

You & UAB

Handbook for Faculty and Staff



UAB THE UNIVERSITY OF ALABAMA AT BIRMINGHAM

**WELCOME FROM
PRESIDENT CAROL GARRISON**

UAB is an institution renowned for innovation in academic programs, research and scholarship, health care, and service to community and state. While that reputation has a global reach, it is maintained daily on the local level; our success is fueled by the skill, dedication and teamwork of employees in all quarters of this campus.

This university strives to nurture an environment in which our faculty and staff can reach their fullest potential. To that end, one of the focus areas of [the UAB Strategic Plan](#), developed in 2003 with campus-wide participation, is our work environment. Our goal is to create a positive, supportive and diverse work environment in which faculty and staff can excel.



We continue making great strides in this regard, as faculty and staff work together to contribute to and benefit from the many opportunities on this campus. Employees come from all parts of the nation and the world to be part of this university’s unique collaborative environment and, in fall 2008, *The Scientist* magazine ranked UAB among the [Top 5 Best Places to Work in Academia](#).

Our workplace also reflects UAB’s longstanding commitment to equity and diversity. Our faculty and staff are increasingly diverse, with minorities making up some 39 percent of our workforce. In recent years we established the [Office for Equity and Diversity](#), the [Commission on the Status of Women](#), and a number of “family-friendly” employee policies. Diversity is one of this institution’s core values, and it is also one of our core strengths; by building on it, we are better able to foster an innovative and collaborative work environment that benefits all.

This handbook provides an overview of opportunities, benefits, and responsibilities for UAB employees. If you have any questions or concerns, be sure to talk with your supervisor or Human Resources – and please let us know of any ideas you might have about how to foster an even better work environment.

UAB welcomes you and looks forward to the important role you will play on our campus as you work to fulfill your personal career goals and the university’s vision as “an internationally renowned research university — a first choice for education and health care.”

A handwritten signature in cursive script that reads "Carol Z. Garrison". The ink is dark and the signature is written in a fluid, personal style.

Carol Z. Garrison
President



The new North Pavilion wing adds 885,000 square feet of health-care facility space to UAB University Hospital.

The policies, practices, and benefits reiterated in this handbook are broad internal guidelines only and are not intended to be, nor to represent, a contract of employment. They are subject to change by the UAB administration at any time.

Generally, the policies, practices, and procedures contained in the *You and UAB Handbook* apply to both faculty and staff employees. Faculty members also are governed by the *UAB Faculty Handbook and Policies* for those situations that are specific to faculty issues. If both handbooks speak to the same matter, but the *UAB Faculty Handbook and Policies* contains different stipulations for faculty members, the *UAB Faculty Handbook and Policies* takes precedence and should govern faculty actions in such matters.

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Welcome to UAB

Introduction

Welcome to the University of Alabama at Birmingham (UAB). You have joined a university which constantly strives to provide the best in education, patient care, research, and community service. To many, YOU ARE UAB. The contributions of each employee are vital to the success of the entire institution.

The purpose of this handbook is to describe UAB's administrative policies and procedures which affect employees. The information in this handbook will help you to become familiar with UAB's employment practices, benefits, privileges offered, employee responsibilities, and many of the official UAB policies and guidelines relating to you as an employee. Reasonable efforts have been made to cover all important matters and to ensure that the contents are accurate at the date of printing. Should information be provided to you in error by a supervisor or other coworker that conflicts with official UAB policy or with the information stated here, official policy or the handbook (including information updated since its printing) will take precedence. In the event that areas of policy have been omitted or are not stated clearly, or if ambiguities or inconsistencies are found to exist, decisions will be made by appropriate UAB officials.

Policies in this handbook are intended to apply, in most instances, to all UAB locations including the School of Medicine Huntsville Regional Medical Campus and any other satellite locations. There may be instances in which policy applicability or questions concerning interpretation of information may arise; in those instances, please call the Office of Human Resources. Contact information for Human Resources units is in Section 11.1.

UAB reserves the right to amend or alter the conditions and terms contained in this handbook, as it deems necessary. UAB will attempt to give notice of changes of information, policy, and procedure to faculty members, administrative personnel, and other employees. Inquiries as to whether the information contained herein is the current UAB policy and procedure should be made at the Office of Human Resources. Board of Trustees Rule 306 contains this statement:

Although this handbook intends to reflect currently any policies or rules of the Board of Trustees of The University of Alabama referred to or incorporated herein, users are cautioned that changes or additions to such policies or rules may have become effective since the publication of this material. In the event of such a conflict, the current statements of Board policy contained in the official minutes and manual of rules, bylaws, and guidelines shall prevail.

This handbook will be revised from time to time to provide you with up-to-date information, including changes in policies and procedures. Suggestions for changes should be addressed to the Office of Human Resources. Information from this handbook also is available online through computer terminals located in departments, in the libraries, and in other public areas. (See also Section 11.2 entitled "Online Computer Access to UAB Information.") Every effort will be made to keep the online version updated with the most current policies and procedures; however, if the contents of the online version are in conflict with official policies and procedures of UAB, the official policies and procedures will take precedence.

While we have made every effort to anticipate your questions, you may encounter special problems, particular situations, or UAB policies and procedures which are not thoroughly covered in this handbook. When such occasions arise, do not hesitate to discuss them with your immediate supervisor, your department/unit head, or the Human Resources staff.

Other Policies and Policy Manuals

This handbook is not the only document containing personnel-related and other policies of UAB. Approved policies are published in other handbooks and manuals such as the *UAB Faculty Handbook and Policies*, the *Human Resource Management Personnel Policies and Procedures Manual*, and the *UAB Policy Reference Manual*. Also, there may be recently approved policies that are not yet published in any manuals. This handbook should not be used as a sole indication of whether or not UAB has a policy covering a particular subject. If further clarification or information is needed concerning the existence of a specific policy, contact the Office of Human Resources.

A Special Word to Patient Care Support Personnel

Above and beyond the UAB commitments outlined in this handbook are the commitments of UAB University Hospital and its personnel to the care and well-being of patients and their families who place themselves in our hands for treatment. In each instance, the safety, health, comfort, and improvement of those patients outweigh every other consideration.

Because UAB's University Hospital is primarily a service institution, you must be willing, and prepared, to assist those who come to us for help at any hour of the day or night. A hospital is not an institution which can set its own pattern of activity. It must be in operation 24 hours every day without exception.

As a Hospital employee, you should understand the purposes and goals of the Hospital, should be sympathetic with its work, and should share in the dedicated efforts of the physicians, nurses, medical professionals, and others with whom you work to provide efficient and understanding care.

Every phase of the Hospital's complex structure depends on the effective operation of all services. Every job is important. Each employee has a serious responsibility to support, and to contribute to, the overall effectiveness of the Hospital's effort to provide comprehensive patient care.

Clinic and Hospital employees are responsible to their supervisors and administrators for the discharge of their duties. Neither the guidelines of this Handbook nor any other UAB policies or procedures should be construed as relieving any person supporting patient care from any act or duty with respect to the needs or comfort of our patients.



Training programs and classes are offered for UAB staff by the Human Resources's Department of Training and Development and the Hospital's Department of Nursing Staff Development.

A Brief History of UAB

In a relatively short time, the University of Alabama at Birmingham has grown from an Extension Center of the University of Alabama to being the state's leading research institution, one of Alabama's largest employers, and an internationally respected health-care facility.

The Extension Center opened in 1936 with an enrollment of 116, and by 1966 it had become the University of Alabama in Birmingham, one of three campuses of the University of Alabama. In 1969 UAB became an autonomous campus with its own president, and in 1970 it was accredited as a separate educational institution.

The Academic Health Center evolved from the Medical College of Alabama which was moved to Birmingham in 1945, renamed as the University of Alabama School of Medicine, and given responsibility for the Jefferson and Hillman Hospitals. Currently, the School of Medicine is highly ranked nationally, and the UAB University Hospital has been ranked among the top three hospitals in the country.

The University of Alabama School of Dentistry enrolled its first class of students in 1948 and received one of the original grants for an Institute of Dental Research. The School of Health Related Professions was established in 1966 as the School of Health Services Administration. This school ranks in the top two schools in the nation in federal research grants awarded to schools of its kind.

The University of Alabama School of Nursing was moved from Tuscaloosa to the UAB campus in 1967, at the same time that its graduate programs were being expanded. It ranks in the top five percent of all baccalaureate and higher degree nursing education programs in the country.

The School of Optometry opened in 1969 and distinguished itself as a national leader within a few years. It was the first optometry school to be awarded a federally designated Vision Science Research Center.

The School of Public Health was established in 1981 growing out of interdisciplinary programs already present in the Academic Health Center. It is home to the John J. Sparkman Center for International Public Health Education, a center created by congressional endowment.

Always responsive to the needs of the Academic Health Center and the greater Birmingham community, the Extension Center established its own important role. The success of a degree program in Engineering in 1963 began the transformation from Extension Center to the degree-granting College of General Studies in 1966. As a result of its rapid growth, the College of General Studies was renamed University College in 1971 and included the School of Arts and Sciences, the School of Business, the School of Education, and the School of Engineering. Two years later, the School of Arts and Sciences was divided into the School of Arts and Humanities, the School of Natural Sciences and Mathematics, and the School of Social and Behavioral Sciences. Today each of these schools offers undergraduate and graduate programs and contributes to its respective discipline through service and research. The outstanding quality of these schools is reflected not only in their ability to attract nationally and internationally recognized faculty but also in their growing contribution to UAB's research programs and to the growth and development of Birmingham.

Research programs and patient-care services have grown along with the educational programs. UAB is the only institution in the state to have passed the \$390 million mark in external research funding. The campus is home to over ninety special research centers, many of them federally designated in nationally competitive fields.

The UAB University Hospital serves over 41,000 inpatients each year, many of them from across the state, other areas of the United States, and foreign countries. UAB programs in organ transplantation, cardiovascular disease, and cancer treatment are considered to be among the best in the country.

UAB has in excess of 16,000 students and more than 18,000 full-time and part-time employees (including interns, student assistants, and temporaries), occupies over 70 city blocks, has more than 100 major buildings, and has awarded over 91,000 degrees.

UAB continues to fulfill its mission to provide the best in patient care, teaching, research, and service through the efforts of many dedicated and skilled individuals—administrators, faculty members, researchers, staff members, students, and supporters. The spirit of cooperation and teamwork throughout the campus has helped build an outstanding educational institution and health-care provider which has only begun to write its history.



Blount Hall is the newest student residence center adding on-campus living accommodations for over 500 students.

UAB Structure

UAB is part of the University of Alabama System that includes The University of Alabama (in Tuscaloosa) and the University of Alabama in Huntsville. The three campuses operate under the University of Alabama Board of Trustees. Each campus is headed by a President who reports to the Chancellor of the University of Alabama System. The Chancellor reports directly to the Board of Trustees. While each campus functions independently, maintaining their own administrative policies and procedures, they do collaborate on joint academic ventures and share several joint degree programs.

The University of Alabama Board of Trustees is comprised of 15 voting members. The Governor and the state Superintendent of Education serve as ex-officio members of the Board. Members of the Board of Trustees are selected by majority vote of the Board itself, and all selections are subject to confirmation by the Alabama Senate.

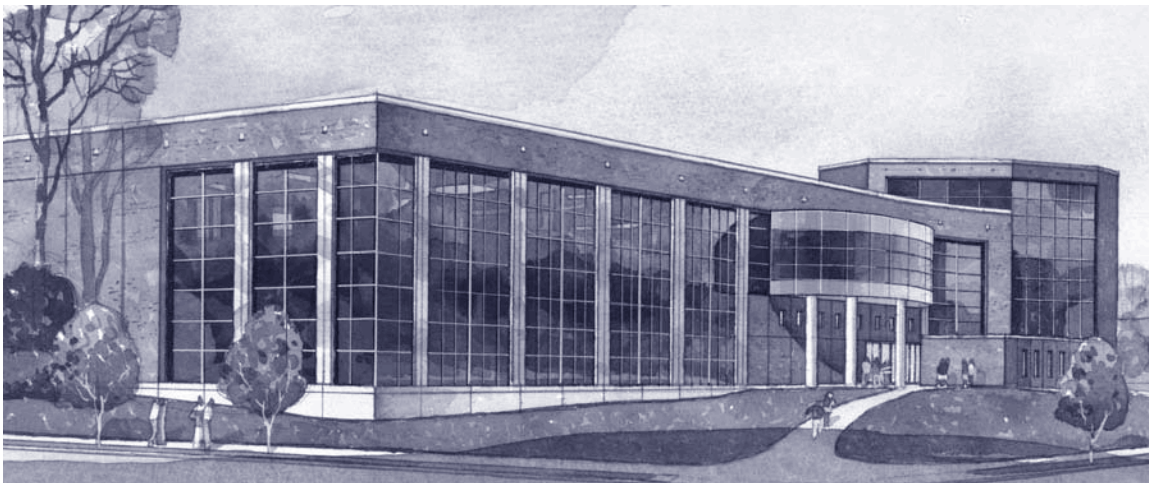
The Provost is the Chief Academic Officer and is the second ranking official at UAB. The deans of the six non-health schools, the six health-related schools, and the Graduate School, as well as the two academic librarians report to the Provost. Also, the Vice President for Student Affairs and the Vice President for Planning and Information Management report to the Provost. The Vice President for Equity and Diversity and the Vice President for Research report to the Provost with secondary reporting to the President.

