

**2009-10**

**NCAA DIVISION III**

**INSTITUTIONAL SELF-STUDY GUIDE**



NCAA Constitution 6.3.1 requires that Division III institutions complete a comprehensive self-study of their athletics programs at least once every five years. Once the self-study is completed, the Notification of Completion form must be signed by the institution's chancellor or president indicating the date of completion and forwarded to NCAA academic and membership affairs by June 1. Note: The completed ISSG is to be retained on file with the institution and made available for examination on request by authorized representatives of the Association.

Questions or comments about this guide should be directed to Azure Davey at [adavey@ncaa.org](mailto:adavey@ncaa.org).

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## **Introduction to the Institutional Self-Study Guide**

The NCAA Division III Institutional Self-Study Guide (ISSG) is designed to assist Division III institutions in assessing the role of athletics in an institution's educational mission. The document is designed specifically to assist Division III institutions in satisfying the self-study requirements of NCAA Constitution 6.3.1. On completion of the ISSG, the institution is required to submit to the NCAA academic and membership affairs office the Notification of Completion Form (which accompanies the ISSG) signed by the chancellor or president, and other designated senior administrators, as well as indicating the date of completion. All provisional and reclassifying institutions must forward a copy of the completed ISSG to the NCAA academic and membership affairs staff at the conclusion of the first year of provisional or reclassifying membership. The completed ISSG is to be retained on file with the institution and made available for examination on request by authorized representatives of the Association, including the NCAA Division III Membership Committee. The institution's entire program (both men's and women's sports) shall be placed on probation for failure to submit the notification of completion by the end of the academic year in which it is due. Repeated failures to submit the ISSG will place the institution in restricted status, where it is subject to loss of eligibility for a number of membership privileges, including but not limited to championships eligibility, voting privileges, Division III grant and initiative funding and catastrophic insurance.

Completion of the ISSG is required at least once every five years. However, as changes in institutional or athletics program leadership occur, new administrators may wish to complete the ISSG as a part of becoming familiar with their new responsibilities.

The ISSG is not meant as a substitute for the NCAA Division III Manual or other NCAA/conference publications containing the rules governing intercollegiate athletics competition. Rather, its intent is to:

1. Provide an internal self-study document for Division III institutions that emphasizes the Division III philosophy statement and presents a more appropriate alternative to an external evaluation process;
2. Involve senior-level institutional administrators both inside and outside of athletics in a study that can enhance their knowledge of athletically related activities;
3. Sensitize senior-level administrators of Division III institutions to the strengths and weaknesses in their athletics programs; and
4. Identify specific areas in Division III athletics programs that reinforce appropriate current practices and/or identify areas that require further attention.

The ISSG should be completed by athletics department personnel working with an existing or ad hoc committee that is responsible for overseeing athletics programs. The committee should represent adequately all major institutional perspectives; the committee should be provided sufficient time and resources to gather information for the ISSG.

A committee comprised of the chancellor or president and other staff (including, but not limited to, faculty athletics representative, director of financial aid, director of admissions, director of athletics, senior woman administrator and student-athletes) should complete the ISSG soon after receiving it from the NCAA. Following this initial study, the committee may wish to perform periodic follow-up checks using the entire instrument or selected sections that relate to specific areas of concern.

Institutional committees also may find it useful to develop a written action plan that addresses areas of concern or specific initiatives identified during the self-study. **This strategy is required of all provisional and reclassifying institutions completing the ISSG.**

The Division III ISSG consists of "Yes, No, N/A" questions deemed appropriate for study by Division III institutions. Each question that is answered "No" or "N/A" identifies an issue or concern that should become a topic for more detailed inquiry by the institution. This does not imply that every "No" or "N/A" response automatically indicates an inherent problem or inappropriate institutional practice.

During a self-study, there may be disagreements among members of the self-study committee about the appropriate answers to particular questions. For example, members of the athletics program staff may believe that certain procedures exist; yet there may be no documentation or records to substantiate that to the larger institutional community. In this case, one course of action may be simply to publicize more widely the current practices. Another possible course of action may be to formalize policies and/or procedures that generally are followed but that could be misapplied by some persons or in some circumstances. In other cases, the committee may acknowledge that particular negative responses are true yet pose no potential for compliance problems in their athletics program. In such cases, no further actions would be necessary. The choice of methods for converting any particular item from a negative to a positive response is, of course, best determined by institutional officials familiar with the history and context of the identified problem.

#### Use of Outside Consultants

Institutions may wish to involve outside consultants in the self-study process. Should an institution involve outside consultants, the functions of these individuals or agencies should be limited to data collection and organization of the self-study process. In such cases, it is understood that the self-study remains the responsibility of the institution to examine its own program and generate the substance of the ISSG. In no way should the balance of responsibility for the study shift from internal to external personnel.

