



United States  
Department  
of Agriculture

Research,  
Education, and  
Economics

National Institute  
of Food and  
Agriculture

1400 Independence  
Avenue SW  
Washington, DC 20250

August 24, 2017

Dr. Kathryn VandenBosch  
Dean, College of Agricultural and Life Sciences  
Director, Wisconsin Agricultural Experiment Station  
College of Agricultural and Life Sciences  
University of Wisconsin-Madison  
140 Agricultural Hall  
1450 Linden Drive  
Madison, Wisconsin 53706

Dear Dr. VandenBosch:

The attachment is a copy of the Civil Rights Compliance Review report of the University Wisconsin-Madison, Wisconsin Agricultural Experiment Station (WAES) by the National Institute of Food and Agriculture, Equal Opportunity Staff. The report is for your administrative use with members of your staff and as a general guide for use with other staff members in reviewing Research activities and operations. You and members of your staff will want to review the findings and recommendations which are set out in the report.

Some of the findings indicated additional efforts are warranted to increase the level of diversity of racial and ethnic minority individuals and females involved in your research programs. In particular, WAES must review the recruitment and retention of minority and female faculty and minority graduate students. We also strongly encourage WAES in cooperation with the University to conduct a salary analysis in particular of faculty as noted in our findings. Our recommendations, if followed, should complement and supplement the efforts of you and your staff to provide research information to the people of Wisconsin and beyond on a nondiscriminatory basis.

After you and members of your staff have studied this report, we would appreciate receiving the specific actions taken, including completion or target dates for completion on each of the recommendations listed in the report on or before January 10, 2018.

We appreciate the fine spirit of cooperation, the sharing of information, the wealth of documents produced, and the sufficiency of data provided by you and your staff during the review. The quality of data and documents presented by WAES and civil rights support of the overall campus is commended. Your continued support for equal opportunity and civil rights are noted.

Dr. VandenBosch

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If there are questions regarding the review findings and/or a need for assistance, please feel free to contact Norman Pruitt, Interim Director, Equal Opportunity Staff, at 202-720-2700 or Robert Holland, Associate Director for Operations, at (202) 720-9278. You may also e-mail us at [npruitt@nifa.usda.gov](mailto:npruitt@nifa.usda.gov) or [rholland@nifa.usda.gov](mailto:rholland@nifa.usda.gov).

Sincerely,

  
Robert Holland  
Associate Director for Operations

Enclosure

cc: Norman Pruitt  
Latoya Hicks



United States  
Department of  
Agriculture

National Institute of  
Food and Agriculture

Washington, DC  
20250

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**Civil Rights Compliance Review Report**

**State of Wisconsin  
Research Program**

**University of Wisconsin-Madison  
Wisconsin Agricultural Experiment Station**

**CIVIL RIGHTS COMPLIANCE REVIEW REPORT\***

**Of**

**State of Wisconsin  
Research Program**

**University of Wisconsin-Madison  
Wisconsin Agricultural Experiment Station**

***Research Activities and Operations***

**Review Team**

***Latoya Hicks***

*Equal Opportunity Specialist*

***Norman E. Pruitt***

*Interim Civil Rights Director*

**National Institute of Food and Agriculture-USDA  
Washington, DC**

*\*The principal findings, conclusions, and comments in this compliance review report are not intended in any way to reflect on the quality of content of Research Programs carried out by University of Wisconsin, Wisconsin Agricultural Experiment Station.*

**University of Wisconsin-Madison  
Wisconsin Agricultural Experiment Station**

**Compliance Review Report**

**INTRODUCTION**

On April 10-14, 2017, the United States Department of Agriculture (USDA), National Institute of Food and Agriculture (NIFA), conducted a Civil Rights Compliance Review of the Research program in Wisconsin managed and operated by University of Wisconsin-Madison (UW) Wisconsin Agricultural Experiment Station (WAES).

The review was conducted pursuant to the applicable portions of the United States Department of Agriculture nondiscrimination rules and regulations, including but not limited to 7 C.F.R. 15 Subpart A, "Nondiscrimination in Federally Assisted Programs of the Department of Agriculture" which effectuate provisions of Title VI of the Civil Rights Act of 1964, and other pertinent Federal laws and regulations including those of USDA and NIFA.

The compliance review was a regular, systematic inspection carried out to determine whether or not Wisconsin Agricultural Experiment Station located in Madison, Wisconsin Research Programs were complying with the provisions of U.S. Civil Rights laws and USDA's Civil Rights rules and regulations. Specifically, the review evaluated the effectiveness of the Research entity's methods and procedures to involve minorities in Research programs and projects and the delivery of benefits from Research programs and projects to eligible minorities.

In conducting this compliance review, NIFA Equal Opportunity Specialist was provided information about WAES operations including information relative to Research program and projects, the administration of Research programs and projects and the administration of a civil rights program at each institution. The reviewer adhered to a schedule agreed upon by NIFA and the Director of WAES.

The on-site component of the review commenced on April 10, 2017, and concluded April 14, 2017. Visits were made to the administrative offices of WAES and UW Departments of Dairy Science and Plant Pathology located in Madison, Wisconsin. In addition, a Research site visit was made to the WAES Arlington Agricultural Research Station located in Arlington, Wisconsin.

Research and campus administrators/executives, faculty, graduate students, and staff were interviewed during the review. Documents, data and materials were provided to NIFA. Full cooperation and support at all levels of WAES and UW was experienced by the reviewer throughout the review.

## Regulatory Authority

The authority to conduct the compliance review is found in the statutes and regulations of which a few are listed below:

- Title VI of the Civil Rights Act of 1964<sup>1</sup>
- Section 504 of the Rehabilitation Act of 1973<sup>2</sup>
- Title IX of the Education Amendments of 1972<sup>3</sup>
- USDA implementing regulations<sup>4</sup>
- DOJ implementing regulations<sup>5</sup>

## National Institute of Food and Agriculture

The National Institute of Food and Agriculture (NIFA) was established by the Food Conservation and Energy Act of 2008 (the 2008 Farm Bill) to find innovative solutions to issues related to agriculture, food, the environment, and communities. The National Institute of Food and Agriculture's mission is to "invest in and advance agricultural research, education, and extension to solve societal challenges." To accomplish this mission, NIFA integrates Research, education, and Extension to ensure that groundbreaking discoveries go beyond the laboratory, to the classroom, reaching the people who can put knowledge into practice.

Partnerships play a fundamental role in carrying out this integrated approach. The National Institute of Food and Agriculture provides program leadership and funding, enabling our partners to discover and apply innovative solutions to critical issues related to agriculture, food, the environment, and communities. Key partners are the institutions of higher learning that make up the Land-Grant University System, which include Historically Black and Tribal Land-Grant Universities as well as Hispanic-serving institutions.

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<sup>1</sup> 42 U.S.C. §2000d-2000d-7

<sup>2</sup> 29 U.S.C. §794

<sup>3</sup> 20 U.S.C. §§1681-1688 et seq.

<sup>4</sup> 7 C.F.R. Part 15, Subpart A-Nondiscrimination in Federally assisted Programs of the Department of Agriculture-Effectuation of Title VI of the Civil Rights Act of 1964, 7 C.F.R. Part 15a, Subpart D-Discrimination on the Basis of Sex in Education Program and Activities Prohibited; 7 C.F.R. Part 15b, Nondiscrimination on the Basis of Handicap in Programs and Activities Receiving Federal Financial Assistance; Department Regulation 4330-2 Nondiscrimination in Programs and Activities Receiving Financial Assistance from USDA.

<sup>5</sup> 28 C.F.R. Part 41-Implementation of Executive Order 12250, Nondiscrimination on the Basis of Handicap in Federally Assisted Programs; 28 C.F.R. Part 42, Subpart F-Coordination of Enforcement of Nondiscrimination Federally Assisted Programs.

## NIFA LAND-GRANT COLLEGES AND UNIVERSITIES

**WAES Research:**

The State of Wisconsin designated the University of Wisconsin-Madison as the 1862 Land-Grant University. University of Wisconsin was established in 1866 as the Land-Grant College for the State of Wisconsin. The College of Agriculture was created in 1889<sup>6</sup>. WAES is a unit of the UW, College of Agricultural and Life Sciences (CAL S) with the responsibility of managing Agricultural research in accordance with UW's Land-Grant mission. As NIFA partners WAES submits a Plan of Work (POW) to NIFA for approval. WAES is part of a national system created by the U.S. Congress to improve

<sup>6</sup> USDA Review PowerPoint. Dr. Kate VandenBosch, Dean and Director. April 10, 2017. Madison Wisconsin.



the quality of life for citizens in every state through teaching, research and outreach. WAES operations are synonymous with CALS. In that the WAES Director is also Dean of CALS and many faculty of CALS are supportive by WAES or have split appointments with WAES.

The college has a long and distinguished record of fulfilling the tripartite mission of teaching, research, and outreach education benefiting the health and economic vitality of Wisconsin's citizens. As early as 1919 the college broadcasted Agricultural information. In an effort to be relevant and accountable, the college has continuously and systematically reviewed and focused its programs to address Wisconsin's highest priority needs through strategic planning efforts and involving stakeholders. CALS fully subscribes its guiding principles of "Innovation and relevant research" as the basis of CALS activities<sup>7</sup>.

### Mission of CALS and WAES

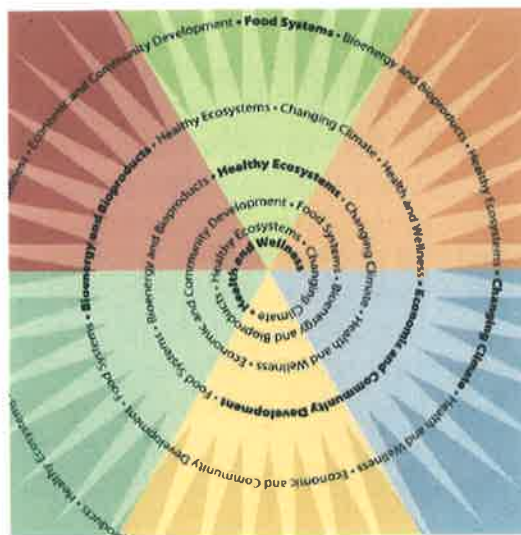
As noted above, WAES is a unit of CALS and its operations and activities are intertwined. The mission of CALS is "To advance and share knowledge, discover solutions and promote opportunities in food and agriculture, bioenergy, health, the environment, and human well-being." CALS vision: "To lead in science, innovation, and collaboration that improves life and sustains the natural world."<sup>8</sup> CALS priority themes are: Bioenergy and Bioproducts, Changing Climate, Economic and Community Development, Food Systems, and Health and Wellness.

### Wisconsin Agriculture and Population Census

For the purpose of this review, the 2012 Census of Agriculture-Wisconsin USDA National Agricultural Statistics Service (NASS) and the 2010 U.S. Census of Wisconsin for race, ethnicity and gender are utilized as a reference for demographics of the people in Wisconsin. Demographic data is presented in

## GROWING *the* FUTURE

STRATEGIC FRAMEWORK 2014



<sup>7</sup> College of Agricultural and Life Sciences, University of Wisconsin-Madison. "Growing the Future." Strategic Framework 2014. Page 3.

<sup>8</sup> USDA Review PowerPoint, Dr. Kate VandenBosch, Dean and Director. April 10, 2017. Madison Wisconsin. Page 7.



charts 1-3 and Tables 1-3. Three distinct groups of the people of Wisconsin may be potential and/or eligible recipients: principal farm operators, farm operators, and the general population.

