NCAA SELF-STUDY
GOVERNANCE AND
COMMITMENT TO RULES COMPLIANCE

Dartmouth College

DRAFT
January 5, 2004

Submitted by:

James Larimore, Chair, Dean of the College
Ellen Arnold, Associate General Counsel
M. Grace Callhoun, Associate Director of Athletics for Compliance and Administration
Lisa Densmore ‘83, Dartmouth College Athletic Council
Jo Ann Harper, Director of Athletics and Recreation
Howard Hughes, Professor and Chair of Psychological and Brain Sciences
Kathryn Jaxheimer ‘06
Dan Nelson, Senior Associate Dean of the College
# TABLE OF CONTENTS

Governance and Commitment to Rules Compliance Subcommittee Membership Page 4

Executive Summary .......................................................... 5

Previous Certification Self-Study........................................... 7
  1: Corrective Actions Imposed by NCAA .............................. 7
  2: Actions the Institution Has Taken .................................. 7
     Recommendation #1 ..................................................... 7
     Recommendation #2 ................................................... 8
     Recommendation #3 ................................................... 8
     Suggestion #1 .......................................................... 9
  3: Plans for Improvement/Recommendations ....................... 9
  4: NCAA-Identified Required Actions ................................. 9

Operating Principle 1.1 ...................................................... 10
  Item 1 ........................................................................ 10
  Item 2 ........................................................................ 10
  Item 3 ........................................................................ 11
  Item 4 ........................................................................ 11

Operating Principle 1.2 ...................................................... 14
  Item 1 ........................................................................ 14
  Item 2 ........................................................................ 14
  Item 3 ........................................................................ 15
  Item 4 ........................................................................ 15

Operating Principle 1.3 ...................................................... 20
  Item 1 ........................................................................ 20
  Item 2 ........................................................................ 21
  Item 3 ........................................................................ 23
  Item 4 ........................................................................ 25
  Item 5 ........................................................................ 27
  Item 6 ........................................................................ 37
Appendices

A. Dartmouth Student-Athlete Handbook
B. Mission Statements: Athletic Department, Dean of the College Area, Dartmouth College
C. Equity in Athletics Disclosure Act reports, AY 00, 01, 02
D. Departmental sportsmanship statements
E. Dartmouth College Athletic Council membership
   • Organization charts: Dartmouth College, Dean of the College Area, Athletic Department
G. Organization chart: Compliance
H. Brochure: NCAA Rules All Dartmouth Alumni and Friends Should Know
I. Sample coach’s contract
J. Head Coach evaluation form
K. Job descriptions of Athletics staff with compliance responsibilities
L. Performance review guidelines
M. Job descriptions for non-Athletics staff with compliance responsibilities
N. “Structure and Operation of the Undergraduate Disciplinary System”
O. Sequence for reporting secondary violations and the protocol for the investigation and reporting of a major or major secondary violation
P. NCAA and Ivy rules compliance operation evaluations, 2000 and 2003
DARTMOUTH COLLEGE

NCAA Athletic Certification Program

**Governance and Commitment to Rules Compliance**

**Subcommittee Membership**

<table>
<thead>
<tr>
<th>Name</th>
<th>Position</th>
<th>Phone</th>
<th>Office</th>
</tr>
</thead>
<tbody>
<tr>
<td>James Larimore</td>
<td>Dean of the College (Chair)</td>
<td>646-3901</td>
<td>HB 6003</td>
</tr>
<tr>
<td>Ellen Arnold</td>
<td>Associate General Counsel</td>
<td>646-2444</td>
<td>HB 6002</td>
</tr>
<tr>
<td>M. Grace Calhoun</td>
<td>Associate Director of Athletics for Compliance and Administration</td>
<td>646-1496</td>
<td>HB 6083</td>
</tr>
<tr>
<td>Lisa Densmore ’83</td>
<td>Dartmouth College Athletic Council</td>
<td>643-5226</td>
<td></td>
</tr>
<tr>
<td>JoAnn Harper</td>
<td>Director of Athletics and Recreation</td>
<td>646-2465</td>
<td>HB 6083</td>
</tr>
<tr>
<td>Howard Hughes</td>
<td>Professor and Chair of Psychological and Brain Sciences</td>
<td>646-2775</td>
<td>HB 6207</td>
</tr>
<tr>
<td>Kathryn Jaxheimer</td>
<td>Dartmouth Class of 2006</td>
<td>646-5824</td>
<td>HB 1239</td>
</tr>
<tr>
<td>Daniel M. Nelson</td>
<td>Senior Associate Dean of the College</td>
<td>646-3098</td>
<td>HB 6003</td>
</tr>
</tbody>
</table>
EXECUTIVE SUMMARY:
Governance and Commitment to Rules Compliance

• Following extensive review and revision prior to the College's first-cycle Certification study in 1996, the mission of the Dartmouth Athletic Department was reviewed and further revised in May 2003 based upon feedback from various constituencies. In June 2003, the statement was subsequently approved by the Dean of the College, the senior College official to whom the Athletic Department reports.

• Intercollegiate athletics is an integral part of the educational program at Dartmouth. The Athletic Department supports and advances the College's mission by offering an extensive intercollegiate program, and an array of physical education courses and opportunities for recreational activity.

• Dartmouth's Board of Trustees has been significantly involved in a number of decisions pertaining to intercollegiate athletics over the past three years, most notably related to the finance, facilities and staffing of the Athletic Department as well as matters affecting admissions and academic life. While the Director of Athletics reports to the President through the Dean of the College, the President routinely reviews and approves important decisions and requests concerning athletics and has regular communication with the Dean and the Director regarding the establishment and/or implementation of institutional, Ivy League and NCAA policies and procedures for the College's intercollegiate athletics program.

• Significant decisions regarding intercollegiate athletics are made through the committee structure of the Ivy League which includes the Council of Ivy League Presidents, the Policy Committee, the Committee on Administration, the Committees on Admissions and Financial Aid, and various sports committees. In addition, the Dartmouth College Athletic Council, Student-Athlete Advisory Committee, Captains' Council, and Faculty Committee on Athletics are standing committees of the College which serve in an advisory capacity to the institutional decision-making process regarding athletics.

• The Director of Athletics has ultimate responsibility for rules compliance within the Athletic Department, while the Dean of the College has institutional responsibility for compliance and reports to the President on all such matters. The Associate Director of Athletics for Compliance and Administration is the primary compliance administrator at the College. The position of Assistant Director of Athletics for Compliance was established in Fall 2003 in order to keep pace with the growing demands of compliance oversight. A number of other administrators, both inside and outside the Athletic Department, help to ensure rules compliance as part of their overall job responsibilities such as the: Senior Associate and Associate Directors of Athletics for Intercollegiate Programs; Athletics Business Manager; Assistant Dean of the College; Director of Financial Aid; Associate Director of Admissions; and Registrar.

• Compliance is a central element in personnel matters within the Athletic Department, while individuals external to the Athletic Department who perform specific duties to ensure institutional compliance are evaluated annually on any specific issues that arise
concerning these duties. Education regarding NCAA rules is formally and informally provided on a regular basis to student-athletes, coaches, Athletic Department staff members, institutional staff members, and representatives of athletics interests.

- The Athletic Department has clear policies and protocols to ensure compliance with initial and continuing eligibility standards, the timely completion of mandatory NCAA and Ivy League forms, full-time enrollment statuses, financial aid packages, the investigation and reporting of rules violations, recruiting travel and prospect-visit regulations, equipment distribution regulations, student-athlete benefit legislation, and financial issues such as outside income and team travel legislation. Dartmouth's NCAA and Ivy League rules compliance operation has been externally evaluated on a periodic basis since the College's first-cycle Certification study.

- The College is believed to be in substantial conformity with all three operating principles reviewed in this section of the Certification study.
NCAA Self-Study
Governance and Commitment to Rules Compliance

Previous Certification Self-Study:

1. List all “corrective actions,” “conditions for certification” or “strategies for improvement” imposed by the NCAA Division I Committee on Athletic Certification in its first-cycle certification decision (if any) as they relate to governance and commitment to rules compliance issues. In each case, provide: (a) the original “corrective action,” “condition,” or “strategy” imposed; (b) the action(s) taken by the institution; (c) the date(s) of the action(s); and (d) an explanation for any partial or noncompletion of such required actions. Please note, the institution is not required to respond to recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

Dartmouth did not have any “corrective actions,” “conditions for certification” or “strategies for improvement” imposed by the NCAA Division I Committee on Athletic Certification in its first-cycle certification decision.

2. List all actions the institution has completed or progress it has made regarding all plans for improvement/recommendations developed by the institution during its first-cycle certification process in the governance and commitment to rules compliance area. Specifically include: (a) the original plan; (b) the action(s) taken by the institution; (c) the date(s) of the action(s); (d) actions not taken or not completed; and (e) explanations for partial completion. Please note, the institution will not be required to fulfill an element of a first-cycle plan if the element does not affect conformity with an operating principle.

Recommendation #1

Form a Faculty Committee on Athletics.

Actions for #1: A Faculty Committee on Athletics was appointed and charged during the 1998-99 academic year. The Committee is comprised of three faculty members, the Athletic Director, and the Dean of the College. The Committee has met once or twice annually in each year since its implementation. Further, these same three faculty members also serve on the Dartmouth College Athletics Council, a group of faculty, students, alumni/ae and administrators that meets three times annually.

The Faculty Committee on Athletics has taken up a number of issues since its creation, including post-season games and practices scheduled during exam times and reading sessions; regular-season practice schedules conflicting with class schedules; home-game start times; athletic absences; and the formation of a Team Faculty Advisor program. The Committee has also engaged in general
discussions on scheduling conflicts, common faculty concerns with athletics, road-trip departure times, and faculty involvement in the recruitment of prospects.