To receive further information or to submit comments regarding the ISSG, please contact Azure Davey, NCAA academic and membership affairs at 317/917-6222 or [adavey@ncaa.org](mailto:adavey@ncaa.org).

## **Institutional Purpose and Athletics Philosophy**

***Rationale:*** Colleges and universities in Division III place highest priority on the overall quality of a student's 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. 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) Assure that athletics participants are not treated differently from other members of the student-body, specifically assuring that academic performance of student-athletes is, at a minimum, consistent with that of the general student-body;
- (b) 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;
- (c) Award no athletically related financial aid to any student and assure that athletics recruitment and admission policies comply with established institutional policies and procedures applicable to the general admission process;
- (d) Encourage participation by maximizing the number and variety of athletics opportunities for their students and place special importance on the impact of athletics on the participants rather than on the spectators and place greater emphasis on the internal constituency (students, alumni, institutional personnel) than on the general public and its entertainment needs;
- (e) Assure that the actions of coaches and administrators exhibit fairness, openness and honesty in their relationships with student-athletes and encourage the development of sportsmanship and positive societal attitudes in all constituents, including student-athletes, coaches, administrative personnel and spectators;
- (f) Provide equitable athletics opportunities for males and females by giving equal emphasis to men's and women's sports, and support ethnic and gender diversity for all constituents;
- (g) Give primary emphasis to regional in-season competition and conference championships; and
- (h) 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.

1. Does the institution have a written statement of philosophy for its athletics program?  
 Yes       No
  
2. Is the athletics department's written philosophy statement given wide circulation within the institution and made available to its external constituencies?  
 Yes       No
  
3. Where is it published?  
 University's website, University Catalog, Student-Athlete Handbook & Athletic Department Policy & Procedure Handbook.  


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4. Is it consistent with the Division III philosophy?  
 Yes       No
  
5. Does it support the institution's mission statement?  
 Yes       No
  
6. Does the institution's written statement of athletics program philosophy address the following:
  - a. Explicit linkage to the educational mission of the institution?  
 Yes       No
  
  - b. Explicit reference to the academic success of student-athletes?  
 Yes       No
  
  - c. Explicit reference to the principles of fair play and amateur athletics competition, as defined by NCAA legislation?  
 Yes       No
  
  - d. Explicit reference to the health and well-being of student-athletes?  
 Yes       No
  
  - e. Explicit reference to the fair and equitable treatment of men and women?  
 Yes       No

f. Explicit reference to standards of sportsmanship and ethical conduct?

Yes       No

7. Is the institution's written statement of athletics program philosophy reviewed and endorsed by:

a. The chancellor or president, or his or her designee?

Yes       No      How Often? Annually

b. The institution's governing board (e.g., board of regents, trustees)?

Yes       No      How Often? Made Available

c. The faculty or representatives of the faculty, the athletics board or designated individuals outside the athletics department?

Yes       No      How Often? Annually

d. All athletics department personnel?

Yes       No      How Often? Annually

e. Representatives of the institution's athletics interests (e.g., booster or alumni groups)?

Yes       No      How Often? Made Available

f. All enrolled student-athletes?

Yes       No      How Often? Annually

## Principles of Sportsmanship and Ethical Conduct

***Rationale:*** Intercollegiate athletics should promote the character development of participants, enhance the integrity of higher education and promote civility in society. Toward these ends, student-athletes, coaches and all others associated with these athletics programs and events should adhere to such fundamental values as respect, fairness, civility, honesty and responsibility. These values should be manifest not only in athletics participation but also in the broad spectrum of activities affecting the athletics program. According to Constitution 2.4, it is the responsibility of each institution to:

- (a) Establish policies for sportsmanship and ethical conduct in intercollegiate athletics consistent with the educational mission and goals of the institution; and
- (b) Educate, on a continuing basis, all constituencies about the policies in Constitution 2.4-(a).

1. On an appropriate schedule, are the following groups informed of the institution's commitment to the principles of sportsmanship and ethical conduct as defined in Constitution 2.4:
  - a. The institution's governing board?  
 Yes       No
  - b. All athletics department personnel?  
 Yes       No
  - c. Representatives of the institution's athletics interests and members of athletics program booster groups?  
 Yes       No
  - d. All enrolled student-athletes?  
 Yes       No
  - e. Spectators at all athletics events?  
 Yes       No

2. Has the institution established procedures to handle noncompliance with the concepts of sportsmanship and ethical conduct related to the following groups:

a. All institutional staff members and personnel?

Yes       No

b. All enrolled student-athletes?

Yes       No

c. Event-management personnel, including spectator control?

Yes       No

d. Spectators at all athletics events?