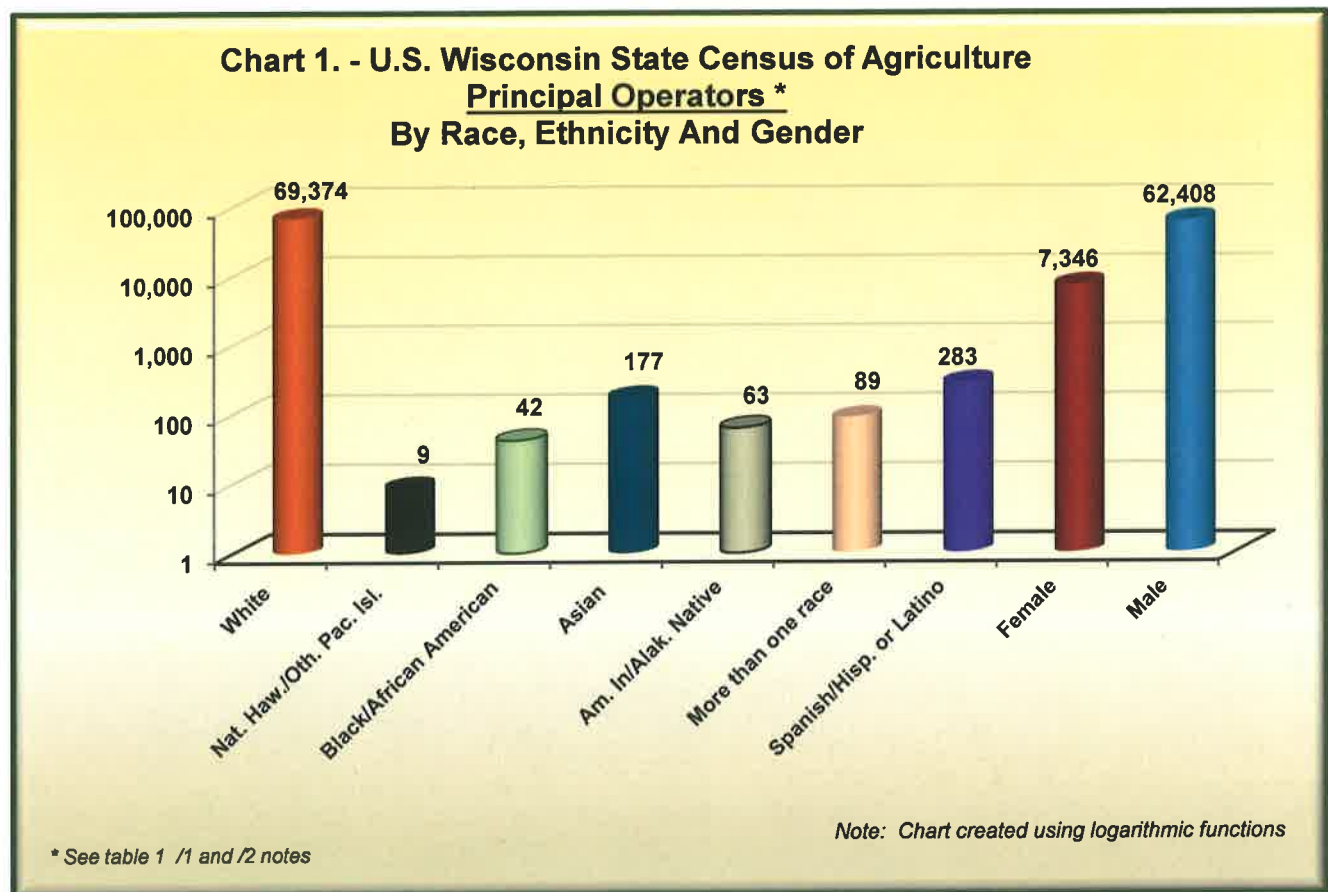
### *Wisconsin Agriculture Farm Operators*

Per the 2012 Wisconsin Census of Agriculture there were 111,080 total farm operators (multiple operators per farm) and 69,754 principal farm operators. Of these principal operators, 34,760 farming was their primary occupation and 57,611 place of residence was on the farm. For the purpose of this review and general conversations data in Table 1 and charts 1 and 2 show the racial, ethnic, and gender demographics of farm operators. Data in Table 1 shows Wisconsin has diversity among farm operators and principal farm operators.

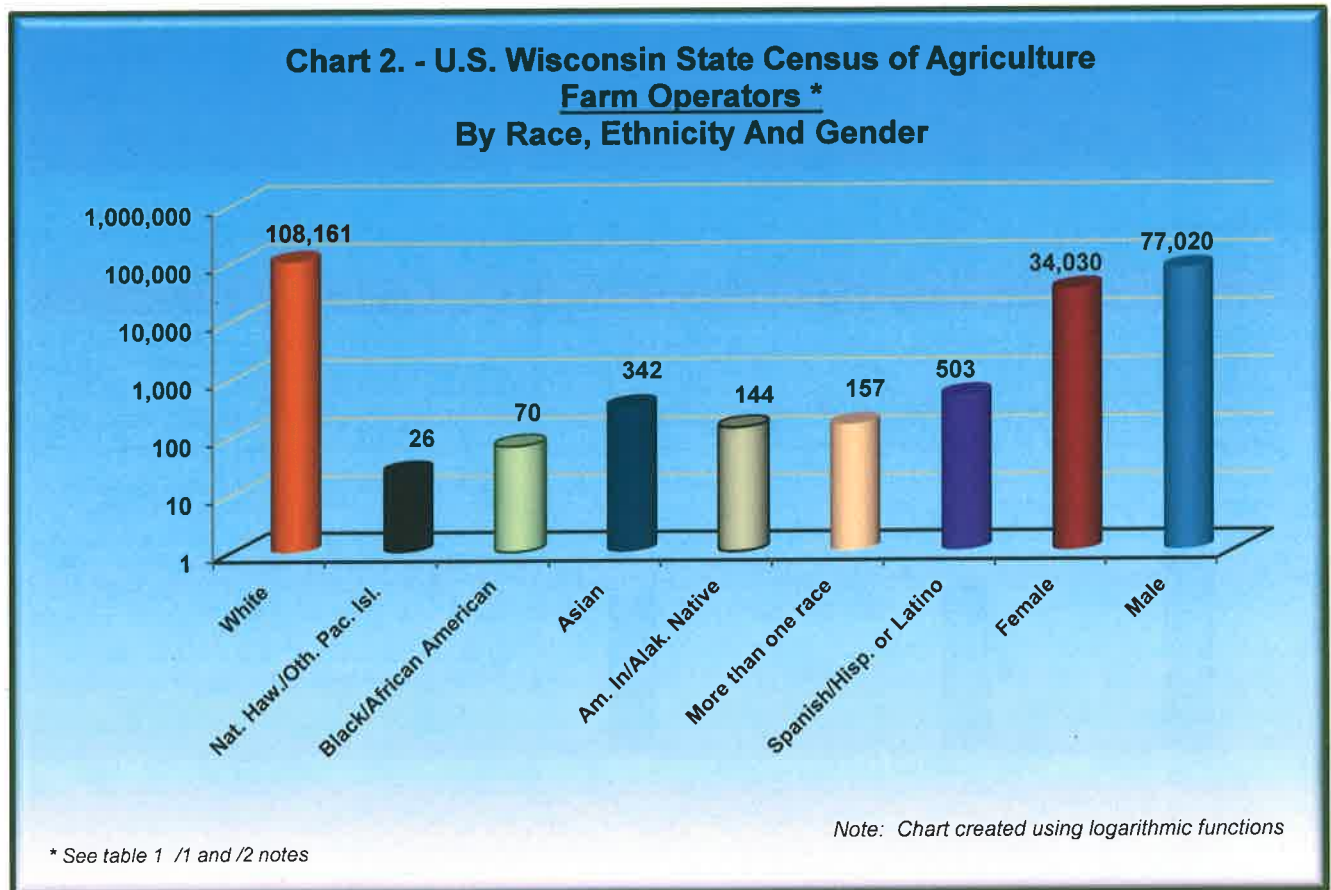
There is racial diversity in both types of operators however principal operators were majority White and male. This groups is more likely to determine the direction of operators and most likely to participate on Research advisory groups or provide stakeholder input into the WAES Research program. Farm operators and principal operators are likely to benefit from day to day research results, participate in research activities, have routine contact with faculty and graduate students, directly receive research results, etc.

<b>Table 1.–Wisconsin Farm Operators by National Agricultural Statistical Service-2012 Census of Agriculture As of April 14, 2017</b>		
<b>Race, Ethnicity, or Gender</b>	<b>Principal Operators</b>	<b>Operators</b>
<b>American Indian/Alaskan Native /1</b>	63	144
<b>Asian /1</b>	177	342
<b>Black/African American /1</b>	42	70
<b>Native Hawaiian/Pacific Islander /1</b>	9	26
<b>White /1</b>	69,374	108,161
<b>More than one race /1</b>	89	157
<b>Spanish, Hispanic, or Latino /1</b>	283	503
<b>Males /2</b>	62,408	77,020
<b>Females /2</b>	7,346	34,060
/1 Maximum three operators per farm. /2 Wisconsin Agriculture Census, table 45 page 552 total male or women operators.		

Agriculture Census data in chart 1 shows there are relatively few female and minority principal operators in Wisconsin. Hispanics accounted for 283 of the 69,754 principal operators making them the largest racial or ethnic minority group. Asians made up 177 of principal operators making them the largest racial minority group Black/African American and Native Hawaiian and Pacific Islanders were the least represented racial minority group.



Farm operator data presented in chart 2 shows a different scenario of diversity. Of the 111,080 farm operators (multiple operators per farm) shows there are more female farm operators than males. Females made up 34,060 of all farm operators as compared to 77,020 for males. There are significantly more minority farm operators than principal operators. As for example there are 4.6 times as many female farm operators (34,030) as there are female principal operators (7,346). Similarly there are 2.2 times as many American Indian/Alaskan Native farm operators (144) as there are principal operators (63).



## Wisconsin General Population Census

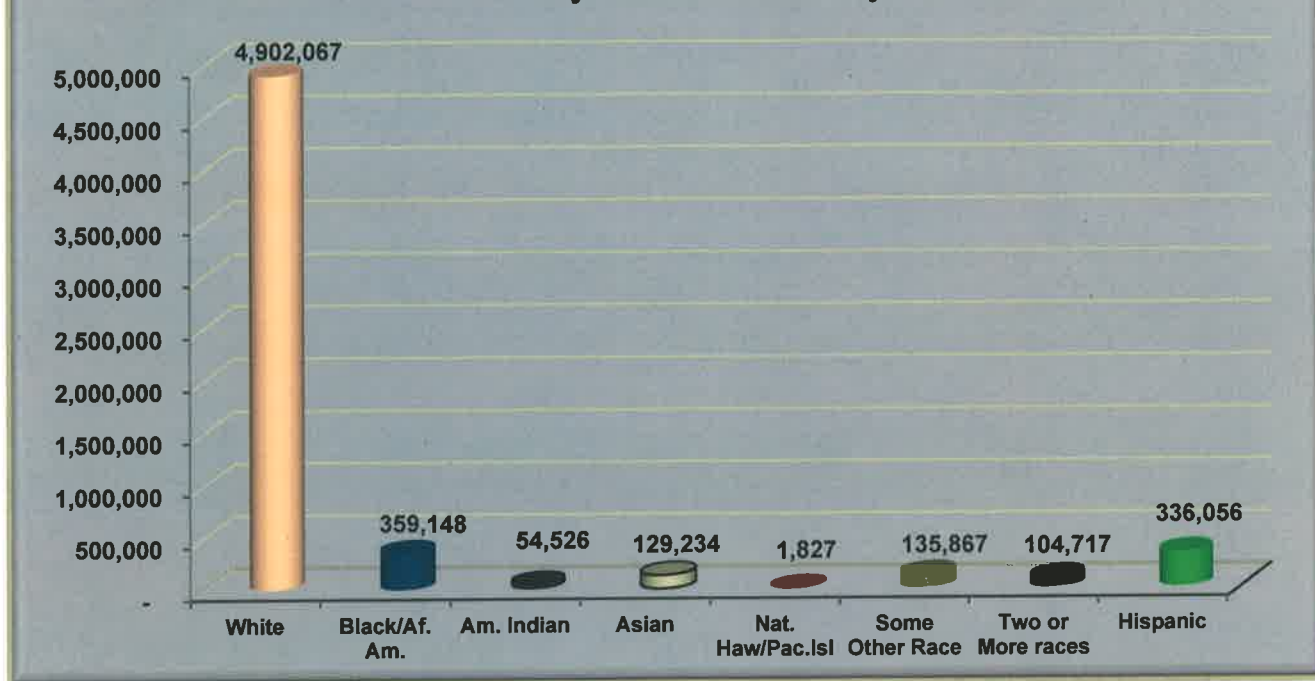
The general population of Wisconsin has the potential to be eligible to receive the benefits of WAES Research given the scope of WAES Research. The general census is utilized to review the diversity of Wisconsin. Table 2 shows Wisconsin has over 5.6 million people. While Whites account for majority of the State, 13.8 percent of the population identifies as a single racial minority, some other race, or two of more race.

