

**UNIVERSITY OF PENNSYLVANIA**  
**FACULTY EQUAL OPPORTUNITY COMPLIANCE STATEMENT**

TO: **THE PROVOST**  
RE: **APPOINTMENT**

This selection is made in accordance with University policy on equal opportunity.

School: \_\_\_\_\_ Department: \_\_\_\_\_

Name of Candidate: \_\_\_\_\_ Sex: \_\_\_\_\_ Ethnicity: \_\_\_\_\_  
(insert numeric codes – see page 5)

Present Rank (if at the University of Pennsylvania):  
\_\_\_\_\_

Proposed Rank: \_\_\_\_\_ Tenured track \_\_\_\_\_ Non-tenure track \_\_\_\_\_

Proposed date of Appointment: \_\_\_\_\_

**RECOMMENDATION IN THE ABSENCE OF A SEARCH**

- Target of Opportunity in the following faculty classes only: Standing Faculty, Standing Faculty--Clinician-Educator
- Only in rare and exceptional instances is it possible to make an appointment without a search. This exception is possible only when a person of unquestioned preeminence becomes available and the University can justify the appointment. In such cases, briefly summarize why it is believed that this recommendation warrants special consideration. (REQUIRED – A full explanation is required. Attach supplemental information.)
- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_

**SUMMARY OF DEPARTMENTAL ACTION FOR NEW APPOINTMENT**  
**IN COMPLIANCE WITH AFFIRMATIVE ACTION**

**I THE CANDIDATE POOL**

1. Describe the position expected to be filled by this particular search (Separate searches must be conducted for positions in different subfields.)  
\_\_\_\_\_
2. Describe the candidate pool for this position (e.g., nucleic acid biochemist of any rank, recent Ph.D.'s in American literature, outstanding professors of mathematics qualified for major chairs, medical residents in pediatrics).  
\_\_\_\_\_
3. Percent of women \_\_\_\_\_ and percent of minority persons \_\_\_\_\_ in the national pool for this position.

4. Answer the following questions in the table below:

NOTE - Departments are required to maintain all applications on file for three years (race and ethnicity codes) →	Total All	American Indian/Alaskan Native		Asian Pacific Islander		Black (not of Hispanic origin)		Hispanic		White (not of Hispanic origin)		Did not Disclose	
		1	2	1	2	1	2	1	2	1	2	1	2
a) Number of persons considered via applications, referrals, dossiers on file, telephone, video conference, conference, etc.													
b) Number of persons interviewed													
c) Number of persons invited for an interview but declined													

5. Indicate the racial and gender categories of the proposed candidate and applicant(s) interviewed.  
(Insert numeric code 1 – 5; see categories and definitions on page 5). Attach additional page(s), if necessary.

Name	Sex	Race	Interview Method	Reason(s) not Recommended *
Recommended Applicant: ➤				
Other Applicant(s) Interviewed: ➤				
➤				
➤				
➤				
➤				

\* If there is only one applicant listed and/or the candidate is an internal hire, please provide justification.

6. Indicate the sex \_\_\_\_\_ and racial/ethnic category \_\_\_\_\_ of the proposed candidate  
(Insert the numeric codes - see categories and definitions on page 5).

7. a) Were any offers made to individuals other than the proposed candidate? Yes \_\_\_\_\_ No \_\_\_\_\_

Name of Candidate	Sex	Race	Accepted Offer	Declined Offer
b) If yes, please list names below. Include the race and gender of each candidate:				

8. If the candidate is neither minority nor female, submit the dossiers (curriculum vitae and recommendation letters) of the two most qualified members of minority groups and the two most qualified women considered:

Name of Candidate	Sex	Race
If yes, please list the names below. Include the race and gender codes for each candidate.		

**II. SEARCH PROCESS**

1. Where did you advertise (e.g., professional journals, on-line, caucus newsletters, and newspapers)? (Submit at least two advertisements along with dates of publication for Standing Faculty (tenure and Clinician-Educator), Research track and Academic Clinician in the Associated Faculty. Submit at least one advertisement along with date(s) of publication for all other classes in the Associated Faculty and Academic Support Staff.)
2. Which professional minority and women’s organizations or rosters did you consult?
3. Attach a list of the universities, schools, and departments you contacted.
4. Submit a sample letter used to make these contacts. The letter should show that schools and departments were encouraged to submit the names of women and minority persons.
5. List the women and minority scholars whose help you have solicited in filling this position.

**III. AFFIRMATIVE ACTION GOALS**

1. List new standing faculty, standing faculty clinician-educator and full-time associated faculty appointments (assistant professor or above) made during the past three years, by rank, race and sex.

Name	Rank	American Indian/ Alaskan Native		Asian Pacific Islander		Black (not of Hispanic origin)		Hispanic		White (not of Hispanic origin)	
		M	F	M	F	M	F	M	F	M	F

2. Please furnish the names and ranks or positions of minority and/or women candidates who declined an offer from this department during the past three years.

