

## University of California, Office of the President



### Research and Graduate Studies

### 2017-18 Request for Proposals

### University of California – Historically Black Colleges and Universities Initiative

#### **PURPOSE: *The Purpose of the UC – HBCU Initiative***

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To maintain its reputation as a premier research and teaching institution the University of California seeks to attract scholars who reflect the people of California, the nation and the world. In 2007 the Regents of the University of California adopted, as policy, a Diversity Statement which reads, in part:

*Because the core mission of the University of California is to serve the interests of the State of California, it must seek to achieve diversity among its student bodies and among its employees. The State of California has a compelling interest in making sure that people from all backgrounds perceive that access to the University is possible for talented students, staff, and faculty from all groups.*

*Diversity should also be integral to the University's achievement of excellence. Diversity can enhance the ability of the University to accomplish its academic mission.*

*The University particularly acknowledges the acute need to remove barriers to the recruitment, retention, and advancement of talented students, faculty, and staff from historically excluded populations who are currently underrepresented.*

To that end, UC places a priority on enrolling scholars from historically underrepresented populations. African Americans/Blacks continue to be underrepresented in UC graduate and professional programs. The five year average (2012-2016) for enrollment of African Americans in UC academic doctoral programs is 3.1%. In an effort to improve the representation of African Americans/Blacks in its PhD programs, UC is investing in efforts that cultivate relationships with communities and institutions that produce African American graduates from high schools, colleges and universities. UC is investing in such collaborations to demonstrate its commitment to cultural and social diversity and to make meaningful and sustained progress in addressing longstanding inequities in access to UC. The goal of the initiative is to increase the number of scholars from HBCUs enrolling in and completing UC academic doctoral programs. The UC-HBCU Initiative is designed to support *any* HBCU student selected, based on faculty criteria, irrespective of race, ethnicity, national origin, sex or gender identity.

## **PEOPLE: *People Critical to the Success of the UC- HBCU Initiative***

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The UC-HBCU Initiative encourages faculty and departments to develop ongoing relationships with their counterparts at HBCUs that will aid or complement their own research interests. The UC Office of the President recognizes such relationships are best cultivated at the faculty-to-faculty level amongst interested parties at various campuses. Faculty members at Historically Black Colleges and Universities and at the University of California are vital to the success of this initiative.

Through this initiative UC faculty will play a critical role in reinvesting in UC-HBCU relationships. Historically Black Colleges and Universities are a diverse resource for intellectual collaborations and partnerships and offer great potential for enhancing the diversity of UC graduate application and enrollment pools. There are more than 100 Historically Black Colleges and Universities. A link to information on Historically Black Colleges and Universities, including a downloadable state by state list with institutional website links can be found at the [Graduate Studies UC-HBCU Initiative website](#) (under About HBCUs).

Participation in the UC-HBCU Initiative represents the type of work the University highlights as important in the appointment and promotion review process for faculty. It is also vital to the University's commitment to diversity, inclusion and excellence. The Initiative is in direct support of Appointment and Promotion review and appraisal criteria as established in the Academic Personnel Manual (APM 210 <http://www.universityofcalifornia.edu/senate/committees/ucaad/apm210.pdf>) APM 210 reads in part:

*The University of California is committed to excellence and equity in every facet of its mission. Teaching, research, professional and public service contributions that promote diversity and equal opportunity are to be encouraged and given recognition in the evaluation of the candidate's qualifications. These contributions to diversity and equal opportunity can take a variety of forms including efforts to advance equitable access to education, public service that addresses the needs of California's diverse population, or research in a scholar's area of expertise that highlights inequalities. Mentoring and advising of students or new faculty members are to be encouraged and given recognition in the teaching or service categories of academic personnel actions.*

Staff in administrative units and departments on UC campuses and HBCUs that support the academic preparation and ongoing development of students at their home campuses and on UC campuses are essential to ensuring that students receive the most appropriate preparation and guidance in support of their academic goals. Campus Graduate Divisions and Undergraduate Research Centers are examples of critical campus partners for faculty projects.