**Table 2.-U. S. 2010 Census for Wisconsin  
By Race and Ethnicity  
As of April 14, 2017**

	Total	American Indian/ Alaska Native	Asian	Black/ African American	Native Hawaiian/ Pacific Islander	White	Some other race	Two or more races	Hispanic or Latino
<b>State of Wisconsin</b>	5,686,986	54,526	129,234	359,148	1,827	4,902,067	135,867	104,317	336,056
<b>% of Total</b>	100.0%	1.0%	2.3%	6.3%	0.03%	86.2%	2.4%	1.8%	5.9%

Data in chart 3 shows at 4,902,067 Whites are the largest racial group. There is a significant number (240,854) of individuals listed as some other race and two or more

**Chart 3. - 2010 U.S. Census Demographics in Wisconsin  
By Race and Ethnicity**



races. Asians represented the largest single minority group accounting for 2.9 percent of the population. Individuals identifying as some other race or two more races accounted for 4.2 percent of applicants. Hispanic were the largest ethnic minority groups making up 5.9 percent of the populations.

<b>Table 3.—U.S. 2010 Census for State of Wisconsin by Gender As of February 10, 2017</b>			
	<b>Total</b>	<b>Male</b>	<b>Female</b>
<b>Wisconsin</b>	5,686,986	2,822,400	2,864,586
<b>% of Total</b>	100.0%	49.6%	50.4%

Gender diversity was apparent in Wisconsin. Table 3 shows females accounting a slight majority of the population. Females account for 2,864,586 (50.4 percent) of the population.

## Discussion with Management

Preliminary findings developed by the NIFA reviewers based on the information gathered through the review process were presented to the University of Wisconsin-Madison, Wisconsin Agriculture Experiment Station, and Wisconsin Extension officials at an exit conference held by mutual agreement on April 14, 2017, at 8:30 am in Madison, Wisconsin.

*Representing UW Research and Extension were:*

*WAES and CALS*

- Kate VandanBosch, Dean and Director
- Robert Andresen, Director, Research Financial Services, Research
- Bill Barker, Associate Dean for Research
- Cheryl Doering, Compliance Specialist
- Carol Hillmer, Associate Dean, Human Resources
- Casey Hillmer, Research Administrator
- Angela Seitler, Associate Dean and CFO
- Richard Straub, Senior Associate Dean

*Wisconsin Cooperative Extension*

- Karl Martin, Dean and Director
- Aaron Brower, Provost
- Matt Hanson, Assistant Dean
- Shelly King-Curry, Director Diversity and Inclusion
- Sharon Klawitter, Human Resources
- Evetta Sloan, Office of Equity, Diversity, and Inclusion
- Kelly Thomas, Office of Equity, Diversity, and Inclusion
- Heidi Zoerb, Interim Associate Dean

*Representing the United States Department of Agriculture, National Institute of Food and Agriculture were:*

- Norman Pruitt, Interim Civil Rights Director, NIFA
- Latoya Hicks, EO Specialist, NIFA
- Philemon Rheins, EO Specialist, NIFA

The exit conference did not represent a formal presentation of the findings, but provided Extension officials the opportunity to review and react to the preliminary findings, to submit additional documentation, and to discuss any additional factors which may not have been brought to the review team's attention during the review.

As of April 14, 2017



***RESEARCH***

***EQUAL OPPORTUNITY***

***CIVIL RIGHTS***

***COMPLIANCE***

***REVIEW***

Review Conducted by:

**Latoya Hicks**

Equal Opportunity Specialist  
NIFA-USDA, Washington, DC

**Norman Pruitt**

Interim Civil Rights Director



# FINDINGS AND RECOMMENDATIONS AS OF APRIL 14, 2017

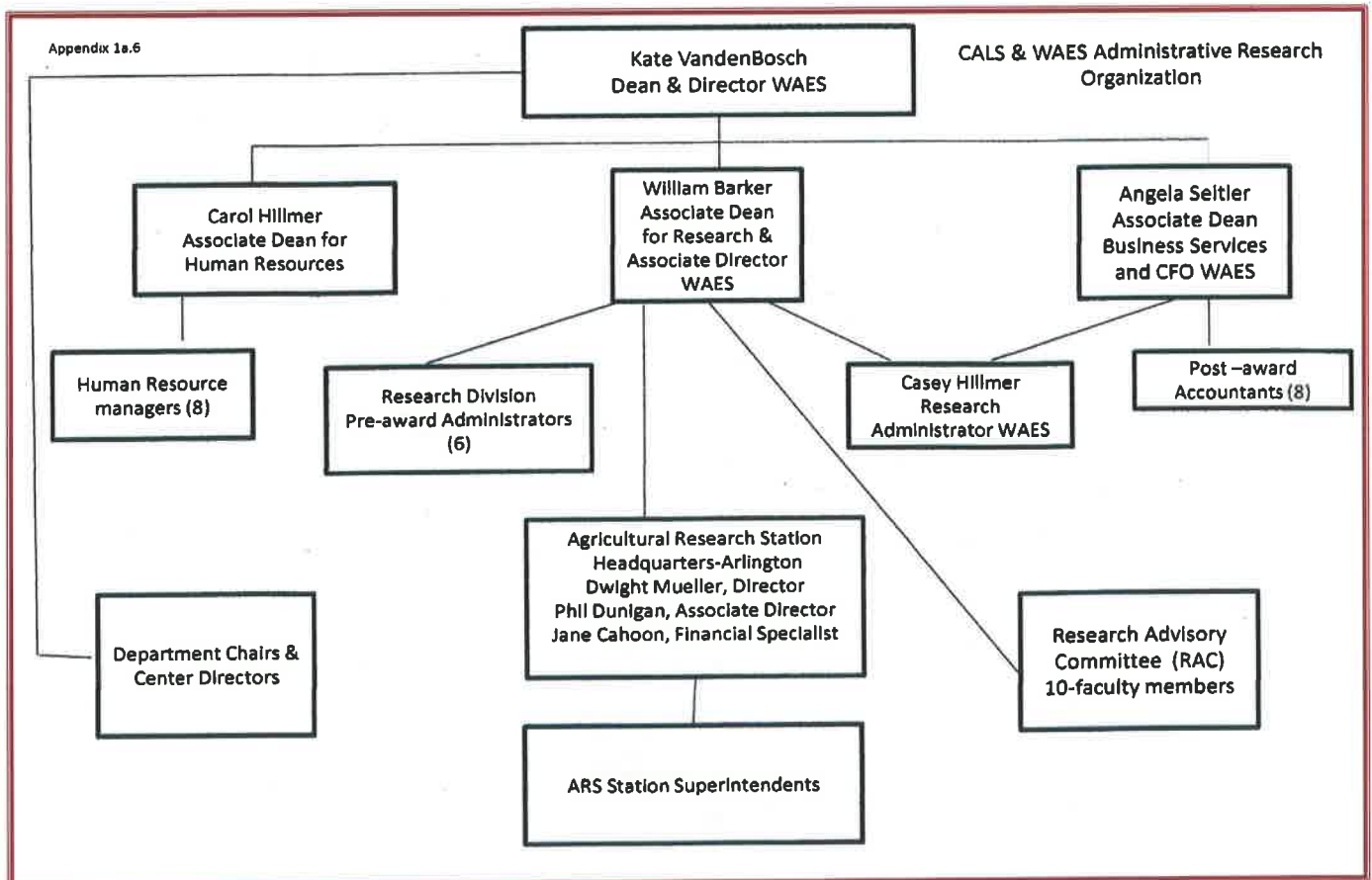
## Wisconsin Agriculture Experiment Station

### Research Programs

#### MANAGEMENT ORGANIZATION

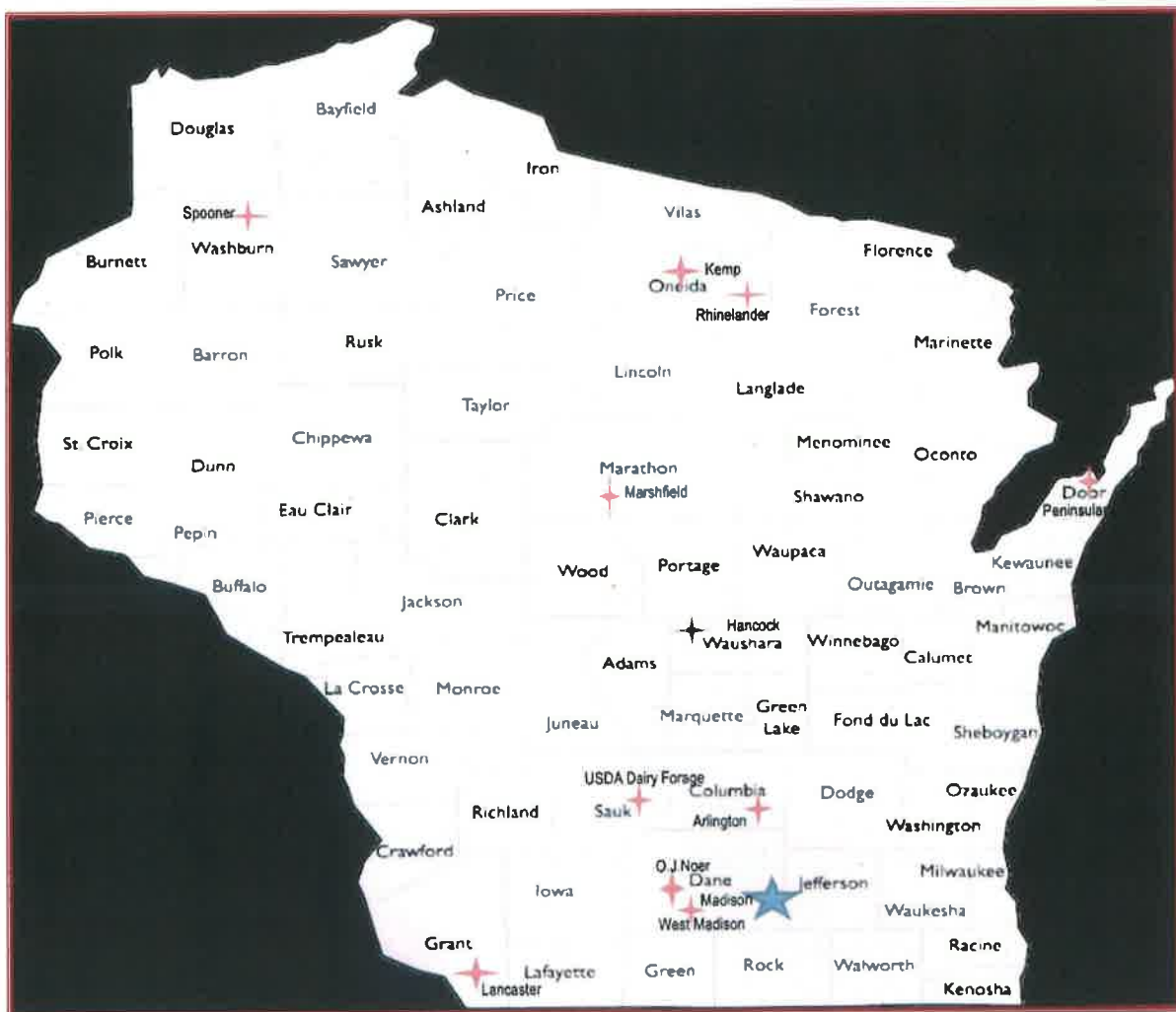
##### WAES RESEACH ORGANIZATION

The University of Wisconsin-Madison had in place a system to effectuate the Land-Grant mission via the Wisconsin Agricultural Experiment Station. The WAES is administratively housed within CALS. The two entities work in tandem and are for operational purposes one unit. Hence, CLAS mission, visions, and strategic planning encompasses WAES. At the time of this review Dr. Kate VandenBosch, Dean of CALS and Director of WAES served as the chief executive of both organizations. In these dual roles the Research and Teaching mission were managed by the same chief executive. CALS and WAES are also integrated with University of Wisconsin Extension.



The organizational structure is noted in the chart above. Dr. VandenBosch has three direct reports, the Associate Dean for Research and Associate Director of WAES, Associate Dean for Human Resources, and Associate Dean for Financial Services. The Associate Director provides day to day management of WAES' Research program. Evidenced during this review WAES and CALS provided comprehensive organizational and administrative support that enables faculty, graduate students, and staff to fully effectuate the Research mission. This support includes but is not limited to hiring of faculty, competitive start up packages, pre and post award support, human resources support, and working directly with academic units on tenure and promotion of faculty.

WAES managed 5,482 acres throughout the State and operated eight CALS Agricultural Research Stations (ARS). WAES had in place management structure with ARS Superintendents reporting to the ARS Director who reported to the Associate Director/Associate Dean for Research. Reviewers visited the ARS at Arlington, Wisconsin.



CALS is commended for having in place a method to continuously receive stakeholder input. Three boards and/or advisory councils were in place at the time of this review (see section on Advisory Boards and Committees in this report.)

CALS also had in place a "Research Advisory Committee" made up of ten faculty. The committee provides peer review for all new Research proposals. The committee advises WAES on Research matters such as: reviewing the process for distribution of formula funds, advising on funding issues for principal investigators, and advising on strategies to enhance the visibility, stature, and strength of WAES.

