



2006 NCAA Self-Study Lehigh University

Steering Committee Chair: Chris Marshall '88, Alumni Director

Submitted: May 15, 2006

Peer Review Visit: September 10-12, 2006

Introduction to Self-Study Report

NCAA ATHLETICS CERTIFICATION PROGRAM

HISTORY

In 1989, former NCAA Executive Director Richard Schultz introduced the athletics certification concept. A two-year pilot program of 34 NCAA Division I institutions began in 1990.

A special committee studied the results of the pilot program over the next year and a streamlined version of the program was formulated and supported by the former NCAA Presidents Commission, the former NCAA Council and the Knight Foundation Commission on Intercollegiate Athletics.

Athletics certification was approved by Division I institutions at the 1993 NCAA Convention as a key part of the Association's reform agenda.

The NCAA Division I Committee on Athletics Certification, comprised of 15 administrators (chief executive officers, faculty athletics representatives, directors of athletics, senior woman administrators, conference commissioners) from the membership, is appointed to administer the program and determine the certification status of each Division I institution.

The second cycle of the athletics certification program incorporates a number of adjustments made after the first cycle of institutional self-studies was conducted.

The membership made changes for the second cycle in response to evolving standards (e.g., through modifications in the operating principles) and the committee's expectation is that institutions would have made progress in the first-cycle certification areas.

An institution will be evaluated primarily on information from its second-cycle self-study, with the exception of the institution's implementation and progress on required actions from the committee's first-cycle decision, as well as those plans for improvement adopted by the institution in the first cycle related directly to the operating principles.

With the expansion of the certification cycle from five to 10 years, the committee also will be working to reduce the number of individuals in the pool of peer reviewers, while increasing the quality of peer reviewers.

As a result of an effort to streamline the certification program, several operating principles were eliminated and procedures modified in January 2004. Institutions are only responsible for responding to committee required actions and institutional plans for improvement that relate to currently legislated operating principles.

The committee remains sensitive to the needs and desires of the membership and continually will monitor the certification program of Division I institutions for its effectiveness and intended

purpose, which ensures the Association's fundamental commitment to integrity in intercollegiate athletics.

If circumstances change substantially (e.g., due to modifications in NCAA or federal legislation), the committee will consider making changes during the second cycle, as opposed to holding all substantive changes until the third cycle.

PURPOSE

Athletics certification is meant to ensure the Association's fundamental commitment to integrity in intercollegiate athletics by:

1. Opening the affairs of athletics to the institutional community and the public.
2. Setting standards (called operating principles) for the operation of Division I athletics programs. They cover three basic areas: (a) governance and commitment to rules compliance; (b) academic integrity; and (c) equity and student-athlete welfare.
3. Putting in place tough sanctions for institutions that fail to conduct a comprehensive self-study or correct problems over a reasonable period of time.

BENEFITS OF SELF-STUDY

The core of athletics certification is the institution's self-study in which campus-wide participation is critical. Such benefits include:

1. Self-awareness. The self-study offers a unique opportunity to educate individuals across campus about the athletics program's goals and purposes, the many challenges facing athletics and the ways in which athletics support the institution's overall mission.
2. Affirmation. Athletics certification is couched in the affirmative -- its aim, after all, is to certify -- and the self-study process will reveal many aspects of the athletics program worthy of praise.
3. Opportunities to Improve. Even an outstanding program can be better, and problems will be identified routinely as part of any institution's self-study. As these problems come to light, the self-study process will offer a forum for suggestions from individuals with a wide range of experience.

CONDUCTING THE SELF-STUDY

Member institutions are permitted six to eight months to complete the certification self-study, which formally begins with the institution's orientation videoconference by an NCAA staff member.

Each member institution forms a self-study steering committee that must include the chief executive officer, faculty athletics representative, director of athletics and senior woman administrator.

To ensure broad-based participation by various campus constituent groups, representation from the following groups may be sought: (a) governing board; (b) administration external to athletics; (c) faculty; (d) student body; (e) student-athletes; (f) alumni; or (g) representatives in good standing of the institutions athletics interests.

EVALUATION OF SELF-STUDY

Once an institution's self-study report is completed, a peer-review visit (generally two days in length) will be conducted.

