

# Association for Institutional Research Board of Directors Annual Report



Association for Institutional Research

MAY 2013

**AIR Annual Board of Directors Report to  
the Membership  
2012-2013**

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## Section 1 – President’s Report

We are pleased to present the annual report for the 2012-2013 year to AIR membership. In continuing the good work of the previous Board in implementing our policy governance system, this year we focused on a systematic review of our processes to assure that the Association for Institutional Research achieves our Ends – appropriate results for appropriate persons at an appropriate cost; within our Limitations – avoidance of unacceptable actions and situations.

A most important part of our processes is and must be attention to gathering the voice of our members. As a part of that effort, we retained McKinley Advisors to assess the role and needs of early career professionals in the field of institutional research. They confirmed the importance of professional development, given the continuous advancement of the field and the fact that institutional researchers come to the field from a variety of backgrounds. Directors and early career professionals alike stressed the need for low-cost development opportunities, noting the value of webinars and electronic sharing of articles and information in addition to conferences. Clearly, these are considerations for the Board as we work to assure “appropriate results for appropriate persons at an appropriate cost.”

As another approach to understanding member needs, we are doing what we do best – analyzing data! The Data Analysis Working Group (DAWG) is looking at data on attendance at Forum sessions and Pre-Forum Workshops, AIR Institutes, job titles, the Knowledge Matrix, and a host of other data to see what our members value. We want you to know that your Board is working DAWGedly on your behalf!

The Board takes our responsibility for the avoidance of “unacceptable actions and situations” seriously. We regularly review Monitoring Reports from the Executive Office that provide us with the CEO’s interpretation of the Board’s Ends and information about his achievement of those Ends within our Limitations. Board Working Groups or other entities may be charged with the audit of these policies. Under Board Treasurer Paul Duby’s leadership, a Board Audit Work Group carefully reviewed AIR’s Financial Statement, and discussed that Statement with the audit firm of Purvis, Gray, and Company.

Policy Governance provides for great transparency; you have access to more documents than you may ever want to read! Monitoring Reports, Governance Policies, and Board Minutes are all available online for you to peruse. I hope you’ll find an opportunity to look at these documents; they are a rich source of information about our activities and our progress. You can find the documents on the AIR website:

<https://www.airweb.org/AboutUs/LeadershipAndGovernance/GovernanceDocuments/>.

It has been a great privilege and honor for me to serve as your President throughout this past year. It has been a learning experience for me as well, and I am indebted to my Board colleagues and to the AIR staff for their time, patience, and expertise. We are fortunate that Sandi Bramblett will lead our organization in the year ahead, as we work to provide you, our members, with the skills and the knowledge to help you be ever more successful.



Julie Carpenter-Hubin  
2012-2013 AIR President

## ***2012-2013 Board of Directors***

### **President**

Julie Carpenter-Hubin, The Ohio State University

### **Vice President**

Sandi Bramblett, Georgia Institute of Technology

### **Immediate Past President**

Jennifer A. Brown, University of Massachusetts–Boston

### ***Members at Large***

Hansel Burley, Texas Tech University

Paul B. Duby (Board Treasurer), Northern Michigan University

Marne K. Einarson, Cornell University

Glenn W. James, Tennessee Technological University

Christine M. Keller, Association of Public and Land-grant Universities (APLU)

Heather Kelly, University of Delaware

C. Ellen Peters, University of Puget Sound

Alice M. Simpkins (Parliamentarian), Paine College

Elizabeth C. Stanley (Board Secretary), Zayed University (retired)

### ***Nominations and Elections Committee***

Jennifer A. Brown, University of Massachusetts–Boston

Rachel Boon, Ivy Tech Community College

Michelle Hall, Southeastern Louisiana University

Fred Lillibridge, Dona Ana Community College

Qing Lin Mack, Asnuntuck Community College

Allison Walters, University of Delaware

Karen Webber, University of Georgia

## Section 2 – Financial Report

While the AIR Board as a whole is responsible for overseeing the financial health of the organization, the Board has delegated selected leadership responsibilities to the Board Treasurer Paul Doby, for 2012-2013. The Treasurer is responsible for leading the Board audit work group which annually reviews the Financial Statements and findings from an independent audit firm concerning the financial state of the Association. The Treasurer reviews and helps lead the discussion of those CEO Monitoring Reports dealing with the Association's financial condition, financial planning, and asset protection. Additionally, the Treasurer is responsible for the presentation of an annual review of the financial health of AIR at the Annual Forum.

