University of California, Office of the President

Office of Research and Graduate Studies

2011-12 Request for Proposals

University of California – Historically Black Colleges and Universities Initiative

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

The University of California's reputation as a premier research and teaching institution rests on its capacity to attract and retain students and scholars who reflect the rich diversity of California and the nation. 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 continues to seek ways to attract and enroll scholars from historically excluded populations. At the graduate level, African Americans/Blacks are the most underrepresented group in UC graduate and professional programs in relation to their U.S. population. The five year average (2006-2010) for enrollment of African Americans in UC academic doctoral programs is 2.5%. In an effort to improve the representation of African Americans/Blacks in its graduate programs, particularly its Ph.D. programs, UC is investing in programs that cultivate relationships with communities and institutions that produce African American graduates from high schools, colleges and universities. UC is investing in such collaborations both to actively demonstrate the value of cultural and social diversity throughout its campuses and to make meaningful, sustained progress in addressing longstanding inequities in access to UC. The goal of the UC-HBCU Initiative is to increase the number of scholars from HBCUs enrolling in 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*

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 faculty at UC 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; these institutions are still very much part of the fabric of higher education and have been since the 1800s. A list of Historically Black Colleges and Universities, including institutional website links can be found at the Office of Research and Graduate Studies website.

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.

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 enrollment in UC graduate programs. Last year, 11 of the 33 submitted proposals were selected for funding. Thirty-six HBCU students are expected to participate in summer research internships at UC campuses in 2012. As part of the initiative, any UC-HBCU Initiative Scholar who subsequently applies and is admitted to UC for a PhD program will be assured of funding by the Office of the President, comparable to departmental level support, if needed.

PROGRAM: *Program Overview*

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 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 at distant locations, and travel or meetings to establish new 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 2013. 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 2013 as well as students in 2014 and 2015 (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

1. **Academic Senate Faculty in any discipline at any of the ten campuses of the University of California** - Applicants should highlight the specifics of the faculty member's commitment to the Initiative efforts and HBCU faculty partner(s). 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. 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 lead Principal Investigator (PI) and lead campus/ department for application purposes. *Proposal partners, other faculty mentors and initiative support at UC or at the HBCU are not required to be Academic Senate Faculty.*

2. **Departments/Academic Programs** - Applicants must identify a PI (lead PI if multiple academic programs/departments are collaborating). 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 <u>and</u> 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.

   *If a campus offers sponsored summer research programs through its Graduate Division, or other offices, grant applicants should consider partnering with such administrative units to assist with co- academic programming and admission application preparation guidance, as well as logistical program support. All of these aspects are important in providing students with an overall positive summer research experience. PIs must address how issues of 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. Any partnership arrangements with campus Graduate Divisions or other administrative units that serve to address these issues should be clearly indicated in the project plan of the grant proposal.*

Allowable Expenses

Faculty in the humanities, arts, behavioral science or social science (HABSS), serving as Principal Investigators (or lead PI if there is more than one PI) 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 lead PI's research account may be included as part of

Office of Research and Graduate Studies –November , 2011   Page 4

the annual budget and may be used to support research expenses associated with the initiative project or other research needs.

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). Mentor research account resources may be granted to faculty serving as mentors to visiting HBCU summer interns. 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, faculty summer salaries and faculty stipends are not supported as part of this program.

Grant Award Amounts

Specific grant award amounts are not specified to allow for a wide range of participation in the UC- HBCU Initiative. Creativity and commitment are encouraged. Here are two examples of possible application submissions: 1) a faculty member applies to host two students for the summer of 2013 with a proposal request of $17,000, while 2) another faculty member proposes a three year departmental effort or cross program collaboration and is proposing to host five students a year in 2013, 2014 and 2015, developing collaborative activities with faculty at the HBCU partner institution and creating departmental graduate admission pathway strategies and activities. The department is submitting a proposal request of $156,000 over 3 years. As funds are limited, more expensive proposals must be extremely well developed to be funded and will likely be highlighted as a core element of this systemwide initiative. The examples noted provide insight into the flexibility of participation opportunities for faculty. Please see http://www.ucop.edu/research/gs/uchbcu/awards.html for a list of last year's funded proposals.

Generally, the UC-HBCU Initiative expects to award grants ranging from $8,500 - $55,000 *per year* of support. Last year, awards ranged from $15,000 for a one-year internship project, to $300,000 for a multi-year Pathways grant. 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/ research/gs/

PROJECT PLAN SUBMISSION DETAILS

- **Summer Research Internship Support Grant** – Proposed summer research project for 2013. Plan must include:

    1) Summary of approach or process to identify and select student(s) intern to be mentored in the summer of 2013. 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. If there will be other mentors involved beyond the PI please indentify 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 2013, with the Office of the President no later than December 3, 2012.*

        PIs should explain 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?
        -Will there be a graduate student or post-doctoral fellow assisting with the mentoring or providing other support to the student interns?

    3) Follow up mentoring plan for summer research interns. Are there plans to stay engaged with summer interns after their summer research experience has ended? How will mentoring continue?

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 2013, 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.

- **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 intern(s) to be mentored in the summer of 2013 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 2013, 2014 and 2015 (how many students will be mentored each year?) and, if determined, the intended general research area. If there will be other mentors involved in addition to the PI, please indentify 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 2013 internships, with the Office of the President no later than December 3, 2012.*

     PIs should explain 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? -Will there be a graduate student or post-doctoral fellow assisting with the mentoring or providing other support to the student interns?

3) Follow up mentoring plan for summer research interns. Are there plans to stay engaged with summer interns after their summer research experience has ended? How will mentoring continue?

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.

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) Commitment of HBCU faculty partner(s) to the project (endorsement or letters of support/partnership will greatly strengthen an application).
4) 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.
5) Follow up mentoring plan for summer research interns.
6) Indicators of building long term sustainability between UC and identified HBCU(s).
7) 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 six areas listed under review criteria and applicants for the **Summer Research and Graduate Admissions Pathways Grant** will be evaluated in all seven review areas.

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

Grant proposals are due no later than noon (Pacific Time)
Wednesday, February 15, 2012.
Awards to be announced the week of May 7, 2012.

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. Submit proposals online via proposalCENTRAL http://proposalcentral.altum.com/

Questions? Please contact gradstudies@ucop.edu