

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 Athletics 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.

The Committee on Athletics Certification imposed no corrective actions, conditions of certification, or strategies for improvement in Yale's initial certification.

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 actions(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.

Original Plan (1) - The Subcommittee on Governance and Rules Compliance in the 1996 Self-Study suggested that the mission statement of the Department of Athletics should be better publicized so as to be more readily brought to the attention of the wider community.

"The athletics department philosophy will appear in the Yale Daily News; the Athletics Department Handbook; on the Department's homepage; in annual materials sent to members of the Alumni Schools Committee; and in one of the Ray Tompkins Newsletters for Alumni and Friends of Yale Athletics."

Response - The statement is published in the Department of Athletics Student-Athlete Handbook; on the Department's website; in the annual newsletters of the Ray Tompkins Association; in media guides; and in selected game programs. (The statement was not placed in the Yale Daily News, which was deemed not to be an appropriate forum for it.) The Department's mission statement and goals are also discussed at an annual athletics department meeting and the consonance between the University's mission and that of the Department of Athletics forms the basis of many conversations in the Faculty Committee on Athletics.

Original Plan (2) - "The Faculty Committee on Athletics will consider whether there should be a revision of the athletics philosophy to make explicit the now clearly implicit support for equitable opportunities for all students, including minorities and women."

Response - The Faculty Committee on Athletics formally approved a new mission statement in September, 2003.

Original Plan (3) - "The compliance coordinator will initiate annual meetings with non-coaching staff, and with financial aid members, to more thoroughly review and discuss compliance matters."

Response - The compliance coordinator met with non-coaching staff members on a formal basis several times after the 1996 certification. She discusses with staff the Department's commitment to rules compliance annually. In addition, she has met formally with the Director of Financial Aid and provides information and guidance to that staff about compliance policy issues on a regular basis.

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.

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* To better help track eligibility and to assist with other compliance matters, Yale hired a new assistant athletics director for compliance in the fall of 2003 to work in concert with the senior associate director who is in charge of compliance.

* The Registrar of the Faculty of Arts and Sciences, together with the Ivy League Office, the Department of Athletics, and the Office of the Dean of Yale College developed a database to assure that all Yale students meet the NCAA and Ivy academic eligibility requirements.

4. List all actions the institution has completed or progress it has made regarding required actions identified by the NCAA Committee on Athletics 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) explanation(s) for partial completion of such required actions.

Yale was not required to complete an interim report.

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Operating Principle

1.1 Mission of the Athletics Program and the Institution

Self-Study Items

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

Mission Statement of Yale College

The mission of Yale College is to seek exceptionally promising students of all backgrounds from across the nation and around the world and to educate them, through mental discipline and social experience, to develop their intellectual, moral, civic and creative capacities to the fullest. The aim of this education is the cultivation of citizens with a rich awareness of our human heritage to lead and serve in every sphere of human activity.

To these ends, the College emphasizes the training of the discipline of the mind, the enlargement of knowledge, and the cultivation of sympathy of spirit through its curriculum, its special form of residential life, and its extracurricular opportunities.

Approved by the Yale Corporation during the University's Reaccreditation's in 2000

Yale University: Statement of Athletic Philosophy

Yale University offers its students a liberal education, one which has as its focus the intellectual and moral development of the individual, and which gives students a foundation for learning throughout their lives. Yale has long recognized that such an education is not fostered by its academic component alone. Part of it is constituted by those challenging and pleasurable experiences and extracurricular activities—like varsity and recreational athletics—that augment and enrich academic training.

In athletics, as everywhere else in the University, Yale is strongly committed to equal opportunity, and affirmatively seeks to attract exceptionally qualified students, coaches and support staff of diverse backgrounds to its ranks.

As a part of its great athletic tradition, the University sponsors thirty-five varsity teams, with broad opportunities for participation by men and women, in which athletes of proven ability have the opportunity to test their skill and valor in intercollegiate competition. Through its commitment to competitive athletics, Yale demonstrates its belief that the lessons such engagement teaches are many and enduring. Among these are learning how to strive to win, to compete with pride and honor, to make sacrifices, to persevere when all seems lost, and to develop a sense of obligation and responsibility for others. These lessons make athletics a school for accomplishment and character, and for the athlete they represent an invaluable part of the non-academic aspects of a liberal education.

Because Yale views athletics as a component of liberal education, complimentary to its central academic mission but not superior to it, the University requires that aspiration and achievement in competitive athletic endeavor play a proportioned role within any student's school life. The University also subscribes to the Ivy agreement, the principles of which delimit the role competitive athletic endeavor play in the life of the University or of any individual student within it. These principles include the belief that student athletes should be generally representative of their class and admitted on the basis of academic promise and personal qualities as well as athletic abilities; that financial aid to student athletes be awarded in the same way it is awarded to other students, that is solely on the basis of financial need; that student athletes be held accountable to the same academic standards as other students; and that athletes make normal academic progress toward their degrees.

