



## APPLICATION FOR NCAA DIVISION III PROVISIONAL AND RECLASSIFYING MEMBERSHIP

**Must be received in the NCAA national office not later than January 15.**

**This application is to be used only for prospective new members joining the NCAA or institutions reclassifying their entire athletics program.**

Academic year to begin provisional/reclassifying process: \_\_\_\_\_ Date of submission: \_\_\_\_\_

Check the appropriate membership application.

Provisional: \_\_\_\_\_                      Reclassification: \_\_\_\_\_  
(New member to the NCAA)                      (NCAA member reclassifying entire athletics program)

1. Institution name: \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_ Telephone: \_\_\_\_\_

2. Chancellor or president name: \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_ Telephone: \_\_\_\_\_

Email: \_\_\_\_\_

\_\_\_ **Check here** if the chancellor/president (Item No. 2) and the athletics direct report (Item No. 3) is the same individual and skip to Item No. 4.

3. Athletics direct report name and title: \_\_\_\_\_  
(Individual to whom athletics reports)

Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_ Telephone: \_\_\_\_\_

Email: \_\_\_\_\_

\_\_\_ **Check here** if your institution currently does not have an individual designated to the athletics direct report role and include an implementation plan for designing an individual to this role. See **Appendix A** for information on this role. See **Appendix C** for the implementation plan template.

4. Faculty athletics representative: \_\_\_ Men's \_\_\_ Women's \_\_\_ Both

Name and academics title: \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_ Telephone: \_\_\_\_\_

Email: \_\_\_\_\_

5. Faculty athletics representative: \_\_\_ Men's \_\_\_ Women's \_\_\_ Both

Name and academics title: \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_ Telephone: \_\_\_\_\_

Email: \_\_\_\_\_

\_\_\_ **Check here** if your institution currently does not have an individual designated to the faculty athletics representative role and include an implementation plan for designing an individual to this role. See **Appendix A** for information on this role. See **Appendix C** for the implementation plan template.

6. Director of athletics name: \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_ Telephone: \_\_\_\_\_

Email: \_\_\_\_\_

7. Senior woman administrator name: \_\_\_\_\_

Title: \_\_\_\_\_

Email: \_\_\_\_\_ Telephone: \_\_\_\_\_

\_\_\_ **Check here** if your institution currently does not have an individual designated to the senior woman administrator role and include an implementation plan for designing an individual to this role. See **Appendix A** for information on this role. See **Appendix C** for the implementation plan template.

*Please complete Item No. 8 even if the athletics compliance officer is one of the individuals already listed:*

8. Compliance officer name: \_\_\_\_\_

Email: \_\_\_\_\_ Telephone: \_\_\_\_\_

\_\_\_ **Check here** if your institution currently does not have an individual designated to the compliance officer role and include an implementation plan for designing an individual to this role. See **Appendix A** for information on this role. See **Appendix C** for the implementation plan template.

**Note:** Individuals who are authorized to request interpretations on behalf of an institution are the chancellor or president (or designee), athletics direct report, faculty athletics representative, director of athletics (or designee), senior woman administrator and compliance officer.

*Please complete Item No. 9 even if the sports information director is one of the individuals already listed:*

9. Sports information director name: \_\_\_\_\_

Email: \_\_\_\_\_ Telephone: \_\_\_\_\_

\_\_\_ **Check here** if your institution currently does not have an individual designated to the sports information director role and include an implementation plan for designing an individual to this role. See **Appendix A** for information on this role. See **Appendix C** for the implementation plan template.

*Please complete Item No. 10 even if the NCAA Division III Student-Athlete Advisory Committee administrative representative is one of the individuals already listed:*

10. Student-Athlete Advisory Committee administrative representative:

Name: \_\_\_\_\_ Title: \_\_\_\_\_

Email: \_\_\_\_\_ Telephone: \_\_\_\_\_

**Check here** if your institution currently does not have an individual designated to the SAAC administrative representative role and include an implementation plan for designing an individual to this role. See **Appendix A** for information on this role. See **Appendix C** for the implementation plan template.

11. Athletics health care administrator:

Name: \_\_\_\_\_ Title: \_\_\_\_\_

Email: \_\_\_\_\_ Telephone: \_\_\_\_\_

12. Is your institution a member of any other intercollegiate athletics associations? (e.g. NAIA, NJCAA, NCAA Divisions I or II). If so, please list them:

\_\_\_\_\_

13. Has your institution informed its campus constituents (e.g., admissions, alumni, board, faculty, financial aid office, student-athletes) of its interest and desire to explore NCAA Division III?  
     Yes      No

**If yes**, please include a letter of support from your board of trustees/governors.

14. Has anyone in your institution's senior leadership previously worked at an NCAA Division III institution?  
     Yes      No

**If yes**, please identify the individual(s) current position on your campus and his/her role at the Division III institution.

15. Total full-time undergraduate enrollment for current academic year:

Men: \_\_\_\_\_ Women: \_\_\_\_\_ Total: \_\_\_\_\_

16. Indicate your institution's classification:      Public      Private

17. Indicate your institution's status:       For profit       Not-for-profit
18. Does your institution offer at least one four-year (or two-year upper level) curriculum leading to a Bachelor of Arts or Bachelor of Science degree?       Yes       No
19. What regional agency has accredited your institution? \_\_\_\_\_  
Date of most recent accreditation? \_\_\_\_\_
20. Has your institution previously submitted a membership application to the NCAA?  
 Yes     No
- If yes, what was the date of your application?** \_\_\_\_\_
21. Is your institution involved in an investigation, infractions case, serving academic penalties or on probation with your governing body (e.g., NCAA, NAIA, etc.)?       Yes       No

**If yes, please explain:**

22. List all athletics conferences of which your institution is a member and the sports in which you compete in each conference.

Men:

Women:

23. Compliance with Association Rules.

Is your institution aware that it must administer its athletics program in accordance with the constitution, bylaws and other legislation of the Association for the entirety of the provisional/reclassifying membership process? (See NCAA Division III Bylaws 20.3.4 and 20.6.5)  
 Yes     No

## 24. Financial Aid.

- a. Is your institution aware of the prohibition on awarding new athletically related financial aid to incoming student beginning with the first year of provisional/reclassifying membership and thereafter? (See Bylaws 20.3.4.1 and 20.6.5.)      Yes      No
- b. Is your institution aware of the prohibition on awarding any athletically related financial aid to any student following completion of the second year of provisional/reclassifying membership? (See Bylaws 20.3.4.1 and 20.6.5.1.)      Yes      No
- c. Did your institution offer athletically related financial aid to any student during the current academic year?      Yes      No
- d. Does your institution intend to offer athletically related financial aid to any student during the exploratory year?      Yes      No

## 25. Sports Sponsorship.

- a. Complete the annual sports-sponsorship report by listing all varsity intercollegiate sports involving all male teams, all female teams and all mixed male and female teams sponsored by your institution. [**Attachment A**]

The season in which the sport occurs is determined when the majority of an institution's contests or dates of competition occur, as follows:

Fall: September through December;  
 Winter: December through March; and  
 Spring: February through May.

- b. Complete the individual-sports compliance worksheet for **EACH** individual fall sport sponsored during the current academic year. Complete the individual-sports compliance worksheet for **EACH** individual winter and spring sport sponsored during the previous academic year. [**Attachment B**]

**To complete Attachments A and B, please consider the following information:**

- An institution in the exploratory year must be prepared to sponsor in the first year of provisional/reclassifying membership:

- (1) At least six sports for men and at least three of the six sports must be team sports. Further, there must be a sport offering in each of the three sport seasons (i.e., fall, winter, spring). Sponsorship standards are listed in Bylaw 20.11.3.8 (minimum contests and participants requirements for sports sponsorship). If institutional full-time undergraduate enrollment is 1,000 or fewer, at least five sports for men and at least three of the five sports must be team sports; and
- (2) At least six sports for women and at least three of the six sports must be team sports. Further, there must be a sport offering in each of the three sport seasons (i.e., fall, winter, spring). Sponsorship standards are listed in Bylaw 20.11.3.8 (minimum contests and participants requirements for sports sponsorship). If institutional full-time undergraduate enrollment is 1,000 or fewer, at least five sports for women and at least three of the five sports must be team sports.

**Note:** Institutional enrollment for sports-sponsorship requirements shall be based on a rolling four-year average using the full-time undergraduate enrollment figure submitted for the Integrated Postsecondary Education Data Systems. (See Bylaw 20.11.3.3)

26. Does your institution have defined plans to add any sports(s)?     Yes     No

**If yes,** which sport(s) and please include timeline for planned addition including details regarding hiring, facilities, recruiting timeline, etc.

27. Please include your institutions completed viability statement. [**Attachment C**]

The institution is required to complete a viability statement describing the institution's commitment to the NCAA Division III philosophy statement. (See Bylaw 20.11.)

28. Please include the following requirement:

Sponsorship by an active NCAA Division III institution including the establishment of a good-faith mentoring relationship and submission of a letter of recommendation signed by the sponsoring institution's chancellor or president AND faculty athletics representative AND director of athletics AND senior woman administrator.

29. Please include your institution's completed athletics program assessment. **[Attachment D]**

The institution is required to demonstrate evidence that it possesses the resources and infrastructure necessary to conduct a viable Division III athletics program.

