

Dartmouth College
Office of Alumni Relations
2016 - 2017

Operating Guidelines and Recommended Best Practices
for Recognized Alumni Clubs, Affiliated Groups,
and Shared Interest Groups

Dartmouth *Alumni*

Dear Alumni Club and Group Leaders,

The Club Officers Association (COA) Executive Committee and the Communities Executive Council (CEC), which are composed of leaders from Dartmouth's Alumni Clubs and Affiliated and Shared Interest Groups (ASIGs), have given considerable thought and input to develop a comprehensive set of Operating Guidelines and Recommended Best Practices that we are sure you will find indispensable in managing your alumni organization.

The College initiated this effort because it recognizes that its 76,000+ alumni are a great asset in achieving Dartmouth's mission and it strives to enable and energize the 90+ Alumni Clubs and ASIGs in the process. Leading these organizations at any given time is a dedicated core of more than 850 alumni leaders, who face a difficult task today with all of the regulations, legal responsibilities, and perception issues that alumni boards must address. The Guidelines help reduce potential liability that you – individually or collectively as an organization – may face. Additionally, all of us need to be very concerned and protective of Dartmouth's reputation, as the media and the public view our alumni organizations as extensions of the College, often indistinguishable from the College itself.

We designed the Operating Guidelines to be user friendly by creating:

- A table of contents (page 1) to help you gain an overview of the Guidelines and also pinpoint those sections that are most relevant to your position;
- A quick-reference guide (page 4) that identifies aspects of the Guidelines most applicable to your role;
- A list of benefits organizations receive when they comply with the Guidelines (page 3); and
- Three appendices that provide details regarding important aspects of the Guidelines.

We appreciate your many contributions and accomplishments in realizing the purpose of your organization and in furthering Dartmouth's mission to educate the most promising students and prepare them for a lifetime of learning and of responsible leadership. You serve as an essential conduit for communications between the College and its alumni, and ensure that the Dartmouth spirit is alive and well across the globe. The time, effort, and enthusiasm you dedicate to renew and broaden connections to Dartmouth through organizing the many social, intellectual, and community service activities for alumni, current students, and their families is remarkable and greatly appreciated.

If you have questions about these Guidelines, please contact the Alumni Relations Communities Unit at 603-646-3497 or AR.communities@dartmouth.edu.

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2016 - 2017
Operating Guidelines and Recommended Best Practices
for Recognized Alumni Clubs, Affiliated Groups, and Shared Interest Groups
("ASIGs")

The Club Officers Association Executive Committee, the Communities Executive Council, and the Office of Alumni Relations ("AR"), appreciate the time you invest in understanding your responsibilities as a leader of a Dartmouth alumni club or group. This document provides a comprehensive set of guidelines that will inform and assist you – and other leaders in your club or group – as you build dynamic organizations that carry the Dartmouth Spirit around the Girdled Earth!

The Guidelines contain both requirements of, and recommendations for, recognized Dartmouth alumni clubs and groups.

If you have questions about these Guidelines, please contact the Alumni Relations Communities Unit at 603-646-3497 or AR.communities@dartmouth.edu.

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GUIDING PRINCIPLES

Dartmouth College is committed to building a strong and energized alumni body by supporting a variety of regional clubs, affiliated groups, and shared interest groups that engage alumni along multiple dimensions.

The Operating Guidelines and Recommended Best Practices have been developed in light of the following guiding principles:

- Each alumni organization is a volunteer-driven entity led by alumni leaders. The organization's leaders are responsible for managing the day-to-day operations and for providing short and long-term strategic direction to achieve the purpose of the organization.
- While alumni leaders create programs, set policy, and bear the ultimate responsibility for their organizations, the media and the public (as well as our alumni, students, and parents), often do not draw a distinction between Dartmouth and our alumni organizations. Outside of the Hanover plain, our alumni organizations are the face of Dartmouth.
- As such, Dartmouth has a vested interest in ensuring that the leaders, both individually and collectively as a board, act responsibly, conduct themselves and their organizations legally, and operate in a manner that is consistent with Dartmouth's mission and does not jeopardize the name of Dartmouth.

PURPOSES OF THE GUIDELINES

Complying with these operating guidelines and adopting recommended best practices:

- Protect alumni leaders by identifying key legal duties by which they may be held accountable;
- Promote alumni confidence in their organizations by serving as a guide for establishing and fostering a sound organizational structure, solid financial management, and effective programs;
- Build a foundation for an effective working relationship between alumni organizations, Alumni Relations, and other College departments; and,
- Create a common understanding and foundation from which all alumni clubs and groups may operate.

SOURCES OF THE GUIDELINES

These operating guidelines and recommended best practices are:

- Informed by discussions with alumni leaders, particularly the Club Officers' Association ("COA") Executive Committee and the Communities Executive Council ("CEC"), which includes leaders from alumni clubs and presidents of the Affiliated and Shared Interest Groups.
- Drawn from the best practices of Dartmouth's clubs and groups, and IVY+ peer institutions;
- Based on input from Dartmouth's General Counsel, Risk Management Office, and Controller;
- Reflective of insight that Alumni Relations staff have gained from working with clubs and groups;
- Gleaned from governmental agency guidelines; and,
- Reflective of common operating procedures used by non-profits and businesses.

BENEFITS OF ADHERING TO THE GUIDELINES

Clubs and Groups that are in good standing with Dartmouth enjoy a variety of benefits including:

General Benefits

- Being granted permission to use the Dartmouth name;
- Receiving assistance with drafting, revising and storing legal documents (e.g. constitution, by-laws) and filing tax returns;
- Sending representatives to Club and Group Officers Weekend ("CAGOW") on campus and participating in other leadership opportunities;
- Receiving advice from Alumni Relations on effective organization management; and,
- Receiving service recognition awards (Club of the Year, Group of the Year, etc.).

Event-Related Benefits

- Having the opportunity to host speakers (president, trustees, faculty, administrators, etc.) and where appropriate receive financial assistance;
- Having events included on the College calendar;
- Having events covered under the College's insurance policy; and,
- Having the opportunity to coordinate activities with other Dartmouth alumni organizations.