In addition to its sponsorship of competitive sports, Yale supports a wide range of extracurricular programs, including those which present significant opportunities for recreational and instructional participation. The University provides supervision for over thirty club sports, and has developed a large intramural program, which present undergraduates, graduate students, and faculty fellows with the opportunity to participate in competitive sports throughout the calendar year. Yale considers the opportunities it offers in these areas to be an important contribution to the well-being of members of its community and is as dedicated to these extracurricular activities as to the continued strength of its competitive programs. In all aspects of sport and recreation, the University recognizes that shared experience can help create a strong bond among members of the University community, and between the University community and alumni, and it is committed to fostering the spirit of pride and fellowship that athletic endeavor can develop.

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The latest iteration of this statement was approved 9 September 2003 by the Faculty Committee on Athletics.

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

Yale College's mission statement stresses the primacy of Yale as an educational institution in the largest sense of the word, one which not only develops a student's intellectual promise and moral character but also his or her full capacities, including individual initiative, leadership, teamwork, and responsibility to others.

The Statement of Athletic Philosophy itself begins by noting that Yale offers its students an education "which has as its focus the intellectual and moral development of the individual" and continues by articulating the College's recognition that the education of an individual "is not fostered by its academic component alone" but also by those "challenging and pleasurable experiences - like extracurricular athletics - that enable an individual to give full force to academic training." The statement specifically delineates the capacities varsity athletics may help to develop in young people and calls athletics a "school for accomplishment and character." Other documents relating to the mission of Yale College delineate the importance of developing capacities, values, skills, attitudes, and goals that will help prepare an individual for his or her lifetime and will be directed towards making a difference to the general good.

The congruence between Yale College's mission and the mission of the Department of Athletics is monitored on a continual basis by the Faculty Committee on Athletics, whose central role it is to see to it that the two remain in agreement in practice as well as in expression. Most of the work of the Committee - which meets approximately eight times a year and does much work beyond its meetings - is focused on matters that seek to assure varsity athletes are getting ample opportunity not simply to graduate (Yale's graduation rate for all students has been in the 95% range for many years) but to become educated, well rounded, and accomplished individuals.

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

The mission statement is published in the Department of Athletics Student-Athlete Handbook; in the Athletics Department Policy and Procedure Manual; on the Department's web site; in the annual newsletters of the Ray Tompkins Association; in media guides; and in selected game programs. The Department's mission statement and goals are also discussed at an annual athletics department meeting and the consonance between the University's mission and that of the Department of Athletics forms the basis of many conversations in the Faculty Committee on Athletics.

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

* According to the athletics department mission, the role of athletics is delimited in a student's education. According to Ivy League and Yale policy, scheduling is adjusted to assure that students' academic life takes precedence. Only one mid-week athletic endeavor is permitted. No regular season contests are allowed during examination periods. The number of overall contests permitted in each sport is delimited by rule.

* It is a part of the Department's mission to require of athletes what is required of all Yale students. Since all students must graduate within eight semesters, the League and Yale allow no red-shirting.

* Since it is a part of the Department's mission to provide leaders for society, the department sponsors the Thomas Ford Community Outreach program, which allows coordination of student outreach efforts throughout the local community. Yale sponsors a National Youth Sports Program, which has been recognized nationally as a recipient of the Silvio O. Conte Award of Excellence. The Community Outreach Committee runs youth sports clinics, a hospital visitation program, and a community rowing program, among many other volunteer efforts.

* Yale's mission is to educate students for excellence in every area. It is a matter of pride to the University that we have nine NCAA silver anniversary winners. Yale's NCAA silver anniversary award recipients, honored for achieving distinction since graduating from college, have been Tone Grant '66 (football, lacrosse) in 1991; Donald A. Schollander '68 (swimming and diving) in 1993; Calvin Hill '69 (football) in 1994; Kwaku Ohene-Frempong '70 (soccer, track and field) in 1995; Kurt L. Schmoke '71 (football, lacrosse) in 1996; Jack Ford '72 (football) in 1997; Lawrie Mifflin '73 (field hockey) in 1998; Lisa Rosenblum '75 (tennis) in 2000; and Virginia Gilder '79 (rowing) in 2004.

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Evaluation

1. Does the institution demonstrate that the mission and goals of the athletics program relate clearly to the mission and goals of the institution? **Currently Yes**
2. Does the institution demonstrate that the mission and goals of the athletics program support the educational objectives, academic progress and general welfare of student-athletes? **Currently Yes**
3. Does the institution demonstrate that the mission and goals of the athletics program support equitable opportunity for all students and staff, including women? **Currently Yes**
4. Does the institution demonstrate that the mission and goals of the athletics program support equitable opportunity for all students and staff who are minorities? **Currently Yes**
5. Does the institution demonstrate that the mission and goals of the athletics program embrace the Association's principles of sportsmanship and ethical conduct? **Currently Yes**
6. Does the institution demonstrate that the mission and goals of the athletics program are widely circulated among the institution's internal and external constituencies? **Currently Yes**
7. Does the institution demonstrate that the actual practices of the institution's athletics program are consistent with the athletics program mission and goals? **Currently Yes**

On the basis of the yes/no answers above and the plans for for correcting deficiencies, is the institution in substantial conformity with the operating principle. Yes

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Operating Principle

1.2 Institutional Control, Presidential Authority and Shared Responsibilities

Self-Study Items

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 (if any).