**Recommendation #2**

*Develop a student-athlete handbook.*

**Actions for #2:** The first Dartmouth student-athlete handbook was developed for the 1997-98 academic year. With minor edits, the handbook was distributed annually to student-athletes between 1997-98 and 2000-01 (four years) and served as a resource document on departmental policies and procedures and Ivy League and NCAA rules and recommendations.

A more comprehensive handbook was developed for the 2001-02 academic year. This handbook contained more complete information on departmental policies and procedures and further outlined significant Ivy and NCAA rules as they pertained to student-athletes. A section was also added on the athletic department’s new CHAMPS/Life Skills program. The handbook was reorganized for ease of reference. Further, a “planner” section was added in the hope that student-athletes would utilize the handbook on a daily basis. This version was distributed to all student-athletes during the 2001-02 and 2002-03 academic years.

The handbook was once again overhauled for the 2003-04 academic year. Special emphasis was placed on revamping the NCAA and Ivy League compliance and eligibility section to make these important rules and regulations much easier for student-athletes to understand. Changes in NCAA initial and continuing eligibility standards are also delineated in this version of the handbook. In addition, a statement on sportsmanship was added.

A hard copy of the handbook has been distributed to all student-athletes each year since the handbook’s inception, with this information also made available electronically via the student-athlete section of the Academic Skills Center webpage <http://www.dartmouth.edu/~acskills/athletes/> or via the main athletics website <http://www.athletics.dartmouth.edu/compliance>. A copy of the text of the latest student-athlete handbook is included in Appendix A (complete bound copy available upon request).

**Recommendation #3**

*Review the policy of having the Dean of the College serve as the Faculty Athletics Representative (FAR).*

**Actions for #3:** This recommendation was subsequently withdrawn by the Committee on Athletics Certification upon the receipt of further information by the College detailing the reasons for this appointment.
Suggestion #1

Review the policy of having the Associate Director of Athletics for Compliance also serve as the Director of Marketing.

**Actions for #1:** The new position of Assistant Director of Athletics for Marketing was established and filled in Spring 1997. Further, the Associate Director of Athletics for Compliance position was restructured in Fall 2002 to focus the position almost exclusively on compliance. The decision was made to create a new position of Assistant Director of Athletics for Compliance in Fall 2003 to support the Associate Director in addressing the ever-increasing demands of this area. The search for a candidate to fill that position is now underway.

3. Describe any additional plans for improvement/recommendations in the area of governance and rules compliance developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

As described above, the College increased the staffing commitment in the area of rules compliance by restructuring the Associate Director of Athletics for Compliance position to focus almost exclusively on compliance and by creating the new position of Assistant Director of Athletics for Compliance to support the Associate Director.

4. List all actions the institution has completed or progress it has made regarding required actions identified by the NCAA Committee on Athletic Certification during the institution’s interim-report process (if applicable) as they relate to governance and commitment to rules compliance. Specifically, include for each: (a) the required action; (b) the action(s) taken by the institution; (c) the date(s) of these action(s); (d) action(s) not taken or completed; and (e) explanations for partial completion of such required actions.

Dartmouth was not required to complete an interim report since only seven (7) years will have elapsed between first-cycle (1997) and second-cycle certification (2004).
Self-Study Items

Operating Principle 1.1: Mission of the Athletics Program and Institution

1. Please provide mission statements of the institution and athletic program and indicate the date of formal approval of the latest revisions.

The Dartmouth College Athletic Department (Athletic Department) mission statement was reviewed and revised in May of 2003 after circulation and discussion by various constituencies including the Athletic Department staff, Dean of the College staff, Dartmouth College Athletics Council, Dartmouth Faculty Committee on Athletics, and Dartmouth Student-Athlete Advisory Committee. It was subsequently approved by the Dean of the College in June 2003.

Although it is implied, it is recommended that the Athletic Department mission statement make specific mention of women and minorities in the statement’s reference to diversity in future revisions of the mission statement.

The Athletic Department reports to the office of the Dean of the College. The Dean of the College has the overall responsibility for the supervision, coordination, long-range planning and budgeting for most of the offices in the area of “student life,” including First-Year and Upper Class Deans, Athletics, Residential Life, Student Life, Career Services, Academic Skills, Safety and Security, Dining Services, College Health Services, Outdoor Programs, the Center for Women and Gender, The Native American Program and three auxiliaries (Hanover Country Club, Dartmouth Skiway and Morton Farm). The Dean of the College division’s mission statement was last revised on April 11, 2003.

The College’s mission statement was last revised and approved by the President and Board of Trustees on June 7, 2002.

All three mission statements are included in Appendix B.

2. Explain how the mission of the athletics program relates to that of the institution as a whole.

The mission of the Athletic Department is to enable the fulfillment of the College’s purpose by offering extensive intercollegiate programs, physical education courses and recreational activities that will enhance the cultivation of the intellectual, leadership, emotional and physical capabilities of the diverse Dartmouth community and by providing opportunities for realizing potential, improving health and fitness, developing lifetime skills, establishing values and priorities, and experiencing the satisfaction of maximum achievement. The Athletic Department, in its efforts to fulfill its mission, serves as a provider of both physical and mental enrichment. Dartmouth College and the Athletic Department pride themselves on educating the whole student by seeking to integrate classroom and out-of-classroom experiences.
The Athletic Department’s mission statement upholds the mission statements of the College and the Dean of the College Division by:

- providing programs and activities that meet the interests of a broad range of individuals,
- promoting health and wellness as integral aspects of a balanced life,
- providing programs that afford learning experiences outside of the classroom,
- creating a safe, healthy, socially-stimulating educational environment, helping students establish appropriate priorities, effectively manage their time and make difficult decisions,
- affirming and maintaining standards of conduct for responsible student behavior, ethical conduct and good sportsmanship,
- facilitating interactions among diverse individuals with different backgrounds to enhance the overall undergraduate experience,
- fostering and complementing the overall academic and intellectual growth of Dartmouth students, and
- enhancing the overall undergraduate experience.

3. Describe how and to whom the athletics program’s mission statement is circulated.

The Athletic Department’s formal mission statement is available to the Dartmouth community and the general public on the Athletic Department main Web page <http://athletics.dartmouth.edu> which can also be accessed from the College’s main Web page <http://www.dartmouth.edu>. Briefer statements outlining the purpose and scope of the Athletic Department are included annually in the College’s admissions literature (available to prospects), the College’s Student Handbook (provided to the student body and the College’s administrative offices), and the Athletic Department’s Student-Athlete Handbook (provided to student-athletes).

4. Please provide specific examples demonstrating how the athletic program’s mission and goals are or are not supported by the actual practices of the athletic program.

The Athletic Department mission statement includes the following desired outcomes: enabling students to be involved in the governance and management of their teams and activities; encouraging the highest level of deportment and performance not only in athletic endeavors but in all phases of campus life; encouraging excellence and meaningful interaction; striving for gender equity in programs and reasonable access to facilities; structuring a realistic budget and developing appropriate sources of revenue; and carrying out a thoughtful and thorough recruitment approach.

Intercollegiate athletics offers a broad spectrum of programs to provide healthy, challenging competition inside and outside the Ivy League. The College and the Ivy League have historically supported a broad-based approach to intercollegiate athletics.
Dartmouth currently supports 34 sports at the varsity level, one of the highest sport-sponsorship rates in the country. The College has also shown a strong commitment to gender equity through its support of 18 varsity teams for women and by posting some of the best proportionality numbers in the country (percent of student-athletes who are female as compared to the percent of females in the undergraduate student body). Dartmouth’s Equity in Athletics Disclosure Act (EADA) statements for the past three years are attached as Appendix C.

College and Ivy League standards ensure that student-athletes are representative of the student body in terms of their academic and personal qualifications, and financial aid is based on need rather than athletic ability. Sport seasons and number of competitions are more restrictive than NCAA regulations to ensure that student-athletes have ample time to pursue academics and other extracurricular activities.

Student-athletes are exposed to a comprehensive program of life skills through the NCAA CHAMPS/Life Skills program that provides educational experiences and services which facilitate the development of well-balanced lifestyles; encourage growth in decision-making, planning and fulfillment of career and life goals; and enhance the quality of the student-athlete experience within the College setting. Further, the Athletic Department focuses heavily on community service, with a number of well-established programs sponsored annually and with a new internship position created exclusively to expand community service opportunities for student-athletes. In addition, several teams have made connections with faculty members through the College’s Faculty Athletic Advisor Program, established in 1999. The goal of the initiative is to create an informal relationship between a faculty member and an athletic team to support student-athletes as they balance academics and athletics. In the first year of the program, three teams established relationships with faculty members who served as informal advisors for the team. In each instance, the faculty members were approached by student-athletes who had developed relationships with them through coursework or common interest. There are currently 26 faculty advisors, all of whom shape their role according to their interests and availability, and through consultation with the head coaches and captains.

A departmental statement on sportsmanship (Appendix D) was adopted to affirm that the department maintains standards of conduct for responsible student behavior, ethical conduct and good sportsmanship. Further, a Student-Athlete Advisory Committee (SAAC) was formed representing one of many examples of how student-athletes are afforded the opportunity to play leadership roles within the department.

The Physical Education Program teaches the concepts of fitness and wellness to the College community and oversees the physical education requirement for all Dartmouth undergraduate students. The Program’s primary purpose has been education through the medium of physical expression, exploration and athletics competition. In cooperation with the Outdoor Programs Office, the Physical Education Program offers approximately 85 different classes over the course of the year. Approximately 800 students participate in the Physical Education Program each term during the regular academic year, and approximately 400 students participate during the summer term. Winter term classes
tend to be some of the most popular with ski classes alone offering instruction to approximately 200 - 300 students annually.

