious financial crisis threatening the existence of the Fraternity.

The Fraternity Treasurer shall provide a full accounting of the PTF quarterly to the Board of Directors, and to the Convention and Assembly of Trustees, as well as annual reports in the *Delta Upsilon Quarterly*.

Established July 23, 1998

#### Procedure

1. None required.

## **3.9**

### **Fraternity Budget Policy**

In accordance with Article 6, Section 1 of the Delta Upsilon By-Laws, the International Headquarters staff will submit annually to the Treasurer a proposed General Operating Budget and a proposed Loss Prevention Budget for his review. This submission will occur no less than 45 days prior to the start of the fiscal year. Comprehensive financial reports will also be made available to the Treasurer at this time inclusive of the third quarter current fiscal year activities. Revisions will be forwarded to the Treasurer during the 45 day period as new information becomes available. The Treasurer shall return to the Headquarters staff a revised proposal with his signature prior to the start of the fiscal year.

At the first quarterly Board Meeting of the new fiscal year (which shall be no later than 45 days into the fiscal year), the Treasurer will present the proposed budget to the Board of Directors for their approval.

Established July 23, 1998

#### **Procedure**

1. The Fraternity Treasurer and the Executive Director will ensure that this policy is properly monitored and implemented.

## 3.10

### Fraternity Loan and Loan Guarantee Policy

The Board of Directors affirmed that the International Fraternity will consider a House Corporation request for a short-term loan (five years or less) and/or a loan guarantee. The International Fraternity must be in an acceptable position to make Loans and Loan Guarantees.

The following criteria will be observed when determining whether to administer a Loan and/or Loan Guarantee to a Delta Upsilon House Corporation:

1. The House Corporation and the Chapter must be current on all fees and assessments to the International Fraternity.
2. The House Corporation and the Chapter must participate in all insurance programs established by the International Fraternity.
3. The House Corporation must endorse a Loan Agreement and/or a Loan Guarantee Agreement with the Delta Upsilon International Fraternity evidencing the debt. Rates offered will reflect the current market.
4. The House Corporation's loan to property value ratio can be no more than 80% on a Loan and 85% on a Loan Guarantee.
5. The House Corporation and the Chapter will be required to report financial position on a quarterly basis to the International Fraternity throughout the length of the Loan and/or Loan Guarantee. The House Corporation and the Chapter must submit an annual budget to the International Fraternity for review and approval by June 1 of each year.
6. Throughout the length of the Loan and/or Loan Guarantee, the House Corporation and the Chapter will require all individuals who reside on "chapter property" to sign yearly housing contracts.
7. The House Corporation and the Chapter agree to comply with: a) all applicable statutes, laws, ordinances, rules, and regulations of the International Fraternity, and federal, state, provincial, and local governments; b) the Constitution and By-Laws of the Fraternity; c) all resolutions, policies, and programs of the Fraternity; d) all applicable rules and policies of the university or college; and, e) all terms and conditions of the Loan Agreement or Loan Guarantee Agreement.
8. The House Corporation and the Chapter will not further encumber or incur any additional indebtedness in excess of five thousand dollars (\$5,000.00), whether singularly or in the aggregate, without the prior written approval of the International Fraternity's Board of Directors.
9. The Chapter's membership roll must be equal to or greater than the men's all fraternity average on that respective campus.

Established October 24, 1998

#### Procedure

1. Upon receipt of a formal inquiry, the Board shall appoint a review committee.
2. The review shall analyze the loan and/or loan guarantee application and forward its recommendation to the Board of Directors.
3. The Board will consider the authorization of a loan and/or loan guarantee in accordance with the Fraternity By-Laws (majority for a loan guarantee and three-fourths [ $\frac{3}{4}$ ] for use of PTF funds for a loan).
4. The Fraternity Treasurer and the Executive Director will ensure this policy is properly monitored and implemented.

## 3.11

### Permanent Trust Fund Investment Guidelines and Objectives

#### I. General Considerations

1. It is the intention of Delta Upsilon International Fraternity (DUIF) to allow the Investment Manager full discretion within the scope of these mutually agreed upon investment guidelines. The manager and the DUIF Board of Directors shall review these guidelines at least annually to assure that they remain valid and relevant.
2. The Investment Manager shall enter into a written investment management agreement acknowledging that it is a fiduciary with respect to the Permanent Trust Fund (Fund).
3. This statement is set forth so that there is a clear understanding on the part of the Board of the investment policies and objectives of the Fund; the Investment Manager can be given guidance as to what is expected of it; and, the Board will have a basis for evaluating overall investment performance and the performance of the Investment Manager.

#### II. Base Premises

1. Investments shall be made solely in the interest of the Fund.
2. The assets shall be invested with the care, skill, prudence, and diligence under the circumstances prevailing from time to time that a prudent man acting in a like capacity and familiar with such matters would use in the investment of a fund of like character and with like aims.
3. The investments shall be so diversified as to minimize the risk of large losses, unless under particular circumstances it is clearly prudent not to do so.
4. The portfolio, taken as a whole should, over the longer term, increase the purchasing power of the principal. Safety would be evaluated on an overall basis rather than for each individual investment.

