

2008-2009
DIVISION I
ATHLETICS
CERTIFICATION
SELF-STUDY
INSTRUMENT

Introduction to Self-Study Report

Introduction to Self-Study Report

Institutional Information

1. Type of Institution: Private
2. Year institution was founded: 1911
3. Special Affiliation? Yes United Methodist Church
4. Coeducational? Yes
5. Total student enrollment (undergraduate and graduate combined) [using a full-time equivalency (FTE) basis]: 9194
6. Number of Faculty [using a full-time equivalency (FTE) basis]: 814
7. Highest level of academic degree offered: Doctoral
8. Institution's governing entity: Board of Trustees
9. a. Regional accreditation agency: Southern Association of Colleges and Schools
9. b. Date of most recent regional accreditation self-study: 2000
9. c. Current accreditation status: Accredited

Athletics Information

1. Subdivision status of athletics program (Academic Year 2009): I-FBS
2. Conference affiliation(s) or independent status (Academic Year 2009):

Football	Conference USA
Men's Basketball	Conference USA
Men's Golf	Conference USA
Men's Soccer	Conference USA
Men's Swimming	Independent
Men's Tennis	Conference USA
Women's Basketball	Conference USA
Women's Cross Country	Conference USA
Women's Equestrian	Independent
Women's Golf	Conference USA
Women's Rowing	Independent
Women's Soccer	Conference USA
Women's Swimming	Conference USA
Women's Tennis	Conference USA
Women's Track, Indoor	Conference USA

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Women's Track, Outdoor Conference USA

Women's Volleyball Conference USA

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. If this is the institution's first time to complete a certification self-study, respond to the question based on the last 10 years.

None

5. Other significant events (with dates) in the history of intercollegiate athletics program since previous certification self-study. If this is the institution's first time to complete a certification self-study, respond to the question based on the last 10 years.

2000 New Admissions Procedures for Student Athletes
 2001 Termination of Employment Contract for Head Football Coach (Mike Cavan)
 2002 Hiring of Head Football Coach (Phil Bennett)
 2004 Elimination of men's track & cross country
 2004 Addition of women's equestrian
 2004 Termination of Employment Contract for Men's Basketball Coach (Mike Dement)
 2004 Hiring of Men's Basketball Coach (Jimmy Tubbs)
 2005 Move to C-USA from WAC
 2006 Retirement of Athletics Director (Jim Copeland) and Hiring of Athletics Director (Steve Orsini)
 2006 Termination of Employment Contract for Men's Basketball Coach (Jimmy Tubbs)
 2006 Hiring of Men's Basketball Coach (Matt Doherty)
 2007 Building of the Crum Basketball Center
 2007 Termination of Employment Contract for Head Football Coach (Phil Bennett)
 2008 Hiring of Head Football Coach (June Jones)
 2007-08 Building of the Turpin Tennis Center
 2008-09 Revised Admission Procedures for Student Athletes

Previous Certification Self-Study

1. Date of previous orientation visit, evaluation visit and interim self-study report (if applicable):

Peer Review Team Visit - April 3-6,2000

2. Previous certification-status decision rendered by the NCAA Division I Committee on Athletics Certification (and date):

Certified as of April 25, 2002

3. Subsequent actions or changes in certification status (if any) made by the NCAA Committee on Athletics Certification (and date):

None

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4. Changes in key senior-level positions, institutional or athletics program, (if any) since the institution's previous certification self-study. If this is the institution's first time to complete a certification self-study, respond to the question based on the last 10 years.

Athletic Department Senior Staff

Athletic Director:

Jim Copeland, 2000-2006

Steve Orsini, 2006-

Business and Finance:

John Koerner, 2000-2006

Kris Lowe, 2006-

Facilities and Operations:

David Miller, 2000-2006

Ron Stevens, 2006-2008

Tom Buning, 2008-

Compliance:

Charles Howard, 2000-2001

Ed Wisneski, 2001-2006

Jeff Konya, 2006-2009

Mary McElroy as of May 1, 2009

Public Relations:

Chris Walker, 2000-2004

Brad Sutton, 2004-

Development:

Scott Secules, 2000-2006

Craig Shaver, 2006-2008

Tim Leonard, 2008-

Senior Woman Administrator:

Barb Totzke, 2000-2006

Koni Daws, 2006-

Marketing:

Shawn Heilbron, 2000-2006

Richard Sweet, 2006-2007

Shawn McGee, 2007-

University Senior Administrative Leadership

Vice President for Development and External Affairs:

Jeanne Whitman 2000-2004

Brad Cheves 2004-

Vice President for Student Affairs:

James Caswell, 2000-2007

Lori White, 2007-

Vice President for Business and Finance:

Morgan Olsen, 2000-2004

Dana Gibson, 2005-2007

Christine Casey, 2007-

Vice President for Legal Affairs:

Leon Bennett, 2000-2009

Paul Ward, 2009-

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Provost and Vice President for Academic Affairs:

Ross Murfin, 2000-2005

Robert Blocker, 2005-2006

Tom Tunks, 2006-2007 ad interim

Paul Ludden, 2007-

University Treasurer:

Elizabeth Williams, 2000-2009

Michael Condon, 2009-

- 5. 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. If this is the institution's first time to complete a certification self-study, respond to the question based on the last 10 years.**

In 2000 new admissions procedures for student-athletes were developed by the Athletic Council. In 2004 the men's indoor/outdoor track and cross country program was eliminated and women's equestrian was added to the list of sponsored sports. In 2005 SMU changed its conference affiliation from the Western Athletic Conference (WAC) to Conference USA (C-USA). In the summer of 2008 the mission statement of the Athletics Department was changed. In the academic year of 2008-09 the Athletic Council again revised the admission procedures for student-athletes.

Certification Self-Study Information

1. Steering Committee Chair: Mr. Marc Peterson
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. 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.

(a) The formation of the Steering Committee as well as the five subcommittees included members from various interest groups throughout the campus as well as engaging alumni to provide diverse perspective. In addition to the inclusion of University senior leadership, the committees are comprised of staff from a variety of campus departments as well as a faculty from different schools at the University. The Athletic Department is represented by staff members and student-athletes who serve on the committees. Additionally, alumni are also represented on each of the committees to provide their unique views and perceptions to the self-study process. During the data gathering and information phase of the study, the committees interviewed and conducted focus groups with coaches, athletic staff members, student-athletes, and administrative staff engaged in athletically related activities.

(b) Subsequent to the completion and review of the self-study report, numerous campus constituencies will be afforded the opportunity to examine its findings. The groups include the President's Executive Council (PEC), Committee on Athletics of the Board of Trustees, Athletic Council, Faculty Senate, and Student-Athlete Advisory Council (SAAC). In the fall of 2009 a "Town Hall" meeting will be held at which the self-study will be presented and discussed. An invitation will be extended to all faculty and staff.

4. Provide a copy of the institution's written plan for conducting the self-study. [Please use the file upload link contained within this question to submit a copy of the institution's written plan.]

Written plan and corresponding timeline have been uploaded.

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5. Please provide the institution's mission, philosophy and goals statement and the athletics program's mission, philosophy and goals statement. Also, indicate the dates of formal approval for the latest versions.

The Mission of Southern Methodist University

Southern Methodist University will create, expand, and impart knowledge through teaching, research, and service, while shaping individuals to contribute to their communities and excel in their professions in an emerging global society. Among its faculty, students, and staff, the University will cultivate principled thought, develop intellectual skills, and promote an environment emphasizing individual dignity and worth. SMU affirms its historical commitment to academic freedom and open inquiry, to moral and ethical values, and to its United Methodist heritage. (September 2006)

Department of Intercollegiate Athletics Mission Statement

The Department of Intercollegiate Athletics, an integral part of Southern Methodist University's overall educational mission, is a comprehensive and nationally-recognized Division I-A athletics program which positively reflects the interests and values of the institution's students, faculty, staff, alumni and friends who support its many endeavors. Central to its mission, the Department will provide the leadership, resources and support to ensure all student-athletes receive the finest academic and athletic experience possible. The Department fosters an environment that encourages degree completion, good citizenship, character and personal growth, while developing student-athletes who are positive role models and productive members of society.

The Department maintains a strong commitment to the principles of fiscal responsibility, gender equity, diversity and sporting conduct among its coaches, administrative staff and student-athletes. Staff members and student-athletes will adhere to the highest ethical standards and comply with all NCAA, conference, federal, state and institutional rules and regulations. In all of its activities, the Department will strive to provide equitable opportunities for minorities and women.

The athletics program is dedicated to enhancing the quality of life not only on campus, but throughout the city of Dallas and SMU's surrounding communities. By achieving athletic success at the highest levels of intercollegiate competition, the Department will serve as a positive public relations vehicle for the entire University, while also creating a sense of pride and loyalty in the institution among its students, alumni and friends, serving as a rallying point for the SMU community, and increasing private support to both the Department and University as a whole. (Summer 2008)

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Operating Principle

1.1 Institutional Control, Presidential Authority and Shared Responsibilities.

Self-Study Items

1. List all "conditions for certification" imposed by the Committee on Athletics Certification in its second-cycle certification decision (if any) as they relate to Operating Principle 1.1 (Institutional Control, Presidential Authority and Shared Responsibilities). In each case, provide:

- a. The original "condition" imposed;
- b. The action(s) taken by the institution;
- c. The date(s) of the action(s); and
- d. An explanation for any partial or noncompletion of such required actions.

Please note, the institution is not required to respond to opportunities for enhancement developed by the peer-review team unless those same items were adopted by the Committee on Athletics Certification.

1. Condition

No conditions were imposed.

Action

Action Date

Explanation for partial or non-completion

2. List all actions the institution has completed or progress it has made regarding all plans for improvement/recommendations developed by the institution during its second-cycle certification process for Operating Principle 1.1 (Institutional Control, Presidential Authority and Shared Responsibilities). In each case, provide::

- a. The original plan;
- b. The action(s) taken by the institution;
- c. The date(s) of the action(s); and
- d. An explanation for any partial or noncompletion of such plans.

Please note, the institution will not be required to fulfill an element of a second-cycle plan if the element does not affect conformity with a current operating principle.

1. Original Plan

No plans were developed.

Action

Action Date

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Explanation for partial or non-completion

3. Describe any additional plans for improvement/recommendations as they relate to Operating Principle 1.1 (Institutional Control, Presidential Authority and Shared Responsibilities) developed by the institution since the second-cycle certification decision was rendered by the Committee on Athletics Certification.

Southern Methodist University has developed several additional improvement plans. One formal plan instituted since the last certification review is the quarterly executive meeting between the President and the Senior Associate AD for Compliance. Materials prepared for these meetings are shared with the compliance staff, the President, the VP for Legal Affairs, the Conference Office, the FAR, and the Director of Athletics. Standing agenda items include recent educational initiatives, secondary reporting, waiver reports, improvements made to existing policies and procedures, review of interpretations given by the compliance staff, and any other pertinent information related to compliance. The Compliance Office prepares attachments that highlight enhancements made in these areas. Another improvement instituted is that the Senior Associate AD prepares for the Board of Trustees' Committee on Legal Affairs a PowerPoint that reviews all compliance information.

4. Describe how the institution's chancellor or president maintains clear and direct oversight of the athletics program, including a description of reporting lines from the athletics director to the chancellor or president.

The Manual of Governance for Intercollegiate Athletics provides that the Board of Trustees, in consultation with the President, establishes intercollegiate athletics policies at SMU. More specifically, the Board of Trustees Policy Manual provides in pertinent part as follows: "The President should maintain constant vigilance over the Athletic Department to assure that there are no violations of NCAA rules and regulations and that all persons involved understand and will practice with complete integrity those rules and regulations. The President should report regularly on those matters to the Board of Trustees. The President's oversight should take the form of active surveillance, not that of passive sentry" (passed at regular meeting, 3 October 1987, from recommendations from the June 1987 Bishops' Committee Report on SMU, Board Minutes, Volume 37).

The Board of Trustees has empowered the President of the University with full authority and responsibility for the Department of Athletics. The President delegates administrative oversight of the athletics program to the Director of Athletics.

The Board of Trustees' Committee on Athletics has responsibility to advise the Board as a whole on matters pertaining to athletics. The President reports on issues regarding the athletics program to the Board's Committee on Athletics at regular quarterly Board meetings.

Reporting directly to the President, the Director of Athletics has responsibility for the day-to-day administrative oversight of the Department of Athletics. The Director of Athletics consults with the President with respect to the hiring and contract termination of head coaches and other key personnel decisions, sets and implements policies and the standards of conduct for all Athletics Department personnel, sets the Athletics Department's budgets, monitors institutional compliance with the NCAA rules, and ensures that the Department is adhering to all University policies and standards of conduct. The Director of Athletics sits as a member of the President's Executive Council, which consists of the Vice Presidents in charge of all major divisions within the University.

The President also meets with the Senior Associate AD for Compliance at least once every quarter. In preparation for this meeting, the Senior Associate AD for Compliance compiles a document containing all compliance activities for the previous quarter. This material is converted to a pdf and available on disc. Hard copies of this quarterly report are also given to the President, the FAR, and the C-USA, as well as stored in the Compliance Office. In addition, the Senior Associate AD for Compliance formally presents to the Board of Trustees' Committee on Legal Affairs at least once an academic year.

The Manual of Governance for Intercollegiate Athletics establishes the Athletic Council, chaired by a faculty member, as a committee that independently advises the President on matters relating to intercollegiate athletics and monitors the functions of the Department of Athletics. The Chair of the Athletic Council confers regularly with the President, who attends at least one full Athletic Council meeting every year. Athletic Council subcommittees

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include Executive, Academic, Budget, and Equity. The Director of Athletics meets regularly with the FAR and the Chair of the Athletic Council. The Athletic Council was formed upon recommendation of the May 1987 Report of the University Committee on Intercollegiate Athletics.

5. Since the institution's previous self-study, list the major decisions made related to intercollegiate athletics. For each decision, explain the role and involvement (if any) of the:

- a. Chancellor or president;
- b. Athletics board or committee;
- c. Faculty senate (or other faculty governing body);
- d. Student-athlete advisory committee;
- e. Director of athletics;
- f. Faculty athletics representative;
- g. Senior woman administrator; and/or
- h. Other individual(s) or campus constituencies.

2000 New Admissions Procedures for Student Athletes
 2001 Termination of Employment Contract for Head Football Coach (Mike Cavan)
 2002 Hiring of Head Football Coach (Phil Bennett)
 2004 Elimination of men's track & cross country
 2004 Addition of women's equestrian
 2004 Termination of Employment Contract for Men's Basketball Coach (Mike Dement)
 2004 Hiring of Men's Basketball Coach (Jimmy Tubbs)
 2005 Move to C-USA from WAC
 2006 Retirement of Athletics Director (Jim Copeland) and Hiring of Athletics Director (Steve Orsini)
 2006 Termination of Employment Contract for Men's Basketball Coach (Jimmy Tubbs)
 2006 Hiring of Men's Basketball Coach (Matt Doherty)
 2007 Building of the Crum Basketball Center
 2007 Termination of Employment Contract for Head Football Coach (Phil Bennett)
 2008 Hiring of Head Football Coach (June Jones)
 2007-08 Building of the Turpin Tennis Center
 2008-09 Revised Admission Procedures for Student Athletes

For each decision, explain the role and involvement (if any) of the:

a. Chancellor or president;

President R. Gerald Turner was consulted about and approved all of the major decisions listed under self-study item 1.5. The President also raised funds for the Crum Basketball Center and the Turpin Tennis Center. Tom Barry, the Vice President for Executive Affairs, chaired the search committee that hired a new athletics director in 2006 and the oversight committees for the construction of the Crum Basketball Center and the Turpin Tennis Center.

b. Athletics board or committee;

Representatives from the Board of Trustees' Committee on Athletics served on the search committees that led to the hiring of head football and men's basketball coaches (Phil Bennett, Jimmy Tubbs, Matt Doherty, June Jones). There were three or four board members on each committee, including the Chair of the Athletics Committee of the Board of Trustees. The Chair of the Board of Trustees and the Chair of the Board's Athletics Committee were consulted during the process when the contracts of head football and basketball coaches were terminated.

The Athletics Committee of the Board of Trustees discussed and approved the new admissions procedures for student athletes in 2000, the elimination of men's track and cross country in 2004, the addition of women equestrian in 2004, and the move to Conference USA from the WAC. The construction of the Crum Basketball Center and the Turpin Tennis Center were a part of the Trustee-approved Campus Master Plan. Presentations regarding these facilities were made both to the Board's Athletics Committee and to the Board's Buildings and Grounds Committee.

c. Faculty senate (or other faculty governing body);

One or more faculty representatives from the Athletic Council served on each of the search committees included in the major decisions listed above. One of the Council's co-chairs served on the 2000 revision of the student-athlete

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admissions policy. Two members of the Council served on the 2008-2009 revision of the student-athlete admissions policy. Both the elimination of men's track/cross-country and the addition of equestrian were approved by an Athletic Council vote. The faculty chair of the Athletic Council was consulted about the 2005 move to C-USA and the 2006 termination of Coach Tubbs' contract.

d. Student-athlete advisory committee;

Student-athletes served on all of the search committees listed above, but these representatives were nominated by the Athletics Department with no involvement by the SAAC.

e. Director of athletics;

With the exception of the 2000 revision of the student-athlete admission procedures, Athletics Director Jim Copeland was actively involved in all of the major decisions through the 2006 contract termination and hiring of men's basketball coaches. With the exception of the 2008-09 revision to the student-athlete admissions procedures, Athletics Director Steve Orsini was actively involved in all major decisions beginning with the 2006 contract termination and hiring of the men's basketball coaches.

f. Faculty athletics representative;

C. Paul Rogers, the FAR, served on all of the search committees listed above. He also consulted with Athletics Director about the 2001 football coach contract termination, the 2004 elimination of men's track & cross country, the 2005 move to CUSA, the 2006 basketball coach contract termination, and the 2007 football coach contract termination. He also served on the 2008-2009 committee to revise admissions procedures.

g. Senior woman administrator; and/or

The SWA (Barb Totzke from 2000 through 2006) and Koni Daws (2006-2009) sits on the Athletics Director's senior management team and, as such, contributes to all major Athletics Department decisions. Additionally, the SWA contributed to both the 2000 and the 2008-2009 admissions procedure revisions. The SWA was also consulted about the 2004 elimination of men's track & cross country and actively involved in the 2004 decision to add equestrian.

h. Other individual(s) or campus constituencies.

The Provost (Vice President for Academic Affairs) oversaw both the 2000 and 2008-09 admissions procedure revisions.

Representatives from the Altshuler Learning Enhancement Center served on the 2006 Athletics Director search committee, the 2006 men's basketball coach search committee, and the 2008 football coach search committee, as well as the 2008-09 revision of admissions procedures.

Representatives from the Office of Admission contributed to both the 2000 and 2008-09 admissions procedure revisions.

Both the Vice President for Business and Finance and the Vice President for Development and External Affairs serve on the Athletic Facilities Oversight Committee, as do representatives from Campus Planning and Plant Operations (CPPO). This committee is chaired by the Vice President for Executive Affairs.

6. Describe the institution's written governance policies regarding the administration and oversight of the athletics program, including the specific role and responsibilities of the institution's governing board. Describe how the policies are communicated to the governing board on an annual basis.

There are two governing boards with administrative/oversight responsibility for the university's athletics program: 1) Board of Trustees, and 2) the Athletic Council.

I. Board of Trustees has four regular meetings each year: September, December, February and May. All deliberative discussion of Board policies and business takes place in one or more of its Standing Committees meetings. Standing Committees report to the full Board at each of its regular meetings requesting Board action as needed and inform the Board about important matters to keep Board members knowledgeable about each Standing Committee's areas of responsibility. The two Standing Committees responsible to the Board for intercollegiate athletics are the Committee on Athletics and the Committee on Legal and Government Affairs.

The Committee on Athletics' responsibilities as stated in the Bylaws are:

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2.12 Athletics Committee

(a) Powers and Duties of the Committee on Athletics

The Committee on Athletics shall advise the Board as to the status of the intercollegiate athletic program in the University and in so advising the Board shall consider the academic performance of the student athletes and the overall fiscal operation of the Athletic Department. The Committee shall review the University's intercollegiate athletic programs and its program for compliance with the constitution, bylaws, rules and regulations of any intercollegiate athletic organization of which the University is a member, as well as University rules and regulations.

The Committee on Legal and Government Affairs' responsibilities as stated in the Bylaws are:

2.11 Powers and Duties of the Committee on Legal and Government Affairs

The Committee on Legal and Government Affairs shall advise the Board on the legal and government affairs of the University, and shall report to the Board at its regularly scheduled meeting on all legal matters which may materially affect the University and all local, state and federal governmental matters which affect the University. The Committee shall periodically review the administration of the University's intercollegiate athletic programs for compliance with applicable laws, governmental regulations, and the constitution, bylaws, rules and regulations of any intercollegiate athletic organization of which the University is a member. The Committee shall advise the Board at its regularly scheduled meetings of any matter which in the opinion of the Committee bears materially on the integrity of the University's intercollegiate athletic program.

Annually the Compliance Officer of the Department of Athletics presents in person to the Committee on Legal and Government Affairs the previous year's infractions and compliance education programs and also answers questions from committee members. In between annual compliance reports, it is the responsibility of the Vice President for Legal Affairs to advise the Committee on Legal and Government Affairs of major compliance infractions or on athletics matters requiring Board attention. As stated above, the Committee on Athletics and the Committee on Legal and Government Affairs report at each Board meeting, with the Committee on Legal and Government Affairs reporting annually on athletics compliance. Any matter requiring Board attention is reported at the next Board meeting or by correspondence as may be required.

At the invitation of the Athletics Director or request of the Committee chair, members of the Athletics Department senior management team attend quarterly meetings of the Board of Trustees' Committee on Athletics in order to report formally and in writing (usually in the form of power point slides) about issues related to student athletes' academic and athletic performance, the Athletics Department Budget, and other issues related to the Athletics Department's mission and goals.

II. The Athletic Council consists of faculty, staff, student, alumni, and trustee members of the University community, as well ex-officio representatives from the Athletics Department, the Faculty Senate, and the Altshuler Learning Enhancement Center. It meets at four times a year and is responsible for advising the President on matters concerning athletics. The Chair of the Athletic Council regularly consults with the President, the Director of Athletics, and the Faculty Athletics Representative. The President appoints the members of the Council; these include the chair and six members from faculty who are nominated by the Faculty Senate. The Faculty Athletics Representative sits as a member of the Athletic Council and is appointed by the president to represent the University before the CUSA and the NCAA.

7. Since the institution's previous self-study, list the decisions related to intercollegiate athletics in which the institution's governing board or individual board members have been involved and describe the extent of the governing board's involvement with those decisions.

Representatives from the Board of Trustees' Committee on Athletics served on the search committees that led to the hiring of head football and men's basketball coaches (Phil Bennett, Jimmy Tubbs, Matt Doherty, June Jones). There were three or four board members on each committee, including the Chair of the Athletics Committee of the Board of Trustees. The Chair of the Board of Trustees and the Chair of the Board's Athletics Committee were consulted during the process when the contracts of head football or basketball coaches were not renewed.

The Athletics Committee of the Board of Trustees discussed and approved the new admissions procedure for student athletes in 2000, the elimination of men's track and cross country in 2004, the addition of women equestrian in 2004, and the move to Conference USA from the WAC. The construction of the Crum Basketball Center and the Turpin Tennis Center were a part of the Trustee-approved Campus Master Plan. Presentations regarding these facilities were made both to the Board's Athletics Committee and to the Board's Buildings and Grounds Committee.

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8. Describe how the institution's governing board decisions regarding the athletics program are consistent with those of other on-campus units.

The Board of Trustees has a committee to advise and oversee each of the major areas of the University. For example, the standing committees of the Board are: 1) Academic Affairs, 2) Business and Finance, 3) Student Affairs, 4) Audit, 5) Investments, 6) Buildings & Grounds, 7) Legal Affairs, and 8) Athletics. As a result, Athletics is overseen in the same way that the academic programs and the financial areas of the University are governed by the Board of Trustees.

9. For each of the following individuals or groups:

- a. Explain the role and authority of the individual or group as it relates to intercollegiate athletics;
- b. Describe how the individual or group has the opportunity (if any) to provide meaningful input into the formulation of athletics department policies (e.g., review admissions data, review academic performance data, receive periodic reports from athletics department); and
- c. Describe how the individual or group has the opportunity (if any) to periodically review policy implementation related to athletics.
 1. Athletics board or committee;
 2. Faculty senate (or other faculty governing body);
 3. Faculty athletics representative;
 4. Student-athlete advisory committee; and/or
 5. Other individual(s) or campus group(s).

(1) Athletics board or committee

The Chair of the Athletic Council is a faculty member chosen by the President. The Chair serves at the will of the President and is assigned duties outlined in the Manual of Governance on Intercollegiate Athletics, including: preside over and assure the efficient functioning of the Athletic Council; advise the President on all relevant matters; serve as spokesperson to the faculty on behalf of the President on matters appropriate to the position; elicit information and advice from the Athletic Council and transmit such to the President, monitor all athletics activities and confer regularly with the President; assure that required reports and recommendations from the Athletic Council are forthcoming to the President, Provost, and Faculty Senate; report the concerns of the faculty relative to athletics to the President and the Director of Athletics; and interpret to the faculty, especially the Faculty Senate when so requested, the University's athletics policies and activities.

Four subcommittees help to perform Athletic Council duties:

The Executive Subcommittee meets at the call of the President and acts for the Athletic Council between formal meetings.

The Academic Subcommittee reviews and approves annual practice and competition schedules and other student welfare issues; reviews admission of student athletes; reviews academic performance of student athletes; monitors compliance with "renewal of aid" policies, and reports to the full Athletic Council on academic matters.

The Budget Subcommittee reviews quarterly budget; meets with Associate Athletic Director of Finance and the Director of Athletics; and reports to the full Athletic Council on budgetary matters.

The Equity Subcommittee gathers information and monitors progress in addressing equity issues; reviews progress reports from the Director of Athletics; monitors and makes recommendations concerning the standards of the NCAA; and reports to the full Athletic Council on equity matters.

(2) Faculty senate (or other governing body)

The Faculty Senate is responsible for submitting to the President nominations for faculty members to serve on the Board of Trustees' Committee on Athletics and the Athletics Council, as well as submitting to the Provost nominations for faculty members who will serve on the subcommittee monitoring the student athlete admissions process. The Faculty Senate President serves as an ex-officio member of the Athletic Council. The faculty chair of the Athletic Council reports to the Faculty Senate on an as-needed or requested basis.

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(3) Faculty athletics representative

C. Paul Rogers, the FAR, is an ex-officio member of both the Athletic Council and the Board of Trustees' Committee on Athletics. The FAR is appointed by the President to represent the University before Conference USA and the NCAA. The FAR reports directly to the President on issues involving intercollegiate athletics at SMU and regularly consults with the Director of Athletics and the Chair of the Athletic Council. The FAR is responsible for signing off on eligibility reports as prepared by the Registrar's Office.

(4) Student-athlete advisory committee; and/or

The SAAC currently has a member serving ex-officio on the Athletic Council and is available during their meetings to represent the opinions of the student-athletes. Currently, during each legislative cycle, the Senior Associate AD for Compliance brings to the SAAC meetings information regarding new proposals that directly affect current and prospective student-athletes. Also, the SAAC representative to the Conference also reviews with the group legislation that is deemed pertinent to student-athlete welfare issues. During the 2008-09 academic year, the SAAC advised the Athletics Department's senior management team on issues such as SMU Letter Award Policy, uses of the Student-athlete opportunity fund, and practice schedules.

(5) Other individuals(s) or campus groups

Academic support services for student athletes are coordinated through the Altshuler Learning Enhancement Center, which is the academic support unit for all SMU undergraduates and reports through the Office of the Provost.

Admission of student athletes is the responsibility of the University's Dean of Admission, who reports through the Office of the Provost. Through admission policies adopted in 2000 and revised in 2008-09, all admissions decisions regarding academically at-risk student athletes (criteria determined by standardized testing results and grades in academic courses) are reviewed and approved by a faculty committee appointed by the Office of the Provost in consultation with the Faculty Senate.

10. 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.

There are three volunteer organizations that support the Athletics Department through private financial support. All three are staffed and managed by personnel of the Athletics Development unit, which is part of the Development and External Affairs (DEA) division of the university.

Campaign Steering Committee for Athletics: The CSC for Athletics is a part of the university-wide campaign, SMU Unbridled: The Second Century Campaign. The leadership of this committee consists of at least one university Trustee and is staffed by the Sr. Associate Athletic Director for Development. This committee reports up to the Campaign Leadership Council, which is an Ad Hoc committee of the university's Board of Trustees. Additionally, this committee has a standing invitation to the President of the University, The Vice-President for DEA, and the Athletics Director. All gifts solicited and received from this group are given directly to, deposited and receipted by the university.

The purpose of this committee is to help the athletics development staff identify, cultivate and solicit donors/prospects for gifts that will fund the athletic department's capital initiatives during the length of The Second Century Campaign. This committee will terminate upon the completion of the campaign.

Mustang Club: The Mustang Club is the vehicle that enables individuals and corporations to make annual, renewable gifts in support of the athletics department at SMU. These gifts are used to help offset the annual operating expenses of SMU Athletics. The Mustang Club has a Board of Directors whose purpose is to help the athletics development staff renew and solicit new donors for the annual fund, and to represent the entire Mustang Club body of donors in determining seating, parking and hospitality benefits in conjunction with the athletics department. All gifts solicited and received by The Mustang Club are given to, deposited and receipted by the university. The Mustang Club Board is staffed by Athletics Development personnel and issues a standing invitation to the Athletics Director to all of their board meetings.

Letterman's Association: The Letterman's Association is comprised of dues paying members that participated in a varsity sport at SMU. The group is led by a Board of Directors that is comprised from the body of members and represents the body of members. The Letterman's Association Board of Directors is staffed by personnel from the

Governance and Commitment to Rules Compliance

Athletics Development Staff and the Athletics Director attends its monthly board meetings. All gifts and dues solicited and received by the Letterman's Association are monitored and deposited in agency accounts at the university.

In addition to the oversight and management of the volunteer fundraising organizations that the institution oversees, the Athletics Development staff initiates proactive communication to its donor base. Upon receipt of a gift that a donor makes to the Mustang Club, that donor receives a brochure entitled "The Rules of the Game" that is produced by the athletics compliance office which outlines what a donor can and cannot do and informs them of the definitions of a representative of SMU athletics and explains who is a prospect. This information is also available at all times on the Mustang Club website.

Additionally, there are several different areas for philanthropy within the Athletics Department at SMU. All of these giving areas are managed by the Athletics Development staff. Specifically, a designated gift for an individual sport goes into a "Friends" account. The spending of gifts in the friends account is at the discretion of the Head Coach of the specific sport and must be approved by the Athletics Director. Gifts that are designated to the "Circle of Champions" initiative are designated specifically for football needs that include but are not limited to operations, recruiting, and salary enhancements. The expenditure of these funds is at the discretion of the Athletics Director.

The use and expenditures of all private gifts to athletics is approved by the Athletics Director and must adhere to SMU, Conference USA, and NCAA guidelines and policy.

11. Provide the composition of the athletics board or committee (including titles and positions).

2008-2009 Board of Trustees Standing Committee on Athletics, membership list:

Brad Brookshire, Vice-Chair and Trustee
 Catherine Campbell, student athlete representative
 Patty Delaney, faculty
 Frank M. Dunlevy, committee member and Trustee
 Greg Gardner, committee member
 Denny Holman, committee member
 Clark Hunt, committee member
 Benjamin Johnson, faculty
 Fredrick Leach, committee member and Trustee
 Paul Loyd, Committee Chair and Trustee
 Mark Meyer, committee member
 David Miller, committee member and Trustee
 Chibundu Knake, graduate student member
 Daniel Orlovsky, faculty (Athletic Council chair)
 Carl Sewell, Chair of the Board Trustees (ex officio)
 R. Gerald Turner, President of the University (ex officio)
 Ed Wilson, committee member and Trustee

2008-2009 Athletic Council, membership list:

Marci Armstrong, Associate Dean
 Brad Brookshire, Trustee
 Dennis Cordell, Associate Dean
 Patty Delaney, Faculty
 Dennis Foster, Faculty Senate President
 Greg Gardner, Alumni
 Ken Hamilton, Faculty
 Ryan Harp, Student
 Ben Johnson, Faculty
 Lauren Kuhner, Student
 Lisa Lee, University Administration
 Mark Meyer, Alumni
 David Miller, Trustee
 Dan Orlovsky, Faculty, Chair
 Paul Rogers, FAR
 Mario Walker, Student
 Matthew Wilson, Faculty, Vice Chair
 David Willis, Faculty

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Please note: 2009-2010 membership lists for both the Board of Trustees' Committee on Athletics and the Athletic Council have yet to be determined but will be available to the certification team during their September 2009 visit.

12. Describe how the institution's chancellor or president and his/her designees maintain control with respect to the budget, accounting, purchasing and debt management of the athletics program. In addition, identify key individuals, other than the chancellor or president, with responsibilities in these areas.

All financial activity of the Athletics Department is processed through the University's financial systems. Athletics is subject to the same purchasing policies as other University departments, submitting purchase requests through the Purchasing Department for purchase orders based on the University's threshold requirements. Contractual arrangements are processed through the Office of Legal Affairs for review and are routed to the appropriate official for execution.

Athletics can enter invoices into the Accounts Payable (A/P) system for payment, but the University's central A/P department reviews the invoices against documentation and policies before releasing them for payment. These invoices are posted to Athletics accounts in the University's general ledger. Athletics also enters journal entries into the University's general ledger, where they are posted by the Controller's Office. The Controller's Office performs various reviews and reconciliations to ensure that the entries are consistent with policy and representative of the underlying nature of the transactions. It is the responsibility of the Athletics Department to ensure the authorized expenses are within the approved budget.

The University's Associate VP for Budgets (Ernie Barry) reviews balances created against the budget and researches material variances with the Athletics Department. Athletics also enters revised budget entries periodically that are reviewed and approved by the Department of Business and Finance. Once the entries are approved, they are posted to the general ledger. There are regularly scheduled meetings between the Athletics Department and Business and Finance to review the current year financial activity as well as to discuss the impact on the budget approved by the Board of Trustees. Upcoming fiscal year budgets for the Athletics Department are also discussed at these meetings.

The University also engages an external auditor to audit its financial records. This audit includes Athletics. In addition to this general audit, these external auditors perform additional agreed upon procedures in accordance with National Collegiate Athletics Association (NCAA) Bylaw 6.2.3.1 which are issued to the University president. This audit includes samples and test work as well as other reviews specific to the Athletics activity for the preceding fiscal year.

Operating debts such as car leases/notes are managed by the Athletics Department. The VPBF signs all leases and notes less than \$500,000 and with a term of less than five years. Capital debt is issued through the authority that the University uses (SWHEA). The VPBF is responsible for issuing this debt for the University.

The Athletics Department's Associate AD for Business Operations also reports to the quarterly meetings of both the Board Of Trustees' Committee on Athletics and the full Athletic Council, and, upon invitation, to the Council's budget subcommittee.

13. Describe how the institution's chancellor or president and his/her designated authority review the budget of the athletics program to at least the same extent that they do for other on-campus programs and departments. In addition, identify the authority (e.g., president's cabinet, finance committee) designated with this responsibility.

The Vice President for Business and Finance (VPBF) is responsible for administering and monitoring budgets for University departments, including Athletics. Within the VPBF area, the Budget Office works with the deans, department heads, and directors to identify budget requests for the following fiscal year. These budget requests are initially reviewed by the Provost, the appropriate Vice President or Athletics Director and the VPBF and then discussed with the President's Executive Council and ultimately the President. Requests are then prioritized based on what is necessary and what is most appropriate for the University to continue progress towards its strategic objectives. Class size and tuition rates are set as part of the budgeting process. Athletics' budget requests are taken into consideration along with those from other areas throughout the budget process.

The proposed budget is submitted to the Finance Committee of the University's Board of Trustees for review and approval. In addition to the summarized budgets the VPBF presents for Educational and General and Auxiliary budgets, she provides more detailed budget schedules pertaining to Athletics for the Committee's information and review. Once approved by the Finance Committee, the budget is taken to the full Board of Trustees for adoption.

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During the year, under the auspices of VPBF, the Budget Office meets with the various University schools and departments to monitor performance against budget. This process includes Athletics. In addition to these meetings, the VPBF, Budget Office and Controller's Office representatives meet regularly with the Athletics Director and Associate Athletics Director for Business Operations to monitor performance. At least once a year, this group also meets with the Athletic Council's Budget Subcommittee to update that group on the Athletics Department's budget performance. Further, the Athletics budget status is presented (along with the University Educational and General budget and Auxiliary Activities budget) to the Finance Committee of the Board of Trustees at its quarterly meetings.

- 14.** Describe the process by which the institution's chancellor or president and his/her designee(s) conduct an administrative review of the NCAA comparative data (i.e., dashboard indicators) on an annual basis. In addition, specify the individual(s), other than the chancellor or president, involved in this administrative review.

The President has designated the Director of Institutional Research (John Kalb) to be responsible for the administrative review of the NCAA comparative data contained in the Dashboard Indicators system. The President has reviewed and approved the selection of three peer groups that represent other universities for which comparisons are appropriate. At least annually the Director of Institutional Research in consultation with the Vice President for Executive Affairs will identify salient comparative indicators from the appropriate peer groups and will provide a report to the President for his review.

- 15.** If the institution has developed a plan for improvement(s) for Operating Principle 1.1, describe the institution's efforts to ensure the plan for improvement was developed through a process involving broad-based participation and has received formal institutional approval.

No plans for improvement have been developed.

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 that athletics program or athletics interests).
- Published policies of the institution's governing board which relate to the athletics program or athletics interests.
- Institutional organizational chart.
- Athletics department organizational chart.
- List of athletics booster organizations and their officers.
- Description of athletics booster group policies and procedures (e.g., constitution and bylaws).

Governance and Commitment to Rules Compliance

Operating Principle

1.2 Rules Compliance

Self-Study Items

1. List all "conditions for certification" imposed by the Committee on Athletics Certification in its second-cycle certification decision (if any) as they relate to Operating Principle 1.2 (Rules Compliance). In each case, provide:

- a. The original "condition" imposed;
- b. The action(s) taken by the institution;
- c. The date(s) of the action(s); and
- d. An explanation for any partial or noncompletion of such required actions.

Please note, the institution is not required to respond to opportunities for enhancement developed by the peer-review team unless those same items were adopted by the Committee on Athletics Certification.

1. Condition

No condition was imposed.

Action

Action Date

Explanation for partial or non-completion

2. List all actions the institution has completed or progress it has made regarding all plans for improvement/recommendations developed by the institution during its second-cycle certification process for Operating Principle 1.2 (Rules Compliance). In each case, provide::

- a. The original plan;
- b. The action(s) taken by the institution;
- c. The date(s) of the action(s); and
- d. An explanation for any partial or noncompletion of such plans.

Please note, the institution will not be required to fulfill an element of a second-cycle plan if the element does not affect conformity with a current operating principle.

1. Original Plan

No plans were developed.

Action

Action Date

Governance and Commitment to Rules Compliance

Explanation for partial or non-completion

3. Describe any additional plans for improvement/recommendations as they relate to Operating Principle 1.2 (Rules Compliance) developed by the institution since the second-cycle certification decision was rendered by the Committee on Athletics Certification.

No additional plans for improvement were developed.

4. Describe how the institution ensures that rules compliance is a central element in personnel matters for individuals within the athletics department. Specifically, the institution must provide written evidence that all individuals inside the athletics department (e.g., coaches, staff) have statements regarding the importance of rules compliance in all of the following documents:

- a. Contracts or letters of appointment;
- b. Performance evaluations; and
- c. Job descriptions.

o Job descriptions for positions within the Athletics Department include the requirement that employees must abide by NCAA rules and regulations in all aspects of their work and contact with student-athletes. When the Athletics Department begins the hiring process, the first form that is completed is the Job Evaluation. These documents outline the primary purposes of the job, duties and responsibilities, and minimum requirements. The Athletics Department makes an effort to emphasize in the purpose that an "understanding and adherence to rules and regulations of the National Collegiate Athletic Association, C-USA, and Southern Methodist University" are required.

o In the Athletics Department coaches - both head and assistants - are employed under the provisions of an employment contract with the University. Within these contractual documents specific language establishes the requirement that the coach must comply with all NCAA rules and regulations and the consequences for failing to do so. The contract provides a clear and unambiguous statement by the University that coaches are expected to comply with NCAA rules and regulations and affirms the institution's intent to enforce those standards.

o Staff members (non-coaching positions) in the Athletics Department are not offered employment contracts or letters of appointment. Specifically, University policy - Human Resources 9.6 (revised as of June 1, 1994) - states "Only certain exempt employees (Corporate Officers, Coaches and others), as determined by the President, will be awarded a University employment contract."

o University-approved annual performance evaluation documentation focuses on certain expectations of job performance and relates the employees' performance in terms of their teamwork, initiative, communication, problem-solving, communication, conflict management, building trust, development orientation and student/customer orientation. As such, examples are provided to assess the employee's performance in light of these expectation areas. But by its design this performance analysis methodology does not directly assess the adherence to specific rules and regulations.

5. Describe how the institution ensures that rules compliance is a central element in personnel matters for individuals outside the athletics department who are involved in rules-compliance activities. Specifically, the institution must provide written evidence that all individuals outside the athletics department who are involved or associated with athletics (including, but not limited to, individuals who have responsibility for admission, certification of academic standing, evaluation of academic performance and administration of financial aid for student-athletes) have statements regarding the importance of rules compliance in all of the following documents:

- a. Contracts or letters of appointment;
- b. Performance evaluations; and
- c. Job descriptions.

Governance and Commitment to Rules Compliance

University staff members who are involved or associated with athletic activities outside the Athletic Department are principally assigned to the Division of Enrollment Services (DES). In DES the departments of Admissions, Financial Aid, Student Financials and the Registrar's are located. Employees in this division are engaged in the admission of student-athletes, the application of financial aid to eligible student-athletes, the certification of academic standing and management of student accounts for student athletes. For these employees it is important to note the following:

- o Employees in DES do not have employment contracts or letters of appointment with the University. By University policy - Human Resources 9.6 (revised as of June 1, 1994) - states "Only certain exempt employees (Corporate Officers, Coaches and others), as determined by the President, will be awarded a University employment contract." No DES personnel have an employment contract or letter of appointment.

- o University approved annual performance evaluation documentation focuses on certain expectations of job performance and relates the employees' performance in terms of their teamwork, initiative, communication, problem-solving, communication, conflict management, building trust, development orientation and student/customer orientation. As such, examples are provided to assess the employee's performance in light of these expectation areas. But by its design this performance analysis methodology does not directly assess the adherence to specific rules and regulations.

- o Job descriptions for positions within DES include the requirement that employees must abide by NCAA rules and regulations in all aspects of their work and contact with student athletes. The Division has a compliance policy that directs that DES employees are obligated to abide by certain rules and regulation including those of the NCAA.

6. Provide the name(s) and title(s) of the individual(s) who has ultimate responsibility in determining student-athlete's admission to the institution, certification of academic standing, and evaluation of academic performance.

Admission:

Dr. Ron Moss, Dean of Admission and Executive Director of Enrollment Services

Certification of Academic Standing:

David Bell, Office of the Registrar, prepares certification papers which are first reviewed and signed by Joe Papari, Director, Office of the Registrar and then forwarded to Paul Rogers, FAR, for his signature

Evaluation of Academic Performance:

Cox School of Business: Barbara Mohrle, Director, BBA Advising and Records

Dedman College Of Humanities and Sciences: Dr. Jennifer Haden, Associate Dean

Lyle School of Engineering: Dr. Betsy Willis, Director, Advising and Student Records

Meadows School of the Arts: Chuck Donaldson & Janet Stephens, Degree Counselors

Simmons School of Education and Human Development: Kathy Hargrove, Associate Dean and Kathryn Barrett, Teacher Education Adviser

7. Provide the name(s) and title(s) of the individual(s) (other than the institution's compliance officer/director) who the chancellor or president designates as being responsible for the institution's rules compliance.

Steve Orsini, Director of Athletics

C. Paul Rogers, Faculty Athletics Representative

Governance and Commitment to Rules Compliance

8. Identify the individuals inside and outside the athletics department who have rules-compliance responsibilities. Describe the reporting lines for and responsibilities assigned to these individuals, including but not limited to:

- a. Faculty athletics representative;
- b. Director of athletics;
- c. Compliance officer/director;
- d. Coaches; and
- e. Other key individuals (e.g., admissions director, financial aid personnel, registrar) who are responsible for documenting and monitoring compliance with NCAA rules, including but not limited to:
 1. Eligibility certification;
 2. Investigation and self reporting of violations;
 3. Monitoring of financial aid; and
 4. The NCAA Division I Academic Performance Program (APP).

Describe the reporting lines for and responsibilities assigned to these individuals, including but not limited to:

a. Faculty athletics representative;

Involved with NCAA Waiver process: signature, review of material; receives copy of secondary violations; receives quarterly Executive meeting materials; ex-officio member of Board of Trustees' Committee on Athletics and the Athletic Council; reporting line is to President; monthly meeting with Athletics Director

b. Director of athletics;

Ultimate responsibility for all athletics compliance and for ensuring Department operates within all NCAA mandates; direct reporting line to the President; prepares reports for the Board of Trustees' Committee on Athletics and the Athletic Council; monthly meeting with FAR; meets with Senior Associate AD for Compliance at least once monthly; receives copies of compliance materials prepared for quarterly executive meeting with President; discretion to conduct internal investigations or delegate it to administrator; direct line to President; sits on President's Executive Council (PEC)

c. Compliance officer/director;

The Senior Associate AD for Compliance has a hard, direct reporting line to Athletics Director and a dotted line report to President; sits ex-officio on the Athletic Council and the Athletic Council's Academic Subcommittee; has oversight for all practical compliance areas: financial aid, playing/practice seasons, eligibility, investigations, waivers, self-reporting, and any other compliance duties as assigned by AD.

d. Coaches

Included in all recent head coaches' contracts has been reference to operating sports program with integrity and adherence to NCAA compliance restrictions. Coaches are required to take and pass the NCAA Coaches Recruiting exam annually. Head coaches are required to attend monthly meetings where Senior Associate AD provides compliance information including legislative updates. All coaches are required to attend the annual SMU staff meeting during which the Senior Associate AD for compliance creates a PowerPoint that touches on hot topics in compliance, important dates to remember, and legislative updates. Coaches' annual departmental review includes evaluation of how many violations have occurred, the frequency of their use of the compliance office for interpretations, the number of waivers that were sought, and their overall attitude towards their compliance responsibilities. Head Coaches have a direct reporting line to their sport supervisor, who is a senior-level Athletics Department administrator reporting to the Athletics Director. Assistant coaches have direct reporting line to the head coach.

and

e. Other key individuals (e.g., admissions director, financial aid personnel, registrar) who are responsible for documenting and monitoring compliance with NCAA rules, including but not limited to:

1) Eligibility certification

Governance and Commitment to Rules Compliance

Besides the Athletics Department, athletic eligibility certification and reporting at SMU involves Academic Deans/Counselors and Registrar's staff. Specificall

Undergraduate Academic Deans/Counselors

- Jennifer Haden, Associate Dean for Student Records, Dedman College of Humanities and Sciences
- Betsy Willis, Director of Advising & Student Records, Lyle School of Engineering
- Chuck Donaldson and Janet Stephens, Degree Counselors, Meadows School of the Arts
- Barbara Mohrle, Director of BBA Advising & Records and Patricia Kriska, Senior Associate Director of BBA Advising & Records, Cox School of Business
- Kathryn Barrett, Teacher Education Adviser, Simmons School of Education and Human Development

Graduate Academic Deans/Counselors

- Barbara Phillips, Assistant Dean, Office of Research & Graduate Studies, Dedman School of Humanities and Sciences
- Bonnie Thiebaud, Graduate Programs Registrar, Cox School of Business
- Michele Mrak, Director, Graduate Liberal Studies, Simmons School of Education and Human Development
- Sharon Hartley, Assistant to the Dean and Assistant Financial Officer, Simmons School of Education and Human Development (Graduate Education)
- James Dees, Senior Director of Graduate Student Experience & Enrollment Management, Lyle School of Engineering

Registrar Staff

- David Bell, Manager for Athletic Certification
- Joe Papari, Director, Office of the Registrar, Division of Enrollment Services

Athletic Eligibility Certification is comprised of these steps:

- The Athletic Department staff is responsible for student-athlete set up in CAi and student groups set up by sport in Access.SMU.
- Athletic Department staff sends the Student Athlete Statement form and drug testing consent forms to Registrar staff (David Bell) which, in turn, enters into CAi the financial aid and practice dates and confirms the forms have been received.
- Degree Progress Certification
- Academic Eligibility

Degree Progress Certification (Access.SMU) is comprised of these steps:

- After verifying that all grades are posted for the student-athletes, Registrar staff (David Bell) runs process to load degree certification tables in Access.SMU. The tables consist of the courses taken and the grades earned.
- Academic Deans/Counselors (see list of individuals above) certify classes that count toward degree objectives.
- Registrar staff (David Bell) verifies the data and locks the data from further updates.

