

Fiscal Year 2010

**ANNUAL REPORT
To the President on the Results of the
Participation of
Historically Black Colleges and
Universities in Federal Programs**



U.S. Department of Education

The White House Initiative on
Historically Black Colleges and Universities

2010 Annual Report to the President on the Results of the
Participation of Historically Black Colleges and Universities
in Federal Programs

2010

U.S. Department of Education

White House Initiative on
Historically Black Colleges and Universities

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December 2013

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December 2013

Dear President Obama:

We are pleased to make available to you this 2010 Annual Report on federal funding to Historically Black Colleges and Universities (HBCUs). Among other things, Executive Order 13532 charges us to “improve the availability, dissemination, and quality of information concerning HBCUs to inform public policy and practice.” We believe this report is an important step in that direction.

When you took office in January 2009, no report had been officially posted since 2005. We worked hard to complete and post the reports from 2006, 2007, 2008, and 2009. Combining the 2010 agency findings with the 2011 activities of the President’s Board of Advisors, this is the first report of the White House Initiative on HBCUs fully generated under your administration.

Previous annual reports provided an abundance of statistics, e.g. comparing year-to-year funding changes to HBCUs in total and by federal agency, but with less emphasis on explaining why the changes in funding to HBCUs occurred. The result was a minimal understanding of the factors behind HBCU funding changes from year to year, other than funding increases or decreases by a particular amount or percentage.

This year’s report has an added focus: To provide a greater understanding of a) what each agency does, b) their missions, c) what specific HBCU research and projects were funded by each agency and which HBCUs (when the information was available) received funding, and d) why funding changes occurred from 2009 to 2010 (when the information was available). We provide a summary of those federal agencies that granted \$5 million or more in yearly HBCU funding.

In changing the format of the annual report, the goal was to provide more information and insight about accessing federal agency funding, and what the initiative and the President’s Board of Advisors are doing to help enhance that access.

We will continue to improve our reporting on our efforts to strengthen the capacity of HBCUs and welcome constructive feedback from all readers.

George Cooper
Executive Director
White House Initiative on Historically Black Colleges and Universities

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Introduction

There are 106 Historically Black Colleges and Universities (HBCUs) located in the United States, including the District of Columbia and the U.S. Virgin Islands. This annual report provides a snapshot of federal agency awards to HBCUs during FY 2010. The format of this FY 2010 annual report is, in part, a departure from that of recent annual reports. It places an increased emphasis on highlighting select federal agencies' missions and funding capabilities to provide readers with a better understanding of the availability of federal agency resources.

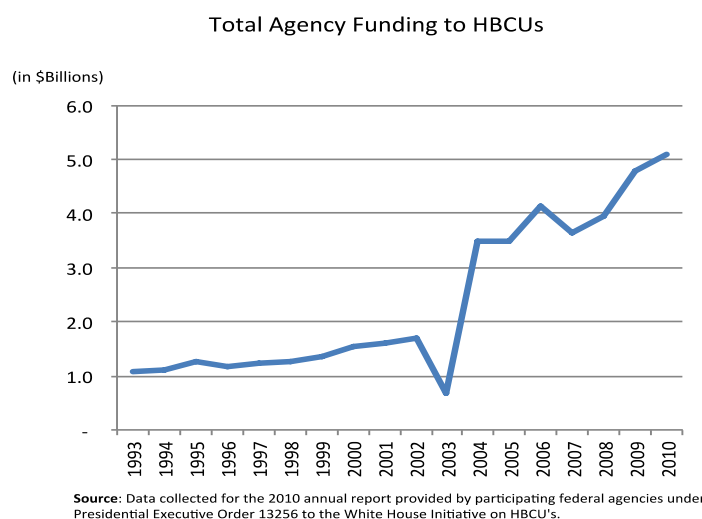
The FY 2010 annual report has three major sections:

- FY 2010 Results and Agency Summaries
- President's Board of Advisors Recommendations
- Other Initiative Activities and Subcommittee Reports in Support of Executive Order 13532

FY 2010 Results and Agency Summaries

1. Historical Perspective of Federal Agency Funding, All Agencies

Figure 1. Total federal agency funding to HBCUs in actual dollars: 1993–2010



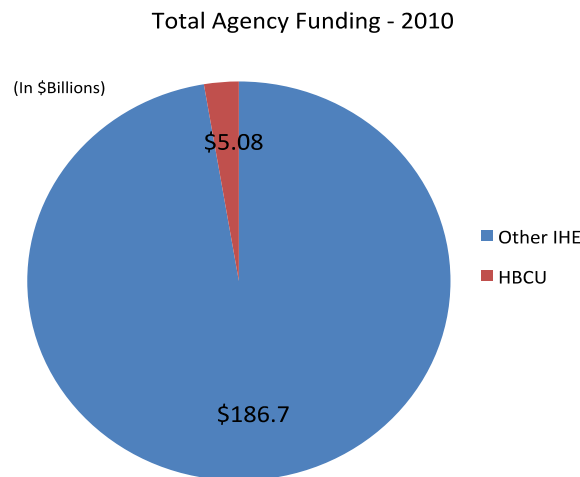
FY 2010 marked the fourth straight year of increased funding from federal agencies to HBCUs. During the year, HBCUs received \$5.08 billion in federal agency funding compared to \$4.78 billion in FY 2009, \$3.96 billion in FY 2008, and \$3.64 billion in FY 2007 (Figure 1).

In FY 2010, Institutions of Higher Education (IHE), including HBCUs, received \$191.77 billion in federal agency funding, representing an increase from \$174.47 billion awarded in FY 2009.

While federal agency funding awarded to HBCUs and IHEs has increased over the past four years, the percentage of the total federal agency funding for IHEs distributed to HBCUs dropped from 3.10 percent of the total in 2007 to 2.65 percent of the total in 2010. Funding to HBCUs in

FY 2010 was at its lowest percentage of total IHE funding since 2003, when HBCUs also received 2.65 percent of the total federal agency funding to IHEs.¹

Figure 2. Total federal agency funding to all Institutions of Higher Education in actual dollars: FY 2010



Source: Data collected for the 2010 annual report provided by participating federal agencies under Presidential Executive Order 13256 to the White House Initiative on HBCUs

¹ President Jimmy Carter issued the first HBCU Executive Order in 1980, establishing the White House Initiative on HBCUs. Prior to 1980, the Department of Health, Education and Welfare provided program funding to HBCUs. In FY 2009, the White House Initiative on HBCUs under the Obama administration implemented an “accuracy initiative” to review and update the FYs 2007, 2008, and 2009 data submitted previously in the White House Initiative on HBCUs annual reports. Adjustments were made by adding other program components to the previous annual report numbers, e.g. Reserve Officers Training Corps (ROTC) scholarship funds. It is part of the office’s effort to provide the president and the public with accurate data pursuant to Executive Order 13532.

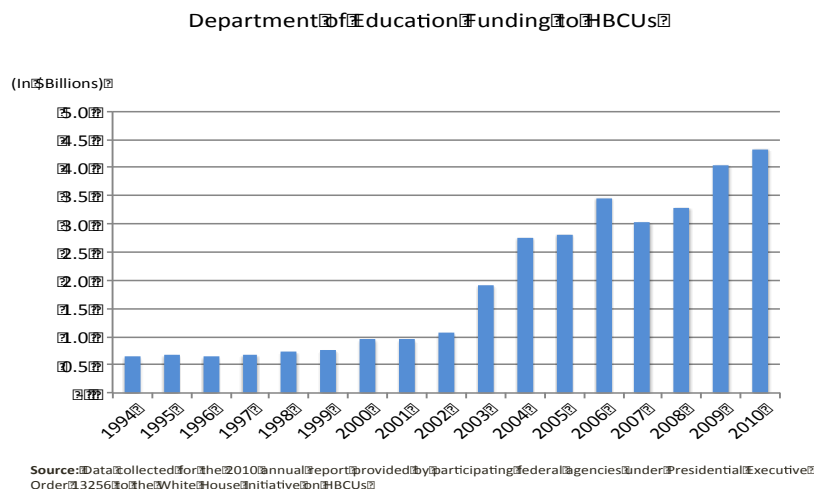
2. FY2010, U.S. Department of Education Summary

The Department of Education (ED) is the single largest federal agency contributor of funding to HBCUs. During FY 2010, ED awarded close to \$4.3 billion to HBCUs, an increase of \$287 million from \$4.0 billion in FY 2009 (Figure 3). ED funding represented 85 percent of the total funding HBCUs received from federal resources during FY 2010. Similarly to all federal agency funding HBCUs received, funding from ED has increased every year for the past four fiscal years.

Funding Changes

The Department of Education reported programmatic support (i.e., funding not including federal student aid) to HBCUs at \$711,907,093 in FY 2009 and at \$748,425,876 in FY 2010. The increase in FY 2010 can be explained by a \$30 million growth in expenditures from the Title III programs authorized under the *Student Aid and Fiscal Responsibility Act* (SAFRA) amendments to the *Higher Education Act of 1965*, as amended.

