

# Faculty Personnel Transactions

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## Processing & Required Documentation Checklists

This document is provided to assist department and unit hiring representatives with determining the appropriate supporting documentation that is required for processing faculty personnel actions. The checklists represent those materials or documents that must be attached to or accompany (in most cases) the ACT (Appointment Change Termination) document when it is submitted for processing through the appropriate approval path(s). This document describes the faculty transactions based on the same **document reasons** that are associated with the ORACLE® ACT documents.

In some instances, depending on the circumstances, additional materials and documentation may be required that are not listed here.

**NOTE:** Attachments (supporting documentation) for the transactions listed below should be submitted using the Electronic Faculty Data Form (eFDF); which can be accessed here <http://www.uab.edu/uabforms>

### **New Hires & Rehires (for Full-time regular, part-time regular)**

The documentation required, as noted below, represents Phase II, the appointment step of the faculty hiring process for 01 (full-time regular) and 03 (part-time regular) faculty appointments. The ACT Document must be accompanied by:

- Faculty Data Form <http://www.uab.edu/uabforms>
- Letter of Offer/Letter of Understanding (**must be signed by faculty member**)
  - Faculty Offer Letter Templates are located at <https://www.uab.edu/faculty/hiring/appointment-letter-templates>

### **Other documents required:**

- Electronic I-9 /E-verify Completed.** Contact your Dean's Office for specific instructions and process for Faculty I-9/E-verify for your respective unit.
- Original** transcript of terminal degree (or highest degree when appropriate) must be on file in departmental and/or deans' office files—**required by SACS-COC.**

NOTE: All other supporting documents required to complete the faculty appointment have been submitted during the HIRING PROPOSAL APPROVAL PROCESS in UAB PeopleAdmin. These documents include: 1) EEO Report, 2) Candidate Curriculum Vitae, 3) Recruitment Advertisements—the actual tear sheets or ad copies, 4) Appointment Action Summary Form (If appointment is at Rank of Professor with or without tenure or Associate Professor with tenure), and 5) Faculty Requisition.

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## New Hires & Rehires (for Full-time Temporary – 02 Status)

*Full-time Temporary appointments are for one year only. To extend the appointment beyond the initial one-year period; approval must be received from the Office of the Provost.*

NOTE: Recruitment is not required for this appointment. However, if an 02-Full-time appointment was recruited, please use the same process and supporting documentation required for full-time regular faculty hires.

- Letter of Offer/Letter of Understanding (**must be signed by faculty member**)
  - Faculty Offer Letter Templates are located at <https://www.uab.edu/faculty/hiring/appointment-letter-templates>
- Current Curriculum Vitae (if not already on file)
- Faculty Data Form <http://www.uab.edu/uabforms>

### Other documents required:

- Electronic I-9 /E-verify Completed.** *Contact your Dean's Office for specific instructions and process for Faculty I-9/E-verify for your respective unit.*
- Background checks (including OIG/GSA) confirmation request. For form, go to <https://www.uab.edu/faculty/hiring/background-checks>
- Original** transcript of terminal degree (or highest degree when appropriate) must be on file in departmental and/or deans' office files—**required by SACS-COC.**

## New Hires & Rehires; (04) Irregular Faculty

- Letter of Offer/Letter of Understanding (**must be signed by faculty member**)
- Current Curriculum Vitae (if not already on file)
- Faculty Data Form <http://www.uab.edu/uabforms>

### Other documents required:

- Electronic I-9 /E-verify Completed.** *Contact your Dean's Office for specific instructions and process for Faculty I-9/E-verify for your respective unit.*
- Background checks (including OIG/GSA) confirmation request. For form, go to <https://www.uab.edu/faculty/hiring/background-checks>
- Original** transcript of terminal degree (or highest degree when appropriate) must be on file in departmental and/or deans' office files—**required by SACS-COC.**

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## New Hires & Rehires (Credentialed Course Instructors)

- Letter of Offer/Letter of Understanding (**must be signed by faculty member**)
- <https://www.uab.edu/faculty/hiring/appointment-letter-templates>
- Current Curriculum Vitae (if not already on file)

### Other documents required:

- Electronic I-9 /E-verify Completed.** *Contact your Dean's Office for specific instructions and process for Faculty I-9/E-verify for your respective unit.*
- Background checks (including OIG/GSA) confirmation request. For form, go to <https://www.uab.edu/faculty/hiring/background-checks>
- Original** transcript of terminal degree (or highest degree when appropriate) must be on file in departmental and/or deans' office file—**required by SACS-COC.**

## Promotion Same Department/To Recruited Position

- Faculty Data Form <http://www.uab.edu/uabforms>
- Letter of Offer/Letter of Understanding (**must be signed by faculty member**)
  - Templates are found here:  
<https://www.uab.edu/faculty/hiring/appointment-letter-templates>
- Original transcript of terminal degree (or highest degree when appropriate) must be on file in departmental and/or deans' office files—**required by SACS-COC.**

Please refer to and use the same process for **New Hires & Rehires (for Full-time regular, part-time regular)** described above.

