

**2000-2001  
DIVISION I  
ATHLETICS CERTIFICATION  
SELF-STUDY INSTRUMENT**

# Introduction to Self-Study Report

## Introduction to Self-Study Report

### Institutional Information

1. Type of Institution: Public
2. Year institution was founded: 1873
3. Special Affiliation? No
4. Coeducational? Yes
5. Total student enrollment (undergraduate and graduate combined) [using a full-time equivalency (FTE) basis]: 7042
6. Number of Faculty [using a full-time equivalency (FTE) basis]: 416
7. Highest level of academic degree offered: Specialist
8. Institution's governing entity: Board of Regents
9. a. Regional accreditation agency: North Central Association of Colleges and Schools
9. b. Date of most recent regional accreditation self-study: 2000
9. c. Current accreditation status: Fully Accredited

### Athletics Information

1. Subdivision status of athletics program (Academic Year 2001): I-AA
2. Conference affiliation(s) or independent status (Academic Year 2002):

Baseball	Ohio Valley Conference
Football	Ohio Valley Conference
Men's Basketball	Ohio Valley Conference
Men's Cross Country	Ohio Valley Conference
Men's Golf	Ohio Valley Conference
Men's Track, Indoor	Ohio Valley Conference
Men's Track, Outdoor	Ohio Valley Conference
Softball	Ohio Valley Conference
Women's Basketball	Ohio Valley Conference
Women's Cross Country	Ohio Valley Conference
Women's Gymnastics	Independent
Women's Soccer	Ohio Valley Conference
Women's Tennis	Ohio Valley Conference
Women's Track, Indoor	Ohio Valley Conference
Women's Track, Outdoor	Ohio Valley Conference

## Introduction to Self-Study Report

Women's Volleyball      Ohio Valley Conference

### 3. Athletics program structure ('X' all that apply):

- one combined athletics department.  
 separate men's and women's departments.  
 incorporated unit separate from institution.  
 department within a physical education division.

### 4. Date of NCAA major infractions case(s) (if any) since previous certification self-study and impact (if any) on the areas of the certification program.

January 1997

### 5. Other significant events (with dates) in the history of intercollegiate athletics program:

Other significant events (with dates) in the history of intercollegiate athletics program:

- . Athletic Director Richard McDuffie resigned in March 1996
- . Carroll Williams named Interim AD in March
- . Don Kaverman named AD in February 1999
- . Women's Soccer was added in fall 1999 (1st competition)
- . Executive Vice President Ken Dobbins named President. Athletic reporting lines changed from Executive V.P. to President in July 2000

## Previous Certification Self-Study

### 4. Actions taken by the NCAA Committee on Athletics Certification regarding the institution's interim report (if applicable):

N/A

### 5. All actions the institution has completed or progress it has made related to "strategies for improvement" (if any) identified by the NCAA Committee on Athletics Certification in its first-cycle certification-status decision that have not been previously satisfied and approved. [Note: Please do not report on the implementation of gender-issues and minority-issues plans, as they are covered elsewhere in the report.] Specifically, include for each: (a) the first-cycle "strategy," (b) the action(s) taken by the institution, (c) the date(s) of these action(s), (d) action(s) not taken or completed, and (e) explanation(s) for partial completion.

See shaded areas at the beginning of each section of the Self-Study Instrument

### 6. All other actions the institution has completed or progress it has made regarding plans for improvement/recommendations developed by the institution during its most recent regular and interim (if applicable) self-studies. [Note: Please do not report on the implementation of gender-issues and minority-issues plans, as they are covered elsewhere in the report.] Specifically, include for each: (a) the original plan, (b) the action(s) taken by the institution, (c) the date(s) of the action(s), (d) action(s) not taken or completed, and (e) explanation(s) for partial completion.

See shaded areas at the beginning of each section of the self-study instrument.

## Introduction to Self-Study Report

### 7. Changes in key senior-level positions, institutional or athletics program, (if any) since the institution's previous certification self-study:

- . President Bill Atchley retires on June 30, 1996 . Dale Nitzschke named President, July 1, 1996
- . Executive Vice President Ken Dobbins named President, July 1999
- . Nitzschke named Chancellor for development of River Campus and Polytechnic Institute in July 1999.

### 8. Significant changes impacting the institution and/or athletics program, if any (e.g., conference affiliation, sports sponsored, changes in admissions standards, significant changes in graduation rates, changes in mission statement of the athletics program, changes in fiscal stability/condition of the athletics program), since the institution's previous certification self-study:

Women's soccer added in fall 1999.

## Certification Self-Study Information

1. Steering Committee Chair: not in database
2. Report coordinator/editor of self-study report: not on database
3. Describe the extent of broad-based participation of campus constituencies in the self-study. (Also, attach a copy of the institution's written plan for conducting the self-study.) Specifically, report on the opportunities that actually were provided to various individuals or groups in the broad-campus community to: (a) offer input into the self-study report before its findings and plans for improvement were formulated, and (b) review the self-study report after it was drafted.

Both self-study steering committee and sub-committees contained broad-based participation of campus constituencies who interviewed, researched data, wrote and initially approved the report. (Listed in self-study plan). In addition, the self-study report was placed on the athletic department's website (2-7-02) for comment. It was then presented to the University Athletic Committee (2-8-02), the University Administrative Council (2-19-02), Faculty Senate (2-20-02) before being formally approved by the Board of Regents (2-25-02).

#### SELF-STUDY PLAN

##### Goals

Southeast Missouri State University is participating in the second cycle of the NCAA Division I Athletics Certification Program by completing a comprehensive self-study during the 2001-02 academic year. The goals of the self study are as follows:

- . To educate University staff and students concerning the athletic program's goals, purposes, and challenges and acknowledge the program's support of the University's overall mission.
- . To identify strengths and positive aspects of the athletics program.
- . To identify problem areas of the athletics program and develop specific plans to achieve improvement through participation from the broader University community.
- . To reaffirm the University's commitment to institutional control of the athletics program.
- . To reaffirm the commitment of the University to Division I operating principles

##### Committee Structure

President Kenneth Dobbins has appointed a steering committee (see attached) to assist the University in reaching its goals and has given to this committee and its chair, Dr. Chris McGowan, Dean of Science & Mathematics, clear and direct authority to speak for the institution. University faculty, staff, and administration are members of the committee. Additionally, representatives from the student body and Booster Club are included.

## Introduction to Self-Study Report

In addition five individuals with unique expertise have been selected to serve on the major sub-committees (see attached). Sub-committee chairs are all members of the steering committee. Three sub-committee chairs are faculty members while the fourth chair is the University controller.

Assistant Athletics Director, Alicia Scott, has been designated by President Dobbins as the campus liaison to facilitate the self-study process and ensuing peer review visit.

### COMMITTEE RESPONSIBILITIES

Each sub-committee is charged with collecting data necessary to support a comprehensive review of the athletics program. Sub-committee chairs will provide status reports to the Chair of the Steering Committee. The Chair of the Steering Committee and the Director of Athletics will serve as consultants to the sub-committees. The sub-committees will develop a plan of action, make internal assignments, collect data and present a draft report including recommendations for improvements to the Steering Committee by September 2001. Following review of the sub-committee draft reports and any subsequent redrafting or additional data collection based on these reviews, the Steering Committee Chair will draft a consolidated report for review by the Steering Committee.

Department of Athletics administrative staff will be responsible for maintaining a record of Steering Committee meetings. Sub-committees will designate an individual to maintain records of all meetings and file copies of such minutes with the Steering Committee Chair.

Review by the University Athletics Committee and the Administrative Council will provide broader campus involvement in the self-study process. Both advisory groups are representative of the entire campus community and report to the President. The Athletics Committee serves as the chief athletics advisory group and is comprised of faculty, students, professional staff, and other constituent groups as determined by the president. Five members of the Athletics Committee will assist the self-study process by serving on Steering Committee and/or a sub-committee. The Administrative Council serves as an advisory constituent to the President and consists of the following membership:

- .President
- .Chancellor
- .Provost and Vice Provost
- .Assistants to the President
- .Assistant Vice Presidents
- .Deans of the Colleges
- .Directors
- .Chairperson of the Faculty Senate
- .Representative of the Academic Chairperson's Forum
- .Representative of the Professional Staff Council
- .Representative of the Clerical/Technical Staff Council
- .President of Student Government

Both the Athletics Committee and the Administrative Council will be briefed on the self-study process and asked to provide input. Periodic progress reports will be made available to each group and a copy of the draft report will be disseminated to members for review and comment.

### Plan of Action

The self-study timetable is attached. The plan anticipates submission of the self-study report to the NCAA in February 2002 -- at least ten (10) weeks prior to the peer review visit.

The Steering Committee will identify sources of data available within the institution prior to commencement of work by the sub-committees. Acquisition of data needed by the subcommittees but not readily available through normal data-gathering processes will be facilitated by the Chair of the Steering Committee.

Sub-committee chairs will be responsible for developing draft reports for review by the Steering Committee. All members have access to word processing equipment and/or clerical assistance. Copy reproduction will be accomplished through assistance from the Athletics Office.

After review by the Steering Committee, sub-committee chairs and the Chair of the Steering Committee will produce a draft-consolidated report for review by the Administrative Council, University Athletics Committee and Athletics personnel. After receiving input from the campus community, the final report will be written/edited by Chris McGowan, Dean of the College of Science and Mathematics, with assistance from campus liaison, Alicia Scott, Assistant Athletics Director. The Steering Committee and Board of Regents will have an opportunity to review the final report before submission to the NCAA in February of 2002. The University will model the report format after

## Introduction to Self-Study Report

that designated by the NCAA and follow the guidelines set forth by the Association.

Southeast Missouri State University is a member of the Ohio Valley Conference (OVC). The Commissioner of the OVC will be invited to attend the NCAA Orientation meeting and will receive a copy of the institution's plan of study and final self-study report. Additionally, the OVC will be asked to assist the University in an external review of its compliance program as required by NCAA Bylaw 23.2.1.3(e). The OVC Office completed the last external review in June 1998. Additional involvement by the conference will be at the Commissioner's discretion.

The University, aware of its goal to utilize the self-study process for education of internal and external groups, will issue periodic press releases to the media. The first release announcing the beginning of the process was issued April 12, 2001. Other releases will be issued, as appropriate, prior to the peer review visit.

### COMMITTEES

#### SELF-STUDY STEERING COMMITTEE

Dr. Chris McGowan  
651-2163  
Dean, College of Science & Mathematics  
Chairperson

Dr. Kenneth W. Dobbins  
651-2222  
President

Alicia Scott  
986-6844  
Assistant Athletics Director/Institutional Liaison  
Compliance & Student Services

Don Kaverman  
651-2229  
Director of Athletics

Dr. Georganne Syler  
651-2890  
FAR, Chair of Athletics Committee  
Professor, Health & Human Services

Dr. Christina Frazier  
651-2065  
Director of Assessment  
Professor, Biology

Lana Richmond  
651-2993  
Assistant Athletics Director/Softball Coach

Dr. Peter Bergerson  
651-2544  
Professor, Political Science

Cindy Gannon  
651-2997  
Women's Volleyball Coach

Grace Hoover  
335-7207  
Retired Faculty/Booster Club Representative

Emmy Kisaka  
332-0365  
President, Student-Athlete Advisory Committee  
Student-Athlete Rep. to Athletics Committee

## Introduction to Self-Study Report

Jim LaCour  
651-2524  
Assistant to the President/Equity Issues

Dr. Ed Leoni  
651-2470  
Professor, Health & Leisure  
Athletics Committee

Lori Lynn  
651-2878  
Director, Recreational Sports  
Athletics Committee

Kathy Mangels  
651-2175  
University Controller

LaShelle Porter  
651-0262  
President Minority Student-Athlete Council

Jim Rust  
334-0517  
Booster Club Representative

Karen Walker  
651-2039  
Director, Financial Aid Services

### SELF-STUDY SUB-COMMITTEES

Governance & Commitment to Rules Compliance

Dr. Georganne Syler, Chair

Dr. Ed Leoni

Lori Lynn

Alicia Scott

Achie Stambush, Student

Academic Integrity

Dr. Peter Bergerson, Chair

Sharon Burgard, Athletic-Academic Services Sandy Hinkle, Registrar

Grace Hoover

Emmy Kisaka

Financial Integrity

Kathy Mangels, Chair

Lee-Ann Wiggs, Athletics Business Manager

Tony Varnon, Professor-Accounting & Finance/Athletics Committee Karen Walker

Jim Rust

Amy Arteme, Student-athlete

Commitment to Equity

Dr. Christina Frazier, Chair

Jim LaCour

Lana Richmond

LaShelle Porter

Cindy Gannon

Gail DiPrete, Athletic Trainer

Linda Schoonmaker, Professor, Physical Education

Time-Table

## Introduction to Self-Study Report

March 2001: President appoints steering committee and sub-committees

March 15, 2001: Steering committee and sub-committee members meet for initial orientation to self-study process; develop goals and timetable; plan conduct of self-study.

March 15, 2001: Steering committee determines involvement of OVC office in process; discusses sources of data for sub-committees.

April 12, 2001: Press release to regional media and internal campus publication

April 23, 2001: Orientation meeting with NCAA representative

April 2001: Sub-committees meet to plan course of action

May 2001: Sub-committees submit action plan to steering committee chair

June 12: Sub-Committee Chairs meeting

June 25: Steering Committee meeting

July 2001: Sub-committees complete data compilation and submit progress report to steering committee.

July 2: Sub-Committee Chairs meeting

July 16: Steering Committee meeting.

August 6: Sub-Committee Chairs meeting

August 13: Steering Committee meeting

September 2001: Sub-committees submit draft reports to steering committee including data, evidence of compliance with operating principles, evaluations and recommendations for improvement.

September 10: Sub-Committee Chairs meeting

September 24: Steering Committee meeting

October 2001: Steering committee reviews sub-committee reports and drafts consolidated report.

October 1: Sub-Committee Chairs meeting

October 15: Steering Committee meeting

November 2001: Draft of self-study disseminated to the Administrative Council, Athletics Department and University Athletics Committee for reaction and review.

November 5: Sub-Committee Chairs meeting

November 19: Steering Committee meeting

December 2001: Comments from Administrative Council and University Athletics Committee discussed by steering committee. Appropriate changes made. Final draft of self-study completed.

December 3: Sub-Committee Chairs meeting

December 10: Steering Committee meeting

January 2002: Self-study reviewed by steering committee and Board of Regents

February 2002: Self-study submitted to NCAA and Peer Review Team

March 2002: Campus liaison completes plan for Peer Review Team Visit

May 2002: Peer Review Team Visit

# Governance and Commitment to Rules Compliance

## Operating Principle

### 1.1 Mission of the Athletics Program and the Institution

#### Self-Study Items

1. Please provide mission statements of the institution and athletics program and indicate the date of their last revision.

##### Self Study Items

1. Please provide mission statements of the institution and athletics program and indicate the date of their last revision.

The University Mission Statement was issued by Academic Services in 1982, and was updated and approved by the Board of Regents on August 15, 1997. The Athletics Department's Mission and Goals were developed by former Director of Athletics Rich McDuffie and approved by the University Athletics Committee and Board of Regents on June 21, 1995. The most recent Athletics Department Strategic Planning Priorities were compiled by Director of Athletics Don Kaverman and distributed October 27, 2000.

##### Southeast Missouri State University Mission

Southeast Missouri State University is a multi-purpose regional institution of higher education that derives its authority from the people of Missouri through the Missouri State Legislature. While serving in the interest of the nation and state of Missouri, the University maintains a strong commitment to the diverse twenty-five counties of the rural, urban, and suburban areas of southeast Missouri. As a multi-purpose institution, the University achieves its educational goals through the offering of instructional programs and other learning experiences at the certificate, associate, baccalaureate, and specialist levels.

Recognizing its responsibility for the advancement and transmission of knowledge and the preparation of leaders in all segments of society, the University provides a wide range of programs that address the intellectual, professional, personal, social, and cultural needs of students. With a high priority on quality and excellence in all of its endeavors, the University ensures equal access to its educational programs and services without regard for race, creed, age, sex, or national origin.

The University provides educationally related services to individuals, agencies, businesses, industries, and schools throughout the region and fosters research applicable to professional, institutional, and regional objectives. The academic leadership responsibility of the University provides an avenue for outreach programs and services that address individual, societal, and employment needs in the region. The research, scholarly activity, and creative endeavor of faculty members, professional staff, and students alike are fostered throughout these efforts as an integral component of the educational process.

Academic Services, 1982

Updated August 15, 1997

##### Southeast Missouri State University Department of Athletics

##### MISSION STATEMENT

Intercollegiate Athletics seeks to provide educational and competitive opportunities at the NCAA Division I level for eligible student-athletes. Seeking to maintain an appropriate balance between athletic and academic programs, the University recognizes academics and academic pursuits of student-athletes must take precedence over athletic opportunities.

Intercollegiate Athletics also assumes the role of assisting in University development. Athletics seeks to provide positive reflections of university activities to a variety of audiences. A strong commitment to honesty, integrity and fair play reflect strict adherence to NCAA and Conference rules, regulations and philosophies.

June 21, 1995

##### Southeast Missouri State University Department of Athletics

##### GOALS

- a. Offer a competitive, broad-based intercollegiate athletics program at the NCAA Division I (I-AA) level providing opportunities for qualified student-athletes to excel in their particular sport or activity.

## Governance and Commitment to Rules Compliance

- b. Provide an atmosphere in the intercollegiate athletics program which allows for the diversity of the student population assuring equitable opportunities for women and minorities, both student-athletes and staff.
- c. Provide assistance and encouragement for student-athletes to maintain appropriate academic progress and to achieve their individual educational goals and objectives.
- d. Serve as a vehicle for University development by providing positive outreach activities and expertise to the University service region.

June 21, 1995

Southeast Missouri State University Department of Athletics  
STRATEGIC PLANNING PRIORITIES

Priority I: Continue to provide for a regionally competitive athletics program at the NCAA Division I level.

Priority II: Promote gender equity within the athletics program and strive to fully implement the Gender-Equity Phase II plan.

Priority III: Improve overall student-athlete academic performance and graduation rates.

Priority IV: Enhance student-athlete welfare through the provision of student services and opportunities for community service.

October 27, 2000

### 2. Explain how the mission of the athletics program relates to that of the institution as a whole.

The Athletics Department supports the mission of Southeast Missouri State University by carrying out its athletics-related functions while simultaneously promoting education, leadership, personal, social and cultural growth. One of the four Athletics Department strategic planning priorities is to "improve overall student-athlete academic performance and graduation rates." Student-athletes are required to be students as well as athletes. When prospects are recruited, their potential for academic success is closely noted. Southeast student-athletes are held to the same standards as other students.

The Athletics Department strategic planning priority to "enhance student-athlete welfare through the provision of student services and opportunities for community service," parallels the University's stated mission to promote leadership, personal, social and cultural growth to its students.

The University endeavors to provide equal access to its educational programs and services. Student-athletes enhance student body diversity by bringing to the campus numerous students of color, international students, students of varying ethnic backgrounds, and students from outside the usual geographic areas that the University serves.

The University places high priority on quality and excellence in all of its endeavors. The success of the athletics programs support and further this concept.

An Athletics Department strategic planning priority is to "continue to provide for a regionally competitive athletics program at the NCAA Division I level." The Athletics Department is aware that the University is committed to excellence and that its student-athletes are perceived as a public face of the University. Student-athletes are reminded that they are representing the University. This responsibility is taken seriously; it is a goal to be seen as honorable participants in all endeavors both athletic and academic.

### 3. Describe how and to whom the athletics program's mission statement is circulated.

The Athletics Department's statement of mission is on the Athletics Department's website (<http://Qosoutheastfansonlv.com>) for broad dissemination to the public. It is distributed and discussed each year within the University Athletics Committee. It also appears in approximately half of the team media guides and half of the game day programs. (It will be requested to be placed in the student-athlete handbook, departmental handbook and in booster newsletters).

### 4. Describe briefly, using specific examples, how the athletics program's mission and goals are or are not supported by the actual practices of the athletics program.

The mission statement of the Athletics Department is summarized below with specific examples of how the statements are supported by actual practice.

## Governance and Commitment to Rules Compliance

a. "To provide educational and competitive opportunities at the NCAA Division I level for eligible student-athletes:"

The Department and University provide numerous educational opportunities for student-athletes to excel. The Athletics Department provides Academic Support Services staffed by one full time staff member, one part-time adviser, and two graduate assistants. In addition to other responsibilities, academic support services provides academic advisement for student-athletes who have not declared a major, it maintains supervised study halls and provides counsel and referral services to student-athletes who need additional academic support.

The Department sponsors the NCAA Champs Life Skills program for all freshmen student-athletes. This program is taught within the parameters of a three credit hour class offered through the Department of Health and Leisure. The Student Athletic Advisory Council (SAAC) provides leadership and organizational opportunities to students-athletes. There is also a Student Athlete Mentoring (SAMs) group where selected student-athletes may enroll in a three credit hour peer mentoring class, through the Department of Health and Leisure. These SAMs then serve as mentors to all student-athletes.

The Athletics Department has nominated student-athletes to attend the NCAA Leadership Training Conference for the past two years. The students return to Southeast and share the skills learned at the conference with student athletes on campus.

The Athletics Department has sponsored and promoted motivational and educational speakers for student-athletes and for the entire student body, Topics presented include: responsible use of alcohol and other drugs, healthy lifestyle choices, date rape and general sexual responsibility, diversity education, gambling, and use of dietary supplements.

The level of success that our athletic teams achieve illustrates competitive athletics opportunities. Southeast Missouri State University teams are regular contenders for leadership of the Ohio Valley Conference. They have won 24 regular-season conference championships and ten post-season tournament championships. In addition, they have qualified for numerous NCAA post-season championship events, including a first ever selection to the NCAA Division I Men's Basketball Tournament in March 2000.

b) Seeking to maintain an appropriate balance between athletic and academic programs, the University recognizes academics and academic pursuits of student-athletes must take precedence over athletic opportunities. "

The Academic Support Services, as noted above, provides various academic opportunities for at-risk student-athletes. For example, it maintains a centralized study hall. Requirements for use of the study hall are based upon Athletics Department standards.

Southeast Missouri State University student-athletes have been very successful in the classroom. The student-athlete graduation rate is higher than that of the general student body. Each year approximately one third of Southeast Missouri State University student-athletes are selected for the OVC Commissioner's Honor Roll (earning a 3.25 or higher grade point average) and approximately a dozen student-athletes are designated OVC Medal of Honor recipients (receiving the highest g.p.a in the respective sport within the OVC for each academic year). Approximately 45% of the student-athletes have a cumulative g.p.a. of 3.0 or better. Southeast Missouri has produced Academic All Americans in softball, volleyball, track, baseball, and cross-country. Other student-athletes have received post-graduate scholarships, including the NCAA post-graduate scholarship.

c. "Intercollegiate athletics also assumes the role of assisting in University development. Athletics seeks to provide positive reflections on University activities to a variety of audiences. "

The Athletics Department, through the various accomplishments of the student-athletes, brings positive publicity to the University as a whole. The athletic teams can be seen as the "front door" where many first become aware of Southeast Missouri State University and its outstanding reputation. The legacy of winning teams has provided countless positive notice to the general public.