The Yale Corporation has been involved in the following decisions relating to the athletics department:

April 21, 2000

Voted, an extension of appointment to Thomas A. Beckett as Director of Athletics, Physical Education and Recreation, for a term of three years, effective July 1, 2004 through June 30, 2007.

February 9, 2002

Considered and endorsed a policy for the addition of varsity sports which provides guidelines on how and when the institution might consider adding a new varsity sport, as follows:

Adding Varsity Opportunities

In considering the possibility of adding varsity sports to an athletics program that already has 33 of them, it is well to recall the constraints of any University. No University can have an infinite number of schools, departments, or programs or can include every field of study or every extracurricular opportunity in its panoply of offerings. Yale celebrates the energy and enterprise of its students in envisioning new and augmented activities. Yet it also mandates that new University commitments be made with care, lest expanding the scope of some activities diminishes the resources for adequately supporting those that already exist.

Despite the caveat above, there are occasions when adding programs to a University makes good sense. In the case of varsity athletics it is expected that these occasions will be rare, for the following reasons. Yale is already one of the leaders in the country in the number of varsity sports it offers. Those who choose Yale as a college are aware of what those sports are. In addition, Yale offers a varied club sports program that provides an outlet for students' ambition, energy and achievement.

For all these reasons, it is to be anticipated that when a new varsity program is considered, there will be not one or two, but a finely interwoven network of inducements that will make the case compelling. Because these may differ somewhat from sport to sport, it is difficult to list them with exactitude. But the following describes some of the factors that will be weighed before establishment of a new varsity program is undertaken.

*There should be evidence of a history of deep interest in the sport on the part of the Yale community, particularly among undergraduate students.

*The sport should have appropriate competition in the Ivy League or among regional competitors.

*There should be evidence that Yale will have an opportunity to perform well in the sport, either on the Ivy or the regional or national level. All sports are not equal in relation to Yale. It is a simple fact that in some club sports Yale has a history and a tradition that make the case for continuing them in a more formal way or on a higher level more compelling, especially if they meet other criteria. A sport in which Yale has a history of club sport champions or championships would command greater consideration than one with a lesser record of achievement.

*The sport should be able to muster the resources it will need without draining support from other ventures. There must be an appropriate venue to site the sport, appropriate facilities or the monies to construct them, and the means to fully maintain them. There must be funds to hire and pay a full-time varsity coach and an assistant coach, according to the established methods and criteria of the department, as well as finances for equipment, team travel, and other expenses required to operate the program and sponsor competitions.

*Given the University's commitment to providing equal opportunities for men and women in varsity athletics, careful consideration must be given to the effect on gender equity of the addition of any new varsity sport.

*A sport must be able to compete at the highest level without requiring new emphasis on athletic distinction in undergraduate admissions.

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The list above is not meant to be comprehensive or definitive, but to suggest the particular kinds of factors that must be taken into consideration when varsity status is contemplated. The more general aim of the list is to demonstrate that adding programs is not a simple matter. In terms of administrative oversight, medical attention, training staff, sports information and other important but less immediately visible forms of support, new programs—even funded ones—lean on the University for sustenance and nurture. Those who conceive new programs, therefore, will always be challenged to demonstrate that their incorporation will strengthen, rather than weaken, the overarching network of opportunity that the University already offers.

After adopting this policy, the Committee concluded that the proposal to add women's sailing and co-ed sailing as varsity sports were justified.

In addition, The Corporation held the following discussions about the matter of athletics and academic performance

*On February 10, 2001 the Institutional Policies Committee (IPC) of the Corporation held a discussion about the varsity and intramural programs as well as the recreational opportunities for students and staff at Yale. Against the backdrop of the recently published book "The Game of Life", which was co-authored by William Bowen (former president of Princeton) and James Shulman (a Yale Ph.D. in History), the Corporation heard about the possibility—only in the most initial stages—that Yale could consider one or more co-ed teams in sports such as golf or swimming which, if introduced, would reduce the number of recruited athletes.

*In addition, on February 9, 2002, the Institutional Policies Committee continued to consider the matter of athletics and academic performance. The Committee had reviewed an update on the work of William Bowen et al on "The Game of Life: College Sports and Educational Values." The new study confirms the previous findings of the authors. The analysis, which was shared with the Committee, showed that recruited athletes seem to under-perform at Yale academically even when controlling for their SATs which indicated that this raises questions about the appropriate admissions priorities. The Corporation concluded that this subject should be a continuing issue for attention by the Fellows.

*Further on February 9, 2002, Mr. Beckett, Director of Athletics, reviewed with the IPC a number of proposals that President Levin would be discussing with the Ivy presidents in June, including the introduction of a 49 day rest period, effectively, an "off season" so that athletes would have time for non-sport activities.

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.

President Levin was heavily involved in Corporation decisions related to possible additions of varsity opportunities and the addition of women's sailing and co-ed sailing as varsity sports; in discussions concerning the new Ivy League initiatives in admissions and the required rest period; in all decisions concerning facilities priorities and renovations; in the extension of the contract of the director of athletics; and in many Faculty Committee on Athletics discussions concerning varsity athletes and Yale athletics as a whole.