Figure 3. U.S. Department of Education funding in actual dollars to HBCUs: 1994–2010



The Department of Education’s mission is to promote student achievement and preparation for global competitiveness by fostering educational excellence and ensuring equal access as outlined in *Public Law 96-88* of October 1979. This law requires ED to:

- Strengthen the federal government’s commitment to assuring access to equal educational opportunity for every individual;
- Supplement and complement the efforts of states, local school systems, and other instrumentalities of the states, the private sector, public and private nonprofit educational research institutions, and students to improve the quality of education;
- Encourage the increased involvement of the public, parents, and students in federal education programs;
- Promote improvements in the quality and usefulness of education through federally supported research, evaluation, and sharing information;
- Improve the coordination of federal education programs;
- Improve the management of federal education activities; and
- Increase the accountability of federal education programs to the president, the Congress,

and the public.

Federal Student Aid (FSA) funds from ED are an important source of funding to HBCUs (Figure 4).

Of the \$4.3 billion HBCUs received from ED in FY 2010, \$3.6 billion was from ED's FSA funds, which also accounted for 70 percent of HBCUs' total funding from federal agencies. Of the \$5.08 billion that HBCUs received during FY 2010, 70 percent of the funds were from ED's FSA and 30 percent was split between ED and other federal agency funding. HBCUs received \$755.2 million (15 percent) from other federal agencies and \$748.4 million (15 percent) from ED in non-FSA awards.

Figure 4. Funding to Institutions of Higher Education, by U.S. Department of Education and other agencies, and by type of funding: 2007–10

2007 - 2010 Awards to IHEs and HBCUs by U.S. Dept. of Ed and Other Agencies, FSA vs Non-FSA								
	2007				2008			
	Awards to IHEs		Awards to HBCUs		Awards to IHEs		Awards to HBCUs	
Other Agency Non-FSA	32,123,263,171	27%	616,028,873	17%	33,651,882,517	25%	674,026,215	17%
Dept of Ed Non-FSA	2,812,861,829	2%	637,690,800	17%	3,124,896,483	2%	702,972,405	18%
Dept. of Ed FSA	82,720,353,000	70%	2,391,176,675	66%	97,703,030,000	73%	2,587,989,130	65%
Total Funding	117,656,478,000	100%	3,644,896,348	100%	134,479,809,000	100%	3,964,987,750	100%

	2009				2010			
	Awards to IHEs		Awards to HBCUs		Awards to IHEs		Awards to HBCUs	
Other Agency Non-FSA	41,823,589,472	24%	739,426,280	15%	43,204,938,529	23%	755,231,294	15%
Dept of Ed Non-FSA	3,338,920,528	2%	711,907,585	15%	3,424,261,471	2%	748,425,876	15%
Dept. of Ed FSA	129,309,571,000	74%	3,329,362,906	70%	145,138,461,000	76%	3,580,275,323	70%
Total Funding	174,472,081,000	100%	4,780,696,771	100%	191,767,661,000	100%	5,083,932,493	100%

Source: Data collected for the 2010 annual report provided by participating federal agencies under Presidential Executive Order 13256 to the White House Initiative on HBCUs.

FY 2007 Awards to IHEs are rounded up - Other Agency Non-FSA 27.30%, Dept of ED Non-FSA 2.39% and Dept of ED - FSA for 70.31% for a total of 100%.

FY 2010 Awards to IHEs are rounded up - Other Agency Non-FSA 22.53%, Dept of ED Non-FSA 1.79% and Dept of ED - FSA for 75.68% for a total of 100%.

FY 2010, Other Federal Agency Summaries

The following summaries offer a brief snapshot of federal agencies that have provided HBCUs with resources from FY 2007 through FY 2010. The agencies are grouped by average level of annual funding for those years: funding greater than \$140 million, \$25 million to \$140 million, \$5 million to \$25 million, and \$1 million to \$5 million.

Each section provides an overview of the selected agencies.³ In cases where the change in HBCU funding from FY 2009 to FY 2010 is noteworthy, and where the change in HBCU funding is more than 10 percent higher or lower than the average percentage change in IHE funding from FY 2007 to FY 2010, a funding narrative is provided. If the change in an agency's HBCU funding is less than 10 percent higher or lower than the average percentage change in its IHE funding from FY 2007 to FY 2010, then the change in the agency's HBCU funding is considered to be consistent with normal year-to-year fluctuations.

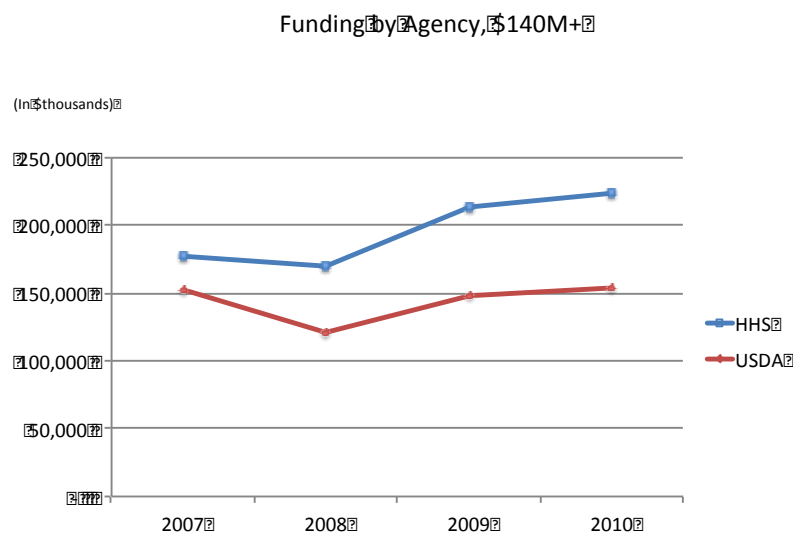
As chairman of the Presidential Advisory Board, Harvey, met with federal department and agency officials to (1) garner their support in advancing the agenda of Executive Order 13532, (2) articulate and share examples of the many and varied capabilities and successes of HBCUs, pointing out their alignments with the department's or the agency's mission, priorities, and goals, and (3) discuss how the department or agency might improve its record of engaging HBCUs. Where applicable, a summary of Chairman's visit to the agency is also included.

³ Materials for each Agency Overview were obtained from agency websites.

Funding by agencies providing support to HBCUs greater than \$140 million

The U.S. Departments of Agriculture (USDA) and Health and Human Services (HHS) each provided awards to HBCUs exceeding \$140 million as displayed in Figure 5.

Figure 5. Funding to HBCUs of \$140 million or more in actual dollars, by agency: 2007–2010.



Source: Data collected for the 2010 annual report provided by participating federal agencies under Presidential Executive Order 13256 to the White House Initiative on HBCUs.

U.S. Department of Agriculture (USDA)

Agency Overview

The USDA provides leadership on food, agriculture, natural resources, and related issues based on sound public policy, the best available science, and efficient management. The USDA seeks to be recognized as a dynamic organization that is able to efficiently provide the integrated program delivery needed to lead a rapidly evolving food and agriculture system, and has created a strategic plan to implement its vision. The framework of the plan depends in part on these key activities: Expanding markets for agricultural products and support of international economic development; further developing alternative markets for agricultural products and activities; and enhancing food safety, by taking steps to reduce the prevalence of foodborne hazards from farm to table.

Recently, the USDA awarded grants to universities in 13 states to improve food safety through research and education. You can read the press release about the awards, including the list of awardees, at

<http://www.usda.gov/wps/portal/usda/usdahome?contentidonly=true&contentid=2011/12/0505.xml>. Fort Valley State, Tuskegee University, and Tennessee State University, all HBCU land grant institutions, each received \$100,000 awards.

Funding Changes

The USDA awarded HBCUs \$154.4 million in FY 2010 versus \$147.4 million in FY 2009, an increase of \$7 million or 4.7 percent. The average change in USDA's funding of IHEs between FY 2007 and FY 2010 was 5.9 percent, and hence the change in HBCU funding from FY 2009 to FY 2010 is consistent with normal year-to-year fluctuations in funding. There was a 1.94 percent increase in FY 2010 in the overall funding from USDA to HBCUs.⁴

President's Board of Advisors Meeting With Secretary Tom Vilsack

Chairman Harvey met with Department of Agriculture Secretary Tom Vilsack on May 20, 2011. George Cooper, chairman of the 1890s Land Grant Colleges and Universities Council and president of South Carolina State University, and Gilbert Rochon, president of Tuskegee University, accompanied Chairman Harvey to the meeting. During the meeting, Secretary Vilsack made two requests. He asked for the assistance of the HBCU leadership in diversifying the USDA workforce by identifying students and recent graduates for internship and employment opportunities at USDA. They agreed to support the secretary's initiative. He also asked the HBCU presidents to develop and submit for his consideration a proposal detailing the capabilities of a consortium of HBCUs relative to the work of the Foreign Agricultural Service. The HBCU presidents agreed to submit a proposal in response.