#### III. Limitations and Requirements

1. The Investment Manager shall invest the assets of the Fund in fixed-income securities, equities, and cash equivalents.
2. The assets of the Fund shall be held in a custodial account independent of the Investment Manager. The account custodian shall be mutually agreeable to the Investment Manager and the DUIF Board of Directors.
3. The average duration of the overall fixed income portfolio shall not exceed ten (10) years.
4. Fixed income purchases shall be limited to obligations issued or guaranteed as to principal and interest by the U.S. Government or any agencies or instrumentalities thereof or corporate issues of the first four quality grades as established by Standard & Poor's bond rating service. Fourth quality rating is not to exceed 10% of portfolio at market. In no event may the combined securities of any one non-governmental corporation exceed 5% of the Fund's assets.
5. The Investment Manager shall make no equity investments (common stock and securities convertible into common stock) which would increase such holdings to more than 75% of the Fund's assets under its management based on market value. In no event, moreover, shall equities amount to more than 75% of assets for more than six (6) consecutive months.
6. Uninvested cash balance shall be kept to a minimum through the prompt investment of available funds in short-term or more permanent security holdings. To that purpose, investments in commercial paper shall be made only if such paper is rated A-1 by Standard & Poor's.
7. If more than 25% of the assets of the Fund are traded within any calendar quarter, the DUIF Board of Directors shall be apprised promptly of such activity and the reasons therefore.
8. There shall be no investments in any of the following:
  - a) Private placements or venture capital issues;

- b) Commodities and financial futures contracts;
  - c) Real or personal property;
  - d) Options or future contracts;
  - e) Short sales or margin purchase; or,
  - f) Volatile derivatives such as those possessing elements of leverage or risk beyond those of the underlying collateral or any derivative elements of leverage or risk beyond those of the underlying collateral or any derivative whose potential duration is greater than five (5) years.
9. In placing portfolio transaction orders on behalf of the Fund, the Investment Manager shall use its best efforts to obtain execution of orders through responsible brokerage firms at the most favorable prices and at reasonably competitive rates.

#### **IV. Investment Objectives/Performance Evaluation**

The manager's investment performance will be reviewed on a regular basis. Results for the total portfolio and for each major category of assets will be evaluated in comparison with appropriate market indices. For this purpose, the evaluation will focus on total rates of return. Because of the volatility of market values, such comparisons will emphasize experience over full market cycles, generally three (3) to five (5) years.

The manager's performance will be measured against an index consisting of 70% equities (Standard & Poor's 500), 25% bonds (Lehman Intermediate Government Corporate Index) and 5% cash (U.S. Treasury Bills).

#### **V. Communication and Reporting**

1. The Investment Manager shall issue a monthly valuation, transaction summary, performance summary and such other reports as may be deemed appropriate under the circumstances.
2. The Investment Manager is expected to meet with the Board to review the portfolio and to discuss investment results in the context of these goals, objectives and policies. At all times, however, the Investment Manager is encouraged to have open communications with the Board on all significant matters pertaining to investment policies and the management of the Fund's assets.
3. Whenever the Investment Manager believes that any particular guideline or objective should be changed or deleted, it is the responsibility of the Investment Manager to initiate communication with the Board.

Established April 24, 1999

#### **Procedure**

1. The Board of Directors will review the Permanent Trust Fund Guidelines and Objectives each fiscal year. The formal review will occur at the second meeting of the Board of Directors following the election of a new Board of Directors.
2. The Board of Directors will review the performance of the Investment Manager in relation to the investment objectives/performance evaluation at the second meeting of the Board of Directors following the election of a new Board of Directors.

## 3.12

### Late Fee Policy

In accordance with Article VI, Section 1, of the Constitution of Delta Upsilon and Article VI, Section 2, 3, 4, and 5, of the By-Laws of Delta Upsilon, the Fraternity may assess a late fee in an amount established by the Board of Directors and the Undergraduate Advisory Board concurrently to any Chapter or Colony that fails to pay fees in a timely manner. The following late fees are in effect:

LATE FEE for PLEDGE/ASSOCIATE MEMBER FEE: \$10

- Pledge Fees are payable immediately at the time of pledging and the name of each man must be forwarded to the Secretary of the Fraternity via the IHQ within 7 days.

LATE FEE for INITIATION FEE: \$20

- Initiation Fees are payable immediately at the time of initiation and the name of each man must be forwarded to the Secretary of the Fraternity via the IHQ 7 days prior to the initiation date.

LATE FEE for UNDERGRADUATE MEMBERSHIP FEE: 10% of the fee

- Membership fees are due in two installments, October 15<sup>th</sup> and March 15<sup>th</sup>. Fees are payable at that time and a current list of undergraduate men must be furnished to the Secretary of the Fraternity via the IHQ.

FINANCE CHARGES: 1% per month, 12% annually

- In accordance with the Accounts Receivable Collection Policy, bills are mailed to Chapters and Colonies on the 1<sup>st</sup> of each month, due and payable on the 15<sup>th</sup> of the same month.
- After 30 days, any unpaid amount is assessed a finance charge equal to 1% of the amount outstanding.
- This applies to all invoices, including but not limited to pledge fees, initiation fees, member fees, loss prevention fees, chapter supplies, President's Academy Assessment, Leadership Assessment, and Recruitment Symposium Assessment.

#### REPORTING:

The Chapter/Colony is responsible for reporting all events of pledging and initiation in a timely manner to the International Headquarters.

There may be months when no statement is mailed to chapters/colonies because the balance is zero. However, an event may have taken place and monies may have been owed BUT International Headquarters did not receive NOTIFICATION of the event. The Chapter/Colony is still responsible for payment of the event within the time frame designated above. Fees are payable from the date of the event, not from the date the event was reported.

Established November 6, 1999

#### Procedure

1. The International Headquarters staff will communicate this policy to all chapters/colonies.

### 3.13

## Fraternity Dues & Assessments for a Colony

In accordance with the Delta Upsilon International Fraternity Constitution and By-Laws, the Board of Directors annually proposes a fee structure for Colonies of the Fraternity. The proposed fee structure will be established concurrently by the Board of Directors and the Undergraduate Advisory Board.

