

ALPHA SIGMA PHI FRATERNITY

- GRAND COUNCIL POLICIES (As of 9/20/08)
 - LINKAGE PLAN (As of 3/01/05)



THE MISSION OF ALPHA SIGMA PHI FRATERNITY, INC. IS...

**TO BE THE CO-CURRICULAR ORGANIZATION OF CHOICE FOR DISCERNING UNDERGRADUATE MEN,
THROUGH THE PROVISION OF AN ENRICHING BROTHERHOOD EXPERIENCE AND A FULL RANGE OF
CHARACTER AND LEADERSHIP DEVELOPMENT OPPORTUNITIES THAT ARE:
RELEVANT, REPLICABLE, AND RECOGNIZABLE.**

THE PURPOSE OF ALPHA SIGMA PHI FRATERNITY, INC. IS...

**TO BETTER THE MAN, THROUGH THE CREATION AND PERPETUATION OF BROTHERHOOD FOUNDED UPON
THE VALUES OF CHARACTER: SILENCE, CHARITY, PURITY, HONOR, AND PATRIOTISM.**

POLICY TYPE: ENDS.....4

- POLICY 1.0: To Better the Man, through the creation and perpetuation of brotherhood founded upon the values of character...Silence, Charity, Purity, Honor, Patriotism 4*
- Policy 1.1 A: RITUAL VALUES 4*
(Monitored Annually in the Winter)..... 4
- Policy 1.1 B: CHAPTER-LEVEL PARENT, UNIVERSITY AND ALUMNI INVOLVEMENT..... 4*
(Monitored Annually in the Winter)..... 4
- Policy 1.1 C: MEMBER RECRUITMENT..... 5*
(Monitored Annually in the Fall)..... 5
- Policy 1.1 D: INDUCTION TO THE BROTHERHOOD..... 5*
(Monitored Annually in the Fall)..... 5
- Policy 1.1 E: BROTHERHOOD DEVELOPMENT..... 5*
(Monitored Annually in the Winter)..... 5
- Policy 1.1 F: CHARACTER DEVELOPMENT..... 6*
(Monitored Annually in the Fall)..... 6
- Policy 1.1 G: LEADERSHIP SKILLS 6*
(Monitored Annually in the Spring)..... 6
- POLICY 1.1 H: LIFE SKILLS..... 6*
(Monitored Annually in the Spring)..... 6

POLICY TYPE: EXECUTIVE LIMITATIONS.....7

- POLICY 2.0 - GLOBAL EXECUTIVE CONSTRAINT 7*
(Monitored Annually in Jan. / Feb.)..... 7
- POLICY 2.1 - TREATMENT OF BROTHERS..... 7*
(Monitored Semiannually in the Winter and Summer)..... 7
- POLICY 2.2 - TREATMENT OF CHAPTERS..... 8*
(Monitored Semiannually in the Winter and Summer)..... 8
- POLICY 2.3 - TREATMENT OF STAFF..... 8*
(Monitored Semiannually in the Winter and Fall)..... 8
- POLICY 2.4 - FINANCIAL PLANNING/BUDGETING 9*
(Monitored Quarterly beginning in November) 9
- POLICY 2.5 - FINANCIAL CONDITION AND ACTIVITIES 9*
(Monitored Quarterly beginning in November) 9
- POLICY 2.6 - EMERGENCY CEO SUCCESSION 10*
(Monitored Annually in the Summer) 10
- POLICY 2.7 - ASSET PROTECTION & BUSINESS CONTINUITY 10*
(Monitored Annually in the Fall)..... 10
- POLICY 2.8 - COMPENSATION AND BENEFITS..... 11*
(Monitored Annually in the Fall)..... 11
- POLICY 2.9 - COMMUNICATION AND SUPPORT TO THE BOARD 12*
(Monitored Semiannually in the Summer & Fall) 12
- POLICY 2.10 - USE OF ESOTERIC MATERIALS..... 13*
(Monitored Semiannually in the Summer & Fall) 13

POLICY TYPE: GOVERNANCE PROCESS.....14

- POLICY 3.0 - GLOBAL GOVERNANCE COMMITMENT 14*
(Monitored Annually in the Summer) 14
- POLICY 3.1 - GOVERNING STYLE 14*
(Monitored Annually in the Fall)..... 14
- POLICY 3.2 - BOARD JOB DESCRIPTION..... 15*
(Monitored Annually in the Summer) 15
- POLICY 3.3 - AGENDA PLANNING 16*
(Monitored Annually in the Summer) 16

Alpha Sigma Phi Grand Council Policy Manual

POLICY 3.4 – THE GRAND SENIOR PRESIDENT’S ROLE..... 17
(Monitored Annually in the Fall)..... 17
POLICY 3.5 - BOARD MEMBERS' CODE OF CONDUCT 18
(Monitored Annually in the Fall)..... 18
POLICY 3.6 - BOARD COMMITTEE PRINCIPLES 19
(Monitored Annually in the Winter)..... 19
POLICY 3.7 - BOARD COMMITTEE STRUCTURE..... 19
(Monitored Annually in the Winter)..... 19
POLICY 3.8 - COST OF GOVERNANCE..... 20
(Monitored Semiannually in the Fall and Spring)..... 20

POLICY TYPE: BOARD-CEO LINKAGE**21**

POLICY 4.0 - GLOBAL GOVERNANCE-MANAGEMENT CONNECTION..... 21
(Monitored Annually in the Fall)..... 21
POLICY 4.1 - UNITY OF CONTROL 21
(Monitored Annually in the Winter)..... 21
POLICY 4.2 - ACCOUNTABILITY OF THE CEO 21
(Monitored Annually in the Summer) 21
POLICY 4.3 - DELEGATION TO THE CEO 22
(Monitored Annually in the Summer) 22
POLICY 4.4 - MONITORING CEO PERFORMANCE 23
(Monitored Annually in the Fall)..... 23

