

National Education Knowledge Industry Association



2005 Board of Directors Spring Meeting



April 10-11, 2005
Montreal

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Reference Materials (Sent under separate cover in the 2005 Board Handbook)

- 2005 Work Plan
- 2005 Budget
- 2005 Calendar
- 2005 Board of Directors
- 2005 Membership list
- NEKIA By-laws and Policy Statements

National Education Knowledge Industry Association

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April 4, 2005

Dear Members of the Board of Directors,

We look forward to seeing all of you at our meeting in Montreal on April 10-11, 2005. We anticipate a productive gathering with many critical issues to consider as we seek to effectively position the trade association and its members during this challenging year of competitions and transitions.

We hope you will be able to review all of the materials in this booklet before the meeting, particularly the report on the Knowledge Utilization Initiative, the status report on our government relations activities and status reports for our 2005 work plan. Having now completed the first third of the fiscal year, we are moving forward in a deliberate and strategic fashion with all of priority activities.

We are planning to have an extended discussion about our knowledge utilization work. We have reached a critical juncture in the development of this area and together we will need to consider the potential opportunities that we can create in the months and years ahead.

As always we look forward to breaking bread, raising a glass, and talking with all of you in what promises to be another important meeting in. Until then,

Chris Dwyer
Board Chair

Jim Kohlmoos
President and CEO

SCHEDULE OF ACTIVITIES

To: Board of Directors
From: John Waters
Subject: Schedule of Activities for the Week

You will see below the schedule of activities for April 10-12. We will do all that we can to make this week productive and convenient for all of you. Please don't hesitate to contact me with any changes in your plans or questions about the logistics.

Sunday, April 10

6:00-8:00 p.m. Members' Dinner
(Full members and affiliates)
La Queue de Cheval Steakhouse & Bar
(Montreal Tea Room-3rd Floor)
1221 Rene Levesque Blvd., West
Montreal, QC H3G 1T1
(514) 390-0090

Monday April 11

Delta Montreal
475 President Kennedy Avenue
Montreal, QC H3A 1J7
(514) 286-1986
Ravel Room

8:00-9:30 a.m. Executive Committee Meeting
(Dwyer, Kershner, Hoover, Ames, Thomas, Herman, Kohlmoos)

9:30 a.m.-4:00 p.m. Board Meeting
(All Board members)

4:00-5:00 p.m. Sector Group Meetings

Tuesday April 12

Le Centre Sheraton Montreal
Salon 6
1201 Boulevard Rene-Levesque West
Montréal H3B 2L7
514-878-2000

4:05 pm - 6:05 p.m. Towards A New Vision For Knowledge Utilization in Education: A SIGRU/NEKIA Roundtable Discussion. Please join national leaders and advocates in an open conversation around local, state, and Federal activities in research and research use in an era of scientifically based research.

BOARD MEETING AGENDA

To: Board of Directors
From: Jim Kohlmoos
Subject: Board Meeting Agenda on April 11

As you can see below we have an ambitious agenda for our day together. Of course, the times are subject to change as we proceed through the day. Chris Dwyer as the Board Chair will guide us through the agenda.

Ravel Room
Delta Montreal
475 President Kennedy Avenue
Montreal, QC H3A 1J7
(514) 286-1986

- 8:00-9:30 a.m. Executive Committee Meeting**
(For Executive Committee members only)
- 9:30- 9:45 a.m. Board Meeting**
- Welcome & Introductions
 - Agenda ---Review (*See pages 6-8*)
- 9:45 -11:00 a.m. Knowledge Utilization Vision**
- Discussion Paper --- review and discuss (*See pages 9-24*)
- 11:00-11:15 Break**
- 11:15-12:30 p.m. Knowledge Utilization Strategy**
- Next Steps ---- decide (*See pages 25-31*)
- 12:30-2:00 p.m. Break and Lunch**
- 2:00-3:00 p.m. Government Relations**
- Status Report, Government Relations Plan --- Review (*See pages 33-43*)
 - Current environment --- Review
 - Competitions update --- Discuss
 - Strategies and positioning for the next three months and beyond---Discuss
- 3:00- 3:15 p.m. Status Reports**
- 2005 Work Plan (*See pages 44-46*)
 - Business Development (*See pages 47-50*)
 - Membership Development
- 3:15-3:30 p.m. Operations and Announcements**
- Minutes---Review and decide (*See pages 51-59*)
 - 2005 Financial Statements ---review (*See pages 68-72*)

- 2004 Audit Report --- Review (*See reference materials*)
- AERA Conference activities
- Policy Forum, July
- NEKIA Communicators Institute, June
- NEKIA Business Development Institute, November

3:30-4:00 **Break**

4:00-5:00 p.m. **Sector Group Meetings**

Knowledge Utilization Initiative

FOR BOARD DISCUSSION & DECISION

To: Board of Directors
From: Jim Kohlmoos
Subject: Knowledge Utilization Initiative, Vision and Strategy
Date: April 4, 2005

We have reserved significant time in the Board agenda for discussing our vision of knowledge utilization and for addressing a number of key questions relating to the vision and next steps. This paper contains the issues and ideas that we will be examining during the meeting. We strongly encourage you to carefully read this paper before the meeting.

Questions to Address during the Board Meeting

As you read through this document we suggest you consider these questions which will serve as the basis of our discussion during the board meeting:

1. As a precursor to further action on knowledge utilization, is it important and beneficial for NEKIA members to reach consensus on a specific vision of knowledge utilization? Should we be either promoting a particular vision or facilitating a public dialogue about the general notion of knowledge utilization?
2. To what degree does the discussion paper represent a consensus view of NEKIA members about a practical and compelling vision of knowledge utilization? Which elements are essential or core? Which are confused or bothersome? What is missing? What should be changed to reach consensus?
3. What can and should we do next as a trade association? Is this effort sufficiently compelling and important to continue work on this topic as a central organizing concept for the trade association? What do you think of the suggested next steps presented by NEKIA staff in the last section the end of this paper?

Background on the Initiative

You will recall that over two years ago the Board first contemplated a national knowledge utilization effort as part of our overall business development initiative. At that time our aim was to play a more aggressive and proactive role in shaping favorable federal policy. As a first step the Board agreed to work with Congress in introducing a "message" bill on knowledge utilization. Even as we became involved in other niche activities in 2004, our work on the Knowledge Utilization Act (KUA) became the center piece of our business development initiative in FY 2004.

In November of 2004 the Board agreed to move forward on the next phase --- establishing the Knowledge Utilization Initiative as a central organizing concept of NEKIA's work plan in all of our priority areas (public policy, business development, industry leadership, organizational development) and launching a long term effort for creating and aggressively advocating for a new vision for knowledge utilization in education. The overall goals of this effort were and still are:

1. Promote policies focusing on knowledge utilization as a national priority

2. Create greater visibility and understanding of knowledge utilization in education
3. Help position NEKIA members as key leaders in the knowledge utilization field
4. Generate support for knowledge utilization among education policy makers, practitioners, etc

During the past six months we have focused considerable time and attention on collecting ideas for a new vision of knowledge utilization through discussion groups with members of the board and some of the leading national thinkers in this arena. From these discussions we developed a set of twelve principles (see appendix) and used those principles to formulate our vision.

*****Discussion Paper*****

“Communities of Knowledge: Towards Creating a New Vision of Knowledge Utilization in Education”

Using the twelve principles that emerged from the visioning process (see appendix) early last month we began work on the design of a new system of knowledge utilization. The work is still in progress and, as we have come to realize, this should be a long term deliberative process. For discussion purposes at our board meeting, we are pleased to present to you the initial draft of our thinking thus far. Scott Joftus drafted a major portion of this piece with significant contributions from Jay Diskey, Max McConkey, Paul Hood, Lisa Petrides, and me.

Introduction

The notion that data and research should be used to improve education policy and practice is now almost a cliché. But until the 1970s, policymakers in the education realm rarely thought of themselves as consumers of research. Around this point, the United States began experimenting with a number of dissemination and knowledge utilization projects that were designed to help schools improve and innovate, and developed an elaborate infrastructure, modeled after that created for agriculture, to disseminate research with the assumption that it would lead to effective knowledge utilization and, ultimately, improved policy and practice. This assumption has proven incorrect, as the “technocratic” model of knowledge use has led to fragmented policy and inconsistent application among practitioners (Seashore Louis, 2003).

Over the last few decades there have been significant attempts to improve the use of knowledge in creating education policy and improving education practice, but these attempts have focused on disseminating findings from research rather than using knowledge and have resulted in a series of uncoordinated activities (Seashore Louis, 2003). More recently, the standards and accountability movement has both directly and indirectly pushed the concept of knowledge utilization back into the awareness of educators, administrators, policymakers, external technical assistance providers, and researchers. The term “knowledge utilization” generally refers to the systematic application of professional wisdom and findings of high-quality research to improve educational outcomes for students. Knowledge utilization activities are typically dynamic and structured interactions among key stakeholders, including researchers, developers, disseminators, technical assistance providers, practitioners, and policymakers.

The standards and accountability movement’s direct impact on the emergence of knowledge utilization is a result of the federal government requiring, most notably through the No Child Left Behind Act, schools to use “scientifically based” programs and practices in areas such as reading instruction and professional development for teachers. In recent years, the federal government has also attempted to encourage practitioners to apply research by trying to upgrade the quality of educational research through the prioritization of funding for randomized trials and by creating the “What Works Clearinghouse,” established in 2002 by the U.S. Department of Education’s Institute of Education Sciences, which seeks to “provide educators, policymakers, researchers, and the public with a central and trusted source of scientific evidence of what works in education” (www.whatworks.ed.gov/howeare/overview.html).

The standards and accountability movement has also had an indirect impact on educators’, administrators’, and policymakers’ use of knowledge to improve policy, programs, and practice.

By requiring schools and districts to test all students and demonstrate adequate yearly progress in the percentage of subgroups of students who are proficient in reading, math, and science (soon), NCLB and state accountability systems have made available to districts and schools large amounts of student performance data. Districts and schools are increasingly using these data to, among other things, identify and tutor low-performing students, streamline curriculum, and improve the quality of professional development activities (CITE).

The literature on effective schools and organizations suggest that the increasing emphasis on using data and research to improve policy, programs, and practice will have a positive impact on student outcomes (CITE). The literature and experience also suggest, however, that the field of education has a long way to go before data and research are used systematically and effectively to develop policies, programs, and practices that have a significant, wide-scale, and long-lasting impact on students (Hood, 2003).

What is a model of using knowledge—generated through research, data, and experience—that complements the standards and accountability movement and is most likely to have a significant, wide-scale, and long-lasting impact on student outcomes? This paper explores this question, starting with a simplified description of the model most frequently used today, proposing a more effective model based on the notion of communities of practice, and concluding with a discussion of some of the barriers to using such a model.

Current Practice

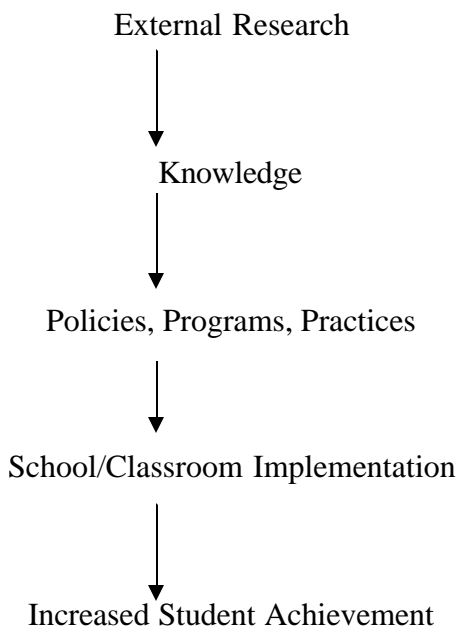
Policymakers and some academics have often viewed knowledge utilization as something of a linear process, intended to increase student achievement, in which schools implement “research-based” policies, programs, and practices handed down or required by the district, state, or federal government (see Figure X).

Typically, the federal government or foundations fund research or an evaluation that may or may not address actual problems faced by teachers and school administrators. Although researchers frequently reach out to practitioners to access data and information and conduct interviews with and observations of practitioners, it is rare that teachers, administrators, or even policymakers have the opportunity to shape studies in a way that will provide specific guidance for helping them improve school quality or educational practice.

Practitioners can and do access completed research and adapt findings to improve their policy, programs, and practices, but the processes—to the degree they exist at all—for doing so are fractured, poorly developed, and not systemic. Most practitioners get exposed to some research in their training to become teachers or principals. In addition, some teachers and administrators read about applicable research in the popular press or a trade journal such as *Education Week*. Others learn about research that can be adapted to the classroom or school setting through continuing education and recertification programs and professional development activities. Finally, some teachers and school administrators access information and research that could inform their practice through informal networks of colleagues. Many practitioners, however, infrequently use research to improve their programs or practices. Indeed, there is little incentive for them to do so other than to avoid the threat of sanctions imposed by state and federal accountability systems (Helmsley-Brown and Sharp, 2003).

