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FOR ACADEMIC AFFAIRS

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MEMORANDUM NO. OVCAA-ECA 18-119

TO : ALL DEANS, DIRECTORS, HEADS OF ACADEMIC UNITS
ALL ACADEMIC PERSONNEL COMMITTEE MEMBERS
ALL FACULTY MEMBERS
ALL ADMINISTRATIVE OFFICERS CONCERNED

FROM :  EVANGELINE C. AMOR, Ph.D. γ
Vice-Chancellor for Academic Affairs

SUBJECT : Submission of Basic Papers with all Documentary Requirements and
Appropriate Recommendations by Colleges and Units for Faculty
Appointments effective 1 August 2018

DATE : 27 March 2018

No one should be allowed to serve or report for duty without a formal appointment.¹ Otherwise, the supervisor/ official requesting shall be personally held liable for the salaries/ wages of those allowed to report for work in violation of this policy.²

To effect the foregoing policies, we are re-issuing this Memorandum to reiterate the following: Memorandum No. OVCAA-BMP 16-164; Memorandum No. LADLL-15-11; Memorandum No. OVCAA-BMP 15-059; Memorandum No. OVCAA-BMP 15-059-A; Memorandum No. OVCAA-BMP 15-059-B; Memorandum No. OVCA-VCY-2012-11; Memorandum OVCAA 2011-17; Memorandum No. OVCAA 2006-12; and earlier issuances that call for recommendations for faculty appointments in a timely manner. For practical reasons of meeting the deadlines at the different offices and committees concerned, the documentary requirements may be grouped into three batches: Mandatory; Additional; and Final.

I. For EACH (potential) faculty member, please submit the basic paper and other mandatory documentary requirements, fully accomplished and signed as appropriate, on or before the due date (**Friday, 25 May 2018**). Please refer to the enclosed updated **Checklist of Requirements for Faculty Appointment Processing (March 2018)**.

To emphasize, early or earlier submission is necessary should you wish to recommend foreign nationals, as they will need to secure or renew Provisional Work Permit (BI-DOJ) or Special Work Permit (BI-DOJ), or Alien Employment Permit (DOLE) and/or Work Visa (BI-DOJ), for which the University will have to provide a Letter of Invitation. A Letter of Invitation can only

¹ BOR Policy on Appointments, approved at its 1036th meeting on 22 November 1990

² OC Memorandum No. 98-125 dated 9 March 1998 and OC Memorandum No., 98-141 dated 26 March 1998

be issued after the University committee has endorsed on the basis of academic credentials of the recommendee and specific justification by the Unit.

Early submission is likewise necessary should you wish to recommend renewal of appointment with temporary waiver of up-or-out rule for Instructors or renewal of appointment with temporary waiver of faculty tenure rule for Assistant, Associate, or full Professors. In case of non-renewal of a temporary appointment, the faculty member concerned shall be so informed **in writing by the Dean at least sixty days before the expiration date of current appointment.**

In the case of Transcript of Record or similar document that is being requested from any of the Constituent Universities of UP, a copy of the said request form or letter will suffice initially, provided that the HRDO is able to contact the concerned UP office to receive an advance internal copy or confirmation.

Additional documentary requirements such as NBI clearance (please see the updated checklist by HRDO) may be submitted **within two (2) weeks** after the submission of the basic paper and other mandatory documents. Please be reminded, however, that the University committee may defer or withdraw any favorable endorsement in case an additional documentary requirement is not properly received within the grace period.

Please do not forget to submit the final documentary requirements to: 1) HRDO for release of signed appointment papers; and 2) Diliman Accounting Office for release of first salary.

II. For renewal of regular full time and part time faculty appointments, please submit the basic paper, fully accomplished and signed as appropriate, on or before the due date (**Friday, 25 May 2018**).

For batch renewal of appointments of faculty members who were not included in the list of tenure-track (pursuant to the Memorandum Order No. PDLC 17-20 dated 28 July 2017), please use the new basic paper (disseminated through Memorandum No. OVCAA-ECA 18-112 dated 20 March 2018). Also included in the batch renewal of faculty appointments are the renewal of extension of part time appointments beyond age 65.

For EACH faculty member for renewal of appointment beyond up-or-out rule, renewal of appointment with temporary waiver of faculty tenure rule, renewal of appointment of foreign faculty and renewal of extension of regular full time appointment beyond age 65, kindly use the green Basic Paper (HRDO B-1).