Communications-Related Benefits

- Receiving use of the College's database of alumni and parents of current students, including email communications tool and downloaded lists;
- Receiving webpage hosting and technical support for webpage creation and maintenance;
- Receiving printing and financial support with club mailings;
- Being eligible to have organization news included in the Clubs and Groups notes section of the Dartmouth Alumni Magazine; and,
- Being listed on the Alumni Relations webpage.

SUPPLEMENTAL LANGUAGE BY ALUMNI CLUBS AND GROUPS

Dartmouth encourages the leaders of all clubs and groups to adopt as many of the recommended best practices as are practicable for, and applicable to, their organization. Alumni organizations are encouraged to develop their own operating guidelines and best practices that may be more detailed or forceful than those identified in this document, so long as they do not conflict with local, state, and federal laws or regulations or with the *'must'*, *'must not'*, *'expect'*, and *'require'* statements contained in the Guidelines.

UPDATES TO THE GUIDELINES

Dartmouth reserves the right to amend this document as needed. When this document is updated, Alumni Relations will notify alumni board leaders and post a current copy on the Alumni Relations website. Dartmouth will not require compliance with any new or amended provision until such notice has been given.

GUIDELINE TOPICS AND TERMS

The Guidelines and Recommended Best Practices cover a variety of important issues grouped into seven broad categories. The grid below, which identifies the seven categories of Guidelines (see left column), will help you find the information that is most relevant to the role(s) you hold in your club or group. If a cell contains 'read' under your title, please read the entire section. If a cell contains a letter/number reference(s) (i.e. 'C6' or 'D8 – D13') read those specific paragraphs within a section.

It is important that all leaders read, and be familiar with, section 'A' regarding board member duties.

- If you are a president, vice president, or treasurer, it is essential that you are familiar with all the guidelines so you may properly lead your organization.
- If you are in a different role, while we encourage you to be familiar with all of the guidelines, it is essential that you are familiar with the guidelines that pertain to your responsibilities.

| Section | Page(s) | Pres, VP, & Treas | Secretary | Web | Newsltr | DED | Event Planners | All Other |
|---------------------------------------|----------|-------------------|-----------|---------------|---------------|--------------|----------------|--------------|
| A - Board of Directors | 5 to 6 | read | read | read | read | read | Read | read |
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| G - Undergraduate Admissions | 19 | read | | | | read | Read | |

Within each statement is one of the following terms that identify whether the compliance with the statement is required or optional. See Appendix 1 on page 20 for a detailed description of each term.

1. *'By law'* statements emphasize legal requirements that are expected of all non-profit organizations such as those holding a tax exemption under I.R.S. Code section 501(c)(3).
 - See Appendix 2 on pages 21-22 for a summary of 'by law' statements.
2. *'Must', 'must not', 'expect', and 'require'* statements are expectations with which Dartmouth requires that clubs and groups will comply.
 - See Appendix 2 on pages 21-22 for a summary of 'must', 'must not', 'expect', and 'require' statements.
3. *'Best practices demand', 'strongly encourage', and 'encourage'* statements reflect varying levels of optional recommendations that will improve the effectiveness of an organization.
4. *'Should'* statements are optional, but offer recommendations regarding either the legal duties of loyalty and care or are based on what other alumni clubs and groups have found effective.
5. *'Request'* statements are optional.

A - BOARD OF DIRECTORS

The duties you have as a board member are important because it is only through the dedicated work of our ethical and informed alumni leaders that Dartmouth's alumni organizations operate legally, effectively serve their communities, and support the purpose of their organization and the mission of Dartmouth.

While much of this section may seem to be common sense, this information ensures that you will be acquainted with the legal duty that you owe to your organization and provides all alumni leaders with a common language with which to examine, address, and resolve challenges and issues.

As a board member, *by law* you owe, two primary duties to your organization at a minimum: "loyalty" and "care". Because your club or group also exists to further the mission of Dartmouth, board members are expected to conduct their work with Dartmouth with loyalty and care.

The majority of this section references the "[Guidebook for New Hampshire Charitable Non-Profit Organizations](#)" (third edition, July 2012). This document, while being used as an example, is not controlling law for organizations incorporated outside the State of New Hampshire. We encourage you to consult with your state's corporation law and your state's regulations applicable to non-profit organizations for additional information about the duties of loyalty and care as applied in your state, and for any other legal duties that may apply.

1. **THE DUTY OF LOYALTY** - Acting with undivided loyalty and in the best interests of the organization and not seeking to derive private or personal gain from the transactions of the organization;
 - a. Board members *must* disclose any personal or business relationship in conflict with their duty of loyalty, whether actual or potential;
 - b. When such a conflict, or potential conflict exists, a board member *must* disclose the conflict of interest, remove himself or herself from any board discussion, and not vote on the matter; and,
 - c. When an organization files a Form 990 with the I.R.S. any reportable conflict of interest *must* be disclosed on that form.

2. **THE DUTY OF CARE** – Acting reasonably, as a prudent person in similar circumstances would act, being familiar with the organization's activities and financial condition, and participating regularly in board meetings. This also requires acting in good faith and making informed decisions.

3. In fulfillment of their duties of loyalty and care, board members *should*:
 - a. Attend a majority of board meetings and meetings of committees on which they serve;
 - b. Carefully read all materials they receive and prepare to ask questions and to be active in board discussions;
 - c. Use their own judgment in voting and not simply follow the lead of the president or fellow board members;

- d. Review copies of any board or committee minutes to ensure that meetings (including how the board member voted) were properly recorded, and should ask for clarification or changes if there are errors in the minutes;
- e. Take action if it is believed that another board member is violating his or her duties to the organization;
- f. Dissent in matters that appear inappropriate or not in keeping with the organization's purpose or the mission of Dartmouth;
- g. Seek to ensure that the organization operates in a fiscally sound manner, and has mechanisms in place to keep it fiscally sound;
- h. Be aware of relevant state laws under which their organization is recognized;
- i. Take steps to recruit, involve, and orient new board members in the leadership of the organization;
- j. Encourage appropriate and responsible regular leadership turnover; and,
- k. Establish a leadership succession plan.

