CONTENTS

Tables, Figures, and Exhibits  xi
Appendices  xvii
Preface  xix
Acknowledgments  xxiii
About the Editors  xxv
List of Contributors  xxvii
The Association for Institutional Research  xxxi

PART 1: THE HISTORY, THEORY, AND PRACTICE OF INSTITUTIONAL RESEARCH  1

1 The History of Institutional Research  3
   Donald J. Reichard

2 The Structure and Functions of Institutional Research Offices  22
   J. Fredericks Volkwein, Ying (Jessie) Liu, and James Woodell

3 Practicing Institutional Research  40
   Mardy T. Eimers, Jang Wan Ko, and Denise Gardner

4 The Role of Institutional Research in International Universities  57
   Ann S. Ferren and Martha C. Merrill
5 Out of the Box and Out of the Office: Institutional Research for Changing Times  73
   Richard A. Voorhees and Teri Hinds

6 Institutional Research and Collaborative Organizational Learning  86
   Victor M. H. Borden and Adrianna Kezar

7 Developing Institutional Adaptability Using Change Management Processes  107
   Kim Bender

PART 2: SUPPORTING CAMPUS LEADERSHIP AND MANAGEMENT  131

8 Supporting Institutional Governance  133
   James Purcell, Charles Harrington, and Beverly King

9 Supporting the Provost and Academic Vice President  145
   James T. Posey and Gita Wijesinghe Pitter

10 Examining Faculty Recruitment, Retention, Promotion, and Retirement  165
    Daniel Teodorescu

11 Institutional Planning and Resource Management  183
    Michael J. Dooris and Jerome S. Rackoff

12 Building Cost Models  203
    John Milam and Paul Brinkman

13 Managing College Enrollments  221
    John Cheslock and Rick Kroc

14 Refocusing Student Success: Toward a Comprehensive Model  237
    Gary A. Rice and Alene Bycer Russell

15 Academic Space Management and the Role of Institutional Research  256
    Catherine Watt

16 Managing Sustainability  268
    Josetta S. McLaughlin and Lisa M. Amoroso

PART 3: BRIDGING INTERNAL AND EXTERNAL REQUIREMENTS FOR IR  295

17 Challenges in Meeting Demands for Accountability  299
    Carol Fuller, Cathy Lebo, and John Muffo
18 Accreditation and the Changing Role of the Institutional Researcher  310
Paula S. Krist, Elizabeth A. Jones, and Kimberly Thompson

19 Regulated Ethics: Institutional Research Compliance with IRBs and FERPA  325
Rachel Dykstra Boon

20 Data, Discrimination, and the Law  340
Andrew L. Luna

21 Federal Higher Education Reporting Databases and Tools  354
Gayle M. Fink and Chad Muntz

22 Collective Responses to a New Era of Accountability in Higher Education  371
Christine M. Keller

23 System- and State-Level Data Collection Issues and Practices  386
Marsha V. Krotseng

24 Developing K–20+ State Databases  404
Maryann S. Ruddock

25 Data Exchange Consortia: Characteristics, Current Examples, and Developing a New Exchange  420
Julie Carpenter-Hubin, Rebecca Carr, and Rosemary Hayes

26 Business Intelligence and Analytics: The IR Vision for Data Administration, Reporting, Data Marts, and Data Warehousing  434
John Milam, John Porter, and John Rome

PART 4: INSTITUTIONAL RESEARCH TOOLS AND TECHNIQUES 455

27 Analytic Approaches to Creating Planning and Decision Support Information  459
Gerald McLaughlin, Richard Howard, and Daniel Jones-White

28 Exploring and Mining Data  478
Jing Luan, Thulasi Kumar, Sutee Sujitparapitaya, and Tom Bohannon

29 Measuring Opinion and Behavior  502
Sean Simone, Corbin M. Campbell, and Daniel W. Newhart

30 Institutional Research with Published Instruments  523
Julie Noble and Richard Sawyer
31 Measuring and Evaluating Faculty Workload  550
   Heather A. Kelly, Jeffrey A. Seybert, Patrick M. Rossol, and Allison M. Walters

