Policy 111 and Policy 402 B

Major Change:

- **Effective Date of Probationary Increase**
  - The beginning of a pay period for biweekly and monthly paid employees

- **Effective Date of all other salary increases**
  - The beginning of a pay week (Sunday) for all biweekly paid employees
  - No change for monthly paid employees
Policy 111 – Promotions and Transfers (01/03)

Date Issued: 03/93
Date Revised: 01/03

There are two types of promotion and transfer: internal and interdepartmental. The effective date of a promotion and/or transfer must be at the beginning of a pay week for biweekly employees. An internal promotion is a move to a higher level position within the same department or work unit. An interdepartmental promotion is a move to a higher level position in another department or work unit. UAB particularly encourages transfers for promotion and lateral transfers for growth opportunities.

Employees seeking transfer should bear in mind that a transfer entails some personal risk. Once transferred, the employee relinquishes all rights to his or her previous position. There is no guarantee of success in the new position nor any guarantee of being able to be placed elsewhere should the transfer not be satisfactory. Sufficient thought, therefore, should be given to career goals and to building a record of loyalty and longevity before requesting a transfer. Career counseling is offered by the Office of Human Resource Management and is available by appointment for employees who feel they need this assistance. The Coordinator of Counseling and Transfers works exclusively with transfer applicants.

Except in unusual circumstances, an employee must satisfactorily complete one year of continuous service before requesting a transfer. Employees on extended evaluation or disciplinary probation are not eligible for a transfer or promotion. In UAB University Hospital, a transfer or promotion requires a ninety (90) calendar day probationary period, which does not affect access to benefit eligibility.

POLICY 111.A Internal
Departments that intend to fill vacancies internally (by promotion or transfer of qualified candidates within the work unit) may do so without going through the external advertising process. An internal advertising process is required, however. To fill a vacancy internally, a department must first complete a Personnel/Budget Change Request Form (Position Request Form) to fill the existing vacancy and a position description form if creating a new position. Once approved, the department should either post a notice or provide, in writing, a notice to all employees in the department announcing the vacancy, stating the qualifications and inviting applications. Internal nursing positions other than staff RN's must be advertised within the entire Nursing Division. The notice should be posted or distributed for a reasonable length of time (a minimum of five working days) to allow interested employees to become notified and to respond.

When qualified employees have responded, the hiring supervisor interviews them, and the individual who is best qualified for the position is selected. Before making the offer of promotion or transfer, the department must consult with the appropriate Employment Office to assure that all policies and procedures have been adhered to and that all Affirmative Action considerations have been given. The department should then complete the Affirmative Action Checklist for Internal Promotions, attach it and a copy of the individual's resume or application to the Change of Status and Compensation Form (Turnaround Document) and forward it through the administrative system to the Office of Human Resource Management. A copy of the form should be maintained in the department.
If a position remains to be filled after all internal promotions and transfers have been made, it must be handled through the regular external hiring process. If no employee in the work unit is qualified for the new vacancy, the Employment Division upon their receipt of the Position Request Form or Personnel/Budget Change Request Form will initiate external recruitment.

**POLICY 111.B Interdepartmental**
Employees who wish to be considered for interdepartmental promotion or transfer must take the initiative in applying for transfer. When there is a specific vacancy for which an employee would like to apply, he or she must complete a Request for Transfer form from the Employment Office handling the vacancy.

Employees who are selected for interdepartmental transfer should give the department from which they are transferring adequate notice of resignation from their current positions. See Human Resource Management Relations 605 Policy 605.B for a discussion of proper notice.

**POLICY 111.B.1 University-wide**
Request for Transfer applications from UAB employees seeking positions elsewhere at UAB by interdepartmental transfer are referred to the Coordinator of Counseling and Transfers. The Coordinator will interview the employee to determine his or her qualifications and reasons for requesting transfer. If the position applied for requires a skills test, the employee must be tested in the same way as an external candidate. If the employee meets the qualifications for a vacant position and is in good standing with UAB, he or she will be referred.

**POLICY 111.B.2 UAB University Hospital**
Request for Transfer applications from UAB University Hospital employees seeking interdepartmental transfer to other positions within UAB University Hospital will be considered by the Employment Specialist following the same process used for applications from external candidates.
Date Issued: 10/80  
Date Revised: 01/03

Records Administration handles various types of Personnel Action Papers. The types of Personnel Action Papers are Appointment/Re-appointment, Assignment Change Form, and Termination from Affiliation. Every effort is made to expedite the processing of each paper and to meet the deadlines established by the Payroll Services Department. Accuracy is essential, as is a thorough understanding of each element that goes into the computerized system and of the effects of errors. Corrections can be time consuming and costly as well as an inconvenience to the employee. Records Administration also processes Trainee Award and Trainee Change Award Forms.

