

National Science Foundation Report on FY 2009 Funding to Minority Serving Institutions

The National Science Foundation Authorization Act of 2002 (P.L. 107-368, Section 18), requires the National Science Foundation (NSF) to report annually on the funds awarded to all identified minority-serving institutions (MSIs)¹.

NSF's FY 2009 appropriation was \$6.5 billion of which \$6.1 billion was identified to support new and continuing awards for research and related activities (R&RA), education and human resources (EHR), and major research equipment and facilities construction (MRE). In addition, NSF received a supplemental appropriation of \$3.0 billion under the American Recovery and Reinvestment Act of 2009 (ARRA).²

This report continues to track the progress of funding to MSIs from NSF's annual appropriation and includes information about funding awarded to MSIs from the supplemental appropriation.

FY 2009 Appropriation

NSF's total investment to all MSIs in FY 2009 was \$254.4M. This amount represents 5.4 percent of the \$4,685.2M awarded to all institutions of higher education (IHEs). This is a 13.2 percent increase from the FY 2008 level (\$224.8M). Over the past 10 fiscal years, NSF's support to Historically Black Colleges and Universities (HBCUs), Hispanic Serving Institutions (HSIs), and Tribal Colleges and Universities (TCUs) grew at nearly double the rate for all IHEs (146 percent for HBCUs, HSIs, and TCUs vs. 79 percent for all IHEs).

In FY 2009, NSF funds awarded to HBCUs, HSIs, and TCUs totaled \$241.0M and accounted for 5.1 percent of the Foundation's funding to all IHEs. This reflects a total increase in funding to these institutions, especially from the Research and Related Activities appropriation category. NSF's funding to Majority Minority Serving Institutions (MMSIs)³, Alaska Native and Native Hawaiian Serving Institutions, Pacific Island IHEs, and institutions primarily serving students with disabilities (DSIs) was \$13.6M or 0.3 percent of funding to all IHEs.

¹ Identification of MSIs and HSIs is based on the 2006 U.S. Accredited Post Secondary Minority Institutions, U.S. Department of Education (ED), Office of Civil Rights Data. It is the most recent list available. A minority postsecondary institution is defined as an institution "whose enrollment of a single minority or a combination of minorities...exceeds 50 percent of all enrollment." 20 U.S.C. §1067k(3). NSF uses ED's list to recognize those IHEs with considerable enrollment of Alaska Natives, Native Hawaiians, a substantial number of historically underrepresented minority populations (i.e. African-Americans, Native Americans, and Hispanics). The complete list of MSIs is available on-line at <http://www.ed.gov/about/offices/list/ocr/edlite-minorityinst.html>. In addition, NSF tracks its funding to institutions that primarily serve people with disabilities (DSIs). This permits a more complete report of NSF investments to MSIs and helps inform the Foundation's actions as it works toward its goal of broadening participation in the science and engineering workforce.

² Additional information regarding NSF's ARRA spending plan is available in the NSF's FY 2009 Agency Financial Report, available online at <http://www.nsf.gov/pubs/2010/nsf10001/index.jsp?org=NSF>.

³ IHEs as identified by ED with total minority enrollment greater than or equal to 50 percent of total student enrollment.

The following table provides a breakout by budget category of the NSF funds awarded.

FY 2009 NSF Direct Funding to Minority Serving Institutions
(Millions of Dollars)

	EHR	MRE	R&RA	H-1B	Total	Funding to All IHEs	MSIs as a Percent of IHE Funding
HBCUs, HSIs & TCUs	\$113.1	\$0	\$120.1	\$7.7	\$241.0	\$4,685.2	5.1%
MMSIs, Alaska-Native and Native Hawaiian Serving, Pacific Island Institutions; and DSIs	\$ 6.6	\$0	\$ 6.4	\$0.5	\$ 13.6	\$4,685.2	0.3%
Total	\$119.7	\$0	\$126.5	\$8.2	\$254.4	\$4,685.2	5.4%

As reported in previous years, the table below provides data on NSF's funding by budget category to HBCUs, HSIs, and TCUs in FY 2009 and the preceding 10 years. The funding as a percentage of total funding to all IHEs is also included.