B - GOVERNANCE

1. Recognized organizations *must* support the mission of Dartmouth and *must* follow Dartmouth's policies and procedures regarding alumni organizations. When a leader or organization is concerned about a College policy or procedure (related to alumni organizations) he or she *should* speak with an Alumni Relations staff member, the president of their organization, or the leadership of the Club Officers' Association. Dartmouth *expects* continued compliance with its alumni organization policies while the appropriate administrator is reviewing the concern(s) of the alumni leader. For additional resources for clubs and groups, visit the [Alumni Relations website](#).
2. *By law*, an organization formed as an independent 501(c)(3) (or similar) organization *must* develop and maintain one or more organizational documents (typically Articles of Incorporation, often referred to colloquially as a "constitution", and usually accompanied by by-laws). Organizations *must* provide AR with a current copy of all such documents.
 - a. The state where your organization is located may have particular requirements regarding the adoption of a constitution or by-laws for your organization. The Attorney General's Office or the Secretary of State's Office may be able to provide you with a checklist or other guide to help insure your compliance with state law.
 - b. Even if not legally mandated, Dartmouth *encourages* organizations to consider creating both a constitution and a set of by-laws.
 - i. A constitution, which usually includes the purpose of the organization, provides a fundamental overview of the organization (what constitutes membership, which positions or committees exist, when elections are held, etc.) in a fairly abbreviated manner. A constitution is usually difficult to amend and may require a vote by the entire organization.
 1. Organizations that wish to file their taxes under Dartmouth's tax umbrella *must* follow the requirements set forth in Section D2 regarding specific items that must be included in your constitution (see page 12).
 2. Each organization *should* consider the adoption of a Mission Statement, which may be used to guide the organization's operations and can provide a basis for sound decision-making when issues arise.
 - ii. The by-laws are governed by the constitution and provide procedural rules, typically in a more specific and exacting manner, and are easier to amend in case additional policies or changes are required. For example, the by-laws may guide the day-to-day operations of the executive board, formation of special committees, how elections are conducted, etc. By-laws are often more easily amended, often by a simple majority vote of the board.
 - c. The constitution and by-laws *should* be reviewed periodically to ensure continued relevancy. The Board should ensure that all current leaders have access to a copy of the documents.
 - d. The constitution and by-laws *should* be posted on the organization's website, if a website exists.
 - e. *By law*, the constitution and by-laws *must* be made available for public inspection upon request by anyone.
 - f. The constitution and/or by-laws *must* include a Dissolution Clause. A Dissolution Clause identifies how the organization's assets will be distributed if the organization dissolves –

the typical beneficiary is a similar non-profit organization. Dartmouth *requests* to be named the beneficiary. Alumni Relations can provide the appropriate language.

- g. If an organization does not have a copy of its constitution or by-laws on file with Alumni Relations at the time that these Guidelines go into effect:
 - i. Alumni Relations will provide time for an organization to submit the document(s).
 - ii. If an organization cannot locate a copy of their constitution or by-laws, Alumni Relations will not only provide ample time for an organization to either locate or create new documents, but AR will also provide both a sample constitution and set of by-laws for an organization to use to create such a document.
3. Prior to enacting changes to its constitution or by-laws, an organization *must* share the proposed change with Alumni Relations for review, feedback, and – in limited circumstances - approval. Language to this effect *must* be included in the organization's constitution or by-laws. Dartmouth will support the vast majority of proposed changes, unless the proposed change is illegal, undermines the mission of Dartmouth, or runs counter to the 'must', 'must not', 'expect', or 'require' statements contained within these Guidelines.
4. Dartmouth *strongly encourages* organizations to have a minimum of three (3) officers/board members (president/chair, treasurer, and secretary/recorder/clerk).
 - a. If the organization maintains a bank account, collects dues, or collects funds and reimburses members for events, the organization *must* have a treasurer.
 - b. *Best practices demand* that a different person hold the position of president and treasurer to ensure fiscal checks and balances and to reduce the potential for, or appearance of, financial mismanagement.
5. *Best practices demand* that an organization place language within its constitution or by-laws that limits the length of term of the president (or similarly titled position). Dartmouth *strongly encourages* that the term be limited to a maximum of three consecutive years. In those rare instances in which a president may need to serve longer than three years, the organization is *encouraged* to discuss the situation with AR to develop a plan to identify a new president. Dartmouth *encourages* organizations to consider developing term limits for other key positions to ensure that opportunities exist to develop new leaders and to foster sustainability of the organization. Organizations may want to consider creating an advisory board of past-presidents and other former leaders, to provide counsel and historical insight for the current leadership of the organization.
6. *Best practices demand* that an organization have clear procedures for removing officers and board members who are unable to fulfill their responsibilities.

7. *Best practices demand* that an organization conduct at least one board meeting each year, unless state law or the organization's constitution or by-laws require a greater number of meetings. Dartmouth *strongly encourages* boards to meet more frequently to facilitate effective communication and planning and to ensure that board members are able to meet their legal duty of care and to effectively conduct the organization's business and fulfill its duties.
 - a. At least some of the foregoing board meetings *should* be held in person. However, for boards that hold frequent meetings or whose members are geographically dispersed, meetings by telephone, Skype, etc., *may* be utilized to an appropriate degree.
 - b. The Board *should* invite general members to its meetings as a way to develop new board members and officers and to inform alumni about the board's activities.
8. Organizations *are strongly encouraged* to hold an annual meeting open to all members.
 - a. The meeting *should* be held in person.
 - b. To increase participation, the board should consider conducting the meeting before or after a popular event.
9. *By law*, organizations *must* maintain records, such as meeting minutes, board reports, and financial documents.
 - a. Organizations *should* make its meeting minutes available upon request from alumni within the organization.
 - b. Dartmouth *expects* organizations to make a copy of meeting minutes available to AR upon request.
 - c. Dartmouth *encourages* organizations to establish policies and procedures to protect and preserve important documents and business records.
10. Organizations *must* promptly notify Alumni Relations of any changes in statutory officers (president, vice president, treasurer, secretary, etc.). Dartmouth *encourages* organizations to provide prompt notification to AR of changes in all other leadership positions.
11. *Best practices demand* that the leaders of an organization bring diverse experiences, perspectives, and skills necessary to further the organization's purpose.
12. *Best practices demand* that organizations periodically review the organization's goals, activities, and programs, to ensure that they advance the organization's purpose and make prudent use of its resources.