Physical facilities upgrades and building campaigns have provided benefit for the University and community as a whole. The new softball, tennis, and track complexes enhance the appearance of the campus. These new facilities are frequently used by local schools and community members. The football/soccer field renovation to an artificial turf makes the stadium playing field available for a multitude of uses. Cape Girardeau Central High School uses the stadium for their home football games; it is also used for marching band festivals and community soccer tournaments. The Athletics Department has developed a master plan that will enhance the football stadium facade, as it will provide a new gateway to the campus as a whole.

The excellent academic record of numerous student-athletes brings a positive reflection on the University. The SAAC and SAMs groups organize and lead their teams in providing community service. In this last year, Southeast

## Governance and Commitment to Rules Compliance

student-athletes have provided over 1500 community service hours. Among the sites where community service has been provided are: Southeast Hospital Dig-for-Life breast cancer awareness and fund raiser, Big Brother and Big Sister program, Red Ribbon Day at an elementary school to promote alcohol and other drug education, Christmas parties for disadvantaged children, a track meet for elementary school children, a volleyball clinic for children, partnering with pre-school children at the Center for Child Studies on campus, and an Easter egg hunt at a softball game.

d. "A strong commitment to honesty, integrity, and fair play reflect strict adherence to NCAA and Conference regulations and philosophies."

Compliance with NCAA legislation and conference regulations is the responsibility of each member of the Athletics Department. Each full time coach and selected professional staff receives a copy of the updated NCAA Manual each spring. These same individuals receive the NCAA News.

The Athletics Department has a Compliance Committee which meets monthly. It is made up of several key contacts within the University including the Registrar, Admissions Director, Financial Aid Director, and Faculty Athletics Representative. This committee provides input and oversight concerning Athletics Department policies and practices in regard to compliance.

The Compliance Coordinator pro-actively self-reports secondary violations. There are usually 20 to 25 self-reports to the NCAA per year. Additionally, the Ohio Valley Conference (OVC) sportsmanship policy is read aloud to team captains and coaches prior to the playing of all conference games.

An example of the Athletics Department's commitment to honesty, integrity, and fair play can be illustrated by how a major infraction was managed. When the infraction came to light in 1996 through 1997, the institution under the direction of then Executive Vice President (and now President) Ken Dobbins began an internal investigation. As the possibility of a major violation surfaced, Conference Commissioner Dan Beebe was asked to assist in the investigation. Based on these preliminary reviews, the Athletics Department contacted the NCAA enforcement staff. The University concluded that major infractions were committed. Based on the investigation report, the Board of Regents took action to dismiss the Head Coach and Assistant Coaches' contracts were not renewed. Due to the University's pro-active stand, the University was involved in two court cases filed by these coaches. These cases were dismissed.

The University and Athletics Department showed integrity, acted pro-actively, and made numerous changes in its compliance program. Overall, positive results occurred as a result of an infraction.

### Evaluation

1. Does the institution demonstrate that the mission and goals of the athletics program relate clearly to the mission and goals of the institution? **Currently Yes**
2. Does the institution demonstrate that the mission and goals of the athletics program support the educational objectives, academic progress and general welfare of student-athletes? **Currently Yes**
3. Does the institution demonstrate that the mission and goals of the athletics program support equitable opportunity for all students and staff, including women? **Currently No**
4. Does the institution demonstrate that the mission and goals of the athletics program support equitable opportunity for all students and staff who are minorities? **Currently No**
5. Does the institution demonstrate that the mission and goals of the athletics program embrace the Association's principles of sportsmanship and ethical conduct? **Currently Yes**
6. Does the institution demonstrate that the mission and goals of the athletics program are widely circulated among the institution's internal and external constituencies? **Currently Yes**

## Governance and Commitment to Rules Compliance

7. Does the institution demonstrate that the actual practices of the institution's athletics program are consistent with the athletics program mission and goals? **Currently Yes**

## Governance and Commitment to Rules Compliance

Elements	Goals	Steps		
Issues in the Self-Study	Measurable Goals	Steps to Achieve Goals	Individuals/ Officers Responsible for Implementation	Specific Timetable for Completing the Work
The current Athletics Department Missions Statement does not clearly state that equitable opportunities for all students and staff, including women and minorities are assured. This principle is stated in the Athletics Department goals, but not in the Mission Statement.	To develop a revised Athletics Department Mission Statement which will assure equitable opportunities for all students and staff, including women and minorities.	The University Athletics Committee composed of representatives from each academic college, professional staff, clerical staff, technical staff, students and administration will develop a revised Athletics Department Mission Statement which will assure equitable opportunities all students and staff, including women and minorities.	University Athletics Committee	During the 2001 - 2002 academic year
		Upon revision by the University Athletics Committee, the AD will review the Mission Statement and forward it to the President for final approval by the Board of Regents.	AD, President, Board of Regents	During the 2001 - 2002 academic year

# Governance and Commitment to Rules Compliance

## Operating Principle

### 1.2 Institutional Control, Presidential Authority and Shared Responsibilities

#### Self-Study Items

1. Based upon the institution's experience in the last three years, list the decisions related to intercollegiate athletics in which the institution's governing board or individual board members have been significantly involved (if any).

The minutes of the Board of Regents can be found in Appendix A. The table below notes each of the significant interactions of the Board with the Athletics Department.

#### BOARD OF REGENTS INTERACTION WITH ATHLETICS DEPARTMENT ISSUES

(Date of Minutes

Page

Paragraph

Sub-Heading)

January 28, 1998

2

1

SE Football Team Resolution of Honor

April 29, 1998

2

4

Resolution of Honor for Women's Track Athletes

July 8, 1998

2

5&6

Resolution of Honor for Men's Baseball Team

July 8, 1998

3

1&2

Resolution of Honor for Kenneth L. Dement, Sr.

July 8, 1998

6

1,2, & 3

Phase II Initiatives (Gender Equity)

July 8, 1998

2

3

Resolution of Honor for Women's Softball and Coach Of the Year

December 11, 1998

4

4&5

Audit Report for Intercollegiate Athletics Department

December 11, 1998

8

3

Appointment of Director of Athletics

December 11, 1998

1

3

## Governance and Commitment to Rules Compliance

Resolution of Honor for Women's Volleyball Team

March 24, 1999

2

3 thru 8

Resolution of Honor for Student-Athletes

March 24, 1999

8

6

General Fee-Student Athletics

June 30, 1999

4

1&2

Conceptual Design for Houck and Request of Foundati

June 30, 1999

2

2

Resolution of Honor for OVC Male Athlete of the Year

June 30, 1999

2

1

Resolution of Honor for OVC Female Athlete of the Year

June 30, 1999

2

4

Resolution of Honor for OVC Male Athlete of the Year

June 30, 1999

2

3

Resolution of Honor for OVC Women's All Sport Troph & Basketball Coach of the Year

December 10, 1999

8

4

Report on Intercollegiate Athletics Department Independent Accountant's Report

December 10, 1999

8

1

Search for Head Football Coach

December 10, 1999

5

4

Virbra-Whirl as Vendor for Installation of Field turf

December 23, 1999

1

5

Appointment of Head Football Coach

January 27, 2000

1

3

Resolution of Honor for Women's Volleyball Team

March 24, 2000

2

1 thru 3

## Governance and Commitment to Rules Compliance

Resolution of Honor for Men's Basketball Team

May 12, 2000

6

4

Approval of conceptual design and schematic design of Houck Stadium

May 12, 2000

4

1 thru 3

Resolution of Honor for Women's Indoor and Outdoor Track

June 30, 2000

2

5 thru 7

Resolution of Honor for OVC Male Athlete of the Year

June 30, 2000

2

8

Resolution of Honor for Women's All Sports Trophy

June 30, 2000

3

2

Resolution of Honor for GTE Academic All American Award

December 8, 2000

7

1

Agreed-Upon Procedures for the Intercollegiate Athletic Department

2. Based upon the institution's experience in the last three years, list the decisions related to intercollegiate athletics in which the institution's chief executive officer has been significantly involved.

The Organizational Chart for the University and the Department of Athletics are provided in Appendix B. The President of the University is involved in all major decisions related to athletics that include personnel issues, capital improvements as well as budget and financial management. Over the past three years, the President has been involved in the following decisions:

- . Hiring of Director of Athletics
- . Hiring of Head Football Coach
- . Houck Stadium Renovation Master Plan Major donor recruitment
- . Basketball Office Renovation
- . Gender Equity-Phase II
- . Increase in Student Fee to support athletics

3. Describe the process by which the institution makes major decisions regarding intercollegiate athletics. In so doing, describe the role and authority of the institution's governing board, the chief executive officer, the athletics board or committee (if one exists), the faculty athletics representative(s), the director of athletics, and any other appropriate campus constituencies (e.g., faculty, students, institutional personnel involved in rules-compliance activities ) in this process. Please provide the composition of the athletics board or committee (including titles and positions).

The Board of Regents makes all major decisions regarding Intercollegiate Athletics at Southeast Missouri State University. The Board assigns the ultimate responsibility and authority for operations of the entire University to the President. The President then delegates day-to-day oversight of Intercollegiate Athletics to the Director of Athletics. The Director of Athletics is responsible for management of the program, staff and facilities within the department. The Director of Athletics meets both formally and informally with the President each week so that a constant flow of information is exchanged and a high level of communication is achieved.

## Governance and Commitment to Rules Compliance

The Faculty Athletics Representative is appointed by and reports to the President. The FAR meets regularly with both the Director of Athletics and the President. The FAR's responsibilities include oversight of compliance and student welfare issues.

The University Athletics Committee, comprised of students, faculty and staff, serves in an advisory role to the Director of Athletics and ultimately the President of the University. The committee is chaired by the FAR and consists of representatives from constituency groups across campus. The Athletics Committee provides input into the formulation of policies relating to the conduct of the athletics program and reviews periodically the implementation of such policies.

### MEMBERSHIP OF THE UNIVERSITY ATHLETICS COMMITTEE 2001-02

(Name

Title

Department

Appointed By)

Phil Crawford  
Associate Professor  
Chemistry  
Faculty Senate

Theresa Hassler  
Student  
Student Government  
Student Government

Ron Hines  
Sports Information Director  
Athletics  
President (ex-officio)

Don Kaverman  
Director of Athletics  
Athletics  
President

Emmy Kisaka  
Student Athlete  
Student Athlete  
Student Athlete Advisory Committee

Jim LaCour  
Assistant to the President for Equity Issues  
Equity Issues  
President

Ed Leoni  
Professor  
Health & Leisure  
Faculty Senate

Ted Loso  
Assistant Professor  
Polytechnic Studies  
Faculty Senate

Lori Lynn  
Recreational Sports Director  
Recreational Sports  
President

Deborah Moberly  
Assistant Professor  
Elementary Education  
Faculty Senate

## Governance and Commitment to Rules Compliance

Jan Onderdonk  
Recording Secretary  
Athletics  
Director of Athletics

Jim Pelfry  
Coordinator of Judicial Affairs  
Student Development  
Professional Staff Council

Georganne Syler  
Associate Professor/FAR/Chair of Athletic Committee  
Human Environmental Studies  
President

Tony Varnon  
Associate Professor  
Accounting & Finance  
Faculty Senate

Fred Jones  
Assistant Professor  
Communication  
Faculty Senate

**Information to be available** for review by the peer-review team, if requested:

- Minutes of athletics board or committee meetings.
- Composition of the institution's governing board (including titles and positions).
- Minutes of the institution's governing board meetings. (Please flag those that relate to the athletics program or athletics interests.)
- Published policies of the institution's governing board. (Please flag those that relate to the athletics program or athletics interests.)

### Evaluation

1. Does the institution demonstrate that the institution's governing board provides oversight and broad policy formulation for intercollegiate athletics in a manner consistent with other units of the institution? **Currently Yes**
2. Does the institution demonstrate that the chief executive officer is assigned ultimate responsibility and authority for the operation and personnel of the athletics program? **Currently Yes**
3. Does the institution demonstrate that appropriate campus constituencies have the opportunity, under the purview of the chief executive officer, to provide input into the formulation of policies relating to the conduct of the athletics program and to review periodically the implementation of such policies? **Currently Yes**

# Governance and Commitment to Rules Compliance

## Operating Principle

### 1.3 Rules Compliance

#### Self-Study Items

1. Describe how the activities of the institution's athletics booster groups, support groups and other representatives of the institution's athletics interests are maintained under the clear control of the institution, including whether institutional personnel serve on booster-club, support group or foundation boards.

The activities of the University's Athletics Booster groups are maintained under the clear control of the University. All major fund raising activities are under the supervision of the Director of Athletics Development. Initiatives in this area require the approval of the Director of Athletics.

The Southeast Missouri State University Booster Club is managed by a Board of Directors. The Booster Board is composed of the officers and selected members of the Booster Club. The Director of Athletics Development and the Director of Athletics serve on the Board as ex-officio members. Any expenditure of Booster Club funds requires authorization by the Director of Athletics and the University Vice President-Finance. For expenditures over \$25,000, the Booster Board of Directors must give authorization.

Southeast Booster funds are part of the overall University Foundation and thus governed by University policies. The Booster Board, the Director of Athletics, and the University Vice President for Finance control actual distribution of Booster funds.

#### Director of Athletics Development

The Director of Athletics Development is responsible for the planning and implementation of athletic fund raising and other externally funded activities. The position reports to the Director of Athletics.

Specifically, the Director of Athletics Development is responsible for:

- . organizing the annual Booster Club fund drive and Booster Club functions as determined by the Director of Athletics and the Booster Club Board of Directors
- . planning and designing the annual Booster Club calendar and the annual brochure for Booster members
- . implementing directives relative to capital funds drives as determined by the Director of Athletics and in consultation with the Vice President for University Advancement
- . promoting of season ticket sales as related to the Booster Club
- . securing vehicles for the courtesy car program (see appendix C)
- . advertising sales for game programs as related to the Booster Club
- . coordinating special events as related to Athletics Development and the Booster Club
- . providing the Director of Athletics both short- and long-range plans for the facilitation of the above
- . providing an annual report summarizing activities and fund balances for the preceding year
- . providing the University business office with financial data to facilitate year-end tax reporting for the Booster Club
- . providing informal rules education to Boosters

#### Special Events and Activities of the Booster Club

An annual fundraising "kick-off" meeting is held in the spring to meet with volunteer fund raisers. Volunteers are given new materials and are apprised of methods to solicit/renew memberships and donations.

The Director of Athletics Development meets one-on-one with area corporate representatives to solicit program ads and Booster Club memberships. The Director of Athletics Development works with the Assistant Director of Athletics for Marketing & Promotions in this area.

## Governance and Commitment to Rules Compliance

Direct mailings and newsletters ("The Insider") are sent to Booster members quarterly or as needed. The Sports Information staff provides data for the newsletters and releases. The Compliance Office provides rules education/information for each issue.

Area golf tournaments are held during the year to promote Booster membership and to raise funds. Basketball and football pre-game meals and half-time hospitalities, sponsored by local restaurants, enhance fund raising efforts. Bus trips to away contests are arranged for Booster members.

Solicitation of trade-outs for meals for all athletics teams is carried out with local restaurants, which enhances each teams' budget and also provides the community with an opportunity to meet the student-athletes.

Monthly meetings of the Booster Board of Directors are held, usually on campus. The Board of Directors is responsible for approving financial reports, giving levels, and other business.

Involvement with Southeast Missouri University Foundation projects, fund-raising campaigns (with special emphasis on funding Athletics Department needs), athletic endowed scholarships, contact with alumni, and other special projects are also part of Athletics Development's responsibilities.

The Director of Athletics Development is involved with special events that are sponsored by individual sports/coaches for fund-raising activities that includes women's golf tournament, golf marathon, and other fund-raising activities. Recently, two sport specific Booster groups have been developed. The groups are the 'Top Twenty Club' for men's basketball and the 'Indian Insider' for football. Coaches are responsible for soliciting members while administrative oversight is provided by the Director of Athletics Development and the Director of Athletics. All funds are channeled through the usual University Foundation accounts for Boosters.

2. Identify, using an organizational or flow chart, how the institution has organized itself to maintain compliance with NCAA rules. Specify the individual (other than the institution's compliance officer/coordinator) who the CEO designates as being responsible for the institution's rules compliance. Also, include a description of the reporting lines for and responsibilities assigned to the faculty athletics representative, director of athletics, compliance coordinator (if any), coaches, and other key individuals inside and outside athletics (e.g., administrator monitoring permissible recruiting activities, registrar, financial aid officer, admissions director, internal auditor) who are responsible for documenting and monitoring compliance with NCAA rules.

As described in the athletics organizational chart, Appendix B, the Director of Athletics is responsible for all functions of the athletics program. The President has delegated responsibility for rules compliance to the Director of Athletics.

### Director of Athletics

The Director of Athletics (AD) is responsible for the total athletics program. He reports to the President for all departmental initiatives. Additionally, the AD confers with the Vice, President for Finance for budgetary issues. The AD serves on the Administrative Council that includes all academic deans and vice presidents and provides a significant advisory role to the President.

### Faculty Athletics Representative

The Faculty Athletics Representative (FAR) is appointed by and reports to the University President. The FAR's responsibilities include oversight of compliance issues and student welfare. The FAR chairs the University Athletics Committee and serves on the Athletics Department Compliance Committee. The FAR attends NCAA regional compliance seminars every other year. The FAR serves as a liaison with student-athletes, athletics administration, and University academics and administration.

### Compliance Coordinator

The Assistant Director of Athletics I Compliance and Student Services (CC) is responsible for the development and maintenance of the university rules compliance program. She is responsible for rules education and general monitoring of compliance programs including eligibility, financial aid, recruiting, playing and practice seasons and processing of violations of NCAA legislation. Additionally, the CC oversees Academic Services and Champs Lifeskills Program. The CC, along with the Academic/Lifeskills Coordinator (ALC), serves as advisors to student-athlete groups including Student Athlete Advisory Council (SAAC), Student Athlete Mentors (SAMs) and the Minority Athlete Council (MAC). The CC reports to the AD. The CC chairs the University Athletics Compliance Committee that consists of the Registrar, Financial Aid Director, Financial Aid Compliance Representative, Director

## Governance and Commitment to Rules Compliance

of Admissions, Associate Director of Admissions, Director of Student Accounts, Athletics Business Manager, Ticket Manager, Athletics Academic Coordinator, Faculty Athletics Representative, and the Compliance Secretary. Monthly meetings of this group are held during the academic year to discuss compliance issues.

The CC coordinates rules education of student-athletes, departmental staff, University staff, and Boosters. The CC conducts rules education meeting with student-athletes shortly after arrival on campus for pre-season practice or class each fall. Additional meetings are held as needed. All student-athletes are provided a student-athlete handbook that contains NCAA and University policies and procedures produced by the CC each year. A newsletter for student-athletes is also produced by the Compliance Office and distributed to student-athletes at least once each semester.

The CC conducts monthly rules education meetings for the coaching staff and is available for NCAA rules interpretations. Flyers called 'Rules Reminders' are produced in this office that depict a particular rule of importance and are distributed to coaches to display in prominent areas for their team to note.

The CC serves on various University committees and provides rules education as needed to faculty and staff. Additionally, a brochure is produced in the Compliance Office for Boosters and University personnel outlining NCAA legislation.

The CC is responsible for monitoring recruiting. Coaches are required to submit transcripts, test scores, and appropriate information to the CC prior to a prospect's official visit. After review, the document is sent to the Athletics Business Manager who tracks expenditures related to recruiting. Other documentation such as recruiting phone logs and contact/evaluation information is submitted monthly to the Compliance Office. Recruiting folders, which document all recruiting information for recruited prospects, are submitted to the CC after the prospect has signed a National Letter of Intent and/or scholarship. These folders are spot checked and returned to the coach.

Coaches submit the 'Playing and Practice' season designation form to the Compliance Office that defines their playing and practice season prior to their first practice (usually August). Coaches are required to submit a practice calendar each month that identifies practice days, days off and hour limitations. Periodically, student-athletes are randomly chosen to verify this information.

The CC works with the Compliance Secretary and the Financial Aid Compliance Representative to monitor financial aid. She provides interpretations as needed.

The CC is responsible for processing violations of NCAA legislation. Minor secondary violations are investigated by the CC and reported to the NCAA, Ohio Valley Conference, AD and FAR. Rules violations that appear to be more serious in nature are reported to the AD. All violations are reported to the President via the CC. Depending on the infraction, other departmental and University staff are included in the investigation. The CC is responsible for reporting the violations to the NCAA and OVC.

### Registrar

The Registrar, who serves on the Athletics Compliance Committee, plays a vital role in eligibility certification. She serves with the ALC and CC to form the Eligibility Committee. This committee is a working group that certifies continuing, transfer, and initial eligibility. The Registrar is a member of the University Student Affairs Committee that has oversight for special academic administration requests. She attends the NCAA regional compliance seminar annually. The Registrar reports to the University Vice President for Administration and Enrollment Management.

### Academic / Lifeskills Coordinator

The Academic / Lifeskills Coordinator (ALC) is involved in most aspects of the rules compliance program. Eligibility and rules education are of particular importance. The ALC serves on the Athletics Compliance Committee and the Eligibility Committee. The Eligibility Committee is a working group that certifies continuing, transfer and initial eligibility and is comprised of the ALC, the Registrar, and CC.

Rules education of student-athletes and University staff is a function of this office. The ALC meets with prospects on official visits and coordinates orientation and academic advising for prospects that attend the University freshman orientation.

She coordinates the Athletics Advising Office including student-athlete mentoring, mandatory study halls, and the Champs Lifeskills program. As a part of the Lifeskills program, she teaches in the Department of Health and Leisure two or three sections each fall semester on 'Topics in Lifeskills'. This is a three credit hour course for beginning freshmen student-athletes. She also teaches one section of a Peer Education class for student-athlete mentors in the spring semester. The Peer Education course is housed also in the Department of Health and Leisure.

Student-athlete leaders who are members of the Student-Athlete Mentors (SAMs), Student Athlete Advisory Committee (SAAC) and the Minority Athletic Council (MAC) produce a mandatory freshman orientation program

## Governance and Commitment to Rules Compliance

presented for all freshman student-athletes during the first week of class. Rules education and lifeskills issues are uniquely presented by students for the students and are coordinated by the ALC.

The ALC also serves on several committees where she provides NCAA rules education to university personnel. These committees include the Professional College Advisors Team and the Orientation Coordinating Committee. She serves as an advisor to SAAC, SAMs, and MAC. The ALC attends annual NCAA regional rules seminars and reports to the CC.

### Student-Athlete Financial Aid Compliance Representative

The Financial Aid Compliance Representative (FACR) is integrally involved in the administration of the athletics financial aid program. The FACR is responsible for monitoring and verifying athletics financial aid including scholarships, student-athlete employment, and squad list information. The FACR is a member of the compliance and financial aid committees and works closely with the Compliance Secretary. She provides rules education to coaches, student-athletes and staff. She was an integral part of re-writing the computer program to identify potential financial aid problems with regard to student-athlete scholarship payments. The FACR attends the NCAA Compliance Seminar yearly. She reports to the Director of Financial Aid Services.

### Compliance Secretary

The Compliance Secretary (CS) monitors playing and practice seasons, official visits and student-athlete off-campus employment. The CS provides NCAA Clearinghouse updates to coaches and is responsible for processing transfer release documentation (permission to contact). She prepares and updates NCAA squad lists. She is the primary financial aid contact in the Athletics Department and works closely with the FACR. The CS prepares confidential scholarship contracts and monitors the individual sport scholarship budgets for review by the AD and coaching staff. She prepares and maintains squad lists for each sport in association with the FACR. Additionally, the CS assists the CC with rules education by assisting with monthly coaches meetings and creation and production of the student-athlete newsletter that contains rules education information. She reports to the CC.