The Committee on Athletics Certification (CAC) will identify issues it believes may prevent the institution from establishing conformity with the operating principles. These issues will be provided to the peer-review team and the institution prior to the visit.

A maximum of a four-member peer-review team will be selected from a pool that includes individuals from Division I institutions or conferences that have a general knowledge of intercollegiate athletics. These individuals must hold the position of chief executive officer, director of athletics, faculty athletics representative, senior woman administrator or have a recognized expertise in particular areas addressed in the certification program. A chief executive officer will serve as chair, whenever possible.

Any rules violations relating to an operating principle discovered by the peer-review team will be included in its written report to the institution and the committee.

THE CERTIFICATION DECISION

The committee will render its decision based on materials provided by the institution and the peer-review team. An in-person appearance by institutional representatives may be requested by the committee.

Upon reviewing the institution's self-study report, the issues identified by the committee, the peer-review team's report, and the institution's response to the peer-review team report, the committee will notify the institution of its certification decision.

The committee is obligated to choose from one of three options in determining each institution's certification status:

1. **Certified** – An institution that has been “certified” is considered to be operating its athletics program in substantial conformity with the operating principles. This classification denotes that: (a) any problems identified by the institution in its self-study or by the peer-review team during its evaluation were considered by the committee to be not serious enough to affect the institution's certification status; and (b) the institution demonstrated adequate follow-up to concerns and/or improvement plans directly related to the operating principles

that were identified by the institution or the committee during the institution's previous regular or interim self-study.

2. **Certified with Conditions** – An institution that has been “certified with conditions” is considered to be operating its athletics program in substantial conformity with the operating principles. However, this classification denotes that: (a) problems identified by the institution in its self-study or the peer-review team during its evaluation were considered serious enough by the committee to cause it to withhold full certification until those problems have been corrected; or (b) the institution did not demonstrate adequate follow-up to concerns and/or improvement plans directly related to the operating principles that were identified by the institution or the committee during the institution's previous regular or interim report.
3. **Not Certified** – An institution that is “not certified” is considered not to be operating its athletics program in substantial conformity with the operating principles. This classification denotes that: (a) problems identified by the institution in its self-study or the peer-review team during its evaluation were considered by the committee to be very serious or pervasive; or (b) the institution did not demonstrate adequate follow-up to concerns and/or improvement plans directly related to the operating principles that were identified by the institution or the committee during the institution's previous regular or interim self-study and action must be taken by the institution before it can be certified conditionally.

An institution classified as “not certified” may be placed in a restricted membership category (ineligible for NCAA championships) for up to one year for failure to correct problems during a specified time period. If problems continue to remain unresolved, the committee may reclassify an institution as a corresponding member (no longer an active member of the NCAA).

Participation in this program is separate from the Association’s enforcement process. Determination of a “certified” status is not an indication that an institution is free of infractions or exempt from the occurrence of violations of NCAA rules and regulations.

The identification and acknowledgment of problems during the process should not be viewed as a sign of an “unhealthy” program but, rather, as an indication that the institution is committed to the self-study process and its own improvement.

Once an institution is notified of the certification decision, the committee will announce its decision publicly through a standard press release.

INSTITUTIONAL INFORMATION

1. **Type of institution:** private
2. **Year institution was founded:** 1865
3. **Special affiliation (e.g., religious, military)?** No
4. **Coeducational?** Yes
5. **Total student enrollment (undergraduate and graduate combined) [using a full-time-equivalency (FTE) basis]:** 5,977
6. **Number of faculty [using a full-time-equivalency (FTE)]:** 496
7. **Highest level of academic degree offered:** PhD
8. **Institution's governing entity (e.g., board of trustees):** Board of Trustees
- 9a. **Regional accreditation agency:** Middle States
- 9b. **Date of most recent regional accreditation self-study:** 1998
- 9c. **Current accreditation status:** Certified

