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APPALACHIAN STATE UNIVERSITY

2009-2010 DIVISION I ATHLETICS CERTIFICATION SELF-STUDY INSTRUMENT
Introduction to Self-Study Report

Institutional Information

1. Type of Institution: Public
2. Year institution was founded: 1899
3. Special Affiliation? No
4. Coeducational? Yes
5. Total student enrollment (undergraduate and graduate combined) [using a full-time equivalency (FTE) basis]: 16153
6. Number of Faculty [using a full-time equivalency (FTE) basis]: 931
7. Highest level of academic degree offered: Ed.D
8. Institution’s governing entity: Board of Trustees
9. a. Regional accreditation agency: Southern Association of Colleges and Schools
   b. Date of most recent regional accreditation self-study: 2002
   c. Current accreditation status: Certified

Athletics Information

1. Subdivision status of athletics program (Academic Year 2010): I-FCS
2. Conference affiliation(s) or independent status (Academic Year 2010):
   a. Southern Conference
      i. Men: Baseball, Basketball, Cross Country, Football, Golf, Soccer, Tennis, Track (Indoor), Track (Outdoor), and Wrestling.
      ii. Women: Basketball, Cross Country, Golf, Soccer, Tennis, Track (Indoor), Track (Outdoor), and Volleyball, Softball.
   b. Northern Pacific – Women’s Field Hockey.
3. Athletics program structure ('X' all that apply):
   a. X one combined athletics department.
   b. _ separate men’s and women’s departments.
   c. _ incorporated unit separate from institution.
   d. _ 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 self-study, respond to the question based on the last 10 years.

5. **No Major Violations.**

6. 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 self-study, respond to the question based on the last 10 years.
   
   a. **The hiring of new Chancellor, Ken Peacock in July 2004.**
   b. **The hiring of new Director of Athletics, Charlie Cobb, in the spring of 2005.**
   c. **Won the 2005 NCAA I-AA Football National Championship.**
   d. **Won the 2006 and 2007 NCAA Division I Football National Championship.**
   e. **Football defeated Michigan 34-32 on September 1, 2007.**
   f. **In 2003, started the Athletics Facilities Enhancement Campaign. Phase I of the Campaign was completed in July 2010.**

**Previous Certification Self-Study**

1. Date of second cycle orientation visit and evaluation visit (if applicable):
   
   a. **Orientation Visit: March 5, 2001**
   b. **Evaluation Visit: April 22 - 25, 2002**

2. Second cycle certification status decision and date rendered by the NCAA Division I Committee on Athletics Certification (if applicable): **Certified October 24, 2003.**

3. Subsequent actions or changes and date(s) in certification status (if any) made by the committee (if applicable): **Not Applicable.**

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.
   
   a. **Institutional**
      
      i. **Dr. Kenneth Peacock named Chancellor in 2004**
      ii. **Dr. Stanley Aeschleman named Provost. He subsequently retired and Dr. Lorin Baumhover replaced him on an interim basis.**
iii. Dr. Lorin Baumhover named Chief of Staff. He subsequently retired and John Earwood replaced him in 2010.

iv. Greg Lovins named Interim Vice Chancellor for Business and Finance

v. Cindy Wallace named Vice Chancellor for Student Development

vi. Susan Pettyjohn named Vice Chancellor for Development

vii. Patrick McCoy named Director of Human Resources

b. Athletics

i. Charlie Cobb named Director of Athletics in 2005

ii. Rick Beasley named Senior Associate AD for Development

iii. Debbie Richardson promoted to Senior Associate AD/SWA

iv. Jay Sutton title changed to Associate AD for Internal Operations

v. David Jackson title changed to Associate AD for External Operations

vi. Troy Heustess title changed to Associate AD for Facilities

vii. Mike Flynn promoted to Assistant AD for Media Relations

viii. Barbara Green named Assistant AD for Compliance

ix. Samantha Stevens named Assistant AD for Marketing & Licensing

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.

a. The University's Mission Statement was updated to be more inclusive and supportive of under-represented populations and diversity initiatives.

b. Admissions: As the number of student applicants increased over the last five years, the quality of applicant also increased. Fortunately, the quality of student-athletes applying also increased. The standards for students who are reviewed by the Admissions Review Committee (BC) also increased.

c. Graduation rates for student-athletes increased as evidenced by the latest data released. The 2002-03 student-athlete cohort (74%) was significantly above the general student body (64%).
d. Increased revenue generation by the Athletics Department provided better funding of sports opportunities.

Certification Self-Study Information

1. Steering Committee Chair: Cindy Wallace
2. Chief report writer/editor of self-study report: Christine Fitzgerald
3. Describe the extent of broad-based participation of campus constituencies in the self-study. Specifically, report on the opportunities that 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.

Many individuals and groups in the broad campus community were involved in the self-study process (a) before the findings and plans for improvement were formulated and (b) as part of reviewing the self-study report after it was drafted. Specifically:

a. The Steering Committee, which includes wide campus and community representatives, met monthly (August 2009-March 2010) to hear reports of the sub-committee chairs and provide input.

b. All Steering Committee and sub-committee members (over 50 members on- and off-campus) reviewed the complete draft report and were provided a 3-week opportunity to offer feedback.

c. The President of the Student Government Association was an active participant on the Steering Committee and provided regular reports to the Student Senate.

d. SAAB (Student-Athlete Advisory Board) was surveyed regularly during the yearlong self-study and SAAB members served in a focus group capacity. Therefore, all teams were connected to the process.

e. The Steering Committee Chair made two presentations (one in the fall, one in the spring) to the University Board of Trustees.

f. An evaluation of the Academic Services for Student-Athletes was part of the Self-Study. This effort was led by the Dean of Arts and Sciences and included the Dean of Students and representatives from the faculty and Registrar’s Office. This action provided broad campus input into the process.
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.]

   a. Submitted on August 24, 2009, the Written Plan Outline for Conducting the Self-Study details the following:

      i. Objectives related to the Self-Study Goals for Appalachian State University in this certification process:

         1. To ensure that:

            a. The Department of Athletics at Appalachian State University maintains our intercollegiate athletics program as an integral part of the University’s overall program of education, with emphasis on and priority given to high academic quality and standards and the complete development of student-athletes.

            b. The Department of Athletics meets the necessary qualifications, guidelines and funding to hold membership in Division I of the NCAA and follows all rules and regulations governing this division.

         2. These institutional goals are consistent with the NCAA’s fundamental goal of ensuring integrity in intercollegiate athletics by opening the athletic department to Appalachian’s university community and the public. The self-study process affords Appalachian the opportunity to improve.

         3. In the second cycle certification process, Appalachian received no committee recommended required actions. However, Appalachian did submit plans for improvement in Gender Equity and Diversity, which are:

            a. Gender Equity Plan 2001-2006

            b. Appalachian State Final Gender Equity Plan 2007-2012

            c. Diversity Plan 2001-2006

            d. Appalachian State Final Diversity Plan 2007-2012

        4. The chairs of each of these subcommittees in Cycle 3 have these documents and will address implementation in this certification cycle.
ii. **Major Components of the Self-Study**

1. **The committee chair, Cindy Wallace, is one of four Vice Chancellors and, as such, is a member of the Chancellor’s senior-management team.** Chancellor Kenneth Peacock appointed the chair.

2. **The steering committee and subcommittee appointments are attached.** All required individuals are represented in the appropriate committees. **Every criteria required for membership has been considered and satisfied.**

3. **All responsibilities of the steering committees and subcommittees set forth in the Self-Study Instrument have been considered and communicated.** Standard meeting times, report requirements and documentation mandates will be reiterated at the NCAA orientation on September 11, 2009. All committee members received a copy of the Self-Study Instrument and the 2009-10 Third Cycle Handbook. Committee chairs and members bring certification experience and expertise from across campus. They have been informed of the importance of this work and the videoconference scheduled for September 11, 2009, will further educate each committee member as to the importance of the data we collect and organize. **We understand this data will need to be documented at each step along the certification process, which includes all meetings.**
   
   a. **Each committee is comprised of representation from across campus, including students, which will enhance our ability to receive input from all constituents, especially student-athletes.**

   b. **The calendar for this Cycle 3 certification is understood as follows:**
      
      i. **Orientation video conference, September 11, 2009**
      
      ii. **Self-study report due, April 30, 2010**
      
      iii. **Initial committee review, July, 2010**
      
      iv. **Evaluation visit, Fall 2010**
      
      v. **Final committee review, February, 2011**
c. After orientation, specific committee deadlines will be established. Our plan is to have a draft final document complete by March 30, 2010.

d. As chair, and with the support of the Report Coordinator and subcommittee chairs, we will communicate regularly through meetings and reports that work is progressing. A written record of all dates of steering committee and subcommittee meetings and individuals in attendance will be maintained. Chairs will establish the individual(s) responsible for writing the subcommittee report.

e. Erin Justice is the campus contact for Appalachian. She is the Champs/Life Skills Coordinator for our campus as well as the advisor for the Student Athlete Advisory Board. She has met with key administrators and understands her responsibilities. Erin will be responsible for coordinating preparations for the evaluation visit, including lodging and travel for peer-review team members and NCAA staff, scheduling interviews and organizing any work-related needs for peer reviewers (e.g., computer resources, meeting rooms, documents to be reviewed).

f. Appalachian State University will not seek the involvement of outside individuals or agencies for their self-study.

g. The outline and schedule for the self-study have been thoroughly vetted with an executive group within the steering committee, including the Chancellor, the Self-Study Chair, the Athletic Director, the SWA/ACL and the Faculty Athletics Representative. Specific dates and deadlines will be established after the September 11 orientation. The due date of the final report is clearly established (April 30, 2010) and we will work backwards to ensure that this deadline is met. Our target final draft date is March 30, 2010. Tentative dates for the peer review team have been submitted to the NCAA.
(9/27/2010, 10/11/2010, 11/8/2010, 11/15/2010). I am awaiting their response. University Communications will communicate the work of the steering committee to the University and community. Weekly campus newsletters, monthly campus magazine, campus student newspaper and any number of public forums are all possibilities.

h. Chris Fitzgerald, Alumni Office, is our Report Coordinator. Her contact information is submitted and an initial consultation with our NCAA liaison has taken place. All work-related needs for this position have been met. As stated in #6, plans for communicating the work of the steering committee to the Appalachian community rest with University Communications.

b. Please let me know if you have further questions or considerations. We look forward to the orientation on September 11, 2009. Respectfully submitted, Cindy Wallace Self-Study Chair

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.

a. Appalachian State University Strategic Plan 2008-2012 (Approved by the Board of Trustees, September 2008)

   i. Priority 1: Create and maintain superior curricula, programs, financial incentives, and intellectual environments to attract, educate, and graduate an exceptional and diverse community of students.

   ii. Priority 2: Provide resources to enable all faculty members to perform quality research and creative activities, and enhanced resources in successive, focus areas of strength to enable Appalachian to make sustained and major contributions in those fields.

   iii. Priority 3: Allocate resources, develop support services, and promote a collegial culture to attract, develop, and retain an exceptional and diverse faculty and staff.
iv. Priority 4: Apply our intellectual, academic, cultural, and research resources to promote sustainable economic growth, prosperity, and quality of life throughout this region and state.

v. Priority 5: Develop and implement a comprehensive plan to protect and enhance our distinctive historical, geographical, and cultural identity associated with our location in the Appalachian Mountains.

vi. Priority 6: Practice sound management of institutional resources to continue to be a best value for students.


Established in 1899 as Watauga Academy, Appalachian State University has evolved into a preeminent university located in a unique, rural mountain environment. As a member of the University of North Carolina, Appalachian's fundamental mission is to discover, create, transmit, and apply knowledge to address the needs of individuals and society. This mission is achieved by providing undergraduate students a rigorous liberal education that emphasizes transferable skills and preparation for professional careers; offering graduate students distinctively relevant programs; maintaining a faculty whose members serve as excellent teachers and scholarly mentors for their students and who produce high levels of scholarship and creative activities. Appalachian recognizes that the success of the university depends upon the achievement and cooperation of a diverse community of students, faculty, and staff and strives to implement policies and allocate resources accordingly. We accept our responsibility to be actively involved in addressing the educational, economic, cultural, and societal needs of the changing region, state, nation, and world. As a publicly funded institution, Appalachian is committed to accomplishing its initiatives through efficient and effective resource utilization.

c. Appalachian State University Statement of Vision. Appalachian aspires to be a model 21st century nationally recognized university combining the best characteristics of liberal arts and research institutions by resourcefully blending teaching and scholarship. To achieve this, Appalachian is committed to attracting, educating, and graduating the best students and to producing the highest levels of scholarship. Additionally, the university will provide excellent value; will be an
influential world citizen; and will develop a distinctive identity built on the university’s strengths, location, and tradition.

d. Appalachian State University Statement of Essential Character. We are a unique institution with a combination of large enrollment, rural location, and high quality. In many ways we combine the best of a small liberal arts college (e.g., close relationships among staff, faculty, and students) and a large research university (e.g., breadth of programming and scholarship). Our public identity emphasizes our strong undergraduate curriculum in both liberal arts and professional programs.

e. Appalachian State University Statement of Core Values.
   i. We believe the success of the university depends upon personal achievement, and we maintain as our top priority appropriate policies and resource allocation strategies to promote student, faculty, and staff development.
   ii. We support a culture that promotes diversity, shared responsibility, and mutual respect.
   iii. We embrace shared governance.
   iv. We emphasize open communication and transparent decision processes.
   v. We have genuine respect for the natural environment and a commitment to principles of sustainability.

f. Appalachian State University Statement of Core Assets. We have dedicated, active, and innovative faculty, staff, students, and administrators. We have a location in an aesthetically pleasing, culturally and recreationally rich mountain environment and a campus that attracts faculty, staff, and students seeking a high quality of life. We have expertise and programs capable of providing economic, educational, healthcare, and cultural leadership through partnerships with regional and state organizations. We have loyal and supportive alumni and retired faculty and staff. We have a state legislature that historically has valued and supported higher education. We have a history of providing a student-centered university experience, preparing students to be effective, responsible citizens, and providing high-quality instruction at relatively low cost.

g. The Department of Athletics Mission Statement. (Revised and Approved by Athletics Council on March 19, 2008). The Department of Athletics at Appalachian
State University believes in maintaining the intercollegiate athletics program as an integral part of the University’s overall program of education, with emphasis on and priority given to the high academic quality and standards and the complete development of the student. Appalachian State University provides opportunity and encouragement for student-athletes to progress toward degrees of their choice and to develop athletic abilities in an environment consistent with high standards of academic scholarship, leadership and institutional loyalty. The Department of Athletics is committed to ensuring the general welfare of the student-athlete and to encouraging the highest standards of sportsmanship on behalf of student-athletes, the student body and the University’s supporters. The intercollegiate athlete representing ASU is both a bona-fide student pursuing a degree program and an amateur competitor. Appalachian Athletics is committed to insuring equitable recruitment, participation and treatment of individuals including members of under-represented populations through its athletics administration, staff, coaches, programs and policies. The University’s policy of non-discrimination represents a moral and ethical, not merely a legal, imperative. The University has determined that its athletics program will meet the necessary qualifications, guidelines and funding to hold membership in Division I of the NCAA. The athletics administration, the faculty athletics representative and the Athletics Council work together to insure that all teams and coaches follow the rules and regulations governing this division. A sound program of intercollegiate athletics should benefit the institution through its effects on students, alumni and the institution itself. Specifically, it should maintain and improve the loyalty and esprit de corps of the student body, and in strengthening the pride and enthusiasm of the alumni; it should serve as a favorable public relations factor and provide benefits to the participants.

   i. Create the Appalachian State Experience for our Student-Athletes: the very best Academic, Athletic, and Social Experience possible.
   ii. Compete for SoCon Championships and NCAA postseason berths and championships.
   iii. Build functional facilities that provide our coaches and student-athletes a competitive advantage.
iv. **Market the Mountaineers – “Own Boone” and Get Down the Mountain.**

v. **Operate with a sound administrative and financial base.**

vi. **Energize the Appalachian Family.**

vii. **Have fun!!**
Governance and Commitment to Rules Compliance

Operating Principle 1.1 Institutional Control, Presidential Authority and Shared Responsibilities

Self-Study Items

1. List all "conditions for certification" imposed by the committee in its Cycle 2 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.

   a. The original "condition" imposed; The NCAA did not impose any conditions for certification in its Cycle 2 certification decision related to NCAA Operating principle 1.1; therefore, Appalachian State University did not take any action.
   b. The action(s) taken by the institution; The NCAA did not impose any conditions for certification in its Cycle 2 certification decision related to NCAA Operating principle 1.1; therefore, Appalachian State University did not take any action.
   c. The date(s) of the action(s); The NCAA did not impose any conditions for certification in its Cycle 2 certification decision related to NCAA Operating principle 1.1; therefore, Appalachian State University did not take any action.
   d. An explanation for any partial or noncompletion of such required actions. The NCAA did not impose any conditions for certification in its Cycle 2 certification decision related to NCAA Operating principle 1.1; therefore, Appalachian State University did not take any action.

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 Cycle 2 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 Cycle 2 plan if the element does not affect conformity with a current operating principle.

a. The original plan; There were no conditions imposed, therefore, no plans for improvement were required during Cycle 2.
b. The action(s) taken by the institution; There were no conditions imposed, therefore, no plans for improvement were required during Cycle 2.
c. The date(s) of the action(s); There were no conditions imposed, therefore, no plans for improvement were required during Cycle 2.
d. An explanation for any partial or noncompletion of such plans. There were no conditions imposed, therefore, no plans for improvement were required during Cycle 2.

3. Describe any additional plans for improvement/recommendations developed by the institution since the Cycle 2 certification decision was rendered by the committee for Operating Principle 1.1 (Institutional Control, Presidential Authority and Shared Responsibilities). In each case, provide:

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

Although no actions or plans for improvement were required during Cycle 2 certification, the institution made recommendations, which were as follows:

A. Revisions to Code of Ethics and Conduct

   a. The additional plan; The first recommendation identified during the Cycle 2 certification was that the "Code of Ethics" on page four of the Student-Athlete Handbook be re-titled "Code of Ethics and Conduct" and the first two paragraphs are included together under the title "Code of Conduct."

   b. The action(s) taken by the institution; and Currently, the "Code of Ethics and Conduct" appears in the online version of the Student-Athlete Handbook at
The Code of Ethics and Conduct reads, "Unethical Conduct (NCAA BYLAW 10.1) Appalachian Athletics upholds the above NCAA Bylaw which states, "Unethical conduct by a prospective or enrolled student-athlete or a current or former institutional staff member (e.g., coach, professor, tutor, teaching assistant, student manager, athletic training student) may include, but is not limited to, the following:

- Refusal to furnish information relevant to an investigation of a possible violation of an NCAA regulation when requested to do so by the NCAA or the individual's institution;
- Knowing involvement in arranging for fraudulent academic credit or false transcripts for a prospective or an enrolled student-athlete;
- Knowing involvement in arranging or providing a prospective or an enrolled student-athlete an improper inducement or extra benefit or improper financial aid;
- Knowingly furnishing the NCAA or the individual's institution false or misleading information concerning the individual's involvement in or knowledge of matters relevant to a possible violation of an NCAA regulation;
- Receipt of benefits by an institutional staff member for facilitating or arranging a meeting between a student-athlete and an agent, financial advisor or a representative of an agent or advisor (e.g., "runner");
- Knowing involvement in providing a banned substance or impermissible supplement to student-athletes, or knowingly providing medications to student-athletes contrary to medical licensure, commonly accepted standards of care in sports medicine practice, or state and federal law. This provision shall not apply to banned substances for which the student-athlete has received a medical exception per Bylaw 31.2.3.4; however, the substance must be provided in accordance with medical licensure, commonly accepted standards of care and state or federal law;"
• Failure to provide complete and accurate information to the NCAA, the NCAA Eligibility Center or an institution’s admissions office regarding an individual’s academic record (e.g., schools attended, completion of coursework, grades and test scores);

• Fraudulence or misconduct in connection with entrance or placement examinations;

• Engaging in any athletics competition under an assumed name or with intent to otherwise deceive; or

• Failure to provide complete and accurate information to the NCAA, the NCAA Eligibility Center or the institution’s athletics department regarding an individual’s amateur status.”

c. The date(s) of the actions. August 2001.

B. Athletics Department Mission Statement Revision

a. The additional plan; A statement on ethical conduct and sportsmanship be included in the Athletics Department Mission Statement.

b. The action(s) taken by the institution; The new Mission Statement currently appears in the Student-Athlete Handbook online at GoASU.com and in the Student-Athlete Planner. The Mission Statement reads: “The Department of Athletics at Appalachian State University believes in maintaining the intercollegiate athletics program as an integral part of the University’s overall program of education, with emphasis on and priority given to the high academic quality and standards and the complete development of the student. Appalachian State University provides opportunity and encouragement for student-athletes to progress toward degrees of their choice and to develop athletic abilities in an environment consistent with high standards of academic scholarship, leadership and institutional loyalty. The Department of Athletics is committed to ensuring the general welfare of the student-athlete and to encouraging the highest standards of sportsmanship on behalf of student-athletes, the student body and the University’s supporters. The intercollegiate athlete representing ASU is both a bona-fide student pursuing a degree program and an amateur competitor.
Appalachian Athletics is committed to insuring equitable recruitment, participation and treatment of individuals including members of under-represented populations through its athletics administration, staff, coaches, programs and policies. The University's policy of non-discrimination represents a moral and ethical, not merely a legal, imperative. The University has determined that its athletics program will meet the necessary qualifications, guidelines and funding to hold membership in Division I of the NCAA. The athletics administration, the faculty athletics representative and the Athletics Council work together to insure that all teams and coaches follow the rules and regulations governing this division. A sound program of intercollegiate athletics should benefit the institution through its effects on students, alumni and the institution itself. Specifically, it should maintain and improve the loyalty and esprit de corps of the student body, and in strengthening the pride and enthusiasm of the alumni; it should serve as a favorable public relations factor and provide benefits to the participants."

c. The date(s) of the actions. Revised in the spring of 2001.

C. Include Mission Statement on GoASU.com

a. The additional plan; The Athletics Department Mission Statement included on the University's Athletics Department web site.

b. The action(s) taken by the institution; The Mission Statement was revised and approved by the Athletics Council on March 19, 2008.

c. The date(s) of the actions. November 2008.

D. Promotion of Code of Ethical Conduct at Athletic Events

a. The additional plan; Although the University addresses Unethical Conduct and Unsportsmanlike Conduct, a separate entry regarding the Code of Ethical Conduct at Athletic Events does not appear on the Athletics web site. This subcommittee recommends posting of the language onto the Athletics web site.

b. The action(s) taken by the institution; The University's policy is that the Southern Conference Code of Conduct Public Address Announcement is read twice per contest. It is announced at the beginning of the contest and midway through the contest, and as necessary during the course of competition. The
public address announcer may read the following: "The Southern Conference and its member institutions are committed to principles of good sportsmanship. We believe that all student-athletes, coaches and spectators should strive to represent the very best spirit and tradition of college athletics. We request your cooperation by supporting the participants and game officials in a positive manner at all times. Those in attendance should report any act that goes against this policy to game management or security personnel immediately. Thank you." Additionally, in 2006, the athletics department created an Appalachian State Sportsmanship Initiative entitled, "CLASS" (Champions Love Appalachian State Spirit) to give the University a mechanism to guide all external friends of the University that will lead to a positive and enthusiastic game day atmosphere. The main goals of promoting sportsmanship at all events and educating everyone on the benefits of a positive and united message is spelled out in the following message:

CLASS
C-Clean Up After Yosef!
L-Let your actions represent the best of Appalachian State. Alcohol is a privilege during tailgating at the University and not a right.
A-Always be positive in your support of our team, coaches and players. And wear your black and gold.
S-Show respect for our visitors and game officials. Cheer loudly, but with appropriate language.
S-Show respect for yourself and fellow Mountaineers - especially young fans.

c. The date(s) of the actions. August 1, 2010 and September 1, 2006.

E. Promotion of Code of Ethical Conduct in Departmental Publications

a. The additional plan; The "Code of Ethical Conduct at Athletic Events" placed in The Yosef Newsletter annually. Publication and printing of the Yosef Newsletter evolved over time and it is currently entitled, "Black and Gold" newsletter.

b. The action(s) taken by the institution; Printed in the “Black and Gold” newsletter.
c. The date(s) of the actions. **January 2010.**

**F. SAAB member on Athletics Council**

a. The additional plan; **Previously identified in Operating Principle 1.2, which is updated and compiled into the new Operating Principle 1.1, was the request to include a member of the Student-Athlete Advisory Board as one of its student members on the Athletics Council.**

b. The action(s) taken by the institution; **As a matter of practice, the University placed two students from the Student-Athlete Advisory Board as representatives to the Athletics Council. In addition, two students from the Student Government Association attend the Athletics Council meetings.**

c. The date(s) of the actions. **Fall 2001.**

**G. Facilities Upgrades**

a. The additional plan; **There were no recommendations developed in response to Cycle 2 certification since no deficiencies were found (Interview with Director of Athletics, November 17, 2009). Nevertheless, the University's Department of Athletics has made numerous improvements in response to the 2008 Southern Conference Compliance Review (March 20, 2008) and as part of a larger philosophical shift that focuses on "facilities" rather than "fields".**

b. The action(s) taken by the institution; **This focus has led to many facility upgrades, including, but not limited to:**

- Upgrades to the football stadium and construction of a new athletics center;
- Conversion of former baseball field site to include a softball field, an all-sports indoor practice facility, and "throws" area for track and field;
- Construction of new baseball stadium;
- Construction of six (6) tennis courts;
- Complete renovations to Varsity Gym, including a new floor, installation of new bleachers, new training room, new laundry facility, offices for wrestling staff, practice space for the wrestling program, an
indoor Mondo track for track and field, and an indoor throws and jump area for track and field;

- Completion of new grass soccer facility located at State Farm Field;
- Partnership with Watauga County and the High Country Soccer Association in a joint venture for the administration of a new community soccer facility in Watauga County (the Ted Mackorell Soccer Complex);
- Renovation of Owens Field House for the benefit of soccer (men's and women's), field hockey, golf (men's and women's), cross country (men's and women's) and track and field programs for offices and team rooms;
- Conversion of old locker room in Owens Field House to be used by softball, field hockey, and women's cross country and track and field programs as locker rooms; and
- Conversion of previous "Visitors’ locker room" for use by men's cross country/track and field programs.

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.

Appalachian State is a constituent member of The University of North Carolina (the "University System" or "UNC"). The Intercollegiate Athletics Section of the UNC Policy Manual, The Code, Chapter 100.1, Section XIII, states, "Subject to such policies as may be prescribed by the Board of Governors and the Board of Trustees, the Chancellor shall be responsible for the establishment and supervision of the institution's program of intercollegiate athletics." Also, the Board of Governors delegated authority and responsibility for intercollegiate athletics through the board of trustees to the Chancellors as documented in the UNC Policy Manual, Intercollegiate Athletics Policy 1100.1, Section 10, which states, "The Chancellors shall ensure that the institutions conform with NCAA standards. The University’s Administrative Policy Ten, University Organization and
Administration, mandates that the Director of Athletics reports directly to the Chancellor with the Director of Athletics responsible for the overall administration and management of the Athletic Department functions and reads, "The Director of Athletics reports to the Chancellor. The Director of Athletics is responsible for the overall administration and management of the Athletic Department functions. Department areas include: Intercollegiate Varsity Programs; Sports Information; Athletic Fund Raising; Sports Medicine; Ticket Operations; Television and Radio Operations; Strength and Conditioning Operations and Business Operations. The duties and responsibilities of the Director of Athletics are to: serve as the University's principal representative in the field of intercollegiate athletics; administer all fiscal operations in accordance with the applicable law and University policy; establish administrative policies and procedures that aid in achieving athletic goals and sound academic standards; keep abreast of Conference and NCAA activities and attend required meetings; provide leadership for supervision of compliance with NCAA rules and regulations by coaches, alumni, and supporters of the University; provide supervision, leadership and assistance in athletic fund raising; make recommendations to the Chancellor in the selection, evaluation and dismissal of athletics personnel; promote in every way the image of the Athletic Department and University; and create a favorable climate for Athletic operations that encourages financial support for the Athletic Department and University."

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.

Since the previous self-study, several decisions have been made in several categories, including:
• **Hired New Director of Athletics**
  
a. **Chancellor:** The Chancellor has direct oversight of the Director of Athletics. As such, he was directly involved in hiring the new Director of Athletics. Chancellor Peacock appointed a search committee, which gave hiring recommendations. The Chancellor hired Charlie Cobb as the Director of Athletics in 2005.

b. **Athletics Council:** Members of the Athletics Council served on the search committee.

c. **Faculty Senate:** The Faculty Senate was not involved in the decision-making process regarding the hiring of a new Director of Athletics.

d. **Student-Athlete Advisory Committee:** Several members of SAAB participated in the interview process.

e. **Director of Athletics:** The Director of Athletics was not involved in the hiring process other than interviewing.

f. **Faculty Athletics Representative:** The Faculty Athletics Representative, Alan Hauser, served on the Director of Athletics Search Committee.

g. **Senior Woman Administrator:** The Senior Woman Administrator was not involved in the hiring of the Director of Athletics.

h. **Other Individuals or Campus Constituencies:** Other individuals who served on the Director of Athletics search committee included:
   
   a. **Board of Trustees members**
   b. **Members of the Athletics Facilities Enhancement Campaign Committee**
   c. **Various University faculty and staff**
   d. **Various Athletics Department coaches and staff**

• **Completed Phase I of the Athletics Facilities Enhancement Campaign**
  
a. **Chancellor:** The former Chancellor appointed a committee to consider facility upgrades. This committee was formed to review previous plans of past years and to develop future athletics facilities. The Enhancement Committee was comprised of people from a variety of backgrounds, involving members of the Athletics Department, Appalachian State University Foundation (ASUF), and select members of the Board of Trustees. When Chancellor Peacock was appointed as the University’s Chancellor in 2004, he continued to support the activities of the committee. The Chancellor is a member of this committee and
recommended all projects, including funding mechanisms, to the Board of Trustees and UNC Board of Governors for approval.

b. **Athletics Council:** The Athletics Council was not actively involved in the planning or decision-making process, but was presented the plans and offered an opportunity for comment.

c. **Faculty Senate:** Annual presentations are provided to the Faculty Senate about the major decisions made in the Athletics Department, but the Faculty Senate did not play a role in the decision-making process. However, the Faculty Senate Chair and other faculty members are included on the Athletics Council.

d. **Student-Athlete Advisory Committee:** SAAB was informed of the construction plans and timeline before it was introduced to the general public.

e. **Director of Athletics:** The Director of Athletics oversaw the planning and implementation of the facility upgrades and additions. The Director of Athletics approved any revenue projects, including fundraising plans and student fee requests.

f. **Faculty Athletics Representative:** The Faculty Athletics Representative was informed about major decisions and provides input as the chair the Athletics Council.

g. **Senior Woman Administrator:** The Senior Woman Administrator sits on committees that recommend facility changes or hiring decisions (such as the Athletics Enhancement Committee or Search Committees).

h. **Other individuals or campus constituencies:** The Board of Trustees of the University approved facilities expansion decisions and funding models, including fundraising projections and student fee increases. The Appalachian State Foundation Board approved all pertinent financing proposals.

- **Head Coaching Changes.** Head coaching changes were made in the following programs: baseball, field hockey, men’s basketball, men’s soccer, softball, volleyball, women’s basketball, women’s soccer, women’s golf and wrestling.

  a. **Chancellor:** The Chancellor was consulted and apprised by the Director of Athletics regarding the Head Coaching positions and approved the recommendations to the University Board of Trustees for approval.
b. Athletics Council: Members of the Athletics Council were involved on various search committees.

c. Faculty Senate: The Faculty Senate was not involved in the head coaching changes.

d. Student-Athlete Advisory Committee: Various SAAB members were involved on search committees for head coaching searches involving their particular program.

e. Director of Athletics: as is University policy, search committees make head coaching recommendations. The Director of Athletics makes the final recommendation to the Chancellor. The Director of Athletics through the Chancellor presents contracts to the University Board of Trustees for final approval.

f. Faculty Athletics Representative: The Faculty Representative is involved or consulted on all head coaching searches.

g. Senior Woman Administrator: The Senior Woman Administrator participates in various searches. When appropriate, she meets with the candidates and provides input to the Director of Athletics. Additionally, she facilitates a question-and-answer period between the teams and the candidates. Typically, search committee members participate during these discussions to observe the interaction of the candidates with the student-athletes.

h. Other individuals or campus constituencies: Search committees are typically comprised of alumni, supporters, student-athletes, academic advisors, athletics department sport administrators, and faculty members. The University Board of Trustees approves all head coaching contract decisions.

• Administrative Staff Hiring. During the previous self-study, the Athletics Department had four primary administrators. With growth, renewed commitment, and some attrition, the athletics department hired additional athletics administrators to support coaches and student-athletes. These positions included a Director of Compliance and several positions in the Learning Assistance Program for Student-Athletes.

a. Chancellor: The Chancellor was consulted and apprised by the Director of Athletics regarding the revised administrative structure and plans.
b. **Athletics Council:** Members of the Athletics Council were involved on various search committees and the entire body was informed of the changes as they occurred.

c. **Faculty Senate:** The Faculty Senate was not involved in the administrative changes, but was informed of the changes.

d. **Student-Athlete Advisory Committee:** SAAB was not consulted on these personnel issues.

e. **Director of Athletics:** The Director of Athletics developed the recommendations and presented them to the Chancellor for approval.

f. **Faculty Athletics Representative:** The Faculty Representative was consulted on the administrative changes.

g. **Senior Woman Administrator:** The Senior Woman Administrator participates in various searches.

h. **The University Board of Trustees is apprised of and approves all head coaching contract decisions.**

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 written athletics governance policies and/or other written communication is provided to the governing board on an annual basis.

Appalachian State University is one of seventeen constituent universities in the University of North Carolina system. The administrative head of the University of North Carolina is the President elected by the Board of Governors. A chancellor, who reports to the President of the University of North Carolina, heads each institution. The Board of Governors and the president of the University of North Carolina have delegated the administrative responsibilities for the University to the Chancellor.

The Board of Trustees of the University serves as advisor to the Board of Governors on matters pertaining to the University and also serves as advisor to the Chancellor concerning the management and development of the University with its general powers and duties set forth in North Carolina General Statute 116-31 and the UNC Policy Manual - The Code. The Chancellor is the administrative and executive head of the University and exercises complete executive authority therein, subject to the direction of the President.
The Chancellor is responsible for carrying out policies of the Board of Governors and the Board of Trustees. By June 30 of each year the Chancellor prepares a detailed report on the operation of the institution for the preceding year. This report is presented to the Board of Governors and the Board of Trustees.

The Board of Governors has delegated the responsibility for intercollegiate athletics to the Chancellor under the Code's Delegation of Duty and Authority, UNC Policy 1100.1. Pursuant to the Bylaws of the Board of Trustees, Section 3.3.1(d), the Academic Affairs Committee of the Board, shall review all employment contracts for athletic coaches and make its recommendation for approval to the Board. In addition, "the Chancellor will forward to the President a copy of each contract entered into with a head coach or athletic director promptly after the contract is executed" in accordance with UNC Policy for Head Coaches' and Athletic Directors' Contracts, Policy 1100.3, Section C. Policy 1100.3 also dictates that the Director of Athletics shall present an annual briefing to the Board of Trustees.

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.

Members of the Board of Trustees involvement in athletics decision-making included:

a. Representation on fundraising boards
b. Representation on the Athletics Facilities Enhancement Campaign
c. Approval of hiring decisions and contracts for the Director of Athletics and all Head Coaches
d. Approval of University tuition and fees, which includes student fee support of athletics and athletics facilities

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

The UNC system Board of Governor's delegates the responsibility for intercollegiate athletics and all university departments to each university's chancellor. Each university chancellor delegates responsibility for the day-to-day operation of every department to each department's director, vice chancellor or dean. As with all departments, the chancellor delegates the day-to-day
operations of the athletics department to the Director of Athletics. Any major decisions regarding any department, including the Athletics Department, are presented to the Chancellor. The Chancellor is required to report major decisions to the University Board of Trustees annually. This process is consistent with approval processes for other on-campus units through reporting structures in academic affairs, student development, business affairs, audit, and development. Large decisions, such as bond financing for stadium upgrades, are then presented and approved by the Board of Trustees. At Appalachian, the Chancellor has also created an advisory board, the Athletics Council, which serves an advisory function similar to other boards and councils for other departments. The approval and decision making process for all departments at Appalachian, including Athletics, is consistent.

9. For each of the following individuals or groups:
   i. Athletics board or committee;
   ii. Faculty senate (or other faculty governing body);
   iii. Faculty athletics representative;
   iv. Student-athlete advisory committee; and/or
   v. Other individual(s) or campus group(s).
   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

i. Athletics board or committee:
   a. The Athletics Council is the major body that bridges academic and athletic issues according to the University Handbook. The University Handbook states in Section 7.5.3, "The Athletics Council advises the Chancellor and the Athletics Director regarding policies governing Appalachian’s program of intercollegiate athletics. It monitors the academic progress of
student athletes, assists in long range planning, provides advice concerning financial matters, promotes a proper balance between men's and women's sports, and gives advice on other relevant matters. The Athletics Council functions primarily as an advisory board and meets monthly throughout the year." The primary responsibility of the Athletics Council is to provide advice and recommend policies concerning athletics to the Chancellor. In so doing, the Athletics Council will work closely with the Athletics Director. The Athletics Council is chaired by the Faculty Athletics Representative, who is the liaison with the Chancellor. It is not the responsibility of the Athletics Council to be involved in the everyday administration of the athletics program, which is the duty of the Athletics Director. As part of its task, the Athletics Council will:

i. Give advice to the Chancellor and to the Athletics Director regarding current and proposed policies and legislation of the Southern Conference and the NCAA;

ii. Monitor the academic progress of student athletes in order to ensure that academics is always given the highest priority;

iii. Annually review the graduation rate reports on student athletes that are prepared for the NCAA and the General Administration;

iv. Monitor the men's and women's programs of intercollegiate athletics, helping to ensure that the University maintains a proper balance;

v. Assist the Chancellor and the Athletics Director in doing long range planning, especially in regard to fiscal matters and the overall direction of the Athletics Department;

vi. Monitor the yearly budget of the Athletics Department;

vii. Monitor the recruitment procedures and documentation of all sports;

viii. Be actively involved in the periodic examination of the athletics program which is conducted under the auspices of the NCAA's certification program;
ix. Hear appeals, by means of a subcommittee of the Athletics Council, by student athletes for the restoration of eligibility;

x. Provide, when requested, select Athletics Council members to serve on search committees screening candidates for coaching and other Athletics Department positions;

xi. Receive reports from the Gender Issues Committee, the Diversity Enhancement Committee, and other standing and special committees concerned with athletics;

xii. Serve as a sounding board for faculty, students, staff, alumni, and friends of Appalachian, thereby assisting the Chancellor and the Athletics Director in monitoring constituents’ views of the Athletics Department.

b. The Athletics Council meets regularly to receive input from various constituencies and to vote on policy, however, all policy recommendations are forwarded to the Chancellor for review and final approval. The Athletics Council reports to the Chancellor as set forth in the Faculty Handbook, Section 7.5 which addressed University Councils. Section 7.5 reads “Councils are appointed by the administrative officer to whom they are responsible and to whom they report. The administrative officer listed in parentheses is the one to whom the Council is responsible and to whom it reports. The administrative officer serves as Chair or designates the Chair of the Council.” For Appalachian, the chancellor is identified as ‘the administrative officer listed in parentheses’. In this way, the Council acts as an advisory board. The Athletics Council is also informed of changes and decisions from the Chancellor’s Office so the various constituencies can be informed (Interview with Director of Athletics, November 17, 2009).

c. Opportunities to review policy occur at regular, monthly Athletic Council meetings.

d. According to the Description of Duties for the Athletics Council, the majority of voting members on the Athletics Council must be faculty. See Faculty Senate Web Page on University Councils: "Faculty members must
always constitute at least a simple majority of voting members on the roster of the Athletics Council.

e. At the University, the Chair of the Athletics Council is the Faculty Athletics Representative, who is also a voting member. The Chair is appointed by the Chancellor as set forth in the Faculty Handbook, Section 7.5, reading "Councils are appointed by the administrative officer to whom they are responsible and to whom they report. The administrative officer listed in parentheses is the one to whom the council is responsible and to whom it reports. The administrative officer serves as chair or designates the chair of the council. On some councils, the members serve on a staggered term basis. Listed below are the University councils and their duties and responsibilities." (emphasis added) See also the Faculty Senate Web Page description of duties of the Athletics Council: "The Athletics Council is chaired by the Faculty Athletics Representative, who is the liaison with the Chancellor."

ii. Faculty Senate (or other faculty governing body):

a. The Senate operates as the Faculty representative body according to the Faculty Handbook, Section 7.1. Section 7.1, read "The faculty Senate is composed of one member from each academic department/unit that makes up the university. A department or unit may choose not to fill its senate seat, in which case, the seat will remain empty. Questions of quorum and voting matters will be determined by the number of active seats and may vary from year to year. In addition, there shall be five "at large" seats filled by faculty from across the university. For a description of the procedures relating to the election of Faculty Senate members, see Article IV, Section 3 of the Faculty Constitution (Chapter I in the Faculty Handbook)." Section 7.1.2 reads "The Chair of the faculty (Provost and Executive Vice Chancellor) is an ex-officio non-voting member of the Faculty Senate and shall serve as liaison officer between the Faculty Senate and the Chancellor of the University" and according to the Faculty Senate Guidebook, "Organizational Structure", "The purpose of the Faculty Senate is to serve as the instrument through which the faculty of
Appalachian State University considers and acts on university matters. To this end, the Faculty Senate participates in the formation, implementation, and review of university policy." and has one representative (usually the Chair of the Senate) on the Athletics Council. The Athletics Council is the major body that bridges academic and athletic issues according to the University Handbook. Therefore, the Senate has a representative role in relation to intercollegiate athletics.

b. The Athletics Council is the major bridge between academics and athletics issues according to the Faculty Handbook, Section 7.5.3. Section 7.5.3 reads "The Athletics Council advises the Chancellor and the Athletics Director regarding policies governing Appalachian’s program of intercollegiate athletics. It monitors the academic progress of student athletes, assists in long range planning, provides advice concerning financial matters, promotes a proper balance between men's and women's sports, and gives advice on other relevant matters." The Chair of the Senate or a member of the Senate sits on the Athletics Council and exercises one vote. (The makeup of the Athletics Council is determined by the Chancellor according to the Faculty Handbook, Section 7.5, "Councils are appointed by the administrative officer to whom they are responsible and to whom they report. The administrative officer listed in parentheses is the one to whom the council is responsible and to whom it reports.") In addition to this representative vote, the Senate representative has the opportunity to take issues to the Senate as a whole and return to the Athletics Council with Senate concerns or input. In recent practice, the Senate has periodically invited representatives from Athletics (i.e. Charlie Cobb, Jean Roberts, Alan Hauser) to report to the Senate on data relevant to the academic success of athletes (i.e. APR, "Academic Progress Report") (Interview with Chair of the Faculty Senate, December 1, 2009). The Faculty Senate Chair is contacted regularly concerning on-going individual and program self-studies as well as other issues that are relative to the intersection of academics and athletics (Interview of Chair of the Faculty Senate, December 1, 2009). Thus, the Senate maintains a
representative role in relation to athletics through its representation on the Athletics Council and an information sharing role through more informal contact.

c. Opportunities to review policy occur at regular, monthly Athletic Council meetings, visits to the Faculty Senate by Athletics representatives, and through periodic updates provided the Senate Chair of on-going self-study and review.

iii. Faculty Athletics Representative:

a. The Athletics Council is the major body that bridges academic and athletic issues according to the Faculty Handbook. In Section 7.5.3, it reads "The Athletics Council advises the Chancellor and the Athletics Director regarding policies governing Appalachian's program of intercollegiate athletics. It monitors the academic progress of student athletes, assists in long range planning, provides advice concerning financial matters, promotes a proper balance between men's and women's sports, and gives advice on other relevant matters." The faculty Athletics Representative chairs the Athletics Council and has a representative role in relation to intercollegiate athletics. (The makeup of the Athletics Council is determined by the Chancellor according to the Faculty Handbook, Section 7.5, "Councils are appointed by the administrative officer to whom they are responsible and to whom they report."). The Faculty Senate Web Page describes the Athletics Council as "The Athletics Council is chaired by the Faculty Athletics Representative, who is the liaison with the Chancellor."

b. The Faculty Athletics Representative chairs the Council and exercises one vote. (The makeup of the Athletics Council is determined by the Chancellor according to the Faculty Handbook, Section 7.5, "Councils are appointed by the administrative officer to whom they are responsible and to whom they report." which for ASU is the Chancellor).

c. The Faculty Senate Web Page describes the Athletics Council as "The Athletics Council is chaired by the Faculty Athletics Representative, who is the liaison with the Chancellor."

iv. Student-Athlete Advisory Committee:
a. The Student Athlete Advisory Board (SAAB) has representation on the Athletics Council. (The makeup of the Athletics Council is determined by the Chancellor according to the Faculty Handbook, Section 7.5, "Councils are appointed by the administrative officer to whom they are responsible and to whom they report."). The Athletics Council is the major body that bridges academic and athletic issues according to the University Handbook. Therefore, the SAAB has a representative role in relation to intercollegiate athletics. Faculty Handbook, Section 7.5.3 reads "The Athletics Council advises the Chancellor and the Athletics Director regarding policies governing Appalachian's program of intercollegiate athletics. It monitors the academic progress of student athletes, assists in long range planning, provides advice concerning financial matters, promotes a proper balance between men’s and women’s sports, and gives advice on other relevant matters."

b. A student-athlete chairs SAAB and the committee plays a representative role on the Athletics Council. SAAB provides student-athletes the opportunity to provide input each year about the facilities through exit interviews (Sport Administrators and Athletics Council conduct exit interviews with students regarding their satisfaction with the facilities). SAAB has no decision making power but only an advisory role (Interview with Director of Athletics, November 17, 2009).

c. The Director of Athletics meets with students to inform them of changes. Opportunities to review policy occur at regular Athletic Council meetings, visits to students by Athletics representatives, and through periodic updates provided to SAAB of on-going self-study and review (Interview of Director of Athletics, November 17, 2009).

v. Other individual(s) or campus group(s): There is none not already covered.

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.

The University’s Department of Athletics has one booster organization, the Yosef Club. The Yosef Club includes the Former Athletes Association (FAA) and is a part of the Appalachian State University Foundation (ASUF). The ASUF operates as a non-profit Internal Revenue Code Section 501(c)(3) organization and supports the University as a whole by receiving and investing donations from individuals, businesses and foundations to help further the academic mission of the University. A thirty-member board of directors governs the ASUF. With regards to ASU Athletics, the ASUF provides accounting and budgetary oversight for the Yosef Club. The ASUF Director reports directly to the Vice Chancellor for University Advancement. The Vice Chancellor for University Advancement reports directly to the Chancellor.

The Yosef Club serves as the athletics non-profit fundraising organization with its main purpose being the solicitation of individuals, businesses and foundations to support scholarships and facility construction for student-athletes. Within the Yosef Club, there are various committees, including the Facilities Enhancement Committee and Fundraising Committee. The Yosef Club has a Board of Advisors with no more than 35 members. The President, Vice President and Secretary are elected annually. Each member of the Board of Advisors serves a 3-year term. The Yosef Club is assisted by the Student Yosef Club, which is comprised of current students who volunteer and assist with all events and fundraisers. The Director and Treasurer of the Yosef Club is Gerald Adams, an employee of the Department of Athletics. The chief athletics fundraiser is Rick Beasley, who is a Senior Associate Athletics Director.

Institutional personnel serve as ex-officio members of the ASUF. Athletic department personnel are included in the membership and leadership of the Yosef Club and FAA. All organizations are subject to annual internal and external audits as mandated by both University and NCAA policy.

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

The Athletics Council is organized pursuant to the guidelines of the Faculty Handbook to provide advice and to recommend policies concerning athletics to the Chancellor and is governed by its own Bylaws. The Council meets monthly during the academic year, except in December, and representatives from the Council periodically attend Faculty Senate meetings to provide faculty members with current events and updates. Coaches and student-athletes are sometimes invited to speak to the Council. Members, including the Chair, are appointed by and report to the Chancellor.
and not the Director of Athletics. The 2009-2010 Council is comprised of the following positions:

a. Chair
   i. Dr. Alan Hauser, Philosophy & Religion, Faculty Athletics Representative

b. Faculty
   i. Dr. Carl Tyrie, Communications Associate Professor, Communications
   ii. Dr. Carol Soule’, Adjunct Professor, Family & Consumer Science
   iii. Dr. Glenda Treadaway, Dean, College of Fine & Applied Arts
   iv. Dr. Jamie Moul, Health, Associate Professor, Health, Leisure, and Exercise Science
   v. Dr. Michael Ramey, Associate Professor, Chemistry
   vi. Dr. Neva Specht, Associate Dean, College of Arts & Sciences
   vii. Dr. Renee Evans, Assistant Professor, Human Development & Psychological Counseling
   viii. Dr. Robert Cherry, Professor, Finance, Banking & Insurance
   ix. Dr. Ivan Roten, Associate Professor, Finance, Banking & Insurance
   x. Dr. Faye Sawyer, Sociology Professor, Sociology
   xi. Dr. James Ivory, English Interim Chair, Department of English

c. University Staff
   i. Mrs. Jean Roberts, Executive Director, Learning Assistance Program
   ii. Mr. Mike O’Connor, Director, Physical Plant
   iii. Mrs. Martha Wilson, University Program Specialist, Registrar’s Office
   iv. Mr. Pierre Banks, Academic Advising, Office of Academic Advising for Student-Athletes

d. Students
   i. Michele Armstrong, Undergraduate Student, Student Body Vice President
   ii. Mr. Scott Moseley, Undergraduate Student, Student Government Association
   iii. Will Baucom, Graduate Student, Graduate Studies Association Senate (GSAS)

e. Athletics Department
   i. Mr. Charlie Cobb, Director of Athletics
   ii. Ms. Debbie Richardson, Senior Assoc. Athletic Director/SWA
iii. Ms. Barbara Green, Assistant Athletic Director for Compliance  
iv. Nicole Morgan, SAAB Representative, Field Hockey  
v. Karina Mill, SAAB Representative, Women’s Basketball  

f. Alumni  
i. Mr. Brian Burns, ASU Alumnus  
ii. Mrs. Tamela Everett, ASU Alumnus  
g. University Board of Trustees  
i. Mrs. Jeannine Collins, Alumnus and Chair, ASU Board of Trustees  

12. Describe how the institution’s chancellor or president and his or her designee(s) maintain control with respect to each of the following areas of the athletics program:  
   a. Budget;  
   b. Accounting;  
   c. Purchasing; and  
   d. Debt Management.  

In addition, identify key individuals, other than the chancellor or president, with responsibilities in these areas.  

The Chancellor delegates day-to-day operation of the Athletics Department to the Director of Athletics. It is the director’s responsibility to work with the various university and departmental staff to ensure financial control of the Athletics Department.  

a. Budget  

   The Director of Athletics sets the annual Athletics Department budget. The Director of Athletics works in coordination with the Athletics Business Manager to develop a budget from recommendations received from head coaches and departmental managers. Sport Administrators assist head coaches in devising sports-specific budgets. The Director of Athletics estimates departmental revenues with assistance from the Athletics Business Manager.  

   Once the budget is developed, the Chancellor must approve it. The Chancellor must also review the budget like he does with other campus units. The Chancellor has complete oversight of the budget and final approval authority of the budget. In coordination with Associate and Assistant Athletics Directors and the Athletics Business Manager, the Director of Athletics administers the budget.
b. **Accounting**

The Athletics Business Manager is responsible for all accounting practices and procedures within the Athletics Department. Daily oversight of her work is performed through the Vice Chancellor of Business Affairs department on campus. Additionally, when the ASU Foundation is involved, she coordinates pertinent accounting procedures with the Director of Accounting for the ASU Foundation.

Annually, the University Internal Auditor performs a financial audit of the Department of Athletics in addition to the mandated NCAA annual audit.

c. **Purchasing**

Jeff Talbot is the University Purchasing Director. The Athletics Department follows all University-mandated purchasing guidelines.

d. **Debt management**

For the past several years, the athletics department has enjoyed financial success in its annual operations. As it relates to debt from the athletics facilities projects, the primary responsibility for debt management belongs with the Director of Athletics and the Interim Vice Chancellor for Business Affairs, Greg Lovins. Susan Pettyjohn, Vice Chancellor for Advancement, and Laura Crandall, Assistant Vice Chancellor for Advancement, participate in the debt management process involving funds from the ASU Foundation.

13. Describe how the institution's chancellor or president and his or 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 Director of Athletics is the designated authority for budget development for the Athletics Department. The annual Athletics Department budget process begins during the preceding fall semester. The Chancellor maintains a "hands-off" policy while departments create their budget, but he later ensures that the budget is appropriate.

The initial step is to project anticipated revenues, including student fees. Each fall, the Director of Athletics makes a presentation to the Student Fee Committee for any increase in the student fee for athletics. The Fee Committee is formed annually and is comprised of students, faculty, and staff, with the mandated majority membership belonging to students.

Every department that is fee supported on campus must go through this process. The
findings of the fee committee are presented to the Student Government Association for vote and presentation to the Chancellor. After deliberations, the Chancellor then presents his recommendation for increase tuition and fees to the Board of Trustees for approval. The Board of Trustees makes its own proposal to the Board of Governors for the UNC System. The Board of Governors then makes its final decision and presents it to the General Assembly of North Carolina for final approval.

Concurrently, the Department of Athletics creates the remaining parts of the annual budget in time for presentation and submittal to the Chancellor by spring. The Chancellor reviews and approves the budget by the start of each fiscal year. This process is similar to all campus units and departments.

14. Describe the process by which the institution's chancellor or president and his or 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 Athletics Business Manager presents Appalachian State's submittal of the NCAA comparative data (i.e., dashboard indicators) to the Director of Athletics for approval prior to submittal. This is done on an annual basis. Once the data is received back from the NCAA, the Director of Athletics presents the information to the Chancellor. The Chancellor, the Director of Athletics, and Chair of the Athletics Council (FAR) then review the information. This review includes comparisons to prior years and comparisons with peer and aspirational universities as defined by the Provost. The Athletic Director then shares this review with the Board of Trustees, including the Chancellor and Vice Chancellors, at an annual retreat meeting of the Board of Trustees. This process takes place annually.

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

The Governance and Compliance to Rules Subcommittee of the Athletics Council recommends that the Code of Ethical Conduct at Athletic Events be added to the University's Athletics web site with
a projected completion date of August 1, 2010. The Code of Ethical Conduct at Athletic Events shall continue to be broadcast during athletic events and be published in the Yosef Club Newsletter. The plan for improvement was reviewed and approved through the Director of Athletics and the Chancellor.

Operating Principle 1.1

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</table>
| Code of Ethical Conduct at Athletics Events is not on the athletic website | Add Code of Ethical Conduct to the website and continue disseminating periodic reminders of the code. | 1.a. Add Code of Ethical Conduct to website.  
1.b. Periodically publicize Code of Ethical Conduct in Black and Gold Newsletter. (Former Yosef Club Newsletter)  
1.c. Continue broadcasting Code of Ethical Conduct at athletics events. | 1.a. Assistant AD for Sports Information; Director of Compliance.  
1.b. Associate AD for Public Affairs; Director of Compliance  
1.c. Associate Athletic Director for Public Affairs; Director of Compliance | 1.a. August 1, 2010  
1.b. Immediately and biannually thereafter.  
1.c. Ongoing |
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 in its Cycle 2 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.

   1. Condition: No "conditions for certification" were imposed in Cycle 2.
      Action: No "conditions for certification" were imposed in Cycle 2.
      Action Date: No "conditions for certification" were imposed in Cycle 2.
      Explanation for partial or non-completion: No "conditions for certification" were imposed.

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 Cycle 2 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 Cycle 2 plan if the element does not affect conformity with a current operating principle.

   1. Original Plan: No conditions were imposed, therefore, no plans for improvement were required during Cycle 2.
      Action: No conditions were imposed, therefore, no plans for improvement were required during Cycle 2.
Action Date: No conditions were imposed, therefore, no plans for improvement were required during Cycle 2.

Explanation for partial or non-completion: No conditions were imposed, therefore, no plans for improvement were required during Cycle 2.

3. Describe any additional plans for improvement/recommendations developed by the institution since the Cycle 2 certification decision was rendered by the committee for Operating Principle 1.2 (Rules Compliance). In each case, provide:
   a. The additional plan;
   b. The action(s) taken by the institution; and
   c. The date(s) of the action(s).

I. Improvements developed and implemented by the University
   a. The additional plan; The University developed and implemented several new plans related to rules compliance.
   b. The action(s) taken by the institution;
      a. Student Athlete Handbook is available on the Athletics web site at GoASU.com.
      b. Student-Athlete Planner was instituted and distributed annually to student-athletes beginning in August 2006.
      c. All suggested improvements from the Southern Conference Review were added to the Student-Athlete Handbook and the Student-Athlete Planner.
      d. Majority of forms needed for internal and compliance use were added to the compliance section on the Athletics Department web site and are readily accessible to all staff in August 2009.
      e. Internal web site on appstate.edu/compliance is under development and will contain all Policies and Procedures by October 2009.
      f. The Compliance Office produced a DVD to be reviewed by all teams during pre-season compliance meetings. A power point presentation was used from the fall of 2007 until the fall 2009, when the information became available on a DVD. Every student-athlete watches the DVD and completes all forms during the meeting or when added to a team’s roster.
      g. A meeting was added in the spring of 2007 (fiscal year 2006-07) and is
held annually to cover topics including outside competition, extra benefits, sports wagering, amateurism, recruiting, competition limits and regulations during the summer.

h. The recommendation that job descriptions and procedures for the Compliance Director and the Coordinator of Continuing Eligibility be updated to reflect current duties and responsibilities. This was completed in the summer 2001. Over the years, the positions were added, expanded, reviewed and revised in the Policy & Procedures Manual. Currently, the University’s Athletics Policy & Procedures Manual includes the job descriptions of the Assistant Athletics Director for Compliance (Athletics Department) and the NCAA Certification Specialist (moved from the Registrar’s Office to the Learning Assistance Program under Academic Affairs) as two of the many job descriptions listed as follows:

i. Assistant Athletics Director for Compliance (Director of Compliance):

1. Coordinate initial compliance meeting for teams and verify proper completion of required documents for eligibility.
2. Certifying initial eligibility and amateurism of incoming freshmen.
3. Review progress toward degree requirements for all student-athletes listed on the squad list, including mid-academic year review.
4. Maintain squad list accuracy.
5. Administer and collect declaration of playing season forms and review playing and practice season logs for accuracy.
6. Responsible for inputting all data into Compliance Assistant database (CAI) except for degree-progress module.
8. Create and maintain compliance portion of University athletics website.
9. Schedule meetings for spring rules education meetings for sports teams. (Out-of-season competition, summer rules...
sports wagering and amateurism rules.

10. Arrange annual agenda for monthly rules education meeting.

ii. Continuing Eligibility Specialist: This position reports directly to the Director of Academic Services for Athletes. This individual reports to the Director of Compliance on matters of rules compliance and eligibility. The position includes the following responsibilities, not necessarily in order of importance or time commitments:

1. Coordinates and computes all aspects of continuing eligibility; continue involvement in all NCAA, GA, and institutional academic reporting projects relating to student-athletes;

2. Inputs and updates pertinent student-athlete information onto the NCAA Compliance Assistant Software and the Banner System;

3. Sends to Director of Compliance necessary academic information on each continuing student, declaring eligible those students that are academically meeting NCAA academic requirements. This person informs the Director of Compliance those student athletes that are pending because they have items on hold. This person informs director of compliance of those student-athletes that are not eligible and why those athletes are not eligible;

4. Notifies coaches, athletics advisor, and the athletes when any athlete needs to attend summer school for academic eligibility reasons;

5. Monitors status of athletes making sure they are always taking a course load of 12 hours (full-time);

6. Updates Compliance Director on status changes of athletes academically;

7. Serves as main liaison with the Admissions Office counselors concerning transfer student transcripts:
8. Serves as final decision-maker of eligibility for all continuing and transfer students concerning their academic eligibility.

9. Checks transcripts of incoming transfer prospective student-athletes (PSA's) for official visits to give coaches an idea of the Eligibility Center status for core courses.

10. Verifies official visit forms before transfer PSA's can come to campus.

11. Checks transcripts of incoming transfer PSA's for official visits to give coaches an idea of their admissibility and to advise them on coursework that may be needed to be admissible.

12. Checks status of outgoing transfers regarding satisfactory progress and academic standing and reports findings to Director of Compliance.

13. Assists advisors in determining degree progress relating to student-athlete's change of major or dropping classes.


15. Monitors and notifies student-athletes when they need to declare their major and complete Graduation Plans with their Dean's Office.

16. Monitors new freshmen and transfer student-athletes immunization records to make sure they are up to date; and

17. Assists with eligibility sessions for each sport at the beginning of the school year.

c. The date(s) of the action(s). Various and included in answer (b) above.

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. Job descriptions; and

c. Performance evaluations.

Please note, if the institution does not use one or more of the documents (listed in a-c above), please provide an explanation.

Appalachian uses three types of documents to ensure rules compliance. All three are listed below with descriptive terms included in our response.

a. Contracts and Letters of Appointment: All contracts and letters of appointments for athletics department staff, including head coaches and assistant coaches, contain statements ensuring rules compliance as a central element.

For example, the Head Coach Contract reinforces a coach's duties and responsibility for rules compliance in "Coach's Duties and Responsibilities", Sections 4.1.b., 4.1.i., which state:

4.1.b. Conduct himself/herself and the Sports Team in accordance with the Constitution and the Bylaws of the SoCon (or such other conference with which ASU may be affiliated from time to time) and of the National Collegiate Athletic Association ("NCAA"), all State and Federal laws, the University's policies and procedures, ASU's policies and procedures, and the Department's policies and procedures, all of which as may be amended from time to time, and within the traditional high standards associated with Coach's profession.

4.1.i. Maintain responsibility for the supervision and conduct of assistant coaches and staff and their activities, including compliance with the University's, ASU's, and the Department's policies and procedures as well as the SoCon and NCAA constitutions, bylaws, legislation and regulations; further, Coach will provide annual performance evaluations for assistant coaches and staff;

Furthermore, section 4.5. of the Head Coach Agreement stipulates that “If Coach is found to be in violation of NCAA or SoCon rules and regulations, whether while employed by ASU or during prior employment at another NCAA member institution, Coach will be subject to disciplinary action as set forth in NCAA enforcement procedures and/or applicable ASU policies, rules or regulations. Such disciplinary action may include termination for cause in accordance with section 5.0 of this Agreement.

