



APPLICATION FOR A CHARTER SCHOOL

Opening in the fall of 2011

Board of Directors

UNION INDEPENDENT SCHOOL

311 Dowd Street

Durham, North Carolina 27701

Submitted to

North Carolina Department of Public Instruction

NCDPI/Office of Charter Schools

301 N. Wilmington Street

Raleigh NC 27601-2825

919-807-3491

Mailing Address:

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Raleigh, NC 27699-6303

OCS January 2010

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IV. CHARTER SCHOOL APPLICATION SUMMARY SHEET

Name of Proposed Charter School: Union Independent School

Primary Contact Person: Dr. James H. Johnson, Jr.

Mailing Address: 311 Dowd Street

City/State/ Zip: Durham, North Carolina 27701

Phone Number: 919-682-5903

Email: jim_johnson@unc.edu

Fax: 919-956-8535

Location Proposed Charter School (LEA): Durham, NC

Proposed Grade Levels: (i.e., K-3, K-4, etc.)

2011-12: K-4 2012-13: K-5 2012-14: K-6 2014-15: K-7 2015-16: K-8

Projected Enrollment:

2011-12: 116 2012-13: 141 2012-14: 166 2014-15: 191 2015-16: 214

Targeted Population: 250

Conversion:

No: ☐

Yes: ☒ If so, Public ☐ or Private: ☒

If a private school, give the name of the school being converted: Union Independent School

If a public school, give the name and six-digit identifier of the school being converted: _____

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Summary of Educational Mission:

Housed in a newly constructed, state-of-the-art, 49,000 square foot, world class facility, Union Independent School (UIS) is designed to create greater developmental equity for Durham youth who represent the greatest risks of academic failure due to significant social, economic, and educational challenges—individually and in their family, neighborhood, and community environments. Our education intervention model is anchored in research on successful pathways in children’s development. We focus on needed psychological services and family supports as well as constructive strategies that help vulnerable youth successfully navigate or overcome structural constraints that they face in their daily lives. Undergirding the UIS intervention model is an extended school day and extended school year interdisciplinary curriculum designed to develop “hard” and “soft” skills required to thrive and prosper in the highly volatile global economy of the 21st century, a staff of National Board Certified Teachers and other highly qualified support staff, technological innovations in learning that accelerate remediation and academic advancement, and sustained parent/caregiver involvement in the education process. By leveraging these components of the intervention model, UIS’s education mission is to change student aspirations and expectations; foster pro-social behaviors; reduce problem behaviors; alter study habits and time spent in non-productive activities; facilitate greater parental involvement in the child’s education; embed students and their families in a network of community bridging institutions; reduce levels of family stress and disorganization; improve parent child relationships; and enhance student academic achievement, with every child performing at grade level in all academic subjects at the end of each school year.

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V. BASIC INFORMATION

Name of Proposed Charter School

Union Independent School (UIS)

Location Education Agency in which Proposed School Will be Located

Durham County Public Schools

Primary Contact Information

Primary Contact Person:	Dr. James H. Johnson, Jr.
Mailing Address:	311 Dowd Street
City/State/ Zip:	Durham, North Carolina 27701
Phone Number:	919-682-5903
Email:	jim_johnson@unc.edu
Fax:	919-956-8535

VI. GOVERNANCE

NOTE: Please answer all sections completely. Do not use “same as LEA” or “whatever the law states”. Lack of proper documentation will jeopardize the application review.

VI.A. PRIVATE NONPROFIT CORPORATION (*G.S.115C-238.29E*)

The nonprofit corporation must be officially authorized by the NC Secretary of State by the final approval interview date.

Name of Private Nonprofit: UIS Corporation

Mailing Address: 904 North Roxboro Street

City/State/Zip: Durham, NC 27701

Street Address: 904 North Roxboro Street

UNION INDEPENDENT SCHOOL

Phone: 919-688-1304

Fax: 919-688-1389

Name of registered agent and address:

Charles R. Stanback, Jr., 311 Dowd Street, Durham, NC 27701

FEDERAL TAX ID: 74-320-3527

VI.B. TAX-EXEMPT STATUS (501 (c) (3) (G.S.115C-238.29B (b) (3))

The private nonprofit listed as the responsible organization for the proposed charter school has 501

(c)(3) status:

☒ Yes (copy of letter from federal government attached) **See Appendix E.**

☐ No

Note:

The tax-exempt status must be obtained from the Internal Revenue Service within twenty-four (24) months of the date the Charter Application is given final approval. (G.S.115C-238.29E (b))

GOVERNANCE (continued)

VI.C. PROPOSED EDUCATIONAL MANAGEMENT ORGANIZATION (EMO)

If the Charter School plans to contract for services with an “educational management organization”, please specify the name of the company, address, phone number, contact person, fax, and email:

Union Independent School does not plan to contract for services with an educational management organization, but will reserve the right to contract with such an entity in the future should it be deemed appropriate by the UIS Board of Directors.

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VI.D. ORGANIZATIONAL STRUCTURE OF PRIVATE NONPROFIT: (GS 115C-238.29B(b)(3); GS 115C-238.29E(d))

The private nonprofit corporation is the legal entity that has responsibility for all aspects of the proposed charter school. Its members should reflect the ability to operate a charter school from both business and education perspectives.

Please provide the following in this location of the APPLICATION: (Do not include as an appendices)

1. A well-defined organizational chart showing the relationship of the Board of Directors to the parents and staff of the proposed charter school.

VI.D.1. Organizational Chart

Union Independent School (UIS), as the organizational chart in Figure 1 below outlines, will be governed by a Board of Directors comprised of academic, business and community leaders. The Head of School will be responsible for the education and business affairs of the school, including hiring of faculty and staff as well as interfacing with parents, students and volunteers. The UIS Board of Directors and Head of School will benefit from ongoing feedback from an external evaluation team who will monitor and evaluate UIS education practices.

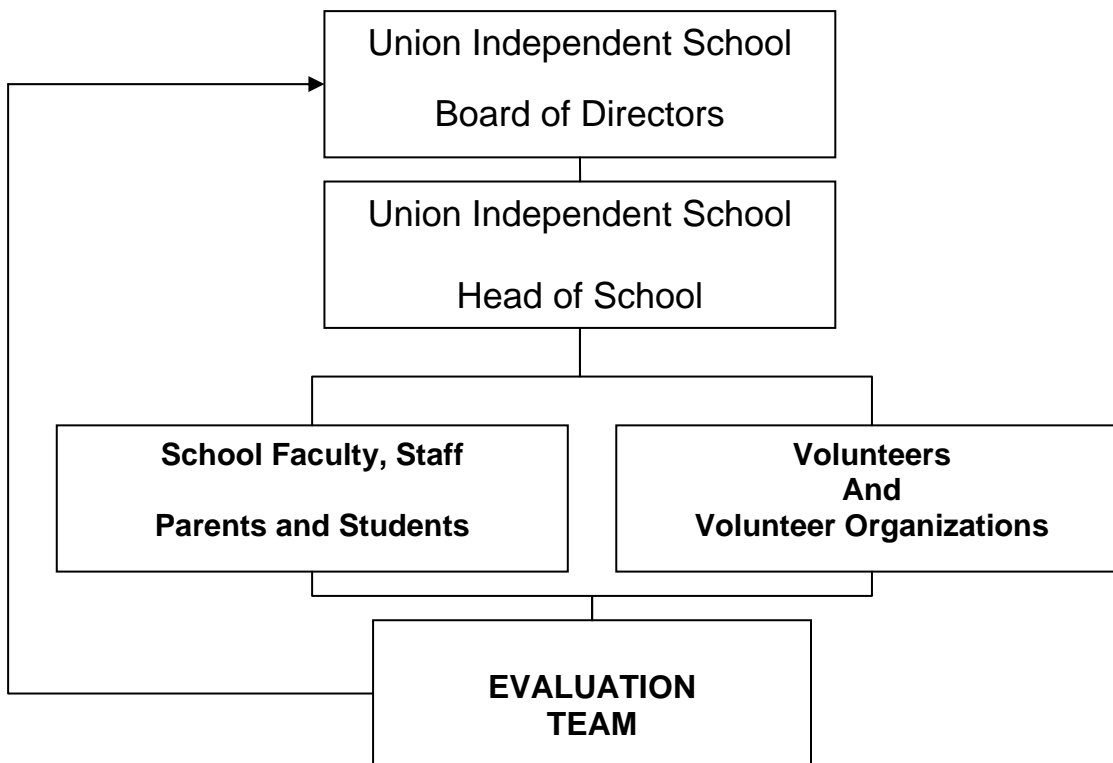


Figure 1: UIS Organization Structure

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2. Each founding board member must submit, in this section of the application, a one-page resume highlighting his or her experiences over the past ten or more years.

VI.D.2. List of Board of Directors

- 1. Dr. Kenneth Ray Hammond**
Senior Pastor, Union Baptist Church
904 N Roxboro Street
Durham, NC 27701
- 2. Dr. James H. Johnson, Jr.**
William Rand Kenan, Jr. Distinguished Professor
Kenan-Flagler Business School
Director, Urban Investment Strategies Center
Frank Hawkins Kenan Institute of Private Enterprise
University of North Carolina at Chapel Hill
Campus Box 3440, The Kenan Center
Chapel Hill, NC 27599-3440
- 3. Dr. Chena Flood, Director**
University School Partnerships
North Carolina Central University
1801 Fayetteville Street
Durham, NC 27707
- 4. Mr. Wendell McCain, Partner**
Parish Capital Advisors, LLP
5915 Farrington Road, Suite 202
Chapel Hill, NC 27517
- 5. Ms. Norma Houston, Executive Director**
UNC Tomorrow
The University of North Carolina
PO Box 2688
Chapel Hill, NC 27515
- 6. Mrs. Jeanetta Nelms**
K-12 Math Education Consultant
18 Appleton
Durham, NC 27704
- 7. Mr. Kevin Fitzgerald**
Executive Associate Dean for Finance & Administration
University of North Carolina Healthcare
4030 Bondurant Hall

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CB 7000
Chapel Hill, NC 27599

8. Mr. William G. Smith

Vice Chancellor for Institutional Advancement
Elizabeth City State University
Campus Box 978
1764 Weeksville Road
Elizabeth City, NC 27909-7806

9. Dr. William Fulkerson

VP President Acute Care Division
DUHS
Box 3708 Medical Center
Durham, NC 27710

10. Mr. Michael Jones, Sr.

Ellis D. Jones and Son Funeral Directors
419 Dowd Street
Durham, NC 27701

VI.D.3. Resumes and Biographies of the Board of Directors

1. Kenneth Ray Hammond, DD

Kenneth Ray Hammond is Senior Pastor at Union Baptist Church. He also serves as a Pastor Mentor in the Duke Divinity School and as an Adjunct Professor at the United Christian Bible Institute in Durham, NC. Pastor Hammond is Vice Chairman of the Executive Committee of the General Baptist State Convention of NC, Inc. and a member of the Board of Directors of the American Baptist Churches of the South, the Durham County Hospital Corporation, Duke University Health Services, New Vision Community Development Corporation, and the Joyland Foundation. During his tenure as senior pastor of Union Baptist Church, the membership has grown by more than 3,000 and now totals close to 5,000, more than 20 new ministries have been launched, the church has moved from a single ministry to a multi-ministry staff of nine and a volunteer staff of thirteen, the church's budget has increased by more than \$2 million dollars, and an endowment has been established. Building upon the highly successful Durham Scholars Program, Pastor Hammond led the effort to build the facility which houses the Union Independent School. The 49,000 square foot school opened August 19, 2009 with 75 children in grades K-2. Hammond earned his Bachelor's and Master's of Arts degrees from East Carolina University, a Master of Divinity Degree from Shaw Divinity School, and Doctor of Divinity degree from the Apex School of Theology in Apex, NC.

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2. James H. Johnson, Jr., Ph.D.

James H. Johnson, Jr. is the William Rand Kenan, Jr. Distinguished Professor of Entrepreneurship and Strategy and Director of the Urban Investment Strategies Center at the University of North Carolina at Chapel Hill. He holds degrees from North Carolina Central University (B.S., 1975), the University of Wisconsin at Madison (MS, 1977), and Michigan State University (PhD, 1980). Selected by *Fast Company* magazine (September 2000) as one of the "17 ... brightest thinkers and doers in the new world of work," Jim's current research and consulting activities focus on the workforce and workplace implications of post-1990 demographic changes in the US; and on how to create highly competitive and sustainable business enterprises and communities in the current era of economic uncertainty and global insecurity. His research on these and related topics has been widely cited in a number of national media outlets, including the *New York Times*, *Los Angeles Times*, *Wall Street Journal*, *Washington Post*, *Detroit Free Press*, *Newsweek*, *Time Magazine*, *U.S. News and World Report*, and *Business Week*. He has also appeared on a number of national television shows, including *The Today Show* on NBC, *CNN Headline News*, *the CBS Evening News*, *ABC Nightly News*, *Sunday Morning* on CBS, *Inside Politics* on CNN, and *This Week in Review* on NBC. With support from the William Rand Kenan, Jr. Charitable Trust, Jim has operated an after school, weekend, and summer program for youth residing in Durham's most economically distressed communities over the past 15 years. Prior to joining the UNC-CH faculty, Jim was a professor at the University of California, Los Angeles, where he spent the first twelve years of his professional career.

3. Chena Terrel Flood, Ed.D.

Chena Terrel Flood is currently Director of University-School Partnerships in the School of Education at North Carolina Central University (NCCU). She is also an Adjunct Instructor in the Teaching Associate and Early Childhood Programs at Durham Technical Community College. Prior to joining the NCCU staff, Dr. Flood was the Literacy Site Coordinator/Recruiter/HRD Coordinator at Halifax Community College in Weldon, NC. Over the past decade, she also served as a curriculum specialist in the Weldon City Schools, a developmental math instructor at Halifax Community College, and a high school mathematics teacher at Southeast Halifax High School. Ms. Flood holds a doctorate in educational leadership and a M.S.A. in educational leadership from East Carolina University. She received a B.S. in mathematics from NCCU in 1997. Dr. Flood is a State of North Carolina certified principal, curriculum specialist, and mathematics teacher.

4. Wendell A. McCain, MBA

Mr. McCain is one of three founders of Parish Capital Advisors, LLC, which focuses on providing institutional investors access to small, experienced private equity funds.

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He has spent the last ten years focused on alternative asset classes and has also experienced the private equity business from the perspective of advisor, direct investor, and limited partner. While his direct private equity focus is on early stage venture capital investments, he has also executed mezzanine, leveraged buyout, secondary and PIPE transactions.

Mr. McCain was most recently a Vice President at BancBoston Ventures, where his group managed a \$600 million diversified private equity portfolio, and he managed a direct investment portfolio of eleven early stage companies and four limited partnerships. Mr. McCain was active as a board member or board observer of seven of those companies. Mr. McCain aggressively sourced new investment opportunities and reviewed over two hundred opportunities annually. In addition to his investment and portfolio management responsibilities, he also assisted the BancBoston fund-of-funds group with fundraising and strategic partnerships.

Mr. McCain received a BA from the University of North Carolina at Chapel Hill, where he was a Morehead Scholar, and an MBA from Northwestern University's Kellogg School, where he was a Toigo Fellow.

5. Norma Houston, J.D.

Norma Houston is a Lecturer in Public Law and Government in the School of Government at the University of North Carolina at Chapel Hill. She also serves as the Executive Director of the University of North Carolina Tomorrow Initiative, which is housed in the University of North Carolina General Administration.

Houston joined the School of Government in 2006. She specializes in applied legal scholarship serving North Carolina public officials primarily in the areas of state ethics and lobbying laws, General Assembly procedures, and emergency management law. She also teaches in the School of Government's Masters of Public Administration program and is an adjunct faculty member at the UNC-Chapel Hill School of Law.

Prior to joining the School of Government, Houston served as both Chief of Staff and General Counsel to State Senate President Pro Tempore Marc Basnight (1993-2003; 2005-06). She has also served as Dare County Attorney (2003-04), an Assistant Attorney General in the N.C. Department of Justice (1991-93), and staff attorney for N.C. Prisoners Legal Services (1989-91).

Houston earned a BS in criminal justice and psychology ('86) and a JD ('89) from the University of North Carolina at Chapel Hill. She is a member of the North Carolina State Bar and currently serves on the boards of several associations, nonprofit organizations, and advisory councils including the Governor's Budget Reform Advisory Commission, Carolina Law Alumni Association, UNC General Alumni Association, UNC Coastal Studies Institute Scientific Coordinating Council, Roanoke Island Commission, the Roanoke Island Historical Association, and the Union Independent School.

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Houston is currently on leave from the School of Government serving as the Executive Director of the University of North Carolina Tomorrow Initiative, a project for the University of North Carolina. Under the direction of UNC President Erskine Bowles, UNC Tomorrow seeks to more proactively focus the resources and assets of the University to better serve the needs of North Carolina.

6. Jennetta Sherrod Nelms, M.A.T.

Jennetta Sherrod Nelms is a Mathematics consultant for Durham Public Schools (DPS). Prior to her consultancy with DPS, Nelms held positions as the Director, 21st Century Scholars Program, Indiana University (2003-2008) and as Academic Advisor in Indiana University's Kelly School of Business (2001-2003). Mrs. Nelms holds a B.S. degree in mathematics from the University of Arkansas at Pine Bluff and a M.A.T. degree in Mathematics from Indiana University. She has taught mathematics at the middle school, high school, community college, and four year college levels.

7. Kevin FitzGerald, MPA

Kevin FitzGerald is the Executive Associate Dean for Finance and Administration for The University of North Carolina School of Medicine in Chapel Hill, a position he has held since May 2007. Before joining Dean Roper's staff, Kevin was the Special Assistant to the Chancellor for State Government Relations. In conjunction with that position, he was the Planning Director of the Center for Public Technologies at the UNC School of Government. Kevin has designed graduate and undergraduate courses in social entrepreneurship and currently serves as an adjunct professor.

Prior to coming to UNC in 2000, Kevin served as Director of the North Carolina Division of Social Services, where he managed the North Carolina's Child Welfare, Child Support, Welfare and Adult and Family Services programs. He had lead responsibility for managing significant policy and financing reforms in each of these program areas. Kevin also worked in a variety of local government positions, including Assistant County Manager, Budget Office Analyst, and Personnel Office Analyst in Forsyth County.

Kevin earned an AB from the College of the Holy Cross and an MPA from The University of North Carolina at Chapel Hill. Kevin and his wife Cindy are the parents of two daughters and one son.

8. William G. Smith, B.S.

William G. Smith is currently Vice Chancellor of Institutional Advancement at Elizabeth City State University (ECSU). In addition to serving as the university's Chief Fundraising Officer, Smith is also responsible for Alumni Relations, Community Development, Radio & TV, and University Relations and Marketing. Prior to joining the ECSU staff, Smith held positions as President and Chief Executive Officer of Mutual

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Community Savings Bank Inc. SSB in Durham and Senior Vice President and Sales Leader of Community Development for First Union/Wachovia Bank's six states Mid-Atlantic Bank. A graduate of North Carolina Central University, Mr. Smith is a 2003 Eisenhower Fellow and a Trustee for the Triangle Transit Authority. He is a former member of the University of North Carolina Board of Governors and a former board member and chair of the North Carolina Central University Board of Trustees. Mr. Smith is a member of Phi Beta Sigma Fraternity, Sigma Pi Fraternity (the Boule), and 100 Black Men of America, Inc.

9. William J. Fulkerson, Jr., MD

William J. Fulkerson, Jr. is Senior Vice President of Clinical Affairs for Duke University Health System and Professor of Medicine in the Duke University School of Medicine. As Senior Vice President, he is responsible for the health system clinical enterprise. Dr. Fulkerson is a graduate of the University of North Carolina at Chapel Hill School of Medicine and the Fuqua School of Business at Duke University. Dr. Fulkerson has served previously as CEO of Duke University Hospital and Vice President of the Duke University Health System. He is a nationally recognized specialist in pulmonary and critical care medicine, is active in clinical research, and has authored/co-authored numerous books, chapters, and peer reviewed publications. A member of numerous academic and professional societies, he is Chairman of the Board of Trustees, North Carolina Hospital Association and a member of the Regional Policy Board, American Hospital Association. He also serves as Chairman of the Board of Directors, NC Chapter, of the American Lung Association.

10. Michael Gardner Jones Sr., MBA

Michael Gardner Jones Sr. is the President and third generation owner of Ellis D. Jones & Sons, Inc. Funeral Directors in Durham, North Carolina. Mr. Jones is a graduate of the Simmons School of Embalming and Mortuary Science in Syracuse, New York. He also earned a Bachelor of Science degree in Business Administration and a Master of Business Administration from North Carolina Central University. Mr. Jones is Chairperson of the Union Baptist Church Board of Trustees.

The proposed by-laws, which must include a Conflict of Interest Policy for board members and a stated commitment to the NC Open Meetings Law. (G.S.143.318.9 et seq) **See Appendix B.**

3. A copy of the articles of incorporation, if available. **See Appendix C**

VII. MISSION, PURPOSES and EDUCATIONAL FOCUS (G.S.115C-238.29A)

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VII.A. MISSION:

The mission of the proposed charter school is as follows:

The mission of the Union Independent School (UIS) is to improve educational outcomes and the overall life chances of Durham, North Carolina youth in grades K through 8 who are at the greatest risk of academic failure due to significant social, economic, and educational challenges—individually and in their family, neighborhood, and community environments. The young people we strive to serve reside primarily, but not exclusively, in neighborhoods characterized by high rates of persistent and concentrated poverty, joblessness, and a range of other social ills (including gang activity, drug dealing, and other criminal behavior). Through a host of academic and social cultural enrichment activities anchored in a multidisciplinary, extended school day, and extended school year program format, UIS will prepare Durham youth from these types of neighborhoods for attainable slots in high quality public high schools and prestigious preparatory high schools—the gateways to the most competitive colleges and universities.

VII.B. PURPOSES OF PROPOSED CHARTER SCHOOL:

State the relationship between the six legislated purposes, as specifically addressed in the NC charter school statute GS 115C-238.29A, and the proposed school's operations.

UIS's education plan addresses all six of the legislated purposes for charter school as described below.

VII.B.1. Improve student learning [G.S. 115C-239.29A(1)]

To improve student learning, UIS will:

- Recruit National Board Certified Teachers at each elementary grade level and within each subject-specific area of middle school instruction.
- Assign each board certified master teacher a highly qualified teaching associate, thereby creating a 10-12:1 student/teacher ratio in each classroom.
- Employ an Assistant Head of School with expertise in curriculum development to work directly with UIS master teachers and their teaching associates on curriculum design and instruction methods, with an eye toward enhancing both instructional planning and teaching quality.
- Incorporate a variety of instructional methods which address diverse learning styles as well as academic strengths and weaknesses, thereby increasing the likelihood of student success.

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- Leverage technological innovations in learning and mobilize tutors and mentors from local universities and community colleges to accelerate remediation and academic advancement.
- Enrich the learning experience by infusing the North Carolina Standard Course of Study with educational materials on health and wellness, entrepreneurship and financial literacy, global awareness, and character education—knowledge and skills required to thrive and prosper in the highly volatile global economy of the 21st century (Johnson and Kasarda, 2008).
- Implement curriculum mapping and pacing guides to group goals and objectives from the Standard Course of Study in logical and sequential ways that maximize integration of the curriculum and minimize isolated learning.
- Offer an extended school day curriculum of academic and cultural enrichment activities focusing on remediation in the basics (i.e., literacy, math and science), fine arts, physical fitness, and soft skills acumen (Farbman, 2009).
- Empower adult family members as partners in students' academic performance and social development through sustained parental/caregiver involvement programming.

Through these activities, our goal is to change student aspirations and expectations; foster pro-social behaviors; reduce problem behaviors; alter study habits and time spent on homework; facilitate greater parental involvement in the child's education; embed students and their families in a network of community bridging institutions; reduce levels of family stress and disorganization; improve parent child relationships; and enhance student academic achievement, with every child performing at grade level in all academic subjects at the end of each school year.

VII.B.2. Increase learning opportunities for all students with special emphasis on expanded learning experiences for students who are identified as at risk of academic failure or academically gifted [G.S. 115C-239.29A(2)]

Research indicates that youth who grow up in economically distressed urban environments (also referred to as dangerous neighborhoods), including those who are academically gifted, face multiple and oftentimes overlapping risk factors which change as they move through the life course (Wilson, 1987; Johnson and Oliver, 1992). Thus, UIS is designed to address and/or mitigate risk factors that either exist or existed at various stages in life course, including infancy (0-2), early childhood (3-6), middle childhood (7-11), early adolescence (12-15), and late adolescence (16-19). The risk factors that research has shown have the potential to impede learning and social functioning in other walks of life for the students we strive to serve can be summarized as follows (Hutchinson, 1999; Elder, 1998):

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- Poverty has been identified as a risk factor in all stages of the life course—from infancy through late adolescence.
- Inadequate nurturing and family disruption are critical risk factors in infancy and early childhood, respectively.
- From early childhood through early adolescence, ineffective discipline is a critical risk factor.
- From early childhood through late adolescence, child abuse/mistreatment, family violence, community violence, and chronic mobility have been identified as critical risk factors.
- Poor academic performance and peer influences/popular culture are especially problematic during the middle childhood through the late adolescence years.
- School failure, idleness, substance use and abuse, depression, and obesity and eating disorders are common risk factors in the early adolescence through late adolescence stages of the life course.