C - OPERATIONS

1. Organizations formed in the United States *must* comply with local, state, and federal laws and regulations. Organizations formed outside the U.S. must comply with the corresponding laws of the country in which they are located.
 - a. Organizations are responsible for understanding the laws specific to their locality.
 - b. Organizations *must* file the documents (tax, incorporation, etc.) required by their legal jurisdiction in a timely manner.
2. Organizations *should* collaborate with other Dartmouth alumni organizations.
3. Organizations *must not* operate in a manner that conflicts with other Dartmouth alumni organizations. Alumni Relations may become involved to determine if a conflict exists, to bring organization leaders together for discussion, to identify necessary steps to resolve the conflict, and to monitor the implementation of a plan to resolve the conflict. In those rare instances in which organizations are not able to resolve the conflict, AR will assume the role of Arbiter. Dartmouth *expects* organizations to comply with the plan or steps that AR identifies to address the conflict.
4. Organizations *must* submit an annual Club and Group Activity Report (CGAR) by the stated deadline. Within the CGAR are: 1) 'required' sections that AR *expects* organizations to complete; and 2) 'important' sections, which AR *strongly encourages* organizations to complete.
 - a. Alumni Relations may reclassify an organization as inactive if it does not complete the required sections of the CGAR by the stated deadline. Alumni Relations may reduce the resources available to inactive organizations as appropriate.
 - b. Organizations that are in compliance with these guidelines and that also complete the entire CGAR as well as the Dartmouth College Alumni Organization year-end financial report, are eligible to receive additional support (financial, technical, administrative, etc.), and will be considered for annual alumni organization awards, and may receive an incentive for completing the entire CGAR.
5. Organizations *should* use Dartmouth's alumni data as the basis of its membership list. Organizations *should not* maintain a wholly separate membership database without discussing the matter with AR. Alumni Relations *strongly encourages* organizations to actively encourage alumni to maintain their alumni directory information
6. Dartmouth *strongly encourages* organizations to use Dartmouth's iModules platform to create and maintain a website. Dartmouth provides free technical support and assistance in managing the website, which is especially helpful when a transition in leadership occurs. Regardless of the web provider used, organizations *should* keep their website current.
7. Alumni clubs that have a physical mailing address *must* utilize an address that is within their geo code to prevent confusion among alumni as to the geographic area for which the organization is responsible.

8. Alumni Relations *strongly encourages* all organizations to participate in CAGOW (Club and Group Officers Weekend), other training programs, webinars, and conference calls as often as possible. We *request* that more than one leader in each organization participate in CAGOW and other training programs as appropriate.

9. Organizations are *encouraged* to share their best practices with AR and with other alumni organizations.

D - FISCAL MANAGEMENT and FUNDRAISING

FISCAL MANAGEMENT

1. When an organization collects or disperses any monies, the organization *must* establish a bank account that is separate from any other bank account, particularly that of an individual board member. *Best practices demand:*
 - a. The account is established under an Employer Identification Number (EIN), not the treasurer's social security number; and,
 - b. The president and the treasurer are listed as co-signers on the account (but not necessarily required to co-sign all checks).
 - i. The organization *should* consider adding additional signers on the account to ease transition and to encourage accountability;
 - ii. Dartmouth *strongly encourages* the organization to provide all financial statements to both the treasurer and the president; and,
 - iii. Dartmouth *encourages* the organization to require two signers for checks over a certain dollar amount (e.g., \$250, \$500, \$1,000), in consideration of the organization's overall fiscal resources and operations.
2. For new organizations (or newly re-constituted organizations), Dartmouth *strongly encourages* the organization to file their taxes under Dartmouth's tax umbrella.
 - a. Clubs or groups that wish to be included in the College's group exemption, *must:*
 - i. Include the following statement in the organization's constitution: "The purpose of (name of organization) shall be to develop a strong and enduring structure to further the interests, welfare and educational purposes of Dartmouth College, for so long as the organization is in existence and Dartmouth College remains organized exclusively for charitable, educational or scientific purposes within the meaning of Sections 501(c)(3) and 170(b)(1)(A) of the Internal Revenue Code of 1986, as amended;
 - ii. Use the same fiscal year as Dartmouth (July 1 – June 30).
 - iii. Note that membership is open – at a minimum – to alumni of Dartmouth, parents of current students, spouses/partners of deceased alumni, and friends of Dartmouth.
 - iv. An organization may have a unique Missions Statement so long as it does not conflict with the three requirements immediately above.
 - b. An organization that is already in existence as a separate entity may not file under Dartmouth's tax umbrella.
3. *By law*, organizations *must* timely file tax documents with the IRS and *should* send a copy of all filings to Alumni Relations (those organizations operating under the College's taxpayer identification number *must* send such a copy to AR). Failure to file required IRS documents can result in the loss of 501(c)(3) status. Without possessing this status, an organization must report monies collected (dues and other fundraising) as taxable income. Not only is the procedure to reinstate an organization's 501(c)(3) status lengthy and arduous; but the IRS may levy fines.

4. Dartmouth *encourages* organizations to submit a copy of the Dartmouth College Alumni Organization year-end financial report to AR within three (3) months of the end of the organization's fiscal year. Organizations that wish to receive financial support from AR *must* submit this report.
5. *Best practices demand* that organizations with large treasuries establish a finance committee of the board whose responsibilities include:
 - a. Overseeing the organization's financial reporting;
 - b. Reviewing periodic reports of revenues and expenses, annual financial reports, and tax returns (federal and state);
 - c. Establishing procedures for reimbursements that include board approval for payments made to current or prior board members;
 - d. Addressing segregation of duties – for example: activities performed by bookkeeper reviewed by treasurer; activities performed by treasurer reviewed by president or board; activities performed by president reviewed by board; and,
 - e. Setting forth procedures by which the treasurer:
 - i. Oversees the organization's finances, collects dues, and receives other monies;
 - ii. Prepares program budgets and financial controls, or assists the president or other officers in doing so;
 - iii. Maintains and supervises organization bank accounts;
 - iv. Files IRS Form 990 (income tax exempt organizations), if applicable;
 - v. Files appropriate state forms to comply with fundraising statutes (or coordinates with the organization's secretary in making such filings);
 - vi. Ensures adequate budget and financial controls;
 - vii. Prepares and submits financial statements to the president, the finance committee if applicable, and the board; and,
 - viii. Pays all organization bills on time.
 - f. Identifying when a qualified, independent financial expert should audit or review the organization's financial records, taking into consideration the circumstances that may warrant such a review and the organization's fiscal resources.
6. Organizations *must*, when seeking financial support from AR, obtain written confirmation before spending monies for which the organization hopes to be reimbursed by AR. Organizations seeking support from other Dartmouth departments are *encouraged* to obtain similar confirmation.
 - a. Receipts *must* be submitted in a timely fashion (usually less than 30 days after the event, but no later than two weeks prior to the close of Dartmouth's fiscal year, which is June 30);
 - b. If an organization is planning an event within the last two weeks of Dartmouth's fiscal year, the organization *must* identify with AR the appropriate steps that need to be taken.
7. Dartmouth *requests* timely payment of its bills. Bills not paid within 120 days of issuance may cause a freeze on allocation of additional resources offered to an organization.

