



*President's Board of Advisors on
Historically Black Colleges and Universities*

TRANSITION ONGOING

**BUILDING CAPACITY IN HISTORICALLY BLACK
COLLEGES AND UNIVERSITIES THROUGH
PARTICIPATION IN FEDERAL PROGRAMS**

FISCAL YEAR 2007 ANNUAL REPORT TO THE PRESIDENT

**WHITE HOUSE INITIATIVE ON HISTORICALLY BLACK
COLLEGES AND UNIVERSITIES**

**U.S. DEPARTMENT OF EDUCATION
SEPTEMBER 2010**

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**Building Capacity in Historically Black Colleges and
Universities Through Participation
In Federal Programs**

Fiscal Year 2007 Annual Report to the President

**President's Board of Advisors on Historically
Black Colleges and Universities**

**U.S. Department of Education
White House Initiative on Historically Black
Colleges and Universities**

September 2010

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U.S. Department of Education

Arne Duncan
Secretary of Education

Office of Postsecondary Education

Daniel T. Madzellan
*Delegated the Authority to Perform the Functions and Duties of the
Assistant Secretary for Postsecondary Education*

September 2010

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Abbreviations

Appalachian Regional Commission	ARC
Broadcasting Board of Governor's	BBG
Central Intelligence Agency	CIA
Corporation for National and Community Service	CNS
Department of Navy	DON
Environmental Protection Agency	EPA
Equal Employment Opportunity Commission	EEOC
Federally Funded Research and Development Center	FFDRC
Fiscal Year	FY
Historically Black Colleges and Universities	HBCUs
Institutions of Higher Education	IHE
Intergovernmental Personnel Act	IPA
Minority University Research and Education Program	MUREP
National Aeronautics and Space Administration	NASA
National Credit Union Administration	NCUA
National Endowment for the Arts	NEA
National Endowment for the Humanities	NEH
National Science Foundation	NSF
Office of Management and Budget	OMB
Office of Naval Research	ONR
Office of Personnel Management	OPM
Research and Development	R&D
Research and Education Partnership Program	REPP
Science, Technology, Engineering, and Mathematics Section	STEM Sec.
Social Security Administration	SSA
Traditionally White Institution	TWI
U.S. Agency for International Development	USAID
U.S. Department of Agriculture	USDA
U.S. Department of Commerce	DOC
U.S. Department of Defense	DOD
U.S. Department of Education	ED
U.S. Department of Energy	DOE
U.S. Department of Health & Human Services	HHS
U.S. Department of Homeland Security	DHS
U.S. Department of Housing & Urban Development	HUD
U.S. Department of Justice	DOJ
U.S. Department of Labor	DOL
U.S. Department of State	STATE
U.S. Department of the Interior	DOI
U.S. Department of the Treasury	Treasury
U.S. Department of Transportation	DOT
U.S. Department of Veterans Affairs	VA
U.S. Nuclear Regulatory Commission	NRC
U.S. Small Business Administration	SBA
White House Initiative	WHI

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Executive Summary

The President's Board of Advisors on Historically Black Colleges and Universities (HBCUs), appointed by George W. Bush in 2002, completed its fifth annual report under presidential Executive Order 13256. The report, *Transition Ongoing: Building Capacity in Historically Black Colleges and Universities Through Participation in Federal Programs, Fiscal Year 2007 Annual Report to the President*, analyzes the funding performance of the 31 designated federal agencies and departments for fiscal year 2007.

Originally, the 2007 report was envisioned as a retrospective, but comparability over the five-year period posed significant analytical issues. Each year of the last five years has included a different mix of reporting departments and agencies as well as and perhaps more significantly obvious differences in funding strategies. The fundamental but unanswered question remains of how to achieve consensus around capacity building—a result more far-reaching than merely how it is defined, but instead focused on what specific programs or activities initiated by participating agencies create the constructive outcomes sought by both the President's Board of Advisors (Board) and the White House.

A major constraint to collecting and assembling the data for this report was the timing of the transition between administrations. In many cases, as agency personnel left their posts for new opportunities, their responsibilities were not immediately reassigned. In addition, within most agencies, the record keeping and analytical and reporting functions are not housed within the same unit, making it difficult to locate individuals with in-depth knowledge when questions arose about the submissions.

Also, less than 100 percent of the participating departments and agencies reporting annually, so all of the analyses to date have been built around an *incomplete set of data*—resulting in an ongoing *understatement* of both Institutions of Higher Education (IHE) and HBCU funding. While this historical understatement may fall well within tolerance for the oversight department, it should raise questions about the validity of conclusions that might be drawn about overall trends in higher education funding. Such data issues also continue to complicate accurately capturing the progress of the designated agencies and departments towards the 10 percent funding milestone first discussed in the 2001–02 annual report (this milestone being federal funds awards to all HBCUs approximating 10 percent or more of the total federal funds awarded to all IHEs).

In FY 2007, the amounts of total awards to IHEs decreased to \$112,088,331,779 from \$114,757,447,987 in FY 2006, or by 2.33 percent. During the same period, funding to HBCUs decreased by 6.56 percent. There is a clear conclusion: **There are significantly fewer departments and agencies reporting increases in HBCU funding for FY 2007 than for FY 2006.**

The Board believes that four matters deserve special attention by the president, the secretary of education, and the heads of the designated departments and agencies.

1. In order to realize successful outcomes in capacity building, the departments and agencies need to be aligned with an overarching strategy. To that end, capacity building needs to be translated more concretely by an interagency group that ultimately develops

a set of working guidelines for departments and agencies to use in determining how to best support these initiatives within the contexts of their missions and strategies.

2. Once again, increasing the number of dedicated HBCU programs strategically focused on capacity building, as defined in Sec. 6 of Executive Order 13256, is vital to achieving the HBCU funding goal in the executive order and, more importantly, to closing the gap between HBCUs and IHEs in the funding provided by the designated agencies.
3. Although 31 departments and agencies participate in the White House Initiative (WHI), participation has not led to more positive outcomes; in fact, HBCU funding continues to lag overall IHE funding and even with cutbacks in spending in higher education, HBCUs are disproportionately impacted. At this time, it would be prudent to undertake a strategic analysis of the participation and effectiveness of all of the participating departments and agencies.
4. Strategic and tactical steps are needed to strengthen agency accountability and enhance their performance, and to improve the coordination of the White House Initiative on HBCUs between the U.S. Department of Education and the Office of Management and Budget (OMB) to ensure better monitoring and oversight.

For the last few years, the Board has focused on improving the oversight of designated departments and agencies, as well as the coordination of WHI activities between the U.S. Department of Education and OMB. The Board remains convinced that the best means for increasing agency funding awards to HBCUs is by increasing the number of *dedicated* HBCU programs focused on capacity building.

Although there are written guidelines for activities that are deemed to contribute to capacity building, agency reporting does not necessarily address those guidelines. In accounting for funding and activity levels, few agency reports address how these specific activities, initiatives, or programs contribute to capacity building. Programs and activities that exist outside the core mission and business of agencies and departments will not yield the best return on investment. Unless these programs have a clear connection to the agency missions and are managed by staff held accountable for program outcomes, they will be perceived at best as “optional” and at worst, as a distraction because they are not seen as strategically aligned with the agency’s core activities.

From a tactical perspective, there is still work to be done.

First, in addition to the WHI staff’s ongoing review of the designated departments and agencies, the Board will continue to utilize the information and insight from the agencies’ recent reports when making its recommendations to the secretary of education. This highlights the importance of accurate and timely reporting as a necessity for effective oversight. It also highlights the need for more relationship building and effective networking with the participating agencies and departments.

Second, agency reporting should be consolidated, where feasible, to facilitate reporting by the agency and budgetary review by OMB. While progress has been made since the FYs 2004-05 Report, more work is needed to insure that the reporting process is efficiently structured. The current template should be revised to insure the reporting of comparable data that is focused on outcomes by all participating agencies. Lastly, an updated template could become the means of (1) simplifying the submission process and (2) removing obstacles to timely reporting.

Third, additional work is needed to utilize technology effectively in the reporting process. Consistent with the FYs 2004-05 report and in spite of a clear recommendation from the Board, to submit information electronically in 2007, only two agencies did so. Standard templates transmitted electronically would make for more timely submissions and tracking much less time-consuming for WHI staff, would enable consistent and comparable reporting, and would reduce response time for information requests.

A closer look at what information and level of detail could suggest additional ways to streamline the data-collection and reporting process. To recap the recommendation from both the FYs 2004-05 and the FY 2006 reports, each designated agency would report all data and information to WHI staff *electronically*, thereby permitting the Board to determine easily which agencies are making progress in increasing HBCU institutional capacity-building awards.