More frequently, an external service provider, such as a software developer or textbook publisher, will use available research to create a product intended for use by teachers and principals. Similarly, district and state administrators might use research to develop curricula, professional development activities, or plans for turning around schools identified as needing improvement. Although these products and programs might benefit schools and their students, the fact that there is an intermediary—external service providers or district or state administrators—separating the knowledge producer and the knowledge user means that practitioners are passive and indirect recipients of knowledge and therefore less likely to internalize the knowledge and make effective use of the research-based programs and practices (CITE). As a result, students are less likely to benefit significantly or for any sustained period of time (CITE).

Figure X: Linear Model of Knowledge Utilization



Toward a Better Model

The linear model for using knowledge to improve student performance overlooks at least two important and related factors. First, the linear model focuses exclusively on what is called explicit knowledge—formalized, systematic, and usually quantifiable—and completely ignores the critical role played by tacit knowledge (Nonaka, 1998):

Tacit knowledge consists partly of technical skills—the kind of informal, hard-to-pin-down skills captured in the term ‘know-how.’ . At the same time, tacit knowledge has an important cognitive dimension. It consists of mental models, beliefs, and perspectives so ingrained that we take them for granted, and therefore cannot easily articulate them. For this very reason, these implicit models profoundly shape how we perceive the world around us (page 28).

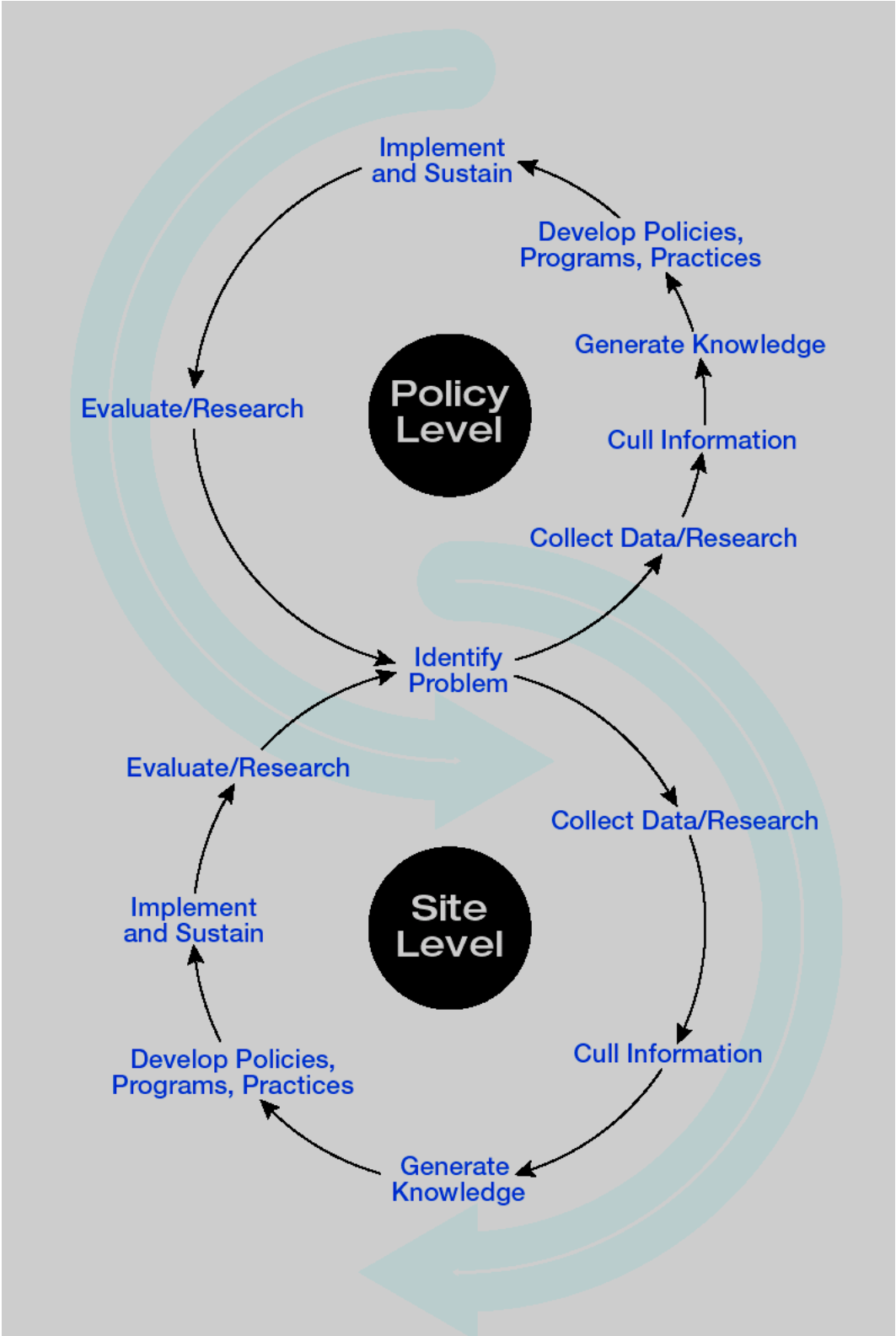
Second, the linear model fails to acknowledge the important role played by learning organizations in improving outcomes for students. Peter Senge (1990), who popularized learning organizations in his book *The Fifth Discipline*, described them as places “where people continually expand their capacity to create the results they truly desire, where new and expansive patterns of thinking are nurtured, where collective aspiration is set free, and where people are continually learning how to learn together” (cited in Garvin, 1998, page 49).

To be successful, schools need to constantly improve, demonstrating that they can have a continuous and significant impact on student achievement. But before schools, or any organization, can improve their capacity to help students learn, they first must learn themselves, and “a learning organization is an organization skilled at creating, acquiring, and transferring knowledge, and at modifying its behavior to reflect new knowledge and insights” (Garvin, 1998, page 51).

For knowledge utilization to have a significant and long lasting impact on student achievement, then, an alternative to the linear model must be considered that encompasses both the site level (schools and district administration) as well as the policy level (district school boards and the state and federal governments). Such a model, depicted in Figure Y, would begin with the notion that practitioners at the site level must be actively and continuously engaged in both constructing and applying explicit and tacit knowledge by working collaboratively in networks to identify the barriers to higher student achievement; collect and analyze data and external research that helps them effectively define the barriers and generate strategies for overcoming them; generate the knowledge for doing so; implement the strategies and evaluate their effectiveness; and, when appropriate, bring to scale the strategies shown to improve student outcomes. Throughout the process, practitioners should be engaged in evaluating both the impact of their policies, programs, and practices as well as the process for creating and implementing them (Brown, 1998).

At the same time, districts and state and federal governments—charged with supporting schools and holding them accountable—would go through a similar process. Under this model, schools and the policymaking organizations would also be contributing the research base by disseminating the results of the evaluations of their own efforts.

Figure Y: A Dynamic Model of Knowledge Utilization: Educators, Administrators, and Policymakers Working Collaboratively to Identify Problems and Develop and Implement Solutions



Strengths of the Model

This dynamic model for developing and applying knowledge has at least three advantages over the linear model of knowledge utilization. First, it empowers and expects teachers and principals, as well as policymakers and administrators, to identify and solve problems in a way that draws on external research but also requires them to engage actively in generating an understanding of the problems as well as considering alternative solutions.

Second, the model recognizes the importance of tacit knowledge. Although high-quality research is critical for helping practitioners and policymakers understand the problems they have identified and generate solutions to those problems, there is no way that research can address all the problems faced by educators and policymakers in a way that will enable them to improve practice. Even if research did so, there are few incentives for teachers and administrators to keep up to date on new research and consistently apply it to increase student achievement (Helmsley-Brown and Sharp, 2003).

Application of the dynamic model creates demand for high-quality and practical research as teachers, administrators, and policymakers will look to the literature for guidance in understanding and ultimately solving the problems with instruction and school environment that they identify. Application of the model also will create incentives for researchers to work more closely with schools to ensure the relevance of their work.

Having access to and using external research, however, is a necessary but not sufficient condition for practitioners and policymakers to improve the quality of schools. Although it provides knowledge about the experiences and outcomes of others and a theoretical base for the hard work of school reform, research by itself does not convey the tacit knowledge that is critical for successful school reform. The “explicit knowledge” derived from external research is dependent on tacit knowledge to be applied, and “sharing tacit knowledge requires interaction and informal learning processes such as storytelling, conversation, coaching, and apprenticeship of the kind that communities of practice provide (Wenger, McDermott, and Snyder, 2002).

Finally, the model recognizes the dynamic nature of school systems and of knowledge itself. Each circle of the figure eight in Figure Y represents the idea that problems are never completely solved: once an apparently effective policy, program, or practice has been implemented to address an identified problem, additional “problems”—such as imperfect implementation, unintended consequences, and sustainability—should be expected and result in the creation of a new process to identify and address the new problems.

The fact that the circles in Figure Y are inter-connected represents the idea that the site and policy levels are dependent and supportive of one another. As solutions to problems are implemented, teachers, administrators, and policymakers will find ways in which the new policy, program, or practice can be improved upon or integrated more effectively with existing ones. And, as a school learns from its successes and ongoing challenges, it should be passing on information to its district and state, which in turn learns from the school’s experience and builds its capacity to support other schools.

Elements of the Model

The dynamic model of knowledge utilization in education is based on the premise that, to have a significant and sustainable impact on student achievement, schools and the district, state, and federal agencies that support them must create and nurture high-quality “communities of knowledge.” The concept of communities of knowledge is rooted firmly in the idea of communities of practice, which—according to Wenger, McDermott, and Snyder (2002)—“are groups of people who share a concern, a set of problems, or a passion about a topic, and who deepen their knowledge and expertise in this area by interacting on an ongoing basis” (page 4).

The main distinction between communities of knowledge, as used in this model, and communities of practice is the responsibility for contributing to the “explicit” knowledge base. Whereas communities of practice draw from the research literature to understand and solve the problems they identify, they typically are not expected to contribute to the research literature. Communities of knowledge, on the other hand, both learn from external research and, when appropriate, contribute to the research literature in an effort to help inform other communities of knowledge wrestling with similar problems.

Communities of knowledge in schools can and do develop organically.¹ That is, groups of teachers and administrators frequently come together—in the teachers’ lounge, after school, or during free periods—to discuss topics of interest and importance, such as improving instruction for low-performing students. To have significant and long-lasting impact on student achievement, however, school leadership must encourage and facilitate the development and ongoing work of such communities. Ideally, depending on the size of the school, two to five communities of knowledge consisting of five to ten members should be created, each with a different focus. For example, one community might decide to focus on math achievement in the school, another on safety, and a third on teacher morale.

The leadership in the school, including the principal, should provide support to the communities—by giving teachers time during the school day to meet, data and research related to their topic, suggestions, and perhaps a small budget—but should not try to control the topic or process, which is described below.

Identify Problem

Once a topic has been selected for the community of knowledge to focus upon, the group needs to specify the problem. Problem identification should be focused on narrowing the topic that has been selected in a way that can be described, understood, and ultimately addressed. For example, rather than defining a problem as low student achievement, the team should try to isolate the problem of low achievement. Is the problem in all subjects or are most students having particular problems in math? Are all students having the problem or only students whose first language is not English? Even if the problem is widespread, the team should focus on a narrow piece of the overarching problem, and the school should not attempt to address more than a few problems, or parts of the problem, at any one time.

¹ Throughout the discussion of the elements of the model, examples are given at the site level. Similar examples at the policy level could also be given.

Collect Data/Research

Once a problem has been identified, the community of knowledge must take on the task of collecting data and external research that will help develop understanding about the nature of the problem and generate possible solutions. Data might include existing data, such as test scores and a list of students who have been suspended for the year, but they might also include data that need to be collected. For example, a team focused on the school's high absentee rate among special education students might decide that it needs to interview or survey the students and their families. A team focused on low scores on the fourth grade assessment might choose to analyze the alignment between the fourth-grade curriculum and the assessment and between third and fourth-grade curricula.

External research will likely help to shed some light on the problem that has been identified, and it should be collected at this stage. For example, what does the literature say about improving math achievement among elementary school students? Are there any schools or districts in the area that have increased math scores? If so, how did they do it? Are there any math programs that have been shown using randomized trials to have a positive impact on student achievement?

Cull Information

A community of knowledge needs to cull the information from the collected data and research that is applicable to the specific problem it has identified. During this stage, members of the community will also discuss their own understanding of the problem—tacit knowledge—with other members.

At this stage, the community might also find that it needs to revise its problem definition slightly based on the data and research collected. For example, a community of knowledge that has identified a problem of low math achievement among African American students might discover after analyzing the data that the real problem is that all fourth graders are having trouble answering problems about measurement and probability.

Generate Knowledge

Although an essential step, culling information from collected data and research will not enable the community of knowledge to begin formulating solutions to its identified problem. Another step is required as information “only becomes valuable in a social context” (Fullan, 2001). Petrides and Guiney (2002) note the important transition of information to knowledge: “It is within the process of accumulating, synthesizing, and sense making of information that knowledge, the intangible commodity of all educational institutions, is created.”