### ***WAES Civil Rights Organization***


WAES and CALS are units of the University of Wisconsin-Madison. As such they are subject to the civil rights organizational structure of UW. At the time of this review UW had a substantial civil rights/diversity/affirmative action organization in place. UW is highly commended for the range, depth, and commitment to civil rights and diversity and inclusion and applying affirmative approaches to increasing diversity. UW had in place an Equal Opportunity and Affirmative Action Policy Statement signed by Chancellor Rebecca M. Blank. The reviewer visited with several campus level offices.

The campus representatives are applauded for their knowledge in their respective areas and open communication during interviews. Campus level statistics and programs are readily available to units and widely publicized. The Office of Equity and Diversity was responsible for civil rights compliance and monitoring and training. Civil rights training was readily available. The campus had a focus on sexual harassment training.

UW offices relative to civil rights, diversity, and affirmative action included:

- ✓ Division of Diversity, Equity, and Educational Achievement (DDEEA)-Vice Provost for Diversity and Climate
- ✓ Office for Equity and Diversity (OED) - unit within DDEEA
- ✓ Office of Compliance-reports to Vice Chancellor for Legal Affairs

UW had in place a network of campus Diversity Officers. CALS Diversity Officer was the Assistant Dean for Minority Student Affairs. The diversity officer coordinates initiative to promote and support the academic achievements of students including those from underrepresented and targeted groups. CALS had in place an Equity and Diversity Committee that advised the Dean and Director. The committee is made up of six faculty, three staff, two undergraduate students, one graduate student and ex officio members from CALS administration. UW is commended for having in place an internal evaluation process with reports available to the public <https://campusclimate.wisc.edu/> UW published the "Campus Climate Progress Report-Spring 2017" to highlight key initiatives.




**ཐོག་མཐོང་། / TIBETAN**

**ESPAÑOL / SPANISH**

**中文 / CHINESE**

**HMOOB / HMONG**



**WISCONSIN**  
UNIVERSITY OF WISCONSIN-MADISON

**How to File a Complaint  
of Discrimination**

**Office of Compliance**  
361 Bascom Hall  
500 Lincoln Drive  
Madison, WI 53706  
608-265-6018 (phone)  
608-263-4725 (fax)  
**Wisconsin Telecommunications  
Relay Service: 7-1-1**

While CALS and WAES had a wealth of campus level offices to seek overall civil rights support, a centralized place or individual was not apparent to give direction and guidance on WAES' responsibility under Title VI civil rights as a recipient of Federal financial assistance. While Title VI support was evident from the campus in such areas as faculty and graduate student diversity, sexual harassment, and civil rights training, support in areas such as accommodation for the disabled at ARS stations, support for Limited English Proficient (LEP), use of the "And Justice for All Poster," etc. was not as apparent.

UW had in place a well-defined complaint process complete with public notification of the complaint process in multiple languages. Of concern was the level of complaints in CALS. Thus CALS has a focus on additional training

Formal and informal complaints log data provided by CALS/WAES showed two formal complaints and 18 informal complaints were filed by faculty, employees, or students from 2014 to 2016. The two formal complaints were closed as withdrawn or incomplete. Investigations were on-going for 3 of the 18 informal complaints. Of concern were the number of informal complaints related to sexual harassment, gender bias, and/or hostile environment. Of the 18 complaints in these areas 11 were related to some form of Title IX bias such as noted above.

In July 2014, the University of Wisconsin System President charged a UW System Task Force on Sexual Violence and Harassment to among other things to "strengthen the UW System's capacity to

prevent sexual violence and harassment.<sup>9</sup> Among the recommendations was strengthening of policies and training. In particular, training needed to be in-depth. UW-Madison is commended for being one of 27 institutions to volunteer to participate in a “Sexual Misconduct and Sexual Assault Climate Survey<sup>10</sup>” in 2015 that was created by the Association of American Universities.

CALS has developed in partnership with OED a Title IX Awareness workshop for CALS. CALS/WAES offered workshops on January 30, 2017, March 31, 2017, and May 8, 2017, and provided reviewers with a list of attendees. UW has a number of policies, documents and procedures in place to assure for a comprehensive Title IX program including procedures to manage sexual harassment complaints and training at the college level.

The reviewers note the tremendous efforts to support complainants and procedures to investigate complaints. Of note, there were no specific provisions or methods to assure a graduate student and in particular a female graduate student is able to continue their studies, research, and funding should they elect to file a complaint against a faculty member and in particular their advisor. While this may be a very rare instance, given the dependence of graduate students on a particular faculty member to assure academic success and funding (graduate students are typically funded from faculty grants at UW). The Dean/Director should explore methods and procedures to assure a student who elects to file a complaint academic and financial support will continue in the event the complaint is investigated.

#### **Recommendations:**

- CALS/WAES must identify an individual or point of contact specific to meet its obligations under Title VI as a recipient of Federal financial assistance. CALS/WAES are strongly encouraged to collaborate and utilize existing campus units for Title VI support.
- CALS/WAES are strongly encouraged to continue working with OED to assure civil rights training and in particular sexual harassment is provided to faculty, staff, and graduate students on an on-going basis.
- CALS/WAES should review existing policies and procedures to assure the academic progress and funding of a graduate student continues in the event the student files a complaint.

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<sup>9</sup> University of Wisconsin System. Task Force ON Sexual Violence and Harassment. Report and Recommendations Submitted to UW System President Ray Cross. December 2016. Page 3.

<sup>10</sup> University of Wisconsin-Madison. Association of American Universities, Sexual Misconduct and Sexual Assault Climate Survey. <https://www.uhs.wisc.edu/aau-survey/>



## RESOURCE ALLOCATION

### ***Discrimination Prohibited In Agricultural Experiment Station***

#### ***7 CFR Subpart A, §15.3, (d), (10), (i-iii)***

- *...in making available information whether published or provided through public or private statement, correspondence, demonstration, or field day*
  - *...in participation in any Cooperative Research Program or project*
- *...in the use of any facility, including offices, laboratories, or other structures, or research plots or field<sup>11</sup>.*

The overall purpose of the allocation of resources is to effectuate WAES' Plan of Work and CALS strategic plan and deliver research to the people of Wisconsin and beyond. These resources were also utilized to support a civil rights operation. The Dean of CALS/Director of WAES must assure all of WAES resources are allocated on a nondiscriminatory basis as a recipient of Federal financial assistance. WAES receives financial assistance from NIFA, matching funds based on NIFA's capacity funds, NIFA grants, other granting sources, private sources, etc. WAES resources primarily are utilized to support faculty, staff, and graduate students' salary and benefits. These individuals are typically employed by UW-Madison and their employment or appointments reside in UW-Madison academic units. NIFA capacity fund (Hatch, Hatch Multistate, McIntire-Stennis, and Animal Health) are primarily utilized to support approximately 130 projects annually, graduate students, student workers, and travel. WAES provides faculty with four competitive funding opportunities: Capacity funds; Multi-State projects; UW-Consortium for Extension and Research in Agriculture and Natural Resources; and Agricultural Research Station Internship Program.

Overall WAES funding is allocated to CALS academic units based on past funding and past history with adjustments. It is noted that UW-Madison has undergone large budget cuts. CALS allocated budget cuts based on a formula.

Startup packages are routinely given to new CALS faculty. The packages are supported by the home department, WAES and the UW Office of the Vice Chancellor for Research and Graduate Education. The packages consist of a 3-year Hatch project and a pool of flexible fund. Proposals for startup packages are sent by the new faculty to the Associate Dean for Research and reviewed by a peer committee.

Allocation of laboratory and research space is determined by a faculty committee at the departmental level. Space is identified for new hires before or during the hiring process. CALS has policies for requesting space for greenhouses, controlled environments, and research plots. Allocation of space for research is done by faculty staff and/or faculty governing committee.

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<sup>11</sup> USDA 7 C.F.R. 15, Subpart A, Nondiscrimination in Federally-Assisted Programs of the Department of Agriculture (Effectuation of Title VI of the Civil Rights Act of 1964 ), § 15.3, Discrimination prohibited.

## **WAES Workforce/Recipient Profile**

### **Race and Ethnicity**

WAES provided direct and indirect resources to hire and financially support UW faculty, staff, and graduate students, the workforce/recipient profile is examined in this report. Where WAES funds were distributed to UW academic units, these employees may be considered recipients of WAES support. Table 4 shows the race and ethnicity and Table 5 shows the gender of UW employees receiving any level of WAES support level of support from WAES regardless of the WAES funding source. For the purpose of this review, workforce/recipient data is confirmed as of April 14, 2017.

Data in Table 4 is presented using UW employment reported as a federal contractor utilizing the EEO-1 occupational categories. WAES provides support for 958 permanent employees and 1,427 part-time employees. The 958 permanent employees are employed in 7 EEO occupational categories. The 1,427 part-time employees are employed as follows: 479 Research assistants, 164 part-time professionals, and 784 student workers. While the vast majority of permanent employees were classified as "other professional", tenure and tenure track faculty accounted for 241 (25.16 percent) of all permanent faculty.

Overall racial and ethnic diversity is evident with all racial categories with the exception of Native Hawaiians/Pacific Islanders represented among the 958 permanent employees. Asians were the largest racial/ethnic minority group accounting for 94 (9.81 percent) of permanent employees. Hispanics were the next largest racial/ethnic minority group accounting for 33 (3.45 percent) of permanent employees. The other two largest groups were Whites accounted at 780 (81.42 percent) and those "not reporting" at 72 (7.52 percent) of all employees.

The least diverse occupational categories were Executive/Officials and Service Workers. There were no Hispanic employees in either of these categories, 1 Asian in the Executive/Officials category, and 2 Blacks in the Service Workers category. Diversity was apparent in the Faculty (professionals) and Other Professionals categories.

The Faculty and Other Professionals categories displayed the most diversity given the high percentage of race or ethnicity "Not reported". Asians accounted for the largest racial minority group in the Faculty category (8.30 percent) and Other Professionals (13.90 percent). Hispanics were also more likely to be hired as Faculty (5 or 3.14 percent) and Other Professionals (21 or 4.05 percent). Blacks were most represented in the Other Professionals category accounting for 4 (0.77 percent) of the 518 employees and Blacks accounted for 1 (0.41 percent) for Faculty. WAES supported a total of 7 Black employees who were employed as Faculty (1), Other Professionals (4), and Service Workers (2.)



**Table 4.-Wisconsin AES Workforce/Recipients**  
**By race and ethnicity**  
**As of April 14, 2017**

OCCUPATIONAL CATEGORIES	RACE/ETHNICITY								
	Am. Indian/ Alaskan Nat.	Asian	Black	Native Hawaiian/ Pac. Isl.	White	2 or more	Not Reported	TOTAL Race	Hispanic
Executive/Officials	0	1	0	0	11	0	0	12	0
	0.00%	8.33%	0.00%	0.00%	91.67%	0.00%	0.00%	100.00%	0.00%
Faculty (Total tenured/tenure track- Professional)	1	20	1	0	208	2	9	241	12
	0.41%	8.30%	0.41%	0.00%	86.31%	0.83%	3.73%	100.00%	4.98%
Faculty-Professors	1	10	1	0	144	0	3	159	5
	0.63%	6.29%	0.63%	0.00%	90.57%	0.00%	1.89%	100.00%	3.14%
Faculty-Associate Professors	0	4	0	0	31	1	1	37	2
	0.00%	10.81%	0.00%	0.00%	83.78%	2.70%	2.70%	100.00%	5.41%
Faculty-Assistant Professors	0	6	0	0	33	1	5	45	5
	0.00%	13.33%	0.00%	0.00%	73.33%	2.22%	11.11%	100.00%	11.11%
Other Professionals	0	72	4	0	391	2	49	518	21
	0.00%	13.90%	0.77%	0.00%	75.48%	0.39%	9.46%	100.00%	4.05%
Administrative Support Workers	0	1	0	0	47	0	2	50	0
	0.00%	2.00%	0.00%	0.00%	94.00%	0.00%	4.00%	100.00%	0.00%
Technicians	0	0	0	0	63	0	9	72	0
	0.00%	0.00%	0.00%	0.00%	87.50%	0.00%	12.50%	100.00%	0.00%
Craft Workers	0	0		0	5	0	0	5	0
	0.00%	0.00%	0.00%	0.00%	100.00%	0.00%	0.00%	100.00%	0.00%
Service Workers	0	0	2	0	55	0	3	60	0
	0.00%	0.00%	3.33%	0.00%	91.67%	0.00%	5.00%	100.00%	0.02%
TOTAL Permanent Employees	1	94	7	0	780	4	72	958	33
	0.10%	9.81%	0.73%	0.00%	81.42%	0.42%	7.52%	100.00%	3.45%
Research Assistants	2	76	5	0	254	24	118	479	35
	0.42%	15.87%	1.04%	0.00%	53.03%	5.01%	24.63%	100.00%	7.31%
Part time professionals	1	15	2	0	133	2	11	164	6
	0.61%	9.15%	1.22%	0.00%	81.10%	1.22%	6.71%	100.00%	3.66%
Student workers	5	76	7	0	475	27	194	784	28
	0.64%	9.69%	0.89%	0.00%	60.59%	3.44%	24.74%	100.00%	3.57%
TOTAL Part Time Employees	8	167	14	0	862	53	323	1,427	69
	0.56%	11.70%	0.98%	0.00%	60.41%	3.71%	22.63%	100.00%	4.84%

Faculty with the rank of professor account for 159 (65.98 percent) of the 241 tenured/tenure track faculty. Diversity varied with rank with the Assistant Professor rank made up of 13.33 percent Asian and 11.11 percent Hispanic. However faculty with race or ethnicity "Not reported" made up 11.11 percent or the same percentage of Assistant Professors. The least amount of faculty with race or ethnicity "Not reported" were in the Professor rank with only 1.89 percent of faculty listed. However, the only Black and only American Indian/Alaskan Native Faculty had the rank of Professor.