Name	Rank	American Indian/ Alaskan Native		Asian Pacific Islander		Black (not of Hispanic origin)		Hispanic		White (not of Hispanic origin)	
		M	F	M	F	M	F	M	F	M	F

3. Describe briefly the reason for selecting the proposed candidate. If minority or female candidates were considered and not chosen, indicate specifically the basis for the selection of the chosen candidate over the best minority and female candidates.

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**IV. CERTIFICATION OF COMPLIANCE**

1. Department Chairperson

In your judgement, does the recommendation appear to be in compliance with the University’s affirmative action program, with respect to the following:

(a) Was the search sufficiently broad and well calculated to produce the names of serious female and minority applicants or prospects?

Yes ( ) No ( )

If no, explain \_\_\_\_\_

(b) Was the evaluation process sufficiently broad and intensive to that a sufficient number of prospects including female and minority persons were given serious consideration?

Yes ( ) No ( )

If no, explain \_\_\_\_\_

(c) To the extent you can judge (including by reference to the dossiers submitted in response to questions I.1-7), were the standards for choosing among the applicants properly applied?

Yes ( ) No ( )

If no, explain \_\_\_\_\_

\_\_\_\_\_  
Date

\_\_\_\_\_  
(signed) Departmental Chair

2. School Affirmative Action Officer

(a) Certification of compliance with *rules for the external search*:

Questions requiring further clarification (if any): \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Recommendation (after receipt of response to questions):

- i) In compliance ( )
- ii) In compliance, but with reservations ( )
- iii) Not in compliance ( )

Comment if (ii) or (iii) is checked: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

(b) Certification of affirmative action compliance in the *final selection of the candidate*:

Questions requiring further clarification (if any): \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

Recommendation (after receipt of response to questions):

- i) Recommend for approval ( )
- ii) Recommend for approval, with reservations ( )
- iii) Do not recommend ( )

Comment if (ii) or (iii) is checked: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_  
Date

\_\_\_\_\_  
(signed) School Affirmative Action Officer

3. Dean and Provost

On the basis of my review of this documentation, I certify that University policies regarding affirmative action have been observed.

\_\_\_\_\_  
Date

\_\_\_\_\_  
(signed) Dean or Dean's Representative

\_\_\_\_\_  
Date

\_\_\_\_\_  
(signed) Provost or Provost's Representative

**UNIVERSITY OF PENNSYLVANIA**  
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The concept of race as used by the Office of Federal Contract Compliance Programs (O.F.C.C.P.) and the Equal Employment Opportunity Commission (E.E.O.C.) does not denote clear-cut scientific definitions of anthropological origins. Nevertheless, each employee or candidate must be identified as belonging to one, and only one, of five broad racial/ethnic categories defined by federal authorities. A candidate may be included in the group to which he or she appears to belong, identifies with, or is regarded in the community as belonging.

**FEDERAL RACE AND ETHNICITY DEFINITIONS**

The categories for data on race and ethnicity for Federal statistics and civil rights compliance are defined as follows:

1. **Black (not of Hispanic origin):** A person having origins in any of the black racial groups of Africa (except those of Hispanic origin)
2. **Asian/Pacific Islander:** A person with origins in any of the original peoples of the Far East, Southeast Asia, or the Indian Subcontinent or the Pacific Islands. This includes people from China, Japan, Korea, the Philippine Islands, American Samoa, India, and Vietnam.
3. **White (not of Hispanic origin):** A person having origins in any of the original peoples of Europe, North Africa, or the Middle East (except those of Hispanic origin).
4. **Hispanic:** A person of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish culture or origin, regardless of race.
5. **American Indian/Alaskan Native:** A person having origins in any of the original peoples of North America or who maintains cultural identification through tribal affiliation or community recognition.

**SEX**

1. Female
2. Male

**INTERVIEW METHOD**

1. Interviewed by telephone
2. Interviewed by video conference
3. Interviewed in person

**REASON NOT RECOMMENDED**

1. Previous experience not as strong
2. Did not possess preferred educational level
3. Position related skills not as strong
4. Applicant salary requirement too high
5. Applicant did not show for interview
6. Applicant interviewed withdrew from consideration
7. Applicant rejected offer
8. Applicant decline interview
9. Other (note reason in the additional comment section on page two)

**REASON ONLY 1 APPLICANT INTERVIEWED**

1. Other applicants lacked specific position knowledge/experience
2. Other (note reason in the additional comment section on page two)
3. Waiver has been granted (summarize reason in the recommendation in the absence of a search section on page one **AND** record reason code under the Candidate and Applicant Data section, in the reason(s) not recommended column on page two)
  - [See Affirmative Action Guidelines for Target of Opportunity]