The Intramural and Recreational Sports Programs provide a program of activities that is attractive to the College community and that is conducted in an educationally-sound manner. Dartmouth currently sponsors 25 club teams serving approximately 700 participants annually. Several of the club programs have achieved national recognition by placing among the top programs at regional and national competitions. Thirty-one (31) different sports/activities are offered through the intramural program at Dartmouth. These intramural sports/activities have experienced a total annual participation of over 5000 participants in recent years. (Note: A student participating on three intramural teams is counted as three participants, and graduate as well as undergraduate students are eligible to participate.) Lastly, the Athletic Department sponsors a Fitness and Lifestyle Improvement Program (FLIP) for the College community which offers approximately 45 classes per term. These classes are well attended by students, employees and community members alike.

The Athletic Department administration annually develops a set of action steps to be taken in order to fulfill the goals identified by the department as having the highest priorities based upon the Athletic Department’s mission statement in combination with current needs and available resources.
Operating Principle 1.2: Institutional Control, Presidential Authority and Shared Responsibilities

1. Based upon the institution’s experience in the last three years, list the decisions related to intercollegiate athletics in which the institution’s governing board or individual board members have been significantly involved.

Dartmouth’s Board of Trustees has been significantly involved in a number of decisions related to intercollegiate athletics over the past three years. In general, the Board of Trustees is apprised of and/or comments on significant decisions related to the finance, facilities and staffing of the College’s intercollegiate athletics programs.

During the 2000-01 academic year, the Board of Trustees reviewed the following issues related to intercollegiate athletics: Phase I of the Budget Enhancement Initiatives addressing issues such as extended facility hours, increased student-athlete per diem, improved team travel arrangements, increased resources for recruiting, increased resources for teams’ spring trips, an equipment replacement schedule, and increased club sports funding; the establishment of Athletic Department interests and targets for the College fund raising campaign; the initiation of a job classification and compensation review project; the College’s engagement of a comprehensive study of athletics facilities; the delay and relocation of the rugby clubhouse project; the entertainment by the College of land-swap options with the local school district to attain new land for athletics facilities; and the commitment of institutional funding to renovate the College’s field house.

During the 2001-02 academic year, the Board of Trustees reviewed the following issues related to intercollegiate athletics: the selection and appointment of a new Director of Athletics; the deferral of plans for a new athletics and recreation center; and the conversion of five squash courts to international dimensions, and the dehumidification of the College’s pool.

During the 2002-03 academic year, the Board of Trustees reviewed the following issues related to intercollegiate athletics: the elimination of the men’s and women’s varsity swimming and diving programs and the subsequent acceptance of outside funds to allow for the continuation of those programs; and the Athletic Department’s proposal for departmental budget cuts in compliance with a Board mandate for College-wide budget cuts.

2. Based upon the institution’s experience in the last three years, list the decisions related to intercollegiate athletics in which the institution’s chief executive officer has been significantly involved.

While the Director of Athletics reports to the President through the Dean of the College, the President routinely reviews and approves important decisions concerning athletics. In addition to being apprised of or weighing in on all issues listed above under the Board of Trustees (it should be noted that the President is a member of the Board of
Trustees and is responsible for presenting these issues to the Board), the President has very regular communication with the Dean of the College and Director of Athletics regarding the establishment and/or implementation of institutional, Ivy League and NCAA policies and procedures for the College’s intercollegiate athletics program. In addition, the President conducts a group meeting with the Dean of the College, Director of Athletics, and Dean of Admissions prior to Ivy League administrative meetings to discuss the institution’s stance on League issues.

During the 2000-01 academic year, the President reviewed the following issues related to intercollegiate athletics in addition to those presented above under Question #1: the hiring of head coaches and administrators to fill vacancies; the women’s faculty locker room project; and the commitment to significantly enhance the athletics Web site.

During the 2001-02 academic year, the President reviewed the following issues related to intercollegiate athletics in addition to those listed under Question #1: Phase II of the Budget Enhancement Initiatives addressing issues such as increased athletic training coverage, internal staffing issues, the creation of the CHAMPS/Life Skills Coordinator position, increased sports information coverage, and the purchase of equipment; and the hiring of head coaches and administrators to fill vacancies.

During the 2002-03 academic year, the President reviewed the following issues related to intercollegiate athletics in addition to those listed under Question #1: the hiring of head coaches and administrators to fill vacancies; and the establishment of an internship position for the track and field program.

3. Describe the process by which the institution makes major decisions regarding intercollegiate athletics. In doing so describe the role and authority of the institution’s governing board, the chief executive officer, the athletics board or committee (if one exists), the faculty athletics representative(s), the director of athletics, and any other appropriate campus constituencies (e.g., faculty, students, institutional personal involved in rules-compliance activities) in this process. Please provide the composition of the athletics board or committee (including title and positions).

The Athletic Department reports to the office of the Dean of the College. The Dean reports to the Provost (chief academic officer) and the President. The Dean, the Provost and the President meet routinely in order to discuss a variety of issues affecting college life. Both the Provost and the President are kept informed and are involved in any discussions or decisions affecting athletic resources, recruitment and admissions of student-athletes and any other athletic issues that might have an impact on the College’s academic programs. The Dean, the Provost and the President report to the Board of Trustees on matters within the athletic department which involve major uses of College resources, significant changes in programs or facilities, and matters that affect admissions or academic life.

The Director of Athletics is responsible for day-to-day budget, personnel and program decisions. The Director of Athletics is assisted in her duties by a senior athletics
administration staff that meets weekly. This staff includes the Senior Associate Director of Athletics for Intercollegiate Programs, Deputy Director of Athletics, Associate Director of Athletics for Intercollegiate Programs/Senior Woman Administrator, Associate Director of Athletics for Physical Education and Recreation, Facilities Director, Business Manager and Sports Information Director. The Director of Athletics also meets monthly with coaches, and the Athletic Department conducts an annual retreat for administrators and an annual start-up meeting for coaches and staff at the beginning of each academic year.

The Dean of the College serves as the NCAA Faculty Athletics Representative. The Dean of the College is also a member of the Policy Committee of the Ivy Leagues (see below).

**The Ivy League**

The Executive Director of the Ivy League is charged with administering the Ivy League’s rules and activities in the spirit of the Ivy agreement. The Executive Director and the associate directors administer Ivy and NCAA rules and coordinate the activities of the Ivy committees and leagues sports information and publicity efforts.

Significant decisions regarding intercollegiate athletics are made through the committee structure of the Ivy League. The Ivy League makes decisions about intercollegiate athletics through its established committee structure which is supported by the Ivy League Office. The League’s committee includes the Council of Ivy Group Presidents, the Policy Committee, the Committee on Administration, the Committee on Admissions, and the Sports Committees.

**Council of Ivy Group Presidents**

The Council of Ivy Group Presidents consists of the presidents of the eight Ivy League institutions. The Council meets twice a year to discuss Ivy League programs, and all substantive changes to Ivy League rules must be approved by the Council. Dartmouth President James Wright is the current chair of the Council.

**Policy Committee**

The Policy Committee consists of 12 members, including a senior university officer appointed by each president, one member each from the Committee on Administration and the Committee on Admissions, one director of financial aid, and one senior associate athletic director. The Policy Committee is charged with continuously monitoring the policies and programs of the League to assure that they are consistent with the spirit and intent of the Ivy principles. All policies and interpretations relating to athletics fall within the purview of the Policy Committee, including rules on admissions and financial aid. Intensity of schedule and length of season, as well as eligibility rules, come under specific review by the Policy Committee. All recommendations for policy and rule changes are reviewed and approved by the Policy Committee before they are presented to the Council.
Committee on Administration

The Committee on Administration consists of eight directors of athletics. This committee is responsible for keeping the conditions under which intercollegiate sports are conducted under close and constant review and appraisal, for promoting inter-institutional cooperation to effectuate the spirit and intent of the Ivy League Agreement, and for handling the management and operations of the League, including championships, coaches’ activities, and financial considerations. It is customary for the Committee on Administration to consider recommended changes in programs and activities before they are referred to the Policy Committee.

Committee on Admissions

The Committee on Admissions is comprised of the eight deans or directors of admissions of each of the universities. The committee’s responsibility is to discuss and monitor issues related to the recruitment and admission of student-athletes and to ensure that the recruitment and admission policies and practices are consistent with the spirit and intent of Ivy League principles.

Committee on Financial Aid

The Committee on Financial Aid is comprised of the eight League directors of financial aid. The committee’s responsibility is to discuss and monitor issues related to the awarding of financial aid to student-athletes and to ensure that these policies and practices are consistent with the manner in which aid is awarded to the general student body at League institutions. All aid at Dartmouth and in the Ivy League is need-based and awarded without regard to athletic ability.

Sport Committees

Sport Committees are made up of the head coaches of the sport at each university and the athletic administrator. Head coaches from each sport meet at least once annually to coordinate Ivy League business related to their sport, including any proposed legislative changes. Each coach group selects a chair, either on a rotation or election basis, who is responsible for conducting such meetings. The Executive Director and the chair of the Committee on Administration appoint an administrator from the League to act as a liaison between each sport’s coach group and the Committee on Administration. The liaison attends meetings of the coach group and presents any issues raised by the coach group to the Committee on Administration as appropriate.

It is important to note the increased collaboration between the Council of Presidents, Policy Committee and Committee on Administration in recent years signaling the presidents’ desire to play a more active role in the development of League athletics policies and the general oversight of institutional athletics programs.
The Dartmouth College Athletic Council

The Dartmouth College Athletic Council (DCAC) serves as the advisory body to the Director of Athletics and the Dean of the College on athletic matters. The Council makes recommendations on policy matters pertaining to the College’s intercollegiate athletics, physical education, and recreational programs. The Council functions in accordance with NCAA regulations, which require that policy authority rests with the President and the Board of Trustees. The Council meets three times annually.