8. Dartmouth *strongly encourages* leaders with concerns regarding their organization's fiscal management to discretely and professionally bring their concerns before the board for address and resolution. In those instances where a leader does not feel comfortable doing so, Dartmouth encourages the leader to contact Alumni Relations for assistance. Organizations are responsible for funding their own process to address and resolve any matters of fiscal impropriety. However, if an organization does not have the financial resources to do so, Dartmouth encourages the organization to contact Alumni Relations for assistance.

FUNDRAISING

9. Organizations *should* promote payment of dues or other contributions by its alumni members throughout the year. Active organizations that are in compliance with these guidelines may be eligible for financial support of one newsletter, which include a dues solicitation. In certain circumstances, funding for a second newsletter may be available.
10. Dartmouth greatly appreciates the work our alumni organizations do to encourage and facilitate alumni support of scholarships. Alumni may send their scholarship donation to A) Dartmouth's Gift Recording Office (GRO), or B) your organization. Organizations with questions about this process should contact recognition.and.stewardship@dartmouth.edu.
 - a. When donors send a scholarship donation directly to Dartmouth, GRO will issue a legal tax receipt for the gift directly to the donor. Donors using this method *must* make the check payable to Dartmouth College and note in the memo line the name of the Scholarship Fund (i.e., "Dartmouth Club of Greater Boston Scholarship Fund").
 - b. When donors send their scholarship checks to the organization, the organization *must* take one of two actions:
 - i. If the check is made payable to Dartmouth, send the check to GRO with the name of the organization's fund in the memo line. Donations greater than \$10,000 *should* be sent to the GRO immediately. The GRO will process the donation as identified in 'a' above.
 - ii. If the check is made payable to the organization, deposit the check into the organization's account. If the organization wants the donor to have recognition credit – or the donor expects it - the organization *must* include a list of the donors and the amount each person donated with the check.
 - iii. Once Dartmouth receives a check from the organization, GRO will provide a tax receipt to the organization and send an "acknowledgement of gift" to donors, if a list of names is provided with the check. However, as the legal donor, the organization *must* issue a tax receipt to the individual donors.
 - c. For business purposes, checks should be sent to Dartmouth in a timely manner. All funds received prior to the fiscal year end, June 30, will be counted towards the thresholds of receiving an additional scholarship in the following year.
11. *By law*, not for profit organizations *must* provide donors with specific acknowledgements of charitable contributions, in accordance with IRS requirements, as well as information to facilitate the donors' compliance with tax law requirements.

12. Before an organization plans to hold a fundraiser to benefit a Dartmouth program, the organization *must* gain the approval of the department intended to benefit from the fundraiser, agree to that department's expectations, and follow those expectations. Expectations may include, but are not limited to, collection of funds, reporting of funds raised, costs associated with the fundraiser, and distribution of funds to Dartmouth.
13. Organizations *should* focus on fundraising efforts that support the organization or Dartmouth. Organizations may also raise funds for other organizations where it is consistent with the organization's non-profit purpose and IRS regulations, especially where the fund-raising activity serves a dual purpose of bringing together organization alumni (such as the Dartmouth Association of the Rocky Mountains bicycling team's efforts to fundraise for local charities). Note, however, that there are significant legal restrictions on fundraising that is political in nature, and rarely if ever should an organization engage in fundraising or other activities intended to support a candidate for office or any other political cause.
14. When an organization seeks to raise monies in excess of typical dues, Dartmouth *requests* that before an organization approaches an individual alumnus or alumna for a material amount of financial support, that it notify AR, who in turn will work with the Development Office to ensure the solicitation is appropriate and effective.

E - COMMUNICATIONS

1. *Best practices demand* that alumni leaders, particularly presidents, respond to alumni inquiries in a timely manner.
2. Dartmouth *expects* leaders to maintain a current alumni directory profile that contains their email address and phone number.
3. Alumni Relations *requests* that alumni leaders, particularly those in key leadership roles like president, treasurer, and district enrollment director, respond to requests or queries from AR and other College offices in a timely basis. AR may view a lack of response, especially from a president or a treasurer, as an indication that the organization is inactive. This is especially true when there has been no communication over several months.
4. Alumni leaders, and organizations, *must* comply with Dartmouth's policy on the privacy of alumni data:
 - a. Leaders *must* agree to honor and follow the policy before Dartmouth will disclose alumni lists to that organization. Alumni Relations will only release alumni information upon request of the organization's president, treasurer, or secretary. All organization leaders *must* submit their request through one of these officers.
 - b. Alumni information provided by Dartmouth *must* not be used for personal gain, sold or disclosed to any party, or used for any purpose other than the reason for which the list was requested.
5. Organizations are *encouraged* to keep AR informed of their activities throughout the year.
6. Organizations *are encouraged* to produce at least one electronic or print newsletter per year.
7. When communicating with alumni via email, organizations *should* develop a strategy that is sensitive to the volume of Dartmouth related emails that alumni may receive. *By law*, when an organization sends a broadcast email (an unsolicited email sent to an entire organization), the organization must include an option by which the recipient may opt out of receiving future emails.
8. In all communications (email, websites, social media, newsletters – print and electronic), organizations *must* use their legal name (and corresponding acronym) or a "d/b/a" that is registered with the appropriate legal authorities. D/B/As *must* include an indication that the organization is a club, alumni organization/association, etc. Organizations that would like to use a variation of their legal name (or acronym or registered d/b/a) *must* gain the approval of Alumni Relations.
9. Organizations *must* gain approval from the Office of the General Counsel before modifying any aspect of Dartmouth's logo. Dartmouth's seal *must not* be altered.