ATHLETICS INFORMATION

1. **Subdivision status of athletics program (Academic Year 2006):** I-AA

2. **Conference affiliation(s) or independent status (Academic Year 2006):**

Baseball	The Patriot League
Field Hockey	The Patriot League
Football	The Patriot League
Men's Basketball	The Patriot League
Men's Cross Country	The Patriot League
Men's Golf	The Patriot League
Men's Lacrosse	The Patriot League
Men's Soccer	The Patriot League
Men's Swimming	The Patriot League
Men's Tennis	The Patriot League
Men's Track, Indoor	The Patriot League
Men's Track, Outdoor	The Patriot League
Men's Wrestling	Eastern Intercollegiate Wrestling Association
Softball	The Patriot League
Women's Basketball	The Patriot League
Women's Cross Country	The Patriot League
Women's Golf	The Patriot League
Women's Lacrosse	The Patriot League
Women's Rowing	The Patriot League
Women's Soccer	The Patriot League
Women's Swimming	The Patriot League
Women's Tennis	The Patriot League
Women's Track, Indoor	The Patriot League
Women's Track, Outdoor	The Patriot League
Women's Volleyball	The Patriot League

3. **Athletics program structure:** one combined athletics department

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:**

Lehigh has had no major infractions since the previous self-study and certification process.

PREVIOUS CERTIFICATION SELF-STUDY

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

- a. Orientation Visit Date: Thursday, March 6, 1997
- b. Evaluation Visit Dates: May 17-20, 1998
- c. Interim Report Date: July 2002

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

- a. Certified
- b. Date: Lehigh's certification was approved by NCAA Committee on Certification during its October 25-27, 1998 meeting, and communicated to Lehigh by James Walker, Chair of the NCAA Certification Committee in a letter dated 11/16/98.

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

None

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

Most of the senior positions at Lehigh have changed since the previous self-study and certification process:

- a. Gregory C. Farrington was appointed President effective August 1, 1998; he will be stepping down effective 6/30/06 and Alice P. Gast will become president on 8/1/06
- b. Bonnie Devlin was named Vice President for Advancement effective 9/27/99
- c. Roland K. Yoshida was appointed Provost effective 10/1/00; he returned to the faculty in the Fall of 2004 and was replaced as provost by Mohammed El-Aasser on November 1, 2004
- d. Nelson G. Markley became Senior Vice President and Athletics Policy Representative for Lehigh in the Patriot League governance structure on 10/1/00; he retired in 2002
- e. Mark Erickson was named Vice President for Government and Community Affairs effective 7/1/00; he subsequently left Lehigh in June 2005 to become President of Wittenberg University

- f. Brad Drexler was named Vice president for University Relations effective 9/1/00
 - g. Margaret Plympton was named Vice President for Finance and Administration effective 2/20/01
 - h. Richard Durand (Business, 6/28/99), Mohammed El-Aassar (Engineering, 7/1/01), and Sally White (Education, 7/31/01), and Ann Meltzer (Arts and Sciences, May 2005) were named Deans of Colleges
 - i. Subsequently, Mohammed El-Aassar was promoted to Provost in December of 2004, Richard Durand left Lehigh in the summer of 2004 to become Dean at Maryland and was replaced by Professor Tom Hyclak on an interim basis, and David Wu was named Dean of Engineering on 12/15/04
 - j. Frank Roth joined the University as General Counsel in July 2001
 - k. Chris Marshall was named Executive Director of the Alumni Association effective 9/1/01
 - l. Bruce Gardiner was named Interim Dean of Admissions and Financial Aid effective 9/1/01; and returned to the Director of Admissions role in July 2002
 - m. Linda Bell was named Interim Director of Financial Aid effective 10/1/01 and Director of Financial Aid in July 2002
 - n. Eric Kaplan was named Dean of Admissions and Financial Aid effective July of 2002
 - o. Within the Athletics Department, we appointed a new Director of Athletics Fundraising in July 2001, a new Coordinator of Student-Athlete Academic Support Services in July 2001, and a new Compliance Coordinator on July 1, 2002
 - p. In August 2005, Associate Athletics Director Glenn Hofmann left Lehigh for a Senior Associate Athletic Director position at Stony Brook University
 - q. Beyond these appointments, there have been no other significant administrative changes in athletics
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:**
- a. No significant changes have been implemented since the last self-study and certification process.
 - b. A strategic plan for the Athletics Department has been developed and adopted (August 2005) to guide the direction of the department.