The Council consists of three alumni, three members of the faculty, three undergraduates and, ex-officio, the Director of Athletics, the Dean of the College, and the Executive Vice President for Finance and Administration. Meetings are scheduled to coincide with meetings of the College’s Board of Trustees to facilitate the attendance of the Board’s liaison to the Athletic Department.

The composition of the Dartmouth College Athletics Council including title and positions is included in Appendix E.

The Student-Athlete Advisory Committee

The Dartmouth Student-Athlete Advisory Committee (SAAC) was established in the summer of 2002. The committee was created in response to an increasing need for representation of the Dartmouth athletic community, and its primary objective is to foster communication with student-athletes. The SAAC is divided into four sub-committees, each presided over by a member of the executive board, in order to most effectively address the various needs of Dartmouth student-athletes. The committees include athlete welfare, community service, athletic community, and communications. The committees are charged with the responsibility of creating individual projects with the input of all members of the SAAC, as well as from outside sources. All members of the SAAC are assigned to and actively participate in one sub-committee. Members serve as representatives of their athletic teams and report back to their respective teams with SAAC news and upcoming events.

One of the main achievements of the SAAC in 2003 was the sponsorship of a dinner for first-year student-athletes, affording them a chance to interact with upper class student-athletes and faculty and to discuss the academic life of student-athletes at Dartmouth. This tremendously successful event drew 200 people, and is being planned again for the beginning of the 2004-05 academic year.

The Dartmouth SAAC serves as a member of the Ivy SAAC. Each Ivy League school’s SAAC executive board participates in the Ivy SAAC and acts as a representative of their schools’ student-athlete populations. The Ivy SAAC is responsible for reviewing legislation, voting on the Ivy SAAC position, creating reports and letters on controversial issues, and advising the Ivy Presidents on the student-athletes’ opinion. The individual schools’ SAACs and the Ivy SAAC are vital elements in maintaining a strong line of communication between the student-athlete and the College’s and Athletic Department’s administration.
Captains’ Council

The Captains’ Council is comprised of the captains of each intercollegiate athletic team and serves as an informal advisory body to the Senior Associate Director of Athletics for Intercollegiate Programs. The Council has traditionally met twice per term with the Senior Associate Director and other athletic administrators. However, this group has not met as regularly with the Senior Associate since the formation of the Student-Athlete Advisory Council. Additionally, the Captains’ Council typically meets annually with the President of the College to discuss issues related to intercollegiate sports.

Faculty Committee on Athletics

The College faculty governance system includes a Faculty Committee on Athletics. The purposes of this committee are: 1) to represent the faculty on the Dartmouth College Athletic Council, 2) to act in an advisory capacity on relations between the academic programs of the College and the programs of physical education, intercollegiate athletics and intramural athletics, 3) to determine the occasions on which excused absences shall be granted to members of athletic teams, 4) to examine all proposed schedules of games, requiring that these be submitted for inspection before dates are agreed to and published, and to approve those not violating the committee’s policy with regards to absences, and 5) to submit a report to the Committee on Organization and Policy at the end of each academic year, the standing committee of the faculty that makes appointments to appropriate institution-wide committees and reviews new policy decisions.

4. Please attach an institutional organizational chart and an athletics department organizational chart.

Institutional, Dean of the College Division, and Athletic Department organizational charts are included in Appendix F.
Operating Principle 1.3: Rules Compliance

1. Describe how the activities of the institution’s athletics booster groups, support groups, and other representatives of the institution’s athletic interests are maintained under the clear control of the institution, including whether institutional personnel serve on booster-club, support group or foundation boards.

Dartmouth has two types of athletics booster groups, both of which operate under the direction of the Athletic Department and the College. These groups are the Athletics Sponsors Program and the individual Friends Groups for each sport. While both are primarily fundraising vehicles, “Sponsors” and “Friends” are separate programs with somewhat different purposes.

**Athletics Sponsors Program**

The Athletics Sponsors Program exists to provide recruitment funding for all varsity sports. Ivy League regulations stipulate that “the institution cannot pay for the transportation of a student (recruit) to a campus or lodging for the parent(s), except from a fund to which alumni/ae and friends may contribute at the institution” (and for which the institution is “exclusively and entirely responsible,” as per NCAA Bylaw 13.15.1). (Note: An explanation of efforts to educate athletics sponsors regarding NCAA rules is discussed in a subsequent section.) The Sponsors Program is the sole source of funding for transporting athletic recruits to the campus for official visits, and also provides for coaches’ vehicles, brochures, and trips related to recruiting. The program is administered centrally by the Deputy Director of Athletics, and donated funds are allocated to individual sports at the direction of the Director of Athletics and the Senior Associate Director of Athletics for Intercollegiate Programs. Eleven local alumni serve on a Sponsors Advisory Board, which meets three times a year. It is purely advisory to the Director of Athletics and the Deputy Director of Athletics.

**Friends Groups**

Individual Friends Groups exist for each sport, and each is intended to enhance the quality of that particular program and to meet essential needs that the basic operating budget cannot accommodate. Friends’ monies are typically used for newsletters, receptions, banquets, awards, pre-season trips, special equipment and other programmatic needs. The head coaches are responsible for overseeing the Friends Groups for their particular sports, and all Friends fundraising activities for Dartmouth teams are approved in advance and monitored by the Deputy Athletic Director (in the case of donated funds) and the Senior Associate Director of Athletics for Intercollegiate Programs (in the case of earned monies). All Friends Groups have institutional accounts assigned to them, and all the monies are deposited into these accounts. All expenditures from Friends accounts must be approved by the Director of Athletics’ designee, the Senior Associate Director of Athletics for Intercollegiate Programs, and are also monitored by the Athletics Business Manager on behalf of the Director of Athletics. In some sports, there is a Friends “board” of volunteer leaders, but in all cases the boards are purely advisory to the coaches and the Athletic Department.
All Friends Groups’ solicitation activities must adhere to the written College Policies delineated for all such groups at Dartmouth College.

In 1993, a significant step was taken in that Dartmouth was the first Ivy institution to mandate joint Friends gift accounts in all sports in which both men’s and women’s teams are offered at the same level. This step was taken as an important gender-equity initiative to ensure equitable availability of donated funds for our men’s and women’s teams.

2. Identify, using an organizational or flow chart, how the institution has organized itself to maintain compliance with NCAA rules. Specify the individual (other than the institution’s compliance officer/coordinator) who the CEO designates as being responsible for the institution’s rules compliance. Also, include a description of the reporting lines for and the responsibilities assigned to the faculty athletics representative, director of athletics, compliance coordinator (if any), coaches, and other key individuals inside and outside athletics (e.g., registrar, financial aid officer, admissions director, internal auditor) who are responsible for documenting and monitoring compliance with NCAA rules including but not limited to eligibility certification, investigation and self-reporting of violations and monitoring of financial aid.

The Director of Athletics has the ultimate responsibility for rules compliance within the Athletic Department. The Director of Athletics reports to the Dean of the College who has institutional responsibility for compliance and who reports to the President. The Dean of the College also serves as the institution’s Faculty Athletics Representative. These and other compliance-related reporting lines are outlined in Appendix G.

Associate Director of Athletics for Compliance and Administration M. Grace Calhoun is the primary compliance administrator for the institution. As such, the Associate Director oversees all areas of Dartmouth’s rules compliance program including but not limited to the certification of student-athletes, coaches and teams; student-athlete forms and records maintenance; the declaration and monitoring of playing and practice seasons; squad list maintenance; the monitoring of on- and off-campus recruiting activities; rules interpretations; processing of eligibility waivers; compliance education; and approvals for camps and clinics. The position of Assistant Director of Athletics for Compliance was created in Fall 2003 (and has yet to be filled) to support the Associate Director in an attempt to keep pace with the ever-growing expectations in this area. The Associate Director reports to the Senior Associate Director of Athletics for Intercollegiate Programs on a daily basis and to the Director of Athletics when dealing with the investigation and reporting of rules violations.

Each coach, both by contractual obligation and job description, is accountable for the NCAA and conference rules compliance of his/her team, staff and individual student-athletes. All coaches of Dartmouth’s intercollegiate programs report to either Senior Associate Director of Athletics for Intercollegiate Programs Brian J. Austin or Associate Director of Athletics for Intercollegiate Programs Megan Drucker, both of whom are knowledgeable regarding NCAA and conference rules. As the sport administrators for the varsity teams, the Senior Associate and Associate directors are responsible for
monitoring the NCAA compliance of each team under his/her supervision. Recruiting travel and team travel are authorized in advance, and actual expenditures are approved after the completion of travel to certify that all appropriate rules and regulations were followed. The purchase of goods and services must also be authorized in advance by the Senior Associate or Associate Director.

The College sponsors three varsity teams (men’s skiing, women’s skiing, and women’s equestrian) which report outside of the Athletic Department. Men’s and women’s skiing are part of the College’s Office of Outdoor Programs, a structure that dates back to the early 1900’s, while the women’s equestrian program and Morton Farm report directly to the Executive Officer for the Dean of the College division, the reporting line for two of the College’s three auxiliary operations. After it was brought to the College’s attention that these external reporting lines (with indirect support from the former Associate Director of Athletics for Compliance and Administration) were not effective in ensuring compliance, the College worked to strengthen the connection and interaction between these programs and the Athletic Department. Men’s and women’s skiing now have a dual reporting line to both the Director of Outdoor Programs and the Senior Associate Director of Athletics. Further, ski coaches must obtain advanced approval for all travel and other expenditures, and a representative of the compliance staff attends weekly ski meetings to ensure that all facets of program operation are in compliance with NCAA rules and regulations going forward. In regard to women’s equestrian, the College has decided to not sponsor the sport at the NCAA level at present while evaluating future options.