In June 2003, the Ivy League presidents as a council made important decisions concerning athletics. They

*Increased the minimum qualifications for admission to any Ivy institution, as measured by secondary school rank and standardized test scores, for applicants who are recruited as potential intercollegiate athletes;

*Limited the number of students who are recruited as athletes that each Ivy institution may enroll, in any four-year period, in all 33 "Ivy championship" sports (in December 2002, the Council reaffirmed its admission guidelines for football, while reducing the number of recruited potential football players permitted in any four-year period);

*Established admissions standards for each Ivy school's entire annual cohort of entering "Ivy sport" athletes, rather than only for athletes recruited in football and men's basketball and ice hockey; and,

*Refined the biannual reviews of Ivy athletic admissions that have been done for many years by the Ivy Admissions, Athletics and Policy Committees.

In addition, to ensure that athletes have adequate time to rest and involve themselves in other community activities, the presidents have voted

*That there be at least 49 days without scheduled activities in each sport during the academic year, regardless of differences in institutional calendars or varying competitive seasons; and permit each institution to assume responsibility for designing the approach to "time off" scheduling that it believes is most useful for its own students.

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Taken as part of the Ivy Presidents' regular oversight of Ivy athletics, these actions renew and deepen the presidents' long-standing commitment to the principle that students who are recruited as potential athletes at each Ivy institution should be representative of that institution's overall undergraduate student body, especially as the credentials of those student bodies continue to improve.

3. Describe the process by which the institution makes major decisions regarding intercollegiate athletics. In so doing, 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 personnel involved in rules-compliance activities) in this process. Please provide the composition of the athletics board or committee (including titles and positions).

The decision-making process concerning athletics at Yale is the result of an eighty year evolution during which management and responsibility have been transferred from the private domain of students and alumni to the domain of senior University management, the Faculty, the Association of Yale Alumni (AYA), and the University Council. The driving force for this evolution has been the guarantee of an appropriate Yale educational experience for students involved in athletics, and of a healthy sports and physical fitness program for the student body as a whole. The present governance structure, which has reached a mature and stable state, is described below:

a. The President, the Yale Corporation and the Ivy Council

Decisions concerning athletics at Yale are based on policy determined by the Yale Corporation, which approves the policies and specific decisions made by the appropriate Ivy League committees. These committees are overseen by the Council of Ivy Group Presidents, sometimes called the Ivy Council, which is also a policy and decision making group.

b. The Provost

Fiscal matters having to do with athletics, consistent with the above policies, are the responsibility of the provost. The director of athletics reports to the president on policy and to the provost on fiscal matters. The president and provost delegate responsibility and authority for the affairs within the Department of Athletics, Physical Education, and Recreation to the director of athletics.

c. Other Key Groups and Individuals

The following committees or individuals exercise an advisory capacity to the president and director of athletics:

* Faculty Committee on Athletics

The Faculty Committee on Athletics meets eight to ten times a year and advises the director and president on matters of policy. Meetings are from two to four hours in duration and consider a wide range of matters affecting athletic policy as it relates to every aspect of Yale undergraduate life. (See Minutes of the Faculty Committee on Athletics.) The 2003-2004 Committee has the following members:

Judith Krauss (Chair), Dean of Silliman College, Professor, School of Nursing; Robert Blocker, Lucy and Henry Moses Dean, School of Music, Professor, School of Management; Richard Brodhead, Dean of Yale College, A. Bartlett Giamatti Professor of English; Jon Butler, William Robertson Coe Professor of American Studies and History, Chairman, Department of History; James Comer, Maurice Falk Professor, Child Psychiatry, Associate Dean, Child Study Center; Joseph Gordon, Deputy Dean, Yale College, Lecturer in English; Jonathan Holloway, Associate Professor, History, American Studies, and African American Studies; Frank Keil, Professor of Psychology and Linguistics, Master, Morse College, Penelope Laurans, Special Assistant to the President, Associate Dean, Yale College, Lecturer in English, Faculty Athletics Representative; Peter Quimby, Dean, Davenport College, Lecturer in Political Science; Lloyd Suttle, Deputy Provost for Undergraduate and Graduate Programs; Betty Trachtenberg, Dean of Student Affairs; Stanton Wheeler, Ford Foundation Professor Emeritus, Law and Social Sciences, Former Master, Morse College; Tom Beckett, Director of Athletics (ex officio)

* The Faculty Athletics Representative

The faculty athletics representative (FAR), Penelope Laurans, reports to the president, sits on the Faculty Committee on Athletics, advises the president, the dean of Yale College, and the director of athletics on policy, and, with the director, has the primary responsibility for compliance activities and oversees the eligibility of all student-athletes.