Fourth, the WHI staff is asked to explore the alignment of its current agency “clusters” to achieve a realignment of agencies with like missions or academic programs relative to HBCUs’ missions. The WHI staff currently works with five clusters of federal agencies. Each of the participating agencies under this federal program has been assigned to participate under one of the five clusters: Science and Technology, Social and Human Services, Education and Humanities, International, and Business.

Introduction

President George W. Bush signed Executive Order 13256 on Feb. 12, 2002. This was the fifth successive executive order requiring selected executive departments and agencies to increase expenditures—through grants, contracts, cooperative agreements, and agency-designed innovative strategies—for the nation’s Historically Black Colleges and Universities (HBCUs). Presidents Jimmy Carter (Executive Order 12232), Ronald Reagan (Executive Order 12320), George H.W. Bush (Executive Order 12677), and William J. Clinton (Executive Order 12876) all signed presidential executive orders¹ encouraging federal departments and agencies to increase their support of HBCUs at a level that would enhance their capacity to benefit from all agency programs and activities.

While modeled on those previous executive orders, Executive Order 13256 (see Appendix A) provides a framework for achieving the stated goal of increasing funding for America’s HBCUs (see Appendix B), and enhancing their capacity to benefit from a more equitable distribution of federal resources when compared with their Traditionally White Institution (TWI) counterparts. Executive Order 13256 incorporates two key features intended to enhance its effectiveness: (1) leveraging a concept first included in Executive Order 12677 for a strong Board of Advisors with representation from present and former HBCU presidents and chancellors and (2) incorporating a critical new role for the Office of Management and Budget (OMB), designed to encourage and monitor agency and department compliance with the executive order as a part of the agency’s or department’s budget submission (Sec. 4).

The Board’s evaluation of designated department and agency performance is based in part on the dollars awarded to HBCUs, but also by analyzing the types of programs and activities at HBCUs that those awards support. Each agency’s program performance should reflect the executive order’s emphasis on capacity building. Therefore, department and agency programs and activities should be focused on developing the capacity of HBCUs to fulfill their missions of providing a quality education and an equal opportunity to students through:

1. Programs that enhance the infrastructure required for high-quality instruction and critical research;
2. Funding for scholarships for undergraduate students, fellowships for graduate and professional students, and internships and externships that attract first-class students and assist HBCUs to retain those students who may be less well-prepared for academic success in college;
3. Doctoral and postdoctoral faculty fellowships and faculty stipends to support the acquisition of terminal degrees, summer professional development opportunities, and *Intergovernmental Personnel Act (IPA)* faculty-exchange programs between HBCUs and the designated agencies that will enhance instruction and key academic program development;
4. Academic program development support designed to strengthen existing programs, create new programs and increase graduates in the physical and natural sciences, technology, engineering and mathematics (STEM) fields of study, and to train teachers in these areas and in less-commonly taught areas and in critical foreign languages;

¹ U.S. Department of Education, *Fulfilling the Covenant—The Way Forward, 2004-05 Annual Report to the President on the Results of Participation by Historically Black Colleges and Universities in Federal Programs*. Washington, DC, 2007.

5. International finance, business, and corporate management programs, with emphasis on private sector partnerships that engage HBCU business schools, the departments of the Treasury and Commerce as well as the U.S. Small Business Administration, among others;
6. Programs that enhance the connectivity between HBCUs and their surrounding communities by developing leadership skills in financing community development, community service, and housing and community development; and
7. Training and professional skill-development programs that will prepare HBCU graduates for 21st-century careers in public safety, homeland security, information technology, health care, and other currently critical fields.¹

Transition Ongoing, the President's Board of Advisors 2007 annual performance report, like its predecessors, concentrates on the capacity-building priority of the president's executive order. Specifically, the Board believes successful outcomes can be achieved by concentrated effort on the types of programs and activities within federal departments and agencies that best contribute to the capacity-building goal of Executive Order 13256.² Focusing those agency programs and activities on the capacity-building objective will not only lead to an enhanced ability for HBCUs to compete for federal research grants, contracts, and cooperative agreements, but also will achieve more equitable results in funding allocations from all sources—particularly where awards are driven by a highly competitive process.³

Transition Ongoing is the fifth successive annual report⁴ evaluating designated departmental and agency performance. In the Board's view, this is a critical step forward because it represents consistency in the Board's oversight with a focus on increasing agency accountability and performance with respect to HBCU executive orders. The Board also believes it has a responsibility to continue to advance the role of HBCUs as a viable force in higher education and to support the need for continuing federal support for HBCUs in 21st-century America.⁵

² Executive Order 13256 of Feb. 12, 2002, Sec. 1.

³ Executive Order 13256 of Feb. 12, 2002, Sec. 4.

⁴ This report was preceded by: *Building Capacity for a Bold New Future FY 2001–02*; *The Mission Continues FY 2002–03*; and *Fulfilling the Covenant—The Way Forward FY 2004–05*; and *Still Climbing FY 2006*.

⁵ See *Guardians of the Flame—Historically Black Colleges: Yesterday, Today, Tomorrow*, Albert N. Whiting, Washington, DC: American Association of State Colleges and Universities, 1991; “The Living Legacy of Historically Black Colleges and Universities,” Freeman A. Hrabowski, III, *Black Issues in Higher Education*, 19(11), p. 35; and *I’ll Find a Way or Make One—A Tribute to Historically Black Colleges and Universities*, Juan Williams and Dwayne Ashley, New York: AMISTAD-HarperCollins Publishers, Inc., 2004.

Comparison of FY 2007 With FY 2006 Awards to HBCUs

This report concentrates its assessment on designated agency and department progress. This report also provides a perspective on the data presented for FY 2007 versus FY 2006 by focusing on an interim view of the challenges and opportunities presented by the goals of Executive Order 13256. Specifically, *Transition Ongoing* includes, by design, comprehensive, in-depth view of agency performance under the HBCU executive order by making only two years of comparisons: FY 2007 results versus FY 2006 results for HBCU spending. It also includes a brief analysis of aggregate spending from FY 2002-07 for both IHEs and HBCUs. Finally, the report examines reported funding by agencies and departments for those line items that are closely aligned with capacity building.

Fiscal Year 2007 Department and Agency Awards to the HBCUs

Under Executive Order 13256, the secretary of education is tasked with coordinating compliance efforts (Sec. 4) and administering the WHI on HBCUs (Sec. 3). Secs. 6 and 7 of the order also authorize the secretary to designate those agencies that are required to submit annual plans outlining their program compliance efforts and to report on their annual performance to the Board of Advisors through the WHI office in the U.S. Department of Education.

At this time, a thorough analysis is needed of the historical results of all participating departments and agencies. The Board expects to recommend to the secretary, after an in-depth review by WHI staff, a comprehensive analysis of the last five years to determine which department or agency programs have produced substantive outcomes or impacts. Based on those results, the Board will recommend that the secretary, assisted by WHI staff, develop a priority-driven agenda to be negotiated with agencies and departments to maximize program investment returns for both agencies and institutions. This may require involving traditional approaches and building more support for programs to replicate the successes achieved by existing structured programs at the Department of Defense (DOD), Department of Agriculture (USDA), the Department of the Interior (Interior), and National Aeronautics and Space Administration (NASA).⁶

FY 2007 Results

According to data provided to the White House Initiative on HBCUs for FY 2007 by the federal departments and agencies designated by the secretary, the funds awarded to the HBCUs decreased from **\$4,127,961,430 in FY 2006, to \$3,857,149,555 in FY 2007, a decrease of \$270, 811,875 or roughly 7 percent (6.56 percent).**

The results of the two years, however, are not completely comparable because all of the designated agencies did not provide performance reports in both years. In particular, the Department of Agriculture report was not submitted for FY 2007. To illustrate the impact, in FY 2006, Agriculture funded programs at HBCUs that totaled more than \$130 million; assuming that spending remained

⁶ USDA, NASA, and Interior have dedicated HBCU programs that have been highly successful in contributing to the missions of the agencies, and have served as focal points for supporting HBCUs (e.g., the 1890 Historically Black Land-Grant Universities program at USDA; the Minority University Research and Education Program [MUREP] at NASA; and the HBCU Historic Preservation Program at Interior).

flat (or varied slightly) for FY 2007, the missing funding report from Agriculture could conceivably explain almost half of the reported variance between these fiscal years. Another factor in pinpointing the source of the funding variance is that although the report template includes a section for variance explanations, few of the submissions identify or address either the direct and indirect causes (see Table 1).

Table 1. Number of departments and agencies with reported increases or decreases in HBCU funding: FY 2006 Versus FY 2007

FY 2006	FY 2007
Increase: 15	Increase: 8
Decrease: 8	Decrease: 18
Not Reported: 7	Not Reported: 5
Flat: 1	Flat: 0

Note: USDA, which typically provides the second largest amount of funds did not report.

