

ASSOCIATION FOR INSTITUTIONAL RESEARCH

2018

Board of Directors
ANNUAL REPORT
MAY 2018



AIR | FORUM

May 29 - June 1, 2018 • Orlando, FL



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AIR Board of Directors
Annual Report to the Membership
Orlando, FL
May 30, 2018, 1:45 – 2:30 p.m.
Rosen Shingle Creek

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Section 1 – President’s Report

On behalf of the Board of Directors of the Association for Institutional Research (AIR), I am honored to present the 2017-2018 Annual Report. We began our work at the Annual Forum in Washington, D.C., where we celebrated the start of Dr. Christine Keller’s tenure as Executive Director and Chief Executive Officer of AIR. With a commitment to collaboration, we set the Board agenda for the year with a focus on being well-informed about members’ needs based on their senses of the future of the profession. This gathering of the voice of members is one of the most important responsibilities of the Board, and we are thankful that the work of previous Boards set a strong foundation for us to turn our attention to input and feedback from a wide variety of stakeholders in institutional research.

In concert with the Executive Office, we held 13 listening sessions at Affiliated Organization (AO) meetings and other conferences across the country throughout the fall and early spring, asking about changes and trends, skills and training, and raising the profile of IR. While a final report is not yet complete, some emerging themes are data, outcomes, the evolution of the profession, technology, funding, leadership, pipeline and training, and communication.

While it is interesting to hear the thinking about our profession, it is incumbent upon us to act on that input. This year, the Board made the IR Future Committee a standing committee, with a required report at every Board meeting. This committee is charged with ensuring that the Board understands the broad context in which institutional researchers work and how this context is evolving. The committee’s full report is included in Section 3 of this document and will factor in the report from the listening sessions once finalized.

The Board meets face-to-face twice each year in addition to our meeting at the Forum, and this year, we met in Tallahassee in August. The dedication and hard work of the Executive Office staff on behalf of AIR members and the profession is evident and inspiring. They are thoughtful about the impact of their work, and strategic about anticipating future needs. Our second meeting was in Albuquerque, where we spent a great deal of time thinking about the value of AIR to our members and how we might articulate that in the Ends statement. In addition, we created a new committee, the Charles F. Elton Best Paper Award Committee. Details of this new committee are in Section 3, as are all committee reports, including those from the Governance Orientation and Training Committee and the Membership Categories Committee.

The AIR Board has operated under Policy Governance for eight years now, and while it will always be a challenge for Board members to shift from our day-to-day operational work as institutional researchers to this governance role, the Board has worked hard to discipline itself to focus on the Ends and allow the Executive Office to do the work of making those Ends a reality. As I transition to my role as Past President, I plan to do some thinking about the best ways we can ensure that our Board has broad representation as well as institutional memory to keep us focused on the Ends.

Organizational governance is not everyone’s cup of tea, but I encourage you to, at a minimum look at the Ends that are the core of our policies. As part of our commitment to transparency and accountability, the Board also provides the full set of Governance Policies, Annual Reports, Monitoring Reports, Audited Financial Statements, and Board Minutes along with the Constitution and Bylaws on the AIR website (<https://www.airweb.org/AboutUs/LeadershipAndGovernance/GovernanceDocuments/Pages/default.aspx>).

It has truly been a privilege to serve as the President of AIR. I have had the opportunity to interact with you and to gain an even greater appreciation for the breadth and depth of work institutional researchers do. It is a tremendous source of pride to call you colleagues, and to be a part of this organization and the work we all do for higher education and the students we ultimately serve.

