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Chair of the Assembly of the Academic Senate
Faculty Representative to the Regents
University of California
1111 Franklin Street, 12th Floor
Oakland, California 94607-5200

July 8, 2014

AIMÉE DORR
PROVOST AND EXECUTIVE VICE PRESIDENT
UNIVERSITY OF CALIFORNIA

Re: Proposed outreach program to Hispanic Serving Institutions (HSIs) & Tribal Colleges and Universities (TCUs)

Dear Aimée:

At its June 25 meeting, the Academic Council voted unanimously to endorse and forward to you the attached proposal to develop an outreach program to Hispanic Serving Institutions (HSIs) and Tribal Colleges and Universities (TCUs) that would be similar to UC's existing outreach to Historically Black Colleges and Universities (HBCUs). The intent is to attract more Chicano/Latinos, American Indians, and Alaska Natives to UC graduate programs. I am also attaching a letter from the Coordinating Committee on Graduate Affairs (CCGA) supporting the proposed program.

The proposed program was originally developed by former University Committee on Affirmative Action and Diversity (UCAAD) Chair Manuela Martins-Green after Regent Fred Ruiz visited that committee and encouraged UCAAD to consider best practices for increasing faculty diversity. It has been refined over the past year under the leadership of Director of Graduate Studies Pamela Jennings.

The proposed program is modeled on the existing UC program targeting students at the nation's HBCUs, which has already brought 13 doctoral students to UC. Similarly, the HSI-TCU Initiative targets students enrolled at the 35 California HSIs, as well as students enrolled in TCUs outside of California, by providing grants for qualified students to pursue summer research programs at UC campuses. The hope is that many of the students will eventually matriculate into UC Ph.D. programs and that a substantial number of them will eventually pursue academic careers at UC.

We note that the proposed program also aligns with the goals of the Transfer Action Team (TAT) by incentivizing the creation of research opportunities for transfer students and additional outreach to California community colleges. We believe the proposed program could help UCOP focus on a strategic set of low-transfer CCCs for additional outreach, as there is significant overlap between California's two-year HSIs and the low transfer community colleges identified by the Transfer Action Team. (Twenty-eight of the two-year HSIs in California currently provide less than 1% of transfer students to UC.)

The initial cost of the program is estimated at \$6 million annually, which Council acknowledges to be a significant commitment in a time of fiscal constraints. Nonetheless, the proposed program would be an investment in the future of California's diverse communities. It will be an important signal of the University's commitment to the diversity pipeline and has the potential to significantly expand opportunity, increase student and faculty diversity, and improve campus climate. It is worth the cost.

Finally I would again like to acknowledge the sustained work of UCAAD and Director Jennings over the last year to develop this important joint Senate-administration initiative. We ask for your support and help in securing the support of the President and Regents.

Sincerely,

A handwritten signature in cursive script that reads "Bill Jacob".

Bill Jacob

Encl. (2)

Cc: Academic Council
UCAAD
Vice Provost Carlson
Director Jennings
Executive Director Winnacker



UNIVERSITY COMMITTEE ON AFFIRMATIVE ACTION AND DIVERSITY (UCAAD)
Emily Roxworthy, Chair
eroworthy@ucsd.edu

ACADEMIC SENATE
University of California
1111 Franklin Street, 12th Floor
Oakland, California 94607-5200

June 19, 2014

WILLIAM JACOB, ACADEMIC COUNCIL CHAIR

Dear Bill:

UCAAD is pleased to finally present the proposal for a new Hispanic-Serving Institution (HSI) and Tribal College & University (TCU) Initiative at the University of California. Since 2012-13, we have worked with Graduate Studies Director Pamela Jennings at UCOP to refine this proposal, with important input from CCGA, UCEP, and the Graduate Deans, among other stakeholders. The HSI/TCU Initiative was sparked by Regent Fred Ruiz's visit to UCAAD during Manuela Martins-Green's time as UCAAD chair; it was modeled on the extraordinary success of UC's Historically Black Colleges & Universities (HBCU) Initiative, which in two short years has already resulted in more than a dozen doctoral students enrolled on UC campuses from HBCUs.

