



**National Education Knowledge Industry
Association**
Board of Directors Conference Call

3:00-4:00 PM Eastern Monday, 6/20/05

*Special Note---We will be using both the phone and web site for
this call. Please log into both the phone and web site.*

Instructions

Phone: Dial (620) 584-8200 pin 757404#

**Web site: Go to www.startvisuals.com . In the “Join A
Conference” login box on the left-hand side of the page,
complete the requested information. The id number is the same
as the phone PIN, 757404.**

Agenda

News and Intelligence (3:00-3:15)

- Appropriations status
- Lab & Comp Center RFPs

Decisions (3:15-3:50)

- NEKIA Principles for Effective Approaches to Knowledge Use (see below)
- Policy changes (see below)

Announcements and Information (3:50-4:00)

- Next Monthly Business Development Teleconference (see below)
- Reactions to NEKIA Communicators Institute, June 2 &3, Washington DC
- Next Policy Forum, 9:00-noon July 28, Washington, DC (see below)
- Executive Committee Meeting, August 30-31, Chicago
- Plans for November Board Meeting and Business Development Institute

To: NEKIA Board of Directors
From: Jim Kohlmoos on behalf of Executive Committee
Subject: Proposed Knowledge Use Principles and Next Steps
Date: June 15, 2005

Background

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

From November to our Board meeting in April we 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 and used those principles to formulate a vision for communities of knowledge which we presented at the April Board meeting.

You will recall at our April Board meeting in Montreal that rather than endorse an elaborate vision of knowledge utilization, we agreed to develop a set of principles to which all of our members could agree and from which we could develop the framework for longer term initiatives. We formed a task force to get this next task done.

Over the past two months the task force (composed of Diny, Wes, Carol, Joan, Keith, and Nancy along with Jay Diskey, Scott Joftus and me) held numerous conference calls and email discussions. We returned to many of the issues about knowledge utilization that we have addressed over the past two years and examined new ways to more clearly and simply articulate a set of principles that should guide our future work. The product of the task force’s work is below.

The Executive Committee has reviewed this latest effort and recommends that the Board ratify the principles.

During our Board conference call on June 20 we will seek consensus on the principles and then consider the proposed next steps.

Towards Developing More Effective Approaches to Knowledge Use in Education

Overview

NEKIA believes that the effective use of education knowledge can significantly enhance and accelerate the nationwide efforts to improve academic performance and close achievement gaps in k-12 education. Education knowledge can and should be an essential factor in shaping policy and practice at all levels.

The current approaches to knowledge use in K-12 education are frequently hampered by a number of impediments and flaws including: a serious disconnect among the research community, practitioners, developers and policy makers; inadequate capacity at the local and state levels to facilitate an effective knowledge use system; lack of cultural or institutional incentives to promote greater knowledge use. In order to address the increasingly urgent demand for knowledge-based solutions to educational problems at the local, state and federal levels, new approaches to effective knowledge use are needed that can be sustained and expanded in significant ways over time.

NEKIA believes that effective knowledge use should be a central organizing theme of school improvement policies and practice across the country. We present four principles upon which approaches to effective knowledge use should be based.

Four Principles

1. **Useable Knowledge** --- Knowledge that is used to shape policy and practice should be derived from the best available empirical evidence and informed by sound professional judgment.
2. **Key Stakeholders** --- The effective use of knowledge in education requires the active participation of and the on-going collaboration among five key stakeholder groups:
 - **Practitioners** should be involved in all phases of the knowledge development and utilization process, not just as recipients of research.
 - **Policymakers** need to develop the capacity for integrating knowledge into the policy making apparatus.

- **Researchers** should focus on rigor, relevance, and replication in addressing practical questions of effectiveness based on the needs of practitioners and policy makers.
 - **Developers and Providers** need to use the best available knowledge in developing and delivering their products and services.
 - **Intermediaries** are needed to facilitate productive collaborations and relationships among stakeholders, help interpret and disseminate findings, conduct applied research, and provide capacity-building assistance.
3. **Cumulative Process** --- Effective knowledge use depends upon dynamic on-going exchanges of data and information among the stakeholders and involves a continuous process of research, application and adaptation. As knowledge is used and adapted, new knowledge is created and applied in a cumulative, iterative fashion.
4. **High Priority Policy** --- School improvement policies at the federal, state, and local levels should focus priority attention on the effective use of knowledge and create incentives to stimulate greater demand for and increased supply of knowledge-based solutions.

