

**Office of the President**

**TO MEMBERS OF THE ACADEMIC AND STUDENT AFFAIRS COMMITTEE:**

**DISCUSSION ITEM**

*For Meeting of January 19, 2022*

**THE UNIVERSITY OF CALIFORNIA AS A HISPANIC- AND MINORITY-SERVING RESEARCH UNIVERSITY SYSTEM**

**EXECUTIVE SUMMARY**

This item provides an overview of the University of California's dual development as a Hispanic-Serving Research Institution (HSRI) and a Minority-Serving Research Institution (MSRI). The University's position as a doctoral-granting institution and a leader in academic research and practice opens the door for UC to drive its own transformation, from a Hispanic- and minority-*enrolling* institution to a truly Hispanic- and minority-*serving* research university system. Institutional leadership, professional learning, strong systemwide and campus-specific programs, research, and campus-community collaboration are all elements needed to accomplish this transformation. At the same time, such efforts advance UC's goals to improve equity and excellence, particularly the goals aimed at closing achievement gaps that affect low-income, first-generation, and underrepresented student groups.

The Hispanic-Serving Institution (HSI) designation confers numerous benefits on a campus and its students. This item describes these benefits. It also summarizes information that can assist both Hispanic-Serving Institution/Minority-Serving Institution (HSI/MSI) and emerging HSI/MSI campuses in developing resources that support a thriving Chicano(a)/Latino(a) and minority community. Lastly, it includes a discussion of what it means to be a Hispanic-serving and minority-serving institution in the context of UC as one of the only public research university systems in the country that is simultaneously an HSI and can therefore be better described as a Hispanic-Serving Research Institution (or HSRI).

**BACKGROUND**

Hispanic-Serving Institutions (HSIs), as defined by the U.S. Department of Education, comprise a distinct category of two-year and four-year public and private colleges and universities that are included within a broader category of what are known as Minority-Serving Institutions (or MSIs).<sup>1</sup> These generally are defined as institutions of higher education, enrolling populations

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<sup>1</sup> Minority-Serving Institutions (MSIs) also include Alaska Native-Serving Institutions, Asian American and Native American Pacific Islander-Serving Institutions (AANAPISIs), Historically Black Colleges and Universities (HBCUs), Native Hawaiian-Serving Institutions, Native American-Serving Non-Tribal Institutions, and Tribal

with significant percentages of undergraduate minority students. Hispanic-Serving Institutions (HSIs) are defined in Title V as institutions of higher education with full-time equivalent (FTE) undergraduate student enrollment that is at least 25 percent Hispanic.<sup>2</sup> An eligible campus must be designated as an MSI in the relevant category (e.g., HSI) in order to be determined as eligible to apply for federal MSI funding.

Campuses designated as HSI can apply to the U.S. Department of Education for funding through Title V, Title III Part A, and Title III Part F of the Higher Education Act (HEA). A number of competitive grant processes for HSIs are administered by other federal offices, including the National Institutes of Health (NIH), National Science Foundation (NSF), U.S. Department of Agriculture (USDA), Department of the Interior (DOI), Department of Energy (DOE), and others.

Universities may be eligible for other federal designations under the MSI umbrella. For UC campuses, this includes attaining status as an Asian American and Native American/Pacific Islander–Serving Institution (AANAPISI). An institution of higher education is eligible to be designated as an AANAPISI if it has an enrollment of undergraduate students that is at least ten percent Asian American and Native American/Pacific Islander.<sup>3</sup> By this enrollment measure, most UC undergraduate campuses are AANAPISI-eligible.

In addition to the student enrollment threshold requirement, eligibility for both HSI and AANAPISI programs require that institutions of higher education (IHEs) are Title III/Title V eligible, which is determined by a threshold of the proportion of low-income students (e.g., Pell Grant eligible). If an IHE does not meet this requirement, it must apply for a waiver in order to be designated as an HSI or AANAPISI. By this measure, most UC campuses would need to submit a waiver request in order to be considered for either HSI or AANAPISI status.<sup>4</sup>

### **UC HSI Campuses**

Notably, with a total Chicano(a)/Latino(a) undergraduate student population approximating 25 percent across all of its undergraduate campuses and a majority of its undergraduate campuses attaining federal HSI designation, the University of California is one of the few Hispanic- and minority-serving public research university systems in the nation.