GRAND COUNCILOR TERMS**24**

ANNUAL WORKPLAN**25**

OWNERSHIP LINKAGE PLAN**26**

Grand Council Objectives: 26
Responsibility: Grand Secretary w/ board approval and in coordination with the CEO..... 26
Responsibility: Board Committee 27
Individual Member Objectives..... 27
Visit Reporting Requirements: 27
Other Duties:..... 28

BOARD MEMBER ACCOUNTABILITY**28**

GRAND COUNCIL CONFLICT OF INTEREST CLAUSE.....**29**

POLICY TYPE: ENDS

POLICY 1.0: To Better the Man, through the creation and perpetuation of brotherhood founded upon the values of character...Silence, Charity, Purity, Honor, Patriotism

***Policy 1.1 A: RITUAL VALUES
(Monitored Annually in the Winter)***

1. Each brother will know and understand the practical application in day-to-day life of the values we espouse; silence, charity, purity, honor, and patriotism.
2. Our values will be an open, visible, and central component of each undergraduate brother's day-to-day lives.
3. Our values will be an open, visible, and central component of the national organization's and each chapter's culture, policies, products, services and governance model.
4. Our values will be openly communicated to the non-initiated.

***Policy 1.1 B: CHAPTER-LEVEL PARENT, UNIVERSITY AND ALUMNI INVOLVEMENT
(Monitored Annually in the Winter)***

1. Each chapter and colony will have at least one alumni brother assigned as a Grand Chapter/Colony Advisor (GCA).
2. The roles and responsibilities of GCAs will be properly documented and effectively communicated to the advisor and the group they are assigned to mentor.
3. Each GCA will have attended specific training on their roles and responsibilities within six months of assignment as an advisor.
4. Each GCA will build and sustain a Chapter Council comprised of at least one parent of a current undergraduate member of the chapter, a member of the university's faculty or staff, and a member of the chapter's housing corporation (if applicable).
5. Each GCA will be equipped with the resources necessary to build and sustain an active parents group whose purpose is to involve parents of current undergraduate members of the chapter in appropriate chapter activities to include pledge ceremonies, scholarship and award events, community service events, and appropriate chapter social events.
6. Each GCA will receive semiannual feedback on their performance and the performance of their Chapter Council as measured against an established set of criteria detailed by ENDS and Limitations consistent with the Grand Council's governance model.
7. All GCAs will provide monitoring reports to the Grand Council semiannually, outlining their progress toward meeting their ENDS and compliance with appropriate Limitations.
8. All alumni will receive communications regarding their chapter and/or the national organization at least four times per year.

Policy 1.1 C: MEMBER RECRUITMENT
(Monitored Annually in the Fall)

1. All ΑΣΦ recruitment materials will be designed to support our purpose and contribute to our vision.
2. Each chapter and colony will have access to resources designed to assist in the development of a chapter recruitment message and strategy designed to support our purpose and contribute to our vision.
3. GCAs will be trained on a consistent recruitment concept.
4. All chapters will realize at least a 25% increase in membership from the 2004-2005 academic year baseline or exceed the respective campus fraternity size average, whichever is greater, by the end of the 2008-2009 academic year.
5. Undergraduate demographics will show positive trends in diversity of membership and retention rates.

Policy 1.1 D: INDUCTION TO THE BROTHERHOOD
(Monitored Annually in the Fall)

1. Every chapter will employ a nationally developed pledge education program that is compliant with NIC standards.
2. Every brother will participate a quality initiation experience which emphasizes the values espoused by ΑΣΦ no later than nine weeks after the pledge ceremony.
3. Every chapter will conduct a nationally developed post-initiation ceremony ritual review, lead by an alumni volunteer.
4. Every brother will attend a nationally developed and executed values-based new member character development opportunity at no charge, within 1 year of initiation.

Policy 1.1 E: BROTHERHOOD DEVELOPMENT
(Monitored Annually in the Winter)

1. Every chapter will hold at least one retreat each academic year to set goals and objectives as a brotherhood. This event will be facilitated by the GCA, supported by the Chapter Council.
2. Every chapter will have a Director of Brotherhood Development devoted to facilitating opportunities for brothers to interact beyond the social aspects of fraternity.
3. Guidance on brotherhood development opportunities will be prepared and distributed to each chapter, colony and interest group and the GCA supporting each group.
4. Regionally based brotherhood interaction opportunities will be established and facilitated by alumni volunteers.
5. ΑΣΦ Chapters will sponsor at least one service project in the local community each academic year which is open to and marketed for participation by any member of the campus and local community.

***Policy 1.1 F: CHARACTER DEVELOPMENT
(Monitored Annually in the Fall)***

1. Every chapter will provide an environment and culture in which young men can explore their values and personal attributes in an emotionally and physically safe environment.
2. Each brother will learn the discipline necessary to be academically successful.
3. Each brother will embrace the responsibility of being a positive and contributory member of society.
4. Every brother will understand the responsibilities and ramifications associated with alcohol consumption and other excessive behaviors.

***Policy 1.1 G: LEADERSHIP SKILLS
(Monitored Annually in the Spring)***

1. ΑΣΦ, with assistance from the Educational Foundation, will sponsor values-based leadership training events open to the entire campus community.
2. All chapter leadership position manuals will be reviewed for congruence with purpose, marketing message and will be readily available.
3. Every chapter HSP will receive timely training on their role and responsibilities in fostering a values-based chapter culture.
4. Every member of each chapter will be an active participant in one of the committees established to oversee operations.