32 Analyzing Equity in Faculty Compensation  573
   Robert K. Toutkoushian and Dennis A. Kramer II

33 Effective Reporting  594
   Liz Sanders and Joe Filkins

34 Tools for Setting Strategy  611
   Jan W. Lyddon, Bruce E. McComb, and J. Patrick Mizak

35 Tools for Executing Strategy  625
   Jan W. Lyddon, Bruce E. McComb, and J. Patrick Mizak

36 Developing Institutional Comparisons  644
   Glenn W. James

37 Tools for Improving Institutional Effectiveness  656
   Jonathan D. Fife and Stephen D. Spangehl

38 Tools for Measuring the Effectiveness of Institutional Research  673
   Sharron Ronco, Sandra Archer, and Patricia Ryan

Epilogue  689

Name Index  695

Subject Index  707
TABLES, FIGURES, AND EXHIBITS

List of Tables

Table 2.1 Highest Degree and Years Experience
Table 2.2 The Four Faces of Institutional Research
Table 6.1 The Tenets of Institutional Research: Shifting from a Decision Support to a Collaborative Organizational Learning Ethos
Table 7.1 Summary of Change Management Characteristics, Theories, and Models
Table 7.2 Planning and Evaluation Effectiveness: Annual Report for 2003–2004
Table 10.1 Tenure Track Faculty Recruitments and Success Rates, Fall 1999–2009
Table 10.2 Largest Gaps Between Importance and Satisfaction for Influences on Faculty Careers
Table 10.3 Sample Template for Tracking Tenure/Promotion Denials
Table 10.4 Age Distribution for Full-Time Faculty at Four-Year Institutions, 2003
Table 10.5 Projected Proportions of Faculty: Retired and Eligible to Retire
Table 12.1 Step 1: Get SCH Breakout with ICLM
Table 12.2 Step 2: Convert to Percentages
Table 12.3 Step 3: Allocate Budget Data Based on SCH
Table 12.4  Step 4: Sum Breakout Cells for Subtotals
Table 14.1  Learning Goal Status After Ten Years: UAA First-Time Undergraduates, Fall 1998 Entry Cohort
Table 16.1  GRI Indicators
Table 16.2  STARS Ratings and Recognition System
Table 16.3  STARS 1.2 Table of Credits
Table 16.4  Example of LEED Point System for Commercial Interiors
Table 24.1  National Perspectives on Elements of Statewide Longitudinal Databases
Table 24.2  Role and Sophistication of Stakeholders as Determinants of Data Access
Table 27.1  Key Questions: Constructivist Versus Positivist
Table 28.1  Cluster Means of Student Engagement Typology
Table 28.2  Predictors Included in This Research Model
Table 28.3  Predictors Selected for Neural Network Model
Table 29.1  Questions an Institutional Researcher Should Address When Designing a Study
Table 29.2  Best Practices for Developing Questionnaire Items, with Examples
Table 29.3  Response Scales
Table 29.4  Survey Design Map
Table 29.5  Types of Sampling Procedures
Table 30.1  Undergraduate Admission Tests
Table 30.2  Graduate/Professional School Admission Tests
Table 30.3  Undergraduate Course Placement Tests
Table 30.4  Undergraduate ESL Course Placement Tests
Table 30.5  Undergraduate Honors Tests and Credit-by-Examination
Table 30.6  Psychosocial Instruments
Table 31.1  Kansas Study: Percent Student Credit Hours Taught by Faculty Type and Academic Discipline, National Refined Means, Fall 2002
Table 31.2  Kansas Study: Instructional Cost Per Student Credit Hour—Most Expensive Disciplines
Table 31.3  Kansas Study: Instructional Cost Per Student Credit Hour—Least Expensive Disciplines
Table 32.1  Comparison of Average Faculty Salaries for the University of Georgia and Its Peers, 2006
Table 32.2  Comparison of Average Faculty Salaries by Rank for the University of Georgia and Its Peers, 2006
Table 32.3  Change in Relative Salary Positions for Public Institutions in the University System of Georgia with Designated Peers, 2001–2006
Table 32.4  Cost of Raising Average Faculty Salaries for Selected Public Institutions in Georgia to the Median for Peers, 2006
Table 32.5  Selected Comparisons of Average Faculty Salaries by Gender, 2008–2009
Table 32.6  Illustration of Single-Equation Method for Measuring the Unexplained Wage Gap
Table 32.7  Illustration of Total Wage Gap Decomposition Using Multiple-Equation Methods
Table 34.1  PESTEL Analysis Table
Table 34.2  Competitive Analysis Questions
Table 34.3  Standard SWOT Matrix
Table 34.4  SWOT Matrix Organized by Balanced Scorecard Perspectives
Table 34.5  TOWS Matrix
Table 34.6  Ansoff Matrix
Table 34.7  Examples of Benchmarking Sources in Higher Education
Table 35.1  Balanced Scorecard Spreadsheet
Table 35.2  Sample Balanced Scorecard Display Using Desktop Software