Provided below is the fee structure for Colonies of Delta Upsilon.

- Colony Member Dues.....\$100 per Colony Member

Colony Member Dues provide for the Membership Dues and the Liability Insurance Assessments for up to two (2) terms after the term in which the organization is colonized. After the two (2) terms have expired, the Members of the Colony will remit the same Membership Dues as Undergraduate Chapter Members. Upon Installation/Re-Instatement of the Colony, the Members will immediately begin paying the same Membership Dues as Undergraduate Chapter Members.

- Educational Conferences Assessment.....\$1,600 per Colony

During the term in which the Colony is colonized and for an additional two (2) terms, the Educational Conferences Assessment will be waived. If the organization is a Colony beyond this time period, the Colony will remit the Educational Conferences Assessment consistent with what is required of an Undergraduate Chapter. Upon Installation/Re-Instatement of the Colony, the new Chapter will begin to pay the Educational Conferences Assessment.

- Liability Insurance Assessment

This Assessment is initially remitted as part of the Colony Member Dues. After the term in which the organization is colonized and an additional two (2) terms have expired, the Colony will remit the Liability Insurance Assessments at a rate that is equivalent to 50% of the average per man Liability Insurance Assessment.

- Chartering Fee .....\$500 per New Chapter

Newly Installed or Re-Instated Chapters must remit to the Fraternity a Chartering Fee at the time of Installation or Re-Instatement.

Established July 30, 2000

Revised January 5, 2001

Revised July 27, 2001

Revised July 28, 2002

### Procedure

1. The Board of Directors will communicate with the Undergraduate Advisory Board concerning the Fraternity's fee structure.
2. The International Headquarters staff will distribute information on a regular basis to Undergraduate Colonies and Members concerning the Fraternity's fee structure for Colonies.

## 3.14

### Debt Collection Policy for Suspended Chapters

The Board of Directors approved a policy concerning strategies to secure outstanding debts/balances owed by a Chapter and the Chapter's Undergraduate Members (Member) when the Board acts to suspend a Chapter's Charter.

1. Prior to the suspension of a Chapter's Charter, the Chapter Finance Committee will utilize every means available to resolve any outstanding debt/balance owed by a Chapter and/or Undergraduate Members to the International Fraternity.
2. Upon suspension of a Chapter's Charter, the Chapter Finance Committee will review the outstanding debt/balance owed by the Chapter and/or the Undergraduate Members to determine if there are charges that may be waived from the outstanding debt/balance. This may include, but not be limited to, finance charges, late fees, etc. Waiving outstanding debts/balances owed by a Chapter or Undergraduate Members is at the discretion of the Chapter Finance Committee.
3. The Chapter and/or the Undergraduate Members will not incur any additional finance charges/late fees as of the date of the suspension of the Chapter's Charter.
4. The Chapter Finance Committee will isolate any outstanding fees or dues that may be attributed to a specific Undergraduate Members. This may include, but not be limited to, initiation dues, pledge dues, member dues, etc.
5. The Chapter Finance Committee will identify the Undergraduate Members who were considered Undergraduate Members in good standing dating back to the date of the oldest outstanding debt/balance owed. Internal records and Chapter reported data will be used to identify the Undergraduate Members.
6. Those considered Undergraduate Members in good standing dating back to the date of the oldest outstanding debt/balance owed shall be responsible for the outstanding debt/balance. As needed, the outstanding debt/balance due will be divided appropriately among the Undergraduate Members. As noted in item #4 above, those Undergraduate Members for whom specific outstanding debts/balances can be attributed, will be responsible for the specific outstanding debts/balances.
7. The Chapter Finance Committee will forward correspondence to the Undergraduate Members, outlining the outstanding debt/balance due. The Undergraduate Members will be given no less than thirty (30) days to resolve the outstanding debt/balance or file a formal appeal.
8. After the thirty (30) day period, Undergraduate Members who have satisfactorily resolved their debt/balance will be granted Alumnus Member in good standing status. The Undergraduate Members who do not satisfactorily resolve their outstanding debt/balance may be recommended for expulsion for financial delinquency to the Board of Directors.
9. The Chapter Finance Committee may further recommend that the Board execute Policy #3.4 – Fraternity Lien Procedures for a Chapter/House Corporation that has control/ownership of real property when a Chapter's Charter is suspended and an outstanding debt/balance is left unresolved at the time of the Charter suspension.
10. Any unresolved debt/balance will be noted and archived in the Undergraduate Member's and/or Chapter's permanent record. Should an Undergraduate Member wish to be re-instated as an Alumnus Member in good standing, he will be responsible to satisfactorily resolve his outstanding debt/balance. In addition, in the event Alumni Members of a suspended Chapter seek to re-colonize or re-instate a suspended Chapter and an outstanding debt/balance was left unresolved at the time of Charter suspension, the Alumni Members may be required to satisfactorily resolve the outstanding debt/balance owed by the Chapter to the International Fraternity.

Established July 30, 2000

#### Procedure

1. The Chapter Finance Committee and the International Headquarters Staff will communicate and administer this policy.

## **3.15**

### **Permanent Trust Fund Gift Acceptance Policy**

The Fraternity's Board of Directors established a uniform gift acceptance policy concerning monetary gifts to the Delta Upsilon International Fraternity

It was acknowledged that from time to time the International Fraternity receives gifts and/or bequests of cash, property, and/or stock from alumni and other sources. In those instances where the gift and/or bequest is equal to or greater than \$5,000 (US) in value, the gift and/or bequest will be deposited into the Fraternity's Permanent Trust Fund. Any gift and/or bequest that is less than \$5,000 in value may be utilized for general operations by the Fraternity.