The relationship between information and knowledge is similar to that between potential and kinetic energy. “Essentially,” write Petrides and Nodine (2003), “knowledge is the application of information to decision making or action.” In order for information to become knowledge, then, community members need to discuss the problem and information, identify gaps in their understanding, communicate what they've learned to people outside their community, and, ultimately propose hypotheses about how the identified problem could be solved. In this way,

members not only arrive at a better understanding of the problem, they begin to take ownership for solving the problem. This willingness to own the problem and its solution stands in stark contrast to the predictable failure of teachers to take individual or collective responsibility under a linear model because the problem and a “research-based” solution has been identified for them.

In general, the process of identifying a problem, collecting data and research, culling information, and generating knowledge serves at least two important purposes (Wenger, McDermott, and Snyder, 2002). First, it helps the school improve by identifying barriers to student success and proposing solutions that have wide-scale buy-in. Second, the process helps practitioners improve by facilitating a process that helps them become reflective about their practice, strategic in their actions, and accountable for their results.

Develop Policies, Programs, and Practices

Once members of the community of knowledge have generated hypotheses for how to solve the identified problem, they will develop or select a policy, program, or practice that they believe will address the problem most effectively. For example, a community of knowledge in a middle school might hypothesize that explicitly teaching reading comprehension strategies during math class will help improve students’ ability to solve word problems. The group would then develop instructional strategies or identify those used in another school for math teachers to teach reading comprehension in a way that helps their students solve word problems more effectively.

The community of knowledge, with support from the school leadership, would then ask a sample of teachers to implement the instructional strategies, allowing other teachers and administrators to observe and evaluate. Based on the observations and feedback from participating teachers and school leadership, the new instructional strategies will likely be revised somewhat and tried again in the sample of classrooms.

Effectively using knowledge to inform policy or a practice such as teaching reading comprehension during math class necessarily requires adaptation of research or professional wisdom to address contextual factors at the site level (Hargreaves, 1998). Indeed, a key concept that emerges from the research on the implementation of education reforms is that practitioners change reforms as much as the reforms are trying to change the practitioners (Cuban, 1998) and that adaptation occurs even when knowledge-based practices or policies are highly specified (Datnow and Stringfield, 2000). Although adaptation is necessary for any intervention or reform to be successful (McLaughlin, 1987), however, the act of adapting can undermine the very effectiveness of a practice, program, or policy. Therefore, practitioners and policymakers must take great care and, ideally, receive technical support and evaluate their progress when adapting research, policy, program, or practice for implementation in their own setting.

Implement and Sustain the Policy, Program, or Practice

Once the policy, program, or practice has been revised and retested, the community of knowledge, with support from the school leadership, will implement it across the entire school. At this point, members of the community of knowledge, perhaps with support from external technical assistance providers, will serve as trainers for all those who must take responsibility for implementation.

Evaluate and Research

In addition to serving as trainers and technical assistance providers, members of the community will also take the lead in evaluating the implementation and impact of the new policy, program, or practice. This role may occur on two levels. First, it should be done to ensure that the problem as identified in the school is being addressed effectively. Ongoing evaluation will allow members to provide feedback to educators implementing the new policy, program, or practice and to make adjustments as necessary.

Second, members should determine whether their experiences would be of interest to other educators. It is at this point that the community of knowledge distinguishes itself from a community of practice. A community of knowledge may decide that it can contribute to the literature base on a given topic, thereby helping educators in schools across the country address similar problems more effectively. If so, members of the community of knowledge may choose to work with external researchers to help with the evaluation, documentation, and dissemination processes.

Interactions Between the Site and the System

To this point in the paper, the examples of generating and applying knowledge have focused on the school level. Districts, states, the federal government, and funders (foundations and corporations), however, are also expected to develop and nurture their own communities of knowledge that would engage in the same process as educators at the school level, although working on different types of problems and implementing different types of policies, programs, and practices to address those problems.

In addition to identifying and addressing problems of importance to students and their schools, it is the role of districts, state and federal governments, and funders to help to identify and disseminate practices and programs found effective by one school to other sites, fund high-quality research and duplication research, create incentives for teachers to learn about and apply existing research, create incentive for researchers to work closely with schools and districts, and lead by example by using data and information systematically to generate knowledge and make decisions based on that knowledge.

Most importantly, the policy level should help to foster the conditions that enable the site level to create and nurture communities of knowledge. For example, districts should help schools create schedules that allow teachers to collaborate, hire and train coaches who provide research based professional development, use information generated by one school to provide assistance to other schools, and help schools to evaluate the effectiveness of major programs and practices.

Role of External Intermediaries

For the purpose of the dynamic model of knowledge utilization, external intermediaries can help the site and policy levels with both the “input” and “output” functions of communities of knowledge. First, professional researchers could provide “input” assistance to both the site and

policy levels by providing data and information about the strategies of schools, districts, and states from across the country and the effectiveness of the strategies. In addition, technical assistance providers could provide input assistance by helping to facilitate, without directing, the community of knowledge process. Such assistance might be to work with organization (school, district or state or federal government) to create the communities of practice, develop their processes, offer advice about managing them, and help to gather and analyze information and data.

Another important potential role for the technical assistance provider is to support the implementation of policies, programs, and practices developed or identified by a community of knowledge. Perhaps the most consistent and ubiquitous finding in the literature on knowledge use and application is the importance of practitioners having frequent and direct contact with a respected and knowledgeable support person (National Center for the Dissemination of Disability Research, 1996). To use knowledge to improve educational practice and student outcomes, then, schools and districts might decide to hire instructional coaches or an individual responsible for facilitating the school or district change process.

External intermediaries in general and researchers in particular, can also help the site and policy levels with the “output” functions of communities of knowledge. As discussed, one of the main distinctions between a community of knowledge and community of practice is the responsibility held by the community of knowledge to not only evaluate the implementation and impact of their policies, programs, and practices as communities of practice must do, but to do so in a way that potentially builds the capacity of other communities across the world. To do so, communities of knowledge must publish and disseminate significant findings and lessons learned tasks to which most schools, districts, and state and federal agencies are not accustomed.

To help communities of knowledge fulfill this important responsibility, researchers must change the way they do business. Specifically, researchers need to stop the practice of tearing down research for its own sake and focus instead on helping practitioners and policymakers evaluate the effectiveness of their policies, programs, and practices; determine whether existing research findings are replicable; and work closely with practitioners and policymakers to ensure that research conducted is practical and important.

Conclusion

The idea of communities of knowledge and the dynamic model of knowledge utilization are far from new. Schools and districts across the county effectively apply the principles outlined in this paper everyday. And some school reform models, including the Accelerated Schools model (which has been used in over 1,500 schools), are based on the principles. Moreover, many of the active elements of a dynamic model exist but they are not systematically connected in terms of infrastructure.

That is not to say, however, that implementing the dynamic model of knowledge utilization on a wide scale will be easy. Indeed, there are several barriers that must be overcome including but not limited to the following:

- Many school schedules are not structured to give practitioners time during the day to participate in communities of knowledge.

- Sites often have limited control over their own resources, preventing them from implementing solutions to identified problems, and teacher contracts often limit the hours that teachers can be available to participate in community of knowledge activities.
- Many stakeholders expect immediate results, and communities of knowledge are structured to be deliberate.
- There are a limited number of policies, programs, and practices determined effective by high-quality research.
- Practitioners and policymakers may lack the capacity to use data and research to make decisions and to evaluate the policies, programs, and practices they put in place.
- Many educators do not trust or believe in the validity of their data, sometimes with good reason.
- Schools, districts, and state and federal government agencies lack the leadership necessary to develop and sustain communities of knowledge.
- Data systems are frequently incomplete and not integrated.

These barriers, although significant, can and must be overcome if schools, districts, states, the federal government, and funders are to generate and apply knowledge in a way that will have a significant and long-term impact on student achievement. Programs that train our future teachers and administrators must do a much better job of teaching practitioners to collect, analyze, and apply data, information, and research. Districts and state and federal governments must help schools by serving as community-of-knowledge models and giving practitioners training and resources to implement the dynamic model of knowledge utilization effectively. Funders should provide incentives to encourage schools, policymakers, researchers, and technical assistance providers to act in a way that is consistent with the model. Leaders at all levels in the education system must help to create and nurture communities and practice. Indeed, the main job of managers in the knowledge-creating organization is to orient chaos toward purposeful knowledge creation (Nonaka, 1998).

Above all, what is needed is a change of culture among education systems. Such a culture would value all forms of knowledge—not only that measured by an achievement test or summarized in a peer-reviewed journal—and recognize the importance of creating and applying that knowledge in a collaborative, systematic way. Only then can this country expect to realize fully the vast potential of all its students.

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Suggested Next Steps from NEKIA Staff

We believe that the discussion paper serves as a valuable preliminary step for a much deeper and longer term process of discussion and exploration regarding our vision of knowledge utilization. And we firmly believe that now is the time to take an ambitious and transformative step forward in a number of different ways. Here are our suggested next steps:

Immediate step without additional funding --- While there are a number of activities that we can undertake over the next six months, much of what we eventually do should be a function of our consensus vision. Thus, we propose to move forward in the following way:

- “Consensus” Position Paper --- Establish a short term NEKIA Task Force to continue work with our consultants in building upon the ideas in the discussion paper, articulating our position and developing a position paper for publication/dissemination. (Goal 1)

On-going and longer term developmental steps not necessitating major funding (at least for now) --- As we move forward with the immediate task we should also be positioning NEKIA to take advantage of opportunities in terms of public engagement, legislation and collaboration when conditions are favorable.

- Forums --- Continue to plan and implement a series of policy forums on specific reform topics within a knowledge utilization framework (similar to our forums with PPI and NAS) through at least 2006. (Goals 2, 3, 4)
- Promotion and Sharing --- Revise NEKIA’s mission and values statements to more fully emphasize KU as a central organizing concept for our work and redesign promotional materials and web site accordingly. (Goal 3) Establish a sharing mechanism for NEKIA members’ knowledge utilization activities through an overhauled NEKIA web site.
- Organization --- Change the name of our non-profit entity to the Knowledge Utilization Institute within NEKIA as a think tank through which to generate funding and conduct knowledge utilization activities such as the policy forums (Goal 2, 3)
- Legislation --- Draft new legislation for knowledge utilization with full involvement of Congress and Department of Education. (Goals 1-4)
- Collaboration --- Explore specific collaborative activities with Strategic Education Research Program, Council of Chief State School Officers American Education Research Association, National Academies, and the Institute for Knowledge Management in Education, the National Science Foundation, and the US Department of Education. Develop specific proposals for collaboration for Board approval (Goal 4)

Three year initiative contingent upon major funding --- We suggest that the trade association launch a long term comprehensive Knowledge Utilization Research and Development program and fund it through grants from philanthropic sources and/or federal programs. We envision an effort to further develop and pilot test a vision of knowledge utilization. The precise elements of the program should be a function of our consensus vision (should we establish one) and be adapted to funding requirements.

****Appendix to the Discussion Paper****

Principles from the Visioning Process

As you will recall, our visioning process was composed of four sequential components including a preliminary review of the research literature on the knowledge use in education and other fields and three visioning group discussions held in November and December of 2004 and March of 2005.

Definition and Questions

The working definition and key questions addressed during the visioning process were:

Knowledge utilization refers to the systematic application of professional wisdom and findings of high-quality research to improve educational outcomes for students. It involves dynamic and structured interactions among key stakeholders, including researchers, developers, disseminators, technical assistance providers, practitioners, and policymakers.

- How should knowledge utilization be defined?
- What is knowledge?
- How do reforms move into the classroom?
- What is the most effective way of promoting reforms?
- What should knowledge utilization in education look like at the federal, state, and local levels?
- How can NEKIA and similar organizations advance knowledge utilization in education?

Twelve Principles

Twelve principles emerged from NEKIA's visioning process. We believe these principles serve not only as key statements regarding knowledge utilization, but they also provide guidance for the design of a more effective education knowledge utilization system. These 12 principles speak to four major areas:

- Defining and describing education knowledge utilization.
- Designing a knowledge utilization system in education.
- Preparing and organizing educators to utilize education knowledge.
- Implementing federal and state policies to support knowledge utilization.

Defining and describing education knowledge utilization...

Principle 1: Education knowledge can be legitimately developed in many ways. Education knowledge is an integration of research and professional wisdom derived from experience. Professional wisdom is perhaps the most widely used form of knowledge in education today. Nonetheless, although the quality of all forms of knowledge development in education must improve (Vaughn and Damann, 2001), there is a hierarchy of preferred ways for developing knowledge, with scientifically based research at the top of the hierarchy. Moreover, although professional wisdom and intuition are valuable, even necessary, forms of knowledge development, they frequently prove misleading.