Between 2008 and 2018, Latino(a) undergraduate student population across the UC system grew by 129 percent. This historic growth resulted in a majority of UC’s nine undergraduate campuses—Irvine, Merced, Riverside, Santa Barbara, and Santa Cruz—being formally recognized by the U.S. Department of Education as HSIs.

In order to be eligible to apply for Titles III, V, or VII grants and/or the non-federal cost-share

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Colleges or Universities.

<sup>2</sup>The federal definition of HSI can be found here: [www2.ed.gov/print/programs/dueshsi/definition.html](http://www2.ed.gov/print/programs/dueshsi/definition.html).

<sup>3</sup> The federal definition of AANAPISI can be found here: <https://www2.ed.gov/programs/aanapi/eligibility.html>.

<sup>4</sup> The federal requirements regarding waivers can be found here: <https://www.federalregister.gov/d/2021-04447/p-26>.

waiver, colleges and universities must first meet the U.S. Department of Education criteria of HSI designation, which is in part based on data reported to the Integrated Postsecondary Education Data System (IPEDS). Because this data is for the prior academic year, it does not always reflect a campus' current enrollment data nor does it reflect an institution's own methods of defining categories of race and/or ethnicity.

The remaining undergraduate UC campuses—Berkeley, Davis, Los Angeles, and San Diego—are considered to be “emerging” HSIs. Commonly defined as public or not-for-profit degree-granting institutions with 15–24.9 percent Chicano(a)/Latino(a) undergraduate full-time equivalent enrollment, these UC emerging-HSI campuses are expected to reach eligibility for HSI status within the next few years based on current enrollment trends.<sup>5</sup>

Federal HSI designation is only a single—sometimes limiting—way of defining a campus as Hispanic-serving. UC's land-grant mission compels us to measure HSI status by more than student enrollment, using additional criteria that reflect the University's commitment to equity and excellence. As an example, UC Davis has been formally recognized by both the National Science Foundation and the Hispanic Association of Colleges and Universities (HACU) as a Hispanic-Serving Institution, even though based on Integrated Postsecondary Education Data System (IPEDS) data the Davis campus has a Hispanic enrollment of 24 percent.

### **UC's Transformation into a Hispanic-Serving Institution**

The University of California's evolution into HSI status is mostly due to significant increases in California's Chicano(a)/Latino(a) population, particularly among its school-age population. The University has experienced significant application and enrollment growth among its Chicano(a)/Latino(a) undergraduate student population within the last decade (between fall 2009 and fall 2020) across all of its nine undergraduate campuses. This has resulted in:

- A systemwide increase of 89.9 percent in Chicano(a)/Latino(a) enrollment (new and continuing students)
- Growth of 37.8 percent in Chicano(a)/Latino(a) freshman applicants and 33 percent in California Community College transfer applicants
- Systemwide, an increase of 154.2 percent in Latino(a) applicants for first-time freshman fall admission to UC from California public high schools

Five campuses had a larger proportional increase in Latino(a) first-time freshmen than the systemwide average in fall 2019, including Berkeley (106.2 percent), Davis (95.2 percent), Irvine (171.3 percent), Merced (200.5 percent), and San Diego (158.0 percent). New Latino(a) transfer enrollment across the system grew by 112.3 percent, with a disproportionately high increase at Davis (134.8 percent), Irvine (169.9 percent), Merced (107.1 percent), San Diego (167.4 percent), and Santa Cruz (168.6 percent), the majority of which are HSIs (or soon to be).