Next Steps Suggested by the Executive Committee

Immediate steps not necessitating major funding (at least for now)

- **Forums** --- Continue to plan and implement policy forums on specific reform topics within a knowledge utilization framework (similar to our forums with PPI and NAS) through at least 2006. Use these forums both to focus explicitly on knowledge use and to disseminate the NEKIA principles. Commission discussion papers for the forums and other related activities examining different approaches to knowledge use including the concept of communities of knowledge. Encourage NEKIA members to organize their own forums and conference presentations using the principles as a framework.
- **Promotion and Sharing** --- In preparation for FY 2006, begin to revise NEKIA's mission and values statements to more fully emphasize knowledge use as a central organizing concept for our work and redesign promotional materials and web site accordingly. Consider establishing a sharing mechanism for NEKIA members' knowledge utilization activities through a modified NEKIA web site or a blog.
- **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

Ideas for possible consideration in the FY 2006 work plan

- 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.
- Legislation --- At the strategically appropriate time, draft new legislation for knowledge utilization with full involvement of Congress and Department of Education.
- Three-Year Program --- Launch a long-term comprehensive Knowledge Utilization Research and Development program and fund it through grants from philanthropic sources and/or federal programs. The program might include such activities as identifying and addressing current gaps and deficiencies in knowledge use in education, convening the key stakeholders to conceptualize research designs or review findings, and considering alternative approaches to knowledge use at the local and state levels. (Note the program would likely need to be administered by a NEKIA member organization rather than in NEKIA).

To: NEKIA Board of Directors
From: Jim Kohlmoos for the Executive Committee
Subject: Audit Recommendations: Proposed Policies
Date: June 15, 2005

In the draft audit letter presented to the Executive Committee this spring, our new auditors made a number of recommendations regarding our policies and procedures. Over the past two months the NEKIA staff has researched and developed the following proposed new policies and amendments.

During our Board conference call on June 20, we will seek consensus on these changes.

Here is a summary of the changes:

Conflict of Interest Policy: Adapated from the current NEKIA personnel manual, to include an annual signed-acknowledgement of the policy by all NEKIA board members and staff.

Dues Collection Policy: Created to address the collection of outstanding balances and the payment of dues on an alternative schedule under special circumstances.

Audit Committee: Includes a proposed amendment to the previously established "Duties of Executive Committee", identifying its responsibilities as NEKIA's Audit Committee.

Investment Policy: Based upon a sample policy provided by Raffa.

Whistleblower Policy: Based upon a sample policy provided by Raffa, and including the indentification of NEKIA's chair-elect as the contact for raising a concern, as decided by the Executive Committee on April 11th.

POLICY: Conflict of Interest

Proposed to the Board of Directors, **June 20, 2005**

Definition: A conflict of interest exists whenever there is a proposed financial transaction of NEKIA (e.g., contracts, the purchase of goods and services) in which a director, officer or staff member has any actual or potential involvement, interest or relationship, either directly or indirectly. A director, officer or staff member shall have an indirect interest in a proposed transaction if:

1. the other party to the transaction is related to such director, officer, or staff member;
2. the other party is an entity in which the director, officer, or staff member has a material financial interest; or
3. the director, officer or staff member is an officer, director, or general partner of such other party.

Conflict of Interest by Officer or Director

Each director or officer of NEKIA has a duty to disclose to the Board of Directors and to any applicable committee of the Board the material facts of any proposed financial transaction of NEKIA in which such director or officer has any actual or potential conflict of interest. This disclosure must be made prior to any consideration of such proposed financial transaction by the Board or by any applicable committee of the Board. The director or officer having the conflict shall not participate in the final deliberation or decision regarding the matter under consideration, and shall if any member of the Board requests, or the person deems it appropriate, retire from the room during the deliberations. Any proposed transaction in which a director or officer has a conflict of interest must be approved by a majority of the directors of the board or of the applicable committee of the Board entitled to vote other than the interested director(s) at a meeting which a quorum is present, even though the disinterested directors may constitute less than a quorum. Such interested director(s), if present, may be counted solely for purposes of determining whether a quorum is present.

The minutes of the meeting of the Board of Directors or the committee of the Board shall reflect that the conflict of interest was disclosed and that the interested person did not vote or participate in the final discussions, and, if appropriate, was not present during such discussions and vote. Where there is a doubt as to whether a conflict of interest exists, the matter shall be resolved by a vote of the Board of Directors or the committee of the Board, excluding the person concerned about whose situation the doubt has arisen.