List of Figures

Figure 2.1  IR Office Size: FTE Professionals
Figure 2.2  The Golden Triangle of Institutional Research
Figure 2.3  IR Office Organizational Location and Reporting Level
Figure 2.4  IR Organized by Major Function, Typical for the Professional Bureaucracy Version of IR
Figure 2.5  Calculation of IR Maturity
Figure 2.6  Calculation of Task Hierarchy Score
Figure 2.7  Average Task Hierarchy Scores for the Three Levels of IR Office Maturity
Figure 6.1  Constructs and Processes Associated with Organizational Learning
Figure 7.1  The AQF Concept Model for Change Management Process
Figure 7.2  The Ten-Part AQF Process and Information Flow
Figure 11.1  Import-Export Model: The Orienting Role of the Environment
Figure 13.1  Arizona Hispanic Population Pipeline: 1,880,000 Total Hispanics in 2008
Figure 13.2  Price Response and Student Interest
Figure 14.1  Ten-Year Map of the Fall 1998 First-Time Undergraduate Entry Cohort
Figure 15.1  Example of Code Use in a Space Database
Figure 15.2  Institutional Knowledge Phases
Figure 15.3  Individual Faculty Member’s Space Assignments in a Space Database
Figure 15.4  Individual Faculty Member’s Research Awards, Including Funding per Square Foot
Figure 15.5  Departmental Summary of Space
Figure 15.6  Elements of a Basic Web-Based Space Database
Figure 16.1  Sustainability Reporting Process
Figure 25.1  The Data Exchange Lifecycle
Figure 28.1  Drop Line of Cluster Means
Figure 28.2  Academic Advisement
Figure 28.3  Educational Experiences: Influence on Return to the Same Institution
Figure 28.4  Type Node and Data Audit Output
Figure 28.5  Rules with Instance and Confidence Figures and List of Variables Importance
Figure 28.6  Analysis Output of C5.0 and C&R Tree
Figure 28.7  Example of an MLP
Figure 28.8  Flow Process for Neural Network Analysis
Figure 28.9  ROC Curves for Decision Tree and Neural Network Models
Figure 29.1  Equations for Determining the Size of a Sample
Figure 30.1  Effectiveness of an Instrument for Identifying At-Risk Students
Figure 31.1  2010 Delaware Study Data Collection Form
Figure 31.2  Total Student Credit Hours Taught per FTE Tenured and Tenure Track Faculty for a Science Department
Figure 31.3  Faculty Activity Study Summary Form
Figure 31.4  Out-of-Classroom Faculty Activity Related to Service for a Science Department
Figure 34.1  SWOT and Ansoff Matrix
List of Exhibits

Exhibit 3.1  Terenzini’s Three Organizational Intelligences of Institutional Research
Exhibit 3.2  Myers-Briggs Type Indicator Dimensions: An Institutional Research Perspective
Exhibit 10.1  Typical Questions Related to Faculty Retention Analysis
Exhibit 10.2  Correlates of Job Satisfaction
Exhibit 15.1  Questions to Ask in Space Management Implementation
Exhibit 16.1  Sustainability-Related Codes for Use by Collegiate Institutions
Exhibit 35.1  IR Professionals’ Roles in Balanced Scorecards
Exhibit 38.1  Suggested Topic List for IR Self-Study
APPENDICES

14.1 UAA Decision Rules for Student Status Determination
16.1 The Talloires Declaration
16.2 Calculating a STARS Score
16.3 Survey Questions for the *Princeton Review Green Rating of Colleges*
18.1 Accrediting Agencies’ Websites
19.1 FERPA Concerns to Address in Agreements with Third Parties for Disclosure of Identifiable Data for Educational Research
21.1 NCES Sample Surveys
21.2 IPEDS Surveys
21.3 NSF Surveys
22.1 Initiative Websites, Resources, and Reports
37.1 Resources