Principle 2: Education knowledge utilization is dynamic and *transformational* – not linear and translational. Too frequently, knowledge utilization is thought of as a linear process in which research is “translated” into practices, policies, and programs intended to increase student achievement. However, effectively using knowledge to inform practice and policy necessarily requires adaptation of research or professional wisdom to address contextual factors (Hargreaves, 1998). Indeed, a key concept that emerges from the research on the implementation of education reforms is that practitioners change reforms as much as the reforms are trying to change the practitioners (Cuban, 1998) and that adaptation occurs even when knowledge-based practices or policies are highly specified (Datnow and Stringfield, 2000). Although adaptation is necessary for any intervention or reform to be successful (McLaughlin, 1987), the act of adapting changes the practice, program, or policy, and leads to further study and research.

Principle 3: The topic of knowledge utilization is broad and complex, and better ways of defining and describing it must be developed. Even experts have a difficult time discussing the topic of knowledge utilization without disagreeing about the use of terms and their meaning (Nutley, Walter, and Davies, 2002). Moreover, underlying many discussions about knowledge use are a variety of conceptual frameworks – some made explicit, others not – for how knowledge is developed and applied. For all these reasons and perhaps more, experts have a difficult time proposing specific recommendations for the improved use of knowledge to inform practice and policy in education.

Designing a knowledge utilization system in education...

Principle 4: A more effective knowledge utilization system can be leveraged from our existing education research and technical assistance infrastructure. Our nation now has a vast but highly decentralized infrastructure that provides education research, teacher preparation, teacher certification, licensure, professional development, dissemination, technical assistance, and policy development. This infrastructure can be leveraged and harnessed in order to create a new knowledge utilization system. The infrastructure has multiple entry points and players including the Regional Education Laboratories, the National Research and Development Centers, the regional technical assistance centers, for-profit developers, unions, professional organizations, trade associations, local and regional education service agencies, universities, and others. All have important roles to play in designing and implementing a new system.

Principle 5: A new knowledge utilization system must have “sub-systems” for different levels: classroom, school, district, state, and federal. The needs and demands of classroom practitioners are different from those of principals and policy makers. No single “system” will meet all needs; therefore, “sub-systems” are needed. However, each “sub-system” must be aligned with state standards and connected to the other sub-systems.

Principle 6: An effective knowledge utilization system requires an education research community oriented toward replication, clinical practice, and consensus. In recent years, the education research community has become a fractured “argument culture” in which many researchers debate and dispute findings. While researchers must maintain their independence, there should be some consensus on how best to develop and replicate research that can be effectively utilized to advance learning and boost student achievement.

Principle 7: Knowledge use in medicine may provide a model for practitioners and policymakers in education. Knowledge use in medicine, however, is not as widespread a trend as one might expect or hope (Sackett et al., 1997; Institute of Medicine, 2001), especially in pediatrics. Furthermore, education is unlike medicine in many ways—including the relative number of dollars spent on research and professional development infrastructure (e.g., grand rounds in medicine) – raising the question of whether medicine is the best model for knowledge use in education (National Research Council, 2005). Nonetheless, it is clear that medicine offers 40 years of experience in conducting and applying scientifically based research. Two questions, then, emerge from the comparison of knowledge use in medicine and education: (a) How can we adapt the knowledge use model in medicine to be helpful in education? (b) Is there a model from a field other than medicine that is more applicable to education?

Preparing and organizing educators to utilize education knowledge...

Principle 8: The application of knowledge to increase student achievement will only be successful if practitioners have the ability to interpret the findings from research and adapt them in a way that makes sense in their own contexts. Yet many, if not most, teachers have limited training in research methodology and statistics and other analytic techniques, preventing them from effectively adapting research to improve their practice. Therefore, for knowledge utilization to take place in any meaningful way in education, the preparation of teachers must include a focus on understanding and use of research to shape practice. At the same time, the preparation of education researchers must be made more consistently rigorous and focused to ensure that their work adequately informs practice (Corcoran, 2003).

Principle 9: Teachers and school administrators can be organized as evidence-based “communities of knowledge” to facilitate the development and application of education knowledge. We know that new knowledge regarding the efficacy of an intervention is more likely to stimulate change in practice if the practitioners are actively involved in the development and application of that knowledge (Wenger, McDermott, and Snyder, 2002). Communities of knowledge can work strategically to identify obstacles to higher student achievement in their school, identify research-based strategies for addressing those obstacles, implement the strategies, and then evaluate their effectiveness (Levin, 1998).

Principle 10: For knowledge to inform educational practice systemically, an intermediary between researchers and practitioners is needed to facilitate the change process. Perhaps the most consistent and ubiquitous finding in the literature on knowledge use is the importance of the practitioner having frequent and direct contact with a respected and knowledgeable support person (National Center for the Dissemination of Disability Research, 1996). The intermediary could translate research findings into practical applications for practitioners, facilitate interactions between researchers and practitioners, and guide the implementation of practices based on knowledge. The intermediary could be an outside organization or perhaps a newly created role – “chief knowledge officer” – at the school or district level who understands research, can translate the research in a way that is practical for educators, and has the respect of teachers and principals.

Implementing federal and state policies to support knowledge utilization...

Principle 11: More incentives are needed to help stimulate demand among teachers and administrators for education knowledge. (Helmsley-Brown and Sharp, 2003). Increasing the use of knowledge to improve policy and practice may require a deeper cultural change than that created through accountability mechanisms at the state and federal levels. (Louis, 1996; Hood, 2003, Goertz and Massell, 2005).

Principle 12: Changes in policy and practice in education are triggered in many different ways including through mandates, incentives, and training. Most policy makers believe that proper “sticks” and “carrots” will encourage schools to become better consumers of research results and thus better able to increase student achievement, but the political and social nature of knowledge development and use suggest otherwise (Louis, 1996). The concept of improving policy and practice through knowledge use suggests a knowledge-based theory of change that deserves more thought and research (Hood, 2003).

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Status Reports

- **Government Relations**
- **Work Plan**
- **Business Development**

FOR BOARD REVIEW

To: Board of Directors
From: Marcia Knutson
Subject: Government Relations Report
Date: April 4, 2005

The political environment in Washington is tense. The differences between the political parties seem to get wider every day. House Republicans are enjoying the 10th year of controlling that body. Both House and Senate Republicans picked up seats in November. The Democrats are struggling to find their direction. The Senate is operating in a more collegial fashion than the very polarized House. As a result, predictions as to the final outcomes this year are hard to make. Predictions aside, our advocacy efforts are where they should be at this point in time. We are meeting and conversing with staff—both Congressional and at the Department—to convey our messages and gather information. The feedback on our appropriations requests and our conversations about the competitions has been neutral at worst, and optimistic at best.

The first big fiscal event of the year was the release of the President's budget request to Congress in February. We had mixed emotions about this very lean budget. It proposed to eliminate funding for the Labs—along with 46 other education programs (including Comprehensive School Reform (CSR)). The budget did, however, include the full consolidation funding level for the Comprehensive Centers (CCs). i.e., the sum of all the programs that will be consolidated in the new CCs. The budget also requested level funding for the Research Development and Dissemination (RD&D) account. We sent a letter to all members of Congress under Jim's signature expressing disappointment in the zero funding for the Labs, while positively acknowledging the CC and RD&D requests.

As a result of the very dim budget outlook for FY2006, the NEKIA appropriations requests were modified and reconfigured into "A" List, "B" List and "Watch List." We will actively advocate for the A and B List programs and monitor Watch list programs. The Government Relations plan includes three "A" list programs: the Regional Labs, the Comprehensive Centers and the RD&D account that includes funding for the R&D centers. The lone "B" list program is Comprehensive School Reform. We will advocate funding for CSR, but not to the intensity as our "A" list priorities.

Our appropriations Watch List programs include: Math/Science Partnership, 21st Century Community Learning Communities [After School], Title I, Even Start, Reading First (State grants), Striving Readers, State Grants for Innovative Programs (SIP), Statewide Data Systems, and Parental Information and Resource Centers. The authorizations are: Higher Education Act, Carl D. Perkins Vocational and Technical Education Act (Perkins), and the E-Rate.

We are now in the midst of the big push for FY06 appropriations. Appropriators will start to draft their FY06 bills soon. This year will be especially difficult as there simply is not enough money to go around. Our Legislative and Policy Institute in March brought our Policy Action Group to Washington to go to Capitol Hill and ask Congress to fund our programs. NEKIA compiled materials to help our members in their hill efforts. A package of information was forwarded to the Policy Action Group (and copied to the Board.) The package includes a variety of sample materials

for you and the PAG to customize for your own Members of Congress. You are encouraged to continue contacting each of your hill offices in support of our FY 06 requests. These efforts will be on going throughout the spring.

We received generally positive comments on the content of our Institute, with good suggestions to improve it. We received lower marks on the logistics and overall focus. With changes in Hill dynamics and our own calendar, we need to re-assess the goals and interests of this gathering. We have talked to some of the veteran PAG members as to how we might improve and we will continue to review and act upon suggestions in the coming weeks.

NEKIA members whose Members of Congress are on key committees have been contacted to urge a vigorous follow-up. Our intent is to get as many MCs as possible—especially those on the Labor HHS Education (LHHS) Appropriations Subcommittee—to include our programs on their request letters to the LHHS chairmen. The subcommittee chairs examine these member requests carefully when determining funding levels.

Since we are requesting very modest increases this year, our case to the hill focuses on the importance of the federal investment in education research in achieving the goals of No Child Left Behind. We are also continuing to remind congress of the very modest support it (education research) has received over the years. The key components of a vigorous federal education research, development, dissemination and technical assistance agenda are the Regional Labs, the CCs and the R&D centers.

The elimination of the labs in the budget and the fact that contracts expire in December was, and is, of great concern. However, it now appears that the Department will be issuing the RFP for the Labs soon (contingent upon funding.) We have also had relatively positive feedback from the hill on including Lab funding in the FY 06 appropriations bills. That does not mean that we can sit back and relax. We will continue to actively press Congress and especially the Labor HHS and Education appropriations subcommittees for funding our programs.

NEKIA staff has been closely monitoring the processes of the Lab's and Comprehensive Center's competitions this year. We attended the Regional Advisory Committee organizational meeting in December and have been in regular contact with officials at the Department of Education relative to the competitions.

Preserving math/science funding at NSF continues to be an issue. There was no funding for new awards in last year's appropriations bills and this year's budget once again only includes funding for continuation grants. The administration wants to shift these funds to the Department of Education. We want to maintain this program at NSF as well as a healthy Education and Human Resources (EHR) directorate. We will continue to monitor the math/science issue a bit more vigorously than our other Watch list programs, but we do not want to detract from our primary issues.

As in previous years, we will be submitting written testimony to the House and Senate Labor, Health and Human Services, Education and Related Agencies Appropriations Subcommittee. Our request to present oral testimony in the House, as we did in 2002 and 2004, did not make it through

the public witness lottery. (The Senate does not have public witnesses.). While disappointing, this will have no significant impact on our advocacy strategy.

In the past, Senators Mike Enzi (R-WY) and Jack Reed (D-RI) have initiated a joint letter (signed by many other senators) that was forwarded to the Senate LHHS subcommittee in support of lab funding. Since he was elevated to Chairman of the education authorizing committee this year, Senator Enzi has been reluctant to cosponsor that letter. We have been working with some of the labs to secure another Republican senator to cosponsor.

As the Board approved in our government relations plan, NEKIA will not be taking the lead on any authorization bills at this time. Although we were very satisfied with the progress made on the Knowledge Utilization bill in the last Congress, we decided to reexamine the concept through a visioning process. The report from three visioning sessions will be a major agenda item at this board meeting. Our future legislative strategy will be developed as the next phase of our on-going Knowledge Utilization effort and will be strategically positioned in line with our other priority activities in government relations.

The Higher Education Act (HEA) will be a major reauthorization for the 109th Congress. NEKIA will monitor the section on teacher training (Title II) for possible inclusion of some of the teacher components of our Knowledge Utilization visioning report. We will also be alert to any legislation relating to the President's High School initiative.

The 2005 Government Relations Plan follows for your review and reference.

We will have a more detailed discussion at the Board Meeting, including NEKIA member's participation in advocacy efforts.

NEKIA Government Relations Plan – 2005

Revised Draft Plan

As the 2005 NEKIA work plan indicates, our government relations (GR) program continues to be the top priority area of NEKIA's work. This document will serve as a framework to guide our work during the course of the year, with obvious caveats that the election and organization of the new Congress will undoubtedly have some effect on our agenda.

Issue Areas

Similar to last year, we will focus our efforts on three issue areas:

- *Appropriations*—securing funding for designated programs for government fiscal year 2006
- *Implementation*—monitoring and participating in the process of implementing rules and regulations pertaining to the competitions of the Regional Education Labs, the new Comprehensive Centers and the R&D Centers, as well as further rule makings relating to the No Child Left Behind Act and the Education Sciences Reform Act of 2004
- *Authorizations*—establishing a Knowledge Utilization office and leadership position within the Department of Education through the introduction (and eventual enactment) of the Knowledge Utilization Act; creating or redesigning federal programs in the Higher Education Act, VocEd (Perkins.), and other legislation that may be introduced that is of interest to NEKIA members (for example, Senator Coleman's, COMPETE Act.)