Presidents Cooper, Rochon, and Harvey, indicated a willingness to help implement the recommendations of the "Jackson Lewis Report."

U.S. Department of Health and Human Services (HHS)

Agency Overview

The mission of HHS is to enhance the health and well-being of U.S. residents by providing for effective health and human services, and by fostering strong, sustained advances in the sciences, underlying medicine, public health, and social services. At the Department, the number-one priority is to protect the health of all U.S. residents and provide essential human services, especially for those who are least able to help themselves. In support of its mission, HHS awards grants for more than 300 programs and is the largest grant-awarding agency in the federal government. To learn more about HHS grants, visit <http://dhhs.gov/asfr/ogapa/aboutog/grantsnet.html>.

Funding Changes

Health and Human Services' HBCU expenditures for FY 2010 rose to \$223.8 million, an increase of \$10.3 million or 4.8 percent over FY 2009. This increase was due to Health Resources and Services Administration's (HRSA) receipt of additional funding through the *American Recovery and Reinvestment Act (ARRA)*. The increased funding to HBCUs resulted from the overall increase in available funds and is consistent with the average year-over-year change in HHS IHE funding of 7.1 percent in FY 2010.

President's Board of Advisors Meeting With Secretary, Kathleen Sebelius

Chairman Harvey was accompanied to the Nov. 8, 2010, meeting with Health and Human Services Secretary Kathleen Sebelius by Dr. Wayne Riley, president of

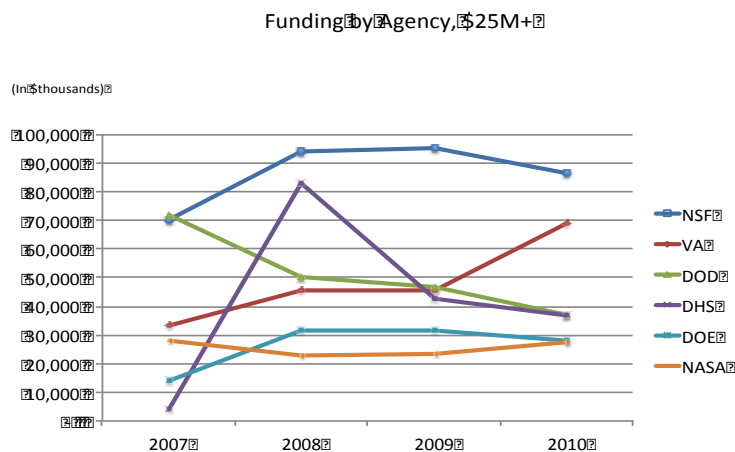
⁴ Preliminary data provided indicates that the FY10 HBCU funding is \$154.4 million which represents a 5 percent increase over FY 2009 HBCU funding of \$147,375,124.

Meharry Medical College, and Dr. Louis Sullivan, former HHS secretary and founding president of Morehouse Medical School. The HBCU leaders stressed that only *1 percent* of all funds awarded to institutions of higher education by HHS for research and development initiatives is awarded to HBCUs. The HBCU leaders urged Secretary Sebelius to give the National Center on Minority Health and Health Disparities responsibility for *all* funds related to health disparities.⁵

Funding by agencies providing support greater than \$25 million and less than \$140 million

Six agencies provided funding to HBCUs at the \$25 million to \$140 million level in FY 2010, as displayed in Figure 6.

Figure 6. Funding to HBCUs of \$25–140 million in actual dollars, by agency: 2007–2010.



Source: Data collected for the 2010 Annual Report provided by participating federal agencies under Presidential Executive Order 32563 to the White House Initiative on HBCUs.

National Aeronautics and Space Administration (NASA)

Agency Overview

NASA conducts its work in three principal areas:

1. Aeronautics: Pioneer and proves new flight technologies that improve the nation's

⁵ Also in the meeting, it was pointed out that the recent healthcare reform legislation, the *Patient Protection and Affordable Care Act*, recognizes as a priority the need to invest in minority communities, to redress health care disparities, and to put an end to heart disease, obesity, diabetes, and many of the other diseases from which African Americans disproportionately suffer. It was pointed out that the medical schools at Meharry, Morehouse, and Howard are uniquely positioned to help meet these challenges as they have not only demonstrated their expertise in addressing health issues in low-income and minority communities but they also produce more minority health providers, minority internists, and family practitioners than other institutions, and that therefore the funding of these institutions must be increased.

- ability to explore outer space and that have practical applications on Earth.
2. Human Exploration and Operations: Focuses on International Space Station operations and human exploration beyond low Earth orbit.
 3. Science: Explores the Earth, solar system, and the universe beyond; charts the best route of discovery; and reaps the benefits of Earth and space exploration for society.

NASA's aeronautics team is working with other government organizations, universities, and industry to fundamentally improve the air transportation experience and retain the nation's leadership in global aviation. Additionally, NASA is researching ways to design and build aircraft that are safer, more fuel-efficient, quieter, and environmentally responsible. NASA is also conducting an array of science missions that will seek new knowledge and understanding of Earth, the solar system, and the universe.

NASA's HBCU education program is centrally funded and managed by a designated office in the directorate of education. Additional research funds are provided through the NASA mission offices and research centers.

Funding Changes

NASA had planned to invest \$17.9 million in education and research programs with HBCUs in FY 2010. The actual amount expended, however, was \$27.3 million. The \$9.4 million increase in funding over the planned activities was directly attributable to congressionally directed projects and research funding provided by the mission directorates and NASA centers. HBCU funding from NASA increased 17.01 percent from FY 2009 to FY 2010.

U.S. Department of Energy (DOE)

Agency Overview

The Energy Department's mission is to ensure the nation's security and prosperity by addressing its energy, environmental, and nuclear challenges through transformative science and technology solutions.

In April 2010, the Energy Department awarded a total of nearly \$9 million to nine HBCUs in South Carolina and northeast Georgia. The funding is being used to develop academic programs that promote minority involvement in science and technical research fields, which will help support the mission of DOE's Office of Environmental Management. To learn more about DOE's 2010 grants visit <http://energy.gov/articles/departments-energy-awards-9-million-grants-science-and-technical-research-historically-black/>.

The Office of Environmental Management is working to complete the safe cleanup of the environmental legacy brought about from more than six decades of nuclear weapons development and production, and government-sponsored nuclear energy research. This cleanup effort is the largest in the world, originally involving 2 million acres at 107 sites in 35 states. The Department of Energy has already completed its cleanup at 86 sites, with ongoing projects at 21 sites in 13 states.

Funding Changes

DOE awarded \$27.9 million to HBCUs in FY 2010, a \$3.5 million or 11.2 percent reduction from FY 2009. The decline in HBCU funding from FY 2009 to 2010 resulted from a \$9 million reduction in research and development awards, which was offset by a \$6 million increase in

fellowship and traineeship awards. The overall funding to IHEs decreased by 37.4 percent from FY 2009 to FY 2010.

President's Board of Advisors Meeting With Secretary Stephen Chu

On Jan. 13, 2011, Chairman Harvey met with then Energy Department Secretary Stephen Chu. Accompanying him to the meeting was David Wilson, president of Morgan State University and member of the President's Board of Advisors, and JoAnne Haysbert, president of Langston University.

The HBCU presidents discussed the current level of program funding allocated to HBCUs. In 2009, of all DOE funds that went to institutions of higher education, only 1.27 percent went to HBCUs. The HBCU presidents stated there are currently no DOE centers of excellence or research institutes at HBCUs. In addition, the presidents said that the 14 Massey Chairs at HBCUs, which received about \$3.5 million last year (an average of about \$250,000 per school), are grossly underfunded.⁶ Several HBCUs were identified as having current capacity in energy-related research and development: Albany State and Tuskegee are working on biofuel projects and developing fuel additives⁷; Langston, Voorhees, and Central State are located in areas that could support wind propulsion projects⁸; and Coppin State University is developing solar power and installing solar photovoltaic systems to help power eight of its campus buildings.⁹

The HBCU presidents urged DOE to increase faculty and student capacity at HBCUs and make a substantial and sustained investment in HBCUs. The HBCU presidents also suggested that DOE engage HBCUs in its efforts to: (1) promote energy savings in low-income housing and communities; (2) educate the public regarding the efficient use of energy; and (3) analyze communities' and individuals' needs with respect to energy.

U.S. Department of Homeland Security (DHS)

Agency Overview

The vision of the Department of Homeland Security is to ensure that the nation is safe, secure, and resilient against terrorism and other hazards so that the interests, aspirations, and way of life of its people can thrive. Three key areas form the foundation of the national homeland security strategy designed to achieve this vision: Security, resilience, customs, and exchange.

