

## National Science Foundation Report on FY 2015 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 2015 appropriation and from its H-1B Nonimmigrant Petitioner Account.<sup>2</sup>

NSF is funded primarily through six congressional appropriations, which totaled \$7.3 billion in FY 2015. By comparison, the FY 2015 budget authority was 2.4 percent above the FY 2014 budget authority of \$7.2 billion. In FY 2015, NSF programmatic activities—including grants and cooperative agreements – funded through NSF's Research and Related Activities (R&RA), Education and Human Resources (EHR), and Major Research Equipment and Facilities Construction (MRE) appropriations accounted for 95 percent of NSF's total appropriations.

Additionally, in FY 2015 NSF received \$140.8 million in H-1B Nonimmigrant Petitioner fees. This amount reflects \$7.3 million that was sequestered in FY 2015 and \$9.5 million that was sequestered in FY 2014 and returned to NSF in FY 2015. H-1B funds are used to support two programs with an emphasis on broadening participation in science and engineering.

The NSF's total investment to all MSIs in FY 2015 was \$346.2 million. This amount represents 6.2 percent of the \$5.6 billion awarded to all institutions of higher education (IHEs). This is a 5.9 percent increase from the FY 2014 level (\$327.0 million).

In FY 2015, awards to Historically Black Colleges and Universities (HBCUs), Institutions with High Hispanic Enrollment (HHEs), and Tribal Colleges and Universities (TCUs) totaled \$327.2 million or 5.9 percent of funding to all IHEs. This is an increase from the FY 2014 level (\$310.2 million). NSF's funding to Majority Minority Serving Institutions (MMSIs),<sup>3</sup> Alaska Native and

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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://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 or high American Indian 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.

<sup>2</sup> Beginning in FY 1999, Title IV of the American Competitiveness and Workforce Improvement Act of 1998 (P.L. 105-277) established an H-1B 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-1B funding. NSF was provided with 40 percent of the total H-1B receipts collected.

<sup>3</sup> 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).

Native Hawaiian Serving Institutions, Pacific Island IHEs, and institutions with High African American Enrollment (HAAE) or High American Indian Enrollment (HAIE) and those primarily serving students with disabilities (DSIs) was \$19.1 million or 0.3 percent of funding to all IHEs. In FY 2015, the total funding to all IHEs was \$5,560.7 million. The following table provides a breakout by budget category of the NSF fund awarded.

FY 2015 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	\$123.1	\$0	\$184.3	\$19.7	\$327.2	5.9%
MMSIs, <sup>4</sup> Alaska-Native and Native Hawaiian Serving, Pacific Island IHEs, HAAEs, HAIEs, and DSIs	\$8.4	\$0	\$8.0	\$2.8	\$19.1	0.3%
<b>Total</b>	<b>\$131.5</b>	<b>\$0</b>	<b>\$192.3</b>	<b>\$22.5</b>	<b>\$346.2</b>	<b>6.2%</b>

\*Numbers may not add due to rounding.

The table below provides data on NSF funding by budget category to all categories of MSIs in FY 2015 and the preceding ten years. The funding as a percentage of total funding to all IHEs is also included.

NSF Direct Funding to All Categories of Minority Serving Institutions

(Millions of Dollars)

Year	Funding to All Categories of Minority Serving Institutions					Funding to All IHEs	All Categories of MSIs as a Percentage of All IHE Funding
	EHR	MRE	R&RA	H-IB	Total		
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>5</sup>	\$4,104.5	6.9%
2007	\$110.5	\$0	\$68.1	\$9.8	\$188.4	\$4,327.6	4.3%
2008	\$106.9	\$0	\$105.0	\$13.0	\$224.8	\$4,464.5	5.0%
2009	\$119.7	\$0	\$126.5	\$8.2	\$254.4	\$4,685.2	5.4%
2010	\$116.2	\$0	\$127.4	\$12.4	\$255.9	\$5,080.5	5.0%
2011	\$121.5	\$0	\$147.3	\$11.9	\$280.7	\$5,136.0	5.5%
2012	\$115.8	\$0	\$131.8	\$17.3	\$265.0	\$5,230.7	5.1%
2013	\$125.6	\$0	\$138.6	\$15.9	\$280.1	\$5,116.3	5.5%
2014	\$124.8	\$0	\$187.0	\$15.2	\$327.0	\$5,253.6	6.2%
2015	\$131.5	\$0	\$192.3	\$22.5	\$346.2	\$5,560.7	6.2%

\*FYs 2005 and 2006 data is limited to HBCUs, HHEs, and TCUs only.