### Admissions

The Associate Director of Admissions (ADM) is a member of the Compliance Committee. She evaluates incoming students including prospective student-athletes for admission. She reports to the Director of Admissions.

### Athletics Business Manager

The Athletics Business Manager (ABM), a member of the Compliance Committee, is responsible for monitoring individual sport budgets including both individual coaches and team travel. Additionally, the ABM monitors and verifies expenses associated with official visits and recruiting of prospects. The ABM reports to the AD.

### Coaches

Coaches are responsible for knowing and following all rules and regulations of the NCAA. They are responsible for documenting recruiting information in recruiting individual folders and playing and practice season monthly reports. They are responsible for assisting the compliance office with student information and with rules education of student-athletes. Head coaches report either to the AD or the Assistant Athletic Director I Senior Women's Administrator (see chart).

### 3. Describe the institution's rules-education efforts for student-athletes, athletics department staff members, other institutional staff members and representatives of the institution's athletics interests.

Rules compliance is the subject of ongoing educational efforts. The Athletics Department provides the following rules education opportunities for student-athletes, athletics department staff, university staff and athletics boosters.

#### Student-Athletes

1. Individual sport meetings are held during the first week of school (earlier for teams who report early for practice). NCAA rules and university policies are discussed. NCAA forms are completed at this time.
2. Additional rules education meetings are conducted for all student-athletes each fall.
3. Alcohol and drug education - The Athletics Department requires student-athletes to attend an alcohol/other drug education presentation at least once per year. SAMs provide alcohol and drug education programming and support for members of their individual teams.
4. Newsletter - student-athletes are updated on activities, SAAC initiatives and NCAA rules education during the academic year (began Spring 2001 - 4 issues per year are planned).

## Governance and Commitment to Rules Compliance

5. Lifeskills Class - All beginning student-athletes are highly encouraged to enroll in a three-hour life skills class taught by the ALC. NCAA rules education is included formally and informally.

6. Freshman Orientation - All beginning student-athletes are required to attend an evening orientation during the first week of classes. Members of SAAC, SAMs and MAC convey strategies for success both in the classroom and beyond - student to student. NCAA rules education is included in these unique presentations.

7. Rules Reminders - The compliance office periodically produces flyers that highlight NCAA legislation. These flyers usually address a single relevant compliance issue and are distributed to the academic center and coaches for display in locker rooms.

8. Student-Athlete Handbook - A handbook about NCAA rules and departmental policies is published annually and distributed to student-athletes.

9. The CC serves as an advisor for all student athlete organizations (SAAC, SAMs, MAC) and provides informal rules education to these student leaders.

### Athletics Department Staff

1. Monthly Rules Meetings - All coaches are required to attend a monthly rules education meeting.

2. Interpretations - Coaches may request rules interpretations from the compliance office as needed.

3. Departmental Handbook (Appendix D) - The Athletics Department Handbook provides policies and procedures for compliance with university and NCAA rules and regulations.

4. Assistant Coaches Council - Monthly meetings of top assistant coaches are held to discuss recruiting issues, student welfare initiatives and rules education.

### Institutional Staff Members

1. The Compliance Committee meets monthly during the academic year to discuss compliance issues. It's membership includes the Registrar, Financial Aid Director, Director of Student Accounts, Financial Aid Compliance Representative, Associate Director of Admissions, Faculty Athletics Representative, Athletics Business Manager, Athletics Ticket Manager, Athletics Academic I Lifeskills Coordinator, Compliance Secretary, and Compliance Coordinator.

2. Selected members of the compliance committee attend NCAA regional rules seminars. The members who attend annually are the Registrar, Financial Aid Director, Financial Aid Compliance Representative, Academic Coordinator, Compliance Secretary, and Compliance Coordinator. The Director of Athletics, Faculty Athletics Representative, Athletics Business Manager and Athletics Ticket Manager attend on bi-annual schedule.

3. The Compliance Coordinator serves on the Student Life Committee (student affairs area) and provides rules education as needed.

4. The Academic Coordinator educates all University college advisors regarding NCAA eligibility requirements.

5. The Booster's Guide to NCAA Rules is distributed to all faculty and staff biannually.

6. Lifeskills Coalition - Selected members of the Athletics Department and university faculty and staff meet monthly to discuss issues related to student, athlete welfare. The primary focus of this coalition is education on alcohol and drug issues. The coalition has been instrumental in the development of the student-athlete mentor program. This group consists of three faculty members including the FAR, ALC, Campus Alcohol/Drug Coordinator, two athletic trainers, one coach and the CC.

### Boosters

1. A compliance questions and answers section appears in the Booster Newsletter that is printed quarterly.

2. The Director of Athletics Development is a member of the athletics administration staff who serves as a booster liaison.

3. An NCAA Rules Compliance Booster's Guide is distributed yearly.

4. The Director of Athletics serves as the Executive Director of the Booster Club and attends all Booster Club meetings. He serves as the primary University liaison to the Booster Club and provides rules education to the Board as needed.

4. Describe the procedures used by the institution to monitor student-athlete employment in compliance with NCAA legislation.

## Governance and Commitment to Rules Compliance

1. Student-athletes are provided employment rules education during their pre,season compliance meeting.
2. Student-athletes who desire employment must verify eligibility for employment in the compliance office.
3. Student-athletes who are eligible for employment must meet with the Financial Aid Compliance Representative who determines allowable compensation limits. Both the student-athlete and prospective employer must sign an employee information form. This form provides rules education and maximum compensation level for the student-athlete. Additionally, the prospective employer must disclose compensation rates. The completed form must be submitted to Financial Aid.
4. On-campus employment information for student-athletes is available through the University Financial Aid's system and is monitored by the FAO.
5. Student-athletes who work off-campus are responsible for bringing pay statements to the Compliance Office. This information is collected and monitored by the CS.
6. Student-athletes who are employed in Cape Girardeau over the summer must report their place of employment and rate of compensation to their head coach. The head coach provides this information to the Compliance Office.

5. Describe, using specific examples, how the institution ensures that rules compliance is a central element in personnel matters. Also, please provide the following items for individuals inside and outside the athletics department who are involved in rules-compliance activities: (a) job descriptions, (b) contracts or letters of appointment, (c) personnel evaluation criteria and, (d) philosophy statements and other applicable sections of policy manuals.

Compliance with NCAA rules and regulations is a central element in personnel matters at Southeast Missouri State University. The best example of the institutions commitment to this principle occurred in May 1996. In what began as an internal student. welfare investigation, serious NCAA infractions surfaced in the sport of men's basketball. The university under the direction of then Executive Vice President Ken Dobbins (current Southeast President) fired the head men's basketball coach and did not renew contracts of the assistant coaches. The institution's Board of Regents in a unanimous decision voted to relieve the popular coach of his duties incurring the wrath of many in the community. Although unpopular, the decision demonstrated to the community and university personnel that compliance with NCAA rules is expected. Disregarding NCAA legislation will lead to serious consequences.

The NCAA/OVC Statement accompanies all employment contracts, Athletics Department job descriptions, letters of appointment, and personnel evaluation criteria (Appendix E). The statement is also in the Athletics Department Handbook (Appendix D).

6. Please attach written policies and step-by-step procedures that include assignment of specific responsibilities pertaining to the area of rules compliance in critical and sensitive areas, including, but not limited to, eligibility certification, investigation and self-reporting of rules violations, monitoring financial aid and monitoring recruiting (if not included elsewhere in the report).

Step-by-step procedures for initial and continuing eligibility certification is detailed in the compliance section of the Athletics Department Handbook. The Athletics Department Handbook includes policies and procedures that pertain to investigating and self-reporting of rules violations, monitoring financial aid and monitoring recruiting. The Handbook is in Appendix D.

**Information to be available** for review by the peer-review team, if requested:

- List of athletics booster organizations and their officers.
- Description of athletics booster group policies and procedures (e.g., constitution and bylaws).
- Documentation required by the institution to maintain compliance with NCAA rules.
- Documentation related to periodic evaluation of the institution's rules-compliance program by some authority outside of athletics.
- Documentation generated as a result of conference involvement with the institution in reviewing compliance efforts.

## Governance and Commitment to Rules Compliance

- Documentation related to secondary rules violations for the last three years and the institutional response to those violations.
- Conference manual.
- Planning documents related to athletics (if any).
- Organizational charts of the institution and athletics department.

### Evaluation

1. Does the institution demonstrate that it has in place a set of written policies and procedures that assign specific responsibilities in the areas of rules compliance, including assignment of direct accountability for rules compliance to the individual the chief executive officer assigns overall responsibility for the athletics program? **Currently Yes**
2. Does the institution demonstrate that, in critical and sensitive areas, institutional compliance procedures provide for the regular participation of persons outside of the athletics department? **Currently Yes**
3. Does the institution demonstrate that rules compliance is the subject of an ongoing educational effort? **Currently Yes**
4. Does the institution demonstrate that a clear and unambiguous commitment to rules compliance is a central element in all personnel matters for individuals involved in the intercollegiate athletics program? **Currently Yes**
5. Does the institution demonstrate that, at least once every three years, its rules-compliance program is the subject of evaluation by an authority outside of the athletics department? **Currently Yes**

## Governance and Commitment to Rules Compliance

Elements	Goals	Steps		
Issues in the Self-Study	Measurable Goals	Steps to Achieve Goals	Individuals/ Officers Responsible for Implementation	Specific Timetable for Completing the Work
<p>In critical and sensitive areas, the Athletics Department does provide for regular participation of persons outside the department. However, the University Peer Review Governance Subcommittee has identified a deficiency relative to the reporting of secondary NCAA violations.</p>	<p>To provide for a procedure that allows for the review of most secondary violations before submission to the NCAA.</p>	<p>A procedure will be established by the Athletics Department that provides for review by the FAR and the AD prior to submission of the secondary violation to the NCAA staff (if possible).</p>	FAR, AD	Effective immediately
		<p>In the event that the violation must be submitted immediately, subsequent review by the FAR and the AD will occur.</p>	FAR, AD	Effective immediately
		<p>The CC will provide the AD with the proposed policy and procedure changes for his approval and subsequent approval by the University President.</p>	CC, AD	Effective immediately
<p>The Ohio Valley Conference conducted a compliance review for the University in June 1998. Southeast was the first conference school to undergo a review by the OVC after NCAA legislation mandated these reviews. The OVC then began to evaluate all conference schools on a schedule; this schedule was not completed until summer 2001. When Southeast contracted the OVC for our second review visit, the OVC was unable to accommodate this visit until fall 2001. This places Southeast just outside the three-year period for review by an outside authority.</p>	<p>To ensure that the University is in compliance with NCAA legislation with regard to this issue.</p>	<p>Once every three years, an authority outside of the Athletics Department shall evaluate the University's rules compliance.</p>	External authority	Once every three years
		<p>The University will request the Ohio Valley Conference office to provide an evaluation every three years.</p>	University, OVC	Every three years
		<p>Should the conference office be unable to provide this service within the three-year time frame, the University Athletics Committee will evaluate the program.</p>	University Athletics Committee	

## Governance and Commitment to Rules Compliance

Elements	Goals	Steps		
Issues in the Self-Study	Measurable Goals	Steps to Achieve Goals	Individuals/ Officers Responsible for Implementation	Specific Timetable for Completing the Work
		The CC will request the evaluation with the conference office at least one year prior to the evaluation deadline. Should scheduling conflicts arise, the CC will contact the FAR who chairs the Athletics Committee, to schedule the valuation by the University Athletics Committee.	CC, FAR	This plan has been approved by the AD and University President

# Academic Integrity

## Operating Principle

### 2.1 Academic Standards

#### Self-Study Items

1. Describe the process by which student-athletes are admitted to your institution, and compare it to the process for admitting students generally. Give careful attention to key decision points (e.g., establishment of admissions criteria, approval of special admissions) in these processes and the individuals or groups involved at each point, including the role, either formal or informal, the athletics department plays (if any) in the admissions process for student-athletes.

The athletic department personnel including coaches, administrators, and staff play no role in the admissions criteria, approval of special admissions, or regular admission of student athletes. The admission process for student-athletes is the same process for admission to the University as all other applicants; this is true for both first-time freshmen and transfer students. The criteria for admission to Southeast are the completion of a specified core curriculum in high school, an overall cumulative grade point average of 2.00, and a minimum composite ACT score of 18. Applicants for admission are not allowed to average ACT subtest scores to reach the minimum of 18.

2. Compare the admissions profiles of student-athletes who received athletic grants-in-aid with the profiles of students in general by submitting the following information for the three most recent academic years: average standardized test scores for freshman student-athletes who received athletics aid (by gender, by racial or ethnic group, and according to the eight sport groups listed in the NCAA Division I graduation rates disclosure form) and for all entering freshmen students (by gender and by racial or ethnic group). [Note: Use Attachment No. 1 and the graduation-rates disclosure form methodology to compile these data.]

Data on average standardized test scores from the past three years (1999, 2000, 2001) suggest that admission profiles of student-athletes is comparable for all entering freshman students. In cases where student-athletes who received athlete's grant-in-aid standardized test scores are compared to students-at-large based on race and gender there appears to be a small difference. Students-at-large appear to do 1 % to 2% higher on average in all areas (race and gender) better than student-athletes. In terms of African American student-athletes compared to African American students-at-large the mean of student-athletes scores is 73.6, whereas the mean score for students-at-large is 75.3. African American student-athletes scored better during the 2001 reporting period with a 77 compared to a 76 for students-at-large. In terms of gender, the mean score for male students-at-large is 88.6 compared to a mean score for male student-athletes of 83.3. The mean score for female students-at-large is 89 and the mean score for female student-athletes is 85.3.

Though there is a difference, this difference does not appear to be significant enough to draw any conclusions that student-athletes performed better or worse on standardized tests than the students-at-large. In fact the sizes of the two samples may play a factor in the difference in the data. When comparing individual sport groups, again there does not appear to be any significant differences. All sport groups on average performed at about the same level. Male team sports on average performed at about the same level as female team sports.

3. Please describe the process by which students may be admitted if they do not meet the institution's standard or normal entrance requirements . This should include any second-level or subsequent review processes or appeals procedures which may be utilized when students are not automatically admitted because they do not meet the institution's published entrance requirements.

The Director of Admissions has the discretion to make exceptions to the general admission policy. Exceptions by the Director are rare, however, all applicants, including the general student population have the right to appeal a decision to reject their admission to the University Student Affairs Committee. This committee is co-chaired by the

## Academic Integrity

Dean of Students and the Registrar; its membership is composed of faculty plus professional staff from Student Financial Services, Learning Enrichment Center, and Enrollment Management. The committee is charged with reviewing student appeals in such matters as admissions, and academic standing. Representatives from Intercollegiate Athletics may meet with the committee to state reasons why an exception to the admission criteria should be made in a specific case, but they play no role in the decision making process.

4. Compare and explain any differences between the percentage of freshman student-athletes receiving athletics aid who were admitted through any of the processes described in part (a) above and the percentage of freshman students generally who were so admitted. Provide these comparative data for the three most recent academic years. For the student-athlete data, information should be displayed for each of the sport groups, organized by year, and listed in the NCAA Division I Graduation-Rates supplemental form. [Note: Use Attachment No. 2 to compile these data.]

In the three previous academic years, the average student percentage that was admitted under the provisions in 3a was 15.6%. Compared to the freshman student athletes on aid, they averaged over the same three-year period slightly smaller provisional admissions at 9.6%. Provisional admissions have declined from 14% to 5% for students on aid over the three-year period. In the current reporting period, only 3 of 58 freshman student-athletes on aid were admitted under the provisions in 3a.

5. List the step-by-step sequence of actions taken by particular individuals on your institution's campus to certify initial eligibility for transfer student-athletes. Identify the individual(s) with final authority for certifying initial eligibility, and their title(s).

The following procedures have been developed to provide a consistent policy when verifying transfer eligibility.

a. Obtain listing of prospective transfers. The coaches submit names of prospective transfers along with information on current and/or previous institutions. The Assistant Athletic Director/Compliance (Alicia Scott) determines transfer status and forwards a list to the Athletics Academic Coordinator (Sharon Burgard).

b. Determine transfer status. The Assistant Athletics Director/Compliance determines transfer status according to Bylaws 14.6.2 and 14.6.3. The Assistant AD/Compliance identifies transfer status as: (1) two-year college transfer, Bylaw 14.6.4; (2) four-year college transfer, Bylaw 14.6.5; and (3) "4-2-4" college transfer, Bylaw 14.6.6.

c. Obtain permission to recruit prospective transfer student-athletes. The Assistant AD/Compliance determines the need for permission to recruit four-year transfers (Bylaws 13.1.1.3 and 13.1.1.3.1). The Assistant AD/Compliance submits a written request to the current/previous institution for permission to contact the student. The current/previous institution's Athletic Director responds in writing, and the Assistant AD/Compliance notifies the coach. The coach provides a roster of prospective transfers to the Athletics Academic Coordinator.

d. Request and evaluation of academic credentials. The Admissions Office receives the completed application materials from the prospective student, athlete. The validity of the academic credentials is confirmed at this time.

e. Confirm official admissions status. The Admissions Office notifies the prospective transfer of the official admissions decision. The Athletics Academic Coordinator periodically reviews the roster of prospective transfers and checks the student database for updates in admission status of the transfer student, athletes. As transfer student-athletes are admitted, the Athletics Academic Coordinator forwards the information to the Assistant AD/Compliance.

f. Verify acceptable transfer degree credits and wade point average. The final evaluation of acceptable degree credits and grade point average is determined by the Registrar (Sandy Hinkle). Upon completion of the evaluation, transcripts may be requested by the Athletics Academic Coordinator, who forwards the information to the Assistant AD/Compliance.

g. Determine residency requirement status. The Assistant AD/Compliance determines the residency requirement based on Bylaw 14.6. If applicable, the Assistant AD/Compliance initiates a one-time transfer exception.

h. Determine academic eligibility. The Assistant AD/Compliance reviews the academic eligibility requirements applicable to transfer students. The Athletics Academic Coordinator and the Registrar verify academic eligibility.

## Academic Integrity

i. Verify degree declaration (fifth semester). The Athletics Academic Coordinator identifies transfer student-athletes subject to degree declaration requirements (Bylaw 14.5.2.2). The Registrar verifies designation of a baccalaureate degree program.

**6. List the step-by-step sequence of actions taken by particular individuals on your institution's campus to certify student-athletes' continuing eligibility. Identify by name and title the individual(s) with final authority for certifying continuing eligibility.**

Procedures for verifying continuing eligibility of student-athletes are as follows:

a. Identify student-athletes subject to continuing eligibility. Prior to the beginning of the summer session, coaches submit names of all potential student-athletes (returning, transfers, previous non-qualifiers, and walk-ons who have served one-year residence or utilized one season of competition at certifying institution). The Assistant AD/Compliance (Alicia Scott) and Athletics Academic Coordinator (Sharon Burgard) review the lists. Based on the lists, a current degree audit report and advising transcript for each student-athlete is generated.

b. Verify credits for satisfactory progress. The Eligibility Committee, consisting of the Assistant AD/Compliance, Athletics Academic Coordinator and the Registrar (Sandy Hinkle), review each student-athlete's academic record with regard to Bylaw 14 and verifies credits applicable to satisfactory progress. Coaches are notified of the results of the review of academic records.

c. Evaluate academic standing. The Eligibility Committee verifies academic standing of student-athletes in accordance with Bylaw 14 and institutional standards. Coaches and student-athletes are notified of any deficiencies.

d. Verify degree declaration (fifth semester). The Eligibility Committee identifies all student-athletes who must declare a baccalaureate degree to meet requirements for continuing eligibility. Coaches and student-athletes are informed of the need to officially declare a degree program in order to meet continuing eligibility requirements.

e. Identify student-athletes for mid-year certification. A coach submits name(s) the Assistant AD/Compliance requesting mid-year certification who reviews the student-athlete(s) record(s) with the Registrar with regard to satisfactory progress and academic standing. The Registrar and Assistant AD/Compliance verify satisfactory progress. The Assistant AD/Compliance initiates the appropriate process for certification.

f. Verify degree application of current credits. The Eligibility Committee reviews current credits to ensure enrollment in academic courses applicable to a baccalaureate degree program. The Committee verifies and confirms that the number of currently enrolled credits is acceptable for satisfactory progress.

g. Determine the number of terms enrolled. The Eligibility Committee reviews the historical information for term of initial enrollment at a collegiate institution and reviews enrollment by term. The committee verifies terms of enrollment to ensure compliance with the five-year rule.

h. Verify approval of summer school credits from another institution. The student-athlete declares an intention to enroll at another institution during the summer term. Prior approval is granted from the Office of the Registrar who verifies transferability. Copies of the transfer approval are forwarded to the Assistant Athletics Director/Compliance. The Assistant AD/Compliance notifies the student-athlete and the appropriate coach of responsibility for transfer of credits to the certifying institution.

**7. Please attach the institution's official NCAA graduation-rates report (institution's two-page report) for the three most recent academic years for which this information is available.**

See Appendix F.

**8. Review the graduation rates for student-athletes who received athletics grants-in-aid, various student-athlete subgroups and for students generally during the last three years, and comment on any trends or significant changes.**

During the past three years, there appears to be no significant changes or differences when reviewing the graduation rates between student-athletes who received athletics grants-in-aid and the general student population. In each of the three reporting periods, Southeast student-athletes had higher graduation rates in the 6-year cohort period as well as the four-class average. There was a wider disparity in graduation rates between student-athletes

## Academic Integrity

and students-at-large in the 4-year reporting period than the 6-year cohort-reporting period. Southeast student-athletes tend to graduate at higher levels in four years than the students at-large. The average four-year graduation rate for Southeast student-athletes was 50% whereas the average four-year graduation rate for students-at-large was 36.5%. The average graduation rate for student-athletes during the 6-year cohort period was 47.6% and the graduation rate for students-at-large was 39.3%. In terms of subgroups women at all levels tend to have higher graduation rates than men.

**9. Describe the specific goal(s) that your institution has set for graduation of students generally and for graduation of student-athletes.**

The goals, as well as the specific graduation requirements, are the same for both students and student-athletes. Student-athletes are not granted any special privileges nor advantages in fulfilling graduation requirements, as the same expectations are placed on all students.

In order to be eligible for graduation, all students must apply at the time they enroll for their last term. Efforts are made to notify students of deficiencies they may encounter which would deter them from graduating from this institution. The primary goal set by Southeast Missouri State University is that at least 55 percent of the first time full time students graduate within six years.

**10. Please attach academic standards and policies contained in the university's catalog/bulletin, athletics department manual, student-athlete handbook and/or institutional handbook for students. Describe exceptions, if any, to the institution's regular academic standards and policies applicable to the general student body (e.g., good academic standing, definition of minimum full-time status) that are available to student-athletes.**

The following are the excerpts from the University Bulletin regarding academic standing and enrollment and withdrawal from the University. These policies apply to all students. Student-athletes must adhere to these same standards and no exceptions are made based on their standing as a student-athlete.

#### ACADEMIC STANDING

Any time a student's cumulative grade point average (GPA) is below 2.0, the student will be placed on academic probation and enrollment will be limited to 12 hours per semester. The student will remain on academic probation and must earn a semester GPA of 2.0 in each subsequent semester until the cumulative GPA is at least 2.0. A student on probation who earns a semester GPA of less than 2.0 will be subject to suspension.