Academic Eligibility Process is comprised of these steps:

- CAi and Access.smu data are loaded into tables in order to run the process that determines eligibility. The load and process are run by Registrar staff (David Bell).
- Process is run that looks at various NCAA rules to determine whether the student-athletes are eligible based upon the rules. If the process determines that an student-athlete is not eligible, then Registrar staff (David Bell) completes a manual review of the rules to determine eligibility.
- Once eligibility is confirmed, the Conference USA Eligibility Report is created and signed by Registrar staff (David Bell and Joe Papari) and Faculty Athletic Representative (Paul Rogers).

2) Investigation and self-reporting of violations;

The University's Vice President for Legal Affairs (VPLA) retains the right to handle any investigation in consultation with the Athletics Director and Senior Associate AD for Compliance. In addition, the VPLA, along with the FAR and Athletics Director, receives updates on all secondary violations from the Senior Associate AD for Compliance. The VPLA is the primary on-campus investigator for all potentially major violations. Additionally, the Compliance Office may engage the services of outside entities to assist with investigations.

3) Monitoring of financial aid;

Institutional athletic awards are entered by staff members of the Athletics Department using the Access.SMU departmental award entry page. (Currently the process is being transferred to the Athletics Department Business Office from the Athletic Compliance office under the direction of the Assistant Compliance Director (Jackie Babich)). Subsequent to the entry of awards for each student-athlete, these awards are reviewed and approved by the Assistant Athletics Director for Business and Finance (Kris Lowe) and electronically forwarded to the Financial Aid

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Department of the Enrollment Services Division. Under the guidance of the Associate Director of Financial Aid for Scholarships and Employment (Mary Beard) the Scholarship Coordinator (Paula Anderson) enters the athletic awards onto the student financial aid pages of Access.SMU. The Scholarship Coordinator notifies the appropriate Financial Aid advisor for review to insure compliance with institutional, state and federal rules and regulations. Subsequent to the review and adjustment (if necessary) the Financial Aid advisor validates and posts the awards to the student financial aid account. As with all students, student-athletes are notified by email to their university email account that financial aid awards have been made to their account and details how the student may view those awards. Before the July 1st deadline each year, each student-athlete signs and dates the Statement of Athletic Financial Aid and this statement is forwarded and maintained in the Athletics Compliance office. This effort is coordinated by the Assistant Compliance Director (Jackie Babich). Student-athletes (as are all undergraduate students) are assigned to a Financial Aid advisor by the first letter of their last name. The Associate Director of Financial Aid for Scholarships and Employment (Mary Beard) serves as a resource to the financial aid advising staff on matters affecting financial aid for student-athletes and may provide financial aid advising to student-athletes as needs dictate.

All outside scholarships - awards that emanate from organizations or institutions outside the University - for student-athletes are forwarded to the Assistant Director of Financial Aid for Scholarships and Fiscal Operations (Jaynell Dalby). Ms. Dalby notifies the student that a check has been received and forwarded to Athletics for approval. Ms Dalby also notifies Jackie Babich, Assistant Compliance Director, that a check has been received. In turn, Ms Babich contacts the awarding agency and forwards documents to the agency for their completion. These documents are used to determine if the student-athlete is eligible to receive the offered award. Subsequent to the receipt of required documentation, Ms. Babich, if awarding is approved, sends notice to Ms. Dalby. Ms Dalby then awards the scholarship to the student's financial aid account.

4) The NCAA Division I Academic Performance Program (APP)

APP Process is comprised of these steps: APP scoring, based upon retention and eligibility values, needs to be determined for all students who received athletic financial aid for the academic year. Eligibility values come from the eligibility certification process and retention values come from the students' enrollment records. This process is done by Registrar staff (David Bell). Manual review of the data is done by Registrar staff (David Bell and Joe Papari) and Athletic Department staff (Broadus Whiteside and Koni Daws). Once the data is manually reviewed and updated, Registrar staff (David Bell) exports it to the APP secure website.

9. Indicate by clicking "yes" or "no" by the areas below, whether the institution has written policies and step-by-step procedures that include assignment of specific responsibilities pertaining to rules compliance. Please note, all policies and procedures must be available during the evaluation visit.

	Yes	No
Initial-eligibility.	X	
Continuing-eligibility certification.	X	
Transfer-eligibility certification.	X	
Academic Performance Program.	X	
Financial aid administration.	X	
Recruiting.	X	
Camps and clinics.	X	
Investigations and self-reporting of rules violations.	X	
Rules education.	X	
Extra benefits.	X	
Playing and practice seasons.	X	
Student-athlete employment.	X	
Amateurism.	X	

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- 10.** Describe how the institution's written compliance policies and procedures are communicated on an annual basis to athletics department staff and individuals outside the athletics department with rules compliance responsibilities.

During the annual staff meeting, all Athletics Department staff receive a formal presentation from the Senior Associate AD for Compliance. During this meeting, the website, which includes all policies and procedures, is showcased. The username and password are provided so that coaches and staff have access to all forms and policies. In addition, the "Compliance Policies and Procedures Manual" is highlighted on the website. The Compliance Office also distributes newsletters and regular electronic reminders (Zen moments). Similarly, the "Policies and Procedures Manual" is made known to those outside of Athletics at campus meetings: for example at a recent Athletic Council meeting, the Senior Associate AD showed the manual to all committee members. When applicable, these same policies and procedures are also printed and distributed at meetings with those outside the Athletics Department.

- 11.** Describe the institution's rules-education efforts for all individuals associated with the athletics department, including the frequency and topics reviewed with each of the following groups:

- a. Boosters;
- b. Student-athletes;
- c. Athletics department staff;
- d. Coaches;
- e. Faculty; and
- f. Institutional staff outside the athletics department.

- a. Boosters;

Boosters receive a compliance guide to eligibility through the Mustang Club and the Letterman's Association. The guide is also mailed to all season ticket holders for football, men's basketball, and women's basketball. Boosters have direct access to compliance staff members through email set up on the website, along with in-person contact during selected athletic events. Topics include how a person triggers booster status, NCAA penalties for violations of booster regulation, recruiting. Any question received from a booster is treated like an interpretation: documented and catalogued.

- b. Student-athletes;

Student-athletes attend a mandatory fall compliance meeting with Compliance Staff. At this meeting, the Student Athlete Handbook is distributed. PowerPoint presentation covers eligibility, extra benefits, policies & procedures, financial aid, and recruiting. This meeting is replicated in the spring and touches on subjects of summer school, outside competition, amateurism, and any other topics deemed necessary by the Compliance Staff. SAs have a special area on the compliance website where policies are highlighted and educational information is given pertaining to NCAA rules. SAAC is provided legislative updates and is tasked with distributing the information to the rest of the teams. The Compliance Staff also provides presentations about issues such as gambling (outside speakers utilized). Finally, SAs have the ability to view compliance newsletters via email through the SAAC and the compliance website.

- c. Athletics department staff;

Athletics Department staff members receive regular electronic compliance reminders (Zen Moments); receive compliance newsletters, and a proactive trivia game given to the non-coaching staff. Members have access to the compliance blog and to a password protected website that contains all policies and procedures. They also receive a hard copy of compliance newsletter. They have access to open-door communication with compliance staff. Interpretation requests from staff are catalogued and treated as any other interpretation.

- d. Coaches;

Coaches receive regular compliance reminders (Zen Moments) and receive compliance newsletters. They have access to the compliance blog and to password protected website that contains all policies and procedures. They also receive a hard copy of compliance newsletter. They have access to open-door communication with compliance staff. Interpretation requests from coaching staff are catalogued and treated as any other interpretation. The Senior Associate AD for Compliance presents on hot topics in compliance at the head coaches' monthly lunch meeting.

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Additionally, the Compliance Office distributes a proactive compliance trivia game to non-coaching staff members (such as directors of operations).

e. Faculty;

Faculty have access to compliance website. Athletic Council faculty members are given frequent compliance updates to distribute to fellow faculty members. Additionally, interpretative questions from faculty are catalogued and treated as any other type of question. Faculty members have access to open door communication with the compliance staff. Faculty members who fall into other categories (e.g. boosters) also receive information regarding those areas.

and

f. Institutional staff outside the athletics department

Institutional staff outside the Athletics Department have access to compliance website. Staff who serve on the Athletic Council are given frequent compliance updates to distribute to fellow faculty members. Additionally, interpretative questions from staff are catalogued and treated as any other type of question. Staff have access to an open door communication with the compliance staff. Staff who fall into other categories (e.g. boosters) also receive information regarding those areas. Various University staff members (e.g. enrollment services and A-LEC) have frequent and often daily communication with the compliance staff. The Compliance Office holds annual rules orientation/informational meetings with departments outside of athletics (e.g. academic advisors, A-LEC, RLSH, enrollment services). Staff members from both Enrollment Services and the A-LEC have attended summer C-USA workshops focusing on compliance issues related to their jobs. David Bell, from the Office of the Registrar, attends summer compliance rules seminars.

- 12.** Provide the name(s) and affiliation(s) of the individual(s) responsible for conducting the institution's rules-compliance evaluation. Further, describe the process used in selecting this authority outside the athletics department to ensure the individual(s) does not have day-to-day compliance responsibilities for the institution's athletics department and is knowledgeable of NCAA legislation and rules-compliance practices. Also, provide the date of the institution's most recent rules-compliance evaluation.

The most recent compliance review was in the Fall of 2006 and was conducted by THE Compliance Group (Chuck Smrt, founder). The Compliance Group was contracted through the agency of C-USA. Chuck Smrt and Beth Chapman visited SMU on October 3 and 4, 2006. Both hard and electronic copies of the evaluation, dated October 31, 2006, are available for review.

- 13.** The rules-compliance evaluation must determine that the institution's compliance practices are engaged and functioning and must include the required areas listed below. Indicate by clicking "yes" or "no" which areas were included in the institution's most recent rules-compliance evaluation.

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	Yes	No
Governance and organization.		X
Initial-eligibility certification.	X	
Continuing-eligibility certification.	X	
Transfer-eligibility certification.	X	
Academic performance program.		X
Financial aid administration, including individual and team limits.	X	
Recruiting (e.g., official visit, etc.).	X	
Camps and clinics.	X	
Investigations and self-reporting of rules violations.	X	
Rules education.	X	
Extra benefits.	X	
Playing and practice seasons.	X	
Student-athlete employment.	X	
Amateurism.		X
Commitment of personnel to rules-compliance activities.		X

14. Describe the process used by the institution during the development of the self-study to review the most recent rules-compliance evaluation to determine if corrective actions are necessary. In addition, identify the individuals involved with this review.

The three members of the Compliance Office (Jeff Konya, Broadus Whiteside, and Jackie Babich) reviewed the material with the Athletics Director's Senior Management Team and began an on-going process of accounting for these findings, recommending strategies for improvement, and implementing changes. Hard copy summaries of this process are available for review by the certification team.

15. Identify relevant corrective actions planned as a result of the process described in Self-Study Item No. 14 or actions previously planned or implemented from the most recent rules-compliance evaluation. Provide:

- a. The plan or actions implemented; and
- b. The date(s) of actions taken or specific timetable for completion of the plan(s).

University Response for Reviewing of Recruiting Activities: After taking the recommendation under advisement, the Office of Student-Athlete Services/Compliance Office has made changes in the process of reviewing recruiting activities. Beginning January 2007, all recruiting travel reimbursements must be submitted to the Director of Compliance for review before the reimbursement takes place. The practice was put in place as a means of determining the veracity of the contact and evaluation information that coaches submitted. The travel reimbursement information requested on the form includes the site of recruiting activity, purpose, and date of the trip. Receipts must be included with the reimbursement as a means to validate the recruiting trip. Beginning January 2007, the Office of Student-Athlete Services/Compliance has given each sport the option on how to submit telephone calls. Each sport had to submit the new process to the Director of Compliance for approval before their new system could be put in place. This is a change from previous years where each coaching staff was required to input all telephone calls in Compliance Assistance Software. Some coaches found the software to be problematic and not user friendly. Two to three sports are randomly chosen monthly to compare the information submitted for review to their cell phone records. (The compliance staff will recommend to Mary McElroy, the new Compliance Director who reports on May 1, that phone logs are checked monthly for every sport.)

University Response for Initial and Continuing Eligibility Area: After taking the recommendation under advisement, the staff members Office of Student-Athlete Services/Compliance in consultation with staff members from the Office of the Registrar have codified into a central, shared document the policies and procedures for athletics certification. These policies and procedures for certification initial, transfer, and continuing eligibility are described in detail

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elsewhere in this certification report(see Academic Integrity - Academic Standards Items 10, 11 and 12). This process began in Spring 2007, and refinements continue.

University Response for the Rules Education Area: In Spring 2007, the training and policies handbook prepared for all Altshuler Learning Enhancement Center tutors began including information specifically explaining what kinds of activities and services were and were not permissible according to NCAA guidelines pertaining to extra benefits. Also in Spring 2007, the A-LEC's Student Academic Services team (four, full-time staff members) began meeting regularly with staff from the Athletics Department's Compliance Office. Rules education and clarification have been central components at these meetings.

Beginning in Fall 2007, the Office of Student-Athletes Services and Compliance began compiling and revising materials necessary for a complete departmental manual of policies and procedures. The document-in-progress is posted on the departmental website and highlighted at full departmental meetings. The completion and distribution of this manual constitutes the Plan for Improvement cited below.

University Response for Investigative and Self-Reporting Process Area: Beginning in Spring 2007, the policy outlined below was developed for reporting and investigating violations. The Associate AD for Student-Athlete Services/Compliance has as-needed meetings with Director of Athletics, the FAR, and the VP for Legal Affairs about potential secondary and major violations. The Associate AD also has quarterly meetings with President of University where he is informed of compliance updates.

The NCAA Constitution requires, as an obligation of membership, and institution to monitor its athletics programs to assure compliance with NCAA rules and to identify and report to the NCAA instances in which compliance has not been achieved. To operate within the letter of NCAA rules and fulfill this membership obligation, Southern Methodist University ('hereafter SMU') has established a stringent policy regarding violations.

REPORTING A VIOLATION: Any individual (e.g., athletics department staff member, student-athlete, university employee, representative of the university's athletics interest, members of the community) upon learning of a violation or suspected violation of NCAA regulations shall immediately report such occurrence to the Office of Student-Athlete Services. Such report may be given in writing or verbally.

INVESTIGATION PROCEDURES: Upon receipt of the report, the Office of Student-Athlete Services will evaluate the allegation. If the Office of Student-Athlete Services can confirm that a violation has occurred, such violation will be self-reported by the Office of Student-Athlete Services to the C-USA and the NCAA. For unconfirmed violations, the following procedures will be followed:

1. The Office of Student-Athlete Services will notify the Director of Athletics and the Faculty Athletics Representative that a potential violation has been reported and that an investigation will commence. The Compliance Coordinator is responsible for conducting the appropriate investigation.
2. The Athletics Director, at his/her discretion, will notify those persons involved with the alleged violation that an investigation will be conducted.
3. During the investigation, the Office of Student-Athlete Services shall maintain a written record of all relevant information. The record shall include the following:
 - a. Date that the alleged violation was reported to the Office of Student-Athlete Services and who reported the violation.
 - b. Detailed summary of the nature of the alleged violations, including the names of all persons involved.
 - c. Chronology of actions taken by the University in the investigation of the alleged violation.
 - d. Rationale for concluding whether the allegation was or was not determined to be violation of NCAA regulations.
4. The Office of Student-Athlete Services' findings will be reviewed and evaluated by the Director of Athletics, the Faculty Athletics Representative, and the Associate Director of Athletics for Compliance will determine if a violation occurred. If necessary, additional assistance may be obtained from the C-USA or other authoritative source.
5. If it is determined that a violation did occur, the Director of Athletics, the Faculty Athletics Representative, and the Associate Director of Athletics for Compliance will determine what, if any, corrective action will be taken concerning the person(s) involved in the violation. Other university officials may also be consulted when warranted.
6. The violation will then be self-reported to C-USA and the NCAA by the Office of Student-Athlete Services. The self-report will provide at least the following information:
 - a. Statement of action including date and location.
 - b. Identification of involved student-athletes, coaches, prospective student-athletes, administrators or other persons.
 - c. Means by which the violation was disclosed or otherwise made known.
 - d. Reasons the violation occurred
 - e. Institution's position as to whether a violation occurred and citation of specific legislation it believes has been violated.
 - f. Corrective action(s) taken by the institution.
 - g. Mitigating circumstances, if appropriate
7. The following persons will be copied on all self-reports made to the NCAA: Director Athletics, Faculty Athletics

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Representative, Associate Athletic Director for Compliance and any involved coach(s) or other Department of Athletics staff member.

8. The Office of Student-Athlete Services will provide the President, the Faculty Athletics Representative and the Director of Athletics with a yearly written summary of all self-reported violations and all subsequent NCAA responses/actions.

POLICY ON POTENTIAL SERIOUS/MAJOR VIOLATIONS OF NCAA RULES

Procedures related to serious violations.

1. The Office of Student-Athlete Services, after gathering initial information, notifies the President, SMU Legal Counsel, Faculty Athletics Representative, and Athletics Director.

2. The Infractions Committee shall be formed consisting of the Faculty Athletics Representative, Athletics Director, Executive Assistant Director of Athletics, Associate Athletic Director for Compliance, and SMU legal counsel. The committee is charged with determining the process and timeline for the investigation and the review of the results of the investigation.

3. The internal investigation is conducted by the Office of Student-Athlete Services.

4. If there is evidence of a major violation, C-USA and/or NCAA is notified by the Athletics Director.

5. Should the investigation determine that a major or secondary NCAA violation has occurred, the range of institutional sanctions which may be imposed are identified by the committee. The Athletics Director makes the determination of institutional sanction with the concurrence of the SMU Legal Counsel and Associate Director Athletics for Compliance. In the event of a complaint against a student-athlete, the Dean of Student-Life will be consulted. Should there be consideration of staff being disciplined, the Subcommittee of the Athletics will be consulted and a report made to the Athletics Committee, consistent with university policies.

6. The violation is self-reported to and the NCAA by the Office of Student-Athlete Services.

7. The disposition of the violation is reported back to individuals involved consistent with university policies.

8. Official statements, when necessary, are drafted by the media relations director and an appropriate spokesman for the SMU campus is appointed by university President, SMU Legal Counsel, and Director of Athletics.

16. Submit a copy of the report from the institution's most recent rules compliance evaluation. [Please use the file upload link contained within this question to submit a copy of the institution's most recent rules compliance evaluation.]

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17. If the institution has developed a plan for improvement(s) for Operating Principle 1.2, describe the institution's efforts to ensure the plan for improvement was developed through a process involving broad-based participation and has received formal institutional approval.

No plans for improvement were developed.

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

- Job descriptions for individuals inside the athletics department and individuals outside the athletics department who are involved in rules-compliance activities.
- Contracts or letters of appointment for individuals inside the athletics department and individuals outside the athletics department who are involved in rules-compliance activities.
- Performance evaluation criteria for individuals inside the athletics department and individuals outside the athletics department who are involved in rules-compliance activities.
- Rules compliance policies and procedures for all of the following areas: initial eligibility certification, continuing eligibility certification, transfer eligibility certification, academic performance program, financial aid administration, recruiting, camps and clinics, investigations and self-reporting of rules violations, rules education, extra benefits, playing and practice seasons, student-athlete employment and amateurism.
- Documentation required by the institution to maintain compliance with NCAA rules (e.g., compliance manual, samples of recruiting logs, sample of eligibility files).

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- Documentation related to secondary rules violations for the last three years and the institutional response to these violations.
- Conference manual.
- Athletics department policies and procedures manual.
- Documentation related to rules education program for boosters, student-athletes, athletics department staff, coaches, faculty and institutional staff outside the athletics department (e.g., meeting agendas).

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Operating Principle

2.1 Academic Standards

Self-Study Items

1. List all "conditions for certification" imposed by the Committee on Athletics Certification in its second-cycle certification decision (if any) as they relate to Operating Principle 2.1 (Academic Standards). In each case, provide:

- a. The original "condition" imposed;
- b. The action(s) taken by the institution;
- c. The date(s) of the action(s); and
- d. An explanation for any partial or noncompletion of such required actions.

Please note, the institution is not required to respond to opportunities for enhancement developed by the peer-review team unless those same items were adopted as by the Committee on Athletics Certification.

1. Condition

No condition was imposed.

Action

Action Date

Explanation for partial or non-completion

2. List all actions the institution has completed or progress it has made regarding all plans for improvement/recommendations developed by the institution during its second-cycle certification process as they relate to Operating Principle 2.1 (Academic Standards). Specifically include:

- a. The original plan;
- b. The action(s) taken by the institution;
- c. The date(s) of the action(s); and
- d. An explanation for any partial or noncompletion of such plans.

Please note, the institution will not be required to fulfill an element of a second-cycle plan if the element does not affect conformity with a current operating principle.

1. Original Plan

No plans were developed.

Action

Action Date

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Explanation for partial or non-completion

3. Describe any additional plans for improvement/recommendations as they relate to Operating Principle 2.1 (Academic Standards) developed by the institution since the second-cycle certification decision was rendered by the Committee on Athletics Certification, including any plans or recommendations developed through the institution's involvement in the Division I Academic Performance Program (APP) Data Review process, if applicable. Provide:

- a. The additional plan;
- b. The action(s) taken by the institution; and
- c. The date(s) of the action(s).

SMU was not selected for the APP Data Review. However, in the second-cycle certification process, the SMU Steering Committee offered two recommendations. The first pertained to making the Degree Progress Reports (DPR) for student-athletes available to the appropriate individuals with the Altshuler Learning Enhancement Center (A-LEC) and the Department of Athletics. This recommendation was implemented in December 2005. Specifically, the Student Athletic Academic Services team (SAAS) in the A-LEC and the SWA can now, via the SMU computerized administrative system, gain access to the DPRs. These may be viewed online as well as printed in hard copy.

The second recommendation was to institute a campus-wide system of priority registration. In this recommendation, it was emphasized that such a system should not be adopted for student-athletes alone. In December 2005, a system meeting this criterion was implemented at SMU. The following is a summary provided by the Office of Registrar.

Students will be given priority enrollment times as follows:

Priority Group #1 - Students with physical disabilities limiting mobility will be given appointments preceding all other undergraduates

Priority Group #2 - Seniors that are students with learning disabilities; that are majoring or pre-majoring in theatre, music and dance; or, that are student-athletes will be given appointment times preceding all other seniors and all other undergraduate students, except for students in the Priority Group #1

Priority Group #3 - Juniors, sophomores and freshmen that are students with learning disabilities; that are majoring or pre-majoring in theatre, music and dance; and that are student-athletes, will be given appointment times after all seniors but preceding all other undergraduates.

In order for a priority enrollment appointment to be assigned, the student must be assigned to the appropriate Student Group in Access.SMU by the appropriate office:

Theatre, music and dance majors and pre-majors - Meadows School of the Arts records office or their designee.

Students with physical disabilities and learning disabilities - Office of Student with Disabilities.

Student-athletes - Athletics Department.

Students in a priority group will all be given the same appointment time, or appointments will be randomly distributed among a few appointment time periods to avoid overloading the system.

4. Describe the process by which student-athletes are admitted to your institution and identify the agencies vested with this responsibility. In what ways (if any) do the process and/or criteria used for the admission of student-athletes differ from the process for admitting students generally? Be specific and 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.

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The process by which student-athletes are admitted to SMU is detailed in "Admissions Procedures for Student Athletes." These policies were revised during the 2007-2008 academic year and approved by the Athletic Council, the Faculty Senate, and the Office of the Provost. As the document states, admission of student athletes at SMU is governed by two basic principles: that "there is a reasonable probability that they will graduate within the standard four- to five-year period," and that "as a group, their graduation rate, over time, should mirror, or surpass, the graduation rate of the general student body." The admissions criteria for student-athletes are the same as those for other students; these include high school grades, strength of curriculum, standardized test scores, and extracurricular achievement, among other factors. Procedurally, the admissions process for student-athletes is essentially the same as for other students, with one significant exception: academically "at-risk" student-athletes (defined as those with an SAT score below 900 OR a high school GPA below 2.5) are subject to review by the Faculty Athletic Admission Subcommittee of the University Admission Committee. The FAAC consists of five faculty members appointed by the Provost's Office.

The FAAC meets periodically throughout the year. At their meetings, they consider prospective student-athlete files prepared and presented by the Athletic Department, after those files have received a preliminary review by the Office of Admission. No member of the Athletic Department is present during the committee's deliberations, and only faculty vote on the admissibility of prospective student-athletes brought before them. While the Dean of Undergraduate Admission has the authority to overrule the FAAC (as he or she has the final say on all undergraduate admissions decisions at SMU), no such "special admissions" have occurred since the last certification.

Each year, the Athletic Department, in conjunction with the Office of Admission, presents to the Academic Subcommittee of the Athletic Council a comprehensive report on the academic profiles (including composite admissions ratings) of matriculating student-athletes.

- Describe the process by which students who do not meet the institutions standard or normal entrance requirements may be admitted, and identify the agencies vested with this responsibility. This should include any second-level or subsequent review processes or appeals procedures that may be used when students are not automatically admitted because they do not meet the institution's published entrance requirements.

As a selective admission institution, SMU does not have published automatic entrance requirements. Rather, the University practices a holistic review which is uniform in premise for all applicants. All candidates for admission are rated as to acceptability and readiness for college success based upon four broad criteria: (1) rigor of high school curriculum, (2) classroom performance, (3) standardized test scores, and (4) personal interests, talents, and achievements. All candidates are reviewed by professionals in the Admission Office and/or University faculty. An appeals process is open to any unsuccessful applicant.

- Compare and explain any differences between the percentage of first-year student-athletes receiving athletics aid who were admitted through any of the processes described in Self-Study Item Number 5 and the percentage of first-year students in general who were so admitted. Provide these comparative data for the four most recent academic years.

Since SMU does not admit prospective student-athletes who do not meet our standard entrance requirements, no comparison has been performed.

- Compare and explain any differences in the admissions profiles of student-athletes who received athletics aid with the profiles of students in general by submitting the following information for the four most recent academic years: average standardized test scores for first-year student-athletes who received athletics aid (by gender, by racial or ethnic group, and according to the eight sport groups) and for all entering first-year students (by gender and by racial or ethnic group).

Context. In summarizing the data, it is important to emphasize that the general admissions profiles of students at SMU have increased over time. As shown in the table entitled Test Scores By Gender, the average SAT of male students increased from 1227 in 2005-2006 to 1240 in 2008-2009; the average test scores of female students increased from 1204 to 1234 over the same time period. In the table entitled Test Scores by Racial and Ethnic Group, the change in admissions profiles is evident for the three relevant groups. The average test scores of white

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students increased from 1234 in 2005-2006 to 1258 in 2008-2009; the test scores of black students increased from 1050 to 1119 and from 1048 to 1114 for non-resident aliens.

Male Students v. Male Student-athletes. There is no dramatic change in this comparison for the years included in the study. In 2005-2006, there was a 246 point difference (1227 v. 981). Despite the improving admissions profiles of male students, the difference between male students and male student-athletes dropped to 228 in 2008-2009 and the average SAT of male student-athletes grew to 1012.

Female Students v. Female Student-athletes. The average SAT score of female student-athletes admitted to SMU exceeds 1000 for all years of the study. As with the male comparison, there is no dramatic change when we compare the averages for female students to female student-athletes over this period.

Female v. Male Athletes. The following compares the SAT scores of male and female student-athletes:

Year	Female— Stdnt	Male— Stdnt	Difference
2005-2006	1079	981	98
2006-2007	1071	976	95
2007-2008	1117	940	177
2009-2009	1082	1012	70

Female student-athletes at SMU have marginally higher SAT scores. In 2008-2009, however, both groups of student-athletes exhibit average SATs over 1000 and the differences between the groups has declined to 70 points.

Ethnicity. The following is based upon the information presented in the table entitled Test Scores by Racial and Ethnic Group. As the following illustrates, among all admissions profiles, the average SAT scores of white student are higher than those for blacks.

Year	White— Stdnts	Black— Stdnts	Difference
2005-2006	1234	1050	184
2006-2007	1231	1059	178
2007-2008	1237	1025	212
2008-2009	1258	1119	139

The equivalent table for white and black student-athletes is:

Year	White— Stdnt	Black— Stdnt	Difference
2005-2006	1091	903	188
2006-2007	1093	888	205
2007-2008	1112	852	260
2008-2009	1110	949	161

The comparison of these tables demonstrates that the differences between black and white student-athletes are quite similar to the difference between white and black students admitted to SMU. In both cases, the difference between average SAT scores of white and black students reached its low point in 2008-2009.

Non-Resident Aliens. This segment of the data is summarized below:

Year	NR Alien— Stdnts	NR Alien— Stdnt-Athl	Difference
2005-2006	1048	886-(n=7)	162
2006-2007	1061	865-(n=4)	196
2007-2008	1059	890-(n=5)	69
2008-2009	1114	1032-(n=10)	82

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As with the previous comparison, the difference between these groups is not dramatic. While the number of NR Alien student-athletes is not large, the average SAT scores of these student-athletes has increased to reach 1032 in the 2008-2009 cycle.

(Please note: In the ethnic group chart data for Hispanic and Asian student-athletes were excluded because the number of reportable student-athletes was 2 or less. In the sport chart data for student-athletes in women's basketball and women's track were excluded because the number of reportable student-athletes was 2 or less.)

8. Describe the institution's specific academic support programs to ensure acclimation, academic success and retention of first-year student-athletes with special academic needs and first-year student-athletes admitted through any of the processes described in Self-Study Item Number 5.

A member of the Altshuler Learning Enhancement Center (A-LEC) Student Athlete Academic Services (SAAS) team is a non-voting member on the faculty athletic admissions committee. This permits all counselors to have early information for students who have been identified as needing more academic assistance. In the summer of 2008, the A-LEC partnered with the Simmons School of Education to pilot courses that would assist students identified as having lower scores in ENGL or MATH high school courses or SAT/ACT areas. Three courses were designed to offer better preparation for the demands of college courses. EDU 1306, Developmental Mathematics is course designed to assist students who may want to pursue majors requiring calculus. The math class was a "pre pre" calculus course designed to best advise students early if this was an academic pursuit they could likely attain.

EDU 1307 Essentials of College Writing emphasized reading comprehension strategies appropriate to developing university-level thinking and communication. Students will concentration on mastering strategies for purposeful and effective sentence and paragraph construction. Students will review editing and revision strategies, as well as correctness in grammar and punctuation.

EDU 1308 Psychology of Learning, offered a theoretical overview of how human learning occurs and a framework for applying these concepts in a university setting for personal and academic success.

Syllabi for these courses are available and student-athletes are being tracked for their successes in subsequent math and English courses.

All entering student-athletes took at least one of the pilot courses and student-athletes who were identified as needing more academic assistance were enrolled in two of the courses. Along with the coursework, new student-athletes began meeting with the academic counselor assigned to their sport and to begin utilizing these meetings to discuss study skills, working with professors, managing time, etc. The teams most affected were football, men's and women's basketball and women's volleyball. Student-athletes who participated were taking courses that would offer a realistic impression of college.

Before the courses began, the A-LEC held an orientation. Class expectations, services available, and assessments were reviewed. All student-athletes were given the LASSI (Learning and Study Strategies Inventory) to identify how they felt academically prepared in various areas. The Nelson-Denny was also given to identify reading rate and comprehension. This allowed for better course placement in terms of summer and fall scheduling.

During the weekly meetings with SAAS counselors, Learning Differences may become apparent. The counselors have a resource in the A-LEC with a Learning Specialist on staff. She has served as a consultant many times and works with SMU Counseling and Psychiatric Services to refer students who have never been assessed. If a student-athlete has limited resources, the counselor can request fee support through the NCAA enhancement fund managed in the A-LEC. Other services, similar to those in full fall or spring terms, are also mandated in summer programs. Expected amounts of study hall hours and work with individual tutors are outlined. Student-athletes begin to learn how to manage the work required for college coursework.

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9. For the four most recent academic years, assess and evaluate acclimation, retention and the academic success of student-athletes with special academic needs [as defined by the institution (e.g. at-risk, learning disabled)] and those student-athletes admitted through any of the processes described in Self-Study Item Number 5. If necessary, the institution must develop plans for improvement to ensure acclimation, retention and academic success for these student-athletes.

If the institution does not employ a special, or alternate, admissions process, the institution must assess and evaluate acclimation, retention and the academic success of student-athletes in the lowest (i.e., fourth) quartile of the institution's general student academic profile or for an alternate group defined by a different benchmark (e.g., quintile) typically used by the institution. If necessary, the institution must develop plans for improvement to ensure acclimation, retention and academic success for these student-athletes.

All SMU students are given an admissions rating (ADR). For all incoming students, not just student-athletes, this has been consistently the best indicator of academic success for the first academic year of study. Each year, the A-LEC compares the admissions rating of the entire first year class with that of the first year student-athlete class. Data are compared for GPA successes and also to establish a review of team composition of at-risk students. Students are considered "at-risk" if the ADR is 5.5 or less. ADR is assessed only after all admission materials are reviewed such as grades, test scores, academic reputation of high school, courses selected, personal essay, and extracurricular involvement. The ADR is not known at the time a prospective student-athlete is first reviewed in the Office of Admission and referred to the faculty athletic admissions committee. Usually, student-athletes whose admission materials are reviewed by the faculty athletic admission committee would have final admissions ratings in the at-risk category. Transfer students are not given an ADR.

A comparative analysis of two groups that entered in 2005 ? student-athletes and all students ? with similar admissions ratings (ADR of 5.5 or less) indicates that the persistence and academic performance for student-athletes is similar to that of all students. Specifically, student-athletes who matriculated to the University in the fall of 2005, achieved a 2.59 cumulative GPA by the end of their fourth semester compared to a 2.67 for all students. Both groups had completed 52 credit hours at the end of that period. The persistence of student-athletes for this period was slightly higher with 82% retention compared to 81% for all students. Interestingly, the average cumulative GPA for the student-athletes after their sixth semester rose to 2.63 compared to 2.68 for all students with both groups having completed an average of 81 credit hours.

Similar results can be seen from the students who matriculated in fall of 2006. For these groups student-athletes achieved an average cumulative GPA of 2.49 after four semesters while the corresponding GPA for all students was 2.60. Again the number of credit hours taken was 52 for both groups but the persistence of student-athletes was somewhat higher at 82% compared to 79% for all students.

10. List the step-by-step sequence of actions taken by particular individuals on the institution's campus to certify initial eligibility for student-athletes. In addition, provide name(s) and title(s) of the individual(s) who has ultimate responsibility in determining student-athletes' initial eligibility.

The Athletics Department (Broadus Whiteside, Director of Athletic Compliance) enters student-athletes into CAi (NCAA Compliance Assistance internet) and into student groups set up by sport in ACCESS.SMU (Institutional student administration database). The Athletic Department staff (Broadus Whiteside, Director of Athletic Compliance) then sends the Student Athlete Statement form, historical form, and drug testing consent forms, and NCAA Clearinghouse form to the Manager of Athletic Certification (Dave Bell) who, in turn, enters into CAi the financial aid and practice dates and confirms the forms have been received by checking the appropriate boxes in CAi. The Manager of Athletic Certification (Dave Bell) takes into account any exceptions approved by the NCAA that are provided by the athletic department for non-qualifiers and partial qualifiers. The Athletic Department (Broadus Whiteside, Director of Athletic Compliance and Koni Daws, Senior Women's Administrator) review transcripts of National Letter of Intent signees for Football and Men's and Women's basketball.

The Manager of Athletic Certification (Dave Bell) runs a process to load data from CAi and the first term enrollment data from ACCESS.SMU (verifying full time enrollment) for each student-athlete into tables that are used to display relevant eligibility data for the student-athletes on the Academic Eligibility Update page. The Manager of Athletic Certification (Dave Bell) runs a process that uses the data from the Academic Eligibility Update page to determine

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each student-athlete's eligibility status. If the process determines that a student-athlete is not eligible, then a manual review is done, by Manager of Athletic Certification (Dave Bell), of the student-athlete's eligibility data. Once the eligibility status for all student-athletes for a sport is determined the CUSA Eligibility Reports listing all eligible student-athletes for the sport is created by running AE Certification Report process. This report is created by Manager of Athletic Certification (Dave Bell). The Manager of Athletic Certification (Dave Bell) is responsible for making the eligibility determination. The final work product/ eligibility report must be signed by Manager of Athletic Certification (Dave Bell); Director, Office of the Registrar, Division of Enrollment Services (Joe Papari); and Faculty Athletics Representative (Paul Rogers).

- 11. List the step-by-step sequence of actions taken by particular individuals on the institution's campus to certify transfer eligibility for student-athletes. In addition, provide name(s) and title(s) of the individual(s) who has ultimate responsibility in determining student-athletes' transfer eligibility.**

The Director of Athletics Compliance (Broadus Whiteside) first applies NCAA transfer rules to each transfer student-athlete to determine the individual's transfer status (i.e., 2>4>4>4,4>2>4). There is preliminary evaluation of the transfer's transcripts in the Admissions Office by senior admissions personnel (Nancy Peterson, Associate Dean, Bryon Lewis, Assistant Director); the transcripts of junior college transfers are officially evaluated by the individual(s) in each school that is charged with transfer credit evaluation (Jennifer Haden, Associate Dean for Student Records, Dedman College of Humanities and Sciences; Betsy Willis, Director of Advising & Student Records, Lyle School of Engineering; Chuck Donaldson and Janet Stephens, Degree Counselors, Meadows School of the Arts; Barbara Mohrle, Director of BBA Advising & Records, Cox School of Business; Kathryn Barrett, Teacher Education Adviser, Simmons School of Education and Human Development.)

The Athletic Department (Broadus Whiteside, Director of Athletic Compliance) enters student-athletes into CAi and into student groups set up by sport in ACCESS.SMU. The Compliance Officer (Broadus Whiteside, Director of Athletic Compliance) then sends all necessary documentation including a historical form, which sets out the transfer student's eligibility status, the Student Athlete Statement form, historical form, and drug testing consent forms to Manager of Athletic Certification (Dave Bell) who, in turn, enters into CAi the financial aid and practice dates and confirms the forms have been received by checking the appropriate boxes in CAi. The Manager of Athletic Certification (Dave Bell) reviews all information provided and requests any necessary additional information. Further, the Manager of Athletic Certification (Dave Bell) determines if the student-athlete meets NCAA transfer eligibility requirements (hours, GPA, progress towards degree). The Athletic Department (Broadus Whiteside, Director of Athletic Compliance) determines if the student-athlete has met all non-academic transfer eligibility rules. The Registrar's Office staff, using the student-athlete's official transcript, enters the student-athlete's transfer course work in ACCESS.SMU and asks the Associate Dean of Dedman College to evaluate the transfer work and approve applicable transfer course work.

The Manager of Athletic Certification (Dave Bell) verifies that transfer hours, GPA, and progress toward degree rules are met for each transfer student-athlete taking into account any exceptions approved by the NCAA that are provided by the athletic department.

The Manager of Athletic Certification (Dave Bell) runs a process to load data from CAi and the transfer enrollment data from ACCESS.SMU for each Student-athlete into tables that are used to display relevant eligibility data for the student-athletes on the Academic Eligibility Update page. The Manager of Athletic Certification (Dave Bell) runs a process that uses the data from the Academic Eligibility Update page to determine each student-athlete's eligibility status. If the process determines that a student-athlete is not eligible, then a manual review is done, by Manager of Athletic Certification (Dave Bell), of the student-athlete's eligibility data. Once the eligibility status for all student-athletes for a sport is determined the CUSA Eligibility Reports listing all eligible student-athletes for the sport is created by running AE Certification Report process. This report is created by Manager of Athletic Certification (Dave Bell). The Manager of Athletic Certification (Dave Bell) is responsible for making the eligibility determination. The final work product/ eligibility report must be signed by Manager of Athletic Certification (Dave Bell); Director, Office of the Registrar, Division of Enrollment Services (Joe Papari); and Faculty Athletics Representative (Paul Rogers).

- 12. List the step-by-step sequence of actions taken by particular individuals on the institution's campus to certify continuing eligibility for student-athletes. In addition, provide name(s) and title(s) of the individual(s) who has ultimate responsibility in determining student-athletes' continuing eligibility.**

The Athletics Department (Broadus Whiteside, Director of Athletic Compliance) enters student-athletes into CAi and into student groups set up by sport in ACCESS.SMU. The Athletic Department staff (Broadus Whiteside, Director of Athletic Compliance) then sends the Student Athlete Statement form, historical form, and drug testing consent

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forms to Registrar staff (David Bell) who, in turn, enters into CAi the financial aid and practice dates and confirms the forms have been received by checking the appropriate boxes in CAi.

The Manager of Athletic Certification (Dave Bell) runs a process to load all courses completed for each student-athlete for the term. Once the process is run, all of the student-athlete's courses along with the grade received in the course is displayed on the Degree Progress Certification page in ACCESS.SMU. The Dean's Office of each school runs a degree progress certification report for each student-athlete to determine if the courses the student-athlete took were applicable towards degree. The Dean's Office for each school uses the Degree Progress Certification page to certify progress toward degree for a student-athlete by placing a check in a checkbox next to each course on the page that counts towards degree. They also enter the total hours the student-athlete has earned towards degree through the end of the term. Once the progress towards degree certification is completed for all student-athletes, the Manager of Athletic Certification (Dave Bell) reviews the data for completeness and locks the data from further update.

The Manager of Athletic Certification (Dave Bell) runs a process to load data from CAi and enrollment information from ACCESS.SMU for each student-athlete into tables that are used to display relevant eligibility data for the student-athletes on the Academic Eligibility Update page. The Manager of Athletic Certification (Dave Bell) runs a process that uses the data from the Academic Eligibility Update page to determine each student-athlete's eligibility status. If the process determines that a student-athlete is not eligible, then a manual review is done, by Manager of Athletic Certification (Dave Bell), of the student-athlete's eligibility data. Once the eligibility status for all student-athletes for a sport is determined the CUSA Eligibility Reports listing all eligible student-athletes for the sport is created by running AE Certification Report process. This report is created by Manager of Athletic Certification (Dave Bell). The Manager of Athletic Certification (Dave Bell) is responsible for making the eligibility determination. The final work product/ eligibility report must be signed by Manager of Athletic Certification (Dave Bell); Director, Office of the Registrar, Division of Enrollment Services (Joe Papari); and Faculty Athletics Representative (Paul Rogers).

- 13. Analyze, explain and address any differences between the most recent four-class average Federal Graduation Rate for student-athletes who received athletics aid and the most recent four-class average Federal Graduation Rate of all students.**

If the most recent four-class average Federal Graduation Rate for student-athletes is lower than the most recent four-class average Federal Graduation Rate for all students, the institution must develop a plan for improvement to address the issue.

At SMU, the calculated Federal Graduation Rate for student-athletes receiving financial aid exceeds the graduate rate of all students by a margin of 76% to 72%. Because student-athletes graduate at a higher rate than the general students, no plan of improvement is required.

- 14. Analyze, explain and address any differences between the most recent four-class average Federal Graduation Rate for all student-athlete subgroups (i.e., team, gender, ethnicity, ethnicity within team) and the most recent four-class average Federal Graduation Rate for all students, including comparable student-body subgroups (i.e., gender, ethnicity).**

If the most recent four-class average Federal Graduation Rate of a student-athlete subgroup is lower than the most recent four-class average Federal Graduation Rate for all students or comparable student-body subgroup, the institution must develop a plan for improvement to address the issue.

By Sport. According to the data presented in Federal Graduation Rates (FGR) by Sport, SMU student-athletes meet or exceed the graduation rates for all students in six of the seven team categories listed in the table.

The exception is Women's Cross Country and Track where the Team FGR is listed as 43%. However, as shown below, this figure is a result of student-athletes transferring.

Year—Enrolled—Graduated—Transfer &
 —at SMU—From SMU—Eligible at
 —————Next Institution

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1996	2	1	1
1997	2	1	1
1998	1	0	1
1999	4	2	2

The table shows that the graduation rate among those women who enrolled at SMU and did not transfer is 100%. These results also apply to the examination of ethnicity within sport (see below).

By Gender. The data show that there are no gender differences. First, the FGR of male student-athletes and female student-athletes is identical, 76%. Second, the FGR of male student-athletes exceeds the rate for all male students (76% to 70%). Likewise, the FGR of female student-athletes is greater than the rate for all female students (76% to 74%).

By Ethnicity. It should be noted that the data provided in the table entitled Federal Graduation Rates by Racial and Ethnic Group provides the FGRs by ethnicity for male and female student-athletes separately. It does not supply FGRs by ethnicity for a combined male and female category. As a result, the following table compares, for each category of ethnicity, male student-athletes and all male students and then female student-athletes and all female students.

Ethnicity	Male	Male	Female	Female
	Student	Students	Student	Students
	Athletes		Athletes	
White	79%	71%	76%	75%
Black	70%	61%	88%	75%
Hispanic	80%	64%	NA	NA
NR Alien	100%	65%	67%	58%

As the table demonstrates, the FGRs of student-athletes within each grouping exceed the FGRs for the comparable group of non-athletes. There were no entries in the table for Hispanic female student-athletes; in addition, the numbers of student-athletes in the Asian/PI were too small for any reliable analysis (one male in football; one male in men's other sports; one female in basketball; one female in Track/CC).

Ethnicity Within Sport. The breakdown by sport and ethnicity, as shown below, demonstrates that the FGRs of student-athletes exceed the rates for comparable groups of students who are not athletes. The table does not include Women's Track/CC for the reasons noted in the explanation of the FGRs by sport. Because the number of student-athletes is so small, the table does not include Asian/PI in football, Hispanics in football, Asian/PI in women's basketball, and Am. Ind/AN in women's basketball.

Sport	Student	All
	Athletes	Students
Football		
White	79%	71%
Black	69%	61%
Mens Basketball		
White	50%	71%
Black	78%	61%
Mens CC/Track		
White	100%	71%
Black	100%	61%
Other Mens		
White	80%	71%
Hispanic	100%	64%
NR Alien	100%	65%
Womens Basketball		

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White	50%	75%
Black	100%	75%
Womens Other Sports		
White	80%	75%
Black	100%	75%
NR/Alien	100%	58%

The cases of white males and females in the sport of basketball are similar to Womens CC/Track. In the case of Mens Basketball, we have the following:

Year	Enrolled at SMU	Graduated From SMU	Transfer & Eligible at Next Institution
1996	1	1	0
1997	2	1	1
1998	1	1	0
1999	0	0	0

There are only four student-athletes. The 50% rate reported in the table is based upon the facts that the student-athlete from 1996 graduated in seven years after his enrollment and the student-athlete from 1997 transferred and was eligible at his new institution.

The following shows that in the case of women's basketball, two student-athletes from 1996 left the institution in good academic standing and were eligible to compete. One student-athlete from 1998 left the institution is bad academic standing.

Year	Enrolled at SMU	Graduated From SMU	Transfer & Eligible at Next Institution
1996	3	1	2
1997	1	1	0
1998	2	1	0
1999	0	0	0

- 15.** Analyze, explain and address any differences between the corresponding Federal Graduation Rate projected by the most recent NCAA Division I Academic Progress Rate (APR) for each sports team and the most recent multiyear four-class average Federal Graduation Rate for all students.