Yes       No

3. Does the institution have game-day operations or event management procedures?

Yes       No

**The Authority of the Chancellor or President and  
Institutional Oversight of Athletics**

***Rationale:*** Division III intercollegiate athletics programs are governed by a wide variety of mechanisms, each responsive to the particular history, mission and circumstances of individual institutions. It is neither necessary nor desirable to expect a standard form of athletics program governance among NCAA institutions. However, the authority and responsibility of the chancellor or president under NCAA legislation are clear. The chancellor or president ultimately is responsible for the athletics program, its resources and its compliance with NCAA regulations. Accordingly, Division III chancellors or presidents should review their own provisions for delegating authority for athletics program affairs, especially those related to personnel selection and administration, and to program budgeting and accounting.

1. Does the institution have written statements of authority or standard operating procedures that specify that the chancellor or president of the institution has the authority and final responsibility for:
  - a. Appointing all athletics personnel?  
 Yes       No
  - b. Approving the annual operating budget for the athletics program?  
 Yes       No
  - c. Approving policies and standards of conduct for all representatives of the institution's athletics program or interests?  
 Yes       No
2. Does the director of athletics report directly to the chancellor or president or to a senior administrator designated by the chancellor or president?  
 Yes       No
3. Does the director of athletics meet regularly with the chancellor or president or with the senior administrator who has athletics oversight responsibilities?  
 Yes       No      How Often? Monthly and as needed

4. Does the faculty athletics representative (FAR) meet regularly with the chancellor or president or with the senior administrator who has athletics oversight responsibilities?

Yes       No      How Often? Annually and as needed

5. Is the institution's position on legislative issues on which the institution must vote at NCAA Conventions (and conference meetings, if applicable) understood and approved by:

a. The chancellor or president?

Yes       No

b. The senior administrator to whom the athletics department reports?

Yes       No

c. The FAR?

Yes       No

d. The athletics board?

Yes       No       n/a

e. The director of athletics?

Yes       No

f. The senior woman administrator (SWA)?

Yes       No

g. The student-athlete advisory committee (SAAC)?

Yes       No

6. Is the following information shared routinely with the chancellor or president (or designee) or with the senior administrator or committee that oversees intercollegiate athletics:

a. Reports to the NCAA (and conference, if applicable) including those regarding possible violations of NCAA and/or conference rules?

Yes       No

- b. Performance reviews of athletics personnel?  
 Yes       No
- c. Conference meeting minutes?  
 Yes       No
- d. The institution's regular financial audit, including the intercollegiate athletics program?  
 Yes       No
- e. The institution's electronic financial aid report per NCAA Bylaw 15.4.1?  
 Yes       No

## Institutional Control and Accountability of Athletics Program Finances

***Rationale: Adequate institutional control of intercollegiate athletics programs through institutional control of athletics program finances is a principle fundamental to Division III.***

**Division III Philosophy Statement:**

**(b) 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.**

1. Do institutional policies require that *all* income and revenue, including trade-out services and gifts-in-kind, targeted for the use of the athletics program (including fundraising by boosters) be processed by an office of the institution that is independent of the athletics program?

Yes       No

2. Per Constitution 6.2.3, do institutional policies require that *all* expenses and revenues, including trade-out services and gifts-in-kind, associated with the operation of the athletics program be audited at least annually by an office of the institution that is independent of the athletics program?

Yes       No

3. Do institutional policies explicitly prohibit athletics department staff from maintaining funds or accounts that are not subject to institutional control and/or review?

Yes       No

4. Do institutional policies exist regarding the prior approval and reporting of all athletically related fundraising activities income including trade-out services and gifts-in-kind?

Yes       No

5. Are all coaches and athletics staff members made aware of those policies?

Yes       No

## Athletics Program Organization and Administration

**Rationale:** Four general principles of athletics program administration underlie this section. First and foremost is the principle of *institutional control* of athletics programs. Institutional control is fundamental to integrity in intercollegiate athletics, which promotes fair competition by amateur student-athletes. The second principle is that of *direct accountability*. In matters relating to athletics program management, responsibilities must be explicit, well understood and subject to monitoring in accord with clear performance criteria. The third principle is that of *administrative awareness*: those who administer athletics programs must maintain close personal contact with those programs. The final principle is that of *student-athlete involvement*. Each institution is required to establish a student-athlete advisory committee as an important step in enhancing the involvement of student-athletes in athletics matters.

1. Is the director of athletics responsible for all aspects of the operation of the athletics program?

Yes       No

2. Do all staff members of the athletics program, including head coaches, report to the director of athletics or his or her designee?

Yes       No

3. Is the intercollegiate athletics program overseen by a senior institutional administrator, institutional committee or board that represents the athletics program to other institutional constituencies?

Yes       No

4. Is the institutional faculty athletics representative (FAR) provided with sufficient resources (e.g., what they are...), encouragement and opportunities to be actively involved in carrying out his or her responsibilities?

Yes       No

- a. Does the institution grant sufficient release time for the FAR to carry out his or her responsibilities and related travel?