***POLICY 1.1 H: LIFE SKILLS
(Monitored Annually in the Spring)***

1. Each undergraduate brother will have an alumni mentor to assist in the journey to self-awareness and the transition to post-academic life.
2. Each member will participate in a nationally developed curriculum which emphasizes the power of values-based decision making in a post-academic world within the 12 months prior to graduation.
3. Each brother transitioning to alumni status will fully understand the benefits of continued involvement in the Fraternity and the opportunities to volunteer time and/or treasure to support the organization's purpose.
4. Each brother transitioning to alumni status will renew that special bond of brotherhood through participation in an appropriate event or ceremony, attended by friends, family, and alumni brothers, to mark the transition from undergraduate to alumni status.
5. Each brother will have access to resources free of charge that address some of the practical challenges encountered during this transition.

POLICY TYPE: EXECUTIVE LIMITATIONS

POLICY 2.0 - GLOBAL EXECUTIVE CONSTRAINT
(Monitored Annually in Jan. / Feb.)

The CEO shall not cause or allow any practice, activity, decision, or organizational circumstance which is either unlawful, imprudent or in violation of accepted Fraternal policies or commonly accepted business and professional ethics.

POLICY 2.1 - TREATMENT OF BROTHERS
(Monitored Semiannually in the Winter and Summer)

With respect to interactions with brothers or those applying to be brothers, the CEO shall not cause or allow conditions, procedures, or decisions that are unsafe, undignified, or unnecessarily intrusive.

Further, without limiting the scope of the foregoing by this enumeration, the CEO shall not:

1. Use methods of collecting, reviewing, transmitting, or storing brother information that fail to protect against improper access to the material elicited.
2. Fail to provide appropriate accessibility and privacy in national facilities.
3. Fail to establish with brothers a clear understanding of what services may be expected and what services may not be expected.
4. Fail to inform brothers of this policy.
5. Fail to provide a way for brothers to be heard who believe they have not been accorded a reasonable interpretation of their protections under this policy.
6. Fail to provide a means for submitting an appeal to the Grand Council (and/or Grand Chapter) on the grounds that they have not been offered a reasonable interpretation by the CEO under this policy.
7. Fail to establish a mechanism to capture customer or owner complaints.

POLICY 2.2 - TREATMENT OF CHAPTERS
(Monitored Semiannually in the Winter and Summer)

With respect to the treatment of chapters or those applying to be chapters, the CEO may not cause or allow conditions that are unfair or undignified.

Further, without limiting the scope of the foregoing by this enumeration, the CEO shall not:

1. Fail to establish a clear understanding of what services may be expected and what services may not be expected.
2. Fail to treat without prejudice chapters or those applying to be chapters or to be reinstated as chapters if they have met the qualifications.
3. Fail to acquaint chapters or those applying to be chapters with the CEO's interpretation of their protections under this policy.
4. Prevent chapters or those applying to be chapters from grieving to the board when (A) internal grievance procedures have been exhausted and (B) the chapters or those applying to be chapters allege that board policy has been violated to its detriment.
5. Fail to have a mechanism to track complaints from chapters.

POLICY 2.3 - TREATMENT OF STAFF
(Monitored Semiannually in the Winter and Fall)

With respect to the treatment of paid staff and volunteers, the CEO may not cause or allow conditions that are unfair, undignified, disorganized, or unclear.

Further, without limiting the scope of the foregoing by this enumeration, the CEO shall not:

1. Operate without written personnel policies that clarify personnel rules for staff, provide for effective handling of grievances, and protect against wrongful conditions, such as nepotism and grossly preferential treatment for personal reasons.
2. Discriminate against any staff member for expressing an ethical dissent.
3. Fail to provide protection to those who bring financial mismanagement and other matters to the attention of the CEO or the Grand Council in accordance with the Sarbanes-Oxley Act of 2002.
3. Prevent staff from grieving to the board when (A) internal grievance procedures have been exhausted and (B) the employee alleges that board policy has been violated to his or her detriment.
4. Fail to acquaint staff with the CEO's interpretation of their protections under this policy.

POLICY 2.4 - FINANCIAL PLANNING/BUDGETING
(Monitored Quarterly beginning in November)

Financial planning for any fiscal year or the remaining part of any fiscal year shall not deviate materially from board's Ends priorities, risk fiscal jeopardy, or fail to be derived from a multiyear plan.

Further, without limiting the scope of the foregoing by this enumeration, the CEO shall not:

1. Fail to include credible projection of revenues and expenses, separation of capital and operational items, cash flow, and disclosure of planning assumptions.
2. Plan the expenditure in any fiscal year of more funds than are conservatively projected to be received in that period
3. Reduce the current assets at any time to less than twice current liabilities.
4. Provide less for board prerogatives during the year than is set forth in the Cost of Governance policy.

POLICY 2.5 - FINANCIAL CONDITION AND ACTIVITIES
(Monitored Quarterly beginning in November)

With respect to the actual, ongoing financial condition and activities, the CEO shall not cause or allow the development of fiscal jeopardy or a material deviation of actual expenditures from board priorities established in Ends policies.

Further, without limiting the scope of the foregoing by this enumeration, the CEO shall not:

1. Expend more funds than have been received in the fiscal year to date unless the debt guideline (below) is met.
2. Indebt the organization in an amount greater than can be repaid by certain, otherwise unencumbered revenues within 60 days.
3. Use any long-term reserves that cannot be replenished within 60 days.
4. Conduct inter-fund shifting in amounts greater than can be restored to a condition of discrete fund balances by certain, otherwise unencumbered revenues within 60 days.
5. Place at risk neither funds held in reserve nor funds held in trust by investments that are not liquid in short term, nor by investments that do not guarantee a reasonable rate of return. Suggested investments include Money Market accounts or funds, short-term Certificates of Deposit, U.S. Treasury Bills, short term Notes and short term Bonds.
6. Allow tax payments or other government ordered payments or filings to be overdue or inaccurately filed.

