

National Science Foundation Report on FY 2013 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)¹. This report tracks NSF funding to MSIs from its FY 2013 appropriation and from its H-IB Nonimmigrant Petitioner Account².

NSF is funded primarily through six congressional appropriations, which totaled \$6.9 billion in FY 2013. This includes the \$356 million reduction required as part of the government-wide sequester, as well as two across-the-board rescissions that were imposed on all federal agencies in FY 2013. By comparison, NSF's FY 2012 budget authority was \$7.0 billion—about 2 percent higher. In FY 2013, NSF awards—including grants and cooperative agreements—funded through NSF's Research and Related Activities, Education and Human Resources, and Major Research Equipment and Facilities Construction appropriations accounted for about 90 percent of NSF's total appropriations.

Additionally, in FY 2013 NSF received \$120.9 million in H-IB Nonimmigrant Petitioner fees. H-IB funds are used to support two programs with an emphasis on broadening participation in science and engineering.

¹ 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 HHEs 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) and those with high African American enrollment. 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 Beginning in FY 1999, Title IV of the American Competitiveness and Workforce Improvement Act of 1998 (P.L. 105-277) established an H-IB Nonimmigrant Petitioner Account in the general fund of the U.S. Treasury for fees collected for each petition for alien nonimmigrant status. That law required that a prescribed percentage of funds in the account be made available to NSF for low-income scholarships; grants for mathematics, engineering, or science enrichment courses; and systemic reform activities. In FY 2005, Public Law 108-447 reauthorized H-IB funding. NSF was provided with 40 percent of the total H-IB receipts collected.

The NSF's total investment to all MSIs in FY 2013 was \$280.0 million. This amount represents 5.5 percent of the \$5.1 billion awarded to all institutions of higher education (IHEs). This is a 5.7 percent increase from the FY 2012 level (\$265.0 million).

In FY 2013, awards to Historically Black Colleges and Universities (HBCUs), Institutions with High Hispanic Enrollment (HHEs), and Tribal Colleges and Universities (TCUs) totaled \$260.2 million or 5.1 percent of funding to all IHEs. This is an increase from the FY 2012 level (\$253.4 million). NSF's funding to Majority Minority Serving Institutions (MMSIs)³, Alaska Native and Native Hawaiian Serving Institutions, Pacific Island IHEs, and institutions with High African American Enrollment (HAAE)⁴ and those primarily serving students with disabilities (DSIs) was \$19.8 million or 0.4 percent of funding to all IHEs. In FY 2013, the total funding to all IHEs was \$5,116.3 million. The following table provides a breakout by budget category of the NSF funds awarded.

FY 2013 NSF Direct Funding to Minority Serving Institutions
(Millions of Dollars)

	EHR	MRE	R&RA	H-IB	Total*	MSis as a Percent of IHE Funding
HBCUs, HHEs & TCUs	\$115.3	\$0	\$13.2	\$12.9	\$260.2	5.1%
MMSIs ⁵ , Alaska-Native and Native Hawaiian Serving, Pacific Island IHEs, HAAEs, and DSIs	\$10.2	\$0	\$6.6	\$3.0	\$19.8	0.4%
Total	\$125.6	\$0	\$19.8	\$15.9	\$280.0	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 2013 and the preceding 10 years. The funding as a percentage of total funding to all IHEs is also included.

³ IHEs as identified by ED with total minority enrollment greater than or equal to 50 percent of total student enrollment. To avoid double counting, funds identified in the MMSI category excludes all funding to named categories of minority serving institutions (e.g., HBCU).

⁴ Following the issuance of Executive Order 13621, White House Initiative on Educational Excellence for African Americans, NSF began tracking IHEs that reported to ED as having a total African American undergraduate enrollment greater than or equal to 40 percent.

⁵ Excludes HBCUs, HHEs, and TCUs that are also eligible for this classification.