**PLEASE NOTE:** There shall be a maximum of four institutions admitted to the provisional or reclassifying membership program in any one year and a maximum of 12 provisional or reclassifying institutions participating in the program in total. Institutions shall be assigned a start year based on the following criteria, in no particular order:

- a. Geographic location in an area that needs or can accept new members.
- b. Reclassifying versus provisional status.
- c. Existing or potential membership in an active Division III conference.
- d. Broad-based sports-sponsorship profile.
- e. Whether the institution has previously provided athletically related financial aid.

30. Does your institution meet the legislated requirements necessary to request a waiver of the four-year provisional or reclassifying membership process per Bylaw 20.3.3.1.1 (general) and do you currently have plans to request that waiver at the completion of year two?      \_\_\_ Yes      \_\_\_ No



**This application is made in good faith, with full knowledge and acceptance of the Exploratory Year (Bylaw 20.11.3.1.1), Conditions and Obligations of Provisional Membership (Bylaw 20.3.7) or Conditions and Obligations of Reclassifying Membership (Bylaw 20.6.8)**

**Note: All individuals listed on Page Nos. 1 through 3 must sign below.**

\_\_\_\_\_  
Signature (Chancellor or President)

\_\_\_\_\_  
Printed name

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature (Athletics Direct Report)

\_\_\_\_\_  
Printed name

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature (Faculty Athletics Representative)  
\_\_\_ Men's    \_\_\_ Women's    \_\_\_ Both

\_\_\_\_\_  
Printed name

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature (Faculty Athletics Representative)  
\_\_\_ Men's    \_\_\_ Women's    \_\_\_ Both

\_\_\_\_\_  
Printed name

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature (Director of Athletics)

\_\_\_\_\_  
Printed name

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature (Senior Woman Administrator)

\_\_\_\_\_  
Printed name

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature (SAAC Representative)

\_\_\_\_\_  
Printed name

\_\_\_\_\_  
Date

**THIS APPLICATION MUST BE RECEIVED BY THE NCAA NATIONAL OFFICE NOT LATER THAN JANUARY 15. COMPLETION OF THIS APPLICATION IN NO WAY IMPLIES OR ENSURES APPROVAL OF THE EXPLORATORY YEAR. IF AN INSTITUTION FAILS TO FULLY COMPLETE THE APPLICATION OR THE NCAA DOES NOT RECEIVE THE APPLICATION ON TIME, THE INSTITUTION SHALL NOT BE CONSIDERED FOR THE UPCOMING EXPLORATORY YEAR.**

SEND THE COMPLETED APPLICATION IN **ELECTRONIC FORMAT (e.g., flash drive)** ALONG WITH A \$500 NONREFUNDABLE FEE TO THE INDIVIDUAL BELOW. PLEASE BE AWARE A CHECK IN THE AMOUNT OF \$37,000 PLUS ANNUAL DUES (\$2,000) WILL BE REQUIRED BY SEPTEMBER 1 IF YOUR INSTITUTION IS ACCEPTED TO THE PROVISIONAL OR RECLASSIFYING PROCESS.

**[Note: In addition to the provisional/reclassifying fee, provisional/reclassifying members also must pay the appropriate amount for NCAA annual dues during each year of the provisional or reclassifying membership process. (See NCAA Constitution 3.7.2)]**

**Debbie Brown  
dbrown@ncaa.org**

**NCAA  
Division III  
Attn: Debbie Brown  
P.O. Box 6222  
Indianapolis, Indiana 46206-6222  
Phone: 317-917-6617**

**OVERNIGHT DELIVERY**

**NCAA  
Division III  
Attn: Debbie Brown  
1802 Alonzo Watford Senior Drive  
Indianapolis, Indiana 46202  
Phone: 317-917-6617**



**DEFINITIONS OF NCAA TERMS**

**Athletics direct report.** The institutional staff member designated by the institution's chancellor or president for responsibility and oversight of the intercollegiate athletics program (NCAA Constitution 4.02.5).

**Faculty athletics representative.** A member of the institution's faculty or administrative staff who is designated by the institution's chancellor or president or other appropriate entity to represent the institution and its faculty in the institution's relationships with the NCAA and its conference(s), if any (Constitution 4.02.2).

**Senior woman administrator.** The highest ranking female involved in the management of an institution's intercollegiate athletics program. An institution with a female director of athletics may designate a different female involved in the management of the member's program as a fifth representative to the NCAA governance structure (Constitution 4.02.4.1).

**Athletics compliance officer.** An athletics department administrator whose responsibilities include ensuring the institution complies with NCAA legislation and conference requirements, if any.

**Sports information director.** An athletics department administrator who provides statistics, team and player notes and other information about an institution's sports teams to the news media and the general public.

**Student-athlete advisory committee.** A committee made up of student-athletes assembled to provide insight on the student-athlete experience. The SAAC offers input on the rules, regulations and policies that affect student-athletes' lives. There is a SAAC at the institution, conference and national levels. Presently, there are separate national SAACs for NCAA Divisions I, II and III. NCAA legislation mandates that all member institutions have SAACs on their respective campuses. Further, NCAA legislation requires that all member conferences have SAACs.

**Athletics health care administrator.** An active member institution shall designate an athletics health care administrator to oversee the institution's athletics health care administration and delivery (Constitution 3.2.4.20).

## APPLICABLE NCAA DIVISION III LEGISLATION

**NCAA Division III Bylaw 20.3.1.1.3 Exploratory Year Waiver.** Not later than May 15 following the submission of the exploratory registration, an institution may apply for a waiver of the exploratory year. The Division III Membership Committee may grant waivers of the exploratory year based on a determination that the institution demonstrates a commitment to the Division III philosophy and evidence of the resources necessary to conduct a viable Division III athletics program. The waiver request shall include: *(Adopted: 1/17/15 effective 9/1/15, Revised: 7/21/15)*

- (a) An application for Division III provisional membership on the form approved by Membership Committee;
- (b) A letter of recommendation from a sponsoring active NCAA Division III member endorsing the institution and attesting to the establishment of a mentoring relationship;
- (c) Information demonstrating that the institution satisfied NCAA Division III minimum sports sponsorship requirements during the previous three academic years;
- (d) A statement indicating the director of athletics and the individual with compliance oversight (if different than the director of athletics) will attend an NCAA Regional Rules Seminars in the year of submission of the waiver request; and
- (e) Information demonstrating that the institution shall not award athletically related financial aid to any student that participates in athletics. The institution may honor previously awarded athletically related financial aid to students that choose not to participate in athletics.

**20.3.2 Class Size and Assignment.** There shall be a maximum of four institutions admitted to the provisional or reclassifying membership program in any one year, and a maximum of 12 provisional or reclassifying institutions participating in the program in total. Institutions shall be assigned a start year based on the following criteria, in no particular order: *(Adopted: 1/8/07 effective 8/1/07, Revised: 1/21/17 effective 8/1/17)*

- (a) Geographic location in an area that needs or can accept new members; *(Adopted: 1/8/07 effective 8/1/07)*
- (b) Reclassifying versus provisional status; *(Adopted: 1/8/07 effective 8/1/07)*
- (c) Existing or potential membership in an active Division III conference; *(Adopted: 1/8/07 effective 8/1/07, Revised: 1/21/17 effective 8/1/17)*

- (d) Broad-based sports sponsorship profile; and (*Adopted: 1/8/07 effective 8/1/07, Revised: 1/21/17 effective 8/1/17*)
- (e) Whether the institution has previously provided athletically related financial aid.

**Bylaw 20.3.3 Four-Year Provision.** Provisional membership shall not be less than a four-year period. At the end of the four-year period, a provisional member shall be eligible to apply for active membership (See NCAA Constitution 3.2.3). (*Revised: 5/4/06*)

**Bylaw 20.3.3.1 Waivers.**

**Bylaw 20.3.3.1.1 General.** At the completion of year two of the provisional membership process, an institution may apply for a waiver of the four-year provisional membership process. The NCAA Division III Membership Committee may grant waivers of the four-year provision based on compelling evidence that the institution has: (*Revised: 5/4/06, 7/21/15*)

- (a) Satisfied sports sponsorship requirements (including minimum contests and participant requirements) in years one and two; (*Revised: 5/4/06*)
- (b) Not awarded institutional financial aid based on athletics during any provisional year; (*Revised: 5/4/06*)
- (c) Completed a successful financial aid report; (*Revised: 5/4/06*)
- (d) Attended all required functions for provisional members (e.g., NCAA Convention, NCAA Regional Rules Seminar); (*Revised: 5/4/06*)
- (e) Completed a successful year two on-campus visit; (*Revised: 5/4/06*)
- (f) Displayed evidence of a properly functioning athletics compliance system. The preliminary program assessment shall be submitted with the waiver request; (*Revised: 5/4/06*)
- (g) Not been required to repeat any year of provisional membership; (*Revised: 5/4/06*)
- (h) Displayed evidence of effective mentoring by the Membership Committee or other Division III members; and (*Revised: 5/4/06*)
- (i) Satisfied all other membership requirements. (*Revised: 5/4/06*)

**Bylaw 20.3.4 Compliance with Association Rules.** Unless specified otherwise in Bylaw 20.4, a provisional member shall administer its athletics program in accordance with the constitution, bylaws and other legislation of the Association. *(Revised: 5/4/06, 1/8/07 effective 8/1/07)*