#### ENROLLMENT WITHDRAWAL FROM THE UNIVERSITY

##### Enrollment.

Students enrolled in 12 hours of credit per semester are designated as full time students. Students enrolled in 11 hours or less per semester are designated as part time students. Only officially enrolled students may attend classes. Specific instructions for enrollment are contained in the SCHEDULE OF CLASSES, which is published three times per year.

##### Maximum Enrollment.

Normally, the maximum number of hours that a student may schedule in the fall or spring semester is 18. However, students with at least a 3.0 GPA in the preceding semester, or at least a 3.0 cumulative GPA, may request permission from their advisor to carry a maximum of 21 hours. Such requests are considered on an individual basis. The maximum number of hours that a student may schedule during a .summer session is determined by the length of the session. This information is contained in the SUMMER SCHEDULE OF CLASSES.

##### Telephone Registration.

All currently enrolled students register for classes using SA VRS, Southeast Missouri State University's Automated Voice Response System. Students who do not have access to a touch-tone telephone may register for classes using one of several telephones and computer terminals located on campus. Telephone registration instructions are listed in each SEMESTER SCHEDULE OF CLASSES.

##### Change of Schedule.

Students may add or drop classes until the deadlines listed on the Semester Calendar included in each SEMESTER SCHEDULE OF CLASSES.

## Academic Integrity

### Late Enrollment.

Students are expected to enroll prior to the start of classes. They may enroll during the first week of the fall or spring semester. Late enrollment dates for the summer session are listed in the SUMMER SCHEDULE OF CLASSES. A fee may be charged for late enrollment.

**Information to be available** for review by the peer-review team, if requested:

- Graduation-rates survey form (GRS-1) for the three most recent years for which this information is available.
- A copy of the institution's most recent catalog.
- A copy of the institution's standard or regular, published entrance requirements, including the provisions under which students may be admitted by special exception to the institution's standard or normal entrance requirements.
- Information regularly reported to the chief executive officer, faculty senate or director of athletics concerning the academic performances of sports teams (if any).

### Evaluation

1. Does the institution demonstrate that it admits only student-athletes who have reasonable expectations of obtaining academic degrees? If the academic profile of entering student-athletes, as a whole or for any student-athlete subgroup, is significantly lower than that of other student-athlete or comparable student-body groups, is the contrast analyzed and explained by appropriate institutional authorities? **Currently Yes**
2. Does the institution demonstrate that it admits only student-athletes who have reasonable expectations of obtaining academic degrees? If the graduation rate of student-athletes, as a whole or for any student-athlete subgroup, is significantly lower than that of other student-athlete or comparable student-body groups, is this disparity analyzed, explained and addressed (through specific plans for improvement) by appropriate institutional authorities? **Currently Yes**
3. Does the institution demonstrate that academic standards and policies applicable to student-athletes are consistent with those adopted by the institution for the student body in general or the NCAA's standards, whichever are higher? **Currently Yes**
4. Does the institution demonstrate that the responsibility for admission, certification of academic standing and evaluation of academic performance of student-athletes is vested in the same agencies that have authority in these matters for students generally? **Currently Yes**

# Academic Integrity

## Operating Principle

### 2.2 Academic Support

#### Self-Study Items

1. Describe the academic support system available to student-athletes. Include: (a) the specific academic support services (e.g., academic advising services related to choice of majors for student-athletes, tutoring, post-eligibility programs, study skills) offered; (b) any policies that govern which students can use these services; (c) the mechanisms by which student-athletes are made aware of these services; (d) the mechanism for periodic review and approval by academic authorities outside athletics of these services; and (e) any means of analyzing, explaining and addressing special academic needs (e.g., missed class time) of student-athletes, if any are identified.

a) Specific support services offered are:

. Student Support Services: There are many services readily available to student-athletes at Southeast Missouri State University. Student Support Services is one type of program that student-athletes may utilize. This service is a federally funded program designed to aid first generation students who demonstrate financial need or are physically handicapped or those with a documented learning disability. Student Support Services offers a variety of educational assistance programs: tutoring, computer assistance, academic and career planning, and maintaining positive academic status. An advantage of the tutoring services for student-athletes is that if an athlete misses his/her appointment the athletics office and/or Coach of the specific sport will be notified.

. Post-eligibility support: Student-athletes who have exhausted their eligibility continue to receive support from the athletics program. A fifth year scholarship funded by Intercollegiate Athletics is provided. In addition, the coordinator of Athletics/Academic Services continues to provide advising as needed for the specific requirements for degree completion.

. Learning Enrichment Center: Similar to Student Support Services, the Learning Enrichment Center (LEG) provides a variety of services for all students. The LEC is also responsible for providing tutorial and academic services for students in need. All tutors must have achieved at least "B" in the course they tutor. Learning labs are also available in various academic departments across campus.

. Athletic Academic Services: The services offered by the Athletics Academic Services Office are as follows: academic advising, tutoring and mentoring services, grade check and class attendance monitoring throughout the semester, and study hall for all athletes. There is a class offered for freshman student-athletes that is topical in nature - RC116. It addresses study skills, life skills, adjustment to college and intercollegiate athletics. An attempt is made to familiarize student-athletes with NCAA rules and to college sports and life in general. Each student-athlete is encouraged and assisted in their academic pursuits. It is the goal that each student-athlete be successful academically and ultimately graduate. When it is determined that a student-athlete has special academic needs, they are referred to the LEC. A review of required information is completed and an assessment is made to determine accommodations that are available to the students.

The support services are approved and reviewed periodically by the Compliance Committee and the Eligibility Committee. These committees are in place to ensure that the academic program meets high standards of integrity and honesty.

b. Policies that govern which students can use these services.

Southeast Missouri State University offers many programs, as mentioned above. Student-athletes, however, are not segregated as a group so as to receive special services or privileges. To receive assistance from Student Support Services, the student-athlete must meet certain criteria. These include: first generation college student; demonstrated financial need; physically handicapped; or documented learning disability- Any student-athlete who has met one or more of the above criteria is eligible to receive services. The LEC provides specialized services to students with specific needs, including tutoring and learning lab. Any enrolled student is eligible to receive these services.

c. Mechanisms by which student-athletes are made aware of these services.

## Academic Integrity

Students are made aware of these services through the high school counselor, new student orientation seminars, freshmen campus forums and faculty. During the students' orientation to the University, they are given pamphlets informing them of the academic support services and opportunities available on campus. Student-athletes are also provided with the Student Athlete Handbook (Appendix G) that explains these services. The student-athletes are also informed in the freshman seminar course (RC116). Fliers and posters are posted around campus to make students aware of the various assistance programs.

Coaches play a significant role in the student-athletes' awareness of academic services. The coaches emphasize to the student-athletes that their academic work is to come before their sport. In addition, most coaches establish study halls that student-athletes are required to attend.

d. Mechanism for institutional academic oversight of these services.

The primary responsibility for oversight of student athletic support services is vested in the University Athletics Committee. The coaching staff also assumes a responsibility to monitor the academic status of players. In addition, Southeast employs an Athletics Academic Coordinator who educates student-athletes and prospects about curriculum requirements, eligibility, priority enrollment, expectations of student-athletes, and other guidelines instituted by the NCAA. The Athletics Academic Coordinator reports to the Assistant Director of Athletics/Compliance who reports to the Director of Athletics. The AD reports directly to the President of the University. Southeast Athletes also take a class, RC 116 (Special Topics in Health and Leisure) which is particularly designed to work in concert with the Champs Life Skills Program.

e) Any means of analyzing, explaining, and addressing special academic needs of student-athletes. The Athletics Academic Coordinator maintains a liaison relationship with the LEC and faculty advisors to ensure that any special academic needs of student-athletes are met. Coaches also assume responsibility for ensuring that student-athletes with special academic needs are identified and appropriately referred for services.

2. Identify, using an organizational or flow chart, how the institution is organized to provide academic support and advising services to student-athletes (i.e., reporting lines and identification of who does what).

The University's academic support and advising for all students is housed in five colleges and two schools (see organizational chart in Appendix B). Each college/school houses an academic advising center that provides a wide-range of services to all students. This office is under the leadership of the Dean of the College/School. Additional advising within each college/school is provided by faculty members who advise within their respective major areas. The Department of Athletics Academic Coordinator advises those student-athletes who have not declared a major. This individual reports to the assistant athletics director for compliance. Once the student athlete declares a major, he/she is assigned to the appropriate advising center or academic department for advising.

The institution also has three university-wide committees that examine on-going issues and policies related to advising of all students. The Professional Advising Team is composed of the academic coordinator from each college/ school, as well as the Athletic Academic Coordinator. A second committee is the Orientation Coordinating Committee that focuses on academic advising of freshman and transfer students. Also, the University has in place the Academic Advising Council which serves as an institution-wide advising body designed to establish policy to ensure academic support for all students, including student-athletes.

Furthermore, the Dean of Students has responsibilities for Student Support Services. Academic support is provided to all students through the Learning Enrichment Center and through Student Support Services. Some of the services include tutorial labs, and one-on-one assistance to provide academic support.

## Evaluation

1. Does the institution demonstrate that adequate academic support services are available for student-athletes? **Currently Yes**
2. Does the institution demonstrate that student-athletes are encouraged and assisted in reaching attainable academic goals of their own choosing? **Currently Yes**

## Academic Integrity

3. Does the institution demonstrate that, when it is determined that student-athletes have special academic needs, these needs are addressed? **Currently Yes**
4. Does the institution demonstrate that the support services are approved and reviewed periodically by academic authorities outside the department of intercollegiate athletics? **Currently Yes**

## Academic Integrity

Elements	Goals	Steps		
Issues in the Self-Study	Measurable Goals	Steps to Achieve Goals	Individuals / Officers Responsible for Implementation	Specific Timetable for Completing the Work
The Academic Integrity Committee found that support services personnel and programs are well established to meet the academic needs of the student-athletes. A deficiency exists in the level of available space and equipment to provide the services. At present, the minimal level of space limits the full utilization of Academic Support Services.	Athletic Academic Services needs up-to-date computers that will serve the student-athletes. Presently, there are two outdated computers that serve approximately seventy-five student-athletes who use the services on a regular basis.	The AD will determine the timetable for phase in the needed computers and study hall space.	AD	Hopefully the computer and printer upgrades can be phased in over three years
	Athletic Academic Services needs additional study hall space to accommodate the student-athletes. The capacity of the present facility was designed for twenty to twenty-five students. This does not meet the demand of the student-athletes. Frequently, thirty or more students come to the facility on a regular basis for assistance and the space available is inadequate.	The AD will determine the timetable for phasing in the space needs.	AD	Hopefully the space needs can be accomplished within 3-5 years

# Academic Integrity

## Operating Principle

### 2.3 Scheduling

#### Self-Study Items

1. Provide the institution's written policies related to the scheduling of intercollegiate athletics competitions and practices and describe how they minimize interference with class time and examination periods.

The policy relating to scheduling can be found in the athletics policy and procedures handbook (Appendix D). The evc faculty representatives have developed policies on scheduling, which have been approved and ratified by the conference presidents. The conference takes the need to minimize conflicts between playing schedules and class/exam schedules so seriously that the presidents actually review championship schedules as a group. The policy of the athletic programs toward scheduling of intercollegiate competition and practice is designed to keep the amount of class time missed to a minimum. Rarely, if ever, does practice time conflict with a student-athlete's class schedule. If a conflict does occur, the student-athlete is required to attend class. Coaches emphasize to the student-athletes the importance of scheduling classes during the traditional school day so as not to conflict with practices. To facilitate student scheduling, student-athletes are given the opportunity to enroll at the beginning of the priority period.

Team travel schedules indicate that there are times when student-athletes must miss classes, but an effort is made to keep these to a minimum. Student-athletes are instructed that their first responsibility is to their academic program.

2. Describe the procedures used by the institution to monitor missed class time for student-athletes.

First, the University attendance policy requires reporting of class attendance for all students during the first, second, third and ninth weeks of each semester. Second, in the eighth week of the semester, the Athletics Department contacts individual faculty members regarding the attendance of each student-athlete. In addition, during the 11th through the 16th weeks, the academic advising office of the Athletics Department identifies those student-athletes for whom class attendance is an issue. The advisors counsel the students one-on-one about their attendance, establish an attendance plan and institute follow-up meetings to monitor class attendance. Finally, the Learning Enrichment Center is an additional resource for monitoring missed class time by student-athletes.

3. Analyze, explain and address (if necessary, through specific plans for improvement) missed class time that has been determined by the institution to be significant or excessive for any sport(s).

The Institution determined that missed class time was not significant or excessive for any sport(s).

#### Information to be available for review by the peer-review team, if requested:

- All student-athlete eligibility files (including, when appropriate, final high-school transcripts, Forms 48-H and Forms 48-C, verification of standardized test scores, NCAA student-athlete statements, institutional transcripts, and transfer documentation).
- Information from exit interviews of student-athletes.
- Policies and procedures for the department of intercollegiate athletics (if available).

#### Evaluation

1. Does the institution demonstrate that written policies are established in all sports to minimize student-athletes' conflicts with class time and/or final examination periods due to participation in intercollegiate athletics, consistent with the provisions of Constitution 3.2.4.12? **Currently Yes**

## Academic Integrity

### FOR FRESHMAN STUDENTS GENERALLY AND FRESHMAN STUDENT-ATHLETES ON ATHLETICS-AID

#### PART I-A: Standardized test Scores, by Gender

		Gender							
		Male Students		Male Student-Athletes		Female Students		Female Student-Athletes	
		Score	# o f Students	Score	# o f Students	Score	# o f Students	Score	# o f Students
Average Standardized Test Score	Academic Year								
	2000-2001	89	638	83	18	89	858	83	24
	1999-2000	87	631	84	26	89	869	87	22
	1998-1999	90	510	83	29	89	834	86	13

Name of person completing this chart: Archie Stambush  
 Title: Grad. Asst., Athletics Advising-Ath & Compliance

## Academic Integrity

### FOR FRESHMAN STUDENTS GENERALLY AND FRESHMAN STUDENT-ATHLETES ON ATHLETICS-AID

#### PART I-B: Standardized Test Scores, by Racial or Ethnic Group

		Racial or Ethnic Group - All Entering Freshman Students												
		Am. Ind. / AN		Asian / PI		Black		Hispanic		White		Other		
Average Standardized Test Score	Academic Year	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	
		2000-2001	94	3	86	13	76	97	89	13	90	1353	87	7
		1999-2000	84	9	89	9	76	72	84	12	89	1390	71	8
		1998-1999	86	9	90	5	74	61	78	61	90	1256	77	8
		Racial or Ethnic Group - All Entering Freshman Student-Athletes on Aid												
		Am. Ind. / AN		Asian / PI		Black		Hispanic		White		Other		
Average Standardized Test Score	Academic Year	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	
		2000-2001	0	0	0	0	77	7	69	1	84	34	0	0
		2007-2008	0	0	0	0	73	7	91	1	87	40	0	0
		1998-1999	0	0	0	0	72	8	0	0	86	33	110	1

Name of person completing this chart: Archie Stambush  
 Title: Grad. Asst., Athletics Advising-Ath & Compliance

# Academic Integrity

## FOR FRESHMAN STUDENT-ATHLETES ON ATHLETICS-AID

### PART II: GPA and Test Scores, by Sport Group

		Sport Group															
		Football		Men's Basketball		Baseball		Men's Track/Cross Country		Men's Other Sports and Mixed Sports		Women's Basketball		Women's Track/Cross Country		Women's Other Sports	
Academic Year		Core GPA	# of Students	Core GPA	# of Students	Core GPA	# of Students	Core GPA	# of Students	Core GPA	# of Students	Core GPA	# of Students	Core GPA	# of Students	Core GPA	# of Students
Average Core Course GPA	2000-2001	2.79	19	2.35	1	2.87	5	2.81	1	2.79	2	3.15	2	3.32	7	3.32	21
	1999-2000	3.05	12	2.85	2	2.58	2	3.04	6	3.11	4	3.48	3	3.19	5	3.5	16
	1998-1999	2.44	14	2.79	2	2.96	4	2.83	6	3.05	3	3.37	4	3.54	4	3.26	6
Academic Year		Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students
Average Standardized Test Score	2000-2001	80	11	3	0	34	4	99	1	90	2	74	2	89	7	83	15
	1999-2000	83	12	81	2	77	2	87	6	86	4	81	3	83	5	90	14
	1998-1999	80	15	91	2	91	3	83	6	84	3	76	4	99	5	81	4

Name of person completing this chart: Archie Stambush

Title: Grad. Asst., Athletics Advising-Ath & Compliance

## Academic Integrity

### SPECIAL-ADMISSIONS INFORMATION

#### FOR FRESHMAN STUDENTS GENERALLY AND FRESHMAN STUDENT-ATHLETES ON ATHLETICS AID, BY YEAR

			Sport Group (Freshman)								
	Year	All Freshman Students	All Freshman Student-Athletes on Athletics Aid **	Baseball	M e n ' s Basketball	Football	Men's Track/Cross Country	Men's Other Sports and Mixed Sports	W o m e n ' s Basketball	Women's Track/Cross Country	Women's Other Sports
% of Special Admits	2000-2001	14%	5%	%	%	2%	%	1%	%	%	%
	1999-2000	18%	10%	%	1%	3%	%	%	%	%	1%
	1998-1999	14%	14%	1%	1%	2%	%	%	1%	%	1%

Name of person completing this chart: Dawn Medley

Title: Associate Director of Admissions

# Fiscal Integrity

## Operating Principle

### 3.1 Financial Practices

#### Self-Study Items

1. Prepare a list of all revenue sources for intercollegiate athletics that are under the clear accounting and financial control of the institution. Also, prepare a list of all other sources (i.e., those not under the accounting and financial control of the institution) generating revenue on behalf of the institution's intercollegiate athletics program, including outside foundations.

Ticket Sales  
 Program Sales  
 Concession Sales  
 Radio and TV Rights  
 Restricted Gifts  
 Student Athletic Fees  
 Institutional Commitment  
 Sports Camps  
 Game Guarantees  
 NCAA Revenue Distribution  
 Conference Distributions  
 Sponsorships  
 Advertising  
 Special Event Entry Fees  
 Priority Seating Fees  
 Interest Income

There are no sources of funds not under the financial control of the institution. Although the Foundation is a distinct legal entity with separate Board of Directors, the University considers its activities related to Intercollegiate Athletics to be under the University's accounting and financial control. Foundation Bylaws require that the University's President, Provost, and Vice President of Business and Finance sit on its Board with the Vice President for Business and Finance serving as the Foundation's Treasurer. The Director for Athletic Development (Brune) is a University employee responsible for athletic fund-raising activities including those of the Booster Club, which is part of the Foundation. All athletic expenditures from the Foundation require written approval by the Director of Athletics and the Vice President of Business and Finance of the University. The accounting and financial records of the Foundation are maintained by the University Controller's Office through which its annual audit is also coordinated.

2. Describe the step-by-step process for budget development and approval, and highlight any areas that may differ from the institution's standard or normal budgeting procedures. Prepare a separate description for those sources of revenue under the institution's direct control and another for revenue sources not under the institution's direct control.

Athletics budget development and approval are incorporated into the University's standard budgeting process. The athletics budgeting process addresses two primary funding components: 1) the athletic revenue budget which funds, for the most part, scholarship expenditures; and 2) the institutional commitment budget (University funding) which funds primarily non-scholarship athletic expenditures. These respective components are merged, combined with the general University budget, and ultimately approved by the President and the Board of Regents. Major steps in this process are:

- a. The Director of Athletics, in coordination with the appropriate staff, projects all athletic revenues by source and scholarships to be awarded by sport.
- b. These projections are forwarded to the Budget Director and merged with the current year institutional commitment budget for athletics. This merged budget represents a preliminary base budget for the next fiscal year.
- c. The budget is forwarded, along with any special requests for enhanced funding, to the Vice President of Business and Finance for review and approval.

## Fiscal Integrity

d. The budget, along with all other University budgets, is then presented to the University Budget Review Committee, a representative body of administrators, faculty, staff and students. Athletic revenues are identified as a funding source for athletic scholarships and some operational expenses in the budget materials presented.

e. The Budget Review Committee reviews the base budget at the macro (University) and micro (departmental) levels. Incremental changes for the next year are deliberated and a "balanced" University budget is submitted to the President. Included therein are recommendations concerning general student fee increases, compensation packages, and enhanced funding for special needs. The athletics budget is contained within the budget submitted to the President.

f. The President reviews the budget, discusses it with appropriate staff, and may make changes as needed.

g. After the President's approval, the Budget director compiles the new year's budget at the account level including the allocation of incremental budget dollars approved. Athletic revenue and expenditure budgets are assigned to the appropriate accounts and further broken down by revenue source and major expenditures type (personnel, student employment, operations, and equipment).

h. The budget is forwarded to the Vice President of Business and Finance and then to the President for final approval.

i. The President presents the final budget to the Board of Regents, which reviews and approves the budget.

j. The budget is enacted.

The various sources of athletic revenue are more specifically described below. Revenue budgets developed based upon the following considerations:

- . Contractual considerations
- . Ticket prices
- . Predicted competitive status of teams
- . Historical trends
- . Programmatic changes
- . Planned fund-raising efforts
- . NCAA publications/notifications
- . Estimates from the Budget Office

Ticket Sales - tickets sold for any athletic events for which admission is charged.

Program Sales - sales of programs at athletic events.

Concession Sales - food served at athletic events.

Radio and TV Rights - revenues from rights to broadcast athletic events.

Restricted Gifts - donations from Booster Club members and other contributors to athletics.

Student Athletic Fees - paid by all students to support athletics.

Institutional Commitment - funds appropriated by the University to support athletics.

Sports Camps - certain sports personnel conduct summer camps for high school students, and younger. Revenue is generated from fees charged each camper for attending camp.

Game Guarantees - contractual cash guarantees for playing in certain contests.

NCAA Revenue Distribution - revenues received from the NCAA Revenue Distribution plan include the Academic Enhancement Fund, Needy Student Fund, Sports Sponsorship Fund and Grants-in-aid. The needy Student Funds are placed in a separate fund and can only be spent on certain items, while Academic Enhancement Funds support the Athletics/Academic Services function.

Sponsorships - sponsorship of athletic events or programs.

Advertising- revenues from advertising in programs or at events.

Special Event/Entry Fees - fees received from attending or participating in special athletic events.

Priority Seating Fees - fees received for priority seating privileges.

## Fiscal Integrity

Interest Income - interest earned on certain cash and endowment fund balances, which are invested by the foundation.

3. Describe the process used in selecting the independent auditor for the institution's external financial audit for intercollegiate athletics, including any methods used to ensure the independent nature of the auditor. Also describe relevant corrective actions planned or implemented from the three most recent external audits.

The independent audit of Intercollegiate Athletics is conducted by an external auditor. The Board of Regents awards a contract for external auditing services based upon a competitive bidding process conducted by the Controller's Office in the Business and Finance Division. KPMG, L.L.P. has been the external auditor for the University since fiscal year 1995-96. Their contract allows for four one-year renewals through Board approval. KPMG is one of the "Big Five" public accounting firms and is considered a leader in audits of higher education.

KPMG conducts all annual external audits of the University including its general audit, A,133 (Federal Financial Assistance), three bond funds, and the Intercollegiate Athletics audit. KPMG follows a coordinated approach in accomplishing these audits. All audit reports, including relevant management letters, are presented to the President and to the Board of Regents.

The three most recent audits for Intercollegiate Athletics did not contain any findings requiring corrective action by management.