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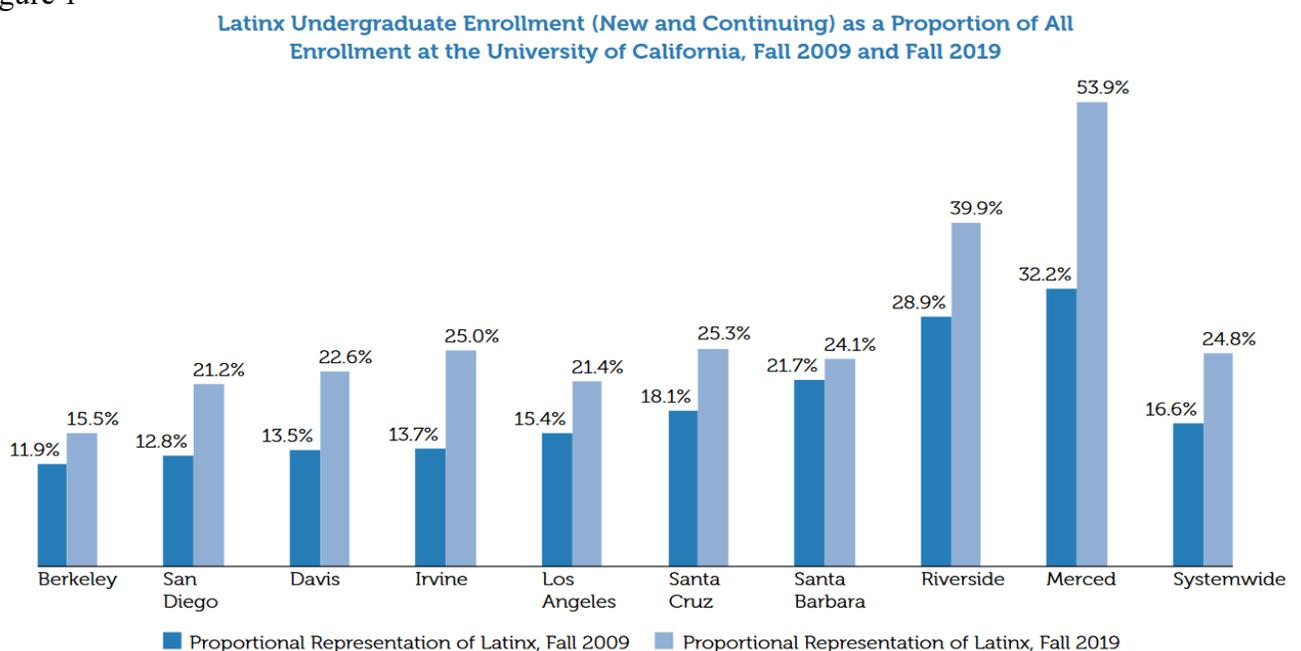
<sup>5</sup> The term “emerging Hispanic-Serving Institutions” was coined by the organization Excelencia in Education as a way to track institutions on the path to becoming HSIs, and is not a formal federal designation.

### UC's Role as a Hispanic- and Minority-Serving Research Institution

In May 2021, researchers at UCLA's Institute of Immigration, Globalization and Education (IGE) authored a report, *La Lucha Sigue: The University of California's Role as a Hispanic-Serving Research Institution System*<sup>6</sup> that provides a historical overview and descriptive analysis of UC campuses as they progressed towards becoming HSIs. (Attachment 1)

*La Lucha Sigue* offers a comprehensive look at the demographic shifts in Latino(a) undergraduate enrollment that have resulted in UC's designation as a Hispanic-serving institution of higher education. Notably, it also examines key questions about the role of UC in transforming into a Hispanic/Latino(a)- and minority-*thriving* university system that moves beyond enrollment of Latino(a) and other students from underrepresented groups to one that fully supports their academic and career success. Figure 1 below, from the *La Lucha Sigue* report, shows the significant growth in the Latino(a) undergraduate enrollment at all UC undergraduate campuses over the past decade relative to all UC enrollment.

Figure 1



Source: UC Information Center, Fall Enrollment at a Glance (2009 and 2019).