7. Fail to report a single purchase or commitment of greater than \$ 10,000. Splitting orders to avoid this limit is not acceptable.
8. Acquire, encumber or dispose of real property.
9. Fail to aggressively pursue receivables after a reasonable grace period.
10. Fail to insure that Foundation grant funds are used for educational programs and scholarships consistent with IRS standards.
11. Fail to adhere to Foundation grant policies and processes.
 - Shall not fail to require that all customers contribute a fair share of costs.
12. Make any purchase: (a) wherein normally prudent protection has not been given against conflict of interest; (b) of over \$10,000 without having obtained comparative prices and quality; (c) of over \$10,000 without a stringent method of assuring the balance of long term quality and cost.

POLICY 2.6 - EMERGENCY CEO SUCCESSION

(Monitored Annually in the Summer)

In order to protect the board from sudden loss of CEO services, the CEO may have no fewer than one other executive familiar with board and CEO issues and processes and the CEO shall not fail to have a written CEO succession plan with all access codes and keys maintained outside the national office.

POLICY 2.7 - ASSET PROTECTION & BUSINESS CONTINUITY

(Monitored Annually in the Fall)

The CEO shall not allow corporate assets to be unprotected, inadequately maintained or unnecessarily risked. Further, without limiting the scope of the foregoing by this enumeration, the CEO shall not:

1. Fail to insure against theft and casualty losses to at fair market value minus the deductible and against liability losses to board members, staff, volunteers and Alpha Sigma Phi itself in an amount greater than the average for comparable organizations.
2. Allow uninsured personnel access to material amounts of funds.
3. Subject plant and equipment to improper wear and tear or insufficient maintenance.
5. Unnecessarily expose the organization, its volunteers, board or staff to claims of liability.
6. Fail to protect intellectual property from loss or significant damage.
7. Fail to establish a document retention and destruction plan the meets requirements of the Sarbanes-Oxley Act of 2002.
8. Receive, process or disburse funds under controls that are insufficient to meet the board-appointed auditor's standards.

9. Invest or hold operating capital in insecure instruments, including uninsured checking accounts and bonds of less than AA rating at any time, or in non interest-bearing accounts except where necessary to facilitate ease in operational transactions.
10. Endanger the organization's public image or credibility, particularly in ways that would hinder its accomplishment of mission.
11. Fail to maintain a Continuity of Operations (COOP) plan for headquarters services, including but not limited to phone, email, computer data and services, and physical mail operations.

POLICY 2.8 - COMPENSATION AND BENEFITS

(Monitored Annually in the Fall)

With respect to employment, compensation, and benefits to employees, consultants, contract workers and volunteers, the CEO shall not cause or allow jeopardy to fiscal integrity or public image.

Further, without limiting the scope of the foregoing by this enumeration, the CEO shall not:

1. Change his compensation and benefits.
2. Promise or imply permanent or guaranteed employment.
3. Establish or change pension benefits so as to cause unpredictable or inequitable situations, including those that:
 - A. Incur unfunded liabilities.
 - B. Provide less than some basic level of benefits to all full time employees though differential benefits to encourage longevity are not prohibited.
 - C. Allow any employee to lose benefits already accrued from any foregoing plan.
 - D. Treat the CEO differently from other key employees.
 - E. May not fail to bring Mrs. Burns' pension to the board annually during her lifetime to review as per written agreement.
4. Adjust compensation unless it is commensurate with documented performance standards and documented performance appraisal.
5. The CEO shall not allow a breach of confidentiality or sharing of information of executive compensation other than with his assigns, and the members of Alpha Sigma Phi's Grand Council, other than its assigns such as financial auditors or the Alpha Sigma Phi Educational Foundation as related to remuneration directly related to Foundation grants.

POLICY 2.9 - COMMUNICATION AND SUPPORT TO THE BOARD
(Monitored Semiannually in the Summer & Fall)

The CEO shall not permit the board to be uninformed or unsupported in its work.

Further, without limiting the scope of the foregoing by this enumeration, the CEO shall not:

1. Neglect to submit monitoring data required by the board (see policy on Monitoring CEO Performance) in a timely, accurate and understandable fashion, directly addressing provisions of board policies being monitored.
2. Let the board be unaware of relevant trends, anticipated adverse media coverage, material external and internal changes, and particularly changes in the assumptions upon which any board policy has previously been established.
3. Fail to advise the board if, in the CEO's opinion, the board is not in compliance with its own policies on Governance Process and Board-CEO Linkage, particularly in the case of board behavior, which is detrimental to the work relationship between the board and the CEO.
4. Fail to assist to marshal for the board as many staff and external points of view, issues and options as needed for reasonably informed board choices.
5. Present information in unnecessarily complex or lengthy form or in a form that fails to differentiate among information of three types: monitoring, decision preparation, and incidental.
6. Fail to provide monthly incidental information reports including chapter closures, chapter discipline and unsafe conditions.
7. Fail to provide a mechanism for official board, officer or committee communications.
8. Fail to deal with the board as a whole except when (a) fulfilling individual requests for information or (b) responding to officers or committees duly charged by the board.
9. Fail to report in a timely manner an actual or anticipated noncompliance with any policy of the board.
10. Fail to supply for the consent agenda all items delegated to the CEO yet required by law or contract to be board-approved, along with the monitoring assurance pertaining thereto.

POLICY 2.10 – USE OF ESOTERIC MATERIALS
(Monitored Semiannually in the Summer & Fall)

The CEO shall not:

1. Fail to protect content that appears only in the esoteric sections of the Fraternity's Ritual Book.
2. Allow the verbal or written use of the above mentioned esoteric content beyond the scope of use expressly permitted by the Grand Council or Grand Chapter of Alpha Sigma Phi.

POLICY TYPE: GOVERNANCE PROCESS

POLICY 3.0 - GLOBAL GOVERNANCE COMMITMENT
(Monitored Annually in the Summer)

The purpose of the board, on behalf of undergraduate and alumni brothers and chapters, is to see to it that Alpha Sigma Phi (a) achieves appropriate results for appropriate persons at an appropriate cost, and (b) avoids unacceptable actions and situations.