Conflict of Interest by Staff

Each staff member has a duty to disclose to the President the material facts of any proposed financial transaction of NEKIA in which such person has any actual or potential conflict of interest. This disclosure must be made prior to any consideration of such proposed financial transaction by NEKIA. A staff member having an actual or proposed conflict of interest shall not participate in the deliberation or decision by NEKIA regarding the matter under consideration. However, he or she shall provide NEKIA with any and all relevant information regarding the matter. The President shall take such additional action as may be required to ensure that the conflict of interest is resolved, and shall maintain a record of the existence and resolution of the conflict. When there is any doubt as to whether a conflict of interest exists, the matter shall be resolved by the President, as necessary.

Gifts, Favors and Entertainment

NEKIA employees may not give or accept gifts, payments, fees or services or other favors that influence, or appear to influence, the performance of their duties. In particular, NEKIA employees shall not solicit nor accept any gift from an individual or organization that: (1) has or is seeking to obtain contractual or other business relations with NEKIA; (2) conducts an operation or activity that may be substantially affected by NEKIA activities; or (3) has an interest that may be affected by the performance or nonperformance of the employee's duties (except one of nominal value with the approval of the President or his designee). The acceptance of meals and refreshments or entertainment of nominal value on infrequent occasions in the normal course of business is not prohibited. In addition, the acceptance of unsolicited gifts of nominal value (generally considered to be less than \$50 total value) is not prohibited when the gifts are of such nature as to indicate that they are merely tokens of respect or friendship and could not be construed as a bribe, payoff or secret compensation. Employees who have questions concerning the appropriateness of a gift or other item of value should contact the President, who will then make a decision as to the disposition of the gift.

Fees and Other Payments

Directors' fees, authors' royalties, and payments for published articles may be accepted provided these payments do not represent activities that interfere with the staff member's responsibilities to NEKIA. Honoraria may be accepted only when the preparation and presentation falls on a weekend, a holiday, after normal working hours, if the staff member is on personal or professional development leave, or on leave without pay. No salary, consulting fee, or honorarium may be accepted by a NEKIA staff member for services rendered to outside agencies that would normally be considered a regular service provided by NEKIA. Where the organization or agency offers to reimburse NEKIA for necessary expenses, employees are encouraged to accept such reimbursement and transmit it to NEKIA. Where such matters are not clear, employees should seek clarification from the President.

Gifts and Contributions

NEKIA prohibits employees from sending gifts or making contributions on its behalf, and will not reimburse employees for this type of expense. Any gifts deemed necessary will be made by NEKIA. Contributions can only be made via a NEKIA check through the normal disbursement channels. Prior approval must be obtained from the President or her/his designee.

Annual Procedure

A copy of this conflict of interest statement shall be furnished to each director, officer and staff member who is presently serving NEKIA, or who may hereafter become associated with it. Upon receipt and review of the statement, directors, officers, and staff members are asked to sign the acknowledgement below on an annual basis. New directors, officers, and staff members shall be advised of the policy upon undertaking the duties of such office, and will also be asked to sign the acknowledgement on an annual basis.

By signing below, I hereby acknowledge and affirm that I:

- (a) received a copy of the NEKIA Conflicts of Interest Policy (effective _____);
- (b) read and understand such policy; and
- (c) agree to comply with the policy.

(print name)

(signature)

(date of execution)

POLICY: Dues Collection

Proposed to the Board of Directors, **June 20, 2005**

At the Annual Meeting of the Board of Directors each November, the Executive Committee shall also submit a dues structure for the next fiscal year; a majority vote of those Board Members present shall be required for adoption.

NEKIA shall send dues invoices to the membership on December 1, the beginning of the association's fiscal year. Invoice terms will be net 60 days. NEKIA's Administrative Manager shall inform the Executive Committee of invoices that remain unpaid after 90 days, and of efforts to collect all unpaid balances. The Executive Committee, in consultation with the President and Administrative Manager, will determine when an outstanding balance is uncollectible and should be written off.

Alternative Payment Schedules

Under exceptional circumstances, NEKIA's President will consider requests by the Board Member of an organization to pay the annual dues amount on an alternative schedule (e.g., a quarterly installment plan).

POLICY: Duties of the Executive Committee

Adopted September, 2002

Proposed amendment in **BOLD**, presented to Board of Directors, **June 20, 2005**

A. Composition

The Executive Committee (EC) shall be composed of the NEKIA Officers (the Chairperson and Secretary/Treasurer), the Immediate Past Chairperson of NEKIA, the Chair-elect, and two at-large members of the Board of Directors.

B. Primary Responsibilities

1. Act on behalf of the Board of Directors between meetings as appropriate and needed;
2. Provide consultation to the NEKIA President when time constraints preclude a broader involvement;
3. Provide an informal advisory role to the NEKIA President on operational matters as requested;
4. Conduct the NEKIA President's annual performance review and provide recommendations to the full Board of Directors for consideration and action; and
5. Provide monthly review of NEKIA financial statements on behalf of the Board of Directors.