The Senior Vice President/Dean, School of Medicine, reporting directly to the President as Senior Vice President and reporting to the Provost as Dean, is responsible for both academic and clinical affairs in the School of Medicine.

Central administration support departments report to the Vice President for Financial Affairs and Administration. These departments include Human Resources, Facilities, Financial Affairs, Business and Auxiliary Services, Minority Business Affairs, and UAB Police.

The departments of Public Relations and Marketing and University Development and Alumni Affairs report to the Vice President for Development, Alumni and External Affairs.

The Vice President for Information Technology is responsible for academic and administrative computing services, telecommunications, and network service operations as well as long-range strategic planning in all areas of information technology and in coordination with the UAB Health System.



The new UAB Campus Recreation Center is due to open in Winter 2005.

UAB Health System Structure

The UAB Health System was created by a joint operating agreement between the University of Alabama Board of Trustees and the University of Alabama Health Services Foundation. It is governed by an 18 member Board of Directors composed of 7 ex-officio and 11 appointed members with the UAB President serving as chair of the board and the Dean of the School of Medicine serving as the vice-chair.

The board appoints the Chief Executive Officer (CEO) of the UAB Health System. The following officers and their respective groups report to the CEO:

- Chief Financial Officer (CFO) is responsible for the financial affairs of the health system. Among those reporting to the CFO are the Chief Information Officer, Executive Director of Financial Services, and the Management Services Organization. The CFO is the executive in charge in the absence of the CEO.
- Chief Operating Officer (COO) oversees the direction and day-to-day operations for the clinical entities of the UAB Health System. These include the 908-bed UAB University Hospital, the Callahan Eye Foundation Hospital, and the eight UAB health centers. Also reporting to the COO is the Health Services Foundation's multi-disciplinary Kirklin Clinic and the Kirklin Clinic at Acton Road. The chiefs of staff of both the hospital and Kirklin Clinic report directly to the CEO.
- President and CEO of Triton Health System, LLC oversees the UAB Health System's managed care holding company. This includes the VIVA Health and VIVA UAB HMOs.
- Chief Planning and Strategic Officer/Executive Director of Strategic Ventures oversees the development of relationships with health-care providers throughout the state including other hospitals and physician groups. Among those reporting to this office are Regional Cardiology Venture; Regional Lab Venture; and Public, Industry, and Regulatory Affairs. Also reporting are Strategic Planning and Market Research, Healthfinder/MIST, Health System Development, and Health System Marketing.

The Children and Women's Hospital represents a Joint Operating Agreement between the UAB Health System and The Children's Hospital of Alabama. The UAB Health System also has a Joint Operating Agreement with UAB Medical West.

The UAB Health System has affiliations with The Children's Hospital of Alabama and the Birmingham Veterans Affairs Medical Center.



The Kirklin Clinic is a specialty center designed for outpatient care and houses more than 600 physicians in 35 specialties.

Section 1 – Learning About UAB

1.1 New Employee Orientation

All new faculty and staff are introduced to UAB through a general orientation program conducted by Human Resources. Schools with new faculty, visiting professors, postdoctoral scholars, or interns should contact the UAB Training and Development Office to schedule their new employees for orientation. For other UAB units, representatives from the Employment Division of Human Resources will notify new employees of the time and date to report for orientation. New Hospital employees are required to attend an additional half-day of specific orientation at which they will receive material and information related to working at UAB University Hospital. The date, time, and location of this Hospital New Employee Orientation will be provided by the new employee's supervisor or by Hospital Human Resources.

The general New Employee Orientation is available to faculty and monthly paid staff in both a classroom and a Web-based version. If the employee would like to use the ONLINE ORIENTATION, the registration form can be found by going to the Human Resources World Wide Web site (www.hrm.uab.edu) then clicking on "Orientation/Toolkits" located on the yellow sidebar. At the bottom of this site there is a blue "Register" link where the registration form is located. The completed registration form is required before a password will be issued for online orientation. Employees selecting this method of orientation should be aware that all paperwork must be printed, filled out completely, then mailed or hand-delivered to the different departments (that is, Payroll Services, Benefits, etc.) or given to their department representative handling such paperwork. The employee also will be responsible for having an identification badge photo made at the UAB Police Department. **(No registrations will be accepted by e-mail or by telephone.)**

All employees must complete New Employee Orientation within 30 days of their hire date. All employees transferring from non-Hospital positions to Hospital positions must attend Hospital New Employee Orientation as soon as possible after the transfer becomes official.

All Hospital employees are required to have a pre-employment physical examination and drug test. These tests must be completed and the employee must be certified as physically fit for employment before beginning work or attending orientation.

1.2 Information Available in Your Department or Unit

Specific information such as work assignments, work hours, uniforms, and departmental policies will be provided by department heads, managers, or supervisors in the specific department or unit in which you work.

1.3 Continuous Training

You can learn more about UAB by participating in the training programs and classes offered for UAB staff by the HR's Department of Training and Development and the Hospital's Department of Nursing Staff Development. These two departments offer a variety of classes and training programs some of which are approved for Continuing Education Units (CEU).

1.4 Publications

Several publications are designed specifically for employees of UAB. They are: *UAB Reporter*: A weekly newspaper of interest to all departments/units and employees. This paper carries notices of new or revised policies, benefit changes, and employee activities. It is considered to be an official mechanism for notifications to UAB employees.

UAB Magazine: UAB's flagship magazine published quarterly and distributed widely throughout the country.

Synopsis: A weekly publication of primary interest to professionals and employees in the health-care units of UAB.

Monday Mailing: A weekly Hospital newsletter published primarily to inform employees of current issues and announcements.

1.5 Job Line/World Wide Web Site

A telephone listing of job openings and promotion opportunities for UAB employees may be heard by calling 934-2611. This listing is updated daily (Monday through Friday) and may be heard 24 hours a day, 7 days a week. The information also is available on the Human Resources World Wide Web page (see Section 11.2). The Web site isaa updated daily (Monday through Friday) and may be accessed 24 hours a day, 7 days a week.

1.6 Bulletin Boards

Bulletin boards are placed in strategic areas throughout UAB and display information of interest to employees. They are intended for official and semi-official information. Good judgment and discretion should be practiced in the use of these bulletin boards. The department/unit head, building administrator, or a Hospital Associate Executive Director should be contacted for approval before posting any material, advertisements, or announcements. UAB's solicitation protection policy (Section 7.12) also applies to bulletin boards and to the material placed on them.



At the Department of Homeland Security's Noble Training Center in Anniston, Alabama, UAB employees, along with other course facilitators, work to ensure that live simulation exercises run smoothly.

Section 2 – UAB Employment Categories

2.1 Employment Assignment Categories at UAB (Employment Status Codes)

For purposes of determining eligibility for benefits, all employees are classified at the time of employment as full-time regular, full-time temporary, part-time regular, irregular, students, interns and/or residents, postdoctoral scholars, work study students, weekend staff nurses, or 3/12-hour-shift employees. Before an employee changes from one assignment category to another, the Office of Human Resources must be contacted, and appropriate personnel procedures and Affirmative Action guidelines must be followed. (See also “Promotions and Transfers” Section 4.12.)

The following paragraphs describe the employment assignment categories, and the chart in Section 2.2 summarizes the benefits eligibility for each employment assignment category.

Full-time Regular Employees (Assignment Category 01)

These are employees who are required to work 40 hours a week regularly and have an indefinite appointment. Such employees are eligible for full UAB benefits and privileges of employment if retained after the initial six months probationary period. For benefits purposes, Nursing Interns are included in the 01 assignment category. (See also “Initial Six Months Probationary Period” Section 4.1.)

Full-time Temporary Employees (Assignment Category 02)

These are employees who regularly work 40-hour weeks for six months or longer. Appointments have an expected termination date of less than one year from the initial date of employment.

Employees in this category are not eligible for vacation, holidays, or sick time. Time away from the job should be approved by their supervisor. This time may be deducted from their pay by a memorandum to the Payroll Services Department during the pay period affected.

Any full-time temporary employee re-appointed for a period of time to exceed one year from the initial date of employment must be re-appointed as full-time regular except when extenuating circumstances preclude this.

Part-time Regular Employees (Assignment Category 03)

These are employees who work less than 40 hours per week but at least 40 hours in a two-week period for an indefinite duration. Upon completion of the initial six months probationary period, if these employees have averaged at least 40 hours per pay period, they will be eligible for personal holiday, vacation, and sick time. Part-time regular bi-weekly paid employees earn vacation and sick time at a prorated amount based on hours paid for each pay period. Part-time regular monthly paid employees earn vacation and sick time at a prorated amount based on their assigned full-time equivalency (FTE). The prorated amount will never be less than one-half the rate of full-time employees. These employees receive prorated personal holidays each year rather than personal and designated holidays. (See also “Initial Six Months Probationary Period” Section 4.1.)

Irregular Employees (Assignment Category 04)

These are employees appointed for less than six months, who work either full-time or part-time, and who may be expected to report to work on an irregular basis. Irregular employees are also those who work less than 20 hours per week and/or work an irregular schedule not meeting the requirements established for part-time regular employees. UAB employees who are high school students or who are enrolled primarily as students at other colleges or universities are included in this category. Irregular employees are not eligible for any UAB benefits or privileges of employment. UAB Temporary Service employees are appointed under this category.

Students (Assignment Category 06)

These are UAB students appointed as Student Assistants, Teaching Assistants, Graduate Assistants, Graduate Student Assistants, Student Assistants Contracted, Student Housing Resident Assistants, Tutors, or Interns whether paid from institutional, grant, or stipend sources. Students are not eligible for any UAB benefits or privileges of employment. Interns in the Civitan International Research Center, Occupational Therapy Interns, and other Interns not meeting the criteria for assignment category 07 are included in this category. See category 04 Irregular concerning employees who are high school students or who are enrolled primarily as students at other colleges or universities.

Interns and/or Residents (Assignment Category 07)

These are individuals appointed as Interns or Residents in the School of Medicine, UAB University Hospital, School of Dentistry, or School of Optometry. Administrative Residents, House Staff, Dietetic Interns, Pharmacy Interns/Trainees, Psychology Interns, School of Public Health Interns, and Center for AIDS Research (CFAR) Interns are included in this category.

Work Study Students (Assignment Category 11)

These are individuals receiving a percentage of salary in Work Study benefits as established by the U.S. Department of Education. Work Study students are not eligible for any UAB benefits or privileges of employment. All ACT documents for Work Study students are initiated by the Office of Financial Aid.

Three Twelve-hour-shift (3/12 Hour) Employees (Assignment Category 12)

These are UAB University Hospital employees who are required to regularly work three twelve-hour shifts a week and who have an indefinite appointment. Such employees are entitled to full UAB benefits and privileges of employment if retained after the initial six months probationary period. (See also “Initial Six Months Probationary Period” Section 4.1.)

Weekend Staff Nurses (Assignment Category 17)

These UAB University Hospital nurses work 24 hours on weekends and other requested coverage periods. Upon completion of the initial six months probationary period, these employees are eligible for benefits as indicated in the Benefit Eligibility chart in Section 2.2.

Postdoctoral Scholars

These are individuals who have earned terminal degrees and who come to UAB for advanced training in specific areas. Status as a postdoctoral scholar generally is limited to five years. Extensions require the approval of the Office of Postdoctoral Education.