Access and enrollment of Chicano(a)/Latino(a) undergraduate students continue to be significant issues for UC, yet indicators of “success” must move beyond the sole focus on enrollment, or a

<sup>6</sup> Paredes, A.D., Estrada, C., Venturanza, R.J., and Teranishi, R.T. (2021). "*La Lucha Sigue: The University of California's Role as a Hispanic-Serving Research Institution System.*" The Institute for Immigration, Globalization, and Education. Los Angeles, CA. This report was made possible through funding from the Office of the Provost and Executive Vice Chancellor and the Office of Graduate, Undergraduate and Equity Affairs, UC Office of the President, 2021.

threshold target, tied to HSI- or other MSI- eligibility. Determining whether a campus is considered Hispanic- and minority-*servicing* should also encompass efforts to improve retention, accelerate graduation rates, and increase representation in post-baccalaureate pathways for Chicano(a)/Latino(a) and other students from underrepresented groups.

Experts have posited multiple definitions of what it means to be a Hispanic-*servicing* or minority-*servicing* institution of higher education. Most have identified common features of HSIs and/or MSIs that focus on “servicingness” as those colleges and universities that implement intentional, focused, and sustained efforts to create a supportive campus climate. Such a climate supports student academic success and career pathways; cultivates a sense of belonging to the campus community; and creates an environment that respects and values multiple cultural, racial, and ethnic backgrounds, experiences, and perspectives. Excelencia in Education, a national policy and advocacy organization well-known for its research on the role of HSIs, offers a framework of what it means to serve, defining it as the advancement of intentional strategies anchored around data (accuracy), practice (intentional strategies and programs), and leadership (institutional alignment of data and practice with the IHE’s mission) to accelerate Latino(a) student success.<sup>7</sup>

The *La Lucha Sigue* report identifies ways to enhance data collection and interventions for Latino(a) and other students from underrepresented groups:

- **Graduate student enrollment should be an additional indicator for developing *servicingness*.** Given UC’s position as a doctoral-granting institution, the University must also strengthen Latino(a) graduate student enrollment across the system. By increasing the number of Latino(a) graduate students (and retaining and graduating them), UC can foster the next generation of faculty, leaders, and critical thinkers who are representative of the demographics of the state.
- **Recognize the heterogeneity of Latino(a) students at UC.** Latino(a) student success can best be understood when examined through the context of the diversity in the racial and ethnic experiences of Latino(a) people in California. To this point, the report recommends increased disaggregation of racial and ethnic categories in institutional data collection to reflect more accurate depictions of the Latino(a) student experience.

### Campus-Based HSI Initiatives

UC campuses that have received and or leveraged HSI-related funds to address various barriers to undergraduate and graduate student recruitment, retention, and graduation and to support a number of faculty diversity and career preparation efforts.

In the last decade, UC undergraduate campuses have been awarded over \$90 million dollars in federal and philanthropic grants to strengthen the institutional capacity of HSIs and expand educational opportunities for—and improve the academic attainment of—Hispanic and other

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<sup>7</sup> See Excelencia in Education for more about this HSI-serving framework.

students from underrepresented groups. These awards were attained through a variety of competitive grant programs administered by federal departments and agencies and a number of private foundations including the U.S. Department of Education, the U. S. Department of Agriculture, the National Science Foundation, NASA, and the Andrew K. Mellon Foundation. (Attachment 2)

These grants, either awarded directly to UC HSIs or to emerging HSIs (e.g., through collaboration with HSI community college partners) support a variety of programs and services across a wide range of fields and concentrations to promote postsecondary and graduate student success and workforce preparation. A few examples of campus HSI-focused initiatives include:

- **Educational eXcellence and Inclusion Training Opportunities (Éxito)** awarded to UC Santa Barbara in 2020 by the U.S. Department of Education (\$3,000,000)  
To develop a “4+1” program in which students graduate with a bachelor’s degree in an ethnic studies or feminist studies major, then earn a master’s and a teaching credential at UC Santa Barbara’s Gevirtz Graduate School of Education.
- **Teacher Preparation Expansion and Enhancement for Developing Effective and Equity-focused Educators** awarded to UC Irvine in 2018 by the U.S. Department of Education (\$2,600,000)  
To recruit a more ethnically diverse cohort into the UC Irvine Master of Arts in Teaching (MAT) program and into the undergraduate CalTeach program, which provides curricular and in-classroom experience for students interested in pursuing a career as a mathematics or science educator.
- **Facilitating Agriculture-Related Mentoring for Emerging Research Scholars (FARMERS)** awarded to UC Merced in 2017 and 2021 by the U.S. Department of Agriculture (\$1,000,000 each award)  
To develop the next generation of highly skilled scientists in agriculture through research, training, and mentorship programs.
- **The Visiting Innovative Scholar Research Program for Institutions Orienting to National Needs (VISION)** awarded to UC Davis in 2020 by the National Science Foundation (\$1,000,000)  
To increase the number of science and engineering students from underrepresented backgrounds pursuing STEM careers by creating a national four-year effort to recruit, train, mentor, support, and place early and mid-career doctoral degree holders in STEM fields to teach and conduct research at MSIs.
- **Field-based Undergraduate Research Experiences and Professional Development to Increase Diversity and Inclusion in Conservation and Environmental Sciences (FUERTE)** awarded to UC Santa Barbara in 2021 by the National Science Foundation (\$2,000,000)  
To increase diversity and inclusion in conservation and environmental science at UC Santa Barbara through inclusive mentoring, summer field research opportunities, and

internships with partner entities such as The Nature Conservancy, Ocean Science Trust in California, the National Park Service, and others.

- **Graduating and Advancing New American Scholars (GANAS) — Career Pathways awarded to UC Santa Cruz in 2020 by the U.S. Department of Education (\$3,000,000)**  
To support Latino(a), low-income, and other students from underrepresented backgrounds by removing barriers to academic success at UC Santa Cruz, specifically to help students remain in science and engineering majors, graduate on time, and secure post-college jobs that support their career objectives. Funds are used to redesign courses, provide curricular support, increase career advising and offer more career-based internships in California’s high-demand fields.
- **Fellowships and Internships in Extremely Large Datasets (FIELDS) awarded to UC Riverside in 2018 by NASA’s Louis Stokes STEM Pathways and Research Alliance: California Louis Stokes Alliance for Minority Participation (\$3,600,000)**  
To strengthen pathways into data science careers for K–12 students from underrepresented groups in the Inland Empire by hiring faculty in astrophysics, computer science, statistics and genomics; building undergraduate students’ knowledge and research skills through summer internships at NASA centers; providing research fellowships for graduate students in all the STEM disciplines; and conducting outreach activities with local K–12 public schools.

### UC HSI Collaborative and Systemwide Research and Program Initiatives

In addition to individual campus awards, UC campuses are engaged in statewide and national collaborations and in systemwide initiatives that are intended to establish and strengthen academic networks, provide forums for exchange of innovative best practices, spur new research, and identify and remove barriers to Chicano(a)/Latino(a) student success. A few of these collaborative initiatives include the following:

- **The President’s Post-Doctoral Fellowship Program (PPFP)/Mellon Foundation UC-HSI Initiative for Humanities awarded to the Office of the President in 2021 by the Andrew K. Mellon Foundation (\$15 million).**  
This funding will help expand the number of PPFP fellowships at UC and establish a program for hiring faculty members whose research and teaching emphasize diversity and equity in the humanities and humanities-inflected social sciences at the University’s federally recognized Hispanic-Serving Institutions (HSI), including Irvine, Merced, Riverside, Santa Barbara, Santa Cruz, and Davis.<sup>8</sup> The initiative will offer promising postdoctoral fellows and early-career faculty members startup funding, mentorship, and career training in their fields of study. The program will also ensure that UC-HSI campuses have the resources to effectively recruit fellows in the supported disciplines.

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<sup>8</sup> Although not yet federally recognized as HSI, UC Davis is included in the eligible campuses for purposes of this grant program.