Homeland Security's responsibilities include:

1. Preventing terrorism and enhancing security;
2. Securing and managing U.S. borders;

⁶ Typically, it costs about \$1.5 million to fund an endowed chair. Also, the closest thing to a center of excellence at an HBCU appears to be the Sustainable Energy Center at Clark Atlanta University, which received \$500,000 over two years from "recovery money" which is now "spent."

⁷ Albany State has received support from USDA to support biofuels research. However, it seems that there may be an opportunity for collaboration with DOE.

⁸ Langston has already begun the planning for a significant wind propulsion project as an alternative energy source and as an economic development project.

⁹ This initiative is resulting in significant cost savings to the university and it has the potential to provide an important income stream if the university is able to connect to the utility grid and sell its surplus energy to a utility company. This is a valuable model for all institutions of higher education.

3. Enforcing and administering U.S. immigration laws;
4. Safeguarding and securing cyberspace; and
5. Ensuring resilience to disasters.

Funding Changes

DHS's expenditures on HBCUs over the past four fiscal years are significantly higher than in previous years. These elevated expenditures are primarily the result of payments to HBCUs affected by Hurricane Katrina in 2005. As the rebuilding of those campuses nears completion, DHS's expenditures on HBCUs will decrease. In fact, because of a decrease in spending from claims to FEMA, DHS support of HBCUs declined 13.3 percent, or \$5.6 million, from FY 2009 to FY 2010 (\$42.5 million to \$36.9 million).

President's Board of Advisors Meeting With Secretary Janet Napolitano

Chairman Harvey was accompanied by Willie Pearson, member of the President's Board of Advisors on HBCUs, to the meeting with Department of Homeland Security Secretary Janet Napolitano on June 3, 2011.

Harvey and Pearson pointed out that 18 percent of funds awarded to institutions of higher education in FY 2009 went to HBCUs. However, that percentage is in large part attributable to FEMA's award of \$26,392,325.00 (i.e., 22 percent of total to all institutions of higher education) through its legislatively mandated and formula-driven "public assistance" program for facilities and equipment.¹⁰

The PBA members pointed out that HBCUs have the immediate capacity to help advance the missions of many of DHS' component agencies. For examples, the University of Maryland Eastern Shore, an 1890 land grant institution, is positioned to assist with water security issues. The 17 1890s institutions and Tuskegee University can assist with research and development around food safety issues, the HBCUs near the borders may be able to support the customs and border patrol, and the HBCU medical, pharmacy, and veterinary medicine schools can support disaster preparedness, recovery, and response efforts.

Pearson spoke of the importance of the science, technology, engineering, and math (STEM) disciplines and asked that DHS find ways to be supportive. He also mentioned naming HBCUs as leads in the Department's Centers of Excellence instead of co-leads with majority institutions.

Chairman Harvey noted that DHS can and should work with HBCUs to develop that capacity, consider providing support for cyber security programs at HBCUs coupled with internships, and commission a capabilities study that identifies the many and varied capabilities of HBCUs that are aligned with the work, the needs, and the priorities of each of the component agencies and offices at DHS. Secretary Napolitano agreed to the suggestions and said she would issue a directive strongly encouraging component agencies, programs, and offices to make a genuine and intentional effort to engage HBCUs.

¹⁰ Public assistance awards are paid out to institutions in response to disasters. FEMA's "public assistance awards" are not discretionary. They are legislatively mandated and are based on a formula. Over the last few years, several HBCUs have been hard hit by hurricanes and other disasters. The HBCU numbers in 2010 reflect the rebuilding and clean-up activities at Xavier, Dillard, and Southern University at New Orleans (SUNO) from Katrina.

U.S. Department of Defense (DOD)

Agency Overview

The mission of the Department of Defense is to provide the military forces needed to deter war and to protect the security of the nation. The Department's Historically Black Colleges and Universities and Minority Institutions program provides infrastructure support in fields of science and engineering that are important to national defense. The Department of Defense Infrastructure Support Program is the only program that encourages participation of small minority schools as well as research institutions. This competitive program provides support through grants or contracts for research, collaborative research, education assistance, instrumentation purchases, and technical assistance. Research grants are intended to further the knowledge in the basic scientific disciplines through theoretical and empirical activities. Collaborative research allows university professors to work directly with military laboratories or other universities.

In February 2011, the DoD announced plans to award 52 grants totaling \$45.7 million to minority-serving institutions as part of the Department's Historically Black Colleges and Universities and Minority Institutions Program. For more information on the awards DOD issued to minority institutions in 2011 visit <http://www.defense.gov/releases/release.aspx?releaseid=14272>.

Funding Changes

The FY 2010 DoD expenditure of \$37 million on HBCUs represents a reduction of \$9.5 million or 20.4 percent from FY 2009. According to DoD, the funding decline last year was related to the *Rothe* decision¹¹ in 2009.

President's Board of Advisors Meeting With Under Secretary Ashton Carter

On Feb. 28, 2011, Chairman Harvey met with Department of Defense Under Secretary Ashton Carter and Assistant Secretary for Defense for Research and Engineering Zachary Lemnios. Jackson State University President Carolyn Meyers and Florida A&M University President James Ammons accompanied him to the meeting.

In the meeting, it was pointed out that according to information reported by the White House Initiative on HBCUs, in 2007, approximately \$71 million (2.22 percent of funds awarded to all institutions of higher education) went to HBCUs. In 2009, \$46,486,209, a mere 0.85 percent of the funds awarded to all institutions of higher education, went to HBCUs.

¹¹ On Nov. 4, 2008, the U.S. Court of Appeals for the Federal Circuit issued an opinion in [*Rothe Development Corp. v. Department of Defense*](#), among other findings, that lacking a "strong basis in evidence," the race-conscious remedial measure at 10 U.S.C. § 2323 ("Section 1207," which set a goal to award at least 5 percent of annual contracting dollars to small disadvantaged businesses and authorizing certain set-asides for small disadvantaged businesses) was unconstitutional, on its face, violating the right to equal protection (as incorporated by the Due Process Clause of the Fifth Amendment of the U.S. Constitution). For more information visit the Government Contracts, Investigations and International Trade Blog at <http://www.governmentcontractslawblog.com/2008/11/articles/government-contracts-law-1/federal-circuit-strikes-down-dod-preferences-for-minority-contractors-as-unconstitutional-consequences-uncertain>.

DoD interpreted the February 2009 *Rothe* decision¹² to mean that its HBCU and MSI programs were unconstitutional. Congress enacted new, replacement authority (10 U.S.C § 2362) for DoD to operate its HBCU and MSI programs in late 2009. Carter explained that DoD is still working to try to implement the new authority.¹³

It was also suggested to Carter that he consider a program or initiative for HBCUs similar to DoD's mentor-protégée program for small, disadvantaged, and minority businesses (SDBs). In a similar fashion, large contractors and universities could mentor HBCUs to enhance their science and engineering programs and their infrastructure to manage government contracts.¹⁴

The attendees discussed DoD's FY 2012 budget request that zeroed out funds for the HBCU and Minority Institutions (MI) program and the proposed transfer to the Department of the Army. The HBCU presidents opposed the move and recommended keeping the HBCU/MI program at DoD in the Office of the Secretary

U.S. Department of Veterans Affairs (VA)

Agency Overview

The mission of the VA is “to care for him who shall have borne the battle, and for his widow, and his orphan” by serving and honoring the men and women who are U.S. veterans. The VA provides funding in two categories: congressionally earmarked or legislative funding, and discretionary or competitive funding.

Funding Changes

The difference in funding from FY 2009 to FY 2010 (\$45.8 to \$68.7 million) is attributable to a \$19 million increase in legislative awards and a \$3.9 million increase in discretionary awards. The VA HBCU program is not managed by a single office with authority to develop and implement program policy and directives that support the HBCUs and other MSI programs within VA.

¹² See [*Rothe Development Corp. v. Department of Defense*](#), 545 F.3d 1023 (Fed. Cir. 2008) (holding that 10 U.S.C. § 2323 [“Section 1207”], which established a 5 percent goal for awarding defense contracts to small businesses owned by socially and economically disadvantaged individuals, was unconstitutional on its face on equal protection grounds).

¹³ Carter said that he had issued a memo on March 29, 2010, that delegated to the military departments and the Defense agencies the authority to carry out HBCU and MSI programs pursuant to the new, replacement authority (10 U.S.C. § 2362). Chairman Harvey indicated that he had seen the memo and was struck by its vagueness. He said it seemed not to provide any guidance to the DoD components, and it lacked both direction as to how to establish or manage the HBCU programs and metrics.

¹⁴ The new law specifically “encourages[s] research and educational collaborations between [HBCUs and MSIs] and other institutions of higher education, Government defense organizations, and the defense industry.” (10 U.S.C. § 2362) Also, Executive Order 13532 encourages such private-sector initiatives and public-private partnerships.