In Section 5.1.d., "Termination for Cause", states: “A major violation by Coach, or knowing participation by Coach in a major violation, or major violation by an assistant coach or staff member of which Coach had reason to know, or should have known through the exercise of reasonable diligence, or which Coach condoned, of: (i) a major NCAA rule, regulation or bylaw;
(ii) a major SoCon regulation or bylaw; or (iii) any University/ASU policy, regulation, rule or procedure. For purposes of this subparagraph, whether or not a major violation has occurred shall be reasonably determined in the discretion of ASU after its review of the relevant facts and circumstances;”

An Offer of Employment Letter (EPA Non-Faculty) contains language regarding NCAA rules compliance in Section 1 stating, "You expressly agree to report annually, in writing, all athletically-related income and benefits from sources outside the institution through the Athletics Director to the Chancellor, as required by NCAA Bylaw 11.2.2. As required by regulations passed at the 1983 NCAA Convention, you stipulate that your employment may be suspended for a period of time, without pay, or terminated if you are found to be involved in deliberate or serious violation of NCAA Regulations. This stipulation also applies to violations of ASU and Southern Conference policies."

b. Job Descriptions: All coaches, administrators and staff have a statement of compliance with NCAA rules included in his or her job description as described in the Athletics Departments Policies and Procedures Manual. For example, the job description for the Associate Athletics Director for Public Affairs lists “Commitment to and compliance with the University’s and Department of Athletics policies and procedures as well as the Southern Conference and NCAA constitutions, bylaws, legislation and regulations.”

c. Performance Evaluations: All coaches, administrators and staff have a statement of compliance with NCAA rules included in their EPA or SPA Performance Evaluations as evidenced below.

5. COMPLIANCE

a. Promotes an atmosphere of compliance among coaches and staff within their program. (NCAA bylaw 11.1.2.1)

b. Assures and monitors all compliance activities assistant coaches and non-coaching staff that report to you. (NCAA bylaw 11.1.2.1)

c. Pass annual NCAA Coaches Certification Exam.

d. Familiar with and complies with all NCAA, Southern Conference and Appalachian policies and procedures.

e. Communication with Compliance Director when questions/concerns arise.

f. Timely submission of 20 hour/8 hour countable activity sheets.

g. Submission of Declared Playing Season form by deadline.
h. Submission of Outside Income form by deadline.
i. Timely submission of all other required forms.
j. Operates within NCAA, Southern Conference and ASU philosophies and principles.
k. Immediate reporting of any possible NCAA violations to Compliance Director.
l. Willingness to give accurate information on any potential violation to Compliance Director when investigating an alleged charge.
m. Prompt notifications of any roster changes and date of such to the Compliance Director.
n. Any reported violations secondary and above involving this individual during this evaluation period need to be summarized in the comments section.

Any reported violations secondary and above involving this individual during this evaluation period need to be summarized in the comments section.

Rating: SUPERIOR/ABOVE STANDARD/MEETS STANDARD/BELOW STANDARD/UNSATISFACTORY

Comments:

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. Job descriptions; and
   c. Performance evaluations.

Please note, if the institution does not use one or more of the documents (listed in a-c above), please provide an explanation.

The following positions are identified as positions outside of athletics involved in rules-compliance activities at Appalachian State.

- Misti Reese, Senior Associate Director of Admissions
- Kim Sherrill, Director of Academic Services for Student-Athletes
• Teresa Johnson, Assistant Director of Financial Aid
• Stacy Sears, Associate Director of Housing Operations
• Jonathan Reeder, NCAA Eligibility Certification Specialist in the Office of Academic Services for Student-Athletes
• Amy Sanders, Interim Director, Conferences and Institutes
• Greg Snodgrass, Director of Youth Programs, Conferences and Institutes

a. Contracts and Letters of Appointment: All contracts and letters of appointments for University staff involved in rules-compliance activities contain statements ensuring rules compliance as a central element. “As required by regulations passed at the 1983 NCAA Convention, you stipulate that your employment may be suspended for a period of time, without pay, or terminated if you are found to be involved in deliberate or serious violation of NCAA Regulations. This stipulation also applies to violations of ASU and Southern Conference policies.”

b. Job Descriptions: University staff members involved in rules-compliance activities have a statement of compliance with NCAA rules included in his or her job description. All staff members outside of athletics have the following statement included in their job description: “Commitment to and compliance with the University’s and Department of Athletics policies and procedures as well as the Southern Conference and NCAA constitutions, bylaws, legislation and regulations.”

c. Performance Evaluations: University staff involved in rules-compliance activities has a statement of compliance with NCAA rules included in their EPA or SPA Performance Evaluations. The following wording has been added to all performance evaluations for positions outside of athletics.

COMPLIANCE
a. Familiar with and complies with all NCAA, Southern Conference and Appalachian policies and procedures.

b. Communication with Compliance Director when questions/concerns arise.

c. Immediate reporting of any possible NCAA violations to Compliance Director.

d. Willingness to give accurate information on any potential violation to Compliance Director when investigating an alleged charge.
e. Any reported violations secondary and above involving this individual during this evaluation period need to be summarized in the comments section.

Rating: SUPERIOR ABOVE STANDARD MEETS STANDARD BELOW STANDARD UNSATISFACTORY

Comments:

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.

The following individuals have ultimate responsibility in their respective areas:

a. Admissions: Misti Reese, Interim Director of Admissions
b. Certification of academic standing: Jonathan Reeder, NCAA Eligibility Certification Specialist
c. Evaluation of academic performance: Kim Sherrill, Director of Academic Services for Student-Athletes

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 having final authority for the institution’s rules compliance.

Chancellor Peacock designates Charlie Cobb, Director of Athletics, as the individual who has final authority for the institution’s 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. APP.

Student-athletes follow the same set of standards as regular students. The committee process for those students below the recommended threshold for automatic acceptance is the same for student-athlete applicants as it is for all other student applicants. Jean Roberts, the Executive Director of the Learning Assistance Program, which academically services the entire student population coordinates the review process with Admissions. She is not ultimately responsible for admission of student-athletes or other students, but serves as a liaison. The admission decision is handled solely by the Interim Director of Admissions, Misti Reese, and her staff. Student-athletes and general students are treated the same throughout the admissions process, even during the “before committee” process.

Certification of academic standing for all students is vested in the Registrar’s office. Student-athletes receive the same review, but in addition are evaluated for academic standing according to NCAA requirements (Continuing Eligibility). Student-athlete continuing eligibility reviews are the responsibility of Jonathan Reeder, the Continuing Eligibility Specialist, who reports to Kim Sherrill, Director of Academic Advising for Athletes. This department is housed in the University Learning Assistance Program in an academic building located in the Center of Campus. Jean Roberts, the Executive Director of the Learning Assistance Program, has ultimate responsibility for the quality of reviews performed by the Continuing Eligibility Specialist. The Continuing Eligibility Specialist shares his review by sport with the corresponding academic advisor who reviews it for accuracy prior to its submission to the Director of Compliance and the coaches. Compliance evaluates the degree progress page as an additional check, marking eligibility by semester on the general page in Compliance Assistant. Therefore, the evaluation report is generated outside of the Athletics department by the Continuing Eligibility Specialist and reviewed by the respective athletic advisors. After review, the report is provided to the Athletics Department for review by the respective coaches and Director of Compliance. Finally, the report is forwarded to the Provost and Executive Vice Chancellor for Academic Affairs, who
overssees all academic departments and reports directly to the Chancellor.
Evaluation of academic performance for all students is vested in the Dean’s offices. All students receive a graduation audit at the end of the junior year. Student-athletes receive this same review, but in addition are evaluated via the Continuing Eligibility Specialist located in the Office of Academic Advising for Athletes. This department reports to the Executive Director of the Learning Assistance Program. Regarding the collection and submission of the APR data, the Office of Academic Advising and the Academic Advisor for Athletes, Kim Sherrill, who reports to the Executive Director of the Learning Assistance Program for the entire university has ultimate responsibility for coordinating the collection of data for the APR with assistance from the academic advisors assigned to each sport.

a. The Faculty Athletics Representative: The FAR, Dr. Hauser, annually administers the NCAA Coaches Recruiting Certification Exam and is informed of violations and may assist in investigations of violations and recommendations of disciplinary actions.

b. Director of Athletics: Charlie Cobb reports directly to the Chancellor, who has designated him with the ultimate responsibility for rules compliance. The Director of Athletics has complete daily oversight of the Department of Athletics.

c. Compliance Officer/Director: As Compliance Director, Ms. Green reports to Debbie Richardson, Senior Associate Athletics Director/Senior Woman Administrator and former Compliance Director. Ms. Richardson directly reports to Charlie Cobb, Director of Athletics. As Director of Compliance, she facilitates ongoing dialogue related to compliance with institutional staff and administrators inside and outside of the athletic department and identifies responsibilities of key administrators for implementing and supervising compliance systems. Ms. Green has responsibilities for implementing rules education programs and rules interpretations. The Director of Compliance has responsibility for reviewing and determining initial eligibility, amateurism, and overall eligibility for competition and practice as the final authority in the decision-making process for the aforementioned areas. In addition, the Director of Compliance is responsible for conducting preliminary investigations of allegations of possible rules violations. Any violations and recommendations are reviewed with the Faculty Athletics Representative and discussed with the Director of Athletics before reporting to the NCAA and the Southern Conference. The Director of Compliance is responsible for inputting all information including financial aid information into the NCAA Compliance.
d. Coaches: The University ensures that each Coach participates in rules education programs and complies with monitoring and documentation requirements; conducts themselves and their programs in accordance with NCAA and Southern Conference, University and internal Department of Athletics rules and policies. Coaches and their staff are expected to report any known rules violations to the Director of Compliance in the Department of Athletics and/or to the Director of Athletics. All coaches ultimately report to the Director of Athletics. Day-to-day supervision of specific sports programs has been assigned to specific Sports Administrators to ease administrative burdens but all coaches are made aware of their reporting lines within the Department of Athletics.

e. Other personnel

a. Interim Director of Admissions: As Interim Director of Admissions, Misti Reese is the main liaison with the Athletics Department. She determines the admissibility of student-athletes and ensures the integrity of the admissions process. Ms. Reese is responsible for determining the admissibility of transfer students to the University. She reports to the Vice Chancellor of Student Development.

b. Assistant Director of Financial Aid: Theresa Johnson, Assistant Director of Financial Aid and point of contact for the Athletics Department, supervises the awarding of aid in accordance with NCAA, Southern Conference, state of North Carolina laws and University rules. The Assistant Director of Financial Aid reports to the Director of Financial Aid, who reports to Vice Chancellor of Student Development, assists in adjusting aid to avoid individual over awards or violations of team limits and periodically reviews NCAA squad lists for all sports.

c. Director of Academic Services for Student-Athletes: Kim Sherrill has ultimate responsibility for compiling the NCAA Graduation Success Rates (GSR), the Academic Performance Rates (APR), and the federal graduation rates. Ms. Sherrill is responsible for the submission of the GSR and the APR to the NCAA. Ms. Sherrill compiles the Federal Graduation Rates for reporting. The compiling of data is shared among staff members within the Department of Academic Services for Student-Athletes. Ms. Sherrill reports to Ms. Jean Roberts, Executive Director of the Learning Assistance Program, who reports to the Vice Provost of...
Undergraduate Education. The Vice Provost of Undergraduate Education reports to the Provost and Executive Vice Chancellor, who reports directly to the Chancellor.

d. NCAA Eligibility Certification Specialist: Jonathan Reeder, the NCAA Eligibility Certification Specialist in the office of Academic Services for Student-Athletes under the University Learning Assistance Program, has the ultimate responsibility for academic eligibility of student-athletes. He evaluates all transfer student-athletes’ records for compliance with continuing eligibility and transfer rules. He reports to the Director of Academic Services for Student-Athletes, who reports to the Executive Director of the Learning Assistance Program.

e. Associate Director of Housing and Residence Life: Stacy Sears has responsibility for ensuring compliance with NCAA and Athletics Department policies for housing regulations for student-athletes and all students while administering housing regulations and policies. The Associate Director of Housing and Residence Life reports to the Director of Housing and Residence Life, Dr. Thomas Kane, who reports to Ms. Cindy Wallace, Vice Chancellor for Student Affairs.

9. Indicate by clicking "yes" or "no" in the Athletics Certification System (ACS), 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. If an institution indicates a specific written policy and step-by-step procedure is not applicable (N/A), the institution must provide an explanation. Please use the file upload link contained within this question on ACS to submit an explanation if the institution selects N/A. Yes to all, including Academic Performance Program, which is included below.

**APP-APR Process**

1. Academic Services for Student-Athletes staff monitors academic eligibility throughout each semester

2. NCAA Eligibility Certification Specialist certifies academic eligibility at the end of each term and produces eligibility reports

3. Academic Services for Student-Athletes staff reviews academic eligibility reports for any
discrepancies
4. NCAA Eligibility Certification Specialist enters all academic data into CAI
5. Compliance Director reviews data in CAI for any discrepancies
6. Assistant Director, Academic Services for Student-Athletes imports data from CAI into APP
7. Each team’s Academic Advisor will confirm each student athlete in APR cohort by checking athletic aid in BANNER
8. Using BANNER report confirming student-athlete enrollment as of the census date
9. Each team’s Academic Advisor, using eligibility reports and BANNER enrollment report, will determine APR eligibility and retention points awarded, and will document on APR form
10. Director and Assistant Director of Academic Services for Student-Athletes will review all APR data for accuracy
11. Director and Assistant Director of Academic Services for Student-Athletes will enter all APR data into APP program
12. Academic Services for Student-Athletes staff will determine eligibility for delayed graduation points and Director and Assistant Director of Academic Services for Student-Athletes will enter appropriate data
13. Academic Services for Student-Athletes staff will determine need for APR adjustments and communicate need for documentation to Assistant Director of Academic Services for Student-Athletes (this person will coordinate compilation of APR documentation)
14. Director and Assistant Director of Academic Services for Student-Athletes will review APR data and submit any corrections

Timeline
- Begin APR compilation on Census Date of Fall semester
- Six weeks after first day of classes, APR is submitted
- Fourteen days following return of APR from NCAA, corrections and adjustments are completed

Department of Athletics Expectation
It is the Department of Athletics’ expectation that all teams will have scores of 925 or above each year.

APR Management
Several procedures are in place to ensure the academic success of the University student-athletes as measured by the NCAA APR. These include:

1. **Annual APR meeting with Academic Advisor, Coach, and Sport Administrator to review;**
2. **Single and Multiyear APR rate;**
3. **Concerns regarding eligibility and/or retention;**
4. **Analysis of lost APR points;**
5. **Plans for improvement as needed (when a team’s single year APR drops);**
6. **Identify resources/support strategies to improve APR;**
7. **Analysis of Admissions/recruiting patterns;**
8. **Continue to provide high quality academic support services.**

**APR Improvement Plan**

An APR Improvement Plan will be developed for any team that drops below a 925. The plan will identify the following:

1. **Critical issues affecting team’s academic performance and retention;**
2. **Specific goals and objectives to improve team’s performance;**
3. **Timeline and individuals responsible for carrying out the plan;**
4. **Evaluation of APR Improvement Plan’s effectiveness.**

**GSR Process**

1. **Start Graduation Success Rate process six weeks in advance of due date**
2. **Director of Academic Services for Student-Athletes contacts Institutional Research requesting Student Body Graduation Rate Data for the cohort and Enrollment Data for the academic year**
3. **All data is submitted in accordance with NCAA GSR Data Collection System instructions by the due date**
4. **Once NCAA notifies Director of Academic Services for Student-Athletes that GSR data has been submitted and copy of report is available for review, the Director of Academic Services for Student-Athletes will log into Graduation Success Rate Data Collection System, verify reports for accuracy, and make any necessary corrections to the data.**
5. **After confirming accuracy of the report, the Director of Academic Services for Student-Athletes will obtain the Chancellor’s signature on the NCAA GSR Report**
Signature Form, and submit to the NCAA by the due date.

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.

The Director of Compliance and the Executive Administrative Officer to the Director of Athletics are responsible for updating and disseminating the Policies and Procedures Manual (PP Manual) for the Department of Athletics. Within the PP Manual are job descriptions listed for all department employees and also for those individuals outside of the Department of Athletics with rules compliance responsibilities. All new employees receive a copy of the PP Manual. The department is currently updating the manual to a web-based version contained within the University website (appstate.edu/compliance) prior to the fall 2010 semester and will be linked to the coaches section of the GoASU.com athletics website.

Annual education sessions with coaches and staff are planned for fall 2010 to educate them on the online version of the PP Manual. After this education, new hires will meet individually with the Director of Compliance to make sure they are familiar with department and compliance policies and procedures. Those individuals outside of athletics with compliance responsibilities will be provided the link to the site, so they can review the sections of the manual relevant to their area. During the first year of the site, the Director of Compliance will communicate with each individual outside of the department to share with them the location of the site, share their area of responsibility with them and answer any questions they may have and request feedback on the site. A link to the section of the NCAA Manual that pertains to the areas of housing, financial aid and eligibility will be provided within those sections of the Manual.

The Office of Academic Advising for Student-Athletes purchases their own NCAA Manuals for their staff annually. The Compliance Office provides the Office of Financial Aid with a link to the pdf version annually. The Assistant Director of Housing is provided with the section from the NCAA Manual pertaining to housing. As changes in university housing policy occurs, the Associate Athletic Director for Internal Operations meets with housing during the summer months to assure changes in university housing policy allows for compliance with NCAA housing regulations.

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: An overall compliance education brochure for boosters was produced by the compliance office and is available at different events where boosters and alumni are present (i.e. the annual football banquet, football suites). The brochure is also used by the Yosef Club and distributed to Yosef Club Advisory Board Officers and the Former Athletes Association Board. Topics covered in this brochure include a list of extra benefits; what boosters can do with prospects and student-athletes; what behavior with student-athletes and prospects is prohibited; and definitions for athletics interests, prospects, contacts and pre-existing relationships. More thorough information regarding rules-education for boosters is listed on the athletics website GoASU.com, under ‘compliance’ in a section specifically designed for boosters. This section of the compliance website is also linked to the Yosef Club section of the site. Topics covered in the on-line version include penalties imposed on boosters; student-athletes and coaches; sports wagering; and alumni functions and contact with agents. Four times a year, a rules-education article is published in the Black and Gold fan/Yosef Club member publication covering a compliance-related topic. Topics covered include booster rules; protocol for obtaining autographs; promotional activities requests and forms; sportsmanship and ethical conduct rules; and sports wagering. As always, boosters are encouraged to call the compliance office or any athletics staff member with any questions. In addition, the Director of Compliance meets annually with the Yosef Club Advisory Board, the Student Yosef Club and the Former Athletes Association Board, to insure they are aware of extra benefit legislation, the brochure, the information on the website and to answer questions regarding permissible and impermissible activities with student-athletes.

b. Student-athletes: Two meetings are held each year with student-athletes. One is held in the beginning of the academic year. This pre-season meeting is used to cover all NCAA and department paperwork that needs to be completed and to educate student-athletes on the NCAA and Southern Conference rules and regulations that need to be followed. This is achieved via a DVD that contains a Power Point with imbedded video
allowing the compliance staff to cover sports wagering, hazing, NCAA and athletic department drug testing and protocol, department rules and regulations, continuing eligibility rules and consequences for rules violations, renewal and non-renewal of athletic aid, the special assistance fund, book loan, etc. In the spring of the year, a second meeting is held with each team covering sports wagering more in depth, along with the rules and regulations involving summer camps, outside competition, on-campus recruiting rules, acceptance of prize money and amateurism regulations, camps and clinics regulations and outside private scholarships, the number of student-athletes on a team that can participate together on an outside team during the academic year and summer, and the Athletics Department Diversity Statement. Student-athletes acknowledge that they have read and understand the rules during the spring meeting by signing a form. Sports wagering is covered more in depth at this meeting by showing an NCAA sports wagering video or completing the online interactive website provided by AGA (Agents, Gambling, and Amateurism).

c. Athletics Department Staff: A preseason meeting is held every fall. During this meeting, the Chancellor of the University informs the staff of the University's commitment to rules compliance and asks everyone to sign the Certification of Compliance form asking them to report any known or suspected violations to the Director of Compliance or the Director of Athletics. Staff will receive the Declaration of Outside Income form at this meeting as well. Any new rules that pertain to department staff are forwarded to the appropriate staff members via email throughout the year. Administrative staff meetings are held every Tuesday throughout the academic year, allowing compliance the opportunity to share any new compliance rules or information with the administrative staff. All administrative staff members are invited to attend the rules education meeting covering new legislation held in January. New rules and interpretations from the conference office or the NCAA are forwarded to administrators and coaches as they are received.

d. Coaches: Rules Education is held in January after the NCAA Convention and then again in late April or May to inform coaches of any rules changes that will affect their sport. Coaches are given the opportunity to ask questions regarding the new rules and the legislation is organized into categories by their effective dates and whether they affect all sports or only affect a specific sport. Rules education is also held periodically
to cover different aspects of NCAA rules. The compliance office has held rules education with the coaching staff covering initial eligibility and the features and changes to the Eligibility Center website in September the past several years. The Associate Commissioner for the Southern Conference also performs a rules education component during his visit to administer the NCAA Coaches Recruiting exam. Any pertinent rules information or deadlines are shared with the coaches at the department’s coaches meeting held the first Tuesday of the month during the academic year. Interpretations or clarifications provided by the NCAA or Southern Conference compliance office are provided to coaches and assistant coaches via email. Additional rules education has been held throughout the year as the compliance office schedule allows (i.e. Power Point-Recruiting and visit rules Power Point, quizzes and occasional newsletters).

e. Faculty: The Director of Athletics and the Faculty Athletics Representative attend the Faculty Senate meetings to provide information to the faculty senate regarding issues related to athletics, including rules education updates. Faculty are able to view the compliance section on the appstate.edu and GoASU.com websites, ask the academic advisors they interact with weekly, or contact the athletics department directly with compliance-related questions. Faculty members who are Yosef Club members receive all rules-education information included in the booster’s section. The Director of Athletics meets with Athletics Council at the beginning of the academic year and discusses the NCAA rules that apply to faculty interaction with student-athletes and charges the Athletics Council with informing their departments about the NCAA rules and the information on the athletics website. The Athletic Council is also provided with the booster rules brochure at an Athletics Council meeting with topics including extra benefits legislation regarding meals, transportation, and academic rules regarding no discussions with coaches about academic matters. (All academic discussions must occur between faculty and academic advisors only. Informing them that missing class for practice is prohibited by NCAA rules.) The Director of Compliance meets with the staff in the Office of Academic Advising for Athletes, to inform them of new rules and allow them the opportunity to ask questions regarding rules and report any possible violations. Topics covered are extra benefits such as meals and transportation, the prohibition of loans to student-athletes and use of photocopy machines.

f. Institutional staff outside the Athletics Department: The rules education efforts for
the various individuals outside of athletics that have compliance-related duties are as follows. An annual meeting is held during the spring of each year to go over any rules changes with the financial aid staff along with discussion about changes to scholarship forms and renewal and non-renewal letters and the information contained in those documents. If any housing rules changes occur, they would be shared with the Associate Director of Housing and Residence Life and the Director of Compliance would follow up with her to assure that she understands the rules and that they are being implemented effectively. The staff of Academic Advisors for Student-Athletes periodically attends the NCAA Compliance Seminar, with the NCAA Eligibility Certification Specialist attending annually. New rules and interpretations affecting this area are shared via email and the Director of Academic Services for Athletes and the NCAA Eligibility Certification Specialist are the point persons regarding new rules and regulations affecting the academic sector. As rules changes occur during January and April of each year, the Director of Compliance forwards the information on to the appropriate parties via email and then follows up with the individuals that received the emails to make sure they do not have any questions regarding its application. The Director of Academic Services for Student-Athletes and the NCAA Eligibility Certification Specialist are members of the Compliance Committee, which meets prior to Athletic Council Meetings if necessary. During this meeting any new rules are shared and discussed among the committee. Changes in compliance procedures are also discussed. Committee members are the FAR, the Director of Compliance, the Director of Academic Advising for Student-Athletes and the NCAA Eligibility Certification Specialist. Also, the Director of Compliance, the NCAA Eligibility Certification Specialist, the Director of Academic Services for Student-Athletes and the Assistant Director of Financial Aid have all attended the NCAA Regional Rules Seminars or seminars specific to their areas by their professional organizations, i.e. National Association of Academic Advisors. All of these methods are used to aid in the education of staff members responsible for compliance-related duties involving athletics. Institutional staff outside of the Athletics Department without compliance-related duties are able to review any information on the compliance portion of the athletics website.

12. In regard to the institution’s most recent rules-compliance evaluation:
a. Provide the name(s) and affiliation(s) of the individual(s) responsible for conducting the institution's rules-compliance evaluation;
b. 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; and
c. Provide the date of the institution's most recent rules-compliance evaluation.

a. Doug King, Southern Conference Associate Commissioner for Compliance was responsible for the University's most recent rules compliance evaluation.
b. The Southern Conference provides compliance evaluation services through Doug King, Southern Conference Associate Commissioner for Compliance for all Southern Conference institutions in an effort to ensure conference institutions have a functional compliance process in place.
c. The University's most recent rules compliance evaluation was conducted on March 20, 2008. The final written report was submitted to the University on September 9, 2009. A follow-up evaluation was completed on September 29, 2010.

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" in the ACS which areas were included in the institution's most recent rules compliance evaluation. If the institution indicates that a specific area is not applicable (N/A), the institution must provide an explanation. Please use the file upload link contained within this question on ACS to submit an explanation if the institution selects N/A. Yes, all areas covered.

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 any necessary corrective actions. In addition, identify the individuals involved with this review.

Since the final report of the initial review was provided to the institution at the start of the 2009-2010 academic year prior to conducting the self-study, the subcommittee for Governance and Rules Compliance, including the Director of Compliance, read and evaluated the compliance review. The committee members reviewed the report for relevance and felt that all items should be implemented.

During May 2009, Doug King, Associate Commissioner for Compliance at the Southern Conference,
provided a draft copy of the report to the University’s Director of Compliance. The Director of Compliance was able to implement all items listed in the review pertaining to items or policies for admission in the 2009-2010 Student-Athlete Handbook and Student-Athlete Planner. The Student-Athlete Handbook and Planner were reviewed by the student-athletes on the subcommittee to confirm that all items listed were added (completed April 2010).

The subcommittee evaluated the review and assigned completion dates and individuals from the subcommittee, the Athletics Council Recruiting Committee, Compliance office, and the FAR to assure timely completion of items still earmarked for completion before the peer review visit. Completion dates were assigned by the subcommittee, while taking into consideration the restructuring of the Policies and Procedures Manual to a web-based document, which is also being completed by the Director of Compliance.

Part of the review that will occur during 2010-2011 prior to the site visit by the peer review team is the evaluation and/or implementation of the issues raised during the follow-up evaluation performed by Doug King in September 2010.

15. Identify relevant corrective action(s) 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 action(s) taken or specific timetable(s) for completion of the plan(s).

A. All items involving changes to the Student-Athlete Handbook and Student-Athlete Planner are completed as follows:

a. Overall Compliance Environment:
   i. Update the Student-Athlete Planner (page 121) and the Student-Athlete Handbook (page 6) to reflect the current regulations regarding ethical conduct [Bylaw 10.1];
   ii. Update the Student-Athlete Planner (pages 124-125), the Student-Athlete Handbook (pages 10-11, and the Department of Athletics PP Manual (pages 26 - 27) to reflect the current regulations regarding sports wagering [Bylaw 10.3];
   iii. Revise the current institutional policy surrounding student-athlete/agent contact. The existing policy has the Director of Strength and Conditioning overseeing the process. Oversight of the institution’s policy governing the
interaction of agents and student-athletes should rest with an individual whose premier job responsibility is NCAA rules compliance;

iv. Include a section in the Department of Athletics PP Manual, Student-Athlete Handbook/Planner and on the institution’s web site highlighting the regulations that govern a student-athlete's involvement in promotional activities [Bylaw 12.5];

v. Include a section in the Student-Athlete Handbook/Planner and on the institution’s web site highlighting the role of the student host [13.6.7.5];

vi. Revise the Student-Athlete Planner (page 135) and the Student-Athlete Handbook (page 22) to reflect the current regulations regarding progress-toward-degree requirements (e.g., remove the checklist for pre-2003 enrollees);

vii. Revise the Student-Athlete Planner (page 140) and the Student-Athlete Handbook (page 26) to reflect the current regulations regarding amateur status. Item #4 under the "Grants-in-aid must be reduced or cancelled if you:" is inaccurate; and

viii. Revise the Student-Athlete Planner (page 141) to reflect the current regulations regarding a student-athlete’s individual financial aid limit [Bylaw 15.1.1]. A student-athlete who receives a Pell Grant may receive financial aid unrelated to athletics ability up to the cost of attendance or up to the value of FGIA plus the Pell Grant, whichever is greater.

b. Education:

i. Update the Student-Athlete Handbook to include the current restrictions regarding outside competition;

ii. Include a segment in the Student-Athlete Handbook/Planner that addresses the current regulations surrounding complimentary admissions;

iii. Revise the Student-Athlete Handbook to include the current restrictions involving a student-athlete’s involvement with agents/advisors;

iv. Incorporate a segment into the Student-Athlete Handbook/Planner addressing the role of enrolled student-athletes in the recruiting process (e.g., roll of student host, conduct during the official visit, etc.); and

v. Include sections related to Bylaw 12.5.1.1 in the Athletics Department
Policies and Procedures Manual and Student-Athlete Handbook/Planner. Bylaw 12.5.1.1 governs the involvement of student-athletes in promotional activities and the importance of prior approval from the Assistant Athletics Director for Compliance before taking part in such activities should be stressed to student-athletes and staff members.

c. Recruiting
   i. Incorporate a segment into the Student-Athlete Handbook/Planner addressing the role of enrolled student-athletes in the recruiting process (e.g., roll of student host, conduct during the official visit, etc.).
   ii. All items in the following sections of the Student-Athlete Handbook and Planner have been revised or added. Student-Athletes assigned to the Governance and Rules Compliance Subcommittee reviewed the Planner and online Student-Athlete Handbook to confirm their completion.

B. The following items involving changes or additions to the Policies and Procedures Manual are completed as follows:
   a. Overall Compliance Environment
      i. Officially define and document in writing the role and responsibilities of the Faculty Athletics Representative;
      ii. Include the Department’s organizational chart in the electronic version of Department of Athletics PP Manual;
      iii. Ensure that all Athletics Department job descriptions include a commitment to NCAA rules compliance/adherence to NCAA regulations to the duties and responsibilities of all staff members. All departmental positions require an understanding of current NCAA regulations and a commitment to NCAA rules compliance;
      iv. Alter the Department of Athletics PP Manual to include a direct reference to Bylaw 11.1.2.1 (Responsibility of Head Coach) in the Head Coaches job description (e.g., "Promote an atmosphere for compliance within the program supervised by the coach and to monitor the activities regarding compliance of all assistant coaches and administrators involved with the program who report directly or indirectly to the coach.");
      v. Update the Department of Athletics PP Manual (page 68) to reflect the
current regulations regarding student-athlete employment [Bylaw 12.4];

vi. Revise the Student-Athlete Handbook/Planner and Department of Athletics PP Manual to reflect current job titles; the documents currently reference the position of Director of Compliance and Director of Legislative Service and Compliance;

vii. In conjunction with the Director of Athletics it is recommended that the President address the Athletics Department regarding the importance of rules compliance during the annual meeting of the entire athletics staff;

viii. Develop and write a formal process for reporting suspected secondary and major violations including who should be notified throughout the process;

ix. Update the Department of Athletics PP Manual (page 19) to include a direct reference to Bylaw 17.8.1.5 in the Head Athletic Trainer’s job description;

x. Continue to strengthen the lines of communication between the Athletics Department and individuals external to Athletics who currently have compliance related responsibilities (e.g., registrar, financial aid officer, academic advisors). When interviewed, several individuals external to Athletics emphasized the necessity for an open exchange of information between their respective areas and the Athletics Department;

xi. Modify the rules compliance section found in the "Head Coach Annual Performance Evaluation" to include a reference to Bylaw 11.1.2.1 (Responsibility of Head Coach);

xii. Revise the "Assistant Coach Annual Performance Evaluation" to include a standalone rules compliance section similar to that found in the "Head Coach Annual Performance Evaluation."

xiii. Given the scope of NCAA rules and regulations, all annual departmental performance reviews (including noncoaching staff members) should include a NCAA rules compliance component;

xiv. Revise the Department of Athletics PP Manual (Appendix 17) to accurately reflect the current regulations regarding recruited status [Bylaw 13.02.12.1]. Participation in an academic interview during an Unofficial Visit does not cause a prospective student-athlete to become a recruited student-athlete at the institution; and
xv. Amend the employment letter issued to Head Coaches to include a reference to Bylaw 11.1.2.1 (Responsibility of Head Coach).

b. Education
   
i. Increase its educational efforts aimed at the individuals external to Athletics who currently have compliance related responsibilities (e.g., registrar, financial aid officer, academic advisors, etc.). It is essential that these individuals have a thorough understanding of the NCAA rules and regulations that cover their areas of responsibility;
   
ii. Provide current NCAA Manuals to all individuals in the Department and external to Athletics who currently have compliance related responsibilities;
   
iii. Officially define and document the new employee orientation program;
   
iv. Include sections related to Bylaw 12.5.1.1 in the Athletics Department PP Manual and Student-Athlete Handbook/Planner. Bylaw 12.5.1.1 governs the involvement of student-athletes in promotional activities and the importance of prior approval from the Assistant Athletics Director for Compliance before taking part in such activities should be stressed to student-athletes and staff members;
   
v. Update the Athletics Department PP Manual (page 56) to include guidelines regarding the value of participation awards [Figure 16-1];
   
vi. Revise the Athletics Department PP Manual and institutional web site to include the current restrictions regarding institutional/non-institutional camps and clinics; and
   
vii. Revise the Athletics Department PP Manual and institutional web site to include the current restrictions regarding progress toward degree requirements for enrolled student-athletes.

c. Initial, Continuing and Transfer Eligibility
   
i. Have the Director of Continuing Eligibility (Continuing Eligibility Specialist) sign the squad list in each sport prior to the first day of competition;
   
ii. Involve Deans and/or appropriate advisors outside the Athletics Department to assist in the conduct of degree audits in order to ensure that all courses apply to a specific degree program.

d. Financial Aid
i. Include a reference to the monitoring of maximum award limitations (individual and institutional) in the job descriptions for the Senior Associate Athletics Director and Assistant Athletics Director for Compliance.

ii. The date(s) of action(s) taken or specific timetable(s) for completion of the plan(s). The remaining items are scheduled for completion and have been assigned completion dates by the Director of Compliance with review by the Subcommittee for Governance and Commitment to Rules Compliance or been assigned to members of the Athletics Council Recruiting Committee.

C. Management

a. Overall Compliance Environment

i. Maintain its educational efforts aimed at the individuals external to Athletics who currently have compliance related responsibilities (e.g., registrar, financial aid officer, academic advisors). It is essential that these individuals have a thorough understanding of the NCAA rules and regulations that cover their areas of responsibility. (Rules Ed) Begin Annual Meeting with Academic Advising Staff, Continuing Eligibility Specialist, and registrar and add rules education component to financial aid meeting. (May 30, 2010)-Martha Wilson;

ii. Include a detailed description of the nonrenewal/gradation appeals process in the Department of Athletics PP Manual, ASU Student-Athlete Handbook/Planner and on the institution's web site. The description should include the specific composition of the appeals committee, as well as the time frame in which such appeals will be heard (Completion Date-June 15, 2010)-Dr. Alan Hauser, FAR;

iii. Update the Department of Athletics PP Manual (page 48) to reflect the current regulations regarding the maximum number of contests and dates of competition for each sport [Figure 17-1]. (Completion Date-June 15, 2010)-Dr. Alan Hauser, FAR;

iv. Update the Department of Athletics PP Manual (Appendix 26-A) to reflect the current rules surrounding skill instruction [Bylaws 17.1.6.2.2 & 17.1.6.2.3]. (Completion Date-June 15, 2010)-Jonathan Reeder w/review by Dr. Alan Hauser-FAR.
b. Recruiting

i. Explore the possibility of increasing the number of full-time staff members in the area of Compliance. One full-time employee currently performs the vast majority of all compliance activities. Understaffing in this area increases the potential for NCAA violations and greatly curtails the institution's educational efforts in the area of rules compliance. The subcommittee has identified this on the plan for improvement;

ii. Collect all required recruiting documentation in a timely and consistent manner. Interviews with coaches appeared to reveal some uncertainty as when this documentation is required for submission and/or collected. [(Completion Date-July 1, 2010) Create Compliance Timeline]-Dr. Alan Hauser, FAR;

iii. Policies and procedures for the completion of recruiting forms need to be written and documented within the compliance office. (Completion Date-July 1, 2010)-Dr. Alan Hauser, FAR;

iv. Monitor scheduled unofficial visits to avoid triggering impermissible off-campus contact by coaches and/or enrolled student-athletes. [(Completion Date-July 1, 2011)-Begin Collection for 09-10-Ath. Council-Recruiting Committee-Dr. Alan Hauser, FAR]; and

v. Include a copy of the institution's "Policy Statement on Recruiting Visits" in the Appalachian State University Athletics Department Policies and Procedures Manual. (Completion Date-June 15, 2010)-Jonathan Reeder

c. Initial, Continuing and Transfer Eligibility

i. Continue with educational efforts aimed at individuals outside the Athletics Department who assist in the certification of continuing eligibility. This is particularly important in light of the NCAA's new progress-toward-degree requirements and the Academic Performance Program. It is imperative that these individuals stay abreast of current progress-toward-degree requirements. Begin Annual Meeting with Academic Advising staff (May 30, 2010)-Martha Wilson;

ii. All policies and procedures for the certification of initial, continuing and transfer eligibility should be documented in writing, included in the
Appalachian State University Athletics Department Policies and Procedures Manual and made available to those individuals involved in the process. Flowcharts should be included to properly demonstrate the reporting lines and the responsibilities for the certification of continuing eligibility. Such charts should clearly outline the duties and responsibilities of each party. Turnover among personnel in Athletics Department and/or Office of the Registrar can negatively impact the entire certification process. Further, such policies for the certification of continuing eligibility must be approved by the President or Chancellor, as stated in NCAA Bylaw 14.10.1. (Completion Date-June 30, 2010)-Jonathan Reeder;

iii. Ensure that there is a qualified person to act as a back up to the Director of Continuing Eligibility in case of emergencies. It is recommended that this person conduct certification of eligibility on a regular basis to remain knowledgeable of the process and to keep up-to-date with any changes to the progress toward degree regulations. (Completion Date-May 5, 2010)-Martha Wilson;

iv. It is recommended that head coaches be required to sign updated squad lists with any changes from the previous squad lists highlighted. This will assist in keeping coaches educated as to the current eligibility status of their student-athletes. (Scheduled for Implementation beginning fall 2010)-Alan Hauser

d. Financial Aid

i. Explore the possibility of increasing the number of full-time staff members in the area of Compliance. One full-time employee currently performs the vast majority of all compliance activities. Understaffing in these areas increases the potential for NCAA violations and greatly curtails the institution's educational efforts in the area of rules compliance. This is included in #17 below;

ii. Ensure that the day-to-day responsibilities of the Athletics Department’s liaison in the Financial Aid Office are documented to ensure a simpler transition when personnel changes occur. (Completion Date-June 30, 2010)-Martha Wilson;

iii. Investigate the possibility of providing additional training to the Athletics
Department’s liaison in the Office of Financial Aid. Participation in NCAA Regional Rules Seminars would be beneficial to the liaison as some sessions are devoted to assisting in financial aid regulations (Biannually, unless compliance determines rules changes make it necessary to attend in a given year. Begin attending Summer 2010. (Funding needs to be determined and allocated)-John Earwood;

iv. Ensure that job descriptions and performance evaluations of designated staff within the Office of Financial Aid continue to include information regarding their roles and responsibilities relating to athletic compliance. Completion Date-June 30, 2010-Martha Wilson;

v. Thoroughly document the processes for awarding/renewing/canceling/granting athletics aid in the Appalachian State University Athletics Department Policies and Procedures Manual (Completion Date-April 30, 2010)-Martha Wilson;

vi. Consider the possibility of conducting internal audits (non-athletics personnel) by periodically performing spot checks of student-athletes’ financial aid records-Alan Hauser;

vii. Document the procedures used to ensure that completed Squad Lists are reviewed and verified by the Office of Financial Aid. Upon completion of the review, the Director of Financial Aid (or designee) should sign off on the document. (Completion Date-April 30)-Martha Wilson;

viii. It is recommended that head coaches be required to sign updated squad lists with any changes from the previous squad lists highlighted. (Scheduled for Implementation beginning fall 2010)-Alan Hauser; and

ix. Link the institution’s financial aid tracking system to the Athletics Departments Compliance Assistance software program. Linking the two systems will eliminate the duplication of data entry that currently takes place. Presently, the Assistant Athletics Director must manually enter financial aid data into the Compliance Assistance software program after the information has already been entered into the institution’s financial aid tracking system. (Proposed Completion-July 15, 2010)-Alan Hauser.
THE SOUTHERN CONFERENCE COMPLIANCE REVIEW
APPALACHIAN STATE UNIVERSITY – March 20, 2008

Introduction: Douglas King, Associate Commissioner for Compliance, completed a compliance review at Appalachian State University as part of The Southern Conference’s compliance program. The review consisted of a visit to the institution’s campus on March 20, 2008, during which time the following individuals were interviewed:
Charlie Cobb – Director of Athletics
Dr. Alan Hauser – Faculty Athletics Representative
Barbara Green – Assistant Athletics Director for Compliance
Britt King – Assistant Coach (Women’s Basketball)
Matt McMahon – Assistant Coach (Men’s Basketball)
Martha Wilson – Director of Continuing Eligibility
Teresa Johnson – Assistant Director of Financial Aid
Jean Roberts – Director of Academic Advising for Student-Athletes
Steve White – Ticket Manager
Davis Bowne – Student-Athlete (Men’s Basketball)
Brittany Mixon – Student-Athlete (Women’s Basketball)

In addition, a review was performed of the following compliance related materials:
   1. Appalachian State University Department of Athletics Policies and Procedures Manual
   2. 2007-08 Appalachian State University Student-Athlete Handbook
   3. 2006-07 Appalachian State University Student-Athlete Planner
   4. Institutional web site

This report will summarize the March 2008 visit. It is intended to assist the institution in analyzing its systems for complying with NCAA and Conference rules, identifying areas of strength and concern, improving existing procedures in compliance areas, and reducing the institution’s vulnerability to inadvertent violations. The report focuses on the following major areas:

   1. Compliance Environment
   2. Rules Education
   3. Recruiting
4. Initial and Continuing Eligibility
5. Financial Aid

**Overall Compliance Environment:** Appalachian State University continues to take proactive steps to build a comprehensive and effective rules compliance program. The institution demonstrates its commitment to rules compliance by assigning oversight of the institution’s compliance program to the Director of Athletics. The Chancellor is kept informed by the Director of Athletics regarding all self-reported rules violations. Any disciplinary action taken by the Director of Athletics in regards to a violation of NCAA rules is discussed with the Chancellor. The institution’s Faculty Athletics Representative works closely with the Senior Associate Athletics Director and Assistant Athletics Director for Compliance on all compliance issues. Oversight responsibilities are assigned to a Senior Associate Athletics Director who is a member of the Athletics Department senior staff. The Coordination of the program and day-to-day operations are handled by the Assistant Athletics Director for Compliance. The Assistant Athletics Director for Compliance reports directly to the Senior Associate Athletics Director. The Director of Athletics reports directly to the institution’s Chief Executive Officer on a monthly basis. Each individual interviewed during the review emphasized the integrity of Athletics Department staff members and their commitment to complying with NCAA rules and regulations. When hired, a clear message is sent from the Director of Athletics to all coaching staff members regarding the importance of rules compliance. The message is reiterated in a statement in each staff member’s employment letter regarding compliance with NCAA regulations. Appalachian State University continues to solidify highly effectual lines of communication in the area of rules compliance. The importance of rules compliance is communicated to individuals internal and external to Athletics. At the beginning of each academic year, new coaches and staff members receive the Appalachian State University Department of Athletics Policies and Procedures Manual. Student-athletes are annually provided with an Appalachian State University Student-Athlete Planner. These manuals outline applicable Appalachian State University policies and procedures and assist staff members and student-athletes in complying with NCAA rules and regulations. Compliance related information is included on the institution’s web site. In addition to written materials, the Assistant Athletics Director for Compliance addresses the Athletics Department staff members on a recurring basis to review applicable compliance related issues and discusses areas of concern (e.g., annual staff meetings, head coaches meetings, team meetings, etc.). Individuals external to the athletics department emphasized the integrity of the individuals involved in the compliance
process. An effective communication system has been established between the Athletics Department and offices external to the Department with compliance responsibilities (e.g., financial aid, admissions, and registrar). This has enabled the implementation of coordinated academic and financial aid monitoring systems. Appalachian State University may wish to consider the following to enhance its compliance environment:

1. **Maintain its educational efforts aimed at the individuals external to Athletics who currently have compliance related responsibilities (e.g., registrar, financial aid officer, academic advisors).** It is essential that these individuals have a thorough understanding of the NCAA rules and regulations that cover their areas of responsibility.

2. **Ensure that all Athletics Department job descriptions include a commitment to NCAA rules compliance / adherence to NCAA regulations to the duties and responsibilities of all staff members.** All departmental positions require an understanding of current NCAA regulations and a commitment to NCAA rules compliance.

3. **Officially define and document in writing the role and responsibilities of the Faculty Athletics Representative.**

4. **Include the Department’s organizational chart in the electronic version of Appalachian State University Department of Athletics Policies and Procedures Manual.**

5. **Amend the employment letter issued to Head Coaches to include a reference to Bylaw 11.1.2.1 (Responsibility of Head Coach).**

6. **Modify the rules compliance section found in the “Head Coach Annual Performance Evaluation” to include a reference to Bylaw 11.1.2.1 (Responsibility of Head Coach).**

7. **Revise the “Assistant Coach Annual Performance Evaluation” to include a standalone rules compliance section similar to that found in the “Head Coach Annual Performance Evaluation.”**

8. **Alter the Appalachian State University Department of Athletics Policies and Procedures Manual to include a direct reference to Bylaw 11.1.2.1 (Responsibility of Head Coach) in the Head Coaches job description (e.g., “Promote an atmosphere for compliance within the program supervised by the coach and to monitor the activities regarding compliance of all assistant coaches and administrators involved with the program who report directly or indirectly to the coach.”).**
9. Given the scope of NCAA rules and regulations, all annual departmental performance reviews (including non-coaching staff members) should include a NCAA rules compliance component.

10. Develop and write a formal process for reporting suspected secondary and major violations including who should be notified throughout the process.

11. In conjunction with the Director of Athletics it is recommended that the President address the athletics department regarding the importance of rules compliance during the annual meeting of the entire athletics staff.

12. Revise the Appalachian State University Student-Athlete Handbook/Planner and Appalachian State University Department of Athletics Policies and Procedures Manual to reflect current job titles; the documents currently reference the position of Director of Compliance and Director of Legislative Service and Compliance.

13. Continue to strengthen the lines of communication between the Athletics Department and individuals external to Athletics who currently have compliance related responsibilities (e.g., registrar, financial aid officer, academic advisors). When interviewed, several individuals external to Athletics emphasized the necessity for an open exchange of information between their respective areas and the Athletics Department.

14. Update the Appalachian State University Student-Athlete Planner (page 121) and the Appalachian State University Student-Athlete Handbook (page 6) to reflect the current regulations regarding ethical conduct [Bylaw 10.1].

15. Update the Appalachian State University Student-Athlete Planner (pages 124-125), the Appalachian State University Student-Athlete Handbook (pages 10-11, and the Appalachian State University Department of Athletics Policies and Procedures Manual (pages 26 - 27) to reflect the current regulations regarding sports wagering [Bylaw 10.3].

16. Revise the current institutional policy surrounding student-athlete/agent contact. The existing policy has the Director of Strength and Conditioning overseeing the process. Oversight of the institution’s policy governing the interaction of agents and student-athletes should rest with an individual whose premier job responsibility is NCAA rules compliance.

17. Include a section in the Appalachian State University Department of Athletics Policies and Procedures Manual, Appalachian State University Student-Athlete Handbook/Planner and
on the institution’s web site highlighting the regulations that govern a student-athlete’s involvement in promotional activities [Bylaw 12.5].

18. Update the Appalachian State University Department of Athletics Policies and Procedures Manual (page 68) to reflect the current regulations regarding student-athlete employment [Bylaw 12.4].

19. Revise the Appalachian State University Department of Athletics Policies and Procedures Manual (Appendix 17) to accurately reflect the current regulations regarding recruited status [Bylaw 13.02.12.1]. Participation in an academic interview during an Unofficial Visit does not cause a prospective student-athlete to become a recruited student-athlete at the institution.

20. Include a section in the Appalachian State University Student-Athlete Handbook/Planner and on the institution’s web site highlighting the role of the student host [13.6.7.5].

21. Revise the Appalachian State University Student-Athlete Planner (page 135) and the Appalachian State University Student-Athlete Handbook (page 22) to reflect the current regulations regarding progress-toward-degree requirements (e.g., remove the checklist for pre-2003 enrollees).

22. Revise the Appalachian State University Student-Athlete Planner (page 140) and the Appalachian State University Student-Athlete Handbook (page 26) to reflect the current regulations regarding amateur status. Item #4 under the “Grants-in-aid must be reduced or cancelled if you:” is inaccurate.

23. Revise the Appalachian State University Student-Athlete Planner (page 141) to reflect the current regulations regarding a student-athlete’s individual financial aid limit [Bylaw 15.1.1]. A student-athlete who receives a Pell Grant may receive financial aid unrelated to athletics ability up to the cost of attendance or up to the value of FGIA plus the Pell Grant, whichever is greater.

24. Include a detailed description of the nonrenewal/gradation appeals process in the Appalachian State University Department of Athletics Policies and Procedures Manual, Appalachian State University Student-Athlete Handbook/Planner and on the institution’s web site. The description should include the specific composition of the appeals committee, as well as the time frame in which such appeals will be heard.
25. **Update the Appalachian State University Department of Athletics Policies and Procedures Manual** (page 48) to reflect the current regulations regarding the maximum number of contests and dates of competition for each sport [Figure 17-1].

26. **Update the Appalachian State University Department of Athletics Policies and Procedures Manual** (Appendix 26-A) to reflect the current rules surrounding skill instruction [Bylaws 17.1.6.2.2 & 17.1.6.2.3].

27. **Update the Appalachian State University Department of Athletics Policies and Procedures Manual** (page 19) to include a direct reference to Bylaw 17.8.1.5 in the Head Athletic Trainer’s job description.

**Education:** Appalachian State University continues to take proactive steps to enhance its educational program in the area of rules compliance. Staff meetings are conducted and contemporaneous compliance related materials are provided to administrators, coaches and student-athletes throughout the academic year. The Assistant Athletics Director for Compliance uses various methods to address the coaching staff regarding compliance related issues. Educational opportunities include an annual department-wide staff meeting, e-mails, informal communications that result from the Assistant Athletics Director’s “open door” policy, weekly senior staff meetings, and mandatory monthly head coaches’ meetings throughout the academic year. During these meetings, issues related to rules compliance are discussed. Compliance related information appears on the Athletics Department’s website. New coaching staff members meet with the Senior Associate Athletics Director and Assistant Athletics Director for Compliance to review NCAA rules and regulations and Appalachian State University policies and procedures. All members of the coaching staff receive an Appalachian State University Athletics Department Policies and Procedures Manual at the start of each academic year. Educational information targeting boosters can be found on the Athletics Department web site. The Senior Associate Athletics Director and the Assistant Athletics Director for Compliance have established a climate of accessibility throughout the department. Everyone interviewed understood that any questions regarding a compliance issue should be directed to the Assistant Athletics Director for Compliance. To educate student-athletes the Assistant Athletics Director for Compliance meets with each team at the beginning of the academic year to review applicable NCAA regulations and Appalachian State University policies and procedures. At that time, all student-athletes receive an Appalachian State University Student-Athlete Handbook/Planner that includes a summary of applicable NCAA rules and regulations and copies of required NCAA documentation. The Director
of Academic Advising for Student-Athletes and staff meets with each squad throughout the academic year to discuss progress towards degree requirements. SAAB meetings provide the Assistant Athletics Director for Compliance with an opportunity to discuss compliance issues with representatives from each of the institution’s intercollegiate athletics teams. Effective rules education is crucial to a strong compliance program. This aspect of compliance, more than any other, may mean the difference between maintaining institutional control or not. Therefore, it may be helpful for Appalachian State University to consider the following to improve its rules education program:

1. **Increase its educational efforts aimed at the individuals external to Athletics who currently have compliance related responsibilities (e.g., registrar, financial aid officer, academic advisors, etc.).** It is essential that these individuals have a thorough understanding of the NCAA rules and regulations that cover their areas of responsibility.

2. **Provide current NCAA Manuals to all individuals in the Department and external to Athletics who currently have compliance related responsibilities.**

3. **Officially define and document the new employee orientation program.**

4. **Update the Appalachian State University Student-Athlete Handbook to include the current restrictions regarding outside competition.**

5. **Include a segment in the Appalachian State University Student-Athlete Handbook/Planner that addresses the current regulations surrounding complimentary admissions.**

6. **Revise the Appalachian State University Student-Athlete Handbook to include the current restrictions involving a student-athlete’s involvement with agents/advisors.**

7. **Incorporate a segment into the Appalachian State University Student-Athlete Handbook/Planner addressing the role of enrolled student-athletes in the recruiting process (e.g., roll of student host, conduct during the official visit, etc.).**

8. **Include sections related to Bylaw 12.5.1.1 in the Appalachian State University Athletics Department Policies and Procedures Manual and Appalachian State University Student-Athlete Handbook/Planner.** Bylaw 12.5.1.1 governs the involvement of student-athletes in promotional activities and the importance of prior approval from the Assistant Athletics Director for Compliance before taking part in such activities should be stressed to student-athletes and staff members.
9. **Update the Appalachian State University Athletics Department Policies and Procedures Manual** (page 56) to include guidelines regarding the value of participation awards [Figure 16-1].

10. **Revise the Appalachian State University Athletics Department Policies and Procedures Manual** and institutional web site to include the current restrictions regarding institutional/noninstitutional camps and clinics.

11. **Revise the Appalachian State University Athletics Department Policies and Procedures Manual** and institutional web site to include the current restrictions regarding progress toward degree requirements for enrolled student-athletes.

**Recruiting:** Appalachian State University has developed an effective system to monitor recruiting activities that includes numerous checks and balances. It was clear from the interviews conducted during this review that all administrators and coaches involved in the recruiting process understand the importance of rules compliance in this area and, therefore, the importance of monitoring their recruiting activities. The Athletics Department has developed recruiting forms to enable coaches to monitor phone calls, contacts, evaluations and official visits. The Assistant Athletics Director for Compliance collects this documentation on a regular basis. The current process for approving and tracking official visits to Appalachian’s campus is efficient. The Business Office reviews all recruiting expense reports subsequent to the conclusion of the visit. Expense reports relating to recruiting travel must be submitted to the Business Office at the conclusion of the trip as well. The involvement of the Business Office in the review process assists in monitoring compliance with recruiting regulations. In an effort to enhance Appalachian State University’s system for monitoring recruitment it is suggested that the following be considered:

1. **Explore the possibility of increasing the number of full-time staff members in the area of Compliance.** The vast majority of all compliance activities are currently performed by one full-time employee. Understaffing in these areas increases the potential for NCAA violations and greatly curtails the institution’s educational efforts in the area of rules compliance.

2. **Collect all required recruiting documentation in a timely and consistent manner.**
   
   Interviews with coaches appeared to reveal some uncertainty as to when this documentation is required for submission and/or collected.

3. **Policies and procedures for the completion of recruiting forms need to be written and documented within the compliance office.**
4. Incorporate a segment into the Appalachian State University Student-Athlete Handbook/Planner addressing the role of enrolled student-athletes in the recruiting process (e.g., role of student host, conduct during the official visit, etc.).

5. Monitor scheduled unofficial visits to avoid triggering impermissible off-campus contact by coaches and/or enrolled student-athletes.


**Initial, Continuing and Transfer Eligibility:** The Director of Academic Advising for Student-Athletes in conjunction with the Office of Admissions performs initial eligibility checks. At the start of the recruiting process coaches provide the Director of Academic Advising for Student-Athletes with the transcripts of prospective student-athletes for review. Recruited prospective student-athletes are coded by the Director of Academic Advising for Student-Athletes. The Director of Academic Advising for Student-Athletes determines the admissibility of the prospects and provides the coaching staff with the names of admissible prospective student-athletes. Prospective student-athletes must meet the same admissions requirements as all prospective students. The Assistant Athletics Director submits the names of prospective student-athletes to the NCAA Eligibility Center. The Director of Academic Advising for Student-Athletes and the Assistant Athletics Director continue to monitor the prospect's initial eligibility status until the NCAA Eligibility Center has determined the prospect’s final certification status. The coaching staff is provided with a comprehensive list that updates the current initial eligibility status of each prospect. The frequency of the updates increases as the start of the upcoming academic year approaches. Communication between the Office of Admissions, Director of Academic Advising for Student-Athletes, Assistant Athletics Director and members of the coaching staff continues throughout the recruiting process. The Assistant Athletics Director monitors the transfer release procedures. Once the proper release is received, the appropriate official transcripts are forwarded to the Office of the Registrar for review. The Office of the Registrar evaluates each transfer student-athlete’s transcript to determine the number of transferable credits. Approval from the Office of the Registrar is required prior to providing a 2-year or 4-year college transfer an Official Visit. The Office of the Registrar monitors continuing eligibility with assistance from the Office of Academic Services for Student-Athletes. All students are required to meet with an academic advisor upon their enrollment in the institution. All students are encouraged to meet with their academic advisor prior to registering each semester. All student-athletes are coded within the
institution’s computer system by the Office of the Registrar. The code prohibits a student-athlete from dropping a class without approval from the Director of Academic Advising for Student-Athletes or Director of Continuing Eligibility. In conjunction with the Office of Academic Services for Student-Athletes, the Director of Continuing Eligibility reviews the academic records of all student-athletes at the conclusion of each term and monitors all NCAA progress toward degree requirements (6/18/24, degree completion, grade point average). The Director of Continuing Eligibility enters the student-athletes academic data into the NCAA Compliance Assistant software and Eligibility Checklists and Squad Lists are generated by the Assistant Athletics Director. In an effort to improve Appalachian State University’s system for monitoring continuing eligibility it is suggested that the following be considered:

1. Continue with educational efforts aimed at individuals outside the Athletics Department who assist in the certification of continuing eligibility. This is particularly important in light of the NCAA’s new progress-toward-degree requirements and the Academic Performance Program. It is imperative that these individuals stay abreast of current progress-toward-degree requirements.

2. All policies and procedures for the certification of initial, continuing and transfer eligibility should be documented in writing, included in the Appalachian State University Athletics Department Policies and Procedures Manual and made available to those individuals involved in the process. Flowcharts should be included to properly demonstrate the reporting lines and the responsibilities for the certification of continuing eligibility. Such charts should clearly outline the duties and responsibilities of each party. Turn-over among personnel in Athletics Department and/or Office of the Registrar can negatively impact the entire certification process. Further, such policies for the certification of continuing eligibility must be approved by the President of Chancellor, as stated in NCAA Bylaw 14.10.1.

3. Have the Director of Continuing Eligibility sign the squad list in each sport prior to the first day of competition.

4. Involve Deans and/or appropriate advisors outside the Athletics Department to assist in the conduct of degree audits in order to ensure that all courses apply to a specific degree program.

5. Ensure that there is a qualified person to act as a back-up to the Director of Continuing Eligibility in case of emergencies. It is recommended that this person conduct certification.
of eligibility on a regular basis to remain knowledgeable of the process and to keep up-to-date with any changes to the progress toward degree regulations.

6. It is recommended that head coaches be required to sign updated squad lists with any changes from the previous squad lists highlighted. This will assist in keeping coaches educated as to the current eligibility status of their student-athletes.

Financial Aid: The system for monitoring financial aid at Appalachian State University is managed cooperatively by the Office of Financial Aid, the Senior Associate Director of Athletics, the Assistant Athletics Director for Compliance, and the Athletics Business Manager. Communication between the two offices appears to be strong and job responsibilities are performed appropriately and in a timely fashion. Annual meetings are convened between the two offices during which a review of the awarding and cancellation processes are conducted. In the middle of the spring semester, the Office of Financial Aid provides all head coaches with an electronic document on which they indicate all initial awards/renewals/cancellations/gradations. Coaches must complete the forms for all incoming and continuing student-athletes who are the recipients of athletics aid and return the documents to the Senior Associate Director of Athletics Office in a timely manner. The Senior Associate Director of Athletics reviews the documents, approves them and forwards the material to the Office of Financial Aid. The Senior Associate Athletics Director works in conjunction with the Office of Financial Aid to ensure compliance with budgetary restrictions and maximum institutional grant-in-aid limitations by sport. The Office of Financial Aid enters the appropriate athletically related aid figures into the institution’s financial aid tracking system and issues an Appalachian State University Award Letter to the student-athlete prior to June 30th. If the student-athlete has been awarded federal, state, and/or institutional non-athletics aid an additional financial aid award notification is sent to the recipient identifying all sources of institutional aid (including non-athletics aid) and the amount of each source. Any reduction or cancellation must be approved by the Athletics Director or Senior Associate Athletics Director prior to the coach’s meeting with the student-athlete to discuss the cancellation or reduction of his/her athletics aid. The names of the student-athletes whose aid is being cancelled or reduced are forwarded to the Senior Associate Athletics Director. Subsequent to review and approval by the Senior Associate Athletics Director, the documents are sent to the Office of Financial Aid. The Office of Financial Aid notifies the student-athletes of the reduction/cancellation and their opportunity to appeal the decision. All renewals and reductions/cancellations are completed well in advance of the NCAA mandated deadline of July
1st. Only individuals within the Office of Financial Aid are authorized to make changes to an account that includes an Appalachian State University athletics scholarship. The Office of Financial Aid inputs the athletically related financial aid as well as other institutional aid (countable and non-countable) into the institution’s financial aid tracking system. When questions arise as to whether outside aid should be countable in accordance with NCAA financial aid regulations, the Office of Financial Aid works in conjunction with the Senior Associate Athletics Director and Assistant Athletics Director to determine the criteria for the award. The Office of Financial Aid and the Assistant Athletics Director work together to code all sources of institutional and outside aid. The Office of Financial Aid monitors the receipt of outside aid and notifies the Senior Associate Athletics Director/Assistant Athletics Director if a student-athlete is the recipient of this type of financial aid. A student-athlete’s athletics aid package is reduced if the receipt of outside aid causes an individual or team to exceed NCAA financial aid limitations. The Assistant Athletics Director transfers the student-athlete’s financial package into the Compliance Assistant software as all sources of financial aid have been entered into the institution’s financial aid tracking system. The software assists in determining individual and team equivalencies and the counter status of the institution’s student-athletes. Squad Lists are generated after the information has been inputted into the software program. Following the completion of the initial Squad List, the Assistant Athletics Director informs the Office of Financial Aid when any changes are made to the roster (e.g., additions, deletions, etc.) and the squad lists are revised when adjustments are made to the student-athlete’s financial aid package. Initial offers of athletics aid for prospect student-athletes are initiated by the head coach. The Assistant Athletics Director confirms the admissions status of the prospective student-athlete and the Director of Athletics determines the availability of funds. An Appalachian State University Award Letter and the National Letter of Intent are then issued to the prospect. Upon receipt of a signed offer of aid, the Assistant Athletics Director notifies the Office of Admissions (if requested), the Senior Associate Athletics Director and the coach. A copy of each is sent to the Associate Commissioner for Compliance at the Southern Conference. A copy of the accepted offer is retained in the files of the Assistant Athletics Director.