Yes       No

- b. Is the institutional FAR engaged in making recommendations about intercollegiate athletics?

Yes       No

c. Does the institution provide support for the FAR to remain current in issues and trends in intercollegiate athletics to enable him or her to keep the general faculty, faculty governance, intercollegiate athletics leadership and the chancellor or president informed on intercollegiate athletics matters?

Yes       No

5. Is the faculty, as a whole or through some representative body, kept informed regarding institutional policies and practices affecting the operation of intercollegiate athletics?

Yes       No

6. At least once a year, does the director of athletics or his or her designee meet personally with all student-athletes who are actively participating in intercollegiate athletics (e.g., to administer the Student-Athlete Statement)?

Yes       No

7. Are established grievance or appeals procedures available and communicated to student-athletes (either a procedure that deals exclusively with student-athletes or one that is available to all students, including student-athletes)?

Yes       No

8. Have responsibilities for overseeing all aspects of institutional compliance with NCAA (and conference, if applicable) rules been formally assigned to a specific individual or individuals?

Yes       No

9. Within the past year, has the director of athletics explicitly stressed to all athletics program personnel the necessity to self-report possible NCAA (and conference, if applicable) rules violations to appropriate institutional administrators?

Yes       No

10. An SWA is the highest ranking female administrator involved in the management of a member institution's intercollegiate athletics program. [Constitution 4.02.4] Does the institution have a SWA as defined in Constitution 4.02.4?

Yes       No

11. Does the SWA have a job description outlining the athletics administrator's responsibilities in the management of the athletics program?

Yes       No

12. Pursuant to Constitution 6.1.4, does the institution have an established SAAC on campus to represent its student-athletes?

a. Does it encourage the attendance and participation of student-athletes?

Yes       No

b. Is its membership broad based (i.e., involves student-athletes from a variety of sports)?

Yes       No

c. Does it meet regularly (e.g., monthly)?

Yes       No      How Often? Monthly

d. Does the committee have a mission statement?

Yes       No

e. Has the institution defined the role and responsibilities of the committee?

Yes       No

## Employment of Athletics Program Personnel

***Rationale: Integrity in athletics program administration depends on the efforts of directors of athletics, coaches and other athletics program personnel who are personally committed to observing both the letter and the spirit of the rules. Division III institutions can take a major step toward ensuring the success of their athletics program by emphasizing diversity in the employment of athletics department personnel.***

1. Do the institution's hiring practices include affirmative action and/or equal employment guidelines designed to encourage the employment of women and ethnic minorities in all athletics programs?  
 Yes       No
2. Were the institution's hiring and employment policies adhered to during the hiring process for positions with the athletics department?  
 Yes       No
3. Is the athletics department actively identifying ethnic minorities in the pool of candidates for administrative and/or coaching positions on an ongoing basis?  
 Yes       No
4. Is the athletics department actively identifying women in the pool of candidates for administrative and/or coaching positions on an ongoing basis?  
 Yes       No
5. Do the institution's hiring procedures for all athletics program personnel require formal consideration of candidates' willingness and capabilities to abide by NCAA (and conference, if applicable) rules?  
 Yes       No
6. Do the institution's hiring procedures require that efforts be made to determine whether candidates for coaching positions have been involved in/responsible for past NCAA rules violations?  
 Yes       No
7. Do the employment agreements for all athletics program personnel stipulate that the violation of NCAA (and conference, if applicable) rules is prohibited and may result in disciplinary action?  
 Yes       No

8. Are there written criteria, including rules compliance that specify the factors that will be considered in evaluating the job performance of the director of athletics and all athletics department personnel?

Yes       No

9. Did your institution use an institutional employee outside of the athletics department (e.g., university of college general counsel, FAR, diversity officer, equal employment office, Title IX coordinator, etc.) who is knowledgeable of your institution's hiring and employment practices to complete this section of the ISSG?

Yes       No

If yes, provide the name and title of this employee.

Dr. Aghop Der-Karabetian, Associate Vice President for University Assessment,  
Academic Affairs

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## Compliance and Professional Development

***Rationale: A comprehensive group of education and communication initiatives will ensure that your institutional staff members have the knowledge and information to assist with the governance and management of a Division III intercollegiate athletics program.***

1. Did institutional representatives (e.g., SWA, AD, FAR, SAAC member) participate in Division III membership education, programming and leadership opportunities:

a. NCAA Convention?

Yes       No

Dates of attendance: 2009

List individuals by title: Athletic Director, 2009 & 2010

Asst. Athletic Director/Senior Woman Administrator, 2010

b. Division III Rules Test?

Yes       No

Most recent date of test administration: August 2009

List individuals by title: Athletic Director

Head Coaches

Assistant Coaches

Graduate Assistants

Athletic Administrators

c. NCAA Regional Rules Seminars?