**Bylaw 20.3.4.1 Athletically Related Financial Aid Exception.** A provisional member shall not award new athletically related financial aid to incoming students (e.g., freshmen, transfers) beginning with the first year of provisional membership and thereafter. Following the completion of year two, a provisional member may no longer award athletically related financial aid to any student, unless the institution previously awarded athletically related financial aid to the student, and the student no longer participates in intercollegiate athletics. During the second year of provisional membership (and each following year), a provisional member must complete the financial aid reporting process (see Bylaw 15.4.1.1). *(Revised: 5/4/06, 1/8/07 effective 8/1/07, 1/14/09)*

**Bylaw 20.6.4 Four-Year Provision.** Reclassifying membership shall not be less than a four-year period. At the end of the four-year period, a reclassifying member shall be eligible for active membership (See Constitution 3.2.3). *(Adopted: 1/8/07 effective 8/1/07)*

**Bylaw 20.6.4.1 Exploratory Year Waiver.** An institution in the reclassifying membership process may apply for a waiver of the exploratory year, consistent with the waiver available for the provisional membership process (See Bylaw 20.3.1.1.3). *(Adopted: 1/17/15 effective 9/1/15)*

**Bylaw 20.6.4.2 Waiver.** At the completion of year two of the reclassifying membership process, an institution may apply for a waiver of the four-year reclassification process, consistent with the waiver available for the four-year provisional membership process (See Bylaw 20.3.3.1). *(Adopted: 1/8/07 effective 8/1/07)*

**Bylaw 20.6.5 Compliance with Division III Rules.** Unless specified otherwise in Bylaw 20.6.5.1, a reclassifying member shall administer its athletics program in accordance with the constitution, bylaws and other legislation of the Association. *(Adopted: 1/8/07 effective 8/1/07)*

**Bylaw 20.6.5.1 Athletically Related Financial Aid Exception.** A reclassifying member shall not award athletically related financial aid to incoming students (e.g., freshmen, transfers) beginning with the first year of the reclassification process and thereafter. Following the completion of year two, a reclassifying member may no longer award athletically related financial aid to any student, unless the institution previously awarded athletically related financial aid to the student, and the student no longer participates in intercollegiate athletics. The reclassifying member must comply with all financial aid requirements set forth in Bylaw 15.4. During the second year of reclassification (and each following year), a

reclassifying member must complete the Division III financial aid electronic reporting process (See Bylaw 15.4.1.1). (*Adopted: 1/8/07 effective 8/1/07, Revised: 1/14/09*)

**Bylaw 20.11 Division III Membership Requirements.**

**DIVISION III PHILOSOPHY STATEMENT**

Colleges and universities in Division III place highest priority on the overall quality of the educational experience and on the successful completion of all students' academic programs. They seek to establish and maintain an environment in which a student-athlete's athletics activities are conducted as an integral part of the student-athlete's educational experience and in which coaches play a significant role as educators. They also seek to establish and maintain an environment that values cultural diversity and gender equity among their student-athletes and athletics staff.

To achieve this end, Division III institutions: (*Revised: 1/10/95, 1/9/06 effective 8/1/06*)

- (a) Expect that institutional presidents and chancellors have the ultimate responsibility and final authority for the conduct of the intercollegiate athletics program at the institutional, conference and national governance levels; (*Adopted: 1/16/10 effective 8/1/10*)
- (b) Place special importance on the impact of athletics on the participants rather than on the spectators and place greater emphasis on the internal constituency (e.g., students, alumni, institutional personnel) than on the general public and its entertainment needs;
- (c) Shall not award financial aid to any student on the basis of athletics leadership, ability, participation or performance; (*Revised: 7/24/07*)
- (d) Primarily focus on intercollegiate athletics as a four-year, undergraduate experience; (*Adopted: 1/14/12*)
- (e) Encourage the development of sportsmanship and positive societal attitudes in all constituents, including student-athletes, coaches, administrative personnel and spectators;
- (f) Encourage participation by maximizing the number and variety of sport offerings for their students through broad-based athletics programs; (*Revised: 1/14/12*)
- (g) Assure that the actions of coaches and administrators exhibit fairness, openness and honesty in their relationships with student-athletes;

- (h) Assure that athletics participants are not treated differently from other members of the student body;
- (i) Assure that student-athletes are supported in their efforts to meaningfully participate in nonathletic pursuits to enhance their overall educational experience; *(Adopted: 1/14/12)*
- (j) Assure that athletics programs support the institution's educational mission by financing, staffing and controlling the programs through the same general procedures as other departments of the institution. Further, the administration of an institution's athletics program (e.g., hiring, compensation, professional development, certification of coaches) should be integrated into the campus culture and educational mission; *(Revised: 1/9/06 effective 8/1/06)*
- (k) Assure that athletics recruitment complies with established institutional policies and procedures applicable to the admission process; *(Adopted: 1/12/04 effective 8/1/04)*
- (l) Exercise institutional and/or conference autonomy in the establishment of initial and continuing eligibility standards for student-athletes; *(Adopted: 1/14/12)*
- (m) Assure that academic performance of student-athletes is, at a minimum, consistent with that of the general student body; *(Adopted: 1/9/06 effective 8/1/06)*
- (n) Assure that admission policies for student-athletes comply with policies and procedures applicable to the general student body; *(Adopted: 1/9/06 effective 8/1/06)*
- (o) Provide equitable athletics opportunities for males and females and give equal emphasis to men's and women's sports;
- (p) Support ethnic and gender diversity for all constituents; *(Adopted: 1/12/99)*
- (q) Give primary emphasis to regional in-season competition and conference championships and;
- (r) Support student-athletes in their efforts to reach high levels of athletics performance, which may include opportunities for participation in national championships, by providing all teams with adequate facilities, competent coaching and appropriate competitive opportunities.

The purpose of the NCAA is to assist its members in developing the basis for consistent, equitable competition while minimizing infringement on the freedom of individual institutions to determine their own special objectives and programs. The above statement articulates principles that represent a



commitment to Division III membership and shall serve as a guide for the preparation of legislation by the division and for planning and implementation of programs by institutions and conferences.

**Bylaw 20.11.3.3 Calculation of Enrollment Figures.** Institutional enrollment for sports sponsorship requirements shall be based on a rolling four-year average using the full-time undergraduate enrollment figure submitted for the Integrated Postsecondary Education Data Systems (IPEDS). The institution shall sponsor the required number of sports per academic year after the IPEDS submission. *(Adopted: 1/9/06 effective 8/1/10, Revised: 5/4/06, 1/19/09)*

**Bylaw 20.11.3.8 Minimum Contests and Participants Requirements for Sports Sponsorship.** In each sport, the institution's team shall engage in at least a minimum number of intercollegiate contests (against the varsity programs of four-year, degree-granting collegiate institutions) each year. In the individual sports, the institution's team shall include a minimum number of participants in each contest that is counted toward meeting the minimum-contests requirement. The following minimums are applicable: *(Revised: 1/12/99 effective 8/1/99, 1/8/05, 1/10/05, 4/8/05 effective 8/1/05, 10/27/05, 1/9/06 effective 8/1/07, 1/17/09 effective 8/1/09, 1/18/14 effective 8/1/14, 1/17/15, 8/1/15, 8/19/15, 1/16/16)*

<b>Team Sports</b>	<b>Minimum Contests</b>	<b>Individual Sports</b>	<b>Minimum Contests</b>	<b>Minimum Contests</b>
Beach Volleyball	8	Bowling	8	5
Baseball	25	Cross Country	5	5
Basketball	18	Fencing	8	5
Field Hockey	12	Golf	6	4
Football	7	Men's Gymnastics	6	6
Ice Hockey	18	Women's Gymnastics	6	5
Lacrosse	10	Rifle	6	4
Women's Rowing	8	Skiing	5	5
Women's Rugby	8	Swimming and Diving	8	8
Soccer	13	Tennis	10	6
Softball	24	Track and Field, Indoor	5	10
Volleyball	17	Track and Field, Outdoor	6	12
Water Polo	13	Women's Triathlon	4	3
		Wrestling	7	6

(Note: The minimum-contest requirements set forth in Bylaw 20.11.3.8 apply only to the provisions of this section and do not apply to minimum-contest requirements in Bylaws 14 and 17.)

**IMPLEMENTATION PLAN**

If your institution does not currently have an established policy, procedure or process, please include a S.M.A.R.T. (Specific, Measurable, Achievable, Relevant and Time-bound) implementation plan.

For additional individual implementation plans, copy the template below and send as an attachment.

<b>Implementation Plan</b>	
<b>Specific</b>	Describe the details of the implementation plan.
<b>Measurable</b>	How will your institution measure the success of the implementation plan?
<b>Achievable</b>	Is the implementation plan achievable?
<b>Relevant</b>	Is the implementation plan relevant within the current environment and/or existing constraints?
<b>Time-bound</b>	What is the timeline for the implementation plan?

