

## National Science Foundation Report on FY 2011 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 funds awarded to all identified minority serving institutions (MSIs)<sup>1</sup>. This report tracks NSF funding to MSIs from its FY 2011 appropriation.

The NSF's FY 2011 appropriation was \$6.8 billion of which \$6.5 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).

The NSF's total investment to all MSIs in FY 2011 was \$280.7 million. This amount represents 5.5 percent of the \$5.1 billion awarded to all institutions of higher education (IHEs). This is a 9.7 percent increase from the FY 2010 level (\$255.9 million). Over the past 11 fiscal years, the percentage of NSF support to HBCUs, HHEs, and TCUs exceeded that for all IHEs (121 percent increase in funding for HBCUs, HHEs, and TCUs versus a 56 percent increase in funding for all IHEs).

In FY 2011, awards to HBCUs, HHEs, and TCUs totaled \$265.4 million or 5.2 percent of funding to all IHEs. This is an increase from the FY 2010 level (\$247.5 million) and a continued increase in R&RA funding. NSF's funding to Majority Minority Serving Institutions (MMSIs)<sup>2</sup>, Alaska Native and Native Hawaiian Serving Institutions, Pacific Island IHEs, and institutions primarily serving students with disabilities (DSIs) was \$15.3 million or 0.3 percent of funding to all IHEs.

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<sup>1</sup> Identification of MSIs and HHEs 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.

<sup>2</sup> 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 2011 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, HHEs & TCUs	\$113.1	\$ 0	\$140.4	\$11.8	\$265.4	\$5,136.0	5.2%
MMSIs <sup>3</sup> , Alaska-Native and Native Hawaiian Serving, Pacific Island IHEs, and DSIs	\$ 8.4	\$ 0	\$ 6.9	\$ 0.1	\$ 15.3	\$5,136.0	0.3%
<b>Total</b>	\$121.5	\$ 0	\$147.3	\$11.9	\$280.7	\$5,136.0	5.5%

\*Numbers may not add due to rounding.

As reported in previous years, the table below provides data on NSF funding by budget category to HBCUs, HHEs, and TCUs in FY 2011 and the preceding 10 years. The funding as a percentage of total funding to all IHEs is also included.

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

Year	Funding to HBCUs, HHEs, and TCUs					Funding to All IHEs	HBCUs, HHEs & TCUs as a Percentage of All IHE Funding
	EHR	MRE	R&RA	H-1B	Total		
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 <sup>4</sup>	\$ 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	\$113.6	\$0	\$120.1	\$ 7.7	\$ 241.4	\$ 4,685.2	5.2%
2010	\$112.4	\$0	\$122.8	\$12.3	\$247.5	\$5,080.4	4.9%
2011	\$113.1	\$0	\$140.4	\$11.8	\$265.4	\$5,136.0	5.2%
Percent Increase from 2001	82%	0%	208%	(2%)	121%	56%	

<sup>3</sup> Excludes HBCUs, HHEs, and TCUs that are also eligible for this classification.

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

In FY 2011, there was an increase from 2010 in funding from R&RA and EHR (\$17.6 million and \$0.7 million respectively) to HBCUs, HHEs, and TCUs and a slight decrease in the H-1B funding (\$0.5 million). While there was a decline in the total number of proposals received from and awards to these institutions, the total funding increased and the success rate remained constant.

Also of note, over the 11-year period the percentage of increase in funding collectively to HBCUs, HHEs, and TCUs (121%) continues to exceed the percentage of increase in funding to all IHEs (56%).

Appendix Table 1 provides the breakout by appropriation category and institution type (HBCUs, HHEs, and TCUs) for the years 2001 - 2011.

