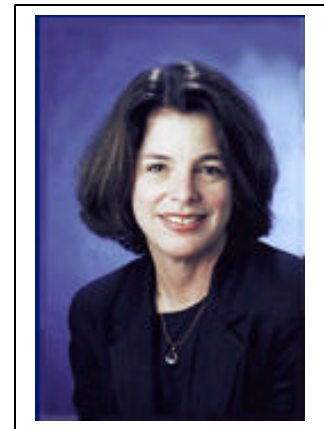


# National Education Knowledge Industry Association



## *2007 Board of Directors Winter Meeting*

**February 6-7, 2007**



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# **National Education Knowledge Industry Association**

1718 Connecticut Avenue, NW Suite 700  
Washington, DC 20009  
(202) 518-0847

January 31, 2007

Dear Members of the Board of Directors,

We look forward to seeing all of you at our meeting in Washington DC on February 6-7 hosted by the American Institutes for Research. We anticipate a stimulating and productive gathering as we move forward with our ambitious vision for the next three years.

As you will see on the following pages, we have put together a full agenda for our time together. We will be assessing the progress made thus far on our 2007 work plan and budget, examining our policy positions and strategies for the 110<sup>th</sup> Congress, launching the re-branding process for the trade association and sharing some the recent developments within our respective organizations. Interesting times and interesting agenda items to be sure!

As always, we look forward to being “at the table” with all of you, breaking bread, raising a glass, and working together on an agenda that promises to advance our common cause for the years ahead.

Until then,

Joan Herman  
2007 Co-chair

Carol Thomas  
2007 Co-chair

Jim Kohlmoos  
President and CEO

# Participants

Participant	Organization	Address	City/State/Zip	E-Mail
Doris Redfield	Edvantia	Post Office Box 1348	Charleston, WV 25325	doris.redfield@edvantia.org
Laura Lefkowitz	Mid-continent Research for Education and Learning	4601 DTC Blvd., Suite 500	Denver, CO 80237	llefkowi@mcrel.org
Paul Kimmelman	Learning Point Associates	1120 East Diehl Road, Suite 200	Naperville, IL 60563	Paul.Kimmelman@learningpt.org
Tom Barlow	Pacific Resources for Education and Learning	900 Fort Street Mall, Suite 1300	Honolulu, HI 96813	barlowt@prel.org
Wesley A. Hoover	SEDL	211 E. Seventh St.	Austin, TX 78701-3281	whoover@sedl.org
Ludwig van Broekhuizen	SERVE	Post Office Box 5367	Greensboro, NC 27435	lvbroekh@serve.org
Max McConkey	WestEd	622 N. Country Club Rd., Ste. E	Tucson, AZ 85716	max@wested.org
Carol Thomas (Co-Chair)	Northwest Regional Educational Laboratory	101 SW Main Street, Suite 500	Portland, OR 97204	thomasc@nwrel.org
Luther Luedtke	Education Development Center, Inc.	55 Chapel Street	Newton, MA 02458-1060	lluedtke@edc.org
Denise Borders	AED	1825 Connecticut Avenue, NW	Washington, DC 20009	dborders@aed.org
Steve Fleischman	AIR	1000 Thomas Jefferson Street, NW	Washington, DC 20007	sfleischman@air.org
Robert Spillane	CNA-Center for Education	4825 Mark Center Drive	Alexandria, VA 22311	spillar@cna.org
Marilynn Kulieke	AdvancEd	1866 Southern Lane	Decatur, GA 30033	mkulieke@advanc-ed.org
Kyle Peck	Mid-Atlantic Regional Educational Lab - Penn State University	277 Chambers Building	University Park, PA 16802	kpeck@psu.edu
Peggy Siegel	AdvancEd	One Massachusetts Ave., NW; Suite 700	Washington, DC 20001	psiegel@advanc-ed.org
James W. Kohlmoos (President)	NEKIA	1718 Connecticut Avenue, NW, Suite 700	Washington, DC 20009	kohlmoos@nekia.org
John Waters	NEKIA	1718 Connecticut Avenue, NW, Suite 700	Washington, DC 20009	waters@nekia.org

# Board Meeting Agenda

**To:** Board of Directors  
**From:** Jim Kohlmoos  
**Subject:** Board Meeting Agenda on February 7

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 issues and decision points. Carol Thomas as the co-chair will guide us through the agenda.

## Goals

1. **2007 Work plan:** Assess the progress so far in implementing this year's work plan
2. **ESEA Reauthorization:** Review and decide upon NEKIA's position.
3. **Branding:** Review and launch process for re-branding/re-naming the trade association.
4. **Advocacy:** Examine the policy environment and upcoming advocacy activities.

## February 6

**Taj of India: 2809 M Street, (202) 965-4266**

**6:00- 9:00 pm Members Dinner**

(Board members, affiliate members, special guests)

RSVP to John Waters at waters@nekia.org

## February 7

AIR

1000 Thomas Jefferson Street, NW

Washington, DC 20007

(202) 403-5000

**9:00- 9:30 Board Meeting, Opening**

- Introductions (see pages 3-5)
- Minutes --- decision (see pages 8-10)
- Financial statements --- review (see pages 15-17)
- 2007 Work plan --- presentation and discussion (see pages 11-14)

**9:30-10:45 Policy and Advocacy**

- Political/Policy environment --- discussion with Ellin Nolan
- President's FY 2008 Budget --- discussion with Ellin Nolan
- Advocacy Portfolio --- discussion (see pages 18-20)

- ESEA Reauthorization proposal --- decision (see pages 21-32)
- Restricted Indirect Cost Rate --- discussion

**10:45-11:00 Break**

**11:00- 12:30 Re-branding the Trade Association**

- Plan for moving forward ---- discussion with Lipman Hearne consultants and Branding Task Force (see pages 33-42)

**12:30- 1:00 Break and Lunch**

**1:00-2:00 Updates and next steps**

- Membership
- Retreat Planning
- Conference Planning
- New Partnerships
- Sponsorships
- Center for Knowledge Use
- Communicators Meeting (see pages 43-44)
- Policy Forums
- Consultants
- Office Space

**2:00-3:30 Executive Committee Meeting**

(Jim, Carol, Joan, Max, Doris, Steve)

- Board meeting follow up --- discussion and decisions

**4:00-6:00 Regional Educational Laboratory Sector Group Meeting**

(REL Directors only)

- Issues and process --- discussion

# Minutes

## **DRAFT MINUTES**

### **NATIONAL EDUCATION KNOWLEDGE INDUSTRY ASSOCIATION BOARD OF DIRECTORS MEETING**

**By Conference Call  
January 22, 2007**

The following Board members or their representatives were present on the call: Nancy Ames, Denise Borders, Chris Dwyer, Steve Fleischman, Wes Hoover, Jim Kohlmoos, Marilyn Kulieke, Max McConkey, Kyle Peck, Ludy van Broekhuizen and Carol Thomas.

Staff Present: John Waters

#### **Overview of the Meeting/Approval of Minutes**

Carol Thomas opened the meeting at 3:04 p.m. and briefly reviewed the agenda. Steve Fleischman moved to approve the December 11, 2006 board minutes; Max McConkey seconded. The motion passed unanimously.

#### **Portfolio of Issues for 2007**

Carol and Jim Kohlmoos reviewed the chart/list of issues, noting the tactics associated with the various issues. Carol pointed out that the list is, to a degree, considered a “moving target”. The board amended the chart, adding a line to include favorable report language for the concept of comprehensive school reform and its models, and amending the Even Start line to include a funding restoration to FY2006 levels. Max moved to approve the amended portfolio; Steve Fleischman seconded. The motion passed unanimously.

#### **Alliance Membership**

Jim reviewed the history of “group” memberships within NEKIA, and described the current proposal to offer an “alliance” membership to the R&D Centers. The board discussed the proposal, and emphasized the need to set a guaranteed minimum income from the alliance. Nancy Ames moved to extend the invitation to the 9 R&D Centers, with the establishment of the guaranteed minimum income; Denise Borders seconded. The board also discussed the importance of establishing a minimum amount of service time for designated board members from the alliance, in order to maintain continuity. The motion passed unanimously.

## NEKIA Updates

- **Appropriations:** Jim reviewed the status of 2007 appropriations, noting that NEKIA expected the year-long continuing resolution to be passed by February 15<sup>th</sup>, funding programs at FY2006 levels. The School Improvement Fund will be a casualty of this CR. The FY2008 appropriations process will officially get underway following the release of the President's budget request on February 5<sup>th</sup>.
- **ESEA Reauthorization Proposal:** Jim informed the board that the reauthorization task force was still revising the proposal, and would present it to the board at the February meeting.
- **Restricted Indirect Cost Rate:** Jim updated the board on the discussions of the group formed to address this issue, noting that NEKIA has retained counsel to explore dealing with this via a regulatory approach. The group will convene via conference call on January 25<sup>th</sup>.
- **Policy Manager:** Jim informed the board the search is still on-going.
- **Membership Status:** Jim informed the board that NEKIA's membership is currently composed of 17 full members and 10 affiliates, and that he is still pursuing other possibilities.
- **Center for Knowledge Use:** Jim informed the board that discussions about the Center were on hold while NEKIA arranges consultations with legal counsel.
- **Re-Branding:** The re-branding task force has held discussions, and Jim has met with consultants to discuss this task and has asked them to present to the board at the February meeting.
- **Office Space:** NEKIA has terminated its lease for its current office space, but will continue to sublet the space from the new tenant until but no later than December 31, 2007.