A Board audit work group annually reviews the Financial Statements as well as the Management Letter produced by an independent firm charged with auditing the financial position and the related statement of activities, functional expenses, and cash flows for the past year. The Board audit work group reviews with the Executive Office those audit findings which cite any compliance issues or opportunities for ways to improve internal controls and operating efficiencies of the Association.

The firm of Purvis Gray & Company, Certified Public Accountants of Gainesville, Florida, audited the December 31, 2012 financial statements of the Association. The auditors issued a clean audit and indicated that the audit disclosed no instances of significant deficiencies and/or material weaknesses in internal control. Further, the auditors commented that the organization is in good financial standing with a very strong ratio of current assets to current liabilities.

The December 31, 2012 draft audit was discussed and approved by the Audit work group on April 22, 2013. A copy of the auditor's report is available for review by contacting Mr. Jason Lewis, Director of Financial Operations, Executive Office, phone: 850-385-4155 Ext. 125, email: [jlewis@airweb.org](mailto:jlewis@airweb.org).

Key findings on the current financial health of the Association:

1. Unmodified\* 2012 audit issued on the Financial statements with no reportable material deficiencies or weaknesses in internal control and no material instances of noncompliance.
2. Unmodified\* 2012 audit issued on the Major Federal Award Programs with no reportable material deficiencies or weaknesses in internal control and no material instances of noncompliance.
3. Qualified as a low-risk auditee.
4. Second cycle of Executive Limitations Policy: Monitoring Reports have been produced and have been received, reviewed, and accepted by the AIR Board. The three reports which discuss aspects of the financial health of the organization are the Monitoring Reports on Financial Condition, Financial Planning, and Asset Protection.
5. Revenues exceeded expenditures by \$253,155 in 2012, compared to revenues exceeding expenditures by \$591,705 in 2011. The current total of \$3,325,396 is the largest annual net reserve in the history of the Association.

\*Formerly labeled as an Unqualified Audit

The Statements of the Financial Position and Summary of the Auditors' Findings are included in the following Audit Reports section.

## **Audit Reports**

### **Statements of Financial Disposition**

**STATEMENT OF FINANCIAL POSITION  
DECEMBER 31, 2012,  
WITH COMPARATIVE TOTALS FOR 2011  
ASSOCIATION FOR INSTITUTIONAL RESEARCH  
TALLAHASSEE, FLORIDA**

	<b>2012</b>	<b>2011</b>
<b>ASSETS</b>		
<b>Current Assets</b>		
Cash and Cash Equivalents	\$ 2,146,752	\$ 1,864,122
Certificates of Deposit	0	124,543
Grants and Contract Receivable, Current	365,221	156,544
Accounts Receivable	59,437	79,534
Other Current Assets	94,336	57,664
<b>Total Current Assets</b>	<u>2,665,746</u>	<u>2,282,407</u>
<b>Investments</b>		
Fixed Income Securities	<u>458,051</u>	<u>763,763</u>
<b>Property and Equipment</b>		
Property and Equipment, Net	<u>835,477</u>	<u>858,500</u>
<b>Total Assets</b>	<u><u>3,959,274</u></u>	<u><u>3,904,670</u></u>
<b>LIABILITIES AND NET ASSETS</b>		
<b>Current Liabilities</b>		
Accounts Payable	237,377	220,635
Accrued Compensated Absences	51,670	66,206
Deferred Grant and Contract Revenue, Current	0	180,064
Deferred Membership Dues and Other	344,831	365,524
<b>Total Current Liabilities</b>	<u>633,878</u>	<u>832,429</u>
<b>Total Liabilities</b>	<u>633,878</u>	<u>832,429</u>
<b>Net Assets</b>		
Unrestricted Net Assets:		
Board Designated	420,000	420,000
Undesignated	2,850,320	2,606,292
Total Unrestricted	<u>3,270,320</u>	<u>3,026,292</u>
Temporarily Restricted:		
Scholarship Fund	55,076	45,949
<b>Total Net Assets</b>	<u>3,325,396</u>	<u>3,072,241</u>
<b>Total Liabilities and Net Assets</b>	<u><u>\$ 3,959,274</u></u>	<u><u>\$ 3,904,670</u></u>

## Summary of Auditors' Results

**ASSOCIATION FOR INSTITUTIONAL RESEARCH  
SCHEDULE OF FINDINGS AND QUESTIONED COSTS  
FEDERAL AWARDS  
FOR THE YEAR ENDED DECEMBER 31, 2012**

### **SECTION I - SUMMARY OF AUDITORS' RESULTS**

**1. Type of Audit Report Issued on the Financial Statements:**

Unmodified.