CERTIFICATION SELF-STUDY INFORMATION

1. **Steering Committee Chair:** Chris Marshall
2. **Chief report write/editor of Self-Study report:** Chris Marshall
3. **Describe the extent of broad-based participation of campus constituencies in the self-study. Specifically, report on the opportunities that actually were provided to various individuals or groups in the broad-campus community to: (a) offer input into the self-study report before its findings and plans for improvement were formulated, and (b) review the self-study report after it was drafted.**
 - a. A broad based campus committee was engaged to develop the self-study report. Throughout the development process, segments of the report were reviewed and discussed with the various campus constituencies represented within our self-study team. These included faculty, staff, students, student-athletes, trustees, and senior staff. Periodic reports were provided and input was solicited. The recommendations contained within the self-study reflect broad input and dialogue.
 - b. The final report was made available to the University community for review and comment via the Athletics Department website.
<http://www.lehighsports.com/info/compliance/NCAASelfStudy.asp>

STEERING COMMITTEE MEMBERSHIP

Chair

Chris Marshall, Executive Director, Lehigh University Alumni Association

Required Members

Greg Farrington – President

Jim McIntosh – Faculty Athletics Representative

Joe Sterrett – Director of Athletics

Karen Adams – Senior Woman Athletics Administrator

Governing Board

Mike Caruso – Trustee

Finn Wentworth – Trustee

Bill Griffin – Trustee

Administration external to athletics including

Frank Roth – General Counsel

Carl Moses – Deputy Provost (Liaison to Middle State Accreditation)

Bob Eichenlaub – Director, Internal Audit

Michelle Samuels – Associate Dean of

Bruce Gardiner – Director of Admissions

Bruce Correll – Registrar

Linda Bell – Director of Financial Aid
Bruce Taggart – Vice Provost for Library and Technology Services
Steve Devlin – Vice Provost for Institutional Research

Faculty

Chuck Smith – Faculty Athletics Council
Jack Lule – Faculty Athletics Council

Student-Athletes

Linda Hendrixson – Student-Athlete Council (Women’s Swimming and Diving)
Mitch Gilfillan – Student-Athlete Council (Men’s Basketball)

Students

Sumona Basu – Student Representative (President, Association of Student Alumni)
Kip Wallen – Student Representative (President, Student Senate)

Others

Sue Hofmann – Contracted Report Writer
Taryn Gall – Campus Liaison (Compliance Coordinator)
Matt Logie – Intern (Graduate Assistant Coach, Men’s Basketball)
Sue Meyers – Administrative Support (Alumni Association)
Joanna Kreps – Patriot League Liaison (Assistant Director, Patriot League)

SUBCOMMITTEE MEMBERSHIP

Subcommittee on Governance and Rules Compliance

Chair

Frank Roth, General Counsel

Vice Chair

Taryn Gall, Athletics – Compliance Coordinator

Members

Bruce Correll, Registrar
Bob Eichenlaub, Director of Internal Audit
Karen Adams, Senior Associate Athletic Director
Jack Lule, Faculty Athletics Council
Bob Storer, Faculty Athletics Council
Julie Oltman, Camps Manager
Fran Troyan, Head Women’s Softball Coach
Melissa Montalvo – student-athlete (Women’s Soccer)
Cassidy Maumus – student-athlete (Women’s Volleyball)
Kevin Donlan – student-athlete (Men’s Lacrosse)
Robert Aaron – student representative (ASA)
Elliot Feldman – student representative (Student Senator)

Subcommittee on Academic Integrity

Chair

Chuck Smith, Faculty Athletics Council

Vice Chair

Cleveland McCray, Academic Support for Athletics

Members

Gary Harlow, Faculty Athletics Council

Bruce Gardiner, Director of Admissions

Linda Bell, Director of Financial Aid

Steve Devlin, Vice Provost – Institutional Research

Emil Gnasso – Associate Registrar

Susan Lantz – Associate Dean, Academic Support

Bruce Taggart, Vice Provost – Library & Technology Services

Dean Koski, Head Men's Soccer Coach

Rob Herb, Head Men's and Women's Swim Coach

Kaloma Cardwell – student-athlete (Football)