POLICY 3.1 - GOVERNING STYLE
(Monitored Annually in the Fall)

Consistent with our Fraternal values and ethics the board will govern with an emphasis on (a) outward vision rather than an internal preoccupation, (b) encouragement of diversity in viewpoints, (c) strategic leadership more than administrative detail, (d) clear distinction of board and chief executive roles, (e) collective rather than individual decisions, (f) future rather than past or present, and (g) proactivity rather than reactivity.

Accordingly:

1. The Council will cultivate a sense of group responsibility. The Council, not the staff, will be responsible for excellence in governing. The Council will be the initiator of policy, not merely a reactor to staff initiatives. The Council may use the expertise of individual members to enhance the ability of the Council as a body, rather than to substitute the individual judgments for the Council's values.
2. The Council will direct, control and inspire the organization through the careful establishment of broad written policies reflecting the Council's values and perspectives. The Council's major policy focus will be on the intended long-term impacts outside organizational operations, not on the administrative or programmatic means of attaining those effects.
3. The Council will enforce upon itself whatever discipline is needed to govern with excellence. Discipline will apply to matters such as compliance with board policies, attendance, preparation for meetings, policymaking principles, respect of roles, and ensuring the continuance of governance capability.
4. Continual Grand Council development will include orientation of new Grand Council members in the Council's governance process and periodic Council discussion of process improvement.
5. The Council will allow no officer, individual or committee of the Council to hinder or be an excuse for not fulfilling its commitments.
6. The Council will monitor and discuss the board's process and performance at each meeting. Self-monitoring will include comparison of Council activity and discipline to policies in the Governance Process and Board-CEO Linkage categories.

POLICY 3.2 - BOARD JOB DESCRIPTION

(Monitored Annually in the Summer)

Specific job outputs of the board, as an informed agent of the ownership, are those that ensure appropriate organizational performance.

Accordingly:

1. The board will produce the link between the organization and the ownership.
2. The board will produce written governing policies, which, at the broadest levels, address each category of organizational decision.
 - A. Ends: Organizational products, impacts, benefits, outcomes, recipients, and their relative worth (what good for which recipients at what cost).
 - B. Executive Limitations: Constraints on executive authority, which establish the prudence and ethics boundaries within which all executive activity and decisions must take place.
 - C. Governance Process: Specification of how the board conceives, carries out, and monitors its own task.
 - D. Board-CEO Linkage: How power is delegated and its proper use monitored; the CEO's role, authority, and accountability.
3. The board will produce assurance of CEO performance (against policies in 2a and 2b).
4. The board will explore expansion opportunities through merger acquisitions of national fraternities.
5. The board will oversee matters of ritual and all associated esoteric aspects of the Fraternity.

POLICY 3.3 - AGENDA PLANNING
(Monitored Annually in the Summer)

To accomplish its job products with a governance style consistent with board policies, the board will follow an annual agenda which (a) completes a re-exploration of Ends policies annually and (b) continually improves board performance through board education and enriched input and deliberation.

1. The cycle will conclude each year on the last day of August so that administrative planning and budgeting can be based on accomplishing a one year segment of the board's most recent statement of long term Ends.
2. The cycle will start with the board's development of its agenda for the next year.
 - A. Consultations with selected groups in the ownership, or other methods of gaining ownership input will be determined and arranged in the first quarter, to be held during the balance of the year.
 - B. Governance education, and education related to Ends determination, (e.g. presentations by futurists, demographers, advocacy groups, staff, etc.) will be arranged in the first quarter, to be held during the balance of the year.
3. Throughout the year, the board will attend to consent agenda items as expeditiously as possible.
4. CEO monitoring will be included on the agenda if monitoring reports have been received since the last board meeting.
5. CEO remuneration will be decided after a review of monitoring reports received in the last year during the month of June.

POLICY 3.4 – THE GRAND SENIOR PRESIDENT’S ROLE

(Monitored Annually in the Fall)

The Grand Senior President assures the integrity of the board's process and occasionally represents the board to outside parties.

Accordingly:

1. The job result of the Grand Senior President is that the board behaves consistently with its own rules and those legitimately imposed upon the Grand Chapter.
 - A. Meeting discussion content will be only those issues which, according to board policy, clearly belong to the board to decide, not the CEO.
 - B. Deliberation will be fair, open, and thorough, but also timely, orderly, and kept to the point.
2. The authority of the Grand Senior President consists in making decisions that fall within topics covered by board policies on Governance Process and Board-CEO Linkage, with the exception of (a) employment or termination of a CEO and (b) where the board specifically delegates portions of this authority to others. The Grand Senior President is authorized to use any reasonable interpretation of the provisions in these policies.
 - A. The Grand Senior President is empowered to chair board meetings with all the commonly accepted power of that position (e.g., ruling, recognizing).
 - B. The Grand Senior President has no authority to make decisions about policies created by the board within Ends and Executive Limitations policy areas. Therefore, the chairperson has no authority to supervise or direct the CEO.
 - C. The Grand Senior President may represent the board to outside parties in announcing board-stated positions and in stating chair decisions and interpretations within the area delegated to her or him.
 - D. The Grand Senior President may delegate this authority, but remains accountable for its use.

POLICY 3.5 - BOARD MEMBERS' CODE OF CONDUCT

(Monitored Annually in the Fall)

The board commits itself and its members to fraternal, ethical, businesslike, and lawful conduct, including proper use of authority and appropriate decorum when acting as board members.