Of civil rights concern is the high level of race or ethnicity "Not-reported" in selected occupational categories. Employees listed as "Not-Reported" accounted for 7.52 percent of all permanent employees, 11.11 percent of all Assistant Professors-Faculty, 9.46 percent of Other Professionals, and 12.50 percent of Technicians. The high levels of race or ethnicity not reported creates an issue with WAES having data of sufficiency to determine the level of minority participation in WAES Research programs. In addition, reporting of employment data is required as federal contractor.

Racial and ethnic diversity was evident in the part-time employee ranks. Of note Asians made up 15.87 percent of Research assistants and 11.70 percent of the total 1,427 part-time employees. Of civil rights concern as noted above were the extremely high percentage of race or ethnicity not reported for Research assistants 118 or 24.63 percent and student workers 194 or 24.72 percent. In particular Research assistants are typically supported by grants and heavily involved in effectuating WAES' Research agenda.

**Table 5.- Wisconsin AES Workforce/Recipients  
By gender  
As of April 14, 2017**

GENDER				
OCCUPATIONAL CATEGORIES	Male	Female	Not Reported	TOTAL
Executive/Officials	9	3	0	12
	75.00%	25.00%	0.00%	100.00%
Faculty (Professional)	182	59	0	241
	75.52%	24.48%	0.00%	100.00%
Faculty-Professors	131	28		159
	82.39%	17.61%	0.00%	100.00%
Faculty-Associate Professors	20	17	0	37
	54.05%	45.95%	0.00%	100.00%
Faculty-Assistant Professors	31	14	0	45
	68.89%	31.11%	0.00%	100.00%
Other Professionals	285	233	0	518
	55.02%	44.98%	0.00%	100.00%
Administrative Support Workers	9	41	0	50
	18.00%	82.00%	0.00%	100.00%
Technicians	41	30	1	72
	56.94%	41.67%	1.39%	100.00%
Craft Workers	5	0	0	5
	100.00%	0.00%	0.00%	100.00%
Service Workers	55	4	1	60
	91.67%	6.67%	1.67%	100.00%
TOTAL Permanent Employees	586	370	2	958
	61.17%	38.62%	0.21%	100.00%

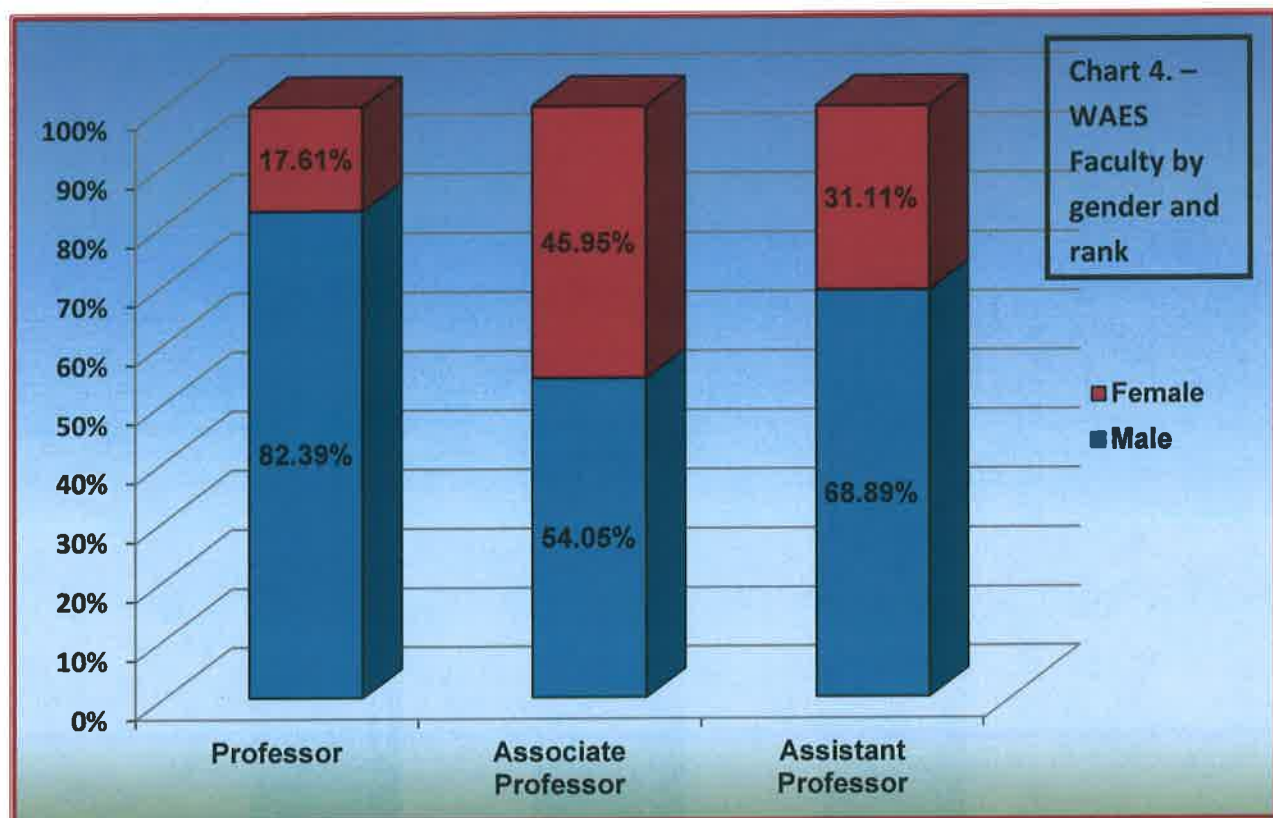
**Discrimination on the Basis  
of Sex in Education  
Programs**

**And Activities Prohibited  
7CFR Subpart D, §15a.31  
Education programs and  
activities**

(a) General. Except as provided elsewhere in the part, no person shall, on the basis of sex, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any academic, extracurricular, research, occupational training, or other education program or activity operated by a recipient which receives or benefits from Federal financial assistance

Gender

Overall gender diversity was apparent (Table 5) for the 958 permanent employees. Females accounted for 38.62 percent of the permanent employees. Females made up higher percentages of research assistants (48.23 percent) and student workers (44.64 percent). However females made up significantly lower percentage of employees in the occupational categories of Executive/Officials (25.00 percent) and Faculty (24.48 percent). Only 2 of the 958 employees' gender was not reported.



Gender diversity varied by professorial rank. Females accounted for 31.11 percent of Assistant Professors and 17.61 percent of Professors. WAES/CALS for commended as 14 females were among the 45 new faculty. Of note the percentage and number of female faculty decreased from 17 (45.95 percent) Associate Professors to 14 (31.11 percent) Assistant Professors. Females made up 28 (17.61 percent) of full Professors. Overall of the 59 females with professorial rank, female Professors made up 28 (47.46) percent of all female faculty.

While UW/CALS/WAES have salary administration procedures in place. Salary adjustments are made at the department level. UW has policies in place relative to salary compression issued by the Provost on December 4, 2104, and salary pay equity issued on February 19, 2014.

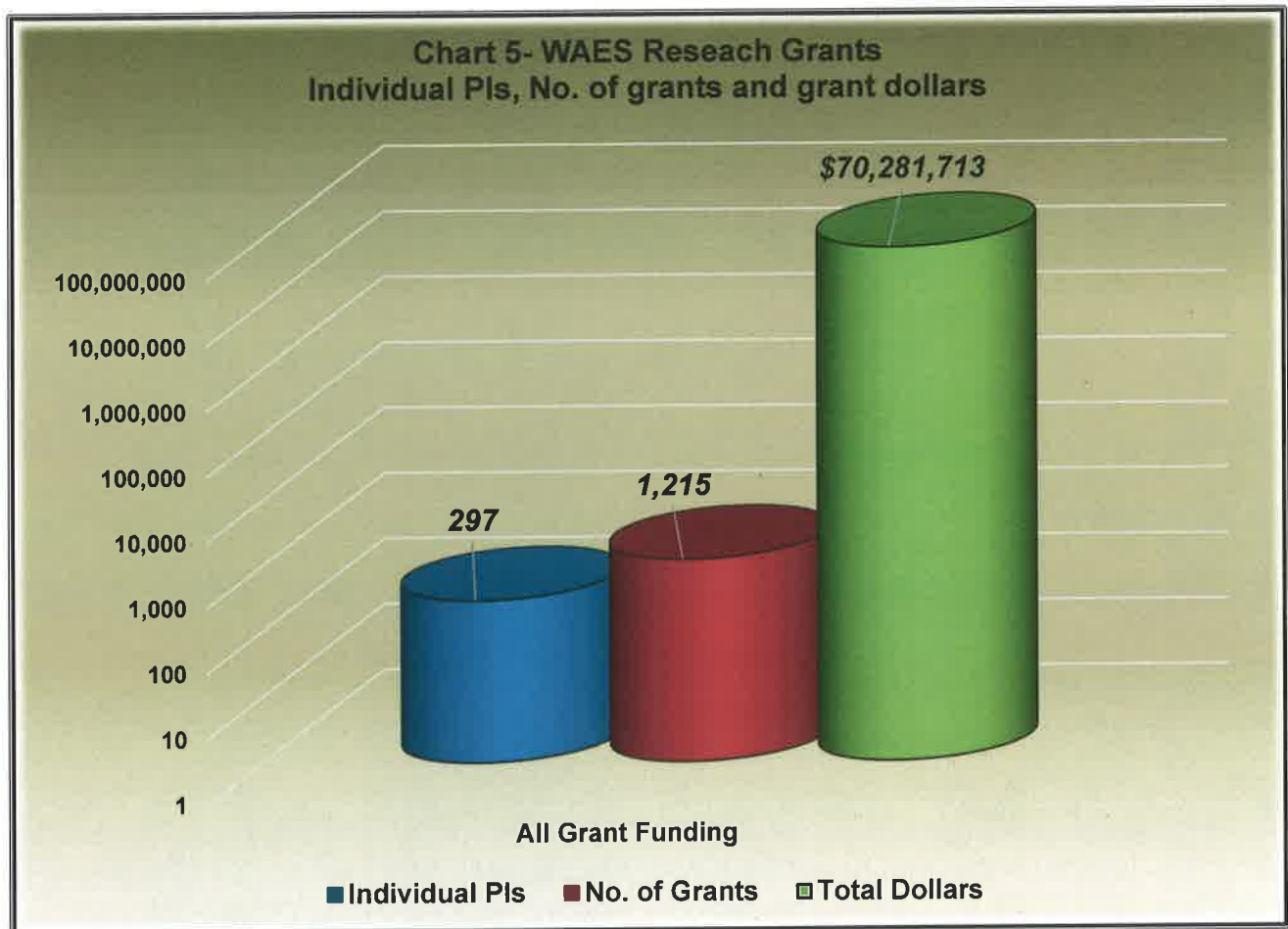
<https://provost.wisc.edu/documents/Comp-Eq-FundDec2014.pdf>

<https://provost.wisc.edu/documents/FacultyPayEquityReview2014.pdf>

UW has undergone budget pressure over several years that limited normal salary adjustments such as merit and COLA. However, UW had made retention and recruitment of selected faculty a priority and has two policies in place noted above to make adjustments based on equity and salary compression. Salary compression or

variances in salary may occur over time. Interviews with UW and CALS officials noted as of July 1, 2016, UW has new salary adjustment authority. UW Human Resources is commended for taking a lead role on reviewing salaries by REG. There was no clear process to assure equity in salary administration at the CALS/WAES level. However, there was no clearly defined process or study planned to specifically review UW salary by gender in in particular CALS/WAES faculty by gender.