The obvious conclusion is straightforward: **There are significantly fewer departments and agencies reporting increases in HBCU funding for FY 2007.** The eight departments and agencies reporting increases included: the Social Security Administration, the U.S. Department of the Treasury, the U.S. Department of State, the National Endowment for the Humanities, the U.S. Nuclear Regulatory Commission, the National Endowment for the Arts, the Office of Personnel Management, and the Appalachian Regional Commission.

In contrast, the departments and agencies reporting decreases in HBCU funding more than doubled (eight in FY 2006 versus 18 in FY 2007) and included traditionally substantial funders—the Department of Education, Department of Health and Human Services, NASA, the Department of the Interior, the National Science Foundation, the Department of Veterans Affairs, and the Department of Defense—as well as those with dedicated HBCU programs.⁷

Specifically, in FY 2007, the federal agencies covered by the executive order that submitted reports awarded \$112,088,331,709 to all IHEs. Assessing these numbers without the significant amount from Agriculture, the total compares unfavorably to FY 2006 when awards to IHEs totaled \$114,757,447,987—a decrease of \$2,669,116,278 or 2.33 percent.⁸ The same departments and agencies made awards totaling \$3,857,149,555 to HBCUs, or 3.44 percent of the reported total IHE funds awarded (see Appendix D). As a basis of comparison, in FY 2007, total awards to IHEs decreased to \$112,088,331 from \$114,757,447,987 in FY 2006, or by 2.33 percent. During the same period, funding to HBCUs decreased by 6.56 percent.

⁷ NASA and Department of the Interior both administer dedicated programs.

⁸ Lack of a report from Agriculture, a significant funding source, means that the total funding picture for both IHEs and HBCUs is actually **understated** for FY 2007. In addition, smaller impacts also are noted with regard to non-submission by the Small Business Administration and the Equal Employment Opportunity Commission.

Although seven agencies (out of 28 submissions) duly noted the magnitude of the variances between FY 2006 and FY 2007, their reports supplied no concrete explanations. In the few cases where causes were identified, the broad categories of variance explanations included:

- Discretionary funding fluctuations;
- Completion or expiration of existing grants;
- Discontinued programs;
- Absence of earmarked programs in FY 2007 versus FY 2006;
- Overall decrease in program participants between FY 2006 and FY 2007; and
- Discretionary funding diverted to support other agency objectives.⁹

Much of this variability reflects an emphasis on activities and initiatives rather than programs. On average, programs 1) tend to be better integrated into the strategic fabric of the agency or department; 2) possess a stable and defined management structure with accountability; and 3) perhaps most importantly, have defined measurement criteria as inputs to an evaluation process.

A total of eight departments and agencies reported increases in HBCU awards from last fiscal year (versus 15 in FY 2006, a significant decline). Table 2 presents the data for those posting an increase in HBCU spending.

Table 2. Federal departments and agencies with increased HBCU award amounts in FY 2007 versus FY 2006, by award amount, amount of and percentage of increase

Department/Agency*	FY 2007 (S)	FY 2006 (S)	Amount of Increase (S)	Percentage of Increase (%)
Treasury	\$170,218,468	\$116,410	\$170,102,058	--
State	\$6,987,108	\$5,680,102	\$1,307,006	23%
NRC	\$1,777,880	\$561,171	\$1,216,709	217%
SSA	\$1,264,278	\$1,069,649	\$194,629	18%
NEH	\$730,372	\$155,578	\$574,794	369%
OPM	\$166,727	\$104,655	\$62,072	59%
NEA	\$113,200	\$40,000	\$73,200	183%
ARC	\$55,000	\$35,000	\$20,000	57%

* See abbreviations on page vii.

Source: Data collected from FY 2006 and FY 2007 annual reports submitted by participating federal agencies under Presidential Executive Order 13256 to the White House Initiative on Historically Black Colleges and Universities.

When the awards to all HBCUs were compared to the awards made to all IHEs, the percentage increases that these dollar amounts represented for HBCUs was approximately 3.44 percent for FY 2007. Of the eight departments and agencies listed above, four of the eight also reported increases in overall IHE spending. Four agencies—the Social Security Administration, the Nuclear Regulatory Commission, the National Endowment for the Arts, and the Appalachian Regional Commission—reported decreases in overall IHE spending while reporting increases in HBCU award funding.

⁹ Variance explanations summarized from annual reports submitted to the White House Initiative on Historically Black Colleges and Universities by participating federal agencies and departments in January, February, March, and April 2008.

However, the decline in HBCU funding by 18 departments and agencies, including *several with dedicated HBCU programs* may have been adversely impacted by the department and agency budget development or congressional appropriations processes. Table 3 presents the data for those posting a decrease in HBCU spending.

Table 3. Federal departments and agencies with decreased HBCU award amounts in FY 2007 versus FY 2006, by award amount, amount of and percentage of increase

Department/Agency ^a	FY 2007 (\$)	FY 2006 (\$)	Amount of Decrease (\$)	Percentage Decrease (%)
Dept. of Defense ^b	\$13,806,589	\$80,687,055	\$66,880,466	83%
Dept. of Veterans Affairs	\$33,158,107	\$48,194,132	\$15,036,025	31%
Dept. of Labor	\$2,650,429	\$10,465,162	\$7,814,733	75%
Dept. of Energy	\$14,044,921	\$20,874,494	\$6,829,573	33%
Health & Human Services	\$177,571,585	\$183,704,987	\$6,133,402	3%
Dept. of Commerce	\$10,765,350	\$16,806,694	\$6,041,344	36%
NASA	\$27,885,510	\$32,973,725	\$5,088,215	15%
Dept. of the Interior	\$1,913,781	\$6,423,769	\$4,509,988	70%
Dept. of Transportation	\$4,141,704	\$8,378,663	\$4,236,959	51%
Housing & Urban Development	\$8,462,100	\$10,671,550	\$2,209,450	21%
U.S. AID	\$12,880,627	\$14,908,770	\$2,028,143	14%
National Science Foundation	\$70,286,875	\$72,309,303	\$2,022,428	3%
EPA	\$1,728,159	\$3,672,247	\$1,944,088	53%
Corporation for National Service	\$4,784,283	\$6,436,813	\$1,652,530	26%
Dept. of Justice	\$2,197,421	\$3,044,284	\$846,863	28%
Homeland Security	\$4,282,315	\$4,622,103	\$339,788	7%
Int'l Broadcasting Bureau	\$23,950	\$31,500	\$7,550	24%
NCUA	\$3,000	\$7,500	\$4,500	60%

^a See abbreviations on page vii.

^b The transmittal letter from the Office of the Under Secretary of Defense (March 7, 2008) indicated that their submission was “the *Interim* Department of Defense (DOD) FY 2007 Annual Report under 10 U.S.C. 2323....Presently, the FY 2007 award data is unofficial and has not been validated.”

Source: Data collected from FY 2006 and FY 2007 annual reports submitted by participating federal agencies under Presidential Executive Order 13256 to the White House Initiative on Historically Black Colleges and Universities.

When comparing HBCU spending trends for FY 2007 versus FY 2006, department and agency annual reports to the White House Initiative show:

- **Four departments and agencies reported increases in both HBCU and IHE spending.** The departments and agencies with funding trends in this category included Treasury, State, the National Endowment for the Humanities and the Office of Personnel Management. Treasury contributed \$169.8 million to finance capital improvement projects specifically for HBCUs. The two largest awards—\$79.1 million and \$70.8 million—were disbursed to Dillard University and Xavier University respectively, to finance reconstruction of campus buildings, new construction, and to refinance existing long-term obligations.
- **Ten departments and agencies reported decreases both in HBCU and IHE awards for FY 2007 compared to FY 2006.** Departments and agencies that fell in the decreased-amount category included Education, NASA, DoD, HUD, the VA, U.S. AID, Transportation, Commerce, Justice and the EPA.