The meeting was adjourned at 3:57 p.m.

# 2007 Work plan, Progress Report

**To:** Board of Directors  
**From:** Jim Kohlmoos  
**Subject:** 2006 Work plan, Progress report  
**Date:** 1/29/07

As we have done the last two years, we present to you the following progress report for our annual work plan. I will be happy to talk to you about this report in more detail at the meeting.

## Progress Ratings

- 5 – Exceptional progress. Anticipate achieving or exceeding the original goal
- 4 – Very Good progress. Anticipate achieving up to 90% of the goal
- 3 – Good progress. Anticipate achieving up to 75% of the goal
- 2 – Average progressive. Anticipate achieving up to 50% of the goal
- 1 – Poor, no progress
- 0 – Too early to know

	February	April	July	Nov
<b>1.0 Advocacy</b>				
1.1 Appropriations	2 --- We have our positions in place and are ready to begin the process once the President releases his budget request on February 5			
1.2 Implementations	3 --- We have made some progress on the restricted indirect cost rate issue and will focus on regulatory changes. We consulted with members of the National Board for Education Sciences about lab and R&D Center issues. We are putting into place sector groups for the labs and R &D centers. Still need to organize the Comp Centers			
1.3 Reauthorizations	3 --- We are close to being ready to roll out our ESEA proposal. We have consulted with the Department of Education (ED) Council of Chief State School Officers, the STEM Coalition, AERA and the Aspen Institute regarding their issues.			
<b>2.0 Leadership</b>				
2.1 Policy Development	2 --- We have had significant discussions with the Knowledge Works Foundation, the American Enterprise Institute, the Alliance for Excellent Education, Education Sector, the National Academies, American Association of Publishers, Institute for the Study of Knowledge Management in Education regarding knowledge use policy.			
2.2 Branding	3 --- We have contracted with Lipman Hearne to conduct our re-branding process			
2.3 Communications	2 --- We have been successful in reaching out to trade publications regarding our work. Still need to set up a more innovative and systematic approach to communications.			
2.4 Strategic Alliances	3--- Strong outreach this quarter to KnowledgeWorks Foundation, the American Enterprise Institute, the Alliance for Excellent Education, Education Sector, the National Academies, American Association of Publishers, Institute for the Study of Knowledge Management in Education, Council of Chief State School Officers, the STEM Coalition, AERA, the Aspen Institute, National Education Association, American Federation of Teachers, Education Industry Association, Association of Education Publishers, Software Information Industry Association, Hechinger Institute			
<b>3.0 Capacity</b>				
3.1 Operations	3--- We cut costs and discontinued sub leasing of our office space creating more flexibility for operations. Good progress on this year's audit and bookkeeping			

3.2 Governance	activities 2--- Only slight progress on getting legal advice on the NEKIA Center for Knowledge Use (our companion 501c3 organization). The board approved an alliance membership concept but we have yet to activate research in new dues and membership options
3.3 Membership Development	2--- We have focused on recruitment through the alliance membership concept but have not activated our overall recruitment strategy for 2007.
3.4 Member Participation	0
3.5 Business Development	0

**\*\*\*FOR YOUR REFERENCE\*\*\*  
APPROVED 2007 WORK PLAN**

**Overall Strategy:** Transform NEKIA over a three year period timed with key political and policy dynamics (new Congressional leadership, a new Administration, reauthorizations). In 2007 focus on preparing and testing new policy, organizational and collaborative dimensions. In 2008 launch a major multi-media and multi-dimensional roll out. In 2009 focus on refinements and continued implementation of the new scheme. By 2010 we will have fulfilled our vision.

**1. Advocacy: Dramatically expand federal support for knowledge utilization industry in line with a dynamic new vision for R&D in education**

1.1 Appropriations— Double federal investments in designated knowledge utilization programs by 2009.

- *Strategy for 2007:* Advocate for an aggregated 33% increase over 2006 in current programs.
- *Strategy for 2008:* Advocate for an aggregated 66% increase over 2006 by introducing new programs.
- *Strategy for 2009:* Advocate for an aggregated 100% increase over 2006 by introducing new programs.

1.2 Implementation --- Ensure the favorable implementation of relevant provisions in Education Sciences Reform Act (ESRA) and No Child Left behind Act (NCLB)

- *Strategy for 2007:* Focus on contractual and grants issues at the US Depart of Ed for selected programs (Comp Centers, RELs, R&D Centers, indirect cost rates) based upon Board and sector group concerns.
- *Strategy for 2008:* Evaluate and modify 2007 focus based as appropriate
- *Strategy for 2009:* same as 2008

1.3 Reauthorization --- Advance major new knowledge utilization positions in the reauthorizations of the Elementary and Secondary Education Act (ESEA), Higher Education Act (HEA), and Education Sciences Reform Act (ESRA).

- *Strategy for 2007:* Prepare specific positions for ESEA and secure Congressional sponsors; prepare specific positions for HEA. Research potential modifications for ESRA.
- *Strategy for 2008:* Prepare ESRA proposal; Make adjustments to ESEA position as appropriate; market both proposals to Presidential campaigns and members seeking re-election; reach out to the US ED for support.
- *Strategy for 2009:* same as 2008 depending upon status of each.

**2. Leadership: Build a national consensus for a bold new vision for knowledge utilization as a central organizing concept in education reform.**

2.1 Policy Research and Development --- Create an ongoing process for generating and sharing new policies, ideas, visions for knowledge utilization

- *Strategy for 2007:* Continue to policy forums. Convene a working group inside and outside of NEKIA membership for generating ideas.
- *Strategy for 2008:* Convene a major conference and supporting infrastructure
- *Strategy for 2009:* Evaluate and modify the conference initiative as appropriate.

2.2 Branding --- Create and market a new dynamic image for the knowledge industry and NEKIA emphasizing leadership, innovation and improvement.

- *Strategy for 2007:* Research and test changes for names, tag lines, mission, principles, logo
- *Strategy for 2008:* Roll out changes in the media through coordinated campaign
- *Strategy for 2009:* Focus on establishing identity with the new Administration and 111<sup>th</sup> Congress.

2.3 Communications --- Raise national awareness about knowledge utilization, NEKIA, and its members.

- *Strategy for 2007:* Continue to convene policy forums. Plan for major conference. Research, develop, test new techniques for raising visibility in the media, through the internet, in print.
- *Strategy for 2008:* Implement a comprehensive strategy in coordination with branding process including the major conference.
- *Strategy for 2009:* Evaluate and modify techniques as needed.

2.4 Strategic Alliances — Significantly expand collaborative relationships within and outside of the education policy community nationwide

- *Strategy for 2007:* Continue to nurture relationships with key education organizations in DC. Seek tangible involvement in the major conference and policy forums.
- *Strategy for 2008:* Secure partners and sponsors for the conference
- *Strategy for 2009:* Evaluate and modify course as appropriate

### **3. Capacity: Significantly expand and strengthen NEKIA's capacity to carry out its three-year plan**

3.1 Operations — Improve cost effectiveness, efficiency, and customer service in daily office operations using state of the art web based innovations.

- *Strategy for 2007:* Focus on streamlining accounting, bookkeeping, digital storage processes using online innovations. Conduct customer service survey of members to refine services.
- *Strategy for 2008:* Build a quasi virtual office capacity with on line innovations and consultant experts
- *Strategy for 2009:* Evaluate and modify as necessary

3.2 Governance --- Implement innovative governance approaches to oversee NEKIA's work emphasizing timeliness, agility, and quality.

- *Strategy for 2007:* Research alternative governance models for Board and Executive Committee activity. Including dues and membership structures. Research changes to by-laws for NEKIA and the Center for Knowledge Use.
- *Strategy for 2008:* Implement changes in coordination with other roll out activities
- *Strategy for 2009:* Evaluate and modify as appropriate

3.3 Membership Development --- Double NEKIA's membership in three years

- *Strategy for 2007:* Continue to aggressively reach out to potential new members on target list. Test new marketing techniques including email and web advertising
- *Strategy for 2008:* Roll out new membership dimensions in line with other activities
- *Strategy for 2009:* Continue strategy.