Chair Martins-Green passionately advocated UC intervening in the critical faculty pipeline issue that has resulted from a dearth of Chicanos/Latinos in graduate studies on our campuses. As the proposal developed in a joint Senate-Administration process, the even more critical dearth of American Indians and Alaska Natives in graduate studies at UC became an additional focus. The resulting HSI/TCU initiative provides opportunities for undergraduates at HSI (institutions, including three UC campuses, that serve student populations with at least 25% Chicanos/Latinos) and TCU to pursue summer research programs on our campuses and, through this exposure to the excitement of a world-class public research university like the UC, eventually matriculate in our PhD programs where they would receive a prestigious "Regents Diversity Fellowship." Since the initiative targets particular institutions rather than particular groups, UC legal advisors assure us that it fully complies with Proposition 209.

We are seeking Academic Council endorsement of the HSI/TCU Initiative, which has budgeted \$6M in annual funding for faculty grants to develop and implement summer research opportunities that partner with HSI/TCU faculty and students, as well as an approximate cost of \$100,000 per year of fellowship support for each PhD student enrolled after completing one of these summer research programs. This Regents Diversity Fellowship would fund doctoral students from any discipline for two years, after which time departments would provide funding for these students. I look forward to discussing the HSI/TCU Initiative with you at the June Academic Council meeting and answering any questions you might have about the proposal.

Sincerely,

A handwritten signature in black ink, appearing to read "Emily Roxworthy".

Emily Roxworthy, Ph.D.
UCAAD Chair

cc: Martha Winnacker, Academic Senate Executive Director
Todd Giedt, Academic Senate Associate Director
Mary Gilly, Academic Council Vice Chair
Aimée Dorr, Provost
UCAAD members
Pamela Jennings, Graduate Studies Director
Michael LaBriola, Academic Council Analyst

Enclosure: 1



COORDINATING COMMITTEE ON GRADUATE AFFAIRS
Donald Mastronarde, Chair
djmastronarde@berkeley.edu

ACADEMIC SENATE
University of California
1111 Franklin Street, 12th Floor
Oakland, California 94607-5200

June 10, 2014

CHAIR EMILY ROXWORTHY
University Committee on Affirmative Action and Diversity

Dear Emily,

CCGA has followed with keen interest the Historically Black Colleges and Universities (HBCU) initiative and has been gratified to learn from Pamela Jennings of the growing number of graduate enrollments at UC campuses that have resulted from that program. With that model in mind, members have also expressed strong support for the development of a parallel initiative or initiatives to target other groups underrepresented in the graduate student population at UC.

At our June 4 meeting, Graduate Studies Director Jennings reported to CCGA some of the details in a draft proposal for a similar program in collaboration with Hispanic-Serving Institutions (HSI) and Tribal Colleges and Universities (TCU), and now she has provided us with the full draft and lists of the institutions from which UC faculty could attract students for summer internships and eventually for graduate application and enrollment.

CCGA strongly supports this proposal. Both elements of it are important for improving access to quality graduate education and to advanced careers among underrepresented groups. In the context of the demographics of California today and in the future, moreover, the HSI connection will be particularly significant. In addition, we see some hope for a helpful synergy among different initiatives, since the Transfer Initiative can bring more underrepresented students from more diverse community colleges to UC and CSU campuses for bachelor's degrees, while HBCU and the current proposal can help channel more students into graduate programs, with the President's Postdoctoral Fellowship Program also providing a pathway for the best Ph.D. graduates to transition to faculty status.

CCGA thus enthusiastically joins UCAAD in recommending this proposal to Academic Council for its endorsement, and hopes that the President and Regents will act quickly to adopt and begin implementation.

Sincerely yours,

A handwritten signature in cursive script that reads "Donald J. Mastronarde".