NSF Direct Funding to HBCUs, HSIs, and TCUs
(Millions of Dollars)

Year	Funding to HBCUs, HSIs, and TCUs					Funding to All IHEs	HBCUs, HSIs & TCUs as a Percentage of All IHE Funding
	EHR	MRE	R&RA	H-1B	Total		
1999	\$ 55.6	\$0	\$ 42.3	N/A	\$ 97.9	\$ 2,619.1	3.7%
2000	\$ 51.6	\$0	\$ 41.9	\$ 5.3	\$ 98.8	\$ 2,784.5	3.5%
2001	\$ 62.3	\$0	\$ 45.6	\$12.1	\$ 120.0	\$ 3,293.6	3.6%
2002	\$ 80.6	\$0	\$ 50.6	\$ 7.4	\$ 138.6	\$ 3,492.6	4.0%
2003	\$ 89.3	\$0	\$ 59.6	\$ 8.5	\$ 157.4	\$ 3,952.2	4.0%
2004	\$ 92.6	\$0	\$ 66.3	\$ 5.7	\$ 164.5	\$ 4,170.2	3.9%
2005	\$ 99.4	\$0	\$ 63.3	\$ 2.7	\$ 165.4	\$ 3,969.0	4.2%
2006	\$ 93.3	\$0	\$171.4	\$16.8	\$281.5 ⁴	\$ 4,104.5	6.9%
2007	\$103.3	\$0	\$ 65.4	\$ 9.0	\$ 177.7	\$ 4,327.6	4.1%
2008	\$101.0	\$0	\$ 97.7	\$11.4	\$ 210.1	\$ 4,464.5	4.7%
2009	\$113.1	\$0	\$120.1	\$ 7.7	\$ 241.0	\$ 4,685.2	5.1%
Percent Increase from 1999	103%	0%	184%	45%	146%	79%	

In FY 2009, there was a 12 percent increase in EHR funding to HBCUs, HSIs, and TCUs, a 23 percent increase in R&RA funding, and a decline in the H-1B funding. The increased funding reflects the increasing proposal submission and success of these institutions in both EHR and R&RA programs. FY 2009 support included awards for cyberinfrastructure, notably a \$12 million award to an HSI, along with new and incremental support for research centers and partnerships at all these categories of institutions.

⁴ NSF's FY 2006 identification of HSIs for tracking purposes did not reflect the Higher Education Act's definition. Starting in FY 2007, NSF standardized its identification of HSIs with the Department of Education's listing.

Also of note, over the 11-year period the increase in funding collectively to HBCUs, HSIs, and TCUs continues to exceed the increase in funding to all IHEs, 146 percent and 79 percent respectively. The direct funding to HBCUs, HSIs, and TCUs has increased over the 11-year period and averages 4.3 percent of all funding to IHEs. In addition, the average annual percent of increase in funding during the period was 11.2 percent.⁵

Appendix Table 1 provides the breakout by category of institution (HBCUs, HSIs, and TCUs) for the years 1999 – 2009 by appropriation account.

FY 2009 ARRA Supplemental Appropriation

Of the \$3.0 billion supplemental appropriation received in FY 2009, NSF issued \$2.0 billion in new awards to IHEs. MSIs were awarded \$ 73.80 million or 3.6 percent of the ARRA funds. The table below details the ARRA funding to MSIs by budget category.

FY 2009 ARRA Funding to Minority Serving Institutions
(Millions of Dollars)

	EHR	MRE	R&RA	Total	Funding to All IHEs	MSIs as a Percent of IHE Funding
HBCUs, HSIs & TCUs	\$13.2	\$0	\$57.8	\$71.0	\$2,037.5	3.5%
MMSIs, Alaska-Native and Native Hawaiian Serving, Pacific Island Institutions; and DSIs	\$ 0.9	\$0	\$ 1.9	\$ 2.8	\$2,037.5	0.1%
Total	\$14.1	\$0	\$59.7	\$73.8	\$2,037.5	3.6%

Numbers may not add due to rounding.