In order to improve the current financial aid system, Appalachian State University may want to consider the following:

1. Explore the possibility of increasing the number of full-time staff members in the area of Compliance. The vast majority of all compliance activities are currently performed by one full-time employee. Understaffing in these areas increases the potential for NCAA violations.
violations and greatly curtails the institution’s educational efforts in the area of rules compliance.

2. Ensure that the day-to-day responsibilities of the Athletics Department’s liaison in the Financial Aid Office are documented to ensure a simpler transition when personnel changes occur.

3. Investigate the possibility of providing additional training to the Athletics Department's liaison in the Office of Financial. Participation in NCAA Regional Rules Seminars would be beneficial to the liaison as some sessions are devoted to assisting in financial aid regulations.

4. Ensure that job descriptions and performance evaluations of designated staff within the Office of Financial Aid continue to include information regarding their roles and responsibilities relating to athletic compliance.

5. Include a reference to the monitoring of maximum award limitations (individual and institutional) in the job descriptions for the Senior Associate Athletics Director and Assistant Athletics Director for Compliance.


7. Consider the possibility of conducting internal audits (non-athletics personnel) by periodically performing spot checks of student-athletes’ financial aid records.

8. Document the procedures used to ensure that completed Squad Lists are reviewed and verified by the Office of Financial Aid. Upon completion of the review, the Director of Financial Aid (or designee) should sign off on the document.

9. It is recommended that head coaches be required to sign updated squad lists with any changes from the previous squad lists highlighted.

10. Link the institution’s financial aid tracking system to the Athletics Departments Compliance Assistance software program. Linking the two systems will eliminate the duplication of data entry that currently takes place. Presently, the Assistant Athletics Director must manually enter financial aid data into the Compliance Assistance software program after the information has already been entered into the institution’s financial aid tracking system.
A successful compliance program requires more than the implementation of policies and procedures. It requires a total commitment from the top down and an atmosphere that encourages open lines of communication. Appalachian State University has actively taken the appropriate steps to create such an environment. Within this environment, the institution should continually evaluate the compliance program and make adjustments and changes when necessary. Implementation of the recommendations set forth in this report will assist the institution in that process.

*Final draft submitted to the institution on 09/10/09.

THE SOUTHERN CONFERENCE COMPLIANCE REVIEW

APPALACHIAN STATE UNIVERSITY – Addendum (09/29/10)

Introduction: Douglas King, Associate Commissioner for Compliance, completed a compliance review at Appalachian State University as part of The Southern Conference’s compliance program. The review consisted of a visit to the institution’s campus on September 29, 2010 during which time the following individuals were interviewed:

Barbara Green – Assistant Athletics Director for Compliance
Jean Roberts – Director – Learning Assistance Program
Kim Sherrill – Director – Academic Services for Athletes
Jonathan Reeder – Assistant Director – Academic Services for Athletes

In addition, a review was performed of the following compliance related materials:

1. Appalachian State University Department of Athletics Policies and Procedures Manual
2. 2010-11 Appalachian State University Student-Athlete Handbook
3. Institutional web site
4. APR Forms, APR educational documents, eligibility reports

This report will summarize the September 2010 visit and serve as an addendum to a compliance review conducted by the Southern Conference on March 20, 2008. It is intended to assist the institution in analyzing its systems for complying with NCAA and Conference rules, identifying areas of strength and concern, improving existing procedures in compliance areas, and reducing the institution’s vulnerability to inadvertent violations. The report focuses on the following major areas:

1. Camps and Clinics
2. Extra Benefits
3. APP
**Camps and Clinics:** Appalachian State University continues to take proactive steps to build a comprehensive and effective rules compliance program in the area of camps and clinics. The system for monitoring institutional camps and clinics at Appalachian State University is jointly managed by the Department of Athletics and the Office of Conferences and Institutes. A single individual in the office oversees all requests from the Department of Athletics. Communication between the two offices appears to be strong. Requests for conducting an institutional camp/clinic begin when a staff member contacts the Office of Conferences and Institutes. The office insures the request adheres to institutional policy and is logistically feasible. Subsequent to approval by the Office of Conferences and Institutes, promotional material is generated and sent to the Assistant Athletics Director for Compliance for review. Prior to the start of the camp a Sports Camp/Clinic Staff Payment Form must be submitted to the Assistant Athletics Director for Compliance to ensure compliance with Bylaw 13.12. A roster of participants and a list of employees must be submitted to the Assistant Athletics Director for Compliance within 90 days following the conclusion of the camp/clinic. The roster includes any discounts provided to participants in accordance with NCAA rules (e.g., group rates, children of institutional employees, etc.). The approval of the Directors of Athletics is required prior to the payment of any and all camp/clinic employees. Appalachian State University may wish to consider the following to enhance its monitoring efforts in the area of camps and clinics:

1. Develop written institutional policies and procedures governing Bylaw 13.12. Include such policies and procedures in Appalachian State University Department of Athletics Policies and Procedures Manual. The institution must be able to demonstrate that such policies and procedures are engaged and functioning. Note - a written policy/procedure in this area is a measurable standard for Operating Principle 1.2 – Rules Compliance.

2. Require preliminary approval of all institutional sports camps and clinics by the Assistant Athletics Director for Compliance. The process of approving all institutional sports camps and clinics should begin and end within the Department of Athletics. The current process appears to initiate in the Office of Conferences and Institutes.

3. Increase educational efforts aimed at the individuals with the Department of Athletics who are involved the planning, implementation and conduct of institutional camps and clinics. It is essential that these individuals have a thorough understanding of the NCAA rules and regulations in this area.
4. Increase educational efforts aimed at the individuals external to Athletics who currently involved in the planning, implementation and conduct of institutional camps and clinics (e.g., Office of Conferences and Institutes). It is essential that these individuals have a thorough understanding of the NCAA rules and regulations that cover their areas of responsibility.

5. Ensure that all camp related documents are included in the Appalachian State University Department of Athletics Policies and Procedures Manual.

6. Increase the presence of Department of Athletics staff members during camp activities. The institution recently reported a violation involving the provision of impermissible benefits to prospective students during an institutional camp. The actions, which led to the violation, were facilitated by a minimal amount of monitoring activities during the course of the camp. The random appearance of departmental staff members during camp activities may serve a deterrent against future violations of this nature.

7. Require prior approval from the Assistant Athletics Director for Compliance for all noninstitutional camp/clinic employment opportunities for Department of Athletics personnel.

8. Include a section in the Appalachian State University Department of Athletics Policies and Procedures Manual, Appalachian State University Student-Athlete Handbook/Planner highlighting the regulations, which govern a student-athlete's involvement in institutional camps and clinics.

**Extra Benefits:** The Assistant Athletics Director for Compliance uses various methods to monitor the provision of extra benefits to enrolled student-athletes. Educational opportunities include twice annual meetings with each team. During these meetings, issues related to rules governing permissible and impermissible extra benefits are discussed. Educational information related to extra benefits and targeting boosters can be found on the Department of Athletics’ web site. The value of all awards (e.g., participation, championship, special achievement, etc.) is reviewed and coordinated each team’s Sport Administrator to ensure compliance with Bylaw 16.1. The issuance of complimentary admissions is a consolidated effort involving the Assistant Athletics Director for Compliance and the ticket office. Teams submit ticket requests through an on-line form, which requires review and approval from the Assistant Athletics Director for Compliance prior to the contest. Admission to the contest is provided through a pass list for individuals designated by the student-athlete. All individuals using complimentary admissions must present identification at the
admission gate. All students receive admissions to home athletic events via their student identification card. The Assistant Athletics Director for Compliance works in conjunction with the Office of Academic Advising for Student-Athletes to monitor departure and return restrictions. Institutional missed class time policy is carefully monitored and assists in ensuring adherence to Bylaw 16.8.1.2.1. Occasional meals must receive prior approval by Assistant Athletics Director for Compliance. Such approval is requested through the use of an on-line form. Equipment and Apparel issuance and retrieval is handled on a sport by sport basis with oversight from the Equipment Manager. In order to improve the current financial aid system, Appalachian State University may want to consider the following:

1. Develop written institutional policies and procedures governing Bylaw 16 (e.g., equipment issuance, awards, complimentary admissions, etc.). Include such policies and procedures in Appalachian State University Department of Athletics Policies and Procedures Manual. The institution must be able to demonstrate that such policies and procedures are engaged and functioning. Note - a written policy/procedure in this area is a measurable standard for Operating Principle 1.2 – Rules Compliance.

2. Update the Appalachian State University Department of Athletics Policies and Procedures Manual (page 56) to include guidelines regarding the value of participation awards [Figure 16-1].

3. Require student-athletes to submit information regarding summer employment prior to the end of the spring semester.

4. Include a section in the Appalachian State University Student-Athlete Handbook related to Bylaw 16.2.2 (nonpermissible procedures regarding complimentary admissions).

5. Revise the Appalachian State University Student-Athlete Handbook to include a section related to the issuance and retrieval of institutional athletics apparel and equipment.

APP: Appalachian State University has developed an effective system for gathering, verifying and reporting APP data. Activities in this area include numerous checks and balances involving individuals internal and external to Athletics. It was clear from the interviews conducted during this review, that all administrators involved in the process understand the importance of the Academic Performance Program. The eligibility of all student-athletes is continuously monitored throughout each term. At the conclusion of each semester, a NCAA Eligibility Certification Specialist within the Office of Academic Services for Student-Athletes certifies the eligibility of all student-athletes in accordance with Bylaw 14.4 and generates eligibility reports for each team.
These reports are reviewed by both the Academic Services for Student-Athletes staff and the Assistant Athletics Director for Compliance. Subsequent to the institutional census date, each team’s Academic Advisor generates and completes an APR form. The documents indicate eligibility and retention points earned by all student-athletes included in the APR cohort. These documents are reviewed by the Director and Assistant Director of Academic Services for Student-Athletes to ensure accuracy. The Director and Assistant Director of Academic Services for Student-Athletes enter and submit the final APR data into the APP on-line program. The institution has taken an extremely proactive role in APR management. Academic Progress Reports are generated for individual student-athletes and provided to Head Coaches on a term by term basis. Annual APR meetings are held with each team’s Academic Advisor, Head Coach and Sport Administrator. During such meetings concerns regarding eligibility/retention trends are discussed, an analysis of all lost APR points is conducted and a specific APR Improvement Plan is developed for those squads with an APR below 925. Educational sessions concerning the APR have been organized for coaches and Sport Administrators. The APR is discussed with student-athletes during annual team meetings. GSR data is collected in conjunction with the Office Institutional Research. All data is verified by the Director of Academic Services for Student-Athletes and submitted in accordance with NCAA policies. In an effort to enhance Appalachian State University’s system for administering the Academic Performance Program it is suggested that the following be considered:

1. Develop written institutional policies and procedures governing Academic Performance Program data collection, reporting and penalty implementation. Include such policies and procedures in Appalachian State University Department of Athletics Policies and Procedures Manual. The institution must be able to demonstrate that such policies and procedures are engaged and functioning. Note - a written policy/procedure in this area is a measurable standard for Operating Principle 1.2 – Rules Compliance.
2. Have an individual external to the Department of Athletics conduct periodic audits of APR and GSR data to ensure accuracy.
3. Have policies/procedures for calculating and submitting APR and GSR data regularly reviewed and evaluated by the institution’s Athletic Council.

A successful compliance program requires more than the implementation of policies and procedures. It requires a total commitment from the top down and an atmosphere that encourages open lines of communication. Appalachian State University has actively taken the
appropriate steps to create such an environment. Within this environment, the institution should continually evaluate the compliance program and make adjustments and changes when necessary. Implementation of the recommendations set forth in this report will assist the institution in that process.

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

As part of Appalachian State's self-study process, the Governance and Rules Compliance Committee reviewed activities of the Athletics Department’s commitment to rules compliance integrity. The Steering Committee, the Chancellor, and University community reviewed the report and had the opportunity to comment on the review.

Plans for improvement are:

Operating Principle 1.2

<table>
<thead>
<tr>
<th>Issues in the Self-Study</th>
<th>Measurable Goals</th>
<th>Steps to Achieve the Goals</th>
<th>Individuals/Office Responsible for Implementation</th>
<th>Specific Timetable for Completion</th>
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</table>
| The institution does not have written procedures documenting the APP Program. | Create written procedures documenting the roles of and individuals assigned for completing and monitoring the APP Program. | 1. Meet during Fall 2009 to compile procedures for completing the Academic Progress Rate and Graduation Success Rate.  
2. Assure that all duties assigned to individuals in Learning Assistance Program (LAP) are reflected in the job descriptions of those individuals.  
3. Include written procedures in the Policies and Procedures Manual. | 1. Executive Dir. of LAP, Dir. Of Compliance, SWA, FAR, Director of Athletics  
2. Executive Dir. of LAP, Dir. Of Compliance  
3. Dir. Of Compliance | 1. Fall 2010  
2. Fall 2010  
3. Fall 2010 |
<table>
<thead>
<tr>
<th>Self-Study</th>
<th>Goals</th>
<th>Goals</th>
<th>Responsible for Implementation</th>
<th>Timetable for Completion</th>
</tr>
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<tbody>
<tr>
<td>Areas of Improvement listed in the SoCon Compliance Review need to be assigned and completed.</td>
<td>Review and assign remaining items due for completion as decided by the Governance Subcommittee during the self study</td>
<td>Incomplete items assigned deadlines by the Governance Subcommittee to committee members and FAR.</td>
<td>Director of Compliance, Director of Athletics</td>
<td>As assigned</td>
</tr>
<tr>
<td>Issues in the Self-Study</td>
<td>Measurable Goals</td>
<td>Steps to Achieve the Goals</td>
<td>Individuals/Office Responsible for Implementation</td>
<td>Specific Timetable for Completion</td>
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<tr>
<td>Positions internal to athletics:</td>
<td></td>
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</tbody>
</table>
| 1. Both SPA & EPA positions internal to athletics do not have statements in their job descriptions regarding the importance of rules compliance | 1. Add to job descriptions the proper wording to include a statement regarding the importance of rules compliance.  
2. Add a section to the annual employee performance reviews addressing the evaluation of the employee's commitment and knowledge of NCAA rules and compliance with them. | 1.a. Decide on wording to be added to job descriptions.  
1.b. Add to all job descriptions for all positions within the athletics department.  
2. Decide on the wording and questions to be added to the annual employee performance reviews addressing the evaluation of the employee's commitment and knowledge of NCAA rules and compliance with them. | 1. Director of Athletics, Director of Human Resources, Director of Compliance, SWA  
2. Director of Athletics, Human Resources, Director of Compliance, SWA | 1. Fall 2010  
2. Fall 2010 |
Academic Integrity

Operating Principle 2.1 Academic Standards.

Self-Study Items

1. List all "conditions for certification" imposed by the committee in its Cycle 2 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.

1. Condition No conditions for certification were imposed during Cycle 2.
   Action: No conditions for certification were imposed during Cycle 2.
   Action Date: No conditions for certification were imposed during Cycle 2.
   Explanation for partial or non-completion: No conditions for certification were imposed during Cycle 2.

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 Cycle 2 certification process as they relate to Operating Principle 2.1 (Academic Standards). Specifically include:
   a. The original goal;
   b. The step(s) taken by the institution to achieve the goal(s);
   c. The date(s) the step(s) was completed; and
   d. An explanation for any partial or noncompletion of the original goal(s) and/or step(s) to achieve the goal.

Please note, the institution will not be required to fulfill an element of a Cycle 2 plan if the element does not affect conformity with a current operating principle.

1. The original goal; Validation of notices of class absence due to travel for each student-athlete to be delivered to his or her professors. Affirmation that the notices were delivered appropriately.
The step(s) taken by the institution to achieve the goal(s); Sport Administrators to check the content of these notices to insure they contain all of required information. Coaches are responsible for clearly informing the student athletes of their responsibilities to deliver notices.

Below is the Class Absence Letter that each student-athlete delivers to his or her professors during the first week of classes each semester.

TO: Professors/Instructors
FROM: XXX, Head (Team name) Coach
DATE: August 17, 2010
SUBJECT: Class Absences for (put your team's name here)

________________________ is a student-athlete representing Appalachian State University on the (your team name) team. The schedule below highlights dates and times when the team will be participating this semester in an official university function and will be absent from campus or will need to leave class early. (Occasionally, a departure time could change because of inclement weather.)

Since these events represent official university sponsored activities, we ask that you consider these absences excused. In accordance with University policy as stated in the 2009-10 General Bulletin on page 46, the student athlete is responsible for notifying you in person, in advance, of their missed class, making up any missed work, maintaining satisfactory progress in the class, and is otherwise, expected to attend class.

If you have questions or concerns, please feel free to contact me at (your phone number) or the Director of Academic Services for Student-Athletes, Kim Sherrill at 262-4038.

Thank you for your work with Appalachian students.

<table>
<thead>
<tr>
<th>Departure Day and Time</th>
<th>Destination</th>
<th>Return Day and Time</th>
</tr>
</thead>
<tbody>
<tr>
<td>(your information should be listed here).</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

The date(s) the step(s) was completed; All coaches were responsible for writing their own team travel letter and were doing so since Cycle 2 until the summer of 2005 when at that time, a standard travel letter was developed by Academic Services for Athletes office to insure that there was uniformity and consistency in what was being presented to faculty. Each semester, the template is updated, and sent to each coaching staff several weeks prior to the start of the semester. Coaches then fill in the student’s name, team, coach’s name, dates of travel, times of departure and return to campus. The letters are given to the
athletes prior to the first day of class for the new semester. The travel letter is given by the student-athlete to his or her professor on the first day of class. If there is an issue with the absences, the student meets immediately with their advisor to deal with any class changes during drop/add period.

An explanation for any partial or noncompletion of the original goal(s) and/or step(s) to achieve the goal. Original goal completed.

3. Describe any additional plans for improvement/recommendations developed by the institution since the Cycle 2 certification decision was rendered by the committee for Operating Principle 2.1 (Academic Standards), including any plans or recommendations developed through the institution’s involvement in the NCAA Division I Academic Performance Program (APP) Data Review process, if applicable. In each case, provide:
   a. The additional plan;
   b. The action(s) taken by the institution; and
   c. The date(s) of the actions.

No additional plans for improvement/recommendations were developed since the Cycle 2 certification decision was rendered.

4. Describe the process by which student-athletes are admitted to the 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 in general? Be specific and give careful attention to key decision points (e.g., second-level or subsequent review process, appeals procedure) 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.

Jean Roberts and Jonathan Reeder of Academic Support Services provided the committee with documentation that is provided to coaches regarding the recruiting protocol for student-athletes. There are two protocols that occur for freshman student-athletes and transfer student-athletes.

Procedure summary for admission of freshman student-athletes: Prospective freshman student-athletes apply to the University as any other student would. Coaches check for application status to show complete in the software package (AdmissionsPros) made available through the Admissions Office. All students
must meet minimum course requirements (MCRs) as established by the Board of Governors of the University of North Carolina system. Student-athletes to whom the University anticipates granting admission (based on a Predicted GPA of 2.0 or greater) are given a Conditional Admissions Letter notifying them that they will be accepted to the university once they have completed all academic requirements.

A coach notifies Jean Roberts, Director of Academic Services for Student-Athletes, when a student-athlete’s application is complete. Jean then "flags" the student with the Admissions Office as a recruited student-athlete. Jean Roberts serves as the liaison between the coach and the Admissions Office during this procedure. The Admissions Office then makes the decision about whether the student is admitted. If the student-athlete is admitted based on the admission requirement of a Predicted GPA of 2.0 or greater, the student will receive a Conditional Admissions Letter notifying the student that he or she is accepted to the university once the student-athlete completes all academic requirements. This Conditional Admittance Procedure was instituted because prior to the process, student-athletes were not receiving notifications of admissions until after January. This timeline was delayed relative to other universities being considered by student-athletes and was undermining the ability of Appalachian coaches to compete with other universities and colleges in the recruitment process.

(The ASU Academic Recruiting Manual below has been abbreviated to comply with this text format.)

Academic Recruiting Manual

Athletic Academic Advisors: Location: Learning Assistance Program D.D. Dougherty Hall
(828) 262-2291 (main phone) (828) 262-6834 (fax)

- Advisors: Jean Roberts, Director-Academic Services for Student-Athletes
  (robertsjh@appstate.edu, 262-8679) Sports: Baseball, Men's Basketball, Women's Basketball, Volleyball, Men's Tennis
- Kim Sherrill, Senior Associate Director-Academic Services for Student-Athletes
  (sherrillka@appstate.edu, 262-4038) Sports: Football, Men's Soccer, Women's Golf
- Pierre Banks, Academic Advisor-Academic Services for Student-Athletes
  (bankspm@appstate.edu, 262-7628) Sports: Men's and Women's Track & Field, Men's and Women's Cross Country, Softball, Field Hockey
- Erin Justice, NCAA CHAMPS Life Skills Coordinator (justiceem@appstate.edu, 262-2291)
  Sports: Women’s Soccer, Women’s Tennis
• Jonathan Reeder, NCAA Eligibility Certification Specialist (reederjb@appstate.edu, 262-7914) Sports: Men’s Golf, Wrestling, Recruiting Process, High School Recruits

The basic process is as follows:

• Send the most UPDATED high school transcripts and test scores (SAT/ACT) to the team’s academic advisor.

• Advisor will check the following:
  o NCAA initial eligibility status
  o Admissibility to ASU
  o Advisor will return Initial Eligibility Grid to recruiting coach
  o Recruiting coach shares advisor’s notes/comments with recruit

• Transfer Recruits Student who graduated high school in North Carolina:
  o Send the most UPDATED college transcripts to Jonathan Reeder, NCAA Continuing Eligibility Specialist
  o Jonathan Reeder will check the following:
    ▪ Eligibility status of transfer upon entry to ASU
    ▪ Transfer admissibility to ASU Jonathan Reeder will send memo (example below) concerning transfer recruit to recruiting coach
  o Recruiting coach shares notes/comments with recruit

• Student who graduated high school outside North Carolina:
  o Send the student’s high school transcripts and most UPDATED college transcripts to Jonathan Reeder, NCAA Continuing Eligibility Specialist
  o Jonathan Reeder will check the following:
    ▪ Eligibility status of transfer upon entry to ASU
    ▪ Transfer admissibility to ASU
  o Jonathan Reeder will send memo (see Appendix B) concerning transfer recruit to recruiting coach
  o Recruiting coach shares notes/comments with recruit

• All transcripts required for each specific recruit MUST be received in order to give an accurate assessment on the recruit’s eligibility and admissibility.

• Recruiting Visits
Schedule recruit meetings with team's academic advisor preferably 1 week in advance of recruiting visit (if advisor is unavailable, another athletic academic advisor will be able to assist in facilitating meeting) Visit lasts approximately 15-30 minutes

Below are steps to flag a recruit for admission:

- Only recruited applicants should be flagged. This is not an opportunity to have a large number of students accepted who you are going to allow to "try-out" for your team. Email me the name and high school or hometown of the recruit after their application is complete. Please make sure you spell the name correctly. Use AdmissionsPros to track their application or ask the recruit. I will only flag completed applications. The only exception to this will be NLI’s [National Letter of Intent].

- NLI’s will be flagged but those recruits must apply within two weeks of signing. It is the recruiting coach’s responsibility to insure that an application is complete within two weeks of this timeframe. Please coordinate carefully with your staff about whose responsibility it is to contact me to flag a student. Also, make sure that you email me the information as soon as possible. We had several cases last year of a recruit applying but their name was not submitted to me. Some of those received a rejection letter because they did not meet Admissions target GPA and test scores. I was asked to flag the recruit after they received the rejection letter, and Admissions then had to send an acceptance letter. This is embarrassing to the recruit, me, the Office of Admissions, and should be to you! Admissions will be very strict on this issue this year.

- You should have your academic advisor review a student's high school transcript and test scores before they apply to see if they will meet NCAA eligibility and MCRS. This is critical for out-of-state students. We must adhere to the State of North Carolina's minimum standards for admission. Lacking a fourth math in high school will be the only exception for MCRS and this exception is scheduled to end with the 2010 entering class. We can catch whether a student is missing a critical required course and if this information is caught early enough, a student’s senior classes can be adjusted.
Another very important issue for out-of-state students is that some states do not require students to take the writing portion of the SAT or ACT. North Carolina does! If a recruit does not take the writing portion, they will be required to take this part of the test before they are admitted. No exceptions!

Encourage recruits/signees to take the SAT/ACT more than once, unless it is a financial burden. It may make the difference in meeting standards for initial eligibility. Remember that a recruit may be admitted because they were flagged but then not get through clearinghouse. As the recruiting coach, it is your responsibility to share any information regarding eligibility and academics we provide you.

Do not tell a recruit or parent that I "flag" the student for admission. Some parents have called me to ask if I have accepted their student yet. Remember, only Admissions can determine a prospect's admissibility.

Appendix A:
Name __________________________ Sport __________________________ Date __________________________
English: Math: Science: E.M.S: Social Science:
Additional Academic Courses: Best SAT score V ______ M ______ Total _______ BEST ACT SCORE
Reading_____ Math_____ Science_____ Reasoning_______ Sum_______
Core GPA needed _____________ with SAT of _______
Current Core GPA is _______ based on ________ courses QP needed by end of Senior Year:
_________ QP earned through Junior Year: __________ QP needed: __________
MCRS: Class rank_________ 4-English High school GPA_____ 4-Math (Alg I/ Alg.II/ Geometry/
unit beyond Alg. II) 3-Science(Biology/Physical Science and one lab science) 2-Social Sciences
(one unit in US History) 2-Foreign Languages

Comments/Suggestions: Appendix B:
To: Coach Smith From: Jonathan Reeder Re: John A. Doe Date: January 8, 2009 In reviewing John's transcript, it appears he has 37 completed hours that will transfer from Georgia Military College. He is currently registered for 21sh and if he makes a "C" or better in each course he will have 58 total transferrable hours. According to NCAA regulations, he needs an AA or AS degree (John's transcript states he is on track for his AA) and 40% of his degree progress met (49sh applicable to his degree) by the fall semester of 2009.
John would have 54 applicable hours towards Political Science (BA). He would need 20 hours before fall 2009 to be eligible.

Possible course schedule during spring 2009:
(3) History 1101
(3) Psychology 1200
(3) Music 2011
(3) Theatre 2011
(4) Biology 1102

If a student-athlete was not admitted by the Admissions Office due to falling below the Predicted GPA of 2.0, this student would have the same recourse that any other student would, which would be to pursue the Appeals Process for reconsideration. The recruiting coach sends Jean Roberts additional information about the student’s application. This should include supporting documentation and a letter from the recruiting coach. College Board test scores (either the SAT or ACT with the writing component), resumes, essays, letters of recommendation, high school GPA, and rigor of high school curriculum are taken into consideration. Student-athletes are governed by the same institutional admissions policies that apply to students in general, and institutional admissions decisions for student-athletes are made solely by the Admissions Office, which is the authority responsible for admissions decisions for all students at Appalachian. The only role the athletics department plays is in the recruiting of student athletes.

Procedure summary for admission of transfer student-athletes: For prospective transfer student-athletes the coach takes a transcript of the student's academic record to Jonathan Reeder of the Academic Support Services, who assesses the student's NCAA eligibility based on Appalachian's curriculum. Once it is determined that the student-athlete would be eligible if they transferred to Appalachian, the Admissions Office would then make the decision about whether to admit the student.

5. Describe the process by which students who do not meet the institution’s 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.

When a student-athlete falls below the minimum predicted GPA (PGPA) of 2.0, Jean Roberts, Director of Academic Services for Student-Athletes, contacts the coach if the PGPA is between 1.6
and 1.99. The coach then decides if he or she would like to complete an "admission packet." This packet requires the coach to list the PGPA of the prospective student and to write a letter of support that describes the extenuating circumstances that the coach believes contributed to the student’s compromised academic standing. The coach then documents the reasons that the student has achieved low grades (e.g., illness, family hardship, learning disability, etc.). This packet is then signed by the coach and the Athletics Director. This process is monitored by Jean Roberts so that coaches are aware of how many former students from the team have undergone this special admission procedure, entitled by Appalachian as admissions that go "Before Committee" (BC).

The agency that then handles this special admissions decision is a committee created by the Admissions Office. The composition of the committee varies from year-to-year, but generally comprises an Admissions Administrator, one or two faculty members, and other university personnel. No athletics personnel are involved in this decision. Once a decision is rendered the student-athlete can request a second review if the decision is to "not be admitted." However, new documentation must be provided by the SA in order for a second review to occur. This appeals process is the same for all students, both student athletes and students in general.

6. 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 No. 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.

Data used to calculate percentages:

<table>
<thead>
<tr>
<th>Year</th>
<th>Total # entering 1st yr students</th>
<th>Total # of all 1st year students entering through special admissions - # and %</th>
<th>Total # of 1st yr student athletes on athletic aid entering through special admissions - # and %</th>
</tr>
</thead>
<tbody>
<tr>
<td>2008-09</td>
<td>2,781</td>
<td>41 (0.014)</td>
<td>8 (0.002)</td>
</tr>
<tr>
<td>2007-08</td>
<td>2,737</td>
<td>38 (0.013)</td>
<td>17 (0.006)</td>
</tr>
<tr>
<td>2006-07</td>
<td>2,716</td>
<td>40 (0.014)</td>
<td>8 (0.002)</td>
</tr>
<tr>
<td>2005-06</td>
<td>2,543</td>
<td>20 (0.007)</td>
<td>7 (0.002)</td>
</tr>
</tbody>
</table>

There are no differences in the student athletes who are admitted through special admissions standards compared to all other students who are admitted through the same admissions committee, and the same standards are applied to all students considered for admission through...
the admissions review committee. In 2008-09, less than 20% of the students admitted through admissions review committee were student-athletes. In 2007-08, a larger percent admitted through committee were student-athletes (44%). In 2006-07, twenty percent of the special admits were student-athletes; and in 2005-06, thirty-five percent of the special admits for of all specially admitted students were student-athletes on some amount of athletics aid. Please note that the percentages here are for special admits only, not percentages of specially admitted student-athletes compared to all entering first time students. All of those percentages are less than 2% as shown in the chart.

7. 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).

If any of the institution’s sports teams had student-athletes certified through the pilot early academic certification program from August 1, 2007, through July 31, 2008, provide an explanation regarding how the inclusion of these average core-course grade-point averages affects the data provided.

It should be noted that the number of entering first year student-athletes is very small compared to the large number of all entering first year students. For example, in 2005-06, (1,274) males entered Appalachian compared to (40) male student-athletes on athletic aid. This could impact the differences in scores between the total population and that of student-athletes.

Gender:
Males – The SAT score (English and Math sub scores only) of all first year male students from 2005-06 class through the 2008-09 class has risen from 1136 to 1173, an increase of 37 points. During that time span, the lowest SAT score for all males was 1136 (2007-08). During the same time period, the SAT scores for first year male student-athletes on aid remained almost constant. The 2005-06 cohort averaged 999 and the 2008-09 cohort averaged 998. The measurable deviation in the four years occurred in 2007-08 when the score for male athletes rose to 1007, an increase of 9 points.
Females - SAT scores of all first year female students increased by 37 points from 1117 in 2005-06 to 1154 in 2008-09. During the same time period, the SAT scores of first time female student-athletes rose significantly: 104 points from 957 to 1061, three times the increase of all first year females.

Males to females comparison shows that males' SAT scores for the general population in each of the four years examined was slightly higher than that of females and male student-athletes scored higher than females in two of the four cohort years. The range of scores for the general population was 28, 25, 23, and 19, beginning with 2005-06. For student-athletes, the difference in 2005-06 was 42 points higher for males in 2005-06, 10 points lower for males than females in 2006-07, 20 points higher for males in 2007-08, and 63 points lower than females in 2008-09.

Racial and/or ethnic group:

White students
The average SAT score for all white students beginning in 2005-06 and through 2008-09 was 1137, 1138, 1136, and 1171, respectively. This indicates no real change in test scores until 2008, which had a 34-point increase. For white student-athletes on aid entering in 2005-06 and through 2008-09, the average SAT scores were 1031, 1041, 1029, 1062, respectively. The consistency of scores for 2005-2007 is very similar with that of all students. The increase in 2008 is 31 points, almost identical to that of all students.

Black students
Beginning with 2005-06 the average SAT of all black students: 970, 936, 926, 991. The 2008-09 cohort showed an increase of 21 points. For student-athletes, the average scores were 870, 841, 916, and 916, indicating an increase of 46 points from 2005-06 to 2008-09. This is a ten-point increase difference than that of all black students.

Other races
The small number of other races of student-athletes does not allow for a clear comparison to other races of the general population. For instance, in three of the four years in question, only three (3) student-athletes of American Indian race were included in the cohort compared to a total of forty-four in the general population. Hispanic numbers in the general population average 59 per year, which is less than three Hispanic student-athletes could be reported on each year.

By Sport:
Football - Core GPA has risen from 2.76 in 2005-06 to 3.07 in 2008-09. Test scores for football have risen from 907 to 937, a difference of thirty points which is a significant number for such a small population.

Men’s Basketball - The core GPA dropped slightly from 3.09 in 2005-06 to 2.94 in 2008-09. Test scores also dipped slightly from 852 (2005-06) to 822 (2008-09).

Baseball – Core GPA dropped from 3.60 to 3.49 from 2005-2008. However, the cohort in 2008 (6) was half the size of the 2005 entering baseball players (13); this could contribute to the slight difference in core GPA. The same could be said of the drop in test scores of 1110 in 2005-06 compared to 1063 in 2008.

Men’s Track/Cross Country – The Core GPA rose slightly from 2005-2008: 2.85, 2.57, 3.04, and 2.91. The test score average rose from 913 to 970. The test score average for 2006-07 was 1070 and 1015 for 2007-08.

Men’s Other Sports – The core GPA remained over 3.0 for all four years. There was little change in test scores from 2005 (1023) to 2008 (1030).

Women’s Basketball – The Core GPA was over 3.0 all four years except for a slight dip in 2006: beginning with 2005 (3.04), 2006 (2.97), 2007 (3.65), and 2008 (3.26). The test scores rose over 100 points in the four years: 860, 935, 928 and 965.

Women’s Track/Cross Country – This cohort of women athletes also saw an improvement in Core GPA over the four year span: 3.4, 3.3, 3.348, 3.684. There was a significant increase in test scores: 907, 907, 998, and 1000.


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.

Academic Services for Student-Athletes (ASA) is housed in the Learning Assistance Program, a division of University College. The Learning Assistance Program was established in 1984 to provide academic services and support for special populations and academic services for the entire student population. ASA provides a comprehensive support program throughout a student-athlete's academic career. The cornerstone of the support is based on the supportive relationship between the academic advisor and the student-athlete. Students who go before the admissions
review committee (BC) are considered at-risk and additional support and oversight is provided to them throughout their career.

Recruits are introduced to their academic advisor when they come to campus for their recruiting visit. Coaches make appointments to bring recruits (and families) to meet with the advisor, at which time the advisor explains the academic support available to the student-athlete. Resources, support, the advising model, study hall, and academic progress review are all explained to the recruit.

Once a student is admitted, the advisor will develop the student’s first semester class schedule, based on information from the student and admissions. This is done for all entering students, not just student-athletes. All students are required to attend a two-day academic orientation prior to their first semester of enrollment. At that time, they are assembled into small groups and meet with their advisor to prepare for placement tests, learn about academic policies and discuss their class schedule. In some cases, such as with student-athletes, students are placed into small groups based on special populations. Student-athletes are in a group with other student-athletes. This allows the advisor to provide information that is specific to athletes such as academic eligibility information and personal responsibility. The special admit student is included in this group and receives the same orientation as all other students.

For several years now, summer school (when it is not at capacity) is made available to entering student-athletes through their scholarships so that they may get used to the campus environment earlier. This is true of student-athletes playing football, men’s and women’s basketball, and volleyball, and who are entering the University for the first time. However, over the years, many other student-athletes from other teams and not on scholarship have taken advantage of this opportunity to get ahead in their hours and comfort level of the campus. If it is within the student-athlete's economic reach, students who are admitted through committee are encouraged to attend summer school to get a head start on their academics. However, at this time, it is not a requirement for admission since it would be too cost prohibitive for many of these students.

The advisor will make assessments of what the student needs to be successful in the college environment, which can include everything from tutoring, one-on-one study help, or even accommodations for a learning disability. If the student had an individualized plan ("IP") in high school, they are encouraged to be registered with the Office of Disability Services so that they may continue to have the same type of accommodations. If it is suspected that the student has a learning disability that has not been diagnosed, the advisor will assist the student and family in
receiving testing through a private doctor or through the University’s Psychology Clinic, which offers this service at a much reduced fee from a private practice. The cost is on a sliding scale and is based on the family’s income and ability to pay. (This is available to all students, not just student-athletes.)

During the student-athlete’s first semester, the special admit student-athlete is required to attend study hall provided by ASA. Study hall provides academic support, oversight and encouragement throughout the first year, whereas other first semester student-athletes are only required to attend one semester of study hall unless they perform poorly. The student-athlete is placed in a study hall that meets during the day at a time that does not conflict with the student’s class or practice schedules. The student-athlete is exposed to academic strategies and resources, which can assist them throughout their academic career. The group is small (5-8 student-athletes per group) and groups remain intact throughout the semester. Oversight is provided by a graduate student, who serves as the study hall leader. The leader uses a very intrusive approach and becomes familiar with each student-athlete’s class schedule and requirements throughout the semester. The student-athlete is required to list all scheduled quizzes, tests, exams, projects, papers, presentations, speeches, etc., in a calendar that is available to the leader and advisor. Also, the student-athlete records his or her grades each week as he or she receives them. The leader provides a summary of what each student completed in study hall at the end of the week to each advisor. The leader does not tutor subjects but can provide study skills help to the student-athlete. Many times the leader will recommend that the student sign up for a tutor before a problem arises. We want the students to get familiar and comfortable with using the resources that can help them be successful. Study hall is held in the same section of the building as University tutoring services and the student-athlete's advisor's office. This proximity allows for easy and regular contact with the advisor. Advisors visit study hall on a regular basis if for no reason than to check in with their student-athlete. The at-risk student-athlete also has an additional weekly meeting with a graduate student throughout the semester. Additionally, the at-risk student-athlete can be matched with an academic coach who meets with him or her for 30 minutes each week to help him or her develop, review, and follow an academic weekly plan. The at-risk student has more regular contact with the advisor, as well.

Student-athletes are required in the first four weeks of the semester to meet with their advisor so that the advisor can access how the student is acclimating to campus. However, advisors have regular contact through team meetings, emails, phone calls or office visits throughout the first
semester. Advisors have an open door policy and encourage students to drop in without an appointment, which encourages relationship building. Students take advantage of this and do drop in as they pass by the building on their way to class or practice.

Advisors monitor students’ academic progress throughout the semester. Academic resources and support are provided for any student. Students are informed of the campus resources on a regular basis. In many cases, advisors will assist a student with signing up for a tutor or a meeting with a study skills specialist. Advisors help students make use of the University Writing Center, help labs, tutoring, Supplemental Instruction, or other academic support. Advisors communicate regularly with faculty through phone calls, emails and academic progress reports, which are sent twice each semester, at the sixth week and ninth week of the semester. Advisors share the progress report with the student and the coach. If some type of intervention is necessary, the advisor meets with the student-athlete and makes suggestions of appropriate support. The advisor then follows up with the faculty to inform them of what action the student will take to improve his/her work in the class.

The retention of student-athletes who are admitted through committee is very high. In fact, these students perform academically at a level equal to that of their peers who were not admitted through a special review committee. A majority of these students go on to graduate.

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, education-impacting disability)] and those student-athletes admitted through any of the processes described in Self-Study Item No 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.

For student-athletes admitted through special admissions process, the acclimation process is centered on the personal involvement of their academic advisor in the Academic Support Program for Student-Athletes. As evidenced in the previous answer to question #8 and elaborated below
plus corroboration through exit interviews and the “open door” nature of the department, several key institutional procedures ensure a smooth transition, including:

**Study Hall** - Additional study hall is required of student athletes who are admitted through the admissions special review committee. While all new student athletes are required to attend study hall for the duration of their first semester, these students are required to attend study hall for their entire first year.

**Mentoring** - In addition, student athletes who are admitted through admissions review committee are required to meet one-on-one each week with an assigned graduate student study hall leader who works with them on developing study strategies and time management skills.

**Course Requirements** – Each student is required to take a minimum of one study skills development class (for credit) during their first semester. These classes are for one-hour credit and meet half of the semester.

**Academic Coach** – Some of these students are required to meet with an academic coach 30 minutes each week in their first year to help them develop skills in organization of their class work and to prioritize projects and assignments.

**Summer Enrollment prior to freshmen year** – Students on football, basketball, and volleyball scholarship are enrolled in summer school prior to their freshmen year. They are enrolled in six credit hours during the five-week summer session. During the summer session, they are required to attend study hall. While it would be desirable for all students admitted through the admissions review committee to begin in summer school, it is financially prohibitive for some to do so and, therefore, it is not a requirement.

**Retention and academic success:** The retention and academic success of student-athletes who are admitted through committee is very high. As the data and facts outline, these students perform academically at a level equal to that of their peers who were not admitted through a special review committee. A majority of these students go on to graduate.

**Assessment of 2005, 2006, 2007, and 2008** is below. (It should be noted that during the 2005 year, the Academic Services staff consisted of two professionals who had academic oversight for 500 student-athletes.) The staff has grown to six professionals and more attention can be given to all student-athletes.

2005: Seven student-athletes were admitted through special admissions process in 2005. Only three of the seven had scholarships that paid for their summer enrollment. All
students had the same academic support of study hall and intrusive advising. Two of the seven have graduated. Four were not retained after freshmen year but three of the four are known transfers.

2006: Of the 2006 cohort, eight student-athletes enrolled were admitted through special admissions. Of the eight, seven were retained from freshman to sophomore year, and all eight were academically eligible going into their second year. Six of the eight have graduated or are on track to graduate within five years.

2007: Seventeen student athletes were admitted through special admissions process and enrolled. Of the seventeen, fifteen were retained from freshmen to sophomore year. The average GPA of this large cohort going into their second year was 2.61. Three students transferred after their second year to other schools. The remaining students are performing well in the classroom and are on track to graduate.

2008: Eight student athletes were admitted through special admissions process and enrolled in 2008. All eight were retained from freshmen to sophomore year. Cumulative GPAs of the eight going into their second year were as follows: 3.0, 2.6, 3.3, 1.44, 2.96, 2.88, 2.75, and 2.72. The student who was not academically eligible in his second year returned for fall but did not return for his fourth semester. Each one is performing above average in the classroom.

Based on available data, the subcommittee concludes that student-athletes in this category acclimate to Appalachian and their retention rates and academic success often exceed, but at minimum, mirror that of their peer 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 the name(s) and title(s) of the individual(s) who has ultimate responsibility in determining student-athletes' initial eligibility.

Barbara Green, Assistant Athletics Director for Compliance, has ultimate responsibility in determining student-athletes’ initial eligibility. Once recruits submit transcripts and test scores to the NCAA Eligibility Center, she checks core courses on the NCAA Eligibility checklist to determine how many the recruit completed and how many are in progress. She consults with the student's high school if anything is uncertain. If the recruit's predicted Appalachian State GPA is less than 2.0, she evaluates what the student would need to do in his or her senior year to become eligible.
She also uses the NCAA’s sliding scale to determine the Core GPA needed. She enters all information on a spreadsheet (see Table 1 available in Peer Review Box), and sends it, along with an official visit sheet, to Kim Sherrill, Director of Academic Services for Student-Athletes, so that Appalachian’s student-athlete advisors can double check the information.

Academic advisors evaluate student-athletes’ initial eligibility taking the following steps:

- Print out Initial Eligibility Evaluation Sheet tracking NCAA’s requirements and Appalachian/UNC System’s requirements [see Table 2 available in Peer Review Box].
- Print a list of accepted core courses from the NCAA Clearinghouse website.
- Print out grading scale for the specific high school from the NCAA website.
- Write grading scale on the top of the evaluation sheet for a given student.
- Fill in student’s courses.
- List quality points, course name, and letter grade.
- Divide the number of quality points by the number of courses.
- Fill in the student’s best SAT combined score (Verbal & Math) or ACT scores.
- Use NCAA’s sliding scale to figure out Core GPA needed.
- Check of Minimum Course Requirements as courses are checked.
- Fill out Appalachian predicted GPA (determined by ASU’s AdmissionPros software).
- Consult with Appalachian’s Admissions Office to determine admissibility status.
- Give clear and concise directions at the bottom of evaluation sheet about eligibility and admissibility status.
- Sign and date at the bottom of the evaluation sheet.
- Send the evaluation sheet to the recruiting coach and the Assistant Athletics Director.

The Assistant Athletics Director for Compliance submits the names of prospective student-athletes to the NCAA Eligibility Center. The Director of Academic Advising for Student-Athletes and the Assistant Athletics Director continue to monitor the prospect’s initial eligibility status until the NCAA Eligibility Center determines the prospect’s final certification status. The coaching staff is provided with a comprehensive list that updates the current initial eligibility status of each prospect. The frequency of the updates increases as the start of the upcoming academic year approaches. Communication between the Office of Admissions, Director of Academic Services for Student-Athletes, Assistant Athletics Director and members of the coaching staff continues throughout the recruiting process.
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 the name(s) and title(s) of the individual(s) who has ultimate responsibility in determining student-athletes’ transfer eligibility.

Jonathan Reeder, NCAA Certification Specialist, has ultimate responsibility in determining student-athletes’ transfer eligibility. The actions he takes to certify transfer eligibility are as follows.

- Enter courses from previous institution(s) on Appalachian’s transfer eligibility grid. [See Table 3 available in Peer Review Box for an example.]
- With the use of course descriptions from previous institutions as well as admissions equivalencies listed on Appalachian’s website (bannerweb.appstate.edu/pls/PROD/hzsktran.P_Select_term), consult with the Registrar’s Office and/or the relevant Department Chair(s) to determine which and how previous courses would transfer.
- Check NCAA transfer rules (4-4 transfer rules and 4-2-4 transfer rules) to make sure residency year is not required (make sure all NCAA one-time transfer exceptions would be met).
- Using high school and college transcript(s), check with Appalachian’s Admissions office regarding admissibility to Appalachian.
- Send appropriate recruiting coach a Transfer Memo (example below) concerning the student, which includes the student’s eligibility status, student’s admissibility status, and Jonathan’s advising suggestions for following semesters to be completed away from Appalachian.

Transfer Memo Example
To: Coach  
From: Jonathan Reeder  
Re: Sample Student  
Date: July 2, 2009

In reviewing Sample Student’s transcript, it appears he has 47 completed hours that will transfer from Sample College. According to NCAA regulations, Mr. Student must have at least 40% degree progress (49 hours earned towards his degree) upon entry at Appalachian.

*In the degree Psychology with a Business concentration (the most compatible with Mr. Student’s credit hours), Mr. Student has 47 total hours towards the degree. This would leave him 2 hours
short of meeting degree progress for fall. Mr. Student would have to take a 2+ hour course at a community college that is applicable to the degree Psychology with a Business concentration to meet degree progress upon entry to Appalachian.

Dr. Stan Aeschleman, Provost and Executive Vice Chancellor at Appalachian told our Admissions staff to immediately stop admitting transfers for the 2009-2010 academic year. With this restriction put on by the administration at Appalachian, Sample Student has to deal directly with Admissions in his attempt to be admitted to Appalachian for the fall. During the 2009-2010 academic year, Mr. Student has to sit 1 year in residency. He is not able to compete because of the following bylaw:

14.5.5.2.10 One-Time Transfer Exception. The student transfers to the certifying institution from another four-year collegiate institution, and all of the following conditions are met (for graduate students, see also Bylaw 14.1.9.1): (Revised: 4/28/05 effective 8/1/05, for those student-athletes who transfer to a Division I institution for the 2005-06 academic year and thereafter).

(a) The student is a participant in a sport other than baseball, basketball, bowl subdivision football or men's ice hockey at the institution to which the student is transferring. A participant in championship subdivision football at the institution to which the student is transferring may use this exception only if the participant transferred to the certifying institution from an institution that sponsors bowl subdivision football and has two or more seasons of competition remaining in football or the participant transfers from a Football Championship Subdivision institution that offers athletically related financial aid in football to a Football Championship Subdivision institution that does not offer athletically related financial aid in football; (Revised: 1/16/93 effective 8/1/93, 1/11/94, 1/10/95, 11/1/00 effective 8/1/01, 4/27/06 effective 10/15/06 applicable to student-athletes who transfer on or after 10/15/06, 12/15/06, 4/27/07 effective 8/1/08 applicable to student-athletes who transfer on or after 8/1/08)

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 the name(s) and title(s) of the individual(s) who has ultimate responsibility in determining student-athletes' continuing eligibility.

Jonathan Reeder, NCAA Continuing Eligibility Specialist, has ultimate responsibility in determining student-athletes' continuing eligibility. Mr. Reeder has a spreadsheet template [see Table 5 in Peer
Review Box for an example that he uses each semester, for each sports team, to track each student-athlete’s compliance with NCAA rules for continuing eligibility. For a given semester and a given sport, the spreadsheet includes, for each student-athlete, the student’s name, Banner identification number, first full-time enrollment term, cohort group (semester and year), number of missed terms, and indicators of whether each of the following have been met when required:

- 6-hour rule
- 24-hour rule
- 40% rule 60% rule 80% rule
- 18-degree hour rule (checked each spring)
- 18 hour fall/spring
- 1.8 GPA, 1.9 GPA, 2.0 GPA
- Major declaration
- Graduation plan
- Number of years for the degree program
- Total hours required in the degree

Each year, as soon as the NCAA Continuing Eligibility Specialist has a complete roster for a sports team, he updates the relevant spreadsheet. At the end of each semester, he checks continuing eligibility for each student-athlete and updates his spreadsheets accordingly. To check for and inform on continuing eligibility, Mr. Reeder takes the following actions:

- Print out Summary Reports (which contain all semester grade information for each athlete) from ASU’s Dashboard tool. An example of this report is below.
  - NCAA SUMMARY REPORT Spring 2009 NCAA Sport Student Name Student ID Number Student’s Major BIO 1102 4.00 D+ CIS 3050 3.00 B COM 3318 3.00 B ECO 2030 3.00 C H P 1105 2.00 B Current Totals: GPA: 2.28 AHRS: 15.00 EHRS: 15.00 QHRS: 15.00 QPTS: 34.30 Cumulative Totals GPA: 2.76 AHRS: 82.00 EHRS: 103.00 QHRS: 79.00 QPTS: 218.80
- Open up NCAA’s CAI (Compliance Assistant Internet) reporting tool and Appalachian’s BANNER tool, which contains grade information
- Check student’s eligibility requirements on excel spreadsheet.
• Check through summary sheets to make sure each student meets semester hour requirements, GPA requirements, degree progress requirements, and declaration and audit requirements for the semester.
• Enter all hours and GPAs earned for each student into CAI reporting tool (for students who have to meet degree progress rules, enter degree applicable hours only).
• Check for students on Academic Probation and note in "Notes" section on CAI.
• For any student who is ineligible for any reason, make sure information is noted on CAI and appropriate checkboxes are marked.
• Notify each advisor of each student-athlete's eligibility status (this allows advisors to do extra check for accuracy of eligibility reports).
• Send each ineligible student-athlete a notification of his/her status via email.
• Send complete team eligibility reports to all coaches and sport administrators (including the Athletic Director) via campus mail.
• Major Declaration: The NCAA Continuing Eligibility Specialist emails all students going into their 4th semester to remind them to pick up their Appalachian major declaration form from their advisor and fill it out. Student fills out appropriate information and takes the form to University's Academic Advising Center to be processed by university system.
• For students who are unable to officially declare a major because of varying departmental or college level policies," intent to declare" form is completed and kept in the student's file.
• Graduation Audits- The NCAA Continuing Eligibility Specialist takes the following actions:
  o Emails a given student about graduation audit requirement to be completed. Student takes graduation audit to his or her department's Dean's office to be completed.
  o Prints out student’s transcript (from AppalNet/Banner).
  o Prints out student’s major check sheet (from correct cohort/minor check sheet) (if applicable).
  o Fills out check sheet with completed and in progress courses. Calculates total elective hours that can be used for the degree. Checks to make sure classes needed (noted by dean's office advisor on 2nd page of graduation audit) are accurate.
  o Checks degree progress going into current semester (6th full-time semester), and notes the percentage completed on the front of the grad audit.
Checks degree progress going into following semester (7th full-time semester), and notes on front of grad audit. Makes a copy of the grad audit for his files, and gives the original copy to appropriate athletic academic advisor who advises the student.

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 there is a difference that cannot be adequately explained between the most recent four-class average Federal Graduation Rate for student-athletes and the most recent four-class average Federal Graduation Rate for all students, the institution must develop a plan for improvement to address the issue.

The most recent four-class average Federal Graduation Rate for all student-athletes was 4% below the most recent four-class average Federal Graduation Rate for all students. Two student-athlete freshman cohorts, 1999-2000 and 2001-2002, had Federal Graduation Rates of 57% and 55% respectively. These were 6% and 8% below the all student Federal Graduation Rate for the same years. Of the 1999-2000 freshman cohort, 25 student-athletes did not return to their teams; however, 72% of those were academically eligible if they chose to return. In the 2001-2002 cohort, cross country/track had a Federal Graduation Rate of 0%; four freshman entered, all left the University but were all academically eligible if they returned. The other two student-athlete freshman cohorts in this four-class average had Federal Graduation Rates equal to or within 1% of the all student Federal Graduation Rates. The 2009 Federal Graduation Rate student-athlete four-class average has risen to 62%, which is 1% below the all student rate. When comparing the data for the 2002-2003 class, the Federal Graduation Rate for the student-athlete cohort was 74% and 64% for the all student cohort.

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 there is a difference that cannot be adequately explained between the most recent four-class average Federal Graduation Rate of a student-athlete subgroup and 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.
The all male student-athlete Federal Graduation Rate (51%) was below the all student (62%), all male student (58%), and all student-athlete (58%) Federal Graduation Rates. There were 147 male student-athletes in this cohort. Seventy-six graduated but an additional 36 were academically eligible had they returned to their teams. Only baseball (45%) and men's basketball (50%) fell below the all male student-athlete Federal Graduation Rate.

Baseball had 92 players in this cohort; 41 players graduated while 51 did not return to the team. Of the 51 who did not return, 41 were academically eligible had they returned. Those who did not return to Appalachian left after their sophomore year stating lack of playing time as the primary reason. Additionally, this cohort experienced a winning percentage of 29.4% during 1999-2003, with the highest conference finish of 6th and the lowest 11th. A new coach was hired. The 2009 Federal Graduation Rate data has increased to 50% with the 2002-2003 cohort Federal Graduation Rate of 67% compared to 44% for the 2001-2002 cohort.

Men’s Basketball had 48 entering freshman in this cohort. Twenty-four graduated and 24 did not return to the team. Of the 24 that did not return, 17 were academically eligible had they returned. During this time, one player died tragically, there was a coaching change, and three players left to play overseas.

The all female student-athlete Federal Graduation Rate was 4% above (66%) the all student Federal Graduation Rate (62%), 8% above the all student-athlete Federal Graduation Rate (58%), and equal to the all female student Federal Graduation Rate.

The female student-athlete Federal Graduation Rate (66%) was higher than the male student-athlete Federal Graduation Rate (51%). This is consistent with the general student body trends with an all female student Federal Graduation Rate of 66% compared to the all male Federal Graduation Rate of 58%.

The Federal Graduation Rate of student-athletes by racial and ethnic group is above or within 3% of the same cohort of all students. Black student-athletes Federal Graduation Rate (55%) was above the all black student Federal Graduation Rate (51%) by 4%. White student-athletes Federal Graduation Rate was within 3% of the all white students Federal Graduation Rate (60% and 63% respectively). The black male student-athletes Federal Graduation Rate (56%) was higher than the all black students Federal Graduation Rate (51%) and the all male black student Federal Graduation Rate (50%). Overall, white male student-athletes had a lower Federal Graduation Rate (51%) than either white students (63%) or white male students (58%). Men's basketball and football black student-athlete Federal Graduation Rates, 56% and 60 % respectively, were higher
than the all black students Federal Graduation Rate (51%) and the all black male student Federal 
Graduation Rate (50%). Black student-athletes on these two teams also had higher Federal 
Graduation Rates than their white cohorts (33% men's basketball and 44% football). Men's 
basketball had three white players in this cohort; 1 graduated, 1 did not return but was 
academically eligible had he returned, and 1 transferred and graduates from another institution. 
Football had twice as many black student-athletes than white student-athletes in this cohort. 
The black female student-athletes Federal Graduation Rate (53%) was higher than the all black 
students Federal Graduation Rate (51%) and the all black female students Federal Graduation 
Rate (52%). The white female student-athletes Federal Graduation Rate (69%) was higher than 
the all white students (63%) and the all white female students (66%). White female student-
athletes had a higher Federal Graduation Rate (69%) than their black counterparts (53%). This 
statistic is consistent with the general student body white female students compared to black 
female students, 66% compared to 52% respectively. 
Hispanic and non-resident alien student athlete populations were too small to make accurate 
comparisons.

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 there is a difference that cannot be adequately explained between a sports team's projected 
Federal Graduation Rate and the most recent four-class average Federal Graduation Rate for all 
students, the institution must develop a plan for improvement to address the issue. 
No differences exist, so no analysis was necessary.

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 there is a difference that cannot be adequately explained between the most recent four-cohort 
GSR for any sports team and the GSR for all student-athletes, the institution must develop a plan 
for improvement to address the issue. 
If the data in the charts include sports that are not used by the institution for NCAA sports 
sponsorship and/or sports in which the NCAA does not conduct a championship, the institution 
may provide an explanation of how the inclusion/exclusion of the sport(s) affects the analysis of 
the data.
The (1998-2001) four-year cohort average for all student athletes is 83%.

Women’s Teams
All of the Women’s Teams are at or above the average for all student athletes (83%). The following is a breakdown of each team’s GSR: Basketball (86%); Cross Country/Track (88%); Field Hockey (100%); Golf (83%); Soccer (95%); Softball (100%); Tennis (100%); Volleyball (89%).

Men’s Teams
The GSR is higher than that of the all sport average for the following men’s teams: Baseball (89%); Basketball (85%); Golf (100%); and Tennis (100%). For the teams below the average, see the explanation below.

- **Men’s Soccer (75%)**: The team had coaching changes of head coach and assistant coach during this term.
- **Football (73%)**: Football GSR has been increasing steadily since the 2004-2005 reporting year and is within 10 points of the all student-athlete GSR for this cohort. The current cohort had 24 special admissions with 14 graduating, five leaving in good academic standing and five declared academically ineligible. Football; however, is above the national GSR average for Division I.
- **Cross Country /Track (60%)**: Historically, all of the cross country/track student-athletes were on partial aid ranging from 0.10 equivalent to 0.64 equivalent. Additionally, many of the cross country/track athletes are first generation college students with little financial support from home. Three of the students left eligible. One who had exhausted eligibility and left ineligible has since transferred to another school to complete his degree.
- **Wrestling (68%)**: Wrestling has a history of partial athletics aid to its student-athletes. The average athletics aid for this cohort was 0.36 equivalents of the total cost of attendance, as many of these students are out-of-state. Four of the students left school eligible to compete.

Special note: An improvement plan was not included because the latest GSR data shows improvement for all four teams who were below that of all sports. Therefore, no true deficiency exists.
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, including comparable student-athlete subgroups (i.e., gender, ethnicity).

If there is a difference that cannot be adequately explained between the most recent four-class retention rate for any student-athlete subgroup and the retention rate for all student-athletes or comparable student-athlete subgroup, the institution must develop a plan for improvement to address the issue.

The average retention rate for all student-athletes is 961. The retention rate for all male student-athletes is 956, five points lower than all student-athletes. Three teams had retention rates lower than all student-athletes and all male student-athletes. Those teams were baseball (932), soccer (930), and wrestling (944). All other teams were at or above the all student-athlete retention rate and the all male student-athlete retention rate.

Baseball’s retention rate (932) was below the all student-athlete retention rate by 29 and the all male student-athlete retention rate by 24. The lowest retention rate (850) for baseball occurred in 2004-2005. When this year is factored out, the retention rate is 953, which is only three points below the all male student-athlete retention rate. A new coach was hired in the spring of 2004. As with any coach, new expectations can lead to large turnovers. The highest retention rate (979) for this cohort was in 2005-2006. The retention rates for the 2006-2007 and 2007-2008 years were lower, 946 and 933 respectively, due to the number of student-athletes drafted by professional teams.

Men’s soccer’s retention rate (930) was below the all student-athlete and all male student-athlete retention rates by 31 and 26 respectively. The lowest retention rate (897) occurred in 2004-2005. The previous year, a new coach was hired whose philosophy was different from the previous coach’s. During this four-class time, 18 student-athletes quit the team citing player/coach relations and playing time issues as the primary reasons. Although the retention rate was below the average for this four-class cohort, the team’s eligibility rate was 1000 for each of these years. A new coach was hired in the spring of 2008.