With these risk factors in mind, UIS will draw upon a range of information, including family assessments conducted by UIS's licensed clinical social worker, existing school records, records compiled by the Department of Social Services and other state agencies, and individual student assessments conducted by UIS master teachers, to assess educational and other needs of enrolled UIS students. This amalgamation of information will be used to identify both individual and clusters of needs in our student population, including students who need personal education plans, students who need individual education plans, students who are developmentally delayed, students who are slow learners, students who have speech and language difficulties, and students with a range of behavioral issues, including ADHD and anger management.

In addition to school-based resources (master and special education teachers, clinical social workers, etc.), UIS will leverage both university- and community-based assets to serve the specific needs of both at risk and gifted and talented UIS students, including the UNC-CH Center for Literacy and Disabilities Studies (Dr. Karen A. Erickson), NCCU Counseling Center (Dr. Carolyn Moore), The Duke Center for Child & Family Health (Dr. Robert A. Murphy and C. Eileen Watts Welch), the UNC Music Department (Dr. Mayron Tsong), the North Carolina School of Science and Math (Dr. Jerry Boarman), the Gillings School of Global Public Health at UNC-CH (Dr. Barbara Rimer), and experts in science and math education at NC State University (Dr. Jamila Smith Simpson, College of Physical and Mathematical Sciences) and UNC-CH (Dr. Emily Parsons, School of Education).

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VII.B.3 Encourage use of different and innovative methods [G.S. 115C-239.29A (3)].

Building upon the unique and specific needs of individual students, UIS will emphasize several instructional approaches, including differentiated instruction, cooperative learning, curriculum integration, and targeted interventions, as well as whole group and small group systematic instruction. These strategies, which fit together seamlessly to enhance student performance, can be summarized as follows:

Differentiated Instruction: While all students are expected to reach the same performance standards, they may follow different paths to success. A UIS professional learning community comprised of UIS master teachers, their teaching associates, and other UIS support staff will meet regularly to review student data and consider multiple ways of engaging all students. Based upon the data collected and these deliberations, UIS teachers will adjust instruction to meet the varied needs of UIS students. They will incorporate research based strategies that meet the needs of all learners, providing a variety of prompts and entry points that enable a full range of students to grasp essential concepts and connect to the big ideas, themes, questions and skills in a unit of study. UIS teachers will be trained to utilize the Sheltered Instruction Observation Protocol or SIOP[®] Model, which identifies research-based best practices for serving ESL/bilingual and other under-served students with limited English language abilities (Vogt, Echevarria, and Short, 2009). In addition, teachers will be trained to employ on a daily basis other well-designed, research based strategies, such as those outlined in Classroom Instruction That Works (Marzano, Pickering, and Pollock, 2001), to maximize student learning. Research confirms that following differentiated instructional strategies have proven most effective when used properly:

- Identifying similarities and differences
- Summarizing and note-taking
- Reinforcing effort and providing recognition
- Homework and practice
- Nonlinguistic representations
- Setting objectives and providing feedback
- Generating and testing hypotheses
- Cue, questions and advance organizers

Cooperative Learning: One of UIS's goals is to prepare its students to strive and prosper in an increasingly globally-networked society. Thus, teaching the students to work collaboratively and to move from a state of dependence to independence to the ultimate state of interdependence is a strategic imperative. UIS students will be given the opportunity to work in cooperative learning groups when it is deemed as the best strategy for learning a particular skill or specific content. Research shows organizing students into cooperative groups yield a positive effect on overall learning (Marzano, Pickering, and Pollock, 2001).

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Curriculum Integration: Brain research supports the theory that younger students take in many things, organize, and process them all at once. Therefore, teaching ideas holistically, rather than in fragmented pieces, will better reflect how young students' brains process information (Alberta Education, 2007). Accordingly, UIS teachers will work to develop an integrated curriculum that requires students to investigate big ideas through a variety of disciplinary lenses. That is, UIS teachers will present students with problems that will require critical thinking and the application of skills across different subject areas. Curriculum integration occurs when components of the curriculum are connected and related in meaningful ways by both the students and teachers. Our goal is to facilitate UIS students' abilities to see how information gained in one subject can help them to problem solve in another, thus creating an opportunity for seamless integration of subjects.

Targeted Interventions: These are interventions developed to address individual student needs and are based solely upon student data from regular progress monitoring. Once a UIS student has been flagged as not being on grade level or not making projected gains in reading, specific interventions strategies will be put into place to help the student to progress toward being able to read on grade level. Targeted interventions will also be used in mathematics. The UIS professional learning community will meet and collaborate to determine which students should be grouped together for specific skills and what strategies would best accomplish these goals.

VII.B.4. Create new professional opportunities for teachers, including the opportunities to be responsible for the learning program at the school site [G.S. 115C-239.29A(4)]

Given that student learning is an iteratively progressive process, UIS Master Teachers, as noted above, are encouraged to use their professional expertise to make choices about the ideal methods and materials for students to best understand and truly learn and master the UIS curriculum. Toward this end, each Monday teachers will have allocated time to share materials and resources and to work collaboratively to ensure student success. During these meetings, UIS master teachers will provide examples of "best practices" and share routines and strategies that are working in their classrooms.

In addition, UIS master teachers, their teaching associates, and other UIS support staff will be afforded a range of professional development opportunities to ensure that they are properly trained and are exposed to continuing education in the core domains that comprise the UIS curriculum. Initially, UIS teachers and support staff will be enrolled in professional development programs in the following core instructional domains: entrepreneurship education, health and wellness education, character education, and instructional methods for children with different learning styles. Because they offer some of the best professional development programs in these areas, our teachers and support staff will be directed to the following organizations for training:

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1. **The Consortium for Entrepreneurship Education (www.entre-ed.org).** “Recognized as the national leader in advocating entrepreneurship education as a lifelong learning process, [The Consortium] champions entrepreneurship education and provides advocacy, leadership, networking, technical assistance, and resources at all levels and disciplines of education, promoting quality practices and programs.” Consortium consultants will assist UIS teachers in devising curriculum content that is consistent with both the national content standards and national standards of practice in entrepreneurial education.

2. **Active Living by Design (www.activelivingbydesign.org).** A program of UNC-CH's Gillings School of Global Public Health, Active Living by Design establishes innovative approaches to increasing physical activity through community design, public policies, and communication strategies. It also administers Healthy Eating by Design, a program that seeks to increase access to healthy foods for children in low-income communities and schools. Active Living by Design consultants will assist UIS master teachers and support staff in crafting a school nutrition policy that integrates principles of healthy eating by design and active living by design into the UIS curriculum.

3. **The Healthy Kids Challenge (www.healthykidschallenge.com).** This is a nationally recognized, award winning nonprofit organization offering a multi-level approach of assistance to schools, programs, and communities to create healthy eating and physical activity opportunities everywhere kids live, learn, work and play. Consultants from this organization will assist UIS teachers and support staff in crafting the school's nutrition, health, and wellness policy, integrating principals of healthy eating and active living into the school curriculum, and in designing after school/extended day programs and community outreach activities in the areas of nutrition, health, and wellness.

4. **The Kenan Institute for Ethics (<http://kenan.ethics.duke.edu>).** This organization supports “creative innovation in the teaching of ethics at all levels [of education], from K-12 through university, with particular attention to approaches that not only strengthen critical reflection, but also enrich moral imagination and inspire personal integrity and civic engagement.” Consultants from The Kenan Institute for Ethics will work with UIS teachers and support staff to ensure that the fundamental principles of ethics education are infused throughout the UIS curriculum.

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5. **The American Forum for Global Education** (<http://globaled.org>). This organization provides leadership to strengthen the education of our nation's youth by fostering the ability to think creatively, analytically, and systemically about issues in a global context. Consultants from this organization will assist UIS teachers in infusing global education perspectives throughout the UIS school curriculum.

6. **The North Carolina A+ Schools Program** (www.aplus-schools.org). Housed at the University of North Carolina at Greensboro, and nationally recognized as "one of the top education reform efforts in the country," this program offers an art-integrated approach to teaching and learning, which is premised on the belief that "the arts foster a deeper learning and understanding of the school curriculum because creativity taps the multiple ways that children learn." Consultants from the program will work with UIS teachers to integrate the arts throughout the UIS curriculum and to certify UIS as a partner in the North Carolina A+ Schools Network.

7. **The Hill Center** (www.hillcenter.org). This organization specializes in the development of innovative instructional methods and programming to transform students with learning differences into confident, independent learners. Consultants from The Hill Center will work with UIS teachers to ensure that the school's integrated curriculum is sensitive to the diverse needs of any students with diagnosed learning differences.

8. **World View** (www.worldview@unc.edu). This organization helps educators internationalize schools. Worldview consultants will help UIS master teachers integrate a global perspective into every subject area at every grade level.¹

Given that UIS is designed to leverage the power and influence of technology to improve student education outcomes, UIS teachers and other support staff also will be exposed to a professional development program developed by The Centers for Quality

¹ Worldview is currently providing UIS master teachers with the requisite professional development and resources to train UIS students how to: (1) use 21st century skills to understand and address global issues; (2) learn from and work collaboratively with individuals representing diverse cultures, religions and lifestyles in a spirit of mutual respect and open dialogue in personal, work and community contexts; and (3) understand other nations and cultures, including the use of non-English languages.

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Teaching and Learning (www.qtlcenters.org). The program shows “teachers ...how to connect content, instruction, and technology to improve student outcomes.”

VII.B.5. Provide parents and students with expanded choices in the types of educational opportunities that are available within the public school system [G.S. 115C-239.29A(5)].

Every school can clearly articulate “what” they want to teach as outlined in the North Carolina Standard Course of Study; however, as noted previously, UIS will specialize in innovative instructional methods that focus on “how” to effectively teach and expand learning experiences for students who are identified as at risk of academic failure or academically gifted. Toward this end, UIS embraces an educational philosophy that is designed to empower students to learn “how to learn” and “how to figure out how to figure out.” The following principles undergird UIS’s education philosophy:

- Create opportunities for students to construct knowledge through active involvement;
- Help students to gather and process information by encouraging them to notice and visualize what their senses are telling them;
- Create background knowledge essential for academic success;
- Create a culture of “questioning;” and
- Provide opportunities for students to develop information-processing and problem-solving skills.

Pursuant to this philosophy, UIS students will begin each day with a school-wide morning meeting. During this time, the principles outlined in *The Seven Habits of Happy Kids* (Covey, 2008) will be discussed, practiced and modeled. These discussions will afford students the opportunity to be actively involved in helping to create a host environment that is conducive to learning.² These meetings also will act as a catalyst each morning to ignite the synergy for building a normative, peer managed culture around the behaviors that we seek. The goal of these daily meetings will be to help our students to move progressively on a continuum from dependence to independence to interdependence. When combined with the diverse set of academic and cultural experiences that will characterize the typical UIS day, these daily meetings will contribute significantly to preparing our students for successful living in a global society.

In addition to teaching UIS students “how to learn” and “how to figure out how to figure out,” UIS will offer on a monthly or as needed basis parental involvement workshops and programs that teach parents and caregivers about the school’s evolving education initiatives and train them how to be more active and positive forces in their

² When UIS students become adolescents, we will draw upon the principles outlined in *The Seven Habits of Highly Effective Teenagers* (Covey 1998).

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children's education. And, in an effort to build a bridge between the home and the school, UIS will require parent/caregivers to volunteer 10 hours per month at the school and half of this time must be spent in their own child's classroom.

VII.B.6 Hold the schools established under this part accountable for meeting measurable student achievement results and provide the schools with a method to change from rule-based to performance-based accountability systems [G.S. 115C-239.29A(5)].

UIS will follow the North Carolina Department of Public Instruction's ABC Accountability Model. Required federal programs will be implemented and all state-mandated testing will be administered. In addition, UIS has developed its own performance-based accountability system to routinely monitor student learning throughout the school year. The system includes a host of rubrics and alternative assessment tools, including the Children's Progress Academic Assessment, K-2 Literacy Assessment, K-2 Math Assessment, EVAAS, Dynamic Indicators of Early Literacy Skills, and ClassScape, which are described throughout this document. All stakeholders at UIS understand the importance of data analysis and how it cements the essential components of total school improvement; therefore, data from all assessments--both formal and informal--will be carefully analyzed and used to inform instruction.

VIII. EDUCATIONAL FOCUS:

Describe briefly, limited to one page, the focus of the proposed charter school. This description will be used in public releases of information to interested parties, such as: the media, the State Board of Education, parents, school systems, and in various documents produced by the Office of Charter Schools. It must be concise and relate directly to the mission of the school.

UIS is a tuition-free, extended school day, extended school year, laboratory school, which will serve as a beta test site for new ideas and innovations for educating vulnerable youth who live in economically distressed urban environments. Staffed by North Carolina board certified teachers and other professional support staff, including licensed social workers and family counselors, UIS is designed to connect vulnerable youth and their families to needed psychological services and family supports; leverage technological innovations in learning as well as tutors, mentors, and other resources from local universities and community colleges to accelerate remediation and academic advancement; enrich the learning experience by infusing the NC Standard Course of Study with educational materials on health and wellness, entrepreneurship and financial literacy, global awareness, and character education; and provide an extended day curriculum of academic and cultural activities focusing on remediation in the basics (literacy, math, and science), the fine arts, physical fitness, and soft skills acumen. In launching UIS, the long term goal is to prepare vulnerable youth from Durham's most

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economically distressed neighborhoods for slots in high-quality public high schools and prestigious preparatory high schools.

IX. EDUCATION PLAN

NOTE: Answer all sections completely, include your answers in this section of the application, do not include as an appendices. Do not use “same as LEA” or “whatever the law says”. The State Board of Education shall give priority consideration to the applicants who demonstrate potential for significant, meaningful innovation in education. Give explanations. Lack of proper documentation will jeopardize the application review.

IX.A. INSTRUCTIONAL PROGRAM (G.S.115C-238.29F(d))

Provide a description of the overall instructional program, including the following:

IX.A.1. Educational theory and foundation of the model.

Most interventions designed to improve educational and other outcomes for disadvantaged youth operate on an “everything is wrong with you and I am going to fix it” deficit model (Glazer and Moynihan, 1963; Kunjufu, 1990; Solomon, 1992; Anderson, 1990; Miller, 1996; Jackson and Moore, 2008). As Noguera (1997) points out, this approach treats race and gender as explanatory factors, “resulting in an explanation of the crisis facing [disadvantaged youth] which focuses almost exclusively on cultural rather than structural factors.” He goes on to note that “By focusing almost exclusively on race and gender, other factors which may be relevant to understanding the causes of social problems like . . . [poor] student performance . . . often go ignored. Most important among the omitted factors are the influence of class and geographic location.” Other research has demonstrated that deficit-based solutions typically involve punitive strategies (e.g., get tough on crime and education policies) that in retrospect have been shown to have a disparate impact on disadvantaged youth, especially black males (Grant and Johnson, 1995; Miller, 1996).

We eschew the deficit model and embrace instead an education intervention model anchored in research on successful pathways in children’s development (Furstenberg and Hughes, 1995; Weisner, 2005; Cooper, et. al., 2005). Acknowledging that not all children who grow up in dysfunctional families and economically distressed environments fail academically and in other walks of life (Jarrett, 1995), this body of research strives to identify the culturally-specific, social and environmental determinants or pathways to success. Two particularly salient findings have emerged from the successful pathways research.

The first is that disadvantaged youth whose daily routines involve sustained engagement in activities in a mediating institution in their local environment, such as the YMCA, YWCA, or the Boys and Girls Club, are far more likely to be successful than their counterparts who are not involved in such institutions (Jarrett, 1995; Putnam,

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2004). Such entities are called “mediating institutions” because they discourage disadvantaged youth from engaging in dysfunctional or anti-social behaviors and encourage them to pursue mainstream avenues of social and economic mobility (Johnson and Oliver, 1992; Jarrett, 1995; Fernandez-Kelly, 1995).

The second is that disadvantaged youth who are embedded in personal networks outside their local neighborhoods—often characterized as connected youth—are far more likely to succeed academically and in other walks of life than youth whose networks are limited to the local neighborhood environments—often referred to as isolated youth. Connected youth are able to draw upon what is referred to as “bridging” social capital—a geographically, racially or ethnically, and economically diverse set of ties which enhance their knowledge base and opportunities for upward mobility. Isolated youth have to rely primarily on what is known as “bonding” social capital—a geographically and otherwise limiting network of individuals who share similar characteristics and circumstances and thus do not significantly enhance their knowledge or opportunities for advancement (Fernandez-Kelly, 1995; Jarrett, 1995; Putnam, 2004).

In short, success-based approaches, in contrast to deficit-based interventions, focus on constructive strategies that can be employed to help vulnerable youth navigate or overcome structural constraints that they face in their daily lives (Johnson, Farrell, and Stoloff, 2000). Building upon this body of research, the newly constructed UIS—a 49,000 square foot facility with a state-of-the-art early learning center, thirteen classrooms equipped with the latest education technology, a media center, a gymnasium with a circular walking/jogging track, a fitness center, a health and wellness center, an industrial sized kitchen and dining area, a dance studio, an animation studio/photojournalism lab, and secure outdoor recreation areas with age appropriate equipment (www.unionis.org) --serves as a new community mediating institution in Durham’s most economically distressed community.

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Figure 2: Union Independent School

A joint venture between Union Baptist Church and the Kenan-Flagler Business School at the University of North Carolina at Chapel Hill, UIS is designed to connect Durham area youth who are most at risk of failure to a wide array of both “high touch” and virtual intellectual and social capital resources. In so doing, our goals are to identify their needs and attributes, broaden and deepen their educational experiences, diversify their personal networks, and expand their access to potentially life changing domestic and globe-spanning international experiences. UIS launched as an independent school on August 19, 2009, with 75 youth in grades K through 2 who were selected via a lottery. Our desire is to expand to a K-8 charter school by adding a new cohort of 25 kindergarten-age youth each year through 2015. For a more detailed discussion of the conceptual and theoretical underpinnings of UIS, see Appendix A.

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IX.A.2. Teaching approach and curriculum design and instructional methods, courses of study, etc.

Our objectives at UIS are to close the achievement gap for our students, to ensure that they acquire the academic skills and personal character needed to qualify for admission to demanding college preparatory high schools, and to set them on the path to college success, economic independence, and positive leadership within their community. To achieve these objectives, UIS will engage enrolled students in an academic program that is rooted in the following core values and operating principles.

IX.A.3. Core Values and Operating Principles

IX.A.3.a(1) Committed Teachers

UIS will recruit nationally board-certified master teachers and other outstanding educators with a demonstrated passion and belief in the possibilities for urban education. They will possess subject mastery, experience with urban youth, and the commitment and drive to do whatever is necessary to ensure that UIS students succeed academically and in other walks of life.

IX.A.3.a(2) Parent Involvement

We value the role of a child's first and most influential teacher-- the parent. Through the exercise of school choice, our parents will know that their children will be attending a school that is safe, highly structured, achievement oriented, and college preparatory. Parents will also know when applying that much will be expected of them and that their involvement is an essential part of their child's success. Strategies to involve parents will begin at enrollment with family information and orientation sessions, and will also include the Union Independent School Family Covenant, ten hours of volunteer service in the school monthly, attendance at monthly parent meetings, and frequent communication between school and home.

IX.A.3.a(3) Academic Rigor

Given the disadvantaged backgrounds and inferior prior education experiences of our target student population, UIS has to focus on both accelerated remediation and academic advancement. Thus, as Table 1 shows, we have developed an extended year academic program that is 10 days longer than the normal academic year and an extended school day that is between 215 minutes and 275 minutes longer than the typical public school day (Farbman, 2009).

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Metric	Extended Time Schools (mean)	Extended Time Schools (range)	National Norms (range)	Union Independent School
Daily Minutes	446.9	330-645	340-400	615
Days/Year	185.1	144-220	175-180	190
Annual Hours	1,390.0	1,036-2,100	1,080-1,170	1,948

Table 1: Extended Time Schools Metrics

UIS will provide a demanding academic program and adopt a “no excuses” approach to learning and behavior. All UIS students will be expected to work hard, achieve at high academic levels, and adhere to a strict and structured yet supportive code of conduct.

To ensure that UIS students beginning in kindergarten are taught using high standards, UIS teachers will be trained using the Rigor/Relevance Framework which enables them to develop a Knowledge Taxonomy of the scope and sequence of rigor involved in each lesson. When teachers use the Knowledge Taxonomy in lesson planning, they can successfully begin their lessons with the end in mind. With this teaching tool, both lessons and assessments are planned out to maximize student achievement by making sure that students are assessed using the same high standards. Student rubrics act as a tool to help students to plan and assess their own learning, allowing them to personally incorporate rigor into their own expectations.

IX.A.3.a(4) Focus on Literacy and Numeracy

At UIS, demonstrated mastery of the core academic program—reading, writing, and math—in the elementary and middle school grades is a strategic imperative for all students—irrespective of their unique learning styles and/or special education needs.³ In addition to encouraging UIS master teachers to use their own expertise and creativity, we will incorporate the latest technology-based learning tools into the UIS

³ In comparison to 64% of all North Carolina students, only 44% of the state’s Black students and 49% of the state’s Hispanic students passed both the reading and math ABCs End of Grade Tests in 2008-09. Stated differently, compared to 36% of all students, 56% of Black students and 51% of Hispanic students did not demonstrate proficiency in reading and math in 2008-09 (<http://www.ncschoolreportcard.org/src/stateDetails.jsp?Page=1&pYear=2008-2009>).

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curriculum to accelerate remediation in the core academic subjects.⁴ Research confirms that ensuring mastery of the foundational skills in reading, writing and math in the early grades substantially increases the probability or likelihood of continued student academic success in high school and beyond.

IX.A.3.a(5) Global Readiness

Our modern society is fast paced, globally networked, technologically oriented, and requires a workforce that can problem solve and think critically and entrepreneurially (Johnson and Kasarda, 2008). UIS is committed to an approach to education that will produce students who can either create the next generation of good jobs through their entrepreneurial acumen or successfully compete for the next generation of jobs that have not yet been created (Friedman, 2010). Research confirms that, in order to prosper in the increasingly turbulent and unpredictable economy of the 21st century, students will have to display entrepreneurial acumen—"a demonstrated willingness to take high risks for higher rewards and the ability to be agile, resilient, tenacious, and decisive in responding to unanticipated crises and opportunities. Such an orientation enables one to become more resourceful and innovative in creating "outside -of-the box" solutions to pressing problems—both domestically and internationally" (Johnson and Kasarda, 2008). To prepare our students for the unsparing global economy, UIS will further enrich the students' academic experience by infusing the NC Standard Course of Study with educational materials on entrepreneurship and financial literacy as well as global awareness, including foreign language training beginning in kindergarten.

IX.A.3.a(6) Well-Rounded

In addition to being globally prepared, UIS will strive to graduate students who are healthy, well-rounded, and adhere to a strong ethical code of conduct. This will be achieved by also infusing health and wellness education and character education in the NC Standard Course of Study as well as by providing an extended school day curriculum of academic and cultural activities focusing on the fine arts, physical fitness, and soft skills acumen.

IX.A.3.a(7) Flexible Groupings

We understand that students' interests, abilities, and needs will often vary. To ensure adequate pacing of instruction and to maximize learning, students will be grouped by ability level for guided reading and guided math instruction. UIS's ability grouping in these two core subjects will benefit students who need to be challenged to move more quickly as well as those who need more direct instruction and individualized

⁴ UIS will forge collaborative partnerships with the Kenan Institute of Engineering, Technology, and Science at NCSU and the Robotics Institute at Carnegie Mellon University, in order to gain access to the latest technology-based education tools that facilitate remediation in reading, math, and science.

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attention. Grouping by ability will ensure that the class moves at a pace reflective of each student's academic strengths. All groups will be flexible so that as students' skills dictate, they will move from one group to another. Students will also be grouped according to their interests, which will allow students an opportunity to build upon positive classroom culture and their interdependence. All students, regardless of grouping, will be prepared for the same assessments and held to the same academic outcomes.

IX.A.3.a(8) Ongoing Assessment

To inform initial classroom practices, instructional decisions, and flexible groupings, UIS will conduct a baseline assessment of the skill and content knowledge levels of every student admitted to the school. This is the first step in an ongoing assessment system in which student performance and classroom practices are monitored and evaluated on a routine basis. Through close scrutiny and analysis of student learning on a daily, weekly, and quarterly basis, individual needs will be identified and strategies will be devised to address those needs. Depending on the need, some content will be re-taught, ratcheted up, or supplemented in whole class, small group, or individual sessions.

At UIS, the foregoing core values and operating principles are oriented toward educating the whole child. We want children to grow and mature intellectually, physically, emotionally, and creatively. To ensure every student's success, UIS teachers will work with students individually, in small groups, and as entire classes to master the UIS curriculum. UIS will place a balanced emphasis on process and content, depth and breadth, and on learning how to learn, how to question, and how to visualize. By the time children leave UIS we expect them to be fluent readers, spontaneous and literate writers, sound mathematicians, independent thinkers, and competent communicators who are able to apply their knowledge in the real world.

In grades K-2, teachers will utilize the K-2 Literacy Assessment, the K-2 Math Assessment, and the Children's Progress Academic Assessment (CPAA) to monitor students' progress throughout the entire year. CPAA is an early childhood assessment system that helps teachers focus classroom instruction to achieve the greatest learning gains for each child. In grades 3-8, students will be administered on-going benchmark assessments in each of the core areas to ensure that they are gaining the knowledge and the skills outlined in the North Carolina Standard Course of Study. UIS will utilize ClassScape- an online benchmark assessment tool--to assess the goals and objectives taught each grading period.