NCAA DIVISION III – ANNUAL SPORTS-SPONSORSHIP REPORT FOR MEN'S SPORTS

Academic Year: \_\_\_\_\_

Sports(Men's)	Contests Minimum (Per Bylaw 20.11.3.8)	Minimum Participants (Per Bylaw 20.11.3.8)	Contests Scheduled	Contests Completed	Beginning Roster (First Date of Competition)	Ending Roster (Last Date of Competition)	Season (Fall, Winter, Spring)	Countable Toward Sports Sponsorship (Per Bylaw 20.11.3)? (Yes/No)
Baseball	25	n/a						
Basketball	18	n/a						
• Cross Country	5	5						
• Fencing	8	5						
Football	7	n/a						
• Golf	6	4						
• Gymnastics	6	6						
Ice Hockey	18	n/a						
Lacrosse	10	n/a						
• Rifle	6	4						
• Skiing	5	5						
Soccer	13	n/a						
• Swimming and Diving	8	8						
• Tennis	10	6						
• Indoor Track and Field	5	10						
• Outdoor Track and Field	6	12						
Volleyball	17	n/a						
Water Polo	13	n/a						
• Wrestling	7	6						

• Indicates sport is an individual sport.

NCAA DIVISION III -- ANNUAL SPORTS-SPONSORSHIP REPORT FOR WOMEN'S SPORTS

Academic Year: \_\_\_\_\_

Sports(Women's)	Contests Minimum (Per Bylaw 20.11.3.8)	Minimum Participants (Per Bylaw 20.11.3.8)	Contests Scheduled	Contests Completed	Beginning Roster (First Date of Competition)	Ending Roster (Last Date of Competition)	Season (Fall, Winter, Spring)	Countable Toward Sports Sponsorship (Per Bylaw 20.11.3)? (Yes/No)
Basketball	18	n/a						
Beach Volleyball	8	n/a						
•Bowling	8	5						
•Cross Country	5	5						
•Fencing	8	5						
Field Hockey	12	n/a						
•Golf	6	4						
•Gymnastics	6	5						
Ice Hockey	18	n/a						
Lacrosse	10	n/a						
•Rifle	6	4						
Rowing	8	n/a						
Rugby	8	n/a						
•Skiing	5	5						
Soccer	13	n/a						
Softball	24	n/a						
•Swimming and Diving	8	8						
•Tennis	10	6						
•Indoor Track and Field	5	10						
•Outdoor Track and Field	6	12						
•Triathlon	4	3						
Volleyball	17	n/a						
Water Polo	13	n/a						

• Indicates sport is an individual sport.

































**NCAA Division III Provisional and Reclassifying Institutions  
Viability Statement**

NCAA Division III provisional and reclassifying applicants shall submit a viability statement with the membership application. This statement should address the institution's commitment to the Division III philosophy statement as described below.

**Division III Philosophy Statement (NCAA Bylaw 20.11).**

- 1. The institution's chancellor or president has the ultimate responsibility and final authority for the conduct of the intercollegiate athletics program at the institutional, conference and national governance levels.**

Describe how the chancellor or president has the ultimate responsibility and final authority for the conduct of the institution's intercollegiate athletics program. Further, if the institution is affiliated with a conference, describe how the chancellor or president has the ultimate responsibility and final authority for the conduct of the conference's intercollegiate athletics program.

- 2. The institution places special importance on the impact of athletics on the participants rather than on the spectators and places greater emphasis on the internal constituency (e.g., students, alumni, institutional personnel) than on the general public and its entertainment needs.**

Describe the institution's plan to maintain proper emphasis on athletics participants, including impact on students, alumni and institutional personnel.

**3. The institution awards no athletically related financial aid to any student.**

Describe the institution's plan to ensure that athletics leadership, ability, participation or performance are not considered in the formulation of institutional financial aid packages.

**4. The institution's primary focus is on intercollegiate athletics as a four-year, undergraduate experience.**

Describe the institution's plan to focus on the intercollegiate athletics experience as a four-year, undergraduate experience.

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- 5. The institution encourages the development of sportsmanship and positive societal attitudes in all constituents, including student-athletes, coaches, administrative personnel and spectators.**

Describe the institution's plan to promote good sportsmanship and positive societal attitudes by its student-athletes, coaches, administrators and spectators.

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**6. The institution encourages participation by maximizing the number and variety of sport offerings for its students through a broad-based athletics program.**

Describe the institution's intercollegiate athletics program, including the number of sports sponsored and the size of each team's roster.

- 7. The institution assures that the actions of coaches and administrators exhibit fairness, openness and honesty in their relationships with student-athletes.**

Describe the institution's plan to promote fairness, openness and honesty in relationships between coaches, administrators and student-athletes.

**8. The institution assures that athletics participants are not treated differently from other members of the student body.**

Describe the institution's plan to ensure that athletics participants are treated similarly to other members of the student body, including the plan to educate the broader campus community about the practical application of this NCAA Division III expectation.

9. **The institution assures that student-athletes are supported in their efforts to meaningfully participate in nonathletic pursuits to enhance their overall educational experiences.**

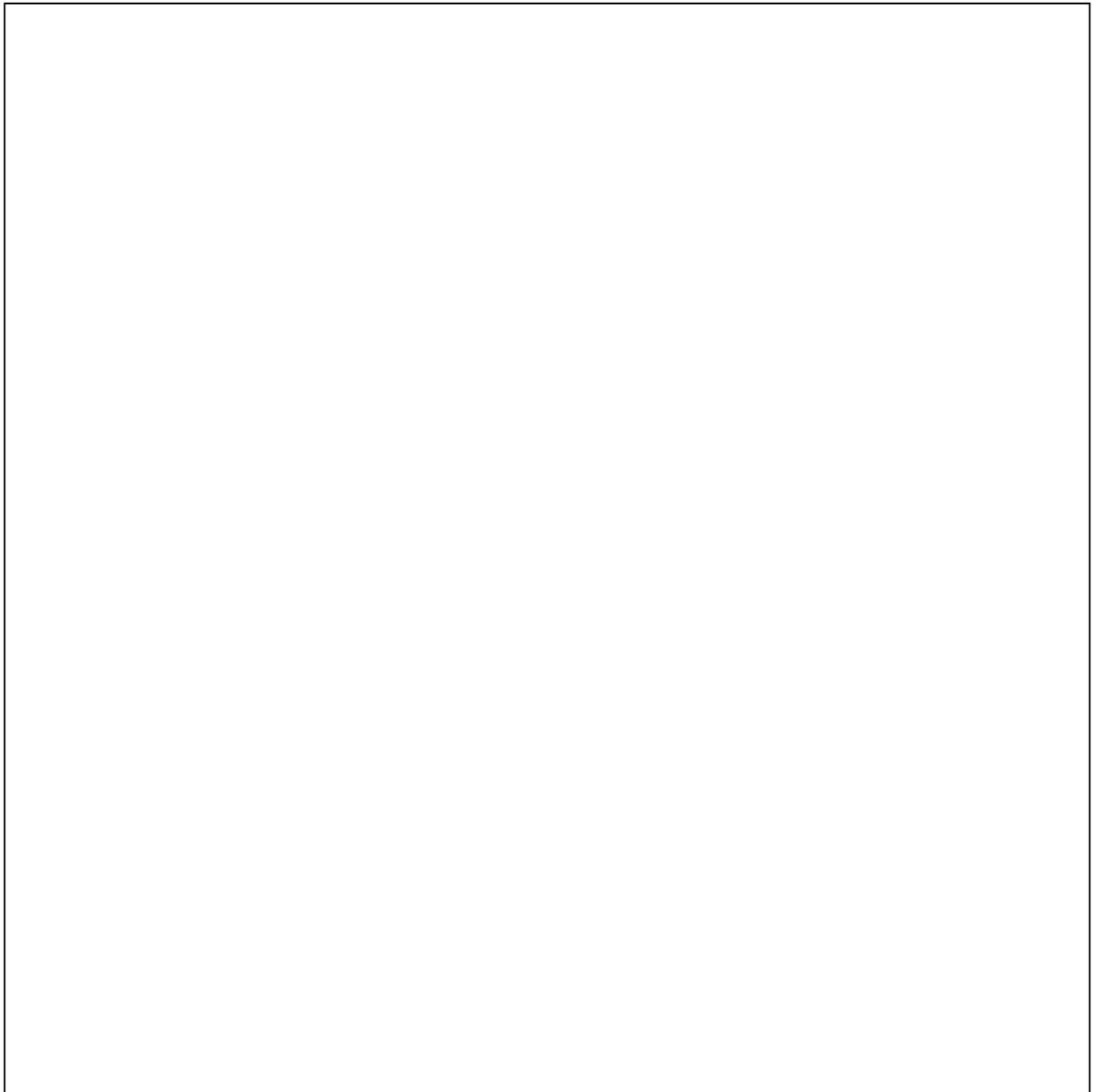
Describe how the institution supports student-athletes in their efforts to participate in nonathletic pursuits.

- 10. The institution assures that athletics programs support the institution's educational mission by financing, staffing and controlling the programs through the same general procedures as other departments of the institution. Further, the administration of the institution's athletics program (e.g., hiring, compensation, professional development, certification of coaches) should be integrated into the campus culture and educational mission.**

Describe how the athletics department fits into the overall institutional administrative structure and educational mission.

**11. The institution assures that athletics recruitment complies with established institutional policies and procedures applicable to the admission process.**

Briefly compare the institution's recruitment policies for student-athletes and for the general student body.