Yes       No       n/a

Most recent dates of attendance: July 2009

List individuals by title: Athletic Director 2008 & 2009

Assistant Athletic Directors (3)

Sports Information Director

Assistant to the Athletic Director

d. Conference meetings?

Yes       No

Most recent date of institutional attendance: April 12, 2010

List individuals by title: Athletic Director

Chair, Faculty Athletic Committee

President

e. NCAA Regional Leadership Conference?

Yes       No

List individuals by title: Assistant Sports Information Director  
Student-Athletes (3)  
\_\_\_\_\_  
\_\_\_\_\_

f. National Association of Division III Athletics Administrators (NADIII AA) professional development sessions?

Yes       No

List individuals by title: Athletic Director  
Assistant Athletic Directors (3)  
Sports Information Director  
Assistant to the Athletic Director

g. FARA Annual Meeting and Symposium (FAR Grant)?

Yes       No

List individuals by title: Faculty Athletic Representative 2007 & 2008  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

h. NACWAA Convention or NACWAA/HERS Institute (SWA Enhancement Grant)?

Yes       No

List individuals by title: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

i. NCAA Virtual Focus Group?

Yes       No

List individuals by title: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

j. NCAA committee participation?

Yes       No

List individuals by title who have applied and for which committees:

Former Director of Athletics (Membership)

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List individuals by title who have served and for which committees:

Former Director of Athletics (Membership)

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2. Are the following communication tools distributed to your staff members?

a. Division III Manual?

Yes       No

List individuals by title: Athletic Director

Asst. AD for Compliance

Asst. AD for Development/Senior Woman Admin.

Asst. to the Athletic Director

One made available in Athletic Dept. work room

b. Division III Quarterly Newsletter?

Yes       No

List individuals by title: Athletic Director

Asst. Athletic Director/Senior Woman Administrator

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c. Division III Commissioners Monthly Update or NADIII AA Update?

Yes       No

List individuals by title: Athletic Director

Asst. Athletic Director/Senior Woman Administrator

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d. Division III Annual Calendar?

Yes       No

List individuals by title: Athletic Director  
\_\_\_\_\_  
\_\_\_\_\_

e. AMA Education On-Demand Educational Videos?

Yes       No

List individuals by title: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

3. Do your staff members use the following resources?

a. NCAA Web site?

Yes       No

b. Legislative Services Database for the Internet (LSDBi)?

Yes       No

c. NCAA Membership Services Conference Contact Program?

Yes       No

d. Compliance Assistant *internet* (CAi)?

Yes       No

4. Did your student-athletes and staff members use the *Getting in the Game* educational tool?

Yes       No

List individuals by title other than student athletes:

Assistant Athletic Director for Compliance      Used at Eligibility meetings with Student-  
\_\_\_\_\_  
Athletes & coaches prior to Fall Season &  
\_\_\_\_\_  
Winter/ Spring Season

5. a. Did your institution apply for a Division III Initiative Grant, Strategic Alliance Matching Grant or Women and Minority Internship?

Yes       No

b. Did your institution receive a Division III Initiative Grant, Strategic Alliance Matching Grant or Women and Minority Internship?

Yes       No

c. Did your institution apply for any Association-wide grant(s)?

Yes       No

List grants:

\_\_\_\_\_

d. Did your institution receive any Association-wide grant(s)?

Yes       No

List grants:

\_\_\_\_\_

6. Did institutional representatives attend other professional development opportunities sponsored by national associations (e.g., NACWAA, NACDA)?

Yes       No

List individuals by title:

Men's Basketball Head Coach

Head Baseball Coach

Professional development opportunity:

NABC

ABCA

7. During the past year, have all institutional personnel with formal compliance responsibilities received continuing education to reinforce his or her understanding of existing NCAA (and conference, if applicable) rules?

Yes       No

8. Does the athletics department provide an opportunity for all coaches to participate in rules compliance education?

Yes       No

9. Do athletics department staff members take the NCAA Division III Rules Test annually to gain a better understanding of the legislation contained in the Division III Manual.

Yes       No

10. If rules violations occurred, did the appropriate personnel attend the NCAA Regional Rules Seminars as a corrective action?

Yes       No       n/a

## Sports Programs

\*Please attach the most recent copy of your institution's sports sponsorship form.

**Rationale:** As a condition of membership in Division III, Bylaw 20.11 specifies that institutions are required to maintain a balanced sports program. It is important that this balance be reflected by tangible and sustained efforts related to coaching, funding, gender equity and the quality of student life.

**Division III Philosophy Statement:**

- (d) **Encourage participation by maximizing the number and variety of athletics opportunities for their students ...**
- (f) **Provide equitable athletics opportunities for males and females and give equal emphasis to men's and women's sports ...**

1. Does the institution provide a method for ensuring/monitoring/evaluating adequate coaching and funding for each sport designated as a part of the institution's intercollegiate athletics program?