Beginning in grades 3-8, teachers will utilize the Education Added Value Assessment System (EVAAS), developed by SAS, to evaluate how effective schooling has been for each student over a specified period of time. Using this diagnostic assessment tool, we can identify which students are at risk for under-achievement and determine if we are meeting every student's academic needs.

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To produce young people with these skills and abilities in their tool kit, the UIS curriculum, as has been noted repeatedly throughout this document, will be organized around the North Carolina Standard Course of Study with enrichments and enhancements in critical areas that research suggests skills are required in order for young people to thrive and prosper in the knowledge economy of the 21st century (see Figure 2 below).

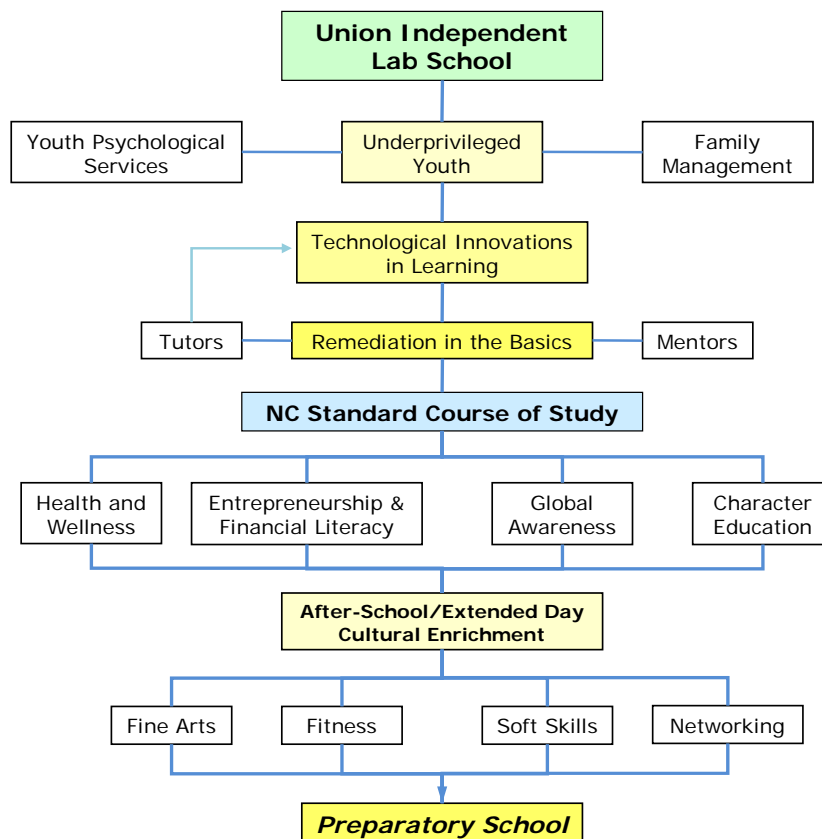


Figure 3: UIS Programmatic Structure

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IX.A.3b) Core Curriculum

Below we discuss the building blocks of the UIS curriculum—how English Language Arts, Science, Math, And Social Studies will be taught in the elementary and middle school grades.

IX.A.3.b(1) English Language Arts

UIS master teachers will use scientific based reading research strategies (SBRR) daily to teach the five essential components of reading in grades K-5:

- Phonemic awareness
- Phonics
- Vocabulary
- Fluency
- Comprehension

To ensure that there is high fidelity in the implementation of the five essential components of SBRR, UIS teachers will earmark a minimum of 90 minutes of each school day for reading and the scheduling of guided reading groups. As part of daily practice, teachers will model for students, work with students in small groups, and then provide additional opportunities for students to practice the skills learned with a peer or on their own.

UIS teachers will utilize the NC K-2 Assessment to monitor and evaluate each child's progress. Additional progress monitoring will be done for students identified as needing additional support. In grades K-5, UIS teachers also will use the Dynamic Indicators of Basic Early Literacy Skills (Dibels) assessment tool to identify specific areas of need. For students who are not making academic gains in reading, the UIS professional learning community will meet to devise targeted interventions.

UIS has designed the curriculum to ensure that the processes and skills learned in the elementary school will ensure student success with the more complex goals and objectives in grades 6-8.

The ultimate goal of the UIS middle school English Language Arts curriculum will be to foster personal, social, and civic literacy. Since our society depends upon language as communication, students will be provided daily opportunities to enhance control of the skills needed to communicate effectively. Students will have multiple opportunities to deepen their understanding of language by applying what they have learned. The English Language Arts curriculum for grades 6-8 will be constructed around communication environments-settings for exchanging information that all of us enter when we need to communicate with clarity, purpose, and care. By teaching specific aptitudes that each environment requires from users of oral language, written language and other media/technology, the curriculum will create real life learning experiences for

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students to communicate in different contexts, for different purposes, and with different audiences.

A recent National Council of Teachers of English/International Reading Association collaborative study concluded that middle school students should be able "to interpret, critique, and construct meaning with a variety of symbols and tools" (NCTE, 2009; also see NCTE/IRA, 1996). To insure the acquisition of these skills and abilities, UIS will:

- Require students to read a variety of classic and contemporary literature, representing voices from many time periods, ethnic and culture groups, and genders.
- Develop active classes where students talk about books, critique papers, and collaborate on group assignments.
- Design assignments, including cross-curriculum lessons, that encourage and inspire young readers and writers as well as connect to students' personal interests and the world beyond the classroom.
- Create space for a classroom library and other resource materials, computers for writing, and displays of published student work.

By incorporating these philosophies in the UIS Middle School English Language Arts curriculum, UIS students will acquire competencies in:

- Expressive communication - exploring and sharing personal insights and experiences.
- Informational communication - explaining realities or ideas.
- Argumentative communication - defining issues and proposing reasonable solutions via a diverse array of outlets, including debates, essays, speeches, and letters to the editor.
- Critical communication - interpreting, proposing, and judging information the public needs to be conscious consumers and make informed choices and decisions.
- Literary communication - developing a deep appreciation for literature, understanding its personal, cultural, and historical significance, and learning how to analyze its meaning and relevance.
- Grammar and language communication - demonstrating proficiency, vocabulary development and control of language, word choice and syntax, and use of the English language in both oral and written forms.

In accordance with the state's accountability standards, students in grades 3-8 will be administered the EOG test. To benchmark test students in grades 3-8, UIS will use ClassScape, an online system that facilitates learning by focusing on the curricular objectives of the North Carolina Standard Course of Study. ClassScape also allows teachers to build customized tests based on the school's pacing guides. Data from the tests will allow teachers to better customize instruction for individual students.

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At UIS, students in all grades will be engaged throughout the school year in writing across all curriculum areas. Authentic and on-demand writing assignments will be given during the school year appropriate to each grade level. Teachers will be encouraged to engage students in real world writing assignments that help to promote learning. Real world writing assignments will help students to prepare for the kinds of communicative tasks they will face in their quest to become globally competent citizens.

In order to equip teachers with the necessary skills to better assist students with these writing tasks, all staff members will be trained using the NC Writing System. UIS will use the data from the writing assignments as part of its formative assessments which in turn will inform instruction. UIS will also comply with North Carolina Department of Public Instruction's writing accountability standards for students in grades K-8.

IX.A.3.b(2) Mathematics

UIS will utilize the North Carolina Standard Course of Study to teach the strands of mathematics. Like other subject areas, the math curriculum will be mapped into nine-week periods of study. Pacing guides will be used to ensure that all strands are taught in a logical and sequential order, one strand building upon the other. In devising the targeted curriculum guides for UIS teachers and students, we will draw upon a wide range of resources, including the following:

- K-8 Observation Profiles
- K-8 Week by Week Essentials
- K-8 Classroom Strategies
- K-8 Indicators
- Essential Standards
- NC Math Manipulative Kit
- Illuminations by National Council of Teacher of Mathematics
- 1-8 Problem Solving Deck
- 6-8 Calculator Riddles

In grades K-8, pursuant to the North Carolina Standard Course of Study, UIS students will become proficient in the following strands of math:

- Number and Operations
- Measurement
- Geometry
- Data Analysis and Probability
- Algebra

Mathematics has a logic and sequence that has endured. But the way mathematics is taught has changed. New direction came when the National Council of Teachers of Mathematics published the *Curriculum and Evaluation Standards for School*

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Mathematics, which placed greater emphasis on reasoning, connecting math to other content areas and real life, problem solving, communicating, and less emphasis on answer finding and memorizing procedures (NCTM, 1989).

The standards guide teachers to concentrate on worthwhile mathematical tasks to promote student learning. This is accomplished by encouraging the learner to reason and communicate mathematically. This change also moves the teacher from being the central figure in the classroom to becoming a facilitator or guide to learning. In the evaluation standards, assessment is connected to instruction and is an ongoing process that includes the learner as an active participant in the evaluation.

According to *Principles and Standards for School Mathematics*, too many students--especially students who are poor, not native speakers of English, disabled, female, or members of minority groups--are victims of low expectations in mathematics" (NCTE, 2000). However, at UIS, we are committed to building a high quality program for all students. The curriculum will be taught in a logical and sequential order to introduce ideas in such a way that they build on one another. We will nurture our students' natural interests in, and enthusiasm for, mathematics by embracing rich mathematical thinking through talking, experimenting, and sharing ideas. Students will be able to visualize the relationships among important ideas and how they relate to the real world.

Students who are having difficulty will benefit from volunteer tutors from the university community, peer tutoring, computer-based tutorials, and small group instruction. Students with special learning needs in mathematics will receive additional support from both their classroom teacher and their special education teacher.

Technology will be essential in teaching and learning mathematics. New technologies exist to facilitate understanding and exploration of mathematical concepts and allow for risk taking; therefore, UIS will also utilize the following technology to enhance teaching and learning:

- Calculators
- Graphing calculators
- Tutor application software
- Tool application software
- Spreadsheet software
- Worksheet generating software

Ongoing assessment will be an important part of the mathematics program. Paralleling the evaluations of our reading curriculum, students in K-2 will be administered formative math assessments each quarter and a summative assessment at the end of each year. Data from this summative assessment will guide academic planning for both students and teachers for the next academic year. Students in grades 3-8 will be administered benchmark testing as needed and the state-mandated EOG.

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IX.A.3.b(3) Science

At UIS, our goal is to help students understand the unifying concepts of science and how they relate to their environment. By becoming competent in the unifying concepts of science (i.e., systems, order and organization; evidence, models, and explanation; constancy, change, and measurement; evolution and equilibrium; and form and function), we believe students will gain a more in-depth understanding of science content and will be better able to apply these concepts to other areas of the curriculum.

Science courses at UIS will reflect recent changes in both the [North Carolina Science Education Standards](#) and the [National Science Education Standards](#). The curriculum will reinforce three underlying assumptions about science: science is for everyone, science is merely the asking and answering of everyday questions, and "doing" science is rewarding to students. Rather than relying solely on lectures and textbooks, UIS will teach science through cooperative and problem-based methods of inquiry, which will equip UIS students with the requisite process skills to investigate, analyze, and draw conclusions about the wonders of science—oftentimes working collaboratively or cooperatively in teams. Continued growth and development of these skills and abilities will advance and enhance the scientific literacy of UIS students—that is, their ability to utilize their knowledge and understanding of science to make educated decisions that have both individual and societal implications.

To comply with the Science Standard Course of Study, UIS will utilize the North Carolina Essential Standards and Science Curriculum Guides—an inquiry-based method of teaching anchored in the five E's (engage, explore, explain, extend, and evaluate)—which trains students how to become critical thinkers and problem solvers. As we strive to make our students globally competent, we see the need to create scientifically literate students as a key to our nation's future competitiveness in the global marketplace.

At UIS, the following science strands of the North Carolina Standard Course of Study will be taught in grades K-8:

- Nature of Science
- Science as a human endeavor
- Science as inquiry
- The nature of scientific inquiry
- Abilities necessary to do scientific inquiry
- Abilities necessary to understand, to use, and to apply the unifying concepts and processes of science (including: evidence, explanation, measurement, ordering, organizing, changes)
- Science and Technology
- Ability to use and create technological designs
- Understand about technology and design

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- Ability to distinguish between natural and human made objects
- Science in social and personal perspectives
- Impacts of science and technology on their daily lives
- The relationship of science to personal health and welfare
- Characteristics of and changes in population
- Applications of science and technology to local challenges

As noted previously, materials on health and wellness, entrepreneurship and financial literacy, and character education will be infused in the teaching of these strands.

UIS will employ an array of qualitative and quantitative tools to assess student learning in science. Beginning in kindergarten and continuing through grade 8, UIS students will explore the wonders of science through scientific experiments, which require them to think critically, pose questions, seek answers to those questions through experimentation, and write up their findings in a science notebook. In addition, students will be involved in project based learning using rubrics to assess their own learning. Students will maintain a self-selected portfolio of their work to present at student led conferences.

In grades 3-8, ClassScape, the previously described online assessment tool, will be used to create ongoing quantitative measures of knowledge and skills acquisition. UIS also will comply with the North Carolina Department of Public Instruction's Testing Accountability guidelines for students in grades 3-8.

IX.A.3.b(4) Social Studies

UIS views the social studies curriculum as yet another opportunity to facilitate student learning through inquiry rather than through the exclusive use of textbooks. Our goal is to equip UIS students with the knowledge, skills, and attitudes necessary for informed and thoughtful participation in society while engaging them in active learning. At UIS, global education will be an integral part of the social studies curriculum which will afford our students greater opportunities not only to understand but also to effectively participate as informed citizens in our increasingly interdependent world.

UIS teachers will utilize a wide array of resources, including leveraging the power of the Internet and the World Wide Web, to make learning more personal and meaningful to UIS students.⁵ Students will be involved in asking questions about the world around them, work in cooperative learning groups to collect information to answer these questions, and engage in discussions to interpret the information they have found. Just as with any great inquiry lesson, students will then be able to form conclusions about

⁵ Currently, UIS kindergartners use WebQuests to search for information online. They search for information in virtual museums and take virtual field trips as they relate to the goals and objectives of specific lessons.

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their findings. In this approach to social studies education, the teacher acts as the facilitator of the lessons by assessing the students, planning the lessons, implementing the plan for learning, and evaluating the learning process. Students will be exposed to learning environments and teaching strategies that are developmentally appropriate and thus will be able to integrate these skills and understandings into a framework for responsible citizen participation.

The UIS social studies curriculum will cover the topics of Americanism; the governments of the United States and North Carolina; and the free enterprise system, including its history, theory, foundation, and the manner in which it is actually practiced.

UIS teachers will teach "the nation's founding and related documents, which shall include at least the major principles in the Declaration of Independence, the United States Constitution and its amendments, and the most important of the Federalist Papers." UIS students in 4th and 8th grade will be required to take a year-long course on North Carolina history and geography. Among other topics, students will study the contributions of various race and ethnic groups to the evolution, growth, and development of the state. And up to four weeks of instruction will focus on the origin, growth, and development of the Research Triangle region.

In addition, to fulfill the civic and citizenship education curriculum requirement, UIS students in the 8th grade will tour government facilities; choose and analyze community problems and proposed public policy solutions to remedy the problems; and engage in public service in the local community.

IX.A.4. Compliance with Federal and State regulations for serving exceptional children

UIS has policies and procedures to ensure that all children with disabilities--regardless of the severity--who are in need of special education and related services are identified, located and evaluated in accordance with NC Procedures Governing Programs and Services for Children with Disabilities.

IX.A.5. Entrance and exit requirements as well as graduation requirements (if the school is to be high school)

Any student that meets the criteria for admission to a North Carolina Public School is qualified for admission to UIS. To ensure equal opportunity of access, a formal, well publicized lottery will be conducted each year to select the incoming class of students. Selected students will be required to provide a range of documents, which are listed in the UIS application packet, as they enter the school. Students and parents will have to sign and return the contract page of the Student-Parent Handbook to verify their commitment to follow the rules and procedures and uphold the standards set by UIS. Conditions under which a student may be suspended and/or expelled from UIS are outlined in the UIS Student Code of Conduct Policy.

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IX.A.6. The school calendar (must provide instruction for a minimum of 180 instructional days); (G.S.115C-238.29F(d)(1))

UIS will follow a year-round calendar and provide educational programming for 190 school days. School days at UIS will begin at 7:45 a.m. and end at 6:00 p.m. UIS reserves the right to make its own choices about opening late or closing early due to inclement weather conditions. The adopted academic calendar for the 2010-2011 school year is as follows

2010-2011 UIS Academic Calendar

July 12 – July 16:	Professional Development, No Students
July 19:	Start of Classes
August 19:	P.E.P. Meeting
August 23, 24:	Progress Reports & Parent/Teacher Conf.
August 30	Dinner with Dads
September 6:	Labor Day, School Closed
September 16:	P.E.P. Meeting
September 21:	End of Quarter
September 22:	Professional Development, No Students
September 23 – October 8:	Fall Break, No School
October 11:	Start of Quarter
October 15:	Report Cards Distributed
October 21:	P.E.P. Meeting
November 11:	No School
November 15, 16:	Progress Reports & Parent/Teacher Conf.
November 18:	P.E.P. Meeting
November 24-26:	Thanksgiving, No School
November 29:	Dinner with Dads
December 9:	P.E.P. Meeting
December 16:	End of Quarter
December 17:	Professional Development, No Students
December 20 – January 7:	Christmas, No School
January 10:	Start of Quarter
January 14:	Report Cards Distributed
January 17:	MLK: No School
January 27:	P.E.P. Meeting
February 15, 16:	Progress Reports & Parent/Teacher Conf.
February 24:	P.E.P. Meeting
February 28:	Dinner with Dads
March 14:	End of Quarter:
March 15:	Professional Development, No Students
March 16:	Start of Quarter

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March 24:	P.E.P. Meeting
April 11 – April 22:	Spring Break, No School
April 28:	P.E.P. Meeting
May 9, 10:	Progress Reports & Parent/Teacher Conf.
May 16:	Dinner with Dads
May 25:	P.E.P. Meeting
May 30:	Memorial Day, No School
June 8:	End of Quarter
June 9, 10:	Professional Development, No Students

IX.A.7. A concise description of any evaluation tool or test that the proposed charter school will use in addition to any state or federally mandated tests.

UIS will participate in the ABC Accountability Model and North Carolina-required End-of-Grade tests administered beginning in Grade 3. For children in grades K-2, UIS will utilize the Children's Progress Academic Assessment (CPAA)--an early childhood assessment system that helps teachers focus classroom instruction to achieve the greatest learning gains for each child. In contrast to summative assessments, which merely *measure* achievement, CPAA is a formative assessment tool – an assessment *for* learning rather than an assessment *of* learning– that actually helps *guide* achievement in the right direction.

CPAA utilizes an assessment approach whereby incorrect responses are followed up with “second chances” and scaffolding to give the child an opportunity to correct the mistake. The specific type of scaffolding that a child receives is targeted to address the particular misunderstanding or difficulty that the child exhibits. This process of error analysis and targeted hinting is designed to identify the child's zone of proximal development (ZPD) across a range of concepts.

This online, adaptive assessment generates reports which provide teachers and administrators with insights about each child's understanding of Language Arts and Mathematics. It indicates which concepts students have mastered and where they may still be struggling. This feedback allows teachers to immediately make adjustments in their instruction that help ensure maximum benefits for each student.

Other assessment tools that will be employed at UIS, including the K-2 Literacy Assessment, the K-2 Math Assessment, EVAAS, ClassScape, and Dynamic Indicators of Basic Early Literacy Skills, are described elsewhere in this document.

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IX.A.8. A description of the student achievement goals for the school's educational program and the method of demonstrating that students have attained the skills and knowledge specified for those goals.

IX.A.8a) COLLECTION OF BASELINE DATA

Consistent with the theory and conceptual underpinnings of UIS, which are described in detail in Appendix A of this document, we will collect an array of baseline data in all of the domains in which we think it is necessary to intervene in order to improve education outcomes for children who grow up in economically distressed urban environments, including socioeconomic status, social/psychological, and physical health wellbeing indicators for the child and family composition measures. Parents/caregivers will be surveyed about stressful life events, educational history, and family management/child rearing practices. By way of time diaries, we will gather information on the child's prior experiences in school and in their neighborhoods, including who they interact with and how often. These and other baseline data items are listed in Table A-1 of Appendix A, which also specifies the sources of the data and the tools we will use to collect the information.

IX.A.8b) EVALUATION GOALS AND METHODS

Our evaluation model will leverage the experimental design that undergirds the lottery system that will be used to select the youth who will attend UIS. The young people who are selected will serve as the experimental group and those lottery participants not selected will constitute the control group. As previously noted, the experimental group of UIS students will benefit from a range of school-based services, including psychological services/family supports, an enriched standard course of study, technology-enhanced remediation, traditional tutoring and mentoring, after-school/extended day academic and cultural enrichment (see Figure 3). The evaluation will assess the impact of these interventions—individually and collectively—on the academic performance and other life outcomes of UIS students vis-à-vis their control group counterparts.

Our goal is to document both the processes undergirding the implementation of the UIS interventions (formative evaluation) and the measurable or quantifiable effects of each intervention on the youth participants and their families (summative and impact evaluations). To achieve these goals, we will use a mixed methods approach, combining the analytical power of ethnographic research methods, video documentation, and bivariate and multivariate quantitative analyses, which is described in detail in Appendix A. For our purpose here, suffice it to state that, among others, the evaluation is designed to answer the following research questions about the impacts of UIS-based interventions.

Does UIS:

- a. Enhance academic achievement?

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- b. Change expectations of students?
- c. Foster pro-social behaviors?
- d. Alter study habits and the amount of time spent on homework?
- e. Reduce behavior problems?
- f. Encourage parents/caregivers to become more involved with one another and with UIS?
- g. Build a bond between students and the UIS staff?
- h. Effectively embed students and their families in a broader network of community bridging institutions?
- i. Enhance the ability of the students to code-switch, that is, to change their behavior depending on the situational context in which they find themselves?
- j. Reduce the level of family stress and disorganization?
- k. Affect parent/caregiver-child relationships?
- l. Have an effect on the younger siblings of enrolled students?

While the evaluation has been developed by the UIS design and implementation team, an independent panel of experts recruited from across the 16 campuses of the UNC system will actually conduct the evaluation. The panel will include specialists in child development, pre-K through 12 education, family ecology, health and wellness, and evaluation research methods. As UNC Tomorrow demonstrated, leveraging the substantial talents and expertise of the University system's faculty is a highly efficient and cost-effective way to ascertain high quality insights with regard to the veracity and scalability of UIS-based interventions. The UIS design and implementation team will meet quarterly with the UNC evaluation team to receive feedback on the results of the formative evaluation and annually to receive feedback on the summative and impact evaluations. Adjustments to the program design will be made as deemed necessary based on the results of the various evaluations.

Our rigorous evaluation design, in sum, will (1) highlight the range of resources—financial, psychological, socio-cultural, and educational—which are required to improve education and other life outcomes for vulnerable youth; (2) document the veracity of a specific set of strategic interventions designed to address known risk factors that vulnerable youth face at various points in their lives; (3) demonstrate how faith-based, other community-based, and higher education institutions can mobilize, direct, combine, and leverage their respective assets and resources in collaborative and targeted ways to solve the K-12 education crisis; and, in the process, (4) prepare youth from some of Durham's most economically distressed neighborhoods for attainable slots in high quality public high schools and prestigious preparatory high schools—the gateways to the most competitive colleges and universities.

IX.B. SPECIAL EDUCATION (G.S.115C-106)

The charter school must accept special needs children under the federal legislation *Individuals with Disabilities Education Act (IDEA)* (20 U.S.C. 1400 Et seq.) and the state

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legislation (G.S. 115C-106 Et seq.). The proposed school will abide by the charter school legislation, G.S. 115C-238.29F(g)(5), as stated below:

A charter school shall not discriminate against any student on the basis of ethnicity, national origin, gender, or disability. Except as otherwise provided by law or the mission of the school as set out in the charter, the school shall not limit admission to students on the basis of intellectual ability, measures of achievement or aptitude, athletic ability, disability, race, creed, gender, national origin, religion, or ancestry.

Provide an explanation of the procedures the proposed charter will follow to insure compliance of the above laws.

IX.B.1. Our Philosophy

At UIS, we believe all students can excel regardless of disability. Research has shown that students whose exceptional needs can be met in a regular classroom benefit from remaining in that setting. Consistent with this research, our goal is to provide to the maximum extent possible an inclusive academic environment for UIS students. However, self-contained and/or one-on-one services will be provided for students with an Individual Education Plan (IEP) requiring such services.

UIS will comply with all applicable state and federal statutes, including Title II of the Americans with Disabilities Act (ADA) of 1990, the Individuals with Disabilities Education Act (IDEA), and Section 504 of the Rehabilitation Act of 1974. Students who have been identified as having special needs will receive a Free and Appropriate Public Education (FAPE) in the least restrictive environment. Students with disabilities will be educated along with their peers in the general education environment to the extent appropriate and as informed by each student's IEP. UIS will not discriminate in its admission or enrollment practices against students having or being suspected of having disabilities.

IX.B.2. Our IEP Team

Within the boundaries of legal compliance, UIS's structured academic environment will aim to minimize the impact of disabilities on students' learning processes and maximize students' opportunity to learn at high levels. Based upon local demographic information, it is anticipated that approximately 12% of admitted students will have a mild to moderate disability. Our school plan incorporates supports for students with disabilities and our budget includes a line item that will allow us to hire a full-time Special Education Teacher certified through the North Carolina Department of Public Instruction. We will employ additional certified special education teachers on an as needed basis in the years ahead.