Postdoctoral Scholar Trainees (Assignment Category 20) (See also Assignment Category 21)

This category of postdoctoral scholars includes individuals receiving a monthly fellowship paid from the “Scholarships/Fellowships” object code. In regard to those fellowship payments, these individuals are not in an employer-employee relationship with UAB. Institutional funds awarded to augment training grant or qualified fellowship funds do not alter the person’s status if awarded for the same purpose. A Postdoctoral Scholar Trainee also might receive financial aid in the form of a job, and the compensation for those services is paid as salary.

Postdoctoral Scholar Employees (Assignment Category 21) (See also Assignment Category 20)

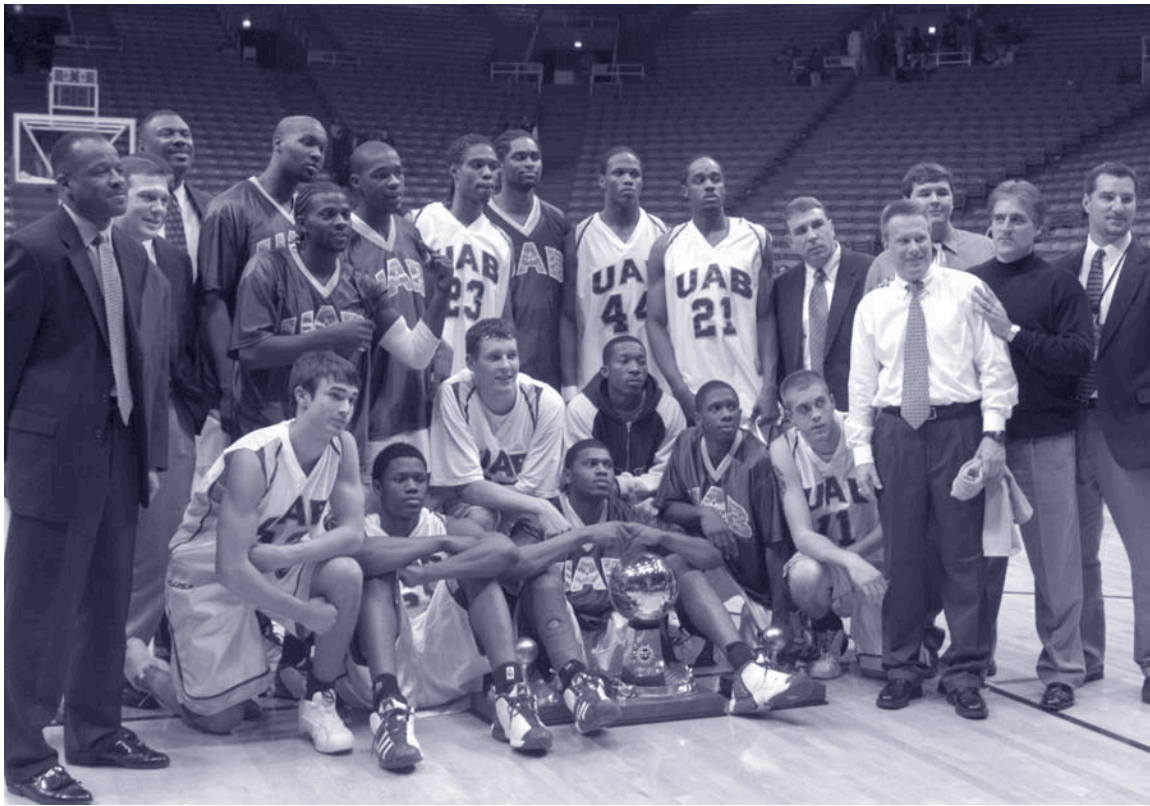
These are individuals paid from the payroll who have been designated as postdoctoral scholars by their departments. They are compensated by funds from research grants or other non-training sources. They do not receive additional funds from a monthly fellowship. Vacation, holidays, or sick time taken by postdoctoral scholars may be deducted from their paychecks by a memorandum to the Payroll Services Department during the pay period affected.

Requisition Employees (Assignment Category 99)

This category is limited to payments to individuals to whom UAB anticipates making only **one** employee payment. It should not be used for additional assignments of current UAB employees or for individuals that a department anticipates paying more than once even if subsequent payments will not be made for several months. Requisition employees are not eligible for any UAB benefits or privileges of employment.

2.2 Assignment Category Benefits Eligibility Table

See chart on next page.



The UAB outstanding men's basketball team reached the Sweet Sixteen level in the 2004 NCAA national championship playoff games.

Benefit Eligibility

Assignment Category	Assignment Category Code	UAB-paid Life, Accidental Death & Dismemberment Insurance	Employee-paid Life, Accidental Death & Dismemberment Insurance	Long-term Disability Insurance	Long-term Care Insurance	Teachers' Retirement	403(b) Participant	403(b) Matching (Monthly Only)	457(b) Participant	Health Insurance	Dental Insurance	Flexible Spending Accounts	Vacation, Holiday, Sick Time Accrual	Educational Assistance
Full-time Regular	01	Yes	Yes*	Yes	Yes*	Yes/Required	Yes	Yes	Yes	Yes	Yes*	Yes*	Yes	Yes
Full-time Temporary	02	Yes	Yes*	Yes	Yes*	Optional	Yes	No	Yes	Yes	Yes*	Yes*	No	No
Part-time Regular	03	No	Yes*	Yes	Yes*	Yes/Required (Prorated Credit)	Yes	No	Yes	Yes	Yes*	Yes*	Yes/Prorated	No
Irregular	04	No	No	No	No	No	No	No	No	No	No	No	No	No
Students	06	No	No	No	No	No	No	No	No	No	No	No	No	No
Interns and/or Residents	07	Yes	Yes*	Yes	Yes*	No	Yes	No	Yes	Yes	Yes*	Yes*	No	No
Work Study Students	11	No	No	No	No	No	No	No	No	No	No	No	No	No
Three Twelve-hour-shift	12	Yes	Yes*	Yes	Yes*	Yes/Required	Yes	Yes	Yes	Yes	Yes*	Yes*	Yes	Yes
Weekend Staff Nurses	17	Yes	Yes*	Yes	Yes*	Yes/Required	Yes	No	Yes	Yes	Yes	Yes*	Sick Time Only	No
Postdoctoral Scholar Trainees	20	Yes	Yes*	Yes	No	No	No	No	No	Yes	Yes*	No	No	No
Postdoctoral Scholar Employees	21	Yes	Yes*	Yes	No	No	Yes	Yes	Yes	Yes	Yes*	No	No	No
Requisition Employees	99	No	No	No	No	No	No	No	No	No	No	No	No	No

*Individual pays full premium

Section 3 – Benefits and Services Available To UAB Employees

3.1 Insurance Benefits

3.1.1 Health Insurance

UAB encourages all regular employees to carry health insurance. You are eligible to join one of UAB's group medical insurance programs during the first 31 days after your employment at UAB. If you do not join during the first 31 days, you will be allowed to join only during an annual open enrollment period which will be announced by UAB.

Other times during which you may enroll or change coverage are during the 31-day period immediately following marriage (change only), divorce, legal separation, or becoming ineligible for coverage under your spouse's insurance plan. This is not an all-inclusive list, and you may contact the HR Benefits Office for more examples of qualifying events.

To lower the premium cost to you, UAB pays the major portion of the premium.

You may be eligible to continue your current group coverage for an additional 18 months (29 months for employees with disabilities) at the full group rate plus an administrative charge, provided you make application within 60 days from the date your current matched group coverage ends. Any questions should be directed to the HR Benefits Office.

If you are at least 60 years old or older with at least 5 years of service upon termination of employment, you are eligible to continue to participate in the health insurance plan in which you were enrolled at the UAB retiree rates.

Because the exact coverage and premium costs are variable, they are not included in this handbook. Information is available from the HR Benefits Office.

3.1.2 Dental Insurance

UAB makes available a stand-alone, employee-paid dental plan. This dental program gives eligible employees an opportunity to choose between a basic and a comprehensive dental plan.

Within the first 31 days of employment, you are eligible to join UAB's dental plan. If you do not join during the first 31 days, you will be allowed to join during an annual open enrollment period which will be announced by UAB.

You may be eligible to continue your current group dental coverage for an additional 18 months (29 months for employees with disabilities) at the full group rate plus an administrative charge, provided you make application within 60 days from the date your current matched group coverage ends. Any questions should be directed to the HR Benefits Office.

Because the exact coverage and premium costs are variable, they are not included in this handbook. Information is available from the HR Benefits Office.

3.1.3 Life Insurance

UAB provides term life insurance for certain categories of employees during the period in which they are employed at UAB. (See Benefit Eligibility table, Section 2.2.) The amount of coverage varies according to salary level and age. Premiums are paid by UAB. In addition, a voluntary life insurance program is available for employees interested in additional insurance coverage. The premium cost for this additional insurance is paid by the employee.

If you are at least 60 years old or older with at least 5 years of service upon termination of employment, you are eligible for \$6,000 life insurance at a nominal monthly premium.

3.1.4 Accidental Death and Dismemberment Insurance

UAB provides an accidental death and dismemberment insurance policy of \$22,500 for certain categories of employees. (See Benefit Eligibility table, Section 2.2.) All premiums are paid by UAB.

For employees desiring additional accidental death and dismemberment insurance coverage, UAB has made available a voluntary accidental death and dismemberment program, providing a maximum of \$500,000 coverage at a reasonable premium rate.

If you are at least 60 years old or older with at least 5 years of service upon termination of employment, you are eligible for \$6,000 accidental death and dismemberment insurance for a nominal monthly premium.

3.1.5 Long-term Disability Insurance/Retirement Due to Disability

All employees covered by long-term disability insurance (salary continuation) are provided protection should they become unable to work due to illness or injury. (See Benefit Eligibility table, Section 2.2.)

The premiums for this insurance are paid entirely by UAB. For additional information, refer to the Certificate of Insurance available from the HR Benefits Office.

Employees who are designated as disabled by UAB's Long-term Disability Insurance carrier and are awarded benefits will be placed into a "Retired Due to Disability" status. During this period they will be eligible to remain on all UAB insurance programs by paying the appropriate rates.

If you are evaluated by the insurance carrier and found no longer to be disabled, your department/unit will make reasonable efforts to reinstate you into a position comparable in salary and requirements to the one you previously held. However, you will have no greater right to continued employment than other employees within the department/unit who have remained in active employment or who have been hired during your disability.

You must notify your department/unit at least one month prior to your expected date of ability to return to work. If it is not possible to reinstate you within 60 days, you will be notified and will no longer be eligible to remain on UAB's benefits program. Additional information about this benefit is available from the HR Benefits Office.

3.1.6 Long-term Care Insurance

Long-term care insurance is an employee-paid benefit plan which is underwritten by Metropolitan Life Insurance Company (MetLife). This plan is designed to help protect your hard-earned assets and retirement savings from the high cost of long-term health care services. MetLife Long-term Care Insurance provides for an array of benefits including home health care, assisted living facility, nursing facility care, adult day care, respite care, and other benefits. Information concerning this benefit is available from the HR Benefits Office.

3.1.7 Flexible Spending Accounts

Flexible spending accounts are available to eligible employees. Flexible spending accounts are reimbursement accounts which permit employees to use their pre-tax dollars to pay for eligible expenses. There are two categories of spending accounts: health care and dependent care assistance. Employees may enroll in the flexible spending accounts within 31 days from date of employment or during an open enrollment period each year. Information concerning this benefit is available from the HR Benefits Office

3.2 On-the-Job Injury/Illness Program

The Workers' Compensation Act of the State of Alabama does not apply to UAB. UAB provides, and pays for, the UAB On-the-Job Injury/Illness Program to cover an employee's medical expenses and lost wages incurred as a result of an on-the-job injury or illness. Expenses and wages are compensable under the On-the-Job Injury/Illness Program only if the injury/illness is sustained in the course of, and arises out of, employment at UAB. The Department of Human Resources administers the program. Human Resources may contract with a third party (the Administrator) to administer the benefits under the On-the-Job Injury/Illness Program on behalf of UAB. Human Resources and the Administrator have established specific guidelines and procedures for the program. Procedures for reporting an incident and other information regarding the On-the-Job Injury/Illness Program are provided in a separate publication that is available by contacting Human Resource Management or from the Human Resources World Wide Web site at www.hrm.uab.edu.

All UAB employees in all assignment categories are eligible for On-the-Job Injury/Illness benefits.