It is further acknowledged that any gifts and/or bequests of cash, property, and/or stock from alumni and other sources to the International Fraternity are not tax-deductible according to IRS rules, regulations, and criteria.

Established April 21, 2001

#### **Procedure**

1. The IHQ staff will administer this policy.

## **4.1**

### **Prayer at Chapter Meetings**

In response to questions concerning the prayers that form part of the Delta Upsilon Ritual, the Board of Directors approved the following ruling:

It is the interpretation of the Board of Directors that the prayers set forth in the Ritual of Delta Upsilon are suggested invocations rather than mandatory petitions. Alternate prayers offered during the performance of the Ritual are acceptable.

Established January 3, 1997

#### **Procedure**

1. The International Headquarters will communicate this policy to Undergraduate Chapters.

## 4.2

### **Little Sisters**

The Delta Upsilon International Fraternity endorses the Fraternity Executives Association resolution regarding “Little Sisters” groups. In addition, the Delta Upsilon Board of Directors has decreed that “Little Sisters” or similar women’s auxiliary groups have no place in the Fraternity and are henceforth banned. Any chapter violating this directive will be given 10 days notice to abandon the program or the Standards Committee will issue the Chapter a Show Cause Order that will require the Chapter to appear before the members of the Standards Committee at its next meeting.

Established July 1990

#### **Procedure**

1. The International Headquarters will communicate the policy concerning “Little Sisters” groups to Chapters and Alumni Advisors.

## 4.3

### Minimum Chapter Standards

In order for Undergraduate Chapters and their Undergraduate Members to achieve certain basic operational expectations, the Fraternity's Board of Directors, with the endorsement of the Undergraduate Advisory Board, has established a set of specific *Minimum Chapter Standards (MCS)*. The minimum standards help to ensure the existence of a healthy Delta Upsilon chapter. There are nine specific standards which are included as part of *MCS*. All DU chapters are expected to meet these minimum requirements.

1. Each academic term, the Chapter must complete necessary administrative requirements for the Fraternity. These include annual and semester chapter goal reports, financial reports, membership records, and other critical information and data.
2. The Chapter's membership size (active members and pledges) must be equal to or above the average fraternity size on campus. To help groups achieve this membership level, chapters will receive assistance from local alumni and the International Fraternity.
3. The Chapter must develop and implement a membership education program that meets the vital needs of its members and supports the Fraternity's principles. The written membership education program is to include a weekly agenda of activities, scholarship programming activities, culturally enriching seminars, education on loss prevention, and shall be devoid of inappropriate activities.
4. The Chapter must plan and execute at least two alumni/parents events each academic year and produce and distribute at least two alumni/parents newsletters each academic year.
5. The Chapter must sponsor and/or be actively involved in at least two service/philanthropic projects each academic year.
6. The Chapter's executive council shall conduct at least one retreat each academic year. The function of the retreat is to facilitate the chapter/officer goal-setting process.
7. The Chapter's GPA must be at or above the campus All Men's Average. A comprehensive, written scholarship program shall be in place to aid the chapter members in their academic endeavors.
8. The Chapter must have at least two active alumni/faculty advisors. The chapter must meet once a month with the alumni/faculty advisors.
9. The Chapter must implement sound fiscal practices and must be current on all financial obligations to the Fraternity, house corporation, local vendors, and the college/university.

Established July 28, 1995

#### Procedure

1. The Standards Committee and the International Headquarters will implement this policy.

## **4.4**

### **Legacies**

In response to alumni recommendations of Legacies, the Fraternity's Board of Directors stated that Undergraduate Chapters should consider for membership those undergraduate and alumni men who are identified as a relative of a member of Delta Upsilon. While a Chapter is not expected to extend an invitation to join the Chapter to an individual based solely on the basis of his relationship to a member of the Fraternity, the Fraternity's Board of Directors has declared that Legacies should receive the courtesy of special consideration for membership by Chapters.

Established July 1990

#### **Procedure**

1. The International Headquarters will communicate this policy to all chapters.

## 4.5

### Requirements for Receiving a Delta Upsilon Charter

While the Installation of a new Undergraduate Chapter is subject to many factors, the Delta Upsilon Board of Directors established the following requirements for a Colony to receive a Charter. These requirements are consistent with the Fraternity's Mandatory Chapter Standards.

For a Colony to receive a Delta Upsilon Charter, it must complete a formal petition and receive the approval of the Board of Directors. The petition must include accurate documentation that lends evidence that the noted prerequisite has been fulfilled.

1. The Colony's GPA must be at or above the All Men's Average. A comprehensive written scholarship program shall be in place to aid the colony members in their academic endeavors. A minimum GPA must be established for membership, initiation, and to hold office.

*A membership roster must be included in the petition and shall identify the following: full name, home and school addresses, major field of study, expected year of graduation, and previous term GPA and cumulative GPA. Include GPA rankings provided by the university/college which details the All Men's Average, the All Fraternity Average, and the colony ranking. A written scholarship program must also be included.*

2. The Colony membership size (members and pledges) must be a minimum of 25 members and will be carefully tracked throughout the expansion/colonization process. Factors to consider will include the median fraternity size on campus, past recruitment results of the Colony, alumni support, and strength and cohesiveness of the Colony. The Colony is expected to design and implement a written recruitment plan that includes dates, events, and objectives for recruitment activities.

*Include documentation from the university/college of the average fraternity size. Include a written recruitment plan that outlines dates, types of events, and objectives and goals for the colony's recruitment activities.*

3. The Colony must implement sound fiscal practices and remain current on all financial obligations to the Fraternity, house corporation, local vendors, and the college/university. The colony shall provide the Fraternity with a copy of its annual, semester, or quarterly budget, and monthly financial statements/records.