## Promotion Same Department/To Non-Recruited Position

*This transaction most likely occurs when a 04 (irregular) or 02-full time temporary faculty is promoted to a higher rank; or when a 04 staff (i.e. credentialed course instructor) is promoted to 04 or 02 faculty any rank.*

- Faculty Data Form <http://www.uab.edu/uabforms>
- Letter of Offer/Letter of Understanding (**must be signed by faculty member**)
- Current Curriculum Vitae (if not already on file)
- Original transcript of terminal degree (or highest degree when appropriate) must be on file in departmental and/or deans' office files—**required by SACS-COC.**

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## Promotion Same Department (Out of Cycle)

- Letter of Offer/Letter of Understanding (**must be signed by faculty member**)
- Current Curriculum Vitae (if not already on file)
- Promotion & Tenure Action Summary Form
- Faculty Data Form to change rank. <http://www.uab.edu/uabforms>

**NOTE:** Out-of-Cycle Promotions are only granted in extenuating circumstances, and the promotion request must be approved by the, Faculty Affairs Committee (Promotion & Tenure Committee) Dean, Provost, and President. Approval decisions must be confirmed before being communicated to the affected faculty member.

## Change of Assignment Category (Recruited Position)

This scenario most often applies to changes from 01 to 03; and 03 to 01 faculty positions.

- Faculty Data Form <http://www.uab.edu/uabforms>
- Letter of Offer/Letter of Understanding (**must be signed by faculty member**)

## Change of Assignment Category (Non-Recruited Position)

This scenario is most often applicable for changes of 04 faculty to 02 faculty; and 02 faculty appointments to 04 faculty appointments.

- Faculty Data Form <http://www.uab.edu/uabforms>
- Letter of Offer/Letter of Understanding (**must be signed by faculty member**)
- Current Curriculum Vitae (if not already on file)
- Original transcript of terminal degree (or highest degree when appropriate) must be on file in departmental and/or deans' office files—**required by SACS-COC.**

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## Transfer with Promotion (to Recruited Position)

Possible scenario: NTE to TE position.

- Faculty Data Form <http://www.uab.edu/uabforms>
- Letter of Offer/Letter of Understanding (**must be signed by faculty member**)
  - Templates are found here:  
<https://www.uab.edu/faculty/hiring/appointment-letter-templates>
- Original transcript of terminal degree (or highest degree when appropriate) must be on file in departmental and/or deans' office files—**required by SACS-COC.**

Please refer to and use the same process for **New Hires & Rehires (for Full-time regular, part-time regular)** described above.

## Transfer with Promotion (to Non- Recruited Position)

*This transaction most likely occurs when a 04 (irregular) or 02-full time temporary faculty is promoted to a higher rank; or when a 04 staff (i.e. credentialed course instructor) is promoted to 04 or 02 faculty any rank.*

- Faculty Data Form <http://www.uab.edu/uabforms>
- Letter of Offer/Letter of Understanding (**must be signed by faculty member**)
- Current Curriculum Vitae (if not already on file)

## Transfer Lateral/Different Department (To Recruited Position)

From one school/college to another or from one department within a school to another department within the same school/college. Ex: From Optometry to Ophthalmology.

- Faculty Data Form <http://www.uab.edu/uabforms>
- Letter of Offer/Letter of Understanding (**must be signed by faculty member**)
  - Faculty Offer Letter Templates are located at:  
<https://www.uab.edu/faculty/hiring/appointment-letter-templates>

### **Other documents required:**

- Electronic I-9 /E-verify Completed.** *Contact your Dean's Office for specific instructions and process for Faculty I-9/E-verify for your respective unit.*
- Original** transcript of terminal degree (or highest degree when appropriate) must be on file in departmental and/or deans' office files—**required by SACS-COC.**

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**NOTE:** All other supporting documents required to complete the faculty appointment have been submitted during the HIRING PROPOSAL APPROVAL PROCESS in UAB PeopleAdmin. These documents include: 1) EEO Report, 2) Candidate Curriculum Vitae, 3) Recruitment Advertisements—the actual tear sheets or ad copies, 4) Appointment Action Summary Form (If appointment is at Rank of Professor with or without tenure or Associate Professor with tenure), and 5) Faculty Requisition.