National Science Foundation (NSF)

Agency Overview

The *National Science Foundation Act of 1950* set forth NSF's mission and purpose to promote the progress of science; to advance the national health, prosperity, and welfare; and to secure the national defense. The act authorized and directed NSF to initiate and support

1. Basic scientific research and research fundamental to the engineering process;
2. Programs to strengthen scientific and engineering research potential;
3. Science and engineering education programs at all levels and in all the various fields of science and engineering; and
4. Programs that provide a source of information for policy formulation and other activities that promote these ends.

The NSF Historically Black Colleges and Universities Undergraduate Program (HBCU-UP) is committed to enhancing the quality of undergraduate STEM education and research at HBCUs as a means to broaden participation in the nation's STEM workforce. To this end, HBCU-UP provides awards to develop, implement, and study innovative models and approaches for making dramatic improvements in the preparation and success of HBCU undergraduate students so that they may participate successfully in STEM graduate programs and/or careers in STEM disciplines. Support is available for Targeted Infusion Projects, Broadening Participation Research Projects, Research Initiation Awards, Implementation Projects, and Achieving Competitive Excellence Implementation Projects, as well as other funding opportunities.

Funding Changes

NSF's expenditures on HBCUs for FY 2010 amounted to \$86.7 million, a decline of \$8.3 million from FY 2009.

President's Board of Advisors Meeting With Director Subra Suresh

On Jan. 12, 2011, the White House Initiative on HBCUs' former Executive Director John Wilson and Associate Director Meldon Hollis accompanied Chairman Harvey to a meeting with National Science Foundation Director Subra Suresh.

In 2009, of all NSF funds that went to institutions of higher education, only 2 percent went to HBCUs. The average amount of funds going to HBCUs each year over the previous three years was only 1.9 percent.¹⁵

Chairman Harvey asked that NSF establish 10 centers of excellence at HBCUs and that it make larger and longer-term, *competitive* grants to HBCUs.

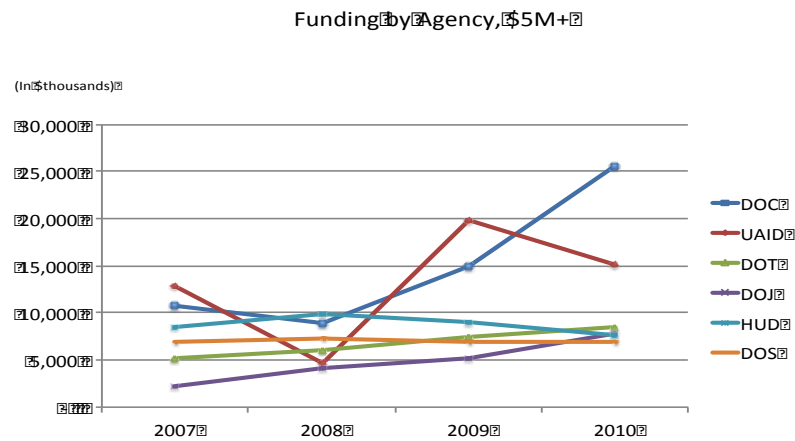
¹⁵ In the meeting, Chairman Harvey pointed out that the *America COMPETES Act* mandates that the NSF apply a Broader Impacts Review Criterion to achieve a goal of "increased participation of women and underrepresented minorities in STEM" and that NSF "award grants, on a competitive, merit-reviewed basis, to institutions of higher education to implement or expand research-based reforms in master's and doctoral level STEM education that emphasize preparation for diverse careers utilizing STEM degrees, including at diverse types of institutions of higher education, in industry, and at government agencies and research laboratories."

The HBCU presidents asked the director not to consolidate Louis Stokes Alliance for Minority Participation, the HBCU-UP, and the Tribal College Undergraduate Program into a single program. Dr. Suresh agreed that those programs should continue to be separately funded; the PBA-HBCU and WHI-HBCU would assist NSF in its development of technical assistance programs, in making available the information about the capabilities of HBCUs, and in working with NSF in the development of criteria for grant awards.

Funding by agencies providing support greater than \$5 million and less than \$25 million

Six federal agencies made awards to HBCUs at the third funding level – \$5 million to \$25 million. Their HBCU involvement is displayed in Figure 7 and discussed subsequently.

Figure 7. Funding to HBCUs of \$5–25 million in actual dollars, by agency: 2007–2010



Source: Data collected for the 2010 Annual Report provided by participating federal agencies under Presidential Executive Order 13256 to the White House Initiative on HBCUs.

U.S. Housing and Urban Development (HUD)

Agency Overview

HUD's mission is to create strong, sustainable, inclusive communities and quality affordable homes for all. HUD is working to strengthen the housing market to bolster the economy and protect consumers, meet the need for quality affordable rental homes, utilize housing as a platform for improving quality of life, and build inclusive and sustainable communities free from discrimination.¹⁶

The HUD HBCU program is not managed by a single office with authority to develop and implement program policy and directives that support the HBCUs and other MSI programs within HUD.

Funding Changes

HUD normally makes awards to HBCUs through a competitive awards process. In FY 2010, HUD had \$9.7 million available and allocated \$7.7 million for 37 awards. The remaining \$2 million was reserved to support HUD awards in FY 2011. In FY 2008 through FY 2010, HUD averaged approximately \$9 million per year in support to HBCUs.

¹⁶

¹⁶ The White House Initiative on Historically Black Colleges and Universities decided not to include an agency analysis for the US Department of State and the US Department of Justice.

U.S. Department of Transportation (DOT)

Agency Overview

The Department of Transportation serves the U.S. by ensuring a fast, safe, efficient, accessible, and convenient transportation system that meets vital national interests and enhances the quality of life of the nation's people.

The Eisenhower Historically Black Colleges and Universities Fellowships provide students with additional opportunities to pursue transportation-related education that will prepare them to enter careers in transportation and also serve as a feeder for other Eisenhower fellowships.

Funding Changes

DOT funding for HBCUs has steadily increased from FY 2008 through FY 2010, from \$6 million to \$8.5 million, an increase of \$1 million over the \$7.5 million awarded in FY 2009.

The DOT HBCU program is not managed by a single office with authority to develop and implement program policy and directives that support the HBCUs and other MSI programs within DOT.

U.S. Agency for International Development (USAID)

Agency Overview

USAID has been the principal U.S. agency to extend assistance to countries recovering from disaster, trying to escape poverty, and engaging in democratic reforms. U.S. foreign assistance has always had the twofold purpose of furthering the nation's interests while improving the quality of life in the developing world. The agency carries out U.S. foreign policy by promoting broad-scale human progress at the same time it expands stable, free societies, creates markets and trade partners for the United States, and fosters goodwill abroad.

The USAID Minority Serving Institution Program's mission is to facilitate an environment where diverse U.S. MSIs become USAID partners by successfully competing for USAID awards and by engaging in U.S. foreign assistance programs.

Funding Changes

The USAID expenditures with HBCUs for FY 2010 were \$15.0 million, a decline of \$4.7 million or 24 percent from FY 2009. During the same period, USAID's funding of IHEs declined 64.2 percent. USAID explains the variation as related to staffing shortages that distorted regular operations.

U.S. Department of Commerce (DOC)

Agency Overview

The Department of Commerce promotes job creation, economic growth, sustainable development, and an improved standard of living for all U.S. residents by working in partnership with businesses, universities, and communities. The department touches the daily lives of the nation's people in many ways, with a wide range of responsibilities in the areas of trade, economic development, technology, entrepreneurship and business development, environmental stewardship, and statistical research and analysis.

In FY 2010, as part of the Broadband Technology Opportunity Program (BTOP), the National Telecommunications and Information Administration awarded \$5.4 million to HBCUs. The BTOP funds were part of an ARRA award to the DOC. In FY 2010, the National Oceanic and Atmospheric Administration (NOAA) awarded \$19.4 million to HBCUs. These two awards accounted for 97 percent of the DOC expenditures to HBCUs in 2010.

Funding Changes

The FY 2010 expenditure on HBCUs was \$25.6 million, an increase of \$10.6 million or 70.6 percent from FY 2009's \$15,003,948. That increase resulted from a one-time award of \$5.4 million to HBCUs and a one-time increase of \$5 million from NOAA. Comparatively, DOC funding awarded to IHEs increased 81.6 percent during the same period.

President's Board of Advisors Meeting With Secretary Gary Locke

On March 3, 2011, Chairman Harvey met with then Commerce Department Secretary Gary Locke. Clark Atlanta University President Carlton Brown and University of Maryland Eastern Shore President Thelma Thompson accompanied him to the meeting. In the meeting, it was pointed out that, as it geared up for the 2010 census, the Census Bureau awarded 8.8 percent of the funds to all institutions of higher education to HBCUs.