3.4 Member Participation --- Enable greater participation of and collaboration among NEKIA members

- *Strategy for 2007:* Focus on Board meetings and retreats; test online techniques
- *Strategy for 2008:* Evaluate and modify efforts as needed
- *Strategy for 2009:* Evaluate and modify efforts as needed

3.5 Business Development --- Double revenues and diversify revenue streams (2/3-1/3 ratio dues to other) in three years

- *Strategy for 2007:* Focus on expanding dues revenues membership base. Research other sources including sponsorships, philanthropic grants, new membership services
- *Strategy for 2008:* Focus on generating revenues from new sources. Evaluate and modify as needed
- *Strategy for 2009:* Evaluate and modify as needed

# 2007 Budget, Progress Report

## NEKIA

### FY 2007 Budget vs. Year-to-Date Actuals (through January 15<sup>th</sup>)

	YtD Actual	Total YtD Budget	2007 Budget
<b>Income</b>			
Ctr for Knowl Use - Transf. Initiative Spsrships/Grants			50,000.00
Ctr for Knowl Use - Management Fee			25,000.00
Ctr for Knowl Use- Transf. Initiative Supp. for Dev.			50,000.00
Members- Annual Dues	333,500.00	333,500.00	492,000.00
Members- Expense Reimb			36,000.00
Non Profit Income			0.00
Others - Interest Income	517.94	666.00	4,000.00
Others - Miscellaneous Income	5,097.00		
Others - Rental Income	4,616.32	4,666.00	4,666.00
<b>Total Income</b>	<b>\$ 343,731.26</b>	<b>\$ 338,832.00</b>	<b>\$ 661,666.00</b>
<b>Expenses</b>			
Advertising & Promo Materials	2,885.00	2,000.00	2,000.00
Bank Charges & Fees	49.74	72.00	450.00
Computers - Internet Fees	399.80	582.00	3,500.00
Computers - Service & Repairs		500.00	3,000.00
Computers - Website Maint	39.90	50.00	300.00
Consultants	3,158.13	7,000.00	42,000.00
Dues & Subscriptions			9,500.00
Entertainment & Meals	67.38	500.00	3,000.00
Equipment Leases	279.29	282.00	1,700.00
Gifts & Awards	243.38	132.00	800.00
Insurance - Business			1,000.00
Insurance - D & O			1,800.00
Insurance - Health	3,969.00	5,166.00	31,000.00
Insurance - Work Comp			1,600.00
Interest Expense			100.00
Late Fees & Finance Charges	162.38		
Lobbying Fees	350.00	1,332.00	8,000.00
Meetings -Board of Directors	0.00		13,000.00
Meetings -Other Meetings	1,359.52	1,500.00	30,000.00
Miscellaneous		82.00	500.00
Office Supplies & Expenses	87.11	332.00	2,000.00
Payroll - Salaries	18,830.97	52,152.00	312,920.00
Payroll - Taxes	1,939.90	3,750.00	22,500.00
Pension Contributions	1,215.22	1,400.00	8,400.00
Postage & Delivery	43.94	250.00	1,500.00
Printing & Copying			1,000.00
Professional Development			1,500.00

	<b>YtD Actual</b>	<b>YtD Budget</b>	<b>2007 Budget</b>
<b>Professional Fee - Accounting</b>	13,916.37	14,000.00	16,000.00
<b>Professional Fee - Bookkeeping</b>	1,038.48	1,000.00	4,000.00
<b>Professional Fee - Legal</b>			1,000.00
<b>Professional Fee - Other</b>	500.00		
<b>Professional Fee - Payroll Service</b>	120.83	266.00	1,600.00
<b>Professional Fee - Pension Admin</b>	320.00	308.00	1,850.00
<b>R&amp;M - Maintenance Contract</b>	150.00	416.00	2,500.00
<b>Rent</b>	14,237.64	14,237.00	44,237.00
<b>Storage Expense</b>	199.26	200.00	1,200.00
<b>Taxes &amp; Licenses</b>			5,000.00
<b>Telephone, Fax &amp; Cellular</b>	1,573.44	1,416.00	8,500.00
<b>Transformation Initiative</b>			75,000.00
<b>Travel - Local</b>	5.00	166.00	1,000.00
<b>Travel - Long Distance</b>	181.54		10,000.00
<b>Utilities</b>		700.00	700.00
<b>Total Expenses</b>	<b>\$ 67,323.22</b>	<b>\$ 109,791.00</b>	<b>\$ 675,657.00</b>
<b>Net Operating Income</b>	<b>\$ 276,408.04</b>	<b>\$ 229,041.00</b>	<b>-\$ 13,991.00</b>

# Approved Advocacy Portfolio

**To:** Board of Directors  
**From:** Jim Kohlmoos  
**Subject:** Approved Advocacy Portfolio  
**Date:** January 30, 2007

For your reference during our discussion on advocacy in the 110<sup>th</sup> Congress, I have provided below the advocacy portfolio for 2007 that you approved several weeks ago.

Note that since we are dealing with a fluid situation with the new Congress, we will be compiling our overall advocacy plan in a rolling fashion and we will need to be flexible as events unfold. As new issues arise we will be making changes as appropriate. We will keep the most up to date portfolio on our web site at

[http://neki.org/navigation\\_bars/nekiamembers/gr/advocacy.html](http://neki.org/navigation_bars/nekiamembers/gr/advocacy.html)

**Criteria** --- As in previous years we should use four criteria for identifying programs/issues for the 2007 portfolio:

1. Fits within our knowledge use principles and vision
2. Is of significant interest to the most number of NEKIA members
3. Has a reasonable likelihood of success
4. Is managed within the education committees in Congress (either appropriations or authorizing).

**Tactical Considerations** --- In developing the tactics for each program we took into consideration a number of factors including:

- How to best advocate for specific results for a particular program/issue while advancing our overall knowledge use agenda?
- How best to expand our portfolio without diluting the “ask” with too many programs (e.g. how to advocate for 5-7 programs)
- For which programs are we willing to expend the most political capital?
- Which programs can we piggy back on other groups’ efforts and thus not expend precious capital?
- For which programs do we have strong support or potential support in congress?

**Tactics** --- You will note that we have coded the various tactics as follows:

- A. Include in relevant NEKIA letters, in NEKIA one pager (leave behind to hill staff), in Congressional testimony. Continuous personal follow up and monitoring with Members of Congress and staff
- B. Organize interest group sign-on letter
- C. Initiate Congressional “Dear Colleague” letter
- D. Coordinate grass roots/grass tops campaign among NEKIA members
- E. Piggy back on other interest groups’ sign-on letters
- F. Piggy back on other groups’ Hill visits
- G. Wait and watch and determine tactics pending further study or additional opportunities

<b>Program/ Issue --- Appropriations</b>	<b>Intended outcome</b>	<b>FY07/ FY08 Increase/ total</b>	<b>Anticipated Tactics</b>	<b>Comments</b>
<b>For FY 2007</b>				
Year long Continuing Resolution for Labor HHS Education Programs	\$5 billion addition funding for education without across the cut.	TBA	A,E,F	
<b>For FY 2008</b>				
21st Century Cmty Learning Centers	Funding increase	TBA	E,F	
Comp Centers	Funding increase	TBA	A,B,C,D	
Comprehensive School Reform national activities and report language regarding for both the concept and models	Funding increase and favorable knowledge use language	TBA	A, B, C	
Even Start	Restore funding to FY 2006	TBA	E, F	
Improving Teacher Quality State Grants	Funding increase and favorable report language	TBA	A,B,C,DE,F	
Labs	Funding increase	TBA	A,B,C,D	
Math science (NSF)	Funding increase	TBA	E,F	
Math Science Partnership (ED)	Funding increase	TBA	E,F	
Parent Information Centers	Funding increase	TBA	G	
Research, Development, Dissemination (IES)	Funding increase	TBA	A,B,C,D	
R&D Centers	Funding increase with report language	TBA	A,B,C,D	
Reading First	Funding increase	TBA	E,F	
Smaller Learning Communities	Preserve funding	TBA	E,F	budget request
Special Ed Research	Funding increase	TBA	E,F	
Special Ed Evaluation	Funding increase	TBA	E,F	
State Data Systems	Funding increase	TBA	E,F	\$54 M proposed by president
Striving Readers	Funding increase	TBA	E,F	
Technology State Grants	Funding increase	TBA	E,F	
Title I Formula	Funding increase	TBA	E,F	
<b>Program/Policy--- Authorizations</b>	<b>Intended Outcome</b>	<b>Anticipated Tactics</b>	<b>Comments</b>	
Knowledge Use Act	Include in ESEA	A,B,C,D		

	reauthorization		
Scientifically based Research definition	Include knowledge use clause in ESEA reauthorization	ABCD	
Higher Ed Act Teacher Quality	Reauthorization with favorable knowledge use language	G	
Sub Contracting Limitations	Remove cap	TBA	
Restricted Indirect Cost Rate	Exemption for non profits in “supplement not supplant” programs	TBA	
SPEAK Act for national standards for math and science	Include in ESEA reauthorization	E	

**Implementation Issues/programs/projects to monitor in the Executive Agencies**

- Promising Practices Initiative /Doing What Works
- Comprehensive Centers network development
- Regional Educational Laboratory administrative and programmatic issues
- National Board for Education Sciences priorities
- R&D Center supplemental grants process
- Revisions to EDGAR relating to restricted indirect cost rate and sub contracting limitations
- PART process for evaluating programs at the Office of Budget and Management
- Inspector General reports and implementation regarding Reading First

# ESEA Reauthorization Proposal

**To:** Board of Directors  
**From:** Jim Kohlmoos for the Reauthorization Task Force  
**Subject:** NEKIA's Proposal for the Reauthorization of the Elementary and Secondary Education Act (ESEA)  
**Date:** January 30, 2007

As we have previously discussed, over the past year our Reauthorization Task Force (composed of Laura Lefkowitz, Wes Hoover, Paul Kimmelman, Steve Fleischman, Everett Barnes from RMC, Carolyn Woempner from McREL, and Ellin Nolan) have worked on various iterations of our proposal for the reauthorization of ESEA. While we have shared various preliminary versions of the proposal with Congressional staffers, US Department of Education officials and friends from other organizations, we have yet to release a final version. In anticipation of increased reauthorization activity in Congress in the coming months, we believe now is the time to finalize our position and actively promote it in Congress and among education groups. You will find below the task force's proposal. At our meeting we will seek the Board's approval of this or a modification. In reviewing this piece, please consider the following:

**Unique Niche---** We chose to focus on creating a unique and identifiable policy niche for NEKIA rather than take explicit positions on some the expected big, contentious issues such as AYP calculations, growth models, highly qualified teacher provisions, and sanctions.