An On-the-Job Injury/Illness Benefits Review Committee consists of one representative from each of the following departments/units: Financial Affairs, Human Resources, and the Office of Counsel. The Committee will review On-the-Job Injury/Illness claims at the request of the claimant, Human Resources, or the Administrator. The committee may refer claims to the State of Alabama Board of Adjustment for consideration. The committee also (1) will consider and approve proposed changes to the On-the-Job Injury/Illness Program procedures, claim processes, and coverage guidelines and (2) may recommend On-the-Job Injury/Illness Program policy changes.

Incident Reporting

1. An incident/accident must be reported verbally by the employee to the employee's supervisor as soon as possible but no later than two working days following the incident/accident or following the onset of the illness or disease. Failure to verbally report an incident/accident within two working days of occurrence or within two working days of the onset of the illness or disease may result in denial of On-the-Job Injury/Illness benefits.
2. A written or electronic incident report form must be completed and must be submitted to Human Resources within two working days of the first verbal report

by the employee to his or her supervisor indicating an injury or a suspected illness or disease arising out of his or her work at UAB. Refer to the Human Resources web site for forms and instructions regarding incident reporting (www.hrm.uab.edu). Copies of the forms also are available by calling Human Resources.

3. In the case of injuries resulting from an assault, including sexual assault, the incident also must be reported immediately to the UAB Police who will report the incident to the employee's supervisor and to HR Relations.

Medical Treatment

1. Any eligible UAB employee who suffers a compensable on-the-job injury or occupational illness or disease will be provided medical treatment by health-care providers designated or approved by Human Resources or the Administrator.
2. A Medical Evaluation Referral Form must be completed and must be signed by the employee's supervisor. The Medical Evaluation Referral Form is available on the Human Resources web site (www.hrm.uab.edu) or by calling Human Resource Management. The employee must present the signed form to the health-care provider before services will be provided that are to be paid by the On-the-Job Injury/Illness Program. An exception is made in the event of a medical emergency requiring immediate treatment. In that event, the employee should be sent immediately to the UAB University Hospital Emergency Department. A representative of the employee's department should advise the Emergency Department verbally that the employee was injured in the course of UAB employment so that billing can be handled properly.
3. Any employee seeking medical treatment for an on-the-job injury or occupational illness or disease must agree to a post-incident drug test. The only exceptions are injuries resulting solely from needle-sticks which are handled by the Rapid Response Team through Employee Health Services in the UAB University Hospital.
4. Incidents/injuries for which other, more specific, response plans are in effect and are documented as Hospital policies (such as needle-sticks) will be treated as specified in Hospital policies.
5. An employee who is injured in the course of employment while away from the UAB campus may seek emergency medical treatment from the nearest health-care provider. The employee must advise the health-care provider that he or she has been injured "on the job." The health-care provider may contact UAB Human Resources with questions regarding payment for services rendered. An incident report must be completed as soon as possible following the accident, and all follow-up treatment must be coordinated through Human Resources or the Administrator.

Medical Benefits

1. The On-the-Job Injury/Illness Program will pay all approved medical expenses and all directly related transportation expenses arising out of an injury or occupational illness or disease until the employee reaches maximum medical improvement as determined by the physician and agreed to by Human Resources or the Administrator.
2. Medical benefits under the On-the-Job Injury/Illness Program may not be

provided if the employee chooses to seek benefits from a provider who has not been approved by Human Resources or by the Administrator.

Lost Time/Wages

1. The On-the-Job Injury/Illness Program will compensate an employee for time lost in excess of four calendar days as a result of on-the-job injury or illness. Time lost on the day of the injury (Day One) or the day the occupational illness is discovered (Day One) will be paid through the employee's department and should be charged to leave with pay. The next three calendar days (Days Two through Four) are considered a waiting period during which no On-the-Job Injury/Illness Program wage benefits will be paid. The employee may elect to use his or her other accrued benefit time (sick time, vacation time, or personal holiday time) or to take without pay the three days after the day of the injury or onset of the occupational illness. The employee may use accrued benefit time for the time off during the waiting period only for the days the employee had been originally scheduled to work. However, if the employee remains out of work (or on reduced time or lower wages) due to the on-the-job injury/illness for a period of 21 calendar days from the date of the injury, one of the following will occur: (1) benefit time used for the first three days after the day of the incident (Days Two through Four) will be replaced at the same rate and maximum as outlined in item 2 below or (2) if benefit time was not used, the On-the-Job Injury/Illness Program will pay the lost wages (at 66 2/3% of the employee's regular rate of pay but subject to the weekly maximum outlined in item 2 below).
2. Beginning with the fourth day after the day of the incident/accident or onset of illness/disease (Day Five), the On-the-Job Injury/Illness Program will pay wages at the rate of 66 2/3% of the employee's regular rate of pay. This 66 2/3% wage benefit is subject to a *weekly maximum* that is adjusted annually. All normal payroll deductions (including taxes, parking fees, credit union withholdings, etc.) will continue.

The following is an *example* of how the process works:

Employee reports to work at 7:00 a.m. on Thursday and is injured at 9:00 a.m.

Employee goes to assigned physician and is advised that he or she may not return to work for two weeks.

Department should pay employee for a full day on Thursday (leave with pay).

The three calendar day waiting period would be Friday, Saturday, and Sunday.

If the employee was originally scheduled to work Saturday and Sunday of the waiting period, the employee may use accrued benefit time for Friday, Saturday, and Sunday; otherwise, the employee could use accrued benefit time only for Friday.

Employee is eligible for On-the-Job Injury/Illness Program wage benefits beginning on Monday.

3. Sick time and vacation time will continue to accrue while On-the-Job Injury/Illness benefits are being paid.
4. Employees may use eligible accrued sick time, vacation time, or personal holiday time in addition to the On-the-Job Injury/Illness benefit of 66 2/3% of regular pay

(subject to the maximum wage benefit described above) to result in earnings equal to the employee's regular rate of pay. The sick time, vacation time, or personal holiday time used as a supplement to equal regular pay may exceed 33 1/3% of the employee's regular rate of pay if the employee's 66 2/3% On-the-Job Injury/Illness wage benefit is capped by the weekly maximum described in item 2 above. No combination of the On-the-Job Injury/Illness wage benefit plus supplemental time may exceed 100% of the employee's regular rate of pay.

5. The employee must notify his or her department of the request for On-the-Job Injury/Illness benefits and of his or her desire to use eligible accrued time as a supplement. The employee is responsible for keeping the immediate supervisor or department/unit head apprised of his or her status and projected date for return to work. The department/unit is responsible for submitting time sheets to Human Resources for processing.

If lost time resulting from an on-the-job injury or illness exceeds two calendar weeks, the employee will be placed on Family and Medical Leave (if eligible) retroactive to the date of the injury or the reporting of the illness. Family and Medical Leave and On-the-Job Injury/Illness Leave will run concurrently and will not "stack" one after the other.

6. On-the-Job Injury/Illness lost wages benefits are payable for a maximum of 180 calendar days from the date of the initial injury or the first written report of the occupational illness/disease. Lost wages benefits will cease at the end of the 180-day period or when an employee has been released to return to full duty by the assigned physician, *whichever is earlier*. The 180-day maximum benefit period is initiated from the date of the injury or the date the occupational illness/disease is first reported in writing, regardless of the date medical treatment is sought.
7. An employee who terminates employment (voluntarily or otherwise) is not eligible for lost wages benefits following his or her UAB employment termination date.
8. If an employee is not able to return to work within the 180-day period, application may be made for benefits under the UAB Long-term Disability Insurance Program. It is the sole responsibility of the employee to determine the estimated length of disability and to make application for benefits in a timely manner. Failure to apply for long-term disability benefits at least 45 days prior to the anticipated need for payment may delay payment of benefits.
9. The On-the-Job Injury/Illness Benefits Review Committee will consider the status of any employee unable to return to full duty within 180 calendar days from the date of injury. A determination will be made regarding employment status and continuation of On-the-Job Injury/Illness wage benefits. An employee unable to return to full duty, or to modified duty if it can be accommodated by his or her department/unit, within 180 calendar days from the date of the injury or the date the illness is reported may be discharged from employment.

The department/unit head will determine if the department/unit will be able to accommodate any modifications imposed by the treating physician.

Limitation on Claiming Benefits

A claim for On-the-Job Injury/Illness Program benefits must be brought within one calendar year of the date of the injury or the diagnosis of the illness. During the one-year period immediately

following an on-the-job injury or illness, a claim for benefits may be brought only if proper notification was made to management and an incident report was completed as required at the time of the incident or diagnosis of illness.

General

1. Abuse, fraud, or misrepresentation of facts in connection with the On-the-Job Injury/Illness Program not only will jeopardize an employee's eligibility for benefits but also will subject the employee to disciplinary action up to, and including, discharge from employment.
2. Human Resources may assign a case manager to an employee who has incurred an on-the-job injury/illness. Failure to follow the instructions of the case manager with regard to appropriate rehabilitation or failure to cooperate with reasonable transitional work programs approved by the physician may result in denial of On-the-Job Injury/Illness benefits.
3. Authority is granted to Human Resources to establish guidelines for the administration of claims; to hire, coordinate, or terminate the services of a third party administrator; to designate providers of health-care services to employees who incur on-the-job injuries or illnesses; and to otherwise administer the On-the-Job Injury/Illness Program. The On-the-Job Injury/Illness Benefits Review Committee must approve major changes in processes and compensability guidelines.
4. An employee may contact the Administrator and/or the Director of HR Relations if he or she wishes to question a ruling on a claim or to propose changes to the On-the-Job Injury/Illness Program.

3.3 Vacation, Holidays, and Sick Time

Vacation benefits, accrual rates, and certain other differences in benefits for faculty members are specified in the UAB Faculty Handbook and Policies. (See Section 11.2 for a link to that handbook.)

3.3.1 Vacation

Vacation benefits are provided for rest and relaxation and are necessary for effective work. You are expected to take your earned vacation within the specified time. Full-time regular and 3/12-hour-shift employees are entitled to vacation with pay according to the schedule below.

Accrual Rates for Vacation Time

	Length of Continuous Service	Accrual Rate Per Pay Period	Accrual Maximum Per Year	Accrual Maximum Total
Bi-weekly Paid Full-time Employees*	Date Hired Until 10th Year Service Date	3.70 hours	96 hours (12 work days)	192.00 hours
	10th Year Service Date Until 20th Year Service Date	5.23 hours	136 hours (17 work days)	272.16 hours
	Beginning With 20th Year Service Date	6.77 hours	176 hours (22 work days)	352.08 hours
Monthly Paid Full-time Employees*	Date Hired Until 5th Year Service Date	1.25 days	15 work days	30 work days
	5th Year Service Date Until 15th Year Service Date	1.67 days	20 work days	40 work days
	Beginning With 15th Year Service Date	1.83 days	22 work days	44 work days

*The accrual rates for part-time regular employees are prorated based on hours paid for bi-weekly paid employees and assigned full-time equivalency (FTE) for monthly paid employees. The maximums for part-time regular employees can be as much as the maximums for full-time employees.

Persons hired into senior administrative officer and executive positions are entitled to the maximum vacation accrual benefits as soon as employed. Contact the Benefits Office for further details if this applies to you.

Monthly paid employees are given a more liberal vacation allowance in recognition of the fact that they are not paid overtime.

You will not be eligible to take your vacation until you have completed your initial six months probationary period, but your vacation will begin to accrue at the time of your employment.

Vacation time for bi-weekly paid employees is maintained in the computerized Human Resources & Finance Administrative System. Vacation records for monthly paid employees are kept by the person's department or unit. A maximum of two years' accrual may be accumulated. Once the two years' credit has been accumulated, the employee may continue to accrue non-reimbursable vacation credit which will be transferred to sick time credit. When a bi-weekly paid employee reaches the maximum vacation accrual, updates for vacation accrual will be transferred automatically by the computerized Human Resources & Finance Administrative System to sick time. When a monthly paid employee has accumulated the maximum vacation accrual by the end of the calendar year, the excess vacation beyond the maximum amount allowed will be transferred to sick time.

A recognized holiday occurring during your vacation will not be charged to vacation time. (See Section 3.3.2 for holiday policy for Hospital, Police Department, and Call Center employees.) If you become ill or have any other incapacity during your vacation, the time off will still be charged as vacation days. No allowance will be made for sickness or other incapacity occurring during your vacation. Also, if UAB is closed for emergency purposes (for example, bad weather) during the time an employee is using vacation, sick, or personal holiday time, those days will still be charged to vacation, sick, or personal holiday time.