- **Crossing Latinidades: Emerging Scholars and New Comparative Directions**, a national consortium of research institutions funded with a \$5 million, three-year grant to the University of Chicago in 2021 by the Andrew K. Mellon Foundation. This initiative includes all 16 HSIs in the country that have an R1 designation, including four UC HSI campuses: Irvine, Riverside, Santa Barbara, and Santa Cruz. The first of its kind, this consortium will focus its efforts on increasing the number of Latino(a) students pursuing terminal degrees and advancing to academic positions, specifically aimed at doctoral students in Latino(a) humanities studies, adding other fields of study in the future. The program will support two pre-proposal graduate students from each campus to participate in a summer research and training institute and will be paired with an assigned faculty mentor.

### **UC's National HSI-Related Recognitions and Engagement**

In addition to their success in attaining federal funding, UC campuses have received national recognition for their efforts to serve and accelerate the success of their Chicano(a)/Latino(a) and other underrepresented students, and several UC chancellors and senior leaders are engaged in national HSI advocacy and policy initiatives.

#### Fulbright HSI Leaders Initiative

In fall 2021, the U.S. Department of State's Bureau of Educational and Cultural Affairs (ECA) announced a new initiative recognizing the strong engagement of HSIs with the Fulbright Program. Through this inaugural Fulbright HSI Leader designation, ECA recognized 35 HSIs that have demonstrated noteworthy engagement with the Fulbright Program during the 2019–2021 academic years and has promoted Fulbright Program opportunities on campus. The inaugural Fulbright HSI Leaders include the following UC HSI campuses: Irvine, Santa Barbara, Santa Cruz, and Riverside.

#### Seal of Excelencia

In 2021, two UC HSI campuses—UC Merced (for their pathway to admission and holistic academic advising programs) and UC Riverside (for integrated transfer pathways and research opportunities in support of college completion and graduate school preparation)—were awarded the Seal of Excelencia certification for “intentionally serving Latino students and for demonstrating positive student outcomes” at the institutional level.

Additionally, several UC HSI and emerging HSI campuses have been recognized with the Seal of Excelencia for specific evidence-based Latino(a) student success programs at the campus level, including:

- Transfer Alliance Project (TAP) at UC Berkeley
- The Puente Project
- Center for Community College Partnerships (CCCCP) at UCLA
- Program in Medical Education for the Latino Community (PRIME-LC) at UC Irvine

National HSI Campus Leadership

- In 2020, Excelencia in Education established the Presidents for Latino Student Success (P4LSS) program, inviting presidents and chancellors of HSIs/emerging HSIs to participate in a network of university leaders committed to creating campus environments where Latino(a) students learn and thrive. UC chancellors participating in the P4LSS network include Chancellor May (UC Davis), Chancellor Sánchez Muñoz (UC Merced), Chancellor Khosla (UC San Diego), Chancellor Wilcox (UC Riverside), and Chancellor Larive (UC Santa Cruz).
- The Hispanic Association of Colleges and Universities (HACU) is the national advocacy association representing existing and emerging Hispanic-Serving Institutions (HSIs). Both Chancellor Gilman (UC Irvine) and Chancellor Sánchez Muñoz (UC Merced) sit on the HACU national board of directors.
- HACU also sponsors the La Academia de Liderazgo, a one-year program to prepare the next generation of culturally diverse leaders for executive and senior level positions in higher education. UC campus senior faculty and administrators have been selected La Academia Fellows and are active in this national HSI network, including participants from the Davis, Merced, and San Diego campuses.

Systemwide Professional Learning Communities and Campus Task Forces

Achieving federally recognized HSI designation enables these UC campuses to apply and compete for federal funding but does not guarantee that they will receive funding, nor that funding alone ensures that a campus “serves” all its students in a way that supports their academic and career aspirations.

Since 2017, a professional community of UC scholars and administrative leaders who lead HSI and MSI activities comprise a systemwide UC-HSI Advisory Board and a systemwide UC-HSI Initiative that leverages UC’s unique position as both a research university and an HSI/MSI. The UC-HSI Initiative, guided by the UC HSI Advisory Board, advances HSI- and MSI-related research and learning and brings together researchers, practitioners, community organizations, policy organizations, and student leaders to collectively generate ideas, innovations, and advocacy strategies to help campuses leverage their status and funding as HSIs.