**Knowledge Use ---** We decided to adapt the core ideas of the Knowledge Utilization Act of 2004 and make knowledge use a central theme of our proposal. While we are not fully satisfied with the term "knowledge use", we will continue use it for the time being. We anticipate generating more ideas during the re-branding process.

**Policy Marker for the Long Term ---** We continue believe that Congressional action on the reauthorization will not likely to occur until after the new Administration takes office in 2009. Thus we should consider this proposal as a way to establish a policy marker for longer term advocacy and further policy development, particularly for the reauthorization of the Education Sciences Reform Act.

**Other Positions ---** Staking out our policy niche will not preclude us from commenting on other issues of relevance for which other organizations may be advocating. In fact, we plan to monitor and comment on other organizations' proposals that contain research-related recommendations.

**Additional Materials ---** The following proposal will serve as our core document but we plan to draft other pieces including a one page summary for Congressional staff and a longer document with case studies and examples.

I look forward to the discussion and the decision at our meeting.

January 29, 2007

## **National Education Knowledge Industry Association**

1718 Connecticut Avenue, NW Suite 700

Washington, DC 20009 (202) 518-0847

[www.nekia.org](http://www.nekia.org) [Kohlmoos@nekia.org](mailto:Kohlmoos@nekia.org)

### **Launching a New Era of Knowledge-based Innovation and Improvement for All Children** *A Proposal for the Reauthorization of the Elementary and Secondary Education Act*

The National Education Knowledge Industry Association (NEKIA) is pleased to present the following recommendations for the reauthorization of the Elementary and Secondary Education Act (ESEA). NEKIA is a non-profit, non-partisan association dedicated to expanding the use of research-based knowledge in policy and practice in K-12 education. Our members represent a community of successful education organizations and agencies established to support high-quality education research, development, dissemination, technical assistance and evaluation at the federal, regional, state, tribal, and local levels.

By the term “research-based knowledge use” we mean an approach to school improvement that creates and supports the application of the best available, empirical evidence. We believe that research-based knowledge use is essential to innovation and improvement in K-12 education and should be a central organizing concept for the reauthorization of ESEA. We offer the following recommendations to help advance a new era in federal education policy that promotes the creation and application of knowledge to achieve successful and sustained school improvement.

### **Recommendations for Reauthorization**

**#1 Make the use of research-based knowledge a central theme of the reauthorization ---** We believe the reauthorization offers an opportunity for the nation to take the next logical step in the standards based reform by clearly and explicitly focusing on the use of research-based knowledge in school improvement. We suggest that the title of the new law should reflect this theme, for example, “Using Research-based Knowledge for Innovation and Improvement for All Children Act”

**#2 Incorporate the concept of knowledge use in scientifically based research provisions ---** We recognize the value and importance of the scientifically based research (SBR) provisions in the current statute. These provisions should be strengthened in the reauthorization by emphasizing the creation, application, and use of research-based knowledge in addressing practical problems. We suggest incorporating utilization language into the SBR definition and adding a new definition for effective knowledge use to the underlying statute.

**#3 Launch a national research-based knowledge use initiative in support of school improvement ---** Similar to other efforts that have deserved focused, high-priority attention, we suggest that the Department of Education be authorized to launch a national initiative for knowledge use for school improvement that focuses on supporting the agencies and organizations

charged with helping states comply with federal mandates. The basic components of this initiative would include:

- ***Office of Knowledge Use in Policy and Practice*** at the US Department of Education to promote and coordinate the development of policies and programs for knowledge use;
- ***Interagency Task Force*** to promote coordination and cooperation among Federal departments and agencies administering knowledge use programs and activities;
- ***Knowledge Use Partnership in Education Network*** to promote and advance knowledge use in education in conjunction with private and public organizations and entities throughout the Nation;
- ***Biennial Report to Congress*** to assess the state of knowledge use in education in shaping policy and practice nationwide;
- ***Using Research-based Knowledge for Innovation Venture Fund*** to support local and state activities for: creating a corps of local chief knowledge officers and research-to-practice coordinators; developing professional development programs and institutes on knowledge use; conducting research on effective knowledge use; supporting efforts to identify and disseminate promising practices in the implementation of knowledge-based innovations; promoting entrepreneurship in developing new knowledge-based solutions, innovations, and choices in school; establishing fellowship programs for building expert capacity in knowledge utilization.

**#4 Increase authorization levels for investments in “knowledge use” programs that are consistent with demand ---** We believe that the reauthorization of ESEA should create strong policy links to the Education Sciences Reform Act by aligning the quality and quantity of basic and applied research, development, dissemination, and technical assistance authorized under ESRA with the increased demand for school improvement created under ESEA. Specifically we recommend at least a doubling of the authorization levels of “knowledge use” programs in both statutes. This would apply to such programs as Comprehensive Assistance Centers; Comprehensive School Reform; Teacher Quality State Grants; Regional Education Laboratories; Fund for Research, Development, and Dissemination; Smaller Learning Communities; Title 1 School Improvement Fund; Twenty-first Century Learning Centers; Even Start; Math Science Partnerships; Parent Information Resource Centers; Reading First; Special Education Research and Evaluation programs; Statewide Data Systems; Striving Readers; Technology State Grants; Title V state innovation grants.

## **Why “Knowledge Use” is Critical**

Clearly, the concept of developing research-based solutions to the problems of low student achievement was a cornerstone of the No Child Left Behind Act (NCLB). In the reauthorization of the ESEA, we believe the focus must be on translating that knowledge into useful tools that will impact classroom practice in low-performing schools for the following critical reasons:

**Increasing demand for knowledge-based solutions ---** In 2005 more than 24,000 U.S. public schools were not making adequate yearly progress and over 10,000 schools were designated in need of improvement under the NCLB. Many more schools are on the “cusp” and in need of additional support. To fulfill the promise of NCLB, much greater attention

needs to be directed to delivering evidence-based solutions to these schools in need. Otherwise, all of the nation's improvement efforts will be built on a weak foundation.

**Inadequate federal investment in R&D** --- While the NCLB requires educators to use instructional practices and innovations supported by research, the Department of Education spends less than one percent of its budget on research, development, and statistics. This level of investment will not build the evidence base needed by educators to achieve the improvements envisioned by NCLB. By comparison, other agency R&D budgets as a percentage of their discretionary spending are: Defense, 17 percent; NASA, 68 percent; Energy, 37 percent; HHS, 42 percent; NSF, 74 percent; and Agriculture, 4.6 percent. The Department of Education's research budget has been and remains among the smallest of any cabinet-level agency. Without an increased investment in developing and testing research-based practices, schools and districts will continue to find it difficult to fulfill NCLB's mandate for using such practices.

**An escalating capacity crisis** --- A report by the non-partisan Center on Education Policy (CEP) released in 2006, finds that there is a growing capacity crisis at the state and local levels to support schools in need of improvement. We agree with CEP's assessment that "...the Department and the Congress should (provide) more funding and ... other types of support to help strengthen states' and districts' capacity to assist schools identified for improvement. Many states and districts lack sufficient funds, staff, or expertise to help improve all identified schools..." A national study by the Center for Research on Education Outcomes Further found that this crisis is further aggravated by state education agencies' very low capacity to evaluate the education programs that are carried out at the state and district level.

**A weak policy link between the federal research enterprise and federal school improvement efforts** --- On the one hand NCLB stimulates and shapes greater demand for research-based solutions through its accountability and sanctioning provisions. On the other hand, the Education Sciences Reform Act (ESRA) aims to increase the supply of research-based knowledge through its investments in research and development. While there are numerous provisions in NCLB regarding scientifically based research and in ESRA for addressing school improvement, the links between supply and demand have not been fully developed and remain functionally weak. We attribute part of the problem to federal policy that fails to create a strong systematic link between ESRA and NCLB focusing on the critical areas of knowledge development, transfer, application and use in school improvement.