If a sports team's projected Federal Graduation Rate is lower than the most recent four-class average Federal Graduation Rate for all students, the institution must develop a plan for improvement to address the issue.

According to the data presented in the table entitled Academic Progress Rates, the most recent NCAA Division I APRs for all sports at SMU are high (ranging from 939 in Men's Golf to 1000 in Women's Golf). Because these APRs are high, the NCAA did not project FGRs in the table. The high APRs require no further analysis.

- 16.** Analyze, explain and address any differences between the most recent four-cohort average Graduation Success Rate (GSR) for each sports team and the most recent four-cohort GSR for all student-athletes.

If the most recent four-cohort GSR for any sports team is lower than the GSR for all student-athletes, the institution must develop a plan for improvement to address the issue.

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According to the information in the table entitled Graduation Success Rates, the GSR's for ten of the sports teams listed exceed the GSRs for all student athletes. For the remaining five teams, there is no significant difference between the team GSRs and the GSRs for all student-athletes.

- 17. Analyze, explain and address any differences between the most recent four-class retention rate for student-athlete subgroups (i.e., sport, gender, ethnicity, ethnicity within teams) and the most recent four-class retention rate for all student-athletes.**

If the most recent four-class retention rate for any student-athlete subgroup is lower than the retention rate for all student-athletes, the institution must develop a plan for improvement to address the issue.

By Gender. The information on retention rates shows that there are no substantial differences in retention rates between male and female student-athletes at SMU.

By Sport and Gender. There are no substantial differences across the Men's teams and none across the Women's teams. Among men, three teams exceed the overall retention rate for male student-athletes; among the three remaining teams, there are no significant differences between the team rate and overall rate for males. In women's sports, five teams exceed the overall retention rate for women student-athletes at SMU; there are no significant differences between the rates for the other five teams and the overall rates for female student-athletes.

NOTE: Because of errors in the data originally supplied to SMU by the NCAA, we are not required to examine the retention rates by ethnicity or by ethnicity within teams.

- 18. Describe the athletics department's written policies and procedures related to scheduling competitions and practices to minimize student-athletes' conflicts with class time and/or final examination periods due to participation in intercollegiate athletics, including how the institution monitors this area.**

Over the years the Athletic Council at SMU has adopted a range of policies intended to minimize conflicts between student-athletes' athletic and academic obligations. These include the following:

- a. No competition is to be scheduled during reading days at the end of the semester or during final exams.
- b. Teams are not to depart campus during final exam week.
- c. No home contests will begin prior to 2:00 pm on weekdays.
- d. Team sports preparing for recognized in-season competition may not hold more than six weeks of required practice prior to their opening of competition. One free day per week must be provided to the student-athlete during this period.
- e. No required practice sessions are to be scheduled during reading days at the end of the semester or during final exam week.
- f. All athletically-related activities including practice, meetings, weight training, etc. are not to exceed four hours per day and twenty hours per week.

Any exceptions to these policies (which are rare) must be cleared by the Athletic Council, according to SMU's Manual of Governance for Intercollegiate Athletics. Specifically, competition during final examination period (for example, for an NCAA championship tournament) is only permitted if it "presents no undue disadvantage to the team members' academic success," and if "satisfactory alternative provisions for examinations are made." The Athletic Council, in cooperation with the Altshuler Learning Enhancement Center, monitors and ensures compliance with these policies.

- 19. Describe the institution's written missed-class policies for all students, including any exceptions or differences that exist for student-athletes.**

SMU's overall missed class policy is laid out in the "Statement of University Policy Regarding Absences for University Extracurricular Activities" approved by both the Faculty Senate and the Athletic Council in 2001. The

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policy has been endorsed by the Provost's Office and is published in the faculty handbook as the official university policy. In addition, a letter summarizing the policy is sent by the President of the Faculty Senate and the Chair of the Athletic Council to all faculty at the beginning of each academic year.

The policy, while allowing faculty discretion as to exactly how missed exams and assignments can be made up, emphasizes that "students should not be penalized in any way for excused absences" resulting from representing the university in extracurricular activities (including athletic competition). It places on the student the responsibility of informing his or her instructors in advance when scheduled extracurricular absences will occur, and for making arrangements for any missed examinations or assignments.

The policy statement makes very clear that it applies to all students; student-athletes receive no special consideration. At the same time, however, the Athletics Department has chosen to be proactive with regard to missed class by making competition schedules available to academic advisors and by requiring student athletes to communicate with their professors about any scheduled absences on the first day of class. Other university programs that require missed class time (band, debate, etc.) are encouraged by the university policy to adopt similarly proactive procedures.

20. Using supporting data, analyze, explain and address missed class time for the last two years for each sports team.

A table documenting the number of missed-class days for each of SMU's sports for the last two complete academic years (2006-2007 and 2007-2008) is displayed below. It should be noted that these figures represent "worst case scenarios" for missed class time for a student-athlete competing in that sport. In practice, most student-athletes miss significantly fewer classes than these figures would suggest, for several reasons. First, not all team members travel to all road competitions. Second, some events involve only one subset of the relevant team (e.g., a track meet for sprinters only), but would still be included in these overall numbers. Finally—and most importantly—student-athletes and their academic advisors are given their competition schedules in advance of course registration (and allowed priority registration, as referenced elsewhere in this document). This allows them to schedule classes so as to minimize the actual number of class sessions that they miss as a result of competition. As a result, there do not appear to be chronic or serious issues with regard to student-athlete academic performance stemming from missed class time.

CLASS DAYS MISSED BY SPORT, LAST TWO YEARS

Sport	Class Days Missed 2006-7	Class Days Missed 2007-8
Men's Basketball	14.5	10.5
Men's Diving	15.5	18.5
Men's Football	4	8
Men's Golf	21.5	25
Men's Soccer	14	12.5
Men's Swimming	15	13
Men's Tennis	17.5	17.5
Women's Basketball	8.5	12
Women's Cross Country	5	7
Women's Diving	15.5	9.5
Women's Equestrian	1	2
Women's Golf	21.5	17.5
Women's Rowing	6	5
Women's Soccer	5	11
Women's Swimming	19	13.5
Men's Tennis	14.5	15
Women's Track	15	14.5
Women's Volleyball	12.5	15

21. Describe the means by which the athletics department's policies and procedures regarding the scheduling of athletics competition and practices (as described in Self-Study Item No. 18) and the institution's missed class policies (as described in Self-Study Item No. 19) are communicated in writing to student-athletes, athletics department staff members and appropriate faculty and administrative staff.

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Athletic Council policies regarding the scheduling of competitions and practices (as outlined in Item 18) are kept on file with SMU's Manual of Governance for Intercollegiate Athletics, copies of which are retained in the Office of the President, the Office of the University Secretary, the Office of the Director of Athletics, and the Office of the Faculty Senate. They are communicated annually to coaches and Athletic Department staff by the chief compliance officer.

SMU's missed-class policy is widely disseminated on campus. It is posted on the web site of the Faculty Senate, and is circulated via email to all faculty at the beginning of each academic year (as referenced in Item 19). The policy is also printed in the Student-Athlete Handbook, given annually to all student-athletes.

22. If the institution has developed a plan for improvement(s) for Operating Principle 2.1, describe the institution's efforts to ensure the plan for improvement was developed through a process involving broad-based participation and has received formal institutional approval.

No plans for improvement have been developed.

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

- Most recent Federal Graduation Rates report.
- Most recent Academic Progress Rate report.
- Most recent Graduation Success Rate report.
- Most recent institutional catalog and/or bulletin.
- 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 president or chancellor, faculty senate or director of athletics concerning the academic performances of sports teams (if any).
- A random sampling of student-athlete eligibility files (including, when appropriate, final high school transcripts, high schools' lists of approved core courses and final certification reports, verification of standardized test scores, NCAA student-athlete statements, institutional transcripts, and transfer documentation).
- Athletics department manual and/or policies and procedures.
- Student-athlete handbook.
- Institutional handbook for students.
- Scheduling policies.
- Missed class policies.

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Operating Principle

2.2 Academic Support

Self-Study Items

1. List all conditions for certification imposed by the Committee on Athletics Certification in its second-cycle certification decision (if any) as they relate to Operating Principle 2.2 (Academic Support). In each case, provide:

- a. The original condition imposed;
- b. The action(s) taken by the institution;
- c. The date(s) of the action(s); and
- d. An explanation for any partial or noncompletion of such required actions.

Please note, the institution is not required to respond to opportunities for enhancement developed by the peer-review team unless those same items were adopted by the Committee on Athletics Certification.

1. Condition

No condition was imposed.

Action

Action Date

Explanation for partial or non-completion

2. List all actions the institution has completed or progress it has made regarding all plans for improvement/recommendations developed by the institution during its second-cycle certification process as they relate to Operating Principle 2.2 (Academic Support). Specifically include:

- a. The original plan;
- b. The action(s) taken by the institution;
- c. The date(s) of the action(s);
- d. An explanation for any partial or noncompletion of such plans.

Please note, the institution will not be required to fulfill an element of a second-cycle plan if the element does not affect conformity with a current operating principle.

1. Original Plan

No plans were developed.

Action

Action Date

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Explanation for partial or non-completion

3. Describe any additional plans for improvement/recommendations in the area of Operating Principle 2.2 (Academic Support) developed by the institution since the second-cycle certification decision was rendered by the Committee on Athletics Certification. Please provide:
- The additional plan;
 - The action(s) taken by the institution; and
 - The date(s) of the action(s).

No additional plans were developed.

4. Explain how the institution is organized to provide academic support and advising services to student-athletes, either through institutional programming or student-athlete support services. In addition, provide a description of reporting lines and responsibilities assigned to specific staff members.

Academic support services for student-athletes are coordinated through the Altshuler Learning Enhancement Center (A-LEC), which is the academic support unit for all SMU undergraduates. Academic advising for student-athletes, like academic advising for all SMU undergraduates, is coordinated through each student's school of record: Dedman College I for all students who have yet to declare a major; Dedman College II for all students in the humanities, sciences, and social sciences; Meadows School of the Arts for students in visual, performing, and communication arts; the Cox School of Business; and the Lyle School of Engineering and Applied Sciences.

All A-LEC staff members report to a Director, who reports to an Associate Provost, who reports to the Vice President for Academic Affairs. All academic advisers in the schools (both staff and faculty) report to an Associate Dean, who reports to a Dean, who reports to the Vice President for Academic Affairs.

The A-LEC full-time professional staff includes a Director, two Learning Skills Specialists, a Learning Disabilities Specialist, two Tutorial Services Coordinators, a Writing Center Coordinator, and four full-time staff members who constitute the Student-Athlete Academic Services (SAAS) team and are responsible for coordinating all academic support services for student-athletes. The SAAS team includes an Associate Director (who is responsible for two sports), an Assistant Director (who is responsible for four sports), two Academic Counselors (who are responsible for all other sports), and an Intern (who manages academic feedback reports to faculty and meets with at-risk student-athletes on recommendation of the SAAS team).

SMU's division of labor with respect to student-athletes' academic lives is divided between the A-LEC's SAAS team and staff in the Department of Athletics. Staff in the Department of Athletics are responsible for coordinating student-athletes' progress through the admission and matriculation process; for fulfilling all NCAA-mandated reporting (clearing house, EPR, APR, GSR); for monitoring all NCAA-defined standards for satisfactory progress/eligibility; and for establishing and maintaining the criteria used to determine which student-athletes receive summer school funding and post-eligibility aid. The SAAS team is responsible for all on-campus academic support services as outlined in this document. The SAAS team consults regularly with the Athletics Department's Compliance and Student Services Office in areas such as academic progress towards degrees, prerequisites for classes, and requirements before declaring a major/minor. The SAAS team must stay current in the academic policies and degree requirements at SMU. In response to recommendations made during the second cycle accreditation process, the SAAS team has been given authority to review student-athletes' transcript evaluations and degree progress reports and to run queries for information such as class schedules, hours of enrollment per semester, registrations "holds" on accounts, and terms and semester GPAs.

5. Explain how the institution's staffing, physical space and financial support for student-athlete academic support services has been reviewed by appropriate institutional academic authorities to ensure they meet the academic needs of student-athletes at the institution.

A-LEC staffing related to academic support for student-athletes has changed dramatically since the second-cycle review. Upon recommendation of the Athletic Council's Academic Subcommittee (see 1.1, 9), a third academic counseling position was added in 2004. In 2006, coinciding with the resignation of a senior Associate Athletics

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Director, the Athletics Department sought to transfer almost all remaining on-campus, post-matriculation academic support activities from the Athletics Department to the A-LEC. The salary line for this senior Associate Athletics Director was transferred to the Office of the Provost, making it possible for the A-LEC to add an Associate Director for Student-Athlete Academic Services, as well as two part-time interns. Duties transferred to the A-LEC include grade feedback reports to faculty, academic follow-up with coaches, and preparation of quarterly academic reports for the Athletic Council and the Board of Trustees Committee on Athletics. Additionally, in 2006, upon recommendation of the Provost, the A-LEC as a whole was able to add a second full-time staff member responsible for coordinating its tutoring programs and, in 2009, the A-LEC was authorized to begin searching for a second full-time staff member to work with students with documented learning differences. Both of these new A-LEC positions will improve substantively the services the A-LEC offers to all undergraduates, including student-athletes.

The academic support facilities and the academic support staff are located in the A-LEC and include a large central area for studying and tutoring, a computer lab, additional rooms for group sessions or individual tutoring sessions and staff offices for individual counseling sessions. Based on recommendations emerging from a C-USA evaluation of SAAS services and presented to the Athletics Department's management team, the Athletics Department has transformed a mid-sized conference/meeting room for use as a monitored, student-athlete study hall that is open from 10 a.m. to 10 p.m. Monday through Thursday and from 5 p.m. to 10 p.m. on Sundays. Additionally, beginning in Spring 2009, the football staff has made its team meeting rooms available during evening hours for study hall and tutoring.

Based on an evaluation of three-years' data analyzing the admissions profiles of entering student-athletes, the Provost's Office enhanced the A-LEC staffing budget by adding four graduate assistantships dedicated to providing one-to-one tutoring to student-athletes. The GAs specialize in mathematics, statistics, economics, and writing. Student-athletes may reserve 30-minute appointments with the GAs, usually following their weekly academic counseling sessions with members of the SAAS team. Student-athletes who are designated academically at-risk have standing GA appointments that run throughout the semester; other student-athletes meet with the GAs on an as-needed basis. Adding graduate student tutors has significantly improved the SAAS team's ability to provide developmental instruction and tutoring to student-athletes enrolled in foundational courses, without sacrificing the quality and amount of tutoring available to all student-athletes, as well to other undergraduate students.

In response to A-LEC reports presented to the Athletics Committee of the Board of Trustees, two Board members have made sizable donations to support the ongoing work of the SAAS team, increasing the amount of funds available to hire and maintain high-quality tutors, again significantly improving the SAAS team's ability to provide developmental instruction and tutoring to student-athletes enrolled in foundational courses, without sacrificing the quality and amount of tutoring available to all student-athletes, as well to other undergraduate students.

6. Using the program areas for academic support services, describe the following (this program analysis must be conducted as part of the self-study process):
- a. The specific academic support services offered to student-athletes (if any);
 - 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 evaluation of these services by academic authorities outside athletics at least once every four years; and
 - e. The mechanism for periodic approval of these services by academic authorities outside athletics.

If the institution has additional or different academic support services not included in the following list of examples, please click "Add Academic Support Area."

1. Academic counseling/advising. Course selection, class scheduling, priority registration.

- a. The specific academic support services offered to student-athletes (if any).

The A-LEC's SAAS team consists of four full-time professional staff (an Associate Director, an Assistant Director and two Academic Counselors) and one Intern. Responsibilities for meeting the needs of individual teams are divided among these five people. These responsibilities include, but are not limited to, meeting for academic counseling sessions; assisting these student-athletes with respect to class schedules; monitoring study hall; soliciting grades-in-progress information from faculty; connecting student-

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athletes with A-LEC resources such as tutoring and study skills instruction; referring student-athletes to the appropriate campus-wide resources; and collaborating with coaching staff members to ensure student-athletes receive adequate and appropriate academic assistance.

The SAAS team works diligently with the academic advisers in the Dedman College Advising Center to create a team-like atmosphere in which student-athletes see their counselor and adviser as resources with different specialties. The academic advisers assist students with the specifics of degree requirements, and the SAAS team supplements this advising with information about satisfactory academic progress and registration decisions that accommodate practice times and competition schedules. This structure ensures that from their first registration experience through their final semester at SMU, student-athletes get the academic advice that they need to make satisfactory academic progress as defined by their major, their school, the university, the conference, and the NCAA.

SMU's student-athletes were awarded priority registration in response to findings of the second-cycle certification. SMU's priority registration policy stipulates that graduating senior student-athletes register before all other students; then graduating senior students from all other cohorts register; then all student-athletes register in descending order of accumulated credit hours; and finally all other students register, again in descending order of accumulated credit hours.

To ensure that SMU's student-athletes receive accurate, effective, and timely advising and degree counseling, the A-LEC Associate Director for Student-Athlete Academic Services has been invited to sit in all meetings of a committee composed of the Associate Deans in charge of advising and records for each of the university's schools that offer undergraduate degrees.

b. Any policies that govern which students can use these services.

All student-athletes regardless of scholarship status, including those on medical and 5th year aid, have access to all of the services described in 1a, above. In some cases student-athletes' use of A-LEC services is mandated by their coaching staff; in other cases, student-athletes' use of the A-LEC services is entirely voluntary.

Student-athletes lose their right to priority registration if they have any "holds" on their registration accounts; " holds" are applied according to policies that affect all SMU students. A student will get a registration hold if he or she fails to pay a parking ticket or fails to comply with a judicial sanction.

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

SAAS team members are included in almost all on-campus recruiting visits, so student-athletes meet their counselors and learn about A-LEC/SAAS services when they first visit campus. This information often plays a key role in a prospective student-athlete's decision to attend SMU. Each team's designated SAAS counselor usually attends the first team meeting each semester; during this meeting, services are reviewed, and coaches specify which student-athletes are required to participate in A-LEC services. Academic counselors also conduct new student-athlete orientation each semester. Additionally, the academic services provided by the SAAS team and the A-LEC are all included in the Student-Athlete Handbook provided by the Department of Athletics to all student-athletes and departmental staff. The SAAS team also maintains a website describing all academic support services available to student-athletes (smu.edu/alec/saashome.asp). Finally, because non-SAAS aspects of the A-LEC are available to all SMU undergraduates, student-athletes will be reminded of A-LEC services through their residence halls, by their faculty members, and in their copy of *Your First Year of Study at SMU: An Owner's Manual*, a publication distributed to all entering SMU students and designed to be used throughout their first year.

The main ways through which Athletics Department staff learn about A-LEC services and policies are the Student-Athlete Handbook and the A-LEC website. The SAAS team members communicate regularly with coaches and sport administrators, and the A-LEC's Director has been invited to sit on the Athletics Director's senior management team.

d. The mechanism for evaluation of these services by academic authorities outside athletics at least once every four years.

The A-LEC is not in and does not report to the Department of Athletics. All hiring, training, and supervision of A-LEC staff, including all members of the SAAS team, is done under the auspices of the Provost, who is

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the university's Vice President for Academic Affairs. As such, every evaluation of A-LEC services is always performed by academic authorities outside athletics, and this evaluation is done on an annual basis. Evaluations include regular performance reviews conducted by supervisors within the A-LEC or by an Associate Provost in the case of the Director. Additionally, the SAAS team surveys both coaches and student-athletes, and the A-LEC's tutoring team surveys all students who work with A-LEC tutors. Finally at their quarterly meetings, the faculty members of the Athletics Council's Academic Subcommittee review all work of the SAAS team.

e. The mechanism for periodic approval of these services by academic authorities outside athletics.

See d, above. The A-LEC reports to the Vice President of Academic Affairs; all work of the A-LEC is evaluated and approved by academic authorities outside athletics because all A-LEC staff, as well as those to whom they report, are academic authorities outside athletics.

2. Tutoring. Availability; procedures and criteria for obtaining assistance; assignment, qualifications, training, experience, etc.; compensation, rate of pay, pupil loads, qualifications, experience, other terms and conditions of employment.

a. The specific academic support services offered to student-athletes (if any).

Two full-time A-LEC Assistant Directors, neither of whom is a member of the SAAS team, hire, train, supervise, and evaluate all A-LEC tutors. With the exception of the four GAs described in 2.2, 5 (above) no tutors are hired to work solely with student-athletes, though some may be assigned some shifts dedicated to work with student-athletes. Even the four GAs are supervised by the non-SAAS staff who coordinate the A-LEC's tutoring program, and the GAs work with non-athletes on a drop-in basis if no student-athletes have reserved appointments.

During the Fall and Spring semesters, tutors are available on a drop-in basis Monday through Thursday from 2:00 p.m. until 10:00 p.m., Fridays from 2:00 p.m. until 5:00 p.m., and Sundays from 5:00 p.m. until 10:00 p.m. The Summer tutor schedule varies and is determined by the needs of at-risk student-athletes attending summer school. The tutor schedule is available on the A-LEC website (smu.edu/alec/tutorsched.asp). In addition to drop-in tutoring, the SAAS team may reserve some tutors to work with student-athletes on a by-appointment basis. Depending on each student-athlete's needs, these may be standing appointments that run throughout the semester, or they may be situation-specific appointments. Non-athletes see tutors only on a drop-in basis. Because the A-LEC tutoring program works with the entire undergraduate population, there are more likely to be tutors available in advanced courses and tutors available in majors enrolling very few student-athletes.

A-LEC staff members take great pride in fact that the tutors who work with student-athletes are the same tutors who work with non-athletes. This practice reinforces tutor integrity and strengthens faculty support for the tutoring program. Additionally, the practice of having student-athletes work with tutors alongside non-athletes—both in the same facility and sometimes in the same small groups—helps to integrate student-athletes into the academic mainstream and accounts for much of their success.

Student-athletes obtain tutors either by connecting with tutors on their own, by consulting the A-LEC website (which their SAAS counselors show them during orientation and counseling sessions), or by being required to work with tutors based on coach or counselor recommendations.

The A-LEC's SAAS and tutoring teams actively collaborate to see which tutors will work most effectively with student-athletes. Typically, assignments match student-athletes with tutors who can tutor more than one class in which a student-athlete is enrolled, with tutors who are comfortable working with students for whom English is not their first language, and/or with tutors who are comfortable working with developmental students. The SAAS team monitors the on-going tutor/student relationship. Based on student-athlete feedback, sometimes a different tutor is found, and sometimes the student-athlete is counseled on how to work more effectively with a tutor.

Initial tutor selection is based on SMU GPA. Typically, tutors must have taken and succeeded in at least one course more advanced than the one in which they are expected to tutor. When appropriate, faculty recommendations are also solicited. Tutors are trained by the two full-time members of the A-LEC tutoring team, both of whom have advanced degrees, both of whom have tutored at the university level, and both

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of whom currently hold adjunct faculty positions in SMU's Dedman College. Tutor training focuses on a variety of skills and techniques that are covered in a training manual distributed to all tutors during their first semester of employment. This manual is currently being revised based on recommendations appearing in a C-USA evaluation and will be available for the third-cycle team to review during their campus visit. During their first semester of employment, tutors are either assigned to work during a shift when one of the two tutoring team members is available for assistance, or they are informally paired with an experienced tutor who serves as a mentor. Because almost all A-LEC tutoring takes place at the A-LEC during assigned shifts, tutor training is on-going and collaborative. The tutors help each other become better tutors, and they take great pride in their work.

Compensation is based both on the amount of experience a tutor has and on marketplace demands. Tutors' hourly rates range from \$8.00 an hour for first-time tutors who have sophomore academic standing to \$35.00 an hour for English department lecturers who provide writing assistance to extremely at-risk students.

Tutor loads vary according to academic discipline and expertise. They are also difficult to predict because most A-LEC tutoring occurs on a drop-in basis. Student-athletes, like all students at SMU, are free to work with any A-LEC tutor whom they choose, and even student-athletes assigned to particular tutors may supplement this tutoring by dropping in and working with other tutors. More than three-quarters of all A-LEC tutoring is one-to-one, though tutors often hold small-group review sessions before major exams. The SAAS team also works with the A-LEC's tutoring team to set up on-going study groups for courses enrolling significant numbers of student-athletes or courses enrolling at-risk student-athletes. These study groups are open to non-athletes, but are set up only in response to student-athlete needs.

b. Any policies that govern which students can use these services.

All student-athletes regardless of scholarship status, including those on medical and 5th year aid, have access to all of the tutorial services described in 2a, above. In some cases, student-athletes' work with tutors is mandated by counselors and coaches; in other cases, student-athletes' work with tutors is entirely voluntary.

Student-athletes may lose their right to tutoring by reserved appointment if they fail to attend a required tutoring session or they come unprepared to an assigned tutoring session. This decision is made by the SAAS team in consultation with the coaching staff. Student-athletes who forfeit the privilege of working with tutors by reserved appointment can still drop-in and work with A-LEC tutors.

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

Student-athletes and Athletics Department staff learn about A-LEC tutoring through all of the avenues enumerated at length in the answer to 2.2, 6.1c (above). They can also consult the A-LEC's tutorial services website: (smu.edu/alec/tutorsched.asp).

d. The mechanism for evaluation of these services by academic authorities outside athletics at least once every four years.

The A-LEC is not in and does not report to the Department of Athletics. All hiring, training, and supervision of A-LEC staff, including the two Assistant Directors who coordinate the tutoring program, is done under the auspices of the Provost, who is the university's Vice President for Academic Affairs. As such, every evaluation of A-LEC services is always performed by academic authorities outside athletics, and this evaluation is done on an annual basis. Evaluations include regular performance reviews conducted by supervisors within the A-LEC or by an Associate Provost in the case of the Director. Additionally, the SAAS team surveys both coaches and student-athletes, and the A-LEC's tutoring team surveys all students who work with A-LEC tutors. Finally at their quarterly meetings, the faculty members of the Athletics Council's Academic Subcommittee review all A-LEC services that pertain to student-athletes.

e. The mechanism for periodic approval of these services by academic authorities outside athletics.

See d, above. The A-LEC reports to the Vice President of Academic Affairs; all work of the A-LEC is

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evaluated and approved by academic authorities outside athletics because all A-LEC staff, as well as those to whom they report, are academic authorities outside athletics.

3. Academic progress monitoring and reporting. Individual's responsibility, frequency, procedures for periodic grade and attendance checks.

a. The specific academic support services offered to student-athletes (if any).

The A-LEC's SAAS team sends the faculty electronic requests for grades-in-progress three times each regular semester (during the 4th, 8th, and 12th weeks). Faculty can request hard copies of these report requests. The SAAS team forwards the faculty responses to coaches on a weekly basis. If there is no response from faculty teaching courses that enroll large numbers of student-athletes or from faculty teaching courses enrolling student-athletes designated as being academically at risk, SAAS team members will contact these faculty personally.

Faculty who have questions or concerns about a student-athlete may include this information on the report, and the designated SAAS counselor will often respond by consulting with the professor via phone or email. This has established very good working relationships between SAAS academic counselors and faculty. Again, since the A-LEC reports through the Office of the Provost, faculty members have commented on feeling more comfortable in supplying the detailed academic information. In fact, the faculty response rate has increased significantly since the A-LEC took over this service in 2007.

Additionally, the A-LEC has access to the early- and mid-term progress reports that the Office of the Registrar sends to all faculty teaching first-year, sophomore, and new transfer students. This information helps the SAAS team understand how student-athletes are doing compared to the rest of the student body, and it helps the A-LEC's tutoring team identify courses in need of augmented support services.

The SAAS team meets regularly with staff from the Athletics Department's Office of Compliance and Student-Athlete Services to ensure that student-athletes are making satisfactory progress toward their degree as defined by each student-athlete's school of record, as well by the university, the conference, and the NCAA.

Upon recommendation of the Academic Subcommittee of the Athletics Council, SAAS team members do not perform class checks, other than the information about attendance solicited through each semester's request for grades-in-progress. The Student-Athlete Handbook stipulates that student-athletes are expected to attend all classes. Class check policies vary from team to team, with most coaching staffs having some kind of internal mechanism for checking attendance beyond the information faculty provide in their responses to the grade reports.

b. Any policies that govern which students can use these services.

All student-athletes regardless of scholarship status, including those on medical and 5th year aid, are included in the grades-in-progress reports solicited by the SAAS team.

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

Student-athletes and Athletics Department staff learn about the faculty grade reports through all of the avenues enumerated at length in the answer to 2.2, 6.1c (above). They learn about specific faculty comments in meetings with the SAAS team counselors.

d. The mechanism for evaluation of these services by academic authorities outside athletics at least once every four years.

The A-LEC is not in and does not report to the Department of Athletics. All hiring, training, and supervision of A-LEC staff, including all members of the SAAS team, is done under the auspices of the Provost, who is the university's Vice President for Academic Affairs. As such, every evaluation of A-LEC services is always performed by academic authorities outside athletics, and this evaluation is done on an annual basis. Evaluations include regular performance reviews conducted by supervisors within the A-LEC or by an Associate Provost in the case of the Director. Finally at their quarterly meetings, the faculty members of the Athletics Council's Academic Subcommittee review all work of the SAAS team.

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- e.** The mechanism for periodic approval of these services by academic authorities outside athletics.

See d, above. The A-LEC reports to the Vice President of Academic Affairs; all work of the A-LEC is evaluated and approved by academic authorities outside athletics because all A-LEC staff, as well as those to whom they report, are academic authorities outside athletics.

- 4. Assistance for special academic needs.** Provisions for diagnosis and treatment of learning disabilities.

- a.** The specific academic support services offered to student-athletes (if any).

All student-athletes with diagnosed learning differences (LD and ADHD) have access to the A-LEC's full-time, professional Learning Specialist, who is not a member of the SAAS team. The Learning Specialist meets regularly with the SAAS academic counselors to determine which A-LEC services would be most appropriate for individual LD student-athletes based on their diagnostic assessments. When warranted, the A-LEC's Learning Specialist may serve as a student-athlete's primary academic counselor.

The A-LEC's Learning Specialist also works closely with the university's director of Disability Services, who reports to the Vice-President for Student Affairs, and is responsible for determining appropriate accommodations based on each student's diagnostic assessment. The A-LEC's Learning Specialist also works closely with the staff of the university's Counseling and Psychiatric Services Center (CAPS), which is the on-campus entity authorized to perform diagnostic assessments. Because CAPS appointments fill quickly, the A-LEC's Learning Specialist works with the SAAS team to coordinate off-campus LD testing, which is paid for by the NCAA enhancement fund.

- b.** Any policies that govern which students can use these services.

All student-athletes with diagnosed learning differences, regardless of scholarship status and including those on medical and 5th year aid, have regular access to the services described in 4a, above. Upon recommendation of the SAAS team, the Learning Specialist may meet once or twice with a student who is suspected of having a learning disability before referring that student for LD testing.

- c.** The mechanisms by which student-athletes are made aware of these services.

Student-athletes and Athletics Department staff learn about the A-LEC's Learning Specialist through all of the avenues enumerated at length in the answer to 2.2, 6.1c (above). They can also consult the A-LEC's LD services website: smu.edu/alec/ld.asp.

- d.** The mechanism for evaluation of these services by academic authorities outside athletics at least once every four years.

The A-LEC is not in and does not report to the Department of Athletics. All hiring, training, and supervision of A-LEC staff, including the Learning Specialist, is done under the auspices of the Provost, who is the university's Vice President for Academic Affairs. As such, every evaluation of A-LEC services is always performed by academic authorities outside athletics, and this evaluation is done on an annual basis. Evaluations include regular performance reviews conducted by supervisors within the A-LEC or by an Associate Provost in the case of the Director.

- e.** The mechanism for periodic approval of these services by academic authorities outside athletics.

See d, above. The A-LEC reports to the Vice President of Academic Affairs; all work of the A-LEC is evaluated and approved by academic authorities outside athletics because all A-LEC staff, as well as those to whom they report, are academic authorities outside athletics. The work of the A-LEC's Learning Specialist has been so favorably evaluated and deemed so important to the university as a whole that the Provost allocated funding for a second, full-time professional Learning Specialist who is scheduled to begin working in August 2009.

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5. Assistance for at-risk students. Availability including institution-wide assistance.

a. The specific academic support services offered to student-athletes (if any).

The A-LEC defines as at-risk all entering first-year student-athletes with composite admissions ratings of 5.5 and below (putting them in the bottom 10% of the first-year class), all transfer students entering from community college, and all continuing student-athletes with SMU GPAs below 2.5. At-risk student-athletes are the ones most likely to be mandated for participation in the many services enumerated throughout this document, including but not limited to regular academic counseling appointments with a member of the SAAS team, monitored study hall, and reserved appointments with tutors and study skills specialists.

In the summer of 2008, based on a recommendation from the Dean of the Simmons School of Education and Human Development and after extensive consultation with the Vice President for Academic Affairs, the A-LEC Director, the faculty on the Athletics Council's Academic Subcommittee, and the Board of Trustees' Committee on Athletics, the Simmons School of Education piloted three developmental, credit-bearing elective courses designed to facilitate at-risk students' academic transition to university study. One course focused on grammar and expository writing; one course focused on calculus readiness; and one course focused on study skills, learning strategies, and self-efficacy. For Summer 2008 and 2009, enrollment in these pilot courses is limited to incoming student-athletes, and these student-athletes' ongoing academic performance will be used to determine whether to continue offering these courses and whether to open them to at-risk students from other first-year cohorts (initially most likely to be at-risk students in the performing arts).

b. Any policies that govern which students can use these services.

All student-athletes in an at-risk category, regardless of scholarship status and including those on medical and 5th year aid, have regular access to the services described in 5a, above, with the exception of enrollment in one or more of the three developmental courses. Enrollment in these courses must have the approval of the student-athlete's official pre-major adviser in Dedman College.

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

At-risk student-athletes and Athletics Department staff learn about these services through all of the avenues enumerated at length in the answer to 2.2, 6.1c (above). They learn about specific services tailored to meet their needs during meetings with the SAAS team counselors. Please note that since almost all coaches mandate support services for incoming student-athletes, first-year student-athletes with low admissions ratings are not told the significance of their low admission ratings. This is confidential information that the SAAS team uses when making specific recommendations regarding academic support.

d. The mechanism for evaluation of these services by academic authorities outside athletics at least once every four years.

The A-LEC is not in and does not report to the Department of Athletics. All hiring, training, and supervision of A-LEC staff is done under the auspices of the Provost, who is the university's Vice President for Academic Affairs. As such, every evaluation of A-LEC services is always performed by academic authorities outside athletics, and this evaluation is done on an annual basis. Evaluations include regular performance reviews conducted by supervisors within the A-LEC or by an Associate Provost in the case of the Director. At their quarterly meetings, the faculty members of the Athletics Council's Academic Subcommittee review all SAAS team work.

e. The mechanism for periodic approval of these services by academic authorities outside athletics.

See d, above. The A-LEC reports to the Vice President of Academic Affairs; all work of the A-LEC is evaluated and approved by academic authorities outside athletics because all A-LEC staff, as well as those to whom they report, are academic authorities outside athletics. The decision to pilot the three developmental courses described above resulted from the ongoing evaluation and approval of A-LEC services conducted by academic authorities such as the Associate Provost, the Vice President for

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Academic Affairs, and the faculty who serve on the Athletics Council's Academic Subcommittee. Responsibility for monitoring and evaluating the three developmental courses first offered in the Summer of 2008 remains with the Simmons School of Education and Human Development.

6. Academic support facilities. Availability of study rooms, computers and labs.

a. The specific academic support services offered to student-athletes (if any).

A-LEC facilities include a large open area for tutoring and study, a computer lab, three rooms suitable for group study and review sessions, a writing center, a computer lab, six independent-study rooms, and offices for all full-time staff. As described in detail in response to self-study item 2.2, 5 (above), the A-LEC has added several full- and part-time staff (both in SAAS and in the larger A-LEC), as well as GAs. This increase in staff has enhanced the A-LEC's ability to work with student-athletes but has reduced the amount of space in which to do that work. One room that had been available for students' group work was converted to an office, two rooms suitable for private, independent study have been converted into offices for part-time staff, and the intern now offices in what had been a storage area. Additional space provided by the Athletics Department (again, see 2.2, 5, above) has helped to alleviate these problems, but it has not solved them. Student-athletes have access to study rooms and computers, but adequate access to this space is achieved only by staggering hours and services. The football team uses the team meeting rooms for monitored study hall, and these rooms are not conducive to effective studying or monitoring.

b. Any policies that govern which students can use these services.

All student-athletes, regardless of scholarship status and including those on medical and 5th year aid, have access to A-LEC facilities.

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

Student-athletes and Athletics Department staff learn about the A-LEC facilities through all of the avenues enumerated at length in the answer to 2.2, 6.1c (above).

d. The mechanism for evaluation of these services by academic authorities outside athletics at least once every four years.

The A-LEC is not in and does not report to the Department of Athletics. Evaluation of A-LEC facilities is under the auspices of the Vice President for Academic Affairs. The SAAS team also reports on its facilities needs to the Academic Subcommittee of the Athletics Council. The Director of Athletics has expressed concerns about the A-LEC's limited facilities to members of the Board of Trustees' Committee on Athletics.

e. The mechanism for periodic approval of these services by academic authorities outside athletics.

See d, above. The A-LEC reports to the Vice President of Academic Affairs; all work of the A-LEC is evaluated and approved by academic authorities outside athletics because all A-LEC staff, as well as those to whom they report, are academic authorities outside athletics.

7. Academic evaluation of prospective student-athletes. Review of academic profiles of prospective student-athletes.

a. The specific academic support services offered to student-athletes (if any).

Individual coaches or other Athletics Department Staff may ask an A-LEC staff member to informally review the file of a prospective student-athlete before submitting that file to the Office of Admission for formal review, but the A-LEC is not officially involved in the academic evaluation of prospective student-athletes nor do any A-LEC staff officially review the academic profiles of prospective student-athletes. This work is done through the Associate Dean of Admission (or her designee) who reports to the Office of the Vice President for Academic Affairs. The Associate Dean (or her designee) will help coaching staff identify weaknesses in a prospective student-athlete's file and offer suggestions for possible remedies or

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improvements to strengthen the application. Through a policy revised in 2007-2008 and implemented in 2009, a faculty group reviews admissions materials of prospective student-athletes who are deemed academically at-risk based on grades and standardized testing. A member of the A-LEC's SAAS team serves as a nonvoting member of this group and is available to answer faculty questions about the academic environment on the particular team or about the support services available to the individual student-athlete. A-LEC staff members were also actively involved in the 2007-2008 revision of student-athletes' admissions procedures.

The SAAS team receives admission material on all student-athletes who are admitted to the university, and the SAAS team uses the information in these files to make pre-matriculation decisions about the kinds of academic support services that are likely to be necessary in each individual case.

b. Any policies that govern which students can use these services.

All student-athletes go through the same admission process.

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

Student-athletes are required to provide the university with the same pre-admissions documentation and materials that are required of all other undergraduate applicants for admission. The Associate Dean for Admission (or her designee) enumerates these documents to coaching staff and Athletics Department administrators who are expected to communicate this information to prospective student-athletes and to monitor their progress through the admission and matriculation process.

d. The mechanism for evaluation of these services by academic authorities outside athletics at least once every four years.

Evaluation of student-athlete admissions is carried out quarterly through the Athletic Council's Academic Subcommittee and annually through the University Admission Committee, a faculty group that sets university-wide admission policies.

e. The mechanism for periodic approval of these services by academic authorities outside athletics.

Both the Athletics Council and the University Admission Committee have the authority to recommend changes to any aspect of the Admission process. These recommendations are submitted first to the Dean of Admission and then to the Vice President for Academic Affairs.

8. Student-athlete degree selection. Degree program assistance.

a. The specific academic support services offered to student-athletes (if any).

Currently, student-athletes are pursuing majors in all four of SMU's undergraduate schools (Dedman, Cox, Meadows, and Lyle), with no one major or field enrolling a disproportionate number of student-athletes. Both the SAAS academic counselors and the pre-major advisers in Dedman College encourage student-athletes to satisfy their general education requirements during their first three or four semesters of enrollment, giving student-athletes many opportunities to sample courses from across the curriculum and to make informed choices with respect to majors. SMU's flexible curriculum (1/3 major, 1/3 general education, and 1/3 free electives) also encourages student-athletes' exploration of a wide range of majors

Relatively few student-athletes pursue majors in the sciences and engineering because of the intense time demands these majors make upon students. Afternoon practices can also conflict with labs in both the sciences and engineering. It should be noted, however, that teams with high interest in these areas (volleyball and women's soccer) have been willing to rearrange practice times to accommodate student-athletes' pursuit of the university's most challenging majors.

SMU does not offer majors in programs where student-athletes at other institutes tend to cluster. There is no major in "university studies," no major in education, no major in physical education, and no major in criminal justice. During the 2008-2009 academic year, the Simmons School of Education and Human Development secured first university-wide and then SACS accrediting approval to offer a new major in

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Applied Physiology and Sport Management. It is assumed that this new major will be attractive to those student-athletes who can satisfy this program's degree requirements.

Working in tandem with the pre-major academic advisers in Dedman College, the SAAS academic counselors guide student-athletes through the degree selection process. To ensure that SMU's student-athletes receive accurate, effective, and timely advising and degree counseling, the A-LEC Associate Director for Student-Athlete Academic Services has been invited to sit in all meetings of a committee composed of the Associate Deans in charge of advising and records for each of the university's schools that offer undergraduate degrees.

b. Any policies that govern which students can use these services.

All student-athletes are able to pursue any major for which they are academically eligible. Unfortunately, many of SMU's most popular majors (in Business, Communications, and Psychology) are not available to at-risk student-athletes because of rigorous GPA requirements in pre-major subset courses.

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

Student-athletes are made aware of academic majors through meetings with their SAAS academic counselors and with pre-major academic advisers in Dedman College. Once a student-athlete has identified a possible major, he or she will develop a four-year academic plan in consultation with the academic adviser. This plan is shared with the SAAS counselor to assist the student with scheduling. The four-year plan is revised as student-athletes progress through their pre-major coursework and learn whether or not they will be able to satisfy pre-major subset requirements.

d. The mechanism for evaluation of these services by academic authorities outside athletics at least once every four years.

Both the SAAS academic counselors and the pre-major academic advisers in Dedman College are academic authorities who report to and are evaluated by other academic authorities outside of athletics. The SAAS team reports to the A-LEC Director who reports to an Associate Provost. The Dedman College advisers report to an Associate Dean who reports to the Dean of Dedman College.

e. The mechanism for periodic approval of these services by academic authorities outside athletics.

Monitoring and evaluation of the student-athletes' degree choices was one of the factors considered when the University chose to add a new major in the Simmons School of Education and Human Development. Although by no means the principal reason that this new major was created, there was interest in a major less restricted by students' academic performance during their first-two years at SMU. The new major has rigorous GPA standards for staying in the major but less so for initially declaring the major, making access to this major more possible for students who enter academically at-risk with low admission ratings.

9. Learning assessments. Provisions for testing and evaluation (e.g., placement testing).

a. The specific academic support services offered to student-athletes (if any).

All SMU incoming freshmen are placed in first-year writing courses based on their verbal SAT (or ACT equivalent) scores. Students scoring less than 480 must take a one-semester, credit-bearing developmental writing course before beginning the required two-course first-year writing sequence. In addition, new student-athletes attending summer session before their full year take both the LASSI (Learning and Study Strategies Inventory) and the Nelson-Denny diagnostic reading test to assess study skills development and reading skills required for college expectations. SAAS academic counselors and pre-major academic advisers in Dedman review academic background and information to recommend classes suitable for each student's initial summer and fall schedules. The academic counselors also use LASSI information to decide whether or not the student-athlete should enroll in ORACLE or work with one of the A-LEC's Learning Skills Specialists (see 2.2, 6, 10, below).

b. Any policies that govern which students can use these services.

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All student-athletes attending summer school before fall of their freshman year, regardless of scholarship status, take the LASSI. Coaching recommendations and admission ratings determine whether they take the Nelson-Denny. Student-athletes entering in the fall or spring take these assessments based on counselor recommendation.

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

Student-athletes learn about the LASSI and Nelson-Denny during summer academic support services orientation sessions. Student-athletes entering in the fall and spring learn about them during meetings with the SAAS team counselors.

d. The mechanism for evaluation of these services by academic authorities outside athletics at least once every four years.

The A-LEC is not in and does not report to the Department of Athletics. All hiring, training, and supervision of A-LEC staff is done under the auspices of the Provost, who is the university's Vice President for Academic Affairs. As such, every evaluation of A-LEC services is always performed by academic authorities outside athletics, and this evaluation is done on an annual basis. Evaluations include regular performance reviews conducted by supervisors within the A-LEC or by an Associate Provost in the case of the Director. At their quarterly meetings, the faculty members of the Athletics Council's Academic Subcommittee review all SAAS team work.

e. The mechanism for periodic approval of these services by academic authorities outside athletics.

See d, above. The A-LEC reports to the Vice President of Academic Affairs; all work of the A-LEC is evaluated and approved by academic authorities outside athletics because all A-LEC staff, as well as those to whom they report, are academic authorities outside athletics.

10. Success skills. Study skills, note and test taking, writing and grammar skills, time-management skills.

a. The specific academic support services offered to student-athletes (if any).

The A-LEC employs two full-time Learning Skills Specialists, neither of whom is a member of the SAAS team. The two Learning Skills Specialists provide study skills and learning strategies instruction and counseling to all SMU undergraduates, including student-athletes. They provide this instruction through three primary means: ORACLE (EDU 1110), which is a one-credit course in advanced reading and study strategies; workshops targeting specific skills such as time management, organization, textbook study-reading, note taking, essay exam preparation, multiple choice test preparation, test anxiety, concentration, and final exam preparation; and one-to-one academic counseling sessions. SAAS team members consult regularly with the two Learning Skills Specialists (one of whom is also an A-LEC Associate Director) to decide which services are most appropriate for individual student-athletes, as well as which workshops may be appropriate for specific teams or members of specific teams. Student-athletes typically attend study strategies workshops or enroll in ORACLE upon the recommendation of their SAAS academic counselor, but some do so of their own volition.

The A-LEC also funds the Writing Center, a service in which four members of the English Department faculty satisfy some of their course-load responsibilities by providing one-to-one writing instruction by appointment for students at all stages of the drafting and revision process. Student-athletes are encouraged and in some cases required to make and attend Writing Center appointments. NCAA enhancement funding has been used to increase Writing Center hours. Appointment times during hours funded by the NCAA money are reserved for student-athletes. Depending on each student-athlete's needs, these may be standing appointments that run throughout the semester, or they may be situation-specific appointments.

b. Any policies that govern which students can use these services.

Academic Integrity

All student-athletes regardless of scholarship status, including those on medical and 5th year aid, have access to all of the services described in 10a, above. In some cases, student-athletes' use of these services is mandated by their coaching staff; in other cases, student-athletes' use of these services is entirely voluntary.

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

Student-athletes and Athletics Department staff learn about ORACLE, learning strategies workshops, academic counseling for study skills development, and the Writing Center through all of the avenues enumerated at length in the answer to 2.2, 6.1c (above). They can also consult the A-LEC web pages that describe both ORACLE and the Writing Center and list each semester's schedule of workshops.

d. The mechanism for evaluation of these services by academic authorities outside athletics at least once every four years.

The A-LEC is not in and does not report to the Department of Athletics. All hiring, training, and supervision of A-LEC staff, including the two Learning Skills Specialists, is done under the auspices of the Provost, who is the university's Vice President for Academic Affairs. As such, every evaluation of A-LEC services is always performed by academic authorities outside athletics, and this evaluation is done on an annual basis. Evaluations include regular performance reviews conducted by supervisors within the A-LEC or by an Associate Provost in the case of the Director. At their quarterly meetings, the faculty members of the Athletics Council's Academic Subcommittee review all A-LEC services that pertain to student-athletes

e. The mechanism for periodic approval of these services by academic authorities outside athletics.

See d, above. The A-LEC reports to the Vice President of Academic Affairs; all work of the A-LEC is evaluated and approved by academic authorities outside athletics because all A-LEC staff, as well as those to whom they report, are academic authorities outside athletics.

11. Study hall. Availability, facilities, attendance policies.

a. The specific academic support services offered to student-athletes (if any).