*Include a copy of your most recent budget in the petition. The budget should include sufficient funds for Installation and Initiation ceremonies.*

4. The Colony must strictly observe the Fraternity's Loss Prevention Policies and implement a written loss prevention program.

*Include a copy of the written loss prevention program.*

5. The colony must be represented at all Regional Leadership Seminars in its Province, the annual Leadership Institute, and the annual Presidents Academy.

*List names of members and events attended during colony period.*

6. Each academic term, the Colony must complete the necessary administrative requirements for the Fraternity. These include annual and semester goal reports, financial reports, membership records, monthly colony evaluations, and other critical information and data. Written By-Laws must be submitted to Fraternity Headquarters by the end of the first term of the Colony's existence.

*Include a copy of the Colony's By-Laws in the petition.*

7. The Colony's Executive Council shall conduct at least one organizational retreat each academic year. The function of the retreat is to facilitate the colony/officer goal setting process. The colony officers must also develop and maintain notebooks to document and support their officer duties.

*Include colony and officer goals for the upcoming semester.*

8. The Colony must have at least two alumni/faculty advisors. The Colony must meet at least once a month with its advisors.

*Provide names, addresses, and phone numbers of all alumni and faculty advisors to the Colony. Include letters of recommendation for Installation from the alumni/faculty advisor and Greek Advisor.*

9. The Colony must develop and implement a new member/membership education program that meets the vital needs of its members and supports the Fraternity's principles. The written membership education program shall include a weekly agenda of activities, scholarship programming activities, culturally enriching seminars, education on risk management and loss prevention, and shall be devoid of inappropriate activities.

*Include a copy of the written new member education program. Include a written outline of membership education activities and speakers for the members beyond pledging.*

10. The Colony must plan and execute at least two alumni/parent events each academic year and produce and distribute at least two alumni/parent newsletters each academic year.

*Provide documentation of alumni/parent events and schedules for future events.*

11. The Colony must sponsor and/or be involved in at least two service/philanthropic projects each academic year. At least one event must be sponsored solely by the Colony.

*Provide documentation of philanthropic events completed, money raised and to whom it was donated, community service hours by members and by the Colony, and any positive publicity gained by these events.*

12. It is intended that a Colony will fulfill the Fraternity's Chartering requirements within a reasonable timeframe. The Fraternity will work aggressively to ensure the Colony is prepared to petition for Chapter status within 150 days after the formal Colonization ceremony. This timeframe is designed to capitalize on the momentum of a new group and to maximize the resources dedicated to a new Colony and a new Chapter.

Established January 3, 1997

Revised November 6, 1999

## **Procedure**

1. The International Headquarters will communicate this policy and requirements to Colonies.

## 4.6

### Requirements for Colony Recognition

The Board of Directors affirmed its recognition of three levels of branch organizations: an Interest Group, a Colony, and an Undergraduate Chapter. In order for an Interest Group to receive Colony recognition by the International Fraternity, the Board of Directors stated that the following requirements must be fulfilled.

1. The petitioning Interest Group must have a minimum of 20 members, and should have the realistic potential to be at or above the All Fraternity Average in membership size within two years.
2. The Interest Group shall begin to develop goals and objectives for the future with DU's Four Founding Principles and philosophy in mind.
3. Local fraternities are encouraged to apply for university/colony recognition with the intent of affiliating with Delta Upsilon.
4. The Interest Group shall have an advisor and meet with this person on a regular basis.
5. The Interest Group must conduct weekly business meetings and must develop a regular dues system and budget.
6. Individual members should become familiar with Delta Upsilon's principles, philosophy, and history by way of the colonization packet and any other supplied materials.
7. The Interest Group should develop a positive working relationship with the Greek Advisor or related Student Affairs personnel.
8. If permitted, the Interest Group should participate in IFC meetings and activities, and should uphold all IFC, university, and college standards and regulations.
9. If necessary and desirable, a strong existing near by Chapter of Delta Upsilon will assume the role of the pending Colony's Mentor Chapter.
10. The Interest Group must complete the Colony Application supplied by the International Fraternity.

Established January 3, 1997

#### Procedure

1. The Membership Recruitment & Expansion Committee and the International Headquarters will communicate this policy and requirements to Interest Groups.

## **4.7**

### **Appropriate Use of the Fraternity's Trademarks**

In keeping with the high ideals and standards espoused by the Fraternity, the Delta Upsilon Board of Directors hereby establishes a policy on proper use of the Fraternity's trademarks. "Trademarks" is used to mean the name, symbols, figures, letters, words, or marks adopted and copyrighted by the Delta Upsilon International Fraternity, Inc.

The Fraternity does not condone and will not allow its name to be associated with any event, activity, ceremony, item, product, or favor that is in conflict with the ideals and standards of the Fraternity. Examples include, but are not limited to that which is offensive to any gender, ethnicity, locale, community, etc. Additionally, the Fraternity's trademarks may not be used in a manner that is inconsistent with the International Fraternity's Loss Prevention Policies. Entities that are using the Fraternity's trademarks for purposes outside of their duties as a member must obtain the express written approval of the International Fraternity.