**Urgent need to take the next essential step in standards-based reform** --- Federal education policy has evolved in phases over the past 15 years in concert with the implementation of the elements of standards-based reform. The focus on standards and assessments in the late 1980's and early 1990's spawned a major focus on the alignment of standards, curriculum, and assessments in the 1990's which in turn begat the current emphasis on accountability. It is particularly significant that the last three reauthorizations have paralleled this progression with the Hawkins/Stafford Elementary and Secondary School Improvement Amendments of 1988, the Improving America's Schools Act of 1994,

and the NCLB of 2002. The next logical step in this standards-based continuum would be a more comprehensive and vigorous focus on school improvement --- providing significant new resources and expertise targeted both to turning around low performing schools and to building a knowledge-based capacity and infrastructure for sustained improvement. The reauthorization should serve as a major catalyst for moving to this next critical phase.

## Proposed Bill Language

### **Modifications to current Scientifically Based Research definition (see recommendation #2) (NEW LANGUAGE IN BOLD):**

Title IX General Provisions

Part A--Definitions

Sec 9101Definitions

(37) **SCIENTIFICALLY-BASED RESEARCH.** The term scientifically based research-

(A) Means research that involves the application of rigorous, systematic, and objective procedures to obtain reliable, **USEABLE** and valid knowledge relevant to education activities and programs; and

(B) Includes research that-

(i) employs systematic, empirical methods that draw on observation or experiment;

(ii) Involves rigorous data analyses that are adequate to test the stated hypotheses and justify the general conclusions drawn;

(iii) Relies on measurements or observational methods that provide reliable and valid data across evaluators and observers, across multiple measurements and observations, and across studies by the same or different investigators;

(iv) Is evaluated using experimental or quasi-experimental designs in which individuals, entities, programs, or activities are assigned to different conditions and with appropriate controls to evaluate the effects of the conditions of interest, with preference for random-assignment experiments or other designs to the extent that those designs contain within-condition or across-condition controls;

(v) ensures that experimental studies are presented in sufficient detail and clarity to allow for replication, **UTILIZATION OF THE KNOWLEDGE**, or, at a minimum, offer the opportunity to build systematically on their findings; and

(vi) Has been accepted by a peer-reviewed journal or approved by a panel of independent experts through a comparably rigorous, objective and scientific review.

### **Research-based Knowledge Use Definition (see recommendation #2)**

(1) Knowledge use- The term `research-based knowledge use'--

(A) refers to an approach to school improvement that creates and supports the application of the best available, research-based evidence.

(B) involves the interactive processes including research, development, dissemination, technical assistance, and evaluation in which research-based knowledge is applied to improving instructional practice and shaping educational policy; and

(B) includes such activities essential to school improvement as—

- (i) Rigorous scientifically based research on questions and issues relevant to school improvement
- (ii) Development and evaluation of practical applications of research, such as procedures, policies, practices, programs, materials, and training;
- (iii) The use of research-based technical assistance and professional development for policymakers, practitioners, and other stakeholders;
- (iv) Collection and dissemination of information, data, and statistics;
- (v) Initiatives for building linkages among research, policy, and practice; and
- (vi) An infrastructure for increasing capacity for the use of research and its applications.

**National Knowledge Use Initiative (see recommendation #3)**

*SECTION 1. SHORT TITLE.* This Act may be cited as the Using Research-based Knowledge for Innovation and Improvement for All Children Act”

*SEC. 2. FINDINGS.*

The Congress finds as follows:

- (1) Knowledge use allows information generated by scientifically valid research to be available to, and usable by, educators in the classroom.
- (2) Limited knowledge use has impeded the progress of schools in increasing academic achievement of students.
- (3) Research shows that student achievement increases when education practices based on scientifically valid research are used by classroom teachers.
- (4) To facilitate the coordination and use of knowledge-based practices by classroom teachers, effective knowledge use is essential, including the development and use of products and strategies based on scientifically based research.
- (5) The active involvement of teachers, principals, district administrators, chief State school officers, as well as developers, researchers and intermediaries in knowledge use activities is essential to the effective application of research-based knowledge to policy and practice.
- (6) Although the No Child Left Behind Act of 2001 (which amended the Elementary and Secondary Education Act of 1965 (20 U.S.C. 6301 et seq.)) requires educators to use instructional practices and innovations supported by scientifically valid research, such practices and innovations are in short supply and not widely available and coordinated for effective use in classrooms.
- (7) Given that a significant percentage of public schools in the United States are not making adequate yearly progress under the No Child Left Behind Act of 2001, steps must be taken to coordinate the effective use of knowledge by classroom educators.
- (8) Particular subgroups of students are not making adequate yearly progress, as defined by the No Child Left Behind Act of 2001, including economically disadvantaged students, students from major racial and ethnic groups, students with disabilities, and students with limited English proficiency. Such students require targeted efforts to ensure that they are receiving instruction supported by scientifically valid research.
- (9) More instructional activities and practices supported by scientifically valid research need to be developed to meet the current and expected demands of educators in schools.

- (10) Although a number of federal research, development, dissemination, and technical assistance programs have been proven to be effective, these programs need to be brought to national scale and coordinated through a national, knowledge use initiative.
- (11) Effective knowledge use in education brings together the professional wisdom of practitioners and the best available empirical evidence generated through scientifically valid research.
- (12) Too often exemplary innovations in teaching, curriculum, and assessment are demonstrated to be effective, but have minimal impact because they are not brought to scale.
- (13) Educational practices that are supported by scientifically valid research need to be brought to greater scale in school districts across the country in order to have broad influence on student achievement.
- (14) National leadership is needed to provide targeted initiatives, collaboration, and coordination of knowledge use programs to ensure that classroom educators have access to, and utilize practices supported by, scientifically valid research.
- (15) A national leadership initiative to coordinate Department of Education programs and promote knowledge use in education will facilitate the effective implementation of the No Child Left Behind Act of 2001.

*SEC. 3. NATIONAL LEADERSHIP INITIATIVE FOR EFFECTIVE KNOWLEDGE USE IN EDUCATION.*

- (a) Establishment- There shall be in the Department of Education the National Leadership Initiative for Knowledge Use in Education (in this section referred to as the “Initiative”).
- (b) Goals- The goals of the initiative shall include the following:
  - (1) Promoting the use of scientifically valid research in education practice and innovation.
  - (2) Providing leadership to the Nation in developing and promoting policies, practices, and investments that result in the provision of instruction supported by scientifically valid research to elementary and secondary school students.
  - (3) Developing and promoting policies, practices, and investments that result in bringing to scale successful educational practices that are based on scientifically valid research.
  - (4) Informing the public about the significance of using scientifically valid research in education.
  - (5) Encouraging the use of new technologies in appropriate knowledge use efforts.
  - (6) Supporting the effective coordination of current federally supported knowledge use programs, including regional educational laboratories, research and development centers, technical assistance centers and consortia, national clearinghouses, and other entities involved in research, development, dissemination, technical assistance, and evaluation.
  - (7) Administering the partnership that may be established pursuant to subsection (c) (2) of this section.
  - (8) Producing the biennial report required by subsection (d).
  - (9) Using the expertise of existing knowledge use programs to assist in the implementation of this section.

(c) Allowable Activities – the initiative may conduct one or more of the following activities:

(1) Interagency Task Force-

(A) Establishment- To promote coordination and cooperation among Federal departments and agencies administering knowledge use programs and activities, the Secretary may convene the Interagency Task Force on Knowledge Use in Education (in this subsection referred to as the 'Task Force').

(B) Functions of the task force-

(i) Identify and review Federal programs, activities, and projects with respect to knowledge use in education (including any plans for such programs, activities, and projects); and

(ii) Prepare, for inclusion in the biennial report under subsection (d), recommendations on ways to improve the coordination and collaboration of such programs, activities, and projects.

(C) Membership- The Task Force may include, but is not limited to, the following members:

(i) The Director of the Institute of Education Sciences.

(ii) The Director of the National Institute of Child Health and Human Development.

(iii) The Director of the National Science Foundation.

(iv) Such Assistant Secretaries and other officials from the Department of Education as the Secretary may designate.

(2) Knowledge Use Partnership in Education-

(A) Establishment- The Secretary may establish a network of private and public entities throughout the Nation, to be known as the Knowledge Use Partnership in Education (in this subsection referred to as the 'Partnership').

(B) Purpose- The purpose of the Partnership is to promote and advance knowledge utilization in education in conjunction with private and public organizations and entities throughout the Nation.

(C) Functions- The Partnership may--

(i) encourage private-public venture partnerships for knowledge utilization;

(ii) Identify needs in relation to knowledge use programs, activities, and projects supported by the Federal Government;

(iii) Provide general advice to the Secretary; and

(iv) Provide technical assistance to the elementary and secondary education community to encourage the adoption of education practices supported by scientifically valid research.

(3) Advisory panel-

(A) Establishment- The Secretary may establish a Partnership Advisory Panel (in this paragraph referred to as the 'Panel').

(B) Membership- The Secretary shall select the members of the Panel from among individuals who represent entities participating in the Partnership and have expertise in knowledge use.