Since 2000, most coaches have mandated a specified number of study hall hours for their first-year and at-risk student-athletes, typically defined as those with GPAs of 2.5 and below. Requiring student-athletes to complete a specified number of study hall hours is a necessary academic support function inasmuch as many of the student-athletes are adjusting to a new environment, new expectations, and increased academic rigor. Many student-athletes complete their study hall hours in Room 217 Loyd, a relatively large room complete with laptops, good lighting, and wireless connections; 217 Loyd is adjacent to the A-LEC, thus assuring student-athletes' convenient access to staff and tutors. Members of the football team complete their mandated study hall hours in the team meeting rooms in the basement of the Loyd Center. This room is large enough, but lighting is a problem, and the room is hard to monitor. More recently, because of crowding in A-LEC facilities, members of both the men's and women's basketball teams have had monitored study hours in the newly-built Crum Basketball Center. Rooms in the Crum Center are good for study, but this service is not monitored by the A-LEC, and tutors are not available.

Study Hall attendance policies vary from sport to sport. Some student-athletes must study at specified times, while others must complete specified number of hours but can do so at times they choose. Student-athletes who do not make their required hours are in violation of team rules.

b. Any policies that govern which students can use these services.

Study hall is available to all student-athletes regardless of their scholarship status, and is required for those who are new to SMU or who have cumulative GPAs lower than what each coaching staff considers acceptable. Student-athletes who violate the SAAS team's behavioral policies for study hall will be reported to their coaches and may lose study hall privileges. (Copies of these policies will be available for the third-cycle review team to review.) Typically, monitored study hall is used only by student-athletes who

Academic Integrity

are mandated to do so by their coaches, with other student-athletes studying in and around the A-LEC at their own convenience.

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

Student-athletes learn about study hall through all of the avenues enumerated at length in the answer to 2.2, 6.1c (above). They learn about specific study hall requirements in team meetings and in individual academic counseling sessions with members of the SAAS team.

d. The mechanism for evaluation of these services by academic authorities outside athletics at least once every four years.

The A-LEC is not in and does not report to the Department of Athletics. All hiring, training, and supervision of A-LEC staff, including all members of the SAAS team, is done under the auspices of the Provost, who is the university's Vice President for Academic Affairs. As such, every evaluation of A-LEC services is always performed by academic authorities outside athletics, and this evaluation is done on an annual basis. Evaluations include regular performance reviews conducted by supervisors within the A-LEC or by an Associate Provost in the case of the director. Finally at their quarterly meetings, the faculty members of the Athletics Council's Academic Subcommittee review all work of the SAAS team.

e. The mechanism for periodic approval of these services by academic authorities outside athletics.

See d, above. The A-LEC reports to the Vice President of Academic Affairs; all work of the A-LEC is evaluated and approved by academic authorities outside athletics because all A-LEC staff, as well as those to whom they report, are academic authorities outside athletics.

12. First year/transfer orientation. Availability, attendance requirements.

a. The specific academic support services offered to student-athletes (if any).

At SMU, all new undergraduates, including student-athletes, are required to attend two-day AARO (academic advising registration and orientation) sessions. Students entering in the Summer or Fall attend AARO during late June, July, or early August; students entering in the Spring attend AARO in January. AARO is coordinated by the Office of New Student Orientation and Student Support (reporting to the Dean of Students in the Division of Student Affairs) and the Dedman College Advising Center (reporting to the Dean of Dedman College). During AARO, all new undergraduates meet their official academic adviser, register for their first semester of classes, and attend curricular and co-curricular programs that introduce them to each other, to campus resources available to them, and to the expectations the university has of them. In preparation for AARO, all students—including student-athletes—are expected to read their personal copy of *Your First Year of Study at SMU: An Owner's Manual*, which is mailed to their home address several weeks before their AARO date. All student-athletes attend AARO.

All undergraduates are also expected to attend Mustang Corral, an off-campus orientation event occurring the weekend before classes begin in both the fall and the spring. This event ensures that students can get to know each other and be introduced to the traditions and values that are unique to SMU. Unfortunately, pre-season practice schedules make it impossible for student-athletes competing in Fall sports to attend Mustang Corral. Even more unfortunately, student-athletes in non-Fall sports are less likely to attend Mustang Corral than are their non-athlete counterparts, depriving them of experiences and opportunities for connection that are designed to smooth all students' personal and academic transition to SMU.

The A-LEC's SAAS team holds orientation sessions for all entering student-athletes. These sessions occur in July for student-athletes entering in the Summer, in August for student-athletes entering in the Fall, and in January for student-athletes entering in the Spring. These sessions focus on coach and counselor expectations and on SAAS policies regarding academic counseling, study hall, and tutoring. Other speakers at these orientation sessions include coaches, academic advisors, and formerly academically at-risk student-athletes who have gone on to achieve academic success.

b. Any policies that govern which students can use these services.

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All student-athletes, regardless of scholarship status, are required to attend AARO, encouraged to participate in Mustang Corral, and required to attend the SAAS orientation. Since academically at-risk student-athletes typically begin their SMU careers during the summer before their freshman year, the Office of New Student Orientation and Support Services has been very helpful in reserving spots at the first AARO session of the summer. This permits student-athletes to register for summer and fall coursework before any other cohort of new students.

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

Student-athletes learn about AARO and Mustang Corral through correspondence both from the Office of New Student Orientation and Support Services and from the Athletics Department. The Office of New Student Orientation and Support Services also communicates regularly with coaches and Athletics Department administrators.

d. The mechanism for evaluation of these services by academic authorities outside athletics at least once every four years.

All university-wide orientation activities are organized, run, monitored, and evaluated by entities outside the Athletics Department.

e. The mechanism for periodic approval of these services by academic authorities outside athletics.

See d, above.

13. Mentoring. Availability of mentor, identification and assignment methods frequency of interaction.

a. The specific academic support services offered to student-athletes (if any).

There are no formal, organized mentoring programs available to SMU's student-athletes.

b. Any policies that govern which students can use these services.

Not applicable.

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

Not applicable.

d. The mechanism for evaluation of these services by academic authorities outside athletics at least once every four years.

Not applicable.

e. The mechanism for periodic approval of these services by academic authorities outside athletics.

Not applicable.

14. Post eligibility programs. Availability of scholarships, assistantships and academic support.

a. The specific academic support services offered to student-athletes (if any).

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The same academic support services that are available to student-athletes during the years when they are eligible to compete are available to them post-eligibility. Team-specific SAAS counselors are available for weekly meetings to assist in time management and referral to A-LEC and other campus resources. Tutors remain available, though at this point in their academic careers, most students-athletes work with the GAs, writing tutors, and their faculty, since upper-level courses typically require more papers and prerequisite knowledge. Study hall facilities, equipment check-out, study skills workshops, and appointments with Learning Skills Specialists and Learning Disabilities Specialists remain available to post-eligible student-athletes.

b. Any policies that govern which students can use these services.

Post-eligibility program descriptions, application process, and qualifications are included in the Student Athlete Handbook provided by the Department of Athletics. According to the Handbook, post-eligibility aid will be distributed on a semester-by-semester basis with approval based upon evidence of student effort and of satisfactory progress toward completion of academic requirements. The Handbook lists the procedures, due dates, and terms and conditions for post-eligibility aid. Other forms of aid listed and described include the NCAA Special Assistance Fund, Pell Grants, and NCAA Scholarships. Responsibility for determining post-eligibility aid rests with the Director of Athletics and his senior management team, although the A-LEC's Associate Director for Student-Athlete Academic Services is asked to contribute information about student-athletes' academic performance and attitude.

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

Student-athletes are made aware of these policies in the Student-Athlete Handbook, as well as through conversations with staff from the Athletics Department's Office of Compliance and Student Services.

d. The mechanism for evaluation of these services by academic authorities outside athletics at least once every four years.

The A-LEC is not in and does not report to the Department of Athletics. SAAS team members' work with post-eligibility student-athletes is evaluated in the same way that all other SAAS work is evaluated, under the auspices of the Provost, who is the university's Vice President for Academic Affairs. Information about the SAAS team's work with post-eligibility student-athletes is shared with the Academic Subcommittee of the Athletics Council upon request. With respect to the policies governing the awarding of post-eligibility aid, there are no mechanisms for evaluation of these services by academic authorities outside athletics.

e. The mechanism for periodic approval of these services by academic authorities outside athletics.

See d, above. The A-LEC reports to the Vice President of Academic Affairs; all work of the A-LEC is evaluated and approved by academic authorities outside athletics. With respect to the policies governing the awarding of post-eligibility aid, this process is conducted within Athletics, and there are no mechanisms for periodic approval of these services by academic authorities outside athletics.

7. Please submit a copy of the written report from the most recent academic support services evaluation. [Please use the file upload link contained within this question to submit a copy of the institution's most recent academic support services evaluation.]

A copy of the most recent written report on academic support services has been uploaded.

8. Identify the academic authorities outside the athletics department responsible for conducting the institution's academic support services evaluation and explain the process used in selecting these individuals to ensure they do not have day-to-day responsibilities in the academic support services area. Also, provide the date of the institution's most recent academic support services evaluation.

Institutional academic advising as well as athletic academic advising report to the Provost who is ultimately responsible for review of this area. In that regard, academic authorities outside of athletics (e.g., Director Learning

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Enhancement Center) were responsible for conducting a review of academic support services that was initiated in May 2007.

The SMU faculty and staff involved in the evaluation outside of athletics were selected based upon their familiarity with the institution and included the following:

Tom Tunks, Interim Provost
 Kimberly Bright, Associate Dean - Cox School of Business
 Chuck Donaldson, Associate Dean - Meadows School of Arts
 Jennifer Haden, Associate Dean - Dedman College
 Robb Pocklington, Associate Dean - Dedman College (director of advising)
 Betsy Willis, Associate Dean - School of Engineering
 Vicki Hill, Director, Altshuler Learning Enhancement Center
 Sue Bierman, Associate Director, SAAS
 Jane Preston, Senior Academic Counselor
 Nichole Cruson, Academic Counselor, SAAS
 Meg Banahan, Academic Counselor, SAAS
 Ben Thomas, Associate Director of Tutorial Services
 Ann Shattles, Senior Learning and Communications Specialist
 Alexa Ray, Learning Disabilities Specialist
 Rebecca Marin, Coordinator for Students with Disabilities
 Paul Rogers, Faculty Athletics Representative
 SMU Athletic Council Members
 SMU Student-Athletes

The review was intended to provide suggested improvements or points of action the institution might consider incorporating into academic support existing policies and procedures.

9. If the institution used an outside individual or entity (e.g. conference office, peer colleagues) to assist in the coordination or facilitation of the academic support services evaluation, provide the name(s) and affiliation(s) of the individual(s). Further, describe the process used in selecting this authority outside the institution to ensure the individual(s) is knowledgeable of academic support services. Also, provide a description of the authority(s) involvement in the academic support services evaluation.

On-campus authorities were ultimately responsible for all aspects of the evaluation, determining final recommendations and approving the final written report. However, academic authorities on-campus did collaborate with the conference office (e.g., Associate Commissioner for Compliance & Academics, Director of Student-Athlete Services) in the process and their role was to serve as a resource for the institution. Robert Philippi, Associate Commissioner for Compliance and Academics and Callie Hubbell, Director of Compliance and Student Services on May 23rd and May 24th, 2007, conducted the evaluation visit.

They were selected based on their familiarity with the institution and their extensive experience with academic support issues, which included presenting at the NCAA National Convention on Academic Best Practices, experience as a D-I Director of Academic Services and experience as a D-I Athletic Academic Advisor. The conference office provided materials for the institution's academic authorities to consider and provided examples of best practices utilized at other institutions that might benefit the institution in meeting their athletic academic advising goals during the course of their discussion(s).

Prior to and during the on-campus visit, the institution provided documentation to conference office representatives outlining the organizational structure, detailing procedures that are currently in place, forms that are being utilized and manuals that exist.

The methodology used to gather the information was based on a multi-rater or Management 360 approach with feedback received from all constituency groups that are involved with, affect, utilize or influence the academic support services for student-athletes at the institution. The questions utilized in the interview process were based on the format employed by Division I-A's Program of Excellence and the manual, "Evaluating Academic Advising: Manual for Academic Advising Inventory," was used as an additional reference. If there was indifference between the services provided (i.e., academic support) and the customers' view of those services being provided (i.e., student-athletes, coaches), or if interviews revealed possible improvement areas, best practices were suggested.

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- 10.** Describe the process used by the institution during development of the self-study to review the most recent academic support services evaluation to determine if corrective actions are necessary. In addition, identify the individuals involved in this review.

In May 2007, on-campus academic authorities collaborated with the conference office on an academic support services evaluation. A booklet was compiled with information for the institution to consider and included a "Best Practices" section, which outlined processes and procedures at comparable schools. The information gathered was reviewed first internally by A-LEC staff; then by selected members of the Athletics Department's senior management team (Koni Daws and Jeff Konya) and by staff from the Office of Compliance and Student Services (Jackie Babich and Broadus Whiteside); and finally by faculty members of the Academic Subcommittee of the Athletics Council at a meeting in the fall semester of 2008. Members of this subcommittee are:

Marcia Armstrong, Associate Dean, Cox School of Business
 Dennis Cordell, Professor of History and Associate Dean for General Education
 Dennis Foster, Professor of English
 Kenneth Hamilton, Professor of History
 Patty Harrington Delaney, Professor of Dance
 Benjamin Johnson, Professor of History
 Daniel Orlovsky, Professor of History
 C. Paul Rogers III, Professor of Law and FAR (faculty athletic representative)
 Matthew Wilson, Professor of Political Science
 David Willis, Professor of Engineering

These reviewing groups cited topics noted by the C-USA team relating to the development of a more "usable" tutor manual and other suggestions raised in the best practices area. Academic achievement recognition was an area both the A-LEC and Athletics inquired about for suggestions from the visiting C-USA team.

During their review of the report, faculty members of the Athletics Council's Academic Subcommittee reiterated their concern the A-LEC implementing a class check system. Their preference from the suggestions listed in the C-USA report was that SMU follow the Wake Forest model, in which class checks are expressly forbidden by the Dean. It was concluded that students should have the responsibility of this academic expectation without committing funds to hire people to take visual attendance. It was also concluded that faculty would not want any class check system to be an intrusion within the classroom.

- 11.** Identify relevant corrective actions planned as a result of the process described in Self-Study Item No. 10 or actions previously planned or implemented from the most recent academic support services evaluation. Please provide:

- a. The plan or actions implemented; and
- b. The date(s) of actions taken or specific timetable for completion of the plan(s).

As a result of the academic support services evaluation, it was decided that a more condensed, user-friendly tutor manual would be developed. Specific rules relating to NCAA requirements were added to the Fall 2007 handbook. An extensively-revised handbook is currently being created and should be completed by Fall 2009. Beginning in Fall 2007, SMU partnered with State Farm Insurance to recognize at football halftime, two members who were excelling at academics and two team members who were making great improvements in their academic pursuits. Four home football games identified these "Scholar Student-Athletes" by presenting their pictures on the large scoreboard and announcing their major fields of study. Football student athletes selected for this recognition were determined by SAAS counselors.

In Spring 2008, the Athletics Department and the A-LEC partnered again for annual awards recognition to be presented at half-time of a home men's basketball game. Each year, awards are presented to the male and female teams with the highest GPA; the team with the most improved GPA; the male and female student athlete with the highest GPA; the Myer Brothers Award for Academic Performance (male and female) based upon high academic achievement, high athletic contribution and campus/community involvement or service; and the Scholar Baller Academic Effort Award (male and female) for the "at risk" student who has persisted and whose academic performance exceeds expectations.

Additionally, student-athlete study hall facilities were expanded in Fall 2007.

Academic Integrity

12. List all NCAA Division I Academic Progress Rate (APR) improvement plans developed and approved by the institution if required by the NCAA Division I Committee on Academic Performance. Please provide:

- a. The original plan;
- b. The action(s) taken by the institution;
- c. The date(s) of the action(s); and
- d. An explanation for any partial or noncompletion of such required actions.

1. Original Plan

Establish oversight of academic progress of all sports, including those under 925

Action

1. Establish university core committee to address APR as a whole (FAR (chair), Director of Athletics (or designee), Chair of the SMU Academic Subcommittee of the Athletics Council, A-LEC Associate Director, SWA, Senior Associate AD for Compliance (or designee). For any sports under review, the head coach, academic counselor and sport supervisor will be added to the committee.
2. The committee will meet three times a year to discuss APR and address any sport issues (like men's golf in this case). The committee will meet in October, February and during the summer).
3. Meet in October to address the final report submitted and set the agenda for the year. Meet in February to discuss the fall cohort results. Meet in the summer to address the academic year, preliminary spring cohort results, and look ahead to the upcoming academic year.
4. Review documentation that is required in improvement plans (like the one being written for men's golf).
5. The committee or any participant on the committee has the ability to request a meeting beyond the three required sessions.

Action Date

Immediate and ongoing

Explanation for partial or non-completion

Program is currently underway.

2. Original Plan

Writing academic responsibilities into annual performance evaluation

Action

Change performance evaluation

Action Date

Fall 2009

Explanation for partial or non-completion

Future action.

3. Original Plan

Survey Men's Golf student athletes

Action

Academic Integrity

1. Create and present a survey to all new men's golf student-athletes that asks questions about the recruiting process and why they chose to attend SMU. Compliance will conduct survey during its orientation.
2. Athletic department conducts a survey of selected athletes during the spring. Athletic department conducts written survey of all senior athletes. Selected seniors are also given an oral exit interview. A member of this APR committee will conduct oral exit interviews of athletes who leave the program without being surveyed in one of the two previously mentioned options.
3. The APR committee will analyze the data of the surveys and interviews as well as gain input from the golf coaching staff.

Action Date

Summer 2009 to finalize the new student survey and review the exit interview process

Explanation for partial or non-completion

Future actions.

4. Original Plan

To effectively monitor student-athletes who receive athletic aid

Action

1. A-LEC staff and Golf coaching staff meet before each semester to discuss and develop plans for walk-ons and students who have completed eligibility but haven't graduated.
2. A-LEC and compliance tracks all seniors for graduation and will communicate those who haven't to coaches for potential bonus points.
3. A-LEC and compliance tracks the overall retention and eligibility of scholarship students signed by the golf program—final results are presented to APR committee in each October.
4. A-LEC tracks academic statistics of each signing class. International students, 4 year transfers, and junior college signees will be included. A-LEC and HC will also monitor students signed with under a 2.5 cum GPA and students signed after June 1. HC has goal to reduce students entering under a 2.5 as a freshman. (Faculty Review)

Action Date

Spring 2009

Explanation for partial or non-completion

Underway.

5. Original Plan

To allow freshman to receive summer school aid.

Action

1. Freshmen needing summer school to get eligible would be allowed to apply and receive athletics scholarship aid in the summer.
2. Freshmen recommended by A-LEC counselor would be also given athletics aid due to their professional decision that without such an opportunity, it could negatively impact the futrue ability of the freshmen to remain eligible or graduate ultimately.

Action Date

Summer 2009

Explanation for partial or non-completion

Future action.

6. Original Plan

Academic Integrity

To further educate and mentor coaching staff members.

Action

1. Sport Supervisor to meet monthly with HC (and Assistant if needed) as well as the Deputy Director of Athletics to address such topics as the recruiting process, management strategies, retention, etc).
2. Also, Golf Head Coach to attend HC monthly meeting to receive compliance and academic updates.
3. Recruiting files for golf to be monitored to make sure they are in compliance.
4. Golf coaching staff meets weekly.

Action Date

Spring 2009

Explanation for partial or non-completion

Underway.

7. Original Plan

To provide effective communication about the full academic potential and academic plans for prospects.

Action

1. SMU has written process to evaluate transcripts of prospects for NCAA eligibility and SMU Admissions purposes.
2. Golf coaching staff will provide detailed description of transfer prospects in terms of academic areas of interest and possible career paths.
3. Golf staff and Compliance to share any pertinent academic information with A-LEC that is detailed on international amateurism form and/or included in NCAA academic evaluations.
4. If A-LEC has concerns about prospects, those will be shared with FAR, Golf staff and Sport Supervisor.
5. Golf staff to consult with A-LEC and Sport Supervisor in terms of making financial aid scholarship reduction, renewal or cancellation decisions.

Action Date

Spring 2009

Explanation for partial or non-completion

Underway.

8. Original Plan

To provide communication of academic progress to an athletics advisory board.

Action

To require the Head Coach of any sport that falls below the .925 mark to meet annually with the members of the Athletics Council. The Head Coach should share the plan for academic improvement and answer any questions from the advisory board. Coach must discuss current and future practice schedule, current and future competition schedule and provide an update on missed class time.

Action Date

Spring 2009

Explanation for partial or non-completion

Since the APR results did not come out in time to schedule the Golf Head Coach at the last spring meeting of the Athletic Council, he will meet with the Council at the first fall meeting.

Academic Integrity

9. Original Plan

To require academic "at risk" golf student-athletes stay on campus for housing.

Action

Any "academic at risk" athlete as defined by the A-LEC staff will be required to live in on campus housing. The reason is that such athletes can be monitored more effectively in terms of their academic commitments as well as providing these same athletes with easier access to academic resources.

Action Date

Summer 2009

Explanation for partial or non-completion

Future action.

13. If the institution has developed a plan for improvement(s) for Operating Principle 2.2, describe the institution's efforts to ensure the plan for improvement was developed through a process involving broad-based participation and has received formal institutional approval.

No plans for improvement have been developed.

Academic Integrity

Special-Admissions

FOR FIRST-YEAR STUDENTS GENERALLY
AND FIRST-YEAR STUDENT-ATHLETES ON ATHLETICS AID

		1	2
	Year	All First-Year Students	All First-Year Student-Athletes on Athletics Aid
Percent of Specially Admitted Students		%	%
		%	%
		%	%
		%	%

Name of person completing this chart: _

Title: _

Academic Integrity

Special-Admissions by Sport

FOR FIRST-YEAR STUDENT-ATHLETES ON ATHLETICS AID BY SPORTS GROUP

Year	All First Year Student-Athletes		Baseball		Men's Basketball		Football		Men's Track/ Cross Country		Men's Other Sports and Mixed Sports		Women's Basketball		Women's Track/ Cross Country		Women's Other Sports		
	3	4	3	4	3	4	3	4	3	4	3	4	3	4	3	4	3	4	
-																			
-																			
-																			
-																			

Name of person completing this chart: _

Title: _

Academic Integrity

Test Scores by Gender

FOR FIRST-YEAR STUDENTS GENERALLY AND FIRST-YEAR
STUDENT-ATHLETES ON ATHLETICS-AID

		Gender							
		Male Students		Male Student Athletes		Female Students		Female Student Athletes	
Year		Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students
Average Standardized Test Score	2008-2009	1240	647	1012	34	1234	751	1082	34
	2007-2008	1221	610	940	32	1221	699	1117	31
	2006-2007	1224	616	976	28	1204	755	1071	31
	2005-2006	1227	648	981	33	1204	754	1079	29

Name of person completing this chart: Marc Peterson

Title: Director of Financial Aid

Academic Integrity

Test Scores by Racial or Ethnic Group

FOR FIRST-YEAR STUDENTS GENERALLY AND FIRST-YEAR
STUDENT-ATHLETES ON ATHLETICS-AID

		Racial or Ethnic Group - All Entering First-year Students													
		Am. Ind/An		Asian/PI		Black		Hispanic		White		N-R Alien		Other	
	Year	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	2008-2009	1294	7	1302	75	1119	57	1170	107	1258	1039	1114	76	1232	37
	2007-2008	1192	5	1261	81	1025	50	1190	79	1237	1046	1059	44	1218	4
	2006-2007	1264	8	1276	78	1059	56	1152	89	1231	1070	1061	70		
	2005-2006	1193	10	1246	68	1050	54	1162	89	1234	1121	1048	59		

		Racial or Ethnic Group - All Entering First-year Student Athletes on Aid													
		Am. Ind/An		Asian/PI		Black		Hispanic		White		N-R Alien		Other	
	Year	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	2008-2009					949	14			1110	36	1032	10	906	5
	2007-2008					852	17			1112	39	890	5		
	2006-2007					888	13			1093	39	865	4		
	2005-2006					903	13			1091	41	886	7		

Name of person completing this chart: Marc Peterson

Title: Director of Financial Aid

Academic Integrity

Test Scores and GPA by Sport

FOR FIRST-YEAR STUDENT-ATHLETES ON ATHLETICS-AID

		Sport Group															
		Football		M e n ' s Basketball		Baseball		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	
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	2008-2009	3.06	22	2.42	3					3.21	9	3.15	4	3.43	3	3.13	27
	2007-2008	3.01	20	2.86	7					2.87	5			3.51	4	3.39	25
	2006-2007	2.87	16	3.02	3					2.93	10	3.49	4			3.2	24
	2005-2006	3.12	19	2.48	3					3.27	10	3.31	4	3.49	4	3.14	22

		Sport Group															
		Football		M e n ' s Basketball		Baseball		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	
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
A v e r a g e Standardized Test Score	2008-2009	1029	22	947	3					1020	9	860	4	920	3	1076	27
	2007-2008	935	20	901	7					1016	5			920	4	1171	25
	2006-2007	960	16	1053	3					1046	10	1062	4			1099	24
	2005-2006	978	19	927	3					1046	10	930	4	1153	4	1108	22

Name of person completing this chart: Marc Peterson

Title: Director of Financial Aid

Academic Integrity

Federal Graduation Rates - Comparison Chart

Information obtained to complete this chart

- 2006-2007 NCAA Federal Graduation Rates Report

	FGR
All Students	72%
Student Athletes	76%

Academic Integrity

Federal Graduation Rates by Racial and Ethnic Group

Information obtained to complete this chart

- 2006-2007 NCAA Federal Graduation Rates Report

Men's Team	Team FGR by Racial and Ethnic Group							Team FGR	All SA's	All Male SA's	All Male Students	All Male Students FGR by Racial and Ethnic Group						
	AM.Ind/AN	Asian/PI	Black	Hispanic	White	N-R Alien	Other					AM.Ind/AN	Asian/PI	Black	Hispanic	White	N-R Alien	Other
Basketball	%	%	78%	%	50%	%	%	73%	76%	76%	70%	65%	69%	61%	64%	71%	66%	0%
CC Track	%	%	100%	%	100%	100%	%	100%										
Football	%	50%	69%	0%	79%	100%	%	73%										
Others	%	100%	0%	100%	80%	100%	%	82%										
All Male SA's	%	67%	70%	80%	79%	100%	%	76%										

Women's Team	Team FGR by Racial and Ethnic Group							Team FGR	All SA's	All Female SA's	All Female Students	All Female Students FGR by Racial and Ethnic Group						
	AM.Ind/AN	Asian/PI	Black	Hispanic	White	N - R Alien	Other					AM.Ind/AN	Asian/PI	Black	Hispanic	White	N - R Alien	Other
Basketball	%	100%	100%	%	50%	0%	%	69%	76%	76%	74%	88%	78%	75%	72%	75%	58%	0%
CC Track	%	0%	50%	%	50%	50%	%	43%										
Others	100%	%	100%	%	80%	100%	%	82%										
All Female SA's	100%	50%	88%	%	76%	67%	%	76%										

All Student's	All Students FGR by Racial and Ethnic Group						
	AM.Ind/AN	Asian/PI	Black	Hispanic	White	N-R Alien	Other
72%	76%	74%	70%	68%	73%	62%	0%

Academic Integrity

Federal Graduation Rates by Sport

Information obtained to complete this chart

- 2006-2007 NCAA Graduation Success Rates Report(Columns 1-2 below)
- 2006-2007 NCAA Federal Graduation Rates Report(Columns 3-6 below)

1	2	3	4	5	6
Men's Team	Team FGR	All Students FGR	All Male Students FGR	All SA's FGR	All Male SA's FGR
Basketball	73%	72%	70%	76%	76%
CC Track	100%				
Football	73%				
Golf	50%				
Soccer	86%				
Swimming	100%				
Tennis	100%				

1	2	3	4	5	6
Women's Team	Team FGR	All Students FGR	All Female Students FGR	All SA's FGR	All Female SA's FGR
Basketball	69%	72%	74%	76%	76%
CC Track	43%				
Golf	83%				
Rowing	100%				
Soccer	92%				
Swimming	73%				
Tennis	50%				
Volleyball	82%				

Academic Integrity

Academic Progress Rates

Information obtained to complete this chart

- 2006-2007 NCAA Academic Progress Rate Report(Columns 1-2 below)
- 2006-2007 NCAA Projected Federal Graduation Rate Chart(Columns 3 below)
- 2006-2007 NCAA Federal Graduation Rates Report(Columns 4 below)

1	2	3	4
Men's Team	Team MultiYear APR	Team Projected FGR	All Students FGR
Basketball	965	%	72%
Football	946	%	
Golf	939	%	
Soccer	963	%	
Swimming	974	%	
Tennis	980	%	

1	2	3	4
Women's Team	Team MultiYear APR	Team Projected FGR	All Students FGR
Basketball	969	%	72%
Cross Country	986	%	
Rowing	978	%	
Golf	1000	%	
Soccer	970	%	
Swimming	979	%	
Tennis	956	%	
Track, Indoor	979	%	
Track, Outdoor	979	%	
Volleyball	973	%	

Academic Integrity

Graduation Success Rates

Information obtained to complete this chart

- 2006-2007 NCAA Graduation Success Rates Report(Columns 1-2 below)
- 2006-2007 NCAA Federal Graduation Rates Report(Columns 3 below)

1	2	3
Men's Team	Team GSR	All SA's GSR
Basketball	82%	89%
CC Track	100%	
Football	84%	
Golf	100%	
Soccer	87%	
Swimming	100%	
Tennis	100%	

1	2	3
Women's Team	Team GSR	All SA's GSR
Basketball	92%	89%
CC Track	100%	
Golf	100%	
Rowing	100%	
Soccer	100%	
Swimming	79%	
Tennis	86%	
Volleyball	90%	

Academic Integrity

Retention Rates - Women's Sports

Information obtained to complete this chart

- 2006-2007 NCAA Academic Progress Rate Report
- 2006-2007 NCAA Retention Rate Report

Men's Team	Team Retention by Ethnicity							Team Rate
	AM.Ind/AN	Asian/PI	Black	Hispanic	White	N-R Alien	Other	
Basketball								950
Football								945
Golf								939
Soccer								951
Swimming								965
Tennis								938
ALL SA's								960
ALL Male SA's								948

Academic Integrity

Retention Rates - Women's Sports

Information obtained to complete this chart

- 2006-2007 NCAA Academic Progress Rate Report
- 2006-2007 NCAA Retention Rate Report

Women's Team	Team Retention by Ethnicity							Team Rate
	AM.Ind/AN	Asian/PI	Black	Hispanic	White	N-R Alien	Other	
Basketball								956
Cross Country								986
Rowing								968
Golf								1000
Soccer								958
Swimming								979
Tennis								941
Track, Indoor								992
Track, Outdoor								992
Volleyball								967
ALL SA's								960
ALL Female SA's								973

Gender/ Diversity Issues and Student-Athlete Well-Being

Operating Principle

3.1 Gender Issues

Self-Study Items

1. List all "conditions for certification" imposed by the Committee on Athletics Certification in its second-cycle certification decision (if any) as they relate to Operating Principle 3.1 (Gender Issues). In each case, provide:
 - a. The original "condition" imposed;
 - b. The action(s) taken by the institution;
 - c. The date(s) of the action(s); and
 - d. An explanation for any partial or noncompletion of such required actions.

Please note, the institution is not required to respond to opportunities for enhancement developed by the peer-review team unless those same items were adopted by the Committee on Athletics Certification.

1. Condition

The "Summary of Issues Identified by the NCAA Division I Committee on Athletics Certification," received by SMU on February 21, 2001, included the following issue related to Operating Principle 3.1:

3. The committee noted the institution's gender-equity plan did not include the required elements of a plan. The institution must enhance the plan for addressing gender equity concerns to include the following elements: (a) intended end results, (b) individual or offices that will be responsible for taking specific actions, (c) the specific timetable(s) for completing the work, (d) a means for funding the implementation of the plans, and (e) institutional approval of the plans.

Action

The Gender Equity Subcommittee (GES) of the Athletic Council developed a revised gender-equity plan which included: (a) issues in the self-study, (b) measurable goals, (c) steps to achieve goals, (d) individuals/officers responsible for implementation, and (e) a specific timetable for completing the work.

Action Date

This plan was submitted and accepted by the NCAA during the Spring of 2002.

Explanation for partial or non-completion

SMU completed the required action, as noted above.

Gender/ Diversity Issues and Student-Athlete Well-Being

2. Report on the implementation of the plan for improvement to address gender issues developed by the institution during its second-cycle certification process. In each case, provide:
- The original plan;
 - The action(s) taken by the institution;
 - The date(s) of the action(s); and
 - An explanation for any partial or noncompletion of such plans.

The Committee on Athletics Certification will not accept the following explanations for partial completion or noncompletion:

- The institution did not possess sufficient funds to implement the plan.
- The institution has had personnel changes since the original development of the plan.

Within gender-issues and diversity-issues written plans, specific numerical targets may place an institution at legal risk and are not expected in an institution's written plan, particularly as it relates to hiring practices. In the program area of hiring practices, institutions may submit plans that have broad, flexible non numeric hiring goals. As it relates to other program areas, including but not limited to, participation rates and budget increases, specific numerical targets may be appropriate.

1. Original Plan

To provide consistent monitoring of the issue of gender equity in SMU Athletics.

Action

The Equity Subcommittee of the Athletic Council has made annual reports to the Athletic Council, through its chair (who is also the Title IX Coordinator for the University).

In compliance with SMU Manual of Governance of Intercollegiate Athletics (II. A.(a)(4)) these reports have included an annual report from the Director of Athletics ("Athletic Department Equity Reviews") based on SMU's annual EADA and NCAA Gender Equity Reports (2003 - 2008). (See Tables 1 - 6.)

These reports have also included the following:

A report analyzing various women's sports for cost and other factors relating to feasibility of addition to the SMU Athletic Department. (See Table 7, 2008).

Reports analyzing annual NCAA Reports for 2001-2006 and 2001-2008. (See Tables 8 and 9).

Reports from the Title IX Coordinator and University Equity Officer (Office of Institutional Access and Equity) relating to salaries, employment classification, women's advancement to positions of head coach, participation rates.

Letters regarding those issues were also submitted to the Athletic Director in June 2003, January 2004, and August 2008. (See Attachments 4, 5, and 6.)

In addition, the Committee reported to President Turner in 2004 regarding participation rates, and the addition of Equestrian as a women's sport. (See Attachment 7.)

The Athletics Department completed annual reviews of Department of Athletics expenditures in lieu of biennial reports from the University Auditor.

Action Date

Annually 2003-2008 and at specific dates during this period.

Explanation for partial or non-completion

Gender/ Diversity Issues and Student-Athlete Well-Being

Athletics Director's reports do not include specific goals for future Semesters as required by the SMU Manual of Governance.

The Equity Subcommittee reviewed athletic participation, proportionality in scholarships, salary and financial information for program areas. It did not receive or review other information regarding treatment (such items as equity in equipment, locker rooms, etc.)

2. Original Plan

To reach proportionality in participation and in scholarships (amount distributed) to women by adding three new women's sports.

Action

1. Addition of Women's Sports:

As of academic year 2008-2009, SMU is in compliance with NCAA standards for participation. SMU's undergraduate population for 2008-2009 is 46% men/ 54% women. The Athletics Department's student-athlete participation ratio is 49% men / 51% women. This ratio falls within the 3% allowable under the NCAA standards for participation rates.

As of academic year 2008-2009, SMU is within 2% of proportionality (and 1% of compliance) for athletic scholarships.

In 2008-2009 there are 414 total student-athletes at SMU. The financial aid participation ratio for 2008-2009 is: 53% men and 47% women. For this year SMU has awarded 55% of its athletics-based student aid to men and 45% to women—which is within 2% of proportionality, and 1% of NCAA compliance for athletic scholarships.

Several of the women's programs at SMU are not currently using their full allotment of scholarships, including Equestrian, which is still phasing in participation. SMU should be at full compliance within the next academic year.

2. Roster Management

The Athletics Director, program administrators, and SWA have educated coaches on an ongoing basis on the rationale, need and importance of roster management for participation equity.

Action Date

1. Addition of Women's Sports
Throughout the period 2002-2008.
2. Roster Management
Annually.

Explanation for partial or non-completion

According to the plan, Equestrian was to have been sponsored by SMU at the NCAA level by fall 2003. Due to a variety of factors including difficulties in obtaining adequate facilities, hiring coaches, and recruiting a first class of student-athletes, Equestrian was not fully sponsored until 2004 - 2005.

Equestrian currently has a full-time head coach and part-time assistant coach. In 2008, it is offering 10.17 of 15 possible scholarships, and has 29 student-athletes. In order to become a fully-funded program (in terms of scholarships), Equestrian will need greater resources for adding coaching and administrative staff, acquiring horses, and providing equipment/uniforms for its student-athletes.

In Spring 2004, SMU made the difficult decision to eliminate the Men's Track and Field Program for financial reasons. At that time it was anticipated that given the reduction of male student-athletes from this program, the participation and financial aid ratios between women and men student-athletes would move steadily toward compliance as the Equestrian program phased in. It was foreseen that the addition of a second women's sport might not be necessary to reach compliance.

Gender/ Diversity Issues and Student-Athlete Well-Being

By 2008, it was clear that no additional women's programs would be necessary for compliance in either participation or scholarships.

2. Roster Management
Not Applicable.

3. Original Plan

To achieve equity in the allocation of financial resources between men's and women's programs by eliminating gender-based disparities.

Action

A. Recruitment

Recruiting budgets are analyzed for gender equity annually by the Athletic Director, SWA, and Equity Subcommittee.

B. Equitable Salaries for Men's and Women's Head Coaches:

Head Coach salaries are analyzed annually for gender equity by the Athletic Director, SWA, and Equity Subcommittee.

In 2006, the average salary/FTE for women's head coaches was 41% of the average salary/FTE for men's head coaches.

In 2008, the average salary/FTE for women's head coaches was 24% of the average salary/FTE for men's head coaches.

This difference is due, in large part, to increased salary for a new head football coach (2008) and increased salary for a new men's basketball coach (2007). Both of these coaches are nationally-known and recognized as successful coaches.

The men's basketball coach's salary rose by 200% with the hiring of the new coach. The football coach's salary rose by almost 300%. The head football coach's salary is the highest football salary for C-USA for 2008. The men's basketball head coach's salary is the second highest for C-USA for 2008.

Most head coaches for women's program are compensated equally well, compared to C-USA average salaries. Five of the nine head coaches in women's sports at SMU rank #1 in compensation in C-USA for 2008:

- Women's Basketball
- Women's Track and Field
- Women's Golf
- Women's Swimming
- Volleyball

For all head coaches other than basketball and football, the average salary/FTE for women's head coaches was 56% of the average salary/FTE for men's head coaches in 2006.

For all head coaches other than basketball and football, the average salary/FTE for women's head coaches had risen to 62% of the average salary/FTE for men's head coaches in 2008.

C. Equitable Salaries for Men's and Women's Assistant Coaches

Assistant Coach salaries are analyzed annually for gender equity by the Athletic Director, SWA, and Equity Subcommittee.

Women's Basketball assistant coaches earn the highest average salaries in C-USA in 2008.

D. Equitable "Friends" Accounts.

Friends accounts are analyzed annually for gender equity by the Athletic Director, SWA, and Equity Subcommittee.

Friends accounts were not eliminated for non-revenue sports, as directed in the plan.

Gender/ Diversity Issues and Student-Athlete Well-Being

Rather, in 2006, it was decided that each team with a friends account would retain all money donated to it for operating expenses in the year in which it was given.

E. Enhance, where possible, the number of women coaches

Between 2006 and 2008 SMU increased the number of female head coaches from three to four, and the number of female assistant coaches from 6 full-time and 2 part-time to 10 full-time and 1 part-time.

F. Equitable Travel and Per Diem for Each Sport:

Travel accounts are analyzed annually for gender equity by the Athletic Director, SWA, and Equity Subcommittee.

In 2008, travel expenses for Football, and Men's and Women's Basketball were 57% of the travel budget for the department. Expenses for travel for Women's Basketball were 17% less than the travel for Men's Basketball. Between 2006-2007 and 2007-2008 expenses for travel for Women's Basketball doubled—from \$140,172 to \$280,633. [This is related to the fact that post-conference play for 2007-2008 was in Orlando and not Dallas.]

For other comparable sports, travel expenses are equitable with the possible exceptions of Golf and Soccer. In 2008, the Men's Golf program spent 7% more than the Women's program, and the Men's Soccer program spent 7% more than the Women's program.

G. Equitable Equipment Budgets for Each Sport

Equipment, supplies, and uniform budgets are analyzed annually for gender equity by the Athletic Director, SWA, and Equity Subcommittee.

For the three years between 2002-2003 and 2004-2005, Women's Basketball spent more than Men's Basketball: 53% more in 2002-03; 36% more in 2003-2004; and 17% more in 2004-2005. In 2005-2006 expenses for equipment, etc. were within 1% of being equal.

Since the arrival of the new Men's Basketball coach in 2006, expenses for Men's Basketball have grown dramatically. In 2006-2007 Men's Basketball spent 54% more than Women's (and 33% more than in 2004-2005). In 2007-2008 the Women's budget had grown 36% and the disparity between Women's and Men's Basketball had decreased to 36%.

Men's Golf consistently outspends Women's Golf on equipment, etc. by a wide margin, and has done so since 2001-2002. Men's Golf spent 45% more than Women's in 2007-2008.

Women's Soccer has outspent Men's Soccer for the last three years. In 2007-2008 Women's Soccer spent 50% more than Men's Soccer.

Action Date

A. Recruitment

Annually.

B. Equitable Salaries for Men's and Women's Head Coaches

Annually.

G. Equitable Equipment Budgets for Each Sport

Annually.

C. Equitable Salaries for Men's and Women's Assistant Coaches

Annually.

D. Equitable "Friends" Accounts.

Annually.

Gender/ Diversity Issues and Student-Athlete Well-Being

E. Enhance, where possible, the number of women coaches
Between 2006 and 2008.

F. Equitable Travel and Per Diem for Each Sport:
Annually.

Explanation for partial or non-completion

A. Recruitment

In 2006, women's recruiting expenses were 31% of men's.

In 2008, women's recruiting expenses were 27% of men's.

The percentage of the recruiting budget allocated to women has declined in the last 3 years. This is largely due to increasing expenses in Men's Basketball recruiting (from \$70,798 to \$155, 123), with no corresponding increase in Women's Basketball recruiting (from \$47,089 to \$49,881) or in any other women's program.

Expenses for Women's Basketball recruiting have only increased from \$47,089 (2001) to \$49,881 (2008).

B. Equitable Salaries for Men's and Women's Head Coaches

Head coaches for Rowing, Tennis and Equestrian earn significantly less than all other head coaches.

The head coach for Rowing is under-compensated for his experience and seniority. He earns less than an assistant coach in Women's Soccer, approximately one-half the salary of the lowest paid head coach for men's teams (Swimming), and only slightly more than the newest women's head coaches (Tennis and Equestrian).

Head coaches for Tennis and Equestrian earn approximately one-half of the salary of the lowest paid head coach for a men's team (Swimming).

NOTE: Only the head coaches from Football, and Men's and Women's Basketball have contracts which are current.

C. Equitable Salaries for Men's and Women's Assistant Coaches

[REDACTED]

NOTE: Only assistant coaches from Football and Men's Basketball have contracts which are current.

D. Equitable "Friends" Accounts.
Not Applicable.

E. Enhance, where possible, the number of women coaches

In 2008, male head coaches outnumber women head coaches: 11 to 4.

In 2008, male assistant coaches outnumber women assistant coaches: 28 to 10. SMU continues to seek out the best candidates for any position, and to increase the pool of women's candidates for all job searches.

F. Equitable Travel and Per Diem for Each Sport:

Gender/ Diversity Issues and Student-Athlete Well-Being

Women's Basketball has made strides toward equity with Men's Basketball, but there is still need and room for growth. When the Women's team travels to the East Coast, it needs funds to fly between games, as is routine for the Men's team. The Women's team has been traveling by bus through the mountains. The head coach considers this bus trip to be dangerous (on icy roads) and too time-consuming and tiring for her players.

The current spending level for Women's Basketball travel should be maintained at its current rate with any increase necessary to secure charter flights when the team travels to North Carolina.

Spending levels for travel for Golf and Soccer should be monitored, to make sure that both teams are able to participate in high-level tournaments.

G. Equitable Equipment Budgets for Each Sport

The level of expenses for equipment, etc. between Men's and Women's Basketball need to be closely monitored, and brought back to parity.

Both Equestrian and Women's Track and Field need increased funding for equipment in order to be competitive and to remain safe. The women in Equestrian currently provide their own uniforms and much of their own equipment. The women in Track and Field need new uniforms, practice uniforms, and the replacement of extremely outdated equipment.

Spending for equipment, etc. for Men's and Women's Golf should be brought into parity.

Spending for equipment, etc. for Men's and Women's Soccer should be monitored and brought back to parity.

4. Original Plan

To monitor coaching positions, and to adjust coaching opportunities to reach NCAA maximum levels across sports.

Action

Coaching opportunities are analyzed annually for gender equity by the Athletic Director, SWA, and Equity Subcommittee.

Vacant assistant coach positions are filled as quickly as possible in all sports.

A new half-time assistant coach position was created and staffed in Equestrian in 2008-2009.

Women's Tennis, Soccer, Rowing, and Indoor Track created new assistant coach positions and hired coaches in 2008-2009.

Action Date

Annually.

Explanation for partial or non-completion

Women's Golf has an open assistant coach position which should be filled.

5. Original Plan

Increase administrative support staff as teams are added.

Action

Administrative matters for the one new sport, Equestrian, are currently handled by the person who formerly administered Men's Track.

A Director of Operations was added in Women's Basketball in 2006.

Action Date

As occurring.

Gender/ Diversity Issues and Student-Athlete Well-Being

Explanation for partial or non-completion

Not Applicable.

6. Original Plan

To renovate Moody Coliseum to enhance office space for coaches and staff.

Action

In 2007, SMU opened the SMU Crum Basketball Center which houses practice facilities, player locker rooms and lounges, training and rehabilitation facilities, strength and conditioning equipment, coaches' offices and conference facilities, and coaches' locker rooms for both programs. The Crum facility gives equal space and amenities to both programs, and greatly improves the office space for both the coaches and their staffs.

With the opening of the Crum Center, both Volleyball and Women's Tennis were able to expand their facilities—offices and locker rooms for Volleyball and offices for Women's Tennis in Moody Coliseum.

Action Date

2007.

Explanation for partial or non-completion

Further renovations to Moody Coliseum are being planned.

7. Original Plan

Reporting from the SAAC will be formalized to better utilize student-athlete input on gender equity.

Action

The SAAC continues to meet with the SWA and other staff members, but does not produce minutes of meetings.

Action Date

Ongoing.

Explanation for partial or non-completion

Records need to be kept of SAAC meetings, especially when discussions relate to gender equity.

8. Original Plan

To assess student interests in intercollegiate athletics for purposes of determining proportionality in participation.

Action

In 2004, when it became clear that SMU would reach proportionality in participation through the addition of Equestrian, it was decided to forego this assessment.

Action Date

Through 2004.

Explanation for partial or non-completion

Not applicable.

9. Original Plan

To enhance distribution of annual EADA reports to Athletics Department stakeholders including the President, Office of Institutional Access and Equity, and Athletic Council members.

Gender/ Diversity Issues and Student-Athlete Well-Being

Action

The Athletics Director's annual report (which provides analysis of the EADA materials) was distributed annually to the Equity Subcommittee (which works with the Office of Institutional Access and Equity on gender equity matters) and to the Athletic Council (which reports to the President on gender equity matters).

Action Date

Annually.

Explanation for partial or non-completion

Not Applicable.

10. Original Plan

To renovate the old boathouse or build a new boathouse to secure future growth of the Rowing program.

Action

The White Rock Boathouse was completed and dedicated in 2008. It includes 7500 square feet, with enough space to house 10 eights, 10 fours, 12 pair doubles and numerous singles as well as 25-30 ergs. It also includes three bathrooms and three showers.

Action Date

Completed in 2008.