**2. Significant Deficiencies and/or Material Weakness in Internal Control:**

Audit disclosed no instances of significant deficiencies and/or material weaknesses in internal control.

**3. Noncompliance Material to Audited Financial Statements:**

Audit disclosed no material instances of noncompliance.

**4. Significant Deficiencies and/or Material Weaknesses in Internal Control Over the Major Federal Award Programs:**

Audit disclosed no significant deficiencies and/or material weaknesses in internal control over major federal programs.

**5. Type of Audit Report Issued on Compliance with Requirements Applicable to the Major Federal Award Programs:**

Unmodified opinion.

**6. Audit Findings Relative to Section .510(a) of OMB Circular A-133:**

The audit disclosed no findings that are required to be reported under Section .510(a) of OMB Circular A-133.

**7. Major Federal Programs:**

<u>Federal Program</u>	<u>CFDA No.</u>
Research Triangle Institute (RTI) International	84.EDIES09C0006

**8. Threshold:**

The threshold for distinguishing Type A or Type B programs was \$300,000 for major federal programs.

**9. Auditee Risk Assessment:**

The Association did qualify as a low-risk auditee.

**ASSOCIATION FOR INSTITUTIONAL RESEARCH  
SCHEDULE OF FINDINGS AND QUESTIONED COSTS  
FEDERAL AWARDS  
FOR THE YEAR ENDED DECEMBER 31, 2012  
*(Concluded)***

**SECTION II – FINANCIAL STATEMENT FINDINGS**

No matters noted.

**SECTION III – FEDERAL AWARD FINDINGS AND QUESTIONED COSTS**

No matters noted.



## **Section 3 – Board Committees**

During the 2012-2013 membership year, the Board of Directors established two new Board committees, the Board Data Analysis Work Group and the Voice of Non-Members Working Group, and continued with the Ad Hoc Committee on Awards and Awards Process, the Ad Hoc Committee to Review the AIR Code of Ethics, and the Voice of the Members Working Group.

More information regarding their accomplishments is detailed below.

### ***Board Data Analysis Work Group***

The Data Analysis Work Group (DAWG) was formed in early 2013 and was charged by President Julie Carpenter-Hubin with the purpose of helping the Board of Directors to understand policy governance Ends in regards to assisting AIR members in developing and maintaining knowledge and skills essential to institutional researchers. Within this context, the Data Analysis Work Group began to (a) identify the subjects/topics in which AIR members are interested, (b) mine available AIR data to help to identify and understand what AIR members want and need regarding knowledge and skills, and (c) review a variety of information sources and seek to discover or identify broad themes of “what AIR members are seeking” and “what AIR members need.” The group is also exploring the use of new analytical tools to aid in developing vision beyond what institutional research has been and toward what the future of institutional research will become. Overall, this approach will help the Board of Directors and the Executive Office to know and understand what is crucial for AIR to address and support. Members of this Board work group are Sandi Bramblett, Hansel Burley, Julie Carpenter-Hubin, Marne Einarson, Heather Kelly, and Glenn James, who served as chairperson. Currently, the work of this group is projected to continue through the remainder of 2013.

### ***Voice of Non-Members***

A growing number of higher education professionals are being asked to take on IR roles and responsibilities, even though they do not work in IR offices, hold IR job titles, or have specific IR training. At the August 2012 Board meeting, a working group was established to consider the purposes of and possible approaches to collecting data on the roles, responsibilities, and professional development needs of this segment of stakeholders, identified as “Consumers who are doing institutional research but are not AIR members.” The working group, which was comprised of Hansel Burley, Paul Duby, Marne Einarson, Glenn James, and Elizabeth Stanley, held several discussions via teleconference and email. A summary report of the working group’s findings underpinned a discussion at the February 2013 Board meeting on the topic of how best to understand the voice of AIR constituencies. Rather than pursuing a new data collection effort for the specific constituency of AIR non-members, the Board decided to conduct a broader review of extant information sources on the professional development needs of IR professionals. A new Board working group was convened to undertake this task.