Sara Ellis – student-athlete (Women's Basketball)

Alan Borowsky – student-athlete (Men's Golf)

Megan Schatzman – student representative (Student Senator)

Alexandra Burtoft – student representative (ASA)

Subcommittee on Equity and Student-Athlete Welfare

Chair

Michelle Samuels, Associate Dean of Students

Vice Chair

Stacy Shiffert, Athletics Business Manager

Members

Vince Munley, Professor of Economics

Liz Ota, Head Women's Lacrosse Coach

Sue Troyan, Head Women's Basketball Coach

Greg Strobel, Head Wrestling Coach

Billy Taylor, Head Men's Basketball Coach

Mike McConnell – Graduate Assistant Coach, Men's Lacrosse

Greg Schulze, Director of Athletics Facilities

Jack Foley, Director of Sports Medicine

Clark Cohen – student-athlete (Men's Swimming and Diving)

Mel Lepko – student-athlete (Women's Field Hockey)

Sumona Basu – student representative (President, ASA)

Kip Wallen – student representative (President, Student Senate)

4. Provide a copy of the institution's written plan for conducting the self-study.

NCAA Self Study (2005-2006)

Plan for Completion

a. Goal for the Process

- i. It is the intention of our self-study process to be thorough, efficient, accurate, broad-based and inclusive in examining the Lehigh athletics program using the NCAA self-study guidelines.
 - ii. In accomplishing the requirements of the NCAA Certification program, it is our expectation that a broader and deeper understanding of Lehigh's athletics program will be experienced by all who are involved in the study, and that as a result, the athletics program and the quality of the student-athlete experience will be strengthened.
- b. Institutional plans from the first certification cycle (1997-1998) have been distributed to members of the self-study team, along with annual progress reports. A copy of the current department strategic plan was also distributed.

We have listed below all committee required actions from the first cycle relating to currently legislated operating principles:

- i. Ensure the regular participation of persons outside athletics in critical and sensitive areas (i.e., in the review of information regarding possible rules violations), consistent with the provisions of NCAA Bylaw 23.2.1.3 (assignment of rules-compliance responsibilities).
 - ii. Provide evidence of the institution's completion of the compliance policies and procedures manual identified in Dr. Sterrett's October 20, 1998 correspondence. The committee received this letter as an addendum to the institution's self-study report.
 - iii. We have also identified all plans from the first-cycle self-study (including all appropriate supplemental materials) relating to currently legislated operating principles.
- c. Steering Committee Chair, Chris Marshall, Executive Director of the Lehigh University Alumni Association. Was appointed by the president, is a member of Lehigh's senior-management team, has been given clear authority from the president to conduct the self study, and has regular access to the president.

- d. The Steering Committee and Subcommittee membership lists (with names and titles) are enclosed. The required individuals are represented on the Steering Committee and there is appropriate composition (NCAA Certification Handbook, pages 12 and 13) on the Steering Committee and on all Subcommittees.
- e. The responsibilities of the Steering Committee and the Subcommittees have been clearly stated (NCAA Certification Handbook, page 18): collecting and organizing data, providing opportunities for input from appropriate campus groups, reviewing of all drafts and final report, regular communication through meetings and reports, and maintaining a written record of all meetings, minutes, and attendees.
- f. The campus/institutional liaison to the NCAA will be Compliance Coordinator Taryn Gall. Taryn will be assisted by project intern, Matt Logie, a graduate student studying in our educational leadership program. The campus liaison will be responsible for:
 - i. Coordination of the identification and communication of first-cycle institutional plans and/or corrective actions taken by the NCAA Division I Committee on Athletics Certification.
 - ii. Coordinating the collection and dissemination of information about the self-study and certification process to institutional personnel.
 - iii. Fielding questions from institutional personnel regarding the interpretation of certification policies and procedures as contained in the handbook and self-study instrument.
 - iv. Forwarding difficult interpretive questions to the NCAA staff and communicating the answers to appropriate institutional staff members in conjunction with the steering committee chair.
 - v. Coordinating preparations for the evaluation visit, including:
 - Arranging lodging and travel for members of the peer-review team.
 - Scheduling interviews and other peer-review team activities.
 - Organizing work-related needs for peer reviewers (e.g., computer resources, meeting rooms).
 - Collecting and organizing basic data related to the institution's self-study.
 - Helping to coordinate the self-study effort on campus (e.g., interviews).
 - Coordinating communications for the institution related to information about the self-study process (e.g., evaluation-visit status, peer reviewers) to the institutional community, electronic and print media, and the general public.
 - Organizing any follow-up studies and reports that may be identified by the institution or required by the committee.