Donald J. Mastronarde
Chair, CCGA

cc: William Jacob, Academic Council Chair
Mary Gilly, Academic Council Vice Chair
Pamela Jennings, Graduate Studies Director
UCAAD Members
Martha Winnacker, Academic Senate Executive Director
Todd Giedt, Academic Senate Associate Director

UC-HSI-TCU Initiative: An Investment in Our Future

The University of California's reputation as a premier research and teaching institution rests on its capacity to serve the State of California, and the nation, at the highest levels. This requires attracting and graduating scholars who reflect the communities of 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.

In the 2010 U.S. Census, Hispanics or Latinos comprised 16.4% of the population in the U.S. In California they represent 37.7% of the state's population. It is imperative, for the state and nation, that as this demographic continues to grow, it is fully engaged in the higher education enterprise. We must also do more to ensure the inclusion of American Indians and Alaska Natives in UC's research enterprise. In the 2010 census, American Indians and Alaska Natives comprised 2% of the U.S. population, with 13.9% of the group's entire population living in California, making California the most populous state for American Indians and Alaska Natives. However, their representation in UC academic doctoral programs is dismally low.

To that end, UC continues to seek ways to attract and enroll scholars from historically excluded populations. At the graduate level Chicano/Latinos and American Indians/Alaska Natives are extremely underrepresented in UC graduate and professional programs. The five-year average (2008-2012) for enrollment of Latinos in UC academic doctoral programs is 7.4% and the five-year average (2008-2012) for enrollment of American Indians in UC academic doctoral programs is 0.7%. **UC can and must do better.**

To improve the representation of Latinos, American Indians and Alaska Natives in its graduate programs, particularly its PhD programs, UC is investing in programs and efforts that cultivate relationships with communities and institutions that produce Chicano/Latino and/or American Indian/Alaska Native graduates from high schools, colleges and universities. **The goal of the UC-Hispanic Serving Institutions and Tribal Colleges and Universities Initiative is to increase the number of scholars from Hispanic Serving Institutions (HSIs) and Tribal Colleges and Universities (TCUs) enrolling in UC academic doctoral programs.** As defined by the Hispanic Association of Colleges and Universities (HACU), HSIs are colleges or universities where total Hispanic enrollment constitutes a minimum of 25% of the total enrollment.

In the United States, Tribal Colleges and Universities (TCUs) are chartered by their respective tribal governments. According to the American Indian Higher Education Consortium, campuses exist in 15 states and serve students from more than 230 federally recognized Indian tribes. There are 34 accredited TCUs; although predominantly two-year institutions, 13 award bachelor's degrees and 2 award master's degrees. In 2012-13 TCUs served nearly 19,000 part-time and full-time students, the majority of which were American Indian and Alaska Native students. The UC-HSI-TCU Initiative is designed to support *any* HSI/TCU student selected, based on faculty criteria, irrespective of race, ethnicity, national origin, sex or gender identity.

UC must invest in collaborations and actively demonstrate the value of cultural diversity on our campuses at all levels in order to make meaningful, sustained progress in addressing longstanding inequities in access to UC. Our efforts must be multifaceted and consistent. Meaningful progress is not obtainable via a quick fix nor is it obtainable without a substantive commitment and resources. This proposal is one substantive effort that can help the University of California demonstrate its commitment to the importance of achieving an inclusive educational environment of excellence, and acknowledge the inherent lack of excellence in any academic community that is not reflective of our global society.

THE CHALLENGE:

Chicanos/Latinos are the only historically underrepresented group to have shown steady gains in the number and percent enrolled in UC academic doctoral programs over the past ten years. Yet in Fall 2012, they comprised only 7.9% of UC's doctoral population. American Indians comprised only 0.9% of UC academic doctoral student enrollment in Fall 2012 and the 5-year average enrollment for American Indians is only 0.7%.