### **Research Grant Support**



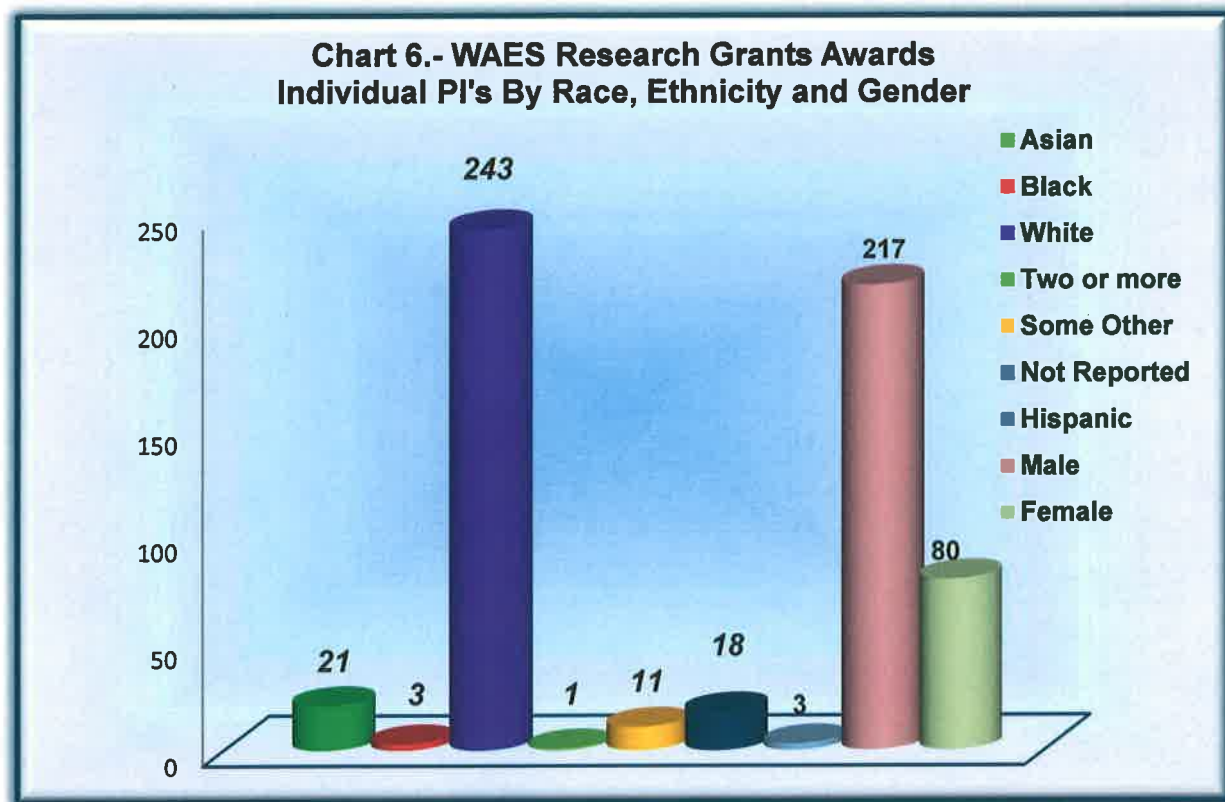
WAES/CALS is commended for having a very active and supportive Research operation. Faculty are notified about internal grant programs and staff are available to assist them in proposal development, writing, and submission. As important is the support faculty receive in their home academic departments.

WAES faculty actively seek and are successful obtaining extramural funding as is shown in chart 6. The CALS Research division reported \$70,281,712.81 in extramural



funding for the year ending June 30, 2016. There were 297 principal investigators who received 1,215 individual grants.

The 297 principal investigators (PIs) included 21 Asian, 3 Blacks, 11 some other race, and 3 Hispanics. Of concern 18 (7.41 percent) of the PIs' race or ethnicity was not reported. Female made up 80 (26.94) percent of PIs.



**Recommendation {Resources Allocation-workforce/recipient, research and grant support, test plots, etc. and start-up packages}**

- Given the national geographic scope of recruitment by Research institutions such as UW for faculty, executives, and selected professionals and the State's demographics, the CALS/WAES Dean and Director must provide assurances that barriers do not exist to hiring racial and ethnic minorities in occupational categories where data shows underrepresentation. Particular attention should be given to the hiring of racial and ethnic minority faculty and executives such as African American/Blacks.
- The Dean and WAES Director as a NIFA recipient of Federal financial assistance<sup>12</sup> must work with academic units receiving WAES support to provide assurance of nondiscrimination in the hiring process for faculty. WAES must work with UW academic units to develop a hiring and recruitment plan for racial minority faculty in addition to and including any goals that may or may not be established by the UW Affirmative Action Plan (Executive Order 11246 and 41 CFR 60.2) for minorities and women.
- The Dean and WAES Director as a NIFA recipient of Federal financial assistance<sup>13</sup> must work to assure barriers do not exist to hiring female faculty where data shows underrepresentation in academic units. A plan for gender diversity must be developed in addition to and including any goals that may or may not be established by the UW Affirmative Action Plan (Executive Order 11246 and 41 CFR 60.2) for minorities and women.
- CALS and WAES executives and unit heads are encouraged to conduct a barrier analysis working with UW Human Resources relative to African American/Black, and female faculty. The issue of a decline in female faculty hiring at the Assistant professor level is of particular concern.
- CALS/WAES must assure equity salary administration. The Dean/Director should consider working with UW to conduct an in-depth salary analysis given the reliance on selective salary administration over the past years. The analysis should focus on race, ethnicity, and gender.

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<sup>12</sup> National Agricultural Research, Extension, and Teaching Policy Act of 1977. As Amended Through Public Law 107-293, Nov. 13, 2002. Section 1404.

<sup>13</sup> National Agricultural Research, Extension, and Teaching Policy Act of 1977. As Amended Through Public Law 107-293, Nov. 13, 2002. Section 1404.



## GRADUATE STUDENTS

### ***Discrimination Prohibited In Agricultural Experiment Station***

#### **7 CFR Subpart A, §15.3, (d), (10), (iv)**

- *...in employment of graduate students to conduct research when such students receive substantial research training benefits as a result of such employment.<sup>14</sup>*



The Science and Medicine Graduate Research Scholars (SciMed GRS) program is unique fellowship program offering professional development, community resources, and funding opportunity for underrepresented graduate students in the College of Agricultural and Life Sciences, the School of Medicine and Public Health, School of Pharmacy and School of Veterinary Medicine. Through SciMed GRS, students are members of a supportive community of UW-Madison graduate students, faculty, and staff from biological science disciplines.

Graduate student recruitment, retention, and admission selection is done at the individual academic unit level. Faculty typically directly recruit and determine which graduate students are admitted into their departments. In some units graduate students are admitted as a group and work in various faculty members' laboratory basis to determine the best fit. The UW graduate school provides some support and limited

In most instances WAES funds go to financially support graduate students.

The graduate schools

has one program "SCIMED" to recruit and retain underrepresented graduate students in the Biological sciences. UW-Madison sends representatives to Minorities in Agriculture, Natural Resources and Related Sciences (MANRS).

<sup>14</sup> USDA 7 C.F.R. 15, Subpart A, Nondiscrimination in Federally-Assisted Programs of the Department of Agriculture (Effectuation of Title VI of the Civil Rights Act of 1964 ), § 15.3, Discrimination prohibited.

Retention and support is extremely crucial to the success of UW graduate students. Students visited as a part of this review, expressed the strong support from UW faculty and staff. Units have in place methods to monitor the progress of graduate students.

The “Plan for Assessing Each Student Learning Goal” is an excellent tool regardless of the student’s race, ethnicity, and gender to monitor their progress. The process allows faculty and the Department chair to follow the master’s level student’s progress throughout their academic career with a focus on learning goals.

**Plan for Assessing Each Student Learning Goal**

Assessment Planning (How)	Learning Goals					
	1. Students will understand and summarize ideas and concepts, into a coherent biological model and research project.	2. Students will create research and scholarship that makes a substantive contribution to the field of Dairy Science.	3. Students will orally communicate complex ideas in a clear and understandable manner in a scientific, classroom, and/or industry setting.	4. Students will foster ethical and professional conduct and have knowledge in a broad range of areas	5. Students will be able to statistically analyze data, summarize results in tables and graphs, and provide valid interpretation of results.	6. Students will communicate in accurate written English and in the format of a scientific journal, complex ideas and research results.
1st Semester – Form M.S. mentor committee Meet each member	XX Indirect	XX Indirect	XX Indirect	XX Indirect		
2nd Semester – Meet with M.S. committee Approve Coursework Present research plan	XX Indirect	XX Indirect	XX Indirect	XX Indirect	XX Indirect	XX Indirect
Each Year student will meet with M.S. committee	XX Indirect	XX Indirect	XX Indirect	XX Indirect	XX Indirect	XX Indirect
Complete Research and Thesis Thesis evaluated by each member	XX Direct	XX Direct			XX Direct	XX Direct
Final Defense and Examination by the M.S. Examination Committee	XX Direct		XX Direct	XX Direct	XX Direct	XX Direct
Timetable for Assessment	Annually	Annually	Annually	Annually	Annually	Annually

Two UW academic units (Department of Plant Pathology and Department of Dairy Science) were visited as a component of this review. Race, ethnicity and gender data for domestic graduate students and gender data for international students was presented to NIFA reviewers. The data is presented in Tables 6 and 7.

### Department of Dairy Science

The number of domestic graduate students rose from 14 in spring 2015 to 20 in spring 2017 while the number of international graduate students declined from 17 in spring 2015 to 14 in spring 2017. The department's percentages of minorities dropped between these dates. In all three years there were no Asian graduate students. In each year there was only one racial or ethnic minority (Hispanic in 2015 and Black in 2016 and 2017). Given the growth in graduate students, the percentage rose climbing from 64.29 percent in 2015 to 75.00 percent in 2017 for domestic students and from 35.29 percent to 50.00 percent for international graduate students.

International graduate students accounted for a high of 54.84 percent in spring 2015 dropping to 41.18 percent in spring 2017. The number of international students declined 17.65 percent falling from 17 in spring 2015 to 14 in spring 2017.

**Table 6.- UW Department of Dairy Science Graduate Students  
Domestic and International by Race, Ethnicity and Gender  
As of April 14, 2017**

	Spring 2017		Spring 2016		Spring 2015	
	#	%	#	%	#	%
<b>DOMESTIC</b>						
White	19	95.00%	17	94.44%	13	92.86%
Asian	0	0.00%	0	0.00%	0	0.00%
Black	1	5.00%	1	5.56%	0	0.00%
American Indian	0	0.00%	0	0.00%	0	0.00%
Pacific Isl.	0	0.00%	0	0.00%	0	0.00%
2 Or More	0	0.00%	0	0.00%	0	0.00%
Other	0	0.00%	0	0.00%	0	0.00%
Hispanic	0	0.00%	0	0.00%	1	7.14%
<b>TOTAL Domestic</b>	<b>20</b>	<b>100.00%</b>	<b>18</b>	<b>100.00%</b>	<b>14</b>	<b>100.00%</b>
Male	5	25.00%	5	27.78%	5	35.71%
Female	15	75.00%	13	72.22%	9	64.29%
<b>TOTAL</b>	<b>20</b>	<b>100.00%</b>	<b>18</b>	<b>100.00%</b>	<b>14</b>	<b>100.00%</b>
<b>INTERNATIONAL</b>						
Male	7	50.00%	8	61.54%	11	64.71%
Female	7	50.00%	5	38.46%	6	35.29%
<b>TOTAL International</b>	<b>14</b>	<b>100.00%</b>	<b>13</b>	<b>100.00%</b>	<b>17</b>	<b>100.00%</b>
Domestic	20	58.82%	18	58.06%	14	45.16%
International	14	41.18%	13	41.94%	17	54.84%
<b>TOTAL ALL</b>	<b>34</b>	<b>100.00%</b>	<b>31</b>	<b>100.00%</b>	<b>31</b>	<b>100.00%</b>

Dairy Science faculty were very involved in the mentoring and retention of graduate students. Faculty are applauded for utilizing a form to monitor the progress of graduate students. The process assures continuous mentoring, committee involvement, and commitment on the part of the student and major professor.