### ***Awards***

The Ad Hoc Committee on Awards and Awards Process completed its work and submitted a final report to the AIR Board in August of 2012. The Ad Hoc committee’s activities included a review of existing awards, gathering information about award practices of similar professional associations, an assessment of the potential of new awards, and the collections of input from two focus groups conducted at the 2012 AIR Forum. The Ad Hoc committee’s recommendations were thorough and comprehensive. The Ad Hoc Committee’s complete report is available at this URL: <https://www.airweb.org/Resources/Documents/AIR-Awards-Committee-Report.pdf> for six months or may be obtained from the AIR Executive Office by contacting [air@airweb.org](mailto:air@airweb.org).

Because of the complexity of the Ad Hoc committee’s recommendations, a Board Working Group was convened to review the report and put forth a set of recommendations for approval by the full board.

A final summary report will be completed and made publicly available shortly after the 2013 AIR Forum. The decision points as of April 2013 are summarized below.

### **Major Member Awards**

Rubrics for the three major awards – Outstanding Service, Sidney Suslow, and John Stecklein Distinguished Member, were created and approved by the AIR Board in October 2012. Other decisions made by the Board are as follows:

- The Sidney Suslow Award was renamed the Sidney Suslow Scholar Award.
- Management of all three awards was delegated to the Executive Office with the exception that the Board retains control of the names and criteria for the awards.

### **Other Decisions on Awards Portfolio/Recommendations for Future Action**

- **Best Paper Award:** The Board confirmed the formal name of the award as the Charles F Elton Best Paper Award. For 2013, the Best Paper Award process was delegated to the *Research in Higher Education* editors as a one-year pilot. The AIR Board will review the pilot in October 2013.
- **Dissertation Awards:** The Board voted to remove the word “best” and rename the dissertation awards the Cameron Fincher Dissertation Award and the Charles I. Brown Dissertation Award respectively. The management of the awards was delegated to the Executive Office with the exception that the Board retains control of the name and criteria for the award. Criteria for the award selection process will be developed by the Board and released after the 2013 Forum.
- **Future Actions.** The Board discussed the need for additional analyses of cost/benefit and perceived value of awards by members and agreed to develop a policy regarding establishing and naming new awards. By consensus, the Board noted for the record that no additional awards suggested by the Ad Hoc committee are under development or consideration at this time.

The Board offers thanks to the thoughtful work of the Ad Hoc Committee, chaired by Deb Teeter with Amy Ballagh, Trudy Bers, Kristina Cragg, Cherry Danielson, John Muffo, and Rob Toutkoushian as members. The members of the Board Working Group are Christine Keller, Hansel Burley, and Ellen Peters.

See <https://www.airweb.org/Membership/Awards/Pages/default.aspx> for more on awards.

### ***Code of Ethics***

The AIR Code of Ethics was created in 1992, and was last reviewed and updated in 2001. Because it had been 10 years since the last review, and because a member raised several issues that merited discussion, the AIR Board commissioned the creation of an Ad Hoc Committee to coordinate a review of the AIR Code of Ethics. The Ad Hoc Committee to review the AIR Code of Ethics (also referred to as the Code) was charged with creating a preliminary draft revision of the AIR Code of Ethics, coordinating a member review of the Code at the 2012 Forum and after the committee had completed its revisions, and providing the AIR Board with a revised Code of Ethics.

The Code of Ethics was reviewed at the 2012 Forum and revised by the Committee after that point. The revised document was submitted to the Board in fall 2012, and the Board instructed the Executive Office to prepare a website to collect comments from the membership on the revised document. There were over 100 comments, and the Board Liaison requested permission from the Board to have the original committee review the comments and make recommendations for further changes, if needed. The Board agreed to the request, and the Committee members agreed to continue the work of revising the Code based on member comments. A second version was submitted to the Board in spring 2013 and was accepted by the Board in May.

During the meetings it was determined that presenting the revised document to the members at the 2013 Forum appeared to be a logical next step. The Executive Director agreed, and plans for a presentation at the 2013 Forum have been completed.

Committee members include Rachel Boon (Chair), Dawn Geronimo Terkla, Kim Pearce, John Moore, Diallo Youssouf, Julie Carpenter-Hubin (Initial Board Liaison), and Alice M. Simpkins (Board Liaison).