## **Transfer Lateral/Same Department (To Recruited Position)**

*This scenario is most likely to occur when moving a NTE faculty to TE status.*

- Faculty Data Form <http://www.uab.edu/uabforms>
- Letter of Offer/Letter of Understanding (**must be signed by faculty member**)
  - Faculty Offer Letter Templates are located at:  
<https://www.uab.edu/faculty/hiring/appointment-letter-templates>

### **Other documents required:**

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## **Transfer Lateral/Same or Different Department (To Non-Recruited Position)**

- Letter of Offer/Letter of Understanding (**must be signed by faculty member**)
- Current Curriculum Vitae (if not already on file)
- Faculty Data Form <http://www.uab.edu/uabforms>

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## Create or Rehire Volunteer

- Letter of Offer/Letter of Understanding (**must be signed by faculty member**)
  - Templates are found here:  
<https://www.uab.edu/faculty/hiring/appointment-letter-templates>
- Current Curriculum Vitae (if not on file)
- Faculty Data Form <http://www.uab.edu/uabforms>
- Original** transcript of terminal degree (or highest degree when appropriate) must be on file in departmental and/or deans' office files—**required by SACS-COC.**

## End a Volunteer

- Either a Letter Understanding to faculty member; or a Resignation Letter
- Faculty Data Form <http://www.uab.edu/uabforms>

## Salary Schedule Adjustment

*Salary Schedule Adjustments are used to process 1) changes in salary due to the addition or deletion of administrative appointments—provided that there is no change in job title 2) changes in teaching and clinical responsibilities for faculty affiliated with UAHSF and VA Medical Center.*

- Letter of Understanding
- TRS Letter when % change is greater than or equal to 15% (or if employee is within retirement or vesture date)
- Submit to Faculty Affairs (Provost) for approval
- Faculty Data Form <http://www.uab.edu/uabforms>  
*(If the adjustment includes adding or removing an administrative appointment)*

## Merit or Budget Increase

- Memo to faculty member to confirm/explain increase

## Rehire Faculty Retiree

- Memo of understanding/offer letter
- Approval to Rehire Faculty Retiree ([Sample Request to Rehire Faculty Retiree](#))
- Faculty Data Form <http://www.uab.edu/uabforms>

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## Terminations (Faculty)

- Resignation Letter, Non-Reappointment Letter, Severance Letter, or Termination Letter
- Current Leave/Accrual Balances
- Faculty Data Form <http://www.uab.edu/uabforms>

## Additional Assignments

Used primarily for staff who assume faculty roles on an irregular basis (either as adjunct faculty or credentialed course instructors)

- Letter of Offer/Letter of Understanding (**must be signed by faculty member**)
  - Templates are found here:  
<https://www.uab.edu/faculty/hiring/appointment-letter-templates>
- Transcript/Degree Verification (Must be on file in the Dean's Office or departmental files)
- Faculty Data Form (<http://www.uab.edu/uabforms> (ONLY FOR FACULTY APPOINTMENTS))
- Curriculum Vitae

## Reclassification

*This document type is used for beginning or ending an administrative appointment when the job title changes; when a faculty member will maintain the same job number; with a different job title within the same department. Example: Department Chair appointments. Professor rank/title in Oracle is reclassified to Professor/Chair.*

**NOTE:** Please contact Budget Administration to Reclassify the Position Number before submitting an ACT Document to avoid processing delays.

- Curriculum Vitae
- Letter of Understanding
- Faculty Data Form <http://www.uab.edu/uabforms>

## End Assignment

- Letter of Understanding, or memo
- Faculty Data Form <http://www.uab.edu/uabforms>

Example: Document type is used when faculty appointment is ending for a staff employee (this represents their additional assignment).



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## Data Change

*Data change ACT documents are processed for a number of reasons, including, but not limited to: 1) Extending the End Date for a Full-time Temporary or Irregular Faculty Appointment; 2) Change of Education Information, and 3) VISA Update.*

- To extend an (02) Full-time temporary faculty appointment, a memo should be addressed to Faculty Affairs—requesting approval to extend the appointment; then,
- For (02) Full-time temporary faculty—a letter/memorandum must be given to the faculty member as confirmation of a change in their appointment status (i.e. extension of end date)
- Copy of both the “extension approval memo” and “faculty letter/memorandum” must be sent along with the Data Change ACT document

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## ACTIONS NOT REQUIRING AN ACT DOCUMENT

### **Center Appointments (Same or Different School)**

- Letter of Understanding. Please use the [Center Appointment Offer Letter Template](#) provided here.
- Faculty Data Form <http://www.uab.edu/uabforms>

### **Secondary Appointments (Same or Different School)**

- Letter of Understanding. Please use the [Secondary Appointment Letter Template](#) provided here.
- Faculty Data Form <http://www.uab.edu/uabforms>

### **Ending Secondary Appointments (Same or Different School)**

- Letter of Understanding (to be initiated by the appointing school)
- Faculty Data Form <http://www.uab.edu/uabforms>

### **Administrative Appointments (With no change in salary)**

- Letter of Understanding (letter must detail the administrative title, effective date, the nature of the appointment, etc.).
- Faculty Data Form <http://www.uab.edu/uabforms>

### **Voluntary Appointment (when the primary assignment is a staff position)**

- Faculty Data Form <http://www.uab.edu/uabforms>
- Letter of Offer/Understanding
- Curriculum Vitae
- Original transcript of terminal degree (or highest degree when appropriate) must be on file in departmental and/or deans' office files—**required by SACS-COC**.