

**NCAA DIVISION III
EXPLORATORY PERIOD
REGISTRATION FORM**



Institution name: _____ Academic year: _____

Contact Information:

President/Chancellor: _____

Address: _____

City and state: _____ Zip code: _____

Email address: _____ Telephone: _____

Director of athletics: _____

Address: _____

City and state: _____ Zip code: _____

Email address: _____ Telephone: _____

Additional Institutional Representative:

Name: _____

Title: _____

Address: _____

City and state: _____ Zip code: _____

Email address: _____ Telephone: _____

Exploratory Status.

- Has your institution informed its campus constituents (e.g., student-athletes; faculty; board) of its interest and desire to explore Division III? Yes No * If no, please explain: _____

- Does your institution intend to add sport(s)? If so, which sport(s) and during which academic year will the sport(s) be added? _____

***The NCAA Division III Presidents Council requests that your institution announce its decision to explore Division III in an effort to ensure all prospective and current student-athletes are aware of potential athletically related financial aid implications.**

Please list other athletics associations your institution is affiliated with (e.g., NAIA, NCCAA):

Please list which of the six regional accrediting agencies has accredited your institution and indicate the date of your institution's most recent accreditation:

Please note that your institution must satisfy the minimum sports-sponsorship requirements during your exploratory year. Complete the chart included by listing all varsity intercollegiate sports involving all male, all female and mixed male and female teams you plan to sponsor during the exploratory year.

1. At least six varsity intercollegiate sports for men and at least three of the six sports must be team sports.*
2. At least six varsity intercollegiate sports for women and at least three of the six sports must be team sports.*
3. One sport per gender per season (i.e., fall, winter, spring).
[Team sports include: baseball, basketball, field hockey, football, ice hockey, lacrosse, rowing (women's), rugby (women's), soccer, softball, volleyball and water polo.]

*Institutions with full-time undergraduate enrollment fewer than 1,000 students must sponsor only five varsity intercollegiate sports for each gender.

Institution's full-time undergraduate enrollment: _____

Fall Sports

Varsity Sport (men/mixed)	Number of Contests in 11-12 ¹	Number of Participants in 11-12 ²	Number of Contests in 12-13 ³
1.			
2.			
3.			
4.			
5.			
6.			
7.			
8.			

Varsity Sport (women)	Number of Contests in 11-12 ¹	Number of Participants in 11-12 ²	Number of Contests in 12-13 ³
1.			
2.			
3.			
4.			
5.			
6.			
7.			
8.			

Winter Sports

Varsity Sport (men/mixed)	Number of Contests in 11-12 ¹	Number of Participants in 11-12 ²	Number of Contests in 12-13 ³
1.			
2.			
3.			
4.			
5.			
6.			
7.			
8.			

Varsity Sport (women)	Number of Contests in 11-12 ¹	Number of Participants in 11-12 ²	Number of Contests in 12-13 ³
1.			
2.			
3.			
4.			
5.			
6.			
7.			
8.			

Spring Sports

Varsity Sport (men/mixed)	Number of Contests in 11-12 ¹	Number of Participants in 11-12 ²	Number of Contests in 12-13 ³
1.			
2.			
3.			
4.			
5.			
6.			
7.			
8.			

Varsity Sport (women)	Number of Contests in 11-12 ¹	Number of Participants in 11-12 ²	Number of Contests in 12-13 ³
1.			
2.			
3.			
4.			
5.			
6.			
7.			
8.			

¹ This information should indicate the number of contests completed in the appropriate sport against four-year institutions with varsity programs.

² This information should indicate the number of participants who were on the roster in the sport.

³ This information should indicate the number of contests scheduled and/or projected in the appropriate sport against four-year institutions with varsity programs.

This form must be returned with the \$500 nonrefundable fee to:

Debbie Brown
NCAA
P.O. Box 6222
Indianapolis, Indiana 46206

Form is due **not later than January 15** prior to the academic year that the institution desires to serve its exploratory year.