Priority Categories

You will see below that within these three broad categories, we have prioritized the specific issues as follows:

- *“A” List* --- Issues of greatest importance to the most members. Staff and affected members will devote the most effort, attention and political capital. Specific activities will include extensive personal Congressional visits, on-going targeted Congressional correspondence, grassroots advocacy support among members and key customers, direct monitoring of Administration and Congressional activities.
- *“B” List* --- Issues of high interest and relevance to most members. Staff and relevant members will devote significant effort and attention. Specific efforts will include personal Congressional visits and letter writing, coalition- work (sign on letters, group position statements, interest group meetings), monitoring of Congressional activities in conjunction with other interested organizations.
- *Watch List* --- Issues of broad interest to some members and/or the trade association. Staff will devote limited time and effort in conjunction with other organizations. The specific activities be primarily reactive and include group sign-on letters, position statements and meetings. NEKIA will monitor these issues through coalitions if circumstances warrant.

Issues and Positions, “A” List

“A” List --- Issues of greatest importance to the most members. Staff and affected members will devote the most effort, attention and political capital. Specific activities will include extensive

personal Congressional visits, on-going targeted Congressional correspondence, grassroots advocacy support among members and key customers, direct monitoring of Administration and Congressional activities.

Appropriations (federal government fiscal year 2006)

Regional Education Laboratories (Line item under Research and Statistics account, IES)

HR 5006:	\$66.7 M
S 2610	\$66.7
HR 4818-FY05- final:	\$66.131 M

President's Budget: zero

NEKIA FY 06 Request: \$88.7 M
Increase: \$22 M (33%)

Comprehensive Centers (School Improvement Programs-SIP)

HR 5006:	\$57.2 M for all programs to be consolidated:
S. 2610:	\$57.2 M consolidated
HR 4818-FY05- final:	\$56.824 M

President's Budget: \$56 M

NEKIA FY 06 Request: \$76.6 M
Increase: \$19 M (33%)

Research Development and Dissemination - Including R&D centers (IES)

FY 04 final:	\$165.5 M
HR 5006:	\$165.5 M
S. 2610:	\$165.5 M
HR 4818-FY05- final:	\$164.193 (including favorable language on R&D centers)

President's Budget: \$165 m

NEKIA FY 06 Position: TBA.

Authorizations

The Knowledge Utilization in Education Act of 2005: To be modified from the 2004 version that was introduced in the House in order to obtain stronger bipartisan support. We will seek additional supporters and a Senate champion as well as more Republican support in the House. Target date for introduction is spring 2005.

High School Reform Initiative: The President has outlined an aggressive package for High School Reform. NEKIA will monitor hill activities on this in case there are proposals that may be of primary interest to NEKIA members.

Implementation

Competitions: Our primary implementation focus will be on the competitions for the Regional Education Labs, the reorganized Comprehensive Centers, and the R&D centers, including:

- RFP Content and Regional Advisory Committees evaluations and recommendations for Labs and CC's
- Funding for the R&D centers per FY05 report language
- Peer review panels

ESRA issues: We will also focus attention on the implementation of key provisions in ESRA including:

- Guidance and regulations for scientifically based research
- What Works Clearinghouse development
- Contracting "intelligence" for relevant programs
- Development of president's annual budget request
- IES Priorities Plan and IES Board activities

Issues and Positions, "B" List

"B" List --- Issues of high interest and relevance to most members. Staff and relevant members will devote significant effort and attention. Specific efforts will include personal Congressional visits and letter writing, coalition- work (sign on letters, group position statements, interest group meetings), monitoring of Congressional activities in conjunction with other interested organizations.

Appropriations (federal government FY 06)

Comprehensive School Reform (Office of Elementary and Secondary Education – OESE)

FY 04 Final:	\$307.9 M (\$233.473 M in ESEA, \$74.5 in Innovation/Improvement
HR 5006:	\$80 M but encourages schools to use 4% of school improvement funds (approx. \$520 M) in FY 05 to support successful CSR models.
S. 2610:	\$233.6 M
HR 4818-FY05- final:	\$205.344 M

President's Budget: zero

NEKIA FY 06 Position: TBA

Watch List

Watch List --- Issues of broad interest to some members and/or the trade association. Staff will devote limited time and effort in conjunction with other organizations. The specific activities be

primarily reactive and include group sign-on letters, position statements and meetings. NEKIA will monitor these issues through coalitions if circumstances warrant.

Math/Science Partnership (School Improvement Programs-SIP)

FY 04 Final: \$149 M
HR 5006: \$269.1 M (includes \$120M formerly funded through NSF)
S. 2610: \$200 M
HR 4818-FY05- final: \$178.56 M
(additional \$79 M at NSF for continuation grants only)

President's Budget: \$269 M

NEKIA FY 06 Position: TBA based upon coalition action and the President's budget request.

21st Century Community Learning Communities [After School]-(SIP)

FY 04 Final: \$999 M
HR 5006: \$999 M
S. 2610: \$1,007 B
HR 4818-FY05- final: \$991.077 M

President's Budget: \$991 M

NEKIA FY 06 Position: TBA based upon After School Alliance action and the President's budget request

Title I (OESE)

FY 04 Final: \$12.3 B
HR 5006: \$13.3 B
S. 2610: \$13.557 B
HR 4818-FY05- final: \$12.739 B

President's Budget: \$13.34 B

NEKIA FY 06 Position: TBA based upon El/Sec coalition action and the President's budget request

Even Start (OESE)

FY 04 Final: \$246.9 M
HR 5006: \$226.9 M (Floor amendment shifted \$20 M to Title V)
S. 2610: zero
HR 4818-FY05- final: \$225.094 M

President's Budget: zero

NEKIA FY 06 Position: TBA based upon coalition action and the President's budget request.

Reading First (State grants)

FY 04 Final: \$1 B
HR 5006: \$1.125 B
S. 2610: \$1.062 B
HR 4818-FY05-final: \$1.041 B

President's Budget: \$1.042 B

NEKIA FY 06 Position: TBA based upon coalition action and the President's budget request.

Striving Readers (OESE)

FY 04 Final: (new in FY05)
HR 5006: \$100 M
S. 2610: \$25 M
HR 4818-FY05-final: \$24.8

President's Budget: \$200 M

NEKIA FY 06 Position: TBA based upon coalition action and the President's budget request.

State Grants for Innovative Programs (SIP)

FY 04 Final: \$296.5 M
HR 5006: \$20 M
S. 2610 zero
HR 4818-FY05-final: \$198.4 M

President's Budget: \$100 M

NEKIA FY 06 Position: TBA based upon coalition action and the President's budget request.

Statewide Data Systems (IES)

FY 04 Final: New program in FY 05
HR 5006: \$30 M
S. 2610 \$40 M
HR 4818-FY05-final: \$24.8 M

President's Budget: \$25 M

NEKIA FY 06 Position: TBA based upon coalition action and the President's budget request.

Parental Information and Resource Centers (Office of Innovation and Improvement-OII)

FY 04 Final: \$41.9 M

HR 5006: zero
S. 2610 \$41.9 M
HR 4818-FY05-final: \$41.8 M

President's Budget: zero

NEKIA FY 06 Position: TBA based upon coalition action and the President's budget request.

Authorizations

Higher Education Act Reauthorization:

- Status: Due for reauthorization in the 108th Congress, but was not completed.
- Position: Support the infusion of evidence-based, scientifically based research and other issues as the bill develops. Follow guidance of Higher Education associations.

Carl D. Perkins Vocational and Technical Education Act (Perkins):

- Status: Due for reauthorization in the 108th Congress, but was not completed
- Position: Follow guidance of the Association for Career and Technical Education and the State Directors of Vocational Education in formulating positions and support for their efforts in reauthorization. Include special attention to Adolescent Literacy component.

E-Rate:

- Status: EdLinc Coalition successful in obtaining one year exemption from Antideficiency Act that restricts the obligation and flow of funds to schools and libraries, but program needs permanent exemption.
- Position: Support EdLinc coalition efforts to introduce and enact permanent exemption.

Implementation

NCLB and ESRA issues

- OMB "PART" process; (evaluations [of labs] to be used in determining future Budget requests)
- Discretionary grant competitions schedule
- ED review of state plans
- Formula grant awards schedule
- ED staffing patterns and organizational developments
- ED strategic plan implementation activities
- ED sponsored meetings and conferences
- Political leadership appointments
- Allocation of funds with key program accounts including national activities for Technology, Safe and Drug Free Schools, and After School and other RD&D and evaluation funds

Strategies and Tactics

Overall Approach—We will use the same fundamental grass roots, constituent-driven strategy employed over the past several years. The approach involves an on-going process of intelligence gathering, information sharing, targeting and positioning, constituent outreach, and materials developments. As a relatively small trade association with a cadre of highly experienced government relations specialists in many member organizations, we collectively have a unique capability to adjust to a changing policy environment and activate a broad and diverse base of support from around the country.

Roles and Activities ---The overall approach depends upon a strong mutually supportive working relationship between NEKIA staff and the members' designated staff. Specifically, our respective roles will be as follows:

NEKIA Staff:

- *Positions*—Propose positions and priorities for approval by PAG and Executive Committee
- *Congressional monitoring and action*—Monitor and participate when appropriate in hill activities on issues of interest to NEKIA members, including but not limited to education appropriations and education authorization measures, (such as hearings and markups) and promote the NEKIA position through staff visits, position statements, sample materials, and hearing testimony
- *Executive Branch monitoring and action*—Monitor and participate in Departmental implementation issues relative to the No Child Left Behind Act (NCLB) and the Education Sciences Reform Act (ESRA)
- *Relationship building*—Establish and maintain close contact with appropriate hill staff and department personnel
- *Materials and activities*--Initiate activities with member organizations and professional colleagues, including letters, coalition letters, visits
- *Cultivation*—Identify and recruit cultivate champions
- *Assistance*—Assist member organizations in working with their own representatives
- *Coalitions*—Generate support of other education groups and interests in support of our positions
- *Coordination*—Coordinate efforts among NEKIA member organizations

NEKIA Member:

- *Targeting*—Identify key members of congress within district, state or region (with help from NEKIA staff)
- *Relationships*—Establish and maintain relationship with those offices; seek commitments for support of NEKIA priorities
- *Contacts*—Keep NEKIA staff informed of hill contacts
- *Materials and resources*—Develop materials for hill and administration targets that promote association's positions based on their own efforts and activities
- *Outreach*—Secure end user's support and advocacy for NEKIA positions and facilitate communications (letters, visits, phone calls) with Members of Congress.

- *New Member Outreach*—Initiate contact with all new Members of Congress within region, educate member on organization and issues with concentration on members of Education related committees

Targeting—Another key element of the strategy is identifying key Members of Congress and Administration officials who can help advance our positions on various issues. With the PAG the NEKIA staff will develop a master list of targets for nurturing or developing relationships. This master list will be completed in early February and refined throughout the year as conditions and relationships change.

Timing and Calendar—Because the Congressional calendar is so fluid, we need to be very attentive to the changing conditions and the best times to activate various elements of the overall strategy. We have developed a master calendar and have focused specific attention on intervals of 45-60 days. We will work with the PAG members on implementing and adjusting the calendar.

To: Board of Directors
From: Jim Kohlmoos
Subject: Status Report, FY 2005 Work Plan
Date: April 1, 2005

For your review and comment at our spring meeting, we have provided a brief progress report on each of our goals and activities in the chart below. During the Board meeting we will elaborate on our ratings and discuss potential changes in tactics. For your reference we have also included the full work plan in our reference materials under separate cover.

Approved Priorities for FY 2005

1. Public Policy: Promote increased investments, favorable policies, and proper implementation in high priority federal programs

Estimated Time and Resources:

FY 2004:	50%
FY 2005:	55%

2. Industry Leadership: Strengthen the position of NEKIA and its membership to lead and shape the knowledge industry in education.

Estimated Time and Resources:

FY 2004:	25%
FY 2005:	25%

3. Business Development: Enhance the capacity of NEKIA members to expand and diversify opportunities in education-related markets.

Estimated Time and Resources:

FY 2004:	15%
FY 2005:	10%

4. Organizational Development: Improve NEKIA's operating capacity for long term financial stability, growth and diversification.