* Coaches Advisory Committee

The Coaches Advisory Committee consists of head coaches and assistant coaches and advises the director of

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athletics. In 2003-2004 they are Dave Shoehalter, Associate Head Coach, Track and Field (Chair); Bill Asermely, Assistant Coach, Baseball; Andy Card, Head Coach, Lightweight Crew; Alex Dorato, Head Coach, Men's Tennis; Don Galluzzi, Assistant Coach, Men's and Women's Swimming; Ainslee Lamb, Head Coach, Field Hockey; Mary Moan, Head Coach, Women's Golf; Pam Stuper, Assistant Coach, Field Hockey; Brian Tompkins, Head Coach, Men's Soccer; Barbara Tonry, Head Coach Women's Gymnastics; Bruce Wolanin, Assistant Coach, Men's Ice Hockey;

*Captains' Council

The Captains' Council meets to discuss matters of relevance for members of varsity teams. The director of athletics maintains an open door policy to captains and to all students on issues concerning any aspect of Yale athletics. The 2003-04 captains are: Baseball, Randall Leonard; Men's Basketball, Matt Minoff; Women's Basketball, Brynn Gingras; Hwt. Crew, Andrew Brennan; Lwt. Crew, Tamas Toro; Women's Crew, Alicja Witkowski; Men's Cross Country, Robert Dwyer; Women's Cross Country, Rebecca Hunter; Men's Fencing, James Rohrbach; Women's Fencing, Erica Korb; Field Hockey, Francesca Gardner; Football, Alvin Cowan; Men's Golf, Ben Levy; Women's Golf, Stephanie Wei; Gymnastics, Jamie Green; Men's Ice Hockey, Vincent Hellmeyer; Women's Ice Hockey, Kristin Kattleman; Men's Lacrosse, Scott Kenworthy; Women's Lacrosse, Jennifer Kessel; Co-Ed Sailing, Catherine Littlefield; Women's Sailing, Jennifer Hoyle; Men's Soccer, Brian Roberts; Women's Soccer, LeeAnne Jasper; Softball, Jillian Miles; Men's Squash, Ryan Byrnes; Women's Squash, Devon Dalzell; Men's Swimming, Alex Nash; Women's Swimming, Amy Hancock; Men's Tennis, David Goldman; Women's Tennis, Karlyn Martin; Men's Track and Field, Robert Lobue; Women's Track and Field, Lisa Wygant and Volleyball, Taryn Gallup.

*Ivy Policy Representative

The Ivy Policy representative is appointed by the president and represents the institution on the Ivy Policy Committee within the Ivy League. For many years at Yale it has been Lloyd Suttle, Deputy Provost for Undergraduate and Graduate Programs.

The Yale administrative and decision-making structure is implied by the above organization protocol. Yet there are properties of this organization that are not visible by observing the structure alone. Those representing many different constituencies of the College who are affected by athletics meet on the Faculty Committee on Athletics, and issues of concern brought there are pondered, scrutinized, and weighed by those with several different points-of-view. The results of these advisory deliberations are then disseminated to the community, both through the votes of the committee, which influence the policy decisions of the president and the director of athletics, and through the more informal communication of opinions which influence the general climate and culture of the College.

All of Yale's policies concerning athletics operate within the philosophy and policies of the Ivy League. The Ivy League, like the NCAA, helps provide the overarching philosophy and principles within which Yale athletics operates. It consists of four working committees, a set of individual sports committees and is headed by the Council of Ivy Group Presidents (the Ivy Council). The Ivy Council oversees and delegates appropriate responsibilities to its four committees and the coordinating Ivy League Office. The committees are:

a. The Committee on Administration

This committee consists of the directors of athletics from each of the eight Ivy League colleges who chair the committee in annual rotation. The committee handles operational aspects other than those affecting player eligibility or the establishment of basic policy. It closely monitors the conditions under which sports are conducted and makes recommendations for the revision of regulations as changing circumstances warrant.

b. The Committee on Admissions

The Committee on Admissions is comprised of the deans or directors of admission at the eight universities. The chair rotates annually as above. This committee prepares the rules for the effective control of recruitment and, with the Committee on Administration, reviews recruitment regulations promulgated by national and regional conferences to which they belong, particularly as to how those regulations may affect the policies and procedures of the Ivy institutions.

c. The Committee on Financial Aid

The Committee on Financial Aid consists of eight representatives having financial aid responsibility at their respective institutions. It is chaired in rotation as above, normally mirroring the rotation of the Committee on Admissions. Together with the Committees on Admissions and Administration, this committee reviews the financial aid and recruitment regulations promulgated by national and regional conferences as to how those regulations may affect policies and procedures at Ivy institutions.

d. The Policy Committee

The Policy Committee has twelve members, eight appointed by the university presidents and four appointed by the committee chair and executive director of the Council. The committee monitors policies and programs and recommends policy changes needed to keep current with spirit of the Ivy Agreement. All recommendations from

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other committees must be reviewed by this committee before they can be considered by the Council. The committee also maintains a set of rules of eligibility for athletics, which is administered by the executive director.

e. The Sport Committees

Each sport played in the League has a sport committee. These committees consist of the head coaches from all Ivy institutions participating in the sport and one athletics administrator appointed by the Committee on Administration.

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

The institutional organizational chart is included in the attachments as A-1.

The athletics department organizational chart is included in the attachments as A-2.