4. Describe the ways in which your institution approves expenditures for intercollegiate athletics, including a description of different procedures based on various sources of funding (e.g., state funds vs. restricted/foundation funds).

All expenditures for Intercollegiate Athletics require approval by the Director of Athletics and/or the Athletics Business Manager. Athletics is subject to the same University policies and procedures, including expenditures, as are all other University departments. These policies and procedures are contained within the Business Policy and Procedure Manual, which is widely distributed and available throughout campus. Travel, purchasing, and other expenditure policies and procedures are contained therein, and are also published on the University's web site.

All funds that flow through athletics' accounts at the University are subject to the same standard University policies and procedures regardless of the funding source. This includes gifts that are transferred from the Foundation. Funds which are expended directly from Foundation accounts require prior written approval by both the Director of Athletics and the Vice President of Business and Finance of the University, who also serves as Treasurer of the Foundation.

5. Please provide copies of the management letters (or executive or management summaries) of the institution's three most recent external (those used to satisfy the annual independent financial audit requirement in Constitution 6.2.3.1) and internal (if any) financial audits for intercollegiate athletics.

See Appendix H.

**Information to be available** for review by the peer-review team, if requested:

- Copies of the institution's three most recent external (per Constitution 6.2.3.1) and internal (if any) financial audits for intercollegiate athletics.
- Copies of all athletics staff members' most recently completed and signed statements related to the reporting and approval of athletically related income and benefits from sources outside the institution, per NCAA Bylaw 11.2.2.

### Evaluation

1. Does the institution demonstrate that all funds raised for and expended on athletics are subject to institutionally defined practices of documentation, review and oversight? **Currently Yes**

## Fiscal Integrity

2. Does the institution demonstrate that all expenditures from any source for athletics are approved by the institution? **Currently Yes**
3. Does the institution demonstrate that budget and audit procedures for athletics are consistent with those followed by the institution generally and with the provisions of NCAA Constitution 6.2? **Currently Yes**
4. Does the institution demonstrate that its annual budget for athletics is approved by the institution's chief executive officer or designee from outside the athletics department? **Currently Yes**
5. Does the institution demonstrate that an annual financial audit is performed by a qualified auditor who is not a staff member of the institution and who is selected by the chief executive officer or designee from outside the athletics department? **Currently Yes**

## Fiscal Integrity

### Operating Principle

#### 3.2 Fiscal Management and Stability

##### Self-Study Items

1. Explain the institution's philosophy with respect to the funding of the athletics program.

As the University views the mission of the athletics program to be consistent with its mission, it is committed to assisting athletics in providing funding to support the educational and competitive needs of its student-athletes. The athletics program is expected to manage its financial resources prudently and to share in the University's financial commitment through the funding of its scholarship program.

2. Using the institution's established budgetary format, prepare a list of both projected and actual athletics revenues (by source) and expenditures (by budget category) for the three most recently completed fiscal years. In doing so, make sure that all athletics administrative costs are included. Provide any revenues and expenditures on a sport-by-sport basis. Prepare a separate list for revenues under the institution's direct control and another for revenues not under the institution's direct control.

See Appendix I.

3. Describe the institutional procedures that are in place to address any deficit in the intercollegiate athletics budget incurred during any fiscal year(s).

Athletics budgets are closely controlled and monitored by the Athletics Business Manager, the Budget Director, Director of Athletics, and the Vice President of Business and Finance. Monthly budget reports are distributed to Intercollegiate Athletics, which also has access to real-time budget information via the on-line accounting system (Advantage). Potential deficits are thus identified early- and corrective actions taken, which may include other expenditure reductions, potential revenue enhancements, or transfers from athletic reserve funds. The University does not provide additional funding unless unforeseen or exigent circumstances dictate otherwise.

4. Outline the sources, uses and amounts of subsidization of the intercollegiate athletics program from nonathletics department and/or noninstitutional sources.

Donations and gifts-in-kind for athletics are received by the Southeast Missouri University Foundation, including Booster donations. As stated in Section 3.1.1, these funds are still under the institution's control as the Director of Athletics and the Vice President must approve expenditure of these funds for Business and Finance, who serves as the Foundation Treasurer. These funds are budgeted in the institution's athletic department budget as an external source of funding.

See Appendix J for amounts of subsidization referenced above.

5. Identify the sources, uses and amounts of athletics department surplus and/or reserve funds.

The Athletics Department does not have surplus and/or reserve funds at the institution at this time. The department has operated on a near balanced budget for the last three fiscal years. At June 30, 2001 the department had a fund balance of \$10,232.29, which will carry forward to the next fiscal year.

Donations received by the Southeast Missouri University Foundation not for intended expenditures or needed for annual operating expenses are held on reserve at the Foundation. The total amount of athletic funds held at the Foundation as of June 30, 2001, was \$139,635.52. This includes \$37,108.14 donated for specific capital improvement projects.

6. Describe how the university will accommodate future financing needs of the intercollegiate athletics program or plans to respond to changing conditions based upon the institution's future financing projections.

## Fiscal Integrity

Through the University's strategic planning process every department, including Athletics, annually reviews and sets future goals in conjunction with the mission of the University. These goals are discussed with the Vice President for Business and Finance and the President. Annual requests for operational needs to meet these goals would be presented to the Budget Review Committee for consideration. Long-term capital needs in relation to these goals would require coordination with the Boosters, as donations would be required to finance such projects.

7. After reviewing the institution's Equity in Athletics Disclosure Act survey forms for the three most recent years for which the information is available, comment on the institution's provision of full and stable opportunities to student-athletes. In particular, provide comment, sport-by-sport, on per diem, transportation, equipment, percentage of sport budget that has to be obtained via fundraising and other applicable comparisons. Analyze, explain and address (if necessary, through specific plans for improvement) any significant discrepancies.

The following table summarizes operating expenses by sport as reported on the Equity in Athletics Disclosure Act survey for the three most recent fiscal years:

	FY01	FY00	FY99		FY01	FY00	FY99
Sport	Men's	Women's	Men's	Women's	Men's	Women's	Men's
Teams	Teams	Teams	Teams	Teams	Teams	Teams	Teams
Baseball	76,012	50,629	45,035				
Basketball	84,337	52,093	64,401	44,089	87,117	41,205	
Football	124,737	123,607	90,706				
Golf	23,160	25,300	20,776				
Gymnastics	40,331	34,063	58,532				
Soccer	34,206	33,515	3,298				
Softball	37,708	38,428	48,988				
Tennis	12,396	11,873	11,342				
Track & Field	32,714	35,258	24,557	41,607	28,312	43,788	
X Country							
Volleyball	32,754	37,895	34,869				
Total Operating Expenses	340,960	244,746	288,494	241,470	271,946	242,022	
Percent of Total	58.2%	41.8%	54.4%	45.6%	52.9%	47.1%	

Considering total operating expenses for men and women's teams, operating expenses are in line with the University's 45/55 (F/M) participant ratio. Athletic student aid awarded has remained consistent within the ratios, ranging from 41 % in fiscal year '99 for women's sports, to 43% in fiscal year '01. Recruiting expenditures appear significantly lower than the ratio. Dollars spent on recruiting expenses, such as lodging, meals and transportation, has ranged from 35% to 37% of total athletics' recruiting dollars for the last three fiscal years.

Southeast's Gender Equity III plan recommends the Athletics Department establish a basic level for travel, which would include mode of transportation, guidelines for overnight stay, maximum number of occupants per room, and minimal per diem for food. It is believed this can be established in a way that will provide a basic level for all student-athletes without unnecessarily stressing the team budgets.

The other area of concern addressed in the University's Gender Equity III plan is the allocation of gifts-in-kind or donations. As detailed under operating principle 4.1.2, only 24 ,29% of the gender allocated gifts-in-kind were used for women's teams. The Gender Equity III plan recommends a gifts-in-kind correction procedure that will establish a consistent method for equitably distributing gifts-in-kind.

8. Please provide a copy of the institution's completed forms attesting to compliance with the Division I membership requirements related to minimum financial aid awards (i.e., Part II of the NCAA Sports Sponsorship Report, Form No. 98-7) for the three most recent academic years.

See Appendix K.

## Fiscal Integrity

### Evaluation

1. Does the institution provide evidence that the management and fiscal practices of the institution assure the financial stability necessary for providing all student-athletes with relatively full and stable opportunities for athletics participation? **Currently No**

## Fiscal Integrity

### Operating Principle

#### 3.3 Established Fiscal Policies and Procedures

##### Self-Study Items

1. Describe the policies and standard operating procedures that help to ensure that all expenditures for athletics are handled in accordance with NCAA, conference and institutional rules.

All athletics expenditures are subject to standard University policies and procedures and are approved by the Director of Athletics, and/or the Athletics Business Manager, both of who are familiar with NCAA regulations and guidelines. All expenditures are reviewed first for compliance with university policies and procedures, and then NCAA guidelines. University policies are usually more stringent than NCAA guidelines. Procedures more specific to NCAA requirements are incorporated into an Intercollegiate Athletics policy handbook. The NCAA Division I Operating Manual is readily available to all coaches and staff.

All expenditures over \$100 require pre-approval from the Athletics Business Manager. Any expenditure over \$100 is encumbered on a purchase requisition and is reviewed and approved by the Director of Purchasing. Expenditures exceeding \$3,000 must be competitively bid in accordance with State Statutes through the University Purchasing Department.

2. Describe or provide a copy of the university's policies and standard operating procedures for ensuring that prospects do not receive recruiting inducements and enrolled student-athletes do not receive extra benefits contrary to NCAA, conference and institutional rules, including (a) identification of person(s) responsible for these areas, (b) means of monitoring compliance with these rules and, (c) means of ensuring that only institutional or athletics department funds are expended in these areas.

The Assistant Athletic Director of Compliance and Student Services is responsible for monitoring the Athletics Department's compliance with NCAA, conference and institutional rules related to recruiting inducements. The department's Student Athletic Handbook and Athletics Department Handbook include sections on compliance, which outlines procedures related to expenditure of funds for recruiting. (See attached exhibit).

The Assistant Athletic Director of Compliance and Student Services conducts training with student-athletes, coaching staff, other athletics staff and Boosters on recruiting guidelines and issues. All expenditures for recruiting must be approved by the Athletics Business Manager or the Director of Athletics.

**Information to be available** for review by the peer-review team, if requested:

- Monitoring records or other documentation for the most recent year, related to impermissible recruiting inducements and prohibited extra benefits (e.g., official visit records, off-campus recruiting records, team travel forms, records related to distribution of meal money, entertainment expenses, equipment).

### Evaluation

1. Does the institution demonstrate that it has in place fiscal policies and standard operating procedures to ensure that prospective student-athletes are not provided with impermissible recruiting inducements? **Currently Yes**
2. Does the institution demonstrate that it has in place fiscal policies and standard operating procedures to ensure that enrolled student-athletes are not provided with benefits that are expressly prohibited by NCAA legislation? **Currently Yes**

## Fiscal Integrity

3. Does the institution demonstrate that it has in place fiscal policies and standard operating procedures to ensure that all expenditures for athletics are handled consistently in accordance with NCAA, conference and institutional rules? **Currently Yes**

## Fiscal Integrity

Elements	Goals	Steps		
Issues in the Self-Study	Measurable Goals	Steps to Achieve Goals	Individuals/ Officers Responsible for Implementation	Specific Timetable for Completing the Work
When student-athletes entertain recruits, they receive cash and sign a certification that identifies permissible uses of the funds and certifying they will use the funds within the guidelines.	To enhance compliance procedures and strengthen accountability regarding host money.	It is recommended that compliance be enhanced by having the student-athlete attend an educational session conducted by the Compliance Coordinator regarding permissible uses of host money (NCAA Bylaw 13.7.5.5).	Compliance Coordinator	
		It is recommended the Assistant AD for Compliance also review a sampling of these expense reports for compliance on a quarterly basis. In addition to strengthening financial accountability, it may provide insight into areas related to impermissible recruiting inducements in which additional staff training needs to occur.	Assistant AD for Compliance	On a quarterly basis
		Procedures should be developed to implement both of these recommendations and incorporated into the Compliance section of the Athletics Department Handbook.		

## Equity, Welfare and Sportsmanship

### Operating Principle

#### 4.1 Gender Issues

#### Self-Study Items

1. Explain how the institution is organized to further its efforts related to the gender issues operating principle above for both staff and students and provide evidence that matters concerning gender equity are monitored, evaluated and addressed on a continuing basis.

The University maintains three mechanisms to monitor current status of gender equity on campus and to make proposals for future actions.

The first is a series of special gender equity task forces. These have been appointed by and reported to the University Administrator responsible for Athletics, either the University President or the Executive Vice President.

Gender Equity I (Appendix L) developed the initial gender equity plan in 1994. The committee had representatives from the University community, the local booster club, and other individuals from the Cape Girardeau area. This committee established the following definition for gender equity: "Gender equity involves the provision of equal athletics opportunities for both male and female students." It also established the guiding principle that, although some reallocation of resources would be required, just as providing equal athletics opportunities for female students was both the right and prudent thing to do, obtaining those resources predominately by stripping the men's' teams would be unfair and counter-productive. The committee made a number of recommendations.

The first was for Southeast to move to a 40/60 ratio, female/male, in participation, scholarships, and operations as soon as possible. The committee also proposed a 50/50 ratio for the year 2000.

The second was a framework for the implementation of gender equity to be developed that provided coaches with as much latitude as possible to make decisions for their teams and to allocate resources for their teams to best serve their teams. Therefore, all of the things the coach can control - travel expenses, uniform expenses, recruiting etc., - were grouped together under the operations budget that is subject to the 40/60 ratio. Items the coaches have no control over, officials and facilities for example, were moved into the central budget and were not subject to the 40/60 ratio.

The third recognized both the challenges and importance of equitable distribution of gifts-in-kind. Some gifts-in-kind can only be used by specific teams and, in cases where the donor dictates to which team(s) they will be allocated, failure to honor that request could result in the loss of the gift. A correction factor was developed for gifts-in-kind which allows the Athletics Director to honor the requests of the donor and use the gifts-in-kind where they will benefit the teams the most. To achieve the target ratio in all areas, including gifts-in-kind, the following process was agreed upon. In brief, the amounts allocated in gifts-in-kind to men's teams was established, the amount allocated to women's teams was established, and then the dollar difference needed reach the current target ratio was established. Initially this was added to the budgets for the women's teams established through the normal athletics budgetary processes. However this practice was discontinued after a few years.

Gender Equity II (Appendix M) completed its work in 1998. This was a much smaller committee that reviewed the progress made since Gender Equity I and made additional recommendations.

The first was the target ratio be changed to 45% female, 55% male. The number of additional female student-athletes that would have been required to reach the 50/50 ratio without drastically cutting the male participants was calculated. Surveys of potential female student-athletes on campus and a careful examination of the area high school pipeline revealed there was neither the interest nor ability (predominantly interest) among females in our service area to support the additional teams required to reach the 50/50 ratio. However, interest and ability did exist to support a 45/55 ratio. Therefore, the committee recommended that, as long as a 45/55 ratio continued to accommodate the interest and abilities of women from the region served by the University, 45/55 would be the target ratio. Periodic review would determine if the 45/55 ratios continued to accommodate the interest and ability of currently enrolled and admitted female students.

The second was the addition of women's soccer to increase the number of participation slots for women.

The committee reaffirmed the principle of providing coaches the latitude to make choices as to how operation budgets dollars are spent.

## Equity, Welfare and Sportsmanship

The committee made a few recommendations about moving some more expenses to the central budgets, such as championship rings. The cost of championship rings could place unreasonable stress on the team budget.

Gender Equity 11\ has run concurrent with this committee.

After examination of the high school pipeline and the interest expressed by women on campus, the committee determined the 45/55 split is the correct ratio for our campus at this time.

See the Gender Equity III Plan on Page 108 for additional recommendations. This is a stand-alone institutional plan for addressing gender equity.

The second way gender equity is monitored on this campus is through the action of the Senior Woman Administrator. She prepares an annual gender equity report for the Athletics Director that shows trends over the past three to four years in the scholarships, operating expenses, participation and gifts-in-kind.

Finally the University Athletics Committee has started to take a role in monitoring gender equity. A sub-committee has been formed to evaluate the current status of gender equity on an on-going basis. They have completed one review cycle. This committee also reviews the report from the Senior Woman Administrator.

2. For the three most recent academic years for which the information is available, provide a copy of the institution's completed Equity in Athletics Disclosure Act survey form and worksheets. Analyze, explain and address (if necessary, through specific plans for improvement) discrepancies in the data between male and female student-athletes. Comment on any trends or significant changes.

In response to this item, two sets of data were analyzed since data for the Equity in Athletics Disclosure Act are calculated and arranged slightly differently than the data Southeast normally uses to monitor the progress of gender equity.

a. Examination of the Equity in Athletics Disclosure Act data (Appendix 0) reveals the number of female participants has risen slightly from 1998 to 2000, going from 38% of the student-athletes to 43% of the student-athletes. During this time period, women were 60% of the University undergraduate population. The operating expenses, as reported, have been expended by women at a level slightly higher than the participant percentage. The expenditure of operating dollars for females has decreased over the three-year period from 47% to 42%. However, expenditures also reflect private fund-raising. Historically, men's teams have been more successful at fund-raising. It should be noted that for 98,99 and 99-00 in this calculation, even though the track team is approximately 50/50 men/women, about two-thirds of the operating expenses have been charged to the women's team. This was changed in 00-01. When the 98-00 data are corrected for that factor, the modified operating expenses fall between 46% and 42% -- again showing a decline in the last few years. There is a large deviation from equity in recruiting expenditures. During the three years 38%-43% of student-athletes were females, but women's teams expended roughly 35% of the recruiting dollars. Coaches do have an option of spending more of their operations money on recruiting if they so choose. Athletic aid has run between 41-43%, mirroring the percentage of female participants. The number of coaches, head and assistants, has ranged from 43% to 47% while the coaching FTE has been between 45% and 47%. This is higher than the participation rate and reflects the higher number of women's teams. Total expenses for women taken as a percentage of total athletics expenses have risen from 28% to 31%. The gender-allocated expenses have risen from 37% to 40%. In 2000-2001 Women's teams accounted for 36.3% of the gender attributable revenues. This is lower than the participant percentage. Therefore, when using the Equity in Athletics Disclosure Act data, that operating expenses, coaches, gender, allocated expenses, and athletic aid are all in line with the participant ratio. Recruiting is the only area that is significantly lower. The table below reports percentages for Women's teams:

98-99  
 Students/59.9  
 Participants/38.2  
 Operating Expenses Reported/47.1  
 Operating Expenses Modified/45.6  
 Recruiting/36.5  
 Athletic Aide/40.8  
 Coaches FTE/47.0  
 Coaches N/46.9  
 Expenses Total/27.6  
 Expenses Gender Allocated/36.9

## Equity, Welfare and Sportsmanship

99-00  
 Students/59.7  
 Participants/42.6  
 Operating Expenses Reported/45.6  
 Operating Expenses Modified/43.7  
 Recruiting/35.3  
 Athletic Aide/41.1  
 Coaches FTE/44.9  
 Coaches N/43.2  
 Expenses Total/29.2  
 Expenses Gender Allocated/37.4

00-01  
 Students/60.9  
 Participants/41.2  
 Operating Expenses Reported/41.8  
 Operating Expenses Modified/  
 Recruiting/35.2  
 Athletic Aide/43.4  
 Coaches FTE/46.9  
 Coaches N/44.7  
 Expenses Total/30.7  
 Expenses Gender Allocated/39.7

The data monitored at Southeast varies slightly i.e. recruiting is part of the operating expenses, coaches are calculated on FTE, track/cross country athletes participants are considered differently and gifts-in-kind are a component of the equity balance.

When the same data elements are considered a similar picture emerges. The percentage of female athletes runs between 40-42% or 38-41 % in an unduplicated count. This number is calculated slightly differently than it is for the Equity in Athletics Disclosure Act, in part because a number of the cross-country athletes also run track. This creates some variance depending whether these are counted as "1" slots or "2." The operations have run between 47-43%, again being slightly higher than the participant ratio but showing a drop between 1997 and 2000. The same modification (i.e., counting track at 50/50 male/female to match the balance of the actual athletes) dropped this to about 46%-38%. This is still reflective of the number of participants. Athletic aid has remained between 40-42% that is reflective of the number of participants. The coaches' FTE has been slightly higher than the percentage of female athletes at 44-47%.

However, gifts-in-kind have neither matched the participation percentage nor meet the 45/55 ratio goal. In the two years for which data are available only 14% of the total and 24-29% of the gender allocated gifts-in-kind were given the women's teams. The gifts-in-kind issue must be addressed since it will become more complex as the special booster clubs for men's basketball and football came into being and raise funds. The table below reports the percentages for women.

97-98  
 Students/59.3  
 Participants Total/40  
 Participants Unduplicated/38.4  
 Operations Reported/47  
 Operations Modified/45.8  
 Athletic Aide/40.4  
 Coaches FTE/44  
 Gifts in Kind Total/  
 Gifts in Kind Gender Allocated/

98-99  
 Students/59.9  
 Participants/39  
 Participants Unduplicated/38.2  
 Operations Reported/41  
 Operations Modified/38.4  
 Athletic Aide/40.7

## Equity, Welfare and Sportsmanship

Coaches FTE/47  
 Gifts in Kind Total/14.0  
 Gifts in Kind Gender Allocated/24.0

99-00  
 Students/59.7  
 Participants Total/42  
 Participants Unduplicated/41.2  
 Operations Reported/43  
 Operations Modified/41.8  
 Athletic Aide/41.7  
 Coaches FTE/45  
 Gifts in Kind Total/14.4  
 Gifts in Kind Gender Allocated/28.9

3. Report on the institution's implementation of its plan to address gender-equity issues from its previous certification self-study. Specifically, include: (a) the original plan, (b) the action(s) taken by the institution, (c) the date(s) of the action(s), (d) action(s) not taken or not completed, and (e) explanation (s) for partial completion.

The gender equity plan provided as part of the previous certification self-study was the Gender Equity I report (Appendix L). Several recommendations in the report have been successfully addressed. The number of female student-athletes rapidly rose to meet the 40/60 target ratio. Operating budgets and scholarships were allocated to meet the 40/60 target ratio. There was an increase in the coaching FTE for women's teams and more coaches of women's teams became full time coaches.

Southeast continues to work towards several goals, established in Gender Equity II (Appendix M). The University has set a goal that 45% of the student-athletes should be females. A 45/55 participation rate should be mirrored by a 45/55 operations budget, 45/55 athletic aid budget, and a 45/55 gifts-in-kind or gifts-in-kind correction. In an effort to increase the actual participation ratio, soccer was added to the 1999-2000 year. This added 20 participation slots for women. During this time football also added 11 slots. However, it should be noted that the squad size for football is below the NCAA I-AA average.

Summer School and 5th year (degree completion) scholarship dollars are contained as a single budget item. Allocation of these funds is driven by demand from student-athletes. Usage of these scholarship dollars varies greatly by gender. Female student athletes tend to use these funds primarily during the academic year for degree completion with 52% of dollars going to female student athletes. Male student-athletes receive significantly more scholarship dollars during summer school - 63% summer school dollars are received by male student athletes. Summer school scholarship monies are based on available dollars and provided first for degree completion, secondly to address eligibility concerns and finally for general summer school requests. However, when the 5th year/summer school dollars are viewed as a whole, over the past three years female student athletes have received 51 % of these monies.