- **Five departments and agencies had to be classified as “unknown” because of missing data for one or both years making it impossible to calculate the change in award levels.** Examples of agencies in this category include Agriculture, Labor, Small Business Administration, and the Equal Employment Opportunity Commission (EEOC). The Central Intelligence Agency is also included in this group because the agency submission is a narrative without aggregate funding information. The absence of reported data complicates the execution of consistent analyses and undermines the evaluation process (see Table 4).
- **Nine department and agencies reported “mixed” funding results.** Five departments and agencies—Health & Human Services, National Science Foundation, Energy, Homeland Security, and Interior and the Corporation for National and Community Service—reported *decreases in HBCU awards but increases in IHE awards*. Social Security Administration, Nuclear Regulatory Commission, and the National Endowment for the Arts all reported *increases in HBCU awards but decreases in IHE funding*.
- **The U.S. Department of Agriculture (USDA), the National Aeronautics and Space Administration (NASA) and the U.S. Department of the Interior have dedicated HBCU programs that have been successful in contributing to the missions of the agencies and have served as focal points for supporting HBCUs** (e.g., the 1890 Historically Black Land-Grant Institutions program at the USDA, the Minority University Research and Education Program [MUREP] at NASA, and the HBCU Historic Preservation Program at Interior).¹⁰
 - The missing submission from Agriculture for FY 2007 leaves a substantial gap in the analysis and may play a significant role in explaining the variances. In FY 2006, Agriculture funded IHEs for a total of \$1.4 billion. The department contributed roughly \$130 million to HBCUs in FY 2006.
 - The funding awards for IHEs and HBCUs at NASA decreased 21 percent and 15 percent, respectively. IHEs lost \$224.8 million in funding from NASA while HBCUs lost \$5.1 million.
 - The report from Interior noted, “The primary reason for this substantive decrease (\$4,372,264) is no new funds were awarded to HBCUs through the National Park Service (NPS) Historic Preservation Program in FY 2007.”¹¹ No explanation was provided as to why this was the case.

For FY 2007, while the dollar amount decreased slightly for all IHEs, the HBCU funding as percentage of the total amount of federal funds awarded to all of the IHEs decreased slightly as well to 3.5 percent, roughly comparable to the percentage reported for FY 2006. In the current environment, HBCUs are only maintaining a constant share of the funds “pie.”

¹⁰ Summaries supported by FY 2006 submissions by NASA, Department of Agriculture, and Department of the Interior to the White House Initiative staff.

¹¹ U.S. Department of the Interior, *Fiscal Year 2007 Annual Performance Report on Actions to Assist Historically Black Colleges and Universities*, May 2008.

Table 4. Total number of departments and agencies reporting spending, FY 2006 and FY 2007

FY 2006	FY 2007
Total Reporting Spending FY 2006: 29 Missing Reports: 2	Total Reporting Spending FY 2007: 28 Missing Reports: 3

Source: Data collected from annual reports submitted by participating federal agencies under presidential Executive Order 13256 to the White House Initiative on Historically Black Colleges and Universities.

The Board sees two potentially negative impacts of the dramatic increase in congressionally earmarked funds on the growth and the awarding of funds to HBCUs: (1) the presence and impact of institutional solicitation of noncompetitive and non-peer-reviewed awards (i.e., the impact that congressional earmarks for America’s colleges and universities have on research and development (R&D) funding, generally, and on IHE funding, specifically) and (2) the impact that the rise in congressional earmarks may have on the availability of appropriated funds for HBCU-targeted programs (e.g., Title III, Part B: Strengthening Historically Black Colleges and Universities Program and Historically Black Graduate Institutions Programs, and other programs that typically benefit students and programs at HBCUs). Of special interest in the latter categories, for example, would be the Title IV-- student assistance programs, the federal TRIO programs, and NASA’s MUREP.

Since 2002, HBCUs have received a total of \$17,335,991,617 of a reported \$495,395,730,593 in funds awarded to IHEs. With few minor exceptions, HBCU funding as a percentage of IHE funding has remained at this 3 percent level. After examining six years of funding results, in the absence of a strategy around which to rally participating departments and agencies, results for HBCUs in the years ahead are likely to remain historically consistent or experience decreases in the face of budget issues (see Table 5).

Table 5. Comparison of IHE and HBCU funding and percentage of IHE funding allocated to HBCUs: FYs 2002-07

Fiscal Year	HBCU Funding (\$)	IHE Funding (\$)	Percentage to HBCUs (%)
2002	\$1,706,973,401	\$41,590,068,897	4.1%
2003	\$662,923,156	\$24,975,071,775	2.7%
2004	\$3,481,200,597	\$96,487,551,222	3.6%
2005	\$3,498,783,478	\$105,378,755,610	3.3%
2006	\$4,127,961,430	\$114,875,951,380	3.6%
2007	\$3,858,149,555	\$112,088,331,709	3.4%

Source: Data collected from annual reports submitted by participating federal agencies under Presidential Executive Order 13256 to the White House Initiative on Historically Black Colleges and Universities

A Perspective on HBCU Funding

A close examination where possible of the rationales for the decreases in funding reveals the vulnerabilities faced by HBCUs depending on federal funding for capacity building.

- “Funding to HBCUs can fluctuate during any given period based on DOL’s discretionary budget and investment spending plan.”¹²
- “This 14% decrease of \$2,028,143 was partly due to limitations on discretionary resources that were diverted to other critical agency objectives, such as peace and security. Some programs involving HBCUs were completed and resources were limited for new programs.”¹³
- “In contrast to the category increases noted above, the Department experienced decreases under the R&D; Fellowships/Traineeships/Internships/Recruitment/Intergovernmental Personnel Act (IPAs); and Student Tuition Assistance award categories between FY 2006 and FY 2007.”¹⁴
- “Annual variability in program solicitation dates, award cycles, frequency of competitions, proposal success rates, etc. All of NSF programs are highly competitive.”¹⁵

It is clear that higher education funding at participating departments and agencies can be impacted—and not always positively—by a host of priorities competing for the available discretionary funds. In the current fiscal environment, it is easy for HBCU funds and the associated programs to end up as casualties in the budget-cutting process. Without tangible connections to departmental and agency missions and management accountability, the programs, initiatives and activities associated with HBCUs become expendable. And because capacity building rarely involves a mere 12-month window (and is likely to entail a complex process spanning several years) the current volatility in award levels thwarts HBCUs that are working to implement capacity-building strategies effectively.

The Board believes that a solution lies in focusing agency efforts on two important areas: (1) enhancing the capacity of the HBCUs to compete for traditional R&D and peer-reviewed applications for competitive funding and (2) increasing the number of agencies that establish and administer dedicated HBCU programs. The first option is a medium- to long-term goal and the second is a short- to medium term goal. The dedicated programs can provide an integral step by providing training and experience. Those experiences, in turn, can contribute to the competitiveness of HBCUs for traditional R&D and peer-reviewed applications for funding. The return on investment for both the federal government and the American people, and for the states and communities in which HBCUs are located, ultimately benefits everyone.

The Board remains convinced that these approaches, when coupled with consistent monitoring and annual oversight through the publication of the Board’s annual report to the president, and the

¹² U.S. Department of Labor *Fiscal Year (FY) 2007 Annual Federal Performance Report on Executive Agency Actions to Assist Historically Black Colleges and Universities (HBCUs)*, Feb. 19, 2008.

¹³ U.S. Agency for International Development (U.S. AID) *FY 2007 Annual Performance Report on Plans to Assist Historically Black Colleges & Universities*, April 1, 2008.

¹⁴ U.S. Department of Homeland Security *Annual Performance Report on Executive Agency Actions to Assist Historically Black Colleges and Universities for Fiscal Year 2007*.

¹⁵ National Science Foundation, Summary of Total Agency Awards by Category, *Annual Federal Program Performance Report Executive Agency Action*, Sec. B, Part I, Feb. 8, 2008

persistent participation of OMB through its review of designated agency budget requests, will produce positive results for HBCUs.

The Continuing Importance of HBCU Capacity Building

Executive Order 13256 introduced the concept of capacity building as an integral and strategic element of achieving the goal "... of increasing the capacity of historically black colleges and universities to participate in federal programs" (Sec. 6). The Board is committed to this approach not only as a means of facilitating the ongoing development of HBCUs, but also as a means of adding educational value to this subset of institutions. In the 21st-century knowledge-based economy, the capacity to create useful, new knowledge is of primary importance. In promoting HBCU capacity building, the nation can benefit from a return on its investment through:

- The research and development (R&D) activities at HBCUs, which will increase the knowledge base in such areas as teaching and learning, personal health, elder care, science and technology, community development, and public safety;
- The preparation of students and faculty to successfully participate in every aspect of human endeavor, including community service activities and entrepreneurship, and to engage in conventional, competitive research and in the educational process;
- A dramatic increase in the number of minority and low-income students entering college and earning degrees, especially in areas of national need, such as education, mathematics, science, health professions, technology and critical foreign languages; and
- The development and enhancement of corporate and community relationships that contribute to improved opportunities and achievement for those residing in and around HBCU campuses, and that contribute to the economic development and prosperity of families and businesses in the communities in which these institutions are located.

Another way to analyze the level of funding support for capacity building is to examine the spending categories reported by the participating departments and agencies. Focusing on the following categories: 1) research and development; 2) training; 3) facilities and equipment; 4) fellowships/internships/IPAs; 5) scholarships and tuition assistance; and 6) direct institutional subsidies. For the purposes of the following analysis, the loan programs administered by the Department of Education are *not* included. The sheer magnitude of the department's awards dwarfs the contributions of other agencies and can make meaningful analysis of those departments and agencies difficult.