Estimated Time and Resources:

FY 2004:	10%
FY 2005:	10%

Progress Ratings

- 5 – Fully Completed --- achieved above and beyond the original goal
- 4 – Partially Completed --- achieved 80- 100% of the goal
- 3 – Not yet completed --- making good progress
- 2 – Not yet completed --- making fair progress
- 1 – Not yet completed--- unsatisfactory progress
- 0 -- No action

	April	Sept	Nov
1.0 Public Policy			
<ul style="list-style-type: none"> • 1.1 Appropriations • 1.2 Implementations • 1.3 Knowledge Utilization • 1.4 Policy Action Group • 1.5 Reauthorizations 	<p>3 --- So far so good. See Marcia's report for more detailed analysis on our progress and the remaining challenges and uncertainties</p> <p>3 --- We have focused significantly on tracking the competitions process and organizational changes at ED</p> <p>0 --- We have delayed any legislative activity until after the visioning process is completed and the political climate becomes more settled in Congress</p> <p>2 + --- We have made good progress in working with individual members but we re-assessing how best to mobilize more group activity</p> <p>0 --- We have not yet been active in the upcoming reauthorizations for vocational education and higher education.</p>		
2.0 Industry Leadership			
<ul style="list-style-type: none"> • 2.1 Knowledge Utilization Visioning • 2.2 Communications • 2.3 Relationships 	<p>3 --- We have made good progress with this effort. See attached report</p> <p>2 --- We have maintained good visibility in the trade press (six mentions/quotes this year) and are making progress on the Communicators Institute.</p> <p>3 --- We continue to nurture develop relationships in our field with positive specific interactions with CCSSO, ELC, AERA, EIA, PPI, NAS, ASCD, CEF, OCRE, AEI, IEL, CEP, NASSP. NCTAF.</p>		
3.0 Business Development			
<ul style="list-style-type: none"> • 3.1 Knowledge Utilization Policy • 3.2 Niche Markets • 3.3 Business Development Group 	<p>0 same as 1.3</p> <p>2 --- We have explored additional potential opportunities in NSF, NIH, Homeland Security, Defense. We need to take a more aggressive approach</p> <p>2 --- We have convened the group for two teleconferences and will soon start planning for the November institute.</p>		
4.0 Organizational Development			
<ul style="list-style-type: none"> • 4.1 Membership Development • 4.2 Finances 	<p>3 --- Good progress with the addition of two new full members. We still have to add at least 4 new associate members to reach our year's goal</p> <p>1 --- We have taken modest steps in exploring new revenue streams. More attention needs to</p>		

- 4.3 Operations & Governance

be focused on this effort.

2 + --- Adequate progress in reviewing our accounting systems but will know more after the audit is completed. We are making good progress in shifting more operational work to the Ex Committee.

To: NEKIA Board of Directors
From: Jim Kohlmoos
Subject: Status Report, Business Development Plan
Date: April 1, 200

BACKGROUND

2005 marks the third year of the trade association's formalized business development program. In our first year we concentrated primarily on examining potential long term changes in the market and developing a framework for how NEKIA could help members respond. Last year, we initiated and tested a series of projects focusing on new market opportunities, capacity building, and new policy efforts through legislation. This year we are taking the next logical developmental step by establishing a more formal structure within the trade association, creating a stronger conceptual base for future policy initiatives, and examining a wider range of high priority and high interest topics.

In terms of business development, this is a very important year for individual members and for the trade association as a whole. The new round of grant and contract competitions will intensify the competitive dynamics within the industry. The k-12 market will continue to be significantly reshaped by federal policy and new budgetary realities at the state and local levels. NEKIA members will thus continue to encounter challenges to their core businesses and face the on-going need to expand and diversify revenue sources.

Recognizing that each member organization has its own capacity for business development, we at NEKIA can best provide support in this environment in supplemental ways. As you will see from the plan you approved below, our business development program in 2005 aims to take advantage of our core capacities while addressing the high need competitive interests of most all of our members.

GOAL AND OBJECTIVES FOR 2005

The third goal of the 2005 NEKIA Work Plan approved by the Board in November focused on our business development effort. We have used the goal and its objectives to frame our business development program for 2005.

Business Development: Enhance the capacity of NEKIA members to expand and diversify opportunities in education-related markets.

- Knowledge Utilization Policy --- Use federal legislation to enhance market conditions favorable to NEKIA members' interests.
- Niche markets — Help members penetrate and/or expand share in key markets.
- Structure --- Establish a new group and provide members with strategic intelligence and relationship building opportunities in high potential market niches

STATUS OF APPROVED ACTIVITIES FOR 2005

Business Development Group---Establish and convene Business Development Group involving at least one designated person from each member organization. Similar to the Policy Action Group, this new group will be able to participate in the activities listed below. Note to Board members: If you have not already done so on your 2005 Profile, please send the name and contact information for your designee(s).

APRIL STATUS---FOURTEEN OF OUR MEMBERS HAVE IDENTIFIED STAFF TO PARTICIPATE IN THIS GROUP. SO FAR THE GROUP HAS PARTICIPATED IN TWO MONTHLY CONFERENCE CALLS. PARTICIPATION HAS BEEN MODERATELY GOOD. WE ANTICIPATE MORE ACTIVE INVOLVEMENT AS WE BEGIN TO PLAN FOR THE NOVEMBER INSTITUTE.

AdHoc Advisory Groups --- Establish small ad hoc advisory groups composed of Board members and/or staff for specialized tasks such as institute planning, market analysis, policy development. We will form these groups as the need arises during the course of the year. Members may include Board members, Business Development Group members, and other staff from member organizations as appropriate. The advisory groups will report to the Executive Committee via the NEKIA staff.

APRIL STATUS --- WE HAVE NOT YET FORMED ANY AD HOC GROUPS

Monthly conference calls --- Conduct monthly business development conference calls for the Business Development Group involving guests on selected topics, presentations by agency officials and/or business development experts. The monthly conference calls are already scheduled into the 2005 NEKIA Calendar with the first call scheduled 4:00-5:00 pm Eastern, Monday January 24. Each call will have a set agenda featuring one of the topics (see #8) as well as some information sharing. We will experiment with new teleconferencing technologies to enhance the interactive qualities of the call.

APRIL STATUS --- WE HAVE CONVENED TWO TELECONFERENCES (HOMELAND SECURITY/ SDFS PROGRAMS AND MATO/MOBIS PROCESSES) WITH PARTICIPATION OF BETWEEN 10 AND 15 STAFF AND USING A NEW INTERACTIVE TECHNOLOGY. FEED BACK HAS BEEN GENERALLY POSITIVE. WE WILL CONTINUE THE MONTHLY CALLS AND ACTIVITIES THROUGH NOVEMBER.

Annual Institute --- Hold a two-day Business Development Institute with an agenda similar to this year's retreat. The annual institute (note the change in name from "retreat") is scheduled for mid-November in Washington DC. Topics to be covered will be selected from among the list in #8. We will form an ad hoc advisory group to help the NEKIA staff plan the institute agenda. We will use the feedback from the 2004 retreat to adjust the format.

APRIL STATUS --- WE WILL START THE PLANNING PROCESS IN JUNE

Weekly Newsletter --- Provide a weekly newsletter on business development by Dean Millot. Through a special arrangement with Dean Millot up to 100 designated staff from NEKIA member organizations will receive the weekly email newsletter through 2005. We will assess the value of the newsletter periodically during the course of the year and explore ways to help shape its editorial direction.

APRIL STATUS --- THE WEEKLY NEWSLETTER BEGAN DISTRIBUTION TO NEKIA MEMBERS IN JANUARY. OVER 80 STAFF FROM MEMBER ORGANIZATIONS RECEIVE THE NEWSLETTER. WE HAVE NOT YET SURVEYED MEMBERS ABOUT THE VALUE OR RELEVANCE OF THE NEWSLETTER. WE WILL PLAN TO DO A SURVEY IN OCTOBER.

Investor/For-Profit Collaborations --- Participate in for profit investor forums and industry conferences. The NEKIA staff and some Board members will continue to take part in the Eduventure activities and assess future collaborative opportunities for members.

APRIL STATUS---DUE TO SCHEDULE CONFLICTS WE DID NOT PARTICPATE IN THE WINTER EDUVENTURES SEMINAR. WE HAVE KEPT IN CLOSE TOUCH WITH THE EDUCATION INDUSTRY ASSOCIATION LEADERSHIP AND WILL BE PARTICIPATING IN THEIR ANNUAL CONNFERENCE.

Web Page Development --- Set up a Business Development web page on the NEKIA web site for sharing and archiving information. In the "members only" section of our web site we have created a page for sharing and archiving information throughout the year.

APRIL STATUS --- WE HAVE SET UP THE WEB PAGE. MEMBER USE HAS BEEN LIMITED.

Topics --- High interest/high priority content areas to address in monthly conference calls and/or institute. Based upon member feedback from last year's retreat and capacity. We propose to cover some of the following topics through either the conference calls or the retreats or the newsletters.

Niche Markets

- More explorations--- NIH, NASA, Labor, NSF, Philanthropies
- New efforts: Homeland Security, Defense, Commerce, Justice. EPA

Business process

- Core business---For profit conversions, entrepreneurship in non-profit settings, mission-driven and market-driven strategic development, scenario planning.

- Fee for service packaging --- Models covering indirect costs, balancing a portfolio, minimizing transaction costs, branding, and pricing
- Product/service development --- Aligning research and product/service development efforts, funding product development.
- Management and infrastructure --- structural models for integrating business development in organizations, staff development, proposal writing, incentives for entrepreneurship, portfolio development, contracting processes (MATO), market analysis and research, risk management.

APRIL STATUS --- WE HAVE REVISED THE LIST OF TOPICS AND TARGETS WHICH IS BEING USED TO PLAN THE MONTHLY TELECONFERENCES AND TARGET OUTREACH ACTIVITIES TO OTHER AGENCIES AND ENTITIES

Knowledge Utilization Legislation --- Re-introduce the Knowledge Utilization Act at an appropriate time. During the 109th Congress, we aim to introduce another piece of legislation focusing on knowledge utilization. The precise timing of this effort will be determined by interest and ideas generated through our Knowledge Utilization Initiative, bi-partisan, bi-cameral political support and interest, and interest in the field. This effort will go beyond the “message bill” strategy of last year and require serious and significant political effort aimed at passage.

APRIL STATUS --- WE HAVE HAD SEVERAL DISCUSSIONS WITH CONGRESSIONAL STAFF WITH MODERATE INTEREST. THIS EFFORT WILL REQUIRE MUCH GROUND WORK AT THE APPROPRIATE TIME IN THIS SESSION OF CONGRESS OR PERHAPS DELAYED UNTIL THE NEXT YEAR.

PIPELINE ACTIVITIES

During the course of the year, we will want to consider a number of important ideas and activities for which we do not currently have a clear plan. We will likely form advisory groups for some or all of the following:

- **Market Research** --- Explore feasibility of contracting with a market research firm and conducting an annual marketing analysis for members
- **Accreditation and Licensing** --- Explore again the feasibility of developing a licensing and/or accreditation service
- **Knowledge Utilization Initiative** --- Examine ways for using our Knowledge Utilization Initiative to enhance the market environment for members’ services and products.
- **NEKIA Synergy and Collaborative Opportunities** --- Use the capacity survey to more explicitly examine how NEKIA can help interested members more readily collaborate and how NEKIA as an organization can increase the visibility and the collective value of its members.

MINUTES, BOARD OF DIRECTORS

FOR BOARD DECISION

DRAFT MINUTES

NATIONAL EDUCATION KNOWLEDGE INDUSTRY ASSOCIATION BOARD OF DIRECTORS MEETING

**Arlington, VA
January 18, 2005**

The following Board members or their representatives were present: Nancy Ames, Tom Barlow, Chris Dwyer, Diny Golder-Dardis, Wes Hoover, Paul Kimmelman, Jim Kohlmoos, Laura Lefkowitz, Max McConkey, LaMar Miller, Henry Mothner, Marilyn Murphy, Doris Redfield, Bernice Stafford, Carol Thomas, and Ludy van Broekhuizen.

Also present: Ellin Nolan of Washington Partners, LLC; Jay Diskey of Diskey and Associates; Scott Joftus of Cross and Joftus, LLC.

Staff present: Marcia Knutson and John Waters

Overview of the Meeting

Chris Dwyer opened the meeting at 9:38 a.m. and briefly reviewed the agenda. Attendees introduced themselves for the benefit of the new members at the table.

NEKIA Operations

Tom Barlow moved to approve the November 17, 2004 draft minutes; Carol Thomas seconded. The minutes were approved unanimously. Tom moved to approve the December 13, 2004, draft conference call minutes; Nancy Ames seconded. The minutes were approved unanimously.

Jim reviewed the financial statements for 2004, and noted that NEKIA is in the process of changing auditors.

Jim briefly reviewed the 2005 work plan, noting that pending discussion of adjustments to the government relations plan would result in a more detailed review of the work plan.

Chris Dwyer reviewed the CEO appraisal process. The board met in executive session to review Jim's performance.

Government Relations

Ellin Nolan briefed the board on the atmosphere in Congress, emphasizing a general tone of crisis, and reviewed the committee make-up for both House and Senate appropriations and authorization

committees. Ellin also noted the education funding focus on reprogramming Perkins' money within the context of the budget crunch.