Similarly, NOAA appears to have done a commendable job supporting and increasing the capabilities of HBCUs: 3.8 percent of the funds awarded to all institutions of higher education in FY 2009 went to HBCUs. However, only 11 HBCUs received NOAA funds in 2009, and only .03 percent (\$41,264) of the amount awarded in FY 2009 by the National Telecommunications and Information Administration to all institutions of higher education for facilities and equipment went to HBCUs. Clark Atlanta University was the beneficiary of the award to assist the university in using telecommunications to better provide public services and advance national goals.¹⁷

It was also pointed out that in FY 2009, the Economic Development Administration (EDA) provided funding to institutions of higher education in the amount of \$37,594,074, but HBCUs received just \$340,080 (0.9 percent). EDA's mission is to generate jobs, help retain existing jobs, and stimulate industrial and commercial growth in economically distressed areas. Given the location, experience, and demographics of HBCUs, many are uniquely positioned to support the EDA in its mission.

The National Institute of Standards and Technology (NIST), the largest agency in the Department of Commerce, received a historic investment, expanded authority, and increased responsibility under the *America Competes Act*. However, the agency awarded only \$70,902 to HBCUS, which represents just .08 percent of funds awarded to all institutions of higher education.

Brown expressed his interest in having Commerce support technology transfer initiatives at HBCUs. He explained that HBCUs, like majority institutions, have the capacity to identify research that has potential for commercialization and to institute strategies to exploit such

¹⁷ Many HBCUs have radio, TV, and other programs that have similar capacity and are located in rural and underserved areas where such support is needed. Commerce should explore ways to encourage HBCUs to compete for these funds.

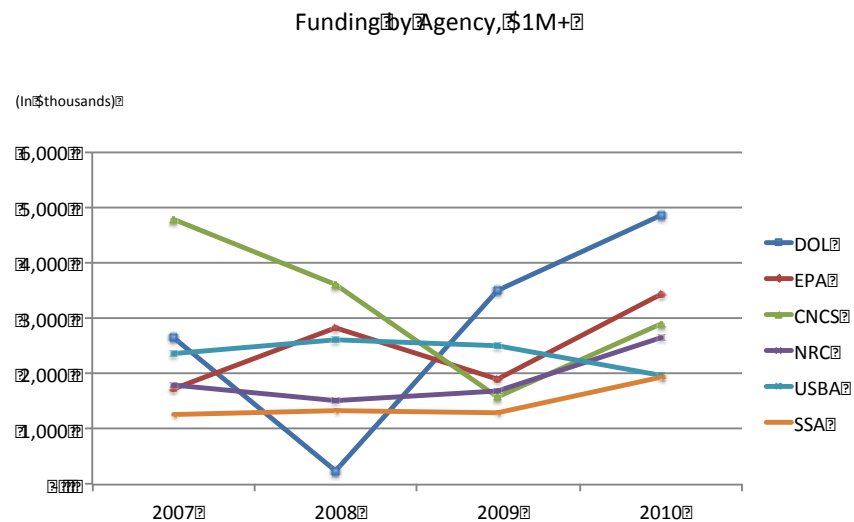
research.

Secretary Locke was asked (1) to establish five centers of excellence at HBCUs; (2) to have the Department of Commerce prepare a capabilities study showing where various HBCUs' priorities and capabilities align with various priorities and capabilities of the Department; and (3) to have NIST host a technical assistance conference at an HBCU to discuss opportunities and requirements. The secretary said he would consider these requests.

Funding by agencies providing support greater than \$1 million and less than \$5 million

Federal agencies that have funded HBCUs on average \$1 million to \$5 million per year include the Social Security Administration (SSA), U.S. Small Business Administration (USBA), U.S. Nuclear Regulatory Commission (NRC), the Corporation for National and Community Service (CNCS), Environmental Protection Agency (EPA), and the Department of Labor (DOL). Their awards are displayed in Figure 8.

Figure 8. Funding to HBCUs of \$1 million or more in actual dollars, by agency: 2007–2010



Source: Data collected for the 2010 annual report provided by participating federal agencies under Presidential Executive Order 13256 to the White House Initiative on HBCUs.

Table 1 summarizes the funding awarded to HBCUs from all federal agencies other than the Department of Education in FY 2010 and in comparison to FY 2009.

Table 1.
Amount of funding to HBCUs and amount and percentage difference, by agency, excluding the
U.S. Department of Education: 2009 and 2010

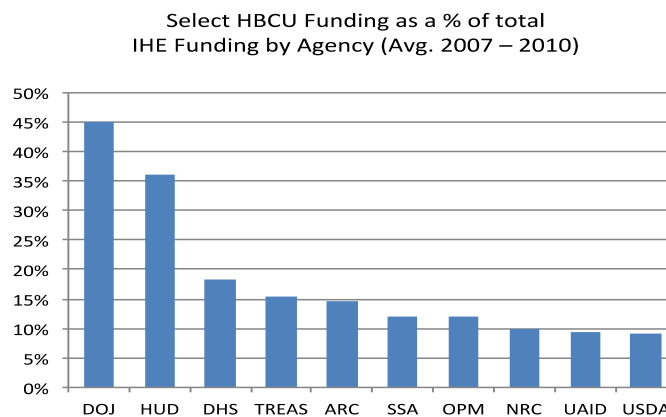
(\$ millions)

Department/Agency	2009	2010	Variance	% Change
TOTAL	739.4	755.2	15.8	2.1%
U.S. Department of Health and Human Services	213.4	223.8	10.3	4.8%
U.S. Department of Agriculture	147.4	154.4	7.0	4.7%
National Science Foundation	95.0	86.7	(8.4)	-8.8%
U.S. Department of Defense	46.5	37.0	(9.5)	-20.4%
U.S. Department of Veterans Affairs	45.8	68.8	22.9	50.1%
U.S. Department of Homeland Security	42.5	36.9	(5.6)	-13.2%
U.S. Department of Energy	31.4	27.9	(3.5)	-11.2%
National Aeronautics and Space Administration	23.3	27.3	4.0	17.0%
U.S. Department of Commerce	15.0	25.6	10.6	70.6%
U.S. Agency for International Development	19.8	15.0	(4.7)	-23.9%
U.S. Department of Housing and Urban Development	9.0	7.6	(1.4)	-15.0%
U.S. Department of State	6.9	6.9	0.0	0.0%
U.S. Department of Transportation	7.5	8.5	1.0	13.0%
U.S. Department of the Interior	16.6	2.4	(14.2)	-85.4%
U.S. Department of Justice	5.2	7.9	2.7	51.0%
Corporation for National and Community Service	1.6	2.9	1.3	83.0%
U.S. Department of Labor	3.5	4.9	1.4	38.6%
Environmental Protection Agency	1.9	3.4	1.5	80.3%
U.S. Small Business Administration	2.5	2.0	(0.5)	-21.2%
U.S. Nuclear Regulatory Commission	1.7	2.7	1.0	58.9%
Social Security Administration	1.3	1.9	0.6	49.2%
National Endowment for the Humanities	0.6	0.5	(0.1)	-15.8%
Office of Personal Management	0.5	0.1	(0.4)	-73.1%
U.S. Department of the Treasury	0.1	0.1	0.0	14.4%
Central Intelligence Agency	0.2	0.0	(0.2)	-100.0%
National Endowment for the Arts	0.1	0.1	(0.0)	-41.2%
Appalachian Regional Commission	0.1	0.0	(0.0)	-59.5%
Broadcasting Board of Governors	0.0	0.0	(0.0)	-100.0%

Source: Data collected for the 2010 annual report provided by participating federal agencies under Presidential Executive Order 13256 to the White House Initiative on HBCUs

When funding for HBCUs is viewed as a percentage of funding contributed to all IHEs (not including the Department of Education), the departments of Justice (DOJ) and Housing and Urban Development (HUD) were the highest contributors (Figure 9). On average, from FY 2007 to FY 2010, DOJ awarded 45 percent of its total awards to HBCUs and approximately 55 percent to other IHEs. HUD awarded 36 percent of its total awards to HBCUs and 64 percent to other IHEs.

Figure 9. Average HBCU funding as a percentage of total funding to Institutions of Higher Education, by selected agencies: 2007–10



Source: Data collected for the 2010 annual report provided by participating federal agencies under Presidential Executive Order 13256 to the White House Initiative on HBCUs

President's Board of Advisors Recommendations

Executive Order 13532, *Promoting Excellence, Innovation, and Sustainability at Historically Black Colleges and Universities*, requires an annual report of the initiative and that the board report to the president and the secretary on their progress in carrying out its duties under this section.