This process also allows for a committee member to come from outside the department increasing the opportunities for racial, ethnic, gender, and academic diversity. Item (2); requires the graduate student to positively request the participation of faculty on the committee, item (3); and requires the major professor and chair to approve all committee members.

#### Ph.D. Requirements - Preliminary Examination Committee

##### I. Ph.D. Mentor and Preliminary Examination Committee (This form must be completed and approved by end of the first semester.)

Name of Student:	Student ID:
Discipline:	

Major professor and four committee members are required. Additional committee members may also be selected.

	Name	Department
Major professor:		
Committee member #1:		
Committee member #2:		
Committee member #3:		
Committee member #4:		

#### APPROVALS

	Student	Date
Signed:		
	Major Professor	Date
Approved:		
	Chair, Dairy Science Graduate Committee	Date
Approved:		

#### Instructions

1. A minimum of five faculty members are required. At least 3 of the committee members must be tenure-track faculty in the Department of Dairy Science.
2. One faculty member on the Committee must be from outside of the Dairy Science Department.
3. The graduate student requests the participation of the faculty on the committee.
4. The student, major professor, and chair of the Dairy Science Graduate Committee must approve of all members on this committee.
5. Changes to Ph.D. Committee must be submitted in writing to Graduate Committee.



Plant Pathology

**Table 7.- UW Department of Plant Pathology Science Graduate Students  
Domestic and International by Race, Ethnicity and Gender  
As of April 14, 2017**

	<b>Spring 2017</b>		<b>Spring 2016</b>		<b>Spring 2015</b>	
<b>DOMESTIC</b>	#	%	#	%	#	%
White	14	66.67%	16	76.19%	16	72.73%
Asian	0	0.00%	0	0.00%	0	0.00%
Black	1	4.76%	0	0.00%	0	0.00%
American Indian	0	0.00%	0	0.00%	0	0.00%
Native Hawaiian	1	4.76%	1	4.76%	1	4.55%
2 Or More	0	0.00%	0	0.00%	0	0.00%
Other	2	9.52%	1	4.76%	2	9.09%
Hispanic	3	14.29%	3	14.29%	3	13.64%
<b>TOTAL Domestic</b>	<b>21</b>	<b>100.00%</b>	<b>21</b>	<b>100.00%</b>	<b>22</b>	<b>100.00%</b>
Male	8	38.10%	10	47.62%	8	36.36%
Female	13	61.90%	11	52.38%	14	63.64%
<b>TOTAL</b>	<b>21</b>	<b>100.00%</b>	<b>21</b>	<b>100.00%</b>	<b>22</b>	<b>100.00%</b>
<b>INTERNATIONAL</b>						
Male	2	40.00%	5	71.43%	5	62.50%
Female	3	60.00%	2	28.57%	3	37.50%
<b>TOTAL International</b>	<b>5</b>	<b>100.00%</b>	<b>7</b>	<b>100.00%</b>	<b>8</b>	<b>100.00%</b>
Domestic	21	80.77%	21	75.00%	22	73.33%
International	5	19.23%	7	25.00%	8	26.67%
<b>TOTAL ALL</b>	<b>26</b>	<b>100.00%</b>	<b>28</b>	<b>100.00%</b>	<b>30</b>	<b>100.00%</b>

Graduate student enrollment data presented in Table 7 shows enrollment remained relatively constant enrollment from spring 2015 to spring 2017. International graduate student enrollment declined from 8 in 2015 to 5 in 2017 dropping from 26.67 percent of students to 19.23 percent.

Plant Pathology is commended for the level of racial/ethnic diversity. The percentage of minority (non-White) students rose from 27.27 percent in spring 2015 to 33.33 percent in spring 2017. Hispanic students accounted for 14.29 percent of students in spring 2016 and spring 2017. In spring 2017 Plant Pathology enrolled 1 Black and 1 Native Hawaiian student.

Females were the majority of domestic graduate students accounting for 61.09 percent of students in spring 2017. The proportion of female international climbed from 37.50 percent of international students in spring 2015 to 60.00 percent in spring 2017.

### **Recommendations: {Graduate students}**

- The CALS Dean and WAES Director must work with CALS academic units to assure all reasonable efforts are extended to recruit and retain racial and ethnic minorities in units where data shows underrepresentation of any minority group.
- The CALS Dean and WAES Director must assure barriers do not exist to diversifying the graduate student population race, ethnicity, and gender and therefore the graduate student workforce receiving WAES support. WAES is strongly encouraged to support CALS development of a recruitment plan to assure barriers do not exist in the enrollment and ultimately support of graduate students without regards to their race, color, ethnicity, and gender. Recruitment efforts should also review the benefits of centralized recruiting and programs for racial and ethnic minority graduate students.
- CALS/WAES supported units must assure nondiscrimination based on National Origin in units with substantial enrollment of International graduate students.
- The reviewers noted an earlier section of this report on Title IX and in particular sexual harassment complaints, the CALS/WAES should review existing policies and procedures to assure the academic progress and funding of a graduate student continues in the event the student files a complaint.

## EMPLOYMENT, FACULTY MENTORING AND PROFESSIONAL DEVELOPMENT

The UW Departments of Dairy Science and Plant Pathology were visited during this review. Data was provided by WAES in Table 8 for all tenured and tenure track faculty regardless of funding (example-includes 100 percent teaching faculty). The level of diversity varied between units. Gender diversity was apparent in Plant Pathology with females accounting for 46.67 percent of faculty.

There were 26 faculty between the two departments. Racial and ethnic minorities made up 2 of the 26 faculty. While Dairy Science had 2 Hispanic faculty there were no racial ethnic minorities. Plant Pathology had the only Black faculty.

**Table 8.- UNR Tenured/tenure Track Faculty In Departments Visited  
By race/ethnicity and gender/<sup>1</sup>  
As of April 14, 2017**

University of Wisconsin-Madison Academic Units	Race/Ethnicity					Gender		TOTAL
	White	Black	Asian	Not reported	Hispanic /2	Male	Female	
Department of Dairy Science	10	0	0	1	2	8	3	11
	90.91%	0.00%	0.00%	9.09%	18.18%	72.73%	27.27%	100.00%
Department of Plant Pathology	13	1	0	1	0	8	7	15
	86.67%	6.67%	0.00%	6.67%	37.50%	53.33%	46.67%	100.00%

/1 Race/Ethnicity category from UW/WAES data. /2 Hispanic reported as a race.

### ***Employment/Searches***

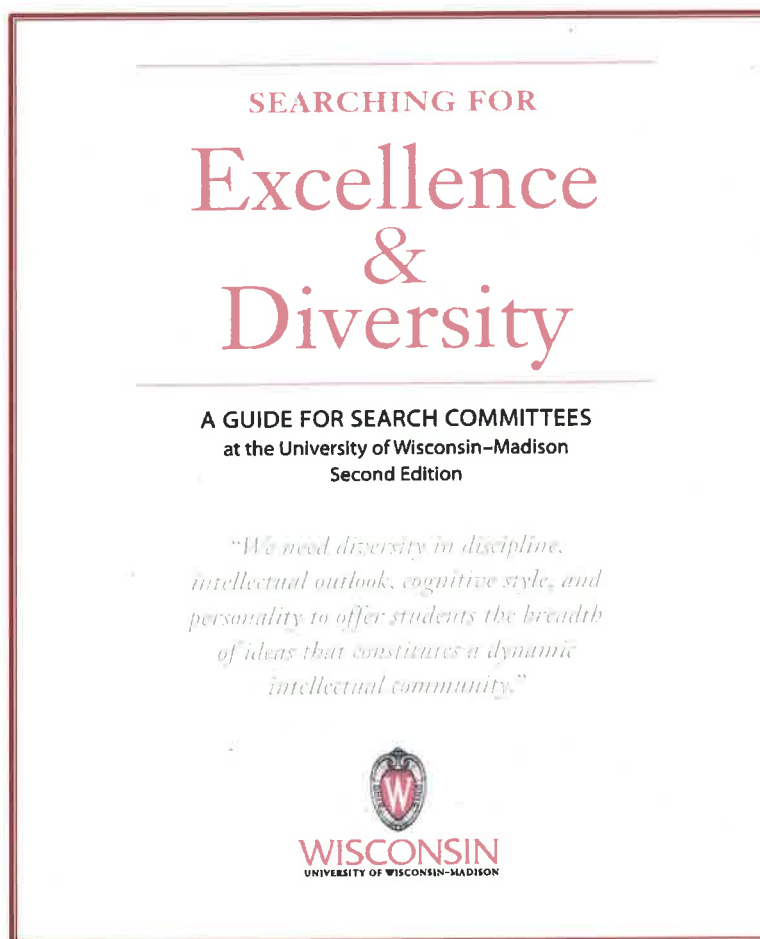
UW and CALS are applauded for having in place well defined, documented, and publicized hiring processes. At all levels of the institution-University, College, and Department documents existed and procedures were in place to provide clear direction and support for faculty on tenure track and post tenure. UW academic units follow University search processes which included a training element. CALS also had in place policies and procedures on hiring and promotion and tenure.

Each CALS unit also developed procedures and criteria governing promotion and tenure. Divisions such as Biological Sciences are commended for having in place guidelines and a *“Checklist of Materials for Tenure Recommendation in the Biological Sciences.”*



The UW Women in Science and Engineering Leadership Institute (WISELI) published a through guide to support the diversity efforts of search committee members. The Institute also provides training and support. WISELI and the Office for Equity and Diversity (OED) collaborate to develop search resources.

UW as a Federal contractor must have in place an Affirmative Action Plan for women and minorities. OED reviews the plan with academic units including the "Adverse Impact Analysis (Applicant flow)". This is an excellent tool when fully utilized to help identify if barriers exist in the search process to hiring women and minorities. OED also sets hiring goals which as minimum standards for USDA/NIFA.



## Adverse Impact Analysis (Applicant Flow)

**Job Group 050 : FAC AG & LIFE SCIENCE**  
**10/31/2015 - 11/01/2016**

	Applicants	Hires	% Hires
<b>Female</b>	6	8	133.3
Male	18	10	55.6
<b>Hispanic</b>	1	2	200.0
White	9	11	122.2
Black	1	1	100.0
Asian	12	3	25.0
Amer. Ind.	0	0	0.0
P. Islander/Hawaiian	0	0	0.0
Two or More	0	0	0.0

**Notes:**

- The highlighted rows are the favored groups to which the other groups are compared.

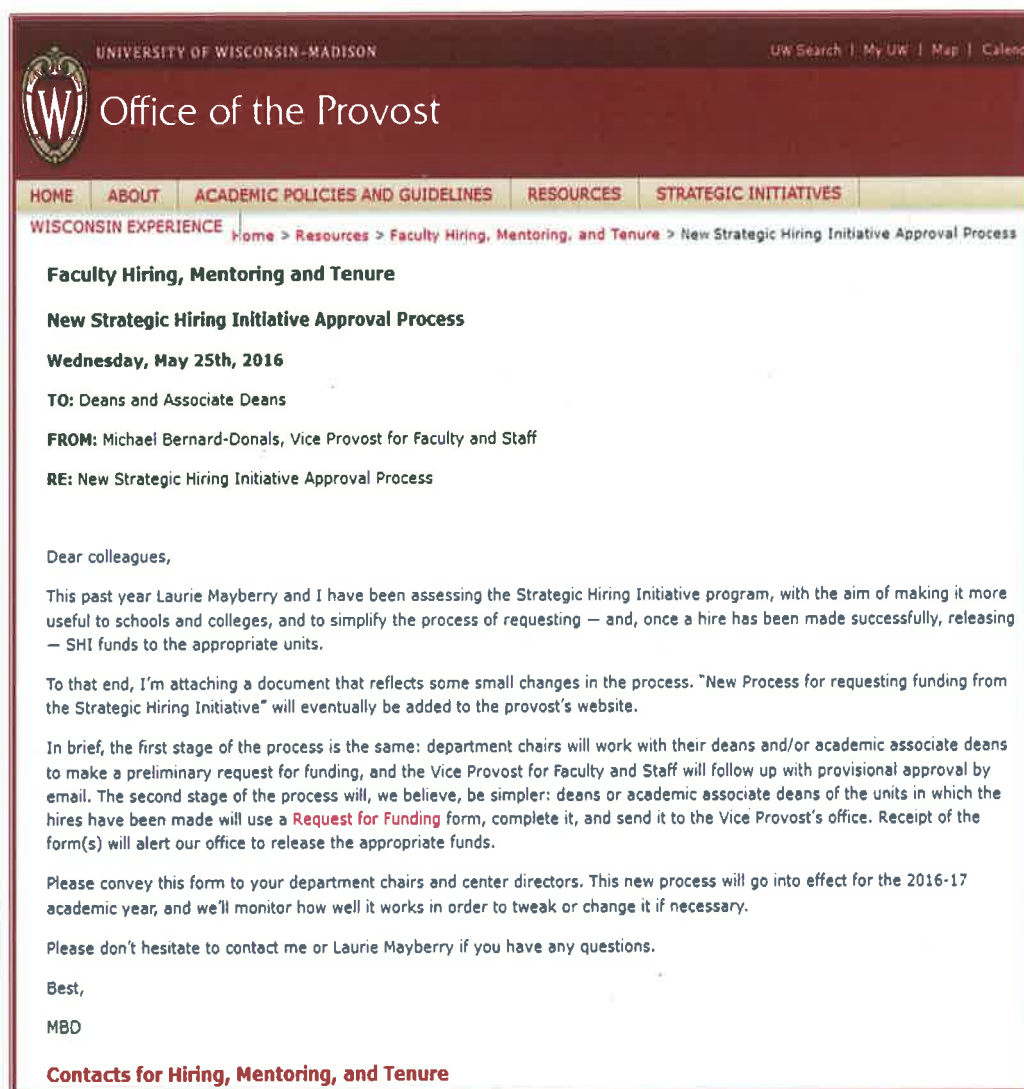
The UW Provost Offices provided expansive support for faculty searches and recruitment. Funds are available for strategic hiring including for women and minorities. The processes was well publicized and available to all units.