Wrestling’s retention rate (944) was 17 points below the all student-athlete and 12 points below the all male student-athlete retention rates. During this four-class data set, all those who were not retained were receiving low athletic aid and encumbering the financial responsibilities for cost of attendance. The lowest retention rate (897) was in 2005-2006. During that year, nine of the 22
student-athletes on athletic aid left the team. All were receiving less than 50% of the cost of
attendance in athletic aid, six were academically eligible had they returned, three were not.
However, if you factor out the 2005-2006 year, the retention rate increases to 959. A new
assistant coach, hired in 2007, has had a positive impact on the retention rate. Since his hire, the
retention rate has risen to 974.
The average retention rate for all student-athletes is 961. The retention rate for all female student-
athletes is 968, which is seven points higher than all student-athletes. Two teams fell below both
the all student-athlete retention rate and the all female student-athlete retention rate: women's
basketball (893) and volleyball (946). Golf (963), softball (966), and women's tennis (966) were
below all female student-athlete retention rate, but above all student-athlete retention rate.
The women's basketball retention rate (893) was below the all student-athlete retention rate by
68 and the all female student-athlete retention rate by 75. During the 2005-2006 and 2006-2007
years, five and four student-athletes, respectively, left the team. In 2005-2006 one athlete was cut,
three withdrew from the University, and one quit but returned to the team the following year. Of
the four who were not retained in 2006-2007, one transferred to another institution to play
basketball. A new coach was hired in the spring of 2008 and two student-athletes quit after that
change. Athletes who left the team during this time cited lack of playing time and coach/player
relations as reasons. This cohort experienced a decline in team winning percentage dropping from
approximately 50% to 20% - finishing from 6th-10th in the conference.
Volleyball's retention rate (946) was below the all student-athlete retention rate by 15 and the all
female student-athlete rate by 22. Retention rates ranged from a high of 1000 in 2005-2006 to a
low of 905 in 2007-2008. Six student-athletes were not retained from this four-class cohort. One
was cut and five left for personal reasons, with three of these five transferring to other schools. A
coaching change accounts for the low retention rate in 2007-2008.
Women's golf, softball, and tennis were between two and five points below the all female student-
athlete retention rate. All three of these teams had small numbers on partial athletics aid. With
moderate to small numbers, even one student-athlete not being retained significantly impacts the
retention rate calculations.
Overall, the white student-athletes retention rate (963) was higher than the black student-athletes
(958). This is consistent with the overall retention rate trends in the general student body.
The black male student-athletes retention rate (960) was higher than the white male student-
athletes retention rate (956) when football was factored into the cohort. Without football, the
white male student-athlete retention rate was higher than the black male student-athlete retention rate. Football can skew data because of the large numbers of student-athletes in this sport. The white female student-athlete retention rate (972) is higher than the black female student-athlete retention rate (956) with the exception of women's basketball. Within the University, the retention of white female students is greater than black female students. The retention rate for other racial and ethnic groups (American Indian, Asian, Pacific Islander, Hispanic, Nonresident Aliens, and Other) for both men's and women's sports is 1000. Even though the number of athletes being counted per sport was two or less, the data suggests that these athletes are satisfied with their experiences.

Although the University has many programs and support groups for black students, the community does not. Recently, the University increased its diversity initiatives to improve the retention of all black students, which will translate into the student-athlete population. The Athletics Department Diversity Plan addresses ways to improve retention of black student-athletes specifically.

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.

Every coach is required to submit his or her travel schedule at least two months prior to beginning competition. The Athletics Director, Associate Athletics Directors, Facilities Director and the Director of the Learning Assistance Program (LAP) must approve all team schedules. The LAP Director evaluates individual schedules for travel time, events, as well as any other factors that require missing class (see question 20 below). The Director ensures that in a given semester, no team events will exceed 10% missed class in compliance with University stated guidelines on class attendance. The Director only approves a schedule when it meets these measures. If the competition schedule exceeds the 10% policy, it is returned to the coach for revision.

The language in the University’s general attendance policy indicates, "Students are expected to attend every meeting of their classes and are responsible for class attendance." In other words, there is no excused or unexcused absence; there is only an absence. At the discretion of the faculty member, attendance may be a criterion for final grade. However, the University also includes different language for "participation in University-sponsored activities." These may include co-
curricular programs as well as athletics. The University's full attendance policy statement is reproduced several paragraphs below.

Language in the Athletic Department Policies and Procedures Manual (2008) states explicitly the accountability for each student athlete:

Consistent class attendance and participation are essential to academic success. It is your responsibility to attend on time every class session of each course for which you are registered even if the faculty member does not take attendance.

Student-athletes should provide professors with an official letter at the beginning of each semester indicating classes that will be missed and departure times due to athletic participation. Three class days before each athletic event, athletes should remind professors of their upcoming absence. Student-athletes should also plan with each professor when and how to make up missed assignments, exams, etc. PLEASE UNDERSTAND THAT THIS DOES NOT MAKE YOUR ABSENCES EXCUSED! The decision is up to each individual professor. Early communication between you and your professor is very important.

Student-athletes who have an extended personal illness or injury should contact their Athletics Academic Advisor who then will promptly notify professors. Student-athletes should also make an effort to contact each professor to inform him or her of illness or injury.

When it is necessary for a student-athlete to withdraw from the University, it is important that the procedure is followed properly. Failure to exercise the process correctly could result in the student receiving unresolved failing grades that can adversely affect the student’s academic record. Before a student withdraws, he/she should contact his/her academic advisor to ensure that the withdrawal is done properly. pg 50.

ABSENCE FROM CLASS--It is the policy of Appalachian State University that class attendance is considered to be an important part of a student's educational experience. Students are expected to attend every meeting of their classes and are responsible for class attendance. No matter what the basis for absence, students are held accountable for academic activities, and faculty may require special work or tests to be made up for the missed class or classes. The guidelines regarding the maximum number of classes that can be missed, five, should be stated in terms of a percentage of classes missed in order to provide consistency across classes that meet for differing amounts of time (50 minutes, 1
hour and 20 minutes, 3 hours). A student shall miss no more than 10% of class meetings of a particular class because of athletic competitions, that percentage being in compliance with University policy as stated in the General Bulletin. Faculty members should be notified by memo of any potential absences due to athletic contests on the first class day of each semester. This memo is the responsibility of the head coach of each athletic team.

From Appalachian State University 2009-10 Undergraduate Catalog "Academic Regulations," p. 49:

Absences from Class and Class Attendance

General attendance policy

It is the policy of Appalachian State University that class attendance is an important part of a student's educational experience. Students are expected to attend every meeting of their classes and are responsible for class attendance. Regardless of what reasons there may be for absence, students are accountable for all academic activities, and faculty may require special work or tests to make up for the missed class or classes. In addition, faculty members are encouraged to make reasonable accommodations for students requesting to miss class due to the observance of religious holidays.

Faculty, at their discretion, may include class attendance as a criterion in determining a student's final grade in the course. On the first day of class, faculty must inform students of their class attendance policy and the effect of that policy on their final grade; both policies must be clearly stated in the class syllabus.

A student who does not attend a class during one of its first two meetings may, at the discretion of the academic department, lose her or his seat in that class. Further, if a class meets only one time per week--e.g., a laboratory or an evening class--the student must attend the first meeting of that class or risk losing her or his seat.

If a student does not regularly attend an audited course, the instructor may request an administrative withdrawal grade to be assigned. The instructor should provide documentation to the Registrar's Office with the recommendation.

Classes prior to a University break or state holiday end with the student's last meeting time for the day preceding the break or holiday.

Attendance policy relating to participation in University-sponsored activities:

As an integral part of the academic program at Appalachian State University, the University sponsors and otherwise supports co-curricular programs, athletic programs, and other out-of-class activities such as field trips. Participation in such activities occasionally requires a
student to miss one or more class meetings. A student who expects to miss one or more class meetings because of participation in a University-sponsored activity has several responsibilities: the student (in person) will notify the instructor in advance of any absence; the student is expected to complete all work missed by making up the work in advance or by completing any compensatory assignment that may be required by the instructor; the student is expected to maintain satisfactory progress in the course; and the student (otherwise) is expected to maintain satisfactory attendance in the class if so required. In the event that a student anticipates that participation in a University-sponsored activity will require missing more than 10% of the class meetings, the student is required to discuss this matter with her or his instructor at the beginning of the semester and may be advised to drop the course. If the above responsibilities are met, it is expected that the instructor will excuse the absence and permit the student to make up missed work in whatever manner the instructor deems appropriate.

Emergency absences: When a student is out of town and unable to return to campus due to hospitalization, death in the family, or other extenuating circumstances, the student or the student’s parents may contact the Office of Student Development to request that professors be notified as to the reason for the absence. This notification is conveyed to the appropriate departmental office as a matter of information only and does not serve as an official excuse for class absence. Only individual faculty members make this determination, and documentation may be requested by the faculty members. The Office of Student Development does not provide this service when notification is received after the absence has occurred. Also, if a student is in town, that student is responsible for notifying the individual faculty members that she/he will be missing class.

From the Student Athlete Handbook, page 20:

CLASS ATTENDANCE POLICIES: Consistent class attendance and participation are essential to academic success. It is YOUR responsibility to attend every class session on time for each course in which you are registered even if the faculty member does not take attendance. CLASS ABSENCES DUE TO ATHLETICS PARTICIPATION Student-athletes should provide each of their professors with an official letter from their coach on the first class meeting of each semester indicating classes that will be missed and departure times due to athletics participation. Student-athletes should discuss their travel/competition-related absences with their professor to determine if the absences will cause a problem in the class. In the
most extreme case, a student may need to meet with his/her athletic academic advisor to make class adjustments. Three class days before each athletic event, athletes should remind professors of their upcoming absence. Student-athletes should also plan with each professor when and how to make up missed assignments, exams, etc. PLEASE UNDERSTAND THAT THIS DOES NOT MAKE YOUR ABSENCES EXCUSED! The decision is up to each individual professor. Early communication between you and your professor is very important.

CLASS ABSENCES DUE TO ILLNESS OR INJURY Student-athletes who have an extended personal illness or injury should contact their Athletics Academic Advisor who then will promptly notify professors. Student-athletes should also make an effort to contact each professor to inform him or her of illness or injury.

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

The written policy used in the handbook issued to all student-athletes either meets or exceeds stated policies under the University’s guidelines for "sponsored activities." The University policy states that the "student (in person) will notify the instructor in advance of any absence." The student-athlete handbook requires that an official letter be given "on the first meeting of each semester." Moreover, the handbook requires that the student-athlete remind professors "three class days before each athletic event"; no such requirement exists in the University policy. An emphasis on the face-to-face contact is important to supporting the "in person" language of the "sponsored activities" attendance policy. The Peer-Review Team Report-Final from Appalachian’s last NCAA recertification, the team recommended, "faculty members should be notified during the drop-add period of each semester"(VII.B.1, p. 17). The policy requiring notification on the first meeting exceeds said recommendation. Also, the report recommends "having an administrator electronically mail this information to the appropriate faculty member rather than have the student athlete hand deliver it to the faculty member"(VII.B.1, p. 17). Unfortunately, adopting such a policy would violate the University’s "sponsored activities" language of "in person."

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

The Athletics Department has specified guidelines for scheduling athletic events to ensure a

“Schedules must be completed at least two months prior to the first contest. All schedules must be cleared through the Organizational Line Administrator. The Athletics Director will handle Football and Men’s Basketball scheduling. ALL schedules must receive final approval from the Athletics Director, Associate Athletics Directors, Facilities Director and the Director of Academic Services for Student-Athletes.”

A. A student-athlete shall miss no more than 10% of all class meetings of a particular class because of contests. Every effort should be made not to schedule on the same day weekly so that students will not miss the same classes.

B. Faculty is to be notified during the drop-add period of the classes that will be missed. This is the responsibility of each head coach in coordination with the Athletics Academic Advisor(s).

C. No schedule is official until signed by the Athletics Director.

D. No home contests will be scheduled when school is out of session unless dictated by the Southern Conference office or officially approved by the Athletics Director.

**Baseball**

Days missed in 2007-08: (8) full or partial class days. Partial could mean that the team left at 1:00 pm and a few players missed a 1:00 class. Baseball student-athletes do not schedule classes after 2:00 pm. Most missed days are partial days.

Days missed in 2008-09: (7) full or partial days. One scheduled event, which required missed class time, was cancelled.

**Men’s Basketball**

Days missed in 2007-08: (8) days total with (3) missed in fall semester and (5) missed in spring semester. Missed days were split between Monday/Wednesday/Fridays classes and Tuesdays/Thursdays meeting times.

Days missed in 2008-09: (9) days total missed between the two semesters with (2) in fall and (7) in spring semester.

**Men’s and Women’s Cross Country**

Days missed in 2007-08: (2) days in fall semester.

Days missed in 2008-09: (2) days in fall semester.

**Football**
Days missed in 2007-08: (5) days missed for travel.
Days missed in 2008-09: (6) class days were missed due to travel.

**Men’s Golf**
Days missed in 2007-08: (8) days with (4) of those days missed in fall semester.
Days missed in 2008-09: (14) days. Eight days were missed in fall semester and 6 days in spring. Absences were split between Monday and Tuesday class meetings.

**Men’s Soccer**
Days missed in 2007-08: (4) partial days were missed.
Days missed in 2008-09: (4) partial days were missed.

**Men’s Tennis**
Days missed in 2007-08: (11) days missed total. Of those, four were missed in fall semester and seven were missed in spring semester and included Mondays/Fridays and Tuesdays.
Days missed in 2008-09: (6) days were missed over both fall and spring semesters, two in fall and four in spring.

**Men’s and Women’s Track**
Days missed in 2007-08: (10) class days or partial days missed. The team travels in separate vehicles, so that students with a later class and do not compete until Saturday, leave after classes end on Friday. Therefore, not all student-athletes miss a total of ten class days.
Days missed in 2008-09: (7) days in spring 2009 were missed. Same travel plan as in 07-08 was in effect.

**Men’s Wrestling**
Days missed in 2007-08: (5) days missed in 2007-08.
Days missed in 2008-09: (3) days missed for travel.

**Women’s Basketball**
Days missed in 2007-09: A total of (7) days were missed over both semesters.
Days missed in 2008-09: A total of (10) days were missed over both semesters.

**Women’s Field Hockey**
Days missed in 2007-08: A total of (8) days were missed, the majority of this was due to travel to California for the NOPAC conference tournament in November.
Days missed in 2008-09: A total of (3) class days were missed due to travel.

**Women’s Golf**
Days missed in 2007-08: A total of (5) days were missed – (4) in fall and (1) in spring. Majority of
weekday competition took place during week of spring break.

Days missed in 2008-09: A total of (7) days were missed in fall; (7) days were missed in spring semester.

**Women’s Soccer**

Days missed in 2007-08: A total of (7) days were missed.

Days missed in 2008-09: A total of (2) days were missed in 2008.

**Women’s Softball**

Days missed in 2007-08: A total of (7) days were missed in spring semester of 2008.

Days missed in 2008-09: A total of (10) days were missed in spring 2009. These were partial and full days.

**Women’s Tennis**

Days missed in 2007-08: A total of (6) days were missed.

Days missed in 2008-09: A total of (2) days were missed. The majority of travel days were done over a spring break trip.

**Women’s Volleyball**

Days missed in 2007-08: A total of (8) days were missed. A few were partial days, meaning that the team left after 11:00 classes completed.

Days missed in 2008-09: A total of (5) days were missed.

In reviewing the data, the University’s class attendance policy is followed completely.

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 directly communicated in writing to student-athletes, athletics department staff members and appropriate faculty and administrative staff.

Every student-athlete is given a copy of the Student-Athlete Planner that includes the relevant language regarding both the University’s and Athletics Department’s policies and procedures on scheduling competitions and practices. Appropriate faculty and staff are issued a copy of the Athletics Departments Policies and Procedures Manual that further outlines in greater detail these policies. Appropriate faculty and staff are advised as to the responsibilities of the student-athlete regarding enrollment in classes, practices, and competitions:

All student-athletes should register for classes during the priority registration period. The enrollment procedure is outlined in the class schedule book each semester. Detailed
information relative to the enrollment period, deadlines, withdrawal dates, etc., is provided and each student-athlete is to complete registration on time or pay the proper late charges. Student-athletes should register for at least 15 hours each semester, and are responsible for a class schedule that does not conflict with practice and minimizes absences related to away competitions. (Policies and Procedures Manual 2008, page 49)

Below is a sample letter to Professors/Instructors regarding class absences.

TO: Professors/Instructors

FROM: (Team name) Coach

DATE: xx/xx/yyyy

SUBJECT: Class Absences for (put your team's name here)

________________________ is a student-athlete representing Appalachian State University on the (your team name) team. The schedule below highlights dates and times when the team will be participating this semester in an official university function and will be absent from campus or will need to leave class early. (Occasionally, a departure time could change because of inclement weather.)

Since these events represent official university-sponsored activities, we ask that you consider these absences excused. In accordance with University policy as stated in the Undergraduate Catalog on page 49, the student athlete is responsible for notifying you in person, in advance, of their missed class, making up any missed work, maintaining satisfactory progress in the class, and is otherwise, expected to attend class.

If you have questions or concerns, please feel free to contact me at (your phone number) or the Director of Academic Services for Student-Athletes, Jean Roberts at 262-8679.

Thank you for your work with Appalachian students. Departure Day and Time: Destination/Return Day and Time: (your information should be listed here).

22. If the institution has developed a plan for improvement(s) during the current self-study process for Operating Principle 2.1, describe the institution's efforts to ensure the plan(s) for improvement was developed through a process involving broad-based participation and has received formal institutional approval. No plan recommended.
Academic Integrity

Operating Principle 2.2 Academic Support.

Self-Study Items

1. List all "conditions for certification" imposed by the Committee on Athletics Certification in its Cycle 2 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.

   1. Condition: There were no conditions imposed on Appalachian State University, therefore no actions taken.
   Action: There were no conditions imposed on Appalachian State University, therefore no actions taken.
   Action Date: There were no conditions imposed on Appalachian State University, therefore no actions taken.
   Explanation for partial or non-completion: There were no conditions imposed on Appalachian State University, therefore no actions taken.

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 Cycle 2 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 actions; 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 Cycle 2 plan if the element does not affect conformity with a current operating principle.

   1. Condition: There were no conditions imposed on Appalachian State University, therefore no actions taken.
Action: There were no conditions imposed on Appalachian State University, therefore no actions taken.
Action Date: There were no conditions imposed on Appalachian State University, therefore no actions taken.
Explanation for partial or non-completion: There were no conditions imposed on Appalachian State University, therefore no actions taken.

3. Describe any additional plans for improvement/recommendations developed by the institution since the Cycle 2 certification decision was rendered by the committee for Operating Principle 2.2 (Academic Support). In each case, provide:
   a. The additional plan;
   b. The action(s) taken by the institution; and
   c. The date(s) of the action(s).

   No additional plans for improvement/recommendations were developed since the Cycle 2 certification decision was rendered.

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.

The organizational structure for the Office of Academic Services for Student-Athletes is one of an academic nature. The program is housed in the Learning Assistance Program (LAP) and the Director of Academic Services for Student-Athletes reports to the Executive Director of the Learning Assistance Program. The Executive Director of the LAP reports directly to the Vice Provost for Undergraduate Education in the Academic Affairs division of the University. While the focus of the work of the Office of Academic Services for Student-Athletes is to provide support to student athletes, the office does not report to Athletics and is not supervised by Athletics. It is a part of an academic department and is funded through Academic Affairs.

The Learning Assistance Program is an office which provides academic support to all Appalachian students through tutoring, subject/discipline specific help labs, i.e. Math Help Lab, Supplemental Instruction, and study skills development through workshops, classes, or one-on-one consultations. In addition, the LAP provides academic advising and support to special populations such as student-athletes and students who qualify for federally funded grant programs such as Student Support Services (first generation, low income students) and ACCESS (North Carolina.
residents who qualify for University-provided free education because of the family income at or below poverty level). The model of advising provided for these special populations (considered to be at-risk) is that of a comprehensive, all-inclusive one. The advisors work with their students from the point of entry into the University until graduation. They provide academic advising, major and career advising, academic support and referral, advocacy, personal counseling, and academic monitoring.

The Office of Academic Services for Student-Athletes is currently comprised of a full-time staff of five: the Director, Assistance Director (also the NCAA Continuing Eligibility Specialist), two Academic Advisors, and a CHAMPS/LIFE SKILLS Coordinator. The Assistant Director, Academic Advisors, and CHAMPS Life Skills Coordinator report to the Director. In addition, one secretary reports to the Director, but is utilized by all staff of the LAP. Graduate students currently report to the Assistant Director.

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 (this review must be conducted as part of the self-study process).

All aspects of the Learning Assistance Program (LAP) are approved annually through the Provost’s office since the program reports through Academic Affairs. This approval includes staffing, physical space, and financial support for student-athlete academic services. The LAP Director also presents an Annual Report to the Provost and Athletics Director. All aspects were found to be exemplary.

An NCAA Academic Support Evaluation Committee is appointed to examine 14 areas identified by the NCAA - eight of those areas are required by the NCAA and National Association for Academic Advisors for Athletics, while six are additional. The 2009 Evaluation Committee was selected in consultation between Cindy Wallace, Chair of the Steering Committee and Vice Chancellor for Student Development, and Charlie Cobb, Athletics Director. Part of that evaluation addresses staffing and physical space.

In Fall 2009, the above-referenced evaluation committee evaluated the academic support services for student-athletes at Appalachian State based on the referenced 14 categories, including:

1. Academic Counseling and/or Advising Resources and Services
2. Tutoring
3. Academic Progress Monitoring and Reporting
4. Assistance for Student-Athletes with Special Academic Needs
5. Assistance for At-Risk Student-Athletes
6. Academic Support Services Facilities
7. Academic Evaluation of Prospective Student-Athletes
8. Student-Athlete Degree Selection
9. Learning Assessments
10. Success skills: study skills note and test taking, writing and grammar skills, time management skills
11. Study hall: availability, facilities, attendance policies
12. First Year/Transfer Orientations
13. Mentoring
14. Post-Eligibility Programs

The Academic Support services staff provides comprehensive support for all student-athletes. The type and level of programming, monitoring, and support provided to each student-athlete is dependent upon the individual needs of each student-athlete, based on the review of existing academic information and academic assessments administered by the academic support services staff and/or LAP. The academic support services staff encourages student-athletes to access existing university resources. The academic counselors assist student-athletes with class selection, major selection, graduation planning, career planning, time management, goal setting, study skills, and learning strategies. The counselors work closely with the University faculty to monitor grades and class attendance. The academic staff also communicates with the staff and faculty to provide assistance with rescheduling class assignments and exams missed due to team travel.

All teams were, and continue to be, above the minimum APR of 925 and no action items were requested of ASU by the NCAA as a result of the previous Certification Process.

As mentioned by the faculty and staff evaluation, the current evaluation committee concludes that the academic support services for student-athletes at ASU represent a best practice in higher education.
6. Using the program areas for academic support services listed below, 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 and staff are made aware of these services;

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

1. **Academic counseling/advising:** Course selection, class scheduling, priority registration.
   a. The specific academic support services offered to student-athletes (if any). The **Learning Assistance Program (LAP)** offers priority registration, appropriate referral to University Counseling services, and academic advising/class scheduling.
   b. Any policies that govern which students can use these services; **Priority Registration is offered to only student-athletes and a select few of other student groups.**
   c. The mechanisms by which student-athletes and staff are made aware of these services. Student-Athletes are made aware of these services through individual orientation sessions, annual compliance meetings, individual meetings with his or her academic advisor, and through the Student-Athlete Handbook, which is provided at the beginning of the academic year and throughout the year online at GoASU.com. Staff are made aware of this through individual conversations with LAP staff, the fall all-staff meeting, monthly head coaches meetings, meetings with his or her sport administrator, and through the Student-Athlete Handbook – bound copy and online at GoASU.com.

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). The **LAP** offers tutorial services for most courses. Tutors are upperclassmen that have been recommended by the professor and interviewed by the tutor coordinator. Pupil loads for tutoring depend on how high the demand is for the class and can range from individual tutoring, to groups with multiple pupils.
   b. Any policies that govern which students can use these services; **Tutorial services are offered free of charge to all students enrolled at ASU.**
   c. The mechanisms by which student-athletes and staff are made aware of these services.
Student-Athletes are made aware of these services through individual orientation sessions, annual compliance meetings, individual meetings with his or her academic advisor, and through the Student-Athlete Handbook, which is provided at the beginning of the academic year and throughout the year online at GoASU.com. Staff are made aware of this through individual conversations with LAP staff, the fall all-staff meeting, monthly head coaches meetings, meetings with his or her sport administrator, and through the Student-Athlete Handbook – bound copy and online at GoASU.com. Also, for both groups, the University Tutorial Services webpage on the LAP site offers additional clarification (lap.appstate.edu/university-tutorial-services).

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). Progress reports on all student-athletes are completed by the student's professor during the academic school year, at least twice a semester.
   b. Any policies that govern which students can use these services; Services are offered to student-athletes, first-generation college students, and ACCESS (an income-based program).
   c. The mechanisms by which student-athletes and staff are made aware of these services. The LAP website has a page describing the Academic Progress Monitoring system (lap.appstate.edu/academic-progress-reports). Additionally, student-athletes are made aware of these services through individual orientation sessions, annual compliance meetings, individual meetings with his or her academic advisor, and through the Student-Athlete Handbook, which is provided at the beginning of the academic year and throughout the year online at GoASU.com. Staff are made aware of this through individual conversations with LAP staff, the fall all-staff meeting, monthly head coaches meetings, meetings with his or her sport administrator, and through the Student-Athlete Handbook – bound copy and online at GoASU.com.

   a. The specific academic support services offered to student-athletes (if any). The Office of Disability Services (ODS) assists eligible students and employees who have documented disabilities. The University is responsible for providing the reasonable accommodations stated on the Accommodation Plan. Reasonable accommodations may include: alternate formats, testing accommodations, assistive technology, and program accessibility (ods.appstate.edu/index.html).
b. Any policies that govern which students can use these services; The ODS offers assistance to all students and employees at ASU who are deemed eligible by the ODS.

c. The mechanisms by which student-athletes and staff are made aware of these services.
Information regarding assistance for special academic needs can be found on the ODS webpage (ods.appstate.edu/index.html). Additionally, student-athletes are made aware of these services through individual orientation sessions, annual compliance meetings, individual meetings with his or her academic advisor, and through the Student-Athlete Handbook, which is provided at the beginning of the academic year and throughout the year online at GoASU.com. Staff are made aware of this through individual conversations with LAP staff, the fall all-staff meeting, monthly head coaches meetings, meetings with his or her sport administrator, and through the Student-Athlete Handbook – bound copy and online at GoASU.com.

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

a. The specific academic support services offered to student-athletes (if any). The LAP offers support to students who are considered academically at-risk in the academic community and offers specialized services for them: student athletes, disadvantaged college students, and learning and other disabled students. The LAP offers special services to students who are in one of the at-risk groups listed. The Early Intervention Team is also available to meet with students who are showing signs of having difficulty with university life. The Team acts as a support group and can connect students with resources that can help them become healthier and more productive campus members.

b. Any policies that govern which students can use these services; The General Studies Handbook covers the LAP’s involvement in servicing at-risk students (advising.appstate.edu/files/filecabinet/documents/GSMANUAL2003.pdf). The Early Intervention Team web site provides information about services and referral processes (earlyintervention.appstate.edu). The learning skills services, supplemental instruction, university tutoring services, mentoring initiatives, and interdisciplinary tutoring offered by the LAP are available to all Appalachian students. The federally funded Student Support Services (SSS) Program offered by the LAP is available to low-income and/or first-generation college students. The academic coaching and faculty connections services offered by the LAP are available to the special populations advised within the LAP (student athletes, disadvantaged college students, and learning and other disabled students).
c. The mechanisms by which student-athletes and staff are made aware of these services. The Early Intervention Team web site provides information about services and referral processes (earlyintervention.appstate.edu). Additionally, student-athletes are made aware of these services through individual orientation sessions, annual compliance meetings, individual meetings with his or her academic advisor, and through the Student-Athlete Handbook, which is provided at the beginning of the academic year and throughout the year online at GoASU.com. Staff are made aware of this through individual conversations with LAP staff, the fall all-staff meeting, monthly head coaches meetings, meetings with his or her sport administrator, and through the Student-Athlete Handbook – bound copy and online at GoASU.com.

6. Academic support facilities: Availability of study rooms, computers and labs.
   a. The specific academic support services offered to student-athletes (if any). Computer labs are located in 11 different locations, including the LAP lab and the Athletic Center. The Carol Grotnes Belk Library and the Athletic Center offers several study rooms.
   b. Any policies that govern which students can use these services; and
   The computer labs and study rooms are offered to all students with the exception of the facilities available in the Athletic Center. These rooms are only available to student-athletes.
   c. The mechanisms by which student-athletes and staff are made aware of these services.
   The Library web page lists the available study rooms (library.appstate.edu/services/circ/group_rooms.html). Additionally, student-athletes are made aware of these services through individual orientation sessions, annual compliance meetings, individual meetings with his or her academic advisor, and through the Student-Athlete Handbook, which is provided at the beginning of the academic year and throughout the year online at GoASU.com. Staff are made aware of this through individual conversations with LAP staff, the fall all-staff meeting, monthly head coaches meetings, meetings with his or her sport administrator, and through the Student-Athlete Handbook – bound copy and online at GoASU.com.

   a. The specific academic support services offered to student-athletes (if any). Academic evaluation services are offered to coaches by the Director of Compliance, Director of Academic Advising for Student-Athletes, and the Director of Continuing Eligibility.
b. Any policies that govern which students can use these services; and

When an official visit is requested, the coach is to provide a transcript to the Director of Compliance prior to the visit. She then checks to ensure that the prospective student-athlete is registered with the Eligibility Center, meets the North Carolina School System and the Initial Eligibility Center requirements, and his or her courses are listed on the 48-H list of high school course for the respective high school. The Director of Compliance will also calculate predicted GPA for Appalachian State and have the Director of Academic Advising for Athletics review the material.

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

Student-Athletes are made aware of these services through individual orientation sessions, annual compliance meetings, individual meetings with his or her academic advisor, and through the Student-Athlete Handbook, which is provided at the beginning of the academic year and throughout the year online at GoASU.com. Staff are made aware of this through individual conversations with LAP staff, the fall all-staff meeting, monthly head coaches meetings, meetings with his or her sport administrator, and through the Student-Athlete Handbook – bound copy and online at GoASU.com.

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

a. The specific academic support services offered to student-athletes (if any). Available services for assistance with degree selection include the student-athlete’s academic advisor, the Peer Career Center, the Career Development Center, Counseling and Psychological Services, and the Occupational Outlook Handbook.

b. Any policies that govern which students can use these services; Each academic advisor in the Office of Academic Services for Student-Athletes is assigned specific sports. At Orientation, each student-athlete is assigned an academic advisor based on his or her sport.

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

Student-athletes are made aware of these services at Orientation and through their academic advisors. Many resources are available on the Admissions website and at careers.appstate.edu/ (Career Development Center), peercareer.appstate.edu/ (Peer Career Center and Occupational Outlook Handbook), and counseling.appstate.edu/ (Counseling and Psychological Services). The selection of the individuals responsible for conducting the institution’s academic support services evaluation was made by the Provost, in consultation with the Vice Chancellor for Student Development.
9. Learning assessments: Provisions for testing and evaluation (e.g., placement testing).
   a. The specific academic support services offered to student-athletes (if any). 
      Placements test are offered before, during, and after a student’s Orientation session.
   b. Any policies that govern which students can use these services; Each student is required to 
      complete Math and foreign language placement tests prior to attending Orientation to assist 
      academic advisors in preparing a preliminary schedule of classes. Selected students will complete 
      a writing sample during Orientation to ensure placement into the appropriate freshman writing 
      course.
   c. The mechanisms by which student-athletes and staff are made aware of these services. 
      Students are made aware of these test requirements upon admission into the University. 
      Information is available at admissions.appstate.edu by clicking on the Orientation link.
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). 
      Success skills are available to all students through the Learning Assistance Program (lap.appstate.edu). Services available include one-on-one consultations, skills courses, and study skills resources and graphic organizers (appstate.lap.edu/learning-skillis-services).
   b. Any policies that govern which students can use these services; Services are available to all students.
   c. The mechanisms by which student-athletes and staff are made aware of these services.
      Student-Athletes are made aware of these services through individual orientation sessions, annual 
      compliance meetings, individual meetings with his or her academic advisor, and through the 
      Student-Athlete Handbook, which is provided at the beginning of the academic year and 
      throughout the year online at GoASU.com. Staff are made aware of this through individual 
      conversations with LAP staff, the fall all-staff meeting, monthly head coaches meetings, meetings 
      with his or her sport administrator, and through the Student-Athlete Handbook – bound copy and 
      online at GoASU.com.
11. Study hall: Availability, facilities, attendance policies.
   a. The specific academic support services offered to student-athletes (if any). Planned athletic 
      study hall sessions are available in D.D. Dougherty Hall in the Learning Assistance Program area 
      and in the Athletic Center.
b. Any policies that govern which students can use these services; and Planned study hall sessions are required for all freshman and transfer scholarship student-athletes their first semester. Any student-athlete who has a GPA below 2.25 or is designated by the Head Coach, Academic Advisor or Director of Athletics is also required to be in study hall. Student-athletes are assigned monitored study hall; they are required to complete three hours per week and one additional academically related hour.

c. The mechanisms by which student-athletes and staff are made aware of these services. Student-Athletes are made aware of these services through individual orientation sessions, annual compliance meetings, individual meetings with his or her academic advisor, and through the Student-Athlete Planner, which is provided at the beginning of the academic year and throughout the year online at GoASU.com. Staff are made aware of this through individual conversations with LAP staff, the fall all-staff meeting, monthly head coaches meetings, meetings with his or her sport administrator, and through the Student-Athlete Planner – bound copy and online at GoASU.com.

1. Wes Waugh of our LAP attended a conference in May sponsored by Redrocks Software Development Corporation. There, Redrocks indicated that it will develop a profile to electronically obtain and track progress reports from faculty on student athletes, and will use Appalachian as a prototype for developing this model. Target date: December 2010.

2. Even though Orientation of students new to our campus is rapidly changing, with a good deal now being done online, our Academic Services for Athletes has received the okay to continue to use one-on-one, in person consultations with incoming student athletes in the building of their course schedules, and we will continue to have a two day, in-person orientation for student athletes. Effective Immediately.

3. It is anticipated that ROTC will be out of the building by September 2010, after which it will merely be a process of restructuring the space in the following months.

4. Erin Justice, our CHAMPS/ Life Skills Coordinator, will be developing various programs to meet this need during the 2010-2011 academic year.

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

a. The specific academic support services offered to student-athletes (if any). Orientation sessions are offered by the Office of Orientation in May, June, August, and January. Attendance is mandatory.

b. Any policies that govern which students can use these services; All in-coming students must attend pursuant to University policy.

c. The mechanisms by which student-athletes and staff are made aware of these services.
The Office of Admissions notifies incoming freshman and transfer students regarding the dates of orientation session. More information is available at admissions.appstate.edu/admitted/orientation/.

   a. The specific academic support services offered to student-athletes (if any). The AppAchieves Peer Mentoring is a program designed to be a dynamic support for students by students and is available to student-athletes. The AppAchieves Peer Mentoring program is a contractual program. Peer Mentors are upper-class students who have overcome their own personal struggles and can serve as role models in areas of academics, class scheduling, and adjusting to the University. Mentor and mentee meet weekly and attend at least two student success workshops each semester. Students are matched with a mentor based on major, extracurricular activities, and goals when possible.
   b. Any policies that govern which students can use these services; These services are available to all students.
   c. The mechanisms by which student-athletes and staff are made aware of these services.
      Student-Athletes are made aware of these services through individual orientation sessions, annual compliance meetings, individual meetings with his or her academic advisor, and through the Student-Athlete Planner, which is provided at the beginning of the academic year and throughout the year online at GoASU.com. Staff are made aware of this through individual conversations with LAP staff, the fall all-staff meeting, monthly head coaches meetings, meetings with his or her sport administrator, and through the Student-Athlete Planner – bound copy and online at GoASU.com.

14. Post-eligibility programs: Availability of scholarships, assistantships and academic support.
   a. The specific academic support services offered to student-athletes (if any). Post-eligibility programs are available to the student-athletes. They include The Division I Degree-Completion Award Program, the NCAA Postgraduate Scholarship Program, the NCAA Internship Program, the Walter Byers Postgraduate Scholarship Program, and the John McClendon Minority Postgraduate Scholarship Program.
   b. Any policies that govern which students can use these services; Each of the programs listed above has specific criteria that a student-athlete must meet in order to qualify. A list of the qualification criteria can be found in the Student Athlete Handbook at www.GoASU.com.
c. The mechanisms by which student-athletes and staff are made aware of these services. His or her academic advisors contact student-athletes who qualify for specific post-eligibility programs. Information on specific programs is also available on the Learning Assistance Program’s website (www.lap.appstate.edu) under the Academic Support Services for Athletes link and in the Student Athlete Planner at GoASU.com. Staff are made aware of this through individual conversations with LAP staff, the fall all-staff meeting, monthly head coaches meetings, meetings with his or her sport administrator, and through the Student-Athlete Planner – bound copy and online at GoASU.com.

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 on the ACS to submit a copy of the institution’s most recent academic support services evaluation.]

A copy of the most recent academic support services evaluation can be found on Appalachian State Universities IRAP webpage.

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.

The five people chosen for this task all work outside of athletics. The chair of the committee, Tony Calamai, is Dean of the College of Arts and Sciences. Neva Specht is a faculty member in the Department of History. Martha Wilson is the University’s Senior Associate Registrar. Susie Greene is the University’s Dean of Students. Peter Wachs is the University’s Associate Director of Assessment. These five people did the most recent review in the fall of 2009, completing it near the end of November.

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.

No outside individual or entity was part of the process of conducting the review of our academic support services for student-athletes.
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 any necessary corrective actions. In addition, identify the individuals involved in this review.

There were no findings of any significant areas needing attention in the report presented by the committee in late November. The evaluation was drafted in the fall and finalized in February 2010. On March 19, 2010, Athletics Director Charlie Cobb, Senior Associate Athletics Director Debbie Richardson, Jean Roberts, outgoing Director of Academic Services for Student-Athletes, and Faculty Athletics Representative Alan Hauser met to discuss the results of the review of Academic Services for Student-Athletes done in the fall of 2009. The chair of the committee was Dr. Tony Calamai, Dean of the College of Arts and Sciences. Other members included: Susie Greene, Dean of Students; Martha Wilson, Senior Associate Registrar; Peter Wachs, Associate Director of Assessment; and Neva Specht, Associate Professor of History, who since then has become Associate Dean of the College of Arts and Sciences.

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. Provide:

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

The recently completed study of our academic support services for student-athletes did not reveal any substantive need for corrective action in this area. It was agreed that the review of Academic Services was very positive, and things are functioning quite well. Several of the recommendations did imply that some adjustment is needed. The group discussed these items.

   • There was some question about the method of receiving progress reports from faculty for student-athletes in their class. The rate of response is good, but could be higher. Dave Haney is asked to look into doing an electronic format that might lead to a higher response rate.
   • Orientation of students new to our campus is rapidly changing with a good deal now being done online. This can be helpful, especially in the case of incoming student-athletes taking placement exams, but we will still want a good deal of personal interaction with incoming student-athletes during orientation.
• The report mentions consolidating the physical space used by Academic Services for Student-Athletes. When ROTC moves out of the building, this should easily take place.

• Another area of concern is providing support for student-athletes who are near the end of their athletics eligibility. Many times these student-athletes feel a huge sense of loss of identity, importance, and sense of belonging. Many are facing life without being (actively) involved in their sport for the first time since they were young. These feelings can lead to depression, anxiety, and isolation. To assist these students with this transition in their life, we will begin a series of programs, which address these concerns for student-athletes. Programs will feature a sports psychologist, nutritionist, strength and conditioning coach, community service coordinator, former student athletes, and others.

12. List all APR improvement plans developed and approved by the institution if required by the NCAA Division I Committee on Academic Performance. 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 required actions.

   1. Original Plan: No APR improvement plans were required.
      Action: No APR improvement plans were required.
      Action Date: No APR improvement plans were required.
      Explanation for partial or non-completion: No APR improvement plans were required.

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

   As part of Appalachian's State's self-study process, the Provost appointed a committee comprised of University-wide representatives. The Committee studied the procedures and outcomes of the Academic Services for Athletes office, which is under the Learning Assistance Program and University College. The Committee also reviewed the Athletics Department commitment to academic support and integrity. The Steering Committee, the Chancellor, and University community reviewed the report and had the opportunity to comment on the review.
Operating Principle 2.2

<table>
<thead>
<tr>
<th>Issues in the Self-Study</th>
<th>Measurable Goals</th>
<th>Steps to Achieve the Goals</th>
<th>Individuals/Office Responsible for Implementation</th>
<th>Specific Timetable for Completion</th>
</tr>
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</table>
| No 4-year campus review of Learning Assistance Program for Student-Athletes | Ensure review of Learning Assistance Program for Student-Athletes occurs prior to 2014. | 1. Assign Review Committee  
2. Establish Evaluation Criteria  
3. Conduct Review | Provost | 2014 |
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 in its Cycle 2 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.

   1. Condition: No "conditions for certification" were imposed during Cycle 2.
      Action: No "conditions for certification" were imposed during Cycle 2.
      Action Date: No "conditions for certification" were imposed during Cycle 2.
      Explanation for partial or non-completion: No "conditions for certification" were imposed during Cycle 2.

2. Report on the implementation of the plan for improvement to address gender issues developed by the institution during its Cycle 2 certification process. 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.

The committee 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.

The committee will accept the following explanation for partial or noncompletion:
   • The institution has implemented a different plan(s) to achieve the same goal outlined in its Cycle 2 gender issues 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

Goal 1: Program: To continue offering intercollegiate sports compatible with the principles of student interest and equitable distribution of resources.
Action: Data was collected from athletics interest surveys conducted at university open houses of prospective freshmen in fall and spring, and during summer orientation in 2002 and 2003. Information was collected from all females in attendance. The Office of Institutional Research, Assessment, and Planning compiled the data and performed the analysis for the Gender Equity Committee. However, it was determined by the Gender Equity Committee that this was not the best method for collecting this data. The committee worked with Institutional Research, Assessment, and Planning to collect the information from the University’s annual Freshman Survey beginning in 2006. High school participation data was collected from the NCHSAA website every year beginning in 2001 to monitor ASU’s female sport offerings versus North Carolina high school offerings. Action Date: Beginning with the implementation of the 2001-2006 Gender Equity Plan and every year thereafter.
Explanation for partial or non-completion: The analysis of athletics interest surveys and North Carolina high school information that was collected confirm that Appalachian Athletics is fully and effectively accommodating the under-represented sex.

Goal 2: Financial: Ensure that the operating budgets (equipment and supplies, travel and per diem allowance, recruiting and scholarship lines) are allocated to the women and men’s teams at the same proportion as their respective percentage of unduplicated participation numbers.
Action: First, head coaches were requested to identify special needs or one-time expenses in their annual budget planning process each year. The adequacy of the per diem allowance and modes of travel and lodging were reviewed each year, except 2005-06, through exit interviews. In fall 2005 and spring 2006, coaches and the Student Athlete Advisory Board were surveyed about the per diem, travel, and lodging and no inequity was found. It was reported that coaches are required to have athletes sign off on receiving their per diem allowances.
when receiving cash. When reviewing comparisons of NCAA EADA Financial Survey data (Operating Budget and Scholarship Money Spent versus Participation), two of five years were at or above the one percent acceptable margin when compared to unduplicated participation numbers for operating expenses. The other three years, athletics was no more than 1.5% under the margin.

Action Date: Ongoing with annual evaluation.

Explanation for partial or non-completion: Overall, operating budgets were close to the unduplicated participation rate. The committee recommends that the 2010-2015 Gender Issues Plan include continuous monitoring of a rolling three-year comparison of this data each year to ensure that women’s sports are funded according to participation numbers.

Goal 3: Scholarships: Ensure that Appalachian State University continues to award scholarships to women and men athletes at the same proportion as their respective rates of participation in Appalachian athletics, and continue to provide equitable opportunities for recruitment.

Action: The expectation was set that scholarships for women's and men's sports would be funded consistent with the proportion of participation. Coaching staff usage of scholarship allocations was monitored through monthly budget reports, EADA report analysis, and staff interviews. As the priority sports, the goal was set to reach full scholarship funding for football, men's and women's basketball, and volleyball. This was achieved for football and men's and women's basketball. One scholarship was added for volleyball in 2001, then another in 2003. However, volleyball was still under by one scholarship by the end of the 2001-2006 plan, so this goal was included in the 2007-2012 Gender Equity Plan. The scholarship goal for Volleyball was met and fully funded in 2007.

Action Date: Beginning with the implementation of the 2001-2006 Gender Equity Plan and every year thereafter.

Explanation for partial or non-completion: Although scholarships were added to some sports, they did not meet the participation rates as the goal was stated. Because of that, this goal was included in the 2007-1012 Gender Equity Plan. This should continue to be monitored, as recommended in item two above, in the 2010-2015 Gender Issues Plan to ensure women’s sports are funded according to participation rates.

Goal 4: Personnel: Ensure that the availability, compensation, and quality of coaching continue to be equitable and nondiscriminatory.
Action: For the personnel goal, Appalachian analyzed numbers of head coaches, assistants, part-time assistants, graduate assistants, and volunteers annually to ensure configuration of coaching staffs provided equal opportunities for female and male athletes to receive coaching. The EADA report provided data for this analysis. Women’s soccer received a full-time assistant coach in 2003-04; men’s and women’s soccer each had a full-time assistant coach by 2004-2005. Funding was made available in fall 2001 for volleyball to move its assistant coach to a full-time position. Funding was also made available in fall 2001 to fund another assistant track coach as a full-time position. Athletics also funded a full-time assistant coach for field hockey in 2003-04 and softball in 2004-05.

Action Date: Beginning with the implementation of the 2001-2006 Gender Equity Plan and every year thereafter. Volleyball and track by fall 2001; other sports by fall 2005.

Explanation for partial or non-completion: Completed.

Goal 5: Facilities: Provide appropriate athletics facilities for all teams.

Action: The practice and competition site for volleyball was moved to the recently built Holmes Convocation Center in 2001. Volleyball locker rooms and coaches’ offices were also relocated to Holmes Convocation Center in fall 2001. Field Hockey was provided a locker room in fall 2006. Laundry facilities were relocated to Varsity Gym in 2006 for all sports except those housed in the Holmes Convocation Center, which has its own laundry facility. This was a change from the original plan, which was to move the laundry facilities to Kidd Brewer Stadium. Varsity Gym laundry provided an acceptable alternative location. Other relocations in the plan that were completed in 2005-06 were strength and conditioning, athletic training and equipment and storage areas. These were all moved to Varsity Gym. The softball site was in the plan for assessment and future relocation. After using various off-campus sites, it was determined that softball would move to the baseball complex. Plans were approved in October 2005 for this move. Construction projects in the five-year plan included the development of a cross country course, Phase II, which was completed in fall 2004. A grass soccer complex for both men’s and women’s teams was in the plan, and construction began in 2004. The soccer complex was completed in 2005. Finally, plans were approved in March 2006 to build a new athletics complex, which would provide locker rooms and offices for several sports, including women’s and men’s track, men’s and women’s soccer, field hockey, softball, and baseball.
Action Date: All actions were to be completed by fall 2006, however, this project was not completed until the fall of 2009.

Explanation for partial or non-completion: Complete.

Goal 6: Marketing/Promotions/Publications: Ensure appropriate resources are targeted and applied to the marketing/promotions/publications for the ASU athletics programs.

Action: Marketing for sports includes: Large street signs around campus and electronic marquee messages at the Holmes Convocation Center provided information regarding all home events. Game promotions were sponsored for volleyball, field hockey, and both soccer teams. Flyers and table tents were produced and displayed on campus for all sports. E-mails were sent and on-line advertising was on the goasu.com website for all upcoming events. Sponsorship dollars were secured annually for various marketing, promotions, and publications efforts.

Action Date: This effort began in 2002 and continued each year.

Explanation for partial or non-completion: Complete.

Goal 7: Athletics Environment: Ensure that athletics department employees and student-athletes continue to be aware of university and departmental policies regarding gender discrimination, sexual harassment, sportsmanship and student-athlete welfare.

Action: University and departmental policies regarding gender discrimination, sexual harassment, sportsmanship, and student athlete welfare, through a variety of venues each year. Athletics staff and student-athletes were made aware of the University Equity Office and its resources and confidentiality on an ongoing basis beginning fall 2001; this was covered at staff meetings with head coaches. Student-athletes and staff were educated about university publications dealing with sexual harassment and gender discrimination. As new venues were created, this information was forwarded to coaches and SAAB members. A grievance procedure for student-athlete welfare concerns was established and noted in the Student Athlete Handbook beginning fall 2001. This handbook, as well as the Southern Conference Manual, was distributed annually to Department of Athletics staff. The Athletics’ Department Policies and Procedures Manual was given to new hires, or updated pages were sent to everyone when necessary. Southern Conference and Department of Athletics codes of conduct were announced at all home athletic contests beginning fall 2001.
Action Date: Beginning with the implementation of the 2001-2006 Gender Equity Plan and every year thereafter.
Explanation for partial or non-completion: Complete
Goal 8: Support Areas: Ensure that the following areas maintain proper student-athlete welfare and gender consideration: academic services for student-athletes, medical and training facilities and services, housing and dining facilities and services, and support services.
Action: To ensure that the University maintained proper student-athlete welfare and in consideration of gender, these identified areas were reviewed annually, beginning 2001, by the Gender Equity Committee: Academic services for student-athletes, medical and training facilities and services, housing and dining facilities and services, and support services. At monthly head coaches’ meetings, as well as bimonthly SAAB meetings, personnel and student-athletes were given the opportunity to discuss concerns in these areas annually and on an ongoing basis. Exit interviews included items that asked questions about these areas as well. Exit interviews were ongoing and conducted as needed. The Athletics’ Council Gender Equity Committee’s 2007 report for the 2001-2006 plan noted for these support areas: "No gender inequities were identified or reported."
Action Date: Beginning with the implementation of the 2001-2006 Gender Equity Plan and every year thereafter.
Explanation for partial or non-completion: Completed.

3. Describe any additional plans for improvement/recommendations developed by the institution since the Cycle 2 certification decision was rendered by the committee for Operating Principle 3.1 (Gender Issues). In each case, provide:
   a. The additional plan;
   b. The action(s) taken by the institution; and
   c. The date(s) of the actions(s).
Since Cycle 2 Certification, Appalachian State instituted plans for improvement in all 13 program areas.
Under the heading of Athletic Scholarships (2007-2012 Gender Equity Plan Program Area 1), we set a goal of awarding an additional 23 full grants-in-aid over a five-year period between 2007 and 2012. Of those 23, a total of 5.5 out of 6 were met in 2007-2008 and the difference was made up the following year when we exceeded the goal of 5 in 2008-2009 by awarding 8 (8.7) grants for a
total of 13.5 (14.25) over that two-year period. In 2009-10 8.10 (9.5) scholarships were added to
the women’s sports bringing the three-year total to 22.15 (23.75), only .85 away from the
exceeding the five-year goal in just 3 years. The five-year goals for field hockey, tennis and track &
field/cross country are met in 3 years. In addition, we set a goal to add women’s track and tennis
to fully funded scholarships according to NCAA scholarship limits. This goal was met in the fall of
2009.

Under the heading of Accommodation of Interests and Abilities (2007-2012 Gender Equity Plan
Program Area 2), four goals were set. In the spring of 2009, the Gender Equity Committee of the
Athletics Council developed a policy for requesting the addition of/or upgrade of a sport and
identified all locations where sport addition policies should be disseminated. The policy is
published and disseminated in various places including the Appalachian State Athletics website
and the University Recreation website. Also, during 2007-2008, 2008-2009, and 2009-2010, the
Gender Equity Committee continued to gather survey data from freshmen of the
underrepresented gender regarding their interests in varsity sports and data on women’s athletic
teams in our primary recruiting area of North Carolina. This data collection continues to be done
by the Gender Equity Committee on an annual basis. The Gender Equity Committee also
assembled a task force in fall of 2008 to look at the feasibility of adding a women’s team, including
what sport would best meet student interest, university fit and financial limits. The task force
finished its work in fall of 2009 and presented its findings to both the Athletics Council and the
Department of Athletics.

Under the heading of Equipment and Supplies (2007-2012 Gender Equity Plan Program Area 3),
one goal was set. Having completed a preliminary survey of coaches and students regarding
equipment and supplies in 2007-2008, the Gender Equity Committee began the process of
evaluating all equipment and supplies used in both men’s and women’s sports teams to ensure
equality during 2008-2009. However, a new department-wide Nike contract in the fall of 2008 led
to the replacement of all equipment and supplies. So, a new timetable of 2010-2011 is set to begin
a triennial review of equipment and supplies. A survey was sent to all coaches in 2009-10 to help
with the establishment of a policy. A policy governing rotation of equipment is placed in the new
2010-2015 Gender Issues Plan.

As in the past, the Gender Equity Plan calls for biennial evaluations of the number of games played
in each sport to see that the NCAA maximum is met (2007-2012 Gender Equity Plan Program Area
4). If the maximum is not met, the coach is asked to provide a rationale to make sure that there is
no equity issue. Also, as in the past, the Gender Equity Committee evaluates biennially the scheduling of game times, practice times and pre/post-season opportunities for men's and women's sports teams to ensure equality. No issues were identified.

The Gender Equity Plan continues the use of an annual survey of students and coaches to monitor transportation, housing, length of stay at away contests, dining arrangements and per diem allowances (2007-2012 Gender Equity Plan Program Area 5). In 2009-2010, the Gender Equity Committee found that the per diem allowed, the modes of transportation and the number of student-athletes sleeping in a room need monitoring. The issues identified by student-athletes and coaches did not indicate there was any gender inequity, but a well-being issue for all student-athletes. These findings are shared with the Student-Athlete Well-Being Committee.

The Gender Equity Plan calls for a continuation of monitoring the quality of tutoring services for all student-athletes (2007-2012 Gender Equity Plan Program Area 6). This includes but is not limited to: study hall, mentoring services, tutoring, supplemental instruction, learning skills, and Office of Disability Services. These services are monitored by the Gender Equity Committee on a biennial basis. No issues were identified.

To elevate ASU's ability to attract and retain a high-quality coaching staff (2007-2012 Gender Equity Plan Program Area 7), the Gender Equity Committee implemented a plan including the following actions: In the fall of 2007, an full-time assistant field hockey coach position was added. In the summer of 2008, the men's and women's golf coaching position was split into two separate head coaching positions. In the fall of 2008, the Department of Athletics completed adjusting the salaries of the head and assistant coaches for women's volleyball since it is a priority sport. In the spring of 2009, the Department of Athletics developed and met criteria for base salaries and incentives for coaches and, in the fall of 2009, added a second assistant coach for softball and field hockey. This was verified by the Gender Equity Committee.

To provide quality, availability and exclusivity of practice facilities, locker rooms, and competitive facilities (2007-2012 Gender Equity Plan Program Area 8), the Gender Equity Committee developed five goals to enhance women's athletics. Projected for summer of 2011, but dependent on State of North Carolina construction approval of plans, the Department of Athletics will complete renovations in Owens Field House for locker rooms for field hockey and track and field. The Department of Athletics is currently converting the former baseball stadium into a softball stadium with locker rooms. As of fall 2009, softball has a temporary locker room in Owens Field House. In October of 2008, the Department of Athletics - in cooperation with High Country Soccer
Association and Watauga County Parks and Recreation Department - finished the Ted Mackorell Soccer Complex with an artificial turf playing surface, 1,000-seat stadium, and press box. Both men and women compete in this new facility. During the spring of 2010, a new building with men's and women's locker rooms, laundry, concessions and public restrooms is added for both teams use. The Department of Athletics is currently studying and determining space for construction of a field hockey/lacrosse stadium with all amenities.

In order to upgrade our training facilitation (2007-2012 Gender Equity Plan Program Area 9), the Gender Equity Plan called for an additional softball athletic trainer, which was met in fall of 2009. A graduate student female strength coach is on staff since spring 2009. The transfer of sports to the new weight room was monitored as planned to ensure the equitable treatment of female sports teams.

Under the heading Housing and Dining Facilities and Services (2007-2012 Gender Equity Plan Program Area 10), two goals were set. To better serve our student-athletes, the Gender Equity Plan called for Appalachian to develop and meet a goal of increasing the women's sports budget to accommodate the "high" meal plan for full scholarship student-athletes, which was met in the fall of 2008. During the 2008-2009 and 2009-2010 academic years, the Gender Equity Committee studied the feasibility of providing the training table to women's full scholarship student-athletes and increase awareness among female sports that the training table could be a future option. Surveys administered by the Gender Equity Committee of current female student-athletes indicate that they want to keep the high meal plan and not go to a training table. A meeting with the Director of Food Services, Athletics Administrators, and Gender Equity Committee Members will occur in 2010.

The Gender Equity Plan also calls for an annual evaluation of the marketing, advertising, and sports information plans to determine if any inequality exists in the creation and distribution of publicity material at the beginning of each academic year (2007-2012 Gender Equity Plan Program Area 11). These evaluations conducted by the Gender Equity Committee began in the fall of 2008. The marketing, advertising, and sports information plans are then reevaluated at the end of each academic year to see if equity was maintained. Equity was maintained with the exception of internet streaming where facilities did not have access to provide this service. This inequity is addressed and internet streaming is now available at all facilities. The plan also included providing video coverage for women's sports on an equitable basis with men's coverage. While the original date of fall 2008 was not met because of no qualified interns being available, this was met.
in fall of 2009. The Department of Communication and the Department of Athletics will continue
to work together to make sure that enough student interns are available to maintain equity in
video coverage.
To aid in the equitable distribution of administrative services among all sports teams, the Gender
Equity Plan calls for a review of all job descriptions within the secretarial and administrative
assistant staff beginning in the fall of 2008 and done biennially after that to ensure that the
workload is evenly distributed (2007-2012 Gender Equity Plan Program Area 12). In addition, the
future locations of all secretarial and office staff are reviewed biennially to ensure equity among
men's and women's sports teams. The Gender Equity Committee conducts these reviews. No
issues were identified.
With regard to the recruitment of student-athletes, the Gender Equity Plan includes the goal of
providing men's and women's teams equitable access to courtesy cars for recruiting purposes
(2007-2012 Gender Equity Plan Program Area 13). To meet this goal, the Director of Athletics
developed a written policy for obtaining courtesy cars. This is reviewed by the Gender Equity
Committee on an annual basis. No issues are identified.
4. Explain how the institution is organized to further its efforts related to the gender-issues
operating principle for athletics department staff, coaches and student-athletes.
Under the leadership of the Chancellor, the Athletics Council appoints members to a standing
committee charged to monitor gender issues of students and staff. The Gender Equity Committee
members for 2009-2010 are:

- Dr. Glenda Treadaway, Chair (Dean, College of Fine & Applied Arts)
- Ms. Debbie Richardson (Senior Associate AD, and SWA, Department of Athletics)
- Ms. Barbara Green (Compliance Director, Department of Athletics)
- Ms. Tamela Everett (Alumni Representative)
- Mr. David Jackson (Associate AD, Department of Athletics)
- Dr. Faye Sawyer (Faculty)
- Ms. Carol Soule (Faculty)
- Ms. Heather Langdon (University Institutional Research)
- Ms. Kim Sherrill (Academic Services for Athletes)
- Ms. Michelle Armstrong (Student Government Association representative)
This committee meets regularly to audit gender issues and submits a yearly report to the Athletics Council. The committee developed the 2007-2012 Gender Equity Plan and monitors timely completion of the plan's goals and objectives.

The Department of Athletics completes the Equity in Athletics Disclosure Act and submits the report to the Federal Department of Education annually in October, and the NCAA Financial Report each January.

The Office of Equity, Diversity and Compliance is "charged with developing, sustaining, and extending living, learning, and working environments that are fair, inclusive and welcoming for all members of the Appalachian State University community". (Mission Statement, Office of Equity Diversity and Compliance website - edc.appstate.edu) The Office provides training and outreach, and a resolution process for any member of the Appalachian community who has concerns about unlawful harassment.

In addition, in 2007 the Chancellor commissioned a Diversity Task Force to develop a comprehensive Diversity Plan for the University. The Task Force was charged with the collection of data, development of a diversity plan, and the presentation of that plan to the Board of Trustees. (edc.appstate.edu)

The Office of Human Resource Services (HRS) provides information about policies and procedures to all University employees. Included on the HRS website (hrs.appstate.edu) is the definition of workplace harassment, appropriate grievance procedures, state personnel handbooks, and faculty and staff handbooks. These handbooks provide information regarding equitable treatment and refer employees to the Office of Equity, Diversity and Compliance for concerns about unlawful harassment (p. 151, Faculty Handbook and facultyhandbook.appstate.edu).

The ASU Women's Center is a student-run university-funded organization whose mission is "to enhance awareness of the challenges facing women on this campus and in this society, and to promote, support and celebrate the diverse Appalachian State University women's community while working to transform discriminatory institutional structures and practices" (Mission Statement, ASU Women's Center website - womenscenter.appstate.edu). The Center provides education and awareness programs, resource and referral services and service projects. The Coordinator of the CHAMPS Life Skills Program serves on a standing committee for the Women's Center, and disseminates information about their programs to student-athletes.

All student-athletes receive a student planner containing a copy of the student-athlete handbook each year, and the handbook is also posted on GoASU.com. The Student-Athlete Planner refers
student-athletes to the Office of Equity, Diversity and Compliance if they have concerns about unfair treatment based on some form of discrimination. Further, the planner reviews the Athletics Grievance procedure, listing the agencies and personnel to whom student-athletes may present their grievances. "If a student-athlete has a grievance pertaining to any situation or policy, he/she has the option of presenting it to internal personnel including the director of athletics, athletics administration staff, athletic training staff, and/or strength and conditioning staff. Such grievances may also be presented to external personnel including the dean of students, academic advisors for student-athletes, the Equity Office, the faculty athletics' representative, and/or the Center for Student Involvement and Leadership." These personnel then follow up with the Director of Athletics, and appropriate campus offices as needed.

The Department of Athletics Policy and Procedures Manual includes the institution's policy prohibiting sexual harassment, including the definition of sexual harassment and grievance procedures for faculty, staff and students to follow if they have complaints involving sexual harassment. "Faculty, staff or students with complaints of sexual harassment may use the established general grievance procedures of their areas or departments, or may contact the University Equity Officer." (appstate.edu/policies-and-procedures/personnel/sexualharrassment-policy).

The Senior Woman Administrator oversees the health and welfare of female student-athletes and coaches of women's sports, Title IX compliance and advises the Director of Athletics on gender equity concerns of staff and student-athletes. The Director of Athletics also consults with the Office of Human Resource Services and the Office of Equity, Diversity and Compliance on gender equity issues.