Based on their work during the year (including agency site visits and subcommittee participation), the President's Board of Advisors made the following recommendations:

1. The Board of Advisors recommends that the Office of the White House Initiative on Historically Black Colleges and Universities establish a uniform reporting format for the submission of the federal agencies' reports annually as required by Executive Order 13532. This process should require direct input from *all* offices or departments within a federal agency and be made available to the public through various media, in accordance with Executive Order 13532.
2. The Board of Advisors recommends that the White House organizationally realign the Office of the White House Initiative on Historically Black Colleges and Universities as a direct report to the Office of the President.
3. The Board of Advisors recommends that the White House set an aspirational goal for each department and/or agency that no less than 5 percent of all funds awarded to IHEs go to HBCUs.

4. The Board of Advisors recommends that the White House direct all federal departments and agencies to develop and implement a model to engage early career reviewers and self-referrals in the grant application review process, similar to the one employed by the National Institutes of Health (NIH).¹⁸ This model is designed to increase the number of minorities on review panels, and their understanding and access to the application process.
5. The Board of Advisors recommends that the White House adopt the Five Fifths Agenda for America as the national agenda for dismantling the cradle-to-prison pipeline for African American males. The Five Fifths Agenda is an inter-generational program with three goals: (1) Increase the number of black male baccalaureate graduates; (2) increase the number of black male teachers; and (3) establish HBCUs as institutional bases for long-term systemic change. If successful, families and communities will be restored, and wasted African American male human potential will be reclaimed and developed, thus enhancing the nation's domestic tranquility and global competitiveness.
6. The Board of Advisors recommends that the White House (1) expand the funding allocation for the HBCU Capital Financing Program; (2) authorize the program to permit the use of "new market tax credits" by borrowers under the program options; and (3) adjust the program requirements relative to private and public institutional designations in order that any program funds, not obligated as of 120 days prior to the end of the fiscal year, may be made available to any qualified HBCU, regardless of public or private designation.

The board further recommends that if legislative action is required to enact the above recommendation, such legislation should be deemed a priority relative to the authorization of (1) additional funding for the HBCU Capital Financing Program; (2) the use of "new market tax credits" by borrowers under the program; and (3) an adjustment being made in the program's guidelines to allow funds, not obligated as of 120 days prior to the end of the fiscal year, to be made available to any qualified HBCU, whether public or private.

7. The Board of Advisors recommends that the Department of Education develop and implement a system for accurately capturing retention and completion data at both community colleges and HBCUs, consistent with the overall national goal of increasing retention and graduation rates at all institutions of higher education.
8. The Board of Advisors recommends that the White House direct each department or agency to develop and implement a process that documents the capability and potential capacity of HBCUs to support the department or agency in meeting its goals and directives.
9. The Board of Advisors recommends that the White House amend Executive Order 13532 to create an ombudsperson for HBCU Science, Technology and Innovation Coordination in the White House Office of Science and Technology Policy (OSTP). Among the

¹⁸ See <http://cms.csr.nih.gov/ReviewerResources/ECR.htm>.

ombudsperson's responsibilities would be to monitor all STEM activities at HBCUs and provide advice, establish metrics, and develop assessment tools to ensure that those activities are aligned with federal initiatives in each federal agency.

Other Initiative Activities and Subcommittee Reports in Support of Executive Order 13532

Under Executive Order 13532, the initiative shall work with executive departments, agencies and offices, the private sector, education associations, philanthropic organizations, and other partners to increase the capacity of HBCUs to provide the highest-quality education to the students they enroll, and to take full advantage of their capabilities in serving the nation's needs. This section highlights other initiative activities performed during the year as part of its mission and function under EO 13532.

President's Board of Advisors Subcommittee Reports

The President's Board of Advisors established five subcommittees to focus on matters of particular concern. Those subcommittees are the financial capacity subcommittee, the community colleges subcommittee, the STEM subcommittee, the subcommittee to increase black male baccalaureates, and the strategic planning subcommittee.

Board members with special interest, knowledge, experience, and expertise regarding each of the content areas were assigned to the respective committees. Their charge was to examine the current state of the subject matter over which the subcommittee has jurisdiction, identify impediments to HBCUs' maximizing their strengths in those areas, and make recommendations regarding opportunities to enhance HBCUs' capabilities in those areas.

Financial Capacity Subcommittee

Members of this subcommittee include: Dr. Lawrence Bacow, former president of Tufts University; Valerie Mosley, senior vice president, partner, and portfolio manager for Wellington Management Company, LLP; Dr. Beverly Daniel Tatum, president of Spelman College; Dr. Beverly Wade Hogan, president of Tougaloo College; and Ed Lewis, co-founder of *Essence* magazine, and chairman and publisher emeritus of Essence Communications Inc. This subcommittee's report follows.

The subcommittee's principal aim is to identify strategies that will grow the financial capacity of HBCUs. To achieve this objective, its work is focused on (1) strengthening and growing HBCU endowments, (2) identifying beta sites to demonstrate an analytical framework for evaluating and integrating institutional resource planning with institutional wealth planning, and (3) brainstorming on specific efforts to bolster the advancement capacity of the HBCU community colleges.

Members of the subcommittee unanimously agree that the financial capacity of HBCUs must improve in order for them to both compete successfully for students, faculty, and administrators, and provide the required physical plants, resources, and services that will yield well-educated students. It is the consensus of the subcommittee that:

- The HBCU story is largely an American story, and this American story has broad appeal.

- HBCUs are not monolithic in their respective organizational cultures, pedagogical approaches, or academic strengths. The non-monolithic nature of HBCUs must be kept in mind when designing and telling the HBCU stories, despite having, in many instances, similar missions, historical roots, and high-achieving alumni.
- There is a very large base of potential donors, outside of the traditional HBCU donor base, but they are not currently exposed to HBCUs. They may need to be exposed and educated about the impressive investment case and the opportunity to have a positive impact through their giving dollars. The subcommittee feels that if potential donors were exposed to the various stories and opportunities to invest in worthy causes at HBCUs, more resources would flow into HBCUs.
- The range of HBCU stories must be told to a broader base of prospects in a way that appeals to the objectives and missions of the prospective donors. The subcommittee, therefore, intends to continue to explore ways to assist HBCUs in becoming more attractive to donors by refining and expanding their traditional narratives without forcing them to abandon their longstanding character, core values, or objectives.
- All donors are not alike. Since they care about different issues, efforts must be made to learn more details about the top areas of concern of many of the large donors to endowments.
- Time and effort spent to discover, understand, and explore what donors want to support and then match large donor interests with the ongoing specific HBCU efforts and objectives will yield attractive capacity-building results. The subcommittee plans to continue to explore ways to do this efficiently and may explore beta testing strategies.
- When done, it will be easier to craft specific stories and share specific facts that will resonate with large donors for significant gifts.
- There is a lot of money available, but it is not broadly accessible by the HBCU community. The subcommittee has discussed and will explore (1) increasing access to the giving opportunity and (2) strategies to bridge, connect, and increase access in order both to understand the interests of the givers and schools in order to better design specific gifting opportunities that meet HBCUs' needs.
- Many corporations, individuals, and organizations that can give significantly to endowments care about and are drawn to certain messages (e.g., STEM) and efforts that the subcommittee feels many HBCUs meet, but there needs to be a way to make a bridge to the organizations that have some of the larger philanthropic efforts.
- There is power in partnerships, both domestic and international. Partnering selectively with other institutions, both domestically and internationally, will enable additional funds to flow to several HBCUs in areas of import to the donors.
- Institutional capacity building can occur in multiple ways and is not restricted exclusively to resource inflows.

Community Colleges Subcommittee

Members of this subcommittee include Dr. Helen McAlpine, president of J. F. Drake State Technical College, one of the few presidents of a two-year college to serve on the President's Board of Advisors on Historically Black Colleges and Universities. She was also invited to the White House Summit on Community Colleges held in October 2010, chaired by Dr. Jill Biden. This subcommittee's report follows.

The appointment of a community college president to the President's Board of Advisors evidences the important role that two-year colleges play in strengthening the economic backbone of the nation through their focus on rapid workforce development. The President's Board of Advisors' establishment of a subcommittee to focus on the challenges and opportunities facing community colleges is further recognition of the importance of these institutions for optimizing the nation's workforce development strategies.

The goal of the subcommittee is to identify ways community colleges can effectively serve the immediate workforce needs of the nation through short-term, postsecondary training and re-employment initiatives. The subcommittee values the already established and successful format employed by community colleges to prepare high school graduates and non-traditional students for rapid entry into productive careers in the 21st-century, technology-driven businesses, and industries of the nation.

Capitalizing on the community colleges' existing partnerships with business and industry, and partnerships with four-year colleges and universities, and considering the curricula currently embedded in the colleges' technical programs, the subcommittee intends to recommend initiatives that can be readily implemented. These recommendations will include incorporating these existing university and industry relationships, and restructuring curricula into programs that facilitate rapid re-employment services and accelerate student access to baccalaureate degree programs.