(C) The Panel may conduct the following functions:

(i) To advise the Secretary regarding the opportunities and challenges of promoting knowledge use activities at the local, State, and Federal levels through the Partnership; and offer suggestions to the Secretary for promoting knowledge use policies and strategies in the future through the Partnership.

(4) Office of Knowledge Use in Policy and Practice

(A) The Secretary may establish an Office of Knowledge Use in Policy and Practice administered by the Director of the National Initiative for Effective Knowledge Use

(B) The Office may conduct the following functions:

- (1) Promote the utilization of scientifically valid research in education practice and innovation, provide leadership to the Nation in developing and promoting policies, practices and investments that result in the provision of instruction to K-12 students that is supported by scientifically valid research
- (2) Develop and promote policies, practices and investments that result in bringing to scale successful educational practices that are based on scientifically valid research.
- (3) Inform the public regarding the significance of utilizing scientifically valid research in education.
- (4) Encourage the use of new technologies in appropriate knowledge utilization efforts
- (5) Support the effective coordination of current federally supported knowledge utilization programs including the regional educational laboratories, the university-based research and development centers, comprehensive assistance centers, national clearinghouses, and other entities involved in research, development, dissemination, technical assistance and evaluation.
- (6) Administer the Interagency Task Force in section TBA
- (7) Administer the Panel in section TBA
- (8) Produce the Biennial Report in section TBA
- (9) Use the expertise of existing knowledge use programs in (5) to help implement the components of this initiative.

(C) The Director shall be an expert in knowledge utilization including promoting the effective implementation of the results of research in the classroom, and managing large institutions or consortia that conduct a broad array of research applications.

(D) The Director is authorized to select, appoint, and employ such officers and employees as may be necessary to carry out the functions of the Office, subject to the provisions of Title 5, United States Code (governing appointments in the competitive service), and the provisions of chapter 51 and subchapter III of chapter 53 of such title (relating to classification and General Schedule pay rates).

(d) Biennial Report-

(1) In general- The Secretary shall--

- (A) Conduct a biennial analysis of the state of knowledge use in education practice and innovation; and
  - (B) Submit a report on the results of each such analysis to the Committee on Education and the Workforce of the House of Representatives and the Committee on Health, Education, Labor, and Pensions of the Senate.
- (2) Contents- Each report submitted under this subsection shall--
- (A) Include an assessment of efforts to increase the use of education practices supported by scientifically valid research; and
  - (B) Recommend changes in policies to further promote progress in knowledge use.
- (3) Initial report- The first report under this subsection shall be submitted no later than 2 years after the date of the enactment of this Act.

*SEC. 4. USING RESEARCH-BASED KNOWLEDGE FOR INNOVATION VENTURE FUND.*

- (a) Program Authorized- The Secretary of Education shall make competitive grants to, and enter into contracts with, eligible entities to support projects that promote knowledge use in education.
- (b) Use of Funds- the Secretary may not make a grant to an eligible entity under this section unless the entity agrees to use the grant for 1 or more of the following:
- (1) Helping educators become more informed consumers of knowledge use programs and services through sustained professional development activities, including annual conferences, summer teacher academies, on-line seminars, and school-based workshops.
  - (2) Creating incentives for States and districts to expand and coordinate their investments in knowledge use initiatives.
  - (3) Focusing special knowledge use efforts on high-need, low-capacity areas such as rural schools.
  - (4) Developing a national corps of regionally based research-to-practice coordinators to work in schools on the effective implementation, use, and dissemination of education practices supported by scientifically valid research.
  - (5) Targeting efforts to classroom educators working with subgroups whose test scores indicate that they need improvement under the adequate yearly progress calculation required by section 1111(b) (2) of the Elementary and Secondary Education Act of 1965 (20 U.S.C. 6311(b) (2)), including economically disadvantaged students, students from major racial and ethnic groups, students with disabilities, and students with limited English proficiency.
  - (6) Conducting research on effective knowledge use.
  - (7) Coordinating and enhancing existing federally supported knowledge use programs, including regional educational laboratories, research and development centers, technical assistance centers and consortia, national clearinghouses, and other entities involved in research, development, dissemination, technical assistance, and evaluation.
  - (8) Supporting efforts to identify and disseminate promising practices in the implementation of education innovation that are supported by scientifically valid research.

(9) Promoting entrepreneurship in developing new solutions, innovations, and choices in education for consumers that are supported by scientifically valid research.

(10) Establishing fellowship programs to encourage expert capacity in knowledge utilization.

(11) Using Internet-based technology to enable classroom teachers to access, in all content areas, instructional practice and innovation that are grounded in scientifically valid research.

(12) Developing means and methods for making the information from the What Works Clearinghouse and other clearinghouses available to, and accessible by, classroom teachers.

(13) Developing strategies to support the use of scientifically valid research by classroom teachers and school administrators in managing and improving student behavior and school climate.

(c) Applications- To seek a grant or a contract under this section, an eligible entity shall submit an application to the Secretary at such time and in such manner as the Secretary may reasonably require.

(d) Eligible Entities- In this section, the term `eligible entity'--

(1) means a private or public, for-profit or nonprofit organization, institution, agency, institution of higher education, or partnership of such entities, that has demonstrated expertise in knowledge utilization in education; and

(2) includes existing federally supported knowledge utilization programs, such as regional educational laboratories, research and development centers, technical assistance centers and consortia, national clearinghouses, and other entities involved in research, development, dissemination, technical assistance, and evaluation.

#### *SEC. 5. DEFINITIONS.*

In this Act:

(1) Applied research- The term `applied research' has the meaning given to that term in section 102 of the Education Sciences Reform Act of 2002 (20 U.S.C. 9501).

(2) Knowledge use- The term `research-based knowledge use'--

(A) refers to an approach to school improvement that creates and supports the application of the best available, research-based evidence.

(B) involves the interactive processes including research, development, dissemination, technical assistance, and evaluation in which research-based knowledge is applied to improving instructional practice and shaping educational policy; and

(C) includes such activities essential to school improvement as—

(i) Rigorous scientifically based research on questions and issues relevant to school improvement

(ii) Development and evaluation of practical applications of research, such as procedures, policies, practices, programs, materials, and training;

(iii) The use of research-based technical assistance and professional development for policymakers, practitioners, and other stakeholders;

(iv) Collection and dissemination of information, data, and statistics;

- (v) Initiatives for building linkages among research, policy, and practice; and
- (vi) An infrastructure for increasing capacity for the use of research and its applications.

(3) Initiative- The term `Initiative' means the National Leadership Initiative for Knowledge Use in Education established by section 3.

(4) Scientifically valid research- The term `scientifically valid research' has the meaning given to that term in section 102 of the Education Sciences Reform Act of 2002 (20 U.S.C. 9501).

(5) Secretary- The term `Secretary' means the Secretary of Education.

*SEC. 6. AUTHORIZATION OF APPROPRIATIONS.*

There are authorized to be appropriated such sums as may be necessary to carry out this Act for each of fiscal years 2008 through 2012.

# Re-branding the Trade Association

**To:** Board of Directors  
**From:** Jim Kohlmoos for the Re-branding Task Force  
**Subject:** Launching the re-branding process  
**Date:** January 30, 2007

The Re-branding Task Force composed of Max, Carol, Doris, John and me selected Lipman Hearne as our consultants to conduct our re-branding process. We received excellent bids from three very competent organizations but Lipman Hearne rose to the top with their understanding our of new vision and how it fits into our policy and advocacy aspirations. Rodney Ferguson and Patrick Riccards will be leading a discussion about the process during the Board meeting. See below their proposal and plan.

## MEMORANDUM

**DATE:** January 5, 2007  
**TO:** Jim Kohlmoos, NEKIA  
**FROM:** Rodney Ferguson, Lipman Hearne  
Patrick Riccards, Lipman Hearne  
**RE:** Proposal for NEKIA Rebranding

### **Our Understanding of the Work**

The National Education Knowledge Industry Association (NEKIA) has reached a crossroads. At no time in our nation's history has education research played a more prominent role than it does today. The passage of No Child Left Behind (NCLB) in 2002 made "scientifically based research" a necessary buzzword in education policy and reform. Today, as Congress prepares to reauthorize NCLB, it is imperative for NEKIA and its members to ensure that their work is recognized, appreciated, and appropriated funded by those stakeholders that rely on the industry.

Since the passage of NCLB, NEKIA has been an active voice in policy discussions, sponsoring a wide range of forums and serving as a valuable resource for those stakeholders it was created to serve – educators, policymakers, researchers, developers and providers, and intermediaries. By serving these stakeholders at the federal, state, local, and tribal levels, NEKIA has carved out an interesting niche for itself in this era of evidence-based instruction, no-holds-barred assessment, and effective measures of student achievement.

As NEKIA prepares to celebrate its 10-year anniversary, it is preparing to undertake a major organizational change. Led by its board and president, the organization is aggressively seeking to keep the organization relevant and cutting edge in our 21<sup>st</sup> century education reform environment.

By embracing a new organizational brand, expanding its policy and advocacy focus on a dramatically expanded role and investment in educational research and development, expanding partnerships and collaborations with relevant stakeholders, NEKIA will possess the tools to both double its membership and diversify its revenue base.