Explanation for partial or non-completion

Not Applicable.

3. Describe any additional plans for improvement as they relate to Operating Principle 3.1 (Gender Issues) developed by the institution after the second-cycle certification decision was rendered by the Committee on Athletics Certification. In each case, provide:

- a. The additional plan;
- b. The action(s) taken by the institution;
- c. The date(s) of the action(s); and
- d. An explanation for any partial or noncompletion of such plans.

No additional plans for improvement were developed.

4. Explain how the institution is organized to further its efforts related to the gender-issues operating principle for both athletics department staff and student-athletes.

I. Athletic Council

The Manual of Governance of Intercollegiate Athletics for SMU mandates the following regarding the promotion of gender equity in the Athletic Department:

- The SMU Athletic Council (whose chair is appointed by the President, and which reports directly to the President on all issues relating to Athletics at SMU) is charged, among its other responsibilities, with monitoring compliance with Title IX (II.A(b)(7)).

- In addition, the Athletic Council has an Equity Subcommittee. This committee is composed of four faculty members of the Athletic Council, two students, and five ex officio members (the Athletics Department Compliance Officer, two senior female administrators from the Athletic Department, the Director of Institutional Access and Equity, and the University's Internal Auditor) (II.A(a)(4)).

Gender/ Diversity Issues and Student-Athlete Well-Being

- The Equity Subcommittee has responsibility for monitoring and evaluating the University's commitment to gender equity in athletics. Its functions include:

- a) monitoring and evaluating the implementation of the University's plan for gender equity—including participation (II.A.(4)(a));
- b) receiving and reviewing an annual report from the Director of Athletics which includes the current status of efforts to achieve equity and goals for the next academic term (II.A.(4)(a));
- c) making recommendations to the Athletic Council concerning implementation of specific components of the University's plan for gender equity (II.A.(4)(a));
- d) monitoring and evaluating the University's commitment to "other program areas," including practice and competitive facilities, equipment and supplies, scheduling, medical and training facilities, recruitment, travel, administrative support, operating budgets, financial aid, housing, health and injury insurance, and academic support (II.A.(4)(b));
- e) monitoring and making recommendations for meeting the evolving standards for compliance of the NCAA in the areas of gender issues for determining compliance (II.A.(4)(d));
- f) reporting to the full Athletic Council regarding equity matters (II.A.(4)(e)); and,
- g) gathering and receiving information required to enable it to complete the functions enumerated (II.A.(4)(f)).

II. Athletics Department and University Administration

In the Athletics Department, the Director of Athletics and the Senior Woman Administrator are responsible for implementing policies and monitoring progress in gender equity. The SWA is an ex officio member of the Equity Subcommittee of the Athletic Council, and brings equity reports (such as the EADA and NCAA) to that committee for its review. In addition, she conducts other studies (such as the 2008 report on women's sports under consideration for adoption) and analyzes financial and other reports generated by the Athletic Department for equity considerations.

The Assistant Athletics Director for Business analyzes annual program budgets for equity issues, and develops equity reports for the Athletics Director, the SWA, and the Athletic Council. In addition, he compiles budget figures and works with the Internal Auditors of the University to produce the EADA and NCAA annual reports.

The Director of Compliance for the Athletics Department is a resource for all other staff members regarding standards for and implementation of equity initiatives.

The Director of Institutional Access and Equity, housed within the President's Office, reviews all equity reports from the Athletics Department as a member of the Equity Subcommittee of the Athletic Council. In addition, she oversees hiring procedures and reviews annual salaries (and contracts, if applicable) for all Athletics Department staff for compliance with principles of equity.

5. Describe how matters concerning gender equity are monitored, evaluated and addressed on a continuing basis.

The SMU Athletic Council, which reports directly to the President on all issues relating to Athletics at SMU, is charged with monitoring compliance with Title IX. The Athletic Council submits an annual report to the President regarding gender equity in the Athletics Department.

The Equity Subcommittee of the Athletic Council has specific responsibility for the ongoing monitoring and evaluations of gender equity in athletics, including:

- a) monitoring and evaluating the implementation of the University's NCAA plan for gender equity (including participation, financial aid, and treatment equity);
- b) receiving and reviewing an annual report on gender equity from the Director of Athletics;
- c) receiving and reviewing annual EADA and NCAA Reports from the Athletics Department;
- d) gathering and receiving any other information required to enable it to complete the above functions;
- e) making an annual report with recommendations to the Athletic Council concerning implementation of specific components of the University's plan for gender equity; and,

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f) monitoring and making recommendations for meeting the evolving standards for compliance of the NCAA in the areas of gender.

The Athletic Council and the Equity Subcommittee work closely with the Director of Athletics, the Senior Woman Administrator, the Assistant Athletic Director for Business, the Associate Athletic Director for Compliance, and the Director of Institutional Access and Equity in fulfilling these functions.

6. For the three most recent academic years in which information is available, analyze your institution's Equity in Athletics Disclosure Act (EADA) report (i.e., participation, head coaches and assistant coaches). If any differences exist, your institution must explain (using supporting data) and address any deficiencies in your gender-issues plan for improvement.

EADA REPORT ANALYSIS: 2006 - 2008

I. Participation:

Between 2006 and 2008 SMU's undergraduate enrollment has gone from 55% women to 54% women. During the same period, SMU's athletic participation rate for women has risen from 50% to 51%. In 2008, SMU's male/female participation ratio is within 3% of SMU's undergraduate enrollment ratio, and is, therefore in compliance with NCAA standards for participation.

	2006		2007		2008	
	Men	Women	Men	Women	Men	Women
SMU Undergrad Enrollment	45%	55%	45%	55%	46%	54%
SMU Athletic Participation	50%	50%	50%	50%	49%	51%

II. Head Coaches

A. Numbers:

From 2006-2008 the number of female head coaches has risen from 3 to 4. The number of female head coaches is still significantly lower than male head coaches. There are currently 5 male head coaches and 4 female head coaches for women's teams. This issue is addressed in the 5-Year Gender Equity Plan.

	2006		2007		2008	
	Men	Womens	Men	Women	Men	Women
	Teams	Teams	Teams	Teams	Teams	Teams
Tot # of HC	7	10	6	9	6	9
Male Coaches	7	7	6	5	6	5
Female Coaches	0	7	0	4	0	4

B. Salaries:

Between 2006 and 2008 the average salary/FTE for head coaches of women's teams decreased from 44% of the average salary for head coaches of men's teams to 24.5%.

Between 2006 and 2008 the average salary/FTE for head coaches of men's teams has risen by \$290,521. Between 2006 and 2008 the average salary/FTE for head coaches of women's teams has risen by \$40,300—86% less than for head coaches of men's teams.

These statistics are primarily the result of the addition of a new men's basketball coach (2006) and new football coach (2008).

Data:

2006—The average salary/FTE for head coaches of women's teams (\$70,074) is 44% of the average salary for head coaches of men's teams (\$159,368).

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2007—The average salary/FTE for head coaches of women's teams (\$100,374) is 30.8% of the average salary for head coaches of men's teams (\$326,076).

2008—The average salary/FTE for head coaches of women's teams (\$110,105) is 24.5% of the average salary for head coaches of men's teams (\$449,889).

III. Assistant Coaches

A. Numbers:

Between 2006 and 2008 the total number of assistant coaches at SMU has risen from 30 to 38. This increase includes the addition of 6 new male coaches and 2 new female coaches. Men's teams have added 3 coaches; women's teams have added 5 coaches. The number of female assistant coaches is still significantly lower than male assistant coaches. This issue is addressed in the 5-Year Gender Equity Plan.

	2006		2007		2008	
	Men	Women	Men	Women	Men	Women
	Teams	Teams	Teams	Teams	Teams	Teams
Tot # of AC	19	11	21	13	22	16
Male Coaches	19	3	21	5	22	6
Female Coaches	0	8	0	8	0	10

B. Salaries:

Between 2006 and 2008 the average salary/FTE for asst. coaches of men's teams has fallen by \$49,305. Between 2006 and 2008 the average salary/FTE for asst. coaches of women's teams has fallen by \$22,089. The average salary for assistant coaches of women's teams has risen from 52% of the average salary for assistant coaches of men's teams (2006) to 56% (2008).

Data:

2006—The average salary/FTE for asst. coaches of women's teams (\$73,754) is 52% of the average salary for asst. coaches of men's teams (\$141,447).

2007—The average salary/FTE for asst. coaches of women's teams (\$56,652) is 63% of the average salary for asst. coaches of men's teams (\$89,272).

2008—The average salary/FTE for asst. coaches of women's teams (\$51,665) is 56% of the average salary for asst. coaches of men's teams (\$92,141).

7. For the three most recent academic years in which information is available, analyze your institution's NCAA financial report (all revenue and expense categories). If any differences exist, your institution must explain (using supporting data) and address any deficiencies in your gender-issues plan for improvement.

NCAA Report Analysis: 2006 - 2008

Note: Percentages and dollar amounts have been rounded for clarity.

A. REVENUES

1. Ticket Sales

In each year from 2006 through 2008, 95% of ticket sales were for football and men's basketball competitions. Football accounted for 80% in 2006; 77% in 2007; and 78% in 2008. Total revenue for tickets increased from \$2.1 million in 2006 to \$2.4 million in 2008. Total revenue for men's basketball increased from \$293,000 in 2006 to \$411,000 in 2008. No gender equity issues.

2. Student Fees

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Student fees are not allocated to individual sports. No gender equity issues.

3. Guarantees

Revenue from guarantees fell from \$659,000 in 2006 to \$405,000 in 2008. Guarantees for Football accounted for 99% of all guarantees in 2008 (\$400,000) and 91% in 2006 (\$600,000). Guarantees for Men's Basketball fell from 7.6% in 2006 to 0% in 2008. No gender equity issues.

4. Contributions

Between 2006 and 2008, contributions allocated to men's sports rose from 20% of total contributions (77% not allocated) to 53% of total contributions (43% not allocated). 45% of allocated funds went to Football in 2008; 14% went to Football in 2007; 4% went to Football in 2006. The steep increase in the percent to Football in 2008 is related to the hiring of a new football coach in that year. Contributions allocated to women's sports went from 2.5% in 2006 to 4.4% in 2008. Equity issues are addressed in the Gender Equity Plan.

5. Compensation and Benefits (Third Party)

In 2006, 64% of Third Party benefits went to men's coaches and 29% went to women's coaches. In 2008, 74.5% went to men's coaches and 15% went to women's. This change is largely due to Men's Basketball coaches receiving 0% of Third Party benefits in 2006 and almost 16% of those benefits in 2008. No gender equity issues.

6. Direct State or Other Government Support

Not Applicable

7. Direct Institutional Support

Direct Institutional Support was given 55% to men's sports and 45% to women's sports in 2006—a 10% difference. In 2008, this difference was reduced by 5%: Direct Institutional Support was given 44% to men's sports; 39% to women's sports, and 16% not allocated to either men's or women's sports. No gender equity issues.

8. Indirect Facilities and Administrative Support

Indirect Facilities and Administrative Support is allocated to program areas, including women's and men's sports, in an amount proportional to the program budgets. In 2006, 50% of Indirect Facilities and Administrative Support was allocated to men's sports; 19% to women's; and 30% not specifically allocated to either. In 2008, 47% of indirect support was allocated to men's; 16% to women's; and 36% not specifically allocated to either. No gender equity issues.

9. NCAA/Conference Distributions

In 2006, 77% of NCAA/conference distributions were received for men's sports; 22% for women's. In 2008 72% were received for men's sports, 21% for women's, and 7% were not allocated. No gender equity issues.

10. Broadcast, TV, Radio and Internet Rights

Not Applicable

11. Program Sales, Concessions, Parking

In 2006, 68% of program sales, concessions, and parking were generated from men's sports (34% from Men's Basketball; 34% from Football); 0% was generated from women's sports; and 32% was not allocated. In 2008, 96% of program sales, concessions, and parking were generated from men's sports (19% from Men's Basketball; 76% from Football); and 4% was not allocated. No gender equity issues.

12. Royalties, Licensing, Advertising and Sponsorships

For all three year, over 96% of the revenue from Royalties, Licensing, Advertising and Sponsorships was not allocated to either men's or women's sports. No gender equity issues.

13. Sport Camp Revenues

In 2006 the Athletic Department received sports camp revenues (totally less than \$50,000) from football and men's golf. In 2008, the Athletic Department received no revenues from sports camps. No gender equity issues.

14. Endowment and Investment Income

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In 2008, 62% of Endowment and Investment Income was allocated to men's sports (primarily football, men's basketball, men's tennis, men's swimming, and golf); 18% was allocated to women's sports (spread across women's sports); and, 20% was not allocated. Total endowment/investment income was \$678,000. In 2006, total endowment/investment income was only \$134,000, 75% of which was allocated to men's sports; 26% to women's sports; and 4% not allocated. (Please note that the amount reported in 2006 represents income yield only, but if both income and gain distribution had been reported, the amount would have been more comparable to 2008.) No gender equity issues.

15. Other

79% of other income was not allocated in 2008; 59% was not allocated in 2006.

B. EXPENSES:

17. Athletic Student Aid

In 2006, SMU gave 56.1% of its financial aid funds to men and 42.2% to women (1.7% not allocated). In 2008 SMU had reduced its financial aid to men to 54.8% and raised its financial aid to women to 44.2% (.89% not allocated).

In 2008-2009 there are 414 total student athletes at SMU. The financial aid participation ratio for 2008-2009 is: 53% men and 47% women. With additional scholarships awarded by Equestrian for 2009-2010, SMU will be within 1% of proportionality for compliance with NCAA standards for financial aid.

18. Guarantees

In 2006, men's sports (football and men's basketball) accounted for 93% of guarantee expenses. In 2008, men's sports account for 91% of guarantee expenses. No gender equity issues.

19. Coaching Salaries, Benefits, Bonuses Paid by University

In 2006, coaches for men's sports were paid 69% of the total (\$4.8 million) in salaries, benefits, and bonuses. In 2008, coaches for men's sports were paid 72.6% of the total (\$6.4 million). This increase in percentage and amount is primarily due to the hiring of two high-profile new men's head coaches—Men's Basketball (2006) and Men's Football (2008). [Salaries, etc. for Football grew from \$1.78 million in 2007 to \$2.95 million in 2008; salaries, etc. for Men's Basketball grew from \$778,000 in 2006 to \$988,000 in 2008.] The head football coach's salary is the highest football salary for C-USA for 2008. The men's basketball head coach's salary is the second highest for C-USA for 2008.

Women's coaches' salaries have grown from \$1.46 million to \$1.76 million over these 3 years.

There is currently a significant disparity between the head coach of Women's Basketball and the head coach of Men's Basketball. There are also disparities between head coaches in golf, soccer, and tennis, which are related to years of service, success, and experience of the men's head coaches.

Most head coaches for women's program are compensated in the top range for C-USA average salaries. Five of the nine head coaches in women's sports at SMU rank #1 in compensation in C-USA for 2008:

- Women's Basketball
- Women's Track and Field
- Women's Golf
- Women's Swimming
- Volleyball

20. Coaching Salaries, Benefits, Bonuses Paid by a Third Party

The total amount of third party contributions to salaries, etc. has remained fairly constant over the last 3 years—from \$419,000 in 2006 to \$429,000 in 2008. Of this amount, 68% went to men's sports and 32% went to women's sports in 2006. In 2008, 83% went to men's sports and 17% to women's. This is due to decreases in Women's Basketball (from 7% to 2%) and Women's Soccer (from 9.4% to .6%), and increases in Men's Basketball (from 0% to 17%). No gender equity issues.

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21. Support Staff/Administrative Salaries, Benefits, Bonuses (University)

In 2006, salaries, etc. for support staff totaled \$2.97 million. 18% of this (\$545,000) was allocated to men's sports; 2.5% (\$75,000) was allocated to women's; and 79% was not allocated to either. Over 12% (\$366,000) of the total budget was allocated to Football; this was 59% of the budget allocated to men's and women's sports for 2008.

In 2008, salaries, etc. for support staff totaled \$4.1 million—\$3.6 million (89%) was not allocated to either women's or men's sports. 8% (\$333,000) of the total 2008 amount was allocated to men's sports, and 2.8% (\$115,391) was allocated to women's:

- Men's and Women's Basketball (approximately 1.3% each);
 - Men's and Women's Golf (.4% to Men's and .1% to Women's);
 - Men's and Women's Soccer (approximately 1% each); and
 - Men's and Women's Swimming (1.3% to Men's and .5% to Women's).
- Allocation for Football was reduced from 12% (\$366,000) in 2006 to 4% in 2008 (\$164,000). With this reduction, expenditures in Football were reduced to 37% of the total expenditures allocated to men's and women's sports for 2008.

In 2008, the following sports had no funding for administrative support:

- Men's and Women's Tennis
- Equestrian
- Rowing
- Track and Field
- Volleyball

This issue is addressed in the Gender Equity plan.

22. Support Staff/Administrative Salaries, Benefits, Bonuses (Third Party)

In 2008 only \$59,900 was expended on support staff salaries, etc. from third parties. 88% of this was not allocated to women's or men's sports. Men's sports received \$6,150 for Football (\$3400) and Men's Basketball (\$2750). Women's Basketball received \$1,000. No gender equity issues.

23. Severance Payments

2008 severance payments are allocated 100% to men's sports and relate to the termination of the head football coach in 2008. No gender equity issues.

24. Recruiting

In 2006, women's recruiting expenses were 31% of men's. In 2008, women's recruiting expenses were 27% of men's. The percentage of the recruiting budget allocated to women has declined in the last 3 years.

This is largely due to increasing expenses in Men's Basketball recruiting (from \$70,798 to \$155,123), with no corresponding increase in Women's Basketball recruiting (from \$47,089 to \$49,881) or in any other women's program.

This issue and other recruiting issues are addressed in the Gender Equity Plan.

25. Team Travel

In 2008, travel expenses for Football, and Men's and Women's Basketball were 57% of the travel budget for the department. Expenses for travel for Women's Basketball were 17% less than the travel for Men's Basketball. Between 2006-2007 and 2007-2008 expenses for travel for Women's Basketball doubled—from \$140,172 to \$280,633. [This is related to the fact that post-conference play for 2007-2008 was in Orlando and not Dallas.]

For other comparable sports, travel expenses are equitable with the possible exceptions of Golf and Soccer. In 2008, the Men's Golf program spent 7% more than the Women's program, and the Men's Soccer program spent 7% more than the Women's program.

Issues relating to travel budget inequities are addressed in the Gender Equity Plan.

26. Equipment, Uniforms, and Supplies

Since 2006, with the arrival of the new Men's Basketball coach, expenses for Men's Basketball equipment, uniforms, and supplies have grown dramatically. In 2006-2007 Men's Basketball spent 54% more than Women's

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(and 33% more than in 2004-2005). In 2007-2008 the Women's budget grew by 36%, and the disparity between Women's and Men's Basketball had decreased to 36%.

Men's Golf consistently outspends Women's Golf on equipment, etc. by a wide margin, and has done so since 2001-2002. Men's Golf spent 45% more than Women's in 2007-2008.

Women's Soccer has outspent Men's Soccer for the last three years. In 2007-2008 Women's Soccer spent 50% more than Men's Soccer for equipment and supplies.

Issues relating to these and other inequities in funding for equipment, uniforms, and supplies are addressed in the Gender Equity Plan.

27. Game Expenses

In 2006, 78% of game expenses were expended for men's sports and 22% for women's: 49% of all game expenses were expended for Football; 26% for Men's Basketball; and 19% for Women's Basketball.

In 2008, the budget for game expenses has risen from \$838,000 (2006) to \$1.2 million. The percentages of expenditures for men's and women's sports has remained fairly constant overall: 79% for men's sports (55% for Football; 21% for Men's Basketball) and 21% for women's sports (13% for Women's Basketball).

Issues relating to game expenses are addressed in the Gender Equity Plan under Publicity and Awards.

28. Fund Raising, Marketing and Promotions

In 2006, none of the \$870,000 allocated for fund raising, marketing, and promotion were specifically allocated to women's or men's sports.

In 2008, the Athletic Department allocated \$2.2 million to fund raising, marketing and promotions. Of that amount, 91% was not specifically allocated to men's or women's sports. Approximately 8% of the total amount was specifically allocated to men's sports (4% to Football; 3% to Men's Golf; .6% to Men's Basketball). 1% was specifically allocated to women's sports.

Issues relating to fund raising, marketing, and promotions are addressed in the Gender Equity Plan.

29. Sports Camp Expenses

Not Applicable.

30. Direct Facilities, Maintenance and Rental

In 2006, 44% of the total amount expended for direct facilities, maintenance, and rental was allocated to Football, and 55% was not allocated between men's and women's sports.

In 2008, 73% of the total amount expended for direct facilities, etc. was allocated to Football, and 26% was not allocated.

No gender equity issues.

31. Spirit Groups

Not Applicable.

32. Indirect Facilities and Administrative Support

Indirect Facilities and Administrative Support expenses are allocated to men's and women's sports and to other Athletic Department programs as a percentage of program budgets, and therefore are not related to gender equity concerns.

33. Medical Expenses and Medical Insurance

Medical expenses are not predictable and are related to unknown factors— illness and injuries. Medical insurance is apportioned to student athletes on a per capita basis. These expenses are not related to gender equity concerns.

34. Memberships and Dues

Between 2006 and 2008 expenses for Memberships and Dues have risen from \$83,000 to \$618,000. In 2006, 40% of these funds were allocated to men's sports; 29% were allocated to women's sports; and 31% were not allocated.

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In 2008, 14% of these funds were allocated to men's sports; 2% to women's sports; and 84% were not allocated. These expenses are not related to gender equity concerns.

35. Other Operating Expenses

Between 2006 and 2008 total expenses for other operating expenses have remained stable: \$2 million in 2006, \$1.9 million in 2008.

In 2006, 46% were allocated to men's sports (37% to Football; 5% to Men's Golf; 2% to Men's Soccer; 2% to Men's Basketball); 14% were allocated to women's sports (7% to Women's Basketball), and 40% were not specifically allocated.

In 2008, 27% were allocated to men's sports (20% to Football; 2.5% to Men's Basketball); 8% were allocated to women's sports (2.1% to Women's Basketball); and 65% were not specifically allocated.

Both men's and women's sports have experienced reductions in specific allocations relating to other operating expenses.

No gender equity issues.

36. Total Operating Expenses

Total Operating Expenses for 2006 were \$32.7 million. Total Operating Expenses for 2008 were \$43.6 million.

In 2006, 52% of total operating expenses were allocated to men's sports; 26% were allocated to women's sports; and 21% were not specifically allocated. In 2008, 50% of total operating expenses were allocated to men's sports; 23% were allocated to women's sports; and 27% were not allocated.

In 2008, approximately 15% of total operating expenses were related to (non-third party) salaries and benefits. As noted above, the recent additions of new high-profile Men's Basketball and Football coaches has contributed to percentage/numerical disparities between men and women in salaries. Nevertheless, five of nine women's head coaches rank at the top of C-USA salaries for their positions, and other salaries are equitable when experience and success are taken into account. Apart from a deficiency in the salary for the head coach of Rowing (noted above and in the Gender Equity Plan), there is no gender equity issue for coaches' salaries in the Athletic Department.

In 2008, approximately 25% of total operating expenses were related to athletic student aid—which was split 54% to men and 44% to women. Although this ratio is close to compliance with NCAA standards (as noted above), male athletes receive approximately \$1.2 million more than female athletes in student financial aid. This contributes to the apparent gender imbalance in total operating expenses.

In addition, total expenses for Football, for which there is no comparable women's sport, are 32% of the total operating expenses for the Athletic Department, which also contributes to apparent gender imbalance.

8. Using the program areas for gender issues:

- a. Describe how the institution has ensured a complete study of each of the 17 program areas.
This study must be conducted as part of the self-study process;
- b. Provide data demonstrating the institution's status and commitment, including resource allocation, across each of the 17 areas;
- c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of the underrepresented gender within the athletics program; and
- d. Explain how the institution's written, stand-alone plan for gender issues addresses each of the 17 areas.

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

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1. Accommodation of interests and abilities Participation proportionate to enrollment; and/or history and continuing practice of program expansion for the underrepresented gender within the athletics program; and/or full and effective accommodation for the underrepresented gender within the athletics program; and equivalent levels of competition. Institutions must clearly identify methods (e.g., proportionality, history of program expansion, etc.) for addressing accommodation of interests and abilities when presenting gender-issues plans for the future.

a. Describe how the institution has ensured a complete study of each of the 17 program areas.

The membership of the Gender Issues Self-Study Subcommittee was drawn from across the University—administrators, alumni, faculty, head coach for Women's Basketball, and a student-athlete (diver).

The process also included extensive review of Athletics Department documents including NCAA, EADA, contracts for all coaches, and all other reports related to gender equity in the Athletics Department.

b. Provide data demonstrating the institution's status and commitment, including resource allocation, across each of the 17 areas.

SMU's undergraduate population for 2008-2009 is 46% men/ 54% women. The Athletics Department's student-athlete participation ratio is 49% men /51% women. This ratio falls within the 3% allowable under the NCAA standards for participation rates.

c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of the underrepresented gender within the athletics program.

As of academic year 2008-2009, SMU is in compliance with NCAA standards for participation. Participation ratios are being maintained within 3% of being proportional for 2008 for women's athletics teams versus men's athletic teams which is in compliance with NCAA standards.

d. Explain how the institution's written, stand-alone plan for gender issues addresses each of the 17 areas.

To maintain this participation ratio the Plan for Improvement includes the steps to:

- A. Continue monitoring participation ratio for women's vs. men's athletic teams; and
- B. Continue monitoring of roster management by coaches.

These steps will be performed annually for the term of this plan.

2. Athletics scholarships Scholarship dollars to be awarded to women and men at same proportion as their respective rate of participation in the intercollegiate athletics program.

a. Describe how the institution has ensured a complete study of each of the 17 program areas.

The membership of the Gender Issues Self-Study Subcommittee was drawn from across the University - administrators, alumni, faculty, head coach for Women's Basketball, and a student-athlete (diver).

The process also included extensive review of Athletics Department documents including NCAA, EADA, contracts for all coaches, and all other reports related to gender equity in the Athletics Department.

b. Provide data demonstrating the institution's status and commitment, including resource allocation, across each of the 17 areas.

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In 2008-2009 there are 414 total student-athletes at SMU. The financial aid participation ratio for 2008-2009 is: 53% men and 47% women.

- c.** Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of the underrepresented gender within the athletics program.

With additional scholarships awarded by Equestrian for 2009-2010, SMU will be within 1% of proportionality for compliance with NCAA standards for financial aid.

- d.** Explain how the institution's written, stand-alone plan for gender issues addresses each of the 17 areas.

To maintain these scholarship ratios, the plan includes the steps to:

- A. Continue phasing in Equestrian scholarships, and reach compliance with NCAA standards by 2009; and
- B. Continue monitoring of proportionality in scholarships.

For step A. the scholarships for Equestrian will be awarded in 2009. Monitoring of scholarship proportionality will be performed annually for the term of this plan.

3. Equipment and supplies Quality, amount, suitability, maintenance and replacement and availability of equipment and supplies.

- a.** Describe how the institution has ensured a complete study of each of the 17 program areas.

The membership of the Gender Issues Self-Study Subcommittee was drawn from across the University - administrators, alumni, faculty, head coach for Women's Basketball, and a student-athlete (diver).

The process for the self-study included interviews of student-athletes from all women's sports, University and Athletics Department administrators, Athletics Department staff (including trainers), and all head coaches. The study also examined budgets and spending by each sport for equipment and supplies.

- b.** Provide data demonstrating the institution's status and commitment, including resource allocation, across each of the 17 areas.

Equipment, supplies, and uniform budgets are analyzed annually for gender equity by the Athletics Director, SWA, and Equity Subcommittee.

The Athletics Department does not mandate that identical amounts be allocated to men's and women's programs. Head coaches have the opportunity each year to request necessary funds for equipment and supplies, depending on the needs for that particular year.

For the three years between 2002-2003 and 2004-2005, Women's Basketball spent more than Men's Basketball: 53% more in 2002-03; 36% more in 2003-2004; and 17% more in 2004-2005. In 2005-2006 expenses for equipment, etc. were within 1% of being equal.

Since the arrival of the new Men's Basketball coach in 2006, expenses for Men's Basketball have grown dramatically. In 2006-2007 Men's Basketball spent 54% more than Women's (and 33% more than in 2004-2005). In 2007-2008 the Women's budget had grown 36% and the disparity between Women's and Men's Basketball had decreased to 36%.

Men's Golf consistently outspends Women's Golf on equipment, etc. by a wide margin, and has done so since 2001-2002. Men's Golf spent 45% more than Women's in 2007-2008.

Women's Soccer has outspent Men's Soccer for the last three years. In 2007-2008 Women's Soccer spent 50% more than Men's Soccer.

- c.** Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of the underrepresented gender within the athletics program.

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For certain sports these needs were identified:

i. Women's Swimming

Women's swimming needs more funding for equipment—especially for goggles and suits. In addition they need t-shirts, cotton sweatshirts, and sweatpants for practice and to keep them warm at competitions.

ii. Women's Track and Field

Although there is no longer a Men's Track and Field team for direct comparison, the Women's Track and Field team has been underfunded, in general, for several years. This has resulted in a severe deterioration of team and competition equipment (most of which is over 20 years old).

Among other specific equipment needs, Women's Track and Field currently needs: 8 starting blocks, 120 hurdles, 2 wind gauges, a finish line timing system, and weight measuring equipment.

The Track and Field team also needs practice uniforms and more competition uniforms.

iii. Women's Basketball

Women's Basketball needs funds to purchase new uniforms each year, as Men's Basketball has. It also needs fund to purchase game-wear for managers and support staff

In addition, Women's Basketball needs funds to purchase large equipment, such as cooler carts and a refrigerator for drinks in the practice facility.

iv. Rowing

The Rowing team needs increased funds for updated boats, equipment and supplies—and funds to purchase increased insurance for the boats. The team also needs a regular maintenance person to upkeep boats and docks.

In addition, the Rowing team needs funds for more than one pair of shoes per year for rowers.

v. Equestrian

The Equestrian team needs funds for supplies (saddle pads and collars) and uniforms. At present, the women are supplying their own supplies and show coats, boots, shirts, and pants.

Equestrian also needs a development effort to either raise funds to purchase horses, or to have horses donated.

vi. Volleyball

Volleyball needs updated equipment, including training equipment.

vii. Women's Golf

Women's Golf needs increased funding for equipment and supplies. Its funding is currently much lower than that for Men's Golf.

d. Explain how the institution's written, stand-alone plan for gender issues addresses each of the 17 areas.

Step are included in the plan to:

- 1) Provide equitable funding for uniform/apparel budget for Women's Swimming, Track and Field, Women's Basketball, Rowing and Equestrian.
- 2) Provide equitable funds for Women's Basketball equipment to reach parity with Men's Basketball.
- 3) Allocate funds for Equestrian supplies.
- 4) Create development program for equestrian focusing on obtaining horses by donation of horses.
- 5) Allocate funds for Track and Field, Volleyball and Rowing to update equipment.
- 6) Hire a facilities/maintenance person for upkeep of boats.
- 7) Provide equitable funds for Women's Golf equipment to reach parity with Men's Golf.

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Additionally, the plan call for these steps to phase in beginning 2009-2010 to reach equity by 2013-14.

4. Scheduling of contests and practice time Number of contests; number, length, and time of day of practices; time of day of contests; preseason and postseason opportunities, including foreign tours.

a. Describe how the institution has ensured a complete study of each of the 17 program areas.

The membership of the Gender Issues Self-Study Subcommittee was drawn from across the University—administrators, alumni, faculty, head coach for Women's Basketball, and a student-athlete (diver).

The process for the self-study included interviews of student-athletes from all women's sports, University and Athletic Department administrators, Athletic Department staff (including trainers), and all head coaches.

b. Provide data demonstrating the institution's status and commitment, including resource allocation, across each of the 17 areas.

The Athletic Department requires all coaches to work together to determine the best scheduling for games and practice times. If conflicts occur, administrative supervisors are included in the discussions to best insure that all programs are treated fairly.

c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of the underrepresented gender within the athletics program.

Reports from coaches and facilities personnel confirm that this process is satisfactory. The Department intends to maintain this scheduling procedure.

However, volleyball practice schedules in Moody Coliseum are not consistently honored.

d. Explain how the institution's written, stand-alone plan for gender issues addresses each of the 17 areas.

The plan specifies the step that practice schedules for Moody Coliseum should be negotiated and honored by Volleyball and Men's and Women's Basketball.

Additionally, the plan specifies that this action should commence in fall 2009 and identifies the specific individuals who are responsible.

5. Travel allowance Modes of transportation, housing furnished during travel, length of stay before and after competitive events, dining arrangements and per diem for institutional competition and other competitive opportunities (e.g., under NCAA Bylaw 16.8.1.3).

a. Describe how the institution has ensured a complete study of each of the 17 program areas.

The membership of the Gender Issues Self-Study Subcommittee was drawn from across the University—administrators, alumni, faculty, head coach for Women's Basketball, and a student-athlete (diver).

The process for the self-study included interviews of student-athletes from all women's sports, University and Athletics Department administrators, Athletics Department staff (including trainers), and all head coaches. The Subcommittee also examined budgets and spending for each sport for travel expenses, housing and dining arrangements and transportation cost.

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b. Provide data demonstrating the institution's status and commitment, including resource allocation, across each of the 17 areas.

Travel accounts are analyzed annually for gender equity by the Athletics Director, SWA, and Equity Subcommittee.

In 2008, travel expenses for Football, and Men's and Women's Basketball were 57% of the travel budget for the Department. Expenses for travel for Women's Basketball were 17% less than the travel for Men's Basketball. Between 2006-2007 and 2007-2008 expenses for travel for Women's Basketball doubled—from \$140,172 to \$280,633. [This is related to the fact that post-conference play for 2007-2008 was in Orlando and not Dallas.]

In 2008, the Men's Golf program spent 7% more than the Women's program, and the Men's Soccer program spent 7% more than the Women's program.

c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of the underrepresented gender within the athletics program.

Women's Basketball has made strides toward equity with Men's Basketball, but there is still need and room for growth. For other comparable sports, travel expenses are equitable with the possible exceptions of Golf and Soccer.

Specific considerations include:

i. Women's Basketball

When the Women's team travels to the East Coast, it needs funds to fly between games, as is routine for the Men's team. The Women's team has been traveling by bus through the mountains. The head coach considers this bus trip to be dangerous (on icy roads) and too time-consuming and tiring for her players.

The spending level for Women's Basketball travel should be maintained at its current rate with any increase necessary to secure charter flights when the team travels to North Carolina and West Virginia.

ii. Women's Golf

Spending levels for travel for Women's Golf should be monitored, to make sure that this team is able to participate in high-level tournaments.

iii. Women's Soccer

Spending levels for travel for Women's Soccer should be monitored, to make sure that this team is able to participate in high-level tournaments.

iv. Women's Swimming and Diving

The Women's Swimming and Diving teams need increases in per diem (or travel funding in general) to provide healthy and adequate food when they are travelling, and to provide adequate lodging—so that no more than two women are housed per room.

In addition, the Women's Swimming and Diving teams need increased travel budgets to allow for travel by buses instead of vans.

v. Rowing

The Rowing team needs an increase in per diem (or travel funding in general) to provide healthy and adequate food when the team is travelling.

vi. Women's Tennis

The Women's Tennis team needs an increase in per diem (or travel funding in general) to provide healthy and adequate food when the team is travelling, and to provide adequate lodging—so that no more than two women are housed per room.

vii. Equestrian

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The Equestrian team needs increased travel budgets to allow for travel by buses instead of vans.

viii. Women's Track and Field

Women's Track and Field needs additional funds for travel outside of the region, to increase competitiveness.

ix. Volleyball

Volleyball needs funding to travel to California for competition, in order to advance recruiting.

d. Explain how the institution's written, stand-alone plan for gender issues addresses each of the 17 areas.

To provide equitable per diem for the following women's sports:
Swimming, Tennis, Rowing, Diving

To provide equitable travel budget for lodging for the following women's sports: Swimming, Tennis, Diving

To provide equitable travel budget to improve the mode of transportation for the following women's sports: Swimming, Basketball, Equestrian, Diving

To provide equitable travel funding for permit full complement of student-athletes to compete outside of the region for Volleyball and Track and Field.

6. Academic support services Availability of, and equitable access to, academic support services that meet the needs of student-athletes based on individual student-athlete academic profiles and/or performance, and equitable criteria for obtaining assistance.

a. Describe how the institution has ensured a complete study of each of the 17 program areas.

The membership of the Gender Issues Self-Study Subcommittee was drawn from across the University—administrators, alumni, faculty, head coach for Women's Basketball, and a student-athlete (diver).

The process for the self-study included interviews of student-athletes from all women's sports, University and Athletics Department administrators, Athletics Department staff (including trainers), and all head coaches.

b. Provide data demonstrating the institution's status and commitment, including resource allocation, across each of the 17 areas.

SMU provide academic support services to all student athletes through the Altshuler Learning Enhancement Center and its Student Athlete Academic Services (SAAS) team. Staff in the Department of Athletics are responsible for coordinating all student-athletes' progress through the admission and matriculation process; for fulfilling all NCAA-mandated reporting (clearing house, EPR, APR, GSR); for monitoring all NCAA-defined standards for satisfactory progress/eligibility; and for establishing and maintaining the criteria used to determine which student-athletes receive summer school funding and post-eligibility aid. The SAAS team is responsible for all on-campus academic support services. The SAAS team consults regularly with the Athletics Department's Compliance and Student Services Office in areas such as academic progress towards degrees, prerequisites for classes, and requirements before declaring a major/minor.

c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of the underrepresented gender within the athletics program.

No gender equity problems were noted by student athletes or coaches in terms of availability or quality of academic support services for women student-athletes.

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- d.** Explain how the institution's written, stand-alone plan for gender issues addresses each of the 17 areas.

The plan establishes that the annual review of Academic Support Services should be continued.

7. Coaches Availability of full-time, part-time, assistant and graduate assistants. Training, experience, professional standing, and other professional qualifications. Total rate of compensation package, duration of contracts, conditions relating to contract renewal, experience, nature of coaching duties, working conditions and other terms and conditions of employment.

- a.** Describe how the institution has ensured a complete study of each of the 17 program areas.

The membership of the Gender Issues Self-Study Subcommittee was drawn from across the University - administrators, alumni, faculty, head coach for Women's Basketball, and a student-athlete (diver).

The process also included extensive review of Athletics Department documents including NCAA, EADA, contracts for all coaches, and all other reports related to gender equity in the Athletics Department.

- b.** Provide data demonstrating the institution's status and commitment, including resource allocation, across each of the 17 areas.

Women's coaches' salaries grew from \$1.46 million to \$1.76 million in the three years from 2006 - 2008.

In 2006, coaches for men's sports were paid 69% of the total (\$4.8 million) in salaries, benefits, and bonuses. In 2008, coaches for men's sports were paid 72.6% of the total (\$6.4 million). This increase in percentage and amount is primarily due to the hiring of two high-profile new men's head coaches—Men's Basketball (2006) and Men's Football (2008). [Salaries, etc. for Football grew from \$1.78 million in 2007 to \$2.95 million in 2008; salaries, etc. for Men's Basketball grew from \$778,000 in 2006 to \$988,000 in 2008.] The head football coach's salary is the highest football salary for C-USA for 2008. The men's basketball head coach's salary is the second highest for C-USA for 2008.

Most head coaches for women's program are compensated in the top range for C-USA average salaries. Five of the nine head coaches in women's sports at SMU rank #1 in compensation in C-USA for 2008:

- Women's Basketball
- Women's Track and Field
- Women's Golf
- Women's Swimming
- Volleyball

- c.** Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of the underrepresented gender within the athletics program.

There is currently a significant disparity between the head coach of Women's Basketball and the head coach of Men's Basketball. There are also disparities between head coaches in golf, soccer, and tennis, which are related to years of service, success, and experience of the men's head coaches.

i. [REDACTED]

ii. Both Women's Golf and Equestrian need assistant coaches. Women's Golf needs one assistant to be at equity with Men's Golf; Equestrian needs one full-time and one additional half-time assistant coach as the program continues to grow.

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iii. The head coach for Women's Basketball is the only coach for women's sports with a current contract. This contract is for multiple years and comparable to the head coaches for Football and Men's Basketball in terms of types of benefits provided.

The assistant coaches for Football and Men's Basketball all have current one-year contracts. All head and assistant coaches for women's sports should have at least one-year contracts—with multiple-year contracts for head coaches with longer tenures at SMU.

iv. Women coaches are, in general, underrepresented at the Head Coach level. Only four of nine head coaches of women's sports are women. There are no women head coaches of men's teams.

d. Explain how the institution's written, stand-alone plan for gender issues addresses each of the 17 areas.

The plan addresses gender issues with the following steps (with timing):

Provide comparable levels of assistant coach(es) in Women's Golf and Equestrian. (Phase in beginning 2009-2010 to reach equity by 2014.)

[REDACTED]

Renew/establish contracts of at least one year with all women's coaches (head and assistant). (2009-2010)

Hiring committees will be charged with hiring the best candidate for each open position, while making every effort to increase the pool of qualified women candidates. (2009 and ongoing)

8. Locker rooms, practice and competitive facilities Quality, availability, and exclusivity of practice and competitive facilities; quality and availability of locker rooms; maintenance and preparation of practice and competitive facilities.

a. Describe how the institution has ensured a complete study of each of the 17 program areas.

The membership of the Gender Issues Self-Study Subcommittee was drawn from across the University—administrators, alumni, faculty, head coach for Women's Basketball, and a student-athlete (diver).

The process for the self-study included interviews of student-athletes from all women's sports, University and Athletic Department administrators, Athletic Department staff (including trainers), and all head coaches.

In addition, members of the Subcommittee toured Moody Coliseum (offices, locker rooms, basketball court used for competition), Ford Stadium (football field, administrative offices, strength/conditioning area, Learning Enhancement Center), Perkins Natatorium (swimming and diving facilities and offices), and the Crum Basketball Center (practice facilities, locker rooms, strength and training facilities, and offices).

b. Provide data demonstrating the institution's status and commitment, including resource allocation, across each of the 17 areas.

In 2007-2008, new facilities were constructed for Men's and Women's Tennis, Rowing, and Men's and Women's Basketball.

The Crum Basketball Center is a 43,000 square foot facility which contains equal full-size practice courts for each program, along with equal locker rooms and lounges, and a fully equipped training and rehabilitation room with in-ground hydrotherapy pools. It also provides offices for Men's and Women's Basketball.

With the opening of the Crum Center, both Volleyball and Women's Tennis were able to expand their facilities—offices and locker rooms for Volleyball and offices for Women's Tennis in Moody Coliseum.

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The Turpin Tennis Center provides the Mustang men's and women's tennis programs with one of the premier tennis facilities in the nation. The center includes six outdoor courts. A designated indoor tennis facility area is planned to be constructed in the future.

In 2008, the Rowing team also moved to its new Boathouse. The White Rock Boathouse is 24,000 square feet, 7,500 square feet of which have been allocated as the new SMU Boatbay. The new home of SMU rowing will be outfitted with brand new Focus Racks this week, with enough space to house 10 eights, 10 fours, 12 pair doubles and numerous singles, as well as 25-30 ergs.

In addition, plans and construction are underway for a new clubhouse with equal facilities for Men's and Women's Golf to be constructed at the Dallas Athletic Club.

c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of the underrepresented gender within the athletics program.

In the past several years, and in ongoing projects, the SMU Athletic Department has made great progress in providing equitable locker rooms, and practice and competitive facilities for women's sports.

Several problems relating to equitable facilities remain, however:

- i. Rowing needs an indoor training facility.
- ii. Equestrian needs locker room.
- iii. The largest remaining equity problem in this area is with Women's Track and Field, which has lost its ability to compete and practice at home due to ongoing construction of large projects (including the Ford Stadium) at the University.

The Track and Field team needs the following in order to practice and compete at the University: 10 meters of straight away added to the north end of the sprint start staging area, 2 north/south runways and landing areas for triple long jump, 1 north/south pole vault runway, repair of the bubbling of the track, resurfacing and restriping of the existing track surface, repair of the inside railing along the track, and a pole vault pit. In addition, the Track and Field team needs access to a golf course for training.

d. Explain how the institution's written, stand-alone plan for gender issues addresses each of the 17 areas.

The plan addresses these gender issues with the following steps:

Establish indoor training facility for Rowing.

Establish locker rooms for Equestrian

Provide upgrades and improvements in women's track and field facilities.

The timetable as specified for these steps is to phase in beginning 2009-2010 to reach equity by 2014.

9. Medical and training facilities and services Availability of medical personnel; availability and quality of weight training and conditioning facilities; availability and qualifications of athletics trainers; health, accident, and injury insurance coverage; provision of medical and training expenses.

a. Describe how the institution has ensured a complete study of each of the 17 program areas.

The membership of the Gender Issues Self-Study Subcommittee was drawn from across the University—administrators, alumni, faculty, head coach for Women's Basketball, and a student-athlete (diver).

The process for the self-study included interviews of student-athletes from all women's sports, University and Athletic Department administrators, Athletic Department staff (including trainers), and all head coaches.

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In addition, members of the Subcommittee toured Ford Stadium (strength/conditioning area, training room), Perkins Natatorium (swimming and diving facilities), and the Crum Basketball Center (practice facilities and strength and training facilities).

- b.** Provide data demonstrating the institution's status and commitment, including resource allocation, across each of the 17 areas.

SMU student-athletes share common athletic training and strength and conditioning facilities and staff. Access to these areas is scheduled with regard to class conflicts, practices and competitions. Thus, programs are comparably advantaged or disadvantaged.

Physicians are accessible for all Football and Men's and Women's Basketball games.

- c.** Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of the underrepresented gender within the athletics program.

The scheduling policies for training and weight rooms to ensure that women student-athletes are given access to facilities and trainers during the times reserved for them are not always adhered to.

- d.** Explain how the institution's written, stand-alone plan for gender issues addresses each of the 17 areas.

The plan addresses this gender issue to begin in 2009 and to perform this action:

Adhere to scheduling policies for training and weight rooms to ensure that women athletes are given access to facilities and trainers during the times reserved for them.

10. Housing, dining facilities and services Housing provided; special services as part of housing; dining arrangements.

- a.** Describe how the institution has ensured a complete study of each of the 17 program areas.

The membership of the Gender Issues Self-Study Subcommittee was drawn from across the University—administrators, alumni, faculty, head coach for Women's Basketball, and a student-athlete (diver).

The process for the self-study included interviews of student-athletes from all women's sports, University and Athletics Department administrators, Athletics Department staff (including trainers), and all head coaches.

- b.** Provide data demonstrating the institution's status and commitment, including resource allocation, across each of the 17 areas.

Student housing at SMU is managed by the Residence Life & Student Housing Department (RLSH). It's mission statement is "To advance the goals and objectives of the University by creating residential communities that empower residents to value learning, citizenship and leadership." One of its Guiding Principles is "treat all people with dignity and respect."

Student-athletes live in the same residence halls and dine in the same dining facilities as all undergraduate students do.

- c.** Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of the underrepresented gender within the athletics program.

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No gender equity problems were noted by student athletes or coaches in terms of availability or quality of housing or dining services for women student-athletes.

- d.** Explain how the institution's written, stand-alone plan for gender issues addresses each of the 17 areas.

The plan specifies that the Athletics Department and the Residence Life & Student Housing Department continue to accommodate housing requests from women's sports.

11. Publicity and awards Availability and quality of sports information personnel; access to other publicity resources; quantity and quality of publications and other promotional devices; availability and quality of institutional awards; opportunity for application and/or nomination for other outside awards (e.g., NCAA, national or conference awards).

- a.** Describe how the institution has ensured a complete study of each of the 17 program areas.

The membership of the Gender Issues Self-Study Subcommittee was drawn from across the University—administrators, alumni, faculty, head coach for Women's Basketball, and a student-athlete (diver).

The process for the self-study included interviews of student-athletes from all women's sports, University and Athletics Department administrators, Athletics Department staff (including trainers), and all head coaches.

- b.** Provide data demonstrating the institution's status and commitment, including resource allocation, across each of the 17 areas.

In 2006, none of the \$870,000 allocated for fund raising, marketing, and promotion were specifically allocated to women's or men's sports.