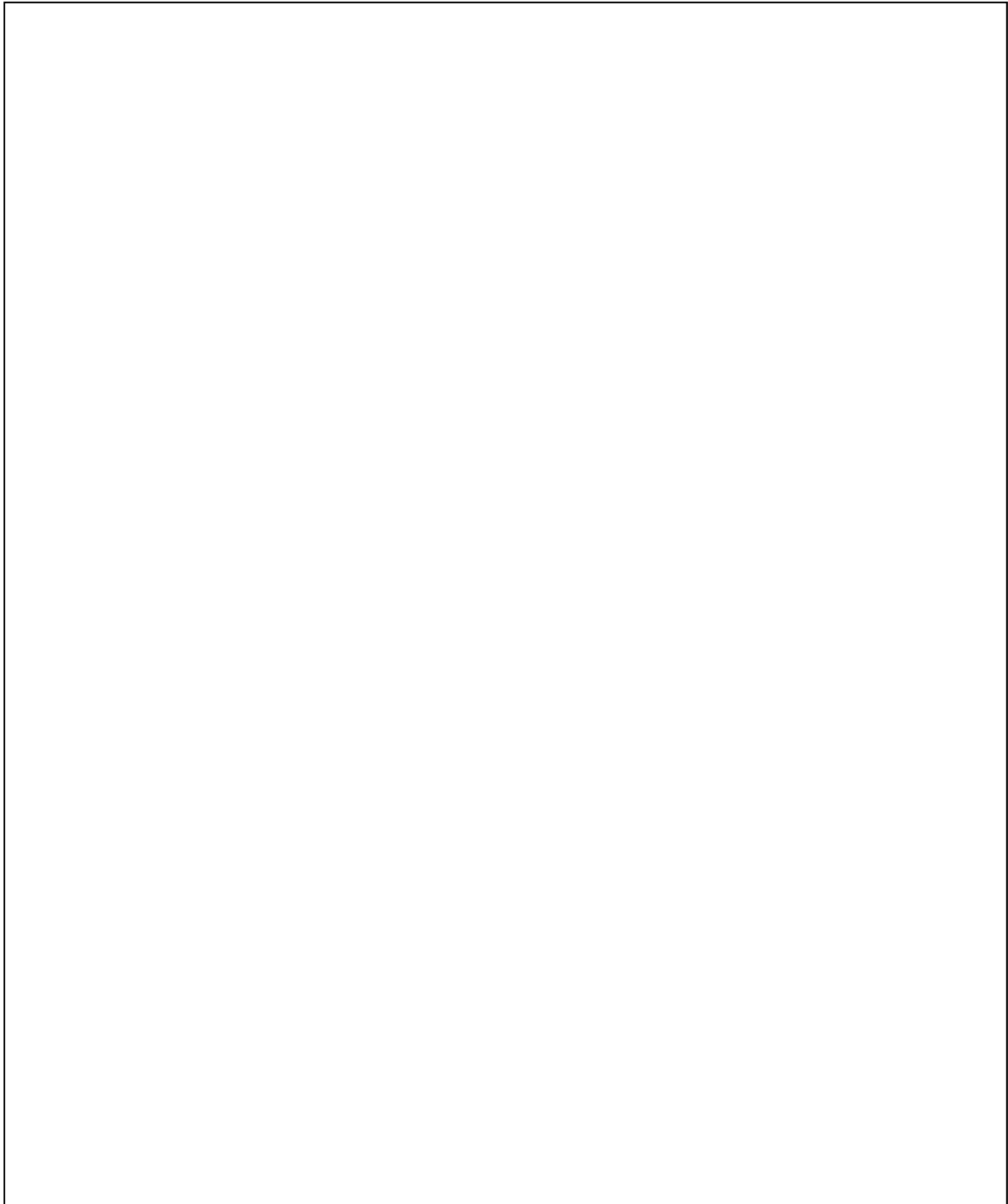


**12. The institution exercises institutional and/or conference autonomy in the establishment of initial and continuing eligibility standards for student-athletes.**

Describe the institution and/or conference initial and continuing eligibility standards for student-athletes.

- 13. The institution assures that academic performance of student-athletes is, at a minimum, consistent with that of the general student body.**

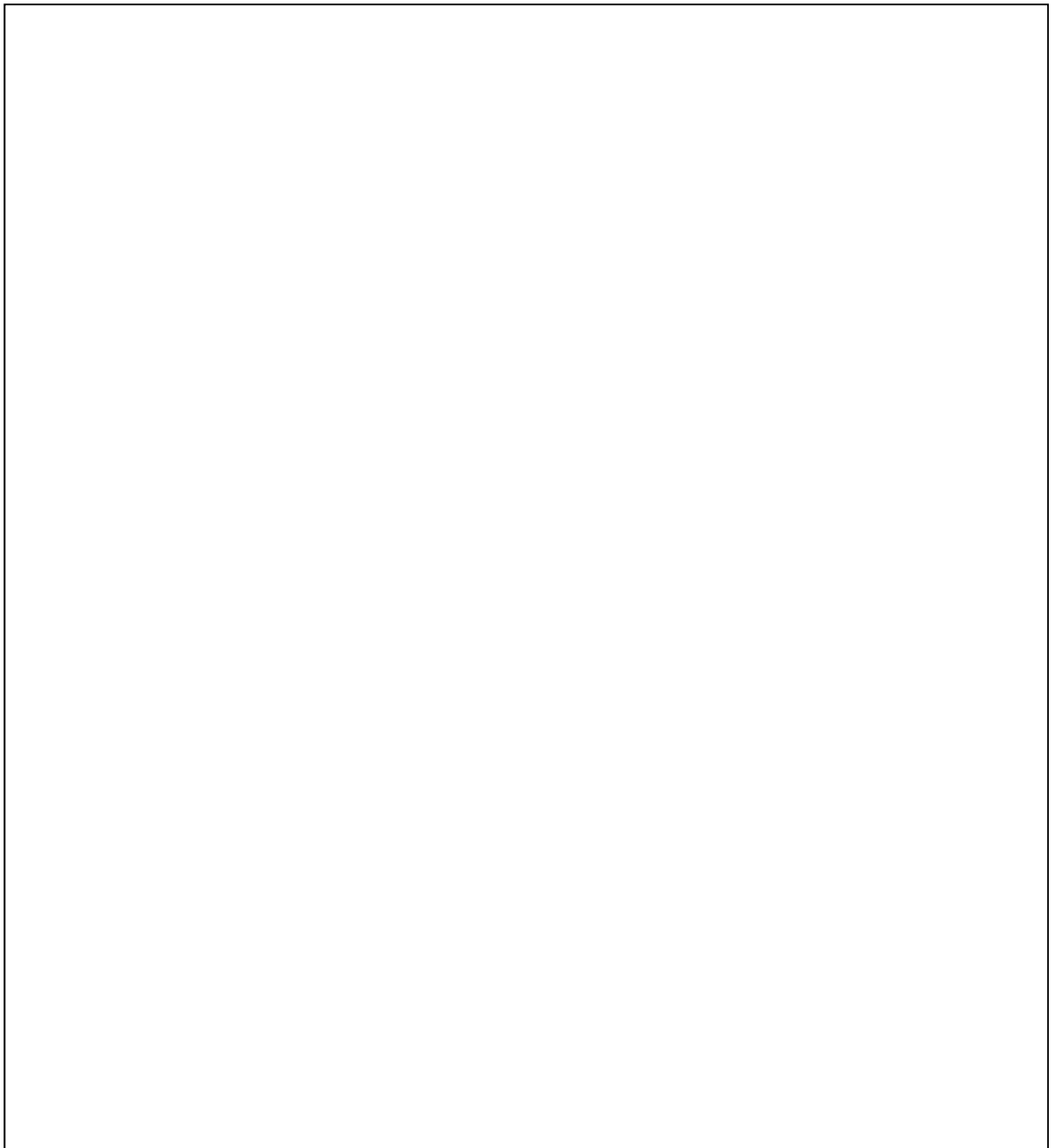
Briefly compare the academic performance of student-athletes and the general student body.





**14. The institution assures that admission policies for student-athletes comply with policies and procedures applicable to the general student body.**

Briefly compare the institution's admissions policy for student-athletes and for the general student body.