The CHAMPS/Life Skills Program provides services to enhance student-athletes' well-being. Among the services it provides are workshops on a variety of life skills topics, including gender-related topics. The CHAMPS program also disseminates information about workshops offered by other campus programs, including the Women's Center, Wellness Program and Counseling Center. Workshops provided either by CHAMPS staff or in conjunction with the Women's Center and Counseling Center included programs on eating disorders, sexual health, and alcohol and sexual assault. In addition, the CHAMPS Life Skills Coordinator disseminates information for annual campus-wide events including "Walk for Awareness" (campus event to raise awareness about sexual assault), Eating Disorder Week in February and Spring Sexual Assault Awareness Week.
The Student Athlete Advisory Board (SAAB) comprises representatives from each athletic team. SAAB serves as a liaison between student-athletes and the athletics administration. Representatives’ main responsibility is to express team concerns and disseminate information to their teams, including information about the programs described above.

Finally, the Department of Athletics’ website includes the following Diversity Statement:
"Appalachian athletics promotes an inclusive culture that fosters equitable participation for student-athletes and equitable career opportunities for coaches, administrators and support staff from diverse backgrounds and perspectives." (appstate.edu/policies-and-procedures/mission-statements/diversity-statement)

5. Describe how matters concerning gender equity for athletics department staff, coaches and student-athletes are monitored, evaluated and addressed on a continuing basis.

Matters concerning gender equity for department staff and coaches are monitored, evaluated and addressed on a continuing basis through many channels. First, as noted before, the Gender Issues Committee of the Athletics Council does an annual survey of coaches and interviews with staff to see if there are any gender equity concerns. Second, the Department of Athletics holds monthly head coaches’ meetings, weekly administrative staff meetings and yearly Department of Athletics meetings where any issue of gender equity can be raised and discussed. Third, the Department of Athletics annually evaluates coaches and staff where any gender issues can be addressed.

The Department of Athletics Policies and Procedures Manual includes numerous policies concerning gender equity. To begin with, the Mission Statement of the Department of Athletics notes, "Appalachian State University is committed to insuring equitable participation and treatment of men, women, and minorities in intercollegiate athletics through its athletics administration, staff, coaches, programs, and policies. The University's policy of nondiscrimination represents a moral and ethical, not merely a legal, imperative." (appstate.edu/policies-and-procedures/mission-statement/athletics-dept-mission-statement) Within the Code of Conduct and Ethics section of the Department of Athletics Policies and Procedures Manual, it is noted that, "An employee will treat fellow employees with courtesy, friendliness, and respect for their personal dignity. They will be mindful of Athletic Department policies that forbid discrimination against any individual by reason of extraneous factors (i.e., race, sex, creed, color, or national origin) in the full and equal employment of the facilities and services of the Athletic Department." (appstate.edu/policies-and-procedures/code-conduct-and-ethics/conductdiscipline) The Department of Athletics also has within their Policies and Procedures Manual a clear Sexual
Harassment Policy which states: "Sexual harassment is considered to be a form of discrimination based on sex and falls within the scope of institutional policies and procedures regarding discrimination. As with other forms of discrimination, the University is committed to maintaining a work and a study environment free of sexual harassment. The University will not tolerate any verbal, nonverbal, or physical behavior, which constitutes sexual harassment. Personnel with supervisory responsibilities are required to take immediate and appropriate corrective action when incidents of alleged sexual harassment are brought to their attention by students, faculty and staff, and applicants for student admission or applicants for employment." Violation of the above policy proven through established procedures outlined below will lead to disciplinary action, including reprimands, suspension or termination of offenders. Sexual harassment is defined as unwelcome sexual advances, requests for sexual favors, and other verbal, nonverbal, or physical conduct of a sexual nature when: Submission to such conduct is made either explicitly or implicitly a term or condition of an individual’s employment or academic decisions; or Submission to or rejection of such conduct may be reasonably construed by the recipient of such conduct as an implication that compliance or non-compliance will be used as a basis for an individual's employment or academic decisions; or (a) Such conduct has the purpose or effect of unreasonably interfering with an individual’s work performance or creating an intimidating, hostile or offensive working environment; or (b) Such conduct has the purpose or effect of emphasizing the sexuality or sexual identity of a student or an employee so as to impair the full enjoyment of educational or vocational benefits, climate or opportunities.

Faculty, staff, and students with complaints of sexual harassment may use the established general grievance procedures of their areas or departments, or may contact the University Equity Officer at (828) 262-2144, for information concerning resolving complaints of sexual harassment or any other form of discrimination. (appstate.edu/policies-and-procedures/personnel/sexual-harrassment-policy)

Appalachian State University also allows opportunities for these discussions outside of the Department of Athletics. Any employee who leaves the university is asked to complete an Exit Interview by the Office of Equity, Diversity and Compliance. Results from those Exit Interviews are sent to the Director of Athletics. Also, the Office of Equity, Diversity and Compliance is "charged with developing, sustaining, and extending living, learning, and working environments that are fair, inclusive and welcoming for all members of the Appalachian State University community". (Mission Statement, Office of Equity Diversity and Compliance website - edc.appstate.edu/) The
Office provides training and outreach, and a resolution process for any member of the Appalachian community who has concerns about unlawful harassment.

To ensure that matters concerning gender equity are monitored, evaluated and addressed on a continuing basis, the Gender Equity Committee of the Athletics Council does an annual survey of student-athletes. Any issues that are discovered through this survey are then addressed based on what needs to be done in that particular case whether it is to include it in the Gender Equity Plan, or refer those concerns to the appropriate body on campus. Student-athletes also have the opportunity through monthly Student-athletes Advisory Board meetings to bring issues concerning gender equity. The Assistant Director of Athletics of Compliance has an eligibility meeting at the beginning of each year where students are informed of the issues concerning gender equity and the options that student-athletes have if they encounter or know of any gender equity issues.

The Student-Athlete Handbook also tells the students the options they have for noting a grievance. "If a student-athlete has a grievance pertaining to any situation or policy, he/she has the option of presenting it to internal personnel including the director of athletics, athletics administrative staff, athletic training staff, and/or strength and conditioning staff. Such grievances may also be presented to external personnel including the dean of students, academic advisors for student-athletes, the Equity Office, the faculty athletics representative, and/or the Center for Student Involvement and Leadership, etc. Discussions with any of these agencies/personnel should then be followed up with the director of athletics for review." The Student-Athlete Handbook also contains The Mission Statement of the Department of Athletics which includes the statement that, "Appalachian Athletics is committed to insuring equitable recruitment, participation and treatment of individuals including members of underrepresented populations through its athletics administration, staff, coaches, programs, and policies. The University's policy of non-discrimination represents a moral and ethical, not merely a legal, imperative." The Student-Athlete Handbook also contains information about the equity office and its availability to students. "The Equity Office is a service unit for all members of the Appalachian campus community who have concerns about unfair treatment based on some form of discrimination. The office provides to Appalachian students, faculty, staff and administrators a neutral and confidential starting place for dealing with these issues. Their professional staff will assist you in a respectful and timely manner. Their main focus is harassment prevention and resolution, education, and diversity outreach. They provide workshops and training programs to support and encourage learning.
working and living environments free from discrimination and harassment. Their office is located in I.G. Greer and they can be reached at (828) 262-2144, or visit their website at edc.appstate.edu/"

Last, the Senior Woman Administrator also has as part of her job description the responsibility to oversee and assist student-athletes and coaches with any concerns related to gender equity. The job description for this position lists the following responsibilities:

- Oversee the health and welfare of the female student-athletes.
- Oversee the health and welfare of the coaches of women's sports.
- Oversee Title IX compliance with Assistant AD for Compliance.
- Advise Director of Athletics on Title IX and gender equity concerns of staff and student-athletes.
- Advise Director of Athletics on Title VII (pay equity) concerns of coaches.
- Advise Director of Athletics on multicultural concerns of staff and student-athletes.
- Serve as an Ex-officio member of the Athletics Council.
- Serve on the Athletics Council Gender Equity Enhancement Committee.
- Serve on the Athletics Council Minority Enhancement Committee.
- Serve as a member of the Southern Conference SWA Association.
- Serve on Southern Conference sport and standing committees.
- Attend Southern Conference fall and spring meetings.
- Serve on NCAA Athletic Certification Steering Committee and any other committees as assigned for certification.
- Serve as NCAA liaison with Athletic Certification.
- Help with alumni functions for women's sports.
- Serve on any NCAA Committees as feasible.
- Any other duties as assigned by the Director of Athletics.

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

The committee examined data from the 2005-06, 2006-07, and 2007-08 EADA reports.

1. Student-Athlete Participation
a. Unduplicated Participation Rates:
   i. 2005-06: 36%/64% (female/male)
   ii. 2006-07: 36%/64% (female/male)
   iii. 2007-08: 36%/64% (female/male)

b. Duplicated Participation Rates:
   i. 2005-06: 37%/63% (female/male)
   ii. 2006-07: 39%/61% (female/male)
   iii. 2007-08: 41%/59% (female/male)

Participation Rates are determined by several factors:

- Appalachian State gives most coaches flexibility to determine roster sizes.
- Football is the only sport that has a roster ceiling. Typically, because of our success 30-35 students demonstrate interest in “walking on” the football squad above the roster limit.
- Additionally, women’s teams are encouraged to maximize roster sizes. Rosters for individual sports remained relatively constant throughout the term with the exception of growth in the women’s track and field roster.
- Appalachian State is committed to growing participation and scholarship opportunities for women’s sports as evidenced in the increased scholarship spending for women’s sports since 2005-06. This provides for more opportunities for female student-athletes.
- The Gender Equity Committee prioritizes scholarship growth for our current women’s sports teams to maximum capacity before adding a new sport, which the committee identified as women’s lacrosse.
- For unduplicated participants, the percentage stayed consistent through the three years studied. The numbers for women increased by 4 and the men’s number stayed the same.
- For duplicated rates, the number for women increased 2% annually because of an increase in women participating in more than one sport. For dual sport student-athletes, the numbers for women increased by 39, while the numbers for men increased by 4. The committee feels this is a positive trend.

2. Head Coaches
a. For all three years, the same number and proportion of head coaches were available for men's and women's sports.
   i. 2005-06: 9 female sports and 9 male sports
   ii. 2006-07: 9 female sports and 9 male sports
   iii. 2007-08: 9 female sports and 9 male sports

b. Gender
   i. Men's Teams: All nine head coaches were males.
   ii. Women's Teams: 3 of the 9 head coaches were females for all three years studied.

- While not reflected in this study, since 2007-2008, the Athletics Department increased the gender balance in head coach hiring practices to 5 of 9 head coaches of women’s sports being female. This reflects a demonstrated commitment by the athletics department. The committee applauds the hiring practices since 2008 and will conduct a trend study in this area going forward.

3. Assistant Coaches
   a. Each year, the number of assistant coaches increased for women's sports.
      i. 2005-06: 15 assistant coaches for female sports and 26 assistant coaches for male sports, including one female assistant coach for a male sport.
      ii. 2006-07: 17 assistant coaches for female sports and 29 assistant coaches for male sports, including one female assistant coach for a male sport.
      iii. 2007-08: 19 assistant coaches for female sports and 29 assistant coaches for male sports, including two female assistant coaches for male sports.

- While the number of assistant coaches for men's sports increased slightly, the number of assistant coaches for women's sports increased by a greater margin.

- More of the assistant coaches who were added for women’s sports were female and more of the new female assistant coaches were full-time. This was due to a concerted effort on the part of Athletics to increase opportunities and provide stability in coaching for women’s sports.

- The committee applauds the hiring practices since 2008 and will conduct a trend study in this area going forward.
7. For the three most recent academic years in which information is available, analyze the institution’s NCAA financial report (revenue and expense categories). If any differences exist, the institution must explain (using supporting data) and address any deficiencies in the gender-issues plan for improvement.

A review of each revenue category from the NCAA Financial Survey data for the years 2005-06, 2006-07 and 2007-08 was conducted. Inconsistent coding and reporting of revenues for the three most recent academic years impaired the committee’s ability to make a thoughtful and thorough review of most all the revenue categories. For instance, the following revenue categories had some data reported for one year but not all three, or data reported for some sports and not others:

4. Contributions
5. Compensation and Benefits Provided by a Third Party
9. NCAA/Conference Distributions including tournament revenues
12. Royalties, Licensing, Advertisements and Sponsorships

The following revenue categories are treated by Athletics as gender-neutral. Therefore, no action is required at this time:

2. Student Fees
8. Indirect Facilities and Administrative Support
10. Broadcast, Television, Radio, and Internet Rights
14. Endowment and Investment Income

The following revenue categories had $0 reported for the three-year period:

6. Direct State or Other Government Support
13. Sports Camp Revenues (Sports camps are run by a different department on campus that is independent of athletics).

1. Revenues
   a. Ticket Sales
      i. Football
         1. 2005-06: $601,254
         2. 2006-07: $929,117
         3. 2007-08: $1,564,177
      ii. Men's Basketball
         1. 2005-06: $45,044
         2. 2006-07: $57,635
3. 2007-08: $79,650

iii. Women's Basketball
   1. 2005-06: $1,951
   2. 2006-07: $5,707
   3. 2007-08: $2,035

iv. Volleyball
   1. 2005-06: $2,474
   2. 2006-07: $3,105
   3. 2007-08: $1,304

• Football ticket sales demonstrate the growth of revenue from team's success.

b. Guarantees

i. Football
   1. 2005-06: $770,824
   2. 2006-07: $230,000
   3. 2007-08: $460,500

ii. Men's Basketball
   1. 2005-06: $167,000
   2. 2006-07: $145,000
   3. 2007-08: $90,000

iii. Women's Basketball
   1. 2005-06: $16,000
   2. 2006-07: $2,000
   3. 2007-08: $12,500

• Coaches negotiate game guarantees when securing games or matches each year. Football and men's basketball are required to bring in a pre-set guarantee amount that goes back to the overall Athletics Department budget. Any additional dollars either generates is placed in their operating budget. All other men's sports and all women's sports are allowed to keep all guarantee money to supplement their operating budgets.

• Football guarantees fluctuated due to scheduling change with LSU (2005), in-state game versus NC State in 2006, and game at Michigan (2007).

   c. Direct Institutional Support
i. Men’s Teams
   1. 2005-06: $26,125
   2. 2006-07: $127,513
   3. 2007-08: $290,956

ii. Women’s Teams
   1. 2005-06: $15,675
   2. 2006-07: $123,384
   3. 2007-08: $568,566

iii. Gender Neutral
   1. 2005-06: $8,818
   2. 2006-07: $12,600
   3. 2007-08: $122,627

- This category includes forty-nine (49) $950 out-of-state tuition waiver that the Athletics Department could use for any out-of-state athlete already on some athletic aid prior to 2007-08.
- In 2006-07, the State of North Carolina awarded each UNC System University with a conditional number of full out-of-state waivers for any full out-of-state scholarship students and student-athletes. The net effect of the waiver is included beginning in 2007-08. The waiver was rescinded in 2010-11.

d. Program Sales, Concessions, Novelty Sales, and Parking

i. Football
   1. 2005-06: $123,889
   2. 2006-07: $145,762
   3. 2007-08: $322,269

ii. Women’s Sports
   1. 2005-06: $0
   2. 2006-07: $0
   3. 2007-08: $0

iii. Gender Neutral
   1. 2005-06: $196,058
   2. 2006-07: $0
   3. 2007-08: $152,251
• Based on public demand, programs are sold only at football games.
• Reserved parking for football and men’s and women’s basketball is allocated on priority points generated through the Yosef Club.
• The athletics department operates concessions are run by Athletics for home football games, while concessions for volleyball and both basketballs are operated by the Holmes Center staff.
• Any other monies generated in this area are considered gender-neutral.
  e. Total Revenue
    i. Men’s Sports
       1. 2005-06: $1,909,282 (21%)
       2. 2006-07: $1,895,391 (18%)
       3. 2007-08: $4,274,675 (31%)
    ii. Women’s Sports
       1. 2005-06: $104,437 (1%)
       2. 2006-07: $158,219 (2%)
       3. 2007-08: $436,912 (3%)
    iii. Gender Neutral
       1. 2005-06: $7,096,344 (78%)
       2. 2006-07: $8,432,021 (80%)
       3. 2007-08: $8,886,609 (66%)
• A majority of total revenue is reported as gender-neutral even though it is rational to assume that the upswing in revenues, included most listed as gender neutral, is the result of successful marketing of three consecutive NCAA football national championships and a win at Michigan. The increased revenue clearly impacts the overall budget of the Athletics Department.
2. Expenses:
   a. Athletics Student Aid
      i. Women’s Sports
         1. 2005-06: $820,029 (34%)
         2. 2006-07: $863,399 (35%)
         3. 2007-08: $1,035,910 (37%)
ii. Men’s Sports

1. 2005-06: $1,582,543 (66%)
2. 2006-07: $1,583,826 (65%)
3. 2007-08: $1,741,946 (63%)

- A positive trend in the percentage increase for women in athletics student aid for the three years was observed.
- Roster sizes, including the larger football squad size, are a contributing factor in the differential.
- Going forward, the Gender Issues Committee identified the addition of one female sport as a future goal.

b. Coaching Salaries, Benefits and Bonuses Paid by the University and Related Entities

i. Head Coaches (Average Salaries)

1. Women’s Sports
   a. 2005-06: $45,023
   b. 2006-07: $45,746
   c. 2007-08: $57,909

2. Men’s Sports
   a. 2005-06: $64,913
   b. 2006-07: $60,690
   c. 2007-08: $101,053

- Upon review by the committee, two factors need mentioning.
  o All head coach salaries include summer camps and clinics income because these are organized by another campus entity and included as earned University income. Because several seasoned men’s head coaches earn significant income as compared with women’s head coaches from camps, this fact greatly skews these annual figures.
  o In 2007-08, a market-justified salary increase and bonuses for the head football coach, who won his third consecutive national championship, and led the team in beating Michigan, was paid.

- Also, it should be noted that the Director of Athletics uses the Southern Conference
financial survey, coach experience, team success, and market value in establishing all salaries, including each head coach’s salary.

ii. Assistant Coaches (Average Salaries)

1. Women’s Sports
   a. 2005-06: $26,785
   b. 2006-07: $26,631
   c. 2007-08: $26,390

2. Men’s Sports
   a. 2005-06: $35,728
   b. 2006-07: $37,982
   c. 2007-08: $49,522

- Upon review by the committee, the 2007-08 men’s assistant coach salaries dramatically increased due to two factors.
  - Market-justified salary increase and bonuses for the assistant football coaches, who won their third consecutive national championship.
  - There was a reporting change, which included camps and clinic income for all coaches. Several long-serving men’s coaches conduct very lucrative summer camps benefitting their assistant coaches.

- Also, it should be noted, the Director of Athletics uses the Southern Conference financial survey, coach experience, team success, and market value in establishing all salaries, including assistant coaches salaries.
  c. Coaching, Other Compensation and Benefits Paid by a Third Party
     i. Insufficient data to provide and explain any meaningful differences because in reality no coach earns any discernable income from third parties.
  d. Support Staff/Administrative Salaries, Benefits and Bonuses paid by the University and Related Entities
     i. All support salaries are listed as gender neutral.
     ii. While that data is limited, any bonuses given over the three years were related to winning three consecutive football national championships and the increased work required to host three additional home football games and one neutral-site championship game.
Recruiting Expenses

1. Women's Sports
   a. 2005-06: $116,059
   b. 2006-07: $96,067
   c. 2007-08: $102,050

2. Men's Sports
   a. 2005-06: $121,602
   b. 2006-07: $140,215
   c. 2007-08: $288,127 (True amount is $206,444.38 – see note below in 5th bullet)

- In an effort to recognize the fluidity of recruiting needs from year-to-year, all head coaches are given flexibility to determine their recruiting budgets and expenditures based on adherence to an overall operating budget.
- In each year studied, women's basketball spent more per capita than any other sport.
- In 2006-2007 and 2007-2008, football spent the most on recruiting dollar-wise. This was a direct result of the first national championship and more aggressive recruiting practices like hosting more official visits and spring recruiting visits.
- In 2006-2007, women's basketball reduced their recruiting expenses by $21,000. In 2007-2008, they only spent $5,000 more than the previous year, which caused the decrease on the women's side.
- In 2007-2008, this is the first year when an assessment was done to include the value of courtesy cars as an expense, but “netted” out in another line item of the department’s budget. This resulted in an $81,682.62 increase to the football recruiting line that should not be included in the report as reflected above. Additionally, out-of-state air travel increased by $10,000 as football recruited more out-of-state student-athletes given the team's recent competitive success.
- Over the three-year span, women's basketball, women's soccer, women’s tennis, women’s golf, softball, and volleyball spent more per capita than their male counterpart.
• The proportional difference between the men and the women is attributable to differences in recruiting practices for gender-comparable sports.

• In the 2010-2015 Gender Equity plan, the subcommittee included a three-year trend study to evaluate this area.

f. Team Travel

1. Women’s Sports
   a. 2005-06: $224,909
   b. 2006-07: $276,311
   c. 2007-08: $306,513

2. Men’s Sports
   a. 2005-06: $460,606
   b. 2006-07: $393,432
   c. 2007-08: $586,263

• Because travel schedules, especially Southern Conference scheduling, change annually, all head coaches are given flexibility to determine their team travel expenses based on an overall operating budget. For example, every other year, the football program plays three conference games at three of the four longest travel distances from Boone instead of an equal split of two each year. Both basketballs play divisional opponents annually, but rotate non-divisional opponents, so this impacts consistent evaluation of “like” destinations from year-to-year.

• As expected, travel expenses are greater for football than any other sport. In 2005 and 2007, football had large charter aircraft for one game each season at a minimal cost of $100,000 each, but in 2006 football bused to Raleigh for a game against NC State. The travel party attending away football games explains this. Part of this differential is offset by the large game guarantees football generates for use by the entire athletics department.

• Over the three-year span, women’s soccer, women’s golf, softball, and volleyball spent more per capita than their male counterpart.

• In the 2010-2015 Gender Issues Plan, the subcommittee included a three-year trend to evaluate this area.
g. Equipment Uniforms and Supplies

1. Women’s Sports
   a. 2005-06: $139,079
   b. 2006-07: $123,370
   c. 2007-08: $122,999

2. Men’s Sports
   a. 2005-06: $266,461
   b. 2006-07: $263,451
   c. 2007-08: $336,781

3. Gender Neutral
   a. 2005-06: $63,545
   b. 2006-07: $0
   c. 2007-08: $0

- Because of roster sizes and needs for equipment, uniforms and supplies, all head coaches are given flexibility to determine these expenses based on an overall operating budget.
- Equipment supply and repair for football skews this line item given the wear-and-tear issues related to a contact sport, the increased roster size, and requirements for outfitting these student-athletes safely. According to Director of Team Services Josh Thompson, it costs between $900-$1,000 to properly and safely outfit a football player. Over this three-year period, football chose to replace ineffective and unsafe shoulder padding, helmets, and knee braces at a cost of approximately $300 for each piece of equipment.
- Over the three-year span, women’s basketball, women’s golf, softball, and volleyball spent more per capita than their male counterpart.
- In the 2010-2015 Gender Issues Plan, the subcommittee included a three-year trend study to evaluate this area.

h. Game Expenses

1. Women’s Sports
   a. 2005-06: $29,748
   b. 2006-07: $47,790
2. Men's Sports
   a. 2005-06: $69,027
   b. 2006-07: $206,747
   c. 2007-08: $281,796

3. Gender Neutral
   a. 2005-06: $18,174
   b. 2006-07: $70,477
   c. 2007-08: $0

• Because of a significant growth in the seating capacity of Kidd Brewer Stadium and dramatic attendance increases the game operations costs for football games in areas like security and concessions caused this increase.

• However, upgrades to the stadium facilities do positively impact the women's sports that utilize the stadium, such as field hockey and women's track and field.

i. Fundraising, Marketing and Promotion
   1. Gender Neutral
      a. 2005-06: $401,339
      b. 2006-07: Not Reported
      c. 2007-08: $171,461

j. Facilities
   1. Women's Sports
      a. 2005-06: $38,747
      b. 2006-07: $2,772
      c. 2007-08: $0

   2. Men's Sports
      a. 2005-06: $117,832
      b. 2006-07: $19,867
      c. 2007-08: $0

   3. Gender Neutral
      a. 2005-06: $318,201
      b. 2006-07: $308,687
      c. 2007-08: $862,430
As mentioned previously, the athletics department’s facility growth is supplemented by growth in operating revenues. The gender neutral expenses are costs incurred in building or renovating facilities.

k. Medical Expenses and Medical Insurance

1. Women’s Sports
   a. 2005-06: $0
   b. 2006-07: $6,339
   c. 2007-08: $0

2. Men’s Sports
   a. 2005-06: $0
   b. 2006-07: $12,980
   c. 2007-08: $23,851

3. Gender Neutral
   a. 2005-06: $204,373
   b. 2006-07: $223,043
   c. 2007-08: $406,860

For the majority, medical expenses are paid not related to specific sports or gender. The athletic training budget covers all expenses. For those student-athletes who qualify, the NCAA Special Assistance Fund, reimburses the athletic training budget.

Medical insurance is paid through the same fund for all full scholarship international students since they are required to have University insurance by the University.

Any money allocated to specific teams in the three years studied is only for those student-athletes identified above. Otherwise, the expenses are covered not related to gender.

l. Memberships and Dues

1. Women’s Sports
   a. 2005-06: $5,505
   b. 2006-07: $5,173
   c. 2007-08: $7,233
2. Men's Sports
   a. 2005-06: $2,071
   b. 2006-07: $4,604
   c. 2007-08: $4,223

3. Gender Neutral
   a. 2005-06: $12,000
   b. 2006-07: $6,744
   c. 2007-08: $7,289

   - Coaches are allowed to join their coaches associations and pay for going to their conventions out of this line item. No differences by gender are apparent.

m. Total Operating Expenses

1. Women's Sports
   a. 2005-06: $2,140,396 (24%)
   b. 2006-07: $2,265,719 (22%)
   c. 2007-08: $2,650,143 (19%)

2. Men's Sports
   a. 2005-06: $4,147,993 (46%)
   b. 2006-07: $4,273,686 (41%)
   c. 2007-08: $6,185,784 (45%)

3. Gender Neutral
   a. 2005-06: $2,753,951 (30%)
   b. 2006-07: $3,973,763 (37%)
   c. 2007-08: $4,851,261 (36%)

   - These expenses increased each year for both genders at a similar dollar rate, except in 2007-08. This increase is mainly attributable to added expenses and bonuses with the third football national championship and win at Michigan.

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 (any differences should be clearly explained in the institution’s narrative response, including any deficiencies the institution identifies in its analysis); and

d. Explain how the institution’s written, stand-alone plan for gender issues addresses each of the 17 areas, including any deficiencies identified in the institution’s narrative response as listed in (c) above.

[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.]

1. Accommodation of Interests and Abilities. Participation proportionate to enrollment; and/or, history and continuing practice of program expansion for the under represented gender within the athletics program; and/or, full and effective accommodation for the under represented 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. This study must be conducted as part of the self-study process; The Athletics Council has a Gender Equity Committee, which evaluates annually the program areas required by the NCAA. The Gender Equity Committee evaluated the 17 program areas this year and provided the data collected to the Gender Issues Subcommittee of the NCAA Recertification Steering Committee for their analysis. For this area, a survey was sent to all freshmen at Appalachian. This survey is sent to freshmen each year and the questions used by the Gender Equity Committee are only part of the questions the university asks all freshmen. The North Carolina High School Athletics Association (NCHSAA) provided data on the types of sports sanctioned by NCHSAA and the number of high schools that have each type of sport in North Carolina. Data was obtained from the Ad hoc Task Force that was created to study the plausibility of adding a women’s sport.

b. Provide data demonstrating the institution’s status and commitment, including resource allocation, across each of the 17 areas; Survey data obtained in Fall 2009 from freshmen at Appalachian indicated that other women’s sports are of interest to female students. However, there was no significant interest in any one particular women’s sport. Of the 788 non-athlete, female students who returned the survey, 65 (8%) reported that they would like to participate at Appalachian in a NCAA Varsity Sport. Of the 65 females, 27 indicated they would like to participate
in an NCAA Varsity Sport currently not offered. The sports indicated by these students were Bowling (1), Lacrosse (1), Rugby (4), Water Polo (1), Rowing (1), Swimming/Diving (5), and Other (14). Of the four emerging sports sponsored by the NCAA, only Equestrian (4) was mentioned. All of the other sports mentioned were not NCAA-sponsored, such as: Archery (1), Dance Team (10), Badminton (1), Band (3), Dodge Ball (7), Jiu-Jitsu (1), Cheerleading (7), Quidditch (4), Racquetball (1), Frisbee (6), Rock Climbing (3), Snowboarding (1), and Walleyball (1). The survey was sent to all new freshmen (2,743 total, 1,475 females and 1,268 males). 1,230 freshmen returned the survey. Of those who completed the survey, 814 were female and 416 were male. Of those who completed the survey 48 (26 females and 22 males) were current student-athletes and 1,182 were not student-athletes (788 females and 394 males). The committee focused on the results of the non student-athletes. Data was also gathered from the North Carolina High School Athletics Association in Spring 2010. While the above data is collected on an annual basis, an additional step was taken in 2008-09 and 2009-2010 to ensure that Appalachian could meet the interests of students in the future. An Ad Hoc Taskforce was created to study the plausibility of adding a women’s sport. The committee studied 16 NCAA-sponsored Sports or NCAA emerging sports for women. Criteria consisting of 14 items were applied to all 16 sports. The committee presented its report and recommendations to the Athletics Council and to the Director of Athletics for further consideration. The Ad Hoc Taskforce Committee Recommendations were: 1) Do a cost analysis comparing the addition of Women’s Lacrosse, Women’s Swimming or Women’s Sand Volleyball. (Currently, there are no statistics on Women’s Sand Volleyball because it was just added as an emerging sport and in the planning process with NCAA.) and 2) Based on our analysis, we would recommend adding Women’s Lacrosse initially with future study to determine if another sport such as Women’s Swimming or Women’s Sand Volleyball should be added in order to comply with the proportionality test for Title IX.

c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of the under represented gender within the athletics program (any differences should be clearly explained in the institution’s narrative response, including any deficiencies the institution identifies in its analysis); A thorough evaluation and analysis of the freshmen survey data show that there is no significant interest in an NCAA-sanctioned sport beyond what is currently offered by the institution. Data gathered from the North Carolina High School Athletics Association also did not indicate the need for an additional sports team. Appalachian State uses Prong 3 as the
method to fully and effectively accommodate the under-represented sex, which is to accommodate the interests and abilities of our students.

d. Explain how the institution’s written, stand-alone plan for gender issues addresses each of the 17 areas, including any deficiencies identified in the institution’s narrative response as listed in (c) above. The Gender Issues Plan for 2010-2015 indicates that no issue was identified but that a maintenance plan is included. The maintenance plan includes the continued use of the athletic interest survey among the freshmen student population and the continued collection of information concerning the North Carolina High School Athletics Association's sports offerings and sports sanctioning by the Gender Equity Committee. Another part of the maintenance plan is to continue to assess ongoing compliance with Prong 3 of Title IX. The maintenance plan also includes the goal of studying the current survey instrument to make the results more meaningful and to investigate with the Director of Admissions whether it is possible to have the survey sent to all female applicants to Appalachian. The plan also includes evaluating Prong 3 by utilizing surveys and assessment methods, which the committee will do on a biennial basis.

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. This study must be conducted as part of the self-study process;

The Athletics Council has a Gender Equity Committee, which evaluates annually the program areas required by the NCAA. The Gender Equity Committee evaluated the 17 program areas this year and provided the data collected to the Gender Issues Subcommittee of the NCAA Recertification Steering Committee for their analysis. The Business Manager for the Department of Athletics provided data concerning the scholarship money awarded and spent. The Senior Associate Director of Athletics/Senior Woman Administrator provided information on how the money awarded and spent translates into scholarships.

b. Provide data demonstrating the institution’s status and commitment, including resource allocation, across each of the 17 areas; In 2009-10, additional scholarships were awarded to the Women’s Field Hockey Team (1.5), the Women’s Golf Team (1.5), the Women’s Soccer Team (2), the Softball Team (2), the Women’s Tennis Team (1), and the Women’s Track & Field/Cross Country Team (1.5). The unduplicated rate of participation in the intercollegiate athletics program at ASU is 64% men and 36% women. The percentage of scholarship money spent was 59% men and 41% women. Since the 2006-07 year, the State of North Carolina allowed each University in
the UNC System to grant in-state residency status for admissions purposes to any out-of-state student who receives a full instate scholarship, whether academic or athletic. These "waivers" made a difference in allowing the Department of Athletics to help all sport teams increase scholarship assistance to their coaches. This program may be in jeopardy of being cut, which will cut into all the strides the department has made in attracting top-level student-athletes from all over the nation to Appalachian. The department has to find a way to raise funds to cover over $10,000 per scholarship to replace what could be lost if the program is cut.

c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of the under represented gender within the athletics program (any differences should be clearly explained in the institution's narrative response, including any deficiencies the institution identifies in its analysis); Athletics spends in scholarship dollars over the +/- 1% of the unduplicated participation numbers of women student-athletes. In 2009-10, Athletics has 93 out-of-state student-athletes on the out-of-state waivers. Of the 93 student-athletes, 43 are females, making the percentage of women on the waivers at 46%. Again, this is an advantage for the female student-athletes and shows that Athletics is using the waivers to help improve the scholarship situation for women's sports programs.

d. Explain how the institution's written, stand-alone plan for gender issues addresses each of the 17 areas, including any deficiencies identified in the institution's narrative response as listed in (c) above. The Gender Issues Plan states that Athletics will continue to award athletically related financial aid to female student-athletes within one percent of their unduplicated participation rate. While Athletics is now meeting that commitment, the committee would like to see Athletics fully fund all of its women’s teams before considering the addition of a women’s sport. The Gender Equity Committee will annually monitor that progress for all the women's sports. One additional way to monitor that area will be to conduct a trend study of the three most recent years of the NCAA Financial Survey, which the committee will undertake on an annual basis.

3. Equipment and Supplies. Quality; amount; suitability; maintenance and replacement; availability of equipment and supplies.

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; The Athletics Council has a Gender Equity Committee, which evaluates annually the program areas required by the NCAA. The Gender Equity Committee evaluated the 17 program areas this year and provided the data collected to the Gender Issues Subcommittee of the NCAA Recertification Steering Committee for their analysis.
For this area a survey utilizing the survey questions available in Valerie McMurtrie Bonnette’s Self-Evaluation Workbook, “Title IX and Intercollegiate Athletics” was sent to all coaches in the winter of 2010. Data from the survey is not provided to this committee yet as it is still being conducted.

b. Provide data demonstrating the institution’s status and commitment, including resource allocation, across each of the 17 areas; Appalachian signed a new Nike contract in Fall 2008, which led to all new equipment and supplies. Thus, a new policy is being developed to ensure equity in the equipment and apparel rotation. This policy should be in place and disseminated by Fall 2010. Currently, survey research is being conducted to determine how often each coach rotates his or her apparel and what his or her team’s need in terms of equipment and apparel rotation.

c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of the under represented gender within the athletics program (any differences should be clearly explained in the institution’s narrative response, including any deficiencies the institution identifies in its analysis); Until the research data can be compiled and studied, no comparison can be conducted. It is not known if there are any deficiencies in what equipment and apparel the women’s teams have received versus the men’s teams. One women’s team felt that they were not receiving similar apparel to the same men’s team in the past. That coach is no longer employed and that situation changed with the new coach. With the Nike contract, it appears that teams are purchasing similar apparel and that teams are receiving what they need for their sport. The research will determine how Athletics needs to proceed.

d. Explain how the institution’s written, stand-alone plan for gender issues addresses each of the 17 areas, including any deficiencies identified in the institution’s narrative response as listed in (c) above. Athletics is currently conducting a study of the equipment and apparel rotation that is not complete as of the writing of this area. So, the Gender Equity Committee is continuing its commitment in the new plan that Athletics finish the study, write a written equipment and apparel rotation policy, and disseminate it to the coaching staffs and administrators. Compliance with the new policy will be studied every four years. The Gender Equity Committee also feels the need to conduct a trend study of the three most recent years of the NCAA Financial Surveys on an annual basis to study what each sport spends in these areas and compare it by gender.

4. Scheduling of Games and Practice Times. 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. This study must be conducted as part of the self-study process; The Athletics Council has a Gender Equity Committee, which evaluates annually the program areas required by the NCAA. The Gender Equity Committee evaluated the 17 program areas this year and provided the data collected to the Gender Issues Subcommittee of the NCAA Recerti-

fication Steering Committee for their analysis. For this area, surveys were administered to a representative sample of student-athletes and sent to all coaches. The Associate Director of Athletics for Facilities was interviewed as well.

b. Provide data demonstrating the institution’s status and commitment, including resource allocation, across each of the 17 areas; 100% of coaches who responded to the survey feel that the scheduling of game times for all teams is equitable. 93.8% of the coaches who responded felt that the scheduling of practice times is equitable and that all teams are receiving equal pre- and post-season opportunities. One coach suggested that the Sofield Indoor Practice Schedule was always based on football whether they are in or out of season and that a sport in season should have priority. 100% of student-athletes surveyed felt that the scheduling of game times was equitable. 89.3% of them felt that the scheduling of practice times was equitable. 96.4% of them felt that all sports teams receive equal pre- and post-season opportunities. A few student-athletes felt that their teams had to schedule practice times around football, especially the field hockey team. Several noted the need for increased rest time. Some commented on the need to have less mid-week games before 6:00pm because of the difficulty in catching up in the classes that they miss. The Associate Director of Athletics for Facilities feels that game times are scheduled equitably. He noted that at the Ted Mackorell Soccer Complex, the policy is that in double headers, the team playing the opponent from the farthest distance away plays in the first slot. At Kidd Brewer Stadium, Field Hockey schedules games at 7:45pm or later on days that football practices until 7:00pm. This measure is in place to ensure that field hockey had adequate warm-up time before games. He also felt that practice times were scheduled equitably. He noted that in many cases teams work above and beyond what is required to help other teams secure practice facilities. For example, the men’s tennis team coach helps broker practice times at a local indoor court for the women’s tennis program. And recently a deal has been worked out with another indoor facility for the women’s tennis team to use. He also discussed how the volleyball team and both basketball teams work together to schedule their practice times. The team playing the next scheduled competition in the venue has scheduling priority for the preceding day’s practice time. The soccer teams have two regulation fields. The team with the next home game on the schedule is given


priority to practice on the game field on the preceding day. The softball program has worked out an arrangement with the baseball program to use their turf field for practice when the softball field is too wet and the indoor practice facility is unavailable. The coaches for the teams work out the times when these instances arise. Practice space allocation is given based on the teams that are in their traditional season. The policy for practice and competition scheduling is included in the Department of Athletics Policies and Procedures Handbook. It states:

"Basic Rules for Practice Priority: Coaches are asked to try and settle practice time conflicts among themselves first, keeping the following rules in mind. Teams that are in-season get priority over teams that are out-of-season. Teams in post-season have priority over teams in pre-season or in-season non-conference competition. When in-season teams have conflicts for the same facility (i.e., HCC) the team that plays at home next is scheduled in the competition site and the other team is scheduled in the next best available facility. Some conflicts are settled merely by the fact that one team has more members and, therefore less flexibility to change times (e.g., class conflicts). In cases where conflicts must be worked out but things appear to be equal, the team that gets the better situation in the first conflict will get second choice for the next similar conflict. If no solution is determined among the coaches with conflicts, then the Associate Director of Athletics for Facilities will intervene. If needed, the sport administrators will also get involved.

Basic Rules for Competition Priority: Coaches are to send around their team’s proposed schedule form for the next year as soon as possible for approval. It must be signed off by the Director of Academic Services for Student-Athletes, the Assistant Director of Athletics for Compliance, the Associate Director of Athletics for Facilities and the sport administrator before it can be released publically. That also allows time to look at schedules to try and ward off any conflicts before schedules go public. Coaches again are asked to try and solve conflicts keeping the following rules in mind. No team is allowed to play during a home football game because of staffing issues. If two teams have competitions at the same facility on the same day, the team whose opponent is traveling the farthest shall have the right to play in the first time slot. Teams may at times have to change home game times to accommodate a TV game at the same facility. Post-season competition has priority over pre-season competition." (appstate.edu/policies-and-procedures/facilities/practice-competition-priority-scheduling)

Each sport was looked at to determine if they scheduled the maximum number of competitions allowed by the NCAA. Half of the teams scheduled the maximum number allowed (5 men’s teams and 5 women’s teams). The coaches who did not schedule the maximum number noted various
reasons for doing so, including a scheduling conflict which cancelled a game, weather cancellations, having more away games than usual, and the hiring of a new coach. No coach indicated that gender equity was a reason for not scheduling the maximum number of competitions.

c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of the under represented gender within the athletics program (any differences should be clearly explained in the institution's narrative response, including any deficiencies the institution identifies in its analysis); and Based on the surveys collected and the interview with the Associate Director of Athletics for Facilities, no gender issues were found regarding scheduling of games and practice time. Though some took issue with scheduling some practice times around football, the Gender Equity Committee understands that this is more of a logistics issue regarding numbers of players than gender inequity. Working around the schedule of over 100 football players is more difficult than teams with fewer players.

d. Explain how the institution's written, stand-alone plan for gender issues addresses each of the 17 areas, including any deficiencies identified in the institution's narrative response as listed in (c) above. The Gender Issues Plan includes a plan to continue to monitor this area. The Gender Equity Committee will study scheduling of games and practice times by conducting the student-athlete and coaches survey on a biennial cycle. The Committee will also meet with the Associate Director of Athletics for facilities and examine practice schedules on a biennial cycle.

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. This study must be conducted as part of the self-study process; The Athletics Council has a Gender Equity Committee, which evaluates annually the program areas required by the NCAA. The Gender Equity Committee evaluated the 17 program areas this year and provided the data collected to the Gender Issues Subcommittee of the NCAA Recertification Steering Committee. For this area, surveys were administered to a representative sample of student-athletes and sent to all coaches.

b. Provide data demonstrating the institution’s status and commitment, including resource allocation, across each of the 17 areas;

The subcommittee reviewed each sport’s budget and actual expenditures through December 2009 and then the fiscal year 2009-10 sport budgets.
Written documents used to investigate this area included:

- 2009-10 Student-Athlete Planner (Planner)
- 2007-12 Gender Equity Plan
- December 2009 actual sport budgets
- 2009-10 Fiscal Year Sport Budgets
- 2009-10 Budget Comparison by Sport/Gender

The subcommittee conducted surveys with the following individuals:

- 28 student-athletes from SAAB
- 12 Head Coaches
- 4 Assistant Coaches

In person interviews were also conducted with the following individuals:

- 2 Sport Administrators

Budgets for each sport are determined in a fair and equitable manner. Each year the Director of Athletics, in consultation with the sport administrators, determines three areas for each sport budget: operating budget, scholarship budget and salaries. Each head coach then has discretion to allocate his or her operating budget to the different budget categories within the operating budget. But overall, the Director of Athletics just wants to make sure each sport stays within their total operating budget, or has sufficient auxiliary funds to make up the difference. Athletics is committed to providing appropriate travel to include transportation, housing and meals for each team and in a fair and equitable manner.

Gender Issues Student Survey

Of the 28 student-athletes who responded to the Gender Issues Student Survey 15 (54%) were female and 13 (46%) were male. All teams were represented, with the exception of men’s basketball. The majority of the students who responded to the survey are Junior and Senior (20 total or 71%), the remainder are underclassmen. 85.7% of surveyed student-athletes believe that modes of transportation are allocated in a fair and equitable manner. 89.3% of the sample felt that housing during travel was allocated in a fair and equitable manner. 78.5% indicated that 2 or 3 students stay in each room. 100% of the sample indicated that equitable lengths of stay before and after competition were available. 82.1% felt that an equitable dining and per diem allowance was available. 96.4% of the sample indicated that the coach paid for their meals on trips. In cases where money was given out by the coach, 89.3% indicated that the approved allocation was given.
Sixteen coaches responded to the Gender Issues Coaches Survey. All sports are represented in the survey with the exception of field hockey, football, and men's tennis. 100% of the coaches who responded indicated that modes of transportation are equitable and fair. 81.8% of coaches believe the housing during travel was allocated in a fair and equitable manner. Most coaches indicated that there are 2-3 teammates in each room. 93.8% of coaches felt that equitable lengths of stay were available to teams. 90% of the coaches felt that equitable meals or per diem allowances were available. Majority of coaches indicated that they paid for meals most of the time and that when they didn't, they gave the allowable amount of money to each teammate.

c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of the under represented gender within the athletics program (any differences should be clearly explained in the institution's narrative response, including any deficiencies the institution identifies in its analysis); Analysis of the data suggests that continued evaluation of per diem allowance for teams, mode of team transportation, and number of student-athletes who are staying in a hotel room on road trips needs to occur. An analysis of the data did suggest that studying this annually as a snapshot picture (cross sectional study) is not very helpful. It appears that a trend study would be more helpful in being able to look at these issues over time and comparatively between men's and women's sports.

d. Explain how the institution’s written, stand-alone plan for gender issues addresses each of the 17 areas, including any deficiencies identified in the institution's narrative response as listed in (c) above. The 2010-2015 Gender Issues Plan recommends that the Gender Equity Committee continue to monitor transportation, housing, length of stay at away contests, dining arrangements and per diem allowances through coach and student-athlete surveys. The plan also includes requiring coaches to provide meals for all trips and breaks and no meal money is to be given to student-athletes. Sport administrators will be required to collect rooming lists for road trips for sports as well. These steps will ensure that equitable per diems and hotel arrangements are maintained and will be monitored on a biennial basis. The plan also includes the goal of conducting a trend study of team travel so that a more thorough analysis can be done of the issues surrounding team travel. The Gender Equity Committee will analyze the three most recent years of the NCAA Financial Survey concerning team travel and report and address any issues discovered to the Director of Athletics, the Senior Woman Administrator, and the individual or
office responsible. This will be done on an annual basis by dropping the oldest year and adding the newest year.

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. This study must be conducted as part of the self-study process; The Athletics Council has a Gender Equity Committee, which evaluates annually the program areas required by the NCAA. The Gender Equity Committee evaluated the 17 program areas this year and provided the data collected to the Gender Issues Subcommittee of the NCAA Recertification Steering Committee. The Self Study for this program area included the following evaluations:

- Review of the NCAA Academic Support Services Evaluation, conducted Fall 2009 by the NCAA Academic Support Services Evaluation Committee
- Review of the Learning Assistance Program Annual Report
- Interviews with Director, Senior Associate Director and Eligibility Certification Specialist, Academic Services for Athletes
- Interview with Director, University Tutorial Services

The NCAA Academic Support Services Evaluation provided a comprehensive evaluation of the eight areas required in the NCAA and National Association for Academic Advisors for Athletics Academic Support Services Evaluation Guide and six additional areas. This evaluation is included in the Appendix. The Evaluation Committee members were: Anthony Calamai, Dean of the College of Arts and Sciences; Susie Greene, Dean of Students; Neva Specht, Associate Professor of History; Peter Wachs, Associate Director of Assessment; and Martha Wilson, Senior Associate Registrar. Review of these evaluations for program area six focused on criteria for availability and access to academic services to determine that they were based on student-athlete academic profiles and/or performance, rather than on gender.

b. Provide data demonstrating the institution's status and commitment, including resource allocation, across each of the 17 areas; The following academic support services are provided by the Office of Academic Services for Student-Athletes (ASA). A brief description of each service and the criteria for access to services is provided.

Academic Advising
• There are five full-time professionals in ASA, and each advises student-athletes. Currently, the staff comprises three females and two males. Academic advisors are assigned to each athletic team. Advisors are not assigned by gender, that is, there are female advisors who work with both men and women’s teams and male advisors who work with teams of both genders. Advisors provide the following support services to students in their caseload:

• Major exploration and selection
• Degree and schedule planning
• NCAA eligibility information and monitoring
• Support in areas such as transition to college, financial aid, personal issues and academic success strategies
• Referrals to appropriate resources

Criteria for access to advising services: All student-athletes have an academic advisor, as assigned by team; once a student declares their major, they also have a faculty advisor in their major department. Most student-athletes elect to continue to meet with their athletic academic advisor as well.

Study Hall: Study Hall is conducted in small groups with 6-8 student-athletes and one study hall leader. Study Hall Leaders are graduate students, selected based on experience, references and an interview. They are trained and supervised by one of the full-time professional staff. The 2009-2010 study hall staff comprises three women and four men. Student-athletes are required to attend study hall four hours per week.

Criteria for access to study hall: All first semester scholarship athletes are required to attend study hall (At the present, due to space constraints, study hall is offered to most recruited non-scholarship student-athletes, but is not required for walk-on student-athletes). All student-athletes with a GPA below 2.25 are required to attend study hall. Student-Athletes may self refer to continue in study hall beyond their first semester. Student-Athletes with a predicted GPA (per Admissions formula of high school GPA, class rank and SAT) below 2.0 are required to attend study hall their entire first year. Student-Athletes with a GPA above 2.25 may be required to attend study hall beyond their first semester based on coach request and advisor discretion, per assessment of academic need and performance.
Mentoring: Study hall leaders are also available to meet individually with "high risk" students for closer academic monitoring. Based on squad size and need, there is a graduate mentor who works specifically with football student-athletes.

Criteria for access to mentoring: Advisor recommendation, based on GPA, assessment of academic preparation and need; student-athletes from all sports teams have access to this service, as recommended by advisor.

Academic Progress Reports: To assist advisors in monitoring academic progress, Academic Progress Reports are requested from faculty.

Criteria for access: Progress reports are sent to faculty for all student-athletes once each semester. Progress reports are sent to faculty twice each semester for first semester student-athletes and those with GPA below 2.5.

Additional Academic Support Services (beyond those provided directly by ASA):

University Tutorial Services (UTS): University Tutorial Services provides academic support through individual and small-group tutoring, departmental help labs and Supplemental Instruction. Tutors are selected based on GPA, recommendation of faculty and an interview, and must have a minimum grade of B+ in the courses they tutor. They are trained using the College Reading and Learning Association model. They are supervised by the Director of UTS. Per the 2008-2009 Annual Report, 8% of the students who used UTS services were student-athletes.

Criteria for access: UTS services are available to all students at the institution. Students self-refer, and complete a tutor request form to receive services. Student-Athletes, in addition to self-referral, may also be encouraged to seek tutoring services by their advisor, study hall leader or faculty.

Student Support Services: Student-Athletes who qualify may also participate in the Student Support Services Program (SSS). SSS is funded by the Federal Department of Education (DOE), and provides support services to low-income, first-generation college students. The program provides study skills classes, and college success workshops. Athletic advisors refer students to the program. In 2009-2010, 38 student-athletes are in the program.

Criteria for access: SSS students must qualify for the program by meeting one or both of the following criteria: First-generation college student (neither parent completed four-year degree), low income, as determined by DOE definition (family taxable income does not exceed 150% of an amount equal to the poverty level determined by Bureau of Census).
Student-Athletes may also receive the following academic support services, which are available to all students at the institution. Students may self refer, or be referred by advisors or faculty.

Learning Skills Consultations and Courses University Writing Center

Resource Allocation: Most of the services described above are housed in the Learning Assistance Program (LAP), which is centrally located on campus. Space in the LAP is allocated as follows:
Office space for each professional staff member of ASA, two study hall rooms (shared with SSS program), computer lab (available to all students) and University Tutoring Lab (available to all students). A computer lab, with 14 computers and two printers, is also located in the new Athletics Center, and is available to all student-athletes. Ten laptop computers and eight calculators are available for all student-athletes to check out during the semester.

Budget Study Hall The 2009-2010 Study Hall Budget of $39,280 is allocated through Academic Affairs.

Two Head GA's @$13.33/hour/ 20 hours/week One second-year GA @$12.50/hour/15 hours/week Three first-year GA's @$12.00/hour/15 hours/week One 20 hour/week GA is paid through Football budget - @$13.33/hour/20 hours/week

Professional Staff The 2009-2010 budget to pay professional salaries for the Office of Academic Services for Athletes is $205,085.

The salaries for the CHAMPS Life Skills Coordinator and Academic Advisor are allocated from the Department of Athletics' budget ($62,581) and the salaries for the Director, Senior Associate Director and Eligibility Certification Specialist ($142,504) are allocated from Academic Affairs budget.

University Tutorial Services Tutors are paid $8.00/hour for 1-2000 level coursework, and $9.00/hour for 3-4000 level coursework. The UTS tutoring budget for 2008-2009 was $71,636. Student-athletes were 8% of the students served in this budget.

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 (any differences should be clearly explained in the institution's narrative response, including any deficiencies the institution identifies in its analysis); Based on the NCAA Academic Support Services Evaluation, review of the LAP Annual Report, and interviews with Director and Senior Associate Director of Academic Services for Athletes, Eligibility Certification Specialist and Director of University Tutorial Services, no gender issues were found regarding Academic Support Services. Access to services...
was based on student-athlete academic performance such as GPA, Admissions profiles, Advisor recommendation, self referrals, and other equitable criteria.

d. Explain how the institution's written, stand-alone plan for gender issues addresses each of the 17 areas, including any deficiencies identified in the institution's narrative response as listed in (c) above. The Gender Issues Plan includes a maintenance plan. With the goals of continuing to provide equivalent opportunities in areas of academic support; high-quality academic advising, study hall and mentoring services; and referrals to other campus academic resources. The Gender Equity Committee will continue to monitor the quality of academic support services on a biennial cycle.

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. This study must be conducted as part of the self-study process; The Athletics Council has a Gender Equity Committee, which evaluates annually the program areas required by the NCAA. The Gender Equity Committee evaluated the 17 program areas this year and provided the data collected to the Gender Issues Subcommittee of the NCAA Recertification Steering Committee. The self study for this area included the following evaluations:

- Coaches Survey
- Interview with Director of Athletics
- Interview with Senior Associate Director of Athletics and Senior Woman Administrator
- FY 2008-2009 & 2009-2010 Coaches Salaries
- Base Salary Policy for Coaches
- Incentives Policy for Coaches
- Department of Athletics Policies and Procedures Manual
- Head Coach Employment Agreement
- "At Will" Assistant Coach Contract
- Head Coach and Assistant Coach Position Descriptions
- EPA Employment Agreement
- Athletics homepage for listing of coaches
b. Provide data demonstrating the institution’s status and commitment, including resource allocation, across each of the 17 areas; Coach Availability: The number of Head, Assistant and Volunteer Coach positions was evaluated for each sport, and compared with the maximum allowed per NCAA Bylaw 11.7.4. All sports are currently at the maximum number of coaches allowed, except for tennis and golf. Men and women's golf and tennis are each allowed two coaches, but each of these teams has one coach at Appalachian. (Men and Women's Tennis both have volunteer coaches to fill the second position).

Head Coaches for Men's Sports: Seven Head Coaches for Women's Sports: Seven Head Coaches who Coach both Men and Women's Sports (Track & XC) Two Assistant Coaches for Men’s Sports (excluding volunteer coaches): Twenty two Assistant Coaches for Women's Sports (excluding volunteer coaches): Fourteen Volunteer Coaches for Men's Sports: Three Volunteer Coaches for Women's Sports: Two (and one student coach).

Training, Experience, Professional Standing and Qualifications Minimum qualifications for Head Coaches include: bachelor’s degree required, Master's preferred, and a minimum of 3 years of demonstrated successful collegiate/professional coaching and recruiting. Minimum qualifications for Assistant Coaches include a Bachelor's degree and previous coaching experience.

Additional qualifications including years of experience, professional licensure, successful coaching record, championships, honors and awards, and outstanding recommendations and interviews are used to determine the most qualified candidate.

Appalachian State University's Equal Opportunity Policy applies to all positions. Coaching position announcements include the statement "Appalachian State University is an Equal Opportunity employer. Appalachian Athletics affirms the values and goals of diversity and strongly encourages applications from women and individuals from underrepresented populations."

Professional Development
On the Coaches Survey, 100% of respondents answered "yes" to the question "Are opportunities for professional development fair and equitable for coaches of men’s and women's teams (as compared to like-sized teams)?"

Compensation FY 2008-2009
Head Coach Salaries for Men’s Sports: $771,239 Head Coach Salaries for Women’s Sports: $339,536 Head Coach Salaries for Coaches who Coach Men & Women (Track & XC) $104,170 Salaries for Assistant Coaches of Men’s Sports: $717,549 Salaries for Assistant Coaches of Women’s Sports: $325,480 Salaries of Assistant Coaches who Coach Men & Women: $61,184
FY 2009-2010
Head Coach Salaries for Men’s Sports: $801,052 Head Coach Salaries for Women’s Sports: $389,643 Head Coach Salaries for Coaches who Coach Men & Women (Track & XC) $108,337
Salaries for Assistant Coaches of Men’s Sports: $717,549 Salaries for Assistant Coaches of Women’s Sports: $325,480 Salaries for Assistant Coaches who Coach Men & Women $81,631

Determination of Salaries
The Director of Athletics established a base and incentive pay policy approved by the Athletics Council in April 2009. It is the goal for all sports programs to perform in the top third of the conference. Accordingly, it is the goal of the Department of Athletics to have salaries, budgets, scholarships and facilities in the top third of the conference. When the most qualified candidate is identified for a Head Coach position, the Director of Athletics uses the Financial Survey for the Southern Conference to determine salary range. This survey provides the annual financial data for the Conference, including all coaches’ salaries. Per the Base Salary Policy, The Director seeks to offer salaries in the top third of the Conference. Positions are compared with like positions- i.e.: Women’s Soccer Coach salary is based on Women’s Soccer Coach salaries in the Southern Conference; Men’s Soccer is based on Men’s Soccer Coach salaries. A significant factor affecting salaries is Market Value. Per the Director, this reflect the competitive nature of the hiring process, how many people are interested in the job, and what salary are they willing to accept. Head Coaches have a salary budget for their sport, and are responsible for distributing salaries for their Assistant Coaching staff. Per the Incentives Policy for Coaches, any Head Coach who wins a Conference Championship will receive a one-time bonus of $1,000. Full-time Assistant Coaches will receive a $500 bonus. In the Coaches’ survey, no one commented negatively about salary equity issues.

Duration of Contracts
Head and Assistant Coach positions are advertised as either nine- or twelve-month positions. (There are also currently three Head coaches on 10-month contracts).

Head Coaches with 12-month contracts: Men Sports: 3 Women’s Sports: 1 Head Coaches with 9-month contracts: Men Sports: 4 Women’s Sports: 6 Head Coaches with 10-month contracts: Men Sports: 2 Women’s Sports: 1 One head coach who coaches Men & Women’s Sports has a 12-month contract.

All Assistant Coach positions are 9-month, except for three each for Men and Women’s Basketball, and six of the football assistant coaches who are 12-month.
Multi year vs. annual contracts: Per the Director of Athletics, all new Head Coaches are given multi-year contracts if negotiated in the hiring process. Some current coaches have been offered multi-year contracts, but have declined. Currently, the following Head Coaches have multi-year contracts; all others have contracts renewable on an annual basis (4 Men's teams, 3 Women's teams): Football Men’s & Women's Basketball Volleyball Baseball Men’s & Women’s Soccer

Contract Renewal

Assistant Coach contracts specify that the position is "employment at will". The employee may resign at any time, and the institution may terminate employment at any time OR the appointment to the position may be for a "stated definite term" as specified in the contract. Assistant Coach performance is evaluated by the Head Coach. Increases in salary are dependent on actions of the General Assembly. Head Coach contracts are for a stated definite term. Extensions, if applicable, are described in the contract. Terminations for Cause, or Without Cause are described in the contract, and are in accordance with Appalachian’s EPA Policies. Head Coach performance is evaluated by the Sport Administrator.

Increases in salary are at the discretion of the Director of Athletics, and subject to approval by the Chancellor and Board of Trustees.

Working conditions and other terms and conditions of employment

The Coaches survey was conducted in February 2010 and was distributed to all coaches. Sixteen coaches responded to the survey; seven were coaches of female teams, six coached male teams, and three coached both men and women's teams. To the question: "Are the rate of compensation, duration of contracts, conditions relating to contract renewal, experience, nature of coaching duties, working conditions and other terms and conditions of employment fair and equitable for coaches of men's and women's teams (as compared to like sized teams)?" Thirteen or 81.3% of respondents answered yes. Two respondents answered that they did not know. The one respondent who answered no stated there was disparity in duration of contracts between men's and women's teams.

c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of the under represented gender within the athletics program (any differences should be clearly explained in the institution’s narrative response, including any deficiencies the institution identifies in its analysis); Based on the coaches’ survey, interview with the Director of Athletics, and the review of data and policies, the Gender Issues Committee identified four areas for further evaluation: 1) duration of contracts (9, 10 or 12 month) between coaches of men's and women's sports; 2) compensation numbers by gender for men's and women's sports, taking into account
"market value"; 3) the coaching numbers by gender for men’s and women’s sports; and 4) criteria for bonuses and incentives for coaches.

d. Explain how the institution’s written, stand-alone plan for gender issues addresses each of the 17 areas, including any deficiencies identified in the institution’s narrative response as listed in (c) above. The Gender Issues Committee will 1) study the duration of contracts for head coaches of men’s and women’s sports by working with the Director of Athletics and SWA and reviewing how positions are advertised and contracts awarded for Head Coaches. This study will be completed by spring 2011, and annually thereafter; 2) conduct a trend study of compensation numbers by gender for men’s and women’s sports by annually evaluating the three most recent years of EADA reports, the NCAA Financial Surveys and the Human Resources Salary Reports as they relate to compensation by gender, and address issues found to the Director of Athletics and SWA by Spring 2011 and annually thereafter; 3) conduct a trend study of coaching numbers by gender for men’s and women’s sports in same manner as 2 by Spring 2011 and annually thereafter; and 4) study Southern Conference and like school bonus and incentive criteria by interviewing the Director of Athletics about information in the Southern Conference Financial survey, and emailing Athletic Directors and like institutions regarding criteria for bonuses and incentives by Spring 2011, and based on findings, make recommendations to the Director of Athletics regarding a more equitable policy for bonuses and incentives, to be completed by Fall 2011.

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. This study must be conducted as part of the self-study process; The Athletics Council has a Gender Equity Committee, which evaluates annually the program areas required by the NCAA. The Gender Equity Committee evaluated the 17 program areas this year and provided the data collected to the Gender Issues Subcommittee of the NCAA Recertification Steering Committee. Quality of locker rooms and practice and competitive facilities was studied through surveys administered to a representative sample of student-athletes and sent to all coaches. An interview was conducted with the Associate Athletics Director for Facilities as well.

b. Provide data demonstrating the institution’s status and commitment, including resource allocation, across each of the 17 areas; The locker rooms for men’s and women’s basketball and volleyball are located in the Holmes Center. Men’s soccer locker room and women’s soccer locker
room were located in a trailer near the soccer field this fall; however, a new locker and team room is being built for both teams at Ted Mackorell field and should be complete by Summer 2010. The wrestling locker room is located in Varsity Gym. Baseball has a new locker room in the new baseball stadium. A softball locker room is located in Owens Field House for now. Adding locker rooms at the softball stadium is in the plans. Owens Field House is the location for both the men’s and women’s track and field locker rooms as well as men’s and women’s cross country team locker rooms. The football team locker room is located in the new Athletics Center. A field hockey locker room is scheduled to be complete at the end of September in Owens Field House. Men’s and women’s tennis teams and men’s and women’s golf teams do not have locker rooms.