Warmly,

Ellen Peters
President

2017–2018 Elected Leadership

Board of Directors

President

C. Ellen Peters, University of Puget Sound

Vice President

Michelle Appel, University of Maryland-College Park

Immediate Past President

Glenn W. James, Tennessee Tech University

Members at Large

Cliff Adelman, Institute for Higher Education Policy, Deceased

Paige Borden, University of Central Florida

Timothy Chow, Rose-Hulman Institute of Technology

Shari Ellertson, Boise State University

Sara Gravitt (Treasurer), Wake Forest University

Kara Larkan-Skinner, Our Lady of the Lake University

Christine Ross, Hampden-Sydney College

Jessica Shedd (Secretary), Tulane University

Michael Tamada, Reed College

Nominations and Elections Committee

Glenn W. James (Chair), Tennessee Tech University

Eric Atchison, Mississippi Board of Trustees of State Institutions of Higher Learning

Russ Cannon, University of Washington Bothell

Peggye Cohen, George Washington University, Emerita

Mimi Johnson, Trenholm State Community College

Heather Kelly, University of Delaware

Dawn Kenney, Central New Mexico Community College

Section 2 – Financial Report

While the AIR Board as a whole is responsible for overseeing the financial health of the organization, the Board delegated specific leadership responsibilities to the Board Treasurer, Sara Gravitt, for 2017–2018. The Treasurer provides leadership for the independent annual financial audit. The Treasurer is also responsible for presenting an annual report of AIR’s financial condition at the Annual Forum, managing Board travel, and researching comparable CEO compensation every three years. The Treasurer ensures that the Board has sufficient information to make sound financial policies. Three of the CEO Monitoring Reports reviewed and discussed by the Board deal specifically with the Association’s finances — (1) financial planning, (2) financial condition and activities, and (3) asset protection — and evaluate how the CEO handles the executive limitations set by the Board. The governance policies and executive limitations related to the Association’s finances provide a level of protection, set boundaries, and serve as a warning mechanism.

The firm of Purvis, Gray & Company, Certified Public Accountants of Gainesville, Florida, audited the December 31, 2017 financial statements of the Association. The auditors issued a clean audit report that indicated that the audit disclosed no instances of significant deficiencies and/or material weaknesses in the Association’s internal controls. Further, the auditors noted that the organization is in a very healthy financial position. The December 31, 2017 audit was discussed and accepted by the Board on May 22, 2018. A copy of the audited financial statement is available on the AIR Leadership and Governance website (<http://www.airweb.org/AboutUs/LeadershipAndGovernance/Pages/default.aspx>).

Questions may be directed to Mr. Jason Lewis, Deputy Director and Chief Financial Officer, 850-385-4155 or jlewis@airweb.org.

Key findings on the current financial health of the Association:

1. Unmodified 2017 audit issued on the Financial Statements with no reportable instances of significant deficiencies or material weaknesses in internal control and no material instances of noncompliance.
2. Unmodified 2017 audit issued on the Major Federal Award Programs with no reportable significant deficiencies or material weaknesses in internal control over major federal programs and no findings required to be reported.
3. Revenues exceeded expenditures by \$11,547 in 2017. The current total net assets of \$4,367,727 is the largest annual net reserve in the history of the Association. The Statement of the Financial Position and Summary of the Auditors’ Findings are included below.

**STATEMENTS OF FINANCIAL POSITION
DECEMBER 31, 2017,
WITH COMPARATIVE TOTALS FOR 2016
ASSOCIATION FOR INSTITUTIONAL RESEARCH
TALLAHASSEE, FLORIDA**

ASSETS

	<u>2017</u>	<u>2016</u>
Current Assets		
Cash and Cash Equivalents	\$ 1,549,439	\$ 1,674,678
Accounts Receivable	149,854	104,967
Other Current Assets	111,422	97,447
Grants and Contract Receivable	731,984	392,716
Assets Held-For-Sale	548,604	0
Total Current Assets	<u>3,091,303</u>	<u>2,269,808</u>
Investments		
Fixed Income Securities	<u>1,850,979</u>	<u>2,007,036</u>
Property and Equipment		
Property and Equipment, Net	<u>245,952</u>	<u>678,789</u>
Total Assets	<u>5,188,234</u>	<u>4,955,633</u>

LIABILITIES AND NET ASSETS

Current Liabilities		
Accounts Payable and Accrued Expenses	387,257	269,392
Accrued Compensated Absences	70,257	34,570
Deferred Membership Dues and Other	362,993	295,491
Total Current Liabilities	<u>820,507</u>	<u>599,453</u>
Total Liabilities	<u>820,507</u>	<u>599,453</u>
Net Assets		
Unrestricted Net Assets:		
Board Designated	420,000	420,000
Undesignated	3,876,764	3,866,317
Total Unrestricted	<u>4,296,764</u>	<u>4,286,317</u>
Temporarily Restricted:		
Scholarship Fund	70,963	69,863
Total Net Assets	<u>4,367,727</u>	<u>4,356,180</u>
Total Liabilities and Net Assets	<u>\$ 5,188,234</u>	<u>\$ 4,955,633</u>