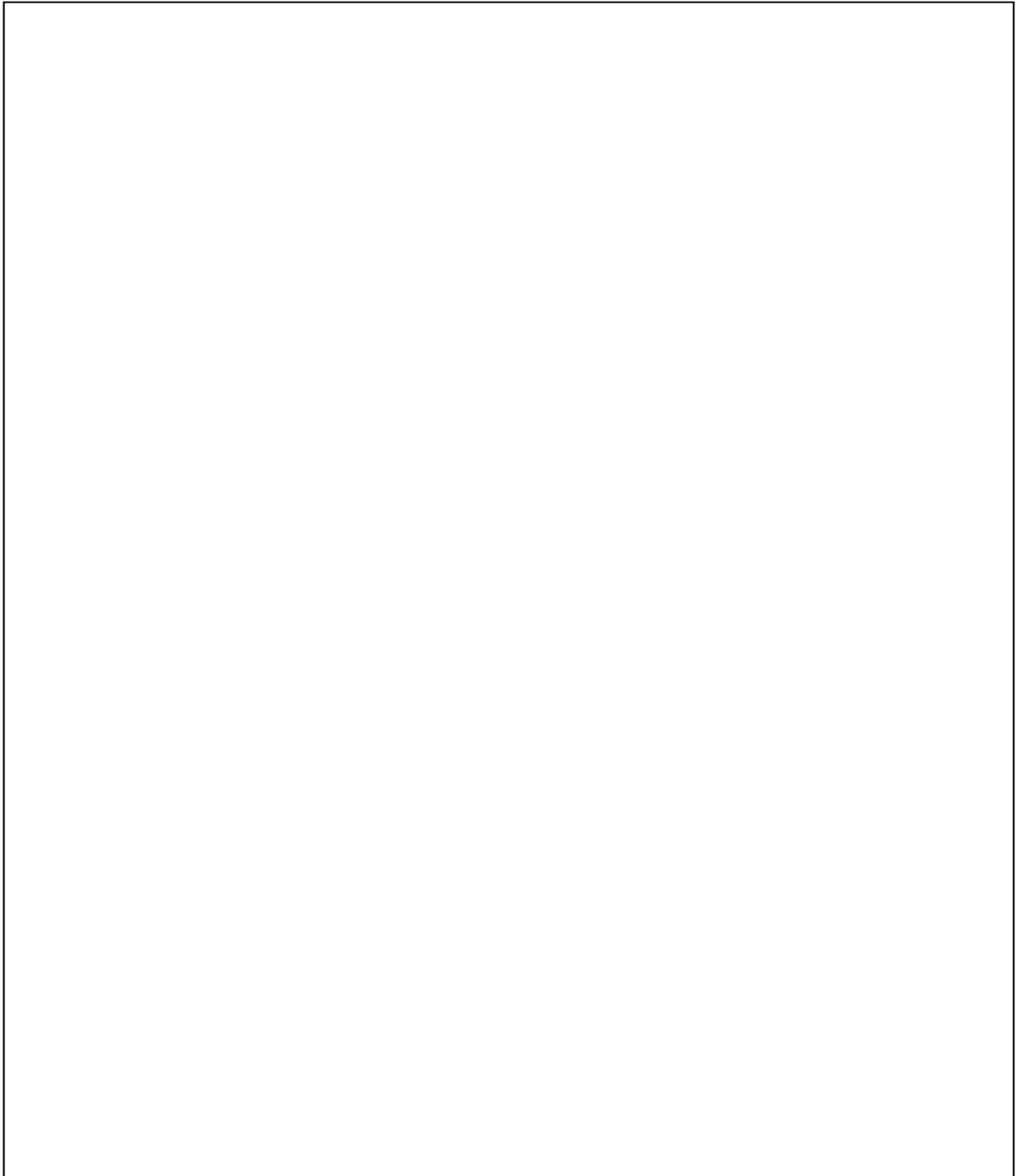


**15. The institution provides equitable athletics opportunities for males and females and gives equal emphasis to men's and women's sports.**

Describe the institution's efforts at achieving and maintaining gender equity and how Division III status affects those efforts.

**16. The institution supports ethnic and gender diversity for all constituents.**

Describe the institution's efforts to promote respect and understanding of diversity issues.



**17. The institution gives primary emphasis to regional in-season competition and conference championships.**

Describe the institution's philosophy regarding the scheduling of regular season contests and emphasis on conference competition.

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- 18. The institution supports student-athletes in their efforts to reach high levels of athletics performance, which may include opportunities for participation in national championships, by providing all teams with adequate facilities, competent coaching and appropriate competitive opportunities.**

Describe the institution's plan (operational and financial) to assure that each intercollegiate athletics team is provided with adequate facilities, competent coaching and appropriate competitive opportunities during the provisional or reclassifying process and continuing as an active Division III member.

## ATHLETICS PROGRAM ASSESSMENT

The NCAA Division III athletics program assessment is designed to assist institutions in establishing a model Division III athletics program. Through the process of completing the assessment, institutions can evaluate whether they possess the resources and infrastructure that are necessary to conduct a viable Division III athletics program.

Please check the box that best describes the reason your institution is completing the athletics program assessment.

- Active Division III institutions on probation as a result of a failure to meet conditions of membership** must satisfy the probationary requirements, including completion of the athletics program assessment. Please detail why your institution was placed on probation and specifically address how you have rectified the issue. Please be thorough in your explanation and provide additional documentation as needed. The institution must both retain a completed copy and forward a completed copy of the assessment and accompanying attachments to the NCAA Division III Membership Committee not later than May 15 of the probation year.
- Provisional/reclassifying (and exploratory) applicants to Division III** are required per NCAA Division III Bylaw 20.3.1.2.1 to complete and submit the athletics program assessment as an element of their application. The completed assessment will be reviewed by the NCAA Division III Membership Committee to help determine an institution's readiness to become a provisional/reclassifying member of Division III. **If the institution does not currently have a policy, procedure or process that is referenced in the athletics program assessment, the institution should attach an implementation plan. See Appendix A.**
- Active member institutions undergoing major personnel changes** (e.g., the hiring of a new director of athletics, athletics direct report, chancellor or president) may also wish to complete the athletics program assessment for their own educational purposes.

### INSTRUCTIONS.

Your institution is encouraged to convene a review panel comprised of the chancellor or president, athletics direct report (if applicable), director of athletics, senior woman administrator, faculty athletics representative, compliance officer, director of admissions, director of financial aid and athletics health care administrator to complete the athletics program assessment. At the conclusion of the assessment, each of these individuals will be required to certify they have reviewed the assessment. Sufficient time should be allotted for an accurate and complete assessment of your institution's athletics department.

At various points throughout the athletics program assessment, supplemental documentation will be necessary to provide an accurate and thorough response. This information will be highlighted throughout the assessment and is required for a complete submission. A full checklist of all required materials is provided at the end of this document and must be included with your submission. Please label each item clearly so that it corresponds with its number on the checklist.

**NCAA DIVISION III ATHLETICS PROGRAM ASSESSMENT**

Institution:

Date:

Full-time undergraduate enrollment:

Conference affiliation (if applicable):

Chancellor or president:

Athletics direct report (if applicable):

Director of athletics:

Senior woman administrator:

Faculty athletics representative:

Compliance officer:

Director of admissions:

Director of financial aid:

Athletics health care administrator:

Mailing address:

Physical address:

Telephone number:

Email:

Athletics website:

**GENERAL INFORMATION.**

1. Briefly describe the structure and size of your department of athletics.

**Attachments:**

\_\_\_\_\_Philosophy and mission statement for the department of athletics;

\_\_\_\_\_Student-athlete handbook;

\_\_\_\_\_Department of athletics policies and procedures manual or handbook;

\_\_\_\_\_Departmental organizational chart;

\_\_\_\_\_Athletics committee or board roster (names, titles and responsibilities); and

\_\_\_\_\_Departmental staff directory.

a. Is there a separate administrative structure for men's and women's programs?

Yes       No

b. Number of sport offerings: Men/Mixed:\_\_\_\_\_ Women:\_\_\_\_\_

c. Number of student-athletes: Men/Mixed:\_\_\_\_\_ Women:\_\_\_\_\_

d. Describe the process your institution has in place to monitor the minimum number of intercollegiate contests and minimum number of participants in each contest that is counted toward meeting the minimum-contest requirement. Who performs this responsibility? [Bylaw 20.11.3.8]

**Attachments:**



- \_\_\_\_\_ Official results from the current academic year AND the previous academic year for all sports sponsored.
- \_\_\_\_\_ Annual sports-sponsorship report from the current academic year AND the previous academic year. **(Attachment A)**
- \_\_\_\_\_ Completed individual sports compliance worksheet for **EACH** individual sport sponsored during the current academic year AND the previous academic year. **(Attachment B)**
- \_\_\_\_\_ Rosters for each team sport sponsored for the current academic year AND the previous academic year.
- \_\_\_\_\_ Schedules for the upcoming academic year for **EACH** sport sponsored.

e. Total number of coaches:

- (1) Salaried/paid head coaches:
  - (a) Full-time employees of the institution:
  - (b) Part-time employees of the institution:
- (2) Salaried/paid assistant coaches:
  - (a) Full-time employees of the institution:
  - (b) Part-time employees of the institution:
- (3) Volunteer coaches:
  - Graduate assistants:

2. Are you currently using any software to assist with compliance? If so, select the area(s) below and list the software package.

- Student-athlete information. Software:
- Financial aid information. Software:
- Eligibility information. Software:
- Recruiting information. Software:

**ORGANIZATION/STRUCTURE.**

1. Describe the process your institution conducted in completing the most recent NCAA Division III Institutional Self-Study Guide. [NCAA Constitution 6.3.1] (Applicable to current Division III institutions on probation.)

List the individuals involved in completing the ISSG.

2. Has your institution established an NCAA Division III Student-Athlete Advisory Committee for student-athletes?

Yes       No

**Attachment:**

\_\_\_\_\_ Student-Athlete Advisory Committee (mission, role and composition).

3. How is your institution's chancellor or president kept informed of athletics matters and issues?  
[Constitution 6.1.1]

Who performs this responsibility, and how often?

4. Did your institution attend the NCAA Convention business session?

Yes     No     N/A (non-NCAA institution)

**If yes, list those in attendance, with title.**

5. Who does the director of athletics directly report to, if other than the chancellor or president?

6. Is your institution's director of athletics primarily an athletics administrator who does not have other major responsibilities (e.g., coaching) within the position?

Yes       No

**If no**, what additional administrative duties does this individual have, and what percentage of this individual's time is dedicated to those duties?