Appendix Table 1 provides a breakout by appropriation category of funding to HBCUs, HHEs, and TCUs for the years 2005 - 2015. In FY 2015, the funding from EHR, R&RA and H-IB accounts to HBCUs, HHEs, and TCUs was \$327.2 million, an increase from the FY 2014 level (\$310.2 million); however, unchanged as a percentage of funding to all IHEs (5.9 percent).

<sup>4</sup> Excludes HBCUs, HHEs, and TCUs that are also eligible for this classification.

<sup>5</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.

As outlined in *"Investing in Science, Engineering, and Education for the Nation's Future,"* NSF's Strategic Plan for 2014-2018, one of NSF's core values is inclusiveness - seeking and embracing contributions for all sources, including underrepresented groups, regions, and institutions. The participation and contributions of MSIs and their faculty in NSF's programs and activities are critical for the Foundation to achieve its goals.

In 2015, NSF convened a high-level panel to devise a comprehensive strategy to accelerate significant competitive opportunities for HBCUs within NSF's research and related activities programs. A Subcommittee of the Advisory Committee for the Directorate for Education and Human Resources was charged with researching and reporting on the issue. The Subcommittee's report<sup>6</sup> recognized the complementary roles and responsibilities that NSF and HBCUs have in furthering science and engineering research and provided recommended actions and measures to track progress. While the report focused on HBCUs, many of the key recommendations build on existing NSF practices and offer ways to expand and enhance the Foundation's relationships with all types of MSIs. Therefore, the report will continue to inform our review of all MSI funding data and trends and the opportunities to engage MSI researchers in NSF programs and activities.

MSIs have an important role in the preparing the next generation of scientist and engineers and continue to make important contributions to the NSF's portfolio of the highest quality research and education projects. NSF will continue to encourage MSIs to be active participants in all activities associated with discovery research and the education of future discovers that will contribute to our Nation's prosperous future.

Attachment: Appendix Table 1

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<sup>6</sup> The Subcommittee's rePort is available online at [http://www.nsf.gov/ehrpubs/HBCU\\_Report\\_Oct\\_2015.pdf](http://www.nsf.gov/ehrpubs/HBCU_Report_Oct_2015.pdf)

Appendix Table 1

Direct NSF Funding to Minority Serving Institutions for Fiscal Year 2005-2015

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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	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%	\$10.8M	1.6%	\$115.3M	16.5%
	2014	\$688.9M	\$59.5M	8.6%	\$45.1M	6.6%	\$11.4M	1.7%	\$116.1M	16.9%
2015	\$728.9M	\$66.0M	9.1%	\$44.3M	6.1%	\$12.7M	1.7%	\$123.1M	16.9%	
Major Research Equipment and Facilities-Construction	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%
	2014	\$14.9M	\$0.0M	0.0%	\$0.0M	0.0%	\$0.0M	0.0%	\$0.0M	0.0%
2015	\$0.0M	\$0.0M	0.0%	\$0.0M	0.0%	\$0.0M	0.0%	\$0.0M	0.0%	
Research & Related Activities	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%
	2014	\$4,429.3M	\$28.5M	0.6%	\$152.3M	3.4%	\$0.5M	0.0%	\$181.3M	4.1%
2015	\$4,703.7M	\$18.7M	0.4%	\$165.5M	3.5%	\$0.0M	0.0%	\$184.3M	3.9%	
H-18 Visa Receipts	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%
	2014	\$120.5M	\$3.2M	2.7%	\$9.6M	7.9%	\$0.0M	0.0%	\$12.8M	10.6%
2015	\$128.1M	\$3.5M	2.7%	\$16.3M	12.7%	\$0.0M	0.0%	\$19.7M	15.4%	
<b>FY 2015 Grand Totals</b>		<b>\$5,560.7M</b>	<b>\$88.2M</b>	<b>1.6%</b>	<b>\$226.3M</b>	<b>4.1%</b>	<b>\$12.7M</b>	<b>0.2%</b>	<b>\$327.2M</b>	<b>5.9%</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.