The Athletics Business Office headed by Athletics Business Manager Kenneth Snelling reviews all expense reports for their compliance with institutional, conference and NCAA regulations. Once these expense reports have been approved by the Athletics Business Office, they are forwarded to the College’s Controller’s Office for review and processing. Vouchers for travel expenditures, recruiting expenses, or payments to any coach or student in the ski programs will also be routed through the Athletics Business Office for their review and approval in advance of payment beginning in 2003-04. The Athletics Business Manager also oversees the Ticket Manager and, with the assistance of the Associate Director of Athletics for Compliance and Administration, ensures that all ticket policies conform to NCAA regulations.

The Athletic Department has a number of other auxiliary units which help to ensure rules compliance. For instance, the Athletics Facilities Office, headed by the Director of Operations and Facilities for Athletics and Recreation, regularly consults the Associate Director of Athletics for Compliance and Administration on scheduling practices and team activity; the Equipment Manager ensures that competitive equipment and apparel is not issued until all eligibility standards have been met by student-athletes; and the strength and conditioning staff help to monitor athletically-related activity to name a few.

As mentioned previously, the Dean of the College serves as the institution’s Faculty Athletics Representative. In this role, the Dean of the College/FAR consults with the chair of the Faculty Committee on Athletics (a full-time member of the faculty) about the committee membership and agenda. The committee discusses, makes recommendations, and communicates with faculty about issues concerning the role of athletics in the
College’s educational mission. For example, issues concerning competition and practice schedules, and their relationship to students’ academic schedules and obligations, are regular topics of discussion. The Dean of the College/FAR makes an annual report to the general faculty about student life outside the classroom, including athletics, and he consults periodically with other faculty committees (such as the Committee on Instruction and the Committee on Policy) about the relationship between athletics and academics. The Dean of the College/FAR also consults regularly with the Dean of the Faculty, the Provost, the President, and the Trustees about these topics.

Assistant Dean of the College Mary T. Liscinsky serves as the Dean of the College/FAR’s designee in the role of College Eligibility Officer and reports directly to the Dean on eligibility and other athletics matters. The Associate Director of Athletics for Compliance and Administration also deals directly with the Assistant Dean on matters of compliance and eligibility. The Assistant Dean evaluates and certifies all upperclass student-athletes on behalf of the Dean on continuing eligibility (progress toward degree) standards annually. This evaluation will be performed quarterly starting with the Winter 2004 term. The Assistant Dean is also kept abreast of NCAA Clearinghouse statuses and transfer statuses and formally signs off on initial and transfer eligibility each year. The Dean of the College division’s Director of Information Systems and the Executive Assistant to the Dean of Upperclass Students assist in the academic certification of student-athletes through the compilation of student-athlete grades and academic histories for the purposes of institutional academic actions and NCAA and conference continuing eligibility standards. The Associate Director of Athletics for Compliance and Administration, Academic Advisor/CHAMPS Life Skills Coordinator, Assistant to Intercollegiate Programs, and Athletics Information Systems Manager meet with the Assistant Dean, Director of Information Systems, and Executive Assistant as the Eligibility Certification Committee (ECC) after initial certification decisions have been rendered by the Assistant Dean to ensure that all pertinent information has been taken into account and that no mistakes have been made.

In conjunction with the Associate Director of Athletics for Compliance and Administration, the Assistant Dean prepares eligibility waiver requests on behalf of the Dean for NCAA and conference consideration. In addition, the Assistant Dean prepares the annual Graduation Rates Report for the NCAA and serves as the Dean of the College/Faculty Athletics Representative’s resource on College, Ivy, ECAC and NCAA rules and regulations.

Dartmouth does not award athletics scholarships. The College’s Financial Aid Office, headed by the Director of Financial Aid, determines need and awards all aid packages without regard to athletics ability. Financial aid decisions are made independently by the Financial Aid Office, and all appeals of financial aid decisions (including those from student-athletes) are reviewed by the Financial Aid Review Committee. Athletic Department personnel do not participate in any part of the financial aid decision making process. Further, the Director of Financial Aid completes team squad lists on an annual basis, certifying that all teams and individual student-athletes are at or below NCAA maximums in countable aid each year.
Admission to Dartmouth is determined through a highly selective and holistic process during which all applicants to the College are reviewed by three admissions officers before a decision is rendered. Because the Dartmouth applicant pool is large and well-qualified, the Admissions Committee is able to choose among many highly qualified candidates for each place in the entering class and to consider a student’s potential contribution to the campus community at large when reviewing each application. All admissions decisions on recruited athletes are made solely by the Admissions Office, and the evaluation process is similar for athletes and non-athletes. Given that admission to Dartmouth is highly competitive and that the Admissions Committee includes many academic and personal qualities in the review of a candidate’s credentials, it is not surprising that a student’s success in athletics is one of many factors considered. The Athletic Department and the Admissions Office communicate on a number of levels in an effort to ensure that Admissions Committee understands the needs of our intercollegiate programs and the potential contribution that each recruit might make to those programs.

Lastly, the Associate Director of Athletics for Compliance and Administration is notified via email on a weekly basis by the Dean of the College office of any changes in enrollment status approved by the Registrar. No student at the College is allowed to drop below full-time status. Therefore, the College has a system for ensuring that student-athletes maintain full-time enrollment status during any given term.

3. Describe the institution’s rules-education efforts for all individuals associated with the athletics department, including student-athletes, athletics department staff members (including coaches), other institutional staff members and representatives of the institution’s athletics interests.

Compliance rules education at Dartmouth is an ongoing process which is coordinated by the Associate Director of Athletics for Compliance and Administration. Education regarding NCAA rules is formally and informally provided to student-athletes, coaches and Athletic Department staff members, as well as institutional staff members, alumni, and representatives of athletics interest groups on a regular basis.

At the beginning of each year, the Associate Director and Assistant to Intercollegiate Programs meet with each team to administer institutional, Ivy and NCAA compliance forms. A summary of NCAA rules and regulations is presented during this meeting, and questions from student-athletes are encouraged. Throughout the year, Dartmouth’s Student-Athlete Advisory Committee meets on a monthly basis, and members are responsible for communicating conference and NCAA legislation and legislative proposals discussed at these monthly meetings to their respective intercollegiate teams.

Coaches are required to attend monthly meetings that include compliance reviews, updates and question-and-answer sessions. Further, a mandatory two-hour compliance session is held each spring to review for the NCAA Coaches’ Certification Exam as well as to discuss new legislation going into effect for the upcoming academic year. In addition, the Associate Director coordinates the circulation of periodic emails and mailings to coaches updating the coaching staff on recent interpretations, legislative
proposals and/or new legislation, recruiting calendar issues, hot topics, and other timely issues. All coaches receive a copy of the \textit{NCAA Manual} and \textit{The NCAA News}.

The Associate Director has regular interaction with key Athletic Department staff members regarding rules compliance. The Associate Director reviews facility scheduling issues for varsity teams and outside user groups with the Director of Athletics Facilities and Operations; reviews recruiting and team travel legislation with the Athletics Business Manager; reviews complimentary ticket policies with the Ticket Manager; reviews media guides and game programs with the Sports Information Director; reviews equipment and apparel issuance and recollection policies with the Equipment Manager; and reviews League and NCAA legislation specific to the recruitment and admissions of prospects with the Deputy Director of Athletics who serves as the departmental liaison to the Office of Admissions. These individuals also request interpretations from the Associate Director on an ongoing basis as the need arises.

Many other institutional administrators are critical to Dartmouth’s compliance efforts and have regular contact with the Associate Director of Athletics for Compliance and Administration. The Associate Director and compliance staff communicate regularly with the Registrar, Director of Financial Aid, and Office of the Dean of the College to ensure that appropriate administrators and support staff are aware of relevant NCAA rules and that student-athletes are meeting NCAA requirements for financial aid, academic eligibility, and athletics participation.

Alumni and booster rules education also occurs on an ongoing basis. Copies of the brochure entitled \textit{NCAA Rules All Dartmouth Alumni and Friends Should Know} (Appendix H) are distributed annually to key groups such as the Athletics Committee of Dartmouth’s Alumni Council; the Dartmouth College Athletics Council; members of the Athletic Department’s Athletics Sponsors Program; and members of the Athletic Department’s Friends Groups for intercollegiate sports. The Office of Admissions also publicizes the existence of the brochure in its newsletter to all alumni interviewers. Further, the Associate Director of Athletics for Compliance and Administration, coaches and other Athletic Department administrators frequently have the opportunity to formally or informally meet with and educate groups of alumni and boosters through events such as the annual Sponsors’ Picnic or alumni club functions in the local community and around the country.

4. \textbf{Describe using specific examples, how the institution ensures compliance is a central element in personnel matters. Also, please provide the following items for individuals inside and outside the athletics department who are involved in rules-compliance activities: (a) job descriptions (b) contracts or letters of appointment, (c) personnel evaluation criteria, and (d) philosophy statements and other applicable sections of policy manuals.}

Dartmouth coaches are accountable for the NCAA and conference rules compliance of their teams, staff and individual student-athletes. Coaches’ contracts contain the following language regarding compliance:
This agreement is for a fixed term, and prior to its expiration, the College reserves the right and option to terminate this agreement or to suspend you from performance of duties, with or without salary payments, permanently or temporarily, for any of the following: (1) any act that does not adhere to the high ethical standards commonly expected of a leading representative of the Athletic Department, including involvement in criminal or other serious misconduct, including but not limited to, an act of dishonesty, theft, misappropriation of College property, insubordination, or act of injuring, abusing, or endangering others; (2) a serious or intentional violation of the rules and regulations of the College, the Ivy Group, the ECAC, or the NCAA; or (3) failure to comply with any other provision of this agreement. The Athletic Director will be responsible for determining whether such misconduct or violation occurred and is serious enough to merit suspension or termination. You shall have the procedural right, upon written request, for a review relative to any such termination or suspension ordered by the Athletic Director, which shall be governed by normal College grievance procedures provided for non-academic administrative employees.”