Jim and Marcia reviewed the proposed government relations plan, describing the adjustments proposed by the Executive Committee, including the revision of Tier I issues to include the middle/high school initiative as an emerging issue, perhaps identified as Tier I +.

The board discussed general appropriations strategy, and posed the following questions:

- Does NEKIA take a position on funding its member programs by identifying cuts elsewhere?
- Is the total request for increases appropriate?
- What does having a Tier II mean in a year like this? Should NEKIA realistically only focus on Tier I issues?
- Should CSR be a Tier I issue?

The board discussed these questions, focusing on the questions of placement of CSR within the overall government relations plan. Laura Lefkowitz moved that Tier I should only include the maintenance and/or increase in funding for the labs, comprehensive centers, and R&D centers; Tom seconded. After further discussion about the need to distinguish CSR, the motion passed, with Paul Kimmelman opposed and Bernice Stafford abstaining.

Max McConkey then moved that CSR be identified as a Tier II issue, and all other issues be identified as Tier III concerns; Doris Redfield seconded. The board further discussed this option, noting that the addition of another Tier dilutes all of the issues in the GR plan. The motion passed, with Paul and LaMar Miller opposed, and Henry Mothner abstaining.

After a brief recess, the board reconvened and continued discussion about the GR plan, posing the following questions:

- What is being fought for?
- Where is the knowledge utilization language in the plan?
- How does NEKIA coordinate government relations activity among its membership?

Jim and Marcia will be providing new definition of the Tiers and priorities of the GR plan, and will present the revised plan to the board for approval during the February conference call.

Knowledge Utilization Initiative

Jim, Jay Diskey, and Scott Joftus reviewed the December knowledge utilization visioning meeting, and presented the eight key points that were derived from that session. They also informed the board that the next steps would involve a literature review, and a second visioning session on March 3rd. The board discussed the findings, and in response to scheduling issues, suggested changing the date of the March session from the 3rd to the 9th.

Sector Group Issues

Chris briefed the board on the Executive Committee’s discussion earlier in the day of when to elevate a sector group issue to the full board for consideration, noting the difficulty of establishing a hard and fast rule. She indicated that this conversation would continue to occur periodically as the need arises.

Membership Development Strategy

Jim reviewed the Executive Committee’s formation of the membership development plan, noting NEKIA’s goal of being proactive in this area. The board discussed the short list of targets, and agreed to the following assignments for making contact with potential members:

Abt--- Carol, Chris, Nancy
AIR--- Jim
CAL--- Adie
CNA--- Diny, Doris
CSC--- Diny
ETS--- Nancy
NSDC--- Nancy, Wes, Marilyn
RTI--- Chris
SRI--- Doris
Standard & Poors---Jim
TERC---Nancy
UNC---Ludy
Vanderbilt--Doris
AED---Jim

Jim will send guidelines and instructions for making contact, along with organizational materials to share with potential members, to the contact designees, who will then follow up with Jim on their progress.

Business Development

Chris and Jim reviewed the 2005 preliminary business development plan, and the description of the business development group. The board discussed the ambitious nature of the plan, and offered the following suggestions as possible components of the plan:

- A weekly newsletter talking “out” or some sort of marketing program
- Earmarking money to promote some NEKIA member activities.
- Beginning a branding campaign with a broad focus, and that would include a message piece on the labs, comprehensive centers, and R&D Centers.

Jim will follow up with Tom Barlow to hone the topics list at the end of the business development plan, and will also work with Diny and Nancy to further discuss the board’s suggestions.

Announcements and Updates

- Max provided a quick history of NEKIA Communications and noted that a short options paper for its next steps would be presented to the board.
- Jim reviewed the 2005 policy forums to be co-hosted by NAS and PPI, and to focus on teacher quality, charter schools, and assessments/accountability.
- Jim reviewed the plans to hold the spring board meeting in Montreal and to host a knowledge utilization SIG session as part of the AERA Annual Meeting.
- Marcia reviewed plans for the 2005 NEKIA Legislative and Policy Institute, which will be held on March 7th and 8th.

The meeting was adjourned at 3:08 p.m.

DRAFT MINUTES

NATIONAL EDUCATION KNOWLEDGE INDUSTRY ASSOCIATION BOARD OF DIRECTORS MEETING

**By Conference Call
February 22, 2005**

The following Board members or their representatives were present on the call: Nancy Ames, Tom Barlow, Adie Becker, Gina Burkhardt, Chris Dwyer, Wes Hoover, Paul Kimmelman, Jim Kohlmoos, Laura Lefkowits, Max McConkey, Henry Mothner, Marilyn Murphy, Doris Redfield, and Ludy van Broekhuizen.

Staff Present: Marcia Knutson and John Waters

Overview of the Meeting

Jim Kohlmoos opened the meeting at 3:05 p.m. and briefly reviewed the agenda.

Approval of New Members

Jim introduced the American Institutes for Research and the Academy for Education Development as candidates for NEKIA membership. Max McConkey moved to approve AIR; Laura Lefkowits seconded. AIR was approved unanimously. Laura Lefkowits moved to approve AED; Tom Barlow seconded. AED was approved unanimously.

Change in Designated Board Member

Jim presented Tim Waters' motion to designate Laura Lefkowits as the board representative for McREL; Max seconded. The motion was approved unanimously.

Government Relations Plan

Chris Dwyer and Jim presented the revised government relations plan for approval, noting the changes from the previous version. Jim explained the rationale for slight increases in the accounts. The board discussed the revised plan, noting the political necessity of reducing the funding request. Max moved to approve the revised plan; Laura seconded. The plan was approved by a vote of 10-1, with Paul Kimmelman dissenting.

President's Budget

Jim and Marcia Knutson updated the board on the 2006 proposed budget, noting the expectation of minor adjustments in the budget committee's recommendation to appropriators. Jim also briefed the board on a meeting with an OMB employee who had expressed concern about the PART process.

Comprehensive Center Positioning

Jim reviewed the letter sent to Ray Simon after the meeting with the comprehensive center directors, and indicated he would be following up on it.

RAC Process and Competitions

Jim reviewed the announced dates for the process:

- March 10 and 11: RACs meet in Houston
- March 21: Reports due
- May 2: RFP release
- June 26 or 27: Closing date
- August 1: Announcement of winners

Quick Updates

Jim provided quick updates on the following items:

- Business Development: Jim and Tom Barlow have worked on some new topics. Bill Modzeleski will be the featured speaker for the March 28th conference call.
- Policy Forums: The next forum, in late June, will focus on charter schools
- KU Visioning Process: There will be another meeting on March 9th, and this will be an agenda item for the April board meeting.
- April board meeting: Make your arrangements as soon as possible. NEKIA will be sending out information regarding meeting location within the next two weeks.
- KUA/NEKIA Communications newsletter: information and discussion of next steps will take place at the April board meeting.
- Membership Development: NEKIA will continue its recruitment efforts.
- Audit Process: A draft of the audit report will be presented to the board at the April meeting.

The meeting was adjourned at 3:58 p.m.

DRAFT MINUTES

NATIONAL EDUCATION KNOWLEDGE INDUSTRY ASSOCIATION BOARD OF DIRECTORS MEETING

**By Conference Call
March 21, 2005**

The following Board members or their representatives were present on the call: Tom Barlow, Denise Borders, Gina Burkhardt, Chris Dwyer, Diny Golder-Dardis, Wes Hoover, Paul Kimmelman, Jim Kohlmoos, Laura Lefkowits, Max McConkey, Jay Moskowitz, Henry Mothner, Marilyn Murphy, Carol Thomas, and Ludy van Broekhuizen.

Staff Present: Marcia Knutson and John Waters

Overview of the Meeting

Chris Dwyer opened the meeting at 3:05 p.m. and briefly reviewed the agenda.

News

Marcia reviewed the passage of the budget resolutions in the House and Senate, noting the Kennedy amendment restoring education funding and the fact that appropriators could start work without a budget resolution, which could result in another continuing resolution.

Marcia and Jim Kohlmoos briefed the board on the status of R&D Center activity, noting that NEKIA is awaiting a response to its letter inquiring what the next stage of the process will be. NEKIA has also sent a letter to the Department noting the omission of IES in the Department's reorganization plan.

Jim and Marcia reviewed the latest information about the Lab and Comprehensive Center RFP's, stating that a recent rumor of their imminent release was unfounded. The release should occur, however, within the next month to allow sufficient time for the approval and review process.

Review of Activities

Jim and Marcia briefed the board about the March 8th NEKIA Legislative Institute, and indicated they are reviewing evaluation of the event with the intent of making changes to recognize the differences in government relations experience among NEKIA members.

Jim reviewed the February 28th Business Development conference call, and indicated that NEKIA is continuing to work on the exploration of opportunities in Homeland Security. Jim informed the board that the March conference call would focus on the MATO and MOBIS contracting schedules.

Jim briefed the board on the March 9th Knowledge Utilization visioning meeting and the subsequent work to create a graphical model concept paper. The paper will be presented to the board at the April meeting for consideration of ideas and preferences for moving the Knowledge Utilization process forward.

Discussion Items

Jim and Marcia briefed the board on the creation of the NSF “Watch List” in response to the administration’s proposal to cut \$100M from NSF. The board discussed the creation of this category within the 2005 government relations plan, expressing concern about the potential of such a new issue encroaching upon the plan’s approved priorities. Chris noted that the nature of NEKIA work on these issues would be examined by the Executive Committee.

Updates

Jim briefed the board on plans for upcoming events:

- The board will meet April 11th in Montreal, and NEKIA will host a roundtable discussion on April 12th as part of the AERA Annual Meeting.
- The next policy forum, co-hosted by NAS and PPI at the NAS auditorium, will take place on July 28th, and will focus on charter schools.
- The 2005 NEKIA Communicators Institute will take place June 2nd and 3rd in Washington, DC.
- The audit for 2004 is in its final stages, with a draft audit report to be presented to the board at the April meeting.

Jim also informed the board of changes in personnel at the White House and the Department.

The meeting was adjourned at 3:56 p.m.

MINUTES, EXECUTIVE COMMITTEE

FOR BOARD REVIEW

DRAFT MINUTES

NATIONAL EDUCATION KNOWLEDGE INDUSTRY ASSOCIATION EXECUTIVE COMMITTEE MEETING

**Arlington, VA
January 18, 2005**

The following Executive Committee members participated: Nancy Ames, Chris Dwyer, Jim Kohlmoos, and Carol Thomas.

Staff participating: Marcia Knutson and John Waters

Review of Board Meeting Agenda

Chris Dwyer opened the meeting at 8:14 a.m. Jim Kohlmoos reviewed the board meeting agenda, noting the discussion of modifications of the GR plan strategy and of the knowledge utilization strategies.

The committee discussed adjusting the opening statement and bullet for Tier I to include language advocating positions on the utilization of evidence and encouraging the release and use of department-sponsored research. The committee also discussed elevating the middle and high school initiative from Tier II. Jim suggested including it as part of Tier I (“Tier I +”) as an emerging issue. The committee agreed to present the GR plan to the board with the above changes included.

The committee discussed the business development activities, questioning whether the association was attempting to do too much this year. Jim reviewed the main components of the business development work (monthly conference calls with a guest speaker and the weekly newsletter), noting that the business development group is essentially an information-receiving group. The committee discussed having a small group hone the topics and discussion for the business development work; Jim proposed a 3-person task force to shape the business development agenda. The committee agreed to present the business development plan to the board with the above change included.

Jim briefed the committee on the Knowledge Utilization Initiative, describing the presentation that will be made to the board, and informed the committee that another visioning group meeting would take place in March to continue the development of a practical framework for knowledge utilization.

The committee discussed membership development prospects and outreach, while noting that contact strategy should be as close to the “ask” as possible. Jim will share the NEKIA brochure in PDF format with board members, who will be asked to commit to making contacts with specific membership targets.

Updates

Jim provided updates on the following items:

- His consulting work with Earth Force and the Knowledge Works Foundation.
- The ongoing preparations for policy forums to be co-hosted by the National Academies and the Progressive Policy Institute.
- Relationships with AESA, AEP, IES, and the EIA.

Chris updated the committee on the CEO appraisal and compensation process.

The meeting was adjourned at 9:04 a.m.

DRAFT MINUTES

NATIONAL EDUCATION KNOWLEDGE INDUSTRY ASSOCIATION EXECUTIVE COMMITTEE MEETING

**By Conference Call
February 14, 2005**

The following Executive Committee members participated: Nancy Ames, Chris Dwyer, Wes Hoover, Keith Kershner, Jim Kohlmoos, and Carol Thomas.

Staff participating: Marcia Knutson and John Waters

Overview of the Meeting

Chris Dwyer opened the meeting at 3:06 p.m. Jim Kohlmoos reviewed the agenda, and added a discussion item concerning a revision to the government relations plan.

Discussion Items

Jim and Marcia Knutson updated the committee on the president's budget and the status of the comprehensive centers and the labs. Marcia reported on the February IES board meeting.

Jim Kohlmoos briefed the committee on the proposed revision to the GR plan, which would alter the funding request from a 33% increase to level funding. Jim informed the committee that he and Marcia would discuss the issue with Ellin Nolan and report back to the committee.