96.4% of the student-athletes surveyed felt that the quality, availability and exclusivity of practice and competitive facilities are equitable. One student did note that the soccer facilities are shared with the community and thus, not much privacy was afforded the soccer teams. 89.3% of those surveyed felt that the maintenance and preparation of practice and competitive facilities are equitable and fair. A few students felt that the floor in Varsity gym needed to be mopped more often for safety reasons. One student felt that the men’s teams always had cleaner floors and several noted that the focus on the new football facility has hampered other teams from getting facilities. Only 50% of those surveyed felt that the quality and availability of locker rooms was equitable. Most of the comments about this item dealt with basketball and football having much better/nicer locker room space. Some felt the men’s teams received a greater priority than the women’s teams’ locker rooms. However, many of them noted that this was changing and the locker rooms given to teams in Owens Field House were being improved. Several students also commented on the need for a field hockey field, an indoor tennis facility, and adequate storage space.

93.3% of the coaches who responded to the survey felt that the quality, availability and exclusivity of practice and competitive facilities are equitable and fair. Once again, one coach felt that the availability of the indoor practice facility is based on football and not on whether the sport is in season and that sports in season should have priority for the indoor facility. 87.5% of the respondents felt that the maintenance and preparation of practice and competitive facilities was equitable. One coach felt that a game day administrator should set up and break down the fields on game day. Another coach indicated the need for a field crew on game day so that the coaches can help their teams rather than prep the field. Only 53.3% of the coaches felt that the quality and availability of locker rooms was equitable. Several coaches noted that the locker room facilities are
not equal in quality. Several coaches noted that they did not have locker rooms. While some of them felt that a locker room was unnecessary, several coaches indicated that hurt the student-athletes' experience here. Other issues noted by coaches included the need for an on-campus soccer facility, the ability to fundraise for some sports to upgrade locker rooms is low, the belief that the current on-going renovations of the women's locker rooms will greatly improve morale among female athletes, the need for locker rooms in order to provide a shower and bathroom facility, and the need for a better laundry facility for towels.

c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of the under represented gender within the athletics program (any differences should be clearly explained in the institution's narrative response, including any deficiencies the institution identifies in its analysis); 

A thorough evaluation of the survey data indicates that there is some perception of inequality in the allocation and maintenance of locker rooms, practice and competitive facilities based on the anecdotal comments made in the survey. However, the overall student-athlete and coach satisfaction levels are above 90 percent with regards to equality. This is likely attributed to the high rate of growth, renovation and expansion of most all locker rooms, practice and competitive facilities.

d. Explain how the institution's written, stand-alone plan for gender issues addresses each of the 17 areas, including any deficiencies identified in the institution's narrative response as listed in (c) above. The Gender Issues Plan for 2010-2015 sets measurable goals to complete renovation and construction of permanent locker rooms for field hockey, softball and track at Owens Field House and facility improvements at the softball stadium and the Ted Mackorell Soccer Complex used by both the men's and women's soccer teams. In addition, the plan includes the goal of building a field hockey stadium and an indoor tennis facility. Of course, these plans are dependent on the University Master Plan and fundraising efforts.

9. Medical and Training Facilities and Services. Availability of medical personnel; availability and quality of weight training and conditioning facilities; availability and qualifications of athletic 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. This study must be conducted as part of the self-study process; The Athletics Council has a Gender Equity Committee, which evaluates annually the program areas required by the NCAA. The Gender Equity Committee evaluated the 17 program areas this year and provided the data collected to the
Gender Issues Subcommittee of the NCAA Recertification Steering Committee. The committee first reviewed item 7 "Equitable Medical Care" of Guideline 1a of the NCAA Sports Medicine Handbook to ensure a complete assessment of the gender issues within this area. The committee interviewed head athletic trainer Jason Robey, ATC, regarding the medical personnel and the medical insurance coverage for Appalachian student-athletes. The committee also interviewed Head Strength and Conditioning Coach Mike Kent regarding assignment of staff and times for strength and conditioning. The committee also conducted a separate survey of student-athletes and coaches and obtained copies of the weight room schedules and budgets for 2009-2010.

The sports medicine staff consists of the following individuals:

- **Jason Robey, Director of Athletic Training Services (Men's Basketball, Men's & Women's Golf)**
- **Jamie Moul, Director of Athletic Training Education Program (Volleyball)**
- **Ashley Goodman, Assistant Professor/Athletic Trainer (Men's & Women's Tennis)**
- **Justin Smith, Head Football Athletic Trainer (Football)**
- **Sarah Gill, Assistant Athletic Trainer (Track & Field, Cross Country)**
- **Kristin Holm, Assistant Athletic Trainer (Women's Basketball, Cheerleading)**
- **Elizabeth Cross, Intern Athletic Trainer (Wrestling)**
- **Dan Czaikowski, Intern Athletic Trainer (Softball)**
- **Marc Eilers, Intern Athletic Trainer (Men's Soccer)**
- **Lisa Frankland, Intern Athletic Trainer (Field Hockey)**
- **Erika King, Intern Athletic Trainer (Women's Soccer)**
- **Josh Porter, Intern Athletic Trainer (Baseball)**

The strength and conditioning staff consists of the following individuals:

- **Mike Kent, Director of Strength and Conditioning (Football, Men's Basketball)**
- **Josh Robertson Assistant Director (Football)**
- **Robbie Ormsby, Assistant Director (Football, Men's Basketball, Wrestling, Field Hockey)**
- **Nate Harrington, Graduate Assistant (Softball, Men’s Soccer, Women's Soccer)**
- **Mike DeLong, Graduate Assistant (Football, Volleyball, Baseball)**
- **Catrina Wold, Graduate Assistant (Men’s Tennis, Women's Tennis, Cheerleading)**
- **Justin Hardee, Graduate Assistant (Men's & Women's Indoor & Outdoor Track and Cross Country)**
Chris Pachmann, Intern (Women’s Basketball) Drew Ayers, Intern (Men's Golf, Women’s Golf)

b. Provide data demonstrating the institution's status and commitment, including resource allocation, across each of the 17 areas;

Sports Medicine Budget: The committee obtained and evaluated the athletic training budget and strength and conditioning budget for 2009-10. The committee interviewed the head athletic trainer, who stated that he is provided one budget to cover expenses for all sports. The sports medicine budget is not broken down by gender.

Facilities: Athletic Trainers for each sport schedule treatment times around the student-athletes’ class and practice schedule. They can schedule in the training room of their choice based on modalities and convenience. Training rooms exist in the Athletics Center, Owens Field House, Varsity Gym and the Holmes Convocation Center.

Medical insurance: Sports Medicine requires student-athletes to acquire their own medical insurance policy as primary coverage. The sports medicine program, on behalf of the athletics department, purchased a secondary policy that covers all student-athletes for sports-related injuries.

Athletic Training Staff: All athletic trainers assigned to sports teams are Certified Athletic Trainers, which is new in 2009-10.

Physicians: The physicians at Student Health Services are available daily for all student-athletes. Clinics are scheduled Mondays and Thursdays, in the Athletics Center Training Room, with an orthopedic surgeon for any student-athlete who is required by their athletic trainer to see an orthopedic. A chiropractor comes in on Wednesdays to see any athlete who is in need of chiropractic treatment. There are several physicians who volunteer their time to attend men’s and women's basketball and football games due to the elevated injury risk in those sports. (See Sports Medicine Handbook)

- **ASU Physicians:** Dr. Ellison, Dr. Geiger, Dr. Rushing, Dr. Murray, Wendy Schumate FNP, Karen Goodman FNP
- **Orthopedic Physicians:** Dr. Bensen, Dr. Sloboda, Dr. Fleming
- **Dentists:** Dr. Mayhew, Dr. Craig Bridgeman, Dr. Robbie Bridgeman, Dr. Stigall, Dr. Hancock
- **Optometrist:** Dr. Sullivan
- **Ophthalmologist:** Dr. Atkins
Neurologist: Dr. Crittenden  
ENT: Dr. Ford  
Podiatrist: Dr. Zimmerman  
Physical/Occupational Therapy: John Goodrich and Shirley Faw  
Sport Psychologist: Dr. Deni  
Chiropractor: Dr. Mauldin  
Acupuncture: Dr. Gorla

The results of the sports medicine survey for Coaches and Student-Athletes are as follows:

Question 1: Is the quality and availability of medical personnel (doctors) the same for both women's and men's sports teams?
Coaches Response-15-Yes (93.8%); No-1 (6.3%) Comment: Men's sports are given the advantage in the line to see the doctor and the doctor doesn't treat the injuries the same. Student Response-Yes-26 (92.9%); No-2 (7.1%) Comment: Men always get much quicker attention. (MRI’s, etc.)

Question 2: Is the quality and availability of certified athletic trainers the same for both men's and women's sports teams?
Coaches Response-Yes-14 (93.3%); No-1 (6.7%) One coach suggested more permanent positions rather than relying on certified interns that change every year. Student Response-Yes-27 (96.4%); No-1 (3.6%) Comment: Football has more and has the best.

Question 3: Is the quality and availability of athletic training facilities the same for both women's and men's sports teams?
Coaches Response-Yes-15 (100%) Student Response-Yes-26 (92.9%); No-2 (7.1%) Comments: Everyone should be allowed to use the same training room. (Fall, when Student Survey was conducted, was a transition period to the new training room. Beginning Spring 2010, all teams now have access to the new training facility).

The results of the strength and conditioning survey for Coaches and Student-Athletes are as follows:

Strength & Conditioning Budget: The strength and conditioning budget was reviewed by the committee and also found not to be broken down by gender.
Facilities: Head Strength and Conditioning Coach Mike Kent provided a schedule of usage for the Athletics Complex Weight Room that assures equitable use of the strength and conditioning facilities. The only team not listed on the schedule is men's and women's track and cross country.
who have voluntarily chosen to use the weight room in Owens Field House based on its proximity to the coaches' offices and the track and field locker rooms.

The results of the Strength and Conditioning survey for Coaches and Student-Athletes were as follows:

**Question 1:** Is the quality and availability of weight training and conditioning personnel the same for both women's and men's teams?

*Coaches Response:* Yes-16 (100%); No-5 (17.9%)

*Student-Athlete Response:* Yes-23 (82.1%); No-5 (17.9%)

**Comments:** There is a feeling that football gets priority in the weight room and priority for lifting times.

**Question 2:** Are there any other issues related to medical and training facilities and services that you feel should be addressed?

*Coaches Response:* Yes-1 (6.7%); No-14 (93.3%)

**Comments:** Needs specific testing related to endurance athletes. (Not gender-related)

*Student Response:* No-28 (100%)

**c.** Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of the under-represented gender within the athletics program (any differences should be clearly explained in the institution's narrative response, including any deficiencies the institution identifies in its analysis); and **A thorough analysis of the data identifies that the lack of female staff in the weight room is a gender equity concern. The Gender Issues Committee will also continue to monitor coverage in athletic training rooms and for each team.**

**d.** Explain how the institution's written, stand-alone plan for gender issues addresses each of the 17 areas, including any deficiencies identified in the institution's narrative response as listed in (c) above. The Gender Issues Committee recommends **1) that a full-time female strength coach be hired by Fall 2011, and that equitable treatment of female sports teams be monitored in the weight room in Spring 2011 and biennially thereafter; and 2) that the Gender Issues Committee monitor equitable treatment of female sports teams in the athletic training rooms, in Spring 2012 and biennially thereafter.**

10. Housing and 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. This study must be conducted as part of the self-study process; The Athletics Council has a Gender Equity Committee, which evaluates annually the program areas required by the NCAA. The Gender Equity Committee evaluated the 17 program areas this year and provided the data collected to the
Gender Issues Subcommittee of the NCAA Recertification Steering Committee. The self study for this area includes the following evaluations: student survey, coaches survey, and interview with Senior Associate Director of Athletics/Senior Woman Administrator.
b. Provide data demonstrating the institution’s status and commitment, including resource allocation, across each of the 17 areas;

Written documents the subcommittee used to investigate this area included:
- 2007-12 Gender Equity Plan
- Full Scholarship Award Forms from Financial Aid
- Fall 2009 Training Table and High Meal Plan List
- Fall 2009 Subsistence Checks List
- 2009-10 Exit Interviews

The subcommittee conducted surveys with the following individuals:
- 28 student-athletes from SAAB
- 12 Head Coaches
- 4 Assistant Coaches

In person interviews were also conducted with the following individual:
- Debbie Richardson, SWA and liaison with the Financial Aid Office

Beginning with the fall 2008, all female full scholarship student-athletes were required to be funded with the high meal plan rate whether living on- or off-campus. Only full scholarship men’s basketball and football players eat at the on-campus training table. Any other men’s full scholarship student-athletes receive the standard meal plan rate on or off campus (which is less than the high meal plan the women receive). Any full scholarship men’s basketball or football players living off-campus and are not eating at the on-campus training table, receive the high meal plan rate in their off-campus monthly checks. For the most part, athletes and coaches are pleased with the meal plans and housing provided on campus. Exploring a training table meal plan for the full scholarship female athletes on campus will be discussed fall 2010 with Director of Food Services, Ron Dubberly.

Questions related to the housing and dining facilities for student-athletes were included in both the Gender Issues Student Survey and the Gender Issues Coaches Survey for 2009-2010. The questions were designed to solicit responses pertaining to housing provided, special services as part of housing, and dining arrangements. Of the 28 student-athletes who responded to the
Gender Issues Student Survey 15 (54%) were female and 13 (46%) were male. All teams were represented, with the exception of men’s basketball. The majority of the students who responded to the survey are upperclassmen (20 total or 71%). Sixteen coaches responded to the Gender Issues Coaches Survey. All sports are represented in the survey with the exception of field hockey, football, and men’s tennis.

Gender Issues Student Survey

Six questions relating to housing and dining were included on the Gender Issues Student Survey for 2009-2010. Of the 28 students who responded to the survey, 27 (96%) responded "yes" to the question "Are housing and special services associated with housing allocated to both female and male athletes in a fair and equitable manner?" When asked "Are dining arrangements allocated to both female and male athletes in a fair and equitable manner?" 26 (93%) of respondents to the survey answered "yes" and 2 (7%) answered "no". In response to the question "Do you feel there is a need to increase the meal budget for full scholarship female athletes?" 8 (29%) of the students responded "yes", 16 (57%) responded "no" and 4 (14%) responded "not applicable". Of the eight written comments to this question, five focused on the amount of money (not enough) allocated or the increasing cost of food in the cafeteria. The next question pertaining to dining facilities and services was "Do you feel that a training table should be provided for some female sports?" 18 (64%) students responded "yes", 8 (29%) responded "no", 1 responded "N/A" and 1 responded in such a way to be classified as "other". The fifth question related to housing and dining was "Are you satisfied with the meal options that are provided by Food Services on campus?" Most students, 19 (68%) responded "yes" to this question, 8 (29%) said "no" and 1 (3%) responded in such a way as to be classified as "other". The last question related to housing and dining on the student survey was "Are there any other issues related to housing and dining facilities that you feel should be addressed?" The majority of students, 22 (79%), responded "no" to this question, 5 (18%) responded "yes", and 1 (3%) responded in such a way as to be classified as "other". Based on the response to the question pertaining to housing in the survey we can conclude that the majority of students surveyed (96%) felt that housing and special services associated with housing are allocated to both female and male athletes in a fair and equitable manner. The majority of students (93%) also felt that dining arrangements are allocated to both female and male athletes in a fair and equitable manner. Most students (57%) do not feel there is a need to increase the meal budget for full scholarship female athletes. The majority of students (64%) felt that a training table should be provided for some female sports and the majority of students who
responded to the survey (68%) are satisfied with the meal plan options that are provided by Food Services on campus.

Gender Issues Coaches Survey

Two questions pertaining to housing and dining facilities and services were included in the Gender Issues Coaches Survey. The questions covered the topics of issues related to housing and issues related to dining facilities on campus. Of the 15 coaches who responded to the question "Are there issues related to housing that you feel should be addressed?" 12 (80%) responded "no". Two (13%) coaches responded "yes" and 1 (7%) coach made a response classified as "other". A total of 15 coaches responded to the question "Are there issues related to dining facilities that you feel should be addressed?" The majority of coaches, 14 (93%) responded "no" to this question and one coach (7%) responded "yes". From the responses made by coaches to the questions pertaining to issues related to housing and dining facilities and services, we can conclude that the majority of coaches (80%) do not feel there are any issues related to housing that need to be addressed and that the majority of coaches (93%) do not feel there are any issues related to dining facilities that need to be addressed.

The Senior Associate Director of Athletics/Senior Woman Administrator was interviewed and noted that a meeting will be set up fall 2010 with Ron Dubberly, the Director of Food Services, Jay Sutton, Associate Director of Athletics/Internal Operations, and Debbie Richardson, Senior Associate Director of Athletics/Senior Woman Administrator. Results of this meeting will be shared with the Gender Equity Committee.

c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of the under represented gender within the athletics program (any differences should be clearly explained in the institution's narrative response, including any deficiencies the institution identifies in its analysis); and

Most full scholarship female athletes are the volleyball and women's basketball players. Senior Associate AD/SWA Debbie Richardson periodically conducts interviews with these team members concerning on-campus meal services. These women prefer the high meal plan when living on campus because they are not limited by the minimal hours the training table is open and they do not like the high caloric intake most commonly provided on the training table. Once a student-athlete moves off campus, the meal plan amount provided in monthly checks for men and women is the same or higher for women. The women also realize that the men who eat on the training table need to eat a lot more and different foods. Also, many of the students on
SAAB that answered the survey are not on full scholarship. So, they are not fully aware of the options on- and off-campus for training table, high meal plan or the money provided monthly for the meal plans if not having an on-campus meal plan. Because of these conversations with the female student-athletes and their coaches, it was determined that there is not a gender concern with the women not having a training table option, and so the 2010-15 Gender Issues Plan does not include this as an issue.

The Residence Life Office satisfies the majority of student-athletes with their freshman dorm room assignments. Coaches, through the Associate Athletics Director for Internal Operations, work with the Residence Life Office to try and keep freshmen team members as roommates whenever possible. Men’s and women’s basketball teams and some wrestlers are allowed by the Residence Life Office to live in Appalachian Heights apartments on campus. The reason being it is open and staffed during the winter semester break when most other dorms are closed. These three teams are in-season, practicing and playing during the December-January break.

Exit interviews show that the student-athletes find the housing provided on campus to be satisfactory or above. Any issues have been more with roommates than the facilities themselves.

d. Explain how the institution’s written, stand-alone plan for gender issues addresses each of the 17 areas, including any deficiencies identified in the institution’s narrative response as listed in (c) above. While no issues are noted in the 2010-2015 Gender Issues plan, the limited response to the surveys compared to the overall student-athlete population is a concern. The 2010-2015 Gender Issues Plan should review/modify the survey and seek greater student-athlete participation while continuing to conduct the student/coach surveys. In addition, the Senior Associate Director of Athletics/Senior Woman Administrator and the Associate Director of Athletics/Internal Operations will meet with the Director of Food Services in order to discuss Dining options based on the survey results.

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. This study must be conducted as part of the self-study process; The Athletics Council has a Gender Equity Committee, which evaluates annually the program areas required by the NCAA. The Gender Equity Committee evaluated the 17 program areas this year and provided the data collected to the
Gender Issues Subcommittee of the NCAA Recertification Steering Committee. Data was collected from the Assistant Director of Athletics for Marketing and Licensing, Assistant Director of Athletics for Sports Information and Associate Director of Athletics for Public Affairs. For the awards section of the program area information was collected from the Assistant Academic Coordinator in Academic Services.

b. Provide data demonstrating the institution’s status and commitment, including resource allocation, across each of the 17 areas;

Written documents the subcommittee used to investigate this area included:

- **2007-12 Gender Equity Plan**
- **2009-10 SoCon Financial Survey (portion dealing with Sports Information)**
- **2009-10 Advertising Plans for Sports**
- **2009-10 Media Guides (either print or online)**
- **2009-10 Sports Information Staff Assignments (on the GoASU.com website)**

The subcommittee conducted surveys with the following individuals:

- **12 Head Coaches**
- **4 Assistant Coaches**

In person interviews were also conducted with and data collected from following individuals:

- **Mike Flynn, Assistant Athletics Director for Sports Information**
- **David Jackson, Associate Athletics Director for Public Affairs**
- **Samantha Stevens, Assistant Athletics Director for Marketing/Licensing**
- **Erin Justice, SAAB Advisor and Assistant Academic Advisor**

All sports have a staff member assigned to them from the Sports Information Office, which is unusual in the Southern Conference. We employ three full-time staff members and two graduate assistants, which again differentiates Appalachian from our peers. Each person goes to many practices, meets with the coach, does personal interviews with coaches and players, and provides stats, line-ups, etc. for any coaches requesting such. All sports have media guides that are made available online at GOASU.com. Football, volleyball, and men’s and women’s basketball are the only sports where printed media guides are paid for by the sports information budget. All 20 sports receive pregame previews, postgame recaps and regularly updated schedules, rosters and stats on GOASU.com. All 20 sports have pages dedicated solely to their sport.
Press Releases, and Streaming Schedules were all collected. Advertising Plans indicate that posters were created for all sports. All teams had schedule cards. The sports that sell tickets had their own individual schedule cards printed, while the other teams were included on either a fall or spring sport card. Only the sports that sell tickets had print advertising. Radio advertising was done for all sports. Only sports that sell tickets were advertised on television or GoASU.com. All sports had internet advertising. Baseball, Men and Women’s Basketball, Football, Men and Women’s Soccer, Softball, Volleyball and Wrestling had halftime and/or timeout promotions. All sports have a staff member assigned to them from the Sports Information Office. All games that take place in venues with streaming capability are streamed live on the GoASU.com. Appalachian Athletics awards are gender-neutral. All teams are allowed the opportunity to give a Most Valuable Player award at the All Sports Banquet. Every week the respective sports information directors submit nominations to the SoCon for any weekly or monthly SoCon athletic or scholar-athlete nominations. All students who meet the criteria for external awards are given the opportunity to apply, be recognized, or be nominated for awards. These awards include NCAA Postgraduate, Ethnic Minority and Women’s Enhancement Scholarships, Degree Completion Awards, and SoCon Graduate Scholarships. All teams that meet their coaches’ association team academic award qualifications are nominated. Any student-athlete that meets the criteria are nominated for any Appalachian, SoCon, NCAA, state, regional and national honors or awards. In addition, the Former Athletes Association funds the annual Letter Award program.

c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of the under-represented gender within the athletics program (any differences should be clearly explained in the institution’s narrative response, including any deficiencies the institution identifies in its analysis); and A thorough analysis of the data indicated the need to evaluate the marketing and promotions for all sports since marketing and promotions plans are not analyzed.

d. Explain how the institution’s written, stand-alone plan for gender issues addresses each of the 17 areas, including any deficiencies identified in the institution’s narrative response as listed in (c) above. The 2010-2015 Gender Issues Plan added to its current data collection of advertising and sports information plans, the collection of marketing and promotion plans for women’s and men’s sports in the fall of each year. This will help determine if an issue of equity exists in the marketing and promotions of women’s and men’s sports. This will be done beginning Fall 2010 and annually afterwards. The plan also includes the Gender Equity Committee conducting a survey of women’s
coaches and student-athletes to determine what the coaches are doing to market and promote their sports. This will be conducted in Spring 2011 and biennially thereafter.


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; The Athletics Council has a Gender Equity Committee, which evaluates annually the program areas required by the NCAA. The Gender Equity Committee evaluated the 17 program areas this year and provided the data collected to the Gender Issues Subcommittee of the NCAA Recertification Steering Committee. Data was collected from a coaches’ survey and support staff surveys.

b. Provide data demonstrating the institution’s status and commitment, including resource allocation, across each of the 17 areas;

Written documents the subcommittee used to investigate this area included:

- 2007-12 Gender Equity Plan
- 2009-10 Athletics Department Organizational Chart
- 2009-10 SoCon Financial Survey (portion dealing with Administrative Assistants)
- Job Descriptions of Sport Administrators and Support Staff

The subcommittee conducted surveys with the following individuals:

- 12 Head Coaches
- 4 Assistant Coaches

In person interviews were also conducted, physical office space evaluated and data collected from following individuals:

- Gina Arnette, Executive Officer to the Administration and Supervisor
- Priya Dass, Part-time Secretary for Olympic Sport Coaches
- Natalie Harkey, Receptionist at Athletics Center, Administrative Support for Yosef Club and Athletics Administration
- Kim McConnell, Administrative Assistant for M/W Basketball
- Denise Watson, Administrative Assistant for Football
- Lynda Young, Administrative Assistant for Athletics Development

The above individuals were interviewed individually to ascertain their functions and support for the coaches assigned to them. Starting with the 09-10 year, there is a support staff person in each of the three major buildings that Athletics occupies. Coaches that are housed at their particular
sport complex are assigned to Priya Dass for secretarial support. Other support staff is willing to step up when needed as was ascertained in the interviews. Coaches still do a majority of their work themselves but rely on these women for the services they can provide.

Gender Issues Coaches Survey

87% of coaches surveyed responded that the administrative support staff provided the services needed in their area. There were no comments made by any of the coaches. In addition, when asked about their satisfaction with the office work staff, the responses were very favorable ranging from ‘yes’ I am satisfied to great.

Support Staff Interviews

Support staff interviews indicated that they felt male and female coaches provided the necessary support for them. The support staff felt that they had enough support to address the needs in their work area. Staff also reported that they felt that their workload was consistent with their job descriptions. Support staff also indicated that there was no difference in the time and effort required for male or female coaches. They also reported that they would feel comfortable talking about gender issues with their supervisors if they needed to. The support staff felt many of the past problems with regards to communications had been taken care of. They did note that an additional support staff person would be useful.

c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of the under represented gender within the athletics program (any differences should be clearly explained in the institution's narrative response, including any deficiencies the institution identifies in its analysis); and

Each person listed above has their own office area with Ms. Arnette and Young both have lockable private offices. Ms. Dass has an office space inside the mailroom of Owens Field House, which is adequate for a part-time secretary (and was necessary with the move of the College of Fine and Applied Arts administrative staff into the building for temporary space). Ms. Harkey occupies the Reception Desk at the main entrance to the new Athletics Center. Ms. McConnell and Watson occupy an area that is part of a suite for their sport groups. All have adequate space for the individuals according to them and the sports coaches/areas they support. Each administrative assistant has the necessary office equipment to perform their duties as do the part-time secretary and receptionist.

The 2009-10 SoCon Financial Survey showed that all four administrative assistants that Appalachian employs are paid from 1st to no lower than 3rd among SoCon schools in their
respective positions. A part-time secretary for Olympic sports and a receptionist with secretarial responsibilities were hired in 2009-10 to help after evaluations determined there was a need for more support.

d. Explain how the institution’s written, stand-alone plan for gender issues addresses each of the 17 areas, including any deficiencies identified in the institution’s narrative response as listed in (c) above. The 2010-2015 Gender Issues Plan includes the review of job descriptions and workloads of secretarial staff, receptionists and administrative assistants to ensure that the workload from all teams is distributed equitably. This review will take place Fall 2011 and biennially afterwards.

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 athletes.

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; The Athletics Council has a Gender Equity Committee, which evaluates annually the program areas required by the NCAA. The Gender Equity Committee evaluated the 17 program areas this year and provided the data collected to the Gender Issues Subcommittee of the NCAA Recertification Steering Committee. The self-study for this area includes the following evaluations:

   • Student Survey
   • Coaches’ Survey
   • Review of Courtesy Car Program Policy for Athletics Personnel
   • Interview with Senior Associate Director of Athletics/Senior Woman Administrator

b. Provide data demonstrating the institution’s status and commitment, including resource allocation, across each of the 17 areas;

   The subcommittee reviewed each sport’s budget and actual expenditures through December 2009.

Written documents used to investigate this area included:

   • 2009-10 Student-Athlete Planner/Planner
   • The Athletics Department Policies and Procedures Manual
   • 2007-12 Gender Equity Plan
   • December 2009 actual sport budgets
   • 2009-10 Fiscal Year Sport Budgets
• 2009-10 Budget Comparison by Sport/Gender
• 2009-10 Courtesy Car or Stipend Program

The subcommittee conducted surveys with the following individuals:

• 28 student-athletes from SAAB
• 12 Head Coaches
• 4 Assistant Coaches

In person interviews were also conducted with the following individuals:

• 2 Sport Administrators

Budgets for each sport are determined in a fair and equitable manner. Each year the Director of Athletics, in consultation with the sport administrators, determines three areas for each sport budget: operating budget, scholarship budget and salaries. Each head coach then has discretion to allocate his or her operating budget to the different budget categories within the operating budget. So coaches determine how much they choose to allocate for recruiting. But overall, the Director of Athletics just wants to make sure each sport stays within their total operating budget, or has sufficient auxiliary funds to make up the difference.

Gender Issues Student Survey

Two questions relating to recruitment were included on the Gender Issues Student Survey for 2009-2010. Of the 28 students who responded to the survey, 25 (89%) responded "yes" to the question "Do you feel female and male athletes receive equal treatment during the recruitment process?" When asked "Are there issues related to recruitment that you feel should be addressed (yes or no)?" all 28 respondents to the survey answered "no". Based on the responses to these two questions we conclude that the majority of students surveyed (89%) perceive that female and male athletes receive equal treatment during the recruitment process.

Gender Issues Coaches Survey

Four questions pertaining to recruitment were included in the Gender Issues Coaches Survey. The questions covered the topics of equal opportunities to recruit, availability of financial and other resources to recruit, the equivalent benefits, opportunities and treatment of prospective athletes, and procedures for obtaining a courtesy car. Of the 15 coaches who responded to the question "Is your recruitment budget adequate to recruit for your sport for a mid-major University?" 8 (53%) responded "yes". Four (27%) coaches responded "no" and 3 (20%) coaches made responses classified as "other". A total of 16 coaches responded to the question "Do you have adequate
resources to recruit effectively (computer, DVD player, cell phone, etc.)?" The majority of coaches, 13 (81%) responded "yes" to this question. Of the 16 coaches who responded to the question "Do prospective athletes for men's and women's teams (as compared to like-sized teams) receive fair and equitable treatment (meals, accommodations, activities, etc.) during campus visits?" 15 (94%) responded "yes". The fourth and last question related to recruitment on the Gender Issues Coaches Survey was "Are you adequately informed about the procedures for obtaining a courtesy car?" Eight of the 16 coaches (50%) answered "yes" to this question. Five coaches (31%) responded "no", and of the remaining three respondents (19%), one answered "maybe", one answered "not applicable", and one answered in such a way to be classified as "other".

Review of Courtesy Car Program policy for Athletics Personnel

The Courtesy Car Program Policy for Athletics Personnel is included in the department Policies and Procedures Manual. The policy states "It is the belief that any coach, administrator in the Department of Athletics that feels the need for a courtesy car to conduct their athletic business has the right to reach out to the car dealership community in town or elsewhere and create a relationship that encourages a car dealer to be part of the Appalachian courtesy car program." The policy states further, "Preference to our women’s sport coaches and female staff will be given to any new unsolicited courtesy car possibilities".

Interview with Senior Associate Director of Athletics/Senior Woman Administrator

In 2009-2010, 13 (61.5%) of men's coaches have cars or stipends, and seven (35%) of women's coaches have cars or stipends.

c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of the under represented gender within the athletics program (any differences should be clearly explained in the institution's narrative response, including any deficiencies the institution identifies in its analysis); and

Budgets for each sport are determined in a fair and equitable manner. Each year the Director of Athletics, in consultation with the sport administrators, determines three areas for each sport budget: operating budget, scholarship budget and salaries. Head coaches then have discretion to allocate their operating budget to the different budget categories within the operating budget. But overall, the Director of Athletics just wants to make sure each sport stays within their total operating budget, or has sufficient auxiliary funds to make up the difference.

For 2009-10, there were only two women's sports allocated less operating dollars than their counterpart men's sport. Those were golf and tennis. Those two women’s sports have a much
higher scholarship budget than the men’s equivalent sport to offset the difference in operating budget. It is left up to the head coach to determine recruiting needs and to allocate recruiting money according to their recruiting needs for the year. Even though the total operating budgets for women’s golf and tennis were less than the men, they did allocate more recruiting dollars to that line item than their male counterparts. Only two women’s sports head coaches chose to apply less money to their recruiting line item than their counterpart men’s sport (of the sports that could be compared). Neither amount was significant. Softball had $500 less than baseball and women’s soccer had $846 less than men’s soccer.

The head coaches of women’s basketball, volleyball and softball all have courtesy cars. The head women’s soccer coach has a monthly car stipend. All three assistant coaches in women’s basketball have monthly car stipends. Eight football coaches have courtesy cars. The head men’s basketball coach and the associate head men’s basketball coach each have a courtesy car and the other two assistant coaches have monthly car stipends. The head baseball coach has a courtesy car. So, an acceptable range of 7 women’s sport coaches and 13 men’s sport coaches have either courtesy cars or stipends (35%-65% ratio). As any vehicles become available unsolicited, they will be provided to women’s sport coaches, as the policy states.

d. Explain how the institution's written, stand-alone plan for gender issues addresses each of the 17 areas, including any deficiencies identified in the institution's narrative response as listed in (c) above. The Gender Equity Committee recommends that the Courtesy Car Policy is reviewed as part of orientation for new coaches, and annually at the head coaches meeting, beginning Fall 2010. The Committee also included a maintenance plan to continue surveying coaches regarding equal opportunities to recruit; review of recruiting budgets for men and women’s sports; and an evaluation of the three most recent years of the NCAA Financial Survey concerning recruiting on an annual basis beginning Spring 2011, and subsequent reporting of any issues to the Director of Athletics, SWA and individuals responsible.

14. Retention. Programs and services to address retention of staff, coaches and student-athletes from the under represented gender within the athletics program; review of retention and promotion of staff and coaches from the under represented gender within the athletics program, including professional development opportunities (e.g., mentoring programs), rate of compensation, duration of contracts and conditions relating to contract renewal.

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; The IRAP office studied student
retention and compared student-athletes versus non-athletes. First-time full-time freshmen of the most recent freshman class were examined. This study was conducted for the self-study and will be conducted again on a regular basis, so student-athlete retention rates may be monitored. The Gender Equity Committee inquired about programs for retention of coaches and athletics professional staff. Currently, there are no formal programs in place for retention of these employees; however in some cases, coaches or staff members have mentored assistants. Also, professional development opportunities are available to all employees, including coaching staff, and all are encouraged to take advantage of these.

b. Provide data demonstrating the institution's status and commitment, including resource allocation, across each of the 17 areas; **Student retention rates were studied for Gender Issues**.  
   **Item 14: Retention.** Female student-athletes receiving athletic aid had the highest retention rate of any group in the study. This was in comparison with male student-athletes, and non-athletes. The 2008 freshman class of female athletes' retention rate was 92.9%, while male athletes returned at a rate of 80.8%. The freshman class overall had a retention rate of 86.4%.

A formal statistical study of Athletics' coaches and staff retention has not been conducted. However, all staff have the opportunity to complete an exit interview upon leaving the university. This survey is sent to staff that leave by the Office of Equity, Diversity, and Compliance. While faculty and other contract employees have completed this survey, in the last ten years, no coaches who left returned this survey. The nature of being a mid-major University tends to answer the question as to why some leave positions: to receive higher pay and a higher profile position are the normal reasons for coaches and staff leaving. Some coaches and staff are not retained for lack-of-performance reasons. One female coach did seek and was approved for disability leave, which the State now covers.

c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of the under represented gender within the athletics program (any differences should be clearly explained in the institution's narrative response, including any deficiencies the institution identifies in its analysis); **Data on student retention show there are not issues regarding gender and retention.** In fact, female student-athletes on aid have a higher retention rate than their male counterparts. Regardless of gender, in order to understand the athlete experience better, there is an exit interview program for all student-athletes at the end of their time, from students who are cut from a team to graduating seniors. It should be noted that there are three different exit
surveys for student-athletes; two for those who are cut or leave a team, and another for graduating seniors.

There are no specific programs or services to address retention of female staff and coaches within the department. In the last two years, head coaches have been extended a multi-year contract if negotiated in the hiring process. The current Director of Athletics has promoted two women in the department to Assistant Director of Athletics positions, making three females now in administrative roles. All coaches are encouraged to run camps and clinics during the summer to add to their income, helping to retain them at Appalachian. Two females have been added to the Athletics Development Office (the fund-raising arm of the department) in leadership roles. The Gender Equity Committee continues to examine the need for further opportunities for professional development or mentoring for coaching staff. This will be examined and discussed further. Currently it does not appear that this is a gender issue among Athletics’ staff.

d. Explain how the institution’s written, stand-alone plan for gender issues addresses each of the 17 areas, including any deficiencies identified in the institution’s narrative response as listed in (c) above. Based on the student retention study that was conducted by IRAP, it was determined there are currently no issues regarding female student-athlete retention. The Gender Equity Committee will continue to monitor female and male student-athletes retention rates to ensure strong retention rates continue through studies conducted by IRAP and by continuing to collect retention surveys from athletic advisors on student-athletes. The Gender Equity Committee will also ensure that the athletics retention and exit interview program continues for all student-athletes who graduate.

Regarding coaches and staff, since retention is a new area in athletic certification, no specific programs or services were in place. Athletics staff will continue to be encouraged to pursue professional development opportunities. The Gender Equity Committee will also study this program area for coaches and staff by using a variety of means, all of which are included in the 2010-15 Gender Issues Plan. A study of duration of contracts for head coaches of men’s and women’s sports will be conducted. A compensation trend study of men’s and women’s sports will be conducted. Coaching numbers by gender for men’s and women’s sports will be studied and monitored. A Gender Equity Committee representative will interview the Director of Athletics concerning the Southern Conference Financial Survey and supplement this information by e-mailing Athletics Directors at other like institutions to ask their criteria for bonuses and
incentives. Any issues found will be reported to the Gender Equity Committee and the Director of Athletics.

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 under represented gender within the athletics program.

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; The Athletics Council has a Gender Equity Committee, which evaluates annually the program areas required by the NCAA. The Gender Equity Committee evaluated the 17 program areas this year and provided the data collected to the Gender Issues Subcommittee of the NCAA Recertification Steering Committee.

b. Provide data demonstrating the institution's status and commitment, including resource allocation, across each of the 17 areas; Coaches and staff are given the opportunity at monthly head coaches meetings and weekly administrative staff or directors-level and above meetings to address any gender concerns. The Director of Athletics and the SWA also are available to all coaches and female staff to discuss any gender concerns. The department held an NCAA Diversity Workshop in February 2010 for departmental staff. Gender issues were a topic covered in the workshop. The SWA forwards the email from the NCAA on the NCAA Women Coaches Academy once a year to encourage coaches to register. The University regularly sends out emails and posts on its website programs designed for gender-related issues and encourages all staff to attend. The Women’s Center and the Office of Equity, Diversity and Compliance on campus are available to all women’s staff in the department as well. The Hubbard Center on campus also provides any counseling for faculty and staff.

c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of the under represented gender within the athletics program (any differences should be clearly explained in the institution’s narrative response, including any deficiencies the institution identifies in its analysis); The data does not indicate any inequities in the area of gender issues. All coaches are provided equal access to a number of resources designed to assist with gender-related issues or concerns. Monthly meetings with the administrative staff allow for regular monitoring of any concerns that may become apparent. The data also shows that a number of workshops regarding gender issues have been presented in recent months. The availability of offices and
services outside of the Department of Athletics provide additional resources for underrepresented populations.

d. Explain how the institution's written, stand-alone plan for gender issues addresses each of the 17 areas, including any deficiencies identified in the institution's narrative response as listed in (c) above. No concerns or issues have been identified in the area of Programs and Activities (staff and coaches). The Gender Issues Plan for 2010-2015 provides for continued monitoring in these areas. The Department of Athletics will continue to offer appropriate workshops and programming on subjects suggested by coaches and staff in biennial surveys.

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. This study must be conducted as part of the self-study process;

The Athletics Council has a Gender Equity Committee, which evaluates annually the program areas required by the NCAA. The Gender Equity Committee evaluated the 17 program areas this year and provided the data collected to the Gender Issues Subcommittee of the NCAA Recertification Steering Committee.

b. Provide data demonstrating the institution's status and commitment, including resource allocation, across each of the 17 areas;

Written documents used to investigate this area included:

- 2009-10 Student-Athlete Planner/Planner
- 2007-12 Gender Equity Plan
- 2009-10 Monthly Flyers advertising the month's University and Athletics programs and activities
- December 2009 SAAB Budget Report
- Numerous ASU Online Resource Pages of Gender Areas provided by the campus-to see what programs/activities/resources are offered for women
- Emails/Flyers about Life Skills programs/University sponsored programs dealing with gender or related issues
- 2009-10 Exit Interviews

The subcommittee conducted surveys with the following individuals:
• 28 student-athletes from SAAB
• 12 Head Coaches
• 4 Assistant Coaches

In person interviews were also conducted with the following individuals:
• 2 Sport Administrators
• Erin Justice, CHAMPS/Life Skills Coordinator and SAAB Advisor

C. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of the under represented gender within the athletics program (any differences should be clearly explained in the institution’s narrative response, including any deficiencies the institution identifies in its analysis); and

The SAAB Budget funds SAAB activities and some CHAMPS/Life Skills Activities. Once that budget is exhausted, the Administrative budget is used to fund any activities approved by the Administration for student-athlete activities.

Hundreds of programs offered by the University for students that incorporate any form of gender issue are free for the students and student-athletes to attend. Some of those the programs that bring in outside speakers the Athletics Department has contributed funds to help bring the individuals in to speak. When that occurs, there are usually special sessions just for the student-athletes. Programs conducted either solely through the Life Skills Program or with the University that deal with gender issues include:

• Every Tuesday after Labor Day is the Walk for Awareness, which is a “take back the night” type event.
• 9/24/09 Beauty Mark video (Diane Israel) focused on how sports and society can negatively affect females.
• 9/25/09 Follow up with Diane Israel for female student-athletes. Question/answer session.
• 2/18/09 Bob Hall - Speaker on Alcohol and Sexual Violence Issues on campus.
• 10/29/08 Enough is Enough: The Story of a Student Lost to Alcohol Poisoning. The video is on hazing and alcohol poisoning.
• 2/28/08 Page Love-speaker on Sports Nutrition
• 2/29-Follow-up Q&A Session w/Page Love.
• Numerous RAD (Rape Aggression Defense) Classes offered by University Police
The University provides a lot of budget resources as evidenced in the many centers and departments that deal with gender issues on the Appalachian State Campus.

The 2009-10 Exit Interview asked two questions specific to the areas of gender and discrimination/harassment. All exit interviews conducted showed that Athletics addresses gender issues and that no one has experienced or witnessed harassment or discrimination by a coach, athletics staff or teammate.

d. Explain how the institution's written, stand-alone plan for gender issues addresses each of the 17 areas, including any deficiencies identified in the institution's narrative response as listed in (c) above.

No concerns or issues are identified in the area of Programs and Activities (student-athletes). The Gender Issues Plan for 2010-2015 provides for continued monitoring in these areas. The Athletics Department will continue to offer appropriate workshops and programming on subjects suggested by the student-athletes in annual surveys. One program each year will be conducted on a gender issue. The Athletics Director and CHAMPS/Life Skills Coordinator will review annually.

17. Participation in Governance and Decision Making. Involvement of athletics department staff, coaches and student-athletes from the under represented 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. This study must be conducted as part of the self-study process; The Athletics Council has a Gender Equity Committee, which evaluates annually the program areas required by the NCAA. The Gender Equity Committee evaluated the 17 program areas this year and provided the data collected to the Gender Issues Subcommittee of the NCAA Recertification Steering Committee.

b. Provide data demonstrating the institution’s status and commitment, including resource allocation, across each of the 17 areas; Coaches and staff are given the opportunity at monthly head coaches meetings and weekly administrative staff or directors-level and above meetings to be involved in the governance and decision-making processes of the department. Women’s coaches and staff are asked to serve on search committees within the department. Women’s coaches and staff are encouraged to attend and be involved in their coaches’ or professional conventions for professional and leadership development. As openings become available, the
same are advised of openings on Southern Conference and NCAA Committees for which they could apply.

Student-athletes are represented in governance and decision-making through the existence of the Student Athlete Advisory Board (SAAB). This board consists of 43 total members. Of the 43 members on the 2009-2010 board, 22 are females and 21 are males. SAAB reviews NCAA impending legislation and also approves some Appalachian Athletics policies before they are enacted. Female student-athletes are encouraged to apply for or attend the Southern Conference SALI (Student-Athlete Leadership Institute) and any NCAA conferences that the NCAA offers.

c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of the under represented gender within the athletics program (any differences should be clearly explained in the institution's narrative response, including any deficiencies the institution identifies in its analysis); The data does not indicate any inequities in the area of gender issues. All coaches are involved in monthly meetings with administrative staff and are provided equal opportunity to be involved in governance of the department. Women's coaches are included in key roles on department committees and are encouraged to be involved in professional organizations. The representation of student-athletes on the Student Athlete Advisory Board shows equal representation between male and female athletes.

d. Explain how the institution's written, stand-alone plan for gender issues addresses each of the 17 areas, including any deficiencies identified in the institution's narrative response as listed in (c) above. No concerns or issues have been identified in the area of Participation in Governance and Decision Making. The Gender Issues Plan for 2010-2015 provides for continued monitoring in these areas. The Department of Athletics will continue to make as a priority gender-diverse representation on the Student Athlete Advisory Board. Leadership opportunities will continue to be provided to athletes, coaches and staff. Women coaches/staff will continue to be included on search committee for the department.

18. Annual review of Plan for Improvement. Please note: An institution should comment on this area within its Gender-Issues plan for improvement. A narrative response under the "edit responses" link imbedded within this program area is not necessary.

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; Each year, the Gender Equity Committee, a standing committee of Athletics Council, will review the Gender Issues Plan for Improvement. This review takes place throughout the year and will include the EADA report and
the NCAA Financial Report. The Gender Equity Committee reports to Athletics Council, SABB and Athletics Department in the spring of each year.

b. Provide data demonstrating the institution’s status and commitment, including resource allocation, across each of the 17 areas; This question is thoroughly answered in Gender Issues #2 regarding the Gender Equity Plan developed in Cycle 2 covering the years 2001-2006 and 2007-2012. In addition, the Gender Equity Plan for Improvement 2010-2015, which addresses the 17 program areas is included for your review in the Self Study Instrument for Cycle 3.

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 (any differences should be clearly explained in the institution's narrative response, including any deficiencies the institution identifies in its analysis); This question is thoroughly answered in Gender Issues #2 regarding the Gender Equity Plan developed in Cycle 2 covering the years 2001-2006 and 2007-2012. In addition, the Gender Equity Plan for Improvement 2010-2015, which addresses the 17 program areas is included for your review in the Self Study Instrument for Cycle 3.

d. Explain how the institution's written, stand-alone plan for gender issues addresses each of the 17 areas, including any deficiencies identified in the institution's narrative response as listed in (c) above. This question is thoroughly answered in Gender Issues #2 regarding the Gender Equity Plan developed in Cycle 2 covering the years 2001-2006 and 2007-2012. In addition, the Gender Equity Plan for Improvement 2010-2015, which addresses the 17 program areas is included for your review in the Self Study Instrument for Cycle 3.

9. Using the "original 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. Gender Issues Plan may be viewed on Appalachian State University’s IRAP webpage.
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.

Appalachian State University names the Athletics Council on an annual basis whose membership comprises university faculty, athletics staff, university staff, and students. A Gender Equity Committee is formed from within the membership of this Athletics Council. This subcommittee is charged with reviewing the Gender Issues Plan for Improvement on an annual basis. The Senior Women's Associate Director of Athletics, Debbie Richardson, shares the EADA report and NCAA financial report with the subcommittee for review. Since members of the Athletics Council serve overlapping three-year terms, the membership of the Gender Equity Committee has varied slightly in recent years. Members of the subcommittee for 2008-2009 were:

- Dr. Glenda Treadaway, Dean, College of Fine and Applied Arts
- Barbara Green, Director of Compliance, Department of Athletics
- Tamela Everett, Member, Yosef Club
- Eric Hart, Academic Advisor, Department of Athletics
- David Jackson, Associate Director of Athletics for Public Affairs
- Heather Langdon, Associate Director, Institutional Research and Planning
- Debbie Richardson, Senior Associate Director of Athletics/SWA
- Dr. Faye Sawyer, Professor, Department of Sociology
- Kim Sherrill, Senior Associate Director, Learning Assistance Program
- Carol Soule, Lecturer, Department of Family and Consumer Sciences
- Britt King, Assistant Coach, Women's Basketball

Members of the subcommittee for 2009-2010 are:

- Dr. Glenda Treadaway, Dean, College of Fine and Applied Arts
- Barbara Green, Director of Compliance, Department of Athletics
- Tamela Everett, Member, Yosef Club
- David Jackson, Associate Director of Athletics for Public Affairs
- Heather Langdon, Associate Director, Institutional Research and Planning
- Debbie Richardson, Senior Associate Director of Athletics/SWA
- Dr. Faye Sawyer, Professor, Department of Sociology
- Kim Sherrill, Senior Associate Director, Learning Assistance Program
• Carol Soule, Lecturer, Department of Family and Consumer Sciences
• Michelle Armstrong, Student Government Association

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 before 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 current gender-issues plan for improvement will be in effect for the years 2010-2015. Each five-year plan is developed, and reviewed on annual basis, by a sub-committee of the University Athletics Council. This council consists of a broad cross-section of the university community including academic faculty, university staff, Athletic Department staff, and student representatives. Council members serve overlapping three-year terms.

Following formal approval by the Athletics Council, the gender-issues plan for improvement is further reviewed by the University Equity Office and the Director of Athletics. The plan is then sent to the University Chancellor for final approval before implementation.

Members of the subcommittee responsible for the gender-issues plan for improvement for 2009-2010 are:

• Dr. Glenda Treadaway, Dean, College of Fine and Applied Arts
• Barbara Green, Director of Compliance, Department of Athletics
• Tamela Everett, Member, Yosef Club
• David Jackson, Associate Director of Athletics for Public Affairs
• Heather Langdon, Associate Director, Institutional Research and Planning
• Debbie Richardson, Senior Associate Director of Athletics/SWA
• Dr. Faye Sawyer, Professor, Department of Sociology
• Kim Sherrill, Senior Associate Director, Learning Assistance Program
• Carol Soule, Lecturer, Department of Family and Consumer Sciences
• Michelle Armstrong, Student Government Association
In 2015, a new 5-year plan will be written by the Gender Equity Committee of the Athletics Council and will be approved through the proper channels to comply with Operating Principle 3.1.
Gender/ Diversity Issues and Student-Athlete Well-Being

Operating Principle 3.2 Diversity Issues.

Self-Study Items

1. List all "conditions for certification" imposed by the committee in its Cycle 2 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: No conditions for certification were imposed during Cycle 2.
   Action: No conditions for certification were imposed during Cycle 2.
   Action Date: No conditions for certification were imposed during Cycle 2.
   Explanation for partial or non-completion: No conditions for certification were imposed during Cycle 2.

2. Report on the implementation of the plan for improvement to address minority issues developed by the institution during its Cycle 2 certification process. 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.

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. The committee will accept the following explanation for partial or noncompletion:
- The institution has implemented a different plan(s) to achieve the same goal outlined in its Cycle 2 diversity issues plan.

Original Plan
Goal 1: **Support the recruitment efforts of multicultural and minority student-athletes for all sports programs.**

Action: *Encourage coaches to include student-athletes of different color, cultures, socioeconomic backgrounds and experiences in their recruiting process with major emphasis on teams that are predominately Caucasian. Identify the above potential student-athletes to admissions and financial aid for potential help with academic scholarships and financial aid.*

Action Date: *All coaches identified potential diverse students to Admissions and Financial Aid during the 2001-2006 years.*

Explanation for partial or non-completion: *Only men's and women's golf found it difficult to recruit diverse student-athletes during that period.*

Goal 2: **Support recruitment and hiring efforts for diverse staff.**

Action: *The Athletics Department works closely with the Office of Diversity, Equity and Compliance during the hiring process. Jobs were advertised in locations that are seen by minority applicants and the University's Policy of Equal Opportunity was published on every advertisement.*

Action Date: *This process in place since before the last certification review and continues.*

Explanation for partial or non-completion: *All steps to achieve were met each year and continue.*

Goal 3: **Monitor academic progress and retention of student-athletes.**

Action: *Monitor progress through the University’s Learning Assistance Program (LAP) to include the advising process, participation in the study hall program and academic progress reports. Arrange for student-athletes to meet with their academic advisors during orientation in a small group. Arrange for student-athletes to sign up for individual class schedule-planning meetings. Require new student-athletes to attend an advising meeting during the first four weeks of each semester for the purposes of:*

- Establishing a relationship with the advisor
- Defining the advisor/advisee relationship
- Beginning the career exploration process
- Identifying academic, social and/or personal needs
- Making referrals to other campus resources as needed
Provide advisement to help student-athletes determine a major and courses for the upcoming summer and/or semester. Discuss academic progress with an academic advisor weekly if a student-athlete's grade point average is below a 2.0. Ask all faculty to submit academic progress report information for student-athletes in their classes during the fifth and tenth weeks of the semester. This information is shared with the coach and/or sport administrator. If problems are discovered, the advisor meets with the student-athlete and an academic progress report response form is completed and signed by the student-athlete and sent to the professor. Require all student-athletes with less than a 2.0 GPA in the study hall program. Also require any additional student-athletes designated by their head coaches to report his or her grades weekly to his or her study hall leader, who is trained to provide study skills instruction and referrals to campus resources. The Learning Assistance program works in conjunction with the Office of Academic Services for Student-Athletes in generating progress reports, creating graduation plans, and monitoring students in study hall and with individual advising meetings. Coaches are also included in the monitoring process.

Action Date: This process has been in place since before the last certification review and will continue to occur.

Explanation for partial or non-completion: All steps to achieve were met and continue.

Goal 4: Identify "at-risk" student-athletes and improve academic intervention.

Action: The Learning Assistance program worked closely with the Office of Disability Services and the Office of Academic Services for Student-Athletes to identify and monitor potential at-risk student-athletes academically. Once identified, student-athletes attended additional meetings with their advisor and were required to attend study hall.

Action Date: This process in place since before the last certification review and will continue to occur.

Explanation for partial or non-completion: All steps to achieve were met and continue.

Goal 5: Increase awareness of financial aid

Action: Encourage the process of filing the free application for federal student aid and meeting with financial aid advisors yearly. Promote knowledge of the NCAA Special Assistance Fund during fall eligibility sessions and through the Student-Athlete Handbook. Disseminate information regarding available NCAA and Southern Conference graduate scholarships. Encourage application for the NCAA degree completion awards by those who qualify. Inform student-athletes of different organizations on campus that have available academic and need-
based aid. Coaches and athletics staff encouraged student-athletes to file a FAFSA and informed them of the NCAA special assistance fund. The Athletics Department set a goal of developing a better mechanism for ensuring that both coaches and athletes are fully aware of all opportunities for financial aid.

Action Date: Annually.

Explanation for partial or non-completion: All steps were met and continue.

Goal 6: Review exit interviews of student-athletes annually for insight into their experiences, issues and concerns.

Action: Identify and encourage exit interviews of student-athletes. Review issues and concerns expressed in exit interviews. Athletics Council personnel and athletics administrators conducted interviews. A need to increase overall participation as well as participation of minority student-athletes was identified.

Action Date: Exit interviews are done annually, with the exception of 2005-2006. The Senior Associate Athletics Director/Senior Woman Administrator reviews all exit interviews.

Explanation for partial or non-completion: 2005-2006 was a transition year within the Department of Athletics. Appalachian State implemented a different plan to obtain exit interviews annually and this is included in the 2010-2015 Diversity Plan.

Goal 7: Review of welfare of student-athletes and personnel.

Action: Provide an annual report to the athletics director given by the Minority Enhancement Committee chair. Prepare an annual report for the athletics council by the Minority Enhancement Committee chair. Hold periodic staff meetings where athletics personnel may share concerns. Maintain administrators’ open door policy for staff to share concerns. Monthly coaches meetings, weekly staff meetings, and end-of-year athlete interviews were conducted and served to meet this goal.

Action Date: Annually

Explanation for partial or non-completion: All steps were met and continue.

Goal 8: Encourage staff and student-athletes’ attendance at seminars, workshops and programs on diversity and multicultural issues.

Action: Publicize on-campus events focusing on diversity and multicultural programs to the athletics staff and student-athletes to see. Forward university electronic announcements concerning diversity and multicultural programs to staff and student-athletes through the
SAAB (Student-Athlete Advisory Board). Invite university personnel to speak on multicultural and diversity topics at periodic head coaches meetings.

Action Date: Student-athletes and staff were informed of on-campus events via signs and email notifications as well as during meetings, which served to meet this goal yearly.

Explanation for partial or non-completion: All steps to achieve were met and continue.

Goal 9: Promote diverse representation on boards and committees

Action: Inform teams during fall eligibility sessions of the Athletics Department’s desire to have diverse representation the board. Encourage more diversity on the athletics council through the chancellor and faculty athletics representative. Encourage diversity representation in the community service projects of each team. Encourage student-athletes to become involved in departmental clubs, Appalachian Ambassadors, Student Government Association and any other clubs or student organizations on campus. Student-athletes are encouraged to participate on the SAAB and on other campus student organizations.

Action Date: Annually.

Explanation for partial or non-completion: All steps to achieve were met.

Please know that the Minority Committee met in the early years, but not as frequently as the past two years. Written records are not available from the earlier years. Former members of the committee remember most goals being met. The initial written annual report for the 2001-2006 plan was generated during the 2005-2006 year. Coaches were surveyed and interviewed during the 2005-2006 year. Upon its review, the Diversity Issues Subcommittee of the Athletics Council determined that it needed additional data and time to complete the assessment of the 2001-2006 plan before developing the 2006-2011 plan. Student-Athletes were surveyed and/or interviewed and the next five-year plan was developed during the 2006-2007 year. The plan was then approved for implementation for 2007-2012. The 2007-2012 plan carried any goals from the 2001-2006 plan that needed to be maintained or further addressed. All are incorporated in the 2010-2015 Diversity Plan.

3. Describe any additional plans for improvement/recommendations developed by the institution since the Cycle 2 certification decision was rendered by the committee for Operating Principle 3.2 (Minority Issues). In each case, provide:
   a. The additional plan;
   b. The action(s) taken by the institution; and
   c. The date(s) of the actions(s).
Below are additional plans for improvement listed by program area.

**Program Area 1. Institutional and Athletics Department Commitment**

- Revise, as needed the Athletics Department’s commitment to diversity.
- Ensure broad-based participation in the development and approval of the athletics diversity plan and publicity of the athletics department’s commitment to diversity and inclusion.

**Measurable Goals**

- Detail diversity goals in the Athletics Department mission statement.
- Coaches and athletics staff to review and participate in the development and approval of the diversity plan and other written statements on diversity and inclusion.
- Broad-based campus approval of the 2007-12 Athletics Diversity Plan

**Action(s) Taken**

- Revised the Athletics Department mission statement and other statements for diversity goals and new statements.
- Recommended that the Chancellor’s Task Force for Diversity consider athletics in the university plan
- Recommended that the athletics diversity plan complements the university diversity plan.
- Ensure that broad-based groups are involved in the development and approval of the 2007-12 Athletics Diversity Plan.
- Publicize approved written diversity statements on GoASU.com; send statements to all athletics staff and student-athletes; and include statements in the student-athlete planner and in orientation sessions for all student-athletes and staff.
- Performed an annual review of the 2007-2012 Diversity Plan each of the last three years. Information from the 2007-2012 Plan was used to develop the 2010-2015 Plan.

**Date(s) of the action(s)**


**Program Area 2. Evaluation Area**
• Issues in the Self-Study Athletics Department should consistently develop and review data related to monitoring the department’s commitment to diversity and inclusion.

**Measurable Goals**

• Review and offer revisions to the Athletics Department’s mission statement and other statements as they relate to a commitment to diversity and inclusion.

• Monitor the Athletics Department activities for consistency with the developed goals and objectives set forth in the institution and athletics department’s written commitments to diversity and inclusion.

• Consult with the Chancellor’s Task Force for Diversity on any areas affecting athletics concerning diversity and inclusion.

**Action(s) Taken**

• Develop focus groups involving diverse student-athletes to enhance feedback.

• Replicate the on-line survey of student-athletes to ascertain if there is a perceived difference of treatment of white student-athletes and those of color.

• Conduct surveys of coaches, departmental personnel and selected student-athletes to evaluate how the department and/or individual sport teams are doing in meeting the issues in the diversity plan.

• Monitor exit interviews of diverse student-athletes to identify issues that need to be addressed, determine if modifications need to be made and/or determine if new programs should be offered.

• Share data as requested with the Chancellor’s Task Force for Diversity.

• Performed an annual review of the 2007-2012 Diversity Plan each of the last three years. Information from the 2007-2012 Plan was used to develop the 2010-2015 Plan.

**Date(s) of the action(s)**


**Program Area 3. Organization and Structure**
• The Athletics Department will monitor and evaluate its organization and structure annually with an emphasis on promoting equity and diversity.

**Measurable Goals**

• Develop and maintain concrete steps to promote and publicize diversity and inclusion in athletics.

• Improve and maintain educational efforts on diversity and inclusion for coaches, staff and student-athletes in the Athletics Department.

**Action(s) Taken**

• Annually disseminate statements of commitment to diversity and inclusion to departmental staff, coaches and student-athletes.

• Evaluate annually whether the athletics department mission statement and commitment to diversity statement are being included in department publications, media guides and website.

• Incorporate a commitment to diversity statement in employee appointment letters and contracts.

• Add a diversity evaluation component into administrators’ and coaches’ performance evaluations.

• Performed an annual review of the 2007-2012 Diversity Plan each of the last three years. Information from the 2007-2012 Plan was used to develop the 2010-2015 Plan.

**Date(s) of the action(s)**


**Program Area 4. Enrollment**

• Maintain the recruitment of diverse student-athletes consistent with the diverse student body population.

• Strengthen the relationship between the Admissions Office and the Athletics Department.

**Measurable Goals**

• To have incoming diverse student-athlete populations consistent with the diverse populations of each incoming fall class.
• Recruitment of prospective student-athletes who have met initial eligibility standards set forth by the NCAA Eligibility Center.

• Athletics personnel will be educated through admission practices workshops and with the Admissions Pro software.

• Provide academic services, i.e. study hall, tutoring, SI, and additional academic aid necessary for student achievement, retention, and graduation.