Every effort will be made to schedule your vacation at the time you request it. However, in

scheduling vacation, the effective continuation of the normal work routine will be the primary consideration. One's supervisor, manager, or department/unit head will make the determination as to whether an employee's vacation time can be taken at the time requested by the employee.

When you terminate from UAB, all unused accrued vacation (up to the maximum accrual allowed) will be paid to you at your regular rate of pay if you have completed the initial six months probationary period. Under no circumstances will more than the maximum allowable accrual will be paid. Vacation time should be taken prior to giving notice of termination may not be taken after termination notice has been given. The receipt of the termination document and the accrual information (for monthly paid employees) determines when the terminal vacation is paid. Either terminal vacation is added to your final pay, or a separate payment is processed. All payments are processed via direct deposit.

3.3.2 Holidays

Regular Employees (See also Regular UAB University Hospital, UAB Police and UAB Call Center Employees below.)

Regular full-time employees are entitled to eleven paid holidays each year. Eight designated holidays are New Year's Day, Dr. Martin Luther King, Jr. Day, Memorial Day, Independence Day, Labor Day, Thanksgiving Day, the day after Thanksgiving, and Christmas Day. If a holiday falls on Saturday, it will be observed on the preceding Friday; if the holiday falls on Sunday, it will be observed on the following Monday.

In addition to the eight designated holidays, a regular full-time employee who has completed the initial six months probationary period may take three working days during the year as personal holidays. Personal holidays for monthly paid employees must be taken between July 1 and June 30 each year. On June 30, unused personal holidays for monthly paid employees will be forfeited; on July 1, three new days will be added for the coming year. Personal holidays for bi-weekly paid employees must be taken between the first bi-weekly pay period with a July pay date and the last bi-weekly pay period with a June pay date. Unused personal holidays for bi-weekly paid employees will be forfeited; in July, three new days will be added for bi-weekly paid employees for the coming year. For all employees, personal holidays must be taken prior to termination or required notice of termination of employment.

Every effort will be made to schedule your personal holiday at the time you request it. However, in scheduling personal holidays, the effective continuation of the normal work routine will be the primary consideration. One's supervisor, manager, or department/unit head will make the determination as to whether an employee's personal holiday time can be taken at the time requested by the employee.

Bi-weekly paid employees required to work on designated holidays will be paid 8 hours for the holiday in addition to the number of hours worked. An employee who is scheduled to work the day before or after a holiday or on the holiday and fails to do so will forfeit holiday pay unless a legitimate reason for absence is approved in writing by the department/unit head. A physician's certification may be required for such absences to be paid.

If a holiday occurs on a regular day off, employees will be paid at the regular rate of pay for that day. Employees working on designated holidays may take another day off without pay with the approval of their supervisor or department/unit head.

If a recognized UAB holiday occurs during an employee's vacation, the holiday will not be charged to vacation time. If UAB is closed for emergency purposes (for example, bad weather) during the time an employee is using personal holiday time, those days will still be charged to personal holiday time.

Regular UAB University Hospital, the UAB Police Department, and the UAB Call Center Employees

Due to the special requirements of the UAB University Hospital, the UAB Police Department, and the UAB Call Center, the holiday policy for employees in those units is somewhat different from the policy for all other employees.

UAB University Hospital, UAB Police Department, and UAB Call Center employees have eleven personal holidays per year rather than three personal and eight designated holidays. These eleven holidays may be scheduled at any time during the year with the supervisor's approval. For bi-weekly paid employees, the holidays must be requested prior to the beginning of the pay period in which they are to be taken.

For full-time regular monthly paid and 3/12-hour-shift employees, personal holidays will accrue at the rate of .92 days a month, to a maximum of 11 days. Full-time regular bi-weekly paid employees will accrue these holidays at a rate of 3.38 hours per pay period, to a maximum of 88 hours.

Part-time regular monthly paid employees accrue at a prorated amount based on their assigned FTE up to a maximum of 11 days. Part-time regular bi-weekly paid employees accrue at a prorated amount based on hours paid per pay period up to a maximum of 88 hours. New employees are eligible to use personal holiday time as it is accrued

Employees who work in Hospital departments/units which may be closed on regular designated UAB holidays may schedule those days as personal holidays, vacation, or days off without pay.

Part-time Regular Employees

Part-time regular employees receive prorated personal holidays each pay period rather than personal and designated holidays. These personal holidays may be scheduled at any time during the year with your supervisor's approval, but they are not to be used for all holidays. If you use all of your personal holidays prior to a UAB designated holiday, in order to be paid for the holiday you will need to use vacation time for that holiday. For bi-weekly paid employees, personal holidays must be requested prior to the beginning of the pay period in which you wish to take a personal holiday.

Part-time regular monthly paid employees accrue holiday time at a prorated amount based on their assigned full-time equivalency (FTE) up to a maximum of 11 days. Part-time bi-weekly paid employees accrue holiday time at a prorated amount based on hours paid per pay period to a maximum of 88 hours. New part-time regular employees are eligible to use personal holiday time as it is accrued. Once the maximum hours have been accrued, no additional accruals will be added until time is used and the balance drops below the maximum. ***You must take your holidays prior to termination or notice of resignation.***

3.3.3 Sick Time

Sick time is provided by UAB for your income protection when an employee must take time away from work for medical reasons. Sick time may also be used for the care of anyone who resides in the same household as the employee including a sponsored adult dependent* or child(ren) of sponsored adult dependents. A maximum of up to 3 days in a calendar year may be used to care for children or child(ren) of a sponsored adult dependent, a spouse, a sponsored adult dependent or parents that do not reside in the same household as the employee. The time must be approved by the employee's immediate supervisor. If you are a full-time regular or 3/12-hour-shift employee, you will accrue sick time at the rate of 10 days per year (6.67 hours

per month or 3.08 hours per pay period). There is no maximum for the amount of sick time an employee may accrue. Part-time regular bi-weekly paid employees accrue a prorated amount of sick time based on hours paid during each pay period. Part-time regular monthly paid employees accrue a prorated amount of sick time based on their assigned full-time equivalency (FTE).

You will not be eligible to use sick time until you have completed your initial six months probationary period, but your sick time will begin to accrue on the date of your employment in an eligible status.

To be paid for sick time you must notify your supervisor of illness as early as possible in advance of your scheduled time of duty. You should describe the nature of the illness and your expected date of return to work. *Hospital employees* are required to give advance notice of illness when possible and to complete a Sick Leave Claim Form when applying for sick time benefits. Other areas may also require completion of the Sick Leave Claim Form. Except during hospitalization or lengthy convalescence, you should inform your supervisor daily of your progress and expected date of return to work.

Supervisors who suspect abuse of sick time privileges may require a physician's statement before approving payment for sick time. If you have an absence of one or more days in each of three consecutive months, you may be requested to submit a physician's certification before further sick pay can be authorized. Continuous and frequent use of sick time may require a medical assessment from your physician verifying that you are medically fit to perform the job duties (with or without reasonable accommodation) for which you were hired.

Holidays occurring during paid sick time will be charged to holiday time and not to sick time accrual. Illness or injury during vacation will not be considered for paid sick benefits. Also, if UAB is closed for emergency purposes (for example, bad weather) during the time you are using sick time, those days will still be charged to sick time.

You may use sick time for scheduled visits to the dentist, physician, or optometrist, but you must inform your supervisor well in advance of such appointments. You may be required to provide documentation of the appointment. In case of emergency conditions at work, it may be necessary for you to cancel your appointment.

Your supervisor may require that all absences be charged to vacation after all sick time has been used. In view of UAB's liberal paid absence policy, absence without pay can be viewed as excessive absenteeism except in cases of approved time.

When accepting a position at UAB after being employed with another Teachers' Retirement System participating employer, an employee may transfer any unused accrued sick time days to UAB. This policy does not apply where a break in service has occurred. The Teachers' Retirement System employer from which the employee has separated must certify and forward the sick time balance to UAB. It is the responsibility of the affected employee to ensure that the proper documentation is received by UAB. During employment with UAB, the employee will accrue sick time according to UAB's sick time policy. The funding and/or liability for such accruals will become the obligation of UAB.

Under certain circumstances, UAB employees may voluntarily donate, or receive, sick time under a sick leave donation policy. This policy is applicable to UAB employees, including faculty, who are eligible to accrue sick time based on their assignment category. The donated sick time may be used only for an employee's personal illness or injury. (See "Sick Leave Donation Policy" available on the web at from the Human Resource Records Administration Office or <http://sppublic.ad.uab.edu/policies/pages/LibraryDetail.aspx?pID=355>)

***Sponsored Adult Dependent** – a sponsored adult dependent is not a relative, is at least 19 years of age, shares a primary residence and has lived with you not as a renter, boarder, tenant or employee for at least twelve months.

3.4 General Employee Benefits

3.4.1 Unemployment Compensation

UAB provides unemployment compensation at no cost to you. You should be aware that voluntary termination or discharge for cause are not normally covered by unemployment compensation. Specific qualification requirements for benefits may be obtained from the local State Department of Industrial Relations office.

3.4.2 Health Services

Your health and well-being are important to us. Therefore, several programs are available free or at minimal cost. These include the following:

1. Immunization programs without cost for protection against some diseases for employees working in high-risk areas
2. Examinations at minimal cost at the Dental Clinic and treatment for those dental problems which are of teaching value
3. Pre-employment physical examinations for Hospital employees at no cost
4. A low-cost general eye examination at the School of Optometry teaching clinic
5. The Workplace for treatment of on-the-job injuries/illnesses during regular work hours
6. An Emergency Department for the treatment, after hours and weekends, of on-the-job injuries/illnesses.

3.4.3 Educational Assistance For Employees

The Educational Assistance Program is a benefit available to all full-time regular (01) employees and all 3/12 Hour Shift (12) employees. Disability retirees who were in an eligible category as an employee are also eligible for educational assistance.

An employee must have completed at least six months of continuous service in an eligible status prior to the last day to withdraw from a course without paying full tuition as published in the UAB Class Schedule and/or catalogs.

UAB will pay in-state tuition for up to 18 semester hours of course work taken at any time during an academic year for course work taken only at UAB and only for coursework eligible for UAB academic credit. Certificate "A" credit courses also are covered under the Educational Assistance Program.

Undergraduate students must have at least a 2.0 undergraduate grade point average on any prior undergraduate course work taken at UAB and must maintain a UAB undergraduate grade point average of 2.0 or better to receive the benefit. Graduate students must have at least a 3.0 graduate grade point average on any prior graduate course work taken at UAB and must maintain an overall UAB graduate grade point average of 3.0 or better to receive the benefit.

If an employee fails to maintain the appropriate grade point average, he or she will not be eligible to participate in the Educational Assistance Program until the grade point average

reaches the appropriate level. An employee classified as a graduate student but registered for an undergraduate course must adhere to the graduate grade requirement. Audited courses and other fees are not covered by the program.

Under IRS Regulation Section 117, undergraduate coursework is not taxable to the employee. Under Section 127, the employee is taxed on educational assistance for graduate coursework greater than \$5250 in a calendar year. The taxes will be withheld by UAB Payroll Services from the employee's payroll disbursement.

How Do I Participate in the Program?

To participate in the employee educational assistance program, an employee must go through the proper admission procedures and must meet all admission requirements. Registered employees who wish to take advantage of the employee educational assistance benefit will be verified electronically between the Human Resources and Students Affairs departments. Employees who meet all eligibility requirements for the program and are registered will have the benefit applied to their account automatically.

Employees with eligible dependent/spouse interested in taking advantage of the program for an entire academic year must annually certify their eligible dependent/spouse after the summer term and before the fall semester prior to the Drop/Add date on the academic calendar. If an employee's dependent/spouse decides to enroll in classes for spring or summer semester, he or she may do so and take advantage of the benefit as long as certification takes place before the Drop/Add date for that term.

Employees will then be required to re-certify their eligible dependent/spouse annually before the fall semester if they wish to take part in the educational assistance program for the next academic year. Failure to re-certify each year will mean that credit will not be given for the educational assistance benefit.

To locate Drop/Add dates for any academic term, see the academic calendar at <https://studentaffairs.sass.uab.edu/calendar/search.asp?id=2>. Online certification for the dependent/spouse benefit can be found under the Educational Assistance section of the Oracle self-service menu. Log in to Oracle via www.uab.edu, then the Adminsystems link, then Oracle HR & Finance System.