### **Mentoring**

At the time of this review UW did not have a policy or process explicit to mentoring faculty. Each academic unit manages the mentoring process. The reviewer found mentoring occurring and well organized in the two CALS academic units visited. However, there was no process in place for the Departments to provide assurance to the Dean/Director that mentoring occurs for ALL faculty on a non-discriminatory basis. UW has numerous resources available to support faculty mentoring and development.

<https://provost.wisc.edu/contacts-fac-hir-ment.htm>

Female faculty have in place a Women Faculty Mentoring Program that was founded in 1989. The program focuses on support for women assistant professors throughout the tenure process.



UNIVERSITY OF WISCONSIN-MADISON

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**Office of the Provost**

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**Faculty Hiring, Mentoring and Tenure**

**New Strategic Hiring Initiative Approval Process**

**Wednesday, May 25th, 2016**

**TO:** Deans and Associate Deans

**FROM:** Michael Bernard-Donals, Vice Provost for Faculty and Staff

**RE:** New Strategic Hiring Initiative Approval Process

Dear colleagues,

This past year Laurie Mayberry and I have been assessing the Strategic Hiring Initiative program, with the aim of making it more useful to schools and colleges, and to simplify the process of requesting — and, once a hire has been made successfully, releasing — SHI funds to the appropriate units.

To that end, I'm attaching a document that reflects some small changes in the process. "New Process for requesting funding from the Strategic Hiring Initiative" will eventually be added to the provost's website.

In brief, the first stage of the process is the same: department chairs will work with their deans and/or academic associate deans to make a preliminary request for funding, and the Vice Provost for Faculty and Staff will follow up with provisional approval by email. The second stage of the process will, we believe, be simpler: deans or academic associate deans of the units in which the hires have been made will use a **Request for Funding** form, complete it, and send it to the Vice Provost's office. Receipt of the form(s) will alert our office to release the appropriate funds.

Please convey this form to your department chairs and center directors. This new process will go into effect for the 2016-17 academic year, and we'll monitor how well it works in order to tweak or change it if necessary.

Please don't hesitate to contact me or Laurie Mayberry if you have any questions.

Best,

MBD

**Contacts for Hiring, Mentoring, and Tenure**

UW is applauded for the Women in Science and Engineering Leadership Institute (WISELI). WISELI is very active and provides workshops and training campus wide.



**WISELI: Promoting Participation and Advancement of Women in Science and Engineering**

### **Recommendations:**

- The CALS Dean/WAES Director must work with units to determine if barriers including but not limited to stereotyping may exist to hiring racial and ethnic minority and female faculty. Given applicant tracing data CALS must conduct a barrier analysis or similar process to assure non-discrimination in the hiring and recruitment process.
- The WAES Director as a NIFA recipient of Federal financial assistance<sup>15</sup> must work with academic units receiving WAES support to provide assurance of non-discrimination in the hiring process for faculty. WAES is strongly encouraged to develop a hiring and recruitment plan with UW academic units for racial and ethnic minority faculty in addition to and including any goals that may or may not be established by the UW Affirmative Action Plan (Executive Order 11246 and 41 CFR 60.2) for minorities and women.
- The WAES Director as a NIFA recipient of Federal financial assistance<sup>16</sup> must work to assure barriers do not exist to hiring female faculty where data shows underrepresentation in academic units. A plan for gender diversity must be developed in addition to and including any goals that may or may not be established by the UW Affirmative Action Plan (Executive Order 11246 and 41 CFR 60.2) for minorities and women.
- The CALS Dean/WAES Director must develop a process to assure mentoring takes place at minimum for Assistant professors on tenure track.

<sup>15</sup> National Agricultural Research, Extension, and Teaching Policy Act of 1977. As Amended Through Public Law 107-293, Nov. 13, 2002. Section 1404.

<sup>16</sup> National Agricultural Research, Extension, and Teaching Policy Act of 1977. As Amended Through Public Law 107-293, Nov. 13, 2002. Section 1404.

- The CALS Dean/WAES Director must assure racial and ethnic minority female faculties receive mentoring or provide assurances that the lack of mentoring is not a barrier.

### ADVISORY BOARDS AND COMMITTEES

*As noted in Federal civil rights regulations, 28 CFR Ch. 1 §42.104 (b) and 7 CFR 15b Subpart A, § 15.3 (b), (vii), "A recipient to which this subpart applies may not discriminate on the grounds of race, color, or national origin: ... deny a person the opportunity to participate as a member of a planning or advisory body which is an integral part of the program."*

CALS had three boards or advisory groups in place at the time of this review to provide on-going citizen input into the Research mission. CALS is commended for having these groups in place. Data in Table 9 shows that all three were comprised primarily of White males. Of note and civil rights concern there were no Black, Asian, or Hispanic represented on each of the three advisory groups. This is of particular concern given the Census of Agriculture (Table 1 and charts 1 and 2) shows there are minority farm operators in Wisconsin and the US Census supports that minorities exist in Wisconsin. An additional civil rights concern was the high percentages of race data not reported. This was especially the case with the ALS Meat and Muscle group where race and ethnicity data was not available for 75 percent of committee members.

**Table 9.- CALS Advisory Groups  
By race/ethnicity and gender  
As of April 14, 2017**

CALS Advisory Group	Race/Ethnicity					Gender		TOTAL
	White	Black	Asian	Not reported	Hispanic /2	Male	Female	
ALS Board of Visitors	14	0	0	6	0	13	7	20
	70.00%	0.00%	0.00%	30.00%	0.00%	65.00%	35.00%	100.00%
ALS Meat and Muscle Biology Advisory Committee	3	0	0	9	0	11	1	12
	25.00%	0.00%	0.00%	75.00%	0.00%	91.67%	8.33%	100.00%
ALS CIAS Citizens Advisory Council	5	0	0	8	0	9	4	13
	38.46%	0.00%	0.00%	61.54%	0.00%	69.23%	30.77%	100.00%

## Recommendations:

- WAES must put in place an advisory group that is representative of the potential/eligible population that may benefit from WAES Research programs. In particular WAES must assure all efforts are made to provide opportunities for female operators and racial and ethnic minority operators to participate on the advisory group where applicable.
- WAES must develop a plan to provide opportunities (including public notification) for racial and ethnic minorities and females to become members of an advisory group.

## LIMITED ENGLISH PROFICIENCY (LEP) AND ACCESSIBILITY TO RESEARCH INFORMATION AND FACILITIES



United States  
Department  
of Agriculture

Research,  
Education, and  
Economics

National Institute  
of Food and  
Agriculture

1400 Independence  
Avenue SW  
Washington, DC 20250

APR 12 2016

*7 CFR 15b Subpart A, § 15.3 (a), "No person in the United States shall, on the ground of race, color, or **national origin**, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity"...*

TO: State Extension Directors/Administrators  
Directors, State Agricultural Experiment  
Stations A-TRs, McIntire-Stennis Program  
Research Directors, Evan-Allen Program  
Deans, Schools of Veterinary  
Medicine Deans/Directors, Academic  
Programs Presidents, 1994 Institutions  
Presidents, Hispanic-Serving Institutions

FROM: Sonny Ramaswamy  
Director, National Institute of Food and Agriculture

SUBJECT: Compliance with Limited English Proficiency Requirements

U.S. Department of Agriculture (USDA) and National Institute of Food and Agriculture (NIFA) are committed to providing meaningful access to its programs and services to persons who, as a result of national origin, are limited in English proficiency. It is our policy to ensure no person is subject to prohibited discrimination in programs receiving Federal financial assistance from NIFA based on national origin.

In August 2000, the President signed an Executive Order (EO) 13166, "Improving Access to Services for Persons with Limited English Proficiency" (LEP). The Executive Order requires Federal agencies to provide meaningful access to services for persons with Limited English proficiency. Federal agencies must also ensure meaningful access to LEP recipients and beneficiaries of Federal financial assistance.



### *Limited English Proficiency*

UW established the Cultural Linguistic Services to provide a range of services including interpretation and translation, multilingual training and information sessions, and the workplace learning program. Interpretation, translation, and language support services

into English, Spanish, Hmong, Chinese, and Tibetan.



### **Cultural Linguistic Services**

**OFFICE OF HUMAN RESOURCES**  
**UNIVERSITY OF WISCONSIN-MADISON**  
**cls.wisc.edu**

It was not clearly apparent how the campus level services are accessed by clientele visiting WAES off campus facilities and how training is delivered to WAES/CALS employees especially employee located off campus.

WAES did not have a Limited English Proficiency (LEP) policy, process and plan

in place to assist faculty in translating research information and providing interpreters for such WAES events as field days.

UW is commended for having services readily available and identifying five languages for support. However the support for faculty to translate research findings and documents was not apparent. CALS faculty with University of Wisconsin Cooperative Extension typically rely on Extension to provide such LEP support.

### *Disability Access*

UW is commended for support of individuals with disabilities. Among the offices and units dedicated to serving individuals with disabilities:



- Not as clear was how the many resources become available to off campus employees and constituents visiting Research facilities.

- WAES is expected as NIFA recipients of Federal financial assistance to devise a comprehensive Limited English Proficiency Plan to include but not be limited to, a LEP public notification process, and budget plan for LEP materials, method to provide program accommodation, and a method to evaluate the effectiveness of a LEP program.

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- WAES must provide training faculty and staff in academic units off campus who work directly with the public on LEP provisions and processes.
- WAES must train staff, AARCs, and DDRs on accommodating clientele with physical and sensory disabilities especially at WAES events such as field days.
- WAES/CALS must put in place a process that includes public notification to assure individuals with disabilities have a method to request services at all WAES facilities.

## DISSEMINATION OF RESEARCH INFORMATION AND PUBLIC NOTIFICATION

### *Discrimination Prohibited In Agricultural Experiment Station*

#### **7 CFR Subpart A, §15.3, (a), (10), (iv)**

- (a) *General. No person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity of the applicant or recipient to which these regulations apply. Example: (10) Cooperative State Research Programs. (i) Discrimination in making available information whether published or provided through public or private statement, correspondence, demonstration or field day. ...*<sup>17</sup>

WAES had in place through CALS and Extension methods to disseminate research information to the public. Information was available through any number of outlets and means of communication. Faculty and graduate students are strongly encourage and receive support to publish research findings and present findings at international, national, regional, and local conferences and meetings.

The “grow” magazine is distributed to the general public. WAES/CALS Research is regularly show cased. Individual academic units have in place websites to convey information to the public.



<sup>17</sup> USDA 7 C.F.R. 15, Subpart A, Nondiscrimination in Federally-Assisted Programs of the Department of Agriculture (Effectuation of Title VI of the Civil Rights Act of 1964 ), § 15.3, Discrimination prohibited.

WAES distributed in December 2016, to all CALS departments and in January 2017, to the Agricultural Research Stations copies of the USDA “And Justice for All” poster. UW civil rights policies are available to the public and published at:  
<https://compliance.wisc.edu/>  
<https://oed.wisc.edu/>  
[www.wisc.edu](http://www.wisc.edu) (quick links.)

While UW had in place support for language translation and interpretation, it was no clear how someone access public web pages or materials in languages other than English. And, how WAES utilizes these services. Please see prior section on Limited English Proficiency for recommendations.

**Recommendation:**

None