F – EVENTS and PROGRAMMING

1. An organization *must* offer a minimum of one program per year to be considered active. Programs may include admissions-related events, lectures, sporting events, cultural activities, social events, monthly luncheons, holiday parties, and much more! Most programs *should* be held in person, but may also utilize technology (webinars, Skype, conference calls, etc.). Alumni Relations does not require that an organization hold a specific number of events to be considered active because our organizations are diverse in membership size, geographic scope, age, structure, fiscal resources, etc. However, because some organizations want to know a minimum annual target number for benchmarking purposes, we suggest:
 - a. Affiliated and Shared Interest Groups: 3-8 depending on your size (includes regionally based events)
 - b. Alumni Clubs:
 - i. Small (under 349) = 2-5
 - ii. Medium (350 – 799) = 5-8
 - iii. Large (800 – 1999) = 8-12
 - iv. Metro (2000+) = 12-16
 - c. The above numbers are only suggestions, some clubs and groups will have a lower number and some will have a higher number, depending on their organization's needs and resources. Additionally, there may be a reason – such as leadership transition – that prevents an organization from offering at least one program in a particular year. In these instances, Alumni Relations will work with a club or group's leadership to address the challenge.
2. When planning an event, Dartmouth *strongly encourages* organizations to consider how the event may appear to the general public, especially if the event could be negatively covered in the press.
3. Alumni Relations *encourages* all clubs and groups to collaborate with one another and with other Dartmouth alumni organizations, with similar alumni organizations at other colleges and universities (particularly Ivy+ schools), and with community organizations.
4. When an alumni club wants to offer an event or program in a location outside its geo code – including events co-sponsored with other Dartmouth organizations or external organizations - Dartmouth *expects* the club ("guest club") to initiate contact with the alumni club in whose geo code the guest club would like to hold the event. The alumni club in whose geo code the event may occur ("home club") *must* agree to the event before the guest club may make detailed plans or advertise the event in any manner.
 - a. Once the event is agreed upon, the home club may elect to let the guest club hold the event privately (at which the home club and its members are not invited) and not to be involved in any aspect of the event.

- b. However, should the home club wish to participate in the event, Dartmouth *expects* both clubs to work together throughout the planning and implementation process, with the guest club deferring to the host club should a disagreement arise. Dartmouth *strongly encourages* the collaborating organizations to agree in writing about important event details such as date, time, location, budget, price of attendance, accounting of event revenue/expenses, program, communications plan, etc.).
 - i. Both clubs *should* identify one or two point persons for the event to ensure effective communications and planning.
 - ii. Unless both organizations expressly agree otherwise, both organizations *must* offer full reciprocity to the members of the other organization without the expectation of financial reimbursement for differences in dues structure.
 - c. For proposed events in geographic areas that are not covered by any alumni club, AR *encourages* the host club to discuss the proposed event with AR before planning the event.
- 5. When an organization seeks to hold an event at Dartmouth, that organization *must* notify AR with as much advance notice as possible. For events in which an organization seeks financial or staff support, AR *expects* that the organization will work with, and take guidance from, the appropriate staff person in regard to goals, date, time, logistics, costs, format, etc.
- 6. Alumni Relations *requests* that organizations inform AR of upcoming events and provide all pertinent information (date, time, location, description of event, contact, etc.) so AR may post the event on Dartmouth's online calendar.
- 7. Dartmouth *expects* organizations to use Dartmouth's Online Speaker Request Form (available at: <http://alumni.dartmouth.edu/volunteer/speakerform>) when the organization seeks:
 - a. To have the current president, president emeritus, or a current trustee attend an event (even if the person will not be speaking); or,
 - b. To have a faculty member, staff person, or officer speak at an event.

It is not necessary to complete the form to work with a student singing group.

A club or organization *should* complete the Speaker Request Form with as much advance notice as possible, but ideally no less than three (3) months before their events.

Completion of the form enables AR to assist organizations and to know how College personnel are being used. Alumni Relations may withdraw the speaker's appearance or funding support should an organization not comply.

- 8. Dartmouth *requests* that organizations approaching a high-profile alumnus or alumna to speak at an event notify AR in advance so that Dartmouth is aware of the invitation and can assist, where appropriate and possible. If the alumnus or alumna is an employee of Dartmouth, the organization *must* use Dartmouth's Online Speaker request form.
- 9. Dartmouth *expects* that all events are open to officers in Alumni Relations.

G - UNDERGRADUATE ADMISSIONS

1. The unparalleled enthusiasm and network of the Dartmouth alumni body is one of our greatest tools in recruiting an outstanding incoming class of students each year. Dartmouth *encourages* all alumni organizations to aid in the recruitment of prospective students by coordinating efforts with the local District Enrollment Director(s) (DEDs), who in turn work with the Office of Admissions.
2. Those organizations that do provide assistance *must* follow the policies and procedures of the Office of Admissions and Alumni Relations when conducting interviews and planning/implementing recruitment and yield events.
3. Alumni Relations *encourages* organizations to invite prospective students and their parents to appropriate functions throughout the year.
4. Dartmouth *requests* organizations to develop, maintain, and grow scholarship fund programs to the best of the organization's ability.
5. Dartmouth *encourages* clubs to consider supporting a book award program if it fits within an organization's goals. Receipt of a book award, while a wonderful way to heighten awareness of Dartmouth and its local clubs among prospective students, their families and school communities, does not assure acceptance to Dartmouth.

APPENDIX 1

KEY TERMS USED IN THE GUIDELINES

This section provides you with more detailed information regarding the signifying terms first introduced on page 4.