Summary of the Auditors' Findings

**SCHEDULE OF FINDINGS AND QUESTIONED COSTS
FEDERAL AWARDS
FOR THE YEAR ENDED DECEMBER 31, 2017
ASSOCIATION FOR INSTITUTIONAL RESEARCH
TALLAHASSEE, FLORIDA**

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 Program:

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

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

Unmodified opinion.

6. Audit Findings Relative to Section 200.516 of the Uniform Guidance:

The audit disclosed no findings that are required to be reported under Section 200.516 of the Uniform Guidance.

7. Major Federal Program:

Federal Program
Research Triangle Institute (RTI) International

CFDA No.
84.EDIES09C0056

8. Threshold:

The threshold for distinguishing Type A or Type B programs was \$750,000 for major federal programs.

9. Auditee Risk Assessment:

The Association qualified as a low-risk auditee.

SECTION II - FINANCIAL STATEMENT FINDINGS

No matters noted.

SECTION III - FEDERAL AWARD FINDINGS AND QUESTIONED COSTS

No matters noted.

SECTION IV - PRIOR FEDERAL AWARD FINDINGS

No prior year findings noted.

Section 3 – Ensuring the Health and Vitality of the Association

Charles F. Elton Best Paper Award Committee

The Charles F. Elton Best Paper Award Committee was established in March 2018, with a charge to review the criteria for the Charles F. Elton Best Paper Award and determine whether the criteria appropriately reflect the intent of the Board to recognize exemplary scholarly work presented at the Forum. The committee is chaired by Glenn W. James (Immediate Past President), Tennessee Tech University, and committee members are David Eubanks, Furman University, and Leah Ewing Ross, AIR Executive Office. The committee's work is projected to be complete by December 2018 for implementation at the 2019 Forum. (Note: This is *not* the committee that selects awardees of the Charles F. Elton Best Paper Award.)

Governance Orientation and Training Committee

The Governance Orientation and Training Committee is focused on ensuring that new and continuing Board members understand the principles of Policy Governance and how those principles guide the operating practices of the Board. This is accomplished through two activities: an orientation session as part of the pre-Forum meetings, and a training and consulting session with Policy Governance consultant Miriam Carver. All Board members participate in both activities as a way of ensuring a shared understanding of Policy Governance and Board procedures. This year the committee was chaired by Michelle Appel, University of Maryland-College Park. Committee members were: Shari Ellertson, Boise State University; Sara Gravitt, Wake Forest University; Glenn W. James, Tennessee Tech University; Kara Larkan-Skinner, Our Lady of the Lake University; Ellen Peters, University of Puget Sound; and Jessica Shedd, Tulane University.

IR Future Committee

The IR Future Standing Committee was appointed in August 2017. The 2017-2018 committee members are Michelle Appel, University of Maryland-College Park; Paige Borden, University of Central Florida; Sara Gravitt, Wake Forest University; Jessica Shedd, Tulane University; and it is chaired by Timothy Chow, Rose-Hulman Institute of Technology. The charge for the committee is to develop information to brief and advise the Board about the challenges and opportunities that AIR and the field of institutional research face.

The committee is continuing the discussions led by the 2016-2017 Ad Hoc Committee on topics, presented at the 2017 Forum Board meeting, that are impacting the field of institutional research. Specifically, the committee is examining issues surrounding the following focal areas as identified at the August 2017 Board meeting:

- Distributed IR/services that are traditional IR or IR “Adjacent”
- Ubiquity of unit record and impact on IR
- IR and IT relationships
- IR and related training provided by groups outside of IR

Members of the committee are discussing and addressing these topics via email exchange, online portal, and teleconference facilitated by the Executive Office. The committee is also receiving feedback through the monthly meetings with the full Board. Some highlighted activities are as follow:

AIR Listening Sessions: The listening sessions provided an opportunity for all members of the committee to proactively hear the voice of AIR members about their views of the future of the profession, and to learn about the pressing issues facing institutional research professionals in the field from across the country. Committee members participated in listening sessions at the 2017 Data and Analytics Summit, 2017 EDUCAUSE Annual Conference, 2017 Maryland AIR Fall Conference, 2017 Mid-America AIR Conference, 2018 Achieving the Dream Annual Conference (DREAM), 2018 Enterprise IT Summit (AIR, EDUCAUSE, NACUBO), and 2018 Indiana AIR Annual Conference.