Table 1:

UC Doctoral Student Enrollment by Race/Ethnicity – Systemwide

	Fall 2006	Fall 2007	Fall 2008	Fall 2009	Fall 2010	Fall 2011	Fall 2012	5-Year Avg
American Indian	0.6%	0.7%	0.6%	0.7%	0.7%	0.8%	0.9%	0.7%
African American	2.4%	2.4%	2.5%	2.5%	2.5%	2.7%	3.0%	2.6%
Chicano / Latino	6.5%	6.6%	7.0%	7.2%	7.4%	7.7%	7.9%	7.4%
Asian American	12.3%	12.3%	12.4%	12.5%	12.8%	12.9%	12.9%	12.7%
White Domestic	44.9%	44.8%	44.0%	43.9%	43.8%	43.9%	43.7%	43.8%
Unknown	11.3%	11.4%	11.7%	11.4%	10.6%	9.7%	9.1%	10.5%
International	22.0%	21.8%	21.8%	22.0%	22.2%	22.3%	22.6%	22.2%
Total	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%

Funding is a critical concern for prospective graduate students from all walks of life. It can be particularly important for students from underrepresented groups. Often students are hesitant or not encouraged to consider graduate school due to financial concerns. It is important for UC to support competitive funding offers to successfully recruit talented highly-sought-after students. However, given systemic educational equity issues in this country, enrolling a more inclusive graduate community requires more than a financial investment to recruit students. While fellowship funding is critical, that will likely only impact enrollment to a degree. UC must also improve its ability to cultivate and recognize talent in institutions, organizations and individuals where it historically has been less likely to look.

At the undergraduate admissions level there is an awareness that extraordinary, talented students attend high schools that are not as competitive and well-funded as others. The same holds true for colleges and universities. The July 2013 report, **Separate & Unequal: How Higher Education Reinforces the Intergenerational Reproduction of White Racial Privilege** [Anthony P. Carnevale and Jeff Strohl, Georgetown Public Policy Institute – Center on Education and the Workforce] sheds light on this matter for Latinos and African Americans (unfortunately the authors indicate that data limitations hindered their ability to conduct an identical and full analysis of American Indians, although Appendix B of the report notes IPEDS data analysis demonstrates American Indians have balanced postsecondary enrollments):

The good news is that postsecondary access has increased, especially for African Americans and Hispanics. Between 1995 and 2009, new freshman enrollments at postsecondary institutions grew by 107 percent for Hispanics, 73 percent for African Americans, and 15 percent for whites.

The bad news is that, despite increasing access, there are two separate postsecondary pathways: one for whites and another for Hispanics and African Americans. Whites have captured most of the enrollment growth at the 468 most selective and well-funded four-year colleges, while African Americans and Hispanics have captured most of the enrollment growth at the increasingly overcrowded and under-resourced open-access two- and four-year colleges.

*Between 1995 and 2009, **82 percent of new white freshman enrollments were at the 468 most selective four-year colleges, compared to 13 percent for Hispanics** and 9 percent for African Americans; 68 percent of new African-American freshman enrollments and 72 percent of new Hispanic freshman enrollments were at open-access two- and four-year colleges, compared to no growth for whites.*

These racially polarized separate pathways exist, even among highly qualified students: Among “A” students, African Americans and Hispanics are more likely to enroll in community colleges than similarly qualified white students.

The 468 most selective colleges’ completion rate is 82 percent, compared to 49 percent for open-access two- and four year colleges. Students who graduate from the 468 most selective colleges are more likely to earn graduate degrees.

High-scoring students (SAT/ACT) attend college at the same rate regardless of being white, Hispanic or African-American. However, high-scoring African Americans and Hispanics are far more likely to drop out of college before completing a credential.

Among high-scoring students who attend college, whites are far more likely to complete a BA or higher compared to African Americans or Hispanics. Among high-scoring students who attend college, only 36 percent of Hispanics and 37 percent of African Americans complete a BA or higher, compared to 57 percent of white students.

Among high-scoring Hispanics and African Americans, 73 percent of those who attend the 468 most selective four-year colleges complete a degree, compared to 40 percent of those who attend the open-access two- and four-year colleges.

UC must compete for and enroll Latinos and American Indians in our graduate programs. Doing so will require effectively recruiting those who are currently eligible *and* making efforts to increase the size of those pools. Thus it is important to understand the range and types of institutions in which talented scholars of color are enrolled. Awareness of the systemic differences regarding the rate of enrollment of different races in the most selective four-year colleges is relevant in improving access to graduate study at UC for talented scholars of all backgrounds.