Accordingly:

1. Members must have loyalty to the ownership, unconflicted by loyalties to staff, other organizations, and any personal interest as a brother.
2. Members must avoid conflict of interest with respect to their fiduciary responsibility.
 - A. There will be no self-dealing or business by a member and the organization except when openness and appropriate competition are ensured.
 - B. When the board is to decide upon an issue, about which a member has an unavoidable conflict of interest, that member shall absent himself without comment from not only the vote, but also from the deliberation.
 - C. Board members will not use their board position to obtain employment in the organization for themselves, family members, or close associates. Should a board member apply for employment, he must first resign from the board.
 - D. Members will annually disclose their involvement with other organizations, with vendors, or any other associations, which might produce a conflict.
3. Board members may not attempt to exercise individual authority over the organization except as explicitly set forth in board policies.
 - A. Members' interaction with the CEO or with staff must recognize the lack of authority vested in individuals except when explicitly board authorized.
 - B. Members' interaction with public, press or other entities must recognize the same limitation and the inability of any board member to speak for the board except to repeat explicitly stated board decisions.
 - C. Members will not make individual judgments of CEO or staff performance.
4. Members will respect the confidentiality appropriate to issues of a sensitive nature.
5. Members will be properly prepared for board deliberation.
6. Members will contribute financially to the best of their ability each year.
7. Members will positively confront other board members when their behavior is inconsistent with the common good and these policies.

POLICY 3.6 - BOARD COMMITTEE PRINCIPLES

(Monitored Annually in the Winter)

Board committees, when used, will be assigned so as to reinforce the wholeness of the board's job and so as never to interfere with delegation from board to CEO.

Accordingly:

1. Board committees are to help the board do its job, not to help or advise the staff. Committees ordinarily will assist the board by preparing policy alternatives and implications for board deliberation. In keeping with the board's broader focus, board committees will normally not have direct dealings with current staff operations.
2. Board committees may not speak or act for the board except when formally given such authority for specific and time-limited purposes. Expectations and authority will be carefully stated in order not to conflict with authority delegated to the CEO.
3. Board committees cannot exercise authority over staff. Because the CEO works for the full board, he will not be required to obtain approval of a board committee before an executive action.
4. Board committees are to avoid over-identification with organizational parts rather than the whole. Therefore, a board committee which has helped the board create policy on some topic will not be used to monitor organizational performance on that same subject.
5. Committees will be used sparingly and ordinarily in an ad hoc capacity.
6. This policy applies to any group which is formed by board action, whether or not it is called a committee and regardless whether the group includes board members. It does not apply to committees formed under the authority of the CEO.

POLICY 3.7 - BOARD COMMITTEE STRUCTURE

(Monitored Annually in the Winter)

A committee is a board committee only if its existence and charge come from the board, regardless whether board members sit on the committee. The only board committees are those which are set forth in this policy. Unless otherwise stated, a committee ceases to exist as soon as its task is complete.

1. Nominating Committee
 - A. Product: Properly screened potential board members—by no later than May 15 every two years.
 - B. Authority: To incur costs of no more than \$1,000 direct charges and no more than 20 hours of staff time per annum.

POLICY 3.8 - COST OF GOVERNANCE
(Monitored Semiannually in the Fall and Spring)

Because poor governance costs more than learning to govern well, the board will invest in its governance capacity.

Accordingly:

1. Board skills, methods, and supports will be sufficient to assure governing with excellence.
 - A. Training and retraining will be used liberally to orient new members and candidates for membership, as well as to maintain and increase existing member skills and understandings.
 - B. Outside monitoring assistance will be arranged so that the board can exercise confident control over organizational performance. This includes, but is not limited to, fiscal audit.
 - C. Outreach mechanisms will be used as needed to ensure the board's ability to listen to owner viewpoints and values.
2. Costs will be prudently incurred, though not at the expense of endangering the development and maintenance of superior capability.
 - A. Up to \$3,000 in fiscal year 2007 for training, including attendance at conferences and workshops.
 - B. Up to \$9,000 in fiscal year 2007 for audit and other third party monitoring of organizational performance.
 - C. Up to \$5,000 in fiscal year 2007 for surveys, focus groups, and opinion analyses.
 - D. Up to \$9,000 in fiscal year 2007 for meeting costs.

POLICY TYPE: BOARD-CEO LINKAGE

POLICY 4.0 - GLOBAL GOVERNANCE-MANAGEMENT CONNECTION

(Monitored Annually in the Fall)

The board's sole official connection to the operational organization, its achievements and conduct will be through a Chief Executive Officer titled President/CEO.

POLICY 4.1 - UNITY OF CONTROL

(Monitored Annually in the Winter)

Only officially passed motions of the board are binding on the CEO.

Accordingly:

1. Decisions or instructions of individual board members, officers, or committees are not binding on the CEO except in rare instances when the board has specifically authorized such exercise of authority.
2. In the case of board members or committees requesting information or assistance without board authorization, the CEO can refuse such requests that require, in the CEO's opinion, a material amount of staff time or funds or is disruptive.
 - a. The CEO must inform the board member or committee of that refusal.

POLICY 4.2 - ACCOUNTABILITY OF THE CEO

(Monitored Annually in the Summer)

The CEO is the board's only link to operational achievement and conduct, so that all authority and accountability of staff, as far as the board is concerned, is considered the authority and accountability of the CEO.

Accordingly:

1. The board will never give instructions to persons who report directly or indirectly to the CEO.
2. The board will refrain from evaluating, either formally or informally, any staff other than the CEO.
3. The board will view CEO performance as identical to organizational performance, so that organizational accomplishment of board stated Ends and avoidance of board proscribed means will be viewed as successful CEO performance.

POLICY 4.3 - DELEGATION TO THE CEO

(Monitored Annually in the Summer)

The board will instruct the CEO through written policies that prescribe the organizational Ends to be achieved, and describe organizational situations and actions to be avoided, allowing the CEO to use any reasonable interpretation of these policies.