## **IMPACT: *Impact of the UC-HBCU Initiative***

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Faculty and departments competing for funding have great potential to impact the educational landscape of UC graduate programs. The initiative seeks to encourage greater participation of HBCU students in UC research opportunities, with the goal of encouraging and facilitating more graduate school applications from HBCU scholars and increasing their enrollment in UC graduate programs. The

Initiative is proving impactful. Since the Initiative's first summer of 2012, over 400 HBCU students (at various stages in their academic career- from sophomore to master's- level students) have participated in summer research internships at 9 UC campuses as part of the UC-HBCU Initiative. One hundred and ten UC-HBCU students have applied to UC graduate programs thus far and sixty-one have been admitted (10 to master's programs). To put this success in context, yield rates for African Americans generally at UC is around 50%, while the average for UC-HBCU enrollees is 85%. In 2016 the UC PhD admission yield rate was 100% for UC-HBCU compared with 58% for HBCU students generally. The UC PhD admission yield rate for 2017 for UC-HBCU students was 94% with 16 of the 17 admitted students choosing to enroll at UC. In addition to student enrollment, the Initiative is facilitating greater faculty collaborations and connections between UC and HBCU faculty such as research engagement, course development and additional funding opportunities.

There are currently forty-two PhD students and two academic master's students enrolled (and one PhD student and five master's students have already graduated) across seven UC campuses as a direct result of this initiative, 51% are in STEM fields and 49% are in Social Sciences and Humanities. The Initiative is also credited with creating wider engagement and awareness at HBCU partner institutions of opportunities for graduate study at UC, and has attracted additional applicants who have not participated in the program.

#### **ENROLLING UC PHD STUDENTS: UC's Funding Commitment**

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A critical goal of the Initiative is to have more HBCU alumni complete UC PhD programs. Thus, increasing awareness about and access to UC and its incredible research enterprise is important. To facilitate this goal, UC will waive the application fee for UC-HBCU Initiative alumni who apply to any of UC's nearly 700 academic graduate programs at any or all of our 10 campuses. If admitted to a UC PhD program, they will receive competitive funding packages offering *at least* four years of funding (tuition and fees and stipend/salary support). Funding rates and number of years depend on the department norms of the relevant degree program; some department packages are for more than four years. The funding is cost-shared by the UC Office of the President and the relevant campus. For funding eligibility students must apply within 5 years of completing their current HBCU degree.

#### **PROGRAM: Program Overview**

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The Office of Research and Graduate Studies invites proposals from UC faculty members at any of the ten campuses to work with undergraduate and master's-level research scholars from Historically Black Colleges and Universities. Funds will be awarded competitively to support student summer research internships as well as other collaborations or opportunities that serve the goals of the Initiative. Thus, efforts should be aimed at encouraging enrollment of HBCU scholars in UC graduate programs. Grants are available to Principal Investigators in all disciplines.

Funds may be used in different ways to achieve the goals of increased representation, including bringing students to UC campuses for summer research programs, developing web-based tools that allow ongoing collaborations between HBCU students and UC faculty, and travel or meetings to establish or

enhance collaborations with HBCU students and faculty. Initiatives designed to sustain long-term collaborations between UC and HBCU departments will be given high priority in the review process.

### **Types of Awards**

**1. Summer Research Internship Support Grant** – One year grant to support HBCU students who will conduct summer research at a UC campus in summer 2019. This funding may support such activities as fieldwork, laboratory research, literature review, social science data analysis, historical research, paper preparation or other training activities. A PI may request a renewal to continue to support a summer research internship for the *same* student in subsequent summers until the student completes her/his undergraduate degree.