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IX.B.3. Identification of Students with Disabilities

In order to identify students with learning disabilities, UIS screens incoming students for existing IEPs and our master teachers are trained to carefully monitor individual student performance for exceptional needs. Weekly staff meetings and frequent progress reports will allow UIS teachers, administrators, and parents to evaluate the academic and social progress of each student. If students demonstrate that they are not meeting the appropriate expectations of academic or social progress, this approach ensures that student needs are addressed in a timely fashion.

IX.B.4. Staffing and Programming

The certified special education teacher will co-teach in regular classrooms where appropriate, will provide special education consultative services when needed, and will assist with transition planning and services as deemed necessary. The special education teacher and the regular education teacher will collaborate to make necessary modifications and adjustments to the curriculum so that all students can be successful.

Student IEPs will be followed and updated annually. Psychological evaluations, evaluations, and educational testing will be conducted as required by state mandates. UIS's exceptional children's program may include one or more of the following: extended time on tests, individual pull-out instruction, in-classroom collaboration with the special education teacher, preferential seating, small group instruction, peer tutoring, and/or differentiated assignments.

IX.C. ADMISSIONS POLICY (G.S.115C-238.29B(b)(4); G.S. 115C-238.29F(d)(1))

Provide a description of the policies and the procedures for admitting students to the proposed charter school, including specific details of the enrollment lottery plan.

UIS will enroll any eligible student under North Carolina Charter Law who submits a timely application, as specified in this charter, unless the number of applicants exceeds the capacity of a program, class, grade level or building. UIS will employ a lottery (random selection process) that gives all applicants an equal chance of being admitted if more students apply for admission to the school than can be admitted. UIS will not conduct a lottery if there are fewer applicants than spaces available. See Appendix D for a detailed description of UIS Lottery Procedures.

IX.D. STUDENT CONDUCT AND DISCIPLINE (G.S.115C-238.29B(b)(12); G.S. 115C-238.29F(d)(4 and 5))

Provide drafts, included in this section (do not include as an appendices), of student handbooks and other policies governing student conduct and discipline. Include policies and procedures governing suspension and expulsion of students. Specifically address these policies with respect to exceptional children.

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IX.D.1. Student Code of Conduct

Our goal is to offer a quality education program. To fulfill this goal, students need a positive, safe, and orderly school environment in which learning can take place without disruption. Students who do not observe the rules of good conduct in the classroom or on the playground decrease both the learning and safety of others and their own opportunities to learn. Therefore, our staff takes a very proactive role in enforcing the UIS Student Code of Conduct outlined below.

IX.D.1a) Expectations

Students are expected to demonstrate respect and courtesy by obeying staff members, being kind to others, and being considerate of others' and the school's property. Students are also expected to follow the dress code, be punctual, and refrain from cheating in any way.

IX.D.1b) Acts of Misconduct

Both minor and major acts of student misconduct will initiate school disciplinary procedures. Generally, discipline will be administered by the teachers but may also be administered by the Head of School or another staff member. Acts of misconduct are listed in the UIS Student Code of Conduct. This list is not to be construed as an all-inclusive list or as limiting the authority of school officials to deal appropriately with other types of conduct which interfere with the good order of the school, the proper functioning of the educational process, or the health and safety of students.

A student violating any of the acts of misconduct listed in the UIS Student Code of Conduct shall be deemed to be guilty of a gross misdemeanor and will be disciplined. Additionally, a student who engages in an act of misconduct that violates the law may be referred to the appropriate police authority.

The acts of misconduct and penalties listed below are applicable when a student:

- engages in acts of misconduct on school property;
- engages in an act of misconduct in a motor vehicle being used for a school related purpose;
- engages in an act of misconduct at a school-related activity, function or event; and
- engages in an act of misconduct off school premises, which act, in the judgment of the administration, is of such seriousness that the student's continued attendance in school would present a danger to the health and safety of students or employees or would endanger the proper functioning of the educational process.

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Acts of misconduct include, but are not limited to, the following:

- Failure to cooperate or comply with directions of school personnel and volunteers
- False allegations against staff, volunteers, or students
- Falsification of records or scholastic dishonesty (including cheating and plagiarism)
- Misuse of copyrighted materials
- Improper or disrespectful communications to staff, volunteers, or students
- Disruption of school
- Sexual harassment
- Criminal sexual conduct
- Bullying and hazing⁶
- Improper dress in violation of the dress code
- Indecency (either with clothing/exposure, pictures or public display of affection)
- False alarms
- Damage of property or theft/possession of stolen property
- Coercion, extortion or blackmail
- Arson
- Possession of firework(s), explosive(s) and/or chemical substance(s)
- Possession and/or sale of alcohol and/or drugs (narcotic drugs, look-a-like substances and illegal chemical substances)
- Possession of look-a-like weapons
- Possession of dangerous weapons as defined by state law and dangerous weapons or instruments not otherwise enumerated herein

⁶ "Bullying or harassing behavior" is defined under NC law (G.S. 115C-407.5(a) as "any pattern of gestures or written, electronic, or verbal communications, or any physical act or any threatening communication, that takes place on school property, at any school-sponsored function, or on a school bus, and that:

- (1) Places a student or school employee in actual and reasonable fear of harm to his or her person or damage to his or her property; or
- (2) Creates or is certain to create a hostile environment by substantially interfering with or impairing a student's educational performance, opportunities, or benefits. For purposes of this section, "hostile environment" means that the victim subjectively views the conduct as bullying or harassing behavior and the conduct is objectively severe or pervasive enough that a reasonable person would agree that it is bullying or harassing behavior.

Bullying or harassing behavior includes, but is not limited to, acts reasonably perceived as being motivated by any actual or perceived differentiating characteristic, such as race, color, religion, ancestry, national origin, gender, socioeconomic status, academic status, gender identity, physical appearance, sexual orientation, or mental, physical, developmental, or sensory disability, or by association with a person who has or is perceived to have one or more of these characteristics." It should be noted that this definition was enacted by the General Assembly during the last session (S.L.2009-0212).

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- Possession of personal protection devices (such as tasers, mace, pepper-spray, etc.)
- Fighting, assault and/or battery on another person
- Gangs and gang related activity
- Violation of Technology Acceptable Use Policy
- Persistent disobedience
- Verbal assault
- Criminal acts other than as enumerated herein

Parents or students who are unsure of what conduct is prohibited by each act should consult with the Head of School.

IX.D.1c) Disciplinary Process

Level 1: The teacher addresses the inappropriate behavior with the student. If the act of misconduct is considered minor, the teacher records the incident on the “Incident Report” form and makes a telephone call to the student’s parent.

Level 2: If the same act of misconduct continues or if a more serious act occurs, the teacher disciplines the student and informs the parents by phone. The teacher provides the student with intervention strategies and records the incident on the “Incident Report” form.

Level 3: If the inappropriate behavior continues or if a more serious act of misconduct occurs (not covered in Levels 1 and 2), a conference with the parent(s), teacher, and/or Head of School is held in order to discuss the incident and appropriate disciplinary action. A written record of what was decided at the meeting is kept on file and a copy is given to the parents, and a copy is also placed in the student’s file. The teacher provides the student with intervention strategies and records the incident on the intervention form.

Level 4: If the previous disciplinary actions taken at levels 1-3 have not been successful in stopping the inappropriate behavior or if a very serious act of misconduct occurs, the teacher records the information on the “Incident Report” form, and the student is referred to the School Counselor. The School Counselor schedules a meeting with the parents in order to discuss a corrective action plan. The plan will be written and will take into consideration the cause of the inappropriate behavior, positive interventions that might be utilized to diminish the inappropriate behavior and necessary sanctions that will take place if the behavior continues. This plan is written, attached to the conduct report that precipitated it, and then distributed to all persons included in the meeting. A copy is also placed in the student’s file.

Level 5: If the corrective action plan is not effective, or a major act of misconduct occurs, the Head of School may require an in-school suspension for the student.

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Before a student can resume attending classes, the Head of School shall convene a meeting with the student, parents, and others involved in the development of the corrective action plan in order to determine further intervention strategies, which may include parent “shadowing” of their student for an entire academic day and/or a required performance of community service relative to the incident/infraction. A copy of the plan is distributed to all persons included in the meeting. A copy is also placed in the student’s file.

Level 6: If all the actions taken at Levels 1-5 have not corrected the inappropriate behavior and/or if the act of misconduct is so extreme that it threatens the safety of others, the Head of School may suspend or expel the student from school. A meeting with all involved persons shall be convened by the Head of School to determine the next course of action. Such action may consist of the Head of School's recommendation that the student serve a long term suspension or be expelled from school. If the Head of School recommends an expulsion, the Board of Directors will grant the student a due process hearing and thereafter will make a final decision about expulsion within ten days of the incident. Parents, the student, and any other person with relative information may give input to members of the Board before a final decision is made. A written record is made of all actions taken. The record is then copied and distributed to all involved parties.

Students who are served under IDEA (Special Education) or under Section 504 of the Rehabilitation Act of 1973 are entitled to certain additional rights in the area of discipline based upon their qualification for services under these federal laws.

Examples of major acts of misconduct (including but not limited to those below) that do not require progression through Levels 1-4 but rather call for discipline to be administered immediately at Levels 5 or 6 are the following:

- Malicious types of behavior that endanger the safety of others
- Physical assault
- Extreme acts of defiance and/or threats toward teachers/other adults/fellow students
- Defacement/destruction/theft of school property
- Sexual Harassment (depending upon severity)
- Criminal Sexual Conduct, as defined by law
- Bullying
- Weapons
- Possession/use of any form of alcoholic beverages, tobacco, inhalants, illicit drugs
- Arson

Note: Any public display of affection having sexual connotations (holding hands, kissing, etc.) is unacceptable behavior and may result in an in-school suspension to

UNION INDEPENDENT SCHOOL

isolate the student from the rest of the school community. The length of the suspension will be determined by the type of behavior that is displayed.

IX.D.1d) Due Process Procedures

Inappropriate behavior addressed by a teacher in the classroom that does not result in a disciplinary referral shall be recorded, along with any disciplinary action used, in the teacher's record book or "Incident Report" form. The administration reserves the right to address acts of misconduct, or to supplement any disciplinary action, through the implementation of a Corrective Action Plan.

IX.D.1.d(1) Introduction to the Rules of Due Process for Misconduct Not Addressed in the Classroom

The following due process procedures only govern the suspension or the expulsion of a student from the school's regular educational program. Discipline in the form of legally appropriate administrative intervention is solely within the discretion of the Head of School and is not subject to the procedures of due process as provided in this Student Code of Conduct.

If a student charged with a violation of the UIS Code of Conduct has been returned to the regular school program pending a decision by either the Head of School or other board designee, then such action of reinstatement shall not limit or prejudice the school's right to suspend or expel the student following that decision.

The Head of School shall approve all discipline referrals for suspension and/or expulsion.

IX.D.1.d(2) Suspension of Ten School Days or Less

As a general rule, prior to any suspension of the student, the Head of School shall provide the student with the following due process:

1. The Head of School shall inform the student of the charges against him/her, and, if the student denies the charges, the Head of School shall provide the student with an explanation of the evidence the Head of School possesses.
2. The student shall be provided an opportunity to explain to the Head of School his/her version of the facts.

If a student's presence in school poses an immediate danger to persons or property or an ongoing threat of disruption to the educational process, the Head of School may immediately suspend the student, and as soon thereafter as reasonable, provide the student with his/her due process rights as set forth above.

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If, after providing the student with his/her due process rights, the Head of School determines that the student has engaged in a prohibited act under this Student Code of Conduct, then he/she may impose a disciplinary penalty of a suspension not to exceed ten (10) days. The Head of School, or his designee, shall inform (in person or by phone) the student's parent of the suspension and of the reasons and conditions of the suspension. A Conduct Report is to be completed, with copies going to the parent and the student's file. A decision to suspend a student for ten (10) or fewer school days is final and not subject to further review or appeal.

IX.D.1.d(3) Suspension for Eleven (11) or More School Days and Expulsion

A parent shall be notified by the Head of School in writing and in the native language of the parents of the Head of School's intent to suspend or expel.

At the Head of School's discretion, a long term suspension may be imposed. A long term suspension is defined as a suspension from school and all extracurricular activities of more than ten school days.

A 365 day suspension is a denial to a student of the right to attend school and to take part in any school function for a full 365 days. The Board must suspend a student for 365 days for weapons and bomb threat violation. The Board must suspend a student for 300 – 365 days for assaults which seriously injure a teacher or other employee. The Board may suspend a student for up to 365 days if a student 1) assaults a teacher; 2) assaults a student, if witnessed; 3) assaults and seriously injures another student; or 4) other threats/false reports.

An expulsion results in the student's exclusion from school and all extracurricular activities. The Board must find that the student presents a "clear and convincing" threat to the safety of others.

The written notice of violation shall state the nature of the violation and the proposed consequence.

The parent of the child shall be responsible for making arrangements for the child's educational needs during a long term suspension and/or expulsion.

IX.D.1e) Miscellaneous Provisions

IX.D.1.e(1) Voluntary Agreements of Discipline

At any time during the disciplinary proceedings, the Head of School or his designee may enter into a written contract with the student and/or his/her parent(s) setting forth the parties' agreement in settlement of the disciplinary charges. In such cases, the written agreement shall be final and binding and may not be later challenged by the Head of School or his designee or the student and/or his/her parent(s).

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IX.D.1.e(2) Suspended/Expelled Students on School Property or Attending School Activities

A suspended or expelled student who enters onto school property or appears at a school activity, event or function without the permission of a building administrator shall be deemed to be trespassing.

IX.D.1.e(3) Maintaining Class Progress

When practical in the judgment of the Head of School, a suspended student may be permitted to maintain progress during the period of suspension.

IX.D.2. Definition of Terms

Incident Form is a specific written record of the student's act of misconduct. It documents the date, the nature of the offense, and the interventions performed by the teacher.

Conduct Report is a specific written record of the student's act of misconduct. It documents the date, nature of the offense, and the disciplinary action taken by the teacher and/or Head of School.

Corrective Action Plan is a written document that identifies the cause of misconduct and what steps will be taken in order to help a student overcome inappropriate behavior. It is signed by the parent(s), student, and staff member.

In-School Suspension Plan refers to the Head of School's decision to temporarily remove a student from the mainstream classroom and to place the student in a segregated environment within the school building that allows the student to continue to progress in their coursework but denies them access to regular classroom instruction and social interaction with their peers. The In-House Suspension room must be supervised by an adult employee of the building at all times.

Out-Of-School Suspension Plan refers to the Head of School's decision to temporarily remove a student's right to attend school or any school-related activity not to exceed ten (10) school days. A meeting with the parents will be convened to discuss the incident that led to the suspension and to develop a plan of action for the future. Students suspended from school are not allowed to visit the school or attend any school-related activities during the period of suspension.

Long-Term Suspension Plan refers to the Head of School's decision to remove temporarily a student's right to attend school or any school-related activity for a specified period of time, which exceeds ten school days. A meeting with the parents is convened to discuss the incident that led to the suspension and to develop a plan of

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action for the future. Students suspended from school are not allowed to visit the school or attend any school-related activities during the period of suspension.

Expulsion is defined as a decision to remove a student from school due to extreme non-compliance with school rules/state law. This decision shall be made by the Board of Directors. All decisions made by the Board of Directors are final.

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X. BUSINESS PLAN

X.A. PROJECTED STAFF

Provide a list of positions anticipated for the charter school; (e.g., principal or director; support staff; teachers, part-time and full-time; paraprofessionals/teaching assistants, clerical, and maintenance).

UIS Projected Staff Chart for 2010-2011		
Position	Full Time/ Part Time	Number
Head of School	FT	1
Assistant Head of School	FT	1
Director of Finance & Business	FT	1
Administrative Assistant	FT	1
Counselor	FT	1
Master Teachers	FT	4
Teacher Associates	FT	4
Specials Teachers (PE, Arts, Etc.)	PT	4
Exceptional Children's Teacher	FT	1
Media Coordinator	FT	1
Extended Day Program Staff	PT	8

X.A.1. QUALIFICATIONS REQUIRED FOR INDIVIDUAL POSITIONS: (G.S.115C-238.29F(e))

List the qualifications and licenses that each position must have to perform the job function(s). Describe the plan to meet the licensure requirements for teachers and paraprofessionals as prescribed by state law and No Child Left Behind.

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At all grade levels, UIS will strive to employ highly qualified master teachers possessing National Board Certification. As North Carolina State Statute requires, 75% of UIS elementary school teachers and 50% of its middle school teachers will be licensed. Teachers and teaching associates who are not licensed will hold a minimum of a Baccalaureate degree in a related field. UIS will strongly encourage its non-licensed teachers and teaching associates to become licensed by going through the North Carolina licensure procedures.

X.B. ENROLLMENT

In the following tables, please list for each year and grade level, the numbers of students that the school reasonably expects to enroll. In addition, please indicate any plans to increase the grade levels offered by the school.

The numbers in the following tables are projections, or estimates, and do not bind the State to fund the school at any particular level.

For the first two years the State will fund the school up to the maximum projected enrollment for each of those years as set forth and approved in the projected enrollment tables. However, in subsequent years, the school may increase its enrollment only as permitted by G.S. 115C-238.29D(d), that is, an increase of 10% per year based on the previous year's enrollment. Any increase above 10% must be approved by the State Board of Education in accordance with G.S. 115C-238D(d).

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X.B.1. Projected Enrollment 2011-12 through 2015-2016

IDENTIFY LEA FROM WHICH STUDENTS WILL PROBABLY COME

List LEA #1 – Durham Public School System _____

List LEA #2 – _____

List LEA #3 – _____

		2011-2012	2012-13	2013-2014	2014-15	2015-16
		LEA	LEA	LEA	LEA	LEA
		#1	#1	#1	#1	#1
Grades						
Kindergarten	K	25	25	25	25	25
First	1	25	25	25	25	25
Second	2	25	25	25	25	25
Third	3	19	25	25	25	25
Fourth	4	22	19	25	25	25
Fifth	5		22	19	25	25
Sixth	6			22	19	25
Seventh	7				22	19
Eighth	8					22
LEA Total		116	141	166	191	216
Overall Total		116	141	166	191	216

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X.B.2. Budget: Revenue Projections 2010 through 2016

INCOME: REVENUE PROJECTIONS	2010-2011	2011-2012	2012-2013	2013-2014	2014-2015	2015-2016
State ADM Funds	\$568,531.26	\$679,098.64	\$817,307.64	\$952,015.97	\$1,079,722.76	\$1,217,931.86
Local Per Pupil Funds	\$276,645.12	\$334,279.52	\$406,322.52	\$478,365.52	\$550,408.52	\$622,451.52
Federal Funds						
Foundation Grants*	\$1,026,000.00	\$126,000.00	\$129,000.00			
Other Funds **	\$7,500.00	\$22,500.00	\$30,000.00	\$35,000.00	\$40,000.00	\$45,000.00
TOTAL INCOME	\$1,878,676.38	\$1,161,878.066	\$1,382,630.16	\$1,465,381.49	\$1,670,131.28	\$1,885,383.38

*William Rand Kenan Charitable Trust & W.K. Kellogg Foundation

**Facility Use Income

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X.B.3. Budget: Revenue Calculations 2010 through 2016

D. Budget: Revenue Calculations 2010 through 2016

Calculations for figuring state and local dollars for the proposed charter school

	2010-2011	2011-2012	2012-2013	2013-2014	2014-2015	2015-2016
INCOME:						
REVENUE PROJECTIONS						
State ADM Funds	\$568,531.26	\$679,098.54	\$817,307.64	\$952,015.97	\$1,079,722.76	\$1,217,931.86
<i>State Funds-Durham x # of Students ⁽¹⁾</i>	<i>\$4,828.21 x 96</i>	<i>\$4,828.21 x 116</i>	<i>\$4,828.21 x 141</i>	<i>\$4,828.21 x 166</i>	<i>\$4,828.21 x 191</i>	<i>\$4,828.21 x 216</i>
<i>Special Education Funds x # of Students ⁽²⁾</i>	<i>\$3,500.77 x 30</i>	<i>\$3,500.77 x 34</i>	<i>\$3,500.77 x 39</i>	<i>\$3,500.77 x 43</i>	<i>\$3,500.77 x 45</i>	<i>\$3,500.77 x 50</i>
Local Per Pupil Funds ⁽³⁾	\$276,645.12	\$334,279.52	\$406,322.52	\$478,365.52	\$550,408.52	\$622,451.52
<i>Durham Funds x # of Students</i>	<i>\$2,881.72 x 96</i>	<i>\$2,881.72 x 116</i>	<i>\$2,881.72 x 141</i>	<i>\$2,881.72 x 166</i>	<i>\$2,881.72 x 191</i>	<i>\$2,881.72 x 216</i>
Federal Funds						
Foundation Grants ⁽⁴⁾	\$1,026,000	\$126,000	\$129,000			
Private Funds						
Other Funds ⁽⁵⁾	\$7,550	\$22,500	\$30,000	\$35,000	\$20,000	\$40,000
TOTAL FUNDING	<u>\$ 1,878,676.38</u>	<u>\$1,161,878.06</u>	<u>\$1,382,630.16</u>	<u>\$ 1,465,381.49</u>	<u>\$ 1,670,131.28</u>	<u>\$ 1,885,383.38</u>

⁽¹⁾ Dollars per ADM Based on Planning Allotment FY 2009-10

⁽²⁾ Planning Allotment Formula: Children with Disabilities (School Aged) FY 2009-10

⁽³⁾ Dollars per ADM Based on Planning Allotment FY 2006-7

⁽⁴⁾ William Rand Kenan Charitable Trust and W.K. Kellogg Foundation.

⁽⁵⁾ Facility use Income.

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X.B.4. Budget (continued): Expenditure Projections 2011-12 through 2015-16

MAY BE AMENDED AS THE NEEDS OF SCHOOL DICTATES.

Budget (continued): Expenditure Projections 2011-12 through 2015-16

		2010-2011		2011-2012		2012-2013		2013-2014		2014-2015		2015-2016	
PERSONNEL													
	Total # staff		Total # staff		Total # staff		Total # staff		Total # staff		Total # staff		Total # staff
Head of School	1	\$62,500	1	\$62,500	1	\$65,000	1	\$65,000	1	\$70,000	1	\$269,725	
Asst. Head of School/Extended Day Coordinator	1	\$60,000	1	\$60,000	1	\$60,000	1	\$60,000	1	\$60,000	1	\$60,000	
Clerical	1	\$30,000	1	\$30,000	1	\$30,000	1	\$30,000	1	\$30,000	1	\$30,000	
Teachers	4	\$186,000	5	\$232,500	6	\$300,000	7	\$367,500	8	\$448,000	9	\$540,000	
Librarians	1	\$37,500	1	\$37,500	1	\$39,500	1	\$41,000	1	\$43,000	1	\$45,000	
Guidance/Counselor	1	\$45,000	1	\$45,000	1	\$47,500	1	\$47,500	1	\$49,000	1	\$49,000	
Teacher Assistants	4	\$100,000	5	\$132,500	6	\$165,360	7	\$202,580	8	\$231,520	9	\$260,460	
Total Full-time Staff	13		15		17		19		21		23		
SUBTOTAL PERSONNEL COSTS		\$521,000		\$600,000		\$707,360		\$813,580		\$931,520		\$1,254,185	
Employee Benefits @ 20%		\$83,200		\$99,000		\$119,972		\$162,716		\$186,304		\$250,837	
Staff Development		\$5,000		\$5,500		\$6,000		\$6,500		\$7,000		\$7,200	
TOTAL PERSONNEL COSTS		\$609,200		\$704,500		\$833,332		\$982,796		\$1,124,824		\$1,512,222	
CONTRACT SERVICES													
Special Education Teacher	1	\$45,000	1	\$47,250	1	\$49,612	1	\$52,090	1	\$54,690	1	\$57,430	

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Budget (continued): Expenditure Projections 2011-12 through 2015-16

		2010-2011		2011-2012		2012-2013		2013-2014		2014-2015		2015-2016
Special Program/Extended Day Teachers	11	\$115,200	13	\$144,000	15	\$172,800	17	\$201,600	19	\$230,400	21	\$259,200
Food Services*		\$90,000		\$105,000		\$120,000		\$135,000		\$150,000		\$165,000
Security/Intrusion System		\$3,000		\$3,000		\$3,000		\$3,000		\$3,000		\$3,000
HR/Accounting Services		\$5,000		\$5,000		\$7,500		\$7,500		\$10,000		\$10,000
Janitorial		\$20,000		\$20,000		\$20,000		\$20,000		\$20,000		\$20,000
Lawn Service		\$3,000		\$3,000		\$4,000		\$4,000		\$4,500		\$4,500
IT Support		\$18,000		\$18,500		\$20,600		\$21,200		\$24,000		\$25,500
Total Contract Staff	12		14		16		18		20		22	
CONTRACTOR SUBTOTAL		\$299,200		\$345,750		\$397,512		\$444,390		\$496,590		\$544,630
MATERIALS and SUPPLIES												
Books & Supplies est \$250 per Student		\$24,000		\$29,000		\$32,250		\$41,500		\$47,750		\$54,000
Office Supplies		\$6,000		\$6,000		\$6,200		\$6,200		\$6,750		\$6,750
OFFICE EQUIPMENT												
Office Equipment Leasing		\$5,400		\$5,562		\$5,729		\$5,901		\$6,078		\$6,260
Computer Equipment & Software		\$12,500		\$12,500		\$12,500		\$50,000		\$50,000		\$50,000
Classroom Equipment		\$20,000		\$13,500		\$3,500		\$,500.00		\$3,500		\$3,500
MARKETING		\$3,000		\$3,500		\$3,800		\$4,000		\$4,300		\$4,600
MATERIAL AND SUPPLIES SUBTOTAL		\$70,900		\$71,062		\$67,729		\$111,601		\$118,628		\$125,110

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Budget (continued): Expenditure Projections 2011-12 through 2015-16

	2010-2011	2011-2012	2012-2013	2013-2014	2014-2015	2015-2016
OTHER SERVICES						
Water/Sewer	\$2,700	\$2,781	\$2,864	\$2,950	\$3,039	\$3,130
Electric	\$35,000	\$36,000	\$38,000	\$41,000	\$43,000	\$45,000
Gas	\$12,000	\$12,480	\$12,979	\$13,498	\$14,038	\$12,600
Insurance: Liability	\$14,000	\$15,000	\$15,000	\$15,000	\$15,000	\$15,000
Maintenance & Repair	\$3,000	\$5,000	\$6,000	\$6,000	\$6,000	\$6,000
OTHER SERVICES SUBTOTAL	\$66,700	\$71,261	\$74,843	\$78,448	\$81,077	\$81,730
TOTAL RECURRING EXPENSES TOTALS	\$1,018,200	\$1,161,212	\$1,341,523	\$1,582,637	\$1,783,492	\$2,275,162
Enrollment (number of students)	96	120	144	168	192	216
*Half of initial projected food costs are covered by Free/Reduced Lunch Program						

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X.B.5. Working Capital and/or Assets on Date of Application

Cash on Hand	\$_____
Certificates of Deposit	\$_____
Bonds	\$_____
Real Estate	\$_____
Capital Equipment	<u>\$206,881</u>
Motor Vehicles	\$_____
Other Assets	\$_____
TOTAL	\$_____

ADDITIONAL NOTES:

Capital equipment includes furnishings, fitness center equipment, computers and servers

X.C. AUDITS

X.C.1. Program Audits: GS 115C-238.29B(b)(6)

Describe the procedure and method for evaluating the overall effectiveness of the proposed charter school program as related to the mission of the school.