The online certification form requires employees to enter the student's BlazerID on the Oracle self-service form in order to certify an eligible dependent/spouse. Once a student is accepted for admission to UAB, he or she will be notified by the Office of Admissions about how to obtain a student BlazerID. The student BlazerID will serve as the sole identifier that will permit them to securely access all of UAB's electronic information services. The certification form also will validate the date of birth entered to ensure it matches the one on file in the student system. All new students must meet UAB admission requirements. Admission requirements can be found at <http://main.uab.edu/Sites/apply/apply/freshmen/645/>

For additional information regarding the Educational Assistance Program, contact the Benefits Office, Administration Building Room 264, 934-3458.

3.4.4 Educational Assistance for Dependent Children

The Educational Assistance Program for Dependent Children is a benefit available to all unmarried dependent children under the age of 26 of full-time regular (01) UAB employees and all 3/12 Hour Shift (12) employees who have completed one year of continuous service in an eligible status directly preceding the time the employee wishes to start receiving the benefit. This benefit also is available to all unmarried dependent children under age 26 of UAB retired employees who were in an eligible status at the time of retirement and for at least one year immediately prior to retirement (includes retirement due to disability) and to all unmarried dependent children under age 26 of deceased UAB employees who were in an eligible status at the time of their death and for at least one year immediately prior to death. The one-year-of-service requirement is waived for full-time regular (01) faculty members.

Qualified dependent children will receive 50% tuition assistance for all undergraduate and graduate credit courses taken during an academic term only at UAB and only for coursework eligible for UAB academic credit. Audited courses and other fees are not covered. The benefit is limited to 50% even if both parents are full-time UAB employees.

Qualified dependent children who are employed at UAB in any status other than full-time regular (01) or 3/12 Hour Shift (12) are eligible to receive tuition assistance through the Educational Assistance Program for Dependent Children. A qualified dependent employed at UAB in a status which qualifies for employee educational assistance must apply for assistance under the Educational Assistance Program for Employees.

To receive the benefit, undergraduate students must have at least a 2.0 undergraduate grade point average on any prior undergraduate course work taken at UAB and must maintain a UAB undergraduate grade point average of 2.0 or better to receive the benefit. Graduate students must have at least a 3.0 graduate grade point average on any prior graduate course work taken at UAB and must maintain an overall UAB graduate grade point average of 3.0 or better to receive the benefit.

Employees who are participating in the state-sponsored Prepaid Affordable College Tuition Program (P.A.C.T.) will receive full value from the P.A.C.T. in addition to the benefit available from the Dependent Educational Assistance Program. UAB will invoice the P.A.C.T. for the full amount of tuition and mandatory fees for a qualified dependent and will receive payment directly from the P.A.C.T. UAB also will credit the student's account with the value of the dependent educational assistance. After all student charges have been covered, if a credit balance is available, the student may request a refund of the credit balance amount from Student Accounting Services.

Under IRS Regulation Section 117, undergraduate coursework completed by the dependent is not taxable to the employee. Educational Assistance for graduate coursework is taxable to employee. The taxes will be withheld from the employee's next payroll disbursement following the last day to add a course.

3.4.5 Educational Assistance for Spouses

Educational Assistance will be provided for the spouses of UAB full-time regular (01) employees and 3/12 Hour Shift (12) employees who have completed one year of continuous service in an eligible status directly preceding the time the employee wishes to start receiving the benefit. The one year of service requirement is waived for full-time regular (01) faculty

members.

A spouse who is employed at UAB in either a full-time regular (01) position or a 3/12 Hour Shift (12) position will receive the employee educational assistance benefit only.

UAB will pay in-state tuition for up to 18 semester hours of course work taken at any time during an academic year for course work taken only at UAB and only for coursework eligible for UAB academic credit. Undergraduate students must have at least a 2.0 undergraduate grade point average on any prior undergraduate course work taken at UAB and must maintain a UAB undergraduate grade point average of 2.0 or better to receive the benefit. Graduate students must have at least a 3.0 graduate grade point average on any prior graduate course work taken at UAB and must maintain an overall UAB graduate grade point average of 3.0 or better to receive the benefit. Audited courses and fees will not be covered.

Under IRS Regulation Section 117, undergraduate coursework completed by the dependent is not taxable to the employee. Educational Assistance for graduate coursework is taxable to employee. The taxes will be withheld from the employee's next payroll disbursement following the last day to add a course.

3.4.6 The Resource Center: Employee Assistance and Counseling Services

The Licensed Professional Counselors of The Resource Center provide assistance to employees and their dependents including assistance with stress management, emotional disturbances, personal adjustments, financial counseling, marital or family distress, alcoholism and substance abuse recovery, and many other issues.

The Resource Center also offers consultations with supervisors concerning job performance and work-related problems.

For information on how to use this confidential counseling service, call The Resource Center at 9342281.

3.5 Personal Educational Activities

Employee educational activity may be divided into the following two areas:

1. "Employee training and development" includes in-service training, supervisory and managerial training and development, and other activities required or encouraged by UAB as part of your job requirements. Classes taken during working hours through the HR Training and Development Office or the Hospital Nursing Staff Development Office are included if the classes are at the request of, or with the permission of, the employee's department/unit head.
2. "Personal educational pursuits" include classes taken toward a degree or certificate or classes taken for personal enrichment which an employee may elect to take. Classes taken by employees for personal educational pursuits should be scheduled outside the employee's scheduled working hours. Under no circumstances should time spent in classes for personal education pursuits be paid for by UAB as time worked. This includes classes taken at UAB through the Employee Educational Assistance Program as well as classes attended at other institutions.

3.6 Services Available to Employees

3.6.1 Parking Facilities

As an urban campus encompassing a large academic health center, UAB is challenged to meet the parking needs of its students, employees, patients, and visitors. Each employee who wants to park on campus must register for parking at Transportation Services, 608 8th Street South, where he or she will be assigned to a lot or a parking deck and will be issued a parking hangtag and an access card. Parking fees vary according to the location assigned and are handled as a payroll deduction on a monthly basis. Each employee is given a Parking Handbook at orientation, and the employee is responsible for being acquainted with parking rules and regulations. Copies of the Parking Handbook are available from Transportation Services. See also the Parking and Transportation Services World Wide Web site at <http://www.parking.uab.edu>.

3.6.2 Bus Service

A valid MAX bus sticker is available through Transportation Services to all registered parkers. This allows access to the MAX bus route that serves the Remote Parking System. A copy of the bus route and schedule can be obtained by contacting Transportation Services.

3.6.3 UAB Campus Ride

The UAB Campus Ride is available to all UAB employees for conducting official UAB business on campus. Campus Ride drivers are not allowed to assist riders with cargo. For further information call 975-8294.

3.6.4 Escort Service

The UAB Escort Service is an after-dark service provided upon request to employees (and students) on the UAB campus. The service can be reached automatically from any of the white Escort Service phones designated for this purpose or by calling 934-8772 from any telephone. A UAB escort will meet you at one of the designated pick-up points and will accompany you to your on-campus destination either on foot or in a marked vehicle. An Escort Service map of pick-up points, phone locations, and service hours is available from Transportation Services.

3.6.5 UAB Travel Services

UAB is partnered with Adventure Travel to provide UAB employees with a full array of official and leisure travel services. The UAB Travel Team operates from Adventure Travel's corporate headquarters at 4555 Southlake Parkway, Birmingham, Alabama 35244, telephone 444-1133 or 1-800-635-7139; facsimile 444-4808; and e-mail address travelservice@uab.edu. Office hours are 7:30 a.m. to 6:00 p.m.

The on-campus contact person for travel-related issues that do not pertain to scheduling travel can be reached at 934-8229 or by facsimile at 975-4449.

3.6.6 Child Care Services

Monday through Friday, UAB maintains a Child Development Center for children between the ages of six weeks to young fives. Hours of operation are 6:30 a.m. to 6:00 p.m. The UAB Child Development Center is located at 1113 15th Street South. Available spaces are limited. For more information please call the Child Development Center at 975-7373 or visit their World Wide Web site at the following address: <http://www.uab.edu/UABCDC>.

3.6.7 University Federal Credit Union

The University Federal Credit Union, operated for the employees of UAB and other

organizations, is available to serve you. Services of the Credit Union include insured savings, checking accounts, loans, and other financial services. For information about other services, visit the University Federal Credit Union's main office located at 1400 20th Street South or the branch office located at 516 20th Street South.

3.6.8 The RAVE Program (Assistance for Disabled Employees)

The RAVE (Retaining A Valued Employee) Program provides disability and rehabilitation related assistance for any UAB employee, or anyone applying for employment at UAB, whose job may be affected by a physical, mental, or emotional impairment. Through a unique partnership with the Alabama Department of Rehabilitation Services, the RAVE Program is able to assist with vocational counseling and guidance, accommodation requests, on-site assessments, possible transfers to alternate positions, job coaching, disability awareness training, and other services. Applicants with disabilities may receive special assistance with the application process. In addition, the RAVE program assists UAB employees who may be returning from an extended medical leave or On-the-Job Injury/Illness leave. To contact the RAVE Program, call 975-9973.

3.6.9 UAB Employee Career Development Services

UAB Employee Career Development Services is a team of skilled specialists who provide career enrichment services for UAB employees. Benefits and services provided are as follows:

- Individual consulting
- Evaluation of interests, values, leadership styles, and matching career preferences
- Group workshops for employees which assist with developing or managing their careers.

For more information or to schedule an appointment, call 934-5246 or visit the World Wide Web site http://www.hrm.uab.edu/main/career_development/index.html.

3.6.10 Employee Discounts

All employees who have valid identification cards or badges are eligible for certain discounts within UAB. Your employee ID card or badge is required to take advantage of the discounts.

Hospital Discounts

Employees are eligible for Hospital courtesy allowances for both inpatient and outpatient services. Discounts are as follows: (1) with one of the UAB group health insurance coverages, a discount of 25% of the balance not covered by insurance and (2) without coverage, 25% of the balance that would have remained if the individual had been covered by the UAB group health insurance. The 25% discount is not allowed on elective services, including elective plastic surgery. UAB University Hospital waives the deductible for admissions of UAB employees and dependents enrolled in UAB health insurance.

Pharmacy Discounts

Prescriptions are filled at a 10% discount for cash purchases only at The Kirklin Clinic Pharmacy and at the Family Practice Pharmacy in the Community Health Services Building during the day, Monday through Friday.

Bookstore Discounts

A 10% discount is available on supply items only.

Cafeteria Discounts

Discounts are available in dining facilities at the Jefferson Tower Hospital Cafeteria, Spain

Rehabilitation Center Cafeteria, and Callahan Eye Foundation Hospital Cafeteria. (See also Section 3.6.12.)

Athletic Event Discounts

Discounts are available for UAB athletic events (usually season tickets). For information and order forms, contact the Athletic Department Ticket Office.

3.6.11 Spouse/Partner Relocation Network

Often, when a new, relocated employee is hired at UAB, he or she has a spouse or partner accompanying him or her and who also will need to find employment in Birmingham. The Spouse/Partner Relocation Network is a job search service offered to the spouses/partners of new employees relocated to Birmingham. Services include training in job search and resume review by representatives from major Birmingham employers. Personal contacts and networking opportunities with Birmingham employers also can be arranged. For information or for brochures describing the service, call 934-8918.

3.6.12 UAB Cafeterias

UAB provides several food service facilities for use by employees, students, and visitors. Employee discounts are available with an employee identification card/badge at several of these locations as indicated below with an asterisk (*). Hours of operation are subject to change, and special hours of operation may apply to holidays.

Cafeteria	Days Open	Hours of Operation
Hill University Center <i>Dragon's Lair Cafeteria</i>	Monday-Thursday Friday	7:30 a.m. - 6:00 p.m. 7:30 a.m. - 3:00 p.m.
Jefferson Tower* <i>Cafeteria (2nd Floor)</i>	Every Day	6:00 a.m. - 4:30 p.m. 5:00 p.m. - 7:30 p.m. 9:00 p.m. - 1:00 a.m.
Jefferson Tower <i>Canteen (Vending Machines)</i>	Every Day	Open 24 hours a day
Spain Rehabilitation Center* <i>Cafeteria (1st Floor)</i>	Monday-Friday	8:00 a.m. - 9:00 a.m. 11:00 a.m. - 1:30 p.m.
Callahan Eye Foundation Hospital* <i>Cafeteria</i>	Monday-Friday	7:00 a.m. - 9:00 a.m. 11:00 a.m. - 1:30 p.m.

