University of California
Hispanic Serving Institutions-
Doctoral Diversity Initiative (UC-HSI DDI)

REQUEST FOR PROPOSALS
2021-2022
The University of California (UC) is known globally as a prominent research, teaching and public service institution because of its capacity to serve the state, the nation and the world. Its reputation derives from the breadth of knowledge and expertise that its students, faculty, administrators, and partners bring to bear on the most significant issues of our time. To maintain its reputation as a premier research and teaching institution, UC must attract scholars who reflect the people of California, the nation and the world. Building a comprehensive culture of inclusion and expanding pathways and access to the academy, at all levels, is critical to maintaining UC’s excellence. In 2010, the UC Regents adopted the following revised diversity statement\(^1\), which reads, in part:

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\text{The diversity of the people of California has been the source of innovative ideas and creative accomplishments throughout the state’s history into the present. Diversity – a defining feature of California’s past, present and future – refers to the variety of personal experiences, values, and worldviews that arise from differences of culture and circumstance. Such differences include race, ethnicity, gender, age, religion, language, abilities/disabilities, sexual orientation, gender identity, socioeconomic status, geographic region, and more.}
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\text{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.}
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\text{Therefore, the University of California renews its commitment to the full realization of its historic promise to recognize and nurture merit, talent, and achievement by supporting diversity and equal opportunity in its education, services, and administration, as well as research and creative activity. 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.}
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**BACKGROUND**

As of 2019, California's population was 39% Hispanic, 36% White, 15% Asian, and 6% Black.\(^2\) Hispanics are among the largest ethnic groups in California; however, their enrollment in UC graduate programs does not reflect the population. The UC system has experienced a significant increase in Latinx undergraduate enrollment over the past decade, which grew by


*Note: Hispanic includes respondents of any race. Other categories are non-Hispanic.*
129 percent from 2008 to 2018. As a result, five of the nine undergraduate-serving UC institutions — UC Irvine, UC Merced, UC Riverside, UC Santa Barbara and UC Santa Cruz — are now federally designated Hispanic Serving Institutions (HSIs). Notably, the rest of the undergraduate-serving UC campuses — UC Davis, UC San Diego, UCLA, and UC Berkeley — are emerging in status and, as a system, UC has a Latinx undergraduate student enrollment of 24 percent, approximating the 25 percent threshold needed to attain HSI status. By contrast, only 11 percent of academic doctoral students enrolled in UC PhD programs were Latinx as of fall 2020, demonstrating the continued need to support efforts that enhance pathways to doctoral education and the professoriate for underserved scholars.

Considering the ethnic diversity represented in California and the unique role and reach of UC’s research enterprise, it is vital for the University to implement efforts designed to advance inclusion and equity while increasing diversity across all University communities. The UC-Hispanic Serving Institutions (HSI) Doctoral Diversity Initiative (DDI) is part of UC’s broader strategic effort to enhance its faculty diversity by expanding the pathways to the professoriate.

The UC-HSI DDI focuses on California HSIs—which includes five of the nine undergraduate UCs (UCI, UCM, UCR, UCSB, and UCSC) as well as 21 of the 23 California State University (CSU) campuses, and several private colleges and universities throughout the state. The program’s goal is to enhance faculty pathways for historically underrepresented groups, particularly Latinx/Chicanx, African Americans, American Indians/Native Americans, Filipinx, and Pacific Islanders in all disciplines; women in STEM; and Asian Americans in the humanities and social sciences. However, UC-HSI DDI is designed to support any California HSI student selected based on faculty/project criteria, irrespective of race, ethnicity, national origin, sex, or gender identity.

An annual allocation will be available for competitive grants that will flow directly to principal investigators (PIs) at their UC campuses.