Excluding Education and its loan programs, 24 departments and agencies out of 31 had funding in at least one of the six categories that can be associated with capacity building. The six without spending in at least one of the six categories included three agencies that did not provide reports for FY 2007: Agriculture, the SBA, and EEOC. The CIA has traditionally provided a narrative but no financial information. Total spending across the six categories totaled \$514,279,550, or 13 percent of total HBCU funding. The relatively small percentage attributable to capacity-building programs or activities raises the question of whether critical mass can actually be achieved to drive capacity building from sources other than the Department of Education.

Research and Development (R&D)

Thirteen departments and agencies reported R&D line items totaling \$199,937,252 (see Table 6).

Table 6. Department and agency R&D funding allocated to IHEs and percentage allocated to HBCUs: FY 2007

Department/Agency*	R&D Funding (\$)	Percentage Allocated to HBCUs (%)
Health & Human Services	\$115,886,788	58.0%
National Science Foundation	\$24,871,791	12.0%
NASA	\$22,186,616	11.0%
Commerce	\$9,469,280	5.0%
U.S. AID	\$9,360,921	5.0%
Energy	\$7,323,363	4.0%
Defense	\$6,857,257	3.0%
Transportation	\$2,236,806	1.0%
Homeland Security	\$911,544	0.5%
Nuclear Regulatory Commission	\$328,465	0.2%
Nat'l Endowment for Humanities	\$270,305	0.1%
Interior	\$163,000	0.1%
EPA	\$71,116	0.04%

* See abbreviations on page vii.

Source: Data collected from annual reports submitted by participating federal agencies under Presidential Executive Order 13256 to the White House Initiative on Historically Black Colleges and Universities.

Training

Seventeen departments and agencies funded training programs and activities for a total of \$97,420,691 (see Table 7).

Table 7. Department and agency training funding for IHEs and percentage of funding for HBCUs: FY 2007

Department/Agency*	Training Funding (\$)	Percentage Allocated to HBCUs (%)
NSF	\$42,348,694	43.5%
Health & Human Services	\$33,876,542	34.8%
Veterans Affairs	\$10,307,053	2.6%
State	\$3,316,522	0.8%
Labor	\$2,304,079	0.6%
NASA	\$1,877,616	0.5%
Energy	\$1,771,000	0.4%
EPA	\$710,275	0.2%
Transportation	\$329,451	0.1%
Homeland Security	\$295,160	0.1%
Treasury	\$95,000	0.0%
HUD	\$87,000	0.0%
Interior	\$72,500	0.0%
NRC	\$17,007	0.0%
Justice	\$10,600	0.0%
SSA	\$1,146	0.0%
Commerce	\$1,046	0.0%
Total	\$97,420,691	100%

* See abbreviations on page v.

Source: Data collected from annual reports submitted by participating federal agencies under presidential Executive Order 13256 to the White House Initiative on Historically Black Colleges and Universities.

Facilities and Equipment (F&E)

Ten departments and agencies reported facilities and equipment funding totaling \$174,272,211 (see Table 8).

Table 8. Department and agency facilities and equipment funding for IHEs and percentage of funding for HBCUs: FY 2007

Department/Agency*	F&E Funding (\$)	Percentage Allocated to HBCUs (%)
Treasury	\$169,850,000	97.0%
NSF	\$1,675,948	1.0%
Justice	\$1,377,689	0.8%
Homeland Security	\$545,445	0.3%
Commerce	\$492,250	0.3%
Interior	\$225,000	0.1%
Transportation	\$86,862	0.05%
SSA	\$10,000	0.01%
NASA	\$5,000	0.003%
EPA	\$4,017	0.002%
Total	\$174,272,211	100%

* See abbreviations on page v.

Source: Data collected from annual reports submitted by participating federal agencies under Presidential Executive Order 13256 to the White House Initiative on Historically Black Colleges and Universities.

As mentioned in a previous section of this report, Treasury's funding for Facilities and Equipment included guaranteed loans to Dillard (\$79,100,000), Xavier University of New Orleans (\$70,800,000), Tougaloo College (\$10,700,000), South Carolina State University (\$5,600,000), Tuskegee University (\$1,400,000), Harris-Stowe State University (\$1,300,000), disbursed to finance construction projects, refinance existing long-term obligations and finance infrastructure improvements.

Internships/Fellowships/IPAs, Scholarships & Tuition Assistance, and Direct Institutional Subsidies

The remaining capacity-building categories—Internships/Fellowships/IPAs, Scholarships & Tuition Assistance, and Direct Institutional Subsidies—totaled \$42,649,396. The internship/fellowship/IPA category included funding by 19 departments and agencies totaling \$15,241,236. The scholarship and tuition assistance category included funding from 11 departments and agencies totaling \$15,696,418. Only five departments or agencies reported direct institutional subsidies totaling \$11,711,742.

An analysis of the award categories is an important part of gauging the impact of capacity building. From a strategic perspective it is not just that the money is allocated and awarded, but equally as important is what activities and programs are being supported by those funds. Capacity building is at best a medium-term but more likely a long-term goal. Success hinges on 1) a solid strategy for investing in the right activities and programs; 2) a consistent level of resourcing; 3) establishment of success metrics; and 4) rigorous evaluation of outcomes.

The Role of the Private Sector in the Capacity-building Goal

As mentioned in the FY 2006 report, the role of the private sector was omitted from the executive order on HBCUs until President George H.W. Bush issued Executive Order 12677 in 1989. Despite this initiative, the private sector effort did not begin to gain momentum until the issuance of the current executive order, and after key Board members sought to develop a meaningful private sector strategic plan, as required by Sec. 9 of Executive Order 13256.¹⁶

The Board continues to maintain its belief that vital private sector partnerships are a critical part of the HBCU institutional capacity building and investment strategy inherent in Executive Order 13256. More importantly, the Board acknowledges that a successful private sector strategy is essentially a three-way partnership that includes at least one designated federal department or agency, rather than the two-way or institutional private sector partnership contemplated by the *2004 Private Sector Strategic Plan*.¹⁷ Additional critical elements are covered below.

The plan must further clarify the benefits for HBCUs of implementing a three-way partnership including (1) a designated federal agency, (2) a major private sector entity, and (3) a cluster of HBCUs rather than a single institution. Tactically, this could potentially maximize the probabilities for success by providing broader exposure for a larger number of institutions. Clusters could be created based on current strengths and potential strategic development by the institutions. Shared interests and outcomes as well as a desire to work together to help benefit the HBCUs and their students are also critical success factors.

The plan also must engage an appropriate federal department or agency whose leverage with a private sector entity (that shares the same interest or desire to work cooperatively with that agency) would produce a triple win for all involved: the agency, the private sector entity, and the cluster of HBCUs. An example of the entities in such an arrangement would be the U.S. Department of the Treasury or the U.S. Department of Commerce, the HBCU business schools, and major financial services firms. Another example might be the Department of Defense, HBCU science or technology departments and technology companies.

Consistent with the recommendations of the previous report, the Board remains persuaded that these strategic initiatives could be more successfully implemented if they were delegated to those key federal agencies with the interest, existing relationships, and resources to support these types of programmatic thrusts. While some coordination and monitoring should remain with the WHI staff, success may depend on allowing the three partners the freedom to develop and implement their own ideas after they construct meaningful memoranda of understanding. The WHI staff could then concentrate its efforts on cultivating new relationships or deepening relationships with other agencies and the private sector.

Lastly, the plan must strengthen what and how both the federal agency and the private-sector entities focus their attention on and contribute to the capacity-building benefits for the HBCUs (e.g., summer employment, academic-year internships or permanent employment opportunities, faculty exchanges, scholarships and fellowships or endowed chairs for faculty, etc.). The Department of

¹⁶ U.S. Department of Education, *Fulfilling the Covenant—The Way Forward, 2004-05 Annual Report to the President*, p. 15

¹⁷ *The Private Sector Plan* was developed by the Private Sector Subcommittee of the President's Board of Advisors on HBCUs.

Defense's Mentor-Protégé Program, continues to be the best example of how agencies can leverage their private sector business relationships to increase capacity building at HBCUs. Federal agencies should encourage partnerships between HBCUs and Federally Funded Research and Development Centers (FFRDCs). Partnering with FFRDCs will not only enable HBCUs to participate in the basic and applied research being conducted on behalf of the federal government, but could also position the institution to receive infrastructure assistance through laboratory and equipment transfers under 10 U.S.C 2323, "Contract Goal for Small Disadvantaged Businesses and Certain Institutions of Higher Education." The bottom line is that the strategic benefits must be clearly articulated for all the partners. For the private sector partners, benefits could include recruitment opportunities beyond their designated recruiting campuses, faculty-employee exchanges, data gathering and analysis, and research activities.