3.7 Employee Service Awards

UAB recognizes all full-time regular employees who complete five years of continuous service and every five years thereafter at an annual service awards program. Hospital employees who are regular full-time, regular part-time, weekend staff nurse, or 3/12-hour-shift employees are recognized each May during National Hospital Week. These awards are given each year to those who completed the required years of service by December 31 of the preceding year.

Other types of employee awards are given throughout the year by UAB and various UAB units.

If such awards include a monetary gift, the award must be paid through Payroll Services, and the appropriate taxes will be withheld.



Business and Auxiliary Services employees celebrate 15 years of dedication to UAB.

Section 4 – Employment Expectations

4.1 Initial Six Months Probationary Period

During the initial six months probationary period of your employment at UAB your performance and adherence to UAB policies and procedures will be monitored closely. During this time, you will be able to learn about your assignment and will be able to determine whether you are satisfied with your position. At the same time, your supervisor will have the opportunity to determine your suitability for the position for which you were employed. If your performance is not satisfactory, your employment may be terminated at any time during the initial six months probationary period.

If, during the initial six months probationary period, your performance is less than satisfactory but your supervisor decides that discharge is not justified, your probationary period may be extended for up to 90 calendar days. During, and at the conclusion of, this extended probationary period, your employment will be re-evaluated and either will be terminated or will be continued based on your performance.

During the initial six months probationary period, vacation and sick time will accrue but may not be taken until after the end of the probationary period. Sick time during the initial six months probationary period must be taken as time off without pay. During the initial six months probationary period, merit wage increases may be given. At the end of the initial six months probationary period, an employee is eligible to receive full benefits and privileges as provided in this handbook, except as noted when probationary period is extended beyond six months.

At any time after you have completed the initial six months probationary period, disciplinary probation may be imposed for definite periods, not to exceed 90 calendar days, in order to allow serious evaluation of your continuation at UAB. Neither extended evaluation nor imposed probation affects an employee's benefits or access to the formal problem resolution procedure. (See also "Imposed Probation" in Section 7.3.) During a period of imposed probation, merit wage increases will not be given and vacation and personal holidays will continue to accrue but will not be granted.

4.2 Personnel Records

The official, permanent personnel file of each employee is maintained by the HR Records Administration Office. Your file may include, but is not limited to, application for employment, references, correspondence, position assignments, transfers, promotions, evaluations, disciplinary actions, records of counseling sessions, wage changes, benefit enrollment, and tax deduction information. Your employee number is used as an identification number on all personnel records. Use of the number is restricted to identifying and retrieving information within UAB. Your Social Security number is not disclosed to persons outside UAB except in relation to employee benefits, tax withholding payments, and governmental investigations or audits.

You may review your official, permanent personnel file with the appropriate Human Resources staff by appointment and by showing an official form of photo identification.

4.3 Notification of Change of Name, Address, etc.

The Human Resources & Finance Administrative System enables all employees to manage some of their personal information through self-service applications. In order to make changes to your name and home address, you must first acquire a Blazer ID and strong password. To create a Blazer ID and password, go to www.uab.edu/blazerid or contact the AskIT Help Desk at 996-

5555. To make changes to your name and home address, go to www.uab.edu/adminsystems, click on Oracle HR and Financial applications (STEPS), and follow the directions.

Other changes such as home telephone number or campus address must be reported by the employee to his or her supervisor/manager or to the human resource officer of his or her department. The human resource officer then submits an ACT document with a reason for the change.

Beneficiary changes and health insurance information must be handled directly with the HR Benefits Office.

4.4 Immigration Form I-9

All new employees are required by the provisions of the Immigration Reform and Control Act of 1986 to complete a government form I-9 before, or immediately following, employment. This form attests to the individual's eligibility for employment in the United States. Certain specific documents proving your eligibility for employment in this country must be presented to the person processing your application/employment papers. This law applies to all individuals, regardless of assignment category, who enter into an employee/employer relationship with UAB.

4.5 Working Hours and Attendance

Except for 3/12-hour-shift and weekend staff nurses, the normal UAB work day consists of 8 hours.

The normal UAB work week for full-time employees is 40 hours, measured from 12:01 a.m. Sunday through midnight the following Saturday. The normal Hospital work week starts at 7:00 a.m. Sunday and ends at 6:59 a.m. the following Sunday. Many departments/units, however, are 24-hours-a-day, 7days-a-week facilities. In departments/units in which work schedules vary, the schedules will be announced or posted as far in advance as possible. You are expected to report to work on time daily and to remain on the job throughout your regular work hours. If you have to be absent from work or have an urgent reason for leaving, you must have prior permission from your supervisor or department/unit head.

4.6 Coffee Breaks and Rest Periods

Work schedule permitting, coffee breaks and rest periods are allowed. You should be aware that taking a break for coffee or a short rest period depends on the department/unit involved and whether or not normal work can be continued while employees take breaks. Employees are not guaranteed a rest period or break. Where rest periods are allowed, they are limited to two, 15-minute breaks per shift. Breaks may not be accumulated to allow employees to leave work early or to extend or replace a lunch period.

4.7 Absenteeism and Tardiness

You are expected to report to work, in uniform if applicable, and to be prepared for duty at the beginning of your work period. (See also Section 4.8.) Being repeatedly late for work, absent from work, or being absent from work without good reason jeopardizes your merit evaluation and presents grounds for discharge.

UAB University Hospital employees are subject to adherence to a different policy concerning absenteeism and tardiness as contained in the *Human Resource Management Personnel Policies and Procedures Manual*. Employees who fail to give advanced written notice of an absence according to departmental guidelines, who fail to properly badge in or out, and/or who are late reporting to their assigned duty stations, either when reporting for work or returning from breaks/lunch, will be dealt with based on accumulation of occurrences. (See the UAB University

Hospital Attendance Policy in Section 12.4.)

4.8 Time Cards, Time Sheets, and Time Records

Some departments/units use the automated Time and Attendance Management System (TAMS), the Electronic Time Sheet System, and others use time sheets to report hours worked. The working day includes a meal break of between 30 minutes and 1 hour. (Meal time depends on department/unit of assignment.) It is the employee's responsibility to record time accurately.

These time records are the basic source of information for payroll purposes; therefore, time worked must be reflected accurately. Falsification of time records is a serious offense, is a violation of UAB policy, and can result in discharge. Time records should be checked by supervisors and department/unit heads for accuracy. No changes, corrections, or notations are to be made on the time records except with the approval and signature of a department/unit head or supervisor. An employee who badges (clocks) another employee in or out or who requests that another employee badge (clock) him or her in or out may be subject to discharge. (See also "Policy Concerning Employee Falsification of UAB Records and Documents" in Section 12.4.)

For UAB employees, check-in or check-out must take place within six minutes of the actual time of starting or leaving work for the employee to be paid for the full shift. For Hospital employees, check-in or check-out must take place within seven minutes. These statements refer to the method of pay computation and do not imply permission to be up to six/seven minutes late or to leave six/seven minutes early.

Hourly rate employees are not permitted to work before or after their scheduled times unless authorized by their department/unit. There can be no deviation from this policy except at the direction of one's supervisor or department/unit head. (See also Section 5.6, "Overtime Hours.")

4.9 Licensure and Registration

When licensure or registration is required before you may perform certain duties, it is your responsibility to acquire and to renew such license or registration. Included in this requirement is a state driver's license for some positions. New employees who will be driving UAB/state vehicles must complete a clearance form and must have it processed by the department/unit and by Risk Management and Insurance. Such employees also must attend the UAB defensive driving course. Failure to renew or maintain a license or registration required for you to perform your job can result in demotion or discharge.

4.10 Uniforms

See Section 7.5 "Personal Appearance, Dress Code, and Uniforms."

4.11 Performance Evaluation

An evaluative counseling session for employees will be held, and performance appraisal forms will be completed, near the end of your initial six months probationary period and annually thereafter for both monthly and bi-weekly paid employees. The purposes of the performance evaluation program are to provide an opportunity for discussion between you and your supervisor of work-related expectations and of goals for improved performance and to create a record concerning your performance which may be considered in promotions, transfers, or other human resource decisions.

Copies of all performance appraisals and records of counseling sessions are sent to Human Resources for filing in your official, permanent personnel file.

4.12 Promotions and Transfers

An employee may move into a new position at UAB by either an internal promotion or interdepartmental transfer.

An internal promotion is a move up of at least one grade level to a position within the employee's department or work unit. An interdepartmental transfer is a move to another department or work unit. The move may be a lateral transfer or a promotion with a transfer. UAB encourages internal promotions and lateral transfers for growth opportunities. An employee must be in their current position for a minimum of one year before applying for a transfer. An exception to the one year waiting period requires the approval of both the employee's supervisor and the Employment Office.

To begin the interdepartmental process an employee must complete and submit an application/resume for a specific position through the UAB online application system. All job vacancies are posted for a minimum of three days.

Applicants who meet posted criteria may be interviewed by an Employment Office Recruiter. After a successful interview with the Recruiter, candidates may be referred to the hiring department for further review and consideration. If the candidate is selected for the position they will be expected to give their department 14 calendar days notice if paid biweekly or 30 calendar days notice if paid monthly or work in a position providing direct patient care.

There can be some personal risk in a transfer. An employee relinquishes all rights to their previous position. There is no guarantee that the employee will be retained or will be placed elsewhere if job performance is unsatisfactory. A interdepartmental transfer or promotion requires an employee to serve a ninety (90) calendar day probationary period which does not affect access to benefit eligibility. An employee should give careful thought to their career goals and to building a record of loyalty and longevity before requesting a transfer. Career counseling by appointment is offered by the Employment Office should an employee feel the need for assistance. Employees receiving any written warnings within the past 12 months, unsatisfactory performance evaluations or who are on disciplinary probation may not be eligible for transfer or promotion.

4.12.1 Service Dates (Date of Initial Appointment at UAB)

Your service date is the date of your initial employment at UAB unless there has been a break in service by termination of employment (See also Section 6.2). For those who change from part-time to full-time and/or regular to temporary status or vice versa, the following policies apply:

1. A person who has a part-time regular appointment will retain his or her service date when changing to full-time regular.
2. A person who is full-time regular who changes to part-time regular will retain his or her service date.
3. A person who is in the weekend staff nurses assignment category who changes to part-time regular or full-time regular will retain his or her service date.
4. A person changing from a full-time temporary appointment to a regular appointment, whether full-time or part-time, will retain his or her service date.
5. A person changing from irregular status to regular status, or vice versa, will receive a new service date.
6. A person changing from a part-time temporary appointment to a regular appointment will receive a new service date.

4.13 Leaves of Absence Without Pay

If you are a regular employee, either full-time or part-time, you may request a leave of absence without pay for justifiable reasons. In addition, full-time regular, part-time regular, interns and/or residents, postdoctoral scholars, 3/12-hour-shift employees, weekend staff nurses, and certain other qualifying employees may take family and medical leave for certain family-related reasons. The maximum allowable times are shown in the chart as follows:

Type of Leave	Maximum Time Allowed
1. Family and Medical Leave	
a. Medical leave health conditions)	16 work weeks (Employee
b. Family-related reasons	12 work weeks
2. Educational leave leading to increased job ability	12 months
3. Personal leave	3 months
4. Military service (Unpaid portion beyond 21 working days per calendar year or beyond additional days if employee is covered by Alabama Code Section 31-12-1, et seq. Contact the Benefits Office for additional information.) (See also Section 4.14.2.)	As required

See the summary chart in this section for specific requirements and benefit coverages related to the various types of leaves of absence.

4.13.1 General Provisions Concerning Leaves of Absence

With some types of leaves of absence, at least one year of continuous active service is required. (See also summary chart.)

Accrued vacation and personal holiday time must be used before beginning the unpaid portion of an Educational Leave or a Personal Leave. Accrued sick time, in addition to accrued vacation and personal holiday time, must be used before beginning the unpaid portion of a medical leave. Use of accrued sick time is limited to eligible medical conditions of the employee as covered by medical leave of absence and for the care of a spouse, parent, or child, if the person being cared for resides in the same household as the employee. Accrued time must be used at the beginning of a leave of absence before entering a “non-paid status.” Use of accrued time will not extend the length of time away from the job beyond the usual maximum for each type of leave of absence.

A leave of absence taken during one’s initial six months probationary period or during an imposed probation will extend the probationary period by the length of the leave.

