



DIVISION III

DISCOVER | DEVELOP | DEDICATE

APPLICATION FOR NCAA DIVISION III EXPLORATORY YEAR

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.

Academic year to begin exploratory year:

Date of submission:

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:

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 designating 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 academic title:

Address:

City: State: Zip: Telephone:

Email:

5. Faculty athletics representative:

Men's Women's Both

Name and academic 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 designating 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: Telephone:

Email:

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

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

Please note that the Division III Membership Committee strongly encourages that institutions appoint a compliance officer who does not also function as the director of athletics.

8. Compliance officer name:

Title: Telephone:

Email:

Check here if your institution currently does not have an individual designated to the compliance officer role and include an implementation plan for designating 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 designating 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 (SAAC) administrative representative is one of the individuals already listed:

10. SAAC 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 designating 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. 11 even if the team physician is one of the individuals already listed:

11. Team Physician:

Name: Title:

Email: Telephone:

Check here if your institution currently does not have a team physician designated and include an implementation plan for designating 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. 12 even if the athletics health care administrator is one of the individuals already listed:

12. Athletics Health Care Administrator:

Name: Title:

Email: Telephone:

Check here if your institution currently does not have an athletics health care administrator designated and include an implementation plan for designating 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. 13 even if the diversity and inclusion designee is one of the individuals already listed:

13. Athletics Diversity and Inclusion Designee:

Name: Title:

Email: Telephone:

Check here if your institution currently does not have an athletics diversity and inclusion designee and include an implementation plan for designating an individual to this role. See **Appendix A** for information on this role. See **Appendix C** for the implementation plan template.

14. 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:

15. 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.

16. 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 their role at the Division III institution:

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

Men: Women: Total:

18. Indicate your institution's classification: Public or Private

19. Indicate your institution's status: For profit or Not-for-profit

20. 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

21. What regional agency has accredited your institution?

Date of most recent accreditation?

22. Has your institution previously submitted a membership application to the NCAA?

Yes No

If yes, what was the date of your application?

23. 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:

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

Men: Women:

25. 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

26. Attestation of Compliance.

Is your institution aware that in order to enter a team or individual in an NCAA championship or for an individual to serve on an NCAA committee, presidents, chancellors and directors of athletics must attest annually that the obligations to control and monitor athletics programs have been met by October 15th of the academic year? (See NCAA Division III Bylaws 20.8.4 and 31.2)

Yes No

27. Campus Sexual Violence Annual Attestation.

Is your institution aware that its chancellor or president, director of athletics, or campus Title IX coordinator must annually attest to follow the Campus Sexual Violence policy that reinforces previous efforts of the Association in addressing campus sexual violence by March? Schools that do not attest are prohibited from hosting NCAA championships in the next applicable academic year. (See NCAA Board of Governors Policy on Campus Sexual Violence.)

Yes No

28. 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 20.10.5.1 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 20.10.5.1 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

29. 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)

30. Does your institution have defined plans to add any sports(s)?

Yes No

If yes, please include an implementation plan for adding any sport(s). See **Appendix C** for the implementation plan.

31. 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)

32. 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.

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

Your 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.

34. Does your institution meet the legislated requirements necessary to request a waiver of the exploratory period per Bylaw 20.10.2.1.4 (exploratory year waiver). See **Appendix B**.

Yes No

Do you currently have plans to request that waiver (official notification due no later than May 15)?

Yes No

Checklist of Materials to be Reviewed and Submitted with the NCAA Division III Exploratory Application

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

- **Required Forms.**

- A letter of support of your interest and desire to explore NCAA Division III from your board of trustees/governors.
- A sponsoring institution's letter of recommendation signed by the sponsoring institution's chancellor or president and faculty athletics representative and director of athletics and senior woman administrator.
- Appendix C - the implementation plan.
- Attachment A – 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 B – the individual-sports compliance worksheet for each individual fall sport sponsored during the current academic year and each individual winter and spring sport sponsored during the previous academic year.
- Attachment C – your institution's completed viability statement.
- Attachment D – your institution's completed athletics program assessment.

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 20.10.8)

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) Printed name Date

Men's Women's Both

Signature Printed name Date
(Faculty Athletics Representative)

Men's Women's Both

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.

THE COMPLETED APPLICATION MUST BE SUBMITTED IN ELECTRONIC FORMAT. CONTACT THE INDIVIDUAL IDENTIFIED BELOW TO DETERMINE THE FORMAT AND DELIVERY METHOD.

IF YOUR APPLICATION IS APPROVED AT THE SPRING MEMBERSHIP COMMITTEE MEETING, YOU WILL IMMEDIATELY BE INVOICED IN THE AMOUNT OF \$1,000 FOR THE EXPLORATORY YEAR FEE. THIS FEE WILL BE REQUIRED TO BE PAID NO LATER THAN 30 DAYS POST-RECEIPT.