1. *'By law'* statements (not to be confused with an organization's by-laws) emphasize legal requirements that are expected of all non-profit organizations such as those holding a tax exemption under I.R.S. Code section 501(c)(3). Individual organizations are strongly encouraged to check specific legal requirements of the state in which the organization is incorporated. Failure to comply with these statements may expose the individual leader or organization to civil or criminal legal action.
2. *'Must', 'must not', 'expect', and 'require'* statements denote operating guidelines in which Dartmouth expects compliance. These requirements are most often associated with College procedures and are required of all alumni clubs and groups. Failure to comply with these statements may have consequences for an organization, which are fully described in Appendix 3.
3. *'Best practices demand', 'strongly encourage', and 'encourage'* statements reflect varying levels of recommendations that Dartmouth believes will improve the effectiveness of an organization. While organizations have the option of following these statements, Alumni Relations encourages organizations to adopt the recommendations.
4. *'Should'* statements reflect one of two philosophies:
 - In Section A (Board of Directors), *'should'* statements carry great weight, especially as they provide concrete recommendations as to how our leaders can fulfill their twin legal duties – loyalty and care - to the organization.
 - In all other sections, *'should'* statements are based on plans, programs, and strategies that other alumni organizations have found effective. Alumni organizations have great latitude in determining if a *'should'* suggestion is appropriate for their needs.
5. *'Request'* statements are used for those topics that, while optional, Alumni Relations hopes an organization will support as they directly benefit Dartmouth and indirectly benefit the organization.

Alumni organizations are encouraged to develop their own operating guidelines and best practices that may be more detailed or forceful than those identified in this document. Standards set forth by individual organizations *must not* conflict with local, state, and federal laws or regulations (organizations outside the U.S. must not adopt guidelines that conflict with the laws of their home country, state, province, etc.), or the *'must', 'must not', 'expect', and 'require'* statements contained in this document.

If you have questions about these Guidelines, please contact the Alumni Relations Communities Unit at 603-646-3497 or AR.communities@dartmouth.edu.

APPENDIX 2

INDEX OF 'BY LAW', 'MUST', 'MUST NOT', 'EXPECT' and 'REQUIRE' STATEMENTS

This index provides a quick way for you to review what is required of Dartmouth's recognized clubs and groups in an abbreviated format. Refer to the specific guidelines for the full text of each topic.

A - BOARD OF DIRECTORS

A - *By law*, have a minimum of two duties: loyalty and care (pages 5-6)

B - GOVERNANCE

B1 - *Must* support the mission of Dartmouth and follow Dartmouth's policies and procedures regarding alumni organizations (page 7)

B2 - *By law / must* develop and maintain an organizational document that is open to the public and include a dissolution clause (page 7)

B3 – *Requires* organizations to share proposed changes to constitution/by laws with Alumni Relations prior to enacting changes (page 8)

B4 – *Must* have a treasurer if the organization maintains a bank account, etc. (page 8)

B9 - *By law* must maintain records such as meeting minutes, board reports, and financial documents (page 9)

B10 – *Must* promptly notify Alumni Relations of changes in officers, directors, etc. (page 9)

C - OPERATIONS

C1 - *By law* must comply with local, state, and federal laws and regulations (page 10)

C3 - *Must not* operate in a manner that conflicts with other Dartmouth alumni organizations (page 10)

C4 – *Must* submit an annual Club and Group Activity Report (CGAR) by the deadline (page 10)

C7 – *Must* use a mailing address within their geo code (for clubs) (page 10)

D - FISCAL MANAGEMENT and FUNDRAISING

D1 – *Must* establish a bank account that is separate from any other bank account, when monies are collected and dispersed (page 12)

D2 – *Must* include specific language in their constitution if they wish to be included in the College's federal tax group exemption (page 12)

D3 - *By law* must timely file tax documents (page 12)

D4 – *Must* submit an Organization Financial Report to receive financial support from AR (page 13)

D6 – *Must*, when seeking financial support from Alumni Relations, obtain written confirmation before spending monies and timely submit receipts for reimbursement (page 13)

D10 – *Must* follow certain protocol when collecting money for a Dartmouth-held scholarship (page 14)

D11 - *By law* provide donors with specific acknowledgements of contributions (page 14)

D12 – *Must* gain approval before conducting a fundraiser that benefits a Dartmouth program (page 15)

E - COMMUNICATIONS

E2 – *Expects* leaders to maintain a current alumni directory profile (page 16)

E4 – *Must* comply with Dartmouth's policy on the privacy of alumni data (page 16)

E7 - *By law* must, when sending a broadcast email, include an opt-out option (page 16)

E8 – *Must* use their legal name (and corresponding acronym) or d/b/a in all communications (page 16)

E9 – *Must* - gain approval before modifying any aspect of Dartmouth's logo (page 16)

E9 - *Must not* alter Dartmouth's seal (page 16)

F - EVENTS and PROGRAMMING

F1 – *Must* offer a minimum of one program per year to be considered active (page 17)

F4 – *Expects* a club, when hoping to offer an event in another club's geo code, to work with the other club (pages 17-18)

F5 – *Must* notify Alumni Relations when hoping to hold an event at Dartmouth (page 18)

F7 – *Expects* organizations to complete the speaker request form when hoping to have the president or a trustee attend an event, or when hoping to have faculty member, staff person, or officer speak at an event (page 18)

F9 – *Expects* that all events are open to officers in Alumni Relations (page 18)

G – UNDERGRADUATE ADMISSIONS

G2 – *Must* follow the policies and procedures of the Admissions Office (page 19)

If you have questions about these Guidelines, please contact the Alumni Relations Communities Unit at 603-646-3497 or AR.communities@dartmouth.edu.

APPENDIX 3

RECOGNITION, REVIEW, AND POTENTIAL ACTIONS BY DARTMOUTH

Recognition

Provisional Organizations:

Before a club or group is formally recognized by Dartmouth College, through the Office of Alumni Relations, it is considered provisional.

Alumni Relations may recognize an alumni club or group when the founding members have: (A) demonstrated a need for the organization's existence to serve the alumni body and (B) demonstrated its ability to manage its affairs at a level expected of a College-recognized club or group. In satisfying clause "B", a new organization will have worked collaboratively with Alumni Relations to 1) develop a constitution and hopefully a set of by-laws; 2) select leaders in accordance with the requirements of the organization's constitution and by-laws; 3) comply with those aspects of Dartmouth's club and group guidelines that are either required by law, or required by Dartmouth; and 4) demonstrate - through a combination of communications, programs, services, and events - that the organization is sustainable.

Prior to being officially recognized, leaders of the provisional club or group *must* comply with all aspects of these Guidelines as if they were officially recognized by Dartmouth.

Alumni Relations will make a more detailed description of the recognition process available on its website.

Status Review Process

Alumni Relations periodically reviews (A) the degree to which each organization is active; and (B) if an organization is out of compliance with the required guidelines contained within this document.