In 2008, the Athletic Department allocated \$2.2 million to fund raising, marketing and promotions. Of that amount, 91% was not specifically allocated to men's or women's sports. Approximately 8% of the total amount was specifically allocated to men's sports (4% to Football; 3% to Men's Golf; .6% to Men's Basketball). 1% was specifically allocated to women's sports.

- c.** Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of the underrepresented gender within the athletics program.

Several equity issues relating to promotion and awards were noted by head coaches and student-athletes.

i. The Athletics website should provide updated and current information on women's sports with particular attention during each sport's season. The front page of the web site should regularly feature all women's sports when they are in season.

ii. All women's sports should be monitored for publicity, especially for sports with a comparable men's sport. Publicity for women should include posters with calendars for competitions, advertising events in local media, equitable media and press guides, and increased publicity across the campus for women's sports.

iii. Women student-athletes do not regularly receive the awards they have earned, including watches, jackets, and other year-end awards.

iv. Women's Basketball does not have a dedicated Sports Information Staff member that travels with the team as the Men's Basketball team does.

- d.** Explain how the institution's written, stand-alone plan for gender issues addresses each of the 17 areas.

The plan addresses these gender issues with the following action steps (and timetable):

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Athletics website should provide updated and current information on women's sports with particular attention during each sport's season (beginning fall 2009).

All women's sports should be monitored for publicity providing posters with calendars, promotional items for competitions, advertising in local media and press guides for distribution across campus and to the greater community as appropriate (Phase in beginning 2009-2010 to reach equity by 2014).

All women student-athletes should receive the awards which they have earned at the end of their seasons and/or academic year (beginning in fall 2009).

Women's Basketball should be provided its own SID to travel with the team, as is provided for Men's Basketball (2009-2010)

12. Support services Administrative, secretarial, clerical support and office space.

a. Describe how the institution has ensured a complete study of each of the 17 program areas.

The membership of the Gender Issues Self-Study Subcommittee was drawn from across the University—administrators, alumni, faculty, head coach for Women's Basketball, and a student-athlete (diver).

The process for the self-study included interviews of student-athletes from all women's sports, University and Athletics Department administrators, Athletics Department staff (including trainers), and all head coaches.

In addition, members of the Subcommittee toured administrative office spaces in Moody Coliseum, Loyd Center, Perkins Natatorium, and the Crum Basketball Center.

b. Provide data demonstrating the institution's status and commitment, including resource allocation, across each of the 17 areas.

In 2006, salaries, etc. for support staff totaled \$2.97 million. 18% of this (\$545,000) was allocated to men's sports; 2.5% (\$75,000) was allocated to women's; and 79% was not allocated to either. Over 12% (\$366,000) of the total budget was allocated to Football; this was 59% of the budget allocated to men's and women's sports for 2008.

In 2008, salaries, etc. for support staff totaled \$4.1 million - \$3.6 million (89%) was not allocated to either women's or men's sports. 8% (\$333,000) of the total 2008 amount was allocated to men's sports, and 2.8% (\$115,391) was allocated to women's:

- Men's and Women's Basketball (approximately 1.3% each);
 - Men's and Women's Golf (.4% to Men's and .1% to Women's);
 - Men's and Women's Soccer (approximately 1% each); and
 - Men's and Women's Swimming (1.3% to Men's and .5% to Women's).
- Allocation for Football was reduced from 12% (\$366,000) in 2006 to 4% in 2008 (\$164,000). With this reduction, expenditures in Football were reduced to 37% of the total expenditures allocated to men's and women's sports for 2008.

c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of the underrepresented gender within the athletics program.

In 2008, Administrative assistants are needed for some women's sports including equestrian and tennis.

d. Explain how the institution's written, stand-alone plan for gender issues addresses each of the 17 areas.

The plan specifies that the Athletics Department provide equitable administrative help for the women's sports of tennis and equestrian. These actions are to be phased in beginning 2009-2010 to reach equity by 2014.

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13. Recruitment of student-athletes Equal opportunities for professional personnel to recruit; availability of financial and other resources for recruitment; equivalent benefits, opportunities and treatment of prospective student-athletes.

a. Describe how the institution has ensured a complete study of each of the 17 program areas.

The membership of the Gender Issues Self-Study Subcommittee was drawn from across the University—administrators, alumni, faculty, head coach for Women's Basketball, and a student-athlete (diver).

The process for the self-study included interviews of student-athletes from all women's sports, University and Athletics Department administrators, Athletics Department staff (including trainers), and all head coaches.

b. Provide data demonstrating the institution's status and commitment, including resource allocation, across each of the 17 areas.

In 2006, women's recruiting expenses were 31% of men's. In 2008, women's recruiting expenses were 27% of men's. The percentage of the recruiting budget allocated to women has declined in the last 3 years.

The decline noted over the past three years is largely due to increasing expenses in Men's Basketball recruiting (from \$70,798 to \$155, 123), with no corresponding increase in Women's Basketball recruiting or in any other women's program.

Expenses for Women's Basketball recruiting have only increased from \$47,089 (2001) to \$49,881 (2008).

c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of the underrepresented gender within the athletics program.

Overall disproportionality in recruitment dollars results from recruiting in Football (which is 32% of the total recruitment budget), for which there is no comparable women's sports.

Both Women's Basketball and Equestrian need additional funds allocated to bring Women's Basketball to equity with Men's, and to reflect increased costs for recruitment outside of the Dallas Fort Worth region.

d. Explain how the institution's written, stand-alone plan for gender issues addresses each of the 17 areas.

The plan has identified a specific action to provide equitable recruiting budget for Women's Basketball and Equestrian to reflect increased costs for recruitment outside region. The timetable for this action is to phase in beginning 2009-2010 to reach equity by 2014.

14. Retention Programs and services to address retention of staff, coaches and student-athletes from the underrepresented gender within the athletics program; review of retention and promotion of staff and coaches from the underrepresented gender within the athletics program, including professional development opportunities (e.g., mentoring programs), rate of compensation, duration of contracts, conditions relating to contract renewal; programs and services to address retention of student-athletes who are members of the underrepresented gender within the athletics program.

a. Describe how the institution has ensured a complete study of each of the 17 program areas.

The membership of the Gender Issues Self-Study Subcommittee was drawn from across the University—administrators, alumni, faculty, head coach for Women's Basketball, and a student-athlete (diver).

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The process for the self-study included interviews of student-athletes from all women's sports, University and Athletics Department administrators, Athletics Department staff (including trainers), and all head coaches.

- b. Provide data demonstrating the institution's status and commitment, including resource allocation, across each of the 17 areas.**

SMU continually monitors reasons for transfers and other reasons that student-athletes might leave SMU prior to graduation through exit interviews.

- c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of the underrepresented gender within the athletics program.**

No significant problems related to gender equity were reported in this area by student-athletes, athletic administrators, or head coaches. SMU will continue to conduct exit interviews with departing student-athletes to ascertain reasons for departure.

- d. Explain how the institution's written, stand-alone plan for gender issues addresses each of the 17 areas.**

The plan specifies that the Athletics Department continue to conduct exit interviews with departing athletes to ascertain reasons for departure.

15. Programs and activities (staff and coaches) Programs and activities that provide opportunities for all athletics department staff and coaches to address gender issues, including those designed to address the needs of the underrepresented gender within the athletics program.

- a. Describe how the institution has ensured a complete study of each of the 17 program areas.**

The membership of the Gender Issues Self-Study Subcommittee was drawn from across the University—administrators, alumni, faculty, head coach for Women's Basketball, and a student-athlete (diver).

The process for the self-study included interviews of student-athletes from all women's sports, University and Athletics Department administrators, Athletics Department staff (including trainers), and all head coaches.

- b. Provide data demonstrating the institution's status and commitment, including resource allocation, across each of the 17 areas.**

SMU is philosophically committed to providing consistent training and development activities for staff and coaches related to gender equity.

- c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of the underrepresented gender within the athletics program.**

No programs for staff or coaches currently exist which are specifically designed to address gender equity issues.

- d. Explain how the institution's written, stand-alone plan for gender issues addresses each of the 17 areas.**

The plan specifies that the Senior Woman Administrator develop programming for coaches and staff regarding gender issues in the 2009-2010 academic year.

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16. Programs and activities (student-athletes) Programs and activities that provide opportunities for all student-athletes to address gender issues, including those designed to address the needs of the underrepresented gender within the athletics program.

a. Describe how the institution has ensured a complete study of each of the 17 program areas.

The membership of the Gender Issues Self-Study Subcommittee was drawn from across the University—administrators, alumni, faculty, head coach for Women's Basketball, and a student-athlete (diver).

The process for the self-study included interviews of student-athletes from all women's sports, University and Athletics Department administrators, Athletics Department staff (including trainers), and all head coaches.

b. Provide data demonstrating the institution's status and commitment, including resource allocation, across each of the 17 areas.

SMU is philosophically committed to providing consistent training and development activities for student athletes related to gender equity.

c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of the underrepresented gender within the athletics program.

No programs for student-athletes currently exist which are specifically designed to address gender equity issues.

d. Explain how the institution's written, stand-alone plan for gender issues addresses each of the 17 areas.

The plan specifies that the Senior Woman Administrator develop programming for coaches and staff regarding gender issues in the 2009-2010 academic year.

17. Participation in governance and decision making Involvement of athletics department staff, coaches and student-athletes from the underrepresented gender within the athletics program in the governance and decision-making processes of the athletics department; provision of leadership opportunities for all student-athletes (e.g., participation on student-athlete advisory committee) and athletics department staff and coaches (e.g., participation at the conference and/or national level).

a. Describe how the institution has ensured a complete study of each of the 17 program areas.

The membership of the Gender Issues Self-Study Subcommittee was drawn from across the University—administrators, alumni, faculty, head coach for Women's Basketball, and a student-athlete (diver).

The process for the self-study included interviews of student-athletes from all women's sports, University and Athletics Department administrators, Athletics Department staff (including trainers), and all head coaches. In particular, the President of the Student Athlete Advisory Committee (SAAC) was also interviewed.

b. Provide data demonstrating the institution's status and commitment, including resource allocation, across each of the 17 areas.

The stated mission of the SAAC is to disseminate information to student-athletes about rules, policies, events and opportunities as well as to promote communication and provide feedback. SAAC

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representatives (two from each team) may meet as a group once a month with a representative from the Compliance office. As a collective voice representing all athletic teams, the SAAC should provide important feedback to department issues and proposed NCAA legislation.

- c.** Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of the underrepresented gender within the athletics program.

The Committee's interviews with women student-athletes from all women's sports made it clear that women athletes are not aware that SAAC allows them representation in decision-making for important issues in their own sports and in the Athletic Department overall.

- d.** Explain how the institution's written, stand-alone plan for gender issues addresses each of the 17 areas.

The plan specifies that the Athletic Department educate and encourage gender-diverse student-athletes to become involved in SAAC.

- 9.** Using the "plan for improvement" section, provide an institutional gender issues plan that addresses all 17 aforementioned program areas for the athletics department. The plan must include all required elements of a plan as noted by the committee. If a deficiency does not exist in a program area(s), the institution must include an evaluation mechanism to monitor the institution's status in that program area (s).

Within gender-issues and diversity-issues written plans, specific numerical targets may place an institution at legal risk and are not expected in an institution's written plan, particularly as it relates to hiring practices. In the program area of hiring practices, institutions may submit plans that have broad, flexible non numeric hiring goals. As it relates to other program areas, including but not limited to participation rates and budget increases, specific numerical targets may be appropriate.

- 10.** Describe how the institution will review its gender-issues plan on an annual basis, including how it will compare the plan with its EADA reports and NCAA financial reports. Further, please provide the names and titles of those individuals who will be responsible for this review.

To provide annual monitoring of the gender issues plan, the following will occur:

1. The Athletics Certification Liaison (ACL) will monitor gender equity in the Athletic Department on an ongoing basis, will analyze reports generated by the Athletics Department, will conduct other research as needed, and will report on all aspects of equity to the Equity Subcommittee of the SMU Athletic Council.
2. Working in conjunction with the Athletics Department (especially the Senior Woman Administrator), and the ACL, the Equity Subcommittee will annually submit a report and recommendations to the Athletics Council concerning implementation of specific components of the plan.
4. The Athletics Council will submit an annual report with recommendations concerning gender equity to the President.

Specific Steps:

1. The ACL and the chair of the Equity Subcommittee will obtain copies of the EADA and NCAA Annual Reports from the Director of Athletics in November and February (respectively) each year.
2. In addition to the EADA and NCAA Reports, the Director of Athletics will also submit annually a Director's Report including the current status of efforts to achieve equity and the Department's goals for the next academic term.
3. The Director of Athletics will also provide the following, as they are generated, to both the ACL and the Chair of the Equity Subcommittee:

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- any other gender equity reports;
- the C-USA Conference Budget Summary for each academic year;
- copies of any contracts signed with coaches (new and renewing) during each fiscal year; and
- approved annual budgets from all programs within the Department.

4. The ACL will perform an annual analysis of the EADA and NCAA Reports along with any other pertinent reports to ascertain equity status in all areas including the following:

- participation rate for male and female student athletes;
- financial aid ratio for male and female student athletes;
- spending ratio between men's and women's athletic programs (overall and between comparable sports);
- salary ratio for head and assistant coaches for men's and women's programs;

5. The ACL and Equity Subcommittee will specifically monitor compliance with the University's 5-year gender equity plan, especially the 17 program areas enumerated in the Gender Issues Self-Study.

6. The Equity Subcommittee will report to the Athletic Council at least once annually at the end of each year, and during the year as issues arise.

7. The Athletics Council will report to the President annually.

8. Working with the Director of Athletics and the Compliance Officer, the ACL and Equity Subcommittee will monitor the "evolving standards of the Association in the area of gender equity" and include in its annual report recommendations for how the University will accommodate these evolving standards.

Responsible Personnel:

Director of Athletics, Steve Orsini
 Athletics Certification Liaison
 Chair, Equity Subcommittee of the Athletics Council - Dr. Ellen Jackofsky
 Chair, Athletics Council - Dr. Matthew Wilson
 SWA (unfilled)
 Associate Athletic Director for Compliance and Student Welfare (unfilled)

11. Describe the institution's efforts to ensure the gender-issues plan for improvement was developed through a process involving broad-based campus participation and has received formal institutional approval. Further, please identify the length (e.g., five years) of this plan, including the specific years this plan will be active.

If a plan concludes prior to the commencement of the institution's next self-study, the institution is expected to create a new five-year plan for improvement, even if each of the actions in the institution's original plan were ongoing in nature. The institution must develop a new five-year plan that will maintain conformity with the operating principle.

I. Broad-Based Campus Participation.

A. The following people, representing various identified constituencies, were members of the Gender Issues Subcommittee:

John Bauer, J.D., Alum; member of the Executive Board of the Dedman School of Law; Chair of the SMU Planned Giving Council; member, of the Development and External Affairs Subcommittee of the SMU Board of Trustees; 2005 Winner Honorary Lettermen's Award

Patricia Davis, Ph.D., J.D., Director for Leadership Development/Adjunct Professor of Leadership and Pastoral Care, Perkins School of Theology; member Advisory Board of SMU Human Rights Education Program

Koni Daws, SWA (former), SMU Athletic Department

Linda Eads, J.D., Associate Professor, Dedman School of Law; President-elect, SMU Faculty Senate

Audra Egenolf, Student-Athlete, All-American Diver, 2007-2008, 2008-2009

Ellen Jackofsky, Ph.D., Associate Provost; Title IX Coordinator; Chair, Equity Subcommittee of the Athletic Council; Associate Professor of Management and Organizations, Cox School of Business

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Rhonda Rompola, Head Coach, Women's Basketball

Joci Caldwell-Ryan, Ph.D., Lecturer, Women's Studies; professor who traveled with Men's Basketball team to Africa (2008)

Kathy Rowe, Ph.D., Director of Operations and Effectiveness Planning, Division of Enrollment Services

Mark Stamm, Th.D., Associate Professor of Christian Worship, Perkins School of Theology, Senator and member of Executive Committee, SMU Faculty Senate

B. The following people were interviewed by members of the Gender Issues Subcommittee as part of the gender equity self-study process:

- One (or two) student-athlete(s) from each women's sport sponsored by the Athletics Department;
- The head coach of each sport (men's and women's) sponsored by the Athletics Department;
- Athletics Director (S. Orsini);
- Asst. Athletics Director for Business (K. Lowe);
- University Controller (J. O'Connor);
- Director of Institutional Access and Equity (B. Wilson);
- Athletics Department Administrative Assistant (R. Hachtman); and
- Sr. Assoc. Athletics Director for Compliance (J. Konya—former).

C. In addition, the Committee toured all practice and competition facilities for men's and women's sports.

II. Formal Institutional Approval.

This plan was approved by SMU President, R. Gerald Turner on April 29, 2009

III. Dates for the Plan.

This Plan will be operational for 5 years, from August 1, 2009 through July 31, 2014.

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

- Documentation assessing the institution's goals and actions regarding Title IX (if applicable).
- Equity in Athletics Disclosure Act survey forms and worksheets. [Please note: For confidentiality purposes, the committee will permit an institution to provide the EADA worksheets with salary information in the form of a percentage.]
- NCAA financial reports for the three most recent academic years.

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Plan Date Range: 2009-10 thru 2013-14

Elements		Goals	Steps		
Program Area	Issues in the Self-Study	Measureable Goals	Steps to Achieve Goals	Individuals / Officers Responsible for Implementation	Specific Timetable for Completing the Work
Accommodation of interests and abilities	Participation ratio is within 3% of being proportional for 2008 for women's athletics teams vs. men's athletic teams, which is in compliance with NCAA standards.	Maintain participation ratio within 3% of being proportional for 2008 for women's athletics teams vs. men's athletic teams.	A. Continue monitoring participation ratio for women's vs. men's athletic teams.	Athletic Certification Liaison (ACL) Director of Athletics SWA Equity Subcommittee Athletic Council	Review EADA Reports each November.
			B. Continue monitoring of roster management by coaches.	ACL Director of Athletics SWA Equity Subcommittee Athletic Council Sports Administrators	Annual review of rosters with coaches by SWA.
Athletics scholarships	For 2008, scholarships for women are within 2% of proportionality with men, and within 1% of compliance with NCAA standards.	Ensure that scholarships for women are within acceptable proportionality with men, and within compliance with NCAA standards.	A. Continue phasing in Equestrian scholarships, and reach compliance with NCAA standards by 2009.	Director of Athletics Head Coach, Equestrian SWA Sports Administrators for Equestrian	Fall 2009
			B. Continue monitoring of proportionality in scholarships.	Director of Athletics ACL Equity Subcommittee Athletic Council SWA	Ongoing annual monitoring

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Elements		Goals	Steps		
Program Area	Issues in the Self-Study	Measureable Goals	Steps to Achieve Goals	Individuals / Officers Responsible for Implementation	Specific Timetable for Completing the Work
Equipment and supplies	Equipment and supplies are not equivalent or sufficient for certain women's sports.	To provide equitable clothing, uniforms, and equipment for women athletes in both comparable and non-comparable sports.	To provide equitable funding for uniform/apparel budget for Women's Swimming, Track and Field, Women's Basketball, Rowing and Equestrian.	Athletic Director Asst. Athletic Director for Business Head Coaches: Swimming Track and Field Basketball Rowing Equestrian	Phase in beginning 2009-2010 to reach equity by 2014.
			To provide equitable funds for Women's Basketball equipment to reach parity with Men's Basketball.	Athletic Director Asst. Athletic Director for Business Head Coach, Women's Basketball	Phase in beginning 2009-2010 to reach equity by 2014.
			Allocate funds for Equestrian supplies	Athletic Director Asst. Athletic Director for Business Head Coach, Equestrian	Phase in beginning 2009-2010 to reach equity by 2014.
			Create development program for equestrian focusing on obtaining horses by donation of horses.	Athletic Development Officer Head Coach, Equestrian SMU Legal Counsel SMU Risk Management Officer	Phase in beginning 2009-2010 to reach equity by 2014.

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Elements		Goals	Steps		
Program Area	Issues in the Self-Study	Measureable Goals	Steps to Achieve Goals	Individuals / Officers Responsible for Implementation	Specific Timetable for Completing the Work
			Allocate funds for Track and Field, Volleyball and Rowing to update equipment.	Athletic Director Asst. Athletic Director for Business Head Coach, Track and Field	Phase in beginning 2009-2010 to reach equity by 2014.
			Hire a facilities/maintenance person for upkeep of boats.	Athletic Director Asst. Athletic Director for Business Head Coach, Rowing	Phase in beginning 2009-2010 to reach equity by 2014.
			To provide equitable funds for Women's Golf equipment to reach parity with Men's Golf.	Athletic Director Asst. Athletic Director for Business Head Coach, Women's Golf	Phase in beginning 2009-2010 to reach equity by 2014.
Travel allowance	For certain women's sports travel allowances for per diem, lodging, modes of transportation as well as travel for competitive reasons are inadequate.	To provide equitable modes of transportation and housing during travel, and equitable per diem allowances for both comparable and non-comparable women's sports.	To provide equitable per diem for the following women's sports: Swimming, Tennis, Rowing, Diving	Athletic Director Asst. Athletic Director for Business Head Coaches, Women's Swimming and Diving, Women's Tennis, Rowing	Phase in beginning 2009-2010 to reach equity by 2014.
			To provide equitable travel budget for lodging for the following women's sports: Swimming, Tennis, Diving	Athletic Director Asst. Athletic Director for Business Head Coaches, Women's Swimming and Diving, Women's Tennis	Phase in beginning 2009-2010 to reach equity by 2014.

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Elements		Goals	Steps		
Program Area	Issues in the Self-Study	Measureable Goals	Steps to Achieve Goals	Individuals / Officers Responsible for Implementation	Specific Timetable for Completing the Work
			To provide equitable travel budget to improve the mode of transportation for the following women's sports: Swimming, Basketball, Equestrian, Diving	Athletic Director Asst. Athletic Director for Business Head Coaches, Women's Swimming and Diving, Equestrian, Women's Basketball	Phase in beginning 2009-2010 to reach equity by 2014.
			To provide equitable travel funding for permit full complement of student-athletes to compete outside of the region for Volleyball and Track and Field.	Athletic Director Asst. Athletic Director for Business Head Coaches, Women's Track and Field and Volleyball	Phase in beginning 2009-2010 to reach equity by 2014.
Scheduling of contests and practice time	Volleyball practice schedules in Moody Coliseum are not consistently honored	Provide equitable practice time and space for both comparable and non-comparable women's sports.	Practice schedules for Moody Coliseum should be negotiated and consistently honored.	Athletic Director Basketball and Volleyball Administrators Moody/Crum Facility Manager	Beginning 2009
Academic support services	No issues reported.	Continue to provide equitable access to effective academic support services.	Annual review of Academic Support Services should be continued.	Director, LEC Athletic Director SWA	Ongoing
Coaches	Certain women's sports are in need of assistant coaches.	Provide comparable levels of coaching for women and men athletes as measured by availability, assignments, and compensation of coaches.	Provide comparable levels of assistant coach(es) in Women's Golf and Equestrian.	Athletic Director Head Coaches, Women's Golf and Equestrian SWA	Phase in beginning 2009-2010 to reach equity by 2014.

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Elements		Goals	Steps		
Program Area	Issues in the Self-Study	Measureable Goals	Steps to Achieve Goals	Individuals / Officers Responsible for Implementation	Specific Timetable for Completing the Work
Coaches	[REDACTED]	Provide comparable levels of coaching for women and men athletes as measured by availability, assignments, and compensation of coaches.	[REDACTED]	Athletic Director SWA	2009-2010
Coaches	With one exception none of the women's coaches have an employment contract.	Provide comparable levels of coaching for women and men athletes as measured by availability, assignments, and compensation of coaches.	Renew/establish contracts of at least one year with all women's coaches (head and assistant).	Athletic Director SWA	2009-2010
Coaches	Women coaches are underrepresented at the Head Coach level.	Enhance, where possible, the number of women Head Coaches.	Hiring committees will be charged with hiring the best candidate for each open position, while making every effort to increase the pool of qualified women candidates.	Athletic Director SWA Asst. Athletic Director for Business Sport Administrators	2009 and ongoing.
Locker Rooms, Practice and Competitive Facilities	Locker rooms, competitive facilities and training space are inadequate for certain women's sports.	Provide comparable locker rooms, practice facilities, and competitive facilities for women's sports—comparable and non-comparable	Establish indoor training facility for Rowing.	Athletic Development Director Athletic Director Rowing Head Coach	Phase in beginning 2009-2010 to reach equity by 2014.
			Establish locker rooms for Equestrian.	Athletic Development Director Athletic Director Head Coach, Equestrian	Phase in beginning 2009-2010 to reach equity by 2014.

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Elements		Goals	Steps		
Program Area	Issues in the Self-Study	Measureable Goals	Steps to Achieve Goals	Individuals / Officers Responsible for Implementation	Specific Timetable for Completing the Work
Locker rooms, practice and competitive facilities	Women's Track and Field facilities are not adequate for practice or for hosting home competitions. Women's Track has not been able to host home competitions since 1999 because of the track being shortened. Women's Track and Field practice facilities have been recently destroyed/removed.	Provide comparable locker rooms, practice facilities, and competitive facilities for women's sports — comparable and non-comparable	Provide upgrades and improvements in women's track and field facilities	Athletic Director Asst. Athletic Director for Business Head Coaches, Women's Track and Field Director of Campus Planning	Phase in beginning 2009-2010 to reach equity by 2014.
Medical and training facilities and services	Training and weight facilities should be scheduled and monitored so that women's athletes have adequate and appropriate use of them.	To continue to provide high-quality and equitable services and care to all student athletes.	Revise scheduling policies for training and weight rooms to ensure that women athletes are given access to facilities and trainers during the times reserved for them.	Director of Strength Facilities Head Trainer Sport Administrators Head coaches of men's and womens' sports	Phase in beginning 2009-2010 to reach equity by 2014.
Housing, dining facilities and services	No issues reported.	Provide equivalent housing and dining facilities for all student-athletes receiving scholarships.	Continue to accommodate housing requests from women's sports	Assistant Director of Assignments, Housing Head Coaches, Women's sports	Ongoing
Publicity and awards	Publicity (internet and other) does not adequately highlight all women's sports with current and updated information.	Enhance marketing of women's sports to equitable levels with men's sports.	Athletic website should provide updated and current information on women's sports with particular attention during each sport's season.	Asst. Athletic Director for Public Relations SWA	Beginning fall 2009
			All women's sports should be monitored for publicity—providing posters with calendars, promotional items for competitions, advertising in local media and press guides for distribution across campus and to the greater community as appropriate	Sports Information Director SWA Marketing Office Asst. Athletic Director for Business Head coaches for all women's sports	Phase in beginning 2009-2010 to reach equity by 2014.

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Elements		Goals	Steps		
Program Area	Issues in the Self-Study	Measureable Goals	Steps to Achieve Goals	Individuals / Officers Responsible for Implementation	Specific Timetable for Completing the Work
Publicity and awards	Women's Basketball does not have its own SID.	Enhance marketing of women's sports to equitable levels with men's sports.	Women's Basketball should be provided its own SID to travel with the team, as is provided for Men's Basketball.	Athletic Director SWA Sports Information Director	2009-2010
Publicity and awards	Women athletes do not receive their annual awards in a timely or regular fashion.	Enhance marketing of women's sports to equitable levels with men's sports.	All women athletes should receive the awards which they have earned at the end of their seasons/academic year.	Equipment Director Asst. Athletic Director of Business SWA	Beginning fall 2009
Recruitment of student-athletes	For certain women's sports recruiting budgets are not comparable or adequate.	Provide equitable opportunities for recruitment for women's sports.	To provide equitable recruiting budget for Women's Basketball and Equestrian to reflect increased costs for recruitment outside region.	Director of Athletics SWA Asst. Athletic Director for Business Affairs Head coaches, Women's Basketball and Equestrian	Phase in beginning 2009-2010 to reach equity by 2014.
Support services	Administrative assistants are needed for some women's sports.	Provide equitable support services for men's and women's sports.	Provide equitable administrative help for the following women's sports: Tennis, Equestrian	Director of Athletics SWA Asst. Director of Athletics for Business	Phase in beginning 2009-2010 to reach equity by 2014.
Retention	No equity issues identified within retention.	Retain student athletes from matriculation to graduation.	Continue to conduct exit interviews with departing athletes to ascertain reasons for departure.	SWA Director of Compliance	Ongoing
Programs and activities (staff and coaches)	No programs exist specifically to address gender issues.	Consistent training and development activities for staff and coaches regarding gender equity.	Develop programming for coaches and staff regarding gender issues.	SWA	2009-2010
Programs and activities (student-athletes)	No programs currently exist specifically to address gender issues	Consistent training and development activities for student-athletes regarding gender equity.	Develop programming for student athletes regarding gender issues.	SWA	2009-2010

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Elements		Goals	Steps		
Program Area	Issues in the Self-Study	Measureable Goals	Steps to Achieve Goals	Individuals / Officers Responsible for Implementation	Specific Timetable for Completing the Work
Participation in governance and decision making	Student athletes are not aware that SAAC allows them representation in decision-making for important issues in the Athletic Department.	Maintain commitment to selecting equitable numbers of women on the SAAC.	Educate and encourage gender-diverse student athletes to become involved in SAAC	Director of Athletics Chair, Student-Athlete Advisory Committee SWA Athletic Department Advisor to SAAC	Beginning 2009

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Operating Principle

3.2 Diversity Issues

Self-Study Items

1. List all "conditions for certification" imposed by the Committee on Athletics Certification in its second-cycle certification decision (if any) as they relate to Operating Principle 3.2 (Minority Issues). In each case, provide:
 - a. The original "condition" imposed;
 - b. The action(s) taken by the institution;
 - c. The date(s) of the action(s); and
 - d. An explanation for any partial or noncompletion of such required actions.

Please note, the institution is not required to respond to opportunities for enhancement developed by the peer-review team unless those same items were adopted by the Committee on Athletics Certification.

1. Condition

The "Summary of Issues Identified by the NCAA Division I Committee on Athletics Certification," received by SMU on February 21, 2001, included the following issue related to Operating Principle 3.2:

The institution must enhance the minority-opportunities plan to ensure individual(s) responsible for carrying out steps to achieve specific goals are identified.

Action

Minority-opportunities plan was modified to include the individuals responsible for carrying out steps to achieve specific goals.

Action Date

The minority-opportunities plan was modified and forwarded to the NCAA in spring of 2001. The University was notified by letter dated June 4, 2001, that the NCAA Division I Committee on Athletics Certification had concluded that SMU had satisfied this condition.

Explanation for partial or non-completion

SMU completed the required action, as noted above.

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2. Report on the implementation of the plan for improvement to address minority issues developed by the institution during its second-cycle certification process. In each case, provide:
- The original plan;
 - The action(s) taken by the institution;
 - The date(s) of the action(s); and
 - An explanation for any partial or noncompletion of such plans.

The Committee on Athletics Certification will not accept the following explanations for partial completion or noncompletion:

- The institution did not possess sufficient funds to implement the plan, and
- The institution has had personnel changes since the original development of the plan.

Within gender-issues and diversity-issues written plans, specific numerical targets may place an institution at legal risk and are not expected in an institution's written plan, particularly as it relates to hiring practices. In the program area of hiring practices, institutions may submit plans that have broad, flexible non numeric hiring goals. As it relates to other program areas, including but not limited to participation rates and budget increases, specific numerical targets may be appropriate.

1. Original Plan

Adopt in principle and practice a concerted effort to enhance minority presence in administrative personnel within the Department of Athletics consistent with annual analyses, and actions as required in the SMU Affirmative Action Plan. Executive, Administrative, and Managerial and Head Coach job categories have been identified as Department of Athletics "problem areas" in the University Affirmative Action Plan. The Department will be challenged to undertake specific efforts to diversify applicant pools, and to correct minority under-utilization in the referenced job categories.

1) Assure minority participation in each recruitment and search process and will appoint, at least one person from the Athletic Council Equity Subcommittee to each search committee.

2) Monitor composition of Department of Athletics search committees to assure minority participation in the recruitment and search process.

3) Notify and consult the University Director, Affirmative Action if minority participation cannot be achieved before commencement of the selection of candidates for the interview process.

4) Aggressively identify and recruit minority candidates for Department of Athletics administrative and coaching vacancies. If the applicant pool does not yield identifiable minority candidates, when under-utilization has been determined for a particular job category, the search may be extended to assure minority access and presence. Access the NCAA resume bank and the Black Coaches Association, contact institutions with predominately minority populations and utilize other resources to identify potential minority candidates.

5) Initiate actions and efforts to identify sources and individuals to recruit and hire minorities for participation in Department of Athletics internship program for athletic administration.

6) Monitor progress and involve the Athletic Council or its designee (i.e. Equity Subcommittee) in the monitoring and evaluation of each item listed within this subcategory referencing minority underrepresentation and required corrective actions.

7) Report to the University President annually, through the Director of Athletics, issues, assessments and progress made to correct or eliminate underrepresentation of minorities in employment and student-athletes by sport.

8) Advise the Athletic Council of progress made toward objectives, as described herein, and efforts made to ensure corrective actions.

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- 9) The Student-Athlete Advisory Board must include minority student-athletes.

Action

- 1) Minority participation in recruitment and searches is done when possible.
- 2) Attempts are made to ensure broad university division participation in search committees but there does not appear to be a deliberate attempt to assure minority participation in the recruitment and search process.
- 3) The Associate Vice President for Institutional Access and Equity meets with members of search committees and search firms for executive-level Athletics Department searches. The Associate VP explains the University's equal opportunity and affirmative action policies and procedures and monitors the hiring process.
- 4) In keeping with the principle to aggressively identify and recruit minority candidates, the Athletic Department recently recruited and hired a Black Male as Assistant Athletic Director for Business and a Black Female as the Senior Associate Athletic Director for Compliance.
- 5) The action item was never implemented
- 6) At the time of the current review it does not appear that any action was taken or maintained on this item, as no record of any assessment or monitoring was found during this review.
- 7) Athletic Director meets weekly with the President to discuss various issues within Athletics.
- 8) Not done.
- 9) Six minority student-athletes have been appointed and are currently serving on the Student-Athlete Advisory Board.

Action Date

- 1) As needed for recruitment and searches
- 2) N/A
- 3) This action is taken for all executive-level searches.
- 4) December 2006 and March 2009.
- 5) N/A.
- 6) N/A.
- 7) Weekly meetings throughout the year.
- 8) N/A.
- 9) We have confirmed these minority student-athlete members for 2008-2009 with the compliance office.

Explanation for partial or non-completion

- 1) Not applicable
- 2) Input from various divisions across campus appears to be important in the recruitment and search process, and gathering individuals from different divisions will occasionally yield minority participation. It is not by written directive that this occurs.
- 3) Not applicable.
- 4) Not applicable.
- 5) No reason provided for noncompletion of this item.
- 6) Current personnel in Athletics had no record of any assessment/monitoring process in place at the time of this review. This effort may have been started by the previous Athletic Department administration and then fell through the cracks when the Athletics Department had a change in personnel or it may have never been implemented. With the change in personnel and no records found, the explanation for the current lack of assessment is unknown at this time.
- 7) Not Applicable
- 8) No reason provided for noncompletion of this item.
- 9) Based on our research, it appears the institution has complied with this item on the plan.

2. Original Plan

Annually review minority student-athletes' participation in all sports and aggressively search for prospective student-athlete populations that are currently underrepresented in the various sports.

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Action

Program supervisors and head coaches do meet and discuss efforts to identify and recruit of underrepresented minority students to various athletic programs. However, this is not documented as a pertinent factor in their annual performance evaluations.

Action Date

Annually

Explanation for partial or non-completion

Upon review of this item it was determined that the action item was not feasible within a competitive athletics environment when athletic performance is primary to success of the team sports. Because the lack of feasibility regarding this item, it was determined that it should not be included as a pertinent factor on performance evaluations. However, it was determined that continued annual discussion and planning regarding the identity and recruitment of underrepresented minority groups was still critical to maintaining as diverse a cohort of student-athletes as could be supported within the competitive environment.

3. Original Plan

Coordinate with the Affirmative Action Office to provide diversity awareness seminars for Department of Athletics personnel.

Action

The Department of Human Resources provides diversity training for all new staff members as part of its SMU & You new employee orientation.

Action Date

All new staff members are expected to complete the training within the first 90 days of employment at SMU.

Explanation for partial or non-completion

Not Applicable.

3. Describe any additional plans for improvement in the area of Operating Principle 3.2 (Minority Issues) developed by the institution after the second-cycle certification decision was rendered by the Committee on Athletics Certification. In each case, provide:

- a. The additional plan;
- b. The action(s) taken by the institution;
- c. The date(s) of the action(s); and
- d. An explanation for any partial or noncompletion of such plans.

No additional plans for improvement were developed.

4. Explain how the institution is organized to further its efforts related to the diversity- issues operating principle for both athletics department staff and student-athletes.

Southern Methodist University is committed to providing fair and equitable treatment to all members of the University community including the staff of the Athletics Department and student-athletes. SMU expects all schools and departments to support the University's mission that emphasizes individual dignity and worth and moral and ethical values. Several offices and committees have been established to help address diversity issues and foster an inclusive climate on campus.

The Office of Institutional Access and Equity (IAE) promotes diversity and oversees the University's adherence to equal opportunity and affirmative action policies and procedures. A few of IAE's responsibilities include resolving

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complaints of discrimination, monitoring hiring procedures, maintaining the SMU Affirmative Action Plan, and serving as a liaison to on- and off-campus diversity committees and organizations. IAE interacts with students, faculty, and staff of the University.

The Student Activities and Multicultural Student Affairs Office (SAMSA) provides support to over 200 SMU student organizations including numerous groups that focus on African-American, Hispanic, and Asian cultures. Throughout the academic year, SAMSA hosts numerous cultural events that highlight the great diversity of our SMU student body. SAMSA also sponsors the Diversity Education Program which was implemented in the Fall of 2000 and teaches students how to improve cultural awareness and respect for diversity on campus.

Several other offices also provide support to our diverse campus. The Department of Human Resources provides guidance to recruit diverse applicants for staff positions and coaching to help resolve employment conflicts. The Office of Services for Students with Disabilities coordinates accommodations for students with physical and learning disabilities. The Division of Enrollment Services hired a Director of Retention who oversees the University's student retention efforts.

SMU has also created three on-going University-wide committees comprised of students, faculty, and staff to address diversity concerns: The President's Commission on the Status of Racial and Ethnic Minorities, the President's Commission on the Status of Women, and the President's Advisory Committee on the Needs of Persons with Disabilities. If interested, student-athletes and Athletic Department staff can volunteer to serve on these committees and learn more about their contributions to fostering a more open and respectful campus environment.

Within the Athletics Department, student-athletes may be selected to serve on the Student Athletic Advisory Committee (SAAC). The Committee helps enhance the student-athlete experience and builds a sense of community within Athletics. SAAC can be used as a vehicle to address student diversity issues and concerns within the Athletics Department if the need arises.

5. Describe how matters concerning diversity issues are monitored, evaluated and addressed on a continuing basis.

Diversity issues on campus are monitored, evaluated, and addressed on a continuing basis by several departments and committees. However, diversity concerns or recommendations for new diversity initiatives can be expressed by any member of the University community. Academic Deans and Department Managers, for example, have addressed diversity concerns within their respective areas.

The Office of Institutional Access and Equity (IAE) and the Department of Human Resources monitor hiring on a daily basis by ensuring that hiring entities follow University search and recruitment policies and procedures. IAE also monitors the campus climate for diversity as it receives inquiries regarding equity issues and complaints of discrimination. The Student Activities and Multicultural Student Affairs Office is one of the key contacts for minority and international students who are free to voice any concerns with members of the staff. All of these University offices take prompt and appropriate action as needed to respond to diversity issues.

Three University-wide diversity committees - the President's Commission on the Status of Racial and Ethnic Minorities, the President's Commission on the Status of Women, and the President's Advisory Committee on the Needs of Persons with Disabilities - address diversity issues on an on-going basis as part of their charge. The committees normally begin meeting in the fall of each year to discuss concerns or topics of interest and, in the spring, present to the University President a report with recommendations for action. The President reviews the report and responds back to each committee.

There is no separate mechanism within the Athletics Department to monitor, evaluate, and address diversity on an on-going basis.

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6. For the three most recent academic years, analyze and explain the data regarding the racial or ethnic composition for the following:

- a. Full-time senior administrative athletics department staff members (i.e., assistant athletics directors up through the athletics director level);
- b. 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);
- c. Full- and part-time head coaches;
- d. myQuestionMarkFull- and part-time assistant coaches (including graduate assistant and volunteer coaches);
- e. Faculty-based athletics board or committee (e.g., faculty senate subcommittee on athletics, faculty athletics committee) members; and
- f. Other advisory or policy-making group (e.g., governing board subcommittee for athletics, student athlete advisory committee) members (if any).

a. Full-time senior administrative athletics department staff members (i.e., assistant athletics directors up through the athletics director level);

The Athletic Department hired a new Athletic Director between 2006 and 2007. The new senior staff has retained a single African American member but the increase in the number of White personnel (plus 2 people) at this level reduced the minority percentage by 4.2%

b. 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 athletics department);

The diversity composition in this category have remained relatively unchanged between 2006 and 2008 with a slight shift during the 2007 year. While the overall minority percentages have remained steady the distribution within minority groups has changed. The shifts are partially due to an increase in the number of White personnel while the African American personnel have remained steady, but there has also been an increase in the Asian personnel. These shifts are potentially due to the changes in the senior staff listed above.

The A-LEC's four member Student Athletic Academic Services team hired an African-American woman in 2007 and a bi-racial man in 2008. Because these staff report through the Office of the Provost, they do not show up in the IAE reporting on the Athletic Department.

c. Full- and part-time head coaches;

Even with changes in coaching personnel between 2006 and 2008 there has been no change in the diversity of the Head Coaches within the Athletic Department, with all Head Coaches falling into the White category.

d. Full- and part-time assistant coaches (including graduate assistant and volunteer coaches);

Like the Other Professional category, the overall change in diversity of Assistant Coaches between 2006 and 2008 has remained fairly stable, with shifts within minority categories. While African American Assistant Coach numbers have diminished from 6 to 4 the number of Hispanic Assistant Coaches has increased from 0 to 2 and there was the addition of 1 Asian coach. Changes in the Head Coaching staffs of Football and Basketball have led to subsequent changes in the Assistant Coaching staffs.

e. Faculty-based athletics board or committee (e.g., faculty senate subcommittee on athletics, faculty athletics committee) members (if any);

The faculty-based athletics board has increased the number of participants by 2 from 2006 - 2008 but those increases were in the White race/ethnic category which has led to a diminished percentage minority participation in this board over the same period.

f. Other advisory or policy-making group (e.g., governing board subcommittee, for athletics, student-athlete advisor committee) members (if any).

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In the Other advisory group, the percentage of minority representation has increase since 2006. The decrease in the number of White representatives (-2) and the addition of an African American individual has shifted the percentage of African Americans in the group from 4.8% in 2006 to 10% in 2008.

7. For the three most recent academic years, analyze and explain the data regarding the racial or ethnic composition for student-athletes who received athletics aid and for all students.

In comparing the student-athlete diversity to that of the university, there are some significant differences. Specifically there is a noticeably larger percent of African American and Non-Resident student-athletes than is reflected in the population of the University. Likewise, there is a smaller percent of Hispanics and Whites within the student-athlete population than within the University undergraduate student population. According to interviews conducted with student-athletes, they are quite aware of the race/ethnicity discrepancies between athletics and the University at large, but few, if any of the student-athletes reported this a being a significant concern.

What is interesting is that the changes in the percentage of students within each of the race/ethnic categories seem to occur in unison within athletics and the University. Specifically, both in the student-athlete population and the University undergraduate population, there has been a shrinking of the White and African American percentages and a seeming corresponding increase in the percent of Non-Resident students. The one race/ethnic category that seems to differ between the University and student-athletes are the Asian students. There has been an increase in the number (percent) of Asian student-athletes, while the Asian undergraduate student population has remained fairly steady, percentage wise.

It is not clear why this pattern is changing. It could be that both the University and the Athletic Department are reaching out to the international community for potential students, but there is not clear policy change in this regard based upon our research.

8. For the three most recent academic years, analyze and explain the data regarding the racial or ethnic composition of student-athletes who received athletics aid by the eight sport groups listed in the NCAA Federal Graduation Rates Report.

Baseball - N/A

Men's Basketball - There has been a shift in the race/ethnic categories for Men's Basketball over the past three academic years. The percent of African Americans and Whites have diminished but the percent of Non-Resident students and those in the Other category have increased. The University recruited 3 players from Senegal, who are black but are counted in the Non-Resident category and explains a good portion of this shift.

Football - Within Football there has been an increase in the percentage of White student-athletes and Asian students, and a corresponding drop in the percent of African American and Hispanic athletes in this sport.

Men's Track/Cross Country - N/A

Men's Other Sports and Mixed Sports - Once again there has been a shrinking of the White and African Americans from this sport category and an increase in the number of Non-Resident students.

Women's Basketball - Unlike Men's Basketball, Women's Basketball has seen a marked increase in the number of African Americans and a proportional decrease in the number of White athletes. In contrast to men's sports, there does not seem to be any influx of Non-Resident students across the three years.

Women's Track/Cross Country - Somewhat like Women's Basketball, Women's Track has seen an increase in the number of African American student-athletes, and a decrease in the number of White student-athletes. Unlike Women's Basketball, however, there has also been an increase in the number of Non-Resident Athletes and decrease in the number of Hispanic athletes in this category.

Women's Other Sports - Women's Other Sports have seen little change in the percent of White student-athletes over the past three years. However, these same sports have seen an increase in Hispanic athletes and a decrease in African American athletes over the same period. The Non-Resident and Asian athletes have remained relatively steady over the past three years.

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9. Using the program areas for diversity issues:

- a. Describe how the institution has ensured a complete study of each of the nine program areas. This study must be conducted as part of the self-study process;
- b. Provide data demonstrating the institution's status and commitment across each of the nine areas;
- c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of its student-athletes and staff with diverse racial, ethnic and other backgrounds; and
- d. Explain how the institution's written, stand-alone plan for diversity issues addresses each of the nine areas.

1. Institutional and athletics department commitment and organization Written statements (e.g., vision statements, mission statements, diversity statements, policies, plans) that address the issues of diversity, including where the statements are published; description of how the institution and athletics department are organized to address diversity through policies and/or organizational structure, including how athletics department's commitment to diversity connects with the institution's commitment; communication of expectations regarding diversity to staff, coaches and student-athletes.

- a. Describe how the institution has ensured a complete study of each of the nine program areas. This study must be conducted as part of the self-study process.

The self-study included interviews of coaches, student-athletes, staff and faculty and reviews of the University's policies, procedures, and programs to assess the institutional and Athletics Department commitment to diversity.

- b. Provide data demonstrating the institution's status and commitment across each of the nine areas.

SMU uses the internet and the University's website as its main mechanism to reach students, faculty, and staff to publicize its diversity expectations as set forth in University statements, documents, and policies. Some of the policies are also included in the Student Handbook. The Athletics Department also publicizes its mission statement to its staff using the internet and to student-athletes through its website and in the Student-Athlete Handbook. Interviews of coaches, staff, and student-athletes indicated that many individuals were not aware of any diversity expectations in Athletics.

The following are some of SMU's diversity-related statements, plans, and policies:

SMU Mission Statement

<http://www.smu.edu/AboutSMU/StrategicPlan/Mission.aspx>

Southern Methodist University will create, expand, and impart knowledge through teaching, research, and service, while shaping individuals to contribute to their communities and excel in their professions in an emerging global society. Among its faculty, students, and staff, the University will cultivate principled thought, develop intellectual skills, and promote an environment emphasizing individual dignity and worth. SMU affirms its historical commitment to academic freedom and open inquiry, to moral and ethical values, and to its United Methodist heritage.

SMU Athletic Department Mission Statement

<http://smumustangs.cstv.com/ot/mission-statement.html>

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Southern Methodist University strives for excellence in teaching, research and service. Within this mission, SMU's intercollegiate athletics program is an integral part of the institution and its educational programs. SMU is committed to maintaining an intercollegiate athletics program that reflects the attitudes and values underlying the University's overall mission: integrity, academic excellence, leadership, equity, diversity and success. An intercollegiate athletics program that reflects these values will contribute to the overall quality of the campus experience by fostering a sense of community and promoting institutional commitment on the part of student, faculty, staff and alumni.