Such a repositioning effort could not come at a more opportune time for NEKIA. With the recent release of the New Commission on Skills of the American Workforce and the upcoming release of the Commission on No Child Left Behind report, the education community is focusing on how we effectively use R&D to improve instruction, performance, and measurements in our public schools. There is no existing organization that can provide the knowledgebase, constituency, or focus on education research that NEKIA contributes to the debate. As a result, the organization is uniquely positioned to serve as a leading, knowledgeable voice in the NCLB 2 era.

As NEKIA looks for a partner in this effort, there is no stronger organization than Lipman Hearne. Because of our rich history in K-16 education communications, our experience in education research issues, and know how with regard to fundraising and sponsorship campaigns, we are uniquely suited to assist NEKIA as it repositions the organization. As a partner to NEKIA, Lipman Hearne provides a rich experience in the subject matters and constituencies NEKIA is working with. Offering both the strategic planning and “roll up your sleeves” execution NEKIA needs, Lipman Hearne is eager and ready to begin working with NEKIA immediately. We truly believe there is no better strategic communications and public affairs partner for NEKIA than Lipman Hearne.

In the short term, our goal is to provide NEKIA with a three-month effort designed to position NEKIA for an effective relaunch in late 2007. Using this rebranding effort as a foundation, we are confident we will be able to help NEKIA develop and implement a comprehensive public affairs strategy that can offer:

- A strategic framework for achieving marketing and public affairs goals.
- A series of specific strategies that address each program goal.
- A prioritized set of tactics to achieve each goal, along with a timeline and budget for each tactic.
- A set of specific strategies that address public affairs activities impacting NEKIA fundraising and expansion.
- Detailed media relations recommendations.

### **Phase 1: Rebranding NEKIA**

Lipman Hearne recognizes that NEKIA’s top priority is rebranding the organization so it is ready for the repositioning activities the organization is planning for the end of 2007. Kicking off this effort at NEKIA’s February board meeting, Lipman Hearne is ready to begin work immediately on a series of branding and strategic planning activities designed to help NEKIA double its membership and diversify its funding resources in 2008 and beyond.

Specifically, Lipman Hearne will provide NEKIA with the following services:

- A. ***Name/Tagline Development*** – Working with NEKIA’s president and other members of senior leadership, Lipman Hearne will lead the effort to establish a new name and tagline for the organization. Working from existing NEKIA internal research and external data gathered by like-minded organizations, Lipman Hearne will:
- a. Identify the strongest messages and verbiage that resonates with NEKIA’s core stakeholders
  - b. Determine NEKIA’s core strengths to ensure that name and tagline crosswalk with audience understanding and appreciation
  - c. Equip NEKIA with a series of recommended names for the organization
  - d. Provide NEKIA with a series of recommended taglines for the organization
  - e. If appropriate, conduct additional membership and/or stakeholder research to ensure the strongest messages are being utilized by NEKIA. *(Please note, such research activity is not included in the proposed budget. Separate budgets can be provided.)*
- B. ***Strengthening of NEKIA Mission Statement/Guiding Principles*** – As part of our messaging activities, Lipman Hearne will work with NEKIA officials to ensure that the organization’s mission statement and guiding principles effectively reflect NEKIA’s value proposition and the new role it is seeking to plan in the educational marketplace. Building off of NEKIA’s existing mission, Lipman Hearne will:
- a. Review existing mission statement, guiding principles, and related vision documents
  - b. Provide recommendations to enhance current documents and messages to crosswalk with new tagline and organizational focus
  - c. Develop recommendations for how to further cement NEKIA mission and guiding principles in future materials and outreach activities
- C. ***Web Site Enhancement Strategy Development*** – At Lipman Hearne, we recognize that NEKIA’s Web site is one of its most valuable communications, education, and outreach tools. To ensure that NEKIA is maximizing this vehicle, Lipman Hearne will:
- a. Review current Web site and provide a Strengths-Weaknesses-Opportunities-Threats (SWOT) analysis of the current site
  - b. Review Web sites for like-minded organizations and government offices to measure for compatibility
  - c. Provide specific recommendations for improving the visual look of the NEKIA site
  - d. Provide specific recommendations for improving the navigation of the NEKIA site
  - e. Provide specific recommendations for improving the editorial content of the NEKIA site
- D. ***Printed Materials Enhancement Strategy Development*** – As NEKIA works to enhance its Internet offerings, it can take similar steps to strengthen its printed materials and ensure they effectively communicate NEKIA’s mission, vision, and contributions to the education community. To aid NEKIA with this, Lipman Hearne will:
- a. Review current printed materials and provide a Strengths-Weaknesses-Opportunities-Threats (SWOT) analysis of current print products

- b. Review select print materials from like-minded organizations and government offices to measure for compatibility
  - c. Provide specific recommendations for improving the visual look of NEKIA materials
  - d. Provide specific recommendation for improving the editorial content of NEKIA materials
  - e. Provide recommendations for additional print products that should be development by NEKIA to support campaign goals
- E. ***Outreach/Conference Strategy Development*** – If NEKIA is to double its membership in the coming years, it must take immediate steps to boost its recognition among key stakeholder audiences. To assist NEKIA with this repositioning among priority constituencies, Lipman Hearne will:
- a. Identify those audiences/constituencies where future NEKIA members most likely identify
  - b. Develop specific recommendations for DC-based conferences, roundtable discussions, forums, and related events designed to increase NEKIA’s reputation and broaden its reach to key audiences
  - c. Develop specific recommendations for potential NEKIA partners (for events, information distribution, sponsorships, etc.)
  - d. Create a 2007-08 conference/events calendar for NEKIA planning purposes
  - e. Identify priority conferences for NEKIA exhibits, speaking opportunities, and sponsorships in 2008
- F. ***Financing/Sponsorship Strategy Development*** – NEKIA is clear in its desire to diversify its funding resources. Doing so is a valuable activity, one that ensures the organization will have the resources and in-kind support it needs to effectively manage its growth and expanded outreach. To aid NEKIA with its funding strategy, Lipman Hearne will:
- a. Identify those private-sector corporations, philanthropies, and non-profits that have made significant contributions to education R&D issues in the last five years
  - b. Identify federal funding opportunities for NEKIA and NEKIA programs (both at U.S. Department of Education/IES and Congress)
  - c. Identify state-level funding opportunities for NEKIA programs
  - d. Identify potential organizational partner organizations to help “share” costs for NEKIA projects
  - e. Examine current NEKIA membership for new membership substreams or opportunities to pursue specific funding projects
  - f. Develop a prioritized list of private- and public-sector funding opportunities to pursue in 2007-08

As part of this effort, NEKIA would have full and complete access to all of the service lines offered by Lipman Hearne, including public affairs, media relations, branding, design, research, fundraising, advertising, campaign communications, and direct mail. In addition to our proposed retainer agreement, Lipman Hearne will make the staff and resources available to service any project requested by NEKIA that may exceed the scope of the original working retainer. In such

instances, Lipman Hearne will provide specific project proposals and budgets to meet NEKIA's needs. Such efforts could include large editorial projects, major design or research projects, execution of large-scale media events and/or conferences, and the planning and execution of a fundraising/sponsorship strategy.

**Budget:**

<b>Activity</b>	<b>Budget</b>
<i>Phase I</i>	
Name/tagline development	\$5,000
Mission statement/guiding principles strengthening	1,000
Web site enhancement strategy development	2,500
Printed materials enhancement strategy development	2,500
Outreach/conference strategy development	2,500
Financing/sponsorship strategy development	2,500
<b>Phase I Total</b>	<b>\$16,000</b>

**Out-of-pocket expenses**

The costs outlined above do not include travel, meals or lodging expenses, local transportation or miscellaneous expenses such as long distance phone charges, postage, deliveries, FedEx, and photocopying, all of which will be kept to a minimum and billed as incurred.

**Timeline:**

Based on our recent discussions , we propose the following timeline for the work:

<b>Work Phase</b>	<b>Completion Date</b>
<i>Phase I</i>	
Launch rebranding effort	February 1, 2007
Launch rebranding effort at NEKIA board meeting	February 7, 2007
Complete Phase I	April 15, 2007

### **About Lipman Hearne Project Teams**

This project's success depends on those who execute it. Unlike those representing other firms, Lipman Hearne project teams are comprised of senior, experienced consultants who have a deep familiarity with the issues facing NEKIA and a broad understanding of education research. We have worked with dozens of K-12 education organizations including:

- TIMSS and PISA
- GEAR-UP program
- National Association of Secondary School Principals
- Citizen Schools
- The George Lucas Educational Foundation
- International Baccalaureate Organization
- The Education Trust
- The Edison Project

Rodney Ferguson, Karen Lebovich, Patrick Riccards, and Jeanne Bliss, among others on the Lipman Hearne staff, have been working on issues important to K-12 education reform in the U.S. and abroad for many years. These projects have included publicizing the American Association of University Women's work around girls and educational opportunity, bringing attention to the problem of rising obesity rates among high school students for the U.S. Surgeon General and the Robert Wood Johnson Foundation, developing and implementing a strategic communications plan for the state of Qatar's K-12 education reform initiative, and creating an outreach strategy for the release of TIMSS and PISA, the two largest international education assessments ever undertaken.