In an effort to be proactive, the NCAA asks that you please note that in order to make application for the **NCAA Division III provisional process** following the exploratory year, institutions must complete the following:

Completed viability statement.

The institution is required to complete a viability statement describing the institution's commitment to the Division III philosophy statement [Reference: Bylaw 20.11 (Division III membership requirements)]. [Attachment A]

Evidence of the sponsorship.

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 president or chancellor, athletics director, senior woman administrator and faculty athletics representative

Completed compliance assessment statement.

The institution is required to demonstrate evidence of a functioning compliance system. The NCAA Division III Membership Committee shall make available the compliance assessment form as part of the provisional member application. [Attachment B]

Please note that there shall be a maximum of four institutions admitted to the provisional or reclassifying membership program in any one year [Reference: Bylaw 20.3.2 (class size and assignment)]. Institutions shall be assessed based on the following criteria:

1. Geographic location in an area that needs or can accept new members;
2. Reclassifying versus provisional status;
3. Existing or potential membership in an active Division III conference; and
4. Broad-based sports sponsorship profile.



Last updated 10/20/11/AD:dfb

Viability Statement for NCAA Division III Provisional and Reclassifying Institutions

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 NCAA Division III philosophy statement as described below.

Division III Philosophy Statement

- ☐ **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 institution's plan to maintain proper emphasis on athletics participants, including impact on students, alumni and institutional personnel.
- ☐ **Institution awards no athletically related financial aid to any student.**
 - Describe institution's plan to ensure that athletics ability, participation and/or leadership is not considered in the formulation of institutional financial aid packages.
- ☐ **Institution encourages the development of sportsmanship and positive societal attitudes in all constituents, including student-athletes, coaches, administrative personnel and spectators.**
 - Describe institution's plan to promote good sportsmanship and positive societal attitudes by its student-athletes, coaches, administrators and spectators.
- ☐ **Institution encourages participation by maximizing the number and variety of athletics opportunities for its students.**
 - Describe institution's intercollegiate athletics program, including the number of sports sponsored and the size of each team's roster.
- ☐ **Institution assures that the actions of coaches and administrators exhibit fairness, openness and honesty in their relationships with student-athletes.**
 - Describe institution's plan to promote fairness, openness and honesty in relationships between coaches, administrators and student-athletes.
- ☐ **Institution assures that athletics participants are not treated differently from other members of the student body.**

- Describe 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.

- ☐ **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 an 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.

- ☐ **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.

- ☐ **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.

- ☐ **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.

- ☐ **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.

- ☐ **Institution supports ethnic and gender diversity for all constituents.**

- Describe the institution's efforts to promote respect and understanding of diversity issues.
- ☐ **Institution gives primary emphasis to regional in-season competition and conference championships.**
 - Describe institution's philosophy regarding the scheduling of regular-season contests and emphasis on conference competition.
- ☐ **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**
UPDATED APRIL 2011

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.

Who should complete the Athletics Program Assessment?

Current Division III institutions that are in probationary status must satisfy the probationary requirements of NCAA Constitution 3.02.3.1.2.1 and NCAA Division III Bylaw 20.02.4 by completing the program assessment and retaining it on file with the institution on probation. Those institutions also must 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.

Institutions that are provisional or reclassifying applicants to Division III are also required per Bylaw 20.3.1.2.1 to complete and submit the athletics program assessment. The completed assessment will be reviewed by the Membership Committee to aid that group in its review of the institution's readiness to become a member of Division III.

Institutions that are undergoing major personnel changes (e.g., the hiring of a new director of athletics, athletics direct report, president or chancellor) may also wish to complete the athletics program assessment for their own educational purposes.

Instructions

Institutions are encouraged to convene a review panel comprised of the director of athletics, senior woman administrator, faculty athletics representative, compliance coordinator, athletics direct report (if applicable), and president/chancellor 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.