III. For EACH faculty member for merit promotion with MA/MS or automatic promotion with PhD, please submit the basic paper and other mandatory documentary requirements, fully accomplished and signed as appropriate, **within a year from conferment of MA/MS or PhD degree.**

All documents are to be submitted by the College or Unit to the Human Resource Development Office (HRDO). The HRDO shall promptly perform a first check of the completeness of the documents according to the Checklist of Requirements for Faculty Appointment Processing (March 2018) and inform the College or Unit in writing of any apparent omission.

Subsequently should any document be deemed lacking by the next appropriate office or committee (Academic Personnel and Fellowship Committee, APFC), the completion of the same shall be requested promptly in writing from the College or Unit.

A valid appointment paper is needed before anyone is allowed by the University to take up any faculty duties. A valid appointment paper is needed to process salary or honorarium.

We look forward to everyone's early compliance.

Encl: HRDO Checklist of Requirements for Faculty Appointment Processing (March 2018)

cc: Chancellor and Vice-Chancellors
HRDO Director

I. FACULTY APPOINTMENTS

- Recommendations for appointment of faculty members using the green Basic Paper (HRDO B-1) should be submitted to the Appointment Section, HRDO, located at the 1st Floor Mezzanine, Quezon Hall.
- Only submissions with completed MANDATORY document requirements and fully accomplished Basic Paper will be received by HRDO for processing; For bulk submissions (10 documents or more) by the Unit, the HRDO shall need 3 working days to examine completeness/ appropriateness of mandatory document requirements to determine whether or not any of the submissions will be returned to the unit.
- Due dates for submission of document shall be referred to Memo issued by OVCAA for the particular semester. If submitting beyond the due date, a letter of explanation will be an additional requirement.
- ADDITIONAL document requirements may follow within two weeks from original submission.
- Submissions are classified as: (1) For HRDO delegated processing; or (2) For APFC endorsement.
- After HRDO delegated processing or APFC endorsement, the Basic Paper is forwarded to Budget Office for budget clearance.
- In the case of foreign nationals, a letter of invitation shall be issued by the Office of the Chancellor for conforme of the foreign national. The signed letter of invitation is for submission to BI-DOJ and DOLE. (Ideally, in future engagements of foreign nationals, appropriate VISA should have been obtained prior to entry in the Philippines.)
- After budget clearance, the basic paper is then returned to HRDO Appointment Section for preparation of the notice of appointment for signature of the appointing authority.
- Signed appointment papers are returned to HRDO Appointment Section for recording, and releasing provided all FINAL document requirements are submitted.
- FINAL document requirements: TIN; and Government Legislated Membership Numbers (GSIS, PAG-IBIG and PhilHealth, except for foreign nationals) are required prior to release of the signed appointment paper in cases of Original/ Transfer/ Reappointment/ Reemployment. In case of pending membership applications, proof of submission of application forms may suffice. Other FINAL documents apply to foreign nationals.

II. MANDATORY REQUIREMENTS

A. *Regular Faculty and Lecturer Appointments*

A.1 **Original Appointment/ Reemployment/ Transfer**

1. Fully Accomplished Basic Paper (HRDO B-1), (1 copy)
2. Justification from Chair/Director endorsed by the Dean
3. Updated Curriculum Vitae (CV) with recent 1 ½ x 1 ½ picture (2 copies) (to indicate accomplishments and publications)
4. Transcript of Records (original copy)

- For new UP graduates, True Copy of Grades (TCG) certified by the College Secretary and a copy of request for TOR to OUR; the required original transcript of records should be submitted prior to release of appointment.
5. Diploma of all degrees earned (Certified photocopy)
 - For new UP graduates, a certification of completion of the degree from the academic unit
 6. Approved transfer from former agency and Service Record (if applicable)
 7. If submitting beyond the due date, a letter of explanation will be an additional requirement.

A.2 **Reclassification**

1. Fully Accomplished Basic Paper (HRDO B-1), (1 copy)
2. Justification from Chair/Director endorsed by the Dean
3. Updated Curriculum Vitae (CV) with recent 1 ½ x 1 ½ picture (2 copies) (to indicate accomplishments and publications)
4. Transcript of Records (original copy)
5. Diploma of all degrees earned (Certified photocopy)
6. SET scores (if applicable)
7. If submitting beyond the due date, a letter of explanation will be an additional requirement.

A.3 **Renewal of Appointment**

1. Fully Accomplished Basic Paper for Batch Renewal of Faculty Appointments, (1 copy) for renewal of appointment of faculty who were not included in the list of tenure-track (pursuant to the Memorandum Order No. PDLC 17-20)
 - For more details, please refer to Memorandum No. OVCAA ECA 18-112 and Memorandum No. OVCAA-ECA 18-112-A.
2. If submitting beyond the due date, a letter of explanation will be an additional requirement.