Enterprise IT Summit: The 2018 Summit, a collaboration between AIR, EDUCAUSE, and NACUBO, was held in March with focus on institutional analytics' successes and best practices through partnerships

among institutional research professionals, information technology (IT) leaders, and financial officers that span functional areas at higher education institutions. Committee members Michelle Appel and Paige Borden together with additional AIR Board members and AIR Executive Office staff attended the Summit.

Environmental Scanning: Led by Paige Borden, members of the committee have conducted an environmental scan exercise to cover the four topical areas listed above by addressing the current events, proposed steps forward, and expected outcomes surrounding each of these areas.

Based on current observations through various activities engaged in by the committee members, some of the preliminary findings suggest that having a non-IR focused or broader perspective on issues facing the profession, particularly on the four focal areas, would be beneficial to provide additional and needed “non-IR” views and feedback on the broader roles of institutional research in higher education. The infusion of IT (e.g., data gathering/extraction and analytical tools, etc.) in the ongoing operations of IR has heightened the need for greater collaboration and understanding among IR and IT professionals. In addition, with changes of recipients of information over time, and the expanded scope of data used to support diverse constituents in decision making, institutional researchers need to be aware of the types of information expected by their respective stakeholders, the acceptable ways for gathering this information, and the preferred modes for delivering the requested information for these audiences. The opportunities for institutional researchers may include roles in providing leadership in data governance, data quality, and research and analysis that support the pressing need for data-informed decision making for the institutions they serve. The challenges may include overcoming the barriers for collaboration and cooperation across functional areas in higher education institutions that have their own cultures and preferences in approaching this work. Identifying the effective ways to acquire technical and leadership skills under the changing operating environment is essential for institutional researchers to be prepared for the evolving field and the future of IR.

The committee is continuing to examine issues surrounding the four focal areas and plans to engage the full Board at the 2018 Forum Board meeting to determine any changes in the priority for gathering necessary information for supporting the Board’s deliberations on the future of IR.

Membership Categories Committee

Continuing the work that began in April 2017, the Membership Categories Committee reviewed data available regarding our current membership categories, including the numbers of members in each. We also reviewed the potential growth in each category based on biographical variables. We are currently in the final stages of reviewing this information and intend to have a recommendation regarding the concept of a Senior Membership category for the full Board by May 2018. The committee is chaired by Christine Ross, Hampden-Sydney College. Committee members are Ellen Peters, University of Puget Sound; Kara Larkan-Skinner, Our Lady of the Lake University; Michael Tamada, Reed College; and Cliff Adelman, Institute for Higher Education Policy (Deceased).

Section 4 – Immediate Past President/Nominations and Elections Committee Chair’s Report

I am pleased to submit this report on behalf of the 2017-2018 AIR Nominations and Elections Committee (NEC). It was a privilege to work with the members of the NEC, and I want to thank them for their committed service: Eric Atchison, Mississippi Board of Trustees of State Institutions of Higher Education; Russell Cannon, University of Washington Bothell; Peggye Cohen, George Washington University; Mimi Johnson, Trenholm State Community College; Heather Kelly, University of Delaware; and Dawn Kenney, Central New Mexico Community College. It was a pleasure to work with this dedicated group of professionals. The NEC also was very fortunate to have the opportunity to work with Elaine Cappellino from the AIR Executive Office. Her knowledge of the process, attention to detail, and wise advice were crucial to a successful year. As well, the NEC certainly appreciated the AIR Executive Office technology and communication teams for their excellent support and contributions to a smooth, functional process throughout the year.