NCAA DIVISION III ATHLETICS PROGRAM ASSESSMENT

Institution: _____ Date: _____

Conference Affiliation (if applicable): _____

Chancellor or President: _____

Athletics Direct Report (if applicable): _____

Faculty Athletics Representative: _____

Director of Athletics: _____

Telephone Number: _____ E-mail: _____

Senior Woman Administrator: _____

Compliance Coordinator: _____

Athletics Website: _____

Full-Time Undergraduate Enrollment: _____

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; 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 20.11.3.3]

Attachment:

☐ The institution's NCAA sports-sponsorship form from previous academic year.

- e. Total number of paid head 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. Has the institution designated a body outside athletics with direct oversight responsibility for athletics (i.e., athletics committee or board)? _____Yes _____No

2. Describe the process your institution conducted in completing the most recent NCAA Division III Institutional Self-Study Guide (ISSG). [Constitution 6.3.1]

List the individuals involved in completing the ISSG.

3. Has the institution established a student-athlete advisory committee for student-athletes?
_____Yes _____No

Attachment:

☐ Student-athlete advisory committee (mission, role and composition).

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

Who performs this responsibility, and how often?

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

_____Yes _____No

If yes, list those in attendance, with title.

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

Attachment:

☐ Athletics committee or board roster (names, titles and responsibilities).

7. Is the 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 non-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?

List those in attendance, with title.

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

Name: _____

Title: _____

Responsibilities: _____

Name: _____

Title: _____

Responsibilities: _____

4. Has the institution established a formal means by which to conduct investigations of alleged rule violations? _____Yes _____No

Attachment:

☐ Policy or process for investigating and reporting NCAA rules violations.

List all individuals involved, with title.

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

Attachments:

☐ Policy or process for requesting NCAA rules violations; and

☐ Samples of documented rules interpretations.

List all individuals involved, with title.

6. Describe the process for how the 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., registrar, admissions, financial aid).

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 rules test administration; and

☐ Rules test administration dates for the past 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 years? _____

Attachments:

☐ Records of all secondary violations for the past three years; 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 years? _____

Has the institution received a president's or chancellor's letter regarding a student-athlete reinstatement case in the past three years? _____ Yes _____ No

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

FISCAL PRACTICES

1. Describe the process used to develop the 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 the 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 the 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 a function.

Attachment:

☐ Procedures for distribution and reimbursement of travel expenses.

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

Attachment:

☐ Procedures for handling expenditures of funds for activities (e.g., travel, entertainment, lodging, meals) related to prospects.

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 the 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 compliance-related responsibilities?

a. Athletics administrators. _____Yes _____No

b. Coaches (full and part time). _____Yes _____No

c. Volunteers. _____Yes _____No

d. Nonathletics staff with compliance responsibilities. _____Yes _____No

Attachment – not required for institutions in **probationary status**:

☐ Sample job description for individuals with compliance-related responsibilities.

3. Do performance evaluations for the following individuals include rules compliance criteria?

a. Athletics administrators. _____Yes _____No

b. Coaches (full and part time). _____Yes _____No

c. Volunteers. _____Yes _____No

d. Nonathletics staff with compliance responsibilities. _____Yes _____No

*Attachment – not required for institutions in **probationary status**:*

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

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

Attachment:

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

5. Describe the process the 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 title.

6. Describe the process, including the individual(s) responsible, the institution uses to monitor the NCAA prohibition on gambling activities. [Bylaw 10.3]

List all individuals responsible for monitoring gambling activities, with title.

RECRUITING

1. Has anyone been assigned responsibility for overseeing day-to-day athletics recruitment-monitoring activities for all sports (e.g., recruiting coordinator, admissions liaison, coach)?

Name: _____

Title: _____

Responsibilities: _____

2. Describe the process the 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 and documentation, with title. [Bylaw 13.12]

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

Please list individuals responsible for review and approval of documentation.

Attachment:

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

ADMISSIONS AND ACADEMIC ELIGIBILITY

1. Has the institution designated an individual or body outside athletics with responsibility for certification of student-athletes' eligibility? _____Yes _____No

Name: _____

Title: _____

Attachment:

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

2. Have the institution's procedures for certifying the eligibility of student-athletes been approved by the 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 registrars offices?

a. Admissions:

Name: _____

Title: _____

Responsibilities: _____

b. Registrar:

Name: _____

Title: _____

Responsibilities: _____

4. Does the institution have procedures for identifying student-athletes in the 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.