UIS recognizes the importance of the ABC Accountability Program and the No Child Left Behind (NCLB) Act, and agrees with the North Carolina State Board of Education's recent decision to raise student performance standards to help prepare students to meet today's challenges and required skills, especially in the increasingly more competitive academic environment. UIS will therefore adopt these standards as the minimum academic standards of the school. As such, end-of-grade and end-of-course test results will be closely evaluated and monitored by the UIS Board of Directors, Head of School, teachers and evaluation team, and shared with all UIS' staff members.

Additional details on the UIS evaluation plans can be found in Appendix A.

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X.C.2. Financial Audits: GS 115C-238.29F(f)(1)

Describe the procedure and method for conducting an independent financial audit for the proposed charter school. Give the name of the firm that will conduct the audit (must be approved by the State of North Carolina). Include the complete mailing address, telephone number and fax number.

UIS' finances shall be audited annually by an independent auditor retained by the school. The school shall adhere to the auditing and reporting procedures and requirements that are applied to public schools operating in North Carolina. Auditing and reporting requirements shall be in compliance with the principles set forth in the Single Audit Guide, the Financial Accounting Handbook, and the Funding Manual, which are published annually by the Office of District Auditing and Field Services.

The UIS Board of Directors has retained the services of Sylver CPA, PLLC to conduct the annual independent audit of UIS. Contact information for the firm is as follows:

Sylver CPA, LLC

Sylver Certified Public Accountant and Consultant

Post Office Box 13506

Research Triangle Park, NC 29909

Website: www.sylvercpa.com

Email: info@sylvercpa.com

Phone: (877) 7-SYLVER

FAX: (877) 779-5837

X.D. HEALTH AND SAFETY REQUIREMENTS (G.S. 115C-238.29F(a))

Address how the proposed charter school will meet the requirements for the following:

X.D.1. Safety

The safety of all UIS staff and students is of utmost importance. Therefore, the initial school policies and requirements will include the items outlined below:

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Each UIS employee, volunteer, contractor, board member or any other individual deemed to have access to students will be required to submit a criminal background check and furnish a criminal record summary before employment according to GS 115C-238.29K.

A Crisis Intervention Plan has been developed for Board approval to assure policies for responses to emergencies and natural disasters, including fires, hurricanes, and tornados.

UIS will comply with all policies set forth for Local Safe School Plans under GS 115C-105.47.

UIS will strictly function as a tobacco free institution in accordance with GS 115C-407.

X.D.2. Immunization of Students

UIS will require that all students be immunized prior to the beginning of classes. Parents will be asked to provide records of completed immunizations at the time of enrollment. UIS will outline all required immunizations and provide local health department resources when needed. UIS will provide parents and guardians with information on meningococcal and influenza and its vaccines, in accordance with GS 115C-238.29F.

X.D.3. Fire and Safety Regulations

UIS will comply with regulations set forth under GS 115C-525. In doing so, UIS will ensure that the school meets the North Carolina Building Code standards. UIS will cooperate with the local fire marshal, or designated person conducting the inspection to ensure all fire prevention precautions are met. UIS will further incorporate routine fire drills with students, as part of its school safety plan.

X.D.4. Food Inspections

The school will comply with all guidelines set forth by the Child Nutrition Division of the United States Department of Agriculture and directives from the local board of health. When requested, food handling areas will be available for inspection.

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X.D.5. Hazardous Chemicals

Hazardous chemicals will be clearly labeled and safely stored in a locked cabinet. Typically such chemicals are associated with science programming. Our science classroom will have locked cabinets for storage and eyewash and shower equipment to deal with hazardous chemical spills and accidents. Moreover, UIS will employ procedures of use, storage, and disposal in accordance with established state statutes.

X.D.6. Bloodborne Pathogens

All UIS staff members will be provided with training and printed materials and receive certification regarding bloodborne pathogens in accordance with state statutes. Training and printed materials will be provided for all future employees.

X.E. CIVIL LIABILITY AND INSURANCE (GS 115C-238.29F(c))

State the proposed coverage for:

X.E.1. Comprehensive General Liability

\$3,000,000 aggregate limit

X.E.2. Officers and Directors/Errors and Omissions

\$2,000,000 aggregate limit

X.E.3. Property Insurance

Full replacement cost coverage

X.E.4. Motor Vehicle Liability

\$1,000,000 for bodily injury and property damage

X.E.5. Bonding

Minimum amount: \$250,000

Maximum amount:

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X.E.6. Other

State Board of Education Policy EEO-U-004 establishes minimums. Go to: <http://sbepolicy.dpi.state.nc.us/>

Click on: SBE Policy Manual Table of Contents, Effective and Efficient Operations, Charter Schools, EEO-U-004.

X.F. TRANSPORTATION (G.S. 115C-238.29F(h))

Describe in detail the transportation plan that will ensure that no child is denied access to the school due to lack of transportation.

UIS is committed to ensuring that transportation is not an obstacle for any student within the local school administrative unit, and therefore anticipates adhering to the plan below.

UIS is within easy access to public transportation of students to and from school. The school will present parents or guardians with carpooling options and maintain a list of participating parents. UIS may arrange a transportation service to serve students who do not have any other options of attending school. UIS will provide transportation for the students as prescribed by law such as for exceptional children.

X.G. FACILITY (GS 115C-238.29D(c))

Describe the facility in which the school will be located. Include information on how the site is appropriate to your mission and instructional program. Note that the SBE may approve a charter school prior to the school's obtaining a facility; however, students may not attend school and no funds will be allocated until the school has obtained a facility and has provided a valid Certificate of Occupancy for Educational use to The Office of Charter Schools.

Name of the facility (if known):	Union Independent School
Address:	311 Dowd Street
City/State/Zip:	Durham, North Carolina 27701
Description of the Facility:	
Total square feet:	<u>49,000</u>
Number of Classrooms:	<u>13</u>

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Number of Restrooms: 12

Other Rooms: 15

Auditorium: No

Gymnasium: Yes

Music Room: Yes

Art Room: Yes

Laboratory: Yes

Ownership: ☐ Fee Simple or ☒ Lease

If the facility is to be leased, provide the following information:

(a) Term of the Lease: 5 Years
(b) Type of Lease: _____
(c) Rent: \$ \$1.00 per year

Name of Landlord: Union Baptist Church

Address: 904 North Roxboro Street

City/State/Zip: Durham, NC27701

Phone: 919-688-1304

Fax: 919-688-1389

Document inspections for the following:

(a) Fire: Yes

(b) Safety: Yes

(c) Handicapped accessibility? Yes

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Describe how the maintenance will be provided for the facility. **Contracted Maintenance Firm**

Describe the method of finding a facility if one is not readily available at this time. **Building is ready and available**

X.H. MARKETING PLAN (GS 115C.238.29F(g)(1-7))

Marketing to potential students and parents is vital to the survival of a charter school. Reaching the full capacity for enrollment will be critical to obtain the necessary financial resources to keep your school viable and operating efficiently. In addition, it is required by law that charter schools provide equal access to all students. Read the charter school State Statute regarding admissions GS 115C.238.29F(g) (1-7) carefully. Describe how you will develop, a five year minimum, market plan to specific populations (including various community and ethnic groups, teachers and other employees, and the general public) to ensure that the school fully complies with the State Statute to mirror the diversity of the local education agency.

UIS Board of Directors and administrative leadership understand the challenge of recruiting potential students. To ensure the widest dissemination of information possible, UIS's marketing activities will include: informational sessions and public presentations; appearances on T.V. and radio shows; and placement of ads in community newspapers and other print publications. UIS will also leverage community partnerships and employ direct mail campaigns to connect with students and families throughout the Durham community. Some of our specific student recruitment activities are outlined below.

Marketing:

We will use multiple strategies to successfully identify program eligible families, including:

1. Distribution of program announcements to churches, community-based organizations, and government offices
2. Interviews with local print and broadcast media
3. Meetings with grass-roots, civic, and political leaders
4. Public service announcements about UIS on local radio stations
5. Written communication to Durham households in which we know there is a child approaching kindergarten age.

The timeline for these marketing activities appears in Table 2.

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Table 2: Timeline for Proposed Marketing Activities

Dates	Activities
January 2010 until April 2010	Information Sessions will be strategically held throughout Durham. They will be held at local libraries, churches, and community organizations. These sessions will allow for the communication of the Union Independent School mission and key program components. Parents will have the opportunity to meet staff, board members and have questions or concerns answered.
January 2010 until April 2010	The Union Independent School website will include general information for parents and students. Families will be able to print out and complete an enrollment form.
January 2010 until April 2010	Radio Advertisements will be utilized to help market the school to families. We will research and employ the most cost effective options and strategies in order to best market the school using this media outlet.
January 2010 until April 2010	Public Access Television will be utilized in order to market the school to families in the viewing audience.
January 2010 until April 2010	Flyers and Pamphlets will be distributed and posted at strategic locations. Community organizations, churches, shopping malls and supermarkets will serve as some of these locations.
November 2009 until January 2010	Posters for the purposes of marketing Union Independent School and providing relevant information will be placed at local businesses and organizations. These posters will be placed in and around grocery stores, banks, local carry-outs, barber shops, beauty salons and laundromats.

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XI. LEA IMPACT STATEMENT

Pursuant to G.S. 115C-238.29B(d), the charter school applicant must submit a copy of the application to the LEA in which the school will locate within seven days of the submission of the application to the Office of Charter Schools. The LEA may then submit information or comment directly to the Office of Charter Schools.

Please attach to this application a return receipt, or other documentation, verifying the applicant's timely submission of a copy of this application to the LEA.

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XII. APPENDICES

You may include numbered and indexed appendices to provide additional information that you believe will assist the State Board of Education in the consideration of your application.

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XII.A. APPENDIX A: Union Independent School Theoretical Foundation, Strategic Interventions, and Evaluation Design

THE UNION INDEPENDENT SCHOOL: Theoretical Foundation, Strategic Interventions, and Evaluation Design

James H. Johnson, Jr., Ph.D.

Kenan-Flagler Business School

University of North Carolina at Chapel Hill

INTRODUCTION

Union Baptist Church, in collaboration with the Kenan-Flagler Business School at the University of North Carolina at Chapel Hill, has erected a state-of-the-art K-8 laboratory school in Northeast Central Durham, North Carolina. The Union Independent School (UIS) will serve as a beta test site for new ideas and innovation for educating disadvantaged youth.

This document provides an in depth overview of UIS. First, it discusses UIS's conceptual and theoretical underpinnings. Next, it highlights UIS's structure and organization, as well as the types of programs and initiatives the school will offer. This is followed by an explanation of the school launch and evaluation design strategies. A concluding section addresses the anticipated outcomes of the UIS-based interventions.

CONCEPTUAL BASIS AND THEORETICAL FOUNDATION

In attempting to facilitate successful education and life outcomes for disadvantaged youth it is useful, conceptually and analytically, to view them as being nested in a set of progressively broader situational contexts which independently and interactively influence their development (Delpit, 1995; Bautista de Domanico, Crawford, & DeWolfe, 1994; Knapp and Shields, 1990). As Figure 1 shows, these situational, hierarchical contexts include the family, the school, the neighborhood, and the broader community (Johnson, Oliver, & Bobo, 1994).

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The size, composition, demographic make up, and economic vitality of each of these contexts vary from one geographical setting to the next. Also, each one is dynamic, changing in various ways and in varying degrees over time. The constraints on disadvantaged youths' educational development and prospects must be identified at each of these varying scales (i.e., the family, school, neighborhood, and community) so that specific programs and interventions can be designed to simultaneously change these conditions.

Nested Hierarchical Model of Pathways Through Middle Childhood



Figure A-1: Nested Hierarchical Model of Pathways through Middle Childhood

One must recognize, however, that a number of underprivileged youth do manage to successfully navigate their way through the challenges and constraints imposed at the family, school, neighborhood, and community levels in economically distressed environments (Jarrett, 1995). That is, in contrast to many of their counterparts who share the same environmental milieu and socioeconomic status, they manage to eschew the so-called underclass behaviors, including dropping out of school, and to pursue, instead, mainstream avenues of social and economic mobility, including positive academic performance. Thus, the crucial research and policy question is: Among our most disadvantaged youth, what factors distinguish those who succeed from those who fail academically and in other walks of life?

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Figure 2 presents a model that specifies how the multiple situational contexts (i.e., family, school, neighborhood, and community) interact with one another (so-called concentration effects) and a set of intervening variables (social capital, cultural capital, and the ability to code switch) to influence or shape educational outcomes for disadvantaged youth (Wilson, 1987). The model currently serves as the theoretical foundation for the design of the Durham Scholars Program (DSP), an after school, weekend, and summer program jointly launched by Union Baptist Church and the Frank Hawkins Kenan Institute of Private Enterprise at UNC-Chapel Hill in 1995, which seeks to build bridging social capital for disadvantaged youth in economically distressed Northeast Central area of Durham, North Carolina. It is presented here to theoretically justify establishing UIS as the “mediating institution” or hub for a much broader set of school-based interventions which are designed to improve education and other life outcomes for underprivileged youth in Northeast Central Durham.



A Heuristic Model of the Pathways to Success

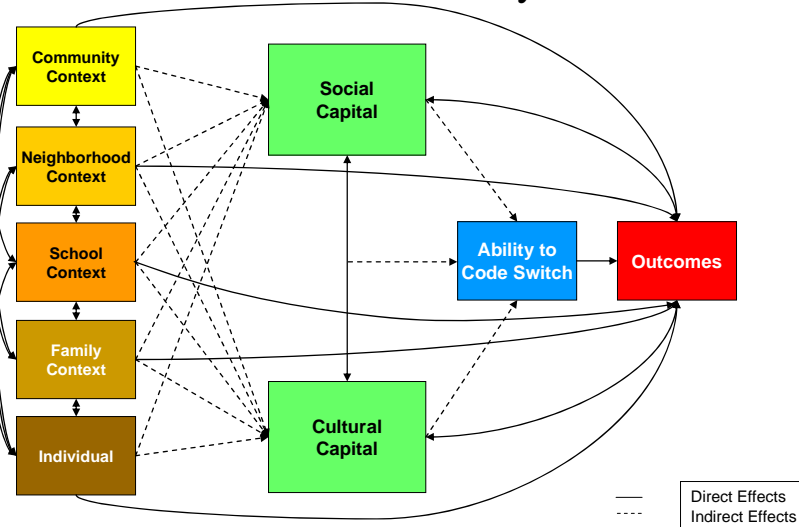


Figure A-2: A Heuristic Model of the Pathway to Success

The structure of the model embodies eight propositions, which specify direct influences on disadvantaged youth outcomes. Each of these propositions is discussed below along with supporting evidence from extant research.

Proposition 1: Community Context: Disadvantaged youth who find themselves in local communities with a strong pro-child development/prevention orientation (e.g., community policing, curfews for teens, after school programs, etc.) are more likely to

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experience successful educational outcomes than those who live in communities with a more punitive policy orientation (e.g., extreme disciplinary sanctions, “lock them up and throw away the key” crime control policies, etc.) (Miller, 1996).⁷

Proposition 2: Neighborhood Context: Disadvantaged youth who grow up in geographically and economically accessible neighborhoods and communities are more likely to experience successful educational outcomes than those in geographically isolated and economically inaccessible neighborhoods or communities (Wacquant and Wilson, 1989).⁸

Proposition 3: School Context: Disadvantaged youth attending schools where there is social, cultural, and class concordance between the school personnel and the students are more likely to experience successful educational outcomes than those attending schools where there is discordance between the school personnel and the students (Cooper, et al., 2005).

Proposition 4: Family Context: Youth who grow up in traditionally structured, two parent families are more likely to experience successful educational outcomes than their counterparts who grow up in single-parent, mainly female-headed families (Weisner, 2005).⁹

⁷ For reasons related to the dynamic interaction of changes in the racial composition and shifts in the age structure of the U.S. population, the youth most at risk of failing are growing up in three types of communities that provide varying—but uniformly low—levels of support for the education of minority youth: (1) racial generation gap communities—predominantly white adult population and predominantly non-white-youth population—where only limited support for public education exists because whites—most of whom are empty nesters—make up a majority of the voting age population; (2) “minority-majority” communities—predominantly non-white adult and youth population—where the tax base is too small to ensure that the school age population receives a high quality education; and (3) “majority-majority” communities—predominantly white adult and youth population—where the minority youth are more likely to attend schools that are undergoing re-segregation and thus do not fully benefit from the rich educational resources—financial and otherwise—that exist in the U.S. (Johnson, 2006a,b).

⁸ Inner city neighborhoods in particular are characterized by high rates of joblessness (especially among prime-working age African-American males), persistent and concentrated poverty, deteriorating schools, and an absence of mainstream institutions (e.g., the YMCA and the Boys and Girls Clubs of America) and role models (i.e., people who work everyday and are actively engaged in the lives of youth) (Grant and Johnson, 1995; Johnson and Farrell, 1998). Research confirms that, in such resource-depleted, hostile and dangerous neighborhoods, a sub-cultural norm emerges that has a devastating impact on the growth, development, and maturity of disadvantaged youth, especially African American males (Anderson, 1990). Popularly referred to as the “code of the streets” (Anderson, 1994), studies indicate that in these neighborhoods, being tough is a form of human capital; gang affiliation is a form of social capital—that is, a social support structure; and lethal violence becomes the normal way of resolving conflict. In these neighborhoods, young African American males, who grow up in households where the biological father is not present (Johnson, Levine, and Doolittle, 1999), either adhere to the “code of the streets” or become a victim of it (Johnson, Farrell, and Sapp, 1997; Johnson, Farrell, and Stoloff, 1998; Slaby, 1997).

⁹ Having the benefit of nurturance, guidance, and counsel of one’s biological father or a father figure is one aspect of effective parenting that is critical to successful child development (Fraser, 1998; DeParle, 1998; Johnson, Levine, and Dolittle, 1999; Johnson, Bienenstock, and Farrell, 1999). Research confirms that youth who benefit from such guidance and direction (i.e., father or a father figure), particularly during early childhood and adolescent years, are far less likely to

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Proposition 5: Individual Attributes: Disadvantaged youth who have a strong self-concept, a high sense of self efficacy, and who have had positive pre-school and elementary school experiences are more likely to experience successful educational outcomes than their counterparts who do not possess these positive attributes (Health and McLaughlin, 1993; Putnam, 2004).¹⁰

Proposition 6: Access to Social Capital: Disadvantaged youth who are anchored in a dense network of social capital resources are more likely to experience successful educational outcomes than those who are not (Fernandez-Kelly, 1994; Johnson, Oliver, & Bobo, 1994). Social capital can be broadly defined as contacts through which disadvantaged youth maintain their social identity and receive emotional support, material aid and services, information, and new social contacts. Such support can be obtained from individuals (e.g., immediate and extended family members, friends, co-ethnics, etc.) and/or institutions (e.g., churches, community-based organizations, etc.) (Coleman, 1988).¹¹

Proposition 7: Cultural Capital: Because they tend to vary along race/ethnic and class lines, morals, values, and attitudes toward life and what it takes to succeed are typically considered cultural capital attributes (Bourdieu, 1979). Disadvantaged youth who possess strong morals, values, and positive attitudes toward school and schooling are more likely to experience successful educational outcomes than their counterparts who possess character deficiencies, deviant values, and negative attitudes toward school and schooling. Disadvantaged youth who grow up in economically distressed neighborhoods that are bereft of mediating institutions and positive role models are far more likely than their counterparts who grow up in more stable neighborhood environments to embrace negative attitudes toward school and schooling (Fernandez-Kelly, 1994).

Proposition 8: Code Switching: Disadvantaged youth who demonstrate the ability to respond to changing conditions and relations as they move from one situational context to the next, that is, to “code switch,” are more likely to experience successful educational outcomes than their counterparts who do not possess this ability (Kochman,

engage in anti-social or dysfunctional behaviors than their counterparts who do not have access to such a male role model during their formative years of life (Johnson, Farrell, and Stoloff, 1998, 2000).

¹⁰ Studies confirm that fathers and father-figures help young African American males in particular to develop a strong self concept, facilitate engagement in range of pro-social behaviors, and foster involvement in a host of life-enhancing activities, especially during the critical formative years of life. Without the benefit of such mentoring, African American males are far more likely to become involved with gangs and other antisocial behaviors (Mincy, 2006).

¹¹ Research indicates that economically distressed inner city neighborhoods are often bereft of the kinds of mainstream mediating institutions that discourage disadvantaged youth from engaging in dysfunctional or anti-social behaviors and that encourage them to pursue mainstream avenues of social and economic mobility (Johnson and Oliver, 1992; Johnson and Farrell, 1998). In addition, employed African American males, who historically served as the role models for fatherless disadvantaged youth, typically are in short supply in economically distressed urban and rural neighborhoods.

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1988).¹² Disadvantaged youth whose personal and institutional networks extend beyond the local neighborhood (i.e., bridging social capital) are likely to be more adept at code switching than their counterparts whose networks are limited to the local neighborhood (bonding social capital) (Putnam, 2004).

The model also posits that the ability to successfully negotiate the multiple worlds of family, school, neighborhood, and community (i.e., to code switch) is mediated by the cultural capital attributes and the social capital resources on which disadvantaged youth have to draw (Putnam, 2004). Disadvantaged youth who are embedded in less than ideal community, neighborhood, school, and family contexts may very well experience successful educational outcomes if they are anchored in a solid network of social capital resources and possess the appropriate set of cultural capital attributes. Such resources will enable disadvantaged youth to successfully circumvent the negatives associated with his/her multiple worlds. Conversely, disadvantaged youth who are embedded in ideal community, neighborhood, school, and family contexts may not experience successful outcomes if they are not anchored in a strong network of social capital resources and do not possess the right values, morals, and attitudes toward school and schooling.

Our model, in short, rests on the fundamental premise that the disadvantaged youth's ability to successfully navigate his/her way within and across the multiple contexts of family, school, neighborhood, and community is the key to fostering success in education and other walks in life. Our proposed UIS interventions therefore are designed to assist disadvantaged youth thrive despite the barriers and potential pitfalls they face in each of these contexts.

ANATOMY OF THE PROPOSED INTERVENTIONS

UIS is designed to address the risk factors that exist at various stages in life course, including infancy (0-2), early childhood (3-6), middle childhood (7-11), early adolescence (12-15), late adolescence (16-19), and early adulthood (20-25). The risk factors that research has shown to have the potential to impede learning and social functioning in other walks of life can be summarized as follows (Hutchinson, 1999; Elder, 1998):

- Poverty has been identified as a risk factor in all stages of the life course—from infancy through early adulthood.
- Inadequate nurturing and family disruption are critical risk factors in infancy and early childhood, respectively.

¹² Code switching has been introduced as an alternative to the “oppositional culture” that has arisen in inner city communities, where going to school, getting good grades, staying out of trouble with the law, etc. is perceived as acting White. Focusing specifically on African American males, Moss and Tilly (1996) define “code switching” as the ability “to present themselves and communicate in ways acceptable to many different cultures, including the code of the streets culture.”

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- From early childhood through early adolescence, ineffective discipline is a critical risk factor.
- From early childhood through late adolescence, child abuse/mistreatment is a critical risk factor.
- Family violence, community violence, and chronic mobility have been identified as critical risk factors beginning in early childhood continuing through early adulthood.
- Poor academic performance is especially problematic during the middle childhood through the late adolescence years, while peer influences/popular culture are risk factors during middle childhood through the early adulthood years.
- School failure, idleness, substance use and abuse, depression, and obesity and eating disorders are common risk factors in the early adolescence through early adulthood stages of the life course.