**2. Summer Research and Graduate Admission Pathways Grant** – Three year grant to support students conducting research at a UC campus in 2019 as well as students in 2020 and 2021 (summer research funds are dependent on annual confirmation of student participants and research plan by established deadline). Summer research internship funding may support such activities as fieldwork, laboratory research, literature review, social science data analysis, historical research, paper preparation or other training activities. Graduate admission pathways funds are designed to encourage the development of long-term efforts to increase the number of HBCU students applying to UC graduate programs.

### **Application Eligibility**

**Academic Senate Faculty in any discipline at any of the ten campuses of the University of California -**

Applications should highlight the specifics of the faculty member's commitment to the Initiative efforts and HBCU faculty partner(s). All HBCU partners must be from officially designated HBCUs (per the Higher Education Act of 1965). Before applying, please check [the list](#) for eligible partner institutions.

In articulating faculty commitment, the goals of the project should be addressed, as well as specific activities that will be undertaken to accomplish the goals, and key personnel involved. Only one person may serve as PI. Faculty members at different UC campuses are welcome to form a collaborative effort and submit one proposal. The proposal should demonstrate the integrated nature of the partnership. In the case of multi or cross-campus applications, co-applicants must identify a Principal Investigator (PI) for the project. Only one person may serve as PI; co-applicants may serve as co-investigators. *Proposal partners, other faculty mentors and initiative support at UC or at the HBCU are not required to be Academic Senate Faculty.*

- 1. Departments/Academic Programs** - Applicants must identify a PI. If multiple academic programs/departments are collaborating, co-applicants must identify a Principal Investigator (PI) for the project. Only one person may serve as PI; co-applicants may serve as co-investigators. Department or academic program proposals must also identify at least one lead UC faculty member (in addition to the PI), as well as indicate the specific role of the program/department chair and identify at least one specific HBCU faculty member/department partner with whom the program will work. *Proposal partners, other faculty mentors and initiative support at UC or at the HBCU institution are not required to be Academic Senate Faculty.*

*Faculty from departments offering the terminal degree Master of Fine Arts are eligible to apply on behalf of increasing the number of HBCU scholars enrolling in UC MFA programs.*

**Collaboration with existing summer research programs-** If a campus offers sponsored summer research programs through its Graduate Division or other offices, grant applicants should strongly consider partnering with them to assist with co-academic programming, admission application preparation guidance, and logistical program support. All of these aspects are important in providing students with an overall positive summer research experience. PIs must indicate how co-academic programming, housing and travel arrangements, stipend payments, and social and support networking/activities will be addressed. Faculty members or departments may choose to submit a proposal in partnership with the campus Graduate Division or another administrative office. If co-academic programming, summer visit coordination, social support, funds management and general programmatic support are needed beyond what individual faculty PIs or a department can sustain, such campus-based collaboration is **strongly encouraged** as it can strengthen proposal competitiveness. Such partnership arrangements should be clearly indicated in the proposal's project plan.

**Sustainability-** One of the goals of the Initiative is to facilitate sustainable change across UC graduate programs. Pathways projects that have been previously funded by the Initiative may apply for a second cycle of funding, however, renewals are not automatically granted. To be competitive, proposals from previously awarded projects will need to demonstrate project success, enhancement of the original project and articulate a commitment and plan to seek alternate funding during the second grant period, to ensure sustainability after the grant expires.

### **Allowable Expenses**

Principal Investigators (except those from UCSF; PIs from the San Francisco campus please see the next paragraph) may include 1/9 summer salary to support their efforts during the summer. Faculty in the humanities, arts, behavioral science or social science (HABSS), who do not request summer salary may include a PI research account allocation as part of the project budget (up to \$1000 for a Summer Research Internship Support Grant and up to \$1500 for a Summer Research and Graduate Admission Pathways Grant). This allocation to the PI's research account may be included as part of the annual budget and may be used to support research expenses associated with the initiative project or other research needs. **Faculty may include either summer salary or research account allocation, but not both.** Whatever is being requested should be clearly noted in the project budget.