Accordingly:

1. The board will develop policies instructing the CEO to achieve certain results, for certain recipients at a specified cost. These policies will be developed systematically from the broadest most general level to more defined levels and will be called Ends policies.
2. The board will develop policies, which limit the latitude the CEO may exercise in choosing the organizational means. These policies will be developed systematically from the broadest, most general level to more defined levels, and they will be called Executive Limitations policies.
3. As long as the CEO uses *any reasonable interpretation* of the board's Ends and Executive Limitations policies, the CEO is authorized to establish all further policies, make all decisions, take all actions, establish all practices and develop all activities.
3. The board may change its Ends and Executive Limitations policies, thereby shifting the boundary between board and CEO domains. By doing so, the board changes the latitude of choice given to the CEO. But as long as any particular delegation is in place, the board will respect and support the CEO's choices.

POLICY 4.4 - MONITORING CEO PERFORMANCE
(Monitored Annually in the Fall)

Systematic and rigorous monitoring of CEO job performance will be solely against the only expected CEO job outputs: organizational accomplishment of board policies on Ends and organizational operation within the boundaries established in board policies on Executive Limitations.

Accordingly:

1. Monitoring is simply to determine the degree to which board policies are being met. Data, which do not do this, will not be considered to be monitoring data.
2. The board will acquire monitoring data by one or more of three methods: (a) by internal report, in which the CEO discloses compliance information to the board, (b) by external report, in which an external, disinterested third party selected by the board assesses compliance with board policies, and (c) by direct board inspection, in which a designated member or members of the board assess compliance with the appropriate policy criteria.
3. In every case, the standard for compliance shall be *any reasonable CEO interpretation* of the board policy being monitored.
4. All policies, which instruct the CEO, will be monitored at a frequency and by a method chosen by the board. The board can monitor any policy at any time by any method, but will ordinarily depend on a routine schedule.

GRAND COUNCILOR TERMS

Councilor Terms:	Elected 1	Term Limit	Elected 2	Term Limit
Jonathan Burns	2002	2006	2006	2010
Jeff Hoffman	2002	2006	2006	2010
Bernie Schulz	2006	2010		
Joe Zimmerman	2006	2010		
Rick Buss	2006	2010		
Rich Ritter	2004	2008	2008	2012
John Tilden	2004	2008	2008	2012
Roberto Coquis	2008	2012		
Ed Lenane	2008	2012		
	Appointed	Term Limit	Grad Date	Term Limit
Dane Leasure	Nov. 2007	2 yrs or 120 days after grad.	Jun-09*	Oct-09 *
Justin LaRoche	Nov. 2007	2 yrs or 120 days after grad.	Jun-09 *	Oct-09 *
Brian Thomas	Aug. 2008	2 yrs or 120 days after grad.	Jun-10 *	Oct-10 *
Hon. Bob Kutz, Grand Historian ##	Aug. 2008	2010	n/a	n/a
Bryan Proctor, General Counsel ##	Aug. 2008	2010	n/a	n/a

* Estimated
Appointed, non-voting member.

CEO Contract Dates

Implementation 3/17/2008
Renewal Term 3/17/2013

Alpha Sigma Phi Grand Council Policy Manual

ANNUAL WORKPLAN

<i>Policy</i>	<i>Method</i>	<i>Frequency</i>
<i>Global Executive Constraint</i>	<i>Internal</i>	<i>Annually</i>
<i>Treatment of Brothers</i>	<i>Internal</i>	<i>Semiannually</i>
<i>Treatment of Chapters</i>	<i>Internal</i>	<i>Semiannually</i>
<i>Treatment of Staff</i>	<i>Internal</i>	<i>Semiannually</i>
<i>Financial Planning/Budgeting</i>	<i>Internal</i>	<i>Quarterly</i>
<i>Financial Condition & Activities</i>	<i>Internal</i>	<i>Quarterly</i>
<i>Emergency CEO Succession</i>	<i>External</i>	<i>Annually</i>
<i>Asset Protection</i>	<i>Internal</i>	<i>Annually</i>
<i>Compensation & Benefits</i>	<i>External</i>	<i>Annually</i>
<i>Communication & Support</i>	<i>Internal</i>	<i>Annually</i>
<i>Ends</i>	<i>Internal</i>	<i>Annually</i>

Agenda Item	Fall Meetings				Winter Meetings				Spring Meetings			
	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug
Monitoring Reports												
ENDs	1.1C, 1.1D, 1.1F					1.1A, 1.1B, 1.1E			1.1G, 1.1H			
Executive Limitations	2.7	2.1, 2.2, 2.3	2.4, 2.5		2.0	2.4, 2.5	2.1, 2.2, 2.9		2.4, 2.5		2.1, 2.2, 2.3,	2.4, 2.5, 2.6, 2.8, 2.9, 2.10
Governance Process		3.5, 3.8						3.0, 3.1, 3.2, 3.3, 3.4,	3.8	3.6, 3.7		Conflict of Interest Forms
Board/CEO Linkage										4.0, 4.1		4.2, 4.3, 4.4
Committee Reports	X					X			X			
Hold Items	X	X	X	X	X	X	X	X	X	X	X	X
Board Education	X (even years)											
Linkage with Owners	X								X			
Ends Development	X (odd years)					X						

ALPHA SIGMA PHI OWNERSHIP LINKAGE PLAN

In order that the Grand Council may improve its' linkage with the owners of the fraternity, and develop a better understanding of the dynamic and varied needs of those owners, the Grand Council as a whole and each member individually shall commit to certain objectives.

Grand Council Objectives:

- Hold regular board meetings that are open to all brothers, undergraduate and alumni.
- Notify all undergraduate and alumni members of Grand Council meetings and allow sufficient meeting time for an interactive session with the Grand Council. The purpose of this agenda item shall be to:
 1. Gather information regarding the perception of value in the services provided to owners by the national fraternity.
 2. Listen to feedback from owners to guide future initiatives.
 3. Better understand the environment in which our chapters are operating.
- Produce and distribute an Annual and Semi-Annual report to all interested owners of the fraternity electronically and/or via hardcopy delineating major initiatives status in the Annual Report and updated status of those initiatives and ownership survey(s) in the semi-annual report.