Established July 23, 1998

#### **Procedure**

1. The International Headquarters will communicate this policy to all alumni and undergraduates.

## 4.8

### **Policy on the Chapter Excellence Plan**

1. Effective July 1, 1998, all Chapters shall prepare and submit the Fraternity's Chapter Excellence Plan Report to demonstrate the extent to which the Chapter has achieved excellence in the essential areas of chapter operations and membership development. The report must be received at the International Headquarters by May 1 of each year, or June 1 for quarter schools.
2. Chapters failing to achieve at least an eighty-five percent (85%) excellence rating or to fulfill the Fraternity's Mandatory Chapter Standards shall be required to meet with the Standards Committee or its designate. The Standards Committee shall review the performance of the Chapter and determine what corrective actions, if any, the Chapter must take. Corrective actions may include the implementation of the Fraternity's Alcohol-Free Housing Policy for the Chapter. The Alcohol-Free Housing Policy shall prohibit any alcoholic beverages on property and premises in which an Undergraduate Chapter is housed whether owned, rented, or leased by that Chapter, or any alumni organization affiliated with or related to that Chapter.
3. Effective July 1, 2003, a Chapter that has voluntarily or involuntarily adopted the Alcohol-Free Housing Policy for at least three (3) years, but has achieved at least an eighty-five percent (85%) excellence rating and has fulfilled the Fraternity's Mandatory Chapter Standards for at least three (3) consecutive years, may petition to change the Chapter's Alcohol-Free Housing status. The Board of Directors shall administer the petitioning process.

Established August 19, 1998

Revised November 6, 1999

Revised July 25, 2002

#### **Procedure**

1. The Standards Committee and the International Headquarters will communicate and implement this policy.

## 4.9

### Definitions of Recognized Alumni Organizations

The Delta Upsilon Board of Directors hereby affirms its recognition of five types of alumni organizations: an Alumni Club, an Alumni Chapter, an Alumni Association, a House Corporation, and a Chapter Educational Foundation. A flexible definition of each group is provided below:

1. All alumni members of a given chapter constitute the Alumni Chapter for the given Undergraduate Chapter.
2. An Alumni Association is defined as an association of members of an Alumni Chapter that advise an Undergraduate Chapter, sponsor chapter social and educational programs, and promote the activities of the Alumni Chapter.
3. A House Corporation is a corporation that owns/leases and manages A property that an Undergraduate Chapter occupies and conducts those business affairs incidental to maintaining and operating the property.
4. An Alumni Club is a group of members from various Alumni Chapters that are concentrated in a particular geographic area and come together to pursue the fraternal principles of friendship, character, culture, and justice.
5. A Chapter Educational Foundation is a 501(c)3 Educational Foundation established by an Alumni Chapter that provides educational support to an Undergraduate Chapter and members of that Chapter.

Established October 24, 1998

#### Procedure

1. The International Headquarters Staff will communicate this policy to the constituents of the above mentioned entities.
2. The International Headquarters Staff will maintain a database of the all such groups that are recognized by the International Fraternity.

## **4.10**

### **Minimum Chapter Size**

Delta Upsilon chapters shall be required each academic year to demonstrate that the chapter's membership size is greater than or equal to 15 initiated men on April 1.

Established October 24, 1998

Revised April 13, 2002

#### **Procedure**

The size shall be calculated as all paid initiated members.

Delta Upsilon chapters must submit accurate membership rosters at least once per academic year that demonstrate the above requirement.

Upon failure to meet this standard, written notification will be sent to the undergraduate and alumni chapters.

Failure to demonstrate chapter size of at least 15 initiated men at least once per academic year will result in suspension of the chapter.

Chapters may petition to the Standards Committee to have the one-year requirement adjusted to the calendar year, allowing for deferred recruitment.

## 5.1

### Loss Prevention Policies of Delta Upsilon

The Loss Prevention Policies of Delta Upsilon and FIPG, Inc. include the provisions that follow and shall apply to all Fraternity entities and all levels of Fraternity membership.

#### Alcohol and Drugs

1. The possession, sale, use or consumption of ALCOHOLIC BEVERAGES, while on chapter premises, during a Fraternity event, in any situation sponsored or endorsed by the chapter, or at any event an observer would associate with the Fraternity, must be in compliance with any and all applicable laws of the state, province, county, city and institution of higher education, and must comply with either the BYOB or Third Party Vendor Guidelines.
2. No alcoholic beverages may be purchased through chapter funds nor may the purchase of same for members or guests be undertaken or coordinated by any member in the name of or on behalf of the chapter. The purchase or use of a bulk quantity or common sources of such alcoholic beverage, e.g. kegs or cases, is prohibited.
3. OPEN PARTIES meaning those with unrestricted access by non-members of the Fraternity, without specific invitation, where alcohol is present shall be prohibited.
4. No members, collectively or individually, shall purchase for, serve to, or sell alcoholic beverages to any minor (i.e., those under legal "drinking age").
5. The possession, sale or use of any ILLEGAL DRUGS or CONTROLLED SUBSTANCES while on chapter premises or during a Fraternity event or at any event that an observer would associate with the Fraternity is strictly prohibited.
6. No chapter may co-sponsor an event with an alcohol distributor, charitable organization or tavern (tavern defined as an establishment generating more than half of annual gross sales from alcohol) where alcohol is given away, sold or otherwise provided to those present.
7. No chapter may co-sponsor or co-finance a function where alcohol is purchased by any of the host chapters, groups or organizations.
8. All rush activities associated with any chapter will be a DRY rush function.
9. No member shall permit, tolerate, encourage or participate in "drinking games."
10. No alcohol shall be present at any pledge/ associate member/novice program, activity or ritual of the chapter.

#### Hazing

No chapter, colony, student, alumnus, or employee of the Fraternity shall conduct hazing activities. Hazing activities are defined as: "Any action taken or situation created, intentionally, whether on or off Fraternity premises, to produce mental or physical discomfort, embarrassment, harassment, or ridicule. Such activities may include but are not limited to the following: use of alcohol; paddling in any form; creation of excessive fatigue; physical and psychological shocks; quests, treasure hunts, scavenger hunts, road trips or any other such activities carried on outside or inside of the confines of the chapter house; wearing of public apparel which is conspicuous and not normally in good taste; engaging in public stunts and buffoonery; morally degrading or humiliating games and activities; and any other activities which are not consistent with academic achievement, fraternal law, ritual or policy or the regulations and policies of the educational institution, or applicable state/provincial law."