Principal Investigators from UCSF may include 1/12 salary support for their efforts on behalf of the UC-HBCU Initiative. Faculty in behavioral science or social science, who do not request salary support may include a PI research account allocation as part of the project budget (up to \$1000 for a Summer Research Internship Support Grant and up to \$1500 for a Summer

Research and Graduate Admission Pathways Grant). This allocation to the PI's research account may be included as part of the annual budget and may be used to support research expenses associated with the initiative project or other research needs. **Faculty may include either salary support or research account allocation, but not both.** Whatever is being requested should be clearly noted in the project budget.

As a notable demonstration of systemwide support and an active commitment to valuing diversity each of the UC chancellors have agreed to provide the salary support for any PI awarded a UC-HBCU grant. If included in the project budget the support will be provided for the duration of the grant.

Other allowable expenses include student summer stipend (minimum \$3000), student program-related travel, student room and board, defined necessary supplies and equipment, program expenses (non-research activities, minimal administrative expenses, etc.) and a mentor research account allocation of \$500, if desired (up to a maximum of \$1000 for those mentoring two or more interns). PIs may include stipend support for UC graduate students who serve as mentors on the project and/or salary support for graduate students or staff who have significant coordinating and administrative responsibilities. Mentor research account resources may be granted to faculty serving as mentors to visiting HBCU summer interns. Principal Investigators requesting summer salary and Principal Investigators in humanities, arts, behavioral science or social science (HABSS) serving as summer mentors are not eligible for this additional mentor research account allocation. For *all* PIs who are including *other* faculty mentors as part of their project plan, the mentor research account allocations should be included in the summer research internship budget if such funds are needed.

Summer research internship budgets should be based on the actual costs of hosting students at your institution (expenses should include estimated student travel expenses, room and board, student stipend and as appropriate other programmatic expenses such as graduate student mentoring support and social networking/support opportunities).

Indirect costs are not supported. Campuses are expected to contribute the indirect costs associated with awarded grants as part of the University of California's commitment to enhancing diversity.

### **Grant Award Amounts**

In order to allow a wide range of participation in the UC- HBCU Initiative, grant award amounts or limits are not specified. Here are two examples of recent awards: 1) a faculty member applies for a one-year internship grant totaling \$15,230 to host two students for one summer, while 2) another faculty member proposes a three-year pathways grant totaling \$228,440 for a departmental collaborative effort that will host six students a year each summer for three years. A pathways grant requires a longer commitment and focuses on developing collaborative activities with faculty at the HBCU partner institution and creating departmental graduate

admission pathway strategies and activities. Since funds are limited, more expensive proposals must be extremely well developed to be funded. The examples noted provide insight into the flexibility of participation opportunities for faculty. Please see <http://ucal.us/uchbcu> for a list of funded proposals from previous cycles.

Recent multi-year pathways grants have ranged from \$77,000 to just over \$500,000 for the total award (to be spent over three years). Proposals requesting large amounts should only be submitted if a strong framework of support to sustain the effort during the grant period can be clearly demonstrated. The most competitive proposals will be those designed to establish a sustainable and significant effect beyond the grant period.

## HOW TO APPLY

Applications must be submitted via the electronic application system proposalCENTRAL. Submission instructions and templates are available online through proposalCENTRAL at:

<http://proposalcentral.altum.com/>

For additional information regarding the UC-HBCU Initiative, including links to HBCU websites please visit: <http://www.ucop.edu/uc-hbcu-initiative/index.html>

## PROJECT PLAN SUBMISSION DETAILS

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- **Summer Research Internship Support Grant** – Proposed summer research project for 2019. Plan must include:
  - 1) **Summary of approach or process to identify and select student interns to be mentored in the summer of 2019.** This process/plan is at the discretion of UC faculty and HBCU partners. Selected interns must be enrolled students in good standing at an HBCU. Project plan must include the number of students to be mentored through the project and, if determined, the intended general research area. Proposals must include at least 2 student interns. If there will be other mentors involved beyond the PI please identify all other faculty mentors. In addition to the proposed research area, the summary should also include any planned academic, skill building, and social or networking support activities outside of the planned research experience. *Please be advised all awarded proposals must confirm specific student participants, for summer 2019, with the Office of the President no later than December 3, 2018.*

PIs should explain their institutional culture, departmental history and efforts on behalf of outreach and enrollment of underrepresented groups, particularly African Americans. PIs should also discuss their qualifications, knowledge and demonstrated commitment relevant to leading project efforts.