The 2017-2018 nomination process yielded 143 nominees for the AIR Board of Directors, 50 of whom completed the required nomination packet for consideration by the NEC. The committee appreciated the AIR members who submitted nominations and especially those who committed to be candidates. All candidate materials were thoroughly reviewed by the NEC in order to select the final slate of candidates. The election opened on January 30 and closed on March 5, 2018. With 618 AIR members voting in the election, the results were as follows:

- **Vice President:** Martin Fortner, Northeast Lakeview College
- **Members at Large:** Soon Merz Flynn, Austin Community College District; Wendy Kallina, Kennesaw State University; and Eric Yang, George Washington University
- **NEC Members:** Victor Borden, Indiana University, Bloomington; Adrea Hernandez, Higher Education Data Sharing Consortium (HEDS); and Henry Zheng, Lehigh University

More information about the 2018 election is available on the AIR website (<http://www.airweb.org/AboutUs/LeadershipAndGovernance/Elections/Pages/2018-Election-Results.aspx>).

The past three years have been exceptionally gratifying, as I have had such a wonderful opportunity to serve with the AIR Board of Directors and the NEC, to work with the AIR Executive Office staff, and to interact with AIR members across the Association. These collaborations have been instrumental in our facing the challenges of these changing times in higher education. I am very grateful to these colleagues who have given so generously of their time and expertise in order to help AIR move forward and become even better. Christine Keller demonstrated that she is off to an excellent start during her first year as AIR Executive Director. She, Jason Lewis, and other members of the Executive Office team have contributed strongly to the successes of the Association.

Finally, I am acutely aware of the contributions of so many AIR members and leaders who have preceded me, and I express great appreciation for those exemplary leaders and contributors who have helped me and many other IR professionals to learn, grow, and develop during our careers. I hope to follow the example of continuing to contribute to the development and strengthening of AIR and IR in the evolution of our work in support of higher education.

Thank you very much!

Glenn W. James
Immediate Past President

Section 5 – Membership Report

The 2016-2017 AIR paid membership was comprised of 3,605 individuals (see Figure 1). This was a 9.1% decline (362 memberships) from the previous year, which was due primarily to a reduction in the number of returning/renewing Professional members (see Figure 2).

Promotional memberships were provided to 842 individuals at the end of the 2016-2017 membership year (see Figure 1) to cover the gap in member benefits for individuals who purchased membership for the following year as part of their Forum registrations and who were not current members. The 2016-2017 paid and promotional membership total was 4,447 (see Figure 1).

Beginning with the 2018 Forum, attendees are no longer required to purchase an AIR membership as part of Forum registration, and the practice of promotional memberships was discontinued.

Figure 1: Number of Paid & Promotional Memberships by Membership Type 2012-2017

Membership Types	2012–2013	2013–2014 Revised	2014–2015	2015–2016	2016–2017
Distinguished	19	20	19	19	19
Emeritus	81	85	88	94	103
Graduate Students	208	202	161	139	97
<i>New</i>	114	110	85	114	51
<i>Renewed/Returning</i>	94	92	76	25	46
Professional	3,729	3,803	3,834	3,715	3,386
<i>New</i>	760	717	733	694	728
<i>Renewed/Returning</i>	2,969	3,010	3,030	2,955	2,592
<i>Transfer</i>	-	76	71	66	66
Total Paid Memberships	4,037	4,110	4,102	3,967	3,605
Promotional			634	730	842
<i>Graduate Student</i>	-	-	32	21	45
<i>Professional</i>			602	709	797
Total-Paid and Promotional Membership	-	-	4,704	4,697	4,447

Figure 2: Annual Change in Total Paid Memberships

	2012–2013	2013–2014 Revised	2014–2015	2015–2016	2016–2017
% Change in Total Paid Memberships	0.40%	1.80%	-0.19%	-3.29%	-9.13%
# Change in Total Paid Memberships	18	73	-8	-135	-362
<i>...# New</i>	874	827	818	808	779
<i>...# Renewed/Returning</i>	3,163	3,207	3213	3093	2760
<i>...# Transfers</i>	-	76	71	66	66
Total Number of Paid Members	4,037	4,110	4,102	3,967	3,605