U.S. Census Bureau data indicates that about 10% of all BA-degree holders between 25 and 34 years old are Hispanic, while 78% are White. Current U.S. Census Bureau data does not include comparable data for American Indians. However, the U.S. Census Bureau Facts for Features on American Indians and Alaska Natives states that 13.5% of single-race American Indians and Alaska Natives have obtained a bachelor's degree or higher, compared to 29% of the entire U.S. population. UC has an opportunity to help encourage and cultivate more graduate applications, particularly more highly-competitive applications, from Latinos and American Indians by investing in the scholarship and UC research training of students from HSIs and TCUs.

THE OPPORTUNITY:

Currently there are 125 four year institutions that are HSIs, including UCR, UCM and UCSC as well as 15 of the 23 CSU campuses. There are 34 accredited TCU institutions in the United States (13 award bachelor's degrees and 2 award master's degrees), as well as three schools seeking accreditation, and one located in Canada. Currently there are no accredited Tribal Colleges in California, however, there is an active effort to establish the California Tribal College (<http://californiatribalcollege.com/about/>). Establishing a substantive UC-HSI-TCU Initiative can help improve our enrollment rate for Latinos and American Indians/Alaska Natives, and serve to symbolize UC's active commitment to create and maintain an academic community of excellence reflective of our society. The effort with TCUs could possibly be broadened to include collaborations to encourage American Indian and Alaska Native students enrolled at two year TCUs to transfer into UC's undergraduate programs. Such an effort could perhaps be considered for inclusion as part of the President's Transfer Initiative.

Through the Initiative UCOP will incentivize UC faculty and campus departments to develop long-term relationships with HSIs and TCUs, particularly faculty members and programs that are a good fit with particular UC graduate programs and faculty. Modeled after the recently launched UC-HBCU Initiative, UCOP will invite proposals from UC faculty members at each of the ten campuses who would like to host and immerse students from HSIs and TCUs in UC research training internships during the summer and develop an ongoing collaboration and engagement with students and faculty from partner HSIs and TCUs. The goal is to establish efforts that can help UC graduate programs support student achievement

and cultivate talent at institutions that are generally less represented in UC graduate admission pools, as well as support collaboration opportunities for UC faculty. The program seeks to encourage greater participation of HSI and TCU students in UC research opportunities and collaborative experiences that will encourage HSI and TCU scholars to apply for graduate school at a UC campus.

Admission to a PhD program is centered on the appropriate research fit. Therefore, cultivating research mentorships for potential applicants in UC academic programs is undeniably beneficial to both the students and the UC faculty mentors who, as a result of their mentoring experience, learn more about the student's talents, skills and interests. This allows faculty to become advocates on behalf of their mentees and highlight the student's abilities and research experience. As students participate in summer research experiences they will be more familiar with the graduate program on that campus, and likely UC in general. They will also have established relationships with faculty and graduate students, developed as researchers and become more knowledgeable about the graduate application process. These efforts will greatly strengthen the applications of those who choose to apply for admission to UC. Unlike HBCUs, many HSIs are in close proximity to UC campuses, thus it is expected this will facilitate *significantly* greater engagement of UC faculty in the UC-HSI-TCU Initiative as well as increased collaborative opportunities between faculty and students at partner HSIs throughout the academic year.

THE PROGRAM:

Faculty grants will be awarded competitively to support student summer research internships as well as other collaborations or opportunities that serve the goals of the initiative. 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 HSI or TCU students and UC faculty at distant locations, conference participation and travel or meetings to establish new collaborations with HSI or TCU students and faculty. Substantive collaboration with faculty from the partnering HSI or TCU is critical for any successful grant application. There will be two types of grant opportunities:

Summer Research Internship Support Grant – One-year grant to support HSI and TCU students conducting summer research at a UC campus.

Summer Research and Graduate Admission Pathways Grant – Three-year grant to support students conducting summer research at a UC campus. Graduate admission pathways funds are designed to encourage the development of long-term efforts to increase the number of HSI and TCU students applying to UC graduate programs and to actively shift UC department or program culture to be more inclusive, particularly of these underrepresented populations. Mutually beneficial and sustainable partnerships are critical for long-term success.