Lipman Hearne also knows educational policy intimately, and knows the complexity of audiences and messages you must manage. We are the nation's largest marketing communications firm serving educational clients, which also include the U.S. Department of Education, The Graduate Management Admission Council, The Annapolis Group, and The National Council for Community and Education Partnerships.

We also represent foundations and think tanks dedicated to educational policy reform, including RAND, the Brown Center on Education Policy at The Brookings Institution, and The John T. and Catherine D. Macarthur Foundation, Robert Wood Johnson Foundation, and the Waitt Family Foundation.

In working with us, you are working with an entire team of experts committed to your organization, not just one person. It is this team that will support NEKIA. Therefore, if any one or two members of the team is on travel or unavailable for any reason, there will *always* be someone who is steeped in your organization's work available to assist you. Full biographies of project team members are included below.

**NEKIA Project Team****Rodney K. Ferguson***Managing Director & Principal*

Rodney Ferguson has almost 20 years of experience in journalism, crisis communications, public policy communications, and education working with a diverse set of clients in the nonprofit, government, and corporate sectors.

Prior to joining Lipman Hearne, he was an original member of The Edison Project, the school management company headed by former Yale President Benno Schmidt. At Edison, Rodney conducted research in best practices in K–12 curriculum design and handled an array of communications, marketing, and public policy assignments. He also spent three years as the primary strategic communications counsel for the College Board's Advanced Placement programs.

Some of the clients Rodney has served at Lipman Hearne include The Brookings Institution, The John D. and Catherine T. MacArthur Foundation, The Aspen Institute, Pew Charitable Trusts, The College Board, the U.S. Department of Education, RAND, Scholastic Inc., the National Association of Secondary School Principals, the United States Selective Service System, and Seton Hall University.

Rodney also serves on the board for the Education Writers Association, the largest national organization representing journalists who cover education. He holds an M.P.P. from The Kennedy School of Government at Harvard University, and a B.A. in political science and history from Birmingham Southern College. Rodney also spent a year studying political and moral philosophy at The University of St. Andrews in Scotland, and was selected in 1993 by the European Union as a visiting Fellow studying educational policy in The Netherlands. He also has a certificate in crisis communications from the Harvard-MIT Public Disputes Program.

**Karen Sloan Lebovich***Senior Vice President*

Karen Sloan Lebovich brings to Lipman Hearne more than 25 years of experience in strategic communications and public affairs planning and implementation, branding and positioning, crisis communications, fundraising, program development, and management. Since joining the firm, she has developed and managed national and international public affairs initiatives, conducted brand identity studies, advised organizations through public crises, and provided strategic counsel to foundations, think tanks, universities, and K-12 educational and grassroots organizations. Karen has served clients such as RAND Corporation, The Supreme Education Council of Qatar, The Wallace Foundation, the Community Foundation for Greater New Haven, The Teaching Commission, the National Center on Education Statistics of the U.S. Department of Education, The Marine Biological Laboratory, The University of Pennsylvania, The George Washington University, and the University of North Carolina at Chapel Hill.

A veteran of academia, government, and the nonprofit sector, Karen has played key leadership roles in a wide range of organizations. She served as Director of the American

Association of University Women Educational Foundation, Senior Communications Executive at American University, Director of Public Affairs for the National Science Foundation, and Director of Communications for the League of Women Voters.

She received her B.A. with distinction from Simmons College in Boston and pursued graduate work in public administration at the University of Massachusetts at Amherst.

***Patrick R. Riccards***

*Vice President*

With nearly 15 years of strategic communications experience, Patrick Riccards provides a wide range of public affairs, marketing, media relations, editorial, and strategic planning services. Specializing in integrated communications initiatives and public affairs, he provides companies, government agencies, and not-for-profit organizations with the improved message, brand, and public interest they seek. His work as a senior advisor with the National Reading Panel and the U.S. Department of Education's Partnership for Reading makes him one of the top education communications executives in the nation.

Previously, Patrick served as Vice President and Practice Group Director for Widmeyer Communications, one of Washington, DC's largest independent public affairs agencies. At Widmeyer, Patrick led the agency's No Child Left Behind (NCLB) efforts, with an emphasis on literacy, educational research, and accountability. As senior counsel to the National Reading Panel (NRP) from 1998 through 2001, he helped shepherd the development of the research cornerstone of President Bush's reading initiative. With the NRP, Patrick oversaw all media relations, editorial projects, relationship development, and public events for the congressionally mandated panel. In addition to masterminding the Panel's national town hall meeting tour and conducting all qualitative research over the Panel's two-year term, he led the development of the Panel's Summary Report, Report of the Subgroups, and Video Report.

From 2002 through 2005, Patrick served as project director for the Partnership for Reading, a federal inter-agency initiative designed to raise public awareness for scientifically-based reading instruction under NCLB. Since 1999, he has also served as public affairs advisor to Dr. G Reid Lyon, a primary architect of No Child Left Behind.

Patrick has served as Vice President of Marketing and Vice President of Corporate Positioning at Higher Ed Holdings, LLC, an international education company with a mission to provide research-proven, high quality education at the lowest cost possible. He has also held senior communications positions for U.S. Senators Robert C. Byrd and Bill Bradley and U.S. Representative John W. Olver. With Senator Byrd and Congressman Olver, he worked closely with the Senate and House Appropriations Committees.

Patrick earned his bachelor's of arts degree from the University of Virginia, with a double major in Government and Rhetoric and Communication Studies. He formerly served as co-chair of the Arlington (VA) County School Board's Early Childhood Education Advisory Committee, PR Chair for Inova Health System's Year of the Child, and as a member of the Board of Directors for the SER Child Development Center in Dallas.

**To:** NEKIA Board of Directors  
**From:** Jim Kohlmoos and John Waters  
**Subject:** Communicators Institute  
**Date:** February 1, 2007

As you might recall we sent out the following email memo last week to the designated “communicators” from our member organizations. We wish to encourage you to take advantage on this annual gathering.

.....

We wish to remind you to save the date for the 2007 NEKIA Communicators Institute, to be held in Washington, DC, June 13<sup>th</sup> and 14<sup>th</sup>. In addition to being an excellent opportunity to network with your fellow communicators at NEKIA member organizations, this year’s institute will include sessions on the development of a new branding strategy for NEKIA. Please see below for a draft agenda.

We will be sending full registration information, with detailed meeting location and hotel suggestions, to you within the next few weeks. We are meeting at Education Development Center’s Washington office, where we held the 2005 NEKIA Communicators meeting. We anticipate that the registration fee will approximate, but not exceed, last year’s fee of \$185.

As in previous years, we will be seeking volunteers to present briefly (2 minutes) during one of the “Sizzle or Fizzle” sessions on June 13<sup>th</sup>. During these sessions, we will share with each other ideas that worked or didn’t work on the topics of branding, web use, and communications in your respective organizations.

Please let us know if you have any questions or suggestions. We look forward to seeing you in June!

**Draft Agenda**

**June 13**

- |            |   |
|------------|---|
| 10:30-Noon | “Policy, Politics, and Visions of the Future for Education and NEKIA” <ul style="list-style-type: none"><li>▪ Presentation and discussion with Jim Kohlmoos</li></ul>                                       |
| Noon-1:00  | Lunch   |
| 1:00-1:30  | Short session (Ideas that Sizzle or Fizzle)   |
| 1:30-2:15  | Session “State of the Art and the Future Trends in Communications Software and Web-based Communications” <ul style="list-style-type: none"><li>▪ Presentation and discussion with outside speaker</li></ul> |
| 2:15-2:30  | Break   |
| 2:30-2:45  | Short session (Ideas that Sizzle or Fizzle)   |
| 2:45-3:30  | Session: “Communicating Educational Research” <ul style="list-style-type: none"><li>▪ Presentation and discussion with Mike Bowler (invited/confirmed)</li></ul>  |
| 3:30-3:45  | Break   |

3:45-4:00 Short session (Ideas that Sizzle or Fizzle)  
4:00-4:45 Session: “What’s It All Mean: Implications for NEKIA members”  
▪ Discussion among participants  
4:45-5:00 Short session (Ideas that Sizzle or Fizzle)  
5:00-6:00 Break  
6:00-8:00 Dinner “One Year Later: Perspectives from the Publishing Industry”  
▪ Short presentation and discussion with Jay Diskey  
(invited/confirmed)

**June 14**

8:00-8:30 Breakfast  
8:30- 10:00 Working session on NEKIA Branding Strategy  
10:00-10:30 Break  
10:30:-11:30 Working session on NEKIA Branding Strategy  
11:30- noon Review and De-brief

**REFERENCE MATERIALS**  
**(SENT UNDER SEPARATE COVER IN THE**  
**2006 BOARD HANDBOOK)**

- Board Members
- Membership list
- 2007 Calendar
- NEKIA By-laws and Policies