A sample contract for an intercollegiate coach has been included in Appendix I. Head coaches are evaluated annually by the Senior Associate or Associate Director for Intercollegiate Programs. It is important to note that Dartmouth’s coaches are evaluated on much more than their competitive records, and rules compliance is one example of an important area on which coaches are evaluated. Coaches’ compliance evaluation is based upon overall compliance with NCAA and conference rules, proactivity in consulting with the compliance staff on rules matters, and the reporting of possible violations. A sample coach evaluation instrument is included in Appendix J.

Athletic Department administrators are also directly accountable for NCAA and conference rules compliance. The Associate Director of Athletics for Compliance and Administration and Assistant Director of Athletics for Compliance are annually evaluated on their abilities to oversee a comprehensive rules compliance program including monitoring the compliance of coaches, teams and staff members. The Senior Associate Director of Athletics and Associate Director of Athletics for Intercollegiate Programs are accountable for the compliance of coaches and teams under their supervision and consult with the Associate and Assistant Directors on a regular basis regarding rules compliance. Auxiliary support groups are responsible for knowing the rules pertinent to their areas and consulting with the Associate and Assistant Directors as questions arise. Significant compliance-related responsibilities are noted in administrative and staff job descriptions, while success in carrying out the responsibilities reflected in these job descriptions is the focus of annual performance reviews. Job descriptions for Athletic Department staff with significant compliance-related responsibilities are included in Appendix K, while general institutional guidelines for employee performance reviews are included in Appendix L.

In addition to references to compliance in job descriptions and performance reviews, all senior student-athletes are asked to fill out a “Senior Student-Athlete Program Evaluation” at the conclusion of their participation in intercollegiate athletics, and a sampling of student-athletes who return their evaluations are scheduled for an in-person interview to expand on the information communicated via the evaluation. The evaluation contains six (6) questions specific to compliance and eligibility and is used to assess the
effectiveness of coaches, administrators and auxiliary support groups at communicating NCAA and conference rules to student-athletes and to provide valuable student-athlete feedback regarding topics such as perceived pressure to participate in voluntary out-of-season skill instruction and weight training.

Job descriptions for individuals outside the DCAD who are involved in rules-compliance activities have been included in Appendix M. Rules compliance is a high priority of the President, Dean of the College, and Director of Athletics and Recreation. Individuals external to the DCAD who perform specific duties to ensure institutional compliance (i.e., Dean of the College/FAR, Assistant Dean of the College, Director of Financial Aid, Director of Admissions, and Registrar) are evaluated annually regarding their performance on a wide range of job responsibilities and regarding any specific issues that arise concerning compliance. The Dean of the College will encourage the supervisors of these individuals to add to the job descriptions for these positions specific language concerning the compliance-related responsibilities of these positions, and that performance in these areas of responsibility be evaluated annually.

5. Please attach written policies and step-by-step procedures that include assignment of specific responsibilities pertaining to the areas of rules-compliance, including but not limited to, eligibility certification, investigation and self-reporting of rules violations, monitoring recruiting (if not included elsewhere in the report). [Note: The institution may use elements of its response to self-study items Nos. 4 and 5 under Operating Principle 2.1 (academic standards) when preparing the response to the self-study item.]

Eligibility

*Initial Eligibility* – Every recruited student-athlete is sent a copy of the current Graduation Rates Report at the earliest possible time during the recruitment process. Included with this report is a reminder from the coach that all entering first-year student-athletes are required to register with the NCAA Initial Eligibility Clearinghouse and that the recruit should list Dartmouth as an institution to which his/her information may be released. The coach is advised to remind the recruit to register and to urge the high school guidance counselor to follow through on sending the final transcript and proof of graduation as soon as the information becomes available.

Dartmouth coaches are required to submit an Institutional Request List (IRL) to the Associate Director of Athletics for Compliance and Administration no later than the spring term of each year to include all recruits who are expected to matriculate at Dartmouth. Coaches are required to update these lists with the compliance staff as soon as changes are known, and the compliance staff provides updates on prospect certification statuses on a weekly basis throughout the spring and summer. The compliance staff actively works with coaches and prospects to address any issues delaying a final certification status from being issued.

During the initial coaches’ meeting in September and during each team’s annual compliance meeting prior to the start of the team’s playing and practice season, coaches
and student-athletes are reminded that first-year student-athletes may practice, but not compete, until a final certification status is achieved from the Clearinghouse. The compliance staff monitors the 14-day grace period for recruited student-athletes and 45-day grace period for walk-ons with the assistance of the coaching staff, and all countable athletically-related activity stops at the expiration of this grace period if a final certification status is yet to be achieved.

There are two mechanisms that ensure that a first-year student-athlete will not compete prior to being certified. First, the compliance office signs off on squad lists prior to each away contest to ensure that every student-athlete on the list has been certified for eligibility. Secondly, the equipment room helps to police initial certification as no competitive equipment or apparel can be issued to a first-year student-athlete until the Athletic Department database shows that a “certified” status has been achieved.

**Satisfactory Progress of Continuing Student-Athletes** – Dartmouth’s continuing eligibility process is affected in large part by the College’s academic calendar. Dartmouth has a plan of year-round operation in which the academic year is divided into four terms of equal length. Undergraduates are required to be in residence during the fall, winter, spring terms of their first and senior years, as well as for the second summer term following matriculation (rare exceptions are made for senior terms and only for relevant academic pursuits). Dartmouth requires successful completion of 35 course credits for graduation, which are normally completed in 12 terms of enrollment out of the 15 available consecutive terms (including summer terms, which are considered to be consecutive terms) during a four-year period. Enrollment patterns of three and five years are also permitted, where the 35 credits may be earned in as few as 10 consecutive terms or over a period that includes up to 19 consecutive terms. The normal course-load during the enrolled terms is three classes, although students are permitted up to three terms of only two courses, and up to three terms of enrollment in four courses. Each of these options is considered to be “full time enrollment;” Dartmouth does not offer “part-time enrollment” to matriculated undergraduates. Within the framework of these requirements, students have considerable flexibility in scheduling their “residence” and “leave” terms.

In terms of academic standing, Dartmouth has a rigorous system of evaluating each student’s record at the end of each term. Students who receive any grade below C- may be placed on risk, warning, or probation, or may be suspended or separated (expelled) for unsatisfactory academic performance. The faculty-voted guidelines for such actions can be found in the *Student Handbook* and have been included as the “Structure and Operation of the Undergraduate Disciplinary System” in Appendix N. The Committee on Standards (COS), a faculty committee chaired by the Dean of the College (or designee) and consisting of faculty, administrators, and students, oversees this system of institutional response to unsatisfactory progress on the part of any undergraduate. Students placed on academic probation by the COS may be prohibited, at the discretion of the COS, from intercollegiate athletic competition (as well as other co-curricular activities).

Due to its non-traditional calendar, Dartmouth received permission from the Ivy League and the NCAA to utilize an alternative formula for cumulative course credits per
term of enrollment to meet NCAA satisfactory progress requirements. Under this analysis, a student who has earned a minimum of six credits for each three terms of enrollment during the academic year and who is otherwise in good academic standing is considered to have made satisfactory progress.

The actual process for determining satisfactory progress begins in mid-August when the compliance staff and Athletics Information Systems Manager work with the coaching staffs to review the squad lists, making an electronic notation in the record of the student-athletes within the Banner system (the College’s administrative student information system software) to designate team affiliation for the upcoming academic year. The Director of Information Systems for the Dean of the College division then runs the list of student-athlete names, which includes the number of credits the student has earned and the number of credits that the student would need in order to be eligible for competition.

The Assistant Dean of the College serves as the Dean of the College’s designee in the role of College Eligibility Officer. The Associate Director of Athletics for Compliance and Administration, Academic Advisor/CHAMPS Life Skills Coordinator, Assistant to Intercollegiate Programs, and Athletics Information Systems Manager meet with the Assistant Dean, Director of Information Systems, and Executive Assistant to the Dean of Upperclass Students as the Eligibility Certification Committee (ECC) after initial certification decisions have been rendered by the Assistant Dean to ensure that all pertinent information has been taken into account and that no mistakes have been made. If a student-athlete does not appear to be eligible, the group reviews the student-athlete’s record for any information which might indicate the need for a waiver.

Due to Dartmouth’s academic calendar a second check is done in the first week in September, once the grades from the sophomore summer have been processed. Further, any continuing student who was not previously a student-athlete is required to report to the compliance office prior to walking onto a team. The student’s enrollment plan is reviewed and the Assistant Dean and Associate Director of Athletics certify his/her eligibility, reporting this information to the head coach.

Other continuing eligibility checks are performed as follows:

NCAA Bylaw 14.4.3.1 — Completion of 24/36 hours or average of 12 hours per term. The NCAA has determined that two (2) course credits at Dartmouth are the equivalent of 12 hours per term at a semester-based institution. Further, as mentioned previously, students generally enroll in three of the four quarters each academic year. As such, the NCAA has determined that Dartmouth's annual standard for completion of course credits is six (6) courses. The ECC meets each August to ensure that all student-athletes have met this NCAA annual standard for continuing eligibility prior to certifying student-athletes for athletics eligibility for the upcoming academic year.