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-IB	Total		
2003	\$ 89.3	\$0	\$ 59.6	\$ 8.5	\$ 157.4	\$ 3,952.2	4.0%
2004	\$ 92.6	\$0	\$ 66.3	\$ 5.7	\$ 164.6	\$ 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 ⁶	\$ 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	\$5,080.5	4.9%
2011	\$113.1	\$0	\$140.4	\$11.8	\$265.4	\$5,136.0	5.2%
2012	\$110.3	\$0	\$127.1	\$16.0	\$253.4	\$5,230.7	4.8%
2013	\$115.3	\$0	\$132.0	\$12.9	\$260.2	\$5,116.3	5.1%

In FY 2013, there was an increase from FY 2012 in funding from R&RA and EHR (\$4.9 million and \$5.0 million respectively) to HBCUs, HHEs, and TCUs and a decrease in the H-IB funding (\$3.1 million). The reductions to NSF's FY 2013 appropriation affected all funding programs including those restricting eligibility to MSIs; however, it is notable that the total funding to MSIs increased and remained steady as a percentage of funding to all IHEs.

As stated in our current strategic plan, *"Empowering the Nation Through Discovery and Innovation,"* NSF is committed to broadening participation. We continue to review the MSI funding data and trends and identify probable causes for the fluctuations. Two major factors continue to impact the funding fluctuation within categories. First is annual variability - that is variability in the dates program solicitation are issued and proposals are due, frequency of competitions, and the interest and activity of the proposing community. Second is the type of award issued. The overwhelming majority of NSF assistance awards are either (1) standard, where all funds for all project years are awarded at one time, or (2) continuing, where the funds are awarded incrementally at set time intervals (usually annually) based on progress and other required deliverables. The timing of incremental funding, especially for large awards supporting centers and partnership activities, may have a significant impact on the total annual funding.

MSIs have an important role in the preparing the next generation of scientist and engineers. In an era of fiscal austerity and focus on return on investment for the U.S. taxpayer, MSIs continue to make important contributions to the NSF's portfolio of the highest quality research and education projects that further our strategic goals and reflect national priorities.

Attachment: Appendix Table 1- Funding breakout by appropriation category and institution type (HBCUs, HHEs, and TCUs) for the years 2003 - 2013.

⁶ 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.

Appendix Table 1

Direct NSF Funding to Minority Serving Institutions for Fiscal Year 2003-2013

(BIS Univ cut) as of: 26 NOV 2013

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 & Human 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%
	2011	\$693.5M	\$66.6M	9.6%	\$34.7M	5.0%	\$11.8M	1.7%	\$113.1M	16.3%
	2012	\$685.7M	\$64.3M	9.4%	\$36.4M	5.3%	\$9.6M	1.4%	\$110.3M	16.1%
2013	\$697.2M	\$66.3M	9.5%	\$38.2M	5.5%	\$10.5M	1.6%	\$115.3M	16.5%	
Maior Research 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%
	2011	\$25.2M	\$0.0M	0.0%	\$0.0M	0.0%	\$0.0M	0.0%	\$0.0M	0.0%
	2012	\$22.0M	\$0.0M	0.0%	\$0.0M	0.0%	\$0.0M	0.0%	\$0.0M	0.0%
	2013	\$15.2M	\$0.0M	0.0%	\$0.0M	0.0%	\$0.0M	0.0%	\$0.0M	0.0%
Research & Related 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%
	2011	\$4,333.2M	\$23.1M	0.5%	\$115.8M	2.7%	\$1.4M	0.0%	\$140.4M	3.2%
	2012	\$4,439.4M	\$30.2M	0.7%	\$96.8M	2.2%	\$0.1M	0.0%	\$127.1M	2.9%
	2013	\$4,299.5M	\$19.2M	0.4%	\$111.5M	2.6%	\$1.3M	0.0%	\$132.0M	3.1%
H-18 Visa Receipts	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%
	2011	\$84.1M	\$2.2M	2.6%	\$8.8M	10.5%	\$0.8M	1.0%	\$11.8M	14.1%
	2012	\$83.6M	\$2.8M	3.4%	\$12.7M	15.2%	\$0.5M	0.6%	\$16.0M	19.2%
	2013	\$104.4M	\$6.7M	6.4%	\$5.9M	5.6%	\$0.3M	0.3%	\$12.9M	12.3%
FY 2013 Grand Totals		\$5,116.3M	\$92.1M	1.8%	\$155.7M	3.0%	\$12.4M	0.2%	\$260.2M	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.