Each year NSF receives an increasingly number of highly rated proposals that exceed the agency’s capacity to fund; therefore, the majority of the proposals considered for ARRA funding were already in-house and scheduled for review and decision prior to September 30, 2009. The majority of the supplemental funds were identified for R&RA activities; consequently, the proposals that had been submitted to these programs and were highly rated were in a stronger position for funding.

Attachment
Appendix Table 1

⁵ FY 2006 data excluded for computation of the average. See footnote 4.

Direct NSF Funding to Minority Serving Institutions for Fiscal Year 1999-2009

(BIIS Univ cut)

as of: 2 DEC 2009

Appropriation	FY	All Colleges & Universities (IHE)	HBCUs	HBCU % of IHE	Hispanic Serving Institutions (HSI)	HSI % of IHE	Tribal Colleges & Univ (TCU)	TCU % of IHE	Total HBCU, HSI, & TCU	Total HBCU, HSI, & TCU % of IHE
Education	1999	\$417.6M	\$22.3M	5.3%	\$28.3M	6.8%	\$5.0M	1.2%	\$55.6M	13.3%
& Human	2000	\$422.8M	\$23.4M	5.5%	\$19.9M	4.7%	\$8.2M	1.9%	\$51.6M	12.2%
Resources	2001	\$499.8M	\$31.4M	6.3%	\$19.2M	3.8%	\$11.8M	2.4%	\$62.3M	12.5%
	2002	\$591.9M	\$38.5M	6.5%	\$30.0M	5.1%	\$12.1M	2.0%	\$80.6M	13.6%
	2003	\$681.9M	\$37.0M	5.4%	\$39.8M	5.8%	\$12.5M	1.8%	\$89.3M	13.1%
	2004	\$709.4M	\$55.3M	7.8%	\$30.0M	4.2%	\$7.3M	1.0%	92.6	13.1%
	2005	\$658.3M	\$46.9M	7.1%	\$42.1M	6.4%	\$10.4M	1.6%	\$99.4M	15.1%
	2006	\$542.0M	\$45.2M	8.3%	\$38.3M	7.1%	\$9.8M	1.8%	\$93.3M	17.2%
	2007	612.2	\$53.2M	8.7%	\$39.7M	6.5%	\$10.3M	1.7%	\$103.3M	16.9%
	2008	\$617.0M	\$59.4M	9.6%	\$31.8M	5.2%	\$9.8M	1.6%	\$101.0M	16.4%
	2009	\$672.9M	\$60.7M	9.0%	\$38.5M	5.7%	\$14.0M	2.1%	\$113.1M	16.8%
Major	1999	\$22.0M	\$0.0M	0.0%	\$0.0M	0.0%	\$0.0M	0.0%	\$0.0M	0.0%
Research	2000	\$23.5M	\$0.0M	0.0%	\$0.0M	0.0%	\$0.0M	0.0%	\$0.0M	0.0%
Equipment	2001	\$88.4M	\$0.0M	0.0%	\$0.0M	0.0%	\$0.0M	0.0%	\$0.0M	0.0%
	2002	\$49.9M	\$0.0M	0.0%	\$0.0M	0.0%	\$0.0M	0.0%	\$0.0M	0.0%
	2003	\$82.9M	\$0.0M	0.0%	\$0.0M	0.0%	\$0.0M	0.0%	\$0.0M	0.0%