#### Sexual Abuse

The Fraternity will not tolerate or condone any form of sexist or sexually abusive behavior on the part of its members, whether physical, mental or emotional. This is to include any actions that are demeaning to women and/or men including but not limited to date rape, gang rape or verbal harassment.

## **Physical Abuse**

No member shall resort to or engage in any physical acts of violence of any kind against another individual or any acts of vandalism of any kind against another person's property for any reason, except for the purpose of the defense of one's self or one's own property and to the limited extent that the law would otherwise permit.

## **Fire, Health and Safety**

1. All chapter houses should meet all local fire and health codes and standards
2. All chapters should have posted by common phones emergency numbers for fire, police and ambulances and should have posted evacuation routes on the back of the door of each sleeping room.
3. All chapters should comply with engineering recommendations as reported by the insurance company.
4. The possession and/or use of weapons of any kind within the confines and premises of the chapter house is expressly forbidden. The term "weapon" means any object, substance or chemical designed or intended to inflict a wound, cause injury or incapacitate, including but not limited to, all firearms, pellet guns, switchblades, knives and knives with blades five or more inches in length, or dangerous chemicals.

## **Education**

Each chapter shall instruct its members and alumni in the Loss Prevention Policies of Delta Upsilon and FIPG, Inc. Additionally, all student and alumni members shall annually receive a copy of said Loss Prevention Policies.

Established November 1990

Revised July 1996

Revised July 1998

Revised October 2000

## **Procedure**

1. The International Headquarters will communicate these policies to all chapters, alumni chapters, and colonies.
2. The International Headquarters will facilitate the implementation of these policies.

## 5.2

### **Participation in the Fraternity's General Liability Insurance Program**

To ensure the long-term stability of the Fraternity's Comprehensive Loss Prevention and General Liability Insurance Programs, the Delta Upsilon Board of Directors has established a policy that requires that all Chapters currently participating in the program remain in the program. Those Delta Upsilon alumni chapters and/or house corporations that maintain and/or own a property that does not house a Delta Upsilon chapter shall be required to participate in the Fraternity's Comprehensive Loss Prevention and Liability Insurance Programs. In order to operate successful Comprehensive Loss Prevention and General Liability Insurance Programs, all current and future Chapters and Colonies that participate in the Fraternity's General Liability Insurance Program must continue to participate until such time as the Fraternity determines it is no longer vital to the Fraternity's existence.

Established January 5, 1996

Revised March 25, 2000

#### **Procedure**

1. The International Headquarters will communicate and implement this policy.

## 5.3

### **General Liability Insurance Program and Non-Participating Chapters**

It is the view of the Fraternity's Board of Directors that it is important to verify that all chapters of Delta Upsilon have the appropriate and adequate general liability insurance coverage. Further, the Board of Directors acknowledges that presently one (1) Undergraduate Chapter does not secure general liability insurance coverage through the Fraternity's program. This includes the Colgate Chapter. This Chapter will be required to meet the following criteria on an annual basis:

1. The Chapter must have general liability insurance that has equal or greater coverage limits to that secured by the International Fraternity.
2. "The Delta Upsilon International Fraternity and all of its subsidiaries as they appear" must be specifically named as an additional insured on the policy.
3. Chapters are required to provide to the International Headquarters a complete (full and certified) copy of the general liability insurance policy within 45 days of renewal, in addition to a Certificate of Insurance within 5 working days of renewal and meet the requirements of #1 and #2 above.
4. The chapter must be current on the Loss Prevention Assessment Fees.

If the above conditions are not completely fulfilled, the chapter officers and alumni chapter officers will be informed that the Chapter will be required to effective immediately fully participate in the Fraternity's Comprehensive Loss Prevention and General Liability Insurance Programs and remit all applicable Loss Prevention Assessment Fees.

Established March 30, 1996

Revised October 14, 2000

#### **Procedure**

1. The International Headquarters will communicate and implement this policy.

## 5.4

### Delta Upsilon Crisis Response Policy

The Delta Upsilon Board of Directors has established flexible guidelines for responding to crises that arise from operation of the Fraternity. The following steps will serve as a general procedure for response to a crisis situation. Within 24 hours of an incident:

1. Establish the facts of the incident.
2. Determine whether staff member needs to be dispatched.
3. Determine an appropriate spokesperson.
4. Notify the Fraternity's insurance broker.
5. Contact the Greek advisor, local chapter representatives, alumni, and local authorities as needed.
6. Obtain copies of relevant materials (i.e., police reports, hospital reports, media pieces).
7. Notify internal parties.
8. Hold meeting with chapter to communicate *Guide to Crisis Management*.
9. Determine whether to secure legal representation.
10. Determine whether to contact injured party or guardians.
11. Hold conference or release statements as needed.
12. Report to all parties as needed.

Established July 23, 1998.