Other duties:

Percentage of time:

**COMPLIANCE SYSTEMS.**

1. Who is responsible for the coordination of compliance? If that person has not been designated, who is responsible for the majority of compliance-related tasks and duties? What percentage of this individual's time is dedicated to compliance-related activity?

Name:

Title:

Other duties:

Compliance duties:

Percentage of time:

2. When was the last time your institution attended an NCAA Regional Rules Seminar?

N/A (non-NCAA institution).

Month/Day/Year

List those in attendance, with title.

3. What other offices or individuals, if any, are performing athletics compliance-related duties (e.g., financial aid, admissions, registrar, coaches)? In what areas?

4. Has your institution established a formal process to conduct investigations of alleged rule violations?

Yes  No

**Attachment:**

\_\_\_\_\_ Policy or process for investigating and reporting NCAA rules violations.

5. Has your institution established a formal process for staff members to request rule interpretations?

Yes  No

**Attachments:**

\_\_\_\_\_ Policy or process for requesting NCAA rules interpretations; and

\_\_\_\_\_ Samples of documented rules interpretations.

6. Describe the process for how your institution provides NCAA rules education to each of the following individuals and groups.

a. Athletics staff (e.g., coaches, administrators, support staff).

b. Student-athletes.

c. Institutional staff (e.g., admissions, financial aid, registrar).

d. Individuals or groups and organizations external to the institution (e.g., boosters, alumni).

**Attachment:**

\_\_\_\_\_ Department of athletics calendar containing rules education meetings/sessions for the groups listed above.

7. Describe the process for administering the NCAA Division III Rules Test to head coaches and individuals with compliance responsibilities on an annual basis.

**Attachments:**

\_\_\_\_\_ Procedures for NCAA Rules Test administration; and

\_\_\_\_\_ NCAA Rules Test administration dates for the current academic year.

8. Describe the process involved for ensuring that student-athletes and institutional staff members complete the required NCAA compliance forms (e.g., student-athlete statement, drug-testing consent form, certification of compliance form, affirmation of eligibility).

List all individuals involved in carrying out the process, with title.

**Attachment:**

\_\_\_\_\_ Procedures for NCAA compliance forms administration.

9. How many secondary violations has your institution self-reported to the NCAA in the past three academic years? \_\_\_\_\_

N/A (non-NCAA institution).

**Attachments:**

\_\_\_\_\_ Records of all secondary violations for the past three years including current academic year; and

\_\_\_\_\_ Forms/documentation used to collect and report information in an investigation.

10. How many student-athlete reinstatement cases have you submitted to the NCAA in the past three academic years including current academic year? \_\_\_\_\_

N/A (non-NCAA institution).

11. Has your institution received a chancellor's or president's letter regarding a student-athlete reinstatement case in the past three academic years including current academic year?

Yes       No       N/A

**If yes, list all actions the institution has taken to prevent similar problems in the future.**

12. **For multidivisional institutions only:** When did your institution last complete its Division I compliance review per Division I Bylaw 20.4.4 (compliance review requirement)?

**Attachment:**

\_\_\_\_\_ Documentation confirming your institution's last approved Division I athletics program assessment.

**FISCAL PRACTICES.**

1. Describe the process used to develop your institution's annual budget for intercollegiate athletics. [Constitution 6.2.1] Include persons involved and timeline for completion.



2. When was the most recent financial audit of the intercollegiate athletics program conducted by an auditor who is not a staff member of your institution? Describe the process, including persons involved and timeline for completion. (Annual financial audit required with year three and beyond per Constitution 6.2.3.)

**Attachment:**

\_\_\_\_\_ Financial audit report (most recent).

3. Are institutional staff members issued institutional credit cards or cash for athletics activities or recruiting?

Yes       No

Describe how use of the credit cards or cash is monitored.

4. Describe the process your institution uses to distribute funds to student-athletes for meals during away-from-home contests for each sport, including the individuals responsible for carrying out such functions.

**Attachment:**

\_\_\_\_\_ Procedures for distribution and reimbursement of travel expenses.

5. Describe the process your institution uses to distribute funds for current student-athlete hosts for the entertainment of prospective student-athletes during recruiting visits.

**Attachment:**

\_\_\_\_\_ Procedures for handling expenditures of funds for activities (e.g., travel, entertainment, lodging, meals) related to prospective student-athletes.

6. Describe the structure and reporting processes for fundraising and development activities of your athletics program.

- a. Are your institution's funds:  Centralized?  
 Decentralized (sport specific)?
- b. Do coaches generate money for their programs through team fundraising activities?  
 Yes  No

**If yes, how are the funds handled and the activities monitored?**

**Attachments:**

\_\_\_\_\_ Procedures for receipt of funds contributed to specific sports by booster clubs and fundraising activities.

\_\_\_\_\_ Financial reports related to booster club(s) activities (most recent).

**EMPLOYMENT/PERSONNEL.**

1. Do contract agreements and/or letters of appointment between coaches and your institution include a stipulation that a violation of NCAA regulations shall subject the coach to disciplinary action? [Bylaw 11.2.1]
- Yes       No

**Attachment:**

\_\_\_\_\_ Sample of standard coaching contracts/letters of appointment (head coaches and assistants).

2. Do job descriptions for the following individuals include athletics compliance related responsibilities?
- a. Athletics administrators.       Yes       No
- b. Coaches (full and part time).       Yes       No
- c. Volunteers.       Yes       No
- d. Nonathletic staff with athletics compliance responsibilities.       Yes       No

**Attachment:**

\_\_\_\_\_ Sample job description for individuals with athletics compliance-related responsibilities.

3. Do performance evaluations for the following individuals include rules compliance criteria?
- a. Athletics administrators.       Yes       No
- b. Coaches (full time and part time).       Yes       No
- c. Volunteers.       Yes       No
- d. Nonathletic staff with athletics compliance responsibilities.       Yes       No

**Attachment:**

\_\_\_\_\_ Sample performance evaluations for individuals with athletics compliance-related responsibilities (forms/criteria).

4. Describe how your institution's hiring and employment policies for open positions within the department of athletics are consistent with your institution's policies.

**Attachment:**

\_\_\_\_\_ Documentation demonstrating compliance with your institution's hiring and employment policies for open positions within the department of athletics.

5. Describe the process your institution uses to monitor the NCAA prohibition on the use of tobacco products by all game personnel (e.g., coaches, managers, trainers, game officials) and student-athletes during practice and competition. [Bylaw 11.1.5]

List all individuals responsible for monitoring tobacco use, with titles.

6. Describe the process your institution uses to monitor the NCAA prohibition on sports-wagering activities. [Bylaw 10.3]

List all individuals responsible for monitoring sports-wagering activities, with titles.

**RECRUITING.**

1. Who is responsible for overseeing day-to-day athletics recruitment activities for all sports (e.g., recruiting coordinator, admissions liaison, coach)?

Name:

Title:

Responsibilities:

2. Describe the process your institution uses to monitor and evaluate recruiting policies.

3. What procedures are in place to monitor institutional sports camps and clinics?

List all individuals responsible for review and approval of camps and clinics activities with title. [Bylaw 13.11]

4. How does your institution monitor official and unofficial visits? [Bylaws 13.6 and 13.7]

List all individuals, with title, responsible for review and approval of official and unofficial visits.

**Attachment:**

\_\_\_\_\_ Recruiting policies (e.g., for official and unofficial visits).

**ADMISSIONS AND ACADEMIC ELIGIBILITY.**

1. Has your institution designated an individual or body outside athletics with responsibility to certify student-athletes' eligibility?

Yes       No

Name:

Title:

**Attachment:**

\_\_\_\_\_ Documented policies or procedures concerning admissions and academic standards (including those for special admissions).

2. Have your institution's procedures for certifying the eligibility of student-athletes been approved by your institution's chancellor or president? [Bylaw 14.01.2.2]

Yes       No

3. Who are the official liaisons, if any, between the department of athletics and the admissions and registrar's offices?

- a. Admissions.

Name:

Title:

Responsibilities:

- b. Registrar.

Name:

Title:

Responsibilities:

4. Does your institution have procedures for identifying student-athletes in your institution's student information system (e.g., full-time status, good academic standing)?

Yes       No

**If yes,** please describe the process by which student-athletes are identified and who performs this responsibility.

5. Describe the process developed to certify student-athlete eligibility for practice and competition and list individuals involved (e.g., full-time status, good academic standing).

**Attachment:**

\_\_\_\_\_ Procedures to certify student-athlete eligibility for practice and competition (e.g. checklist distributed to coaches, trainers, equipment manager).

How is this communicated to the coaches? [Bylaw 14.01.2.2]

6. Describe the process for continual monitoring of student-athlete full-time enrollment status and list individuals involved.

7. How does your institution define "good academic standing?"



8. Does your institution periodically evaluate the effectiveness of its eligibility-certification process?

- Yes       No

**If yes, describe the evaluative process and list individuals involved.**

**Attachment:**

\_\_\_\_\_ Procedures for evaluating eligibility-certification process and individuals involved.

9. Does your institution educate student-athletes regarding outside competition rules? [Bylaw 14.7]

- Yes       No

**If yes, who is responsible for conducting these education sessions?**

Name:

Title:

Responsibilities:

10. Describe the process used by your institution to inform student-athletes about their permission to contact another institution. [Bylaw 13.1.1.2]

- a. Permission to contact – self-release (Division III to Division III). [Bylaw 13.1.1.2.1]
- b. Permission to contact Divisions I or II institutions or NAIA four-year institutions.