Both grant types require a UC summer research experience. These funded summer research internships (including room, board, travel expenses and competitive stipends) will be for undergraduate or master's level students from any HSI or TCU. PIs will determine which level(s) of student to include in their projects. Subsequent to participating in a UC-HSI-TCU Initiative project any UC-HSI-TCU Initiative student admitted to a UC PhD program will receive a ***Regents Diversity Fellowship*** (described later).

If UC supports this initiative it will add great value to the diversity efforts of the campuses by creating a visible systemwide effort designed to impact Latino and American Indian/Alaska Native enrollment at the graduate level. The UC-HSI-TCU Initiative could serve as a premier flagship effort of intersegmental cooperation and collaboration. Given that 15 of the 23 CSUs are HSIs, there is no doubt that UC faculty will have a great interest in working with their CSU faculty colleagues. With three UC campuses designated as HSIs - Merced, Riverside and Santa Cruz - this initiative can serve to provide strategic infrastructure to improve UC's efforts to recruit more of its own URM students to various UC campuses for graduate study.

It is extremely important that the initiative is *adequately* funded to both support students during their summer research experience *and* to pursue a PhD, once admitted to UC. The program provides flexibility for a faculty member to work with any departments/institution(s) that she/he deems most appropriate (given the department's subject offerings/preparation, faculty interest and relationships). This important diversity effort would be anchored by essential UCOP marketing efforts (website, outreach materials, etc.). The collective impact of a systemwide effort is necessary to address the challenges to ensuring the inclusion and critical contribution of Latino and American Indian and Alaska Native students to UC's academic community. This is a systemwide challenge and opportunity.

THE COST:

There are two significant elements to funding the UC-HSI-TCU Initiative:

- 1) **Faculty Grant Awards** – These are the awards to support the student summer research training and faculty collaborations with partnering HSIs or TCUs. Recommendation - initially budget **\$6M** a year for the grants program (once we get a sense of faculty/campus interest and commitment, this amount may need adjustment). Adequate support at the grant level is critical to encouraging faculty to fully engage and commit to this effort.
- 2) **Fellowship Support for Admitted UC-HSI-TCU Initiative Fellows** – There are numerous variables that make it difficult to estimate, at this point, the expected cost of providing support for enrolled UC-HSI-TCU Initiative Fellows. The initial recommendation is to budget support for an estimated 50-100 new fellows per year (*note: fellowship funds are not distributed on a per campus basis; they are distributed to campuses based on the number of Initiative fellows the campus enrolls in PhD programs*). The Initiative should be launched with a clear commitment to develop the program and respond to the need. Once the initiative is fully operational, it is a general estimate to budget for up to 100 new fellows a year, systemwide. Once the initiative is established and the interest and scope of successful faculty proposals are assessed UCOP can begin to plan accordingly. However the commitment for funding the grants and all admitted students must be firm, regardless of the number admitted from year to year. The UC-HSI-TCU Initiative fellowship funding will be established to:

- Offer competitive funding support for *all* admitted UC-HSI-TCU Initiative Fellows

UC will offer two years of central fellowship support. If the Regents commit to funding this critical diversity effort it could be branded as a prestigious fellowship named the Regents Diversity Fellowship. The award would serve to showcase the Regents' commitment to equity, inclusion and diversity. The award would *require* the program/department/campus to provide a multi-year award offer, including *at least 2*

years of additional support, to UC-HSI-TCU Fellows (more is encouraged to ensure a comprehensive competitive award). The support may be in the form of GSRship, TAship and or fellowship, depending on department norms.

Committing funding to all admitted UC-HSI-TCU Fellows is extremely important. It can significantly impact UC outreach and recruitment as faculty and staff will be able to advise Initiative interns that they are assured of being awarded a competitive funding package if admitted to a UC PhD program. Funding concerns are important to most prospective doctoral students but are particularly important to underrepresented minority students as many will not consider doctoral study a real option without assurances of adequate financial support.

