

National Science Foundation Report on FY 2016 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 2016 appropriation and from its H-1B Nonimmigrant Petitioner Account.²

NSF is funded primarily through six congressional appropriations, which totaled \$7.5 billion in FY 2016. The FY 2016 appropriations were 1.6 percent above the FY 2015 appropriations level of \$7.3 billion. In FY 2016, 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 2016 NSF received \$138.79 million in H-1 B Nonimmigrant Petitioner fees. This amount reflects \$6.8 million that was sequestered in FY 2016 and \$7.3 million that was sequestered in FY 2015 and returned to NSF in FY 2016. H-1 B funds are used to support two programs with an emphasis on broadening participation in science and engineering.

The NSF's total investment in all MSIs in FY 2016 was \$504.6 million. This amount represents 9.1 percent of the \$5.5 billion awarded to all institutions of higher education (IHEs). The FY 2016 investment in all MSIs is a 45.7 percent increase from the FY 2015 level (\$346.2 million).

In FY 2016, awards to Historically Black Colleges and Universities (HBCUs), Institutions with High Hispanic Enrollment (HHEs), and Tribal Colleges and Universities (TCUs) totaled \$459.0 million or 8.3 percent of funding to all IHEs. This amount is an increase from the FY 2015 level (\$327.2 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

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 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 online 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.

² 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.

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)

American Enrollment (HAAE) or High American Indian Enrollment (HAIE) and those primarily serving students with disabilities (DSIs) was \$45.6 million or 0.8 percent of funding to all IHEs. In FY 2016, the total funding to all IHEs was \$5,547.6 million. The following table provides a breakout by budget category of the NSF funds awarded.

FY 2016 NSF Direct Funding to Minority Serving Institutions

(Millions of Dollars)

	EHR	MRE	R&RA	H-1B	Total*	MSIs as a Percent of IHE
HBCUs, HHEs & TCUs	\$135.8	\$0.0	\$288.0	\$35.1	\$459.0	8.3%
MMSIs, ⁴ Alaska-Native and Native Hawaiian Serving, Pacific Island IHEs, HAAEs, HAIEs, and DSIs	\$16.2	\$0.0	\$26.0	\$3.4	\$45.6	0.8%
Total	\$152.1	\$0.0	\$314.0	\$38.5	\$504.6	9.1%

*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 2016 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		
2006*	\$93.3	\$0	\$171.4	\$16.8	\$281.5 ⁵	\$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%
2016	\$152.1	\$0	\$314.0	\$38.5	\$504.6	\$5,547.6	9.1%

*FY 2006 data are 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 2006 – 2016. In FY 2016, the funding from EHR, R&RA and H-1B accounts to HBCUs, HHEs, and TCUs increase \$459.0 million from the FY 2015 level of \$327.2 million.

⁴ Excludes HBCUs, HHEs, and TCUs that are also eligible for this classification.

⁵ 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 2016, as a follow-up to the FY 2015 “Report to Congress on Advancing Historically Black Colleges and Universities⁶,” NSF undertook the following activities:

- Formed a Senior Leadership HBCU Steering Committee to coordinate the recommendations in the report
- Coordinated outreach to HBCUs, including a focus on early career faculty
- Funded a grant to Tuskegee University to work with appropriate HBCUs to develop a proposal to establish a “Virtual Sponsored Research Office (SRO)” for HBCUs
- Issued a Dear Colleague Letter, DCL 16-080⁷ to the community seeking EAGER⁸ and supplemental proposals in FY 2016 to enrich research opportunities for faculty at HBCUs, and calling attention to other available funding mechanisms

The early outcomes of these activities taken together, are reflected in the summary data for funding to HBCUs in FY 2016 as shown in Appendix Table 1. These data indicate that, while HBCUs were awarded \$88.2 million in FY 2015 (1.6 percent of funding to all IHEs), that amount increased to \$102.8 million in FY 2016 (1.9 percent of funding to all IHEs and a 16.6 percent increase over FY 2015).

MSIs have an important role in preparing the next generation of scientists 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 discoverers.

⁶ The report is available online at: https://www.nsf.gov/ehrpubs/HBCU_Report_Oct_2015.pdf.

⁷ The Dear Colleague letter is available online at: <https://www.nsf.gov/pubs/2016/nsf16080/nsf16080.jsp>. A follow-up Dear Colleague letter for FY 2017 is available at https://www.nsf.gov/pubs/2017/nsf17027/nsf17027.jsp?WT.mc_ev=click.

⁸ EAGER refers to Early-concept Grants for Exploratory Research.

Attachment:

Appendix Table 1

Direct NSF Funding to Minority Serving Institutions for Fiscal Year 2006-2016

BIS Univ cut as of: 14 NOV 2016

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	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%
	2016	\$738.0M	\$58.0M	7.9%	\$70.5M	9.5%	\$7.3M	1.0%	\$135.8M	18.4%
Major Research Equipment and Facilities Construction	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%
	2016	\$0.0M	\$0.0M	0.0%	\$0.0M	0.0%	\$0.0M	0.0%	\$0.0M	0.0%
Research & Related Activities	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%	\$165.6M	3.5%	\$0.0M	0.0%	\$184.3M	3.9%
	2016	\$4,639.7M	\$36.6M	0.8%	\$251.0M	5.4%	\$0.5M	0.0%	\$288.0M	6.2%
H-18 Visa Receipts	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%
	2016	\$169.9M	\$8.2M	4.8%	\$26.9M	15.8%	\$0.0M	0.0%	\$35.1M	20.7%
FY 2015 Grand Totals		\$5,560.7M	\$88.2M	16%	\$226.3M	4.1%	\$12.7M	0.2%	\$327.2M	5.9%
FY 2016 Grand Totals		\$5,547.6M	\$102.8M	1.9%	\$348.4M	6.3%	\$7.8M	0.1%	\$459.0M	8.3%

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