FOR FUTURE BUDGETARY PLANNING PURPOSES, PLEASE BE AWARE THAT A CHECK IN THE AMOUNT OF \$39,000 (NEW MEMBERSHIP FEE) PLUS STANDARD DIVISION III ANNUAL DUES (CURRENTLY \$2,000) WILL BE REQUIRED BY SEPTEMBER 1 OF YOUR FIRST PROVISIONAL OR RECLASSIFYING YEAR 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 Division III Bylaw 20.13.2)]

Eric Hartung
ehartung@ncaa.org

**NCAA Division III
ATTN: Eric Hartung
1802 Alonzo Waterford Senior Drive
Indianapolis, Indiana 46202
Phone: 317-917-6306**

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 Division III Bylaw 21.02.9).

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 (Bylaw 21.02.6).

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 (Bylaw 21.02.8.1).

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 (Bylaw 20.4.4.23).

Designation of Team Physician. An active member institution shall designate a licensed physician to serve as team physician for its intercollegiate teams. The team physician shall be a medical doctor (MD) or osteopathic physician (DO) with a current license in good standing to practice medicine in the state of the active member institution. The team physician shall be authorized to oversee the medical services for injuries and illnesses incidental to a student-athlete's participation in intercollegiate athletics. (Bylaw 20.8.4.20).

Athletics Diversity and Inclusion Designee. An active member institution shall designate an athletics diversity and inclusion designee to be the primary contact and conduit for diversity and inclusion-related information. (Bylaw 20.8.4.23).

APPLICABLE NCAA DIVISION III LEGISLATION

20.6.4 Three-Year Provision. Reclassifying membership shall not be less than a three-year period. At the end of the three-year period, a reclassifying member shall be eligible for active membership (see Bylaw 20.8.3). *(Adopted: 1/8/07 effective 8/1/07, Revised: 1/27/20 effective 8/1/20)*

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)*

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 15.3. 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 15.3.1.1). *(Adopted: 1/8/07 effective 8/1/07, Revised: 7/14/09)*

20.10.2.1.4 Exploratory Year Waiver. Not later than May 15th 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: 4/15/22 effective 8/1/22)*

- (a) An application for Division III provisional membership on the form approved by Membership Committee; *(Adopted: 4/15/22 effective 8/1/22)*
- (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; *(Adopted: 4/15/22 effective 8/1/22)*
- (c) Information demonstrating that the institution satisfied NCAA Division III minimum sport-sponsorship requirements during the previous three academic years; *(Adopted: 4/15/22 effective 8/1/22)*
- (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 seminar in the year of submission of the waiver request; and *(Adopted: 4/15/22 effective 8/1/22)*
- (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. *(Adopted: 4/15/22 effective 8/1/22)*

20.10.2.2.1 Standards for Application for Membership. An institution must satisfy all of the following at the time of application: *(Adopted: 4/15/22 effective 8/1/22)*

- (a) Participation in an exploratory year during the year of application to Division III; *(Adopted: 4/15/22 effective 8/1/22)*

- (b) Receipt of a bona fide invitation for membership from an active Division III multisport conference. A conference affiliation shall be maintained during the Division III membership process; *(Adopted: 1/17/23 effective 8/1/23 For institutions whose provisional or reclassifying membership process will begin during or after the 2024-25 academic year.)*
- (c) Satisfactory completion of a viability statement describing the institution's commitment to the Division III philosophy statement. The Membership Committee shall make available the viability statement form as part of the provisional member application; *(Adopted: 4/15/22 effective 8/1/22)*
- (d) Sponsorship by an active Division III member, 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, athletics director, senior woman administrator and faculty athletics representative; and *(Adopted: 4/15/22 effective 8/1/22)*
- (e) Demonstration of a functioning compliance system. The Membership Committee shall make available the athletics assessment form as part of the provisional member application. *(Adopted: 4/15/22 effective 8/1/22)*

20.10.3 Class Size and Assignment. There shall be a maximum of ten 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: 4/15/22 effective 8/1/22)*

- (a) Geographic location in an area that needs or can accept new members; *(Adopted: 4/15/22 effective 8/1/22)*
- (b) Reclassifying versus provisional status; *(Adopted: 4/15/22 effective 8/1/22)*
- (c) Existing or potential membership in an active Division III conference; *(Adopted: 4/15/22 effective 8/1/22)*
- (d) Broad-based sports sponsorship profile; and *(Adopted: 4/15/22 effective 8/1/22)*
- (e) Whether the institution has previously provided athletically related financial aid. *(Adopted: 4/15/22 effective 8/1/22)*

20.10.4 Three-Year Provision. Provisional membership shall not be less than a three-year period. At the end of the three-year period, a provisional member shall be eligible to apply for active membership. *(Adopted: 4/15/22 effective 8/1/22)*

20.10.5 Compliance with Association Rules. Unless specified otherwise in Bylaw 20.10, a provisional member shall administer its athletics program in accordance with the constitution, bylaws and other legislation of the Association. *(Adopted: 4/15/22 effective 8/1/22)*

20.10.5.1 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 15.3.1.1). (*Adopted: 4/15/22 effective 8/1/22*)

20.11 Division III Membership Requirements. (*Revised: 1/10/95, 1/9/06 effective 8/1/06*)

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:

- (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 student-athletes and give equal emphasis to men's and women's sports; *(Revised: 7/25/19)*
- (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: 1/4/06, 1/11/09)*

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, 1/3/05, 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)*

Team Sports	Minimum Contests	Minimum Participants	Individual Sports	Minimum Contests	Minimum Participants
Acrobatics and Tumbling	6	18	Bowling	8	5
Beach Volleyball	8		Cross Country	5	5
Baseball	25		Fencing	8	5
Basketball	18		Golf	6	4
Field Hockey	12		Men's Gymnastics		6
Football	7		Women's Gymnastics		5
Ice Hockey	18		Rifle	6	4
Lacrosse	10		Skiing	5	5
Women's Rowing	8		Swimming and Diving	8	8
Women's Rugby	8		Tennis	10	6
Soccer	13		Track and Field, Indoor	5	10
Softball	24		Track and Field, Outdoor	6	12
Volleyball	17		Women's Triathlon	4	3
Water Polo	13		Wrestling (Men's and Women's)	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.) (Revised: 1/27/20 effective 8/1/20)

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.

Copy and paste the template below for each individual implementation plan.

Implementation Plan	
Specific	Describe the details of the implementation plan.
Measurable	How will your institution measure the success of the implementation plan?
Achievable	Is the implementation plan achievable?
Relevant	Is the implementation plan relevant within the current environment and/or existing constraints?
Time-bound	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
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)?
Acrobatics and Tumbling	6	18						
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	/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	6	12						
•Triathlon	4	3						

• Indicates sport is an individual sport.

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)?
Volleyball	17	n/a						
Water Polo	13	n/a						
• Wrestling	7	6						

- Indicates sport is an individual sport.

SAMPLE

Compliance Worksheet

Individual/Sport: _____

Mixed Team

[illegible]

**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.

- 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.

- 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.

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.

NCAA DIVISION III 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 20.10.2.2.1 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, athletics diversity and inclusion designee, team physician, 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: _____

Athletics diversity and inclusion designee: _____

Team physician: _____

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 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:

- ____ Your institution's NCAA sports-sponsorship and demographic form from previous academic year. (Applicable to current Division III institutions on probation and reclassifying applicant institutions.)
- ____ 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: _____
 - % of time spent on coaching responsibilities: _____
 - % of time spent on other responsibilities: _____
 - (b) Part-time employees of the institution: _____
 - (2) Salaried/paid assistant coaches: _____
 - (a) Full-time employees of the institution: _____
 - % of time spent on coaching responsibilities: _____
 - % of time spent on other responsibilities: _____
 - (b) Part-time employees of the institution: _____
 - (3) Volunteer coaches: _____
 - (a) 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. Has your institution established an NCAA Division I Student-Athlete Advisory Committee for student-athletes?

_____ Yes _____ No

Attachment:

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

2. How is your institution's chancellor or president kept informed of athletics matters and issues? [Bylaw 20.1.1]

Who performs this responsibility, and how often?

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

_____ Yes _____ No _____ N/A (non-NCAA institution)

If yes, list those in attendance, with title.

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

5. 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 20.14.5.3 (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. [Bylaw 20.14.5.1] 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 Bylaw 20.14.5.3.)

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. Non-athletics 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. Non-athletics 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 13.4.1]

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).

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

Attachment:

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

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 15.3.2]

_____ Yes _____ No

2. Have written procedures been developed to ensure consistent financial aid packaging for student-athletes and the general student body? [Bylaw 15.3.1]

_____ 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 15.3.1.1]

_____ 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 15.1.2.1]

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? _____

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 non-permissible 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 non-permissible 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 issues, 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? [NCAA Constitution Article 1.C]

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 AND FACILITIES.

1. 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? _____

2. Does your institution have a facility master plan.

_____ Yes _____ No

Are athletics facilities incorporated into your institutional facility master plan?

_____ Yes _____ No

Attachment:

_____ Facility master plan.

Provide information detailing your current athletic facilities and any planned future enhancements.

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 Articles 1.D and 2.D.1.d
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

SAMPLE

**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.

- ___ A cover letter signed by the President/Chancellor, athletics direct report (if applicable) and the director of athletics.
- ___ Philosophy and mission statement for the department of athletics.
- ___ Student-athlete handbook.
- ___ Department of athletics policies and procedures manual and handbook.
- ___ Departmental organizational chart.
- ___ Athletics committee or board roster (names, title 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 and Facilities.

____ Game day operations or event management procedures.

____ Institution facility master plan.

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 the undersigned have reviewed this submission and that _____(institution) has completed a comprehensive evaluation of its intercollegiate athletics programs using the athletics program assessment.

Printed name of chancellor or president _____

Signature _____

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

Signature _____

Printed name of director of athletics _____

Signature _____

Printed name of senior woman administrator _____

Signature _____

Printed name of faculty athletics representative _____

Signature _____

Printed name of compliance officer _____

Signature _____

Printed name of athletics diversity and inclusion designee _____

Signature _____

Printed name of team physician _____

Signature _____

Printed name of director of admissions _____

Signature _____

Printed name of director of financial aid _____

Signature _____

Printed name of health care administrator _____

Signature _____