A.4 **Extension of Service beyond age 65**

For original extension of faculty whose 65th birthday falls within the semester:

1. Fully Accomplished Basic Paper (HRDO B-1), (1 copy)
Note: Date of effectivity will be from the day after the birthday until the end of the semester or midyear term. Request for renewal of extension of service beyond age 65 will pass through the APFC.
2. If submitting beyond the due date (2 calendar months prior to the 65th birthday), a letter of explanation will be an additional requirement.

For renewal of extension of service beyond age 65:

1. Fully Accomplished Basic Paper HRDO B-1), (1 copy) for regular full time appointment together with:
 - Justification from Chair/Director endorsed by the Dean
 - SET scores for the last two semesters (for Automatic Promotion with no SET scores, state if on scholarship)
 - Medical Certificate with documentary stamp (1 copy)
 - Faculty Development Plan which includes the timetable and faculty understudy who must be regular faculty
 - Progress report prepared and signed by the PhD student advisees (for regular faculty)
2. Fully Accomplished Basic Paper for Batch Renewal of Faculty Appointments, (1 copy) for part time appointment

3. Additional forms for renewal of extension of regular full time and part time appointment beyond 65
 - OSU Forms 2003 (Extension of Appointment of Regular Faculty Beyond Age 65 and Appointment of Professorial Lecturer Beyond Age 65)
 - OVCAA Form No. 3 (white basic paper)
4. If submitting beyond the due date (2 calendar months prior to the start of the succeeding semester), a letter of explanation will be an additional requirement.

B. *Regular Faculty Appointments*

B.1 **Renewal of Appointment with Waiver of Up-or-Out Rule**

1. Fully Accomplished Basic Paper (HRDO B-1), (1 copy)
2. Justification from Chair/Director endorsed by the Dean
3. Updated Curriculum Vitae (CV) with recent 1 ½ x 1 ½ picture (2 copies) (to indicate accomplishments and publications)
4. SET scores
5. Certification from thesis adviser that the recommendee has an officially approved thesis topic and indicating the projected date of completion
6. If submitting beyond the due date, a letter of explanation will be an additional requirement.

B.2 **Renewal of Appointment with Temporary Waiver of Faculty Tenure Rule**

1. Fully Accomplished Basic Paper (HRDO B-1), (1 copy)
2. Justification from Chair/Director endorsed by the Dean
3. Updated Curriculum Vitae (CV) with recent 1 ½ x 1 ½ picture (2 copies) (to indicate accomplishments and publications)
4. SET scores
5. Certification of acceptance from the Editor and statement as to when the refereed publication will be off the press
6. If submitting beyond the due date, a letter of explanation will be an additional requirement.

B.3 **Tenure**

1. Fully Accomplished Basic Paper (HRDO B-1), (1 copy)
2. Justification and statement as to the article being offered for tenure from Chair/Director endorsed by the Dean
3. Updated Curriculum Vitae (CV) with recent 1 ½ x 1 ½ picture (2 copies) (to indicate accomplishments and publications)
4. SET scores for the previous semesters (maximum of five consecutive semesters)
5. Proof of publication
6. Proof/certification that the publication went through peer-review process
7. Certification that the faculty is the lead author
8. If submitting beyond the due date (2 calendar months prior to the end of trial period) a letter of explanation will be an additional requirement.

B.4 **Merit Promotion with MA/MS or Automatic Promotion with PhD**

1. Fully Accomplished Basic Paper (HRDO B-1), (1 copy)

2. Justification from Chair/Director endorsed by the Dean
3. Updated Curriculum Vitae (CV) with recent 1 ½ x 1 ½ picture (2 copies) (to indicate accomplishments and publications)
4. SET scores for the last two semesters (for Automatic Promotion with no SET scores, state if on scholarship)
5. Transcript of Records (original copy)
 - For UP graduate, True Copy of Grades (TCG) certified by the College Secretary and a copy of request for TOR to OUR; the required original transcript of records should be submitted prior to release of appointment.
6. Diploma of all degrees earned (Certified photocopy)
 - For UP graduate, certification of completion of the degree from the academic unit
7. If coming from study leave, report for duty
8. If submitting beyond the due date (within a year from conferment of MA/MS or PhD degree), a letter of explanation will be an additional requirement.

B.5 Additional Assignment (Original/Renewal)

1. Fully Accomplished Basic Paper (White paper)
2. Copy of Line Item Budget (if applicable)
3. If submitting beyond the due date, a letter of explanation will be an additional requirement.

C. Affiliate Faculty

1. Fully Accomplished Basic Paper (HRDO B-1), (1 copy)
2. Justification from Chair/Director endorsed by the Dean
3. Permission/Endorsement from the Dean of the mother unit
4. If submitting beyond the due date, a letter of explanation will be an additional requirement.