- 2) **Clear Indication of how co-academic programming, program logistics and support activities will be handled (such as travel and housing arrangements for the student interns as well as disbursing stipend payments, etc.).**
  - Who is responsible for budget administration, record keeping, reporting, coordination of financial expenses and other administrative duties associated with hosting students?
  - Applicants are strongly encouraged to formally incorporate a graduate student or post-doctoral fellow into the project plan. Engaging graduate students and/or post-doctoral fellows who can assist with mentoring or provide other support to the student interns can greatly improve proposal competitiveness.
  
- 3) **A substantive follow up mentoring plan for summer research interns.**

How will the mentor(s) stay engaged with summer interns after their summer research experience has ended? Establishing regular mechanisms to communicate, share insight and provide guidance to UC-HBCU Initiative Fellows will be important to their long-term development and success. It will also likely contribute to cultivating their continued interest in research and pursuing a UC graduate degree. How will mentoring continue? Helping to cultivate publication and conference presentation opportunities are important aspects of effective mentoring.
  
- 4) **Applicants should explain the proposed methods and metrics to be used to evaluate and assess the effectiveness of the summer research experience.**
  
- 5) **Proposed project budget for one year (see summer research budget template).** If the PI intends to target student interns who will be undergraduates not only for summer 2019, but also for subsequent summers the PI should indicate her/his desire to target such students and note any interest in potentially mentoring the same student the following summer(s). The PI should note such interest in the grant application (thus it will be prior to identifying specific student interns). Upon completion of a successful summer, the PI may request that the summer research internship grant be renewed for another summer. The grant is only renewable to support the same student intern until that student receives a baccalaureate degree from her/his home institution.

NOTE: In an effort to facilitate greater campus awareness and support of Initiative efforts, all proposals for Summer Research Internship Support Grants require the signature of the campus graduate division dean on the Signature Page.



- **Summer Research and Graduate Admissions Pathways Grant** - Proposed three year project plan for the development and cultivation of UC-HBCU Initiative for your field, program or department. Plan must include:

1) **Summary of approach or process to identify and select student interns to be mentored in the summer of 2019 as well as subsequent funding years.**

This process/plan is at the discretion of UC faculty and HBCU partners. Selected interns must be enrolled students in good standing at an HBCU. Project plan must include the number of students to be mentored through the project, each year, in 2019, 2020 and 2021 (how many students will be mentored each year?) and, if determined, the intended general research area. Proposals must include at least 2 student interns. If there will be other mentors involved in addition to the PI, please identify all other faculty mentors. In addition to the research plan, the summary should also include any planned academic, skill building, and social or networking support activities outside of the planned research experience. *Please be advised all awarded proposals must confirm specific student participants, for summer 2019 internships, with the Office of the President no later than December 3, 2018.*

PIs should explain their institutional culture, departmental history and efforts on behalf of outreach and enrollment of underrepresented groups, particularly African Americans.

PIs should also discuss their qualifications, knowledge and demonstrated commitment relevant to leading project efforts.

2) **Clear Indication of how co-academic programming, program logistics and support activities will be handled (such as travel and housing arrangements for the student interns as well as disbursing stipend payments, etc.).**

-Who is responsible for budget administration, record keeping, reporting, coordination of financial expenses and other administrative duties associated with hosting students?