A – Active, Inactive, Dormant, and Defunct Organizations

Active Organizations:

An alumni organization is active if it: 1) has the basic leadership necessary to operate the club; 2) that leadership communicates with Alumni Relations (including submitting the required portion of the Club and Group Activity Report); and 3) presents programs on a consistent basis, but at a minimum, presents one program per year. While each organization is unique, at a minimum a club or group is generally expected to have a president, treasurer, and one other officer to be considered active. Likewise, while each organization varies in ability to present programs, each organization should offer a minimum of two (2) – five (5) programs per year.

All clubs or groups are automatically considered to be active, unless notified otherwise.

Inactive Organizations:

When an organization does not meet the above three criteria, AR may classify the organization as 'inactive'. Alumni Relations may reduce the resources available to inactive organizations as appropriate.

Once Alumni Relations has determined an organization is inactive, the leaders will have two years to correct the problem. *Alumni Relations welcomes the opportunity to work with an organization's leadership to return an inactive organization to active status.*

Dormant Organizations:

After two years of inactive status, AR may classify the organization as 'dormant'.

Alumni Relations welcomes the opportunity to work with alumni to return a dormant organization to active status. A dormant organization may become active again but will need to work with Alumni Relations to identify leaders and to develop a new constitution and by-laws if the existing instruments are not adequate.

Defunct Organizations:

Alumni Relations may classify an organization as 'defunct' either when the organization formally terminates (closes its bank accounts, intentionally ceases operations, notifies the IRS, etc.) or where an organization has been inactive for two (2) years and then dormant for five (5) or more additional years.

Once an organization becomes defunct, should alumni interest in reforming the organization arise, Alumni Relations will determine if the organization should be reinstated (considering the potential for success, the relevance of organization, number of alumni who could be potentially involved, fit with AR's mission, etc.).

B – Probationary and De-Recognized Organizations

The Club Officers Association, the Communities Executive Council, and Alumni Relations have great faith in the ability of our volunteers to ensure that an organization complies with the required portions ('by law', 'must', 'must not', 'expect', or 'require') of these Guidelines.

We recognize, however, that there may be instances in which an individual leader, or the board of a club or group, does not comply with the required portions of these guidelines for a variety reasons. Alumni Relations will work to understand the circumstances unique to a club or group that causes the organization to be out of compliance. An important partner in the process may be the Club Officers Association Executive Committee and the Communities Executive Council, both of which may be utilized to provide mentorship to an individual leader or organization that needs assistance with compliance.

Initially, Alumni Relations will learn what the challenges of the organization are, work informally with the club or group to rectify the problem, and provide ample time to make the needed changes. When a club or group does not rectify the problem after this informal period – particularly if the organization is not making a good faith effort or is willfully not complying - Alumni Relations may place the organization on probationary status.

Probationary Organizations:

In more complex cases, Alumni Relations may identify a time period during which a club or group has the opportunity to return back to compliance. If Alumni Relations sets such a date, it will notify the organization's officers (president, vice president, treasurer, and secretary), and may notify all the leaders, that the club or group has been placed on probationary status. At that time, AR will identify what must be rectified (and by what date) for the organization to be removed from probation.

In the vast majority of instances, Alumni Relations will provide the club or group that is out of compliance a reasonable amount of time to rectify the problem. In rare instances, however, Dartmouth may shorten the amount of time an organization has to come into compliance if one or more of the following become evident:

- A pattern of negligence;
- Willful non-compliance with required guidelines;
- A refusal to make necessary adjustments or corrections as directed by Alumni Relations (or another department);
- The action (or non-action) is egregious;
- An alumni club or group undermines another alumni organization, especially after Alumni Relations has intervened and set expectations for the conduct of the alumni organizations in conflict;
- An individual leader or the leadership of a club or group engages in illegal activity;
- An organization contradicts the mission of Dartmouth; or,
- There is either the potential for great damage to Dartmouth's name or reputation or the actions of an organization have caused great damage to Dartmouth's name or reputation.

During the probationary period, the organization will continue to be recognized, but actions by Dartmouth may be warranted. An organization's probationary status will be kept confidential, unless it is necessary to share that status with:

- Key leaders of The Club Officers Association ("COA") or The Communities Executive Council ("CEC") to:
 - a. Assist with developing a plan to provide mentorship to the organization's leadership. In some instances, the COA, CEC, or Alumni Relations may identify a volunteer leader outside of the COA or CEC to assist the organization; or,
 - b. Disqualify an organization from being considered for an award;
- Other clubs or groups for their protection; or
- College departments that may be affected by the organization on probation.

De-Recognized Organizations:

A club or group may be de-recognized once the probationary period has ended if the organization has not come into compliance as directed by Alumni Relations. In rare instances an organization may be de-recognized when the organization has egregiously or willfully violated those guidelines that are required either by law or by Dartmouth.

Dartmouth expects that a de-recognized organization will comply with appropriate legal obligations (including implementation of the organization's dissolution clause) to determine how to distribute its assets, how to cease operations, and how to discontinue use of Dartmouth's name. Where no such guidelines exist, the organization must follow the directions provided by Alumni Relations.

Potential Actions by Dartmouth

When an alumni organization, or one of its leaders, engages in one or more of the above actions, Dartmouth (through its Office of Alumni Relations) reserves the right to:

- Reduce or withhold College resources, including, but not limited to: technology platforms, database access, programming and event support, training, financial support, event insurance (for U.S. clubs), and administrative support;
- Determine that the organization is not eligible for annual awards;
- Remove the organization from Dartmouth's tax umbrella;
- Require that a board remove an officer(s) or member(s) of an alumni organization board (with failure to do so resulting in Dartmouth taking one of the other actions in this section); and,
- De-recognize the alumni organization, resulting in the organization no longer being able to use the Dartmouth name.

In those unusual cases in which Dartmouth takes one or more of the above actions, the determination will be made on a case-by-case basis by Alumni Relations.

After a period of time, a de-recognized organization may petition Alumni Relations to be re-recognized. If approved to be re-recognized, the organization must work with Alumni Relations to develop a new constitution, identify new leaders, and meet any other requirements set forth by Alumni Relations.

If you have questions about these Guidelines, please contact the Alumni Relations Communities Unit at 603-646-3497 or AR.communities@dartmouth.edu.