NCAA Bylaw 14.4.3.1.5 — Hours earned acceptable for degree credit in designated programs of studies. Students at Dartmouth are required to meet the degree requirements delineated in the Student Handbook with regard to residency, course credit, required courses, distributive requirements, and the designation and
completion of a major. Normally, the degree requirements are completed within 12 residence terms, although the Registrar can approve an enrollment pattern of up to 19 terms. As Dartmouth offers only one undergraduate degree option (the A.B. degree), it is not possible for a student to enroll in or receive credit for courses outside the designated degree program.

NCAA Bylaw 14.4.3.1.4—Designation of a degree program. All students are required to declare a major and file with the Registrar a major card outlining a major program, including courses to be taken, with the written approval of the appropriate department(s), normally by the end of their fifth enrolled term, or in some cases, shortly after the beginning of the sixth term in residence. The Registrar will prohibit students from registering for a seventh term until the card is submitted and the major declared. The Registrar notifies students by letter that they will not be permitted to register unless a major is declared by the deadlines specified.

NCAA Bylaw 14.4.3.2.2-25/50/75 (changed to 40/60/80)—Percentage of degree requirements and Bylaw 14.4.3.2.1 “50 percent” of degree requirements. Dartmouth course, degree, and academic standing requirements are more stringent than those of the NCAA. College policy and the academic requirements mandated for completion of the A.B. degree are such that a student making satisfactory progress by Dartmouth requirements would necessarily be making the 40/60/80% and the 50% standards set forth in these bylaws.

However, the College has recognized that relying on these standards may not account for the rare cases that could be problematic in terms of percentage of degree requirements. Therefore, the Assistant Dean of the College and the Associate Director of Athletics for Compliance and Administration annually review a computer printout which lists how many course credits each student-athlete has earned. This program is run in real time, meaning that any course credits earned by the student-athlete up to that moment are counted, while course credits that are still pending are not counted. Each student-athlete’s course count is checked to make sure that students have at least six (6) course credits after the first year, 14 course credits after the second year; 21 course credits after the third year, and 28 after the fourth. This check ensures that student-athletes meet both annual course credit requirements (six after a year) and percentage of degree requirements (40% or 14 after the second year of enrollment, 60% or 21 after the third year of enrollment, and 80% or 28 after the fourth year of enrollment).

NCAA Bylaw 14.4.3.3.1-90/95% Minimum grade-point average requirement. Dartmouth does not utilize a minimum grade point average requirement for the A.B. degree. Instead, the rigorous standards applicable to all students as described in the Student Handbook (Appendix N) are used to monitor academic performance and eligibility for the degree.

Initial and Continuing Eligibility of Transfer Student-Athletes – Student-athletes wishing to transfer to Dartmouth must submit a letter of release from their college or university signed by the Athletic Director or designee indicating the institution’s
permission for that student-athlete to contact a Dartmouth coach or athletics representative. The letter is received and documented by the Assistant to Intercollegiate Programs. Copies of the letter are then submitted to the coaches of the teams in which the student-athlete has expressed an interest. Once this has happened, contact between the coach and student-athlete is permitted.

If the student-athlete plans to transfer to Dartmouth, the Assistant to Intercollegiate Programs will issue an information request form to the institution from which the student-athlete is transferring. The Compliance Officer at that institution must verify the student-athlete’s academic standing, financial aid information, participation records, eligibility information and disciplinary standing, submitting the form with copies of the student athlete’s file to the Athletic Department. The Assistant to Intercollegiate Programs duplicates the form and files, submits a copy to the Associate Director of Athletics for Compliance and Administration and places a copy in the student-athlete’s compliance file folder.

If the student-athlete was in good academic standing at the institution from which he/she transferred, has eligibility remaining, and is not required to serve a residency requirement, the Associate Athletic Director recommends to the ECC that the student-athlete be eligible for intercollegiate competition at Dartmouth. [Note: The student-athlete is flagged as “not eligible for competition” if a residency requirement must be served.]

**Full-Time Enrollment** – The Associate Director of Athletics for Compliance and Administration is notified via email by the Dean of the College office of any changes in enrollment status on a weekly basis. Further, no student at the College is allowed to drop below full-time status. Therefore, the College has a system for ensuring that student-athletes maintain full-time enrollment status during any given term.

However, Dartmouth’s unique enrollment plan means that it is possible that student-athletes will not be enrolled in a term when their team is practicing and/or competing. Since this is a situation faced by very few NCAA member institutions, Dartmouth is in the process of requesting an NCAA waiver to enable student-athletes to practice, but not compete, during an off-term if their plans keep them in the local community. (For example, many students remain at Dartmouth during an off-term to do an internship at the College or to work in the surrounding area.) If this NCAA waiver is not granted, the Assistant Dean of the College and Associate Director of Athletics for Compliance and Administration will cross-reference team rosters and enrollment patterns to ensure that no student-athlete engages in countable athletically-related activity with a team unless enrolled in that term on a full-time basis. This has been a problematic area for the College in the past as the certification of student-athletes for athletics eligibility has only been performed prior to the start of each fall term. However, the College expects that the new NCAA legislation requiring student-athletes to be academically certified prior to each term of attendance will facilitate the certification of student-athletes on full-time enrollment.

**Financial Aid** – The Director of Financial Aid completes team squad lists on an annual basis, certifying that all teams and individual student-athletes are at or below
NCAA maximums in countable aid each year. As all aid at Dartmouth is need-based and awarded without regard to athletic ability, a statement is filed annually by the Director of Financial Aid and Dean of the College/Faculty Athletics Representative certifying that most student-athletes are non-counters by NCAA standards. Athletically-related outside aid and Athletic Department student-athlete employment are tracked annually to ensure that student-athletes receiving athletically-related outside aid or working at the Athletic Department are not exempted from the team countable aid calculations.

**Forms** – A system is in place to ensure that a student-athlete may not practice or compete without signing required NCAA, Ivy and College forms. The Associate Director of Athletics for Compliance and Administration and Assistant to Intercollegiate Programs communicate with the coaching staff prior to the start of each academic year to get updated team rosters. All student-athletes are required to attend a compliance meeting prior to or at the start of their team’s playing season to fill out all required forms. The Associate Director and Assistant communicate on a regular basis with the coaching staff to ensure that any late walk-ons or student-athletes who missed the meeting report immediately to the compliance office to fill out required paperwork. Student-athletes may not draw equipment from the equipment room until they are checked off in the database as having filled out required forms. Further, all travel rosters are certified by the compliance office prior to each away contest to ensure that all student-athletes have been certified as eligible on this criteria.

**Investigation and Self-Reporting of Rules Violations** – Dartmouth increased staffing and enhanced its commitment to monitoring rules compliance during the 2002-03 academic year. In addition, the College developed a second reporting protocol for potential rules infractions targeted toward potential major and major secondary infractions to supplement the existing protocol for processing potential secondary infractions.

The Associate Director of Athletics for Compliance and Administration is responsible for investigating all alleged or potential secondary violations to determine if a violation has occurred. The Associate Director verbally reports all confirmed secondary violations to the Director of Athletics and Senior Associate Director of Athletics for Intercollegiate Programs as soon as the secondary violation is confirmed.

All Dartmouth coaches and/or staff members are encouraged to self-report secondary violations immediately and to initiate the disclosure process. In most cases, this action begins the investigation of the incident. If the coach and/or staff member is/are unaware of the violation and the alleged violation is reported by other sources, the coach/staff member is made aware of the alleged violation and asked to disclose as much information as possible to the Associate Director so the Associate Director can complete the investigation and determine if a secondary violation has occurred.

The sequence for reporting secondary violations occurs as follows:

- The alleged violation is reported to and discussed with the involved coach(es) and/or staff member(s).
• The Associate Director investigates the allegation and makes a determination as to the validity of the allegation.
• If the Associate Director determines that no violation has occurred, no further action is taken (other than to inform the coach, Director of Athletics and Senior Associate Director of Athletics for Intercollegiate Programs that no violation has occurred).
• If a secondary violation is confirmed, a report is written and submitted to the NCAA Enforcement staff and the Ivy League office. All information and documentation is kept on file in the offices of the Director of Athletics and the Associate Director of Athletics for Compliance and Administration. A copy also is sent to the Dean of the College/Faculty Athletics Representative (who in turn informs the President) and the Assistant Dean of the College for informational purposes.
• The student-athlete is declared ineligible if appropriate.
• The Associate Director submits the infractions report to the NCAA’s Student-Athlete Reinstatement staff for restoration of eligibility.

Reports of violations provide the following information:
  a. Date of the violation(s)
  b. NCAA bylaw(s)
  c. Name(s) of student-athletes and/or prospects involved
  d. Sport
  e. Name(s) of staff involved
  f. Description of the violation
  g. How the violation was discovered
  h. Corrective and disciplinary actions
  i. Eligibility issues
  j. Name of person completing the report.

The protocol for the investigation and reporting of a major or major secondary violation stems from the secondary-violation protocol; however, more individuals are involved in the investigation, reporting and communications plan.

The sequence for reporting secondary violations and the protocol for the investigation and reporting of a major or major secondary violation are included Appendix O.

The Director of Athletics and Senior Associate are immediately informed of the potential violation, and the Director immediately informs the Dean of the College/FAR and Assistant Dean. If a preliminary probe to the determine the facts of the case indicates that infraction(s) were most likely committed, the Director of Athletics and Dean of the College immediately notify the President and, if appropriate, individuals such as the institution’s General Counsel and Vice President for Public Affairs. Further, the Director of Athletics and Dean of the College determine who will conduct the investigation (generally some combination of the offices of the General Counsel, Internal Audit, external consultants and the Associate Director of Athletics for Compliance and Administration). Dartmouth is committed to the timely and comprehensive investigation of all potential areas of non-compliance.