SMU is committed to maintaining a successfully competitive intercollegiate athletics program that acts in concert with academic objectives and enriches the life of the institution. Accordingly, the intercollegiate athletics program should be conducted with respect, fairness, civility, honesty and responsibility. The student-athlete's activities are an integral part of the larger educational experience, enhancing his or her holistic development. The University will admit no student-athlete who does not demonstrate a reasonable likelihood of successfully completing a baccalaureate degree at SMU. To ensure that SMU's student-athletes have a reasonable opportunity to complete their baccalaureate degrees, the University will endeavor to provide the necessary and appropriate resources for academic support.

SMU's Statement of Nondiscrimination
<http://smu.edu/legal/nondiscrimination.asp>

Southern Methodist University will not discriminate in any employment practice, education program, or educational activity on the basis of race, color, religion, national origin, sex, age, disability, or veteran status. SMU's commitment to equal opportunity includes non-discrimination on the basis of sexual orientation.

SMU Centennial Strategic Plan (2006-2015) ? Diversity-Related Components
<http://www.smu.edu/AboutSMU/StrategicPlan.aspx>

Demographic Environment
<http://www.smu.edu/AboutSMU/StrategicPlan/HigherEdEnviron.aspx>

Goal One: To Enhance the Academic Quality and Reputation of the University
<http://www.smu.edu/AboutSMU/StrategicPlan/GoalOne.aspx>

Objective Two: Development, evaluation, and retention of a diverse faculty through competitive compensation, an environment conducive to teaching and research, externally funded support, and effective annual performance review.

Objective Six: Fostering an open, collaborative, diverse community.

Goal Four: To Support and Sustain Student Development and Quality of Life
<http://www.smu.edu/AboutSMU/StrategicPlan/GoalFour.aspx>

Goal Five: To Broaden Global Perspectives
<http://www.smu.edu/AboutSMU/StrategicPlan/GoalFive.aspx>

Objective Four: Enhancement of strategies that increase the international representation of students and faculty.

SMU Diversity-Related Policies

General Policies:

Policy on the Use of Gender-Neutral Language (1.8)
<http://smu.edu/policy/S1/gender.html>

Religious Holiday Policy (1.9)
<http://smu.edu/policy/S1/religion.html>

Code of Ethics (1.20)
<http://smu.edu/policy/S1/01-20%20SMU%20Code%20of%20Ethics.htm>

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Equal Opportunity/Affirmative Action Policies:

Affirmative Action and Equal Opportunity Policy Reaffirmation Statement (2.1)
<http://smu.edu/policy/S2/policies.html>

Employment - Affirmative Action and Equal Opportunity Policy (2.2)
<http://smu.edu/policy/S2/Policy2.2.htm>

Employment of Persons with Disabilities (2.3)
<http://smu.edu/policy/S2/disable.html>

Needs of Persons with Disabilities (2.4)
<http://smu.edu/policy/S2/2.4needs.htm>

Sexual Harassment and Consensual Relationships (2.5)
<http://smu.edu/policy/S2/Policy2.5.htm>

Racial and Ethnic Harassment (2.6)
<http://smu.edu/policy/S2/racial.html>

Affirmative Action Compliance and Discrimination Complaints Against the Univ. (2.7)
<http://smu.edu/policy/S2/comply.html>

University Grievance Policy and Procedure (2.8)
<http://smu.edu/policy/S2/2.8griev.htm>

Faculty Policies:

The Recruitment, Selection, and Appointment of Full-Time Faculty and Academic Admin. (6.7)
<http://smu.edu/policy/S6/06-07rec.htm>

Human Resource Policies:

Recruitment and Selection of Staff Non-Faculty Positions (9.4)
<http://smu.edu/policy/S9/RecruitmentandSelection.htm>

Domestic Partner Benefit (9.37)
<http://smu.edu/policy/S9/domestic.htm>

SMU 2008-2009 Student Handbook: Code of Student Conduct ? Harassment Policy (Section 3.14)
http://smu.edu/studentlife/studenthandbook/PCL_03_Conduct_Code.asp

SMU Diversity-Related Offices and Committees

Office of Institutional Access and Equity
<http://smu.edu/aao/>

Student Activities and Multicultural Student Affairs
<http://smu.edu/samsa/>

Diversity Education Program
<http://smu.edu/samsa/DEP/DEPhome.htm>

African-American Organizations
http://smu.edu/samsa/MCOrgs/african_american_organizations.asp

Asian-American Organizations
http://smu.edu/samsa/MCOrgs/asian_american_organizations.asp

Hispanic Organizations
http://smu.edu/samsa/MCOrgs/hispanic_organizations.asp

Allies (GLBT) Program
<http://smu.edu/womenscenter/allies/default.asp>

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Office of Services for Students with Disabilities
<http://smu.edu/studentlife/SSD/default.asp>

Services for Students with Disabilities Policies and Procedures
http://smu.edu/studentlife/SSD/OSSD_Policies.asp

President's Advisory Committee on the Needs of Persons with Disabilities
<http://smu.edu/disabilities/mission.asp>

President's Commission on the Status of Women
<http://smu.edu/womenscenter/aboutus/>

- c.** Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of its student-athletes and staff with diverse racial, ethnic and other backgrounds.

SMU addresses diversity issues through its organizational structure and its policies and procedures. Although the University as a whole is responsible for supporting diversity efforts, several offices and committees are key to enhancing and promoting diversity: The Office of Institutional Access and Equity, the Department of Human Resources, the Student Activities and Multicultural Student Affairs Office, the President's Commission on the Status of Racial and Ethnic Minorities, the President's Commission on the Status of Women, and the President's Advisory Committee on the Needs of Persons with Disabilities.

The NCAA diversity issues operating principle of promoting respect for and sensitivity to the dignity of every person and to refrain from discrimination is woven throughout SMU's mission statement, nondiscrimination statement, strategic plan, policies, and procedures. The mission statement guides the University and emphasizes individual dignity and worth. In keeping with the University's mission, the Athletics Department incorporates respect, equity and diversity into its mission statement. The self-study revealed that the Athletics Department does attempt to treat all individuals in a fair manner.

- d.** Explain how the institution's written, stand-alone plan for diversity issues addresses each of the nine areas.

The Athletics Department will annually emphasize its commitment to diversity as expressed in its mission statement. The Department will include its mission statement in departmental publications, prominently post the mission statement on its website, and review the mission statement with coaches, staff, and students during annual meetings.

- 2. Assessment** Assessment of athletics department activities to evaluate its consistency with objectives set forth in the institution's and athletics department's written diversity statements; assessment of campus climate through evaluation of various campus constituencies.

- a.** Describe how the institution has ensured a complete study of each of the nine program areas. This study must be conducted as part of the self-study process.

The self-study included interviews with athletic department staff, coaches, and student-athletes, as well as select university faculty and staff. As part of the interview process we inquired about instances of or knowledge of any processes in place to assess diversity within the Athletic Department or various campus constituencies.

- b.** Provide data demonstrating the institution's status and commitment across each of the nine areas.

It was determined that there is no formal or informal assessment of Athletic Department activities to evaluate the objectives set forth in their written diversity statements. The Office of Institutional Access and Equity completes an annual Affirmative Action Plan for the entire University that reports on the current status of employees' gender and race/ethnic distributions and establishes goals for improvements in

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various campus divisions. There is no currently known assessment of University commitment to student race/ethnic diversity.

- c.** Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of its student-athletes and staff with diverse racial, ethnic and other backgrounds.

Since no formal or informal assessment is being conducted at this time, there are no formal or informal indicators of what student-athlete and staff needs are in regards to these diversity areas

- d.** Explain how the institution's written, stand-alone plan for diversity issues addresses each of the nine areas.

The Athletic Department will establish goals, objectives, and measures related to its commitment to racial/ethnic diversity as stated in its Mission Statement. Using these goals, objectives, and measures as guidelines, it will annually collect and analyze data to determine if those objectives are being met through their established measures. The results of their analyses will be reported to senior Athletic Department staff, where plans for improvement, changes, or continued goals will be discussed, revised, and implemented for the following year.

3. Recruitment Institutional and athletics department programs and strategies for recruiting administrators, coaches and student-athletes from underrepresented groups or diverse backgrounds.

- a.** Describe how the institution has ensured a complete study of each of the nine program areas. This study must be conducted as part of the self-study process.

The self study included interviews with student-athletes, coaches, and staff members in the Athletics Department, including the Deputy Director of Athletics and the Associate Athletic Director, Compliance to assess the recruitment strategies of the institution and athletic department.

- b.** Provide data demonstrating the institution's status and commitment across each of the nine areas.

It seems that there are not targeted efforts to intentionally recruit student-athletes, coaches, or administrators from underrepresented groups or diverse backgrounds; however, there is a general awareness of the need to recruit from these populations. Specifically, through conversations with the Deputy Director of Athletics and an assistant basketball and football coach, the coaches, staff, and students within the Athletics Department are recruited based upon talent. The coaches and athletic administrators network to ensure that there is a diverse applicant pool with which to work and are cognizant of the need for diversity. For example, when the athletics program originally created a compliance office in 1987, they hired an African American and a female to work in that office to ensure diversity. In regards to recruiting student-athletes, during recruit visits, all of the prospective students are paired up with current students. The coaching staff tries to pair up students based upon their background and race/ethnicity. In addition, the coaches emphasize the minority support services provided through the Student Activities and Multicultural Student Affairs office (SAMSA).

- c.** Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of its student-athletes and staff with diverse racial, ethnic and other backgrounds.

According to the student-athletes interviewed, all student-athletes regardless of race/ethnicity/background are treated the same during the recruiting visits. They agree with this practice, as student-athletes should be recruited based upon qualifications and talents. Coaches are deliberate about pairing minority recruits with current minority athletes during recruiting visits, as well as showing them the minority student

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services and opportunities. The coaches and staff are recruited based upon qualifications, as well; however, they work to ensure diverse applicant pools and are aware of the need for diversity.

- d.** Explain how the institution's written, stand-alone plan for diversity issues addresses each of the nine areas.

The Athletics Department will ensure minority participation in each recruitment and search process, as well as intentionally search for, identify, and recruit minority candidates for administrative and coaching vacancies. This process should be reviewed annually in order to evaluate its effectiveness in recruiting a more diverse staff.

4. Hiring practices Assessment and comparison of institutional and athletics department hiring practices to ensure the athletics department demonstrates a commitment to diversity in hiring procedures for athletics department staff and coaches. Description, comparison and explanation of any differences between institutional hiring practices and athletics department hiring practices. Description of institutional and/or athletics department policies related to use of outside firms (e.g., search firms) to ensure a diverse candidate pool. Description of actual hiring practices since previous self-study for any positions (e.g., coaches, staff) determined to be high profile at the institution.

- a.** Describe how the institution has ensured a complete study of each of the nine program areas. This study must be conducted as part of the self-study process.

The self-study included interviews of coaches, athletics staff, and personnel in the Department of Human Resources to assess and compare the Athletics Department's hiring practices to the University's practices.

- b.** Provide data demonstrating the institution's status and commitment across each of the nine areas.

SMU is an equal opportunity and affirmative action employer and abides by all State and Federal nondiscrimination laws and regulations. The University annually updates its Affirmative Action Plan and encourages departments to make good faith efforts to recruit and retain a qualified and diverse workforce. The Department of Human Resources works closely with departments, including Athletics, to identify potential recruitment sources to develop diverse pools of applicants. Recruitment sources for Athletics have included the Black Coaches Association and Hispanic Outlook. Since the Athletics Department primarily focuses on sport or administration area for recruitment of qualified candidates, the department has also identified the following recruitment sources: Cosida.com (Public Relations), NSCAA.com (Soccer), AVCA.com (Volleyball), Varsityequestrian.com (Equestrian), and Aema1.com (Equipment Room). There are screen shots on the attached pages of job postings from the SMU and Teamwork Online websites.

The University does not have a formal policy on the use of search firms. The University utilizes search firms for senior level positions such as Vice Presidents and Academic Deans. Search firms are also used to recruit and hire head coaches in the Athletics Department. Search firms are informed of and must abide by SMU's equal opportunity and affirmative action obligations.

The hiring practice for high profile positions in Athletics begins with the appointment of a search committee by the Director of Athletics under the guidance of the University President. The search committee is normally comprised of staff and faculty including the key constituents for the Athletics Department. A search firm is selected to assist the hiring chair in gathering resumes and providing recommendations for candidates who are available in the market or that would be interested and would provide value to SMU. The search committee reviews applications, interviews candidates, and provides a candidate of recommendation to the Director of Athletics who makes the final hiring decision.

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- c.** Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of its student-athletes and staff with diverse racial, ethnic and other backgrounds.

SMU has established University-wide hiring policies and procedures for staff that are administered through the Department of Human Resources. The procedures incorporate checks and balances in an effort to ensure nondiscriminatory and consistent hiring practices across campus. The checks and balances include a procedural review and approval of staff hires and approval of policy exceptions by the Department of Human Resources and the Office of Institutional Access and Equity. The Athletics Department abides by the University's hiring policies and procedures.

- d.** Explain how the institution's written, stand-alone plan for diversity issues addresses each of the nine areas.

The Athletic Department will monitor hiring and goals for minorities as outlined in the SMU Affirmative Action Plan. Recruitment efforts will be enhanced as needed to diversify applicant pools and correct underutilization. The Department will develop strategies to identify and recruit minority candidates, appoint diverse search committees when possible, and consult with the Office of Institutional Access and Equity and/or the Department of Human Resources as needed.

5. Retention Programs and services to address retention and acclimation of diverse staff, coaches and student-athletes; review of retention and promotion of staff and coaches who are members of underrepresented groups, including professional development opportunities (e.g., mentoring programs), compensation, duration of contracts, conditions relating to contract renewal.

- a.** Describe how the institution has ensured a complete study of each of the nine program areas. This study must be conducted as part of the self-study process.

The self-study included interviews with Athletics Department staff, coaches and student-athletes, as well as select university faculty and staff. As part of the interview process we inquired about instances of or knowledge of any programs and/or services that address retention and acclimation of diverse staff.

- b.** Provide data demonstrating the institution's status and commitment across each of the nine areas.

Interviews conducted with four faculty and staff, five student-athletes, and six coaches.

Altshuler Learning Enhancement Center

The mission of Southern Methodist University's Altshuler Learning Enhancement Center is to help students become more independent, self-confident, and efficient learners who are able to respond effectively to specific academic challenges, to articulate their own educational goals, and to succeed at any level of the undergraduate curriculum.

Rather than primarily responding to perceived academic weaknesses or helping students overcome academic difficulty, we seek to build success from the beginning, offering both developmental and accelerated programs designed to maximize students' learning potential, personal adjustment, and academic performance.

We seek to create an environment that encourages students to integrate the academic side of their lives more fully with their understanding of themselves and their goals. We also support students in their efforts to become full participants in a university community in which the life of the mind is developed and valued.

This mission is supported by these specific goals.

The goals of the staff of the Altshuler Learning Enhancement Center are:

- to support new students in their transition to the academic culture of the university;
- to assist students in developing comprehensive, advanced reading and learning techniques and in applying these global skills to specific coursework challenges;
- to offer services that encourage students to build confidence in their ability to learn and to overcome the challenges they may confront at SMU;

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- to offer services that strengthen—and where necessary develop—the foundational skills (mathematical literacy, reading, writing, computer literacy, critical thinking) that are central to every student's continued academic success;
- to offer services that support students' pursuit of the institution's most challenging programs of study and mastery of their chosen curricula;
- to ensure that the Center's administrative practices, operating principles, and staff development activities are designed to further the academic well-being of SMU's undergraduates.

A-LEC Student Athlete Academic Services

The mission of the Student Athlete Academic Services team is to help student-athletes become more independent, self-confident, and efficient learners who are able to respond effectively to specific academic challenges, to articulate their own educational goals, and to succeed at any level of the undergraduate curriculum. The SAAS team facilitates this mission by offering various services to student-athletes, including but not limited to academic counseling, study hall, and study skills support. Services and resources provided include:

- Academic counseling
- Grade Tracking
- Workshops Specific to Student Athletes
- Study Hall
- Registration/Drops
- Practice and Travel Grids
- Class Scheduling Grids
- Drops
- Equipment Checkout

- c.** Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of its student-athletes and staff with diverse racial, ethnic and other backgrounds.

The SMU Athletic Department does not offer any programs or services specifically aimed at the retention and acclimation of a diverse staff, coaches, or student-athletes. According to interviews coaches and student-athletes are provided programs and services that are available for all constituents regardless of race/ethnicity. For example, the Altshuler Learning Enhancement Center (A-LEC) is a service provided to all SMU students for assistance with classes, through individual tutoring, and help with study skills and learning strategies. While the A-LEC benefits many under-represented minority students who attend SMU on athletic scholarship, and may come from a less rigorous academic High School, it is not an exclusive service for this group. Likewise, some student-athletes and coaches report an informal mentoring program in certain sports that have the upperclassmen work with underclassmen to acclimate to the SMU campus and athletic life. These programs are primarily initiated and run by volunteer student-athletes in certain sports, but seem to be effective ways to help new athletes navigate the athletic and campus systems. Again this program can be especially beneficial to underrepresented minority students, but it is not targeted to that group specifically. At least one student-athlete said that programs or services offered to a specific group of student-athletes, such as underrepresented minorities, might not be well received as it would make them feel singled out for potentially unfavorable reasons.

Likewise for Athletics Department staff and coaches, there is an attempt to ensure fairness in compensations and contracts, but not specifically aimed at retaining a specific group of employees. For example, the Athletics Department benchmarks salary data for all coaching and staff positions in order to ensure salaries are competitive with other similar Universities especially within our Conference. Most coaches and staff reported in our interviews that they recognize the importance of a diverse coaching and athletic staff, but also acknowledge that competence and more importantly quality of personnel is paramount to diversity issues. Somewhat like the student athletes, these personnel felt that special programs or services aimed at a specific group could be perceived as counterproductive to the overall functioning of the Athletic Department and performance of the teams.

- d.** Explain how the institution's written, stand-alone plan for diversity issues addresses each of the nine areas.

The plan will seek to improve upon what is already working for the student-athletes and look for new opportunities to improve on those successes. The A-LEC is already helping student-athletes to adjust to

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University life and improve academic performance. The A-LEC can evaluate programs that are especially successful with underrepresented groups within athletics and seek to expand on those programs which could potentially increase retention of these underrepresented groups. In addition, some athletic programs have informal mentoring programs where more senior level student-athletes mentor entering student-athletes. The Athletics Department can explore opportunities to formalize such a program across all sports which could improve retention of all student-athletes including underrepresented groups. Mentoring programs among staff might also be helpful in retention of Athletic Department Staff including underrepresented groups.

6. Partnerships Collaboration and integration between athletics department and other institutional units or external organizations to enhance diversity efforts in programs, activities and services.

a. Describe how the institution has ensured a complete study of each of the nine program areas. This study must be conducted as part of the self-study process.

The self study included interviews with coaches, administrative staff, and student-athletes to assess the collaboration and integration between the Athletics Department and other units within the institution or external organizations to enhance the diversity efforts in programs, activities, and services.

b. Provide data demonstrating the institution's status and commitment across each of the nine areas.

From the coaches and staff perspective, partnerships include outreach to DISD (Dallas Independent School District) by allowing students from area schools to attend athletic events on campus. Community outreach partially falls under the Athletic Compliance office. Men's basketball head coach Doherty works with DISD with a program called "Principal for a Day" and basketball camps. Some coaches have reached out to university departments to participate in other campus events outside of the athletic department. Basketball and football have allowed its incoming first year student-athletes to participate in the Orientation of Minority Students. On the other hand, the student-athletes interviewed commented that they could not think of any other collaboration or integrations.

c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of its student-athletes and staff with diverse racial, ethnic and other backgrounds.

The coaches and staff clearly had a different perspective on whether or not there is collaboration and integration between the Athletics Department and other institutional units or external organizations in enhancing diversity efforts in programs, activities, and services than the perspective of the student-athletes. The coaches and staff believe that the needs in this area are being met, while the student-athletes feel that they are not.

d. Explain how the institution's written, stand-alone plan for diversity issues addresses each of the nine areas.

To address the different perspectives on whether or not there is collaboration and integration between the Athletics Department and other institutional units or external organizations in enhancing diversity efforts in programs, activities, and services the Athletics Department will:

1. Provide to the student-athletes accessible literature that advertises the partnerships that enhance diversity efforts in programs, activities, and services.
2. Promote opportunities for athletes to participate in campus and community partnerships that enhance diversity efforts in programs, activities, and services.
3. Conduct a workshop that allows the Marketing and Community Outreach area educate the student-athletes on campus and community partnerships.

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7. Programs and activities (staff and coaches) Programs and activities that provide opportunities for all athletics department staff and coaches to address diversity issues, including those designed to address the needs of underrepresented groups or diverse backgrounds.

a. Describe how the institution has ensured a complete study of each of the nine program areas. This study must be conducted as part of the self-study process.

The self study included interviews with coaches and staff members in the Athletics Department to assess the programs and activities for coaches and student-athletes that address diversity issues.

b. Provide data demonstrating the institution's status and commitment across each of the nine areas.

The Deputy Director and the Senior Associate Athletic Director for Compliance both stated that there are opportunities provided for speakers to present to the coaches and staff regarding diversity issues. For instance, a female ESPN presenter discussed gender issues as an athlete and an African American professional athlete discussed the issues associated with being a minority in the profession. In our conversations with the coaches, they stated that the extent of opportunities to address diversity issues was limited to a brief discussion at the annual staff meeting each year. There was also mention of a Task Force on the Minority Student Experience being created by the Athletic Director's office, with the intent of addressing the issues of minority students and finding ways for these issues to be brought forward to the staff and coaches, as well as solutions through collaborations with other entities on campus. Members of this task force include the Athletic Director, Assistant Athletic Director, Deputy Director of Athletics, Assistant Director of Compliance, and the coaching staff, as well as student-athletes.

c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of its student-athletes and staff with diverse racial, ethnic and other backgrounds.

There appeared to be disparity between the responses from the athletic administrators and the responses of the coaching staff. The coaches do not believe that there are sufficient opportunities, if any, provided to discuss diversity issues. The Athletics Department is working on increasing awareness of diversity issues by creating a task force that will bring forth the issues of our minority and underserved student-athletes to our coaching staff and athletic administrators.

d. Explain how the institution's written, stand-alone plan for diversity issues addresses each of the nine areas.

The Athletics Department will work with the office of Student Activities and Multicultural Student Affairs to develop programming on diversity education. The Athletic Department will monitor the participation of the staff and coaches at these events and conduct annual surveys to evaluate the effectiveness and impact of these programs.

8. Programs and activities (student-athletes) Programs and activities that provide opportunities for all student-athletes to address diversity issues, including those designed to address the needs of under-represented groups or diverse backgrounds.

a. Describe how the institution has ensured a complete study of each of the nine program areas. This study must be conducted as part of the self-study process.

The self study included interviews with coaches, administrative staff, and student-athletes to assess the programs and activities for student-athletes that address diversity issues.

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- b.** Provide data demonstrating the institution's status and commitment across each of the nine areas.

Both coaches and administrators mentioned the Student Athletic Advisory Committee as a venue in which diversity issues are addressed. Each team has a representative that sits on the council. Also mentioned was a new task force being created within the Athletic Department that will discuss the atmosphere at SMU for minority student-athletes. Administrators mentioned that all coaches have an opened door policy that invites players to come in and discuss any and all issues. Student-athletes interviewed felt that there were little to no programs and activities that existed designed to address the needs of underrepresented groups or diverse backgrounds.

- c.** Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of its student-athletes and staff with diverse racial, ethnic and other backgrounds.

There is a disparity between what the Athletics Department offers in the area of diversity and the student-athletes awareness of those opportunities. There is no consistent formalized education, training, or plan that deals with diversity or addressing the needs of the underrepresented population within the Athletic Department. Both the coaches and the administrative staff believed that there should be more structured opportunities to discuss diversity issues.

- d.** Explain how the institution's written, stand-alone plan for diversity issues addresses each of the nine areas.

The disparity that exists between what the Athletics Department offers in the area of diversity and the student-athletes knowledge of those opportunities will be addressed by:

1. Collaborate with departments that deal with issues of diversity, such as Student Activities and Multicultural Student Affairs, to provide the Athletic Department with information on programs that are sponsored through their to allow this information to be available to athletes;
2. Collaborate with the above-mentioned departments in having them provide any type of brochures or flyers that include information on their programs and display them throughout the Athletics Department;
3. Conducting annual focus groups made up of minority student athletes to provide feedback on how the Athletics Department is doing in dealing with issues of diversity, and discuss the type of opportunities they have participated in during the year.

9. Participation in governance and decision making Involvement of athletics department staff, coaches and student-athletes from underrepresented groups or diverse backgrounds in the governance and decision-making processes of the athletics department; provision of leadership opportunities for all student-athletes (e.g., participation on student-athlete advisory committee) and athletics department staff and coaches (e.g., participation at the conference and/or national level).

- a.** Describe how the institution has ensured a complete study of each of the nine program areas. This study must be conducted as part of the self-study process.

Regarding governance and decision making diversity issues, the self-study included interviews of the Athletic Director's staff, SMU Athletics Compliance Office staff and the President of the Student Athlete Advisory Committee, Vice Chair of the Athletics Council, as well as a review of information found on the SMU website.

- b.** Provide data demonstrating the institution's status and commitment across each of the nine areas.

This report is an analysis of various opportunities in the governance and decision-making prospects for student athletes and participation at the conference level and/or national level of coaches from all sports.

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There are several governance entities throughout the University and the Athletic Department which are listed below.

SMU Faculty Senate-Athletics Policies Committee/Athletic Council:

The Athletics Policies Committee represents the General Faculty in all matters concerning intercollegiate athletics. Its members shall also be the Faculty Senate's nominees to the University Athletic Council, and Chair of the Committee shall normally serve as chair of that Council.

By way of example, on November 5, 2008, Professor Dan Orlovsky, chair of the Athletics Policies Committee, presented a report on a) the strong academic performance, graduation rates, retention rates and eligibility of student-athletes, b) the three new developmental courses for incoming students, currently restricted to student-athletes, and c) the Athletic Department budget deficit.

The Athletic Council is composed of faculty, administrators, student-athletes, alumni and trustees and does include minority representation. The duties are as follows:

1. Promote an understanding of intercollegiate athletics among faculty members and other members of the SMU community.
2. Promote adoption and maintenance of strict academic standards at SMU, in the NCAA, and in any conference of which SMU shall be a member.
3. Review annually the approved athletic budget with the Director of Athletics and give him or her the benefit of its advice concerning allocations of funds for different athletic purposes within the limits of funding made available by the University.
4. Consult with the President concerning persons to serve as Director of Athletics and consult with the Director of Athletics concerning persons to serve as head coaches and associate athletic directors.
5. Report to the President and the Faculty Senate annually concerning the status and prospects of intercollegiate athletics at SMU.
6. Review annually the Manual of Governance of Intercollegiate Athletics and make a written report to the President of recommended changes.
7. Monitor compliance with Title IX.
8. Review the reports of its Academic, Budget, and Equity committees, and take appropriate action.
9. Provide advice to the Director of Athletics concerning athletic schedules and the award of letters earned by members of athletic teams.
10. Advise the President regarding the addition or termination of intercollegiate sports programs. If a new sport is added, it will normally be as a replacement for an existing intercollegiate sport, or the required funds must, to the satisfaction of the President, be identified and provided exclusive of appropriations from the general university budget.
11. Determine whether to accept invitations to post-season events, special holiday games, or other events outside the regular-season schedule, after receiving the advice of the Director of Athletics.
12. Make recommendations to the President, Provost, and appropriate faculty bodies concerning eligibility requirements for participation in intercollegiate athletics and the award of financial assistance.
13. Receive reports of external auditors relating to compliance with University policies and report to the President any deviations from these policies.
14. Provide advice to the President concerning its evaluations of the Director of Athletics when requested.

Student Athlete Advisory Committee (SAAC):

The SMU Student Athlete Advisory Committee (SAAC) is the voice of the student-athlete on campus. The SAAC supplies essential feedback to the Athletic Department and other campus organizations in order to increase student-athlete welfare. The committee provides recommendations on proposed conference and NCAA legislation and addresses national issues that may concern student-athletes. It also strives to make the SMU experience positive by providing opportunities to recognize student-athletes' academic achievements, promoting school spirit at sporting events, and providing ways to interact with the community. Two student-athletes from each sponsored team (one upperclassman and one lower classman) comprise the committee. Meetings are held on the first Sunday of each month and work off a

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formal agenda focusing on discussions involving NCAA legislation and other items the student-athletes feel are important enough to bring up.

Head Coaches Committee:

Athletic Director, Steve Orsini, meets with the head coaches of each sport once a month on important legislative issues. There is a protocol on issues. The Senior Staff Sport Administrator discusses it with Steve Orsini. If it becomes a large issue then it will be taken to the Senior Staff weekly meetings. Additionally, in an interview with Mike Vaught, Deputy Director of Athletics, it was noted that Coach Jones, for example, has an open door policy for any football player who has a concern. Assistant Coaches as well, provide an avenue for student-athletes to voice concerns as they often receive calls on their cell phones after hours and act somewhat in a parental role due to lack of parental support in some cases. Each sport also has captains who can take any team concerns to the head coach of that sport.

Opportunities at the Conference USA and National level:

Each sport has its own national organization. For example, football is AFCA (American Football Coaches Association). The coaches and staff are free to attend but it is not required of them. In fact, Mike Vaught attends and, still serves on a committee, even though he has not personally coached in 8 years. Additionally, Conference USA, of which SMU is a member, has a SAAC. The Committee consists of twelve members (one from each institution). One of the twelve members serves as Chair and one member serves as Vice Chair. The Committee meets five times a year, including one in-person meeting.

- c.** Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of its student-athletes and staff with diverse racial, ethnic and other backgrounds.

Based on our research, there is a definite line of governance and the opportunity for involvement which works to include the student-athletes, staff, and coaches in an array of councils and commissions. For example, coaches have resources in their budget to attend their sport specific conferences and, based on a random sampling of the staff, it appears they either do attend or send a representative.

However, regarding SAAC, it was not the perspective of the student-athlete who chairs this committee that the Athletic Department encouraged the creation of a truly successful student-athletic organization that promotes activities that would benefit the student-athlete or develops the student-athlete for real life scenarios. These deficiencies of the current SAAC organization were recently addressed in a proposal the President of SAAC submitted to the Athletics Director.

- d.** Explain how the institution's written, stand-alone plan for diversity issues addresses each of the nine areas.

Based on our research, the SMU SAAC appears to be in need of improvement to meet the needs of all student-athletes, including minorities and other under-represented groups. By improving the structure of the Committee, providing a committed and enthusiastic advisor, benchmarking best practices and utilizing the necessary resources for programming, the SAAC will be better equipped to address the concerns of the student-athletes in the areas of communication, socialization and professional development.

- 10.** Using the "plan for improvement" section, provide an institutional diversity issues plan that addresses all nine aforementioned program areas for the athletics department. The plan must include all required elements of a plan as noted by the committee. If a deficiency does not exist in a program area(s), the institution must include an evaluation mechanism to monitor the institution's status in that program area (s).

Within gender-issues and diversity-issues written plans, specific numerical targets may place an institution at legal risk and are not expected in an institution's written plan, particularly as it relates to hiring practices. In the program area of hiring practices, institutions may submit plans that have broad, flexible non numeric hiring goals. As it relates to other program areas, including but not limited to participation rates and budget increases, specific numerical targets may be appropriate.

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A plan for improvement for Diversity Issues has been developed.

- 11.** Describe how the institution will review its diversity-issues plan on an annual basis, including how it will compare the plan with its assessment (see Program Area No. 2). Further, identify those individuals who will be responsible for this review.

The Athletics Certification Liaison (ACL) and the Athletics Director will monitor diversity and progress on the diversity issues plan in the Athletics Department on an ongoing basis, will analyze reports generated by the Athletics Department, will conduct other research as needed, and will report on diversity to the SMU Athletics Council and the President's Commission on the Status of Racial Minorities.

Working in conjunction with Athletics Department personnel, the Athletics Director, and the ACL, the President's Commission on the Status of Racial Minorities will annually submit a report and recommendations concerning implementation of specific components of the plan to the Athletics Council and the President.

Responsible parties will include the Athletics Director, the Athletics Certification Liaison, the Athletics Council, and the President's Commission on the Status of Racial Minorities. The Athletics Director may choose to assign other staff members to monitor the plan.

- 12.** Describe the institution's efforts to ensure the diversity-issues plan for improvement was developed through a process involving broad-based campus participation and has received formal institutional approval. Further, please identify the length (e.g., five years) of this plan, including the specific years this plan will be active.

If a plan concludes prior to the commencement of the institution's next self-study, the institution is expected to create a new five-year plan for improvement, even if each of the actions in the institution's original plan were ongoing in nature. The institution must develop a new five-year plan that will maintain conformity with the operating principle.

The diversity issues plan for improvement was developed by members of the self-study Diversity Issues Committee whose membership includes:

Dr. Tom Tunks, Associate Provost, Chair
 Samantha Thomas, Director, Access and Equity
 Jennifer Jones, Assistant Dean of Student Life, Director of Student Activities and Multicultural Student Affairs
 Pavielle Chriss, Admissions Counselor, Coordinator of Minority Recruitment
 Mary Beard, Associate Director of Financial Aid for Scholarships and Employment
 Kris Lowe, Assistant Athletic Director for Business
 Mike Walker, Student-athlete (Men's Basketball)
 Dr. Michael Tumeo, Assistant Director, Institutional Research
 Jeri Jessee, Alumna - VP, Jones Lang LaSalle Americas, Inc.

In addition as the committee conducted broad-based campus interviews to develop their responses for the self-study and in that process interviewed student-athletes, coaches, alumni (recently graduated student-athletes), faculty and athletic department administrators. The interviewees represented a broad range of ethnicities.

The Plan for Improvement is based on 2nd cycle plan compliance and the Diversity Issues section of the self-study. The Plan has been presented to the Steering Committee and has the approval of the President of the University.

The term of this plan is ten years beginning in the fall of 2009.

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

- Written statements that address diversity (e.g., vision statements, mission statements, diversity statements, policies, plans).
- Written policies related to hiring policies and procedures, including any policies related to the use of outside firms (e.g., search firms).

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- Written or published information related to the recruitment and retention of diverse staff, coaches and student-athletes.
- Written or published information related to programs and activities for staff, coaches and student-athletes.

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Plan Date Range: 2009-10 thru 2018-19

Elements		Goals	Steps		
Program Area	Issues in the Self-Study	Measureable Goals	Steps to Achieve Goals	Individuals/Officers Responsible for Implementation	Specific Timetable for Completing the Work
Institutional and athletics department commitment and organization	Coach, staff, and student awareness of an Athletic Department diversity statement.	Annually emphasize the Athletic Department's commitment to diversity as expressed in its mission statement.	1. Include the Athletics Department mission statement in departmental publications.	Associate Athletic Director for Compliance	Fall 2009 and ongoing each year subsequent.
			2. Prominently post the mission statement on the Athletics Department website.	Associate Athletic Director for Compliance	Fall 2009 and ongoing each year subsequent.
			3. Review the mission statement with coaches, staff, and students during annual meetings.	Director of Athletics, Associate Athletic Director for Compliance	Fall 2009 and ongoing each year subsequent.
Assessment	Athletic Department collection and review of data related to monitoring the department's commitment to diversity.	Monitor the athletics department's activities related to its commitment to diversity	1. Develop specific goals, objectives, and measures related to the commitment to diversity as specified in the Athletic Department Mission Statement.	Director of Athletics SMU Human Resources Department Representative SMU Office of Access and Equity Representative	Goals/Objectives/ Measures completed by Fall 2009.
			2. Collect data to monitor and assess the progress on diversity issues within the Athletic Department.	Director of Athletics SMU Human Resources Department Representative SMU Office of Access and Equity Representative	Data collected Fall 2009 - Spring 2010.

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Elements		Goals	Steps		
Program Area	Issues in the Self-Study	Measureable Goals	Steps to Achieve Goals	Individuals/Officers Responsible for Implementation	Specific Timetable for Completing the Work
			3. Report to senior athletic department personnel, athletic council and athletic advisory board the data collected as related to the goals and objective. Specify any changes to be made as a result of the data collected.	Director of Athletics SMU Human Resources Department Representative SMU Office of Access and Equity Representative	Review and revisions of Goals/ Objectives/ Measures annually. Report to constituents end of Spring Semester annually.
Recruitment	Recruitment efforts to increase diversity of administrators and coaches.	Increase diversity within the athletic department staff and coaches.	1. Assure minority participation in each recruitment and search process	Director of Athletics, Chair of Search Committee, Assistant Athletic Director for Business and Finance	As vacancies and searches occur.
			2. Intentionally search for, identify, and recruit minority candidates for administrative and coaching vacancies.	Director of Athletics, Chair of Search Committee	As vacancies and searches occur.
			3. Annually evaluate effectiveness of initiatives to recruit a more diverse staff.	Director of Athletics, Assistant Athletic Director for Business and Finance	Fall 2009 and ongoing each subsequent year.
Hiring practices	Minority utilization in the Athletic Department, as identified in the SMU Affirmative Action Plan.	Monitor Athletic Department hiring and goals for minorities as outlined in the SMU Affirmative Action Plan. Enhance recruitment efforts as needed to diversify applicant pools and correct underutilization.	1. Develop strategies to identify and recruit minority candidates.	Director of Athletics, Assistant Athletic Director for Business and Finance	Fall 2009 and ongoing as vacancies occur.
			2. Appoint diverse search committees.	Director of Athletics, Assistant Athletic Director for Business and Finance	Fall 2009 and ongoing as vacancies occur.

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Elements		Goals	Steps		
Program Area	Issues in the Self-Study	Measureable Goals	Steps to Achieve Goals	Individuals/Officers Responsible for Implementation	Specific Timetable for Completing the Work
			3. Consult with the Office of Institutional Access and Equity and/ or Human Resources.	Director of Athletics, Assistant Athletic Director for Business and Finance	Fall 2009 and ongoing as vacancies occur.
Retention	Student athlete and athletic staff adjustment to academic life on the University campus.	1. Expanded academic offerings to student-athletes from diverse backgrounds.	Evaluate A-LEC programs utilized by underrepresented groups in athletics to determine how to best serve their specific programmatic and academic needs.	Associate Athletic Director for Compliance	During 2009-10 and annually thereafter.
		2. Formal programs to improve retention of diverse athletic staff and student- athletes	Formalize programs within athletics that are being conducted on an informal basis and are deemed successful. For example, formalize a student-athlete mentoring program that allows older student-athletes to help new athletes adjust to University life and life within athletics.	Associate Athletic Director for Compliance	Discuss opportunities for improvement Summer 2009 with trial opportunities to begin in Fall 2009. Evaluate success at the end of Spring 2010 and make adjustments to programs to be implemented Fall 2010.
Partnerships	Student awareness of partnership opportunities that exist between the Athletic Department and other university entities and the larger community that enhance diversity efforts in programs, activities, and services.	Communicate current partnerships that are available to all students and encourage students to participate in those opportunities.	1. Provide literature advertising the partnerships that are accessible to the student-athletes that enhance diversity efforts in programs, activities, and services.	Deputy Athletics Director, Athletic Marketing Department	Beginning Fall 2009 and ongoing thereafter.

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Elements		Goals	Steps		
Program Area	Issues in the Self-Study	Measureable Goals	Steps to Achieve Goals	Individuals/Officers Responsible for Implementation	Specific Timetable for Completing the Work
			2. Promote opportunities for student-athletes to participate in campus and community partnerships that enhance diversity efforts in programs, activities, and services.	Deputy Athletics Director, Athletic Marketing Department	Beginning Fall 2009 and ongoing thereafter.
			3. Conduct a workshop that allows the Marketing and Community Outreach area educate the student-athletes on campus and community partnerships.	Deputy Athletics Director, Athletic Marketing Department	Beginning Fall 2009 and ongoing thereafter.
Programs and activities (staff and coaches)	Consistency in awareness by administration and coaches of available programs to address diversity issues.	Create a culture that (a) welcomes minority participation with support by key personnel and (b) displays awareness of underrepresented diverse students.	1. Consult with the office of Student Activities and Multicultural Student Affairs to develop programming on diversity education.	Director of Student Activities and Multicultural Student Affairs, Associate Athletic Director for Compliance	Fall 2009 and ongoing thereafter
			2. Monitor participation of coaches and staff members.	Associate Athletic Director for Compliance	Fall 2009 and ongoing thereafter
			3. Conduct surveys to annually evaluate effectiveness and impact.	Associate Athletic Director for Compliance, Coaches of all sports, President of SAAC, and select student-athletes.	Fall 2009 and ongoing thereafter
Programs and activities (student-athletes)	Student awareness of diversity programs offered to students sponsored by the institution or the department.	Communicate current programs available to all students and request feedback from student athletes on types of issues affecting them.	1. Collaborate with departments that deal with issues of diversity to make their program information available to student-athletes and staff.	Deputy Athletic Director, Associate Athletic Director for Compliance	Beginning in fall 2009 and ongoing thereafter.

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Elements		Goals	Steps		
Program Area	Issues in the Self-Study	Measureable Goals	Steps to Achieve Goals	Individuals/Officers Responsible for Implementation	Specific Timetable for Completing the Work
			2. Collaborate with the same departments in displaying any brochures or flyers that include information on their programs throughout the Athletic Department.	Deputy Athletic Director, Associate Athletic Director for Compliance	Beginning in fall 2009 and ongoing thereafter.
			3. Annually conduct focus groups made up of minority student athletes to provide feedback to the department regarding the needs and issues affecting minority student athletes.	Deputy Athletic Director, Associate Athletic Director for Compliance	Beginning in fall 2009 and ongoing thereafter.
Participation in governance and decision making	Student Athlete Advisory Committee (SAAC) organizational structure and member participation.	Increased participation in SAAC meetings and sponsored events.	1. Review the Athletics Department advisor assigned to SAAC to determine if the necessary commitment to guide them is present.	Director of Athletics	Fall 2009
			2. Educate coaches on the importance of SAAC and encourage thoughtful selection of team representatives.	Director of Athletics Sport Administrators	Beginning in the Fall of 2009 and ongoing thereafter.
			3. Benchmark other CUSA SAAC to obtain best practices.	Athletics Department Advisor to SAAC	Fall 2009
			4. Provide appropriate resources to support SAAC programs.	Director of Athletics, Assistant Athletic Director for Business and Finance	Beginning in the Fall of 2009 and ongoing thereafter.

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Operating Principle

3.3 Student-Athlete Well-Being

Self-Study Items

1. List all "conditions for certification" imposed by the Committee on Athletics Certification in its second-cycle certification decision (if any) as they relate to Operating Principle 3.3 (Student-Athlete Well-Being). In each case, provide:
 - a. The original "condition" imposed;
 - b. The action(s) taken by the institution;
 - c. The date(s) of the action(s); and
 - d. An explanation for any partial or noncompletion of such required actions.

Please note, the institution is not required to respond to opportunities for enhancement developed by the peer-review team unless those same items were adopted by the Committee on Athletics Certification.

1. Condition

No conditions imposed.

Action

Action Date

Explanation for partial or non-completion

2. List all actions the institution has completed or progress it has made regarding all plans for improvement/recommendations developed by the institution during its second-cycle certification process as they relate to Operating Principle 3.3 (Student-Athlete Well-Being). In each case, provide:
 - a. The original plan;
 - b. The action(s) taken by the institution;
 - c. The date(s) of the action(s); and
 - d. An explanation for any partial or noncompletion of such plans.

Please note, the institution will not be required to fulfill an element of a second-cycle plan if the element does not affect conformity with a current operating principle.

1. Original Plan

No plans for improvement were developed.

Action

Action Date

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Explanation for partial or non-completion

3. Describe any additional plans for improvement/recommendations as they relate to Operating Principle 3.3 (Student-Athlete Well-Being) developed by the institution since the second-cycle certification decision was rendered by the Committee on Athletics Certification.

SMU has developed a student-athlete emergency plan which has been submitted to the SMU Office of Risk Management and has been approved by that office. The plan is part of institutional efforts after September 11 attacks to create emergency management plans across campus.

4. Please submit a copy of the student-athlete exit-interview instrument with the submission of your self-study report. [Please use the file upload link contained within this question to submit a copy of your current student-athlete exit interview instrument.]

A copy of the student-athlete exit-interview form has been uploaded to ACS.

5. Describe opportunities other than the student-athlete exit-interview process that are available to student-athletes to provide input regarding student-athlete well-being issues (e.g., student-athlete advisory committee, open-door policy of athletics administrators, including the director of athletics, senior woman administrator, and/or faculty athletics representative).

In addition to the exit-interviews, student-athletes may provide input to the Student-Athlete Advisory Committee, which currently is comprised of two members of each sponsored team along with representatives from supporting organizations (band, cheer, training). During the monthly meetings, SAAC works off of a formal agenda and focuses on discussions involving NCAA legislation. They have a question and answer session with university and Athletics Department administrators.

Additionally, each team and supporting organization has an athletic administrator assigned to them to serve as an intermediary between the Director of Athletics and the team; however, not all student-athletes know that this exists.

The Director of Athletics and the coaches have an open-door policy which allows the student-athlete to address any and all concerns. SMU has a Learning Enhancement Center that actively communicates with the coaching staff regarding the student-athlete's educational difficulties, tutoring, and test preparation. The positive relationship between the A-LEC and the coaching staff ensures that no student-athlete falls through the cracks. SMU is unique in this way that both parties work towards the common goal for student-athletes: a degree from SMU.

We also give our student-athletes direct connection to licensed doctors (i.e. psychologists and psychiatrists), allowing them an opportunity to discuss concerns including drug addictions, eating disorders, self-confidence issues, and peer pressure. Student-athletes may meet with a psychologist (Dr Deb Wade) who works for the Athletics Department, or they may choose services from the SMU Counseling & Psychological Services staff at the Health Center.

6. Describe the athletics department's written grievance and/or appeals procedures available to student-athletes in areas mandated by NCAA legislation (i.e., financial aid and transfers). Also, provide the name (s) and title(s) of the individual(s) responsible for overseeing the administration of these grievance and/or appeals procedures. Describe the means by which these grievance and/or appeals procedures are communicated in writing to student-athletes and athletics department staff members.

Financial Aid Procedures

SMU Athletic Council established a policy on the cancellation, nonrenewal or reduction of athletic aid. At the beginning of each academic year the Athletic Compliance office distributes to each student-athlete a copy of this policy. The policy affirms that it is the intention of the institution to renew, without reduction, athletic scholarships unless sufficient cause warrants nonrenewal, cancellation or reduction and further identifies sufficient causes for nonrenewal, reduction or cancellation of athletic aid. If a head coach determines that the athletic aid for a student-athlete should be reduced, cancelled or not renewed, the coach must notify the Athletics Director in writing (this

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notification must occur even if the action is by mutual consent of all parties.) The Athletic Director has the final decision on nonrenewal, reduction or cancellation of the aid. The Athletic Director or his/her designees notifies the Associate Director of Financial Aid for Scholarships that athletic aid for a student-athlete is being cancelled, reduced or not renewed for a specific term. The Associate Director of Financial Aid prepares a letter that is signed by the Director of Financial Aid that notifies the student-athlete in writing of the cancellation, reduction or non-renewal of athletic aid and instructs the student-athlete of his/her opportunity to appeal the decision. This letter is sent by overnight mail and via e-mail. The letter specifies that if the student-athlete wishes to appeal, he/she must notify in writing either the Director of Compliance or Director of Financial Aid within 10 days of the date of the letter (a specific deadline date is included in the letter). After a student-athlete has given written indication that he/she wish to appeal, the Associate Director of Financial Aid arranges a mutually agreeable time and date for a hearing to be conducted. The appeals committee is comprised of the Director of Financial Aid, acting as Chair, and four members of the staff and/or faculty who are selected at the discretion of the Chair. None of the members of the appeals committee can be employees of the Athletics Department. Both parties are required to submit written statements and supporting documentation 48 hours before the hearing. These statements and related documentation are then forwarded to the members of the appeal committee as well as both parties. The Chair presides over the hearing but does not vote or otherwise participate in the deliberations. The Chair, however, may be called upon to vote in the case of a tie. The Chair also rules on admissibility of evidence and other procedural matters. Each party meets with the appeals committee sequentially and is permitted approximately 30 minutes to give oral statements in support of their position. During this time they may answer direct questions from the appeals committee members. Subsequent to the discussion with each of the parties, the committee will deliberate and reach a decision. The decision of the appeals committee is final. The Chair will then notify the student-athlete (and family members if present) of the decision of the committee. A written letter that confirms the decision is also provided to the student-athlete and a copy is provided to the Athletic Compliance Office. A member of the Athletic Compliance Office may observe the oral presentation portion of the hearing but is excused during committee deliberations.