There are also operational/administrative expenses that will need to be considered to successfully implement the UC-HSI-TCU Initiative. While Graduate Studies will be able to build on existing resources and experience managing the UC-HBCU Initiative, undertaking the UC-HSI-TCU Initiative will require additional resources to accommodate effectively launching and managing the effort in addition to the unit's ongoing portfolio of responsibilities (likely an additional **.5 FTE**, which would bring the entire unit staffing to 3.5 FTE).

Fellowship Support Costs:

As noted, the Regents Diversity Fellowship (RDF) will offer two years of funding with the program/campus being required to provide a *minimum* of two years of additional support (additional years are strongly encouraged) to offer a competitive funding package for all admitted fellows. Each program at a participating campus will determine the optimal years for the fellowship to be offered. Disbursement should be based on the requirements of the program and what is determined to be in the best interest of supporting the scholar's success. Some programs may deem it most appropriate to have students serve as a GSR their first year, while others may prefer a student be on fellowship. Thus the **Regents Diversity Fellowship** will offer flexibility allowing programs to determine distribution (using a model assuming RDF distribution in years 1 and 3). Programs can offer GSRships, TAships or additional fellowship resources along with the RDF to assure a competitive full support package.

Since fellowship support will be available to students in all disciplines, for budgeting purposes Table 1 uses competitive STEM (Science, Technology, Engineering and Mathematics) and HSS (Humanities and Social Sciences) stipend rates and an estimated discipline distribution of fellows (a blend of enrollees) to provide expected fellowship budget needs in an effort to ensure all fellows can be funded appropriately regardless of the discipline balance from year to year. The budget requirements as well as competitive stipend levels will need to be adjusted over time.

Table 2:

The following assumes **6% increase** from present tuition per year beginning year 1. For estimate purposes years 1 and 3 are funded. Year 1 includes \$15,102 NRT for half the students. No increase is expected for NRT. All years include tuition, fees and stipend of approximately \$32,000 (STEM) and \$24,000 (HSS) (actual stipend amount will be up to \$32,000 - depending on program funding norms, many stipend levels will be below this amount). As program stipends are increased the UC-HSI-TCU Initiative will need to keep pace accordingly.

2- year Fellowship (Award years TBD - calc. based on yrs. 1 & 3 –campuses must offer min. 2 addtl. yrs. of support)	Cost per student	30 new students per year (systemwide)	40 new students per year (systemwide)	50 new students per year (systemwide)	100 new students per year (systemwide)
STEM Students	\$105,622	\$3,168,660	\$4,224,880	\$5,281,100	\$10,562,200
HSS Students	\$89,622	\$2,688,660	\$3,584,880	\$4,481,100	\$8,962,200
Blend (70% STEM/30% HSS)	\$100,822	\$3,024,660	\$4,032,880	\$5,041,100	\$10,082,200

ANNUAL BUDGET:

The initial annual budget required to launch the Initiative with an adequate grants program will be **\$6,125,000**. This will allow \$6M annually to fund the systemwide grants program and \$125,000 for administrative costs, which includes: review expenses - maintaining electronic review system contract and fees, annual meeting of faculty reviewers, travel, honoraria, .5 FTE Graduate Studies staffing support, administrative supplies/expenses and development and implementation of communication strategies (website and other). The first two years of the effort will only include grant and administrative costs. As UC faculty host student research interns, the students are then eligible to apply for admission to UC. As such, there will be an anticipated gradual build of the eligible applicant pool. Thus the program can expect to begin supporting fellows in year 3 of operation, with an increase in year 4 and by years 5-6 of operation likely build to a steady state of providing cost-share fellowships to approximately 100 fellows a year. This is an estimate as the pool of potential applicants will be tied to the number and scope of the faculty grant projects that are funded. *ALSO, in order to maximize the benefit of this effort UC must make the commitment to fund all former interns that apply and are admitted to a UC PhD program (interns must apply within 3 years of completing their current degree to be eligible).* This commitment must be made at the establishment of the program; this will encourage significant faculty participation and facilitate substantive efforts with CSU and other Hispanic Serving

Institution partners as well as Tribal College/University partners. Estimated annual budget for steady state operation will be approximately \$16.2M (with small administrative cost increases over time and stipend increases as appropriate). Please see table below for overview of anticipated annual budget needs.