**Action(s) Taken**

• Affirmative recruitment of diverse student-athletes in sports primarily dominated by white student-athletes in order to enlarge the potential talent pool.

• Formal review of initial eligibility documentation by members of the Academic Services for Athletes program (prior to offering NLI).

• As needed, the Office of Admissions, in conjunction with Academic Services for Student-Athletes, will conduct workshops for the sole purpose of adequate training and understanding of changes in admissions practices.

• Periodic review of academic progress reports.

• Make provisions for increased academic assistance when necessary.

• Qualified students receive accommodations by University faculty as outlined in their Individualized Education Plans (IEP).

• Performed an annual review of the 2007-2012 Diversity Plan each of the last three years. Information from the 2007-2012 Plan was used to develop the 2010-2015 Plan.

**Date(s) of the action(s)**


**Program Area 5. Comparison of Populations**

• Volleyball, softball, and men’s and women's golf lack diversity either by race or ethnicity for at least two years.

• Increase the number of diverse students working for the department.

**Measurable Goals**

• To increase racial and/or ethnic minority representation among these programs as feasible.
• To maintain or increase a diverse representation among the other sport programs.

**Action(s) Taken**

• Encourage all coaches of each of these programs to ensure that aggressive recruitment of racial and ethnic minority student-athletes is a part of their annual recruitment efforts.

• Encourage all sport coaches that already have diversity on their teams to continue to do the above.

• Encourage and solicit diverse student-athletes to apply for federal work-study, departmental internships, graduate assistantships and professional development programs in athletics and areas that provide services for athletics.

• Performed an annual review of the 2007-2012 Diversity Plan each of the last three years. Information from the 2007-2012 Plan was used to develop the 2010-2015 Plan.

**Date(s) of the action(s)**


**Program Area 6. Participation in Governance and Decision-Making**

• Further emphasize to diverse student-athletes any leadership opportunities within the Athletics Department.

**Measurable Goals**

• Maintain the diverse make-up of the Student-Athlete Advisory Board and Athletics Council while encouraging even greater diversity and inclusion in both groups.

**Action(s) Taken**

• Continued encouragement by coaches and senior administrators to promote diverse participation in SAAB, team community service projects, camps and clinics.

• To encourage the application and/or participation of diverse student-athletes on University committees, registered student organizations, departmental clubs, honor societies, Student Ambassadors, etc.
• Continued involvement of SAAB in periodic departmental policy reviews or policy development (e.g. substance abuse policy, recruiting policy, hazing policy, pregnancy policy).

• Annual monitoring of diversity representation on SAAB and the Athletics Council.

• Performed an annual review of the 2007-2012 Diversity Plan each of the last three years. Information from the 2007-2012 Plan was used to develop the 2010-2015 Plan.

**Date(s) of the action(s)**


**Program Area 7. Employment Opportunities**

• Department lacks female head coaches and diverse staff members. There are two female athletics administrators while no other diversity in the administration. Develop leadership opportunities for diverse coaches and staff.

**Measurable Goals**

• To increase the number of female and diverse coaches and staff members within the Athletics Department.

• To increase the number of diverse applicants for any open administrator positions.

• Involve female and diverse coaches and staff on search committees for new coaches and staff members.

**Action(s) Taken**

• Perform targeted searches and use affirmative recruiting strategies.

• Commitment to interview qualified female and underrepresented candidates for open positions.

• Network with colleagues across the country and in professional associations to identify potential diverse applicants.

• Continue to utilize the Office of Equity, Diversity and Compliance on campus to advertise position announcements in publications/web sites of organizations that serve underrepresented populations.
• Contact HBCU Athletics Departments with any open position announcements.

• Adhere to affirmative action hiring policies and procedures.

• Take aggressive recruiting steps to increase the development of deep, talented and diverse applicant pools in order to attract more qualified female and underrepresented applicants, thereby enhancing the Athletics Department's ability to increase diversity as well as hire the best candidates for open positions.

• Performed an annual review of the 2007-2012 Diversity Plan each of the last three years. Information from the 2007-2012 Plan was used to develop the 2010-2015 Plan.

**Date(s) of the action(s)**


**Program Area 8. Programs & Activities**

• There is no orientation for student-athletes to campus clubs and organizations that address the needs of underrepresented groups on the Appalachian campus.

• Maintain and strengthen the relationship between Student Support Services (LAP) and the Academic Services for Student-Athletes (LAP).

**Measurable Goals**

• Provide opportunities for all student-athletes, and particularly underrepresented student-athletes, to actively participate in clubs and organizations.

• To provide a system of support for "at risk" and African-American student-athletes.

• Promote student welfare programs that explore prevalent issues pertaining to underrepresented students on the campus.

• Athletics Department should conduct or make available ongoing diversity seminars, programming and workshops for student-athletes and staff.

**Action(s) Taken**
• Offer periodic workshops (after Phase II Orientation) that expose diverse student-athletes to life outside their respective sport.
• Interaction and membership with diversity groups is encouraged and supported by coaches and administrators.
• Provide workshops and one-on-one support for "at risk" and African-American student-athletes to develop academic and career skills.
• Incorporate into the CHAMPS/Life Skills program a Wellness and Personal Welfare component as it pertains to student-athletes of color attending predominantly white colleges/universities.
• Consult with NCAA Diversity Seminar Trainers, ASU Office of Equity, Diversity and Compliance and other athletics departments to learn about viable and effective means to providing diversity seminars, programming and workshops for student-athletes and staff.
• Implement above starting in Spring 2009.
• Performed an annual review of the 2007-2012 Diversity Plan each of the last three years. Information from the 2007-2012 Plan was used to develop the 2010-2015 Plan.

**Date(s) of the action(s)**


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

In December 2007, the UNC Tomorrow Initiative released its findings that provide a blueprint of the areas of concern for the 16 member institutions of the University of North Carolina system to address. Among the concerns listed is the need for its universities to increases access to higher education for all North Carolinians, particularly for underserved regions, underrepresented populations, and non-traditional students.

In Spring 2007, the Appalachian State University Chancellor established the Chancellor’s Task Force for Diversity. This group is tasked to create a new diversity plan to guide and inform university efforts in the area of inclusion. The charge is to create a comprehensive plan that not only addresses structural diversity, but also addresses all facets that impact creating an inclusive and welcoming community. The draft plan submitted to the Chancellor’s Administrative Cabinet is
not yet approved. Chancellor Peacock charged Dr. Anthony Carey, Associate Provost for Faculty Development; Dr. Jesse Lutabingwa, Associate Vice Chancellor International Education and Development; and Ms. Tracey Wright, Assistant Vice Chancellor Student Development, to select and oversee a consultant or consultant group who will aid the university in prioritizing its initiatives and in establishing buy-in from the campus community.

The university has several diversity initiatives, programs, and experiences available and applicable to all members of the campus community, including the athletics department staff, coaches and student-athletes. As with most services, initiatives and experiences it is expected individuals will engage as they see fit.

The Office of Multicultural Student Development provides services and support for students from underrepresented populations by demonstrating a genuine care for their well-being, aiding in their growth and development, enhancing their skill development, advocating for their needs and assisting them in accessing resources across campus and in the wider community. The Office strives to improve the overall quality of life for this population by developing and implementing educational and cultural programs that will assist the university in recruiting, retaining and graduating multicultural students. The office also provides programs and support services that provide safe spaces for open dialogue and communication, while also promoting racial and cultural understanding and appreciation. The staff and some of the student groups they advise/direct are available to conduct trainings and information sessions for any group.

Additionally, there are university ambassadors who assist in recruitment processes. This office provides a Peer Mentor Program that is open to any student of color, who enters the university for the first time. Additionally, they offer Diversity Educators, who are peer educators that provide workshops and presentations on various topics of diversity, inclusion and social justice. This office also provides an annual conference on diversity and social justice that is appropriate for high school and college students and employees of all ages. Furthermore, the Office of Multicultural Student Development oversees the operation and programming of the Multicultural Center, the Women's Center and the LGBT Center. All of these opportunities exist to provide information and serve as a resource to the entire campus community.

The Office of Equity, Diversity, and Compliance is charged with developing, sustaining, and extending living, learning, and working environments that are fair, inclusive, and welcoming for all members of the Appalachian State University community. Equitable access to education for all students is an institutional imperative as is the vigorous recruitment of an increasingly diverse...
faculty and staff. The Office celebrates and cultivates diversity in all its aspects through education, outreach, and the building of community. Concerns about unlawful harassment brought by any member of the university community are addressed by an equity officer and brought to resolution if indicated. And, because education is the cornerstone of this institution, the training of all employees to recognize and prevent discrimination in the workplace is integral to creating and sustaining a vital culture that extends equal opportunity for all people to learn, work, and grow to their fullest potential. A variety of committees and groups that focus on issues of diversity and inclusion are active throughout the university.

Diversity Strategic Team. Established in 2009 to oversee and assist the university in its multicultural student recruitment and marketing efforts, the group consists of staff from the Office of Admissions, the Office of Multicultural Affairs, the Office of Student Development and the Enrollment Management Office. Some of the responsibilities of the team include: advisement of university publications, assistance with open house activities, coordinating special recruitment weekends and campus visits, involvement in recruitment procedures, and reviewing discussions on current campus diversity issues.

College or School Diversity Committees. This group provides leadership in the library on multicultural issues and the provision of library services to people from diverse background by offering staff development opportunities to stimulate diversity awareness, promoting outreach to the university community, and advising library administration on issues and activities. The College of Arts and Sciences Diversity Faculty Committee Covers all aspects of diversity initiatives to include faculty recruitment and retention, curriculum and graduate level admissions. The Reich College of Education Faculty Diversity Committee encourages a climate of understanding and acceptance of differences within the Reich College of Education and across campus.

Black Faculty and Staff Committee. This group urges the university to provide equal educational and career opportunities for professional growth and upward mobility.

Diversity Educators. The Diversity Educators are a cohesive dedicated group of students who come together in appreciation of diversity issues and in pursuit of social justice. They are a valuable resource for students, faculty, staff, campus organization, and the surrounding community. They are committed to creating a history while providing a future that encourages individual growth and a personal endeavor toward expanding diversity.
GLBT Task Force. Appointed in late spring of 2002, the Gay, Lesbian, Bisexual and Transgender Taskforce studies concerns related to sexual orientation and the needs of our GLBT community on campus.

International Faculty, Staff and Spouse Association. The International Faculty, Staff and Spouse Association (IFSSA) supports international faculty, staff and their spouses in their transition to this campus and to this country and in their professional pursuits. The IFSSA also works to recruit more international faculty, staff, and students to campus.

Student Development Committee for Diversity. Charged with responsibility of making recommendations for policy, procedure, and program changes within the division of Student Development that can enhance diversity efforts, the group works with various units across campus to enhance campus climate.

The Office of Admissions and Graduate Admissions Office collaborate with various units across campus to create and implement strategies to aid the university in recruiting students from underrepresented populations. The Diversity Scholars, the Black Student Association, the National Pan-Hellenic Council, the Asian Student Association, the Hispanic Student Association and Native American Council are key organizations that provide direct support to university efforts to increase structural diversity in the student body.

In keeping with national conversation focused on goals and learning outcomes for a twenty-first century college education, Appalachian State University adopted four general education goals and twenty-one learning outcomes. These goals and outcomes promote broad based, interdisciplinary knowledge, higher-level transferable skills, the connection between local and global issues and environments, and a sense of personal and social responsibility as applied to problems. Beginning in the fall 2009, these goals and learning outcomes are applied to freshmen students.

The university has over thirty clubs and organizations whose mission, purpose and focus is to provide information, community and support of the culture that the group represents. All of these organizations are open to any student at the university.

The Athletics Department’s standing Diversity Enhancement Committee annually monitors the progress made within the Athletics Department as it relates to diversity initiatives. Additionally, this committee is responsible for addressing issues and making recommendations to the administrators in the department.

5. Describe how matters concerning diversity issues for athletics department staff, coaches and student-athletes are monitored, evaluated and addressed on a continuing basis.
As mentioned previously, Appalachian State University is committed to diversity and inclusion for its faculty, staff, and students. The university monitors, evaluates, and addresses all departments on campus through affective policies printed in various campus manuals and on the university’s web site.

The Director of Athletics, the Senior Associate Athletics Director/Senior Woman Administrator, the Director of Compliance, and the CHAMPS/Life Skills Coordinator have day-to-day responsibility for diversity issues within the Department of Athletics. In addition, the Diversity Enhancement Committee of the Athletics Council, in accordance with its 2007-2012 Diversity Plan, monitors diversity issues within the Athletics Department.

Focus Groups. Once per academic year members of the committee conduct a focus group with minority student athletes. A sample of the questions and a summary of the responses for typical sessions can be found in the peer review box (Attachment 1).

Student-Athlete Online Survey. Every two years, student-athletes respond to an online survey asking about various issues related to their academic and personal adjustment to Appalachian. The results are analyzed to determine if there is a significant difference between minority and non-minority student-athletes. There were only two questions on which the groups differed in any applicable context. A report of the spring semester 2010 survey is in the peer review box (Attachment 2).

Coach and Staff Interviews. Each year, members of the committee interview one-third of the head coaches and the administrative staff with the intent of interviewing the entire group within a three-year period. The summary of these interviews is kept in the records of the committee. A sample of the interview questions can be found in the peer review box (Attachment 3).

Exit Interview Monitoring. Students-athletes with completed athletics eligibility answer questions posed that are reviewed and summarized for the committee by a non-Athletics member of the committee. In March 2009, six exit interviews from graduating minority student-athletes were reviewed. There were few negative comments. In fact, every student-athlete said that if given the chance, he or she would make the same decision to attend Appalachian. Student-athletes graduating in the spring of the 2008-09 academic year completed a more extensive survey as an exit interview. A total of 31 individuals completed the survey with five identifying themselves as diverse. The responses of diverse student-athletes were compared to those of non-diverse student-athletes. The analysis revealed no significant differences between the two groups. A report showing this analysis can be found in the peer review box (Attachment 4).
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 directors of operations, athletic 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. Full- 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).

The three most recent years are 2009-10, 2008-09, and 2007-08. Please know that ‘Underrepresented’ is used to refer to the total number of individuals who self-identified as being American Indian/American Native, Asian/Pacific Islander, Black, Hispanic, Non-Resident Alien or Other. For the purpose of this reporting, all members of any underrepresented population were clustered together for a comparison against the total number of individuals (inclusive of those who self identified as White).

   a. Full-time senior administrative athletics department staff members (i.e., assistant athletics directors up through the Director of Athletics level).

      In years one and two, 11.1% of the full-time senior administrative staff were members of underrepresented populations. In year three, 12.5% of the full-time senior administrative staff was members of underrepresented populations.

   b. Other full- and part-time professional (i.e. nonclerical) athletics department staff members (such as directors of operations, athletics 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).

      In year one, 5.9% of the other full and part-time professional staff were members of underrepresented populations. In year two, the result was 11.8%, and in year three, it
was 8.7%. Part-time staff tends to make up the changes in professional staff from year-
to-year because most are one-year interns.

c. Full-and part-time head coaches.

In year one, 6.3% of the full and part-time head coaches were members of 
underrepresented populations. In year two, the result was 18.8%, and it was 20% in 
year three. As comparison, the University had a diverse faculty and staff population of 
5.6% in 2009-2010, 6.1% in 2008-2009 and 6.6% in 2007-2008. While the racial and 
ethnic diversity of the coaching staff greatly exceeds the racial and ethnic diversity of all 
university employees, some members of the subcommittee asked that it is noted that it 
is significantly less than the racial and ethnic diversity reflected in the composition of 
student-athletes. The group encourages the department to enhance efforts to recruit 
and retain a more diverse coaching staff.

d. Full and part-time assistant coaches (including graduate assistants and volunteer 
coaches).

In year one, 24% of the full- and part-time assistant coaches were members of 
underrepresented populations. In year two, the result was 23.1% and it was 30.4% in 
year three. As comparison, the University had a diverse faculty and staff population of 
5.6% in 2009-2010, 6.1% in 2008-2009 and 6.6% in 2007-2008. While the racial and 
ethnic diversity of the coaching staff exceeds the racial and ethnic diversity of all 
university employees, some members of the subcommittee asked that it be noted that it 
is less than the racial/ethnic diversity reflected in the composition of student-athletes. 
The group encourages the department to enhance efforts to recruit and retain a more 
diverse coaching staff.

e. Faculty-based athletics board or committee (e.g., faculty senate subcommittee on 
athletics, faculty athletics committee) members.

In year one, 18.5% of the Athletics Council members were members of 
underrepresented populations. In year two, the result was 15.4% and it was 7.4% in 
year three. As people cycled off his or her term, a concerted effort was made to increase 
the underrepresented population within the Athletics Council.

f. Other advisory or policy-making group (e.g., governing board subcommittee for 
athletics, student-athlete advisory committee) members (if any).
In year one, 23.2% of the SAAB members were from underrepresented groups. In year two, the result was 26.2% and it was 25% in year three. At the direction of the Athletics Director, the SAAB Advisor informs student-athletes that they need to consider diversity when choosing representatives, particularly with teams that do have some diversity.

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 year one, 31.6% of student-athletes who received financial aid were individuals who self-identified as being from an underrepresented population. In the same year, 10.9% of all students self-identified as being from an underrepresented population.

In year two, 35.1% of student-athletes who received financial aid were individuals who self-identified as being from an underrepresented population. In the same year, 8.9% of all students self-identified as being from an underrepresented population.

In year three, 30.7% of student-athletes who received financial aid were individuals who self-identified as being from an underrepresented population. In the same year, 8.9% of all students self-identified as being from an underrepresented population.

From year three to one, all students in each category increased, except American Indians. The student-athletes on aid in each category remained fairly stable. The overall number of student-athletes increased each year, particularly from year two to year one, while student-athletes on aid remained constant.

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.

Please note that the following figures represent the percentage of underrepresented student-athletes who received athletics aid in the various sport groups. Year 1 represents the most recent data. Members of the Athletics Council’s Diversity Committee completed the analysis.

Baseball

Year 1: 6.3%
Year 2: 8.3%
Year 3: 13.6%

Men’s Basketball

Year 1: 83.3%
Year 2: 87.5%
Year 3: 92.3%

Football
Year 1: 50.7%
Year 2: 56.5%
Year 3: 48.6%

Men’s Track/Cross Country
Year 1: 28.6%
Year 2: 40%
Year 3: 29.6%

Men’s Other Sports
Year 1: 25.4%
Year 2: 26.2%
Year 3: 23.7%

Women’s Basketball
Year 1: 91.6%
Year 2: 70.6%
Year 3: 71.4%

Women’s Track/Cross Country
Year 1: 45.7%
Year 2: 53.6%
Year 3: 53.8%

Women’s Other Sports
Year 1: 5.3%
Year 2: 5%
Year 3: 2.3%

The composition of student-athletes who received athletics aid in the eight sport groups listed in the NCAA Federal Graduation Rates Report show that four sports slightly decreased and four sports increased in the number of diverse students-athletes receiving athletics aid. Over year three to year one, the racial/ethnic composition of student-athletes did not vary a significant amount, except that women’s basketball increased 20%.

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 (any differences should be clearly explained in the institution’s narrative response, including any deficiencies the institution identifies in its analysis); and
d. Explain how the institution’s written, stand-alone plan for diversity issues addresses each of the nine areas, including any deficiencies identified in the institution’s narrative response as listed in (c) above.

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 the 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. The Athletics Department, through the Athletics Council, established a Diversity Enhancement Committee to monitor diversity issues. The Diversity Enhancement Committee consists of eleven members, including:

- Dr. Ivan Roten, Chair, College of Business
- Dr. James Ivory, Department of English
- Dr. Renee Evans, Department of Human and Psychological Counseling
- Dr. Jack Kwong, Department of Philosophy & Religion
- Ms. Martha Wilson, Registrar’s Office
- Ms. Debbie Richardson, Athletics Department
- Ms. Barbara Green, Athletics Department
- Mr. Pierre Banks, Academic Services for Student-Athletes
- Mr. Peter Wachs, Institutional Research and Planning
• Mr. Mike O’Conner, Physical Plant

In addition, several members serve on the Chancellor’s Diversity Task Force and serve as liaisons for both groups.

As part of Appalachian State’s self-study process, the Diversity Enhancement Committee completes annual reviews of the Athletics Department’s commitment to communicating diversity issues to staff, coaches and student-athletes.

b. Provide data demonstrating the institution’s status and commitment across each of the nine areas;

Appalachian State commits tremendous resources in its diversity commitment. In addition to the following written commitments, the University invests millions of dollars, time of faculty and staff, and commitment at all levels of leadership to create a diverse environment for faculty, staff, and students. Furthermore, the Diversity Enhancement Committee completed annual reviews of the 2007-2012 Diversity Plan each of the last three years for the Athletics Department.

• Appalachian State University Mission Statement

Appalachian State University is a public comprehensive university, offering a wide variety of degree programs at the baccalaureate, master’s, and intermediate levels as well as the Ed.D. in Educational Leadership. With a distinctively residential campus and a faculty and staff characterized by high quality and broad diversity of professional skills, Appalachian takes as its mission the practice and propagation of scholarship. This is accomplished particularly through instruction, but also through the research, creative, and service activities of the university community. Appalachian is committed to excellence in its undergraduate and graduate educational programs, while continuing to serve as a center of cultural and professional activity within its state and region. -- The University of North Carolina Board of Governors (2006).

• Appalachian’s Expansion of the Mission Statement

Founded in 1899 as Watauga Academy, Appalachian State University evolved into a state teachers’ college, later broadened its mission to include the liberal arts, gained regional university status, and in 1971 became a part of The University of North Carolina. From its beginning as a small local institution, Appalachian has developed into a university with students from every section of North Carolina, as well as from other states and nations. Throughout its growth, the university
has maintained a strong sense of community. It continues to provide educational leadership and service to the state and region. The university is committed to fostering an understanding of Appalachian regional culture and the protection of the natural environment.

Appalachian State University is a comprehensive university, offering a broad range of undergraduate programs and select graduate programs. Undergraduates receive a well-rounded liberal education and the opportunity to pursue a special field of inquiry in preparation for advanced study or a specific career. Graduate students engage in advanced study and research while developing and extending their academic or professional specializations. Although the campus is largely residential in character and its students are predominantly of traditional college age, the university seeks to serve a diverse student body. With instruction as its primary mission, the university is committed to excellence in teaching and the fostering of scholarship. As an academic community, it takes pride in its tradition of faculty commitment to students both inside and outside the classroom. Mindful of the relationship between the curricular and extracurricular, Appalachian seeks to promote the intellectual, cultural and personal development of its students.

At Appalachian, scholarship and service are complementary to the instructional mission. The major purposes of scholarship, including research, writing and other creative activities, are threefold: to serve as a basis for instruction, to ensure a vital and intellectually engaged faculty, and to contribute to the advancement of knowledge.

Service is provided through effective engagement in appropriate professional activities, active participation in the concerns of the university community, consultation services, the extension into the community of the professional knowledge and skills of the faculty, staff and students, and the sharing of the university’s cultural and recreational activities.

-- The Appalachian State University Board of Trustees (1995)

- Athletics Department Mission Statement

The Department of Athletics at Appalachian State University believes in maintaining the intercollegiate athletics program as an integral part of the University’s overall program of education, with emphasis on and priority given to the high academic quality and standards and the complete development of the student.
Appalachian State University provides opportunity and encouragement for student-athletes to progress toward degrees of their choice and to develop athletic abilities in an environment consistent with high standards of academic scholarship, leadership and institutional loyalty. The Department of Athletics is committed to ensuring the general welfare of the student-athlete and to encouraging the highest standards of sportsmanship on behalf of student-athletes, the student body and the University's supporters. The intercollegiate athlete representing ASU is both a bona-fide student pursuing a degree program and an amateur competitor.

Appalachian Athletics is committed to insuring equitable recruitment, participation and treatment of individuals including members of under-represented populations through its athletics administration, staff, coaches, programs and policies. The University's policy of non-discrimination represents a moral and ethical, not merely a legal, imperative.

The University has determined that its athletics program will meet the necessary qualifications, guidelines and funding to hold membership in Division I of the NCAA. The athletics administration, the faculty athletics representative and the Athletics Council work together to insure that all teams and coaches follow the rules and regulations governing this division.

The University has determined that its athletics program will meet the necessary qualifications, guidelines and funding to hold membership in Division I of the NCAA. The athletics administration, the faculty athletics representative and the Athletics Council work together to insure that all teams and coaches follow the rules and regulations governing this division.

A sound program of intercollegiate athletics should benefit the institution through its effects on students, alumni and the institution itself. Specifically, it should maintain and improve the loyalty and esprit de corps of the student body, and in strengthening the pride and enthusiasm of the alumni; it should serve as a favorable public relations factor and provide benefits to the participants.

Revised and Approved by Athletics Council on 3/19/08

- **Athletics Department Student Planner Statement**

  Every student-athlete who participates in intercollegiate athletics becomes a member of a team chosen to represent Appalachian State University (ASU). By doing so, a student-
athlete assumes special obligations and responsibilities for meeting requirements set forth by the NCAA, the Southern Conference (SoCon) and ASU.

The Athletics Department does not view the student-athlete as merely an athlete. Your main goal at ASU is to obtain a degree. The Athletics Department expects that each student-athlete attends all classes and performs all assignments unless illness or emergencies arise. Further, student-athletes are encouraged to consult with instructors on an individual basis about academic issues.

A student-athlete is a responsible adult. All choices and decisions regarding personal/academic life reside with the student-athlete. Rather than fostering dependence, we work at teaching student-athletes to take care of them. We encourage student-athletes to develop self-reliance, a quality that will help them throughout their college and future careers.

- **Athletics Department Diversity Statement**
  Appalachian Athletics promotes an inclusive culture that fosters equitable participation for student-athletes and equitable career opportunities for coaches, administrators and support staff from diverse backgrounds and perspectives.

- **Appalachian State University Interim Religious Observance Policy**
  1. Students must be allowed a minimum of two excused absences each academic year for religious observances. Students are responsible for requesting excused absences for religious observances required by the faith of a student. Instructors are responsible for complying with this requirement. In classes in which attendance is taken and/or penalties are applied for student absences, instructors must document their compliance with the religious observance policy by tracking student excused absences for religious observances.
  2. For purposes of this policy, the term “religious observances” shall include religious holidays or holy days or similar observances required by a student’s religion and that require absence from class.
  3. Students must be afforded the opportunity to make up tests or other work missed due to an excused absence for a religious observance.
4. Except in extraordinary circumstances, student requests for excused absences for religious observances must be submitted to instructors in writing no later than three weeks after the first class day of the term.

5. This policy on excused absences for religious observances must be referenced on all course syllabi.

6. This policy supersedes one part of Faculty Planner section 5.5.1.1, which reads: “In addition, faculty members are encouraged to make reasonable accommodations for students requesting to miss class due to the observance of religious holidays.”

7. This policy amplifies another part of Faculty Planner section 5.5.1.1, which reads: “Faculty, at their discretion, may include class attendance as a criterion in determining a student’s final grade in the course. On the first day of class, faculty must inform students of their class attendance policy and the effect of that policy on their final grade; both policies must be clearly stated in the class syllabus.”

8. This policy also amplifies Faculty Planner section 5.5.1.2, which reads: “A syllabus is to be prepared for each course and distributed at the first of the semester. The syllabus should include the following: an explanation of course goals and objectives, the name of the text and any other materials required of each student, the instructor’s office hours, an explanation of how the grade is to be determined, and an explanation of any additional reading, papers, projects and examination which the instructor expects to give or assign.”

- Multicultural Center’s Mission Statement

The Multicultural Center at Appalachian State University provides a bridge that connects and promotes the uniqueness of various multicultural groups, while it encourages respect and appreciation of the history, traditions and culture of these diverse groups. We accomplish this by providing a venue for hosting exhibits, programs, activities and lectures that seek to enhance the rich cultures that comprise our collective community. With this goal in mind, the Multicultural Center fosters an inclusive environment where respect, communication, and cooperation form the basis for multicultural interaction. The Multicultural Center seeks to actively promote awareness, understanding, and appreciation of all ethnic cultures and groups at Appalachian State University. The MCC promotes a philosophy of cultural inclusiveness in our services and programs in conjunction with the Office of Multicultural Student
Development. Through educational training programs, individual consultation and group advising we educate the campus community about ethnic cultures, and general diversity and celebrate the rich contributions of those cultures to our campus community and model how to live in a multicultural world. Of equal importance, we work with students from different ethnic backgrounds to create a campus environment that supports their educational goals.

Goals of the Multicultural Center

- To support and enhance existing cultural programs
- To provide a facility for smaller more "intimate" functions, such as small group discussions, lectures, brown bags, etc.
- To foster an environment of tolerance, understanding and acceptance of different cultures
- To encourage the appreciation of all cultures, particularly the Appalachian culture as it relates to different ethnic and cultural groups.

Appalachian State Office of Diversity, Equity and Compliance Statements

Equal Opportunity Statement

Appalachian State University is an affirmative action and equal employment opportunity employer. The University does not discriminate in access to its educational programs and activities, or with respect to hiring or the terms and conditions of employment, on the basis of race, color, national origin, religion, creed, sex, gender identity and expression, political affiliation, age, disability, veteran status, or sexual orientation. The university actively promotes diversity among students and employees. The university is committed to its affirmative action plans and seeks to deepen its applicant pools by attracting interest from a diverse group of qualified individuals.

Equal Opportunity Policy

Appalachian State University is committed to providing equal opportunity in education and employment to all applicants, students, and employees. The University does not discriminate in access to its educational programs and activities, or with respect to hiring or the terms and conditions of employment, on the basis of race, color, national origin, religion, creed, sex, gender identity and expression, political affiliation, age, disability, veteran status, or sexual orientation. The University actively promotes
diversity among students and employees.

Harassment and Discrimination Policy

Harassment based upon race, color, religion, creed, sex, national origin, age, political affiliation, veteran status, or disability is a form of discrimination in violation of federal and/or state law and Appalachian State University policy, and neither harassment nor other forms of impermissible discrimination will be tolerated. It is the internal policy of Appalachian State University to prohibit harassment and other forms of discrimination on the basis of sexual orientation as well as gender identity and expression. Retaliation against any person opposing, complaining of, or participating in an investigation of harassment or other forms of impermissible discrimination is a violation of federal and state law and Appalachian State University policy, and will not be tolerated.

Appalachian State University policy prohibits members of the University community from engaging in speech or conduct that constitutes harassment, discrimination or retaliation. The University is committed to providing an atmosphere in which students and employees are free from all forms of impermissible discrimination.

The University’s Policy Prohibiting Workplace Harassment is included at Appendix A.

Veteran Status Statement

Appalachian State University does not discriminate against employees or applicants for employment because they are special disabled veterans, veterans of the Vietnam era, recently separated veterans, or other protected veterans in regard to any position for which an individual is qualified. The University agrees to take affirmative action to employ, advance in employment, and otherwise treat qualified individuals without discrimination based upon their disability or veteran status in all employment practices. The Vietnam Era Veterans’ Readjustment Assistance Act of 1974 (VEVRAA), as amended, requires employers to provide qualified veterans an equal opportunity to benefit from the full range of employment-related opportunities available to applicants and employees.

The definitions of veterans covered by VEVRAA are included at Appendix B.

Employees with Disabilities Statement

Appalachian State University does not discriminate against employees or applicants for employment because of a physical or mental disability in regard to any position for which an individual is qualified. The University agrees to take affirmative action to
employ, advance in employment and otherwise treat qualified individuals with disabilities without discrimination based on a physical or mental disability in all employment practices. The Rehabilitation Act of 1973, as amended, and the Americans with Disabilities Act of 1990, as amended, require employers to provide qualified individuals with disabilities an equal opportunity to benefit from the full range of employment-related opportunities available to applicants and employees. For example, the laws prohibit discrimination on the basis of disability in recruitment, hiring, promotions, training, pay, social activities, and other privileges of employment. Further, the laws restrict questions that can be asked about an applicant’s disability before a job offer is made, and requires that employers make reasonable accommodations for the known physical or mental limitations of otherwise qualified individuals with disabilities, unless doing so would result in undue hardship.

- Appalachian State University’s Strategic Plan
  http://www.appstate.edu/about/strategic_plan.pdf

Core Values

- We believe the success of the university depends upon personal achievement, and we maintain as our top priority appropriate policies and resource allocation strategies to promote student, faculty, and staff development.
- We support a culture that promotes diversity, shared responsibility, and mutual respect.
- We embrace shared governance.
- We emphasize open communication and transparent decision processes.
- We have genuine respect for the natural environment and a commitment to principles of sustainability.

Initiative 2: Appalachian will implement institutional policies that promote exemplary faculty and staff performance.

To promote faculty and staff career satisfaction and development, we will create a welcoming culture, transparent policies, and fair reward systems that encourage high performance, diversity, and equity. Equally important is a commitment to provide robust professional development and support programs that recognize and promote
flexible career paths.

Key Indicators

1) Increase the percentage of underrepresented and international faculty and staff to appropriate availability and utilization benchmarks.
2) Employ best practices with promotion and tenure, post-tenure review, and merit policies.
3) Employ best practices with staff performance reviews.

• Presidential Commitment

Appalachian State University has served North Carolinians and citizens of the region for more than a century through education, research, scholarship and public service. A dedicated faculty and staff foster a caring learning environment for students from all parts of the state, nation and the world. Committed to excellence and proud of our heritage, we strive to develop future leaders for our nation and our world. Dr. Kenneth E. Peacock, Chancellor

• Appalachian State University Student Planner Statement

The Lee H. McCaskey Center for Student Involvement and Leadership is committed to the mission of Appalachian State University and the Division of Student Development. The guiding philosophy of the Center recognizes that the development of the whole student is achieved through in-class and out-of-class learning opportunities and experiences provided through programs designed to enhance cultural, intellectual, leadership, personal, and professional development. When afforded these opportunities for learning and growing, students will graduate from the institution with a better understanding of themselves and their peers, as it relates to their organizations, chosen professions and responsibilities as part of a larger community. The Center encompasses leadership development, student publications, multicultural student development, student governance, new student orientation, Greek life and student organizations. The staff, through the implementation of student development theories in a variety of instructional settings, assists students in developing environments which enhance diversity, promote ethical and moral development, encourage civic engagement, promote the establishment of meaningful interpersonal relationships, and provide leadership and experiential learning opportunities. We are located in room 219, second floor of the Plemons Student Union.
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 (any differences should be clearly explained in the institution’s narrative response, including any deficiencies the institution identifies in its analysis); and

Commitment is a demonstrated practice within the department of athletics. As data shows, the athletics department has three times as many student-athletes as compared with undergraduate students from underrepresented populations and twice as many full-time staff as compared with campus marks. Policies and statements regarding the University's commitment to diversity are readily available on campus, in printed publications, and on the university's website. Likewise, policies and statements regarding the Athletic Department’s commitment to diversity are readily available on campus, in printed publications, and on the athletics department’s website. The number one theme of the Athletic Department’s Vision is to provide the “Appalachian State Experience” for our student-athletes. The means providing the very best athletic, academic and social experience possible. Additionally, results from the exit interviews indicate student-athletes are very comfortable at Appalachian State. Furthermore, for staff, the athletics department held a diversity seminar in spring 2010 presented by Mr. Stan Johnson that was very well received. The continued evaluation of Appalachian State Athletics’ commitment to addressing diversity issues is evident in the creation of a 2010-2015 Diversity Plan. Appalachian State University continues to involve a diverse group of faculty, staff and students, including student-athletes, to meet the goals set with the Diversity Task Force.

d. Explain how the institution’s written, stand-alone plan for diversity issues addresses each of the nine areas, including any deficiencies identified in the institution's narrative response as listed in (c) above.

Appalachian State's Diversity Plan presents four steps to address and promote the Athletics Departments commitment to diversity.

- The Athletics Department will annually review its diversity statement to determine if the Athletics Department continues to communicate a strong commitment to diversity to staff, coaches and student-athletes.
- The Athletics Department will annually communicate its diversity statement with appropriate campus departments to ensure awareness.
• The Athletics Department commits to serve the greater campus with membership on any committee formed to develop diversity initiatives
• The Chancellor's Task Force for Diversity will serve as the University's commitment on developing diversity efforts.

2. Assessment. Assessment of athletics department activities to evaluate its consistency with the 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;
Data-gathering activities were a part of the 2007-12 and 2010-2015 Diversity Plans. These activities, such as coaches’ interviews, student-athlete focus groups, and online surveying of student-athletes, were completed according to the plan’s schedule.
As part of Appalachian State’s self-study process, the Diversity Enhancement Committee reviewed activities of the Athletics Department’s commitment to diversity. The Steering Committee, the Chancellor, and University community reviewed the report and had the opportunity to comment on the review.

b. Provide data demonstrating the institution's status and commitment across each of the nine areas;
The Diversity Enhancement Committee of the Athletics Council in accordance with its 2007-2012 plan monitors diversity issues within the Athletics Department.
Focus Groups. Once per academic year members of the committee conduct a focus group with minority student athletes. A sample of the questions and a summary of the responses for typical sessions can be found in the peer review box (Attachment 1).
Student-Athlete Online Survey. Every two years, student-athletes respond to an online survey asking about various issues related to their academic and personal adjustment to Appalachian. The results are analyzed to determine if there is a significant difference between minority and non-minority student-athletes. There were only two questions on which the groups differed in any applicable context. A report of the spring semester 2010 survey is in the peer review box (Attachment 2).
Coach and Staff Interviews. Each year, members of the committee interview one-third of the head coaches and the administrative staff with the intent of interviewing the entire group within a
three-year period. The summary of these interviews is kept in the records of the committee. A sample of the interview questions can be found in the peer review box (Attachment 3).

Exit Interview Monitoring. Students-athletes with completed athletics eligibility answer questions posed that are reviewed and summarized for the committee by a non-Athletics member of the committee. In March 2009, six exit interviews from graduating minority student-athletes were reviewed. There were few negative comments. In fact, every student-athlete said that if given the chance, he or she would make the same decision to attend Appalachian. Student-athletes graduating in the spring of the 2008-09 academic year completed a more extensive survey as an exit interview. A total of 31 individuals completed the survey with five identifying themselves as diverse. The responses of diverse student-athletes were compared to those of non-diverse student-athletes. The analysis revealed no significant differences between the two groups. A report showing this analysis can be found in the peer review box (Attachment 4).

The reports resulting from the assessment activities are also referenced in self-study item number 5.

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 (any differences should be clearly explained in the institution’s narrative response, including any deficiencies the institution identifies in its analysis); and

The results indicate that the diverse student-athletes that the Athletics department attracts and retain, experience life in a way similar to diverse non-athletes and non-diverse athletes.

d. Explain how the institution’s written, stand-alone plan for diversity issues addresses each of the nine areas, including any deficiencies identified in the institution’s narrative response as listed in (c) above.

The assessment efforts related to the Athletics Department’s ability to enhance diversity focused on indirect measures (surveys and focus groups) where participating student-athletes write their opinions. Future assessment efforts in the 2010-2015 Diversity Plan include direct assessment methods, which focus on the Athletics Department’s performance in attracting and retaining diverse student-athletes and employees.

3. Recruitment. Institutional and athletics department programs and strategies for recruiting administrators, coaches and student-athletes from 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;

As part of Appalachian State’s self-study process, the Diversity Enhancement Committee reviewed closely the recruitment of student-athletes from diverse populations. The committee reviewed the Diversity Plan, conducted interviews with head coaches regarding recruitment practices and attitudes, reviewed initial eligibility documentation, and reviewed incoming diverse student-athlete populations and compared them with populations of matching incoming Fall class. The Steering Committee, the Chancellor, and University community reviewed the report and had the opportunity to comment on the review.

b. Provide data demonstrating the institution’s status and commitment across each of the nine areas;

Appalachian State Athletics Department’s mission statement clearly indicates its commitment to recruiting student-athletes, staff and coaches from diverse backgrounds. "Appalachian Athletics is committed to insuring equitable recruitment, participation and treatment of individuals including members of under-represented populations through its athletics administration, staff, coaches, programs and policies. The University's policy of non-discrimination represents a moral and ethical, not merely a legal, imperative."

Through the Diversity Enhancement Committee and other subcommittees, Appalachian State actively monitors incoming populations of student-athletes from diverse backgrounds in all of the sports and compares them with the population of incoming students on an annual basis in order to ensure there is no discrimination in the recruitment process.

To increase staff diversity and meet commitments outline by the UNC Board of Governors, Appalachian State performs targeted searches and uses aggressive affirmative recruiting strategies (e.g., advertising through the HBCU email listserv, direct contact with the Black Coaches Association and the Office of Equity, Diversity and Compliance). The assessment procedure also documents a commitment to recruit from a talented diverse applicant pool. No campus hire is made without following appropriate state-mandated hiring policies.

The Diversity Enhancement Committee conducts annual interviews with all head coaches to monitor their recruitment processes. During these interviews, Appalachian State head coaches confirm that they are sensitive to diversity issues and are actively committed, where possible, to recruit student-athletes and staff from diverse backgrounds. They are also active in searching for new recruitment strategies.
Strategies for recruiting students differ sport to sport. Specific strategies include but are not limited to:

- Use of international rankings
- Contact with international coaches
- Attendance at state and national tournaments
- Networking with AAU, ODU, and other sport specific, development organizations
- Solicitation of media tools, DVDs, film, CDs, etc of athletic performances
- Extensive contact with high school coaches
- Participation in sports camps

Coaches are encouraged by the Director of Athletics and their sport administrators to actively recruit athletes from diverse populations. They are encouraged to recruit the best student-athletes for our institution, but to look at diverse athletes while out recruiting. They are also encouraged to talk with high school and club coaches about potential diverse recruits they may have that our coaches should watch compete. Coaches are aware that the Diversity Committee asked a few years ago to have added to the Official Visit Report for each recruit’s official visit, an area to indicate the diversity of the athlete. Those forms are housed with the Assistant AD for Compliance who is a member of the committee. Our coaches are also encouraged to recruit student-athletes from other regions of the country. That is evident in looking at the rosters of each team. The normal recruiting area for our coaches is North Carolina, South Carolina, Tennessee and Virginia as bordering states. We are recruiting increasing numbers of international student-athletes as well.

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 (any differences should be clearly explained in the institution’s narrative response, including any deficiencies the institution identifies in its analysis); and

Appalachian State continues to be active in recruiting student-athletes, staff and coaches from diverse populations. Ever sensitive to diversity concerns and difficulties related to recruitment (e.g., geographical, budgetary, sport-specific), coaches continually look for new recruitment strategies and actively implement many of them. Many coaches report success. Also, coaches indicate on each Official Visit Form the race/ethnicity of each recruit that makes an official visit to campus. Review of this is an example of the Athletics Department’s commitment to recruit diverse prospects. The consensus among coaches is that Appalachian State offers a strong support network to accommodate their efforts (especially the Office of Equity, Diversity, and
Compliance). Therefore, this is reasonable assurance that Appalachian State is committed to recruitment practices that promote diversity and inclusion.

To illustrate the athletics department’s demonstrated recruiting success, especially when compared with the general student population, this report includes two charts (one attached and one included below) providing data about student-athletes’ geographic and race/ethnicity identity. An analysis of this data points to significant success in Appalachian’s success at recruiting student-athletes from under-represented or diverse backgrounds.

In comparing the race/ethnicity of the student-athletes in 2009-10 to 2008-09, the greatest increases from a diversity standpoint were in the following sports:

- **Football** added 11 Black/African Americans plus 2 others in different race groups above their 2008-09 numbers.
- **Men’s Soccer** added 4 Black/African Americans and decreased Whites by 3.
- **Men’s Track and Field** increased by 5 Black/African Americans.
- **Women’s golf** added their first ever Black/African American who is also a Non-Resident Alien and another White Non-Resident Alien. In the spring of the year, they added another Asian Non-Resident Alien. So, for women’s golf, this was the first year for Non-Whites on the team and any Non-Resident Aliens.
- **Women’s Track** increased by 3 Black/African Americans.

As far as geographical diversity, we looked at the recruiting base for Appalachian State being North Carolina and the border states of South Carolina, Tennessee and Virginia. A study of the student-athletes on rosters (scholarship and non-scholarship) was conducted. Analysis of the geographical diversity is encouraging. Every sport, but men’s golf is in double digits in geographical diversity. Men’s Golf is the only sport by racial/ethnicity and geographical diversity that does not demonstrate much diversity. Golf is also the lowest funded scholarship-wise of all Appalachian State sport teams and so chooses to recruit in-state. All sports are encouraged by the administration to increase diversity, whether it is with scholarship or walk-on student-athletes. Field Hockey is expected to have a high concentration of out-of-region recruiting since the sport is predominately a northern sport. Women’s Basketball, Volleyball, Men’s Tennis, Softball, Women’s Soccer, Men’s Soccer, Women’s Golf and Women’s Tennis are all at 40% or higher geographically out of region/country in their composition. Both golf teams, both tennis programs and softball
were historically behind in diversity. Again, except for men's golf, all of these programs increased their geographic diversity.

The two charts included in this report (one attached and one included below) provide data regarding student-athlete geographic and race/ethnicity identity. An analysis of this data points to significant success in Appalachian’s intentionality in recruiting student-athletes from under-represented or diverse backgrounds. In comparing the race/ethnicity of the student-athletes in 09-10 to 08-09 numbers the most increases from a diversity standpoint were in the following sports:

- Football added 11 Black/African Americans plus 2 others in different race groups above their 08-09 numbers.
- Men's Soccer added 4 Black/African Americans and decreased Whites by 3.
- Men's Track and Field increased by 5 Black/African Americans.
- Women's golf added their first ever Black/African American who is a Non-Resident Alien and another White Non-Resident Alien. In the spring of the year they added another Asian Non-Resident Alien. So, for women's golf, this was the first year ever for Non-Whites on the team and any Non-Resident Aliens.
- Women's Track increased by 3 Black/African Americans.

As far as geographical diversity, we looked at the recruiting base for ASU being NC and the border states of SC, TN and VA as being our natural recruiting areas. A study of the players on rosters (scholarship and non-scholarship) in the summer was conducted. Analysis of the geographical diversity is encouraging. All but Men's Golf are in double digit in geographical diversity. Men's Golf is the only sport by racial/ethnicity diversity and also geographical diversity of the predominately White student-athletes at Appalachian to still not demonstrate much diversity. It is also the lowest funded scholarship-wise of all of the ASU sport teams and so chooses to recruit in-state. All sports are encouraged by the administration to increase diversity in any areas possible, whether it is scholarship or walk-on student-athletes.

Field Hockey would be expected to have a high concentration of out of region recruiting since the sport is predominately a northern sport. Women's Basketball, Volleyball, Men's Tennis, Softball, Women's Soccer, Men's Soccer, Women's Golf and Women's Tennis round out all teams at 40% or higher geographically out of region/country. Both golf’s, both tennis programs and softball were in the past
behind on diversity. Except for men's golf, all of these programs have definitely increased their diversity geographically.

### 2009-10 GEOGRAPHICAL DIVERSITY BY SPORT

(In region recruiting includes North Carolina and bordering states of SC, VA and TN)

<table>
<thead>
<tr>
<th>SPRING 2010 Rosters</th>
<th>Out of Region</th>
<th></th>
<th>SPRING 2010 Rosters</th>
<th>Out of Region</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td># or Country</td>
<td>%</td>
<td></td>
<td># or Country</td>
</tr>
<tr>
<td>MEN'S TEAMS</td>
<td></td>
<td></td>
<td>WOMEN'S TEAMS</td>
<td></td>
</tr>
<tr>
<td>Baseball</td>
<td>37</td>
<td>5</td>
<td>13.5</td>
<td>W. Basketball</td>
</tr>
<tr>
<td>M. Basketball</td>
<td>17</td>
<td>5</td>
<td>29.4</td>
<td>Field Hockey</td>
</tr>
<tr>
<td>Football</td>
<td>104</td>
<td>22</td>
<td>21.2</td>
<td>W. Golf</td>
</tr>
<tr>
<td>M. Golf</td>
<td>16</td>
<td>1</td>
<td>6.3</td>
<td>W. Soccer</td>
</tr>
<tr>
<td>M. Soccer</td>
<td>20</td>
<td>9</td>
<td>45.0</td>
<td>Softball</td>
</tr>
<tr>
<td>M. Tennis</td>
<td>12</td>
<td>6</td>
<td>50.0</td>
<td>W. Tennis</td>
</tr>
<tr>
<td>M. Track &amp; Field/CC</td>
<td>60</td>
<td>14</td>
<td>23.3</td>
<td>W. Track &amp; Field/CC</td>
</tr>
<tr>
<td>Wrestling</td>
<td>23</td>
<td>7</td>
<td>30.4</td>
<td>Volleyball</td>
</tr>
</tbody>
</table>

Total Geographical Diversity for all teams combined: 444 athletes

130 out of region/country

29.3%

A link to the above referenced race report document may be found on Appalachian State University's IRAP webpage.

d. Explain how the institution's written, stand-alone plan for diversity issues addresses each of the nine areas, including any deficiencies identified in the institution's narrative response as listed in (c) above.

Appalachian State's Diversity Plan presents four steps to address and promote the Athletics Departments commitment to diversity.

- The Athletics Department will annually review its diversity statement to determine if the Athletics Department continues to communicate a strong commitment to diversity to staff, coaches and student-athletes.
- The Athletics Department will annually communicate its diversity statement with appropriate campus departments to ensure awareness.
- The Athletics Department commits to serve the greater campus with membership on any committee formed to develop diversity initiatives.
- The Chancellor's Task Force for Diversity will serve as the University's commitment on developing diversity efforts.

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 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 the 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;

As part of Appalachian State’s self-study process, the Diversity Enhancement Committee reviewed the Athletics Department hiring practices. The Steering Committee, the Chancellor, and University community reviewed the report and had the opportunity to comment on the review.

b. Provide data demonstrating the institution's status and commitment across each of the nine areas;

The Athletics Department completed multiple steps in recruiting a diverse staff. These steps include:

- Perform targeted searches and use affirmative recruiting strategies
- Commit to interview qualified female and underrepresented candidates for open positions
- Network with colleagues across the country and in professional associations to identify potential diverse applicants
- Continue to utilize the Office of Equity, Diversity and Compliance on campus to advertise position announcements in publications and web sites of organizations that serve underrepresented populations
- Contact HBCU Athletics Departments with any open position announcements
- Adhere to affirmative action hiring policies and procedures
- Take aggressive recruiting steps to increase the development of deep, talented, and diverse applicant pools in order to attract more qualified female and underrepresented
applicants, thereby enhancing the Athletics Department’s ability to increase diversity as well as hire the best candidates for open positions.

In 2009-10, the Athletics Department had 11.6% of its coaches and staff characterized as diverse. In 2008-09, 14.1% were from diverse populations and in 2007-08, 18.1% were classified as diverse. As a comparison, the University had a diverse faculty and staff population of 5.6% in 2009-2010, 6.1% in 2008-2009, and 6.6% in 2007-2008.

Most recent (last 6 months) hires include:

- Black/African American Head Men’s Basketball Coach
- Black/African American Assistant Head Men’s Basketball Coach
- First Black/African American Strength Coach

On June 4, 2009, University attorneys Dayton Cole and John Earwood, Director of AA/EEO Compliance and Equity Linda Foulsham and Director of Athletics Charlie Cobb met to review and formalize Department of Athletics Hiring guidelines. Reference to the Appalachian EPA/SPA Affirmative Action/Equal Opportunity Plan 2010 provides the foundation for all hiring at the University (http://edu.appstate.edu)

Specific discussion included:

- Language to be used in hiring advertisements
- Process to minimize issues with the Department of Labor
- Use and composition of search committees
- Types of positions and specific hiring protocol (Head Coaches, Assistant Coaches, etc.)
- Use of Black Coaches Association and other recognized NCAA national coaching associations to ensure a diverse applicant pool.

No outside companies are used in our hiring procedures. Institutional hiring practice and athletics hiring practice are the same and guided by the policy and office discussed above. The Department of Athletics leads the campus in its commitment to diversity hiring practice.

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 (any differences should be clearly explained in the institution’s narrative response, including any deficiencies the institution identifies in its analysis); and

The Athletics Department is more successful at hiring diverse candidates than the University as a whole. Given the nature of Appalachian State’s status as a mid-major athletics program and the
fluid nature of coaching, continuing to meet the current doubling of the campus mark is a challenge, but the Athletics Department is committed to being a leader on campus in this area. For example, in the past six months, the athletics department’s recent hires include:

- First Black/African American Head Men’s Basketball Coach in school history
- Black/African American Assistant Men’s Basketball Coach
- First Black/African American Strength Coach (assistant)
- Asian Assistant Women’s Basketball Coach
- Asian Administrative Assistant

On June 4, 2009, University attorneys Dayton Cole and John Earwood, Director of AA/EEO, Compliance, and Equity Linda Foulsham, and Director of Athletics Charlie Cobb met to review and formalize the Department of Athletics hiring guidelines. Reference to the Appalachian EPA/SPA Affirmative Action/Equal Opportunity Plan 2010 provides the foundation for all hiring at the University (edu.appstate.edu). The specific discussion included:

- Language to be used in hiring advertisements.
- Process to minimize issues with the Department of Labor.
- Use and composition of search committees.
- Types of positions and specific hiring protocol (Head Coaches, Assistant Coaches, etc.).
- Use of Black Coaches Association and other recognized NCAA national coaching associations to ensure a diverse applicant pool.

No outside companies are used in our hiring procedures. Institutional hiring practice and athletics hiring practice are the same and guided by the policy and office discussed above, including procedures for expedited searches. A demonstrated example of this fact is the hiring of the University’s first minority men’s basketball coach in 2010 through an expedited search.

As an example of commitment, the athletics department conducted three national head coaching searches for the men’s and women’s basketball programs since 2008. The Director of Athletics initiated contact with the executive director of the Black Coaches Association for the express purpose of identifying diverse candidates. While no candidates were provided for the women’s search by the BCA, candidates were identified for the men’s position. One was interviewed on-campus in 2009.

The Department of Athletics leads the campus in its commitment to diversity hiring practice.
d. Explain how the institution’s written, stand-alone plan for diversity issues addresses each of the nine areas, including any deficiencies identified in the institution’s narrative response as listed in (c) above.

The 2010-15 Diversity Plan calls for the Athletics Department to continue reviewing hiring practices and consider innovative methods to recruit a more diverse population.

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 under represented 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;

Each respective Athletics Academic Advisor conducted retention surveys of student-athletes who left a team for any reason. Student-athletes either complete the Appalachian State-created retention survey or an NCAA survey used for retention purposes. The Office of Equity, Diversity and Compliance reported that no athletics employees responded to any requests to complete an exit survey.

The data provided in the annual reports conducted by the Diversity Enhancement Committee were reviewed and located with peer review documents that included the NCAA retention survey instrument. Staff evaluation forms completed by supervisors were also reviewed. Also, the Athletics Council’s Subcommittee for Academic Integrity provided the Diversity Enhancement Committee with retention charts.

b. Provide data demonstrating the institution’s status and commitment across each of the nine areas;

Retention of diverse student-athletes is studied and reported to our many governing entities. The Office of Institutional Research, Assessment and Planning compile the data on all students by race/ethnicity and by subsets such as student-athletes. This data is gathered and analyzed annually and reported to our Faculty Senate, Board of Trustees, General Administration for the UNC system and The Board of Governors of the UNC system. Attached is a copy of most recent Athletics Report prepared for the Board of Governors.

The retention rates of our diverse student-athletes are very favorable when compared with our general population. This data is available in the Academic Integrity section of the Self-Study.
The University does not or has not conducted retention studies of faculty or staff. Appalachian enjoys unusually high retention rates among these groups and the individuals who leave can be accounted for easily as they are known specifically by name. More specifically in the future and included this as an issue to study as part of the 2010-2015 Diversity Plan. Retention of diverse student-athletes is studied and reported to our many governing entities. The Office of Institutional Research, Assessment and Planning compile the data on all students by race/ethnicity and by subsets such as student-athletes. This data is gathered and analyzed annually and reported to our Faculty Senate, Board of Trustees, General Administration for the UNC system and The Board of Governors of the UNC system. Attached is a copy of most recent Athletics Report prepared for the Board of Governors. The retention rates of our diverse student-athletes are very favorable when compared with our general population and this data is available in the Academic Integrity section of the Self-Study. The University does not or has not conducted retention studies of faculty, staff or coaches. Appalachian enjoys unusually high retention rates among these groups and the individuals who leave can be accounted for easily, and are known specifically by name.

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 (any differences should be clearly explained in the institution’s narrative response, including any deficiencies the institution identifies in its analysis); and

The Athletics Department works diligently to meet the needs of its diverse staff and student-athletes. As mentioned previously, retention rates for diverse student-athletes compare very favorably with retention rates for non-student-athletes. Much of this success is attributed to the personal relationships that staff members have with our student-athletes. A major structural component is that each sport has its own academic advisor, which is unusual for schools of our mid-major status. The Athletics Department commitment to the athletic, academic, and social success of our student-athletes is a demonstrated first priority in our departmental vision. Additionally, results from the exit interviews indicate student-athletes are very comfortable at Appalachian State.

For staff, the Director of Athletics personally contacts each diverse staff member who voluntarily leaves to ascertain his or her reason for leaving. In every situation since 2005, career advancement is the primary motivation. Furthermore, like every staff member on campus, every exiting employee receives a confidential exit survey to complete and the results are retained by
the Department of Human Resources. These results are shared if completed by the departing employee.

d. Explain how the institution's written, stand-alone plan for diversity issues addresses each of the nine areas, including any deficiencies identified in the institution's narrative response as listed in (c) above.

The 2010-2015 Diversity Plan includes steps to achieve goals that incorporate retention. The Diversity Enhancement Committee will study retention data annually for any trends within student-athletes and staff. The Athletics Department will study other “like” programs for effective ideas like mentoring programs for staff, review competitive compensation packages, and campus engagement opportunities.

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;

Appalachian State incorporated partnerships into the 2010-2015 Diversity Plan by developing steps to improve existing partnerships. These steps include:

- Partnership with the Academic Services for Student-Athletes. This area does not directly report to the Director of Athletics, but to the Executive Director of the Learning Assistance Program.
- Periodic review of academic progress reports. The Athletics Department makes provisions for increased academic assistance when necessary.
- Qualified students receive accommodations by University faculty as outlined in their Individualized Education Plans (IEP).
- As needed, the Office of Admissions, in conjunction with Academic Services for Student-Athletes, conduct workshops for the sole purpose of providing coaches, administrators, and staff with adequate training and understanding of changes in admissions practices.

These steps to were reviewed by the Diversity Enhancement Committee as part of the self-study and met in 2009-2010.

b. Provide data demonstrating the institution's status and commitment across each of the nine areas;
The Diversity Enhancement Committee developed interview questions for coaches, athletics staff, and student-athletes. From 2007-2010, the surveys were completed and evaluated annually. Collected data influenced development of the 2010-2015 Diversity Plan. Results conclude that career development programming needs to be developed for the underrepresented or diverse 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 (any differences should be clearly explained in the institution’s narrative response, including any deficiencies the institution identifies in its analysis); and

The Athletics Department and Academic Services for Student-Athletes work closely together for the sole purpose of meeting the needs of student-athletes, including those with diverse backgrounds. In addition, periodic reviews of academic progress reports make provisions for increased academic assistance when necessary. In order to further assist students-athletes, qualified students receive accommodations by University faculty as outlined in their Individualized Education Plans (IEP).

d. Explain how the institution's written, stand-alone plan for diversity issues addresses each of the nine areas, including any deficiencies identified in the institution's narrative response as listed in (c) above.

The 2010-15 Diversity Plan includes a partnership need between the Athletics Department and Career Development area. Results conclude that career development programming for underrepresented or diverse student-athletes is desired. Also, a more active partnership between the Athletics Department and the Office of Multicultural Development is encouraged.

The CHAMPS/Life Skills Coordinator is the conduit for the Athletics Department with these two campus departments. Therefore, relocating the CHAMPS/Life Skills coordinator's office to space within the Learning Assistance Program illustrates the true partnership that exists with campus staff to better communicate and serve the student-athlete population at Appalachian State because the close proximity of office space facilitates better and more frequent communication between the three departments. This space change would not occur without the approval of the Provost's office, which is another example of campus support for our student-athletes academic and social success.
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 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 Diversity Enhancement Subcommittee, as part of the self-study review, reviewed programs and activities designed for staff and coaches to address diversity issues. The subcommittee met with various staff members and coaches. The Steering Committee, the Chancellor, and University community reviewed the report and had the opportunity to comment on the review.

b. Provide data demonstrating the institution's status and commitment across each of the nine areas;

As an example, the Department of Athletics nominated Mr. Eric Hart, an African-American Athletics Academic Advisor, for the 2008-2009 NCAA Leadership Institute for Ethnic Minority Males and Females. He was selected and attended the conference. The Athletics Department funded the majority of costs for Mr. Hart to attend the sessions.

Also, the Athletics Department applied for a grant and helped fund an NCAA diversity seminar for staff and coaches. Stan Johnson of the NCAA came to Boone and conducted a very informative seminar.

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 (any differences should be clearly explained in the institution's narrative response, including any deficiencies the institution identifies in its analysis); and

During the self-study, members determined that the Athletics Department should continue to conduct or make available ongoing diversity seminars, programming, and workshops for athletics staff. Bringing in Stan Johnson of the NCAA to conduct a diversity seminar shows that ASU is committed to helping its staff and coaches improve their understanding of diversity, thus helping them better understand the needs of their diverse student-athletes. It speaks volumes that members of each coaching staff and every athletics administrator actively participated in the NCAA Diversity Seminar.

d. Explain how the institution's written, stand-alone plan for diversity issues addresses each of the nine areas, including any deficiencies identified in the institution's narrative response as listed in (c) above.
Appalachian’s 2010-15 Diversity Plan calls for the Athletics Department to build on its communication model to address diversity. The Athletics Department should utilize other campus resources to present about diversity and inclusion. The Athletics Department should develop and implement new models for addressing diversity. Also, the Athletics Department should continue to conduct and/or make available ongoing diversity seminars, programming, and workshops for athletics department staff.

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 Diversity Enhancement Subcommittee, as part of the self-study review, reviewed programs and activities designed for staff and coaches to address diversity issues. The subcommittee met with various staff members and coaches. The Steering Committee, the Chancellor, and University community reviewed the report and had the opportunity to comment on the review.

b. Provide data demonstrating the institution’s status and commitment across each of the nine areas;

Below are several examples of Appalachian’s commitment to its student-athletes and the personal connection our campus has with its students.