g. The Patriot League office will be represented by Joanna Kreps, Associate Director. Joanna will serve in an ex-officio capacity to the Steering Committee.

h. The proposed schedule for completion of the Self Study is as follows:

Summer 2005 - Review options for Steering Committee Chair and Committee members (President Farrington, Joe Sterrett)

September 2005 - Extend invitation to proposed chair of Steering Committee (President Farrington)

October 2005 - Receive communication from NCAA staff regarding specific timeline for self-study, and establish date for orientation video

Extend invitations to proposed Steering Committee members (Steering Committee Chair)

Determination of Subcommittee membership for self-study (Steering Committee Chair and Joe Sterrett)

October 31, 2005 - Submission to NCAA of draft plan for completing self-study

November 4, 2005 - Preliminary meeting with proposed Steering Committee... review of any institutional plans or commitments that “may seriously affect the future of the institution and its athletics program (e.g. composition of the student body, organization of the athletics program, sports sponsorship, physical plant, conference or NCAA divisional membership).” (NCAA Certification Handbook, page14)

November 11, 2005 - Orientation videoconference with NCAA staff regarding self-study process

November 14-30, 2005 - Initial meetings with self-study Subcommittees to review report requirements and work plans. Development of initial data requests, identification of additional subcommittee members needed, and setting dates for all future subcommittee meetings (December 2005 through April 2006)

December 1, 2005 - Submission to NCAA of four options for peer review team visit dates in the fall of 2006 (September 2006 through December 2006)

December 2005 - Second meetings of Subcommittees to review requested background data for self study sections, and to review “progress since last self-study” in each section of the reporting structure

Steering Committee meeting to review minutes from initial meetings of Subcommittees

Activation of “NCAA Self-Study” website where work of the subcommittees will be posted and recorded

January 2006 - Third meeting of Subcommittees... initial preparation of responses to self-study questions in each section

Steering Committee meeting to review minutes from December sub-committee meetings and to discuss the adequacy and visibility of the website developed for the NCAA self-study

February 2006 - Continued work by Subcommittees in drafting responses to self-study questions

Steering Committee meeting to review initial drafts of responses to self-study questions

March 2006 - Final meetings of Subcommittees to review responses to self-study questions and to develop conclusions with regard to institutional conformity to NCAA operating principles, and plans for improvement

Steering Committee meeting to review Subcommittee work

April 1, 2006 - Final drafts completed by each Subcommittee and shared with other Subcommittees and Steering Committee for feedback and review

Full meeting of Self-Study team (Steering Committee and Subcommittees) to review proposed report sections

April 15, 2006 - Initial draft report of the self-study finalized for web distribution and comment by university community

May 1, 2006 - Revisions incorporated into final revised document

May 15, 2006 - Self-study report completed and submitted to NCAA on ACS

June 2006 - First NCAA staff review/analysis of self-study (James Bandy)

July 2006 - Initial NCAA Committee on Athletics Certification (CAC) review of self study

September 10-12, 2006 - Peer review team evaluation visit

February 2007 - Final CAC review and decision on certification

- i. Sue Hofmann, a former communications officer for athletics, and currently a freelance communications professional has been contracted as the final report writer.
- j. The production needs for the self-study report, including materials, equipment, space, and human resource support will be provided by the department of athletics. An office has been made available for any private work needs of self-study team members (interviews, data collection), and meeting room space for larger group meetings is available will be arranged by the athletics staff (project intern, Matt Logie) as needed.
- k. The entire work process has been outlined in the schedule above.
- l. Communication plans include the use of a designated website for the project, and ultimate dissemination of the report to the university community, alumni community, print media and general public.
- m. All major institutional planning issues as relate to athletics have been addressed in the department strategic plan.