Personnel action papers should be either hand-carried to Records Administration or sent in a confidential envelope through campus mail after all necessary signatures have been obtained. If a deadline is near, papers should be hand-carried. Each personnel action paper should be reviewed for correctness before it leaves the initiating department. Any changes made on a paper after it has been typed must be initialed by the person making the change. The Records Administration staff will not honor a change on such a paper unless it is initialed.

402.A Appointment/Re-Appointment Form  
This form is processed on each person who is added to the computerized Payroll/Personnel system. The form is initiated by the department that is responsible for paying the employee. The paper should indicate by a check in the appropriate box whether the action is an original appointment, a re-appointment, or an additional assignment. All information requested on the form should be supplied, and all necessary signatures should be secured before the paper leaves the department. From the department, the paper goes to the appropriate dean, vice president, or Hospital administrator for signature before being forwarded to Human Resource Management. (Papers on Hospital employees or anyone receiving money from a Ledger Account 7 also must go through the Administrative Support - HRM Hospital Support Services Office.)

If the source of compensation is from state funds only, the paper goes to the Budget Administration Office for signature. If there is compensation from other than state funds, the paper first must go to the Grants and Contracts Accounting Office for signature before it goes to the Budget Administration Office. The source of funds is determined by the Ledger numbers that appear on the papers.

Each appointment or re-appointment form that is sent to Human Resource Management must be accompanied by an Application for Employment form, Letter of Offer, I-9 form, and Position Request Form. There are no exceptions to this requirement.

When a paper reaches Records Administration, the name and the date that it is received are clocked by the staff handling papers from that particular area of UAB. From Records Administration it goes to the Compensation Office for review and signatures, if necessary. There it is checked for proper classification and salary range.
If a payroll deadline is near, the papers are "walked through." That is, they are hand-carried for each signature. If there is no rush, they will reach the Payroll Services Department in the normal course of business.

The procedure for handling papers from UAB University Hospital (Ledger 7 only) is the same to the point of their leaving Records Administration. Since they have already been approved by the Hospital Finance Office, they go directly from Records Administration to Payroll Services. If there is any source of funds other than Ledger 7, the papers must go through the Grants and Contracts Accounting and Budget Administration offices.

402.B Assignment Change Form
The procedure for processing this form is the same as for the Appointment/Re-appointment form, and the same signatures are required. The effective date of the form must be at the beginning of a pay week for biweekly employees. The only variance to this effective date is for Probationary Increases which must begin at the beginning of pay period for both Biweekly and Monthly paid employees. The probationary increase may occur within the pay period that the probationary period ends.

From the information supplied on this form, the staff handling the paper must determine if there are changes in Employment Status, Service Date, FTE, and Vacation/Sick Leave/Holiday time.

402.C Leaves of Absence
The procedure for processing this form is the same as the Appointment/Re-appointment form, and the same signatures are required.

For leaves of absence, the information on dates of leave must be filled out completely. The "inclusive dates" is the period from the first day of the leave through the last day before the employee returns to work. If a leave of absence includes a portion with pay, the period of "leave with pay" for medical and family leave is the time of the accrued vacation, sick leave, and personal holiday that are to be used. The entire leave of absence (from the beginning of leave with pay to the end of leave without pay) must not exceed 16 work weeks for employee health condition or 12 work weeks for the employee’s qualified family members, as defined by the Family and Medical Leave Act.

If paid sick leave is to be used in connection with family and medical leave, a statement from the department that a physician’s note is on file that the employee is unable to work or that a qualified family member is unable to care for himself or herself must accompany the paper. Bi-weekly paid employees using paid vacation, sick leave, and personal holidays must continue to submit a time sheet until paid leave time has expired. If monthly paid employees are using paid vacation, sick leave, and personal holidays, an accrual sheet must accompany the paper.

In processing leaves of absence papers, the Records Administration staff must determine that the employee is eligible for leave.

See all leaves of absence sections in the You and UAB Handbook or this manual for which employment categories may take which types of leave.
The information pertaining to leaves of absence that is entered into the computer terminal by the Records Administration staff is the Activity Status code and the date of expected return from leave.

402.D Termination From Affiliation Form
The procedure for processing this form is the same as the Appointment/Re-appointment form, and the same signatures are required.

For terminations, the information from the paper that is entered into the computer terminal by the Records Administration staff is the code for reason for termination, the Activity Status code, the forwarding address, and whether the employee is eligible for rehire.