PROGRAM GOALS
As part of UC’s system-wide effort to enhance faculty diversity, annual funding will be allocated to support efforts that will expand the pathways to faculty diversity. This commitment enables the University to administer a system-wide UC-HSI DDI program to support the following goals:

| GOAL 1 | Increase the pathways to UC PhD completion for students from California HSIs. Efforts may include a variety of strategies, including but not limited to research traineeships, summer preparation programs for incoming graduate students, and enhanced mentoring. The UC-HSI DDI aims to enroll more students from historically underrepresented groups, including Latinx/Chicanx, African Americans, American Indians/Native Americans, Filipinx, and Pacific Islanders in all disciplines; women in STEM; and Asian Americans in the humanities and social sciences for the professoriate. |
| GOAL 2 | Expose, encourage, and help prepare students for the professoriate. Efforts may focus on the whole range of the student-to-professor preparation life cycle and associated skillsets, such as preparing for graduate school, developing research designs, grant writing, conference presentations, dissertation writing, development of a teaching philosophy, preparing and applying for postdoctoral fellowships, applying for faculty positions, generating diversity statements, preparing for job talks and the interview process, preparing publications, and forming research collaborations, among others. |
GOAL 3 | Encourage research and enrichment collaborations among UC faculty and faculty at partner California HSIs. This program will support partnerships that will foster long-term engagement opportunities between and among faculty, students, programs, departments and/or campuses.

GOAL 4 | Enhance academic program climate using interventions to foster a culture of inclusion and equity—especially for faculty and students from historically underrepresented communities. Efforts may include but are not limited to curriculum design and development; pedagogy; mentoring; providing various mechanisms of support; equitable funding practices; transparency in decision-making (process and results); communication of policies, opportunities and information (among and within departments/groups); and leadership accountability.

EXAMPLES OF PROGRAMS, PROJECTS AND/OR EFFORTS
- Well-coordinated interventions and activities such as workshops, conferences, short courses, traineeships, group rotations or engagement that promotes interaction among trainees, sharing knowledge, training using new methodologies, and strong mentorship throughout the program/student life-cycle.
- Program intervention, research or analysis to inform greater success for a particular UC department, campus or system-wide effort. For example, conducting an evaluation of existing efforts and sharing best practices in a systematic way that enables programs to leverage additional funding from external agencies.
- Request seed funding to establish a novel idea or new effort at a program, department or campus level to demonstrate the ability to increase underrepresented minorities within the academic pathway.

AWARD TYPES
Large awards: applicants can submit proposals up to $350,000 to be used within 5 years.

Small awards: applicants can submit proposals up to $50,000 to be used within 2 years.

The 2021-2022 award cycle expects to announce and fund proposals by summer 2022. PIs will have the flexibility to define the length of their grant term—up to five years for large awards and up to two years for small awards.

| Large awards must encompass strategies and efforts that address all four program goals specified above. Proposals applying for large awards should clearly demonstrate a strong framework to sustain the programmatic efforts during the entire grant period. The most competitive proposals will be those designed to establish sustainable and significant impact beyond the grant period. |
| Proposals submitted for small awards are required to address at least two of the four program goals. Specifically, all small award proposals must include strategies that support goal 2, in addition to at least one other goal (1, 3, or 4). |
REPORTING
Annual reporting is required for both award types, in addition to engaging in regular conference calls in an effort to share, learn from and improve inclusion and equity efforts at UC. Failure to participate may jeopardize a PI’s ability to apply to future grant cycles and/or receive the remaining funding for the current award cycle.

ELIGIBILITY
- For administrative purposes, grant proposals must identify one Principal Investigator (PI) per UCOP policy. Co-investigators and collaborators may be included. For purposes of faculty promotion and tenure, a PI may wish to officially recognize the effort of a co-principal investigator. Awarded PIs should contact UCOP for more information.
- PIs must be University of California senate faculty representing administrative or academic units.
- PIs may be from non-HSI UC campuses as long as they are collaborating with a federally designated HSI.
- PIs must work with partners from designated California HSIs as part of a collaborative team. UCs may choose to work across institution type (including UC, CSU and/or private institutions) or within UC only. PIs from UC HSIs may partner with people at their own campus.
- PIs are eligible to submit no more than one proposal to this grants program, but they may serve as co-investigators/collaborators on other grants.

REVIEW CRITERIA
Large Awards
Proposals must include efforts in each of the four program goal areas—including an ongoing self-assessment plan with qualitative (including student feedback) and quantitative metrics for measuring impact/progress consistently across all four program goals. Proposals should:

- Have significant indicators that will yield notable outcomes, particularly regarding enrollment, professoriate preparation, and progressive improvements in the academic culture of the unit(s).
- Demonstrate strong potential for program sustainability.