Responsibility: *Grand Secretary w/ board approval and in coordination with the CEO.*

A. GS shall compile an Annual Report containing a GSP letter and delineation of current board initiatives to be distributed to fraternity owners on an annual basis as of the end of the fiscal year.

B. GS shall compile a Semi-Annual Report containing a GSP letter, a synopsis of fraternity ownership survey (s), and an update of appropriate items from the Annual Report on an annual basis at the midpoint of the fiscal year.

- Hold at least one on-line discussion annually for interested owners to express their views to the council.
 - A.** The board shall schedule one on-line discussion for interested fraternity owners to be held in each fiscal year.
 - B.** Purpose of such discussion shall be to review current Grand Council initiatives and to solicit feedback from the ownership regarding issues that the council may want to address in future meetings.
- Produce, distribute electronically, and make available to interested owners, a survey in which the topics and specific questions could be addressed. This survey will be developed and ready for execution by the end of February each year, pending final approval at the February GC meeting.

Responsibility: Board Committee

A. The board shall develop an annual ownership survey to be distributed electronically to owners. Results shall be published in the next Annual/Semi-Annual Report.

Individual Member Objectives

- Each member of the Grand Council will be expected to make at least one Grand Council “appearance,” either in the form of visiting a chapter near their home base, or at a national event. (i.e. Burns, Academy of Leadership, NLC)

The purpose of these visits is to create a “link” between chapters and members of the Grand Council in order that the board may have a better understanding of issues that are of importance to our owners. To that end, the members of the council shall ask questions of our owners that are consistent in order that we have consistent data points for analysis. The following subject areas should be covered in all Grand Council members’ visits to chapters:

1. As a member of Alpha Sigma Phi, what are three of the significant challenges facing fraternities today?
 2. As a member of a Greek letter organization, what are three of the strongest benefits of belonging to a fraternity today?
 3. Five years from now, when YOU have graduated, what changes in Alpha Sigma Phi and the fraternity system as a whole would you like to see accomplished?
 4. As you see it, what advantages do you enjoy, as a member in Alpha Sigma Phi that members in other fraternities do not?
 5. From a national perspective, do you see any drawbacks from being a member in Alpha Sigma Phi?
 6. As a national organization, how can Alpha Sigma Phi benefit you?
- In addition to the above questions, the benefits of membership in Alpha Sigma Phi as a national fraternity should also be stressed. A partial list of those benefits, which may be used for talking points are as follows:
 1. Leadership training.
 2. Significant financial assistance from the educational foundation that enables us to provide programming opportunities that otherwise would not exist.
 3. Risk management assistance (group discounts on insurance, risk management programming, etc.)
 4. Badges and membership shingles (other items?)
 5. Future career networking opportunities with other Alpha Sigs.

Visit Reporting Requirements:

- An e-mail summary of any individual member visit, such as chapter visitation, local event, or required linkage visit, should be sent to all members of the council and the President & CEO of the fraternity within two weeks of a visit. If there are individual areas of concern with the chapter(s) they should be noted in the report.
- The Grand Secretary shall keep a written record of all visit reports sent to members of the council as well as requests from chapters or alumni for a Grand Councilor visit. A synopsis of these activities shall be included in the Annual Report or Semi-Annual Report, as appropriate.

Alpha Sigma Phi Grand Council Policy Manual

- The GSP shall ensure that compilations of these summaries are provided to all board members in a timely fashion prior to regularly scheduled in-person meetings.
- In addition, there shall be a portion of each official meeting of the GC in which these summaries can be discussed and issues of importance placed on the agenda for further action.

Other Duties:

- Attend local events at the request of the President & CEO and/or local chapter organizations, time permitting.
- Identify one development or volunteer prospect and facilitate their involvement in the organization, with the goal of transitioning this volunteer into an office holder or active supporter of the organization.
- On an annual basis, the Grand Treasurer shall prepare a board budget for travel and expenses, allocated by member. The Grand Treasurer shall give a report at each in-person meeting or once each quarter delineating, on a summary basis, the status of the travel and expense budget for each member. As a part of this expectation, expenses incurred as a result of attendance at functions and/or meetings outside of regular board meetings may be submitted to the GT at the discretion of the individual member. Items of nominal value (less than \$5.00) should not be submitted. The fraternity policy of utilizing the most economical mode of transportation shall apply.

BOARD MEMBER ACCOUNTABILITY

- As the Carver Model of Non-Profit Board Governance places a high priority on the board collectively and individually performing the tasks reserved for the board, it is necessary for board members to hold each other accountable for their performance. To that end, no more than two hours of each in-person meetings of the board shall be reserved for individual member performance reviews. The reviews shall encompass the board members' performance of all assigned tasks and completion of the required chapter visits, as well as any other criteria known at the beginning of the evaluation period by all board members and approved by the Grand Senior President.

If a member fails to fulfill their responsibilities to the board and to Alpha Sigma Phi Fraternity during three consecutive evaluation periods, they shall be subject to a Grand Council membership review and possible removal from the board subject to the Constitution and By-Laws of Alpha Sigma Phi Fraternity.

- As the Grand Council is composed entirely of volunteers, it is important that such performance reviews be conducted in a collegial and open atmosphere, keeping in mind that the best interest of Alpha Sigma Phi Fraternity and respect for the individual members should be the guiding principles at all times.

Grand Council Conflict of Interest Clause

Grand Council members, who have certain financial interests that may affect their impartiality in dealing with matters presented to the Grand Council for consideration may not vote or be a part of discussions on such matters. Such a conflict of interest exists for any individual who may receive a direct or indirect personal financial gain or who may gain unfair business advantage resulting from the confidential information provided to them as a member of the Grand Council. All possible conflicts of interest that you may have as a member of the Grand Council should be listed below as an open declaration of such conflicts.

Possible Conflicts: _____

Grand Council member: _____

Grand Council Member's Signature _____

Date: _____