The subcommittee's work will include recommendation of policies and funding strategies that promise to be effective in enabling postsecondary institutions to accomplish the long-range strategic goals of the nation for building a sustainable, growth-oriented economy. The priority of the subcommittee will be to identify and articulate strategies that result in maximal leveraging of taxpayer dollars leading to high employment rates across the nation.

Science, Technology, Engineering, and Mathematics (STEM) Subcommittee

Members of the STEM subcommittee include Kenneth Tolson, executive vice president, chief operating officer, and innovation transformation officer for the Emerging Technology Consortium, a division of TBED21; Evelyn Hammonds, the Barbara Gutmann Rosenkrantz Professor of the History of Science and African and African American Studies at Harvard University, and former dean of Harvard College; and Willie Pearson, Jr., professor of sociology at the Georgia Institute of Technology's School of History, Technology, and Society. This subcommittee's report follows.

By changing the HBCU narrative from a story of need and challenges to one of strength and opportunity, the President's Board of Advisors on HBCUs can play a leadership role in transforming STEM capacity at HBCUs. These disciplines are the drivers of the innovation

systems in the global knowledge economy.

Building their STEM capacity is essential if HBCUs are to play a vital role in producing the next generation of leaders and contribute to a competitive workforce. Entrepreneurship and commercialization of technologies are unequivocally two of the best strategies to improve the competitiveness of HBCUs.

The critical nature of building a more robust STEM capacity at HBCUs is aligned with two key components of President Barack Obama's vision of a national innovation strategy: 1) to increase support for fundamental research at our nation's universities; and 2) to promote the effective commercialization of promising technologies. Increasing STEM capacity at HBCUs is the key to developing the 21st-century workforce capacity across the country.

The subcommittee herein adopts and incorporates by reference the findings and conclusions of the National Academies of Science report, *Expanding Underrepresented Minority Participation: America's Science and Technology Talent at the Crossroads*.¹⁹

Subcommittee to Increase Black Male Baccalaureates

Members of this subcommittee include Ronald Mason, Jr., J.D, president of the Southern University System; and Dr. Dianne Boardley Suber, president of St. Augustine College. The subcommittee's report follows.

What is happening to black men in the U.S. is a uniquely American tragedy, well documented in [*Yes We Can: The 2010 Schott 50 State Report on Public Education and Black Males, the Children's Defense Fund's America's Cradle to Prison Pipeline*](#) (<http://www.childrensdefense.org/child-research-data-publications/data/cradle-prison-pipeline-report-2007-full-highres.html>) and [*The Educational Crisis Facing Young Men of Color by the College Board's Advocacy and Policy Center*](#) (<http://advocacy.collegeboard.org/sites/default/files/educational-crisis-facing-young-men-of-color.pdf>), among other reports.²⁰ It is the subcommittee's opinion that "there has been no

¹⁹ http://www.nationalacademies.org/PGA/PGA_041693_1

²⁰ This tragedy is described in the Overview of the [*Five Fifths Agenda for America \(FFAA\)*](#) (honorecusa.sus.edu/five-fifths-agenda/), as follows. "In 2007, the Children's Defense Fund issued a scathing report that drew national attention to a pervasive "cradle-to-prison pipeline" that affects children of color in America. The sobering facts presented in this report were accompanied by a clear and compelling call to action. It noted: "The pipeline is not an act of God or inevitable; it is a series of human choices at each stage of our children's development. We created it; we can change it. We know what to do. We can predict need. We can identify risk. We can prevent damage. We can target interventions. We can monitor progress. In so doing, we can guarantee returns on public investments and control costs to children and society."

This so-called "pipeline" is deeply rooted in U.S. domestic policy that spans more than three centuries. It is part of a historical pattern of neglect that persists today. For example, in discussing the Missouri Compromise and the issue of slavery, Thomas Jefferson famously noted, "But as it is, we have the wolf by the ear, and we can neither hold him, nor safely let him go.

systemic response to this long-term systemic problem.” The subcommittee believes HBCUs are the nation’s best opportunity as institutional bases for long-term systemic change.

The subcommittee, in cooperation with the Thurgood Marshall College Fund and the Association of Black Foundation Executives, is working through the Southern University System to design a national demonstration project, the *Five Fifths Agenda for America (FFAA)*. The research and design work is funded by the Educational Testing Service, the Open Society Campaign for Black Male Achievement and the Lumina Foundation. Proposals have also been invited by the Kellogg and Kresge Foundations. The proposed initiative will (1) ameliorate the conditions that contribute to the cradle to prison pipeline, (2) replace the antiquated business model that has contributed to the development of that pipeline with a new business model that best advances our

Justice is in one scale, and self-preservation in the other.” In this quote “wolf” refers to the system of slavery. That statement, made in 1820, offers context for our current national policy and practice regarding the dysfunctional education and mass incarceration of African American males in the United States. Jefferson’s 19th-century observation was clear and resonates today as we witness mounting concerns about crime and unemployment, and their profound impact on domestic tranquility. The Founding Fathers, the architects of our country, decided that free labor was necessary in order to build what they envisioned as a great nation. They therefore allowed a system of laws and rules to exploit black labor. That system was called slavery and was viewed as an unassailable economic “right” that was expressly safeguarded by the U.S. Constitution itself. Thus in the minds of the Founding Fathers, the choice of self-preservation over justice was the correct “*business decision*” for *their* time.

In 1865, when slavery was abolished after a bloody and costly civil war, the nation had to wean itself off of free labor. A system of laws and rules was then devised to marginalize African American males and drive them into menial employment and/or prison. During years of incarceration, many were leased by the prisons to plantations and mines. Others were left to languish in abject poverty and subsistence living. This new system could not rightly be called “slavery.” However, as a practical matter, African Americans continued to be held in *slave-like conditions*. And again, the choice of self-preservation over justice was seen as the correct “*business decision*” of *that* particular time.

Our problem [today] is rooted in a system that may have made “business sense” in the 18th and 19th centuries, but is clearly a bad business model today. The system of not developing or harnessing the talents of our youths destroys families and communities. It contributes to social alienation and high crime rates. Furthermore, it depletes our national resources and yields a pitiful return on our investments. Countless economic analyses clearly demonstrate that it is less expensive to educate and train citizens than to incarcerate them and release them back into society without viable, non-criminal options. This thoughtless system bleeds off people and undermines American potential in this increasingly volatile and competitive global economy.

Increased investments in education, vocational training, and job creation are our best national defense against the “social dynamite” of high school dropout rates, unemployment, under-employment and escalating crime. For many (if not most), these observations are painfully obvious. But still we as a nation continue to cling to an antiquated and dysfunctional business model that clearly does not serve our national interests.

national interests, and (3) demonstrate to those victimized by the social dysfunction that has created that pipeline ways that they can help themselves.

The *FFAA* calls for the implementation of a national demonstration project that draws upon the combined institutional resources and the collective expertise and experience of innovative and committed educators, researchers, and service providers who are determined to stem the tide of black male under-education, unemployment, criminalization, and social marginalization. More specifically, it proposes a series of disruptive interventions that are needed in order to demonstrate how the so-called “cradle-to-prison pipeline” can be dismantled and replaced with successful pedagogical approaches, effective support mechanisms, and proven best practices that can be incorporated into a carefully designed education model worthy of nationwide dissemination and broad replication. Its overall objective is to help African American males get ready for, get into, and graduate from college, with a focus on the production of black male teachers.

A successful demonstration project of this nature can generate a programmatic prototype that can also inform and impact federal and state legislative agendas, and future public funding aimed at ameliorating these interrelated problems. In addition, a carefully planned and executed demonstration project can point the way to targeted private sector investments as other effective programs are replicated nationwide in communities that are negatively impacted by these problems.

Demonstration sites are envisioned at Southern University at New Orleans and Jackson State University in Jackson Mississippi. If successful, the initiative will seek to duplicate them at other public HBCUs across the nation.

Strategic Planning Subcommittee

Members of this subcommittee include Renee Mauborgne, co-author of *Blue Ocean Strategy* and co-director of the INSEAD Blue Ocean Strategy Institute, John Rice, founder and chief executive officer of Management Leadership for Tomorrow, and Dr. Lawrence Bacow, former president of Tufts University.

The subcommittee reported that the White House Initiative on HBCUs has undertaken an initiative to apply the theory of Blue Ocean Strategy to Johnson C. Smith University (JCSU) in Charlotte, N.C. At JCSU, Blue Ocean Strategy, a *pro bono* service, will focus on the retention and graduation rates of students with the aim of understanding how the Blue Ocean Strategy could inform the actions of JCSU to create a leap in timely graduation rates and student retention at lower costs. *Blue Ocean Strategy* articulates a theory and provides tools and frameworks on how to create uncontested market space ripe for growth. It is based on the simultaneous pursuit of differentiation and lower costs, which are key challenges facing many HBCUs today.

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

<http://www.ed.gov/edblogs/whhbcu/>