

PHI DELTA CHI PHARMACY FRATERNITY
Risk Management Investigation and Enforcement Policy

BACKGROUND

All Phi Delta Chi Chapters are required to review the Phi Delta Chi Risk Management Policy and Hazing Statement as part of the October report of the Achievement Award Program. Also, all Candidates are required to review the Risk Management Policy and Hazing Statement at the first Candidate meeting. As a result, all Phi Delta Chi Brothers should be aware of the expectations for adherence to the policy.

SEE SOMETHING, SAY SOMETHING

Any Brother or Candidate who sees any violation of any Risk Management topic in any format is required to report that incident to the Phi Delta Chi Executive Director. “See Something, Say Something” reporting forms are on the Phi Delta Chi website under “About Us”, the National Office and the Candidate page. Failure to report an incident is subject to additional action by the Executive Council.

WHAT TO DO IN THE EVENT OF A RISK MANAGEMENT VIOLATION

In the event of an alleged violation to any part of the Fraternity’s Risk Management Policy (whether revealed by a Candidate, Collegiate Brother, Alumni Brother, faculty, school administration or local authority), the Fraternity’s Executive Director should be notified within 24 hours of the allegation. The Fraternity’s Executive Director should also be notified within 24 hours of any action being taken against a Chapter by school administrator or local authorities.

A written account of the violation should be made immediately. The person(s) writing the document should sign the document so the author(s) is/are recorded. The document should be forward to the Executive Director within 24 hours of any allegation or notice from the school or local authorities.

The names of all local and school officials involved in the investigation should be shared with the Executive Director as soon as those names are made available to the Chapter.

FAILURE TO REPORT COLLEGIATE CHAPTER INITIATION DATES

Failure to notify the Grand Vice President for Collegiate Affairs (GVPCA) of collegiate Chapter initiations at least 30 days prior will be subject to disciplinary action. During a rolling four-year cycle (e.g. four years in retrospect from current date), failure to notify the GVPCA as defined in the Phi Delta Chi Risk Management Policy will result in a written warning following the first offense. Further offenses occurring during a four-year period will be subject to mandatory cancellation and rescheduling of initiation to at least 30 days after notification of the GVPCA, in addition to any other disciplinary actions as deemed appropriate by the Executive Council. Failure to report make-up initiation dates as defined in the Risk Management Policy is subject to the aforementioned disciplinary action as outlined by this policy.

ALLEGATIONS OF SEXUAL OR PHYSICAL MISCONDUCT

All Allegations of sexual or physical misconduct by a Brother or Candidate to another Brother or Candidate which has been reported to the Executive Director will also be reported to the

University immediately by the Executive Director. The Executive Director will make every attempt to assist the school or local authorities in their investigation.

VISIT TO THE CHAPTER

The Executive Director will investigate all allegations to the best of their ability via phone interviews and completed submitted documentation. As deemed appropriate by the Executive Council, a visit to the Chapter may be required. These visits may be conducted by a Regional or Grand Officer. All allegations to the Executive Director involving a Candidate will result in a visit to the Chapter. In the event that school or local authorities are involved, the investigation will warrant a visit from the Executive Director or a Grand Officer. The Executive Council will issue a final report of all investigations that are conducted.

SANCTIONS TO THE CHAPTER

The Executive Council, after reviewing all information, will determine the appropriate action to take, commensurate with the findings of the investigation. The Executive Council will determine the appropriate consequences in terms of continued chapter activity, consistent with the Phi Delta Chi Constitution and Bylaws. Chapters will be billed for all expenses incurred for the investigation and visit.

Actions may range from:

- No further action required
- Corrective measures outlined
- Corrective actions outlined and Chapter probation* period defined
- Corrective actions outlined and Chapter suspension** period outlined
- Revocation of Chapter charter

**Any Chapter on probation must participate in the Achievement Award Program but will be ineligible for Thurston judging.*

***Suspended Chapters will cease all operations as a Chapter until their suspension period comes to an end and the Chapter is reinstated.*

APPEAL OF SANCTIONS

Any Chapter who feels that due process has not been achieved by the Executive Council, in accordance with the outlined investigation procedures found in Appendix A, has the right to file an appeal letter electronically within thirty (30) days of official notification of sanctions to the Executive Director. Any decision rendered after an appeal is made to the Executive Council will be binding unless an appeal is filed with the Grand Council. The current imposed sanctions will remain in place until a meeting of the Grand Council.

Any questions about the Phi Delta Chi Fraternity Risk Management Investigation and Enforcement Policy should be directed to the Phi Delta Chi Fraternity Executive Director.

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PO Box 320
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800-732-1883

APPENDIX A: INVESTIGATION PROCEDURES

Investigative Process:

Step 1 - *Allegation is received.*

A Risk Management allegation is received by the Executive Director. This allegation may be anonymous. It may be submitted by email, telephone, or by the “See Something, Say Something” submitted online.

Step 2 - *Allegation is reviewed by Executive Director (ED) and forwarded to Executive Council.*

The allegation is reviewed by the ED and then forwarded onto the Executive Council (EC) as a notification. The ED begins the initial investigation.

Step 3 - *Initial phone interviews are conducted by the Executive Director.*

The ED begins the initial investigation by communicating with the parties involved. This may be via email or telephone. It may include Brothers, Candidates, Chapter Advisors, Deans of Colleges or other administrative personnel, or law enforcement personnel. The ED compiles all of the interviews and relays the information to the EC.