Research indicates further that youth who grow up in either economically distressed urban environments (also referred to as dangerous neighborhoods) or economically marginal rural communities are most vulnerable to these multiple and oftentimes overlapping risk factors (Wilson, 1987; Johnson and Oliver, 1992).

The UIS Target Area

UIS specifically targets youth who reside in a 172 block area--popularly referred to as Northeast Central Durham. As Table 1 shows, this is a predominantly minority community, with high rates of female-headed households, adult and child poverty, and a range of other social ills (including gang activity, drug dealing, and other criminal behaviors).

Indicator	Durham County	Durham City	Northeast Central Durham
Percent Minority	56.7	63.0	98.8
Female-Headed Households (%)	36.9	39.5	50.2
Below Poverty Level Population (%)	13.4	15.0	29.7
Children Living Below Poverty (%)	17.2	19.4	39.3

Table A-1: Selected Socio-Economic Indicators

Source: U.S. Census

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Given the rather dismal performance indicators for students attending Durham Public Schools, we have operated an after school, weekend, and summer initiative--the Durham Scholars Program (DSP)--in this area since 1995 (Cohen, 1994). Evidence from DSP illustrates the nature and magnitude of the challenges that children who reside in Northeast Central Durham must overcome in order to succeed academically and in other walks of life. At the point of program entry (sixth grade),

- Approximately half of DSP participants suffered from major mental and/or physical health problems that impeded learning, daily interaction in the school setting, and social functioning in other walks of life.
- Nearly two-thirds of the program participants were predisposed to engaging in high risk behaviors, which stemmed from their routine exposure to negative neighborhood, family, school, and peer influences.
- Most of the youth entered DSP reading substantially below grade level and performing poorly in most of the core academic subjects.
- A significant number of the youth entered DSP with talents, especially in the arts, that were often unrecognized and/or undervalued in the public school system.

In addition, time diaries completed at program entry revealed that the typical DSP participant watched TV on average 240 minutes, was unsupervised by an adult on average 210 minutes, and spent only 17 minutes on homework daily. These data highlight specific areas to target for innovative solutions and identifies some of the routine behaviors that must be overcome if educational and life outcomes for the state's most vulnerable children are to be improved.

The Interventions Hub

Among child development experts, there is general consensus that well-designed and implemented early childhood interventions are probably the best way to prevent disadvantaged youth from dropping out of high school and engaging in other dysfunctional behaviors (e.g., joining a gang) later in the life course (Weisner, 2005; Cooper, et.al., 2005). Building upon this consensus and the notion that mediating institutions can play a major role in the lives of at risk youth (Jarrett, 1995; Putnam, 2004), UIS will serve as the "interventions hub" for a range of school-based initiatives designed to improve education outcomes for the disadvantaged youth of Northeast Central Durham (www.unionis.org)

UIS will be housed in a newly-erected, 49,000 square foot facility, which is located in the heart of Northeast Central Durham. The UIS facility is a powerful symbol of the value, priority, and financial commitment (\$10 million) Union Baptist Church has made toward substantially improving the academic performance, educational outcomes, and overall life chances of the area's young people (Figure 3).

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Figure A-3: The Interventions Hub

The UIS facility is ideal for the types of school-based interventions we propose to launch. It has

- a state-of-the-art early learning center,
- nine classrooms equipped with the latest education technology,
- a media center,
- a 12,000 square foot gymnasium with a circular walking/jogging track,
- a 2,500 square foot fitness center,
- a 2,000 square foot health and wellness center,
- an industrial sized kitchen and dining area,
- a dance studio,
- an animation studio/photo journalism lab, and
- secure outdoor recreation areas with age-appropriate play equipment (www.unionis.org).

A tuition-free, year-round, extended day, education laboratory, UIS is staffed by North Carolina board certified teachers and other support staff, including licensed social workers and family counselors. It is designed, as Figure 4 shows, to

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- Connect disadvantaged youth and their families to needed psychological services and family supports.
- Leverage technological innovations in learning and local social and intellectual capital assets (e.g., tutors, mentors, etc. from local universities and community colleges) to accelerate remediation.
- Enrich the learning experience by infusing the NC Standard Course of Study with educational materials on health and wellness, entrepreneurship and financial literacy, global awareness, and character education.
- Provide an extended day curriculum of academic and cultural activities focusing on the fine arts, physical fitness, soft skills acumen, and networking.

In launching UIS, the long term goal is to prepare disadvantaged youth from Northeast Central Durham's most economically distressed neighborhoods for attainable slots in prestigious preparatory high schools.

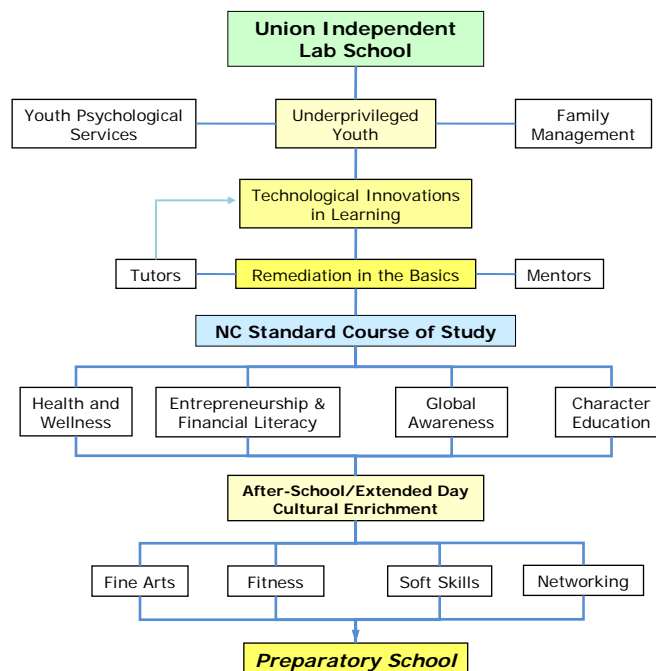


Figure A-4: Structure and Organization of UIS

To achieve these outcomes, we will mobilize an array of existing resources, including the following:

- UNC-CH Medical School and Schools of Public Health, Nursing, and Social Work to address the physical and mental health needs of enrolled students and their families;

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- William R. Kenan, Jr. Institute for Engineering, Technology, and Science at North Carolina State University and the Robotics Institute at Carnegie Mellon University to incorporate the latest technology-based learning tools into the curriculum to facilitate remedial education and to accelerate instruction in the core subjects of the public school curriculum;
- Thomas S. Kenan Institute of the Arts, especially its highly regarded A+ Program, to tap into the undeveloped artistic talents of program participants;
- Kenan Ethics Program at Duke University to infuse character-education throughout the curriculum;
- Frank Hawkins Kenan Institute of Private Enterprise at UNC-CH to foster education and learning in civic entrepreneurship, financial literacy, and global awareness;
- Carolina Center for Public Service at UNC-CH to develop a dense network of tutors and mentors for enrolled students;
- UNC-CH and NC Central University schools of education to recruit teaching fellows and to tap into professional development opportunities for UIS faculty and staff;
- NC Central's Department of Physical Education and Recreation to recruit recreation therapy and athletic training interns; and
- The Kenan Charitable Trust's Teacher Leadership for Professional Development Program, which is administered through the National Humanities Center, to continuously upgrade and enhance the quality of instruction that enrolled students receive.

SCHOOL LAUNCH AND EVALUATION DESIGN

Selection of Program Participants and Control Groups

Our plan is to launch UIS with 75 youth in grades K-2 and then “grow” the school to grades K-8 by adding a new cohort of kindergarten age youth each year. Our student recruitment strategy is as follows:

We begin by compiling a comprehensive list of potential program eligible families, i.e., Northeast Durham families with children between the ages of 5 and 7 years old. We use multiple strategies to successfully identify program eligible families, including: (1) distribution of program announcements to churches, community-based organizations, and government offices serving Northeast Central Durham; (2) interviews with local print and broadcast media; (3) meetings with grass-roots, civic, and political leaders; (4) public service announcements about UIS on local radio stations that have a high listenership in Northeast Central Durham; and (5) written communication to households in the area in which we know there is a child between the ages of 5 and 7.

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Once the list is compiled, we confirm UIS eligibility by cross-checking addresses with the Durham Public School System. Once the universe of “program eligibles” is confirmed, we select, via a lottery, 25 kindergarteners, 25 first graders, and 25 second graders and their families who become the “program” or “experimental” group. We also select via a lottery 75 of the remaining families (25 each for grades K-2), that is, those program eligibles families who were not successful in securing a slot in the school through the lottery process, to serve as members of the control group. We pay the control families an annual honorarium or stipend for their participation in the program evaluation.

Additionally, we randomly select a matched group of students from the broader local public school population that manifest characteristics similar to the program and control groups, but who will not have the benefit of either the specific interventions or the annual stipends. This group of students will serve as the second, or “community” control group, with the intent to evaluate whether there is a dose-response effect between the UIS interventions group, the UIS control group, and the community control group and students’ educational outcomes.

Collection of Baseline Data

After securing informed consents to participate from both the program group and the two control groups, we collect the requisite program evaluation baseline data. Earlier in this section, we presented our theoretical model, which specifies the domains in which interventions are needed if disadvantaged youth are to succeed academically and in other walks of life. Our proposed baseline data collection strategy is organized around the multiple context or domains highlighted in our model (Figure A-2). For each of the theoretical domains, the specific baseline data items are listed in Table A-1, which also specifies the sources of the data and the tools we will use to collect the information.

Evaluation Goals and Methods

Our goal is to document both the processes undergirding the implementation of the UIS interventions (formative evaluation) and the measurable or quantifiable effects of each intervention on the youth participants and their families (summative evaluation). To achieve these goals, we propose to use a mixed methods approach, combining the analytical power of ethnographic research methods, video documentation, and bivariate and multivariate quantitative analyses.

Implementation Database: This formative or implementation evaluation will focus on the eight program components listed in the top half of Table A-2 and on the 13 different groups of key informants which appear in the bottom half of the table. The ethnographers, as Table A-2 also shows, will closely monitor, through participant observation, the eight components of the program; undertake a content analysis of the materials used in each program component; and conduct face-to-face and/or focus group interviews with the key

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informants to determine if the UIS interventions are being implemented as described, if the interventions are achieving their stated goals, and to document the nature and reasons for any modifications or revisions in the design and implementation of the school-based interventions.

Video Documentation Database: We will also use the immediacy and power of video to capture the attitudes, thoughts, feelings, and personal experiences of UIS students and their families. With video, we will observe how the students change and mature, and how the intervention process transforms them. We view this medium to be especially useful in our efforts to document the impact of the UIS interventions on the ability of program participants to code switch, that is, to respond to changing conditions and relations as they move from one situational context to the next (Johnson and Farrell, 1994). Evidence of how successfully a child code switches is difficult both to quantify and to illustrate via qualitative research methods. The most effective means of studying code switching is through visual media -- the creation of a video database.

However, in proposing the creation of a UIS video database, our objective is not simply to document the impact of the UIS school-based interventions on the students' ability to code switch; rather, it is to document the complexity and nuances of the intervention processes and how they play out in the daily lives of the students and their families. Toward these ends, we propose a three-fold strategy in developing the proposed UIS video database.

The first is the *multi-nodal perspective*. As Table A-3 shows, this will involve videotaping UIS students, their parents/caregivers, and their siblings in various settings where they are interacting with one another and with UIS staff (including teachers, mentors, tutors, social workers, etc.), UIS Board members, UIS funders, and individuals in a host of other institutions (e.g., at weekend and summer social/cultural enrichment activities). The goal here is to record the students' behaviors in the various activity nodes that shape their everyday lives.

The second is the *longitudinal change perspective*. Here we propose to select three representative UIS families—(1) a two-parent, working-poor family; (2) a family headed by a single working mother; and (3) a family headed by an extended family member (e.g., a grandmother). Through the experiences of these three families, we will explore, among other critical determinants of child wellbeing, the long-term impact of the UIS interventions on parent/caregiver-child interactions; family management and parenting/caregiving; psychological wellbeing of parent/caregiver(s), UIS students in these families, and their siblings; family cohesiveness and adaptability; parents'/caregivers' educational and occupational aspirations for their child(ren); and the level of parent/caregiver involvement in schooling of their child(ren).

The third is the *personal perspective*. Here we propose to select three UIS students and to empower them to develop a "personal video database" representing their unique

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life experiences as they progress through the UIS experience. The proposed personal video perspective, in our view, is an ideal way to capture the experiences of youth who, by virtue of their affiliation with UIS, will be embedded in other institutional settings for extended periods of time during the course of their schooling.

Summative Evaluation Database: While the video database we propose to develop will provide hard hitting visual evidence of the impact of the DSP on the youth participants and their families, our summative evaluation will provide the quantitative indicators on the magnitude of the program's impact. More specifically, the summative evaluation will be designed to answer the following research questions. Does UIS:

1. Enhance academic achievement?
2. Change expectations of students?
3. Foster pro-social behaviors?
4. Alter study habits and the amount of time spent on homework?
5. Reduce behavior problems?
6. Encourage parents/caregivers to become more involved with one another and with the public schools?
7. Build a bond between students and the UIS staff?
8. Effectively embed students and their families in a broader network of community bridging institutions?
9. Enhance the ability of the students to code-switch, that is to change their behavior depending on the situational context in which they find themselves?
10. Reduce the level of family stress and disorganization?
11. Affect parent/caregiver-child relationships?
12. Have an effect on the younger siblings of enrolled students?

As in the case of the proposed baseline data collection, the requisite data to answer these questions will be gathered from school records and through questionnaires which will be administered on an annual basis to the head of school, other administrators, teachers, parents/caregivers, social workers, and students and their younger, school-aged siblings in both the program and control groups ((Table A-4). The questionnaires used to collect the baseline data will serve as the core of the instruments that will be used to gather the requisite data to assess UIS's impacts.

With the assistance of the proposed UIS Evaluation Advisory Committee, these instruments will be reviewed and, if necessary, modified on an annual basis to accommodate any significant changes in the UIS-based interventions and/or in the demographic composition of either the experimental group or the control group. For example, as Durham neighborhoods, especially those that are in severe economic distress, continue to experience black-to-brown population succession, it is highly likely that more program participants will be Hispanic, which, in turn, may necessitate that our questionnaires be translated into Spanish and that other changes be made in our measurement tools to accommodate the unique cultural backgrounds of this population.

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ANALYSIS PLAN

Below, we focus on the types of analyses we plan to undertake with the summative evaluation data. Our plans for the implementation data and the video documentation data are addressed in a subsequent section.

Table A-4 reproduces the research questions we propose to answer in our summative evaluation of UIS. Within the context of our proposed data-collection strategy, it also identifies the source(s) of the data and the specific measures to be used to answer each question.

First, we will take full advantage of our randomized experimental design by assessing differences in the outcomes for the program and control groups at discrete intervals: annually, longitudinally, and through subgroup comparisons controlling for exogenous characteristics (e.g., experimental/control-group differences for children in single-parent families versus two-parent families, children in families where the household head is employed versus those in which the household head is unemployed, etc.).

Second, we will explore the data for what is known as *non-experimental treatment-related effects*. Here we will be concerned primarily with Question 12 in Table A-4. What impact does UIS have on the younger sibling(s) of the enrolled students? Siblings share a similar family background (including material and social resources, and related characteristics). Thus, an examination of UIS's impact on the younger siblings of the program participants will constitute what might be termed a "natural experiment," since the differences will be largely free from the confounding effects of unmeasured family background.

Finally, we will conduct a set of non-experimental analyses with the data. For the purpose of this research, the experimental and control-group data will be aggregated, and group membership (i.e., experimental or control) will become one variable in the analyses. Specifically, we will use the data aggregated in this way to conduct a series of empirical tests of our theoretical model of successful pathways through middle childhood (Figure A-2 above).

It has been well established in the literature that children growing up in disadvantaged circumstances tend to have less successful educational outcomes than their more affluent peers. As noted previously, the family, school, neighborhood, and community contexts of disadvantaged youth often act to impede their educational progress. Although the effects of these contexts seem to be true in the aggregate, they cannot and should not be interpreted deterministically. A number of children growing up in deprived circumstances achieve successful educational and personal outcomes. The factors that distinguish disadvantaged youth who achieve successful educational outcomes from those who do not have yet to be conclusively established.

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We have advanced eight hypotheses regarding the impact of a variety of factors on successful pathways through the life course that seem to have support in the vast, multi-disciplinary literature on child development. These hypotheses, which are discussed in detail in above, can be summarized as follows:

1. Educational outcomes are directly influenced by the local community context.
2. Educational outcomes are directly influenced by the local neighborhood context.
3. Educational outcomes are directly influenced by the school context.
4. Disadvantaged students are impacted by their family contexts.
5. Disadvantaged students' educational outcomes are related to their individual attributes.
6. The educational outcomes of disadvantaged youth are tempered by their access to social-capital resources.
7. Disadvantaged students' complement of cultural-capital attributes directly influences school outcomes.
8. Successful educational outcomes are directly influenced by disadvantaged students' abilities to code switch.

The primary goal of our non-experimental analyses will be to test these eight propositions about successful pathways through middle childhood as they relate to the participants in the UIS-based interventions and their control-group counterparts. These hypotheses can be formulated into a model in a variety of ways. Figure A-2 illustrates the relationships we currently hypothesize to exist among the variables. In addition to the hypothesized direct effects presented above, a number of indirect influences on educational outcomes are also specified by the model. Individual attributes and the family, school, neighborhood, and community contexts are hypothesized to indirectly influence access to social capital resources and the individual's complement of cultural-capital attributes. Social capital resources and cultural-capital attributes are hypothesized to indirectly influence the individual's ability to code switch.

In the initial phases of this research, given the relative small sample size, it seems likely that we will have to rely on a variety of nonparametric statistical tests to examine some of the linkages between context and outcomes that we hypothesize. Table A-5 summarizes the concepts, variables, and specific measures that will likely be employed in these analyses. The community context will be excluded from our analysis, as this context will not vary between the children in our sample since they will all be residents of Northeast Central Durham.

By the end of the third year of data collection, we will have a sufficiently large sample size to conduct more powerful statistical tests, including path analysis using OLS regression techniques or log-linear causal modeling. For log-linear causal analysis, the structural equations would be as follows:

$$\{X1, X2, X3, X4\} \{X5\} \quad (1)$$

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$$\{X1, X2, \dots, X5\} \{X6\} \quad (2)$$

$$\{X1, X2, \dots, X6\} \{X7\} \quad (3)$$

$$\{X1, X2, \dots, X7\} \{X8\} \quad (4)$$

where the terms are defined as in Table A-5.

In addition to the foregoing analyses, we anticipate that a number of masters' theses and doctoral dissertations as well as scholarly research papers will emanate from the data to be collected in this proposed evaluation of UIS-based interventions.

ANTICIPATED OUTCOMES AND DELIVERABLES

Our heuristic model identifies many different ways in which the multiple contexts in which economically disadvantaged children are embedded can negatively impact educational outcomes (Figure A-2). The research undergirding our model suggests that certain types of interventions might be especially effective, feasible, and replicable for children growing up in severely distressed urban environments.

Our goal is to create, through UIS, greater developmental equity for at-risk youth in Durham, North Carolina, by embedding them in a dense network of social and cultural capital resources which orient their lives toward mainstream avenues of social and economic mobility and which inhibit them from engaging in non-productive behaviors. Of course, improving academic skills is the primary goal. By providing valuable individualized attention that is usually lacking in public schools, the students' chances of eventually being able to perform college-level work are improved. It seems likely that their attitudes toward school and schooling will also improve. Our evaluation design will enable us to determine whether the grades of the UIS experimental groups improve compared to those of the control groups.

At the family level, there is evidence (Huston et al., 1994) that interventions involving parents can be particularly effective. One study demonstrated how an intervention designed to teach parenting skills had positive effects on the child and younger siblings by improving parent/child outcomes. If parental stress and depression resulting from economic hardship and job loss lead to more punitive interactions between parent and child, then UIS's efforts to address disciplinary techniques and depression management may have an indirect but positive effect on educational outcomes.

UIS will likely have little capacity to alter the program participants' neighborhood environment. However, we do anticipate that UIS will affect the ways in which the youth interact in these contexts. By requiring students to devote more time during the school week to their course work and attend school on a year-round schedule, we will minimize

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the idleness that frequently characterizes the lives of youth in economically distressed environments and reduce the number of interactions with peers who could possibly exert negative influences, including involvement in antisocial or dysfunctional behavior. Further, classes on public speaking and communication will most likely improve the children's ability to communicate with teachers, school administrators, and others in mainstream environments. Although one would like to think that teachers would not make judgments about students based on their "expressive" (Kochman, 1988) styles of communication, the reality is that teachers do often make these sorts of preconceived judgments (education's equivalent to statistical discrimination), and our efforts to foster the ability of program participants to "code switch" were designed with these types of problems in mind.

UIS's greatest potential rests in its ability to anchor enrolled students (and their families) in a more developed network of social-capital resources. We anticipate that successful interactions with a wide array of role models, including mentors and tutors, in a broad range of settings and institutions will have a positive effect on the students' attitudes and outlook on life. Moreover, the regular presence of staff social workers will provide a source of guidance and support that otherwise would be available.

The data-collection plan and the evaluation strategy will enable us to empirically test the hypotheses in our heuristic model of successful pathways. We will collect an array of baseline data on both enrolled students and the control groups, including socioeconomic status indicators and family composition measures. Parents/caregivers will be surveyed about stressful life events, educational history, and family management/child rearing practices. By way of time diaries, we will gather information on the enrolled students' experiences in school and in their neighborhoods, including who they interact with and how often. After UIS has been operational for a period of years, it will be possible to aggregate these baseline data over time, thus providing a larger sample and more statistically significant results.

Over time, the data should help us to sort out the ways in which children are helped and hindered in their educational progress at each contextual level, and this evidence can be used to refine the heuristic model of pathways through middle childhood and beyond. Ultimately, though, the value of the UIS-based interventions will be measured not by our ability to confirm or refute a theoretical model, but, rather, by the impact that they have on the children's lives.

Our proposed evaluation strategy will enable us to document, through the power of video and through a host of "experimental" and "non-experimental" data analyses, UIS's impact on the youth and their families. In addition to research reports and scholarly publications, we will present our findings via a series of UIS video annual reports, which will provide a portrait of the students and their families. At the close of the video documentation phase of the evaluation, we envision producing a national broadcast-quality documentary film, similar to *HOOP DREAMS*, which will illustrate the full range of impacts of the UIS intervention.

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As currently envisioned, the film would draw upon the rich ethnographic data we propose to compile on the UIS implementation, on the findings of the rigorous quantitative analyses that will emerge from the summative evaluation, and perhaps on materials from the personal video databases of the UIS students selected to participate in that proposed element of the evaluation.

Finally, using the data from the proposed evaluation, we propose to produce a set of information and training materials. A *Union Independent School Tool Kit* will be one of the products. It will offer instruction and training in the nuts-and-bolts basics of how one would go about designing and launching a UIS franchise.