HBCU Best Practice: Office of Naval Research's Historically Black Colleges and Universities/Minority Institutions Program

Particularly noteworthy are the HBCU program efforts conducted by the Office of Naval Research (ONR). ONR was assigned the responsibility to manage the Navy's HBCUs/MIs program by the secretary of the navy. The Navy-wide program manager oversees the Department of the Navy (DON) programs supporting HBCUs/MIs program. The program manager is responsible for encouraging, developing, implementing, managing, evaluating, and reporting on activities and programs that strengthen and support the capabilities of the HBCUs/MIs to participate in DON science and technology programs, contracting opportunities, and workforce recruitment for both civilian and military positions. The program manager issues program guidance, administrative instructions, and monitors their implementation within participating naval activities. In addition, the program manager communicates Navy needs to the HBCUs/MIs community and highlights opportunities to participate in Navy programs as well as coordinates Navy HBCUs/MIs activities with other DOD and federal organizations.

The secretary of the Navy Instruction also established the Navy-wide HBCUs/MIs Council. The council is chaired by the Naval HBCUs/MIs program manager. The council is comprised of all the Navy Systems Commands, the Navy Small Business Office, and the Chief of Naval Operations office. The council members are all senior managers in the Navy and, in the case of the systems commands, are responsible for the Navy's small business program offices. Responsibilities of the administering offices include:

- Designation and identification of point of contact within the administering office consistent with the guidance and instructions provided by the HBCUs/MIs program manager and the publication of an administering office internal statement of HBCU policy(ies);
- Establishment of budgetary and other planning to support HBCUs/MIs efforts within the administering office, including personnel availability, travel, training, and periodic conference attendance; and
- Implementation of guidance and instructions, as applicable, issued by the HBCU program manager.

The following programs address the capacity-building goal and fully integrate it with private sector engagement.

- The **Research and Education Partnership Program (REPP)**¹⁸ provides funding for science and engineering research in areas of interest to the Department of the Navy and furthers the education of students at the HBCUs/MIIs through scholarship support and through their participation in the research. REPP is designed to improve the capabilities of HBCUs/MIIs to conduct research and to educate scientists and engineers in research areas important to the Department of the Navy DON mission.
- The **ONR Summer Faculty Program** encourages university professors to participate in research at a Navy research and development laboratory. This program provides an opportunity for faculty members to participate in research of mutual interest to the faculty member and their professional peers at U.S. Navy Laboratories. The Summer Faculty Research Program is a 10-week program.¹⁹
- The **Historically Black Engineering Colleges Future Faculty Fellowship Program** is designed to develop and attract qualified engineering faculty to HBCUs with engineering programs.²⁰

¹⁸ Telephone interview with Anthony Junior, HBCU program manager, ONR.

¹⁹ See http://onr.asee.org/about_the_summer_faculty_program.

²⁰ See <http://www.onr.navy.mil/~media/Files/Funding-Announcements/BAA/10-023-STEM-BAA.ashx>

Recommendations

Rather than developing a new set of recommendations, this report seeks to (1) focus on agency accountability for achieving previously articulated Board recommendations as well as its “10-percent” milestone; and (2) create a dialogue on how to encourage the development of more programs and associated activities that drive capacity building. The Board believes that increased accountability and the implementation of more dedicated HBCU programs similar to those overseen by the Department of Navy focused on capacity building can facilitate the achievement of both milestones.

Ongoing Efforts to Enact Previous Board Recommendations

There is still a long way to go in realizing the capacity-building program objective and in achieving significant progress towards the Board’s 10-percent milestone. Hence, the Board has committed to intensifying its efforts to achieve all of its previous recommendations, but especially the creation of HBCU-dedicated programs in each designated department and agency, and the devotion of certain programs to the capacity-building function outlined in Sec. 6 of the executive order. Several critical themes are repeated in this report to emphasize their importance for achieving the purposes of Executive Order 13256:

- **Establishment of dedicated HBCU programs located within the business and acquisition program support areas** at departments and agencies with missions and core business activities that support and enable a focus on institutional capacity-building, as defined in Executive Order 13256;
- **Creation of federal centers of excellence at HBCUs**, especially by those agencies and departments with a core research mission or well-defined programmatic functions that can be aligned with the research mission or key academic programs at HBCUs;
- **Enhanced support for academic programs in the STEM** (science, technology, engineering and mathematics) areas, including health services and public health;
- **Increased support for creating and enhancing doctoral programs**, including existing pharmacy, medicine, dentistry, nursing, and veterinary medicine programs, in areas in which African-Americans are underrepresented, especially in the STEM areas and public health;
- **Increased agency support to HBCUs from discretionary funding accounts through cooperative agreements and other agency initiatives**, including those with private-sector partners that integrate the agency mission with private-sector interests and the needs and academic strengths of HBCUs. One example of this is the Department of Defense Infrastructure Program. This program awards grants to purchase instrumentation and equipment, to support individual faculty research, to support undergraduate and graduate student training, and to establish research and education centers; and
- **Increased agency support to HBCUs through partnerships with Federally Funded Research and Development Centers (FFRDCs)**. DOD’s Multidisciplinary University Research Initiative (MURI) program is a perfect example of leveraging the capabilities of both HBCUs and the FFRDC communities. MURI supports university teams conducting research that involves more than one traditional science and engineering discipline:
 - The emergence of new concepts and the creation of new knowledge can be achieved more readily when investigators with different backgrounds and disciplines collaborate.

- The MURI team efforts integrate with other DOD programs that support university research through single-investigator awards.
- The larger MURI grants enable universities to acquire and share more state-of-the-art instrumentation and allow training for more graduate students.
- Most importantly, MURI has led to significant technical discoveries and innovations that have successfully moved from research to applications supporting the major defense missions.

The Board remains committed to the realization of its recommendation that agency awards through grants, contracts, cooperative agreements, and other agency procurement vehicles should be equal to no less than 10 percent of the amount the agency awards each year to all IHEs.

General Recommendations:

1. Each designated department and agency under Executive Order 13256 should provide the information required by Sec. 6 of the Executive Order electronically, to the White House Initiative on HBCUs, in a format that provides growth data regarding awards to HBCUs, specific data with regard to capacity building, and private sector funds awarded to HBCUs as a result of partnerships involving one or more federal agencies.

2. The secretary of education should consider negotiating specific strategic agendas for the designated federal departments and agencies—based on a review by the WHI staff and specific recommendations by the Board of Advisors—to enhance WHI monitoring and oversight of agency performance under Executive Order 13256 and OMB budget review, and to increase the dollars awarded to HBCUs by those departments and agencies with significant procurement budgets and missions that parallel the institutional missions and academic programs of HBCUs.

Conclusion

Although funding is being awarded to HBCUs by the 31 designated federal departments and agencies, precisely how much progress has been achieved towards capacity building is difficult to determine. The dollar value of the monetary awards and the activities that they support is only part of the picture. One has to ask: Where is the concrete strategy that effectively supports ongoing HBCU efforts in capacity building?

The very different picture presented by FY 2007—a 7 percent decline in awards to HBCUs from FY 2006—is troubling given the challenges the institutions face. Lasting gains in capacity building cannot happen overnight, but neither can they happen in an environment where the funding picture is dramatically different from one year to the next. Ultimately, the effectiveness of this initiative hangs on the decision about the magnitude of the change that needs to be created—whether to be satisfied with incremental change or to undertake fundamental and lasting change.

Appendix A: Executive Order 13256

Executive Order—White House Initiative on Historically Black Colleges and Universities

By the authority vested in me as President by the Constitution and the laws of the United States of America, in order to advance the development of the Nation's full human potential and to advance equal opportunity in higher education, to strengthen the capacity of historically black colleges and universities to provide the highest quality education, and to increase opportunities for these institutions to participate in and benefit from Federal programs, as do other colleges and universities, it is hereby ordered as follows:

Section 1.

There is established, in the Office of the Secretary of Education, a Presidential advisory committee entitled the "President's Board of Advisors on Historically Black Colleges and Universities" (Board). The Board shall prepare and issue an annual report to the President on the results of the participation of historically black colleges and universities in Federal programs. The Board also shall provide advice to the President and to the Secretary of Education (Secretary) regarding the needs of historically black colleges and universities in the areas of infrastructure, academic programs, and faculty and institutional development. In the annual report to the President, the Board shall make recommendations on how to increase the private sector role, including the role of private foundations, in strengthening historically black colleges and universities. Particular emphasis should also be given in the report to enhancing institutional planning and development, strengthening fiscal stability and financial management, and improving institutional infrastructure, including the use of technology, to ensure the long-term viability and enhancement of these institutions.