- 5a. 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]

- 5b. Describe the process for continual monitoring of student-athlete full-time enrollment status.

6. How does the institution define “good academic standing?”

7. Does the institution periodically evaluate the effectiveness of the 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.

8. Does the institution educate student-athletes regarding outside competition rules?
_____Yes _____No

If yes, who is responsible for conducting these education sessions? [Bylaws 14.7.1, 14.7.2, 14.7.3 and 14.7.4]

Name: _____

Title: _____

Responsibilities: _____

9. Describe the process used by the 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).

b. Permission to contact Division I or II institutions.

(1) Who is responsible for providing the student-athlete with written notification of a hearing opportunity if the request to contact Divisions I or II institution is denied? [Bylaw 13.1.1.2.1]

(2) Describe the hearing process.

10. How does the 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).

11. How does the institution monitor the number of full-time terms used and the number of seasons of eligibility used by student-athletes?

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

Attachment:

- ☐ Documentation confirming the institution's last approved Division I athletics program assessment.

FINANCIAL AID

1. Is the 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 the institution ensure that athletics ability, participation, or leadership are not considered in the formation of institutional financial aid packages?

Who performs this responsibility? _____

4. How does the institution ensure that athletic department personnel are not involved in the arrangement or modification of student-athlete financial aid packages?

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? _____Yes _____No

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

Name: _____

Title: _____

Responsibilities: _____

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

Who performs this responsibility? _____

7. Does the institution monitor on-campus student-athlete employment?
_____Yes _____No

8. How does the institution monitor financial aid from outside sources? [Bylaw 15.2]

Please list individuals involved. _____

AMATEURISM

1. How does the institution monitor the amateur status of all prospective and enrolled student-athletes? [Bylaw 12.1.1-(a)-(g)]

Who performs this responsibility? _____

2. What process does the 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 the institution monitor the provision of complimentary admissions to student-athletes? [Bylaw 16.2.1]

Who performs this responsibility? _____

2. How does the 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 the 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 16.12]

Who performs this responsibility? _____

PLAYING AND PRACTICE SEASONS

1. Does the 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 17.1.3] _____Yes _____No

Attachment:

☐ Declaration of playing season documentation.

How does the 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 the 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 the institution monitor required days off for each student-athlete (e.g., team and individual sports) during the playing season? [Bylaws 17.1.5.1, 17.1.5.2]

Who performs this responsibility? _____

4. How does the institution monitor out-of-season workouts to ensure that instruction is limited to the declared playing and practice season?

Who performs this responsibility? _____

SPORTSMANSHIP

1. How does the institution monitor, evaluate and address matters concerning sportsmanship and ethical conduct, including fan behavior?

Who performs this responsibility? _____

2. Describe the 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 the 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 the 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 the 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?

2. Describe the institution's emergency medical plan for practices and games.

3. Please detail how many part-time versus full-time staff comprise the institution's sports medicine department.

Full-time _____ Part-time _____

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

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.
- ☐ Departmental staff directory.
- ☐ The institution's most recent NCAA sports sponsorship and demographic form.

2. Organization/Structure.

- ☐ Athletics committee or board roster (names, titles and responsibilities).
- ☐ 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 violations.
- ☐ 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 prospects.
- ☐ 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. *[not required for institutions in probationary status]*
- ☐ Sample performance evaluations for individuals with compliance-related responsibilities (forms/criteria). *[not required for institutions in probationary status]*
- ☐ 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. *[not required for institutions in probationary status]*

- ☐ Game day operations or event management procedures.

11. Sports Information. *[not required for institutions in probationary status]*

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

CERTIFICATION OF REVIEW

The signatures below certify 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 director of admissions

Signature

Printed name of director of financial aid

Signature

Date assessment was completed: _____

Names and titles of individuals on the review panel (please note chair):