Most UC campuses have established campus-wide task forces to accelerate efforts toward eligibility for HSI and other federal designations and to cultivate and sustain the success of their Chicano(a)/Latino(a) students.

HSI- and MSI-Focused Research Initiatives

True to the research mission of UC, all campuses have embarked on the introspective work that is required to begin institutional transformation as HSI and MSI research institutions, whether through campus- and community-inclusive needs assessments or high-level research.

With support from the systemwide UC-HSI initiative, faculty researchers from the Davis, Irvine, and Santa Cruz campuses are undertaking conceptual and analytical work to map the theoretical and empirical landscape for HSIs and to conduct an assessment of the UC system's ability to measure HSI outcomes for all stakeholders (students, staff, and faculty). This research will result in a blueprint for the UC system to become the premier HSI and MSI research university system in the nation and will include recommendations for improving data mapping, data transparency, and data access.

#### Intersegmental Collaboration with the California State University and the California Community Colleges

Given that California is home to the preponderance of HSI/MSI IHEs in the country, collaboration with sister HSI/MSI campuses in the state creates the potential to share knowledge, expertise, best practices, and more to support students enrolled in California's postsecondary institutions and to build sustainable pathways for undergraduate and graduate education and for diversifying California's faculty and academic leadership.

An example of such intersegmental collaboration is the UC-Hispanic-Serving Institutions Doctoral Diversity Initiative (UC-HSI DDI). UC launched the UC-HSI DDI to enhance faculty diversity and pathways to the professoriate for students from underrepresented groups from California HSI/MSIs. The UC-HSI DDI program includes two components:

- Competitive grant awards to UC faculty/faculty administrators that will support short- and long-term programs/projects to enhance and expand pathways to the professoriate for underrepresented minorities, with a goal to increase faculty diversity and inclusion at UC.
- Funding to support graduate student preparation for the professoriate, to help support Ph.D. students who are California HSI alumni and who have advanced to candidacy at UC, and to foster their interest in and preparation for the professoriate.

Since its inception in 2019, the UC-HSI DDI program has awarded close to \$2 million to seven UC HSI and emerging HSI campuses in support of their efforts to address the lack of representation of Chicano(a)/Latino(a) and other underrepresented students in particular fields of graduate study and faculty teaching. UC-HSI DDI initiatives that are currently under way include graduate student and faculty diversity programs where there are significant representation and equity gaps such as neuroscience, informatics, life sciences, and medicine.

#### CONCLUSION

UC's identity as a research-intensive HSRI/MSRI system offers new opportunities and challenges for the University, both as individual campuses and as a system, to continue its prominence in its research, teaching, and service mission while deepening its commitment to diversity and equity by actively investing in the success of Chicano(a)/Latino(a) and other underrepresented students.

As the University of California grows in the number of campuses that acquire formal HSI/MSI (and AANAPISI) designation and in its prominence and visibility as both an HSI and MSI system, there will be increased opportunities. These include opportunities for UC to garner resources that support success for Chicano(a)/Latino(a) and other underrepresented students, expand the number of Chicano(a)/Latino(a) and underrepresented graduate students pursuing academic careers, increase faculty diversity across all of its campuses, and invest in research that will contribute to understanding of what is needed to ensure that the University of California is the premier Latino(a)- and minority-thriving research university system in the nation.

**KEY TO ACRONYMS**

AANAPISI	Asian American, Native American and Pacific Islander-Serving Institutions
HEA	Higher Education Act
HSI	Hispanic-Serving Institutions
HSRI	Hispanic-Serving Research Institutions
IHE	institution of higher education
IPEDS	Integrated Postsecondary Education Data System
MSI	Minority-Serving Institutions
MSRI	Minority-Serving Research Institutions
STEM	Science, Technology, Engineering, and Mathematics
UC-HSI-DDI	UC-HSI Doctoral Diversity Initiative

**ATTACHMENTS**

1. [La Lucha Sigue: The University of California's Role as a Hispanic-Serving Research Institution System](#)
2. [UC HSI Grants](#)