Yes       No

2. Has the institution conducted a Title IX or gender-equity review on a regular basis (within the last five years)?

Yes       No

3. Are the results of the Equity in Athletics Disclosure Act (EADA) reporting form reviewed?

Yes       No

4. Are the EADA results reviewed by the:

Chancellor or President?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
Senior administrator with athletics oversight?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
FAR?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
Director of financial aid?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
Admissions office?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
Director of athletics?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
SWA?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
General counsel?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
Student-athletes?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
Coaches?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
Title IX Coordinator?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No

5. Has the institution formulated policies aimed at ensuring equitable institutional support for all varsity sports, including a scheduling policy that ensures equitable competition, and fair and equitable financial support that meets the needs of each sports program?

Yes       No

6. Has the institution formulated policies aimed at addressing the equitable allocation of resources to meet the needs of all students (male and female) based on the institution's undergraduate enrollment and level of interest?

Yes       No

7. Does the institution have clearly defined procedures for adding or eliminating varsity sports?

Yes       No

8. Has the institution established adequate controls to monitor missed class time per Constitution 3.2.4.12 and Bylaw 17.1.6 and required days off pursuant to Bylaw 17.1.5?

Yes       No

9. Has the institution established adequate controls to monitor playing and practice season start dates, length of season and maximum numbers of contestants/participants per Bylaws 17.\_.1 through 17.\_.6?

Yes       No

10. Has the institution established procedures, such as exit interviews, to assess the quality of the student-athlete experience?

Yes       No

## Sports Medicine

***Rationale:* Student-athletes rightfully assume that those who are responsible for the conduct of sports have taken reasonable precautions to minimize the risk of significant injury and to provide appropriate medical and emergency care provided. Periodic analysis of injury patterns continually leads to refinements in the rules and other safety guidelines.**

1. Are training opportunities in AED, CPR, first aid and emergency protocol offered to athletics coaches and administrators on an annual basis?

Yes       No

2. Do athletics coaches and administrators maintain current certification in AED, CPR, first aid and emergency protocol?

Yes       No

3. Who is responsible for reviewing the NCAA guidelines in the NCAA Sports Medicine Handbook?

Athletic Director, Director of Athletic Training Services, Assistant Athletic Trainer,  
 And Athletic Training Graduate Assistant

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4. How often are those guidelines reviewed?

Annually prior to Fall Sports Season

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5. Are these policies reviewed by:

Director of the institution's health service?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
Coaches?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
Trainers?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
Director of athletics?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
SWA	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
Team physicians?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
General counsel?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No

6. Does the institution have in place written procedures to address specific aspects of sports medicine administration as included in the NCAA Sports Medicine Handbook?

Pre-participation medical exam?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
Health insurance?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
Preseason preparation?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
Acceptance of risk?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
Planning/supervision?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
Liability?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No

Equitable medical care?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
Equipment?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
Facilities?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
Blood-borne pathogens?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
Emergency care?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No

7. Do these procedures apply to practice and competition during the nontraditional season as well as during the traditional season?

Yes       No

8. Are these standards applied across all sports?

Yes       No

9. Do you have an emergency action plan for each of your athletics venues?

Yes       No

10. Does the institution periodically collect and assess data on sports-related injuries for all enrolled student-athletes and review that data in comparison to data from the NCAA Injury Surveillance System?

Yes       No

11. Does the institution periodically review appropriate medical care staffing for practice as well as home and away-from-home competitions?

Yes       No

12. Does the institution administer medical examinations or evaluations within six months prior to participation, and does the institution administer updated medical history?

Yes       No

13. Who is responsible for certifying that all student-athletes have insurance coverage in place for athletics related injuries that may occur during the academic year?

Director of Athletic Training Services

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14. If your institution does not provide coverage through an accident medical policy, state-funded plan, medical services agreement or formal self-insurance program and a student-athlete does not have his or her own coverage, what steps does your institution take?

Institution mandates all students purchase primary coverage that includes an illness and sickness plan.

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## Recruiting, Admissions, Financial Aid and Academic Eligibility

***Rationale:*** Institutional self-study efforts should be devoted to ensuring sustained dedication to the *spirit*, as well as the letter of the NCAA's recruiting, admissions eligibility and financial aid rules. By focusing on these topics, institutions will re-examine their ultimate dedication to the academic success of their student-athletes. The administration of financial aid based on need and/or academic ability and without the consideration of athletics ability or participation is a principle fundamental to Division III athletics.

- Bylaw 14.01.2 Academic Status.
- Bylaw 14.01.2.1 Good Academic Standing.
- Bylaw 14.01.2.2 Institutional Responsibility for Eligibility Certification.
- Bylaw 15.4.1 Consistent Financial Aid Package.

### A. Recruiting and Admissions

1. Does the institution have written policies governing the recruitment of student-athletes by all representatives of the institution's athletics program interests?