- Mr. Jabari Fletcher, an African-American member of the football team, and a student member of the Club Management Association of America was selected and participated in the CMAA Annual World Conference held February 5-10, 2009, in New Orleans.
- Throughout the year at Appalachian, historically African-American Fraternities and Sororities conduct their pledge process. The intake process is open to qualified students of all races. In recent years, 16 student-athletes from underrepresented populations were initiated into Fraternities and Sororities.
- Mr. Terrance McLean, an African-American member of the football team, participated in the PHASE I orientation and was selected to be one of the 2009-2010 Student Orientation Leaders.
- Mr. Cortez Gilbert, an African-American member of the football team participated in the recruitment process for the Appalachian Ambassadors program.
• Appalachian State offers Life and Career Planning, Freshman Seminar, Study Hall Program, and Reading 1010 classes to assist at-risk students and African-American student-athletes.

• Appalachian’s Learning Assistance Program offers study hall, one-on-one hours with graduate assistants, academic labs, half-hour mentor meetings and learning skills courses (Effective Study Skills, Time Management in College, Learning skills and Technology).

• Mr. Jabari Fletcher was selected and attended the NCAA National Student Leadership Conference (May 24-27, 2009) in Orlando.

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 (any differences should be clearly explained in the institution’s narrative response, including any deficiencies the institution identifies in its analysis); and

During its self-study Appalachian found several needs of its student-athletes with diverse racial, ethnic and other backgrounds, including:

• There is no orientation for student-athletes to campus clubs and organizations that address the needs of underrepresented groups on the Appalachian campus. With 16 student-athletes from underrepresented populations being initiated into fraternities and sororities, it is clear that this particular goal can be effective.

• Strengthen an already strong relationship between the Student Support Services (Learning Assistance Program) and the Academic Services for Student-Athletes. Identified ways to meet this is by providing a system of support for "at risk" and African-American student-athletes, promoting student welfare programs that explore prevalent issues pertaining to underrepresented students on the campus, and the Athletics Department conducting and/or making available ongoing diversity seminars, programming and workshops for student-athletes and staff. These needs were met and achieved by Appalachian as:

  ▪ Mr. Terrance McLean, a member of the football team, participated in the PHASE I orientation and was selected to be one of the 2009-2010 Student Orientation Leaders.

  ▪ Mr. Cortez Gilbert, member of the football team, participated in the recruitment process for the ASU Ambassadors program.
Mr. Jabari Fletcher, member of the football team, was selected and participated in the NCAA National Student Leadership Conference (May 24-27, 2009) in Orlando.

d. Explain how the institution’s written, stand-alone plan for diversity issues addresses each of the nine areas, including any deficiencies identified in the institution’s narrative response as listed in (c) above.

Appalachian’s 2010-15 Diversity Plan addresses programs and activities for student-athletes from three approaches: social, personal, and academics.

- Social. Appalachian’s Diversity Plan calls for the CHAMPS/Life Skills Coordinator, with assistance from the CSIL Office, to offer periodic workshops that expose diverse student-athletes to life outside their respective sport. The diversity plan also calls for coaching staffs and athletics administrators to encourage interaction and membership with diversity groups.

- Personal. Appalachian’s Diversity Plan calls for athletics administrators to consult with NCAA Diversity Seminar Trainers, Appalachian State Office of Equity, Diversity and Compliance, and other athletics departments to learn about viable and effective means to provide diversity seminars, programming and workshops for student-athletes and staff.

- Academics. Appalachian’s Diversity Plan calls for the Learning Assistance Program to provide workshops and one-on-one support for "at risk" and African-American student-athletes to develop academic and career skills.

9. Participation in Governance and Decision Making. Involvement of athletics department staff, coaches and student-athletes from under represented 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;

As part of Appalachian State’s self-study process, the Diversity Enhancement Committee reviewed the Athletics Department’s commitment to participation in governance and decision-making by
staff and student-athletes. The Steering Committee, the Chancellor, and University community reviewed the report and had the opportunity to comment on the review.

b. Provide data demonstrating the institution’s status and commitment across each of the nine areas;

Student-athletes on the Student-Athlete Advisory Board represent all student-athletes in the governance process. At minimum, two student-athletes represent each team. Composition of SAAB averages 25% racial/ethnic minorities, which is greater than the student body representation of racial/ethnic minorities at 8.9%. Most importantly, one of the cornerstones of the Athletics Department’s daily operation is an “open-door” policy instituted by the Director of Athletics in 2005. In an effort to visibly demonstrate inclusion, no office doors are closed during normal hours unless personnel discussions occur.

For staff, various consistent meetings occur to foster participation in governance and decision-making. The Director of Athletics holds monthly staff meetings with sports administrators. He holds bi-weekly staff meetings with senior staff and department managers and staff involved in external departmental functions (fundraising, marketing, ticket operations, ISP corporate sales, Appalachian Sports Network staff, and sports information staff) and internal staff (SWA, compliance, accounting, SAAB coordinator, facilities director, academic advisors, and game operations manager). Input is encouraged and expected. Monthly head coaches’ meetings allow for discussions between head coaches and supporting departmental managers as well as presentations from various campus representatives. When head coaches cannot attend, assistant coaches are expected to attend as his or her representative. This allows for less-experienced coaches to gain valuable experience in dealing with other coaches and administrators. Coaches and staff are included on all departmental search committees and many campus search committees for representative inclusion in the decision-making process. For example, the search committee for the recent softball head coach included the Athletics Director, Senior Associate Athletics Director/SWA (as sport administrator), the academic advisor for softball (African-American), and one student-athlete. In a larger context, all coaches and staff members are encouraged to apply and participate, if selected, on relevant conference, regional, and national committees and attend their coaching conventions.

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 (any
differences should be clearly explained in the institution’s narrative response, including any deficiencies the institution identifies in its analysis; and

Appalachian State University meets the needs of student-athletes and staff regarding participation in governance and decision-making by providing opportunities to participate in SAAB and the Athletics Council, which are under direct control of the Athletics Department. The Office of Multicultural Student Development encourages other opportunities campus-wide. These opportunities include student clubs, university committees, academic department clubs, and other groups.

The composition of SAAB is consistently at 25% racial/ethnic minorities, which is well ahead of the student body representation of racial/ethnic minorities of 8.9%. Student-athletes are included and expected to participate on the self-study Steering Committee and each of the subcommittees for Athletic Certification.

d. Explain how the institution’s written, stand-alone plan for diversity issues addresses each of the nine areas, including any deficiencies identified in the institution's narrative response as listed in (c) above.

At the direction of the Director of Athletics, the CHAMPS/Life Skills Coordinator monitors the racial and ethnic composition of SAAB and Athletics Council on an annual basis. Any concerns with the Athletics Council are discussed with the Faculty Athletics Representative. This assures the inclusion of diverse populations at every level. This also ensures reflective representation from diverse groups on athletics teams.

While no deficiencies were found previously, the Athletics Department will continue to involve diverse coaches and staff on department search committees and will encourage the same staff to be involved in campus-wide events and activities as presented in the 2010-2015 Diversity Plan. With regard to national and conference levels, each year 2 student-athletes, one from an under-represented group, are nominated for the May NCAA Leadership Conference by the CHAMPS/Life Skills Coordinator. This institution nominates every year - the NCAA chooses the finalist. The University has representation at the conference level on several committees from under-represented groups.
10. Annual review of plan for improvement. Please note: An institution should comment on this area within its Diversity-Issues plan for improvement. A narrative response under the "edit responses" link imbedded within this program area is not necessary.

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 Athletics Department completed a 2010-2015 Diversity Plan.

b. Provide data demonstrating the institution's status and commitment across each of the nine areas;

During the spring of each year, the Diversity Enhancement Committee, a standing committee of Athletics Council, reviews the plan and report results to the Athletics Council, SAAB and Athletics Department. Results of these reports are shared with the Chancellor and Board of Trustees annually.

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 (any differences should be clearly explained in the institution's narrative response, including any deficiencies the institution identifies in its analysis); and

During the spring of each year, the Diversity Enhancement Committee, a standing committee of Athletics Council, reviews the plan and report results to the Athletics Council, SAAB and Athletics Department. Results of these reports are shared with the Chancellor and Board of Trustees annually. Any deficiencies are noted and explained.

d. Explain how the institution's written, stand-alone plan for diversity issues addresses each of the nine areas, including any deficiencies identified in the institution's narrative response as listed in (c) above.

The Athletics Department’s 2010-2015 Diversity Plan addresses each of the nine areas of diversity.

10. Using the "original 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. Diversity Plan may be viewed on Appalachian State University's IRAP webpage.

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 of athletics department activities (see Program Area No. 2). Further, identify the individuals who will be responsible for this review.

Appalachian State University will annually review its 2010-2015 Diversity Plan in the following ways:

- **Review by the Athletics Council's Diversity Enhancement Committee**
  - **Members (2009-2010)**
    - Dr. Ivan Roten, Chair, College of Business
    - Dr. James Ivory, Department of English
    - Dr. Renee Evans, Department of Human and Psychological Counseling
    - Dr. Jack Kwong, Department of Philosophy & Religion
    - Ms. Martha Wilson, Appalachian State University Registrar’s Office
    - Mr. Pierre Banks, Academic Services for Student-Athletes
    - Mr. Peter Wachs, Institutional Research and Planning
    - Mr. Mike O'Connor, Director, Appalachian State University Physical Plant
    - Ms. Debbie Richardson, Appalachian State University Athletics
    - Ms. Barbara Green, Appalachian State University Athletics

- **Internal Athletics Department Review by Senior Associate Athletics Director/Senior Woman Administrator Debbie Richardson and Assistant Athletics Director for Compliance Barbara Green.**

- **Development and careful review of a revised Student-Athlete Exit Interview and Staff Exit Interview by Senior Associate Athletics Director/Senior Woman Administrator Debbie Richardson. Results will be shared with the Director of Athletics and Faculty Athletics Representative.**

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.

Appalachian State University established a stepwise process for the development and implementation of the 2010-2015 Diversity Plan. The plan development and implementation is one of the functions of the Athletics Council, the primary governing body of the Athletics Department. The Athletics Council, as noted previously, consists of faculty, staff, and student-athletes of varying racial and ethnic backgrounds.

The Diversity Enhancement Committee utilizing the previous Diversity Plan goals as well as data obtained via questionnaires, surveys, and interviews of coaches, staff, and student-athletes initially develops the plan. In addition, other campus units that deal with diversity issues for the broader campus community, such as the Chancellor's Task Force for Diversity, the Office of Multicultural Student Development and the Office of Admissions, are involved in the plan’s development. Once a draft of the plan is developed, it is presented for approval to the Athletics Department and Director of Athletics. Then, it is presented to both SAAB and the entire Athletics Council for approval. After any revisions, it is presented to the Chancellor for approval, after which it is implemented. The length of each plan is a five-year period. The current plan was for the years 2007-2012, but as a result of this self-study, the new plan is for 2010-2015.
Gender/ Diversity Issues and Student-Athlete Well-Being
Operating Principle 3.3 Student-Athlete Well-Being.

Self-Study Items

1. List all "conditions for certification" imposed by the committee in its Cycle 2 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 for certification" were imposed during Cycle 2.
   Action: No "conditions for certification" were imposed during Cycle 2.
   Action Date: No "conditions for certification" were imposed during Cycle 2.
   Explanation for partial or non-completion: No "conditions for certification" were imposed during Cycle 2.

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 Cycle 2 certification process as they relate to Operating Principle 3.3 (Student-Athlete Well-Being). In each case, provide:
   a. The original plan(s);
   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 Cycle 2 plan if the element does not affect conformity with a current operating principle.

1. Condition: No "conditions for certification" were imposed during Cycle 2.
   Action: No "conditions for certification" were imposed during Cycle 2.
   Action Date: No "conditions for certification" were imposed during Cycle 2.
Explanation for partial or non-completion: No "conditions for certification" were imposed during Cycle 2.

3. Describe any additional plans for improvement/recommendations developed by the institution since the Cycle 2 certification decision was rendered by the committee for Operating Principle 3.3 (Student-Athlete Well-Being). In each case, provide:
   a. The original plan;
   b. The action(s) taken by the institution; and
   c. The date(s) of the action(s).

I. CLASS Sportsmanship Campaign
   a. The original plan; In the fall of 2007, Appalachian initiated a program to address concerns about unsportsmanlike conduct among fans and others.
      The program known as CLASS is an acronym for:
      i. C-Clean up after Yosef!
      ii. L-Let your actions represent the best of Appalachian State.
      iii. A-Always be positive in your support of our team, coaches, and players.
      iv. S-Show respect for our visitors and game officials.
      v. S-Show respect for yourself and your fellow Mountaineers - especially young fans.
   b. The action(s) taken by the institution; The program is promoted during athletic events through signs and video presentations on the video scoreboard, in printed promotional materials, and through conversations with various constituent groups, such as our athletic boosters in the Yosef Club and faculty during the Faculty Senate meetings. This concerted effort improves the game day experience for all participants. It is part of an effort to focus the attention of the day, particularly at football games, on our student-athletes and their commitment to excellence rather than tailgating and related concerns about alcohol abuse. The program is popular with our fans and has a positive effect making the overall game day experience a more satisfying one for our fans, visitors, and, most importantly, our student-athletes.
   c. The date(s) of the action(s). 2007 and continuing.
II. Student-Athlete Recognition Programs

a. The original plan; The Department of Athletics puts significant effort into programs and activities designed to increase recognition, morale, and pride within our student-athlete community. Student-athletes contribute to the institution in many ways and it is important that their contributions both on and off the field are acknowledged.

b. The action(s) taken by the institution; In 2006, the department reinstated a letter award program and increased special programs to recognize athletes. Efforts like letter jackets, backpacks, plaques and a spring all-sports banquet contribute to a more positive experience for our student-athletes. Changes in travel policies, including safer modes of transportation and increased funding for meals and accommodations, also better support student-athletes. In the past several years, the department made staff changes through job restructuring and the addition of new staff position specifically designed to enhance the student-athlete experience. One of the most notable of these was the implementation of the CHAMPS/Life Skills Coordinator position, which is instrumental in providing programs and support to student-athletes, developing student leadership, collaborating with other university departments, and encouraging student-athletes to be more fully engaged in the wide array of collegiate opportunities that exists at Appalachian. Additional staff in areas like academic support services, facility oversight, and development greatly enhance the athletic and educational experience of our student-athletes. Since the last cycle, the Department of Athletics increased staff positions, which contributes greatly to the improved experience for student-athletes.

c. The date(s) of the action(s). 2006 and continuing.

II. Facilities Enhancement Campaign

a. The original plan; The department and institution's efforts in facilities have had a significant impact in the area of student-athlete well-being. Athletics facilities were outdated, in need of repair, or inadequate. This often had a direct impact on the quality of the experience for our student-athletes. Since the last study, this has been a priority for the department and the University.

b. The action(s) taken by the institution; The result has been the addition of the new...
Athletics Center with state-of-the-art equipment, facilities, and academic support programs; new sport-specific competition and practice fields; and additional state-of-the-art equipment to support student-athletes. All of these enhancements are part of a larger institutional effort to improve facilities at the University and these improvements in athletics have not been at the expense of other necessary and needed improvements for the larger university community.

c. The date(s) of the action(s). 2005 and continuing.

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.]

An exiting student-athlete is given the opportunity to complete a written exit interview. A student-athlete is contacted by a senior athletics department staff member and given the option of completing the exit interview in-person or via email. If the exit interview is taken on-line, the document is reviewed individually with a senior staff member via telephone or in-person. Regardless of method, the CHAMPS/Life Skill Coordinator ensures that a reliable sample of student-athletes is surveyed each year. All results are shared with the Athletics Director and Senior Associate Athletics Director/SWA.

2009-10 APPALACHIAN STATE ATHLETICS STUDENT-ATHLETE EXIT INTERVIEW

NAME: ___________________________ PROJECTED GRADUATION DATE: ________

SPORT: ______________ GENDER: _____ RACE/ETHNIC GROUP: ________________

A. Circle below the type of educational institution you attended immediately before enrolling at the Appalachian State:

   High School   Junior College   Four Year College   N/A

B. Circle the description below that best describes how often you participated in your sport’s competitive events (games or matches):

   TEAM SPORT:    Starter   Regular   Specialist   Occasional   Seldom

   INDIVIDUAL SPORT:  100%    75%    50%    25%    Less than 25%

C. Circle the number of semesters you attended Appalachian State: 1 2 3 4 5 6 7 8 9 10

D. Circle the number of summer terms you attended Appalachian State: 0 1 2 3 4 5

E. Were you recruited by Appalachian State?  YES  or  NO

F. Were you on an athletics scholarship?  YES  or  NO
If YES, what was the annual amount (for example, Full or $2,500)? ______________

G. ATHLETIC EXPERIENCE:

Use the following rating scale when answering evaluation questions:

   5 = Excellent; 4 = Good; 3 = Satisfactory; 2 = Poor; 1 = Unsatisfactory

1.a. __________ Quality of your athletics experience at Appalachian State.
1.b. __________ Quality of the coaching you received.
1.c. __________ Quality of the treatment you received from the athletics trainers.
1.d. __________ Quality of the instruction you received from the strength and conditioning staff.
1.e. __________ Quality of the support you received from your academic advisor.
1.f. __________ Quality of the study hall leaders and tutoring.
1.g. __________ Quality of the service you received from Sports Information.
1.h. __________ Quality of the food (if you ate on campus).
1.i. __________ Quality of your residence hall life (if you lived on campus).
1.j. __________ Quality of the academic instruction from faculty.
1.k. __________ Quality of your recruiting experience.
1.l. __________ Rate the degree to which the promises made during your recruitment were met.
1.m. __________ Rate the interest your coach showed in your education.
1.n. __________ How well were NCAA, Conference, and Appalachian State rules explained to you?
1.o. __________ How well were NCAA, Conference, and Appalachian State rules followed?
1.p. __________ How well were team rules and expectations communicated?
1.q. __________ Quality of the Student-Athlete Advisory Board (SAAB)
1.r. __________ Quality of the CHAMPS/Life Skills programs (whether you attended any or not) and the advertisement of the programs to you and your team.
1.s. __________ How well did your practices accommodate class scheduling?
1.t. __________ Rate team travel arrangements for minimizing class misses.
1.u. __________ Rate the type of cooperation you received from faculty in making up tests and assignments missed due to team travel?
1.v. __________ Evaluate your coaches in terms of his/her commitment to your academic time needs.
1.w. __________ Evaluate your opportunities to participate in campus life.
1.x. __________ How well was your sport organized and operated?
1.y. __________ How well were you motivated by your coach?
1.z. __________ Evaluate the facilities for your sport.
1.aa. __________ Evaluate the equipment you were provided.
1.bb. __________ Evaluate your team transportation and travel accommodations.
1.cc. (YES or NO) Were you required by your coach to participate in more than 20 hours of in-season or 8 hours of offseason athletically related activities per week?
1.dd. (YES or NO) Do you believe it is necessary to practice more than 20 hours (8 in the off-season) per week to be competitive in your sport?
1.ee. (YES or NO) Were you ever required to miss a final or mid-term exam due to travel or competition?

1.ff. (YES or NO) Were you ever required to miss a class for practice?

1.gg. (YES or NO) Were the NCAA Special Assistance Fund and the NCAA Student-Athlete Opportunity Fund explained to you in the fall eligibility meeting and/or at other times?

6. Do you feel Athletics has addressed gender, diversity or inclusion issues? (YES or NO)

If No, explain:

7. Did you ever experience or witness harassment or discrimination by your coaches, athletics staff and/or your teammates? (YES or NO)

If Yes, explain:

J. Do you feel that the student-athlete’s well-being and safety are important on team trips? (YES or NO)

If No, explain:

K. What did you like the MOST about your Appalachian State experience?

L. What did you like the LEAST about your Appalachian State experience?

M. Did Appalachian State help you achieve you personal goals? (YES or NO)

Academically

Athletically

Socially

N. If you had the opportunity to make the decision again, would you choose Appalachian State? (YES or NO)

Please explain:

O. What suggestions do you have for improving the life of students-athletes at Appalachian State?

P. What changes do you recommend to be made in NCAA athletics in general?

SUMMARY:

Q. Do you plan to stay involved after graduation? (YES or NO)

• Attend Athletic Events_____

• Yosef Club Functions_____

• Sport Alumni Functions_____

• Become a Yosef Club member (includes Former Athletes Association)_____
R. Do you know about the Yosef Club? _____ If not, interviewer please explain.
S. What are your future goals and aspirations?
T. Forwarding Contact Information:
Address: ___________________________________________________________________
Cell Phone: ___________________ Email: _______________________________________
Parent’s Name and Address:
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
Phone: _______________________ Email: _______________________________________

Siblings Names and Ages: (Should we recruit them to play at Appalachian State? If so, please list sport(s) next to his/her name).

PLEASE KNOW THAT ALL OF THIS INFORMATION IS CONFIDENTIAL AS ALLOWED BY UNIVERSITY POLICY.

THANK YOU FOR COMPLETING THIS QUESTIONNAIRE!

THANKS YOU FOR BEING A PART OF THE APPALACHIAN STATE ATHLETICS PROGRAM!!

In reviewing the results from the 2009-2010 exit interviews, no true concerns were uncovered by the surveys. The few suggestions mentioned were already voiced to the administration through other methods prior to the interviews. In general, student-athletes enjoy their Appalachian State experiences. Multiple student-athletes expressed extreme appreciation for the family atmosphere that they found at Appalachian State.

An annual review of the Exit Interview document keeps the student-athletes’ experience a top priority for the Athletics Department and Athletics Council. The CHAMPS/Life Skills Coordinator and SWA review all exit interviews and bring any recurring themes to the Athletics Director.

Suggestions provided are shared with the appropriate sports administrator and head coach.

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).

Appalachian State University has as one of its core principles the importance of students being
afforded opportunities to be active participants in their own learning and development. This is accomplished in many ways across campus from student led governance groups, to student representation on university committees, to student-initiated programs. Within the Department of Athletics, the Student-Athlete Advisory Board, known as SAAB, is one of the primary ways that students are afforded opportunities to advocate on behalf of student-athletes, provide feedback to the department and staff, and actively involve themselves in the planning and implementation of programs that benefit our student-athletes. SAAB is composed of representatives from each sport and selected by their peers. This insures that those charged with representing the needs and interests of our student-athletes recognize that their primary responsibility is to advocate on behalf of those that have entrusted them with this responsibility. Officers are elected and the Department of Athletics provides an adviser for SAAB. Ms. Erin Justice, CHAMPS/Life Skills Coordinator, serves in this role. SAAB has regular meetings where students concerns may be discussed as well as programs planned for the larger body of student-athletes on a variety of topics.

In addition to the "self-governance" and advocacy approach of SAAB, the Department of Athletics is committed to maintaining an atmosphere supportive of open communication among student-athletes, coaches and administrative staff. Coaches are expected to be available to student-athletes outside of practices to discuss any number of issues. These meetings are generally one-on-one or in smaller groups. In addition, coaches have team meetings where student-athletes can bring up issues either related to concerns about their particular sport or within the larger university. The administrative staff, from the Director of Athletics on down, practices an "open door" policy and seeks to be available on a regular basis for scheduled meetings with students or for "drop in".

Additionally, student-athletes are supported by the department to be engaged in student organizations and governance opportunities across campus. While many of these other organizations are not charged with providing input directly to the Department of Athletics, groups like Student Government Association have student-athletes serve and this has provided a voice for student-athlete concerns to be heard.

Another avenue for student-athletes is participating in campus surveys. Appalachian recently administered a Student-Athlete Survey as part of the Multicultural Enhancement Committee’s efforts. The survey was made available to 318 students with 77 completing the survey. Freshmen were not surveyed because the committee wanted respondents to report on a full year’s experience. This survey had a completion rate of 24%. The survey was designed to assess a
variety of factors in an attempt to give the department a more complete idea of student-athlete concerns and needs rather than waiting until the exit interview. Those surveyed included all academic classifications and sports. The survey was a collaborative effort of the Department of Athletics and Institutional Research and Planning (IRAP).

There are other offices and support services at the University that are available for student-athletes to use as an opportunity to provide feedback. Through academic advisers, faculty representatives on Department of Athletics committees, and student support services like the Counseling Center, Women's Center, and Multicultural Student Development, student-athletes find advocates on their behalf throughout campus. Student empowerment through self-governance and advocacy is an important part of the culture of Appalachian and is continued in the Department of Athletics.

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 directly communicated in writing to athletics department staff members, coaches and students.

The policies outlining the grievance and appeals process for all student-athletes, including transfers, are contained in the Student-Athlete Planner, which is available to all coaches, staff and student-athletes, and via GoASU.com. In addition, student-athletes are informed of these policies annually in their initial eligibility meetings. Staff, including all coaches, is also informed of these policies during monthly coaches meetings, the annual All-Staff meeting, and distribution of the Athletics Department Policies and Procedures Manual. Additionally, in the fall of 2010, the above policies were emailed to all staff following the All-Staff meeting.

In the Planner, pages 136-141 deal with Athletics Financial Aid. Specifically, pages 136-137 deal with discontinuation or reduction in aid and the appeals process for reduction or cancellation of aid. The Director of Financial Aid is responsible for all appeals of athletics financial aid. If a student-athlete feels that the loss or reduction of aid is unfair or unjustified, the basic appeals process is as follows.

- The student-athlete receives notification from the University Financial Aid Office of the cancellation or reduction of aid with instructions on requesting a hearing to appeal if they choose.
If a student-athlete appeals, before an appeal will be heard by the Committee on Athletics Appeals, he or she must have a face-to-face meeting with the coach and sports administrator and/or Athletics Director.

The Committee on Athletics Appeals consists of two faculty members, three university staff members outside athletics, one student, and one member from the financial aid office.

The committee’s decision is final and is communicated in writing to the student-athlete, head coach, sports administrator, compliance director, and athletics director.

In the Planner, pages 128-130 deal with Student-Athlete Discipline Policy, which includes:

- Guidelines
- Discipline Policy Procedures
- Appeals Process
- Request to Transfer Permission and Appeals
  - The basic process to appeal the denial of a transfer request is for the student-athlete to appeal in writing to the Faculty Athletics Representative, Dr. Alan Hauser, who appoints a committee of three Athletics Council members to hear the appeal. The committee is required to hear and offer a decision to the Faculty Athletics Representative within 15 business days of the student-athlete’s original denial. The FAR’s decision is final.
- Grievance Procedure
  - If a student-athlete, including any transfer student-athlete, has a grievance pertaining to any situation or policy, he or she has the option to present it to internal departmental staff, including the Director of Athletics, athletics administrative staff, athletics training staff, and/or strength or conditioning staff. In addition, the grievance may be presented to University personnel, including the Dean of Students; Director of Equity, Diversity and Compliance; Faculty Athletics Representative; and/or the Center for Student Involvement and Leadership. All discussions are evaluated and discussed with the Director of Athletics in writing.

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 directly communicated in writing to athletics department staff members, coaches and students.

Student-athletes, like all Appalachian students, are subject to the Appalachian State University Code of Student Conduct, which is provided to students during mandatory freshman or transfer orientation and at studentconduct.appstate.edu. The Code is one of the primary documents that outline student rights, responsibilities, judicial processes, and grievance or complaint processes. Contained in the document is specific reference to the areas of harassment in all forms, and abusive behavior, whether physically or emotionally, and discrimination. Article I, sections 1.1 and 1.2 on page 10 of the Code outlines the Student's Bill of Rights and the process for "being charged" or a person "bringing allegations" under the Code of Student Conduct. Article IV, Conduct Prohibited by the University, outlines behaviors and conduct that will result in action through the student conduct process. Ms. Judy Haas serves as the Director of the Office of Student Conduct and has direct responsibility for this area.

The Student-Athlete Discipline Policy, which encompasses pages 128-130 of the Student-Athlete Planner, includes prohibited behaviors like being charged with a felony, fighting, threatening, harassing, interfering with rights and opportunities of those who attend the university, or any conduct that reflects unfavorably upon Appalachian State or the Department of Athletics, such as hazing, abusive behavior, or discrimination. If charged, a student-athlete may be suspended or lose their financial aid depending on the severity of the discipline.

Once notified of a sanction, the appeals process for student-athletes found responsible for violations of this section is as follows:

- The student-athlete must send a letter to the Faculty Representative, currently Dr. Alan Hauser, within seven days of receiving a sanction or action.
- Dr. Hauser appoints three members from the Athletics Council to hear the appeal.
- A hearing is held within five days unless the University is in recess.
- Within three days, the committee reports its recommendation to the Faculty Athletics Representative for a decision.
- The student-athlete may appeal this decision to the Chancellor, who is the final decision-maker, but must do so in writing within five business days of the FAR’s decision.
In addition to the process outlined in the Code of Student Conduct and the Student-Athletes Discipline Policy, various offices within the institution are charged with responsibility for education, investigation, and resolution of problems or concerns related to such areas as harassment, abusive behavior, discrimination, and hazing. The Associate Vice Chancellor and Dean of Students within the Division of Student Development has primary and direct responsibility for issues involving students and for those involving students and staff or faculty. The Office of Equity, Compliance and Diversity supports students, faculty and staff who have concerns related to discrimination and harassment. The Student-Athlete Planner makes specific reference to this office as it relates to unfair treatment based on discrimination or harassment. Additional offices that are noted in the Student-Athlete Planner and through whom a student-athlete can seek assistance are the Center for Student Involvement and Leadership and Multicultural Student Development.

In addition to the references during mandatory student orientation, student-athletes are informed of this policy in various ways, including initial eligibility meetings, inclusion in the Student-Athlete Planner, and postings on GoASU.com. Staff, including all coaches, is informed of these policies via GoASU.com, appstate.edu, mentions during coaches meetings, the annual All-Staff meeting, and print and electronic distribution of the Student-Athlete Planner and Athletics Department Policies and Procedures Manual.

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.

Appalachian State University has well-established programs and services in the area of sexual orientation and continues to strive to meet the needs of our students, faculty and staff. These efforts are not just aimed at meeting the needs of students whose sexual orientation is other than heterosexual, but equally important to educate the entire campus community with the goal of developing an inclusive and supportive environment that fosters understanding.

There are a number of campus offices that are responsible for providing educational, programmatic, and personal support as it relates to sexual orientation. There are also student led initiatives that exist to support this area. A program known as Diversity Educators is a paraprofessional group of students who provide peer led educational and awareness training. The Women’s Center and the LGBT Center are student-staffed Centers that provide educational...
advisement, and programmatic support. Appalachian Allies was established specifically to promote an open and affirming environment for gays, lesbian, bisexual, and transgender students." Another program is Open Door (edc.appstate.edu/equity/opendoor/), which identifies offices and individuals who are "committed to accepting and appreciating all people." Professionally staffed offices like Equity, Diversity, and Compliance (EDC), Multicultural Student Development, Center for Student Involvement and Leadership, Counseling Center, and Dean of Students are all charged with assisting in creating a supportive and open campus environment regardless of sexual orientation. In addition to these offices and programmatic efforts, Appalachian has institutionalized its commitments to this area in a number of ways. Structurally, offices like the EDC and Multicultural Student Development provide the leadership and oversight in creating an open and inclusive campus community. The Code of Student Conduct has policies that address appropriate behavior among the campus community. The Department of Athletics includes information about these administrative agencies and makes athletes aware of educational programs available in this area. It is not clear as to the extent that the department is actively engaged in educating their athletes, staff, and coaches. While support and encouragement is given to take advantage of programs and services available on campus, it doesn't seem that the department is addressing this issue as strongly as it could.

The Department of Athletics needs to become more engaged in the education of and creating awareness among its student-athletes, staff, and coaches regarding sexual orientation in an effort to develop an open and inclusive environment for all student-athletes. Additionally, the department should, through its policies and programming, seek to inform student-athletes, coaches, staff and faculty of institutional services available in the campus community. The committee is recommending that the Director of Athletics conduct a thorough review of its policies and practices, including the development of an educational effort among student-athletes and staff regarding issues related to sexual orientation. Further, this review should be completed and any recommendations made public by spring semester 2011.

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 (any differences should be clearly explained in the institution’s narrative response, including any deficiencies the institution identifies in its analysis); and
d. Explain through a plan of improvement, how the institution plans to address and deficiencies identified in its response to (c) above.

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;
   
   The Student-Athlete Well-Being Subcommittee reviewed the area of Student-Athlete Well-Being. The subcommittee consisted of two student-athletes, including the chairperson of the Student-Athlete Advisory Board (SAAB); two faculty members; the CHAMPS/Life Skills Coordinator; and four University Administrators, including representatives from the Offices of Student Development, Academic Affairs, and University Advancement. The subcommittee met with staffs from the Department of Athletics; ASU Motor Pool; Offices of Student Development, University College, and Institutional Research, Assessment and Planning; and student-athletes to complete a comprehensive review of the seven programs.

   The Steering Committee, the Chancellor, and University community reviewed the report and had the opportunity to comment on the review.

   b. Provide data demonstrating the institution’s commitment and current efforts across each of the seven program areas for all student-athletes;

   One of the most visible demonstrations of commitment is through the significant growth in staff and enhancement of facilities as it related to the athletic program areas. The staff has nearly doubled with support being added that has an impact on everything from CHAMPS/Life Skills, to fundraising which impacts available resources, to staffing related to health and conditioning. The Athletics Facilities Enhancement Campaign improved facilities for all student-athletes as
A new initiative that reflect the commitment of the Department of Athletics and the University is the establishment of a Student-Athlete Well-Being Committee within the Athletics Council. Establishing such a committee enhances efforts to address well-being in a more formal way and elevate this area as a major focus for the department.

Student-athletes complete an exit interview, which is taken on-line. This on-line instrument took the place of a previously administered in-person survey. The instrument is available for review in this report. According to Dr. Pete Wachs and Ms. Vivian Thompson with the Office of Institutional Research, Assessment and Planning, 69 student-athletes were eligible to complete the exit interview and 31 completed it for a completion rate of 45%.

In addition to the exit interview, Appalachian recently administered a Student-Athlete Survey as part of the Multicultural Enhancement Committee’s efforts. The survey was made available to 318 students with 77 completing the survey. Freshmen were not surveyed because the committee wanted respondents to report on a full year’s experience. This survey had a completion rate of 24%. The survey was designed to assess a variety of factors in an attempt to give the department a more complete idea of student-athlete concerns and needs rather than waiting until the exit interview.

c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of its student-athletes (any differences should be clearly explained in the institution’s narrative response, including any deficiencies the institution identifies in its analysis); and

The Department of Athletics, through its staffing and policies, has developed and implemented programs and practices designed to insure the well-being of student-athletes. The Student-Athlete Handbook has within it numerous examples of policies and procedures pertaining to student-athlete well-being, including defining the staff responsible for assisting in this area. Staff members in the areas of Compliance, Student-Athlete Development, and Academic Services are charged with day-to-day responsibility as it relates to well-being. In addition, the Director of Athletics, coaches, and the Faculty Athletics Representative all have responsibilities as it relates to student-athlete well-being.

Beyond the Department of Athletics, Appalachian works to engage student-athletes into the total educational experience both in the classroom and outside the classroom. For example, student participation, including student-athletes, in co-curricular experiences are monitored and tracked by the University. The Student Development Record Program allows students to record their...
involvement in areas such as athletics, clubs and organizations, student employment, and honors
to name a few. This enables the University to better understand student engagement and provide
the support system necessary to insure student success. Student-athletes are also made aware of
offices and programs that are designed to assist all students on a personal, professional, and
academic level. Through the CHAMPS/Life Skills Coordinator, student-athletes are made aware of
opportunities across campus in addition to those provided exclusively for student-athletes. Offices
such as the Dean of Students, Center for Student Involvement and Leadership, Multicultural
Student Development, Counseling and Psychological Services, Financial Aid, and Career
Development are a few examples of institutional commitment to enhance the overall educational
experience of student-athletes.

d. Explain, through a plan for improvement, how the institution plans to address any deficiencies
identified in its response to (c) above.

<table>
<thead>
<tr>
<th>Issues in the Self-Study</th>
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<td>No formal mechanism to address student-athlete well-being within the athletics department</td>
<td>Develop a formal mechanism to address student-athlete well-being within the athletics department</td>
<td>Establish the Student-Athlete Well-Being Committee as a part of the Athletics Council. Promote existence of committee to student-athletes, coaches, and staff.</td>
<td>Faculty Athletics Representative and Director of Athletics</td>
<td>Completed August 2010</td>
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</table>

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 Student-Athlete Well-Being Subcommittee reviewed the area of Student-Athlete Well-Being.
The subcommittee consisted of two student-athletes, including the chairperson of the Student-
Athlete Advisory Board (SAAB); two faculty members; the CHAMPS/Life Skills Coordinator; and
four University Administrators, including representatives from the Offices of Student Development, Academic Affairs, and University Advancement. The subcommittee met with staffs from the Department of Athletics; ASU Motor Pool; Offices of Student Development, University College, and Institutional Research, Assessment and Planning; and student-athletes to complete a comprehensive review of the seven programs.

The Steering Committee, the Chancellor, and University community reviewed the report and had the opportunity to comment on the review.

b. Provide data demonstrating the institution’s commitment and current efforts across each of the seven program areas for all student-athletes;

The Student-Athlete Advisory Board (SAAB) is composed of representatives from all sports within the Department of Athletics. There are two representatives from each sport with elected officers, who coordinate SAAB activities.

Student-athletes completing their eligibility or who leave a team are asked to complete an exit interview. Exit interviews are administered by senior Athletics Department staff members and results are reviewed by the CHAMPS Life Skills Coordinator for immediate response. Additionally, these results are reviewed annually by the Athletics Council.

In addition to the exit interview, Appalachian recently administered a Student-Athlete Survey as part of the Multicultural Enhancement Committee’s efforts.

c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of its student-athletes (any differences should be clearly explained in the institution’s narrative response, including any deficiencies the institution identifies in its analysis); and

Student engagement and involvement in their own well-being is a best practice at Appalachian and a focus as it relates to student-athlete participation in governance and decision-making. The Student-Athlete Advisory Board (SAAB) is an active advisory body to the Department of Athletics and Director of Athletics. It has a constitution that governs its operations and is given the autonomy by the Director of Athletics and their advisor to consider and discuss all issues that student-athletes may bring forward. SAAB meets regularly with a prescribed agenda for its meetings, minutes are kept, and recommendations are communicated to the department either by individuals or the officers.

The Multicultural Enhancement survey was made available to 318 students with 77 completing the survey. Freshmen were not surveyed because the committee wanted respondents to report on a full year’s experience. This survey had a completion rate of 24%. The survey was designed to
assess a variety of factors in an attempt to give the department a more complete idea of student-athlete concerns and needs rather than waiting until the exit interview. Results are shared with athletics administrators to help define better campus opportunities and programming for our student-athletes.

In addition to formal opportunities for student input and participation like SAAB and student-athlete surveys, the department practices an open door policy as it relates to being available for athletes. Student-athletes are encouraged to visit, either individually or with others, with their coaches or athletic staff members about concerns, issues, or input into policies or practices of the department.

d. Explain, through a plan for improvement, how the institution plans to address any deficiencies identified in its response to (c) above.

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| Unclear responsibility for maintenance and record-keeping of student-athlete’s concerns | Develop a formal management process for student-athlete concerns within the athletics department | (1) Task SAAB with developing a methodology for record-keeping  
(2) Discuss with affected athletics department staff  
(3) Revise job responsibilities as necessary  
(4) Implement formal record-keeping process and evaluate | (1) CHAMPS/Life Skills Coordinator  
(2) Director of Athletics  
(3) Director of Athletics and Chief Administrative Assistant  
(4) CHAMPS/Life Skills Coordinator | Fall 2010 |

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 Student-Athlete Well-Being Subcommittee reviewed the area of Student-Athlete Well-Being. The subcommittee consisted of two student-athletes, including the chairperson of the Student-Athlete Advisory Board (SAAB); two faculty members; the CHAMPS/Life Skills Coordinator; and four University Administrators, including representatives from the Offices of Student Development, Academic Affairs, and University Advancement. The subcommittee met with staffs from the Department of Athletics; ASU Motor Pool; Offices of Student Development, University College, and Institutional Research, Assessment and Planning; and student-athletes to complete a comprehensive review of the seven programs. The Steering Committee, the Chancellor, and University community reviewed the report and had the opportunity to comment on the review.  

b. Provide data demonstrating the institution’s commitment and current efforts across each of the seven program areas for all student-athletes; Student-athletes exhausting their eligibility or leaving a team are asked to complete an exit interview, which is completed by the student-athlete, then the results are shared with a senior Athletics Department staff member either in-person or via the telephone. This is a new process developed as a result of this self-study. Most importantly, a random sample of student-athletes is the annual goal.  

c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of its student-athletes (any differences should be clearly explained in the institution’s narrative response, including any deficiencies the institution identifies in its analysis); and In reviewing the results from the 2009-2010 exit interviews, no true issues were uncovered by the surveys. In general, student-athletes enjoyed their Appalachian State experiences.  

d. Explain, through a plan for improvement, how the institution plans to address any deficiencies identified in its response to (c) above. An annual review of the Exit Interview document will help keep the experience of student-athletes a priority for the Athletics Department and Athletics Council.  

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 Student-Athlete Well-Being Subcommittee reviewed the area of Student-Athlete Well-Being. The subcommittee consisted of two student-athletes, including the chairperson of the Student-Athlete Advisory Board (SAAB); two faculty members; the CHAMPS/Life Skills Coordinator; and four University Administrators, including representatives from the Offices of Student Development, Academic Affairs, and University Advancement. The subcommittee met with staffs from the Department of Athletics; ASU Motor Pool; Offices of Student Development, University College, and Institutional Research, Assessment and Planning; and student-athletes to complete a comprehensive review of the seven programs. The Steering Committee, the Chancellor, and University community reviewed the report and had the opportunity to comment on the review.

b. Provide data demonstrating the institution’s commitment and current efforts across each of the seven program areas for all student-athletes; There are hundreds of programs and services available to student-athletes as part of the general student community. Beyond these, the Department of Athletics provided or supported 11 additional programs specifically targeting student-athletes with combined participation of 2,129 or an average attendance of 193. This represents nearly half of our total student-athlete population at any one program.

Student-athletes complete exit interviews and a Student-Athlete Survey as part of the Multicultural Enhancement Committee’s efforts and referenced previously.

A. Selected CHAMPS/Life Skills Programs - 2008-2009 Academic Year
   i. Student-athlete Advisory Board (SAAB) Retreat - August 24, 2008 Participants: 40 student-athletes Purpose: leadership training and SAAB training
   ii. Welcome Back Celebration - August 25, 2008 Participants: 450 student-athletes, coaches, and staff Purpose: Remind SA about expectation, welcome them back, pep talk for the new year
   iii. Freshman orientation - August 28, 2008 Participants: 80 freshman student-athletes Purpose: Orientation and provide information to student-athletes, encourage freshman SA to meet different members from different teams.
   iv. Walk for Awareness - September 2, 2008 Participants: approximately 75 student-athletes Purpose: Campus wide event to educate about personal safety. Similar to a
Take Back the Night Program

v. Step Up training - September 25, 2008 Participants: 25 freshman student-athletes
   Purpose: Teach them to be a positive bystander

vi. Alcohol Prevention Speaker - November 16, 2008 Participants: 420 student-athletes
   Purpose: Remind them to make positive decisions around alcohol

vii. Winter Semi Formal - January 29, 2009 Participants: approximately 65 student-athletes
     Purpose: Provide a fun social event without alcohol

viii. APPLE Conference - January 30-February 1, 2009 Participants: 4 student-athletes
      and athletic training student Health promotion majors Purpose: Conference
      discussing how to promote healthy decisions in an athletic department

ix. Sexual Assault Program - February 18, 2009 Participants: 420 student-athletes; campus wide program open to all
    Purpose: To learn about how to prevent sexual assaults and have healthy relationships

x. Battle of the Sports - April 16, 2009 Participants: approximately 150 student-athletes
    Purpose: Compete in fun games and determine the over all winner; social
    event for all student-athletes

xi. All Sports Banquet - April 30, 2009 Participants: 450 student-athletes, coaches, and staff
    Purpose: To honor the MVP of each sport and celebrate a great year

c. Using the data provided in (b) above, analyze and explain how the institution is meeting the
   needs of its student-athletes (any differences should be clearly explained in the institution's
   narrative response, including any deficiencies the institution identifies in its analysis); and

The Student-Athlete Well-Being Subcommittee (SAWB) discussed the programs being offered to
student-athletes with Ms. Erin Justice, the current CHAMPS/Life Skill Coordinator (CLSC). She
explained the policies and procedures that surround the program and methods of notifications
about the activities that are provided to the student-athletes. The information that was provided
illustrated multiple programs that address well-being issues that affect student-athletes. This
position has fostered positive working relationships with departments on campus, such as, but not
limited to: Counseling Center, Student Conduct, Student Advising, Career Center, Peer Career,
Women’s Center, and Wellness Center. The Coordinator publicizes programming from each of
these departments to the student-athletes. Some examples of these programs are Education Fairs,
Depression screenings, Smoking Cessation groups, Major Fairs, National Eating Disorder Week,
Alcohol Education Week, and Party Safe Workshops. Individual coaches also request specific
programs for their teams. The office also makes use of off-campus organizations like OASIS (Domestic Violence Support Office) and licensed experts like nutritionists to provide quality programming for specific teams. The Coordinator works with on campus departments to enlist quality speakers to address topics such as, but not limited to: alcohol, eating disorders, sexual assault, and sexual health. The office promotes leadership opportunities for student-athletes and encourages their participation in NCAA Conferences, Southern Conference Leadership Conferences, and Appalachian State Leadership Conferences.

Multiple avenues are used to convey programming information and to encourage student-athletes’ participation. The CLSC advises the Student-Athlete Advisory Board (SAAB), a leadership group of student-athletes from each team that meets monthly. All upcoming programs are announced at these meetings and are on the agenda. SAAB members are encouraged to advertise these programs to their teams, make announcements about upcoming events, and facilitate participation from team members. They are also encouraged to send out emails to their teammates as another reminder of upcoming events. Campus programs are also advertised through the online classroom, ASULearn, in which all student-athletes are grouped as a "class." When athletes log into ASULearn to read announcements, complete assignments, or discuss topics in participant forums for other classes, they can check in on the student-athlete site and see what programming is available there, too. The CLSC posts flyers and has handouts of information including, but not limited to: nutrition, sexual health, and career development outside the office that can be picked up at any time. The Coordinator also attends the monthly head coaches’ meetings and highlights specific programs that coaches should encourage their students to attend. She maintains an email list of all current student-athletes so that if there is a particular event that needs more publicizing the CLSC can send a direct email.

There are four other academic advisors who work closely with student-athletes and the Coordinator who also does advising. All advising staff members have open door policies and strongly encourage student-athletes to stop in to visit anytime. This provides a safe place for student-athletes to share their concerns and feelings. The staff is aware of programming and opportunities that may help the student-athletes handle difficult situations. The Director of Compliance meets with each team at the beginning of every year. There has been a DVD developed for consistency that discusses all issues related to compliance and student-athlete well-being.

The SAWB Subcommittee analyzed the above information and concluded that Appalachian State
University provides quality programming to educate all students on campus. The Coordinator specifically, and Athletics generally, makes good use of the programs that are already being offered. This important position also does a good job of utilizing community resources to fill the need for programming not offered on campus. There are many ways for student-athletes to learn about upcoming programs. They can ask their teammates, coaches, administrators, CLSC, academic advisors or go online to and learning opportunities. The CLSC office is located in the heart of campus, which provides easy access for student-athletes to drop in for informal visits or to get more information about a program.

d. Explain, through a plan for improvement, how the institution plans to address any deficiencies identified in its response to (c) above.

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<tr>
<td>Lack of relationship between Athletics Department and the Multicultural Center and Lesbian, Gay, Bi-Sexual and Transgender Center</td>
<td>Develop mutually supportive programming with the Multicultural Center and the Lesbian, Gay, Bi-Sexual and Transgender Center</td>
<td>(1) Meet with staffs of MC and LGBT Center&lt;br&gt;(2) Make student-athletes, coaches, and staff aware of events hosted by the MC and LGBT Centers&lt;br&gt;(3) Establish programming if appropriate</td>
<td>CHAMPS/Life Skills Coordinator</td>
<td>Fall 2010</td>
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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;

The Student-Athlete Well-Being Subcommittee reviewed the area of Student-Athlete Well-Being. The subcommittee consisted of two student-athletes, including the chairperson of the Student-Athlete Advisory Board (SAAB); two faculty members; the CHAMPS/Life Skills Coordinator; and four University Administrators, including representatives from the Offices of Student Development, Academic Affairs, and University Advancement. The subcommittee met with staffs from the Department of Athletics; ASU Motor Pool; Offices of Student Development, University College, and Institutional Research, Assessment and Planning; and student-athletes to complete a comprehensive review of the seven programs.

The Steering Committee, the Chancellor, and University community reviewed the report and had the opportunity to comment on the review.

b. Provide data demonstrating the institution’s commitment and current efforts across each of the seven program areas for all student-athletes;

Appalachian provides all staff, coaches, and student-athletes with a comprehensive Student-Athlete Planner, which gives extensive information, resources, expectations, and policies regarding time demands on student-athletes.

In addition to the planner, the University ensures that coaches, sports administrators, athletic academic advisors, and the CHAMPS/Life Skills coordinator are engaged in the lives of our student-athletes and open to communicating and assisting them with time demands of classroom and competition. Furthermore, an annual athletics staff and coaches meeting is held by the athletic administrators to review NCAA and university policy regarding time demands of student-athletes.

At the beginning of each year, student-athletes are required to attend a University Rules and Eligibility Meeting, which is conducted by Barbara Green, Director of Compliance. The Department of Athletics implemented a new DVD presentation as a part of this meeting to improve the content delivery to student-athletes. A portion of the handbook and presentation includes discussion of sports participation or time demands.

The main time demand issues for student-athletes are practice schedules and travel to competition.

- **PRACTICE SCHEDULES.** Practice schedule time logs are submitted to Barbara Green, Assistant Athletics Director for Compliance. She reviews these time logs to ensure teams
are adhering to NCAA practice time policies and regulations.

- **CLASS SCHEDULES.** In coordination with the Athletic Advisors, student-athletes class schedules are set and monitored to ensure that no practice times conflict with class schedules. University and NCAA policy does not allow for student-athletes to miss class meeting time due to team or individual practices.

- **COMPETITION TRAVEL SCHEDULES.** Sports administrators and coaches develop travel schedules based on team competition schedules. Once the travel schedules are complete, a copy of the season travel schedule is provided to the student-athlete and Athletic Academic Advisors. This precedes class registration each semester to ensure that students will not miss more than 10% of their classes in a given semester. Student-athletes are expected to submit a copy of their competition travel schedules to respective faculty members at the beginning of each semester and are asked to remind faculty at least three (3) days in advance of any required competition travel time that may cause class absence.

- **CLASS ATTENDANCE POLICY.** Faculty Handbook, Chapter V, 09/18/09, Page 104. Attendance Policy Relating to Participation in University-Sponsored Activities: 5.5.2.1 As an integral part of the academic program at Appalachian State University, the University sponsors and otherwise supports co-curricular programs, athletic programs, and other out-of-class activities such as field trips. Participation in such activities occasionally requires a student to miss one or more class meetings.

Additionally, at mid-semester, the Athletic Academic Advisors send an Academic Progress Report (APR) to individual faculty members who have student-athletes enrolled in their classes to be completed by faculty and returned to the Learning Assistance Program/Academic Services for Athletes. An APR requests that faculty members assess a student-athlete on the following categories: attendance, class participation, assignments, tests/quizzes/exams, suggestions for improvement, and additional notes/comments.

In the event of extended competition (i.e., FCS post-season football playoffs), procedures are in place for administering final exams off-site by the Faculty Athletics Representative who serves as official proctor of the final exams under these extenuating circumstances.

For summer and intercession periods, student-athletes are instructed through the Student-Athlete Handbook presentation as to what practice schedule and competition is allowable by NCAA. Students are encouraged to contact Barbara Green, Assistant AD for Compliance if clarification is
needed.
SAAB also serves as a resource for student-athletes and athletics department senior staff to monitor the time demands of student-athletes.
Student-athletes complete exit interviews and a Student-Athlete Survey as part of the Multicultural Enhancement Committee’s efforts and referenced previously.
c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of its student-athletes (any differences should be clearly explained in the institution’s narrative response, including any deficiencies the institution identifies in its analysis); and Appalachian’s practice of individually reconciling all class schedules with practice and game schedules by the academic advisors fully demonstrates the University’s commitment to maximizing the college experience of our student-athletes. Furthermore, the thorough review of practice and playing seasons by the Director of Compliance demonstrates a strong commitment from the athletics department. The data reviewed by the subcommittee clearly shows that Appalachian is committed to providing a well-balanced college experience for its student-athletes.
This information is collected in a variety of ways including coach’s logs, student-athlete Exit Interviews, and via feedback or discussions with Student-Athlete Advisory Board. Under the direction of the Director of Compliance, Ms. Barbara Green, policies and procedures related to Time Demands are reviewed and revised annually or, if the need arises sooner.

d. Explain, through a plan for improvement, how the institution plans to address any deficiencies identified in its response to (c) above.

<table>
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<tr>
<th>Issues in the Self-Study</th>
<th>Measurable Goals</th>
<th>Steps to Achieve the Goals</th>
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<td>No post-season institutionalized departmental policy related to post-season competition</td>
<td>Establish a formal post-season policy for student-athletes and staff to include time demands as it relates to</td>
<td>(1) Develop a formal post-season policy</td>
<td>(1) Director of Academic Support for Student-Athletes, Director of Athletics and Faculty Athletics Representative</td>
<td>Fall 2010</td>
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</table>
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 Student-Athlete Well-Being Subcommittee reviewed the area of Student-Athlete Well-Being. The subcommittee consisted of two student-athletes, including the chairperson of the Student-Athlete Advisory Board (SAAB); two faculty members; the CHAMPS/Life Skills Coordinator; and four University Administrators, including representatives from the Offices of Student Development, Academic Affairs, and University Advancement. The subcommittee met with staffs from the Department of Athletics; ASU Motor Pool; Offices of Student Development, University College, and Institutional Research, Assessment and Planning; and student-athletes to complete a comprehensive review of the seven programs.

The Steering Committee, the Chancellor, and University community reviewed the report and had the opportunity to comment on the review.

b. Provide data demonstrating the institution's commitment and current efforts across each of the seven program areas for all student-athletes;

The department utilizes both university and private coach options for student-athlete travel to competition. A majority of the athletic programs use university motor pool vehicles for transportation. Selection of either option is the responsibility of the respective head coach in consultation with his or her sport administrator.

The ASU Motor Pool uses guidelines set forth by the Federal Motor Carrier Safety Administration.
for its bus operations. These guidelines include very specific procedures and policies for drivers to ensure that safety is paramount in transportation. Two Associate Athletics Directors, Jay Sutton and David Jackson, as sport administrators coordinate and monitor any private coach company selections to ensure these entities meet Federal Motor Carrier Safety Administration standards.

c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of its student-athletes (any differences should be clearly explained in the institution’s narrative response, including any deficiencies the institution identifies in its analysis); and

The safety and well-being of our staff and student-athletes, while traveling for competitions or participating at campus venues, is a major focus for the Department of Athletics. The athletics department administrators and coaches ensure compliance with all NCAA and university regulations and policies. The Department of Athletics utilizes its senior administration, sports administrators, and coaches to implement procedures and practices to meet the expectations of safe travel.

Because Appalachian State is a public agency, employees have specific state-mandated policies. The travel policies and procedures specify expectations of staff members, use of university and departmental vehicles, insurance coverage, accident report procedures, travel advances and expense policies.

The department utilizes both university and private charter vehicles for student-athlete travel to-and-from competition. A majority of teams use university motor pool vehicles, but selection of either option is the responsibility of the respective head coach in consultation with his or her sport administrator.

The ASU Motor Pool uses guidelines set forth by the Federal Motor Carrier Safety Administration for its bus operations. These guidelines include very specific procedures and policies for drivers to ensure that safety is paramount in transportation. The sport administrators for teams that utilize private service coordinate and monitor selections to ensure these entities meet Federal Motor Carrier Safety Administration standards.

The athletics department includes components of travel policies, procedures, and expectations in staff programs at the beginning of each fall semester. Additional follow-up is provided as needed by the athletics department senior administration throughout the year during head monthly coaches and departmental meetings. The Associate Athletics Director for Facilities is the chief liaison for the athletics department and the ASU Motor Pool.

Student-athletes are presented travel policies, procedures, and expectations during athletic
orientation meetings at the beginning of the academic year and in team meetings with coaches and staff. The “open door” nature of the athletics department allows for immediate feedback on many student-athlete issues, including travel policies. Sports administrators also travel frequently with teams, so this is another mechanism in place to ensure safe and reliable transportation and travel. In addition, exit interviews allow for feedback from student-athletes. Analyzing the 2010 student-athlete exit interviews showed the great majority of student-athletes felt team transportation and travel accommodations exceeded expectations.

d. Explain, through a plan for improvement, how the institution plans to address any deficiencies identified in its response to (c) above.

While we believe that the Department of Athletics does an admirable job in adhering to stated policies and procedures as related to travel, we recommend that the department conduct an evaluation of travel practices using opportunities for student input through surveying student opinion of travel practices by all teams, and discussions with student-athletes utilizing SAAB and team focus groups. We recommend that an evaluation tool be developed and a plan for implementation of assessment travel practices, through the surveying and discussion, be in place by August 2010 for implementation during the fall semester 2010. Further it is recommended that Debbie Richardson, Senior Associate Director of Athletics/SWA and Barbara Green, Director for Compliance administer this effort.

These evaluations were completed in the summer of 2010 and, as a result, are not included as a plan for improvement.

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;

The Student-Athlete Well-Being Subcommittee reviewed the area of Student-Athlete Well-Being. The subcommittee consisted of two student-athletes, including the chairperson of
the Student-Athlete Advisory Board (SAAB); two faculty members; the CHAMPS/Life Skills Coordinator; and four University Administrators, including representatives from the Offices of Student Development, Academic Affairs, and University Advancement. The subcommittee met with staffs from the Department of Athletics; ASU Motor Pool; Offices of Student Development, University College, and Institutional Research, Assessment and Planning; and student-athletes to complete a comprehensive review of the seven programs. The Steering Committee, the Chancellor, and University community reviewed the report and had the opportunity to comment on the review.

b. Provide data demonstrating the institution's commitment and current efforts across each of the seven program areas for all student-athletes;

The Athletics Department staffs a fully functional athletic training department. Five full-time certified athletic trainers, five certified interns, and multiple athletic training students serve our student-athletes. In addition, three full-time academic certified athletic trainers assist the department. The Associate Athletics Director for Internal Operations supervises the Athletic Training Department and conducts annual evaluations. The Athletic Training Department policies and procedures are well-documented and distributed to staff and student-athletes in written and verbal form as mentioned previously for all areas, including the areas of athletic training; sports medicine; emergency medical plans for practices and games; emergency medical plans for strength training, skills sessions and out-of-season workouts, by the sports-specific athletics trainer. Furthermore, staff, including all coaches, is informed of these policies via GoASU.com, mentions during coaches meetings, and distribution of the Student-Athlete Planner and Athletics Department Policies and Procedures Manual. Student-athletes are informed of the policy in various other ways, inclusion in the Student-Athlete Planner, and postings on GoASU.com, and through written letters that are sent home to parents of student-athletes.

For example, written letters are sent to parents of student-athletes from the Athletic Training Department explaining physicals, insurance and billing, and contact information for any questions. Examples of written forms and policies include:

- Health insurance information and release for medical treatment form
- Football warning statement
- Assumption of risk and indemnity agreement for participation in intercollegiate
athletics

- Health status update for returning student-athletes
- Medical history form for new student-athletes
- Supplemental health history questionnaire for the female student-athlete
- Sickle cell trait screening form
- Post-season health review questionnaire
- Request for medical records
- Influenza consent form
- H1N1 Influenza consent form
- Emergency medical plans

Team travel is handled through sports administrators and head coaches and not through athletic trainers to allow the athletic trainers to focus on the true nature of their professional expertise.

c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of its student-athletes (any differences should be clearly explained in the institution's narrative response, including any deficiencies the institution identifies in its analysis); and

The subcommittee discussed athletics medical policies with Mr. Jason Robey, Head Athletic Trainer. Discussion items included written policies, annual evaluation of the policies, and how these policies are communicated in the areas of athletic training; sports medicine; emergency medical plans for practices and games; and emergency medical plans for strength training, skills sessions and out-of-season workouts. The discovered data was very substantial and informative. The head athletic trainer is responsible for evaluating policies and recommending any updates. The head athletic trainer participates in athletics administration bi-weekly meetings to share pertinent updates to the department administrative staff. Coaches are informed via email, personal communication, and monthly head coaches meetings. Another form of communication is the regular staff meeting for athletic trainers. The head athletic trainer informs his staff of any new policies or revisions at this time. Any medical policy updates usually start by submitting the policy to those involved via email. An example of this would be the addition of the H1N1 Influenza consent form. This was not needed until winter. It was immediately revised.
approved by campus officials, and submitted into the health form packet shared with parents of student-athletes.

As a university, Appalachian invested many hours of staff time and expertise throughout campus and the community in developing an Emergency Action Plan in case of natural disaster, campus pandemic, or other similar emergencies. The athletics department is an active participant in the development and implementation of any emergency plan. All staff and student-athletes have access to this plan through the previously stated university and departmental communication tools.

d. Explain, through a plan for improvement, how the institution plans to address any deficiencies identified in its response to (c) above.

No recommendations in this area.

10. If the institution has developed a plan(s) for improvement during the current self-study process for Operating Principle 3.3, describe the institution’s efforts to ensure the plan(s) for improvement was developed through a process involving broad-based campus participation and has received formal institutional approval.

The Student-Athlete Well-Being (SAWB) Subcommittee was composed of student-athletes, including the president of Student-Athlete Advisory Board (SAAB); faculty; and administrative staff from the university. This group was a subcommittee within the larger steering committee for the self-study. As part its work, the Student-Athlete Well-Being subcommittee conducted discussions and interviews with students, faculty, and staff from the Department of Athletics and other departments at the University. In addition, the Student-Athlete Well-Being Subcommittee used data from the Student-Athlete Exit Interview and other research conducted by the University. It is from these discussions and information that the recommendations contained herein were developed as part of the SAWB report. This report and recommendations were then sent forward and reviewed by the steering committee for the self-study for inclusion in the final report. This report was reviewed by the Chancellor and available for viewing for the larger campus community.

As a result of our work, the Student-Athlete Well-Being Subcommittee found that the Department of Athletics and Appalachian State University do a very good job of meeting or exceeding most areas related to student-athlete well-being. Student-Athletes are afforded opportunities to develop and succeed academically, personally, culturally, and socially as well as athletically. A student-athlete’s engagement and involvement in his or her well-being and development was
obvious throughout our work. The Department of Athletics and University are committed to the success of our student-athletes as individuals and students first, then secondarily as athletes. The dedication and time of the Department of Athletics staff along with the resources given to the program result in an excellent learning experience for student-athletes.