**Recruiting**

Prospect Visits – The official visit process begins with the coach submitting a “Sponsored Visit Funding Request” form to the Deputy Director of Athletics. After authorizing payment, the Deputy Director of Athletics gives a copy of this form to the team administrative assistant who makes a copy for her/his records. The coach files the “Visitation Request” form with the Assistant to Intercollegiate Programs. This form includes personal information about the recruit as well as meals, entertainment and athletic events the recruit will attend while on campus. If necessary, the coach will submit a separate form to include a parent(s) or spouse on the official visit.

The Assistant to Intercollegiate Programs verifies the transcript and test scores, checks the 48-hour limit, and verifies that the per diem does not exceed the institutional limit of $20 per day. The Assistant to Intercollegiate Programs signs off on the form and submits it to the Information Systems/Office Manager, who is responsible for keeping a complete record of all official visits.

The Athletics Information Systems Manager sends out a packet to the student-host with information on host procedures. Student-athletes are educated on hosting procedures prior to the start of their season and must sign a form stating their understanding of these rules. The *Student-Athlete Handbook* can be referenced throughout the year for student host regulations. The student-host signs a slip confirming receipt of an amount of no more than $20, and at the conclusion of the visit submits an “After Visit/Expense Record,” all receipts, and any left-over money to the coach. If the student host used personal funds to supply the recruit with meals for any reason, the student will be reimbursed for that amount (up to the $20 maximum per visit) provided qualifying receipts are received on a timely basis.

Dining cards are also provided to on-campus recruits, and the cards are requested by the coach as part of the process listed above. A section of the “Visitation Request” form is used to specify the meal requirements. The student host is then issued a dining card from the Athletics Information Systems Manager. The dining card allows the recruit to eat a specified number of meals during the course of their visit. At the end of the visit the recruit gives the card back to the student host and the student host gives the card to the coach. The coach then returns the meal card to the Athletics Information Systems Manager.

In the event of an unofficial visit, paperwork is only processed if the prospect and parents/guardians will be attending a ticketed home athletics contest. If so, the itinerary for the visit and the names of the prospect and parents/guardians are submitted to the Athletics Information Systems Manager who compiles a complimentary ticket list for the Ticket Manager.

Telephone Calls, Contacts and Evaluations – Each coach completes a “Coach’s Travel Request and Itinerary” form for each recruiting trip and submits it to the Senior Associate Director of Athletics for Intercollegiate Sports at least three working days before departure. The form includes expense allocation and method of transportation utilization. Once approval has been obtained, copies of this form are distributed to the
Senior Associate Director of Athletics for Intercollegiate Sports, the coach and team administrative assistant. The original form is submitted to the Business Manager of Athletics.

Upon the conclusion of a recruiting trip, the coach must file an expense report and a trip report. These reports are reviewed by the Senior Associate Director and Business Manager to ensure that actual expenses are in line with estimates. Any exceptions are investigated.

The Associate Director of Athletics for Compliance and Administration is in the process of developing a comprehensive system to review telephone logs and to compare these logs with telephone bills on an occasional basis to affirm that logs are being updated correctly.

The Associate Director is also in the process of developing a system for periodic spot-checks for contact and evaluation logs. The advice contained in the 2003 NCAA compliance evaluation (Appendix Q) of reviewing five (5) teams’ recruiting records per term will be followed, with all head coaches being required to demonstrate at the end of a recruiting cycle that all documentation related to prospects who will matriculate at Dartmouth is in order.

**Financial Issues**

**Outside Income** – A system is in place for coaches to notify the President of any athletically-related outside income. Coaches’ letters of appointment notify them of this requirement, and the Associate Director of Athletics for Compliance and Administration requests and collects this information at the start of the fall term each year. The President is then sent a letter notifying him of all outside income disclosed through this process.

**Ticket Distribution** – A system is in place to ensure that prospects and their parents/guardians are allowed admission to ticketed events that does not allow for their admissions to be sold. Prospects and parents/guardians are admitted to ticketed events only through a pass list system. Prospects and parents/guardians show their identifications at the appropriate ticket window, have their hand stamped, and are admitted through the ticket gate to an open-seating area. As such, a hard ticket is never issued eliminating the possibility of the resale of their admission.

**Team Travel** – The Senior Associate Director of Athletics for Intercollegiate Sports and the Athletics Business Manager ensure that all team travel expenditures are in compliance with rules and regulations. Team travel is authorized in advance and actual expenditures are approved after the completion of travel to certify that all appropriate rules and regulations were followed.

The Athletics Business Office headed by the Athletics Business Manager reviews all expense reports for their compliance with institutional, Ivy League and NCAA regulations. Once these expense reports have been approved by the Athletics Business Office, they are forwarded to the College’s Controller’s Office for review and processing.
The Associate Director of Athletics for Compliance and Administration and staff must approve team travel rosters prior to all team travel.

**Equipment Distribution** – The following procedures outline the process student-athletes must follow to receive equipment from the Athletics Department:

**Issuing Equipment**: Personal athletic equipment is issued for the season. There are two major prerequisites for issuing equipment to student-athletes: 1) The student-athlete must be on the official team squad list. This allows the orderly assignment of lockers and establishment of individual accountability. 2) The student-athlete must be certified by Dartmouth Health Services that he/she is in satisfactory physical condition.

**Responsibility for Equipment**: It is the individual’s responsibility to protect the equipment that has been issued to him/her. Student-athletes will be charged the replacement cost for any item which they lose or damage through neglect.

**Turning in Equipment**: Student-athletes have three working days at the end of the season to turn in their equipment and clear their account. If, during the season, a student-athlete decides not to, or cannot, participate in a sport, he/she must turn in all equipment immediately. The student-athlete’s College account is charged for the value of the equipment if it is not returned to the equipment room by the aforementioned deadline.

**Off-Season Control**: Typically, equipment is readied and stored for the next season. On occasion, certain items can be checked out in the off-season. This is done by a written request from the coach to the equipment manager. The student-athlete is still responsible for the equipment.

**Practice Gear**: Items common to all sports such as practice socks, T-shirts, shorts, sweats, etc. are issued to individuals for daily use for the season only. Items are issued on controlled, numbered laundry pins in as many sets as necessary to insure availability for all practices and games. Student-athletes are responsible for the return of these apparel items at the end of the practice sessions or games.

Note: The Athletics Department currently has some sports that are not entirely under the above-mentioned controls of the Equipment Room. These sports operate outside of the normal procedures, in part, due to location (e.g., Hanover Country Club and Boss Tennis Center) and equipment needs (e.g., student athletes in men’s golf buy their own golf clubs and the rowing teams require rowing shells). In these sports, the coaches are responsible for tracking equipment and ensuring adherence to the procedures listed above. A new protocol has been developed requiring coaches of these sports to submit a listing of equipment and apparel distributed to teams each year and an account of how this equipment/apparel is recollected, sold or given to student-athletes (assuming that the item is used up or can be documented as having no resale value) at the end of each competitive season.
**Student-Athlete Benefits** – As mentioned previously, Dartmouth increased staffing and enhanced its commitment to monitoring rules compliance during the 2002-03 academic year. As such, a number of controls have been added to ensure that student-athletes are not receiving impermissible benefits. For example, an occasional meal form was created and must be completed by coaches prior to a student-athlete receiving a meal not incidental to competition. Further, team compliance sessions at the start of each academic year contain a component on benefits and provide student-athletes with information on what they should and should not do as it pertains to NCAA benefit legislation. Boosters and alumni are also educated on the topic.

**Miscellaneous**

**Playing and Practice Seasons** – Each head coach is required to formally declare his/her team’s playing and practice season by August 1 of each year. These declarations are filed in the Associate Director’s office and are submitted to the Ivy office for review.

Coaches are required to track student-athlete weekly hours of participation and mandatory days off during the playing and practice season as well as individual skill instruction and conditioning activities during the off-season. These logs must be turned into the compliance office at the end of each month and are reviewed for all applicable NCAA regulations.

**Camps and Clinics** – An ad-hoc system is in place to ensure that camps and clinics operated by Dartmouth coaches are conducted within NCAA rules. As coaches have questions about how camps should operate, the compliance staff is contacted for assistance. The compliance office also approves brochures that are sent out for camps and clinics operated on the Dartmouth campus.

6. Please attach documentation related to the evaluation of the institution’s rules-compliance program by an authority outside of athletics at least once every three years. The authority may not have day-to-day compliance responsibilities for the institution’s athletics department and must be knowledgeable in NCAA legislation and rules-compliance practices. The evaluation must consist of a review to determine that the compliance practices are engaged and functioning and must include, at a minimum, the following areas:

- Initial-eligibility certification.
- Continuing-eligibility certification.
- Transfer-eligibility certification.
- Financial aid administration, including individual team limits.
- Recruiting (e.g., official visits, etc.)
- Camps and clinics.
- Investigations and self-reporting of rules violations.
- Rules education.
- Extra benefits (compliance with Bylaw 16, e.g., pr diem student host reimbursement, equipment retrieval, etc.).
• **Playing and practice seasons (Compliance with Bylaw 17 e.g., out-of-season activities, voluntary activities, hours per week during season etc.)**
• **Student-athlete employment.**

Dartmouth’s NCAA and Ivy rules compliance operation has been externally evaluated by the Senior Associate Director of the Ivy Group on a periodic basis since the College’s first-cycle Certification study. The two most recent evaluations were conducted in March 2003 and May 2000 and covered all required areas. These audits have been included in Appendix P.