Yes       No

2. Do the institution's written recruiting policies specify:

- a. That NCAA rules regarding acceptable and prohibited recruiting practices be explained at least annually to all recognized athletics support groups (e.g., parents, alumni, and friends)?

Yes       No

- b. That all prospective student-athletes (and their parents and high school coaches, if possible) be informed about NCAA (institutional and conference, if applicable) recruiting rules and the penalties for violation of those rules?

Yes       No

- c. Are those policies reviewed by coaches and athletics staff?

Yes       No

- d. That all current student-athletes serving as hosts are informed about NCAA recruiting rules and the penalties for violations of those rules?

Yes       No

3. Are all expenses associated with the recruitment of prospective student-athletes reviewed on a timely basis and processed pursuant to regular institutional financial procedures?
- Yes       No
4. Are all decisions regarding the admission of prospective student-athletes made by institutional personnel who are not affiliated with the athletics program?
- Yes       No
5. Does the institution admit all student-athletes pursuant to normal institutional admissions requirements?
- Yes       No

**B. Financial Aid**

1. Are all decisions regarding the packaging of financial aid for student-athletes made by institutional personnel who are not affiliated with the athletics program?
- Yes       No
2. Is all financial aid awarded to student-athletes based on need and/or academic ability, and not on athletics ability and participation, and are policies and procedures in place to ensure that these awards consistently are made in accordance with all Division III financial aid rules?
- Yes       No
3. Do the director of athletics and director of financial aid review at least annually Division III financial aid rules?
- Yes       No
4. Are institutional procedures related to the processing of financial aid awards (e.g., determination of need, receipt of outside awards, and renewal of awards) applied consistently to student-athletes and nonstudent-athletes?
- Yes       No
5. Are all leadership and merit awards given to student-athletes made without consideration of athletics ability and/or participation?
- Yes       No

**C. Academics Eligibility**

1. What is the institution's definition of "good academic standing?"  
Freshman S-A's shall be eligible during their first full academic year of attendance. Thereafter, a minimum of 24 units must be completed during the year prior to participation. A transfer student in order to participate and maintain satisfactory progress in the second semester of attendance must have completed a minimum of 12 units in the first semester at the University of La Verne.

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2. Are student-athletes and coaches informed of those standards at least annually?  
 Yes       No
3. Has the institution established a system for verifying and monitoring the eligibility of all student-athletes?  
 Yes       No
4. Does the institution's system for checking the eligibility of student-athletes contain the following provisions:
  - a. A procedure for ensuring that the institution's "good academic standing" requirements are being observed?  
 Yes       No
  - b. A procedure for ensuring that course "drops" that might adversely affect eligibility are flagged for immediate action by athletics program staff?  
 Yes       No
  - c. A procedure for ensuring the accuracy and acceptability of any credits and grades earned from other educational institutions, including credits/grades earned in summer and/or correspondence courses?  
 Yes       No
  - d. A procedure for ensuring the accuracy and completeness of records of prior athletics competition on which determinations of eligibility are based?  
 Yes       No
5. Are all determinations of eligibility made or reviewed and certified by institutional personnel who are not affiliated with the athletics program?  
 Yes       No

## Institutional Student Services

***Rationale:*** Division III student-athletes should have access to the same range of support services available to all students. Because of demands made on student-athletes' time (e.g., as a result of athletics practice and competition), it may be necessary to make arrangements to ensure that they can take full advantage of some services, especially those designed to promote successful academic performance. However, the particular arrangements for providing services to student-athletes should not restrict their opportunities to associate with other students; student-athletes should not be segregated simply because they have chosen to engage in intercollegiate sports competition.

1. Does the institution ensure that the following support services are available to all students, including its student-athletes:
  - a. Orientation to college life?  
 Yes       No       n/a
  - b. Orientation to the campus?  
 Yes       No       n/a
  - c. Education regarding study skills and time management?  
 Yes       No       n/a
  - d. Personal academic tutoring?  
 Yes       No       n/a
  - e. Counseling for academic problems?  
 Yes       No       n/a
  - f. Counseling for personal problems?  
 Yes       No       n/a
  - g. Access to health education concerning AIDS, STDs and other health issues?  
 Yes       No       n/a
  - h. Counseling regarding alcohol, tobacco products, drugs or other substance abuse?  
 Yes       No       n/a