Attachment  
Appendix Table 1

## Appendix Table 1

### Direct NSF Funding to Minority Serving Institutions for Fiscal Year 2001-2011

(BIIS Univ cut) as of: 6 NOV 2011

Appropriation	FY	All IHEs	HBCUs	HBCU % of IHE	HHEs	HHE % of IHE	TCUs	TCU % of IHE	Total HBCU, HHE, & TCU	Total HBCU, HHE, & TCU % of IHE
Education	2001	\$499.8M	\$31.4M	6.3%	\$19.2M	3.8%	\$11.8M	2.4%	\$62.3M	12.5%
& Human	2002	\$591.9M	\$38.5M	6.5%	\$30.0M	5.1%	\$12.1M	2.0%	\$80.6M	13.6%
Resources	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%	\$92.6M	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	\$612.2M	\$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	\$61.2M	9.1%	\$38.5M	5.7%	\$14.0M	2.1%	\$113.6M	16.9%
	2010	\$689.5M	\$56.8M	8.2%	\$43.7M	6.3%	\$11.9M	1.7%	\$112.4M	16.3%
	<b>2011</b>	<b>\$693.5M</b>	<b>\$66.6M</b>	<b>9.6%</b>	<b>\$34.7M</b>	<b>5.0%</b>	<b>\$11.8M</b>	<b>1.7%</b>	<b>\$113.1M</b>	<b>16.3%</b>
Major	2001	\$88.4M	\$0.0M	0.0%	\$0.0M	0.0%	\$0.0M	0.0%	\$0.0M	0.0%
Research	2002	\$49.9M	\$0.0M	0.0%	\$0.0M	0.0%	\$0.0M	0.0%	\$0.0M	0.0%
Equipment	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%
	2010	\$80.9M	\$0.0M	0.0%	\$0.0M	0.0%	\$0.0M	0.0%	\$0.0M	0.0%
	<b>2011</b>	<b>\$25.2M</b>	<b>\$0.0M</b>	<b>0.0%</b>	<b>\$0.0M</b>	<b>0.0%</b>	<b>\$0.0M</b>	<b>0.0%</b>	<b>\$0.0M</b>	<b>0.0%</b>
Research	2001	\$2,633.8M	\$10.5M	0.4%	\$34.9M	1.3%	\$0.2M	0.0%	\$45.6M	1.7%
& Related	2002	\$2,806.1M	\$12.5M	0.4%	\$37.9M	1.4%	\$0.2M	0.0%	\$50.6M	1.8%
Activities	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	\$3,564.2M	\$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%
	2010	\$4,223.7M	\$25.8M	0.6%	\$95.3M	2.3%	\$1.7M	0.0%	\$122.8M	2.9%
	<b>2011</b>	<b>\$4,333.2M</b>	<b>\$23.1M</b>	<b>0.5%</b>	<b>\$115.8M</b>	<b>2.7%</b>	<b>\$1.4M</b>	<b>0.0%</b>	<b>\$140.4M</b>	<b>3.2%</b>
H-1B Visa	2001	\$71.6M	\$5.5M	7.7%	\$5.3M	7.4%	\$1.3M	1.8%	\$12.1M	16.9%
Receipts	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%
	2010	\$86.3M	\$4.1M	4.8%	\$7.6M	8.8%	\$0.6M	0.7%	\$12.3M	14.2%
	<b>2011</b>	<b>\$84.1M</b>	<b>\$2.2M</b>	<b>2.6%</b>	<b>\$8.8M</b>	<b>10.5%</b>	<b>\$0.8M</b>	<b>1.0%</b>	<b>\$11.8M</b>	<b>14.1%</b>
FY 2011 Grand Totals		<b>\$5,136.0M</b>	<b>\$91.9M</b>	<b>1.8%</b>	<b>\$159.4M</b>	<b>3.1%</b>	<b>\$14.1M</b>	<b>0.3%</b>	<b>\$265.4M</b>	<b>5.2%</b>

The transfer of EPSCoR from EHR to R&RA is reflected from FY 2006 onward for comparability. Numbers may not add due to rounding.