### ***Voice of the Members***

The Voice of the Members Working Group continued its study of early career professionals (ECP) in the field of institutional research, with McKinley Advisors engaged to conduct the research. McKinley conducted telephone interviews with 20 ECPs and with 10 more established IR professionals who hire and direct ECPs. Their study emphasizes that many of those in the early phase of their institutional research career have nonetheless had long careers outside the field, and bring relevant skills and knowledge to their IR role. Networking and informal learning opportunities are very important to ECPs. The research suggests that institutional research budgets do not always support conference travel for professional development, and that ECPs would benefit from alternative forms of training and development, including webinars. ECPs see institutional research as requiring advanced technical skills, particularly as data mining becomes ever more important, and “soft skills” related to relationship building and leadership. IR directors noted that in addition to the changes common to most industries such as technological advances, resource availability, and accountability expectations, institutional researchers will also be required to study and understand potential changes to the way students participate in higher education. The McKinley Report is available at this URL: <https://www.airweb.org/Resources/Documents/Report-on-Voice-of-the-Members.pdf> for six months or may be obtained from the AIR Executive Office by contacting [air@airweb.org](mailto:air@airweb.org). Subgroup members include Jennifer Brown, Julie Carpenter-Hubin, Marne Einarson, Marty Fortner, Christine Keller, and Mardy Eimers.

## Section 4 – Immediate Past President/Nominations and Elections

My particular responsibility this year was to Chair the Board Nominations and Elections Committee (NEC). My thanks to the great team who worked so hard to review carefully all the nominees, create the election slate, and work with the AIR staff to make sure the election processes and procedures were conducted effectively. NEC 2012-2013 continuing members, Michelle Hall, Qing Mack, and Karen Webber, and newly elected members Rachael Boon, Fred Lillibridge and Alison M. Walters were a joy to work with. There is nothing like a team of responsible, thoughtful, and hardworking AIR members!

Thanks on behalf of the NEC team to all those who were nominated, those who sent in their information indicating a willingness to run, and all those who agreed to run for office. While all of you are winners, our special gratitude goes to those elected who are taking on their new responsibilities at the Forum: Gayle Fink (Vice President); Martha Gray, Dawn Kenney, and F. Mauricio Saavedra (Members at Large); and Timothy Chow, Jan Lyddon, and Soon Merz (incoming NEC members).

And thanks to the AIR staff – Lisa Gwaltney, Jason Lewis, and the technology crew who made the process work. Visit the AIR website for more information on the newly elected Board members:

<https://www.airweb.org/redirects/Pages/ElectionResults2013.aspx>.

This is my last year on the Board. The past three years serving AIR through the transition from one successful governance system to another have been wonderful. I am grateful for the opportunity you gave me by electing me, for the learning I have done, the experiences I have had, and for the working relationships and team I have been within. In the past, when people talked about the honor and privilege of such service, I heard ‘blah, blah, blah’! Now I get it, and will hear it from the heart in future, when those currently taking on the responsibilities make their speeches and reports after their time in office, making AIR and our profession even better, stronger, and more central to the critical work of higher education.



Jennifer Brown  
Immediate Past President and Nominations and Elections Committee Chair

## Section 5 – Membership

For the second consecutive year, AIR reached a total membership of more than 4,000 individuals. This achievement follows a two-year dip in membership created by a change in membership rules which was enacted to benefit members in future years. Prior to 2008, Forum participants were required to have two years of membership to attend the Forum. The result was an unpopular “tax” on new members who joined the Association in the months immediately before the Forum, but had to pay a full year’s membership fee for those months. The dip in membership was expected and the return to a membership level above 4,000 is good news.

There were no significant shifts of members across membership types in 2011-12. Overall, the data show a stable and healthy membership level.

During 2012-13, membership was restructured to afford members and the organizations they represent greater flexibility in transferring memberships without penalty. “Individual” and “Organizational” memberships were renamed by the Board of Directors to “Professional Memberships.” Graduate student and honorary memberships continue to be offered as well.

**Membership Count as of June 30, 2012**  
**Membership Count by Type – 2007-2008 to 2011-2012**

<u>Membership Types</u>	<u>2007-2008</u>	<u>2008-2009</u>	<u>2009-2010</u>	<u>2010-2011</u> <i>Revised</i>	<u>2011-2012</u>
Distinguished	20	19	19	20	20
Emeritus	116	114	76	82	82
Individual/Full	3,320	2,907	2,509	2,494	2,491
New	625	479	364	381	382
Renewed	2,695	2,428	2,145	2,113	2,109
Individual/Graduate	284	245	287	274	255
New	120	100	146	132	118
Renewed	164	145	141	142	137
Organizational	410	612	980	1,134	1,171
New	106	137	247	291	307
Renewed	304	475	733	843	864
Total Persons	4150	3,897	3,871	4,004	4,019
% Change from previous year	1.6%	-6.1%	-0.7%	3.4%	.4%
# Change from previous year	65	-253	-26	133	15