

**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 6)

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 3 years	Total All	Hispanic/Latino		American Indian/Alaskan Native		Asian		Native Hawaiian or other Pacific Islander		Black/African American		White		Two or more Races		Did not Disclose	
		M	F	M	F	M	F	M	F	M	F	M	F	M	F	M	F
(race and ethnicity codes) →																	
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 – 7; see categories and definitions on page 6). 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 6).

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	Hispanic/ Latino		American Indian/ Alaskan Native		Asian		Native Hawaiian or other Pacific Islander		Black/ African American		White		Two or More Races	
		M	F	M	F	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	Hispanic/ Latino		American Indian/ Alaskan Native		Asian		Native Hawaiian or other Pacific Islander		Black/ African American		White		Two or More Races	
		M	F	M	F	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.

IV. CERTIFICATION OF COMPLIANCE

1. Department Chairperson

In your judgment, 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
FACULTY EQUAL OPPORTUNITY COMPLIANCE STATEMENT

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 seven 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. **Hispanic (or Latino):** A person of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish culture or origin, regardless of race. This does not include persons of Portuguese descent or persons from Central or South America who are not of Spanish origin or culture.
2. **American Indian or Alaskan Native:** A person with origins in any of the original peoples of North America who maintains cultural identification through tribal affiliation or has community recognition as an American Indian or Alaskan Native.
3. **Asian:** A person having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian Subcontinent, including, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam.
4. **Native Hawaiian or other Pacific Islander:** A person having origins in any of the peoples of Hawaii, Guam, Samoa, or other Pacific Islands.
5. **Black (or African American):** An individual, not of Hispanic origin, with origins in any of the black racial groups of Africa.
6. **White (or Caucasian):** An individual, not of Hispanic origin, with origins in any of the original peoples of Europe, North Africa, or the Middle East.
7. **Two or More Races:** All persons who identify with more than one of the above six races.

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(s) on separate sheet)

REASON ONLY ONE APPLICANT INTERVIEWED

1. Other applicants lacked specific position knowledge/experience
2. Other (note reason(s) on separate page)
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]