AMDENDMENT OUTLINING AUDIT COMMITTEE RESPONSIBILITIES

6. **Approve and select NEKIA's auditor; develop an independent relationship with the auditor; review of the arrangements, scope and plan for the audit; consider comments from the independent auditor including those with respect to weaknesses in internal accounting controls and the consideration given to such comments, or corrective action taken by management; discuss matters of concern relating to NEKIA's financial statements or other results of the audit; review internal accounting procedures and controls with NEKIA staff; and other relevant additional duties that may be assigned by the Board.**

C. Selection of At-Large Board Members

The two at-large members of the EC shall be appointed by the incoming chair and approved by the board at the annual meeting. The chair shall have the authority to fill vacancies as they occur between elections.

POLICY: Investment of NEKIA Funds

Proposed to the Board of Directors, **June 20, 2005**

Purpose

The purpose of this statement is to set forth the policy and operational factors governing the investment management of various operating balances of NEKIA herein referred to as the “*Portfolio*”.

Objective

The primary investment objectives of this Portfolio are to:

- Ensure the safety of investment principal
- Provide for liquidity
- Maximize the yield (i.e., income and growth) of the investments

A secondary objective is to structure maturities so that known cash needs are met on a periodic basis, or as requested by management and/or the Board or as projected through the budget process.

Eligible Investments

Short Term Investments

- Deposits in Federally insured institutions up to the federally insured amount.
- Money Market Funds for temporary investment needs (rated AA or better)
- Certificates of Deposit in Federally insured institutions up to the Federally insured limits
- Purchase or Repurchase agreements (i.e., overnights)
- Commercial Paper (with A-1 ratings)
- US Treasury Bills and US Treasury Notes

Long Term Investments

- Income, growth and income and growth funds may be selected for investment among reputable and actively traded fund families such as Vanguard, T. Rowe Price, Fidelity, Franklin Templeton, etc. Investment in socially responsible funds, such as the Domini Social Equity Fund, is preferred. [It should be noted that the

funds named are meant only as examples. The funds that should be considered are those with the highest ratings with average to below-average risk and average to above-average yield.]

Maturity Constraints

Investment maturities may be structured to provide for periodic liquidity needs. Individual security classes shall be limited as follows:

- A rolling ladder of Commercial paper, Certificates of Deposit and US interests to allow NEKIA to constantly have dollars coming available to meet organizational needs and to allow NEKIA to capture the best interest or returns available in the marketplace.
- Other securities will be limited to investments that may be readily converted to cash.

Implementation

The President has the authority and responsibility for the investments and for insuring that this policy is followed. As the Treasurer of the Board of Directors of NEKIA, the President will be available for consultation and will ensure that any investments that may be considered a change in this investment policy are formally presented to the Board prior to any such investment being made.

Investments to establish accounts may be made by telephone, computer or in writing. All investments to non-established accounts must have the written approval of the Board of Directors before implementation.

Guidelines for Implementation

- In developing investment strategies, the President shall take into consideration NEKIA's cash-flow to ensure that the association has access to liquidity for continued operation over a period of 6 months.
- Net proceeds/surplus funds from a particular year's operations shall be established in a reserve account. Establishing a goal for the amount of the reserve account will be part of the yearly budget planning process.

POLICY: Whistleblower Policy

Proposed to the Board of Directors, **June 20, 2005**

Purpose

NEKIA is committed to high standards of ethical, moral and legal business conduct. In line with this commitment, and NEKIA's commitment to open communication, this policy aims to provide an avenue for employees to raise concerns and reassurance that they will be protected from reprisals or victimization for whistleblowing.

This whistleblowing policy is intended to cover protections for you if you raise concerns regarding NEKIA, such as concerns regarding:

- incorrect financial reporting;
- unlawful activity;
- activities that are not in line with NEKIA policy, as described in NEKIA's employee manual; or
- activities, which otherwise amount to serious improper conduct.

Safeguards

Harassment or Victimization - Harassment or victimization for reporting concerns under this policy will not be tolerated.

Confidentiality - Every effort will be made to treat the complainant's identity with appropriate regard for confidentiality.

Anonymous Allegations - This policy encourages employees to put their names to allegations because appropriate follow-up questions and investigation may not be possible unless the source of the information is identified. Concerns expressed anonymously will be explored appropriately, but consideration will be given to:

- The seriousness of the issue raised;
- The credibility of the concern; and
- The likelihood of confirming the allegation from attributable sources.