Jim briefed the committee on NEKIA's letter to Ray Simon regarding the funding situation for the comprehensive centers. The committee discussed this positioning, emphasizing the need to refer to a break-in-service.

Jim briefed the committee on the recent development of "CEO-drift" related to the NEKIA board of directors. The committee discussed the pros/cons of this development. The committee also will recommend that the full board approve the change of McREL's designated board member from Tim Waters to Laura Lefkowitz.

Jim briefed the committee on the options scenarios for NEKIA Communications, which had been reviewed by the NEKIA Communications board, and noted that an option would be developed in response to an analysis of organizational needs.

Updates

Jim provided quick updates on the following items:

- Audit Process: A draft of the audit report will be presented to the board at the April meeting.
- The agenda for the February 22nd board conference call.
- Business Development: Bill Modzeleski will be the featured speaker for the March 28th conference call.
- Policy Forums: The next forum, in late June, will focus on charter schools
- KU Visioning Process: There will be another meeting on March 9th, and this will be an agenda item for the April board meeting.

The meeting was adjourned at 4:00 p.m.

DRAFT MINUTES

NATIONAL EDUCATION KNOWLEDGE INDUSTRY ASSOCIATION EXECUTIVE COMMITTEE MEETING

**By Conference Call
March 14, 2005**

The following Executive Committee members participated: Nancy Ames, Chris Dwyer, Joan Herman, Keith Kershner, Jim Kohlmoos, and Carol Thomas.

Staff participating: Marcia Knutson and John Waters

Overview of the Meeting

Chris Dwyer opened the meeting at 2:05 p.m.

News and GR Updates

Keith Kershner shared unconfirmed information about the Lab RFP. Marcia Knutson updated the committee on the appropriations process, the Spellings hearing, budget reconciliation, Perkins/voc-ed and the President's high school initiative.

Jim Kohlmoos briefed the committee on the follow-up to NEKIA's letter regarding the R&D Centers, activity of the IGER group, and the reorganization of the department.

Reviews

Jim and Marcia reviewed the NEKIA Legislative and Policy Institute, which was held on March 7th and 8th. Jim informed the committee that the focus of the March business development conference call will be the MATO-MOBIS for expedited contracting. Jim also reviewed the Knowledge Utilization Visioning process, including the meeting that was held on March 9th. Jim indicated that discussion of the process and preliminary ideas for next steps would be on the agenda for the April board meeting in Montreal.

Updates

Jim updated the committee on plans for the April board meeting and for the July 28th policy forum (co-hosted by NAS and PPI) on charter schools. He noted that the draft audit report would be presented to the committee on the April conference call. He also briefed the committee on NEKIA's media references in a March 2nd Education Daily article, and on the status of his outside consulting work.

The meeting was adjourned at 3:00 p.m.

DRAFT MINUTES

NATIONAL EDUCATION KNOWLEDGE INDUSTRY ASSOCIATION EXECUTIVE COMMITTEE MEETING

**By Conference Call
April 4, 2005**

The following Executive Committee members participated: Nancy Ames, Chris Dwyer, Joan Herman, Wes Hoover, Keith Kershner, Jim Kohlmoos, and Carol Thomas.

Staff participating: Marcia Knutson and John Waters

Also participating: Stefanie Gerard and Mike Hoehn of Raffa, P.C.

Audit Report Update

Chris Dwyer opened the meeting at 4:04 p.m. Jim Kohlmoos introduced Stefanie Gerard and Mike Hoehn of Raffa, P.C., NEKIA's auditor for FY2004. Stefanie and Mike briefed the committee on the status of the audit work, and presented some preliminary findings, while noting that additional issues could arise as they continue their review.

Initial findings include the need to change the reporting of temporary restricted reserves and unrestricted net assets. Recommendations for the development of association policies in the following areas will be included in the audit report: investment funds, accounts receivable management, outstanding reconciliations, conflict-of-interest and whistleblower scenarios. Stefanie and Mike indicated that these recommendations could be considered on the whole to be updating NEKIA's policies and procedures with the most recent practices for non-profits. They also suggested having the NEKIA board, rather than Jim, select the association's auditor.

The committee discussed these recommendations with Stefanie and Mike, who will attempt to provide the draft audit letter for the April 11th meeting and review it with the committee via conference call.

Knowledge Utilization Visioning

Jim reviewed the stages of the process to date, noting the twelve principles that had been developed through the visioning groups and literature review, as well as the paper written by Scott Jofus and its discussion of what a knowledge utilization system might look like. Jim indicated that the sharing of the paper and principles could be the next step in the overall process.

The committee discussed its reactions to the both the paper and the principles within the context of whether NEKIA should endorse ways of thinking about knowledge utilization, and emphasized the importance of being clear about what the trade association would hope to accomplish with this work.

Jim and Chris will further discuss the issue and its presentation to the board on April 11th, and Jim will adjust the meeting agenda to increase the amount of time available for the entire discussion.

The meeting was adjourned at 5:03 p.m.

FINANCIAL STATEMENTS

FOR BOARD REVIEW

STATUS REPORT, YEAR-TO- DATE ACTUAL VS BUDGET

	Year-To-Date Actual	FY 2005 Budget
Revenues		
1. MEMBERS - ANNUAL DUES	615,380.00	584000
2. MEMBERS - EXPENSE REIMB	1,690.00	38000
3. NEKIA COMM – MANAGE FEES	0.00	24000
4. NEKIA COMM – KNOW UTILIZ	0.00	30000
5. RENTAL INCOME	22,669.00	91776
6. INTEREST INCOME	720.93	1000
Total Revenues	640,459.93	725194
Expenses		
7. PROMO MATERIALS	0.00	2500
8. BANK CHARGES & FEES	249.40	100
9. KNOWLEDGE UT INITIATIVE	8,381.87	30000
10. COMPUTERS - WEBSITE MAINT	967.90	7040
11. COMPUTERS - INTERNET FEES	918.84	4500
12. COMPUTERS – SERV & REPAIRS	750.00	5000
13. CONSULTANTS	17,815.25	67800
14. DUES & SUBSCRIPTIONS	6,019.71	9450
15. ENTERTAINMENT & MEALS	341.59	4400
16. EQUIPMENT LEASES	292.12	1800
17. GIFTS & AWARDS	185.01	1000
18. INSURANCE - HEALTH	5,485.00	24507
19. INSURANCE - DISABILITY	0.00	2520
20. INSURANCE - BUSINESS	0.00	1000
21. INSURANCE - WORK COMP	185.00	1340
22. INTEREST EXPENSE	69.44	100
23. LOBBYING FEES	685.00	4200
24. LOBBYING TAXES PAID	0.00	9300
25. MEETINGS - BOARD DIRECTORS	3,675.56	11250
26. MEETINGS - OTHER MEETINGS	961.55	36000
27. OFFICE SUPPLIES & EXPENSES	563.49	3300
28. PAYROLL - SALARIES	72,321.54	287040
29. PAYROLL – TAXES	6,949.51	20700
30. PENSION CONTRIBUTIONS	3,975.14	16000
31. POSTAGE & DELIVERY	309.67	1500
32. PRINTING & COPYING	6.00	1050
33. PROFESSIONAL DEVELOPMENT	1,101.00	1500
34. PROF FEES - ACCOUNTING	6,515.00	15500
35. PROF FEES – LEGAL	0.00	2000
36. PROF FEES - PAYROLL SERVICE	453.09	1450
37. PROF FEES - PENSION ADMIN	230.25	1850
38. RENT	31,380.97	126340
39. R&M – MAINT CONTRACTS	953.70	2365

40. R&M - EQUIPMENT REPAIRS	0.00	405
41. STORAGE EXPENSE	199.26	1205
42. TAXES & LICENSES	(1,322.42)	0
43. TELEPHONE, FAX, & CELLULAR	1,377.64	8820
44. TRAVEL - LOCAL	72.00	1600
45. TRAVEL - LONG DISTANCE	987.20	14000
46. UTILITIES	1,434.97	8000
Total Expenses	174,491.25	748432
Net Income	465,968.05	20343

FY 2005 Budget Item Notes

- 1 19 FULL @ \$26,000; 6 ASSOCIATE @ \$5000; 2 ALLINCE @ 30,000
- 2 CONG RECPT. (\$4,000), COMMunicators (\$3,000); LEG. CONF. (\$4,000), BOARD DINNERS (\$8,000),
CONFERENCE CALLS (\$4,000), LEGAL FEES (\$2,000), BUSINESS DEV. INST. (\$15,000),
- 3 \$2000 PER MONTH plus AUDIT & TAX PREP FEES
- 4 KNOWLEDGE UTILIZATION VISIONING WORK
- 5 SABIN \$52,416; NCEE \$36,360; RUSSELL \$1,500; DISKEY \$1,500
- 6 ESTIMATE BASED UPON 2004 PROJECTED
- 7 POSSIBLE DEVELOPMENT OF MATERIALS FOR NEKIA FOLDER
- 8 GENERAL ESTIMATE
- 9 KNOWLEDGE UTILIZATION WORK
- 10 2004 PROJECTED PLUS 10%
- 11-12 GENERAL ESTIMATE
- 13 \$2,500/MO. DISKEY & ASSOC; \$3,150/MO. WASH PARTNERS
- 14 2004 PROJECTED PLUS 5%
- 15-17 GENERAL ESTIMATE
- 18 CURRENT RATE OF \$1945/MO PLUS 15% INCREASE 8/05-11/05
- 19-21 2004 PROJECTED PLUS 5%
- 22 MISCELLANEOUS FEES
- 23 EST. PORTION OF WASH PARTNER FEES FOR LOBBYING (10%)
- 24 LOBBYING TAX (2004 ACTUAL PLUS 5%)
- 25 3 MTGS: \$750 FOR ROOM RENTALS; \$3,000 FOR MEALS, A/V
- 26 LEG/POLICY ; PAG ; RECEPTION; BUS. DEV.; Communicators, misc
- 27 GENERAL ESTIMATE
- 28 2004 PROJECTED PLUS 4%
- 29 FICA, MEDICARE, FUTA, DCDOES BASED ON EST.SALARIES
- 30 2004 BUDGET PLUS POSSIBLE INCREASE IN MATCH
- 31 GENERAL ESTIMATE
- 32 2004 PROJECTED PLUS 5%
- 33 CONFERENCE FEES
- 34 \$8000 AUDIT FEE; \$1500 TAX PREP FEE; \$500/MO Book keep
- 35 GENERAL ESTIMATE
- 36-37 2004 PROJECTED PLUS 5%
- 38 \$10,389.83 THROUGH 8/05; \$10,805.43 FOR REST OF FY05
- 39 2004 PROJECTED PLUS 5%
- 42 PERSONAL PROPERTY TAX ON LEASED EQUIP now purchased
- 43-46 2004 PROJECTED PLUS 5%

NEKIA
Balance Sheet
February 28, 2005

ASSETS

Current Assets	
SUNTRUST 206885792	152,219.54
PRIME OBLIGATION MMF	24,758.11
NEKIA ESCROW ACCOUNT	35,484.23
ACCOUNTS RECEIVABLE	<u>110,005.00</u>
Total Current Assets	322,467.38
Property and Equipment	
FURNITURE & FIXTURES	44,415.91
EQUIPMENT	28,997.35
LEASED EQUIPMENT	3,994.90
ACCUMULATED DEPRECIATION	<u>(36,746.97)</u>
Total Property and Equipment	40,661.19
Other Assets	
SECURITY DEPOSITS	8,556.33
PREPAID INSURANCE	<u>1,476.00</u>
Total Other Assets	<u>10,032.33</u>
Total Assets	<u><u>373,160.90</u></u>

LIABILITIES AND CAPITAL

Current Liabilities	
ACCOUNTS PAYABLE	3,759.09
T/P-FED W/H	(10,445.78)
A/P - 401K WITHHOLDING	(2,684.53)
A/P - 408K WITHHOLDING	630.98
ACCRUED VACATION	896.52
PREPAID MEMBERSHIP DUES	<u>56,742.50</u>
Total Current Liabilities	48,898.78
Long-Term Liabilities	
TENANT SECURITY DEPOSITS	3,733.33
ACCRUED RESERVES	<u>6,992.91</u>
Total Long-Term Liabilities	10,726.24

Total Liabilities		<u>70,625.02</u>
Capital		
RESTRICT FUND BALANCE	8,561.44	
UNRESTRICTED FUND BALANCE	115,762.99	
Net Income	<u>189,211.45</u>	
Total Capital		<u>313,535.88</u>
Total Liabilities & Capital		<u><u>373,160.90</u></u>

REFERENCE MATERIALS

**(SENT UNDER SEPARATE COVER IN THE
2005 BOARD HANDBOOK)**

- **2005 Work Plan**
- **2005 Budget**
- **2005 Calendar**
- **2005 Board Members**
- **2005 Membership list**
- **NEKIA By-laws**