Large awards should also indicate a substantial resource commitment that will be made in support of these efforts from a source outside of the UCOP grant award (either monetary or in-kind support). It is not required that PIs secure extramural funds, but rather the partners/collaborators on the grant should also provide support for the efforts, thus leveraging the potential impact of the initial UCOP award. This may be from internal or external partners (e.g. UC campus commitment, external grant or collaborator resources). The intent is to maximize the impact of this effort.

Small Awards
Proposals must include efforts in at least two of the four program goal areas—including an ongoing self-assessment plan with metrics for measuring qualitative and quantitative impact/progress in those areas. PIs are required to address goal 2, in addition to another goal (1, 3, or 4). Proposals should also:

- Have indicators that will yield notable outcomes for the designated goal(s).
• Indicate a noteworthy resource commitment that will be made in support of these efforts from a source outside of the UCOP grant award (either monetary or in-kind support). This may be from internal or external partners (e.g. UC campus commitment, external grant or collaborator resources).

**UPDATE**

Please note that the timeline for the next award cycle (2022-2023) will change. We expect to release the 2022-2023 RFP in APRIL 2022. Below is a tentative timeline:

- Release RFP April, 2022
- Proposals due October, 2022
- Proposal reviews November, 2022-January, 2023
- Awards announced by March, 2023
- Funds available by May 2023

For more information, please visit the UC-HSI DDI website or email Graduate Studies at gradstudies@ucop.edu.

**PROGRAM OVERVIEW**

**What is a Hispanic Serving Institution?**
A Hispanic-Serving Institution (HSI) is defined as an institution of higher education that has an enrollment of undergraduate full-time equivalent students that is at least 25 percent Hispanic. HSIs are eligible for certain grants from the U.S. Department of Education to assist with strengthening institutional programs, facilities, and services to expand the educational opportunities for Hispanic Americans and other underrepresented populations.

**Do the students benefitting from a grant’s proposed efforts have to be Latinx/Chicanx/Hispanic?**
No. While the intent of the grants program is to enhance faculty pathways for historically underrepresented groups, particularly Latinx, African Americans, American Indians/Native Americans, Filipinx and Pacific Islanders in all disciplines; women in STEM; and Asian Americans in the humanities and social sciences, UC-HSI DDI is designed to support students irrespective of race, ethnicity, national origin, sex, or gender identity. Note: the guidelines for the UC-HSI DDI President’s Pre-Professoriate Fellowship are different.

Can I propose efforts not listed in the “examples”? Yes. Since the UC-HSI DDI is a newer systemwide effort, it is difficult to predict which projects programas/activities will be most successful and yield greatest impact. As such, the request for proposals (RFP) lists examples of interventions that have demonstrated past successes, but the UC-HSI DDI encourages and welcomes innovative strategies that align with and address the goals of the program.
How many projects do you anticipate will receive funding?
It is difficult to know. It is impossible to predict how many proposals we will receive in total, and/or per each of the funding mechanisms (large vs. small grants); therefore, we cannot allocate specific amounts to each award type nor do we know what types of projects the Initiative will fund. Proposals will be assessed thoroughly by a panel of reviewers who will recommend the most meritorious proposals that align with the goals of the program. After the cycle closes, a list of awardees will be posted on the website.

How many proposals can each campus submit?
There are no limits on the number of proposals that a UC campus can submit to the UC-HSI DDI competitive grants program. However, individual PIs are eligible to submit no more than one proposal (only one large grant or one small grant, but not both), but they may serve as co-investigators/collaborators on other grants.

What timeframe do the proposed efforts/activities have to take place?
Funding for the 2021-2022 award cycle is expected to transfer by summer 2022. PIs will have the flexibility to define the length of their grant term from that point—up to five years for large awards and up to two years for small awards.

The instructions require that the Chief Diversity Officer sign off my proposal submission, where can I find that information/contact?
Please reference the list of Chief Diversity Officer(s) from your campus.

What types of letters of support should I submit?
Please make sure to provide letters of support from key partners and stakeholders that can speak to the commitment and the value of the project and the proposed activities, in addition to submitting letters indicating contributions (funding or in-kind resources) that will be provided.