Bad Faith Allegations - Allegations in bad faith may result in disciplinary action.

Procedure: 1. Process for Raising a Concern

Reporting- The whistleblowing procedure is intended to be used for serious and sensitive issues. Such concerns, including those relating to financial reporting, unethical or illegal conduct, may be reported directly to the Chair-Elect of NEKIA.

Timing - The earlier a concern is expressed, the easier it is to take action.

Evidence - Although the employee is not expected to prove the truth of an allegation, the employee should be able to demonstrate to the person contacted that the report is being made in good faith.

Procedure: 2. How the Report of Concern Will be Handled

The action taken by NEKIA in response to a report of concern under this policy will depend on the nature of the concern. The Executive Committee of the NEKIA Board of Directors shall receive information on each report of concern and follow-up information on actions taken.

Initial Inquiries - Initial inquiries will be made to determine whether an investigation is appropriate, and the form that it should take. Some concerns may be resolved without the need for investigation.

Further Information -The amount of contact between the complainant and the person or persons investigating the concern will depend on the nature of the issue and the clarity of information provided. Further information may be sought from or provided to the person reporting the concern.

To: NEKIA Board of Directors
From: Jim Kohlmoos
Subject: June 21st Business Development Conference Call
Date: June 15, 2005

******Next Teleconference******

**“Business Development Opportunities for NEKIA Members at NICHD”
With Peggy McCardle, Acting Chief,
Child Development & Behavior Branch, National Institute of Child Health and
Human Development**

4:00-5:00 Eastern Time on Tuesday, June 21.

For audio phone: Dial (620) 584-8200 pin 757404#

For visuals on Web site: Go to www.startvisuals.com id number 757404.

Please rsvp and send questions by return email

For over a decade Reid Lyon, Chief of the Child Development and Behavior Branch at the National Institute of Child Health and Human Development (NICHD), was a highly visible promoter of evidence-based policy in reading. His branch was a major source of funding for experimental designs in reading research and he established himself as a key policy advisor in the Bush Administration. Now that he is leaving government to form a new for-profit teacher education college, we are interested to know more about the current and future directions of NICHD and what opportunities may be emerging for NEKIA members.

During our next teleconference, Peggy McCardle, the current acting chief (a very busy woman, indeed, these days) will be making a presentation using web based power point technology and responding to your questions.

Please rsvp and send questions by return email.

To: NEKIA Board of Directors
From: Jim Kohlmoos
Subject: July 28th Policy Forum with NAS and PPI
Date: June 15, 2005

Charter Schools: What's the Evidence and How Should It Be Used?

A public policy forum presented by the:
Center for Education at the National Academies
National Education Knowledge Industry Association (NEKIA)
Progressive Policy Institute (PPI)

Please join us for a national policy forum on scientific evidence and charter school reform.

When: 9:00 AM to 12:15 PM Thursday, July 28, 2005

Where: The National Academies. 500 Fifth Street, NW, Washington, DC 20001

Panelists: Josephine Baker (DC Public Charter School Board), James Kohlmoos (NEKIA), Robin Lake (University of Washington), Peter McWalters (Rhode Island Department of Education), Gary Miron (Western Michigan University), Martin Orland (Center for Education), Andrew Rotherham (PPI), Eugene Sanders (Toledo Public Schools, OH), Joe Williams (New York Daily News), Kenneth Wong (Vanderbilt University) and others

Registration: Send **full contact information** to: charterschools@nas.edu. This event is free but space is limited and advanced registration is required no later than July 15. Registration is on a first come, first served basis. (Note: If you have already registered for this event and received confirmation, you do NOT need to RSVP again.) Please do NOT respond to this e-mail.

With the enactment of the No Child Left Behind Act and the Education Sciences Reform Act of 2002, scientific evidence has started to play a major role in the development of education policy and practices, including charter schools. Building on the success of their previous co-hosted forums on evidence-based education, the National Education Knowledge Industry Association, the Progressive Policy Institute, and the National Academies/Center for Education will focus this forum on a number of critical questions relating to charter schools including:

- What is meant by “effectiveness” for charter schools and how should this concept of effectiveness be evaluated?
- What should be the focus of research on charter schools? Impact on student achievement? Affect on governance and choice? Stimulus for reform?
- How useful and relevant is the current body of evidence in shaping charter school policies and practices?

- What are the implications of the evidence on charter schools for the future? What kind of evidence/research is needed to inform future policy and practice?

The forum will involve two interactive panels of leading researchers and policy leaders with strong audience participation.