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Appendix A: Tables

Table A-2: Concepts, Variables, and Sources of Data—UIS Evaluation

Concepts/Variables	Head of School Survey	Public School Teacher Survey	UIS Teacher Survey	Social Worker Survey	Parent Survey	Target Child/ Siblings Survey	Ethnography	Video Database	School Records
Individual Child Attributes									
Demographic									
Age				X			X	X	X
Gender				X			X	X	X
Race				X			X	X	X
Weight				X					X
Height				X					
State of Health				X	X				
Social/Psychological Well-being									
Self esteem						X	X	X	
Distress symptoms						X	X	X	
Sense of well-being and competence						X	X	X	
Self control						X	X	X	
Exposure to violence						X	X	X	
Relationship with parent/caregiver						X	X	X	
Behavioral									
Positive behavior		X	X		X		X	X	
Problem behavior		X	X		X		X	X	
Problem solving skills						X	X	X	
Self control						X	X	X	
Ability to cope with violence						X	X	X	
Peer relations						X	X	X	
Academic Engagement									
Ability group placement		X	X				X	X	X
Ratings of math and reading skills		X	X				X	X	
Teacher expectations for academic progress		X	X				X	X	
Ratings of factors that may affect child's ability to succeed		X	X				X	X	
Tardiness/absenteeism		X	X				X	X	X
Language proficiency		X	X				X	X	X
Disciplinary record							X	X	X
Time use					X	X	X	X	
Involvement with school						X	X	X	
Family Context									
Demographic									

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Concepts/Variables	Head of School Survey	Public School Teacher Survey	UIS Teacher Survey	Social Worker Survey	Parent Survey	Target Child/ Siblings Survey	Ethnography	Video Database	School Records
Type of family/household composition				X			X	X	
Age of parent/caregiver				X			X	X	
Marital status of parent/caregiver				X			X	X	
Years of school completed by parent/caregiver				X			X	X	
Employment status of parent/caregiver				X			X	X	
Employment history of parent/caregiver				X			X	X	
Annual family income				X			X	X	
Housing quality and physical environment				X			X	X	
Family material resources				X	X		X	X	
Psychological Well-being									
Parent/Caregiver									
Parenting stress				X	X		X	X	
Financial stress				X	X		X	X	
Mastery and efficacy				X	X		X	X	
Depressive symptoms				X	X		X	X	
Family Management and Parenting									
Cognitive stimulation					X		X	X	
Consistency of discipline					X		X	X	
Parental monitoring					X		X	X	
Regularity of routine					X		X	X	
Preventing harm					X		X	X	
Educational aspiration for child					X		X	X	
Encouragement of development					X		X	X	
Knowledge of child's peers					X		X	X	
Report of child's time use					X		X	X	
Parent/child relationship					X		X	X	
Family cohesiveness/adaptability					X	X	X	X	
Neighborhood Context									
Race/ethnic composition							X	X	
Poverty rate							X	X	
Unemployment rate							X	X	
Presence of public housing							X	X	
Crime rate							X	X	

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Concepts/Variables	Head of School Survey	Public School Teacher Survey	UIS Teacher Survey	Social Worker Survey	Parent Survey	Target Child/ Siblings Survey	Ethnography	Video Database	School Records
Presence of churches and other mediating institutions							X	X	
School Context									
Basic School Information									
Number of classrooms	X						X	X	
Average class size	X						X	X	
Demographic composition	X						X	X	
Attrition rate	X						X	X	
% children receiving subsidized or free lunch	X						X	X	
% of students identified as limited English proficient	X						X	X	
Instructional programs for limited English proficient	X						X	X	
% of children identified as special needs (e.g., gifted and talented)	X						X	X	
% of students receiving special education	X						X	X	
% of students who perform at least one year below grade in reading and math	X	X					X	X	
Types of on-site, before and after-school programs	X						X	X	
Information on staffing and funding	X						X	X	
% of students who were retained the previous year	X	X					X	X	
School Climate									
Faculty and staff participation in decision making		X					X	X	
Commitment to children's success, professional development, cooperation and communications, and high academic standards	X	X					X	X	
Relation to the	X	X					X	X	

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Concepts/Variables	Head of School Survey	Public School Teacher Survey	UIS Teacher Survey	Social Worker Survey	Parent Survey	Target Child/ Siblings Survey	Ethnography	Video Database	School Records
community									
Parental support and family participation in schooling	X	X					X	X	
Classroom of Target Child									
Demographic make-up (children and adults)		X					X	X	
Type of instructional program		X					X	X	
Adequacy of school resources to deal with special problems		X					X	X	
Level of parental involvement		X					X	X	
Social Capital									
Participation in clubs and sports					X	X	X	X	
Total number of instructional contacts					X	X	X	X	
Non-family weak ties					X	X	X	X	
School-based weak ties					X	X	X	X	
High status ties					X	X	X	X	
SEI of information network					X	X	X	X	
SEI of peers						X	X	X	
Participation in tutoring/mentoring program(s)						X			
Cultural Capital									
Attitude toward school and homework						X	X	X	
Family lives in public housing					X		X	X	
Family dependent on welfare					X		X	X	
Attitude toward work					X	X	X	X	
Attitude toward violence						X	X	X	
Code Switching									
Language use							X	X	X
Style of dress							X	X	X
Hair style							X	X	X
Educational Outcomes									
Educational aspirations and expectations						X	X	X	
Occupational aspirations						X	X	X	
Academic competence		X	X				X	X	

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Concepts/Variables	Head of School Survey	Public School Teacher Survey	UIS Teacher Survey	Social Worker Survey	Parent Survey	Target Child/ Siblings Survey	Ethnography	Video Database	School Records
GPA							X	X	X
Standardized test scores							X	X	X

Table A-3: Qualitative Methods of Data Collection – UIS Implementation Evaluation

<u>Program Components</u>	<u>Face-to-Face Interviews</u>	<u>Focus Groups</u>	<u>Participant Observation</u>	<u>Program Content Analysis</u>
Family Supports/Psychological Services			X	X
			X	X
Technological Enhanced Learning				
Tutoring/Mentoring			X	X
Enriched Standard Course of Study			X	X
Fine Arts			X	X
Parenting Workshops			X	X
Physical Fitness/Wellness			X	X
Soft Silks Training		X		X
Networking			X	
<u>Key Informants</u>	<u>Face-to-Face Interviews</u>	<u>Focus Groups</u>	<u>Participant Observation</u>	<u>Program Content Analysis</u>
Workshop Facilitators	X			
Parents/Caregivers		X		
Head of School	X			
Teachers & Teacher Assistants	X			
Extended Day Program Staff	X			
Social Workers	X	X		
Mentors	X	X		
Tutors	X	X		
UIS Students	X	X		
UIS Board Members	X		X	
Evaluation Consultants	X		X	
UIS Donors/Contributors	X			

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Table A-4: Video Documentation Data Collection

	Home	Neighborhood	School	After School Program	Workshops	Summer Institute	*Special Events
UIS Students	X	X	X	X	X	X	X
Parents/Caregivers	X	X	X	X	X	X	X
Siblings	X	X	X	X	X	X	X
UIS School Teachers			X				X
Program Staff	X			X	X	X	X
UIS Program Funders				X			X
UIS Program Board Members				X			X

*unplanned moments/unanticipated events

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Table A-5: UIS Summative Evaluation Research Questions, Data Sources, and Possible Measures

	Research Questions	Data Source	Possible Measures
1	Does UIS enhance academic achievement?	<ul style="list-style-type: none"> School records Public school teacher questionnaire Academy teacher survey 	<ul style="list-style-type: none"> GPA, standardized test scores, whether students take algebra and advanced science courses in 8th grade Ratings of reading, writing, and math skills, language proficiency Ability group placement Expectations for academic progress
2	Does UIS change expectations of students?	<ul style="list-style-type: none"> Child questionnaire Ethnography Video database 	<ul style="list-style-type: none"> Self report of occupational and educational aspirations and expectations
3	Does the program foster prosocial behaviors?	<ul style="list-style-type: none"> Public school teacher questionnaire and academy teacher questionnaire Parent and teacher questionnaire Parent questionnaire Child questionnaire 	<ul style="list-style-type: none"> Walker-McConnel Scale of Social Competence and School Adjustment -- Peer Preferred Social Behavior Subscale MDRC Positive Behavior Scale Gresham & Elliot Problems Behavior Scale Parent's Report of Child's Time Use Self Report of Time Use Gaylin & Sadlier Violence Coping Scale Humphrey's Self Control Scale
4	Does UIS alter study habits and amount of time spent on homework?	<ul style="list-style-type: none"> Child questionnaire Parent questionnaire Ethnography/video database 	<ul style="list-style-type: none"> Self Report of Time Use Involvement in School Indicators Parent's Report of Child's Time Use
5	Does UIS reduce behavior problems?	<ul style="list-style-type: none"> School records Public school teacher questionnaire Academy teacher questionnaire Parent questionnaire 	<ul style="list-style-type: none"> Tardiness, Absenteeism, Suspensions, etc. Gresham & Elliot Social Skills Rating System (problem behaviors subscale)
6	Does UIS encourage parents to become more involved with one another	<ul style="list-style-type: none"> Parent questionnaire Teacher questionnaire 	<ul style="list-style-type: none"> Involvement in School Indicators

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	Research Questions	Data Source	Possible Measures
	and with public schools?	<ul style="list-style-type: none"> Ethnography Video database 	<ul style="list-style-type: none"> Contact with Parents & Siblings Indicators
7	Does UIS build a bond between students and the college preparatory academy staff?	<ul style="list-style-type: none"> Ethnography Video database 	<ul style="list-style-type: none">
8	Does UIS effectively embed students and their families in a broader network of community bridging institutions?	<ul style="list-style-type: none"> Child questionnaire Parent questionnaire Ethnography Video database 	<ul style="list-style-type: none"> Self Report of Time Use Parent's Report of Child's Time Use
9	Does UIS enhance the ability of the students to code switch?	<ul style="list-style-type: none"> Video database 	<ul style="list-style-type: none"> Language Use Dress Other Modes of Behavior
10	Do UIS social workers reduce level of family stress and disorganization?	<ul style="list-style-type: none"> Parent questionnaire Teaching questionnaire Ratings of factors that may affect child's ability to succeed Social work family assessments Ethnography Video database Child questionnaire Child Manifest Anxiety Scale 	<ul style="list-style-type: none"> Life Events Scale
11	Does UIS affect parent-child relationships?	<ul style="list-style-type: none"> Parent questionnaire Child questionnaire 	<ul style="list-style-type: none"> Encouragement of Development Indicators Preventing Harm Indicators Monitoring Activities Indicators Knowledge of Child's Peers Indicators Parent's Report of Child's Time Use Cognitive Stimulation Indicators Relationship with Parents Indicators Gottfriedson's Parental Supervision
12	What effect, if any, does UIS have on the younger siblings of program participants?	<ul style="list-style-type: none"> Age-appropriate instruments to be developed 	

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Table A-6: Concepts, Variables, and Measures for Empirical Test of UIS Successful Pathways Model

Concepts and Variables	Source of Data
<ol style="list-style-type: none"> 1. Neighborhood Context (X1) 2. Neighborhood poverty 3. Family structure (% female headed) 	<ol style="list-style-type: none"> 1. Census of Population and Housing 2. Census of Population and Housing
<ol style="list-style-type: none"> 1. School Context (X2) 2. Racial Composition of school 3. Racial composition of faculty 4. Average performance of student on standardized test 	<ol style="list-style-type: none"> 1. Principal Questionnaire 2. Principal Questionnaire 3. Principal Questionnaire
<ol style="list-style-type: none"> 1. Family Context (X3) 2. Family structure 3. Employment Status 4. Income 5. Public Assistance 6. Type of housing 	<ol style="list-style-type: none"> 1. Social Worker Survey/Parent Questionnaire 2. Social Worker Survey/Parent Questionnaire 3. Social Worker Survey/Parent Questionnaire 4. Social Worker Survey/Parent Questionnaire
<ol style="list-style-type: none"> 1. Individual Attributes (X4) 2. Race/ethnicity 3. Gender 4. Cognitive-distress 5. Sense of well-being and competence 	<ol style="list-style-type: none"> 1. Social Worker Questionnaire 2. Child Questionnaire 3. Child Questionnaire 4. Child Questionnaire
<ol style="list-style-type: none"> 1. Social Capital Resources (X5) 2. DSP participants 3. Extracurricular involvement 4. Attendance at tutoring or mentoring program 5. Size and density of support matrix 	<ol style="list-style-type: none"> 1. Child Questionnaire 2. Child Questionnaire 3. Child Questionnaire 4. Child Questionnaire
<ol style="list-style-type: none"> 1. Cultural Capital Resources (X6) 2. Church attendance 3. Attitude toward school 4. Attitude toward work 	<ol style="list-style-type: none"> 1. Child Questionnaire/Parent Questionnaire 2. Child Questionnaire/Parent Questionnaire 3. Child Questionnaire/Parent Questionnaire
<ol style="list-style-type: none"> 1. Code Switching (X7) 2. Linguistic ability 	<ol style="list-style-type: none"> 1. Ability to speak formal English and at least one foreign language (assessed through observation)
<ol style="list-style-type: none"> 1. Outcome (X8) 2. Grades 3. Standardized Test Scores 4. Disciplinary Action 5. Attendance 	<ol style="list-style-type: none"> 1. School Records/Teacher Questionnaire 2. School Records/Teacher Questionnaire 3. School Records/Teacher Questionnaire 4. School Records/Teacher Questionnaire 5. School Records

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XII.B. APPENDIX B: Bylaws

UNION INDEPENDENT SCHOOL BYLAWS

ARTICLE I

Purpose

The UIS Corporation shall be organized as an independent North Carolina corporation doing business as the "Union Independent School" (hereinafter referred to as the "School"). The purpose of the corporation is to maintain and operate the Union Independent School as a not-for-profit enterprise. The corporation also has such powers as are now or may hereafter be granted by the §55A-2-02 of the General Statutes of the State of North Carolina. It shall be the policy of the Board of Directors and the School not to discriminate in admissions and hiring practices in violation of the law.

The purpose of the School is to provide a quality education to children in the Durham, North Carolina area.

ARTICLE II

Offices

The corporation shall have and continually maintain in this state a registered office and a registered agent whose office is identical with such registered office, and may have other offices within or without the State of North Carolina as the Board of Directors may from time to time determine.

ARTICLE III

Members

The board serves as members of the corporation.

ARTICLE IV

Board of Directors

Section 1 General Powers.

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The affairs of the corporation shall be managed by its Board of Directors. The Board of Directors' primary duties include the hiring and evaluation of the Head of School, the setting of general institutional policies, strategic planning, fund-raising, and assessment of the School's effectiveness in manifesting the mission of the corporation.

Section 2 Number, Tenure, and Qualifications.

(a) The Board of Directors shall consist of no less than five (5) and no more than fifteen (15) voting members. Potential members for the board shall be nominated and selected by the Board from a pool of parents, past parents, grandparents, alumni, patrons, and community members by criteria defined by the Board. The Head of the School shall be a nonvoting, ex-officio member, whose term shall be renewable each year until terminated by action of the Board or by resignation. All newly elected board members shall serve for a term of three (3) years beginning on July 1. Following the first term of service, Directors may be re-elected to serve a second three (3) year term. Except as provided above, Directors shall serve a three (3) year term of office and will be eligible, if nominated and elected, to serve one successive three (3) year term. No Director may be elected to term beyond the second term without first having been off the board for at least one year, unless elected as an officer of the Board. The Board shall be divided into staggered classes so that the terms of only approximately one-third of the voting Directors shall expire each year. In the event that a voting Director does not complete his or her term on the Board, a new Director may be elected to fill out the unexpired term and then that Director is eligible to be nominated for one or more full terms.

(b) Honorary Directors may be elected by the Board from among former Directors who shall have served with distinction and from among distinguished friends and major contributors to the School who shall not have served previously as Directors. Honorary Directors shall be invited to attend all meetings of the Board but shall not be entitled to vote.

Section 3 Semiannual Meeting

The semiannual meetings of the Board of Directors shall be held on the third Tuesday of February and the third Tuesday of September.

Section 4 Special Meetings

Special meetings of the Board of Directors may be called by or at the request of the Head of School or any two (2) voting members of the Board. The person or persons calling such meeting may fix any place as the place for holding any special meeting of the Board called by them.

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Section 5 Place of Meetings: Mode

The place of any meeting of the Board of Directors may be either within or outside the State of North Carolina. Members of the Board of Directors or any committee designated by the Board of Directors, including the executive committee, may participate in a meeting of the Board or such committee by means of conference telephone or similar communication equipment by means of which all persons participating in the meeting can hear each other, and such participation in a meeting shall constitute presence in person at such meeting.

Section 6 Notice

Notice of any special meeting of the Board of Directors shall be given at least five (5) days previously thereto by written notice delivered personally or sent by mail or e-mail to each member of the Board at this address as shown by the records of the corporation. If mailed, such notice shall be deemed to be delivered when deposited in the United States Mail in a sealed envelope so addressed, with postage thereon prepaid. If notice be given by electronic means, such notice shall be deemed to be delivered when the notice is sent. Any member of the Board may waive notice of any meeting. The attendance of a member at any meeting shall constitute waiver of notice at such meeting, except where a member of the Board attends a meeting for the express purpose of objecting to the transaction of any business because the meeting is not lawfully called or convened. Neither the business to be transacted at, nor the purpose of, any regular or special meeting of the Board need be specified in the notice or waiver of such meeting, unless specifically required by law or these by-laws.

Section 7 Quorum

A majority of the voting members of the Board shall constitute a quorum for the transaction of business at any meeting of the Board, provided that if a quorum shall not be present at such meeting, a majority of the voting members of the Board present may adjourn the meeting from time to time without further notice until a quorum shall be present.

Section 8 Manner of Action

The act of a majority of the voting members of the Board present at a meeting at which a quorum is present shall be the act of the Board of Directors, except where otherwise provided by law or by these by-laws.

Section 9 Informal Action

UNION INDEPENDENT SCHOOL

Unless otherwise restricted by statute, the certificate of incorporation or these by-laws, any action required or permitted to be taken at any meeting of the Board of Directors or of any committee thereof may be taken without a meeting, if (i) a written consent thereto is signed by all the voting members of the Board or by all the members of such committee, as the case may be, and (ii) such written consent is filed with the minutes of proceedings of the Board of or such committee.

Section 10 Removal

Any member of the Board may be removed at any regular or special meeting of the Board by an affirmative vote of two-thirds of the voting members of the Board of Directors as from time to time constituted whenever, in their judgment, the best interest of the corporation would be served thereby, but such removal shall be without prejudice to the contract rights, if any, of the person so removed. The member being removed shall be notified of the meeting at which the removal action will be taken, and the specific charges against him or her, at least five (5) days prior to the meeting.

Section 11 Vacancies

The Board of Directors may fill any vacancy occurring in the Board of Directors at any regular or special meeting.

Section 12 Compensation

Members of the Board as such shall not receive any stated salaries for their services, but by resolution of the Board of Directors a fixed sum and expenses, if any, may be allowed for attendance at each regular or special meeting of the Board; provided that nothing herein contained shall be construed to preclude any member from serving the corporation in any other capacity and receiving compensation therefore.

Section 13 Presumption of Assent

A Director of the corporation who is present at a meeting of the Board of Directors at which action on any corporate matter is taken shall be conclusively presumed to have assented to the action taken unless his or her dissent shall be entered in the minutes of the meeting or unless he or she shall file his or her written dissent to such action with the person acting as the secretary of the meeting before the adjournment thereof or shall forward such dissent by registered mail to the secretary of the corporation immediately after the adjournment of the meeting. Such right to dissent shall not apply to a Director who voted in favor of such action.

Section 14 Conflict of Interest Policy

UNION INDEPENDENT SCHOOL

The Board of Directors affirms that the Directors, officers, administrators, faculty and other employees of the School have an obligation to exercise their authority and to carry out the duties of their respective positions for the sole benefit of the School. They should avoid placing themselves in positions in which their personal interests are, or may be, in conflict with the interests of the School. Where a potential conflict of interest exists, it shall be the responsibility of the person involved or any other person with knowledge to notify the Board of Directors of the circumstances resulting in the potential conflict so that the Board of Directors can provide such guidance and take such action as it shall deem appropriate. Areas of potential conflict of interest are:

1. Financial Interest.

(A) Ownership by the individual directly or indirectly of a material financial interest in any business or firm (i) from which the School obtains goods or services, or (ii) which is a competitor of the School.

(B) Competition by the individual, directly or indirectly, with the School in the purchase or sale of property or any property right or interest.

(C) Representation of the School by the individual in any transaction or activity in which the individual, directly or indirectly, has a material financial interest.

(D) Any other circumstance in which the individual may profit, directly or indirectly, from any action or decision by the School in which he or she participates, or which he or she has knowledge.

2. Inside Information

Disclosure or use by the individual of confidential information about the School, its activities or intentions, for the personal profit or advantage of the individual or any person.

3. Conflicting Interests other than Financial

Representation as director, officer, agent or fiduciary of another company, institution, agency or person in any transaction or activity which involves this School as an adverse party or with adverse interests.

4. Gifts and Favors

Acceptance of gifts or favors from any firm or individual which does or seeks to do business with, or is a competitor of, the School under circumstances which imply

UNION INDEPENDENT SCHOOL

reasonably that such action is intended to influence the individual in the performance of his or her duties.

No Director who directly or indirectly is involved in a potential conflict of interest shall be counted in determining the existence of quorum at any meeting of the Board where the potential conflict is considered, nor shall the Director vote on any action of the Board regarding that potential conflict.

ARTICLE V

Officers

Section 1 Officers

The officers of the corporation shall be a Chair of the Board of Directors, a Vice Chair, a Head of School, a Secretary/Treasurer, and other officers as may be elected or appointed by the Board of Directors. Any two or more offices may be held by the same person, except the office of Chair and Secretary/Treasurer.

Section 2 Election and Term of Office

The officers of the corporation shall be elected annually by the Board of Directors at the September meeting of the Board. If the election of officers shall not be held at such meeting, such election shall be held as soon thereafter as is convenient. Vacancies may be filled or new offices created and filled at any meeting of the Board of Directors. Each officer shall hold office until his or her successor has been duly elected and qualified.

Section 3 Removal

Any officer or agent elected or appointed by the Board of Directors may be removed by the Board whenever, in its judgment, the best interests of the corporation would be served thereby, but such removal shall be without prejudice to the contract rights, if any, of the person so removed.

Section 4 Vacancies

A vacancy in any office because of death, resignation, removal, disqualification or otherwise, may be filled by the Board for the unexpired portion of the term.

Section 5 Chair of the Board, Vice Chair

UNION INDEPENDENT SCHOOL

The Chair of the Board shall be the chief officer of the corporation and shall preside at all meetings of the Board of Directors. He or she may sign, with the Head of School, or Secretary/Treasurer, or any other proper officer or agent of the corporation authorized by the Board, any deeds, mortgages, bonds, contracts, or other instruments which the Board of Directors has authorized to be executed, except in cases where the signing and execution thereof shall be otherwise expressly delegated by the Board from time to time. The Vice Chair must preside at meetings of the Board in the absence of the Chair.

Section 6 Head of School

The Head of School shall be the chief administrative officer of the corporation and shall in general supervise and control all of the operational and educational affairs of the corporation, including recruiting and supervision of teachers, school curriculum, student admission standards, general supervision of students, financial matters, building and grounds, fund raising, liaison with the parent body, and such other duties as may be prescribed by the Board of Directors from time to time.

Section 7 Secretary/Treasurer

The Secretary/Treasurer shall keep the minutes of the meetings of the members of the Board of Directors in one or more books provided for that purpose; see that all notices are duly given in accordance with the provisions of these by-laws or as required by law; be custodian of the corporation's records and of the seal of the corporation and see that the seal of the corporation is affixed to all documents, the execution of which on behalf of the corporation under its seal is duly authorized in accordance with the provisions of these by-laws; and in general perform all duties incident to the office of secretary and such duties as from time to time may be assigned to him or her by the Chair or by the Board of Directors.

The Secretary/Treasurer shall have charge of and custody of and be responsible for all funds and securities of the corporation; receive and give receipts for moneys due and payable to the corporation from any source whatsoever, and deposit all moneys in the name of the corporation in such banks, trust companies, or other depositories as shall be selected in accordance with the provisions of Article VIII of these by-laws; and in general perform all the duties incident to the office of treasurer and such other duties as from time to time may be assigned to him or her by the Chair or by the Board of Directors. If required by the Board of Directors, the treasurer shall give bond for the faithful discharge of his or her duties in such sum and with such surety as the Board of Directors shall determine, the cost of such bond being paid for with funds of the corporation.

ARTICLE VI

UNION INDEPENDENT SCHOOL

Committees

Section 1 Committees of Members of the Board of Directors

The Board of Directors by resolution adopted by a majority of the voting members as from time to time constituted may designate one or more committees. Each committee shall consist of two or more voting members of the Board of Directors (plus any non-board members as the Board sees fit to appoint). These committees to the extent provided in such resolution shall have and exercise the authority of the Board of Directors in the management of the corporation; but the designation of such committees and the delegation thereto of authority shall not operate to relieve the Board of Directors or any individual member thereof of any responsibility imposed on it, him, or her by law.

Section 2 Executive Committee

(a) The Executive Committee shall be comprised of the Chair of the Board of Directors, the Past Chair, the chair of each standing committee and selected Board members, and shall function as a long-range planning committee to set goals and objectives for the corporation. The Executive Committee shall be authorized to expedite the transaction of business and management of the School between regular meetings of the Board of Directors. Subject to any specific limitation imposed by the certificate of incorporation, the Executive Committee shall have such further specific powers as may from time to time be conferred upon it by resolution of the Board of Directors, and the Executive Committee may exercise such powers in such manner as it shall deem for the best interests of the corporation in all cases in which specific directions shall not have been given by the Board of Directors.

(b) The Chair of the Board, or in the absence of the Chair, a member of the Executive Committee selected by those voting members present, shall preside at meetings of the Executive Committee, and the secretary of the corporation or, if the secretary of the corporation is not a member of the Executive Committee, a member of the Executive Committee designated by the members thereof shall be the secretary of the Executive Committee. In the event of absence from any meeting of the secretary of the Executive Committee, the members of the Executive Committee present at the meeting shall select a member of the Executive Committee to be secretary of the meeting.

(c) The Executive Committee may prescribe for the conduct of its business such rules and regulation, not inconsistent with these bylaws or with such resolutions for the guidance and control of the Executive Committee as may from time to time be passed by the Board, as it shall deem necessary or desirable, including, without limitation, rules fixing the time and place of meetings and the notice to be given thereof, if any. A majority of the voting members of the Executive Committee shall constitute a quorum. The adoption of any resolution or the taking of any other actions shall require the

UNION INDEPENDENT SCHOOL

affirmative vote of a majority of all the voting members of the Executive Committee as from time to time constituted. The Executive Committee shall keep minutes of its proceedings, and it shall report all action taken by it to the Board of Directors at the meeting thereof held next after the taken of such action. All action taken by the Executive Committee shall be subject to revision or alteration by the Board at the meeting of the Board at which any such action has been reported to the Board; provided, however that such revision or alteration shall not affect any action taken by any officer or employee of the corporation, or by a third party, or any rights of third parties that have vested, in reliance upon any action or direction of the Executive committee.

(d) The Executive Committee shall not have the authority to act on behalf of the Board of Directors for the purpose of: 1) amending these by-laws, 2) amending the budget, or 3) making decisions covering the selection or retention of the Head of School. The Executive Committee can act on behalf of the Board of Directors in decisions regarding routine business of the School.

(e) The Executive Committee shall meet the first Tuesday in each month and as otherwise required to conduct the routine business of the School.