D. For Foreign Nationals

D.1 Visiting Professors/ Visiting Artists/ Adjunct Professors

1. Fully Accomplished Basic Paper (HRDO B-1), (1 copy)
2. Justification from Chair/Director endorsed by the Dean
3. Updated Curriculum Vitae (CV) with recent 1 ½ x 1 ½ picture (2 copies) (to indicate accomplishments and publications)
4. Terms of Reference indicating Host Professor (if applicable)
5. MOA if applicable
6. For Adjunct Professor sponsored by a company or an institution, a letter of conforme from the company or institution which complies with the obligations stated in the UPD Faculty Manual 2003 (3.1.2, d, pp. 30-31)

D.2 Visiting Professors under the OVPAA Program

1. Duly accomplished OVPAA-VPP Form 7.0 (Please refer to Memorandum No. OVCAA-BMP 16-126.)

III. ADDITIONAL DOCUMENT REQUIREMENTS TO BE SUBMITTED WITHIN TWO WEEKS FROM ORIGINAL SUBMISSION OF RECOMMENDATION

For Original Appointment/ Reemployment/ Transfer

1. Birth Certificate (NSO authenticated)
2. Notarized Personal Data Sheet (CSC, Form 212) (1 copy), with 1 ½ x 1 ½ picture (2 copies)
3. NBI Clearance (original)
4. If married, Marriage Contract (NSO authenticated)
5. If regular faculty, Medical Certificate with documentary stamp (1 copy)
6. If regular faculty, Mandatory drug test results (CSC MC No. 13,s2010)
7. If regular faculty, Statement of Assets, Liabilities and Networth (3 copies)
8. If transferee from another government agency:
 - Clearance from former Office
 - Certification of leave credits from former Office
 - Certification of premium deductions

For Tenure

1. Medical Certificate with documentary stamp (1 copy)

IV. FINAL DOCUMENT REQUIREMENTS FOR THE RELEASE OF SIGNED APPOINTMENT PAPERS (ORIGINAL/ TRANSFER/ REAPPOINTMENT/ REEMPLOYMENT)

1. Copy of fully accomplished Application Form for Tax Identification Number as filed (TIN, BIR Form 2305/2316 or TIN as applicable (downloadable at <http://www.bir.gov.ph/index.php/bir-forms.html>)
2. Copy of fully accomplished GSIS Membership Form (downloadable at <http://www.gsis.gov.ph/default.php?id=252>) or GSIS BP Number
3. Copy of fully accomplished PAG-IBIG Membership Form (downloadable at <http://www.pagibigfund.gov.ph/dlforms.aspx>) or PAG-IBIG Number
4. Copy of fully accomplished PhilHealth Membership Form (downloadable at <http://www.philhealth.gov.ph/downloads/>) or PhilHealth Number

FINAL documents for Foreign Nationals for presentation/submission to HRDO before the release of signed appointment papers:

- 1) If with compensation, copy of fully accomplished Application Form for Tax Identification Number as filed (TIN, BIR Form 1902)
- 2) If with compensation and staying less than 6 months, Provisional Work Permit or Special Work Permit from BI-DOJ, as may be applicable

3) If with compensation and staying more than 6 months, Copy of Alien Employment Permit from DOLE and/or Work Visa from BI-DOJ, as may be applicable

V. DOCUMENT REQUIREMENTS FOR SUBMISSION TO THE DILIMAN ACCOUNTING OFFICE FOR RELEASE OF FIRST SALARY

Note: Only nos. 1-7 are required for foreign nationals

1. Appointment paper
2. Oath of Office
3. Report for Duty
4. Certificate of Service or Daily Time Record as applicable
5. TIN or Duly accomplished BIR Form 1902 (if no TIN)
6. Bank Account Number (LBP/DBP/PVB payroll account)
7. Duly Approved Obligation Slip
8. PhilHealth Number (optional for foreign nationals)
9. Statement of Assets, Liabilities and Networth
10. Duly Accomplished BIR Form 2305
 - Photocopies of Birth Certificate/s of dependent children
 - For married persons – photocopy of marriage certificate
 - If not previously employed – Certificate of “No Previous Employer”
 - If previously employed – BIR Form 2316 for the current year from previous employer
11. GSIS Business Partner Number (BPN)
12. PAG-IBIG Number

**UNIVERSITY OF THE PHILIPPINES
DILIMAN
HUMAN RESOURCES DEVELOPMENT OFFICE**

**HUMAN RESOURCES RECRUITMENT
DIVISION**

**CHECKLIST OF REQUIREMENTS
FOR FACULTY APPOINTMENT
PROCESSING
March 2018**