	2004	\$53.4M	\$0.0M	0.0%	\$0.0M	0.0%	\$0.0M	0.0%	\$0.0M	0.0%
	2005	\$43.1M	\$0.0M	0.0%	\$0.0M	0.0%	\$0.0M	0.0%	\$0.0M	0.0%
	2006	\$55.3M	\$0.0M	0.0%	\$0.0M	0.0%	\$0.0M	0.0%	\$0.0M	0.0%
	2007	\$25.6M	\$0.0M	0.0%	\$0.0M	0.0%	\$0.0M	0.0%	\$0.0M	0.0%
	2008	\$47.6M	\$0.0M	0.0%	\$0.0M	0.0%	\$0.0M	0.0%	\$0.0M	0.0%
	2009	\$73.1M	\$0.0M	0.0%	\$0.0M	0.0%	\$0.0M	0.0%	\$0.0M	0.0%
Research	1999	\$2,179.6M	\$12.8M	0.6%	\$27.9M	1.3%	\$1.5M	0.1%	\$42.3M	1.9%
& Related	2000	\$2,314.1M	\$9.4M	0.4%	\$31.5M	1.4%	\$1.0M	0.0%	\$41.9M	1.8%
Activities	2001	\$2,633.8M	\$10.5M	0.4%	\$34.9M	1.3%	\$0.2M	0.0%	\$45.6M	1.7%
	2002	\$2,806.1M	\$12.5M	0.4%	\$37.9M	1.4%	\$0.2M	0.0%	\$50.6M	1.8%
	2003	\$3,156.2M	\$13.4M	0.4%	\$44.5M	1.4%	\$1.7M	0.1%	\$59.6M	1.9%
	2004	\$3,361.9M	\$15.3M	0.5%	\$49.0M	1.5%	\$2.0M	0.1%	\$66.3M	2.0%
	2005	\$3,255.8M	\$13.7M	0.4%	\$49.3M	1.5%	\$0.3M	0.0%	\$63.3M	1.9%
	2006	\$3,416.1M	\$21.1M	0.6%	\$149.8M	4.4%	\$0.5M	0.0%	\$171.4M	5.0%
	2007	3564.2	\$15.0M	0.4%	\$49.9M	1.4%	\$0.5M	0.0%	\$65.4M	1.8%
	2008	\$3,689.7M	\$29.7M	0.8%	\$66.4M	1.8%	\$1.7M	0.0%	\$97.7M	2.6%
	2009	\$3,864.8M	\$31.0M	0.8%	\$84.6M	2.2%	\$4.5M	0.1%	\$120.1M	3.1%
H-1B Visa	2000	\$24.1M	\$3.1M	13.0%	\$2.2M	9.1%	\$0.0M	0.0%	\$5.3M	22.1%
Receipts	2001	\$71.6M	\$5.5M	7.7%	\$5.3M	7.4%	\$1.3M	1.8%	\$12.1M	16.9%
	2002	\$44.8M	\$2.9M	6.4%	\$3.9M	8.6%	\$0.6M	1.4%	\$7.4M	16.5%
	2003	\$31.1M	\$0.3M	1.1%	\$2.8M	9.1%	\$5.3M	17.0%	\$8.5M	27.2%
	2004	\$45.5M	\$1.8M	4.0%	\$3.9M	8.5%	\$0.0M	0.0%	\$5.7M	12.5%
	2005	\$11.8M	\$1.8M	14.9%	\$0.0M	0.3%	\$0.9M	7.5%	\$2.7M	22.7%
	2006	\$91.2M	\$6.0M	6.6%	\$10.8M	11.8%	\$0.0M	0.0%	\$16.8M	18.4%
	2007	\$125.6M	\$2.1M	1.7%	\$6.9M	5.5%	\$0.0M	0.0%	\$9.0M	7.2%
	2008	\$110.2M	\$5.0M	4.5%	\$6.4M	5.8%	\$0.0M	0.0%	\$11.4M	10.3%
	2009	\$74.3M	\$2.8M	3.8%	\$4.9M	6.5%	\$0.0M	0.0%	\$7.7M	10.4%
FY 2009 Grand Totals		\$4,685.1M	\$94.5M	2.0%	\$128.0M	2.7%	\$18.5M	0.4%	\$240.9	5.1%

The transfer of EPSCoR from EHR to R&RA is reflected from FY 2006 onward for comparability.

Numbers may not add due to rounding.