ELIGIBILITY
How do I know if I work for a Hispanic Serving Institution (HSI) or if my collaborators are at HSIs?
The UC-HSI DDI will focus on California HSIs—which officially includes five of the nine undergraduate UCs (UCI, UCM, UCR, UCSB, and UCSC) as well as designated California State University (CSU) campuses (currently 21 of 23 campuses), and several private colleges and universities throughout the state. For your reference, please visit our website for a list of federally designated California HSIs.

Can I work with HSIs from other states?
No. This program is dedicated to support California HSIs.

Do I have to work with California State University (CSU) campuses and private HSIs?
No. PIs may work with any combination of California HSI institutions, including CSUs, other UC campuses or folks from their home campus—as long as their home campus is a designated HSI.

I am not employed at an HSI, can I serve as PI?
Yes. PIs may be from non-HSI UC campuses as long as they are collaborating with a designated HSI. PIs must be University of California faculty senate members representing administrative or academic units.
I am an academic staff member on my campus; can I serve as the principal investigator (PI) on the grant?
No. Only academic senate faculty members are eligible to serve as principal investigators (PIs). Administrators (such as Department Chairs or Deans) may serve as PIs as long as they are senate faculty members. Other academics and staff, such as senior researchers, scientists, and program directors may serve as grant collaborators.

BUDGET AND EXPENSES
How many years of funding can I request?
Large awards can submit proposals up to $350,000 to be used within 5 years, and small award applicants can submit proposals up to $50,000 to be used within 2 years.

Can I request salary for my work on the project during the summer?
No, this program does not allow for summer salary.

What am I allowed to budget for with this grants program?
You may request support for student-related expenses (such as stipends, room and board, travel, etc.), or other project expenses that are not student-related (such as graduate student research support, contractors, equipment, travel, honoraria, etc.).

Can I include indirect costs in the budget?
No. You do not need to account for indirect costs on your budget. It is assumed that those costs will be covered by the campus since they will not be covered by the grant.

REPORTING AND MONITORING
Is annual reporting required?
Yes. Annual reporting is required for both award types, in addition to engaging in regular conference calls to share, learn from and improve inclusion and equity efforts at UC. Failure to participate may jeopardize a PI’s funding and ability to apply to future grant cycles.

APPLICATION SUBMISSION
I am unable to enter data into the application documents on your website. Where do I get documents that I can edit?
The documents on the website are meant to be examples only, so they are all pdfs and not fillable documents. The .doc templates are available through proposalCENTRAL (pC). Once you log into pC to prepare your application you will have access to all the application templates. The templates are all located in the “Download Templates and Instructions” section on pC. Please review the application instructions for more information.

When can I get customer service at pC?
pC works on Eastern Time. Please note the deadline is Monday, January 31, 2022 at 12pm (Pacific Time), which is 3pm (Eastern Time). Contact pC during their local operating times.

Does the proposal require the signature of the campus Contracts and Grants official?
No. Signatures by the PI’s next level authority (e.g. Department Chair or Provost) AND the campus’ Chief Diversity Officer are required. However, campuses may require you to obtain your C&G official’s signature. If so, please provide ample time to acquire that signature as well. The annual award allocation will be transferred directly to principal investigators (PIs) at their departments. Please provide a legible/typed name and contact information for each person signing your grant proposal, in addition to the signature. Otherwise it is difficult to determine who each signature belongs to. Electronic signatures and scanned signatures are acceptable.
Curious to know more? Launched in 2019, the UC-Hispanic Serving Institutions Doctoral Diversity Initiative (UC-HSI DDI) aims to enhance faculty diversity and pathways to the professoriate for underrepresented students from California Hispanic Serving Institutions (HSIs). As part of the UC-HSI DDI, competitive grants are awarded to UC faculty/faculty administrators to support short-term and long-term efforts to address the goals of the Initiative.

After only two cycles (2019-20 and 2020-21), UC has provided funding to support:

10 grants:
- 5 small & 5 large

7 UC PI campuses:
- UCD (2), UCI (1), UCLA (1), UCM (1), UCR (2), UCSD (1), UCSC (2)

Discipline/area:
- STEM (5), Social Science (3), Interdisciplinary (2)

# of CA HSI partners: ~40

# of students expected to be reached: 450+

Questions? For more information, please visit the UC-HSI DDI website or email Graduate Studies at gradstudies@ucop.edu.