Table 3:

UC-HSI-TCU Initiative Annual Budget:

Expense	Year One	Year Two	Year Three	Year Four	Year Five +
Faculty Grants	\$6,000,000	\$6,000,000	\$6,000,000	\$6,000,000	\$6,000,000
Administrative Costs <i>(assumes 3% increase each year)</i>	\$125,000	\$128,750	\$132,612	\$136,590	\$140,688
Est. Fellowship Expense <i>(beginning year three; assumes blend of STEM/HSS students)</i>			\$5,041,100 (50 students)	\$8,065,760 (80 students)	\$10,082,200 (100 students - est. steady state level)
Total Annual Budget (est.)	\$6,125,000	\$6,128,750	\$11,173,712	\$14,202,350	\$16,222,888

CONCLUSIONS:

As the UC-HSI-TCU Initiative is further developed, program reporting requirements and assessment metrics will be established. UCOP will provide leadership and general visibility on behalf of the UC-HSI-TCU Initiative, both within the state and with external partners, as appropriate. As with the UC-HBCU Initiative, the goal is to develop central communication resources, establish clear program expectations with participating campuses, oversee and distribute funding for the program, and institute opportunities for reporting and sharing program progress as well as best practices. Campus graduate divisions will be critical to the success of this initiative due to their support infrastructure and expertise in executing student success/retention efforts. Thus graduate divisions are important partners with faculty PIs in developing and carrying out impactful projects. Grant guidelines will explicitly encourage this important campus coordination.

In funding this effort the Regents of the University of California and the UC Office of the President will strategically and boldly support UC’s stated commitment to diversity, equity and inclusion; providing resources for faculty to help fulfill that commitment is critical to impacting graduate academic diversity. This strategy will allow considerable flexibility to make the initiative appealing and as effective as possible for each department. Each project is responsible for coordinating its department/campus-based program and efforts and is free to collaborate with institutions as it deems appropriate. UCOP resources will be necessary to support general program outreach and marketing, funding transfer oversight and overall initiative management, particularly as the program gets underway in order to establish it as a cornerstone commitment for UC. UCOP, in partnership with campuses, may also play a role in supporting systemwide or regional events, particularly as both the UC-HSI-TCU and UC-HBCU

Initiatives develop. The UC-HSI-TCU Initiative will build on and learn from the early successes of the UC-HBCU Initiative, which, as of Fall 2014, will have enrolled 13 PhD students after only two summers of hosting HBCU research interns.

Total enrollment and new enrollment for both Latino and American Indian doctoral students at UC have essentially been flat for the last five years (averaging 7.4% for Latinos and 0.7% for American Indians). During the 5-year period from 2007-08 through 2011-2012 Latinos were awarded 6% of all academic and professional doctorates at UC while American Indians averaged 0.5% of those awarded academic and professional doctorates during that period... **we can do better.**

RESOURCES:

<u>Document/Site</u>	<u>URL</u>
Profile America: Facts for Features (American Indian/Alaska Natives)	http://www.census.gov/newsroom/releases/archives/facts_for_features_special_editions/cb13-ff26.html
U.S. Census Bureau Educational Attainment Tables	http://www.census.gov/hhes/socdemo/education/data/cps/2013/tables.html
White House Initiative on American Indian and Alaska Native Education	http://www.ed.gov/edblogs/whiaiane/
Proposed California Tribal College	http://californiatribalcollege.com/about/
American Indian Higher Education Consortium (AIHEC)	http://www.aihec.org/
Hispanic Association of Colleges & Universities (HACU)	http://www.hacu.net/hacu/default.asp
White House Initiative on Educational Excellence for Hispanics	http://www.ed.gov/edblogs/hispanic-initiative/
Georgetown University Center on Education and the Workforce: Separate and Unequal	http://cew.georgetown.edu/separateandunequal