The review team for the previous certification visit dictated one required action and provided four recommendations. The one requirement in the area of gender equity from the previous certification plan was that the institution monitors the gender equity plan on an annual basis. This is now done in two ways. First, the Senior Woman Administrator prepares a report every year for the Athletics Director that shows current data and provides past data to allow the examination of trends. The University Athletics Committee also reviews this. The University Athletics Committee has created a subcommittee with the sole responsibility of monitoring the University's efforts in the area of Title IX compliance.

The previous peer review team also made suggestions that were not requirements. The first was that the institution considers studying the role and definition of the Senior Woman Administrator. The Senior Woman Administrator is now responsible for preparing a yearly gender equity report. She also sits on the Gender Equity III Committee.

The peer review team suggested the institution develop written criteria to explain salary differentials currently existing between head coaches in comparable sports. The largest salary gap is between the coaches of women and men's basketball. Market pay is used in determining salaries across the University including members of the faculty. The salary of the basketball coach is not the highest in the evc thus it is consistent with the applicable market. The true measure of an individual's market value is in salary offers from potential employers who are recruiting the individual. The men's basketball coach was recently offered a coaching position at a salary well above the one he receives at Southeast. In addition to the gap between the men's basketball coach and women's basketball coach,

## Equity, Welfare and Sportsmanship

which has grown since the last review, the new head football coach's salary is substantially greater than those of the female head coaches, although there is not a corresponding women's team. Again, this is an issue of market pay. The salary of the football coach is not the highest in the evc thus it is consistent with the applicable market.

The peer review team suggested the institution monitor national developments in the enforcement of Title IX in the areas of participation and opportunities for women particularly in light of the existing objectives - 40/60 and 50/50 (later modified to 45/55). A member of the faculty with expertise in sports law has been added to Gender Equity III and facilitated the review of the actual participation ratios and the target 45/55 ratio. It is her opinion and the opinion of others on the committee who have read current cases and interpretations that the 45/55 target is acceptable since all the evidence indicates the interests and abilities of the women in our service region are being accommodated. The University actively investigates interest through the Gender Equity Task Forces. In addition, if students or potential students from the University's service region provide credible evidence that women's athletics abilities and interests are not being accommodated, the target ratio will be reviewed.

The peer review team suggested the institution consider the development of a uniform travel and per diem policy for all sports to ensure student-athlete welfare. In part this was addressed when the Athletics Director instituted new guidelines concerning coaches driving vans to away contests.

#### 4. Using the program area checklist for gender issues please:

- a. Describe how the institution has ensured a complete study of each of these areas,
- b. Provide data demonstrating the institution's status/commitment, including resource allocation, across each of the areas, and
- c. Explain how the institution's future plan for gender issues addresses each of the areas.

[Note: The institution may want to refer to the equitable medical care section of the NCAA Sports Medicine Handbook Guideline No. 1-A as a guide in responding to Item No. 9 of the program area checklist.]

See Attachment No.2: Program areas to be reviewed for Gender Issues.

1. Athletic scholarships: The data from the Equity in Athletics Disclosure Act show that the scholarship dollars are awarded to women and men at the same proportion as their rate of participation in the intercollegiate athletics program. However, it does fall short of our 45/55 goal. The percent of scholarship dollars awarded is not only a function of those allocated. Some allocated scholarships are not used due either to coaches' failure to recruit a student athlete for the scholarship or student athletes who have accepted a scholarship failure to enroll or remain with team.

2. Accommodation of Interests and Abilities. Historically 60% of the students at Southeast Missouri State University have been women. The percentage of female athletics participants in the last few years has run around 40%. However, interest expressed on campus and examination of the high school pipeline, etc., have shown that the University will accommodate the interest and ability of women from the University's service region if the 45/55 participation goal is achieved by the addition of golf, and the addition of a few members to existing teams. We are accommodating interest.

3. Equipment and Supplies. A survey of coaches and current student-athletes and student -athlete exit interviews indicate the coaches of the women's teams think their equipment and supplies are on a par with the men's teams. The student athletes echoed this. Coaches determine when new uniforms are supplied for their student,athletes. In many cases, the coaches are actively involved in the laundering although the football team has managers who assist with this. Although there are team differences in the number of uniforms used/provided for the student-athletes, in comparable sports such as men's and women's basketball, baseball and softball, there is not a significant gender bias.

4. Scheduling Games and Practice Times. Although some of the coaches of women's teams expressed a desire to be able to play more games, they do play a full conference schedule and have an opportunity to schedule games beyond the conference schedule. However, the Athletics Director reports that most teams are playing the maximum number of games. This is an area where balance is needed. Most coaches would like to play as many non-conference games as possible, preferably against teams that would either provide needed practice and growth experiences for their student-athletes previous to the conference season, or against teams that increase their likelihood of being invited to a post-season tournament, or to achieve a better seed at that tournament. However, in

## Equity, Welfare and Sportsmanship

times of limited athletic budgets, funds are not available to play the number of games the coaches would like to play. The coaches of women's teams were evenly split as to whether or not they were able to play as many non-conference games as their male counterparts.

5. Travel and Per Diem Allowance. This is an area that coaches control. A survey of coaches and current student-athletes and student-athlete exit interviews indicate the coaches of the women's teams think their travel and per diem allowance is on a par with the men's teams. The student athletes echoed this. Data provided by coaches indicate there are some differences in the way students-athletes travel. For example, with the exception of the baseball team which reports having 3-4 students in a room when they stay in a hotel, all of the other men's teams report having 2 student-athletes per room.

With the exception of the women's basketball that reports having 2 student-athletes per room when they travel, the other women's teams report 3 or 4 per room. Otherwise they appear to have approximately the same allocation for meals and stay at the same level of hotels. There is some variation from team to team, but again nothing that is gender specific. The same applies to housing and feeding student-athletes when they must be on campus while the University is on vacation. Some teams are able to house their student-athletes on campus, while others use apartments of team members. There does not seem to be an issue of gender here, but different resources for different teams because there are both men's and women's teams who are able to house their students in the residence halls and men's and women's teams who must use the apartments of other student-athletes.

In response to this self-study, the existing guidelines concerning coaches driving vans to away contests, the number of student-athletes per hotel room and a minimum per diem for food have been adopted as procedure. The procedure is in Appendix S. This policy attempts to address the need to assure that all student-athletes travel with a minimal level of accommodations and meals while still providing coaches with the latitude to make some choices in allocation of their resources.

6. Tutors. Male and female student athletes have access to the same tutoring through athletics and student services. In exit interviews student-athletes of both genders indicated tutoring services were available and accessible. Both men and women rated athletics academic services as helpful. In addition to traditional tutoring, athletics sponsors study halls that were rated as equally helpful by males and females.

7. Coaches. At this point in time, the number of coaches of women's teams (both in number and FTE is slightly greater than the percentage of participants. Since the FTE allocated to female coaches at this point time is 45% of the total, it is achieving the 45/55 target ratio.

8. Locker Rooms, Practice and Competitive Facilities. In the last few years the competitive facilities for several of the women's teams have been significantly upgraded. The women's basketball team uses the same facility for practice and competition as the men's team. The track teams also use the same facilities. A new softball complex has significantly upgraded the competition facility available to the women's softball team. Upgrades to the playing field at Houck stadium have benefited the women's soccer team as well as the men's football team. The coaches and athletes for these teams agree that those facilities are equivalent to if not better than those for the parallel men's sports. Two women's teams, volleyball and gymnastics (competition only the gymnastics team practices in a different facility), believe their facilities are not equivalent to those of the other OVC schools. These sports are working in the "renovated" Houck Field House. However, it should be noted that the football team strongly believes that its facilities are not up to par for the conference. If the facilities for the football team are greatly improved, attention must be paid to the facilities for volleyball and gymnastics. Football does not have a parallel women's sport and volleyball and gymnastics do not have parallel men's sports. An equitable balance exists since they are in the same position vis-a-vis facilities at this point. Locker rooms remain an issue. The women's basketball team has a locker room in the Show Me Center. Male and female track student athletes express the same level of satisfaction with locker room facilities. Volleyball now has a newly remodeled locker room, that was paid for by funds raised by the team. Both the student-athletes and the coaches for softball, tennis, and soccer have commented on the lack of designated locker rooms for their sports.

9. Medical Training Facilities and Services. Female student-athletes, for the most part, were more satisfied (in their exit interviews) with athletic training services. Again, the coaches of women's teams were highly satisfied as were the coaches of the men's teams. In exit interviews, female student-athletes were more satisfied with the weight room and the strength/conditioning coach. The coaches of both men's and women's teams have expressed concern over the facilities available for off-season strength and conditioning.

10. Housing and Dining Facilities and Services. There is no designated student-athlete housing or dining on campus. Student athletes of both genders have the same living options as all Southeast student: residence hall, fraternity/sorority, apartment, their own home, or with family. Housing and dining facilities and services become an issue when teams must remain on campus when classes are not in session. This is a budgetary item and is handled differently by different teams. There is some variation from team to team, but nothing that is totally gender

## Equity, Welfare and Sportsmanship

specific. Some teams of both genders are able to house their student-athletes on campus, while others use apartments of team members.

11. Publicity. Both the coaches of the women's and the female student-athletes strongly believe that the resources allocated for publicity for the women's teams are not equal to those provided for the men. Promotional materials include schedule cards, posters and other printed materials. The attached table shows the amount allocated in the athletics budget for promotions in FY2000.

Women's Programs	Men's Programs
Operating Budget Allocation	Operating Budget Allocation

Volleyball 1,898	Football 4,740
Soccer 2,075	Basketball 7,683
Basketball 4,274	Baseball 1,715
Track/X Country 485	Track/X Country 485
Gymnastics 1,288	Golf 85
Softball 1,435	
Tennis 125	
Total 11,580	Total 14,708
Percent 44	Percent 56

The allocated amounts are close to the 45/55 targets. The actual expended amounts for promotions are listed in the table below.

Women's Team Amount	Men's Team Amount
---------------------	-------------------

Basketball 3,970	Basketball 8,189
Softball 1,255	Baseball 1,788
Track/X Country 310	Track/X Country 310
Volleyball 1,898	Football 4,869
Gymnastics 780	
Soccer 1,978	
Tennis 0	
Total 10,191	Total 15,156
Percent 40	Percent 60

For the items listed, the ratio is 40/60, so the women are falling short of the 45%. However, a number of promotional dollars are spent that are not allocated to a specific group. Although some publicity may serve both men and women, the general opinion is that men are served more than women. Some of the issues, however, are not under control of the University including coverage given in the local media.

The Athletics Director also reports that the Athletics Department receives gifts-in-kind of \$85,000 from radio stations and \$10,000 from the local television station. The Department uses these gifts for media advertisement. The table below shows the expenditures that also include a small gift-in-kind from a printing company that is used exclusively for women's sports.

Women's Program Gift-in-Kind Media	Men's Program Gift-in-Kind Media
& Promotional	& Promotional

Volleyball 9,045	Football 17,645
Soccer 10,122	Basketball 22,180
Basketball 12,575	Baseball 9,762
Track/XCountry 1,270	Track/XCountry 1,270
Gymnastics 5,967	Golf 0
Softball 6,235	
Tennis 0	
Total 45,214	Total 50,857
Percent 47	Percent 53

These expenditures exceed the 45/55 target.

12. Support Services. The coaches of both men's and women's teams expressed a similar level of concern over the lack of secretarial and clerical support. This is not a matter of lack of desire to do the job or attitude, it is a matter of the number of individuals available. Gender-equity exists in this area.

13. Recruitment of Student-Athletes. The EADA data (Appendix 0) shows that women used 36% of the recruiting dollars. Gifts-in-kind contribute to more money being spent by the men's teams. The gifts-in-kind can affect

## Equity, Welfare and Sportsmanship

operations, recruiting, and the ability to provide for student-athletes when classes are not in session. The application of gifts-in-kind can be complicated because they often can be used by only one team, and consideration must be given to the wishes of the donor. The imbalance creates differences in transportation for recruits and recruiters, availability of meals for both recruits and student-athletes when the campus cafeterias are closed and the amount available for motels to house prospective student-athletes when they are here on visits, and recruiters while they are on the road.

5. Please provide a written, stand-alone institutional plan for addressing gender equity for the future in the intercollegiate athletics program. The plan shall include measurable goals the institution intends to achieve, steps the institution will take to achieve those goals, persons responsible, timetables and means for funding implementation of the plan.

The Gender Equity 111 Committee prepared a report that was submitted to the President. From this report, the Gender Equity III Plan was prepared. Gender Equity III Plan is the stand-alone institutional plan for addressing gender equity for the future in the intercollegiate athletics program.

### I. BACKGROUND:

#### Gender Equity Phase I:

In June 1994, the Board of Regents approved the implementation of Gender Equity Phase I, which was designed to move the intercollegiate athletics program within three years to a 40% female / 60% male percentage split in several identified areas.

A review of the athletics program at that time indicated that satisfactory areas included: provision for equipment and supplies; access to tutoring; locker rooms, practice and competitive facilities; provision for support services; adding and cutting teams; level of competition; special events; rules of behavior and discipline; publicity; medical and training services and facilities; and summer work opportunities.

The four areas found unsatisfactory were: coaching staff, operations budget (including gifts-in-kind), participation, and scholarships. Under Phase I, the move to a 40/60 ratio in these areas was to be accomplished without diminishing the level of support for the existing male and female teams.

As a result of Phase I, the 40/60 goals for participation, coaching staff, operations budgets, and scholarships were essentially achieved and Southeast became a leader in gender equity in the ave. Additionally, improvements were made in facilities for women's teams during Phase I.

#### Gender Equity Phase II:

In July 1998, the Board approved Gender Equity Phase II, which had as its goal moving the Southeast athletics program to a ratio of 45% female / 55% male in the areas of coaching staff, operations budget (including gifts-in-kind), participation, and scholarships in order to more nearly equate athletics opportunities to the 58% female /42% male ratio of the student body. The principal initiative for achieving this goal was to be the addition of a women's soccer team with 24 student-athletes -- a new sport which began at Southeast in Fall 1999.

The Phase II plan included the provision for a review after three years.

#### Gender Equity Phase III Findings:

As required by the Phase II plan, the Gender Equity Committee conducted a review during the Fall Semester of 2001 of progress made toward the goals of that plan. The review of Gender Equity Phase II, completed by the Committee in December 2001 prior to developing its Phase III recommendations, noted that during the review period, the differential between the percentage of students who are female and the percentage who are female student-athletes decreased from 20.9% to 18.7% -- better than the avc conference average of 20.5% for institutions with a majority of female students. The review indicates that the Athletics Department has been supportive of the goals of Phase II and there has been movement toward the goal of 45/55 in percentage of participants and scholarships; however, the 45/55 goal has not been achieved, and there are concerns that the allocation of operations dollars, including gifts-in-kind, do not meet the 45/55 goal.

Based on the review of Gender Equity Phase II, the Committee finds that the University should retain the 45/55 (female to male) goal for participation, scholarships, and operations for the next five years. Based on the following recommendations from the Gender Equity Committee, a draft implementation plan has been prepared by the Athletics Director to show a scenario under which this goal could be accomplished. A detailed implementation plan will be completed within the next several months.

## Equity, Welfare and Sportsmanship

The Athletics Committee should review this draft plan and the detailed implementation plan, hold discussions throughout the campus, and report its recommendations to the President by May 31, 2002.

### II. RECOMMENDATIONS FOR GENDER EQUITY PHASE III:

Based on the above findings, the Gender Equity Committee recommended that the University continue to demonstrate compliance with Title IX by fully and effectively accommodating the interests and abilities of its students who are members of the underrepresented sex - including students who are admitted to the institution though not yet enrolled. The Committee also recommends that the University should retain the 45/55 (female to male) goal for participation, scholarships, and operations for the next five years, and . recommended the following as the principal means of achieving that goal:

#### A. Participation:

1. The University should establish roster size targets for women's teams, to move these teams to full strength and achieve the 45/55 goal for participation. (See Attachment #1)

2. The University should perform a complete study of its current intercollegiate sports programs during the coming year (2002-2003). Possibilities to be considered in this study should include:

a. maintaining men's participation at current levels.

b. the feasibility of:

i. adding women's golf, thus adding nine participation slots for women.

ii. adding a women's junior varsity soccer program, thus adding at least 10 participation slots for women.

c. an examination of the structure of women's gymnastics to evaluate the participation pool, financial and coaching resources as it relates to the interests and abilities of the potential women student athletes from our service region.

#### B. Scholarships:

1. The University should modify its athletic scholarship program as follows:

a. Additional scholarships should be provided to women's programs over the next five years in support of the goal of reaching the 45/55 female/male ratio.

b. Since approximately 50% of student-athletes demonstrate superior academic ability by achieving cumulative grade point averages of at least 3.0, coaches should be encouraged to "stretch" athletic scholarship funds by utilizing the University's existing academic merit scholarships for those student-athletes who qualify for such awards.

#### C. Operations:

The combination of normal operating budgets and gifts-in-kind should be allocated in such a way that the combination reaches the 45/55 ratio, based on increased women's participation. A pool of one-time funds should be established and used to encourage full roster size and the solicitation of gifts-in-kind in women's sports.

#### D. Promotions:

The Athletics Department must move toward equitable promotion for women's teams, on the basis of 45/55.

#### F. Facilities:

Enhancements to Houck Field and Houck Stadium will serve both soccer and football, but those should be balanced by providing a volleyball practice and competition venue that is equitable. If renovations are made to Houck Field House for football, commensurate improvements should be considered for the facilities used by the women's soccer and volleyball teams, especially locker rooms. Although volleyball and baseball now have excellent locker room facilities due to the fundraising of the coaches, it is important that, as locker facilities, are upgraded for the men's football team, the plans include facilities for the women's soccer and softball teams.

#### G. Basic Travel and Equipment Minimums:

1. A new policy adopted by the Athletics Department on February 8, 2002, should be followed, thus establishing:

a. a basic level for travel for student-athletes including mode of transportation,

b. guidelines for when it is appropriate to travel the day before a game and stay overnight or to remain on location the night of the game,

c. maximum number of occupants in a room, and

d. minimal per diem for food.

2. Each team should develop a plan for uniform and equipment replacement that will allow them to maintain an equitable level of equipment and uniforms.

### III. FUTURE GENDER EQUITY ACTION

#### A. Future Planning

1. This report recommends actions over the next three to five years to address existing issues related to gender

## Equity, Welfare and Sportsmanship

equity. Since Gender Equity I, the university has been committed to the provision of equal athletics opportunities for both male and female students. Continuing this commitment requires enhanced and predictable funding. The three gender equity committees (I, II, and III) have recommended a combination of additional resources from the university, enhanced revenues and reallocation within the athletics department. The program has reached a stage of maturity where long term financial planning is essential to provide financial stability and achieve the goals of Gender Equity. Representatives from the University Athletics Committee, the faculty athletics representative and other individuals designated by the President of the University, including individuals with expertise in financial matters, should constitute a committee, working with the Athletics Director, to develop a long term financial plan for athletics. This Committee should make its recommendations to the President by May 15, 2003.

2. The participation study outlined in section IIA. above, including an interim survey of potential female student-athlete interest, should be completed by July 1, 2003.

3. The Athletics Director should establish a protocol for developing team budgets and initiate the process. Each head coach should develop a realistic budget based on competitive scheduling, including (1) travel expenses consistent with the Athletics Department student-athlete travel policy; (2) a reasonable schedule for equipment acquisition and replacement; (3) a reasonable schedule for uniform replacement; (4) recruiting expenses; (5) other items included in past operations budgets. This will be revised based on conversations between the coaches, the Senior Women's Administrator, and the Athletics Director and will be approved by the Athletics Director.

B. Follow-Up (Gender Equity Phase IV):

A Gender Equity Phase IV Committee should be established in three years, with a charge to complete its final report after five years.

#### IV. FINANCIAL IMPLICATIONS

To fund Gender Equity initiatives, the Athletics Department should:

1. Consider internal reallocation.
2. Encourage qualified student-athletes to apply for academic merit scholarships.
3. Identify additional external revenue sources over the next five years.
4. Develop and use incentives to encourage all coaches to raise gifts-in-kind and raise/maintain targeted participation levels.
5. Continue using NCAA funding for participation and scholarship awards.

A hard copy of the Phase III of the Gender Equity Implementation Plan, Proposed Student-Athlete Participation Rates (Roster Size Targets) is available in the institution's permanent file.

**Information to be available** for review by the peer-review team, if requested:

- The institution's gender-issues plan from the previous certification self-study.
- Documentation assessing the institution's goals and actions regarding Title IX (if applicable).

### Evaluation

1. Has the institution implemented its approved gender-equity plan from the previous self-study? **Currently Yes**
2. Has the institution provided an explanation from appropriate institutional authorities if its gender-equity plan was modified or not fully carried out? **Currently Yes**
3. Has the institution demonstrated that it is committed to, and has progressed toward, fair and equitable treatment of both male and female student-athletes and athletics department personnel? **Currently Yes**
4. Has the institution formally adopted a written plan for the future for the intercollegiate athletics program that ensures the institution maintains a program, or continues progress toward a program, which is equitable for both genders? **Currently Yes**
5. Has the institution developed a plan that includes measurable goals the institution intends to achieve, steps the institution will take to achieve those goals, persons responsible and timetables? **Currently Yes**

## Equity, Welfare and Sportsmanship

Elements	Goals	Steps		
Issues in the Self-Study	Measurable Goals	Steps to Achieve Goals	Individuals/Officers Responsible for Implementation	Specific Timetable for Completing the Work
PARTICIPATION	The University should establish roster size targets for women's teams, to move these teams to full strength and achieve the 45/55 goal for participation (see attachment #1).	<p>The University should perform a complete study of its current intercollegiate sports programs during the coming year (2002-2003). Possibilities to be considered in this study should include:</p> <p>(1) Maintaining men's participation at current levels</p> <p>(2) The feasibility of adding women's golf and/or adding a women's junior varsity soccer program</p> <p>(3) An examination of the structure of women's gymnastics to evaluate the participation pool, financial and coaching resources as it relates to the interests and abilities of the potential women student-athletes from our service region</p>	The University	Study to be conducted during 2002-2003. The participation study, including an interim survey of potential female student-athlete interest, should be completed by July 1, 2003.
SCHOLARSHIPS	The University should modify its athletic scholarship program as follows:	Additional scholarships should be provided to women's programs over the next five years in support of the goal of reaching the 45/55 female/male ratio.	The University	
		Since approximately 50% of student-athletes demonstrate superior academic ability by achieving cumulative grade point averages of at least 3.0, coaches should be encouraged to "stretch" athletic scholarship funds by utilizing the University's existing academic merit scholarships for those student-athletes who qualify for such awards.	Coaches	
OPERATIONS	The University should retain the 45/55 ratio goal for operations and operating budgets.	The combination of normal operating budgets and gifts-in-kind should be allocated in such a way that the combination reaches the 45/55 ratio, based on increased women's participation. A pool of one-time funds should be established and used to encourage full roster size and the solicitation of gifts-in-kind in women's sports.		