- (1) Who is responsible for providing a student-athlete with written notification of a hearing opportunity if a request to contact a Divisions I or II institution or NAIA four-year institution is denied? [Bylaw 13.1.1.2.2]

- (2) Describe the hearing process.

11. How does your institution determine the eligibility status of two-year and four-year college transfers? Please include individuals involved and their respective responsibilities in the process. [Bylaws 14.5.4 and 14.5.5]

**Attachment:**

\_\_\_\_\_ Procedures and/or forms used in determining eligibility of transfer student-athletes (e.g., residency requirement, transferable degree credit/grade-point averages, full-time terms of enrollment).

12. How does your institution monitor the number of full-time terms used and the number of seasons of eligibility used by student-athletes? [Bylaws 14.2.2 and 14.2.4]

**FINANCIAL AID.**

1. Is your institution's regular financial aid authority handling all forms of financial assistance for student-athletes? [Bylaw 15.4.2]

Yes  No

2. Have written procedures been developed to ensure consistent financial aid packaging for student-athletes and the general student body? [Bylaw 15.4.1]

Yes  No

**Attachment:**

\_\_\_\_\_ Written procedures to ensure consistent financial aid packaging for student-athletes and the general student body.

3. How does your institution ensure that athletics ability, participation or leadership are not considered in the formation of institutional financial aid packages? [Bylaw 15.01.3]

Who performs this responsibility?

4. How does your institution ensure that athletics department personnel are not involved in the arrangement or modification of student-athlete financial aid packages? [Bylaw 15.4.5]

Who performs this responsibility?

5. Have individuals in the financial aid and athletics offices been designated to coordinate the need for department of athletics data (team roster) to complete the annual financial aid reporting process? [Bylaw 15.15.4.1.1]

Yes       No

Please list liaisons, if any, between the department of athletics and the financial aid office.

Name:

Title:

Responsibilities:

6. How does your institution develop, maintain and update team rosters?

Who performs this responsibility?

7. Does your institution monitor on-campus student-athlete employment?

Yes       No

8. How does your institution monitor financial aid from outside sources? [Bylaw 15.2.3.2]

Please list individuals involved.

**AMATEURISM.**

1. How does your institution monitor the amateur status of all prospective student athletes and enrolled student-athletes? [Bylaws 12.1.3 and 12.1.5]

Who performs this responsibility?

2. What process does your institution follow to ensure the completion of the International Student-Athlete Eligibility Form? [Bylaw 14.1.5.1]

Who performs this responsibility?

**AWARDS AND BENEFITS.**

1. How does your institution monitor the provision of complimentary admissions to student-athletes? [Bylaw 16.2.1]

Who performs this responsibility?

2. How does your institution monitor permissible and nonpermissible expenses for practice and competition including departure and return expense restrictions? [Bylaw 16.8]

Who performs this responsibility?

3. How does your institution monitor receipt of permissible and nonpermissible benefits, expenses, gifts and services by student-athletes (e.g., occasional meals, reasonable refreshments, summer use of athletics equipment and promotional activities prizes)? [Bylaw 16.11]

Who performs this responsibility?

**PLAYING AND PRACTICE SEASONS.**

1. Does your institution declare the playing season (traditional and nontraditional) for each sport in writing and maintain the written documentation on file in the department of athletics? [Bylaw 17.1.1.1]

Yes       No

**Attachment:**

\_\_\_\_\_Declaration of playing season documentation.

How does your institution monitor the maximum number of contests or dates of competition, the first permissible date of practice and the first permissible date of competition in each sport?

Who performs this responsibility?

2. How does your institution monitor preseason activities prior to the first day of classes (e.g., football acclimatization, equipment issue, medical screening)?

**Attachment:**

\_\_\_\_\_Procedures for preseason activities.

3. How does your institution monitor required days off for each student-athlete (e.g., team and individual sports) during the playing season? [Bylaw 17.1.4.1]

Who performs this responsibility?

4. How does your institution ensure student-athletes and coaches do not engage in athletically related activities outside the declared playing and practice season? [Bylaw 17.1.5]

Who performs this responsibility?

**SPORTSMANSHIP.**

1. How does your institution monitor, evaluate and address matters concerning sportsmanship and ethical conduct, including fan behavior? [Constitution 2.4]

Who performs this responsibility?

2. Describe your institution's method(s) for communicating the institution's sportsmanship and ethical conduct policies and procedures to all individuals associated with the athletics program, including fans and other support groups.



**GAME-DAY OPERATIONS.**

- Does your institution have game day operations or event management procedures?  
 Yes       No

**Attachment:**

\_\_\_\_\_ Game day operations or event management procedures.

Who performs this responsibility?

**SPORTS INFORMATION.**

1. How does your institution coordinate its media activities associated with the athletics program?

**Attachment:**

\_\_\_\_\_ Policies and procedures for media activities associated with the athletics program.

Who performs this responsibility?

2. How does your institution coordinate its score reporting to the NCAA national office?

Who performs this responsibility?

**SPORTS MEDICINE.**

1. What mechanisms are in place to ensure the health and safety of student-athletes? [Constitution 2.2.3]

2. Describe your institution's emergency medical plan for practices and competitions.

3. How many full-time and part-time staff comprise your institution's sports medicine team?

Full time \_\_\_\_\_ Part time \_\_\_\_\_

**Checklist of Materials to be Reviewed and Submitted with the NCAA  
Division III Athletics Program Assessment**

Please label each item clearly so that it corresponds with its number on this checklist.

**1. Introduction.**

- Philosophy and mission statement for the department of athletics.
- Student-athlete handbook.
- Department of athletics policies and procedures manual or handbook.
- Departmental organizational chart.
- Athletics committee or board roster (names, titles and responsibilities).
- Departmental staff directory.
- The institution's NCAA annual sports-sponsorship report from the previous academic year.
- Official results from the current AND the previous academic year for all sports sponsored.
- Sports-sponsorship summary report from the current academic year AND the previous academic year. (Attachment A)
- Completed individual sports compliance worksheet (Attachment B) for **EACH** individual sport sponsored during the current year AND the previous academic year.
- Rosters for each team sport sponsored for the current academic year.
- Schedules for the upcoming academic year for **EACH** sport sponsored.

**2. Organization/Structure.**

- Student-Athlete Advisory Committee (mission, role and composition).

**3. Compliance Systems.**

- Policy or process for investigating and reporting NCAA rules violations.
- Policy or process for requesting NCAA rules interpretations.
- Samples of documented rules interpretations.
- Department of athletics calendar containing rules education meetings/sessions for athletics and institutional staff, student-athletes and groups external to the institution.
- Procedures for NCAA rules test administration.
- NCAA rules test administration dates for the past academic year.
- Procedures for NCAA compliance forms administration.
- Records of all secondary violations for the past three years.
- Forms/documentation used to collect and report information in an investigation.
- Documentation confirming the institution's last approved Division I athletics program assessment. **[Required for multidivisional institutions only.]**

**4. Fiscal Practices.**

- Financial audit report (most recent).
- Procedures for distribution and reimbursement of travel expenses.
- Procedures for handling expenditures of funds for activities (e.g., travel, entertainment, lodging, meals) related to prospective student-athletes.
- Procedures for receipt of funds contributed to specific sports by booster clubs and fundraising activities.
- Financial reports related to booster club(s) activities (most recent).

**5. Employment/Personnel.**

- Sample of standard coaching contracts/letters of appointment (head coaches and assistants).
- Sample job description for individuals with compliance-related responsibilities.
- Sample performance evaluations for individuals with athletics compliance related responsibilities (forms/criteria).
- Documentation demonstrating compliance with the institution's hiring and employment policies for open positions within the department of athletics.

**6. Recruiting.**

- Recruiting policies (e.g., for official and unofficial visits).

**7. Admissions and Academic Eligibility.**

- Documented policies or procedures concerning admissions and academic standards (including those for special admissions).
- Procedures to certify student-athlete eligibility for practice and competition (e.g., checklist distributed to coaches, trainers, equipment manager).
- Procedures for evaluating eligibility-certification process and individuals involved.
- Procedures and/or forms used in determining eligibility of transfer student- athletes (e.g., residency requirement, transferable degree credit/grade-point averages, full-time terms of enrollment).

**8. Financial Aid.**

- Written procedures to ensure consistent financial aid packaging for student-athletes and the general student body.

**9. Playing and Practice Seasons.**

- Declaration of playing season documentation.
- Procedures for preseason activities.

**10. Game Day Operations.**

- Game day operations or event management procedures.

**11. Sports Information.**

- Policies and procedures for media activities associated with the athletics program.

**12. Sports Medicine.**

- Emergency medical plan for practices and games.

### CERTIFICATION OF REVIEW

The signatures below certify that \_\_\_\_\_ (institution) has completed a comprehensive evaluation of its intercollegiate athletics programs using the athletics program assessment.

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Printed name of chancellor or president

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Signature

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Printed name of athletics direct report  
(if different than chancellor or president)

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Signature

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Printed name of director of athletics

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Signature

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Printed name of senior woman administrator

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Signature

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Printed name of faculty athletics representative

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Signature

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Printed name of compliance officer

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Signature

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Printed name of director of admissions

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Signature

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Printed name of director of financial aid

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Signature

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Printed name of health care administrator

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Signature