#### Procedure

1. The Executive Director and International Headquarters Staff will implement this policy.

## 5.5

### **Delta Upsilon Alcohol-Free Housing Policy**

1. The Alcohol-Free Housing Policy shall prohibit any alcoholic beverages on the property and premises in which an Undergraduate Chapter is housed whether owned, rented, or leased by that Chapter, or any alumni organization affiliated with or related to that Chapter.
2. All new Fraternity colonies, re-colonizations, and reorganizations shall implement the Alcohol-Free Housing Policy.
3. Chapters located on campuses that impose an alcohol-free housing requirement shall be required to implement the Delta Upsilon Alcohol-Free Housing Policy. All Chapters shall continue to abide by the Fraternity's Loss Prevention Policies and the laws, policies, and regulations of the state, province, county, city, and host institution.
4. The Board of Directors strongly encourages all Chapters to voluntarily implement the Fraternity's Alcohol-Free Housing Policy as part of the Chapter's efforts to achieve the Fraternity's *Standards of Excellence*.
5. The Fraternity's Standards Committee may require a Chapter to implement the Alcohol-Free Housing Policy as defined above and provided for in the *Policy on Chapter Standards of Excellence*.

Established August 19, 1998

Revised November 6, 1999

#### **Procedure**

1. The Standards Committee and the International Headquarters will communicate and implement this policy.

## **5.6**

### **Compliance With Loss Control Inspection Recommendations**

To ensure the safety of Delta Upsilon's undergraduate chapter facilities, the Fraternity's Loss Prevention Program provides for a General Liability Inspection of each chapter facility approximately once every three years. The Delta Upsilon Board of Directors hereby establishes a policy that requires all Undergraduate Chapters and House Corporations that rent, lease, or own a chapter facility to address each of the recommendations provided in a General Liability Inspection Report either by implementing any given recommendation or by demonstrating to the Fraternity why certain recommendations cannot be implemented in a timely fashion or at all. The Fraternity will continue to work with the Undergraduate Chapters and House Corporations to ensure the safety of our brothers, and will assist whenever possible to address the recommendations set forth in a General Liability Inspection Report.

Established October 24, 1998

Revised October 14, 2000

#### **Procedure**

1. The International Headquarters Staff will communicate and implement this policy.

## 5.7

### Management of Claims and Lawsuits

In order to effectively manage claims and lawsuits against the Fraternity, the Board of Directors hereby establishes a policy that delineates the procedures for the handling of claims and lawsuits received by the Fraternity.

#### Upon Official Notice of a Lawsuit or Claim

1. Within three (3) days of notice of a lawsuit or claim, the Fraternity shall forward a copy of the notice to the Fraternity's Third Party Claims Adjuster (TPCA) and the Fraternity's insurance broker a copy of the notice. The TPCA will be requested to:
  - Identify legal counsel if necessary;
  - Establish an initial indemnity reserve in accordance with the nature of the incident; and,
  - Notify the insurance carrier and provide a written confirmation that all of the previous have been completed.
2. As necessary, the TPCA shall retain appropriate legal counsel within five (5) days of receipt of the notice by the TPCA.
3. Upon selection of legal counsel, the TPCA will request counsel to provide TPCA and the Fraternity with:
  - A defense strategy recommendation;
  - An initial assessment of the defense of the claim or lawsuit; and,
  - An exposure analysis based on a review of recent jury verdicts.
4. Within forty-five (45) days of the appointment of legal counsel, the TPCA will request legal counsel to provide a report on progress and any new information, and provide an updated litigation budget. The same will be requested every thirty (30) days after the initial report. These reports are to be provided to both the TPCA and the Fraternity.
5. Within forty-five (45) days of the appointment of legal counsel, the TPCA will request legal counsel where appropriate, if grounds exist, and in accordance with generally accepted procedures, to immediately seek to have Delta Upsilon International Fraternity (and any other parties for which such a strategy is appropriate) dismissed by a dispositive motion. Priority shall be given to a strategy that seeks a dismissal of the International Fraternity, an Alumni Chapter, House Corporation, and a Chapter named in any lawsuit.

#### Settlement of a Claim or Lawsuit before Trial

1. Generally, the Fraternity desires to participate in settlement proceedings in any case in which the Fraternity, any of the Fraternity's Officers and Directors, any Chapter or Alumni Chapter, or any House Corporation is a named defendant and to be involved in any settlement negotiations.

2. Any settlement of any lawsuit or claim in which the Fraternity, any of the Fraternity's Officers and Directors, any Chapter or Alumni Chapter, or any House Corporation is the named defendant shall include (where permitted by law):
  - A requirement that the plaintiff provide a complete, final, and full release of any claims against all Fraternity defendants;
  - A statement that the Fraternity defendants do not admit liability of any disputed claims;
  - A confidentiality provision prohibiting any statement about the lawsuit or settlement beyond the fact that it was settled and a requirement that all discovery obtained in the course of the lawsuit or claim remain confidential;
  - A requirement that all medical liens or other liens be fully satisfied by the plaintiff; and,
  - A requirement that the plaintiff agree to defend and hold harmless the Fraternity defendants harmless from and against any lien holders.

Established October 24, 1998

Revised October 14, 2000

### **Procedure**

1. The International Headquarters staff will communicate and implement this policy.

## 6.1

### **Mission of the Delta Upsilon Quarterly**

The *Delta Upsilon Quarterly* is the official voice of the Delta Upsilon International Fraternity. The publication endeavors to inform DU alumni, undergraduates and their families, and campus officials about issues relevant to the Fraternity.

The *Quarterly* will:

- Publicize the achievements of DU alumni and chapters;
- Encourage DU alumni to serve as chapter mentors and volunteer advisors;
- Help recruit men who embrace Delta Upsilon's core values;
- Promote academic excellence;
- Assist the DU Educational Foundation, house corporations, alumni chapters, and undergraduate chapters in fundraising activities;
- Recognize contributors to the DU Educational Foundation;
- Assist members of Delta Upsilon in developing life and career skills; and,
- Demonstrate leadership on critical fraternal issues.

Established April 21, 2001

#### **Procedure**

1. None required.