## Equity, Welfare and Sportsmanship

Elements	Goals	Steps		
Issues in the Self-Study	Measurable Goals	Steps to Achieve Goals	Individuals/Officers Responsible for Implementation	Specific Timetable for Completing the Work
PROMOTIONS	The Athletics Department must move toward equitable promotion for women's teams, on the basis of 45/55.			
FACILITIES	Enhancements to Houck Field and Houck Stadium will serve both soccer and football, but those should be balanced by providing a volleyball practice and competition venue that is equitable.	If renovations are made to Houck Field House for football, commensurate improvements should be considered for the facilities used by the women's soccer and volleyball teams, especially locker rooms. Although volleyball and baseball now have excellent locker room facilities due to the fundraising of the coaches, it is important that, as locker facilities, are upgraded for the men's football team, the plans include facilities for the women's soccer and softball teams.		
BASIC TRAVEL AND EQUIPMENT MINIMUMS	A new policy adopted by the Athletics Department on February 8, 2002 should be followed, thus establishing:	(1) A basic level for travel for student-athletes including mode of transportation		
		(2) Guidelines for when it is appropriate to travel the day before a game and stay overnight or to remain on location the night of game		
		(3) Maximum number of occupants in a room		
		(4) Minimum per diem for food		
		Each should develop a plan for uniform and equipment replacement that will allow them to maintain an equitable level of equipment and uniforms.	Each team	
FUTURE GENDER EQUITY PLANNING	To provide financial stability in order to achieve the goals and meet the future needs of gender equity.	Representatives from the University Athletics Committee, the FAR, and other individuals with expertise in financial matters, should constitute a committee, working with the AD, to develop a long-term financial plan for athletics.	Committee, AD	This committee should make its recommendations to the President by May 15, 2003
		The AD should establish a protocol for developing team budgets and initiate the process.	AD	

## Equity, Welfare and Sportsmanship

Elements	Goals	Steps		
Issues in the Self-Study	Measurable Goals	Steps to Achieve Goals	Individuals/Officers Responsible for Implementation	Specific Timetable for Completing the Work
		Each head coach should develop a realistic budget based on competitive scheduling, including:  (1) Travel expenses consistent with the Athletics Department student-athlete travel policy  (2) A reasonable schedule for equipment acquisition and replacement  (3) A reasonable schedule for uniform replacement  (4) Recruiting expenses  (5) Other items included in past operations budgets	This will be revised based on conversations between the coaches, the SWA, and the AD, and will be approved by the AD	
F O L L O W - U P (GENDER EQUITY PHASE IV)	To complete it's final report after five years.	A Gender Equity Phase IV Committee should be established in three years.		

## Equity, Welfare and Sportsmanship

### Operating Principle

#### 4.2 Minority Issues

#### Self-Study Items

1. Explain how the institution is organized to further its efforts related to the minority-issues operating principle above for both staff and students and provide evidence that matters concerning minority issues are monitored, evaluated and addressed on a continuing basis.

In response to the previous NCAA Certification Visit, the University developed a minority issues plan, which can be found in Appendix N. This plan addresses such issues as employment, student population, graduation rates, and academic services.

The major mechanism for representation of minority student-athletes is the Minority Athlete Council, called MAC for short. This group is composed of minority student-athletes who are interested in issues affecting minority students. It is not comprised of a set representation from each team since not all teams have minority student-athletes. This group began in the 1999-2000 academic year and meets monthly. This group overlaps with two other groups - the Student Athlete Advisory Committee and the Student Athlete Mentor Group.

The MAC plans and facilitates social events and community service projects for all minority students. For example, they have sponsored a movie night and a Valentine's party for disadvantaged students at a basketball game and visited elementary schools during Black History Month.

This group also is active at the mandatory freshman orientation, which is held during the first week of fall classes for all incoming student-athletes. The primary Athletics staff contact for this group is the Assistant Athletics Director for Compliance and Student Services. Currently this group does not have a formal relationship with the University Athletics Committee.

Student-athletes have access to the minority programming available to all Southeast students. This is described in the following quote from the undergraduate bulletin:

"Minority Student Programs implements programs and services that support and encourage minority student learning and development, including the Minority Mentor Program, the Peer Mentor Program, and Student Diversity Leaders. Minority Student Programs is actively involved in the recruitment and retention of minority students. In addition, Minority Student Programs responds to the need to expose all students to, and involve them in, a wide range of multicultural activities."

Prior to the University's initial Peer Review Study, an Academic Support Program dedicated to student-athletes did not exist. Since that time, a reorganization of the Athletic Department has resulted in an additional full time employee, two graduate assistants and a part-time advisor (approximately .5 FTE). An Academic Support Center has been developed and the champs Lifeskills Program added. The additional academic and lifeskills support enhances welfare of minority student-athletes who as a group maintain a graduation rate lower than the total student body.

After implementing the previous minority plan, the department continued to evaluate and assess the effectiveness of the student welfare initiatives for minority student-athletes. A minority-mentoring program that paired minority student-athletes with faculty and staff mentors was initiated and tried over a two-year period. It was not effective. A panel discussion with campus and community minority leaders was provided to enhance the experience of minority student-athletes. However, programming for the sake of a program was not effective. Casual conversations with minority student-athletes and a round table discussion identified the major cause of student-athletes dissatisfaction to be 'social' in nature. As a result, the Minority Athlete Council (MAC) was formed.

## Equity, Welfare and Sportsmanship

2. For the three most recent academic years, provide the racial or ethnic composition for full-time senior administrative athletics department staff members (i.e., assistant athletics directors up through the athletics director level); other full- and part-time professional (i.e., non-clerical) athletics department staff members (such as trainers, ticket managers, academic support staff, and facility managers, even if the position is not funded by or does not report to the athletics department); full- and part-time head coaches; full- and part-time assistant coaches (including graduate assistant, volunteer and restricted-earnings coaches); faculty-based athletics board or committee (e.g., faculty senate subcommittee on athletics, faculty athletics committee) members, and other advisory or policy-making group (e.g., governing board for athletics, student athlete advisory committee) members (if any). [Note: Use Attachment No. 1 to compile the data requested in this self-study item and Self-Study Item Nos. 3 and 4. Much of the information can be gleaned from existing NCAA reports.]

See Attachment No.1, Part A

3. For the three most recent academic years, provide the racial or ethnic composition for student-athletes who received athletics aid and for students generally.

See Attachment No.1, Part B

4. For the three most recent academic years, provide the racial or ethnic composition of student-athletes who received athletics aid by the eight sport groups listed in the graduation-rates disclosure form. Also, for those sports not at the varsity level for three years, indicate the year in which the sport was recognized by the institution as a varsity sport.

See Attachment No.1, Part C

5. Report on the institution's implementation of its plan to address minority issues from its previous certification self-study. Specifically, include: (a) the original plan, (b) the action(s) taken by the institution, (c) the date(s) of action(s), (d) action(s) not taken or not completed, and (e) explanation(s) for partial completion.

Although not part of the plan, the Minority Athlete Council has been formed. The percentage of full time coaches who are minorities has increased. Athletics is nearer the University goal of having a workforce that reflects the ethnic and racial percentages of Missouri's population than is the total University faculty and staff. The percentage of minority student-athletes is near the goal. Many of the processes designed to enhance the academic success of minority student-athletes are in place. Female African American athletes graduate at a about twice the rate of their non-athlete counterparts but at half the rate of female Caucasian athletes. Thus the opportunities, programs and environment available to female African,American athletes increase academic success. The graduation rates for male African-American athletes remains a serious concern. However it is important to look beyond race to address this issue. Gender must also be considered since male Caucasian athletes and non-athletes graduate at/ower levels that female Caucasian athletes and non-athletes.

6. Using the program area checklist for minority issues please:

- a. Describe how the institution has ensured a complete study of each of these areas,
- b. Provide data demonstrating the institution's commitment across each of the areas, a
- c. Explain how the institution's future plan for minority issues addresses each of the areas.

See Attachment No.3

## Equity, Welfare and Sportsmanship

1. Institutional and Athletics Department Commitment. The Assistant to the President for Equity Issues is currently drafting a University Diversity plan. The publicly stated diversity goal is that Southeast's workforce reflects the ethnic and racial percentages of Missouri's population. Athletics has a revised Minority Issues plan. See response to item 7 in this section.

2. Evaluation. There is no formal procedure for periodic review of athletics activities for consistency with goals and objectives set forth in the institutions and the athletics department's written commitments to diversity. On the student-athlete exit interview minority students are asked, " Do you feel your needs as a minority student-athlete were identified and met?" In the three most recent years 64% (9/14) minority student-athletes said no.

3. Organization and Structure. The Minority Athlete Council is the major organization within athletics that works to enhance diversity. The office of the Assistant to the President for Equity Issues works with athletics as part of its efforts to enhance diversity at the University.

4. Enrollment. The institutions goal for enrollment of minority students is that the percentage of minority students is consistent with the percentage of each minority group in Missouri's population. When the average minority enrollment for the last three years are calculated, diversity among student-athletes is greater than that of the general student body and greater than the state percentages for American Indians, Blacks and "other" and close to the state percentages for Hispanics and Asians. Thus athletics is meeting or exceeding the University's goals.

American Indian  
 Students/0.5  
 Student-Athletes/0.5  
 Missouri/0.4

Asian  
 Students/0.7  
 Student-Athletes/1.0  
 Missouri/1.3

Black  
 Students/5.1  
 Student-Athletes/19.9  
 Missouri/10.1

Hispanic  
 Students/0.7  
 Student-Athletes/1.3  
 Missouri/1.8

Caucasian  
 Students/90.6  
 Student-Athletes/75.8  
 Missouri/85.4

Other  
 Student/2.4  
 Student-Athletes/1.5  
 Missouri/1.1

Comparison of Populations. The table below gives the percentage for each group when the data for the last two years are averaged. For three groups, Asian/Pacific Islander (0.7/0.7), Black (20/5.1) and Hispanic (1.0/1.0) the percentage of minorities among student athletes was greater than or equal to the percentage among all students. While 6.4% of the males and 3.1 % of female student are athletes, 35% of male Blacks and 5.6% of female Blacks are athletes. The percentage of non-Caucasian student,athletes is 33.7 which is near the goal of 36% in the Minority Issues Plan.

	Am.Ind.	Asian	Black	Hispanic	White	Other	All
Baseball	1.9	0.0	0.0	4.0	90.7	3.7	
Men's basketball	0.0	0.0	61.0	0.0	35.7	3.6	
Football	0.0	0.6	36.0	1.0	62.0	0.6	
Men's track/CC	0.0	0.0	25.0	0.0	72.1	3.3	
Men's other	0.0	0.0	0.0	0.0	100.0	0.0	
Men	0.3	0.3	27.0	1.0	69.5	2.0	
Women's basketball	0.0	0.0	23.0	0.0	76.9	0.0	

## Equity, Welfare and Sportsmanship

Women's track/CC 0.0 1.7 15.0 0.0 81.5 1.7  
 Women's other 0.0 1.4 2.1 2.0 91.0 3.5  
 Women 0.0 1.4 9.3 1.0 85.8 2.4  
 Total 0.1 0.7 20.0 1.0 76.3 2.2

Students, men 0.5 1.0 5.0 1.0 89.4 3.4  
 Students, women 0.5 0.5 5.2 1.0 91.3 1.7  
 Students, total 0.5 0.7 5.1 0.7 90.6 2.4

Men athletes 2.9 1.6 35.0 7.1 5.0 3.8 6.4  
 Women athletes 0.0 9.1 5.6 4.5 3.0 4.4 3.1

Graduation Rates. The goal stated the Minority Issues Plan is for the minority student-athlete graduation rate to equal the overall student-athlete graduation rate. Data for the 1998,2001 are presented in the table below. Female student-athletes in all racial/ethnic groups graduated at a higher rate than females in the same ethnic/racial category who were not student-athletes, all female students and all students. Male Asian student-athletes graduated at a higher rate than males in the same ethnic/racial category who were not student-athletes, all male students and all students. Male NR Alien graduated at a lower rate than males in the same ethnic/racial category who were not student-athletes, all male students and all students. White males student-athletes graduated at an equal or higher rate than males in the same ethnic/racial category who were not student-athletes and all males in all years but 2000. White males student-athletes graduated at a lower rate than all students in all years but 1999. The graduation rate for male Black male student athletes has fluctuated. Black males student,athletes graduated at a lower rate than all students in all years but 2000. The graduation rate of Black male student athletes improved from 1998 to 1999.

	1998	1999	2000	2001
Cohort Type N % N % N % N %				
S-A Male American Indian				
S-A Male Asian	1	100		
S-A Male Black	11	9	10	30
S-A Male Hispanic	1	0		
S-A Male White	20	35	17	59
S-A Male NR Alien	2	0	1	0
S-A Male Other				
S-A Athletes Male Amer. Indian	2	0	2	0
Stud. Non-Athl. Male Amer. Ind.	3	20	3	100
Stud. Non-Athl. Male Black	40	17	24	12
Stud. Non-Athl. Male Hispanic	3	0	2	50
Stud. Non-Athl. Male White	560	31	500	32
Stud. Non-Athl. Make NR Alien	29	70	40	31
Stud. Non-Athl. Male Other				
ALL MALES	672	31	599	31

S-A Female Amer. Ind.				
S-A Female Asian				
S-A Female Black	4	50	5	60
S-A Female Hispanic	1	100		
S-A Female White	19	47	8	50
S-A Female NR Alien	1	100	3	67
S-A Female Other				
Stud. Non-Athl. Female Amer Ind.	3	33	5	0
Stud. Non-Athl. Female Asian	6	17	2	50
Stud. Non-Athl. Female Black	47	24	34	31
Stud. Non-Athl. Female Hispanic	2	50	6	39
Stud. Non-Athl. Female White	720	40	734	45
Stud. Non-Athl. Female NR Alien	14	79	10	62
Stud. Non-Athl. Female Other				
ALL FEMALES	815	39	806	45
ALL STUDENTS	1487	36	1405	39

Minority student athletes have access to programs designed to increase the academic success of student-athletes including study halls, tutorial services, grade checks, attendance checks, and mentoring for at-risk student-athletes which are the responsibility of the Office of Athletic Academic Services. The Office of Athletics

## Equity, Welfare and Sportsmanship

Academic Services has worked with the Learning Enrichment Center to identify a pool of tutors.

Minority student-athletes have access to programs designed to increase the academic success offered by the Learning Enrichment Center.

. University Tutorial: Services individual and group tutoring with trained tutors, professional staff to assist in identifying academic strengths, tutorial software and videos

. Supplemental Instruction (SI): SI Leaders are students who have excelled in traditionally difficult courses

. Academic Skills Workshops: Designed to target and enhance specific academic skills (scheduled during Common Hour)

7. Participation in Governance and Decision Making. The major mechanism for representation of minority student-athletes is the Minority Athlete Council. This group is composed of minority student-athletes who are interested in issues affecting minority students. It is not comprised of a set representation from each team since not all teams have minority student-athletes. This group began in the 1999-2000 academic year and meets monthly. The primary Athletics staff contact for this group is the Assistant Athletic Director for Compliance and Student Services.

8. Employment Opportunities: The Minority Issues Plan calls for coaching position searches to include advertising in the NCAA News, the local Newspaper and through the affirmative action office at each historically Black institution. It was determined that contact with the Black Coaches Association was more effective than sending materials to affirmative action offices so that process was employed. Hiring procedures are monitored by The Assistant to the President for Equity Issues and consistent with the University's commitment to diversity.

There are no minorities among the senior administrative athletics department staff, other professional athletics department staff, and head coaches but the percentage of minority full time assistant coaches has risen from 14% to 38%. When the average percentage of individuals from minority racial or ethnic groups for the last three years are calculated, diversity among personnel in the athletics department is greater than that of the total faculty and staff for Blacks and Hispanics and near the state percentages for Blacks and Hispanics.

Amer.Ind.	Asian	Black	Hispanic	Caucasian	Other
Athletics-total	0	0	8.2	1.6	88.7
Coaches	11.1	2.0	83.8	3.0	
Univ. Faculty/ Staff	2001	0.7	2.4	7.0	0.5
Missouri	2001	0.4	1.3	10.1	1.8
				85.4	1.1

9. Program and Activities. The Minority Athlete Council plans and facilitates social events and community service projects for all minority students. For example, they have sponsored a movie night and a Valentine's party for disadvantaged students at a basketball game and visits to elementary schools during black history month. This group also is active at the mandatory freshman orientation, which is held during the first week of fall classes for all incoming student-athletes.

7. Please provide a written, stand-alone institutional plan for addressing minority opportunities for the future in the intercollegiate athletics program. The plan shall include measurable goals the institution intends to achieve, steps the institution will take to achieve those goals, persons responsible, timetables and means for funding implementation of the plan.

See Minority Plan on Page 80.

### Evaluation

1. Has the institution implemented its approved minority-opportunities plan from the previous self-study? **Currently Yes**
2. Has the institution provided an explanation from appropriate institutional authorities if its minority-opportunities plan was modified or not carried out fully? **Currently No**

## Equity, Welfare and Sportsmanship

3. Has the institution demonstrated that it is committed to, and has progressed toward fair and equitable treatment of all minority student-athletes and athletics department personnel? **Currently Yes**
4. Has the institution formally adopted a written plan for the future for the intercollegiate athletics program that ensures the institution maintains a program, or continues progress toward a program, which expands opportunities and support for minority student-athletes and athletics personnel? **Currently Yes**
5. Has the institution developed a plan that includes measurable goals the institution intends to achieve, steps the institution will take to achieve those goals, persons responsible and timetables? **Currently Yes**

## Equity, Welfare and Sportsmanship

Elements	Goals	Steps		
Issues in the Self-Study	Measurable Goals	Steps to Achieve Goals	Individuals/Officers Responsible for Implementation	Specific Timetable for Completing the Work
ORGANIZATION AND STRUCTURE	To monitor diversity issues.	At regular intervals, a committee comprised of representatives from the University Athletics Committee, the FAR, and other individuals designated by the President of the university, working with the AD or his designee(s), will review and revise the Minority Plan.	University Athletics Committee, FAR, AD, Designated Individuals	At regular intervals
		<p>The areas to reviewed by the committee will include but are not limited to the following:</p> <ul style="list-style-type: none"> <li>(1) Progress on the elements of the current Minority Plan</li> <li>(2) Organization and structure within the Athletics Department to monitor diversity issues</li> <li>(3) Organization and structure within the Athletics Department to enhance the experience of minority student-athletes</li> <li>(4) Minority enrollment goals</li> <li>(5) Graduation rates</li> <li>(6) Programs to increase graduation success for all student-athletes</li> <li>(7) Minority employment goals for the Athletics Department</li> <li>(8) Structure for continuous review and revision of the Minority Plan</li> <li>(9) Recruitment of student-athletes</li> </ul>	University Athletics Committee, FAR, AD, Designated Individuals	At regular individuals

## Equity, Welfare and Sportsmanship

Elements	Goals	Steps		
Issues in the Self-Study	Measurable Goals	Steps to Achieve Goals	Individuals/Officers Responsible for Implementation	Specific Timetable for Completing the Work
	To assure participation by minority student-athletes in governance and decision-making.	The Minority Athlete Council will continue to address issues affecting minority student-athletes.	The primary athletics staff contact for this group will be the Assistant AD for Compliance and Student Services.	
		A member of the Minority Athlete Council will serve as a student representative to the University Athletics Committee.	Student Representative	
	To enhance the experience of minority student-athletes.	The Assistant AD for Compliance and Student Services will conduct a yearly survey of minority student-athletes to determine their perceived academic, personal development, and social needs.	Assistant AD for Compliance and Student Services	The first survey will be conducted in the middle of the fall 2002 term.
		The Assistant AD for Compliance and Student Services will work with the appropriate groups and individuals (e.g. Minority Athlete Council, Student Development, Assistant to the President for Equity Issues, the Athletics Academic Advisor) to develop programming to address the issues raised in the survey.	Assistant AD for Compliance and Student Services	
		The Minority Athlete Council will plan and facilitate social events for all minority students and community service projects.	Minority Athlete Council	
		The Minority Athlete Council will participate in the mandatory freshman orientation, which is held during the first week of fall classes for all incoming student-athletes.	Minority Athlete Council	
ENROLLMENT	To have a student body that reflects the ethnic and racial percentages of Missouri's population.	The goal for the minimum percent of student-athlete who are from minority groups is the University goal for the student body.		

## Equity, Welfare and Sportsmanship

Elements	Goals	Steps		
Issues in the Self-Study	Measurable Goals	Steps to Achieve Goals	Individuals/Officers Responsible for Implementation	Specific Timetable for Completing the Work
EMPLOYMENT	The goal for the percent of athletics personnel who are from minority groups is the University goal for the university workforce. Currently, the goal is to have a workforce that reflects the ethnic and racial percentages of Missouri's population.	The AD will work with the Assistant to the president for Equity Issues to promote minority awareness of advertisements and other methods of notification of job vacancies. Coaching position searches will include advertising in the NCAA News, the local newspaper, and through the Black Coaches Association.	AD, Assistant to the President for Equity Issues	
PROGRAMS AND GRADUATION SUCCESS	To enhance the academic success and increase the graduation success for minority student-athletes.	<p>Programs currently in place will be continued under the direction of the Office of Athletics Academic Services. These include:</p> <ul style="list-style-type: none"> <li>(1) study halls</li> <li>(2) tutorial services (individual and group tutoring with trained tutors, professional staff to identify academic strengths, and tutorial software and video)</li> <li>(3) grade checks</li> <li>(4) attendance checks</li> <li>(5) mentoring for at-risk student-athletes</li> <li>(6) Supplemental Instruction (SI)</li> <li>(7) Academic Skills Workshops</li> </ul>	Office of Athletics Academic Services	
		The Office Athletics Academic Services will work with the Learning Enrichment Center to identify and maintain shared learning tools and a pool of tutors.	Office of Athletics Academic Services, Learning Enrichment Center	

## Equity, Welfare and Sportsmanship

Elements	Goals	Steps		
Issues in the Self-Study	Measurable Goals	Steps to Achieve Goals	Individuals/Officers Responsible for Implementation	Specific Timetable for Completing the Work
		Minority student-athletes will have access to programs designed to increase the academic success offered by the Learning Enrichment Center. The Assistant AD for Compliance and Student Services will work with the Director of the Learning Enrichment Center to develop a schedule for programs that is compatible with the practice schedules of the student-athletes.	Assistant AD for Compliance and Student Services, Director of the Learning Enrichment Center	
		The time of withdrawal (declared or undeclared), the GPA and progress towards degree of all student-athletes who did not graduate will be determined for the last six years and analyzed by race and gender.	Individuals from the Institutional Research and the Office of the Provost will assist the Assistant AD for Compliance and Student Services	Completed by October 2002. The analysis will be repeated every three years using the data from the three-year period.
		To facilitate continued data retrieval and tracking of student-athlete status, columns to record a student-athletes' status as a scholarship or non-scholarship student-athlete will be added to the student database maintained in the Institutional Research Office.		
		Targeted programs/procedures will be developed based on the analysis. For example, if a significant number leave within the first three semesters for academic reasons increased emphasis will be placed on early monitoring and intervention. If a significant number drop out after completing their eligibility, programs to encourage degree completion will be instigated.		
		A degree completion plan could be developed to provide the individual with the specific courses that must be completed to earn the degree and the number of those courses that could be transferred in if they are leaving the area.		