Evaluation

1. Does the institution demonstrate that the institution's governing board provides oversight and broad policy formulation for intercollegiate athletics in a manner consistent with other units of the institution? **Currently Yes**
2. Does the institution demonstrate that the chief executive officer is assigned ultimate responsibility and authority for the operation and personnel of the athletics program? **Currently Yes**
3. Does the institution demonstrate that appropriate campus constituencies have the opportunity, under the purview of the chief executive officer, to provide input into the formulation of policies relating to the conduct of the athletics program and to review periodically the implementation of such policies? **Currently Yes**

On the basis of the yes/no answers above and the plans for for correcting deficiencies, is the institution in substantial conformity with the operating principle. Yes

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Operating Principle

1.3 Rules Compliance

Self-Study Items

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

- a. The Yale Sports Associations

Each of Yale's sports associations has its own membership and president, and some choose to appoint other officers. The Associate Director for Alumni Relations and Development serves as the department's liaison to each association. The associations vary in their degree of activity. Many of them sponsor alumni games and send newsletters to interested alumni, and alumnae and all raise funds to enhance sport programs.

Associations provide support to their individual teams through the athletic department's Office of Alumni Relations and Development to augment elements of the sports program not funded by the University's general appropriations budget. In cases where women's associations do not have sufficient funding for program enhancement deemed important by the department, the director of athletics will use funds from the Ray Tompkins Associates or discretionary funds, to provide supplementary help.

- b. University Oversight

All contributions are processed through athletics department special use accounts controlled by the University, or through the Yale Development Office. Each sport association has a pre-approved budget to plan and to control the expenditures of funds. All expenditures must receive the approval of an associate director of athletics and one of three members of the athletic department finance office (the associate director for finance and administration; the director of accounting and financial services or the financial assistant) to ensure conformity with Yale, Ivy, and NCAA requirements before being submitted to receive University approval.

- c. The Ray Tompkins Associates

The Ray Tompkins Associates, comprised of alumni and alumnae and friends of Yale athletics, also provide financial support to the athletics department. Gifts are made to a general fund, and expenditures are administered by the director in consultation with the associate athletic directors and are used to support all of Yale's sports programs, including its thirty-one club sports and intramural programs. Ray Tompkins Associates receive a quarterly newsletter with an update on Yale sport activities, including information about or changes in Ivy or NCAA policies. The newsletter is intended to better inform alumni and alumnae about team successes and awards, coaching changes, plans for improvement and rule changes.

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 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 institutional organizational plan for compliance is attached as A-3.

The director of athletics is designated by the president as the person responsible for institutional rules compliance.

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The faculty athletics representative is responsible for the oversight of student-athlete eligibility matters including investigating possible violations of NCAA rules.

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.

The compliance coordinator is responsible for organizing and leading the department's rules education program. Yale believes that it is imperative that each member of its athletics community understand and appreciate the University's commitment to rules compliance. Members of the community are directed to contact the compliance coordinator if they have any questions about the interpretation of policy or rules.

The NCAA News, the NCAA Manual and the Ivy League Manual are distributed to head coaches and selected administrators. The Ivy League Manual as well as the NCAA Manual are also available in the office of the director of athletics or in the offices of the five senior associate directors.

The following is a list of ongoing rules education programs:

*Student-Athletes. All intercollegiate student-athletes are required to attend a meeting with an administrator from the Varsity Sports Office prior to their first competition. At this meeting, the Student-Athlete Handbook is distributed and reviewed. Students are encouraged to ask questions or address concerns and also are advised to contact the compliance coordinator if they have any future questions or concerns.

*Compliance Coordinator. The compliance coordinator is responsible for the following:

—Compliance Updates and Rules Awareness. The compliance coordinator discusses and distributes compliance updates at regularly scheduled coaches and department staff meetings. The coordinator meets with selected staff members, including equipment room staff, financial staff and administrative assistants to review and discuss rules.

—Rules Education Workshops. The compliance coordinator annually conducts a rules education workshop for all head and assistant coaches prior to the NCAA Coaches Certification Exam. In addition, the compliance coordinator meets with all new coaches to discuss rules and compliance procedures and conducts mandatory rules education meetings for all coaches twice every semester.

—Ivy League Compliance Coordinators. The Ivy League compliance coordinators have a monthly telephone conference call to discuss issues, interpretations, compliance systems, and legislation which affect Ivy League institutions. The senior associate director of the Ivy League also sends out a monthly compilation of all interpretation requests to the Ivy office.

—Representatives of Yale's Athletics Interests. The Yale Sports Association Web site has information for all alumni and members of other groups about NCAA and Ivy League rules. The Ivy League brochure which describes NCAA and Ivy rules for alumni and alumnae and friends of athletics is distributed to alumni and alumnae and friends who make financial contributions to the Yale athletics program. The Department of Athletics also publishes compliance information for members of the Ray Tompkins Association at least once a year in the Ray Tompkins Association newsletter. In addition, the director of athletics, coaches, and other staff members encourage members of these various association to contact the compliance coordinator if they have any questions.

4. Describe, using specific examples, how the institution ensures that rules 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.

Yale University is committed to rules compliance and assigns the highest priority to honesty and integrity both on and off the playing fields. The University ensures that rules compliance is a central element in athletics personnel matters.