Section 2.

The Board shall be appointed by the President. The Board membership shall include sitting presidents of historically black colleges and universities, representatives of other higher education institutions, business and financial leaders, representatives of private foundations, and secondary school administrators. The President shall designate a Chair or Co-Chairs from among the members.

Section 3.

The White House Initiative on Historically Black Colleges and Universities (Initiative), located in the Office of the Secretary of Education, shall: (1) provide staff, resources, and assistance to the Board; (2) assist the Secretary in performing the liaison function between the executive branch and historically black colleges and universities; and (3) serve the Secretary in carrying out the responsibilities described in section 6 of this order.

Section 4.

To carry out this order, each executive department and agency identified by the Secretary may, consistent with applicable law and regulations, enter into appropriate grants, contracts, or cooperative agreements with historically black colleges and universities. The head of each department or agency so identified shall establish an annual plan that will establish clear goals for how the department or agency intends to increase the capacity of historically black colleges and universities to compete effectively for grants, contracts, or cooperative

agreements and to encourage historically black colleges and universities to participate in Federal programs. The department's or agency's annual goal should be clearly reflected in the department's or agency's annual budget sub-mission to the Office of Management and Budget. To facilitate the attainment of these goals, the head of each department or agency identified by the Secretary shall provide, as appropriate, technical assistance and information to historically black colleges and universities regarding the program activities of the department or agency and the preparation of applications or proposals for grants, contracts, or cooperative agreements.

Section 5.

Each executive department and agency identified by the Secretary shall appoint a senior official, who is a full-time officer of the Federal Government, to report directly to the department or agency head with respect to department or agency activity under this order, and to serve as liaison to the Board and to the Initiative. To the extent permitted by law and regulations, each executive department and agency identified by the Secretary shall provide appropriate information requested by the Board and staff pursuant to the order.

Section 6.

Each executive department and agency identified by the Secretary shall develop an annual plan for, and shall document the agency's effort in, increasing the capacity of historically black colleges and universities to participate in Federal programs. Each department's and agency's plan shall describe new or existing department and agency programs and measurable objectives for proposed department and agency actions, in connection with those programs, to achieve the purposes of this order. These plans shall be submitted at such time and in such form as the Secretary shall require. In consultation with the participating departments and agencies, the Secretary shall review the plans and develop, with the advice of the Board, an integrated Annual Federal Plan for Assistance to Historically Black Colleges and Universities for submission to the President. The Secretary shall provide the president of each historically black college and university with a copy of, and an opportunity to comment on, the proposed Annual Federal Plan prior to its submission to the President. Each participating department and agency shall submit to the Secretary an Annual Performance Report that shall measure each department's and agency's performance against the objectives set forth in the department's or agency's annual plan. The Secretary shall be responsible for monitoring compliance with the Annual Federal Plan after it is approved by the President.

Section 7.

In developing its annual plan, each executive department and agency identified by the Secretary shall emphasize programs and activities that develop the capacity of historically black colleges and universities to contribute to the development of human capital and to strengthen America's economic and technological base through: (1) infrastructure development and acquisitions for instruction and research; (2) student and faculty doctoral fellowships and faculty development; (3) domestic and international faculty and student exchanges and study-abroad opportunities; (4) undergraduate and graduate student internships; and (5) summer, part-time, and permanent employment opportunities.

Section 8.

Each year, the Board shall report to the President on the progress achieved in enhancing the capacity of historically black colleges and universities to serve their students, including findings and recommendations for individual departments and agencies in connection with their Annual Performance Reports, as described in section 6 of this order.

Section 9.

The Board, in consultation with the Department of Education and other executive departments and agencies, shall develop a Private Sector Strategy to assist historically black colleges and universities in: (1) increasing voluntary private-sector contributions to support the enhancement of endowments and the overall financial stability of such institutions; (2) improving and enhancing the quality and number of private-sector partnerships focused on academic program development, student achievement and faculty development, cooperative research and development projects, and faculty exchanges; and (3) improving information management, and facilities, and strengthening academic course offerings.

Section 10.

1. The provisions in this Executive Order shall be implemented to the fullest extent permitted by law.
2. The Department of Education shall provide funding and administrative support for the Board and the Initiative.
3. Members of the Board shall serve without compensation, but shall be reimbursed for all travel expenses, including per diem in lieu of subsistence, as authorized by law;
4. Insofar as the Federal Advisory Committee Act, as amended, may apply to the Board, any functions of the President under that Act, except for those in section 6 of that Act, shall be performed by the Department of Education, in accordance with the guidelines that have been issued by the Administrator of General Services.

Section 11.

Executive Order 12876 of November 1, 1993, as amended, is hereby revoked.

GEORGE W. BUSH
THE WHITE HOUSE,
February 12, 2002.

Appendix B: List of Historically Black Colleges and Universities and Web Sites, by Four and Two-Year, Public and Private Institutions

Four-Year Public Institutions	State
Alabama A&M University http://www.aamu.edu/	Alabama
Alabama State University http://www.alasu.edu	Alabama
University of Arkansas at Pine Bluff http://www.uapb.edu	Arkansas
University of the District of Columbia http://www.udc.edu/	District of Columbia
Delaware State University http://www.desu.edu	Delaware
Florida A&M University http://www.famu.edu	Florida
Albany State University http://asuweb.asurams.edu	Georgia
Fort Valley State University http://www.fvsu.edu	Georgia
Savannah State University http://www.savstate.edu	Georgia
Kentucky State University http://www.kysu.edu	Kentucky
Grambling State University http://www.gram.edu	Louisiana
Southern University A&M College http://www.subr.edu	Louisiana
Southern University at New Orleans http://www.suno.edu	Louisiana
Bowie State University http://www.bowiestate.edu	Maryland
Coppin State College http://www.coppin.edu/	Maryland
Morgan State University http://www.morgan.edu	Maryland
University of Maryland Eastern Shore http://www.umes.edu/	Maryland
Alcorn State University http://www.alcorn.edu	Mississippi
Jackson State University http://www.jsu.ms.edu	Mississippi
Mississippi Valley State University http://www.mvsu.edu	Mississippi
Harris-Stowe State University http://www.hssu.edu	Missouri

**Appendix B: List of Historically Black Colleges and Universities and
Web Sites, by Four and Two-Year, Public and Private Institutions
(cont'd)**

Four-Year Public Institutions	State
Lincoln University http://www.lincolnu.edu	Missouri
Elizabeth City State University http://www.ecsu.edu/	North Carolina
Fayetteville State University http://www.uncfsu.edu/	North Carolina
North Carolina A&T State University http://www.ncat.edu/	North Carolina
North Carolina Central University http://www.nccu.edu/	North Carolina
Winston-Salem State University http://www.wssu.edu	North Carolina
Central State University http://www.centralstate.edu/	Ohio
Langston University http://www.lunet.edu	Oklahoma
Cheyney University of Pennsylvania http://www.cheyney.edu/	Pennsylvania
Lincoln University http://www.lincoln.edu	Pennsylvania
South Carolina State University http://www.scsu.edu/	South Carolina
Tennessee State University http://www.tnstate.edu/	Tennessee
Prairie View A&M University http://www.pvamu.edu	Texas
Texas Southern University http://www.tsu.edu	Texas
Norfolk State University http://www.nsu.edu	Virginia
Virginia State University http://www.vsu.edu	Virginia
Bluefield State College http://www.bluefield.wvnet.edu	West Virginia
West Virginia State University http://www.wvstateu.edu	West Virginia
University of the Virgin Islands http://www.uvi.edu/pub-relations/uvi/home.html	U.S. Virgin Islands

**Appendix B: List of Historically Black Colleges and Universities and
Web Sites, by Four and Two-Year, Public and Private Institutions
(cont'd)**

Four-Year Private Institutions	State
Concordia College Selma http://www.concordiaselma.edu/	Alabama
Miles College http://www.miles.edu/	Alabama
Oakwood University http://www.oakwood.edu/	Alabama
Selma University http://www.selmauniversity.org/	Alabama
Stillman College http://www.stillman.edu/	Alabama
Talladega College http://www.talladega.edu/	Alabama
Tuskegee University http://www.tuskegee.edu/	Alabama
Arkansas Baptist College http://www.arkansasbaptist.edu	Arkansas
Philander Smith College http://www.philander.edu	Arkansas
Howard University http://www.howard.edu	District of Columbia
Bethune-Cookman University http://www.bethune.cookman.edu	Florida
Edward Waters College http://www.ewc.edu	Florida
Florida Memorial University http://www.fmuniv.edu/	Florida
Clark Atlanta University http://www.cau.edu/	Georgia
Interdenominational Theological Center http://www.itc.edu	Georgia
Morehouse College http://www.morehouse.edu	Georgia
Morehouse School of Medicine http://www.msm.edu/	Georgia
Morris Brown College http://www.morrisbrown.edu	Georgia
Paine College http://www.paine.edu/	Georgia
Spelman College http://www.spelman.edu/	Georgia
Dillard University http://www.dillard.edu	Louisiana
Xavier University of Louisiana http://www.xula.edu	Louisiana