Transfers

According to the Compliance Manual (page 17-18), the procedure is as follows:

When the Compliance Office is notified that a student-athlete is requesting permission to contact another institution for the purposes of transferring, the Compliance Office contacts the Head Coach for permission to allow the student-athlete to contact another institution.

If the Head Coach approves the request, the Director of Compliance sends a letter to the Compliance Office at the other institution granting permission for that institution to contact the student-athlete. A copy of the letter is also put in the student-athlete's file.

If the Head Coach denies the request to permit the student-athlete to contact another institution, then a meeting is held with the Head Coach, Sport Administrator and Director of Athletics to discuss the reason for the denial.

If the coach's decision to deny permission is upheld or if the institution chooses to object to the one-time transfer exception, the student-athlete, the Faculty Athletics Representative, and, if athletic financial aid is involved, the Director of Financial Aid are notified of the decision. The Faculty Athletics Representative coordinates a hearing outside of the Department of Athletics to determine if the student-athlete's request to contact another institution or desire to use the one-time transfer exception shall be granted.

Names & Titles responsible

1. Financial Aid Appeals: Associate Director of Student Employment and Scholarships (Mary Beard), Director of Financial Aid (Marc Peterson), Associate Athletic Director for Compliance (currently vacant)
2. Transfer appeals: Director of Compliance (vacant), Sports Administrator (varies), Athletics Director (Steve Orsini), Faculty Athletics Representative (Paul Rogers).

How Procedures are communicated

Financial Aid policies are discussed and explained at team meetings with the compliance office at the beginning of the year. This includes the information that scholarships are renewed annually, and that if a student's athletic aid is reduced, cancelled or not renewed, the student has the right to an appeal/hearing process. There is a two page handout about scholarship/aid that is distributed at that time. The right to appeal information is also included in the Student-Athlete Handbook (page 32). For athletics staff, the process for non-renewal of scholarships is outlined in the Financial Aid section of the Compliance Manual (page 33-35).

Transfer policy is communicated to students in the Student-Athlete Handbook. On page 29, the policy on transferring is outlined for students, including the right to appeal if denied permission to contact another institution. For athletic department staff, the compliance manual goes into details about the process.

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7. Describe the institution's written grievance and/or appeals procedures available to student-athletes in other areas (e.g., harassment, hazing, abusive behavior, discrimination). Also, provide the name(s) and title(s) of the individual(s) responsible for overseeing the administration of these grievance and/or appeals procedures. Describe the means by which these grievance and/ or appeals procedures are communicated in writing to student-athletes and athletics department staff members.

Students

Written policies and procedures for student-athletes to report grievances and concerns about things such as harassment, hazing, abusive behavior and discrimination fall into two categories: 1) those directed specifically to student-athletes and 2) general information directed to all students.

All student-athletes are given a copy of The Student-Athlete Handbook at the beginning of the year during team meetings with the Compliance Office. The handbook contains a specific section on page 12 informing student-athletes about discussing grievances with a coach or athletic administrator. The handbook also states if the student-athlete is uncomfortable discussing the matter with athletic staff, the student may meet with the Faculty Athletics Representative, Chair of the Athletics Council or the Dean of Student Life. The handbook contains the name, title and phone number for the Athletics Director, Senior Woman Administrator, Associate Athletic Director for Compliance, Faculty Athletic Representative for Intercollegiate Athletics and Chair of the SMU Athletics Council. In addition, the Athletics Director (Steve Orsini) has an open-door policy for student-athlete who wish to meet with him.

General policies which apply to student-athletes are found in the Student Handbook in the Student Code of Conduct including policies on harassment (section 3.14), sexual harassment (3.14b) and hazing (section 3.15), Nondiscrimination (section 3.20). The Student Handbook also contains a separate section with the SMU policy on sexual harassment which seeks to provide a work and study environment that "encourages emotional well-being of its students, faculty and staff." Students are directed to the Director Institutional Access and Equity for inquiries and grievances regarding sexual harassment or discrimination. The Student Handbook is available in print edition in the Dean of Student Life Office and on their website. Students living in campus housing receive a printed copy of the Student Handbook-Resident Edition when they move into the halls. The Resident Edition contains the complete Student Handbook, plus supplemental information regarding living in campus housing.

Both handbooks are edited annually. The Student-Athlete Handbook is written and produced by the Compliance Office. The Student Handbook and the Student Handbook-Resident Edition are written and produced by the Dean of Student Life Office and the Department of Residence Life & Student Housing respectively.

Students, including student-athletes, also participate in campus orientation sessions (Academic Advising, Registration and Orientation) before they begin their first term at SMU. This applies to entering freshmen and transfer students. Discussions and presentations at AARO address the Student Code of Conduct and provide additional information about resources for students. The second step in the orientation process is Mustang Corral, a two day event held off-campus just prior to the beginning of the fall semester. All new students are expected to attend in order to learn more about academic and student life at SMU and to connect with other new students, faculty, staff and student leaders on-campus. Unfortunately, student-athletes on teams with a fall season are unable to attend due to pre-season practice. Those student-athletes miss out on one of the valuable programs designed to help student's transition to life at the University.

Athletic Staff

In addition to the Student-Athlete Handbook, all athletic staff have access to institutional and departmental policies regarding hazing, harassment, nondiscrimination, and the like via the SMU internal website for policies.

Responsible Persons

Persons Responsible for Oversight of non-mandated Grievance Procedures (institutional)

- Associate Vice President for Institutional Access and Equity (Beth Wilson)
- Dean of Student Life (Dr. Lisa Webb)

Persons Responsible for Oversight of non-mandated Grievance Procedures (departmental)

- Director of Athletics (Steve Orsini)
- Senior Woman Administrator (vacant upon Koni Daws departure)
- Associate Director for Compliance (vacant upon Jeff Konya's departure)
- Faculty Athletic Representative for Intercollegiate Athletics (Paul Rogers)
- Chair of SMU Athletics Council (Dan Orlovsky)

Persons Responsible for Policy Review (institutional)

- Associate Vice President for Institutional Access and Equity (Beth Wilson)

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- Dean of Student Life (Dr. Lisa Webb)
- Executive Director for Residence Life & Student Housing (Steve Logan)

8. Describe the institution's educational and support programs in the area of sexual orientation. Also, describe the institution's structure and/or policies that ensure the provision of a safe environment for all students, including student-athletes with diverse sexual orientations.

The University's Student Code of Conduct (Section 3.14) defines harassment and prohibits harassment for several reasons, including, but not limited to gender and sexual orientation. As a student at SMU, all student athletes are required to follow all Student Code of Conduct policies. In addition, the University's non-discrimination statement states that SMU's commitment to equal opportunity includes nondiscrimination on the basis of sexual orientation. SMU's Women's Center for Gender and Pride Initiatives currently administrates eight different institutional-level support programs for the Lesbian, Gay, Bi-sexual, Transgendered community (LGBT). Two of the most far-reaching support and educational programs on campus are the Allies Program and the inclusion of the Women's Center in Wellness classes.

- The Allies program identifies faculty, staff and students who support gender diversity issues and help create "safe spaces" across campus by displaying an Allies logo on their door, desk or backpack. Allies are involved in training to help support students with diverse sexual orientation.

- The staff of the Women's Center also teach in first-year student Wellness I classes where they emphasize inclusive language and normalizing LGBT relationships. Wellness I is a one-semester course required for all students as part of the University General Education curriculum.

9. Using the seven program areas for student-athlete well-being issues::

- a. Describe how the institution has ensured a complete study of each of the seven program areas for student-athlete well-being. This study must be conducted as part of the self-study process;
- b. Provide data demonstrating the institution's commitment and current efforts across each of the seven areas for all student-athletes;
- c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of its student-athletes; and
- d. If the institution identifies any deficiency(ies) related to a student-athlete well-being program area, explain how the institution's written, stand-alone plan for student-athlete well-being addresses the deficiency(ies).

1. Organization and structure Policies, organization and structure of the athletics department to enhance student-athlete well-being. Commitment of the institution to enhance the overall student-athlete educational experience. How issues are monitored, evaluated and addressed on a continuing basis, including the periodic review by institutional personnel of programs and activities provided by the athletics department and institution.

- a. Describe how the institution has ensured a complete study of each of the seven program areas for student-athlete well-being. This study must be conducted as part of the self-study process.

To complete its assessment in this area the Well-Being Subcommittee has gathered and reviewed the following information:

- Student-Athlete Handbook
- Meeting with Koni Daws, Assistant Athletic Director/SWA
- Meeting with Mike Vaught, Deputy Athletic Director
- Research via smumustangs.com
- SMU Compliance Manual

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b. Provide data demonstrating the institution's commitment and current efforts across each of the seven areas for all student-athletes.

SMU's commitment and current efforts for student-athletes through the organization and structure are demonstrated by the following:

- Providing a staff structure where member a of Senior Staff have an administrative role over each team/ supporting organization as Sports Administrator. These staff members are:

- * Koni Daws-Assistant Athletic Director/Senior Woman Administrator (SWA) and Sports Administrator for Volleyball, Men's Swimming & Diving, Women's Swimming & Diving and Equestrian teams

- * Tim Leonard -Senior Associate Athletic Director/Development and Sports Administrator for Men's and Women's Tennis teams

- * Kris Lowe-Assistant Athletic Director/Business and Sports Administrator for Men's and Women's Golf teams

- * Shawn McGee -Associate Athletic Director/Sales-Tickets and Sports Administrator for Men's and Women's Soccer teams

- * Brad Sutton -Assistant Athletic Director/Media Relations and Sports Administrator for Track and Cross Country teams

- * Mike Vaught -Deputy Director of Athletics and Sports Administrator for Football

- * Open-Senior Associate Athletic Director/Compliance and Sports Administrator for Men's and Women's Basketball. In the absence of this administrator, Director of Athletics Steve Orsini has served as the Sports Administrator for the basketball teams.

Although not a direct report to the Director of Athletics, Dr. Vicki Hill, Director of the Altshuler-Learning Enhancement Center sits on the Senior staff level as an ex-officio member. She provides the link between Senior Staff on athletic matters and the academic areas at SMU.

- Most of the Senior Staff also perform other administrative tasks in order to assist student-athlete success.

- * (Open) Senior Associate Athletic Director/Compliance: assist with financial aid; housing; initial/continuing eligibility; Opportunity Fund

- * Koni Daws (Assistant Athletic Director/SWA): assist with admissions; academics; summer school; 5th year aid; gender equity

- * Brad Sutton (Assistant Athletic Director/Media Relations): assist with preparation for media interviews

- * Mike Vaught (Deputy Director of Athletics): supervision of training room; strength and conditioning; equipment and liaison with the independent sports psychologist

- * Kris Lowe (Assistant Athletic Director/Business): provides internships/jobs for 5th year financial aid students and student-athletes permanent medical conditions.

- Providing every student-athlete and coach with copies of the SMU Student-Athlete Handbook, which includes some organization information

- Providing the SMU Compliance Manual to athletic staff and to other key constituents outside the athletic department.

- As much as possible, student-athletes are integrated into the typical SMU student experience. For example, new first-year student-athletes attend new student orientation conferences during the summer, live in campus residence halls and eat in the SMU Dining facilities. Additionally, student-athletes are advised through the same academic advising structure in place for all SMU undergraduates with pre-majors advised through the Dedman College Advising Center and majors advised by faculty and staff in their school or department of record.

- SMU has a three person Office of Athletic Compliance. Staff in this area include a Senior Athletic Director (open), Director of Compliance (Broadus Whiteside, Jr.), and one Assistant Director of Compliance (Jackie Babich.) This office is charged with a myriad of tasks including eligibility certification, compliance with NCAA rules and legislation, financial aid and scholarships, life skills programming, drug testing program, and serving as liaison with various campus offices including Residence Life & Student Housing (RLSH), New Student Orientation, and the A-LEC.

c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of its student-athletes.

The provision of a Sports Administrator for each team assists in two ways 1) Student-athletes have an additional resource to discuss any concerns about rules, policies and other athletic matters and 2) coaches have another resource to assist with non-athletic performance issues and tasks. In addition,

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another set of eyes and ears dedicated to each sport, helps the Athletic staff maintain communication across different sports.

The Altshuler-Learning Enhancement Center (A-LEC), while not a unit of the Athletics Department, plays an integral role in the student-athlete academic experience by providing academic support services such as tutoring, test preparation, access to computer equipment, study skills & time management programs, academic counselors and an inviting space to study.

The Compliance Office conduct team meetings at the beginning of the Fall semester to discuss the policies and expectations that apply to student-athletes and the Student-Athlete Handbook is distributed to all team members. By conducting this mandatory meeting, the Compliance office ensures that student-athletes are given written information on expectations and that they are given the opportunity to ask questions.

d. If the institution identifies any deficiency(ies) related to a student-athlete well-being program area, explain how the institution's written, stand-alone plan for student-athlete well-being addresses the deficiency(ies).

None

2. Participation in governance and decision making Involvement of student-athletes in the governance and decision-making processes of the athletics department including the student athlete advisory committee.

a. Describe how the institution has ensured a complete study of each of the seven program areas for student-athlete well-being. This study must be conducted as part of the self-study process.

The subcommittee met with SAAC advisor Jackie Babich (Compliance office), SAAC President Catherine Campbell and discussed the SAAC during a focus group of student-athletes.

b. Provide data demonstrating the institution's commitment and current efforts across each of the seven areas for all student-athletes.

- The Student-Athlete Handbook contains a description of the SAAC, including the mission statement, structure and contact information for the president and advisors of SAAC (page 15).
- Steve Orsini (Director of Athletics) has met with Catherine Campbell (President, SAAC) to discuss her analysis of the SAAC including the "State of the SAAC" and a Plan for Action suggested by Ms. Campbell.
- The SAAC President (Catherine Campbell) sits on the Athletic Council as an ex-officio member.
- An Athletic Department staff member has been designated to advise the SAAC (Jackie Babich Assistant Director of Compliance)
- Funding for SAAC is on an "as needed" basis from the Opportunity Fund as directed by the Assistant Director of Compliance.

c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of its student-athletes.

As it is structured, the stated mission of the SAAC is to disseminate information to student-athletes about rules, policies, events and opportunities as well as to promote communication and provide feedback. SAAC representatives (two from each team) may meet as a group once a month with a representative from the Compliance office. As a collective voice representing all athletic teams, the SAAC should provide important feedback to department issues and proposed NCAA legislation.

d. If the institution identifies any deficiency(ies) related to a student-athlete well-being program area, explain how the institution's written, stand-alone plan for student-athlete well-being addresses the deficiency(ies).

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Although SAAC exists at SMU, it is not an active body. The SAAC president is active on the conference level, but has struggled to have others participate. Comments from student-athletes in the focus group indicate that it is not seen as important and they do not see the value of the program. Some student athletes do not even know what SAAC is, nor do they know their team representative. There is no incentive to be part of SAAC unless an individual student-athlete sees the value in participating. On the whole, there also does not appear to be much support from Athletics Department staff.

For the SAAC to be worthwhile and effective, it will take both "top down" support as well as "bubble up" enthusiasm from student-athletes.

The plan for improvement identifies that the SAAC needs to be reinvigorated and supported by all Athletic Department personnel. Our steps are as follows:

- The SAAC president should be designated as a voting member on the Athletic Council instead of a non-voting "ex-officio" member. This would increase the student voice in governance and lend authority to the position. In turn this could help build the status of the organization from an inactive body to a credible governing body with a voice that makes a difference in the lives of student-athletes.
- A second step of the plan is for the SAAC president to meet with the Athletic Director at least twice per semester to give feedback and discuss concerns.
- The third step is for the role of the SAAC advisor to be re-examined. The current advisor is designated as a Compliance Office staff member. We recommend that the Senior Staff discuss the role of this advisor and how best to identify a effective advisor: should the role be designated to a specific unit within the department (as is current practice) or should it be designated to a person deemed best qualified?
- A fourth step is for a communication plan to be written to inform coaches and student-athletes about the SAAC, it's roles and leadership opportunities.

3. Student-athlete exit interviews Methods used to conduct exit interviews and description of the process to evaluate and implement outcomes. Inclusion of questions to effectively measure and evaluate issues and areas related to the student-athlete experience.

- a.** Describe how the institution has ensured a complete study of each of the seven program areas for student-athlete well-being. This study must be conducted as part of the self-study process.

The subcommittee met with Jackie Babich (Assistant Director of Compliance) and with student-athletes in a focus group. There were nine student-athletes in the focus group, four women and five men. Sports represented included: rowing, men's soccer, women's soccer, men's basketball and equestrian. Student Classification ranged from sophomore through graduating senior.

- b.** Provide data demonstrating the institution's commitment and current efforts across each of the seven areas for all student-athletes.

Student-athletes are given 10 minutes to complete the exit interview form and 15 minutes for an in-person interview with the senior level Athletic Administrator for that sport. Completed exit interview forms first go to staff in the Compliance Office who produces an Excel spreadsheet, tracking responses. If there are no consistent problems, there is no need for an outside review and exit interviews remain in the Compliance Office. Compliance office reviews the results on a semester basis. The completed forms are kept on file in the compliance office for seven years. If the Compliance staff identifies a trend in a year's exit interviews, a member of the Senior Staff is consulted. The Athletic Council (chaired by Dan Orlovsky and Matt Wilson) can also be made aware of problem areas by the senior level Athletic Council ex-officio member. Additionally, student-athletes have the opportunity to speak to SAAC representatives and Sport Administrators about any suggestions or concerns needing attention before the student-athlete graduates. During annual compliance meetings, the Director of Athletics informs student athletes that he and senior level administrators are available with an open-door policy for questions or concerns.

When a student-athlete wants to transfer, he or she must meet the senior level sports administrator for their sport to complete an exit interview after the transfer is approved and prior to the student's departure. Non-scholarship student-athletes are a more elusive group. They have no incentive for continuing a dialog with Athletics and frequently do not complete the exit interview, although they have the opportunity to do so.

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- c.** Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of its student-athletes.

SMU is committed to capturing exit interviews from each student-athlete leaving the university, or leaving athletics, for whatever reason. SMU provides written exit interviews for all graduating athletes. Because of the monetary commitment athletes on athletic scholarship have received, SMU expects these student-athletes to commit back to the university by providing information to improve the Athletics program.

The exit interview's effectiveness relies on its ability to monitor a wide variety of well-being issues. The form covers a broad spectrum of areas - housing, social, academic, travel, time demand, athletic/coaching experience, and other services. Questions are asked in a variety of ways; thus, the instrument itself checks for consistencies.

- d.** If the institution identifies any deficiency(ies) related to a student-athlete well-being program area, explain how the institution's written, stand-alone plan for student-athlete well-being addresses the deficiency(ies).

The exit interview form does not include questions on the following:

- Effectiveness of the Student-Athlete Advisory Council (SAAC)
- Awareness of the NCAA Opportunity Fund at the Special Assistance Fund.

Exit survey data is kept within the Athletics Department and does not appear to be shared with the larger University community, such as the Office of Retention. The data from exit surveys could be compared with exit data from non-athletes and potentially give further insight to issues that student-athletes face while at SMU.

Because exit interviews are only conducted when a student is leaving SMU, there is a potentially great lag-time in identifying any trends that need to be addressed.

- 4. Programs and activities** CHAMPS/Life Skills (or an equivalent program) or other institutional programs that address the needs and issues affecting student-athletes (e.g., career counseling, personal counseling, nutrition, diversity, gambling, alcohol and drug guidelines, sexual orientation, personal development, leadership). Policies and procedures in place to encourage and assure student-athletes' access to these programs.

- a.** Describe how the institution has ensured a complete study of each of the seven program areas for student-athlete well-being. This study must be conducted as part of the self-study process.

The subcommittee met with Jackie Babich (Compliance Office), conducted a student-athlete focus group and met with Catherine Campbell (President of the SAAC). The Student-Athlete Handbook, and the SMU Student Handbook (resident edition) were reviewed.

- b.** Provide data demonstrating the institution's commitment and current efforts across each of the seven areas for all student-athletes.

On the institutional level, student-athletes have access to the following student resources:

- Hegi Family Career Center staff and programs
- Counseling and Psychological Services (CAPS) staff and programs
- Office of Alcohol and Drug Abuse Prevention staff and programs
- Women's Center for Gender and Pride Initiatives staff and programs
- Memorial Health Center staff
- Chaplain and Religious Life Offices staff and programs
- Altshuler-Learning Enhancement Center (A-LEC) staff and programs
- Residence Life & Student Housing (RLSH) staff and programs
- Student Activities and Multicultural Affairs (SAMSA)
- International Center staff and programs

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- SMU Dining Services Dietician consultation services
- Required Wellness classes and Wellness faculty
- Office of Leadership & Community Involvement staff and programs
- A new career development course offered through the Simmons School of Education

On the Athletic Department level, student-athletes have access to the following:

- Dedicated sports psychologist (Dr. Deb Wade)
- Programs offered through the Compliance Office
- Potential leadership opportunities through the SAAC
- Community service projects
- Written information in the Student-Athlete Handbook about alcohol and drug policies (page 37-39), career development (page 41) and gambling (page 43).

c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of its student-athletes.

As a whole, the institution has very effective programs and services for students, including student-athletes. This is especially true in working to provide programs and resources for personal counseling & development and in the area of alcohol and drug abuse prevention.

- The Dean of Student Life office has implemented an "early warning system" for faculty and/or staff to report behavior such as excessive unexcused class absences that may indicate a student is at risk.
- The Office of Alcohol and Drug Abuse Prevention recently received a three year "Choices" grant to educate all students on drug and alcohol abuse and to provide intervention.

Student services such as career development, leadership opportunities, community service opportunities, time and study management programs are also strong at SMU in general and are provided by a range of offices.

Student-athletes are also required to take the Wellness I class as a part of the General Education Curriculum. Wellness is a prime opportunity to reach student-athletes with a wide range of personal development areas.

Student-athletes have a very high participation rate in programs and services offered by the A-LEC, including counselors, programs and tutoring. Jackie Babich reports that about 90% of student-athletes participate in A-LEC offerings on a regular basis. She also estimates that about 80% use personal development opportunities such as mental-health services and extra-curricular activities, and 10-15% participate in career development through the Hegi Career Center. However, participation in guest speaker programs offered through the Athletic Department is as low as 5-10%. For example, only 34 student athletes attended a seminar on time management and keeping identity safe. Only 1% came to a lecture on gambling. At that time, the Compliance Office, funding these events, decided that no more activities would be scheduled unless the student athletes specifically requested an event.

Leadership opportunities for student-athletes through SAAC do exist, but participation rate is very low. Very few student-athletes know who their team representatives are or that the SAAC is for their benefit. There seems to be an overall lack of encouragement and support for the organization.

d. If the institution identifies any deficiency(ies) related to a student-athlete well-being program area, explain how the institution's written, stand-alone plan for student-athlete well-being addresses the deficiency(ies).

Part of the mission of the Athletics Department is to "foster an environment that encourages degree completion, good citizenship, character and personal growth to help support the student-athletes who will become positive role models and productive members of society." An effective life skills program is designed to support that environment and ultimately is about how that student will take their place in the world. While SMU offers excellent academic support to student-athletes and excellent programs & activities for all students, there is a deficiency in the current programs offered for student-athletes.

Programming in life skills by the Athletics Department is minimal and is currently only provided upon request from student-athletes. The focus group of student-athletes indicated they would like to have more career development programming especially career development and planning as it relates to incorporating their athletic experiences. The Student-Athlete Handbook includes information on the

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"Corporate Playbook" service for student-athletes, but this did not materialize. Instead student-athletes are encouraged to utilize the SMU Hegi Career Services.

We recommend the CHAMPS/Life Skills program be examined and be given priority in order to achieve the departments stated goals in the life skills area.

1. Examine the current program offerings as listed above and identify which are general student programs and which are so specific to student-athletes that the best resource for offering the topic rests with the Athletics Department.
2. Develop a set of "canned" programs for student-athlete specific issues that can be presented on a regular basis by any University staff. Staff outside of Athletics should be encouraged to co-present programs on these topics with Athletic Staff. This would help integrate student-athletes into the greater community, bring more University team work and reduce the burden on Compliance staff.
3. Write a plan to communicate how student-athletes may access/take part in the various life skills programs whether by investigating general University resources (such as drug and alcohol abuse prevention) OR by participating in programs hosted by the Athletic department specifically for student-athletes (such as transition from student-athlete to Post-College life.)

5. Time demands Written policies and procedures that address the institution's efforts to monitor student-athlete time demands, including travel commitments, missed class time, final exam schedules, summer vacation periods and intercession periods. Methods used to educate coaches and student-athletes about time demands and opportunities to integrate to campus life, including the periodic evaluation of such policies to ensure their effectiveness.

a. Describe how the institution has ensured a complete study of each of the seven program areas for student-athlete well-being. This study must be conducted as part of the self-study process.

To complete its assessment in this area, the Well-Being Subcommittee has gathered and reviewed the following information:

- Student-Athlete Handbook
- Convened a student-athlete focus group
- Met with Jackie Babich, Assistant Director for Compliance regarding Weekly Athletically Related Activities Form, Certification of Countable Athletically Related Activities (CARA) Form, and Student Athlete Advisory Council (SAAC).
- Conducted a Time Demands Survey of student-athletes

b. Provide data demonstrating the institution's commitment and current efforts across each of the seven areas for all student-athletes.

SMU's commitment and current efforts supporting the time demands of its student-athletes is demonstrated by:

- Student Athlete Handbook provides written policies regarding time demands and class absences due to travel (page 30)
- Distributing copies of Student-Athlete Handbook to all student-athletes
- Student-athletes signing off on weekly time demands
- Compliance Office monitors time demands using both monthly and weekly Certification of countable Athletic Related Activities (CARA) reports. Coaches document daily hours and log time spent on athletic activity (meetings, practice, etc.) on a weekly form. Coaches also complete the monthly CARA form. Student-athletes also sign the monthly form to verify that they have worked within NCAA guidelines. If a student-athlete believes that he/she has been required to exceed the NCAA limits, she/he may either check "exceeded" on the monthly CARA or contact the Assistant Compliance Director (Jackie Babich)
- SAAC allows opportunity for student-athletes to report any time demand issues.
- Exit interviews allow for student-athletes to report any time demand issues.

c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of its student-athletes.

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The Student-Athlete Handbook outlines student-athlete's responsibility to attend class and that academic responsibilities should receive priority over athletic activity. Class attendance is monitored by athletic academic support staff through reports from faculty members in order to follow up with the student-athlete. The policy on excused class absences for SMU-sanctioned extracurricular activities is clearly outlined in the Handbook and instructs the student-athlete to discuss upcoming excused absences at the first class meeting. Information is also discussed during the team meeting held with the Compliance Office at the beginning of the year.

Through the weekly and monthly CARA forms, the Compliance office records and monitors time demands on each student-athlete to ensure time demands meet NCAA guidelines for each sport. If a student-athlete feels that they have been required to exceed the guidelines, the Compliance office investigates.

d. If the institution identifies any deficiency(ies) related to a student-athlete well-being program area, explain how the institution's written, stand-alone plan for student-athlete well-being addresses the deficiency(ies).

There does not appear to be much, if any, feedback from student-athletes over concerns with time demands, at least not through CARA. There were some comments on the time-demands survey conducted by the Student Well-Being subcommittee, especially in response to "do you ever feel overwhelmed with your current time demands?" Responses usually started with "yes, but?" and most went on to mention time taken for travel and juggling academic requirements with athletic activity. Responses were fairly typical for students with extracurricular activities.

Because "official" channels do not seem to be effective for feedback on time-demands, a less formal method for feedback could be the SAAC. Because the SAAC is not very active it is not used as the forum it could be for student-athlete concerns on this and other issues.

6. Travel Written policies of the athletics department and/or institution that address the safety of student-athlete transportation (e.g., road travel; air travel, including charter policies; driver selection; training; privately-owned vehicles), including the annual evaluation of such policies to ensure their effectiveness. Communication in writing of these policies to athletics department staff and student-athletes and administrator(s) responsible for institutional awareness in this area.

a. Describe how the institution has ensured a complete study of each of the seven program areas for student-athlete well-being. This study must be conducted as part of the self-study process.

The subcommittee met with Mike Vaught (Deputy Athletic Director) to discuss travel policy. He submitted a copy of the Athletic department Business Office Policies and an email from Kristopher Lowe (Assistant Athletic Director for Business). The Business Office policies document addressed policy and procedure for travel reimbursement. The email addressed that the travel requests were based on budgets, and that only University authorized drivers (as approved by Risk Management) were permitted to operate University-owned or leased vehicles. In addition, two members of the sub-committee had a teleconference with Kris Lowe. Other written documents were searched for information related to student-athlete travel, including:

- SMU Compliance Manual
- SMU Student-Athlete Handbook
- Manual of Governance of Intercollegiate athletics
- SMU websites, including smumustangs.com, SMU Risk Management site and the University policy manual site.

b. Provide data demonstrating the institution's commitment and current efforts across each of the seven areas for all student-athletes.

Travel policy for the Department of Athletics relies largely on University policies already established in the University policy manual. Specifically the committee identified the following policies that pertain to the safety of student-athletes while traveling:

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- Drivers are subject to the Fleet Safety Policy of Risk Management. Employees who will be driving as part of their job duties are required to sign a form authorizing SMU to check a nationwide motor vehicle records of all new and continuing University employees with the assistance of Human Resources and the University's insurance broker (SMU Policies and Procedures, Fleet Safety, Policy number 8.8) This is the "authorization" mentioned by Kris Lowe's email of March 11, 2008.
- Risk Management maintains a list of approved transportation companies on its website. In addition, there is a specific requirement for Certificate of Insurance to be provided in regards to transportation of people (including charter bus and van carriers, but excluding air charter) before a purchase order is issued and/or a contract is finalized.
- University travel policy applies to students as well as to employees. The travel management policy (policy number 3.7) does not specifically address student-athlete as separate from the student body. It does further discuss insurance requirements for rental vehicles, etc.
- The Athletic Department is currently completing a "Request for Proposals" (RFP) for the travel provider for Athletic travel including team travel. The RFP process includes review by the SMU Office of Risk Management, Legal Affairs and SMU Procurement Services.
- The current travel provider for SMU Athletics is World Tek, Inc., a specialist in coordinating many kinds of group travel, including intercollegiate athletics.

Travel for any competition is set initially by the coach based on the competition schedule. Coaches submit a preliminary travel schedule with the projected missed class times to the Athletic Council. The Athletic Council reviews and approves schedules at each of their quarterly meetings.

c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of its student-athletes.

Under the philosophy of "University of One" athletic team travel is handled under the same guidelines as any other departmental travel. For the University as a whole, SMU has established reasonable policies and procedures for student (and employee) travel. The policy manual and the Risk Management website provide a wealth of information that any SMU traveler can use to assist in planning travel and gives guidelines for important things such as insurance requirements. The list of approved transportation companies can greatly assist in planning travel because Risk Management has done much of the work to select companies that meet insurance and safety requirements.

University policy and procedures mentioned here are reviewed by central administration on an annual basis by a variety of entities at the University including the Vice President for Business and Finance and the Department of Human Resources. Ultimately the responsibility for approving policies rests with the President's Executive Council (PEC). The PEC consists of the University President (Dr. R. Gerald Turner), the Provost and Vice-President for Academic Affairs (Dr. Paul W. Ludden), the Vice President for Executive Affairs (Dr. Tom E. Barry), General Counsel and Vice President for Legal Affairs (Mr. Paul Ward), Vice President for Student Affairs (Dr. Lori S. White), Vice President for Business and Finance (Ms. Christine Casey), Vice President for Development and External Affairs (Mr. Brad E. Cheves), University Treasurer (Mike Condon) as well as the Director of Athletics (Mr. Steve Orsini).

d. If the institution identifies any deficiency(ies) related to a student-athlete well-being program area, explain how the institution's written, stand-alone plan for student-athlete well-being addresses the deficiency(ies).

A formal annual review of travel policies in the Athletic Department is not apparent. Moreover, the policies do not appear to be distributed to Athletic Department staff members annually.

The stand alone plan establishes an annual review process as well as annual dissemination to department staff members. Specific staff members are tasked with these roles and a timetable for execution is established.

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7. Medical policies Written policies of the athletics department and/or institution that address the health and safety of student-athletes (i.e., athletic training coverage and emergency medical plans for practices, games, strength training, skills sessions and out-of-season workouts), including the annual evaluation of such policies to ensure their effectiveness in protecting their health and providing a safe environment. Communication in writing of these policies to athletics department staff and student-athletes and administrator (s) responsible for institutional awareness in this area.

a. Describe how the institution has ensured a complete study of each of the seven program areas for student-athlete well-being. This study must be conducted as part of the self-study process.

To complete its assessment in this area the Well-Being Subcommittee has gathered and reviewed the following information:

- SMU Sports Medicine Policy and Procedure Manual
- SMU Athletic Department Medical Emergency Plan
- Student-Athlete Handbook
- Benchmark comparison with athletic facilities at other institutions
- Physical Examination and Health Benefits Forms
- Convened a focus group of student-athletes

b. Provide data demonstrating the institution's commitment and current efforts across each of the seven areas for all student-athletes.

SMU's commitment and current efforts to support the medical well-being of student-athletes is demonstrated by:

- Providing adequate training resources to prevent and treat injuries
- Providing extended training room hours
- Designating staff to process student-athlete insurance/health care benefits claims
- Development of a sports medicine policy and procedure manual
- Providing all student-athletes and coaching staff with copies of the SMU Student-Athlete Handbook
- Providing a dedicated certified athletic trainer (ATC) for each team sport
- Providing specific hours of appointment to accommodate student-athletes class schedules
- Providing the services of a full-time sports psychologist
- Providing the availability of two team physicians
- Allowing external referrals for medical treatment
- Processing healthcare and medical claims benefits in a timely manner
- Referrals to SMU's on-campus Counseling and Psychological Services (CAPS) department
- Supporting the payment of expenses, i.e., surgery, for any injury that occurred regardless if athletic competition or participation (practice) was or was not involved in the cause of that injury

c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of its student-athletes.

- By providing extended training room hours and specific appointment hours, student-athletes are able to have greater flexibility in when they can go for treatment, working around class and practice schedules.
- Student-athletes have access to dedicated athletic trainers for their sport which allows the trainer to know the specific needs of that sport and allows for more consistency for treatment and preventative care.
- The established written information in the Student-Athlete Handbook on Athletic Training & Sports Medicine (page 49-50) outlines the things that student-athletes can expect regarding preventive and rehabilitative care. The section includes athletic training staff names, titles, campus phone numbers and what sports each is assigned.
- There are two athletic training facilities, the main one in Loyd All-Sports Center and one in the Crum Basketball Center. When basketball is in season, the Certified Athletic Trainers for men's basketball and women's basketball work in the Crum Basketball Center.
- Students reported in a focus group that the services of the dedicated licensed psychologist (Dr. Deb

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Wade) are very helpful and heavily used. Through word of mouth and information in the Student-Athlete Handbook, student-athletes are aware of the services offered and take advantage of those services.

d. If the institution identifies any deficiency(ies) related to a student-athlete well-being program area, explain how the institution's written, stand-alone plan for student-athlete well-being addresses the deficiency(ies).

SMU has eight full-time certified athletic trainers on staff and provide services for over 400 student-athletes in 17 sports. Although the number of full-time staff is higher than at other C-USA schools, there are a few "pinch points" which stretch this staff at times.

- Insurance claims are processed by one of the certified trainers, and he spends up to 4 hours a day on administrative task rather than working with student-athletes in the training room.
- SMU lacks graduate assistant athletic trainers and has an insufficient undergraduate student athletic trainers. Tasks which do not require certification could be delegated to graduate assistants but are instead performed by highly-trained certified trainers, thereby pulling those staff from working directly with students.
- Heavy schedules place competing demands on the athletic training staff, especially when finite resources are stretched due to travel and when larger team sports are in season. The hours of work that each certified trainer puts in are onerous; for example, many of the certified trainers worked seven-day weeks during the fall term and many are working six-day weeks during the spring term

The plan specifies that the Dean of the Simmons School of Education conduct a feasibility study for creating an undergraduate degree program in athletic training. This study is to be completed by fall of 2011.

Additionally, the plan specifies that the Athletic Department coordinate with the Student Employment office to advertise and hire undergraduate students as athletic trainers, beginning fall of 2009.

10. If the institution has developed a plan for improvement(s) for Operating Principle 3.3, describe the institution's efforts to ensure the plan for improvement was developed through a process involving broad-based campus participation and has received formal institutional approval.

Broad-based Campus Participation

The plans for improvement were developed by committee members after interviews and discussions with various groups and individuals. The committee members are:

- Susan Strobel Hogan, Residence Life & Student Housing, Assistant Director for Assignments & Marketing (Sub-committee chair)
- Anthony Tillman, Division of Enrollment Services, Director of Retention
- Dana Wilcox, Division of Development & External Affairs, Executive Director of SMU Program Services
- Melissa Bryant, Division of Student Affairs, Director of New Student Programs
- Jacqueline Bradley, Dedman College, English Lecturer and The Writing Center
- Jared Romo, Alumnus, and former student-athlete
- Mike Morton, Department of Athletics, Director of Sports Medicine
- Lauren Kuhner, Student-athlete, Women's Track and member of Student-Athlete Advisory Council

Interviews, research and discussions included:

- Jackie Babich, Assistant Director for Compliance
- Mike Vaught, Deputy Athletic Director
- Koni Daws, Senior Woman Administrator (no longer at SMU)
- Jeff Konya, Director for Compliance (no longer at SMU)
- Kris Lowe, Assistant Athletic Director for Business and Finance
- Catherine Campbell, President of the Student-Athlete Advisory Council and member of the SMU Rowing team
- Mary Beard, Associate Director of Financial Aid
- Karen Click, Director of the Women's Center
- A focus group of nine student-athletes (four women, five men) representing five sports (rowing, men's soccer, women's soccer, men's basketball & equestrian)
- Conducted a paper survey of current student-athletes on time demand. (The 50 respondents were from the

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following groups: women's basketball (2), equestrian (3), football (11), rowing (4), men's soccer (3), soccer (3), women's soccer (3), men's and women's swimming & diving (6), women's tennis (2), men's tennis (2), women's track & field (3), volleyball (4) and four combined from men's golf, women's golf, men's basketball.

- Publications & websites: SMU Student-Athlete Handbook, SMU Student Handbook (Resident Edition), SMU compliance manual, SMU sports medicine manual (draft copy), smumustangs.com, and for institutional policies, www.smu.edu

Formal Institutional Approval

The Plan has been presented to the Steering Committee and has the approval of the President of the University.

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Elements	Goals	Steps		
Issues in the Self-Study	Measureable Goals	Steps to Achieve Goals	Individuals/Officers Responsible for Implementation	Specific Timetable for Completing the Work
<p>Participation in Governance and Decision-making: SAAC is not sufficiently active and the president struggles to get participation and support</p>	<p>Increase support and visibility for the SAAC by reinvigorating the organization.</p>	1) Designate the SAAC president as a voting member on the Athletic Council instead of an "ex-officio" member.	Chair, Athletic Council Director of Athletics President, SAAC	Fall 2009
		2) Arrange and schedule two meetings per semester for the SAAC president to meet with the Athletics Director to give feedback and discuss concerns.	Director of Athletics President, SAAC Associate Athletic Director for Compliance	Fall 2009 and ongoing.
		3) Examine the role of the SAAC advisor and determine if advising role should be designated to a specific job title or to a person identified with skills/interest to advise student group.	Director of Athletics, Associate Athletic Director for Compliance	Fall 2009
		4) Develop a communication plan inform coaches and student-athletes about the SAAC, its roles and leadership opportunities.	Associate Athletic Director for Compliance	Fall 2009
<p>Student-Athlete Exit Interviews: Exit interview form does not include questions on 1) effectiveness of SAAC and 2) awareness of the NCAA Opportunity Fund and the Special Assistance Fund. Exit information is not shared beyond Athletic department. Information should be shared with Retention Office of the Division of Enrollment Services to enhance the knowledge about the student-athlete experience and impact of athletics on their academic experience.</p>	<p>Revise the exit interview form.</p>	1) Review form with senior staff to write draft of two new questions and to identify additional SMU-specific questions (if any)	Associate Athletic Director for Compliance	Fall 2009
		2) Edit forms, print and distribute.	Associate Athletic Director for Compliance	Fall 2009

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Elements	Goals	Steps		
Issues in the Self-Study	Measureable Goals	Steps to Achieve Goals	Individuals/Officers Responsible for Implementation	Specific Timetable for Completing the Work
	Create process to send exit interview information to retention office.	1) Meet with Retention Office to determine process including how information will be shared (electronic v. paper), timeline of when information is shared (semester basis v. annually), and to discuss cooperative efforts between Athletics and Retention Office.	Assistant Provost for Retention, Associate Athletic Director for Compliance	Fall 2009
		2) Develop process to forward exit interview materials to Retention Office and distribute to Athletic and retention staff.	Associate Athletic Director for Compliance	Fall 2009
Programs and Activities: CHAMPS programming is poorly attended and staff who create the programs are drawn away from other duties.	Increase participation in programs offered to educate student-athletes in life skills areas.	1) Determine which programs/activities are best offered by University resources and which are best sponsored by Athletic Department.	Deputy Athletic Director, Associate Athletic Director for Compliance, Various departments of Student Affairs including the Hegi Career Development Center, A-LEC	To be completed by Fall 2009
		2) Develop a set of "canned" or pre-packaged programs addressing athlete-specific topics as identified in step 1.	Associate Athletic Director for Compliance	To be completed by February 2010.
		3) Develop a plan of communication to educate student-athletes and athletic staff about how to take part in life-skills programs, whether student-athlete specific or not.	Deputy Athletic Director, Associate Athletic Director for Compliance	To be completed by February 2010 and fully implemented for the 2010-2011 academic year.
Time Demands: Lack of informal venue to provide feedback about time demands due to ineffective SAAC.	Increase feedback opportunities by creating an effective SAAC.	1) Designate the SAAC president as a voting member on the Athletic Council instead of an "ex-officio" member.	Chair, Athletic Council Director of Athletics President, SAAC	Fall 2009
		2) Arrange and schedule two meetings per semester for the SAAC president to meet with the Athletic Director to give feedback and discuss concerns.	Director of Athletics, SAAC president, Associate Athletic Director for Compliance	Fall 2009 and ongoing

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Elements	Goals	Steps		
Issues in the Self-Study	Measureable Goals	Steps to Achieve Goals	Individuals/Officers Responsible for Implementation	Specific Timetable for Completing the Work
		3) Examine the role of the SAAC advisor and determine if advising role should be designated to a specific job title or to a person identified with skills/interest to advise student group	Director of Athletics, Associate Athletic Director for Compliance	Fall 2009
		4) Develop a communication plan inform coaches and student-athletes about the SAAC, its roles and leadership opportunities.	Associate Athletic Director for Compliance	Fall 2009
Travel: University policies are not routinely reviewed with Athletic staff.	Review University policies with all Athletic staff members on an annual basis.	1) Identify meeting time & location for an "all team" meeting with Athletic department staff.	Assistant Athletic Director for Business and Finance	Prior to September 2009
		2) Provide all Athletic Department staff with the link to the SMU Policy manual to review prior to meeting.	Assistant Athletic Director for Business and Finance	Prior to September 2009
		3) Create PowerPoint slideshow to use during the meeting.	Assistant Athletic Director for Business and Finance, University Controller	Prior to September 2009
		4) Invite presentation speakers from applicable University departments on various travel policies.	Assistant Athletic Director for Business and Finance, University Controller	Prior to September 2009
Medical Policies: Highly skilled staff of Athletic trainers often perform tasks which could be done by staff with less training. There are no graduate assistant trainers and an insufficient number of undergraduate trainers.	Increase the number of undergraduate trainers to handle routine tasks which do not require certification.	1) Request the Dean of the Simmons School of Education conduct a feasibility study for creating an undergraduate degree program in athletic training.	Director of Athletics, Dean of the Simmons School of Education, Associate Director of Altshuler Learning Enhancement Center	To be completed by fall 2011

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Elements	Goals	Steps		
Issues in the Self-Study	Measureable Goals	Steps to Achieve Goals	Individuals/Officers Responsible for Implementation	Specific Timetable for Completing the Work
		2) Coordinate with the Student Employment office to advertise and hire undergraduate students as athletic trainers.	Head Athletic Trainer, Assistant Athletic Director for Business and Finance, Student Employment Coordinator	Beginning fall 2009 and ongoing.

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Racial or Ethnic Composition of Personnel

	Year	Racial or Ethnic Group																				
		AM.Ind/AN (N)			Asian/PI (N)			Black (N)			Hispanic (N)			White (N)			N-R Alien (N)			Other (N)		
		1	2	3	1	2	3	1	2	3	1	2	3	1	2	3	1	2	3	1	2	3
Senior Administrative Athletics Dept. Staff	F							1	1	1				7	7	5						
Other Professional Athletics Dept. Staff	F	1	1	1	2	1		3	2	3	1	1	1	35	34	26						
	P																					
Head Coaches	F													16	16	15						
	P																					
Assistant Coaches	F				1			4	6	6	2	2		25	25	19	2	2	1			
	P													1								
Totals (for Athletics Dept. Personnel)	F	1	1	1	3	1		8	9	10	3	3	1	83	82	65	2	2	1			
	P													1								
Faculty-Based Athletics Board or Committee Members								4	4	4			1	21	18	18						1
Other Advisory or Policy-Making Group Members								2	1	1				18	18	20						1

Name of person completing this chart: Dr. Michael Tumeo

Title: Asst. Dir. Institutional Research

Gender/ Diversity Issues and Student-Athlete Well-Being

Racial or Ethnic Composition of all Students

STUDENTS GENERALLY AND STUDENT-ATHLETES ON ATHLETICS AID

	Racial or Ethnic Group																				
	AM.Ind/AN (N)			Asian/PI (N)			Black (N)			Hispanic (N)			White (N)			N-R Alien (N)			Other (N)		
	Year	1	2	3	1	2	3	1	2	3	1	2	3	1	2	3	1	2	3	1	2
All Students	39	42	36	361	378	372	301	304	327	489	474	497	4643	4655	4755	350	303	309	57	20	0
Student-Athletes	0	0	0	6	5	3	65	68	65	6	6	7	166	164	169	39	37	34	5	1	0

Name of person completing this chart: Dr. Michael Tumeo

Title: Asst Dir., Institutional Research

Gender/ Diversity Issues and Student-Athlete Well-Being

Racial or Ethnic Composition of Student-Athletes by Sport Group

Sports** Year	Racial or Ethnic Group																				
	AM.Ind/AN (N)			Asian/PI (N)			Black (N)			Hispanic (N)			White (N)			N-R Alien (N)			Other (N)		
	1	2	3	1	2	3	1	2	3	1	2	3	1	2	3	1	2	3	1	2	3
Baseball																					
Men's Basketball							6	7	7				1	1	1	3	4	2	1		
Football				2	2	1	46	47	46	1	1	2	42	43	39				2		
Men's Track / Cross Country																					
Men's Other Sports and Mixed Sports				1				2	2	2	2	2	24	26	28	17	16	14			
Women's Basketball							8	6	5				5	7	8						
Women's Track / Cross Country							9	7	5		3	6	21	22	29	11	11	4			
Women's Other Sports				3	3	2	1	3	3	3	2	1	86	79	82	15	13	16	2	1	
Total				6	5	3	70	72	68	6	8	11	179	178	187	46	44	36	5	1	

Name of person completing this chart: Dr. Michael Tumeo

Title: Asst Dir., Institutional Research