*The athletics director communicates the University and athletics department commitment to rules compliance to all staff including coaches, administrative staff and support staff. He also conveys this message to alumni and representatives of Yale's athletics interests.

Governance and Commitment to Rules Compliance

*The Yale University athletics mission statement reinforces our commitment to honesty within the constraints of the rules and our responsibility to others.

*Job descriptions for managerial and professional personnel including coaches state that staff must keep abreast of NCAA and Ivy rules.

*The Yale athletics department employment contract stipulates that violation of Ivy and/or NCAA rules may result in disciplinary action up to and including termination.

*Coaches and staff are evaluated on an ongoing basis. If a coach or staff member has been negligent in any way with regard to rules compliance, the athletics director and/or associate athletics director will meet with the staff member to discuss the area of concern. If necessary, the issue would be documented and placed in the personnel file.

A copy of the Department's personnel policies and a letter of employment are enclosed in the appendices as document A-4.

5. Please provide 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 financial aid and 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 this self-study item.]

Policy and Procedures: Yale Rules Compliance

The Yale athletics community is proud to be a member of the Ivy League, the Eastern Collegiate Athletic Conference (ECAC), and the National Collegiate Athletic Association (NCAA). Each of these organizations has ethical standards and rules which are legislated by the membership. Our goal is to be in full compliance with all rules and regulations of these organizations.

Compliance Policies

*All members of the Yale athletics staff are expected to be in compliance with the rules and regulations of Yale, the Ivy League, the ECAC and the NCAA. Furthermore, all coaches and all members of the management and professional staff annually receive a written letter of employment which states that staff members are accountable.

*In the department of athletics, the compliance coordinator is assigned day-to-day responsibility to organize and administer programs for rules education, rules interpretations and implementing and monitoring systems for compliance. Institutional staff members, representatives of Yale's athletic interests and current and prospective student-athletes are directed to contact the compliance coordinator if they have any questions.

*The faculty athletic representative is the NCAA/Ivy eligibility officer for the University.

*In the case of a rules violation or possible rules violation, it is the responsibility of the director of athletics and/or the faculty athletic representative to be the chief investigator(s). If a rules violation is discovered, the director of athletics and/or faculty athletic representative will determine the course of action to be taken. The director of athletics and/or faculty athletic representative are responsible for notifying the appropriate Ivy League, ECAC or NCAA authorities about the results of the investigation and recommendations to resolve each case. If appropriate, director of athletics and/or faculty athletic representative will notify the president and other University authorities about the violation.

*The Ivy League Policy Manual, the NCAA Manual, the Yale Student-Athlete Handbook and the Yale Athletics Department Policy Manual are readily available to all staff members. All head coaches receive a copy of the NCAA Manual as well as the NCAA Coaches Recruiting Guide. The NCAA Manual and the Ivy Manual are available for review in the office of the director of athletics or in the offices of the associate directors.

*Coaches are responsible for maintaining record keeping systems which demonstrate compliance with applicable NCAA rules e.g. recruiting logs, recruiting calendars, etc. Coaches must keep these records on file for the duration of a student-athlete's eligibility for at least five years, whichever is greater.

*The compliance coordinator maintains records for recruit visits, weekly countable athletic related activities, foreign travel, season length declarations, countable coaching staff members and student-athlete eligibility.

Governance and Commitment to Rules Compliance

*Each managerial and professional staff member (coaches and administrative staff) annually certifies that they are in full compliance with NCAA rules.

*All coaching staff members who are eligible to recruit off-campus must take and pass the annual NCAA Coaches Certification examination.

*All student-athletes are required to meet with a member of the administration prior to their first competition each year. Each student-athlete receives a student-athlete handbook which explains the rules and regulations for the athletics department, the Ivy League, the ECAC and the NCAA. In order to become eligible for competition, student-athletes must sign the NCAA Student-Athlete Statement and the Ivy League Eligibility form. Students in NCAA sports also must sign the NCAA Drug Consent form.

*The athletics department compliance program shall be subject to evaluation by authorities outside of the department of athletics at least once every four years.

Procedures for Compliance

Interpretations Requests

1. All questions regarding the interpretation of Ivy or NCAA rules should be directed to the compliance coordinator. If the compliance coordinator is not available, a person within the department will be assigned the responsibility for rules interpretations.
2. The compliance coordinator, director of athletics, faculty athletics representative, senior associate director of athletics and the president are permitted to call the legislative services department of the NCAA for interpretations of NCAA rules.
3. The compliance coordinator will provide written responses and bylaw citations to questions or interpretations that require assistance from the Ivy Office or the NCAA legislative services staff.

Requests for Waivers or Eligibility Appeals

1. All requests for waivers or eligibility appeals e.g. ninth term waivers, waivers for participation in Olympic or national team tryouts, medical waivers, incidental expense waivers, initial eligibility appeals, etc. must be directed to the compliance coordinator or the faculty athletic representative.
2. The faculty athletic representative or her designee will submit the waiver request to the appropriate authorities.
3. The faculty athletic representative or compliance coordinator will notify the coach or student-athlete of the outcome of the waiver request.