## Equity, Welfare and Sportsmanship

Elements	Goals	Steps		
Issues in the Self-Study	Measurable Goals	Steps to Achieve Goals	Individuals/Officers Responsible for Implementation	Specific Timetable for Completing the Work
		All student-athletes who leave the university prior to degree completion will be interviewed, if possible, to determine the reason(s) for leaving, assistance they may need to complete a degree, and factors that may have increased the likelihood that they would have completed a degree before leaving the University.	The Assistant AD for Compliance and Student Services will be responsible for the data collection and analysis.	The first interviews will occur in the fall 2002 term
		Targeted programs/procedures will be developed based on the analysis of these interviews.		
		A profile of entering student-athletes with a higher likelihood of being at-risk will be developed to support early intervention based on an analysis by race and gender of the GPA, time of withdrawal, high school GPA, and ACT scores for all student-athletes who did not graduate for the last six years.	Individuals from Institutional Research and the Office of the Provost will assist the Assistant AD for Compliance and Student Services	The initial calculations and analysis will be completed by October 2002. The analysis will be repeated every three years using the data from the three-year period.

## Equity, Welfare and Sportsmanship

### Operating Principle

#### 4.3 Student-Athlete Welfare

##### Self-Study Items

1. Explain how the institution is organized to further its efforts related to the student-athlete welfare operating principle above and provide evidence that matters concerning student-athlete welfare are monitored, evaluated and addressed on a continuing basis.

Participants in the student-athlete exit interviews (Appendix P), indicate their well-being was improved by the athletic experience. Answers are scored with 1 = agree, 2 = neutral and 3 = disagree. All interviewees on 6 out of 12 teams gave this a 1. Only 1 team had an average score above 1.67. The overall average was 1.34.

The University has instituted safety nets to ensure student-athlete welfare is monitored, evaluated and addressed on a continuing basis. In an effort to facilitate student-athlete welfare, the Athletic Department's philosophy has incorporated building student leaders and empowering them to develop strong student-led programs. Additionally, close interaction between the CHAMPS Lifeskills staff and students is the best means of monitoring student-athlete welfare.

Student-athlete welfare issues are covered in the student-athlete handbook (Appendix G) given to all student-athletes. A copy of the handbook is provided. Issues such as practice time limitations, transfer regulations are covered, and along with other compliance issues are covered at a mandatory team meeting that occurs during pre-season practice or during the first week of fall classes. A mandatory freshmen orientation is held during the first week of fall classes. Members of student-athlete leadership groups, including the student-athlete advisory committee, student-athlete mentors, and minority athlete council, develop and present this program that deals with a range of topics from academic success to social choices.

The student-athlete leadership groups, student-athlete advisory committees, student-athlete mentors, and minority athlete council meet at least monthly.

The student-athlete advisory committee (SAAC) is comprised of a representative of each team, with football having two because of its large size, and each sport group is responsible for discussion of policy as it relates to student-athletes. They facilitate department community service projects, plan non-alcohol social events for student-athletes and the Southeast student population in general. They may bring issues from team members to the SAAC for group discussion. The Assistant Athletics Director for Compliance and Student Services acts as a liaison to the Athletics Director who typically attends one meeting per year.

The student-athlete mentor group (SAM) was instituted in the spring of 1999 to address the issue of alcohol and other drugs among team members. SAM candidates are usually identified during their freshman or sophomore years and invited to enroll in RC 116, Life Skills Topics, to learn mentoring skills. Trained mentors meet bimonthly to discuss alcohol and drug issues. They plan and facilitate non-alcohol social events for student-athletes and other students as well as develop initiatives to increase awareness and provide intervention when needed.

The major mechanism for representation of minority student-athletes is the Minority Athlete Council, called MAC for short. This group is composed of minority student-athletes who are interested in issues affecting minority students. It is not comprised of a set representation from each team since not all teams have minority student-athletes. This group began in the 1999-2000 academic year and meets monthly. This group overlaps with two other groups - the Student Athlete Advisory Committee and the Student Athlete Mentor Group.

The MAC plans and facilitates social events for all minority students and community service projects. For example, they have sponsored a movie night; and a Valentine's party for disadvantaged students at a basketball game and visited elementary schools during black history month.

## Equity, Welfare and Sportsmanship

2. Describe the institution's educational enhancement programs (e.g., education regarding career guidance counseling; personal counseling; health and safety; alcohol and other drug guidelines [see the NCAA Sports Medicine Handbook, Guideline No.1-E]; academic skills enhancement) available to student-athletes. Describe practices/procedures in place to encourage and assure student-athletes' access to these programs.

Several individuals are currently involved in monitoring student-athlete welfare and academic success, including the Assistant Athletics Director for Compliance and Student Services, the Academic Coordinator, the Champs Life Skills Coordinator, and the Faculty Athletics Representative.

The University has both athlete-specific and programs for students in general.

Beginning freshmen student-athletes are encouraged to take the Life Skills Topics class, RC116. All aspects of life skills are covered, including career counseling, alcohol and other drug education, health and wellness education, and academic counseling.

A life skill coalition was formed in the spring of 1999 to address alcohol and other drug issues for the student-athletes on campus. This group consists of substance abuse prevention coordinator, life skills coordinator, and faculty athletics representative, faculty member, coach, athletic trainer, and Assistant Athletics Director for Compliance and Student Services. As explained earlier, the student-athlete mentor group was formed to address issues of other drugs among team members. Members of the SAM's Group are trained via the RC116 mentoring class and bi-weekly meetings to identify student welfare issue and intervene when necessary. Along with the other student leadership groups, this group provides non-alcohol social events for student athletes and others. Alcohol and drug issues are addressed at the freshman orientation and a series of speakers, including Linda Hancock and Ron Heitzinger, have spoken to student-athletes on this issue.

The athletics department has a drug policy that includes a testing program with serious penalties. First time "positives" are referred to the Substance Abuse Prevention Coordinator for counseling and will also receive a suspension. Their coaches, athletic trainers, and Lifeskills staff informally monitor student-athletes. Physical or emotional issues that are beyond the scope of athletic personnel are referred to appropriate offices on or off campus (University counseling center, Learning Enrichment Center for Disability Services and local physicians, etc.). The policy is included in the Student Athlete Handbook (Appendix G).

At Southeast, student-athletes are considered students first, and violence abuse and harassment are not unique to student-athletes. Student-athletes have the opportunity to participate in drug and alcohol programs provided for the general student body by Student Services. In addition, resident life, fraternities and sororities provide educational programs pertaining to drugs and alcohol. The University has an active drug and substance abuse prevention program called SAPE (substance abuse and prevention education). A sampling of the services and topics addressed by SAPE include alcohol and other drug assessment counseling and referral, how to help a friend or family member with an alcohol or other drug problem, assistance for recovering alcoholics and addicts through the on-campus AA support group, information support and counseling for adult children of alcoholics, education regarding most abused drugs on campus, and current statistics related to alcohol and drug abuse among Southeast students. In addition, the group provides a number of alcohol self-assessment instruments and opportunities.

The Academic Coordinator and CHAMPS Life Skills Coordinator are available to meet with student-athletes regarding any academic, career, and personal counseling issues. Campus-wide career counseling services and a counseling center are available as needed. Student-athletes have full access to the University's career and placement service.

Student-athletes have full access to the Wellness workshops provided by the University's Wellness program. These include several nutrition workshops, physical activity workshops, and general wellness workshops.

Student-athletes also have access to the Center for Health and Counseling. In addition to individual and group counseling, the student health center and counseling service provides groups and workshops, including an ADD/ADHD/LD group, a phenomenal women's group, a gay/lesbian/bisexual support group, a Getting What You Need group, Dealing with Anxiety and the Social Anxiety Disorder Support Group.

Both the Assistant Athletic Director and Academic Coordinator/CHAMPS Lifeskills Coordinator serve on the Campus and Community Alcohol Coalition. Through this association, student-athletes are involved in campus-wide alcohol initiatives. The Assistant Athletic Director also serves on the University Student Life Committee to enhance information sharing between

## Equity, Welfare and Sportsmanship

various departments of the institution. Thereby creating commonality among differing constituents.

3. Describe the institution's process for conducting the student-athlete exit interviews required by NCAA Constitution 6.3.2 and the means by which this information is used to better the student-athlete experience. Describe other avenues available to student-athletes to provide input.

Student-athletes who complete their eligibility are required to clear an exit interview (Appendix P). The faculty athletics representative administers the instrument and the information is shared with the Athletics Director and individual coaches or staff. Students complete a written instrument, which asks the student-athlete to characterize him/her self a starter, off-the-bench player, or an individual who rarely ever played. Using a 3-point scale, they are asked to answer five facilities and equipment related questions; seven questions related to athletic training services; four related to strength and conditioning; four related to compliance; seven related to academic services; four related to the Southeast faculty; five with reference to sports information and athletic promotions; five related to competition and schedule; four with respect to travel; and four with respect to athletics administration. They are asked to respond to 18 items related to the coaching staff. They respond to four questions related to their overall experience. The overall questions include "My team experience was positive," "My social/physical/emotional well being was improved by my experience at Southeast athletics," "I have a feeling of pride in my team by wearing a Southeast uniform," and "If I had to do it over again, I would still attend Southeast Missouri State University."

Student-athletes also have an opportunity to provide input through the student committees, the student-athlete advisory committee, and the minority athletic council. In addition, student-athletes serve on the University Athletics Committee. An important avenue for student-athlete input is direct contact with administrators in the athletics department and their coaches. In student exit interviews, students report feeling comfortable approaching the Compliance Office with their concerns. Student-athletes indicated that the Athletics administrators were accessible for questions and concerns and made them feel at ease while talking by giving these items scores of 1.37 and 1.34 (with 1 being high, 3 being low), respectively.

Students reported an ability to communicate with the coaches, 6 out of 12 teams scoring this is a 1, again with 1 being an agree or best.

4. Describe and attach a copy of the institution's grievance or appeals procedures available to student-athletes.

There are various remedies available to student-athletes depending on what they are appealing. For example, a student-athletes appeal to reduced or cancelled grant-in-aid NCAA Bylaw 15.3.4.1.3 defines the remedy available to students. There are a host of other appeal and review opportunities available to student-athletes, depending on the issue. Some of these involve conference and/or NCAA procedures and some can be handled at the institutional level. Grievances concerning grades and other academic issues can be addressed through the channels available to all students.

5. Identify the administrator who is responsible for the institutional awareness of health, safety and sports medicine policies. Describe the process by which these policies and guidelines are disseminated within the athletics department, who receives this information and how these issues are addressed within the athletics department. [Note: The institution may want to refer to the equitable medical care section of the NCAA Sports Medicine Handbook Guideline No. 1-A as a guide in responding to this self-study item.]

The Athletics Director is ultimately responsible for the institutional awareness of these policies. They are contained in the departmental operating manual (Appendix D) as well as the student-athlete handbook (Appendix G). They are discussed with each athletic team and head coach by the athletic medicine staff, both at the beginning of school and throughout the academic year. The athletics medicine staff and the athletics administration consistently reinforce these policies and procedures. These policies are published in the department operating manual, the student athlete handbook, and are also distributed on an as-needed basis to individual athletics teams by the athletics medicine staff. The athletics medicine staff also has numerous opportunities to address head coaches when additional communication is needed.

## Equity, Welfare and Sportsmanship

6. Describe or provide a copy of the institution's emergency medical plan for practices and games, including its written emergency plan for the athletics program and specific coverage for out-of-season practices, strength training and skills sessions. [Note: The institution may want to refer to the emergency care section of the NCAA Sports Medicine Handbook Guideline No. 1-A as a guide in responding to this self-study item.]

See Appendix Q.

7. Using the program area checklist for student-athlete welfare issues please:

- a. Describe how the institution studies these topics as they apply to all student-athletes;
- b. Provide data demonstrating the institution's commitment to these issues for all student-athletes; and
- c. Explain how the institution will address these topics in the future for the welfare of all student-athletes.

See Attachment No.4.

1. Evaluation: There is no formal mechanism in place for a periodic review of athletics activities for consistency with the goals and objectives set forth in the institution's and athletics department's written commitments to student-athletes welfare. However the student-athlete groups namely the student-athlete advisory committee (SAAC) and the Minority Athlete Council (MAC) along with the university athletics committee, the faculty athletics representative and the assistant athletics director for compliance and student services provide avenue for informal review.

2. Organization and Structure: Policies, and/or organization, and/or activities of the athletics program and its activities to help enhance student-athlete welfare are studied on a case-by-case basis when issues arise. The assistant athletics director for compliance and student services keeps abreast of new opportunities available through the NCAA (e.g., Champs Life Skills Program.)

3. Participation in Governance and Decision Making: Three student-athlete leadership groups, the student-athlete advisory committee, student-athlete mentors and minority athlete council provide opportunities for student-athletes to participate in governance and decision making with regard to athletics. Student-athletes also sit on the university athletics committee. These methods provide appropriate representation and will be continued in the future.

4. Programs and Activities: The needs of student-athletes are addressed through programs, mentioned previously, provided by the three student-athlete leadership groups, the assistant athletics director for compliance and student services, the academic advisor, residence life and student services. Although programs are available that address the special issues and needs of student athletes, the focus is on integrating the student-athletes into activities for all students to reinforce their role as students first and to foster involvement with the general student body. In the future cooperative efforts between athletics, residence life and student services will continue.

8. Please provide the institution's student-athlete handbook.

See Appendix G.

9. Please provide written materials (e.g., forms) used to document student-athlete exit interviews.

See Appendix P.

**Information to be available** for review by the peer-review team, if requested:

- Facilities schedule for practice and competition.
- Sports schedules.
- Sports marketing materials.

## Equity, Welfare and Sportsmanship

- Media guides.

### Evaluation

1. Does the institution demonstrate a commitment to the fair treatment of student-athletes, particularly in their academic role as students? **Currently Yes**
2. Does the institution provide evidence that the welfare of student-athletes and the fairness of their treatment is monitored, evaluated and addressed on a continuing basis? **Currently Yes**
3. Does the institution have established grievance or appeal procedures available to student-athletes in appropriate areas? **Currently Yes**
4. Does the institution provide evidence that it has in place programs that protect the health of and provide a safe environment for its student-athletes? **Currently Yes**

## Equity, Welfare and Sportsmanship

Elements	Goals	Steps		
Issues in the Self-Study	Measurable Goals	Steps to Achieve Goals	Individuals/Officers Responsible for Implementation	Specific Timetable for Completing the Work
The University Athletics Committee does not currently have a formal process for monitoring matters concerning student-athlete welfare. However, student-athletes are members of the committee and may raise concerns to the committee.	The University Athletics Committee should develop a process for a yearly review of issues concerning student-athlete welfare.	The FAR, who chairs the University Athletics Committee, and the AD have prepared a schedule for committee review of this topic.	FAR, AD	Annually
While the department has a drug policy, there is no separate alcohol policy	An alcohol policy should be developed.	An alcohol policy should be developed and included in the Student-Athlete Handbook.		
The department has adequate grievances and appeals policies, but are found in a variety of places.	The grievance procedures should be brought together in a single document that describes all the grievance appeals and procedures available to student-athletes.	This material should be included in the Student-Athlete Handbook and on the Athletics Department web page.		

## Equity, Welfare and Sportsmanship

### Operating Principle

#### 4.4 Sportsmanship and Ethical Conduct

##### Self-Study Items

1. Explain how the institution is organized to further its efforts related to the sportsmanship and ethical conduct operating principle and provide evidence that matters concerning sportsmanship and ethical conduct are monitored, evaluated and addressed on a continuing basis.

Administrators, coaches, student-athletes and others in the Southeast Missouri State University community adhere to the Ohio Valley Conference Sportsmanship Statement. This is found in Appendix R. The Athletics Director and the Assistant Athletics Director for Compliance address matters that arise.

2. Describe and attach a copy of the institution's written policies and procedures on sportsmanship and ethical conduct, including sanctions that may be levied for inappropriate behavior.

At this point in time the University does not have a specific written policy other than the previously mentioned evc policy. However, the material is provided in several places, including the student-athletes handbook. There is no document prescribing specific sanctions for specific activities. For student-athletes sanctions can run the gamut from a verbal reprimand, to sitting out one or more games to dismissal from the team to dismissal from the university. Staff sanctions can run the gamut from a verbal reprimand, to a formal written reprimand to termination.

3. Describe the institution's educational activities/programs in the area of violence, abuse and harassment committed by student-athletes.

Student-athletes have the opportunity to participate in the NCAA Champs Life Skills Program and to take RC116, Life Skills Topics. Both of these provide educational experiences in the area of violence abuse and harassment. At Southeast, student-athletes are considered students first, and violence abuse and harassment are not unique to student-athletes. Student,athletes have the opportunity to participate in programs provided in this area for the general student body by Student Services. In addition, residence life, fraternities and sororities provide educational programs pertaining to violence, abuse and harassment.

4. Describe educational activities related to sportsmanship and ethical conduct for student-athletes, coaches, support groups (e.g., alumni, cheerleaders) and all others associated with the intercollegiate athletics program.

The student-athlete exit interviews showed the student athletes perceived that:

. coaches had a sense of fair play and high ethics since 4 of 12 teams scored a 1, and only 3 had higher than a1.5 average score.

. coaches had a good knowledge of the rules, assuming that this means not just the rules of the sport, 7 out of 12 teams were rated as a 1, with only 2 at higher than 1.75.

Student-athletes indicated they could talk with coaches about athletic/academic/personal problems. The average of the team scores was a 1.7, with a 1 being high, 3 being low.

These topics are covered in the life skills classes. In addition, the Compliance Officer provides information on ethical conduct to the student-athletes during preseason NCAA certification sessions and other times as appropriate. In the student-athlete exit interviews, the students rated the information they received on compliance, which is a part of sportsmanship and ethical conduct, very highly. When asked about whether they considered themselves fully informed about the NCAA rules, the response average was 1.07 with 1 being high and 3 low. The Compliance Officer was considered available and accessible with a rating of 1.13 with 1 being a top score. In addition, they felt comfortable approaching her with their concerns, with a 1.18 score and a 1 being a perfect score. Student-athletes did suggest that information relevant to compliance and ethical conduct be posted in the locker room.

## Equity, Welfare and Sportsmanship

5. Describe mechanisms the institution has in place to review and monitor the effectiveness of its sportsmanship and ethical conduct policies and procedures. Also, provide a brief description of incidents that have been reviewed through these mechanisms in the last three years.

With respect to the student-athletes, the best source of review is the student exit interview (Appendix P), which does show the students believe that they are well informed. Outside of the exit interviewing, this is an area that is monitored by the Athletic Director. The committee is not aware of any incidents in the last three years and the Assistant Athletics Director for Compliance and Student Services reported there were none of which she is aware.

6. Describe specific incidents over the last three years that shed light on the institution's commitment to the values of sportsmanship and ethical conduct (e.g., citations or sanctions from the conference office, sanctions or reprimands from the NCAA for conduct during its championships, awards received by the institution or its athletes for exemplary behavior in this area).

The committee is not aware of any incidents in the last three years and the Assistant Athletics Director for Compliance and Student Services reported there were none of which she is aware. Perhaps this is evidence that the institution's activities in support of its commitment to sportsmanship and ethical conduct are working.

### Evaluation

1. Does the institution demonstrate that in the area of intercollegiate athletics, it is committed to these fundamental values of sportsmanship and ethical conduct? **Currently Yes**
2. Does the institution have established a set of written policies and procedures for this area? **Currently Yes**
3. Does the institution demonstrate that educational activities related to sportsmanship and ethical conduct exist for individuals and groups associated with the intercollegiate athletics experience? **Currently No**
4. Does the institution provide evidence that the effectiveness of activities in this area are monitored, evaluated and addressed on a continuing basis? **Currently Yes**

## Equity, Welfare and Sportsmanship

Elements	Goals	Steps		
Issues in the Self-Study	Measurable Goals	Steps to Achieve Goals	Individuals / Officers Responsible for Implementation	Specific Timetable for Completing the Work
Review of Matters Related to Sportsmanship and Ethical Conduct	The University Athletics Committee should develop protocol to review matters concerning sportsmanship and ethical conduct within the bounds required by confidentiality.	Major issues should be reviewed at the time of occurrence while minor issues should be summarized in a yearly report. Based on this review, the University Athletics Committee should recommend policies to address underlying issues that arise.	University Athletics Committee	
	The University Athletics Committee should review existing educational strategies for student-athletes and staff in this area and work with designated individuals from athletics to make modifications as needed.	In response to this recommendation, the FAR, who chairs the University Athletics Committee, and the AD have prepared a schedule for committee review of this topic.	FAR, AD	
The Athletics Department needs to monitor or evaluate activities in the area of sportsmanship and ethical conduct	The University Athletics Committee should develop a process for a yearly review of issues related to sportsmanship and ethical conduct.	In response to this recommendation, the FAR and the AD have prepared a schedule for the committee to review this topic.		Annual review

## Equity, Welfare and Sportsmanship

### RACIAL OR ETHNIC COMPOSITION ATHLETICS AND SELECTED INSTITUTIONAL PERSONNEL

	Year	Racial or Ethnic Group																	
		Am. Ind./AN (N)			Asian/PI (N)			Black (N)			Hispanic (N)			White (N)			Other (N)		
		1	2	3	1	2	3	1	2	3	1	2	3	1	2	3	1	2	3
Senior Administrative Athletics Dept. Staff	F													7	7	7			
Other Professional Athletics Dept. Staff	F													4	4	4			
	P													1					
Head Coaches	F													10	10	9			
	P													2	2	2			
Assistant Coaches	F							3	2	2				8	10	12	2	1	
	P								1	3	1	1		10	6	2			
Totals (for Athletics Dept. Personnel)	F							3	2	2	0	0	0	29	31	32	2	1	
	P							0	1	3	1	1	0	13	8	4	0		
Faculty-Based Athletics Board or Committee Members								2	2	2				12	12	12			
Other Advisory or Policy-Making Group Members																			

Name of person completing this chart: Dr. Christina Frazier

Title: Professor of Biology, Director of Assessment

## Equity, Welfare and Sportsmanship

### RACIAL OR ETHNIC COMPOSITION STUDENTS GENERALLY AND STUDENT-ATHLETES ON ATHLETICS AID

Year	Racial or Ethnic Group																	
	Am. Ind./AN (N)			Asian/PI (N)			Black (N)			Hispanic (N)			White (N)			Other (N)		
	1	2	3	1	2	3	1	2	3	1	2	3	1	2	3	1	2	3
All Students	35	41	47	49	64	59	455	416	337	58	53	51	7243	6893	6741	194	221	245
Student-Athletes	4	4	4	2	4	6	65	71	53	5	3	6	235	220	239	11	12	15

Name of person completing this chart: Dr. Christina Frazier

Title: Professor of Biology, Director of Assessment

## Equity, Welfare and Sportsmanship

### RACIAL OR ETHNIC COMPOSITION MEN'S AND WOMEN'S SPORTS TEAMS

Sports	Year	Racial or Ethnic Group																	
		Am. Ind./AN (N)			Asian/PI (N)			Black (N)			Hispanic (N)			White (N)			Other (N)		
		1	2	3	1	2	3	1	2	3	1	2	3	1	2	3	1	2	3
Baseball		1									1	1	2	25	24	27	2		
Men's Basketball								8	9	5				5	5	11	1		
Football				1	1		3	33	29	34	1		3	51	55	43	1		
Men's Track / Cross Country							1	16	14	7				36	52	18	4		
Men's Other Sports and Mixed Sports														13	12	10			
Women's Basketball								3	3	4				10	10	10			
Women's Track / Cross Country					2		1	10	8	4				45	52	21	2		
Women's Other Sports				2	2		2	2	1	1		3	1	63	68	51	5		
<b>Total</b>		1	0	3	5	0	7	72	64	55	2	4	6	248	278	191	15	0	

Name of person completing this chart: Dr. Christina Frazier

Title: Professor of Biology, Director of Assessment