**Appendix B: List of Historically Black Colleges and Universities and
Web Sites, by Four and Two-Year, Public and Private Institutions
(cont'd)**

Four-Year Private Institutions	State
Rust College http://www.rustcollege.edu	Mississippi
Tougaloo College http://www.tougaloo.edu	Mississippi
Barber-Scotia College http://www.b-sc.edu/	North Carolina
Bennett College http://www.bennett.edu/	North Carolina
Johnson C. Smith University http://www.jcsu.edu/	North Carolina
Livingstone College http://www.livingstone.edu	North Carolina
Shaw University http://www.shawuniversity.edu/	North Carolina
St. Augustine's College http://www.st-aug.edu/	North Carolina
Wilberforce University http://www.wilberforce.edu/	Ohio
Allen University http://www.allenuniversity.edu	South Carolina
Benedict College http://www.benedict.edu/	South Carolina
Clafin University http://www.clafin.edu	South Carolina
Morris College http://www2.morris.edu/index.asp	South Carolina
Voorhees College http://www.voorhees.edu	South Carolina
Fisk University http://www.fisk.edu/	Tennessee
Knoxville College http://www.knoxvillecollege.edu	Tennessee
Lane College http://www.lanecollege.edu/	Tennessee
Lemoyne-Owen College http://www.loc.edu	Tennessee
Meharry Medical College http://www.mmc.edu	Tennessee
Huston-Tillotson University http://www.htu.edu	Texas
Jarvis Christian College http://www.jarvis.edu	Texas
Paul Quinn College http://www.pqc.edu/	Texas

**Appendix B: List of Historically Black Colleges and Universities and
Web Sites, by Four and Two-Year, Public and Private Institutions
(cont'd)**

Four-Year Private Institutions	State
Southwestern Christian College http://www.swcc.edu/	Texas
Texas College http://www.texascollege.edu	Texas
Wiley College http://www.wileyc.edu/	Texas
Hampton University http://www.hamptonu.edu/	Virginia
Saint Paul's College http://www.saintpauls.edu/	Virginia
Virginia Union University http://www.vuu.edu	Virginia
Virginia University of Lynchburg http://www.vulonline.us/	Virginia
Two-Year Public Institutions	State
Bishop State Community College http://www.bscc.cc.al.us/	Alabama
Shelton State Community College, C. A. Fredd Campus http://www.sheltonstate.edu/	Alabama
Gadsden State Comm. College, Valley Street http://www.gadsdenst.cc.al.us/	Alabama
J. F. Drake State Technical College http://www.dstc.cc.al.us/	Alabama
Lawson State Community College http://www.ls.cc.al.us/	Alabama
Trenholm State Technical College http://www.trenholmtech.cc.al.us	Alabama
St. Philip's College http://www.accd.edu/spc/spcmain/spc.htm	Texas
Southern University at Shreveport http://www.susla.edu	Louisiana
Coahoma Community College http://www.ccc.cc.ms.us	Mississippi
Hinds Community College, Utica http://www.hindscc.edu	Mississippi
Denmark Technical College http://www.denmarktech.edu	South Carolina
Two- Year Private Institutions	State
Shorter College http://www.shortercollege.4t.com/	Arkansas
Lewis College of Business http://www.lewiscollege.edu/	Michigan
Clinton Junior College http://www.clintonjuniorcollege.edu	South Carolina

Appendix C: 2007 Designated Departments and Agencies Under Executive Order 13256

Appalachian Regional Commission
Broadcasting Board of Governors
Central Intelligence Agency
Corporation for National and Community Service
Environmental Protection Agency
Equal Employment Opportunity Commission
National Aeronautics and Space Administration
National Credit Union Administration
National Endowment for the Arts
National Endowment for the Humanities
National Science Foundation
Office of Personnel Management
Social Security Administration
U.S. Department of Agriculture
U.S. Department of Commerce
U.S. Department of Defense
U.S. Department of Education
U.S. Department of Energy
U.S. Department of Health & Human Services
U.S. Department of Homeland Security
U.S. Department of Housing & Urban Development
U.S. Department of the Interior
U.S. Department of Justice
U.S. Department of Labor
U.S. Department of State
U.S. Department of Transportation
U.S. Department of the Treasury
U.S. Department of Veterans Affairs
U.S. Agency for International Development
U.S. Nuclear Regulatory Commission
U.S. Small Business Administration

**Appendix D: White House Initiative on HBCUs:
FY 2007 Department and Agency Award Amounts to
IHEs, HBCUs and Percentage to HBCUs,
Based on Annual Federal Performance Report**

Department/Agency	Awards to IHEs (\$)	Awards to HBCUs (\$)	Percentage to HBCUs (%)
U. S. Department of Education	\$82,797,870,628	\$3,285,249,816	4%
U. S. Department of Health and Human Services	\$17,574,512,948	177,571,585	1%
U. S. Department of Agriculture	NS	NS	N/A
National Aeronautics & Space Administration	\$868,914,638	27,885,510	3.2%
U. S. Department of Defense	\$1,914,678,884	13,806,589	0.7%
National Science Foundation	\$4,331,439,748	70,286,875	1.6%
U. S. Department of Veterans Affairs	\$2,337,114,975	33,158,107	1.4%
U. S. Department of Energy	\$828,180,081	14,044,921	1.7%
Agency for International Development	\$134,102,953	12,880,627	9.6%
U. S. Department of Labor	\$150,503,151	2,650,429	1.8%

**Appendix D: White House Initiative on HBCUs:
 FY 2007 Department and Agency Award Amounts to
 IHEs, HBCUs and Percentage to HBCUs,
 Based on Annual Federal Performance Report (cont'd)**

Department/Agency	Awards to IHEs (\$)	Awards to HBCUs (\$)	Percentage to HBCUs (%)
U. S. Department of Homeland Security	\$86,945,813	\$4,282,315	4.9%
U. S. Department of Housing and Urban Development	\$21,427,959	\$8,462,100	39%
U. S. Department of Transportation	\$95,399,456	\$5,141,704	5%
U. S. Department the Interior	\$66,185,491	\$1,913,781	2.89%
U. S. Small Business Administration	NS	NS	N/A
U. S. Department of Commerce	\$383,040,092	\$10,765,350	2.81%
U. S. Department of Justice	\$4,310,425	\$2,197,421	51.0%
Social Security Administration	\$6,013,372	\$1,264,278	21%
Corporation for National Service	\$141,338,381	\$4,784,283	3.4%
U. S. Department of the Treasury	\$858,608	\$170,218,468	N/A

**Appendix D: White House Initiative on HBCUs:
FY 2007 Department and Agency Award Amounts to
IHEs, HBCUs and Percentage to HBCUs,
Based on Annual Federal Performance Report (cont'd)**

Department/Agency	Awards to IHEs (\$)	Awards to HBCUs (\$)	Percentage to HBCUs (%)
U. S. Department of State	\$167,827,674	\$6,987,108	4.16%
National Endowment for the Humanities	\$40,611,255	\$730,372	1.8%
U. S. Nuclear Regulatory Commission	\$10,883,714	\$1,777,880	16%
National Endowment for the Arts	\$3,217,822	\$113,200	3.5%
National Credit Union Administration	\$89,500	\$3,000	3.35%
Environmental Protection Agency	\$117,582,956	\$1,728,159	1.5%
Central Intelligence Agency	0	0	N/A
Office of Personnel Management	\$4,320,668	\$166,727	3.86%
International Broadcasting Bureau	\$352,313	\$23,950	6.80%
Appalachian Regional Commission	\$608,203	\$55,000	9%

**Appendix D: White House Initiative on HBCUs:
 FY 2007 Department and Agency Award Amounts to
 IHEs, HBCUs and Percentage to HBCUs,
 Based on Annual Federal Performance Report (cont'd)**

Department/Agency	Awards to IHEs (\$)	Awards to HBCUs (\$)	Percentage to HBCUs (%)
Equal Employment Opportunity Commission	0	0	N/A
Grand Total	\$112,088,331,709	\$3,858,149,555	3.44%

* Note- NS indicates that the amount awarded is not specified.

Source: Data collected from annual reports submitted by participating federal agencies under Presidential Executive Order 13256 to the White House Initiative on Historically Black Colleges and Universities



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