Alleged or Self-Discovered Rules Violations

1. All alleged or self-discovered violations must be reported to the director of athletics, faculty athletic representative or the compliance coordinator.
 - a. Institutional staff members must report alleged or self-discovered violations directly to the compliance coordinator, director of athletics or faculty athletic representative.
 - b. Student-athletes are required to report all alleged rules violations to the appropriate authorities. These rules violations may involve the student-athlete or his/her teammates, student-athletes on other university teams or student-athletes at other NCAA universities.

If the potential violation is first reported to the coach or other institutional staff member, the staff member must direct the student-athlete to contact the compliance coordinator and must notify the compliance coordinator that a student-athlete has contacted the staff member about a possible violation.

- c. If an alleged violation involves a representative of Yale's athletics interests, the institutional staff member or student-athlete who becomes aware of the possible violation is required to report the potential violation to the director of athletics, faculty athletic representative or compliance coordinator.
2. The compliance coordinator will make the initial determination of whether or not a violation has occurred. The compliance coordinator will interview the appropriate individuals and will prepare a report of the incident. The report will contain the following information.

Governance and Commitment to Rules Compliance

- a. The details of the incident including who was involved, what happened, and when and where the incident occurred.
 - b. How Yale became aware of the possible violation.
 - c. Cite NCAA or Ivy bylaws which may have been violated.
 - d. Report of any special circumstances surrounding the incident.
3. The compliance coordinator will prepare the preliminary report for the director of athletics and/or the faculty athletics representative (FAR).
- a. If the compliance coordinator ascertains that there has been no violation of Ivy or NCAA rules, there will be no further action.
 - b. If the compliance coordinator confirms that there has been a violation of Ivy or NCAA rules and/or that there is cause to further investigate the incident, then the faculty athletic representative and the director of athletics are responsible for all further investigation and follow-up of the incident.
 - c. If the report has been received from an anonymous source, the compliance coordinator will provide as much information as possible. All such cases will be referred to the faculty athletic representative and the director of athletics for further investigation.
- If a violation is confirmed, the student-athlete(s) involved in the incident will be declared ineligible in accordance with NCAA regulations. The student-athlete will remain ineligible until the NCAA student-athlete reinstatement staff restores the student's eligibility.
4. Investigations will remain as confidential as possible. It is the responsibility of the faculty athletic representative and the director of athletics to determine the policy and procedures for the release of any information regarding the rules violation.
5. The faculty athletic representative and/or the director of athletics will determine if it is appropriate to notify selected university officials regarding the violation.
6. If institutional staff members are involved in the violation, the faculty athletic representative and the athletic director will determine if there should be any immediate action taken regarding the employment status of the institutional staff member.
7. The faculty athletic representative will report the results of the investigation to the appropriate governing body (Ivy Group and/or NCAA). The report will provide specific details about the violation, will include an appeal to restore the eligibility of the student-athlete (if appropriate), and will discuss any self-imposed sanctions that have been made by the University.
8. The faculty athletic representative and the director of athletics will receive the response from the Ivy or NCAA. They will meet with the parties involved to discuss the final outcome of the incident.
9. Documentation and the final report of the rules violations will be kept on file.

Reporting Alleged Violations by Other Institutions

1. Alleged reports about possible rules violations by student-athletes or an institutional staff member at another institution shall be reported to the compliance coordinator, director of athletics or faculty athletics representative. The issue of anonymity will be discussed with the compliance coordinator.
2. The compliance coordinator will contact the compliance coordinator and/or the director of athletics at the other institution or will contact the conference office or the NCAA regarding the alleged rules violation. The compliance coordinator also will notify the Yale director of athletics or faculty athletics representative if the alleged violation is of major concern.
3. Once the report is made to the appropriate authority, Yale will no longer be involved in the case. It is the responsibility of the other institution to investigate and self-report any rules violation.

Governance and Commitment to Rules Compliance

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:

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

Attachment:

The Yale Internal Auditor's Compliance Review was completed in January 2000. (A-5)

The senior associate director of the Council of Ivy League President's conducted a compliance review in April, 2003. The report will be available for the peer review team during the campus visit.

Evaluation

1. Does the institution demonstrate that it has in place a set of written policies and procedures that assign specific responsibilities in the areas of rules compliance, including assignment of direct accountability for rules compliance to the individual the chief executive officer assigns overall responsibility for the athletics program? **Currently Yes**
2. Does the institution demonstrate that In critical and sensitive areas, institutional compliance procedures provide for the regular participation of persons outside of the athletics department? **Currently Yes**
3. Does the institution demonstrate that rules compliance is the subject of an ongoing educational effort? **Currently Yes**
4. Does the institution demonstrate that a clear and unambiguous commitment to rules compliance is a central element in all personnel matters for individuals involved in the intercollegiate athletics program? **Currently Yes**

Governance and Commitment to Rules Compliance

5. Does the institution demonstrate that at least once every three years, its rules-compliance program is the subject of evaluation by an authority outside of the athletics department? **Currently Yes**

On the basis of the yes/no answers above and the plans for for correcting deficiencies, is the institution in substantial conformity with the operating principle. Yes