- i. Education regarding hazing?  
 Yes       No       n/a
- j. Counseling regarding gambling problems?  
 Yes       No       n/a
- k. Counseling regarding summer and/or postgraduate job opportunities?  
 Yes       No       n/a
- l. Counseling regarding eating disorders?  
 Yes       No       n/a
- m. Counseling regarding violent behavior, acquaintance rape and issues of harassment?  
 Yes       No       n/a
2. Does the institution have procedures in place for intervention for individuals or groups of individuals regarding these issues?  
 Yes       No
3. At least annually, do you review with student-athletes, coaches, trainers and team physicians (as appropriate) NCAA rules related to the following areas:
- a. Drug awareness and drug testing for banned substances per Bylaw 31.2.3?  
 Yes       No
- b. Gambling per Bylaw 10.3?  
 Yes       No
- c. Use of tobacco products per Bylaws 11.1.3 and 17.1.10?  
 Yes       No
4. Does the institution inform student-athletes of other available support services?  
 Yes       No

## Student-Athlete Profiles

**Rationale:** As a part of reasonable efforts to identify areas for improvement in the athletics program, as well as to deter possible abuses, Division III institutions should monitor certain aspects of their athletics programs. The following items suggest possible topics that should be evaluated:

1. Does the institution periodically collect and assess the following data for all enrolled student-athletes and review that data in comparison to the general student-body:
  - a. Distribution of academic majors?  
 Yes       No       n/a
  - b. Class enrollments, including drops?  
 Yes       No       n/a
  - c. Class attendance?  
 Yes       No       n/a
  - d. Midterm grades?  
 Yes       No       n/a
  - e. Final grades?  
 Yes       No       n/a
  - f. Progress toward a degree?  
 Yes       No       n/a
  - g. Retention rates?  
 Yes       No       n/a

2. What individual or group is responsible for reviewing this information?

Compliance Director, Athletic Director, Senior Woman Administrator, Head Coaches & Assistant to the Athletic Director

3. How often does that individual or group review such information?  
At the completion of every semester

## APPENDIX

### Checklist of ISSG materials to be submitted by provisional, reclassifying and audited member institutions:

- Institution's educational mission statement.
- Athletics philosophy statement.
- Student-athlete advisory committee mission statement and policies and procedures.
- Reporting lines in athletics program (e.g., organizational chart related to the athletics department).
  - Institutional role and responsibility of the senior woman administrator.
  - Institutional role and responsibility of the faculty athletics representative.
- EADA form.
- Sports sponsorship form.

**ISSG  
Notification of Completion**

This form is to be returned by the institution's chancellor or president on completion of the institution's self-study and evaluation of its intercollegiate athletics program required at least once every five years in accordance with NCAA Constitution 6.3.1. **Please note that only this form, not the completed self-study document, is to be returned to the NCAA national office.** The completed self-study document and supporting documentation are to be retained on file with the institution and available for examination on request by an authorized NCAA representative.

This is to certify that

University of La Verne

(Institution)

has completed a comprehensive self-study and evaluation of its intercollegiate athletics programs using the Institutional Self-Study Guide (ISSG) in accordance with the provisions of Constitution 6.3.1 and that an institutional plan to correct areas determined to be program weaknesses will be implemented and placed on file with this study. It is understood that a report of the self-study and supporting documentation are available for examination on request by an authorized representative of the NCAA.

Stephen Morgan

Printed Name of Chancellor or President

Signature

T. Gregory Dewey, PhD

Printed Name of Senior Administrator with Athletics Oversight (if different than chancellor or president)

Signature

Julie L. Kline

Printed Name of Director of Athletics

Signature

Julie Smith

Printed Name of Senior Woman Administrator

Signature

Richard R. Rogers, Jr., PhD

Printed Name of Faculty Athletics Representative

Signature

Leatha Webster

Printed Name of Director of Financial Aid

Signature

Chris Krzak

Printed Name of Director of Admissions

Signature

Date ISSG was completed: May 24, 2010

Names and titles of individuals on the self-study committee (please note chair):

Julie Kline, Athletic Director (Chair)

Julie Smith, Assistant Athletic Director/Senior Woman Administrator

Scott Winterburn, Assistant Athletic Director for Compliance

Joanna Engel, Director of Athletic Training Services

Cres Gonzalez, Assistant Athletic Director for Facilities

Pam Maunakea, Athletic Department Business Manager

Christie Joines, Assistant to the Athletic Director

Chris Krzak, Dean of Admissions

Leatha Webster, Financial Aid Director

Richard Rogers, Jr. PhD, Chair Faculty Athletic Representative

Aghop Der-Karabetian, Associate Vice President for University Assessment, Academic Affairs

Did your institution use an outside consultant?  Yes  No

If yes, describe the responsibilities of the outside consultant. Please refer to Page No. 3 for limitations on the use of outside consultants.

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**Active Division III members should return Notification of Completion by June 1 to:**

Michelle Vaughn  
Assistant Director of Academic and Membership Affairs  
NCAA  
P.O. Box 6222  
Indianapolis, Indiana 46206-6222

**Provisional and reclassifying institutions should return the Notification of Completion form and completed ISSG along with the provisional or reclassifying annual report to Azure Davey by June 1.**

**Audited institutions will be asked to submit their completed ISSG with appendix.**