- Applicants are strongly encouraged to formally incorporate a graduate student or post-doctoral fellow into the project plan. Engaging graduate students and/or post-doctoral fellows who can assist with mentoring or provide other support to the student interns can greatly improve proposal competitiveness.

3) **A substantive follow up mentoring plan for summer research interns.** How will the mentor(s) stay engaged with summer interns after their summer research experience has ended? Establishing regular mechanisms to communicate, share insight and provide guidance to UC-HBCU Initiative Fellows will be important to their long-term development and success. It will also likely contribute to cultivating their continued interest in research and pursuing a UC graduate degree. How will mentoring continue? Helping to cultivate publication and conference presentation opportunities

are important aspects of effective mentoring.

- 4) **Mutually beneficial engagement for UC and HBCU faculty and specific efforts to develop and encourage awareness of and application to UC graduate programs.** What are the plans over the next three years to help create improved pathways for HBCU students to enroll for graduate study at UC?
- 5) **Applicants should explain the proposed methods and metrics to be used to evaluate and assess the effectiveness of the project.** Please indicate markers or milestones by which success will be evaluated. Applicants should also include a description of efforts designed to help institutionalize project activities and impact within the department to allow for enhanced sustainability and long term success.
- 6) **Proposed project budget for year one, year two and year three (Student summer internship expenses should be itemized separately from initiative development funding for faculty identified activities and collaborations).** See summer research budget template.

NOTE: In an effort to facilitate greater campus awareness and support of Initiative efforts, all proposals for Summer Research and Graduate Admissions Pathways Grants require the signature of the campus graduate division dean on the Signature Page.

#### **REVIEW CRITERIA**

- 1) Strength of UC faculty commitment and involvement in activities and goals of the project plan (level, type and frequency of involvement in project) and ability to successfully implement project plan.
- 2) Departmental support of project and history of effort and impact on behalf of graduate academic diversity.
- 3) Evidence of campus support and/or collaboration to help facilitate project success (letters of support from graduate division deans or other campus sources of support and coordinated services are encouraged).
- 4) Commitment of HBCU faculty partner(s) to the project (formal endorsement or letter(s) of support/partnership is required).
- 5) Quality of project plan (particularly the approach, structure and quality of faculty mentoring of student interns *during* the summer), support faculty and other mentors for student interns.
- 6) Follow up mentoring plan for summer research interns.
- 7) Indicators of building long term sustainability between UC and identified HBCU(s).
- 8) Strength, and likelihood of effectiveness, of graduate admission pathways to improve inclusion of HBCU scholars in UC PhD programs as well as identified steps to institutionalize such efforts within a department to enhance long term success.

Applicants for a one year **Summer Research Internship Support Grant** will be evaluated on the first seven areas listed under review criteria and applicants for the **Summer Research and Graduate Admissions Pathways Grant** will be evaluated in all eight review areas.

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## REVIEW OF PROPOSALS AND FUNDING DECISIONS

Proposals will be reviewed and evaluated as noted under Review Criteria. All application materials will be reviewed by an interdisciplinary committee with insight, experience and knowledge of the issues, research relationships and work necessary for such initiatives to succeed. The Office of Research and Graduate Studies will announce committee decisions.

Grant funding is contingent on confirming summer internship participants for years one, two and three, respectively. Grants for the UC-HBCU Initiative will be awarded based on the established review criteria and the number of students included in the project plan to be mentored through summer research at UC. Awards are contingent on availability of funding.

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**Grant proposals are due no later than noon (Pacific Time)**

**Thursday, March 15, 2018.**

*Awards to be announced June 2018.*

**Please note: Proposals must be complete to be considered for funding.**

**No proposals will be accepted after the deadline.**

Please see proposal guidelines for specific proposal requirements and instructions. Please review [FAQs](#) for additional insight and information. Submit proposals online via proposalCENTRAL

<http://proposalcentral.altum.com/>

Questions? Please contact [gradstudies@ucop.edu](mailto:gradstudies@ucop.edu)