Step 4 - *Conference Call with Executive Council will be conducted to discuss the case.*

The ED compiles all of the interviews and relays a summary of the information gathered to the EC. The EC discusses the case confidentially. The EC reviews the facts gathered thus far and determines if a visit is necessary to the Chapter to retrieve further information. Occasionally, based on the initial information gathered the EC is able to make a decision and a visit is not required. The only caveat is if a Recruit or Candidate is involved, then per our RMIE Policy, a visit is required. If the decision is made that a visit is not needed, and we move to step 7, the Chapter or Brother is sent an official letter with the decision of the EC. If a visit is required, a representative is chosen to travel to the Chapter.

Step 5 - *If a visit is deemed necessary, an EC representative organizes a visit with the Chapter to perform an on-site investigation.*

The EC representative will visit the Chapter if additional information is needed to complete the investigation or if a Recruit or Candidate was involved. In either case, all necessary persons involved will be personally interviewed during the visit. When a Recruit or Candidate is involved, the Recruit or Candidate class may be interviewed individually or as a whole, separate from the rest of the active Chapter. The previous Candidate class may also be interviewed separately from the remainder of the Chapter if deemed appropriate based on the case.

In addition to Brothers and Candidates, the Advisor(s), Dean(s), and other persons involved may be interviewed. Per the RMIE Policy if an on-site visit occurs, the Chapter will be billed for all expenses of the visit.

In one recent case of an alleged Risk Management (RM) violation, the initial investigation deemed a visit was needed, however once the on-site investigation was completed, it was

determined that the initial reports were all false. In this case, the Chapter was not billed for the visit.

Step 6 - *The EC representative files a report and updates the EC of findings.*

Upon completion of the on-site investigation and visit, the attending representative will complete a report and notify the EC of their findings. The EC will review the report, along with the initial information presented to determine if disciplinary actions are required.

Step 7 - *EC determines disciplinary actions if any needed.*

The EC reviews all of the investigative information presented to determine if a disciplinary action is required. There are five (5) levels of disciplinary actions outlined in the RMIE Policy.

1. No further action required.
 - a. In this case, a letter would be sent to the Chapter notifying them of the findings of the investigation and that the Chapter may proceed with no disciplinary action taken.
2. Corrective measures outlined.
 - a. In this case, a letter would be sent to the Chapter notifying them of the findings of the investigation and that the Chapter although not on probation or suspension, must correct certain aspects of their procedures in order to proceed. This could include reviewing the RM Policy with their Chapter, changing a future event's details, or something of similar minor action to occur to be in compliance.
3. Corrective measures outlined and Chapter probation period defined.
 - a. In addition to the corrective measures outlined in level 2, the Chapter will be placed on probation.
 - i. "Probation" is defined as a Chapter that will be ineligible for Thurston judging, but must complete AAP reports.
 - b. In this case, a letter would be sent to the Chapter notifying them of the findings of the investigation and the corrective measures. In addition, the Chapter will be placed on probation for a designated time period.
 - i. The letter will outline the details of the probation, any actions that may occur, and any subsequent reports that must be completed, or future visits from an EC representative.
 - ii. If the event in question involved Initiation, the EC retains the ability to require their attendance at 1 to 2 future initiations based on severity.
 1. These visits will be billed to the Chapter.
4. Corrective measures outlined and Chapter suspension period defined.
 - a. Following the Probation period, failure to comply with corrective actions outlined may result in a Chapter being placed on suspension.
 - i. "Suspension" is defined as the Chapter will cease all operations as a Chapter until suspension period ends and the said Chapter is reinstated.

- b. In this case, a letter would be sent to the Chapter notifying them of the findings of the investigation and the corrective measures. In addition, the Chapter will suspend all activities for a defined period.
 - i. The letter will outline the details of the suspension period, any actions that may occur, and any subsequent reports that must be completed, or future visits from an EC representative.
- 5. Revocation of Chapter charter.
 - a. In cases where corrective and disciplinary actions are insufficient or the College of Pharmacy through their own investigation has made the decision to close the Chapter, the EC will vote to revoke the charter.
 - b. In this case, a letter would be sent to the Chapter notifying them of the findings of the investigation and that the Chapter will have its charter revoked.
 - i. The National Office will work with the Chapter to coordinate collection and storage of all Ritual regalia, Chapter memorabilia, etc.
 - ii. The National Office will also establish a bank account for any funds remaining in the Chapter's name.
 - 1. The funds will be reserved and returned to the Chapter when they reactivate in the future.

Step 8 - *Chapter is informed of imposed disciplinary actions, if any, via official letter from National Office.*

Following the EC decision, an official letter is sent to the Chapter, Chapter Advisor(s) and other administrative personnel as deemed appropriate in each case outlining the decision resulting from the investigation.

Step 9 - *Chapter has the option to file an appeal.*

Following any imposed disciplinary action, the Chapter has the ability to file an appeal to the Executive Council. The Chapter must file an official appeal letter electronically to the Executive Director (execdir@phideltachi.org) within thirty (30) days of receipt of the official disciplinary communication from the National Office. For those Chapters who wish to proceed with an appeal of sanctions imposed as a result of an investigation, the Worthy Chief Counselor and Chapter Advisor shall be invited to the next regular meeting of the Executive Council to present their appeal. If the Executive Council does not reverse or change its sanctions following the appeal, the Chapter has the ability to file a final appeal with the Grand Council. The current imposed sanctions will remain in place until Grand Council commences.

Step 10 - *Chapter is followed throughout their disciplinary period as defined.*

If necessary and outlined in their letter, the Chapter will have follow-up items to complete. Additional visits may also be necessary. The costs of the visits will be billed to the Chapter.

Step 11 - *Chapter is notified when disciplinary period has ended.*

At the end of the defined period, if applicable, and if all criteria have been met and compiled with, the Chapter's disciplinary period will end. The Chapter will receive a letter from the National Office notifying them that they may resume regular functions as a Chapter if any sanctions had been applied.