Section 3 Other Committees

Other committees not having and exercising the authority of the Board of Directors in the management of the corporation may be designated by a resolution adopted by a majority of the voting members present at a meeting at which a quorum is present. The Chair of the Board of Directors shall appoint the members of such committee, except as otherwise provided in the resolution designating such committees. Any member thereof may be removed by the person or persons authorized to appoint such member whenever in their judgment the best interests of the corporation shall be served by such removal.

Section 4 Terms of Office of Committee Members

Each member of a committee shall continue to serve until his or her successor is appointed, unless the committee shall be sooner terminated, or unless such member be removed from such committee, or unless such member shall cease to qualify as a member thereof.

Section 5 Chair

Except as otherwise provided herein, two members of each committee shall be appointed by the Chair of the Board as, respectively, Chair and Vice Chair of such committee.

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Section 6 Vacancies

Vacancies in the membership of any committee may be filled by appointments made in the same manner as provided in the case of the original appointments.

Section 7 Quorum

Unless otherwise provided herein or in the resolution of the Board of Directors designating a Committee, a majority of the voting members of the whole committee shall constitute a quorum and the act of a majority of the voting members present at a meeting at which a quorum is present shall be the act of the committee.

Section 8 Rules

Each committee may adopt rules for its own government not inconsistent with these by-laws or with rules adopted by the Board of Directors.

ARTICLE VII

Indemnification of Directors, Officers and Employees

Section 1 General: Indemnification of Directors and Officers

The corporation shall, to the fullest extent to which it is empowered to do so by any applicable laws as may from time to time be in effect, indemnify any person who was or is a party or is threatened to be made a party to any threatened, pending or completed action, suit or proceeding, whether civil, criminal, administrative or investigative (other than an action by or in the right of the corporation), by reason of the fact that such person is or was a Director or officer of the corporation, or that such person is or was serving at the request of the corporation as a director, officer, employee, or agent of another corporation, partnership, joint venture, trust or other enterprise, against all judgments, fines, reasonable expenses (including attorneys' fees) and amounts paid in settlement actually and reasonably incurred by such person in connection with such action, suit or proceeding, if such person acted in good faith and in a manner he or she reasonably believed to be in, or not opposed to the best interests of the corporation, and, with respect to any criminal action or proceeding, had no reasonable cause to believe his or her conduct was unlawful. The termination of any action, suit or proceeding by judgment, order, settlement, conviction, or upon a plea to no contest or its equivalent, shall not, of itself, create a presumption that the person did not act in good faith and in a manner he or she reasonably believed to be in, or not opposed to the best interests of the corporation, or, with respect to any criminal action or proceeding, that the person had reasonable cause to believe his or her conduct was unlawful.

UNION INDEPENDENT SCHOOL

Section 2 Indemnification of Directors and Officers: Actions By or In the Right of the Corporation

The corporation shall, to the fullest extent to which it is empowered to do so by any applicable laws as may from time to time be in effect, indemnify any person who was or is a party or is threatened to be made a party to any threatened, pending or completed action or suit by or in the right of the corporation to procure a judgment in favor of the corporation by reason of the fact that such person is or was a Director or officer of the corporation, or that such person is or was serving at the request of the corporation as a Director, officer, employee or agent of another corporation, partnership, joint venture, trust or other enterprise, against all judgments, fines, reasonable expenses (including attorneys' fees) and amounts paid in settlement actually and reasonably incurred by such person in connection with the defense or settlement of such action, suit or proceeding, if such person acted in good faith and in a manner he or she reasonably believed to be in, or not opposed to the best interests of the corporation, provided that no indemnification shall be made in respect of any claim, issue or matters as to which such person shall be made in respect of any claim, issue or matters as to which such person shall have been adjudged to be liable for negligence or misconduct in the performance of his or her duty to the corporation, unless, and only to the extent that the court in which such action or suit was brought shall determine upon application that, despite the adjudication of liability, but in view of all the circumstances of the case, such person is fairly and reasonably entitled to indemnity for such expenses as the court shall deem proper.

Section 3 Authorization of Indemnification

Any indemnification under Section 1, Section 2 or Section 5 of this Article (unless ordered by a court) shall be made by the corporation only as authorization in the specific case, upon a determination that indemnification of the Director, officer, employee or agent is proper in the circumstances because he or she has met the applicable standard of conduct set forth in Sections 1,2, or 5 of this Article. Such determination shall be made by (1) the Board of Directors by a majority vote of a quorum consisting of Directors who were not parties to such action, suit or proceeding, or (2) if such a quorum is not obtainable, or even if obtainable, if a quorum of disinterested Directors so directs, by independent legal counsel in a written opinion.

Section 4 Contract with the Corporation

The provisions of this Article VII shall be deemed to be a contract between the corporation and each Director or officer who serves in any capacity at any time while this Article VII is in effect, and any repeal or modification of this Article VII shall not affect any rights or obligations hereunder with respect to any state of facts then or theretofore existing or any action, suit or proceeding theretofore brought or threatened based in whole or in part upon any such state of facts.

UNION INDEPENDENT SCHOOL

Section 5 Indemnification of Employees and Agents

Persons who are not covered by the foregoing provisions of this Article VII and who are or were employees or agents of the corporation, or who are or were serving at the request of the corporation as employees or agents of another corporation, partnership, joint venture, trust or other enterprise, may be indemnified to the extent authorized at any time or from time to time by the Board of Directors, subject to the same standard of conduct set forth in Sections 1 and 2 of this Article; provided, however, that to the extent that such employee or agent has been successful, on the merits or otherwise, in the defense of any action, suit or proceeding to which he or she was made a party by reason of the fact that he or she is or was an employee or agent acting in the above described capacity, or in the defense of any claim, issue or matter therein, the corporation shall indemnify such employee or agent against expenses (including attorneys' fees) actually and reasonably incurred by him or her in connection therewith.

Section 6 Payment of Expenses in Advance

Expenses incurred in defending a civil or criminal action, suit or proceeding may be paid by the corporation in advance of the final disposition of such action, suit or proceeding, as authorized by the Board of Directors in the specific case, upon receipt of an undertaking by or on behalf of the Director, officer, employee, or agent to repay such amount, unless it shall ultimately be determined that such Director, officer, employee, or agent is entitled to be indemnified by the corporation as authorized by this Article VII.

Section 7 Insurance against Liability

The corporation may purchase and maintain insurance on behalf of any person who is or was a Director, officer, employee, or agent of the corporation, or who is or was serving at the request of the corporation as a Director, officer, employee, or agent of another corporation, partnership, joint venture, trust or other enterprise, against any liability asserted against such person and incurred by such person in any such capacity, or arising out of such person's status as such, whether or not the corporation would have the power to indemnify such person against such liability under the provisions of these by-laws.

Section 8 Other Rights of Indemnification

The indemnification provided or permitted by this Article VII shall not be deemed exclusive of any other rights to which those indemnified may be entitled by law or otherwise, and shall continue as to a person who has ceased to be a Director, officer, employee, or agent and shall inure to the benefit of the heirs, executors, and administrators of such person.

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ARTICLE VIII

Contracts, Checks, Deposits, and Funds

Section 1 Contracts

The Board of Directors may authorize any officer or officers, agent or agents of the corporation, in addition to the officers so authorized by these by-laws, to enter into any contract or execute and deliver any instrument in the name of and on behalf of the corporation and such authority may be general or confined to specific instances.

Section 2 Checks, Drafts, Etc.

All checks, drafts or other orders for the payment of money, notes or other evidences of indebtedness issued in the name of the corporation, shall be signed by such officer or officers, agent or agents of the corporation and in such manner as shall from time to time be determined by resolution of the Board of Directors. In the absence of any such determination by the Board of Directors, such instruments shall be signed by the treasurer or an assistant treasurer and countersigned by the Head of School.

Section 3 Deposits

All funds of the corporation shall be deposited from time to time to the credit of the corporation in such banks, trust companies or other depositories as the Board of Directors may select.

Section 4 Gifts

The Board of Directors may accept on behalf of the corporation any contribution, gift, bequest, or device for the general purposes or for any specific purpose of the corporation.

ARTICLE IX

Books and Records

The corporation shall keep correct and complete books and records of account and shall also keep minutes of the proceedings of the Board of Directors and committees having any of the authority of the Board of Directors.

ARTICLE X

Fiscal Year

UNION INDEPENDENT SCHOOL

The fiscal year of the corporation shall begin on the 1st day of July and end on the last day of June in each year. As such, all of the School's financial records shall be maintained according to Generally Accepted Accounting Principles (GAAP) on a July 1 through June 30 fiscal year basis.

Section 1 Financial Reports

The Secretary/Treasurer shall cause to be made an interim written report of the finances of the School for each calendar month of the fiscal year. Copies of this monthly financial report shall be provided to each member of the Finance Committee and each member of the Board of Directors no later than the twenty-first day of the month following the month for which the report is issued. The Secretary/Treasurer shall cause to be made an annual written report of the finances of the School for the School's fiscal year just ended. This report must be audited by an independent source. Copies of this annual audited financial report shall be provided no later than October 31st of each year to the Board of Directors.

Section 2 Funds

The operating funds of the School shall be deposited in the name of the School in such bank or trust companies, as may be designated by the Board of Directors with withdrawal permitted on the signatures of such person or persons as the Board of Directors shall designate from time to time. Any endowment, capital or restricted funds of the School shall be deposited in accounts with such investment funds and institutions as the Board of Directors may determine from time to time in accordance with the investment policy of the School.

Section 3 Borrowing

The School shall, subject to the approval of the Board of Directors, have the power to borrow money and issue promissory notes for repayment thereof, with or without interest, and to mortgage and create other liens on its property as security for its debts or other lawful engagements.

Section 4 Capital Expenditure Limitations

All capital expenditures in excess of \$10,000 shall require the prior approval of the Board of Directors.

Section 5 Books and Records

The officers, agents and employees of the School shall maintain such books, records and accounts of the School's business and affairs as shall be appropriate to the

UNION INDEPENDENT SCHOOL

business and affairs of the School, or as shall be required by the School Board of Directors or the laws of the State of North Carolina. Such books, records and accounts shall be kept at or under the control of the School.

ARTICLE XI

Seal

The Board of Directors may provide a corporate seal which shall be in the form of a circle and shall have inscribed thereon the name of the corporation and the words "Corporate Seal, State of North Carolina" provided, however, that the use of said seal shall be entirely discretionary, and shall not be required for the issuance of any documents unless specifically required by the laws of the State of North Carolina.

ARTICLE XII

Waiver of Notice

Whenever any notice whatever is required to be given under the provisions of §55A-2-02 of the General Statutes of the State of North Carolina or under the provisions of the articles of incorporation or the by-laws of the corporation, a waiver thereof in writing signed by the person or persons entitled to such notice, whether before or after the time stated therein, shall be deemed equivalent to the giving of such notice.

ARTICLE XIII

Amendments to By-laws

These by-laws may be altered, amended or repealed and by-laws may be adopted by a two-thirds (2/3) of the voting members of the Board of Directors. At least five (5) days written notice will be given of intention to alter, amend, or repeal or to adopt new by-laws at such meeting. Any amendment to the By-laws will be voted only after examination of any possible conflicts with the Articles of Incorporation.

ARTICLE XIV

Dissolution

Upon dissolution of the School, the property remaining after providing for the debts and obligations of the School shall be distributed to another non-profit organization as shall be designated by the Board of Directors.

ARTICLE XV

UNION INDEPENDENT SCHOOL

Non-Discrimination Policy

It is the policy of the School not to discriminate on the basis of race, color, religious creed, national origin, ancestry, sexual orientation, disability or handicap.

No person shall, on the basis of race, color, national origin, ancestry, gender, sexual orientation, disability, or handicap, be denied equal access or admission to school programs, courses, extracurricular activities and employment opportunities.

In addition, under section 504 of the federal Rehabilitation Act of 1973, no otherwise qualified individual, shall solely by reason of his/her handicap, be excluded from the participation in, be denied the benefits of or be subjected to discrimination under any program or activity at the School.

ARTICLE XVI

North Carolina Open Meetings Law

Except as provided in GS 143-318.11, 143-318.14A, 143-318.15 and 143-318.18, each official meeting of the board shall be open to the public, and any person is entitled to attend such a meeting.

UIS will comply with the North Carolina Open Meetings Law.

UNION INDEPENDENT SCHOOL

XII.C. APPENDIX C: Articles of Incorporation



NORTH CAROLINA Department of The Secretary of State

To all whom these presents shall come, Greetings:

I, ELAINE F. MARSHALL, Secretary of State of the State of North Carolina, do hereby certify the following and hereto attached to be a true copy of

ARTICLES OF AMENDMENT

OF

UIS CORPORATION

the original of which was filed in this office on the 19th day of August, 2009.



Certification# C200923000293-1 Reference# C200923000293-1 Page: 1 of 4
Verify this certificate online at www.secretary.state.nc.us/verification

IN WITNESS WHEREOF, I have hereunto set
my hand and affixed my official seal at the City
of Raleigh, this 19th day of August, 2009.

Elaine F. Marshall

Secretary of State

UNION INDEPENDENT SCHOOL

State of North Carolina
Department of the Secretary of State

ARTICLES OF AMENDMENT NONPROFIT CORPORATION

SOSID: 0895673
Date Filed: 8/19/2009 7:46:00 AM
Elaine F. Marshall
North Carolina Secretary of State
C200923000293

Pursuant to §55A-10-05 of the General Statutes of North Carolina, the undersigned corporation hereby submits the following Articles of Amendment for the purpose of amending its Articles of Incorporation.

1. The name of the corporation is: UIS Corporation
2. The text of each amendment adopted is as follows (*state below or attach*):
See attached

3. The date of adoption of each amendment was as follows: _____
July 28, 2009

4. (*Check a, b, and/or c, as applicable*)
a. ☒ The amendment(s) was (were) approved by a sufficient vote of the board of directors or incorporators, and member approval was not required because (*set forth a brief explanation of why member approval was not required*) The board of directors are the ones designated to file amendments.

b. _____ The amendment(s) was (were) approved by the members as required by Chapter 55A.
c. _____ Approval of the amendment(s) by some person or persons other than the members, the board, or the incorporators was required pursuant to N.C.G.S. §55A-10-30, and such approval was obtained.

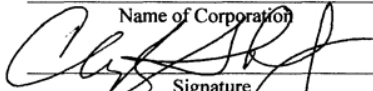
UNION INDEPENDENT SCHOOL

5. These articles will be effective upon filing, unless a date and/or time is specified: _____

This the 18 day of August, 20 09

UIS Corporation

Name of Corporation



Signature

Charles R. Stanback, Jr, Project Director / Executive Director
Type or Print Name and Title

Notes:

1. Filing fee is \$25. This document and one exact or conformed copy of these articles must be filed with the Secretary of State.

Revised January 2000
CORPORATIONS DIVISION

P. O. BOX 29622

Form N-02
RALEIGH, NC 27626-0622

UNION INDEPENDENT SCHOOL

The UIS Corporation is organized exclusively for charitable, religious, educational, and scientific purposes, including, for such purposes, the making of distributions to organizations that qualify as exempt, organizations under section 501(c)(3) of the Internal Revenue Code, or the corresponding section of any future federal tax code.

Dissolution

Upon dissolution of the corporation, assets shall be distributed for one or more exempt purposes within the meaning of section 501(c)(3) of the Internal Revenue Code, or corresponding section of any future federal tax code, or shall be distributed to the federal government, or to a state or local government, for a public purpose. Any such assets not disposed of shall be disposed of by the Superior Court of the county in which the principal office of the organization is then located, exclusively for such purposes or to such organization or organizations, as said Court shall determine, which are organized and operated exclusively for such purposes.

Non-Discrimination Policy

It is the policy of the School not to discriminate on the basis of race, color, religious creed, national origin, ancestry, sexual orientation, disability or handicap.

No person shall, on the basis of race, color, national origin, ancestry, gender, sexual orientation, disability, or handicap, be denied equal access or admission to school programs, courses, extra curricular activities and employment opportunities.

In addition, under section 504 of the federal Rehabilitation Act of 1973, no otherwise qualified individual, shall solely by reason of his/her handicap, be excluded from the participation in, be denied the benefits of or be subjected to discrimination under any program or activity at the School.

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XII.D. APPENDIX D: Lottery Policies and Procedures

Union Independent School Lottery Procedure Policy

I. The purpose of this policy is to ensure the practice of a fair and equitable lottery procedure at Union Independent School

II. General Statement of Policy

Definitions

Late Application means received after the Application Deadline but before the beginning of school.

Lottery means a publicly posted and publicly conducted random drawing from names of student applicants desiring admission to Union Independent School

Lottery Adult means the independent adult who actually draws ID-numbered objects representing student applicants from a container that contains ID-numbered objects for all students.

Sibling Preference: A sibling of a student already enrolled at Union Independent School and who seeks admission is accepted without requirement of going into a lottery. Any other eligibility criteria and guidelines stay in place, however.

Waiting List means a list of applicants desiring admission when space becomes available.

Lottery

Union Independent School will admit a new Kindergarten class of 25 students for the next academic year. An eligible student must be 5 years old on or before the first day of classes for the academic year in which a parent/guardian is making application. When the number of applications exceeds the number of openings we will conduct a lottery to determine those students who will be admitted or put on the waiting list. We will follow the steps outlined below to ensure this procedure is equitable to all applicants.

Current Union Independent School students do not need to re-apply for admission, but they are required to submit a commitment letter for the following school year. This commitment letter is due **<by 12 noon on the last Friday of February>** in order to determine any additional openings for the lottery.

UNION INDEPENDENT SCHOOL

Underlying Considerations:

1. Students will be automatically admitted for the next school year to our kindergarten class if that class does not reach full enrollment by the application deadline date. If full enrollment for kindergarten is not reached by the deadline date, the school will continue to receive applications for that grade as long as necessary to complete full enrollment. Applications received after the deadline date will be enrolled in order of receipt.
2. *Siblings* refers only to those prospective students who have siblings currently enrolled at Union Independent School and who will be at UIS in the academic year for which the lottery is being conducted.
3. If a student is applying to kindergarten and has a sibling already enrolled in a higher grade, the kindergarten sibling will automatically be admitted.
4. Twins will be treated as one application. Their names will be assigned on the same card.

Process to determine the number of students to be accepted

1. The administrative team at UIS will determine the number of available openings in kindergarten for the next school year by **<the first Friday of March>** of the application year.
2. Names of all kindergarten applicants will be entered into a spreadsheet with information from their applications.
3. From the pool of kindergarten applications, pull applications of prospective students who have one or more siblings enrolled at UIS and highlight their names will be highlighted in yellow on the spreadsheet.
4. From the remaining pool of applicants, the appropriate number will be randomly selected to achieve a class size of 25 students.

Lottery Process

1. Admissions applications will be due by 12 noon on **<the third Friday of April>**. The lottery will be conducted on **<the fourth Saturday of April>** by a certified public accountant who is neither a UIS employee nor a member of Union Baptist Church.
2. The lottery event will be videotaped. In the event of any discrepancy, the video tape will be regarded as the official record of admitted and waitlisted students.
3. Name cards will be generated from an admissions spreadsheet prepared from each individual application. A card with each applicant's first and last name will be contained in grade-specific envelopes.
4. The names from each envelope will be placed into a large tumbler/container and selected one at a time to fill each class roster.
5. After the total number of students to be accepted has been reached, all

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remaining cards/names will be drawn and the order of students on the waiting list will be recorded according to the order in which cards/names are drawn.

6. Letters are sent offering positions to students selected during the lottery. Parents must respond accepting or declining these offers. Families who are present at the lottery will be directed to pick-up their enrollment/registration packet containing their offer letter. Families who are unable to attend the lottery will receive their enrollment/registration packet in the mail.
7. Each family will be reminded that enrollment confirmation forms are due by 5:00 p.m. on **<Fourth Friday of March>** in order to secure their place at Union Independent School.
8. Any family failing to submit their documentation for enrollment/registration by the deadline will forfeit their place at UIS.
9. Waitlisted families will be contacted **<by the second Monday of May>** according to their number order established at the lottery.

What is the admissions process?

1. Applications are initiated by a parent or legal guardian completing and submitting the school's student application form. This can be downloaded at www.unionis.org.
2. Applications submitted up to the announced enrollment decision date will be reviewed. The review will be for completeness, age/grade of student, and confirmation that parent has reviewed the instructional program and policies with a member of the recruitment committee.
3. Lottery cards will be assigned to each applicant.
4. If a lottery is to be conducted, the following guidelines will apply:
 - a. the lottery will be conducted by a certified public accountant who is unaffiliated with Union Independent School and Union Baptist Church and who has no child applying to attend.
 - b. applicants will receive confirmation of being in the lottery, and the date, time, and place of the lottery.
 - c. on the day of the lottery, the certified public accountant will check to assure that each applicant's name is on a lottery device (e.g. small ball, object, or paper).
 - d. all the objects with lottery names will be placed in a large tumbler.
 - e. prior to drawing ID-numbered objects, the certified public accountant will assert that all the lottery numbers have been double-checked and all eligible children are included.
 - f. only the certified public accountant will draw cards from the lottery container.
 - g. the waiting list will be available for anyone to review
 - h. as openings occur within the incoming kindergarten class, wait-listed students will be contacted in the order their names appear on the list.

UNION INDEPENDENT SCHOOL

Is there a sibling preference at Union Independent School?

Yes, Union Independent School gives preference to siblings. The reason for this is the school's commitment to family and family involvement. Founders and charter drafters believe granting preference to siblings and keeping siblings together whenever possible is beneficial--to the siblings, the family, and the school community more generally.

Sibling preference will occur when a rising kindergarten sibling of a child already enrolled wishes to attend the school. That younger sibling is automatically granted admission to and need not apply through the lottery (assuming any other eligibility guidelines are met).

How does the waiting list work?

The waiting list is determined (at the time of the lottery) in the order that lottery card names are drawn. Openings in the school are offered to those on the waiting list in strict numerical order. An applicant cannot defer an offer and keep his/her spot on the waiting list. If an offer is declined, that applicant is removed from the waiting list and the opening is offered to the next applicant.

How does sibling preference affect the waiting list?

A sibling of an already-enrolled child may be offered admission before any child on the waiting list.

Is there ever tuition?

Not to parents applying to the school under the choice provisions.

How do parents know the lottery is fair?

Procedures are in place to assure the lottery and selection of students is random and fair:

In the half-hour before the lottery, parents/guardians will have the opportunity to examine the lottery devices and verify that their child's card is in the lottery. Only the lottery adult will pull the cards from the drum. All applicants will receive notification of their status. It is the responsibility of the school and the lottery adults to monitor applications prior to the lottery and to conduct the lottery in such a way as to eliminate the possibility of bias or over-enrollment in any grade.

What if my child is enrolled and we move? Can we continue?

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Yes, parents who move retain their child's place unless they are unable to provide the transportation necessary to have their student in school on a daily and timely basis.

UNION INDEPENDENT SCHOOL

XII.E. APPENDIX E: Tax-Exempt Status (501 (c) (3) (G.S.115C-238.29B (b) (3))

INTERNAL REVENUE SERVICE
P. O. BOX 2508
CINCINNATI, OH 45201

DEPARTMENT OF THE TREASURY

Date: **SEP 03 2009**

UIS CORPORATION
C/O CHARLES R STANBACK JR
904 N ROXBORO ST
DURHAM, NC 27701

Employer Identification Number:
74-3203527
DLN:
17053219321009
Contact Person:
KAREN A BATEY ID# 31641
Contact Telephone Number:
(877) 829-5500
Accounting Period Ending:
June 30
Public Charity Status:
170(b)(1)(A)(ii)
Form 990 Required:
Yes
Effective Date of Exemption:
January 30, 2007
Contribution Deductibility:
Yes
Addendum Applies:
No

Dear Applicant:

We are pleased to inform you that upon review of your application for tax exempt status we have determined that you are exempt from Federal income tax under section 501(c)(3) of the Internal Revenue Code. Contributions to you are deductible under section 170 of the Code. You are also qualified to receive tax deductible bequests, devises, transfers or gifts under section 2055, 2106 or 2522 of the Code. Because this letter could help resolve any questions regarding your exempt status, you should keep it in your permanent records.

Organizations exempt under section 501(c)(3) of the Code are further classified as either public charities or private foundations. We determined that you are a public charity under the Code section(s) listed in the heading of this letter.

Please see enclosed Publication 4221-PC, Compliance Guide for 501(c)(3) Public Charities, for some helpful information about your responsibilities as an exempt organization.

Letter 947 (DO/CG)

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UIS CORPORATION

Sincerely,

A handwritten signature in black ink, appearing to read "Robert Choi". The signature is fluid and cursive, with the first name "Robert" and last name "Choi" clearly distinguishable.

Robert Choi
Director, Exempt Organizations
Rulings and Agreements

Enclosures: Publication 4221-PC

Letter 947 (DO/CG)

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XII.F. APPENDIX F: References Cited

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XIII. SIGNATURE PAGE

The foregoing application is submitted on behalf of UIS Corporation dba Union Independent School (*name of non-profit corporation or individuals submitting application*). The undersigned has read the application and hereby declares that the information contained in it is true and accounts to the best of his/her information and belief. The undersigned further represent that the applicant has read the Charter School Law and agrees to be governed by it and other applicable laws.

Print/Type Name: Dr. James H. Johnson, Jr.

Position: Chair, Board of Directors, Union Independent School

Signature: _____

Date: February 19, 2010

Sworn to and subscribed before me this

_____ day of _____, 20____.

Notary Public

Official Seal

My commission expires _____, 20____