Leaves of Absence Without Pay

Applies to the following assignment categories: Full-time Regular (01), Part-time Regular (03), Three Twelve-hour-shift (12), and others under certain conditions.

Type of Leave of Absence	Maximum Time Allowed	One Year Continuous Service Required	Requires Prior Approval of Supervisor/Manager/Hospital Rep	Requires Written Notice 30 Calendar Days Prior to Begin Date	Requires Written Statement from Third Party	Health, Life, and Accidental Death and Dismemberment Insurance Benefits	Vacation, Holiday, Sick Time Accrual
Family and Medical Leave¹ Medical Leave (Employee health conditions)	16 work weeks	No	No	No; but should be provided when possible	Yes; certification from health-care provider must specify length of time you will be unable to perform job	Paid jointly by employee and UAB up to 90 calendar days per year with 12 months of prior service ²	No ^{3,4}
Family-related Leave	12 work weeks	Yes	No; unless taken intermittently	Yes, when possible	Yes	Paid jointly by employee and UAB up to 90 calendar days per year with 12 months of prior service ²	No ^{3,4}
Family-related Leave for Military Caregiver	26 work weeks in a single 12-month period	Yes	No; unless taken intermittently	Yes, when possible	Yes	Paid jointly by employee and UAB up to 90 calendar days per year with 12 months of prior service ²	No ^{3,4}
Family-related Leave for Military Exigency National Guard and Reserves	12 work weeks	Yes	No; unless taken intermittently	Yes, when possible	Yes	Paid jointly by employee and UAB up to 90 calendar days per year with 12 months of prior service ²	No ^{3,4}
Educational Leave¹ (Leading to increased job ability)	12 months	Yes	Yes	Yes	No	Paid by Employee ²	No ³
Personal Leave¹ (Including leave for family and medical reasons beyond Family and Medical Leave limits)	3 months	Yes	Yes	Yes	No	Paid by Employee ²	No ^{3,4}
Military Service-Unpaid Portion (Beyond 21 working days per calendar year or beyond additional days if covered by Alabama Code Section 31-12-1, et seq.) ² (See also Section 4.14.2.)	As Required, but only 21 days per year are paid by UAB unless UAB pays a portion of additional days covered by Alabama Code Section 31-12-1, et seq.) ²	No	No	No, if it is for emergency military leave. As much prior notice as possible should be given.	Yes; orders calling you to active duty	Paid by Employee except that health insurance benefit continues unchanged if employee elects to maintain coverage pursuant to Alabama Code Section 31-12-1, et seq.) ²	No ³

1 Family and Medical Leave of Absence (including maternity) is not automatic. Medical-related leaves will be approved only for the length of time your health-care provider certifies in writing that you are unable to perform the duties of your job or that the family member's health condition exists. Accrued sick time, vacation, and personal holiday time must be used before beginning the unpaid portion of a medical leave for a health condition of the employee. Use of accrued sick time is limited to eligible medical conditions of the employee and for the care of a spouse, parent, or child if the person being cared for resides in the same household as the employee. An employee should be placed on medical leave if the time away from the job is documented as a serious health condition and extends for two or more consecutive work weeks. Accrued vacation and personal holiday time must be used before beginning the unpaid portion of an Educational Leave or a Personal Leave. During a family and medical leave of absence that is being taken for family-related reasons, accrued vacation, and personal holiday time must be used at the beginning of the leave of absence before entering a "non-paid status." Sick time may be used to care for qualified members with a documented serious health condition who reside in the same household as the employee. A maximum of 3 days within a calendar year may also be used to care for children, a spouse or parents who do not reside in the same household as the employee.

2 Contact the Benefits Office regarding options and specific provisions.

3 Even though vacation, personal holidays, and sick time are not accrued during the unpaid portion of the leave, unused earned credit is carried forward.

4 You must be back at work for the length of time you were on leave before being eligible to use paid vacation or personal holiday time or before seeking an interdepartmental transfer/promotion.

A department granting a leave of absence agrees to reinstate the employee on the date accepted as the termination of leave into a position comparable in salary and requirements to that previously held. However, employees taking leave should realize that they have no greater right to continued employment than do other employees within their departments who remain on active employment. The employee must notify his or her department/unit head at least thirty calendar days in advance of the expected date of return in order to arrange for reinstatement. Overstaying a leave of absence without proper notification and approval or seeking and accepting other employment without previous authorization constitute an automatic resignation and the loss of the right to reinstatement. Accrued benefits will be handled as in the case of any other discharge.

After returning to work, the employee should contact the HR Benefits Office in order to make sure that benefits are reinstated properly.

Except for educational or military leave, the employee must be back at work for the length of time he or she was on leave before being eligible to use paid vacation or personal holiday time or before seeking an interdepartmental transfer/promotion. Exceptions to this provision must be approved by the Chief Human Resources Officer.

This section relates to the unpaid portion (beyond 21 calendar days per year) of a military leave. See Section 4.14.2 for additional information concerning military leaves and military duty covered by Alabama Code Section 31-12-1, et seq.

4.13.2 Family and Medical Leave of Absence

Eligible employees (see Leaves of Absence chart) may take up to 16 consecutive work weeks of Family and Medical Leave of Absence for a qualifying serious health condition of the employee or 12 work weeks per year for the birth, adoption, or foster care placement of a child or to care for a spouse, sponsored adult dependent*, parent, child or child of a sponsored adult dependent with a qualifying health condition. An employee's own qualifying health condition may also be eligible when intermittent leave is required, as stipulated in the Family and Medical Leave Act. Any family and medical leave of absence time used (both for the employee's health condition and for family-related reasons) counts toward the total available for use by the employee for family-related reasons during that twelve-month period.

This policy does not replace the sick time policy. An employee should be placed on medical leave if the time away from the job is documented as a serious health condition and extends for two or more consecutive work weeks.

If an employee and an employee's spouse both work at UAB, in cases of childbirth; adoption; foster care placement; or care of son, daughter, or spouse, the total amount of annual family and medical leave of absence available is 12 work weeks for each employee.

The full text of this policy is available at www.uab.edu/policies and specific questions should be directed to the UAB Leave of Absence Coordinator at 205-934-6967 or HR Records at 205-934-4408.

***Sponsored Adult Dependent** – a sponsored adult dependent is not a relative, is at least 19 years of age, shares a primary residence and has lived with you not as a renter, boarder, tenant or employee for at least twelve months.

4.14 Paid Absences

4.14.1 Bereavement Absences

Full-time regular and 3/12-hour-shift employees may be given up to three days' leave with pay

based on 8-hour work day increments for bereavement for the members of their immediate families: husband, wife, sponsored adult dependent*, children (including stepchildren), child(ren) of sponsored adult dependent, brothers, sisters (including stepbrother and stepsister), brothers-in-law, sisters-in-law, parents (including stepparents), grandparents, grandchildren, father-in-law, mother-in-law, sons-in-law, or daughters-in-law. The three days' leave is per occurrence, but the full three days are granted only if needed.

Bereavement absence will not be charged to accrued sick time or vacation time. Part-time regular employees will receive bereavement leave days with pay prorated based on the percentage of normally scheduled work hours within a 40-hour work week. To be eligible for bereavement leave, you should notify your supervisor or department/unit head immediately. Upon return to work, an official record, obituary notice, or other form of documentation to substantiate the request for paid leave may be required.

***Sponsored Adult Dependent** – a sponsored adult dependent is not a relative, is at least 19 years of age, shares a primary residence and has lived with you not as a renter, boarder, tenant or employee for at least twelve months.

4.14.2 Other Paid Absences

UAB provides payment to employees for the following types of absences, but payment for the time off will be limited to the time that normally would have been worked at UAB:

Voting in Elections

Time off with pay to vote in primary and general elections is not normally necessary. Voting hours are such that you may vote either before or after work. If for some reason that is not possible, you may ask your supervisor for permission to be up to two hours late in arriving at work or to leave up to two hours early. Your supervisor will determine whether this request will be approved based on the particular situation.

Jury Duty

UAB will excuse all employees from regularly scheduled work for the day or days they are required to serve on jury duty. This excuse is not only for 9:00 a.m. to 5:00 p.m. but also for the entire 24 hours of each day of service (12:01 a.m. to Midnight).

The juror is required to return to work only after he or she is finally discharged for all service or is released from service for a particular day by the court. In order to receive pay, proper documentation of time actually served must be provided.

You should notify your supervisor of impending jury duty as soon as you receive notice to serve. A copy of the notice must be provided.

Witness in Court

If you are subpoenaed to serve as a witness in court and are called to the court during your regular shift, you will be paid for that time you are actively serving as a witness in court. You must supply a copy of the subpoena to your department. This does not apply if you are the plaintiff or defendant in the case. In such instances, UAB will not pay you for time in court or as a witness.

Active Military Duty

Employees who are ordered to active duty will receive full pay for a maximum of 21 (8 hour) days per calendar year. This 21 working days per calendar year includes weekend drills as well as summer training and any other type of military duty. Employees will be paid only for the time

for which they would ordinarily be scheduled to work for UAB. In no case will employees be paid for a period in excess of the time for which they are ordered to military duty. A copy of the orders or other satisfactory documentation of attendance must be provided to one's supervisor or department/unit head as soon as received.

Except as noted below concerning additional military service covered by Alabama Code Section 3112-1, et seq., after the first 21 days of military leave per calendar year, any additional military leave will be without pay or may be charged to vacation or personal holiday time.

In the case of a major military call-up, the UAB President may alter these regulations (such as the "calendar" year rule), but any changes must apply to all affected employees, not just to individual cases. See also Section 4.13 for unpaid portion (beyond 21 days or beyond additional days if covered by Alabama Code Section 31-12-1, et seq.).

Alabama law, Alabama Code Section 31-12-1, et seq. (the Act), extends military protections and rights under the Soldiers' and Sailors' Civil Relief Act and the Uniformed Services Employment and Reemployment Rights Act to active members of the Alabama National Guard and other military reserve forces called to duty in time of war, armed conflict, or emergencies, proclaimed by the Governor or the President of the United States, and called or ordered to state active duty for a period of 30 consecutive days or more or to federally funded duty, other than training. This law does not apply to normal National Guard and reserve weekend drills, annual training, and required schools.

Retroactive to September 11, 2001, eligible employees, as defined in the Act, are eligible for the difference in pay between lower active military duty pay and a higher public salary for the duration of the active military service. This provision applies only to employees called into active service during the war on terrorism, which commenced on September 11, 2001.

Any public employee who was required to use annual or sick time as a result of being called to active service during the war on terrorism shall have his or her time restored. Also, health insurance benefits may be continued at the election of the employee called to active military service. Contact HR Benefits concerning continuation of health insurance benefits.

Any employee serving in the active military service during the war on terrorism, which commenced on September 11, 2001, shall continue to be considered an active participant in the Retirement Systems of Alabama throughout such service.

4.15 External Employment and External Consulting

Your job at UAB is expected to be your primary one if you are a full-time regular employee (including 3/12-hour-shift employees). However, external employment is allowed if it does not interfere with your UAB function and performance of your UAB responsibilities, is limited in time, is compatible with the interests of UAB as a public academic institution, and does not require significant use of UAB resources or facilities. Activities that use significant UAB time or resources (for example, laboratories, studios, equipment, supplies, databases, students, or staff paid by UAB) should be handled as grants or contracts to UAB. External employment should not bring discredit to UAB, nor should you use your association with UAB to acquire the position. You should be certain that no conflict of interest exists or that any conflict of interest is reported and resolved or managed according to the stipulations of the UAB Conflicts of Interest Policy. Before accepting off-time employment, it is advisable to discuss the matter with your supervisor. Management reserves the right to reschedule work assignments to meet the demands of UAB employment if necessary.

External consulting should be done on your own time, with the prior written approval of your manager, and in accordance with the stipulations of the "Consulting" section of the *UAB Faculty*

Handbook and Policies. If it is conducted during your regular UAB work schedule, time away from the job must be charged either to vacation or to personal holiday time or must be taken without pay.

See also Section 4.17, Section 4.18, and the *UAB Faculty Handbook and Policies.*

4.16 Internal Consulting

Consulting within UAB for special fees must be approved on a project-by-project basis by all department/unit heads involved.

The following conditions must exist for internal consulting to be approved:

1. The employee has specialized training or knowledge essential to the project.
2. The performance of these duties is above and beyond the commitments of the employee's position.

Consulting should not interfere with the employee's regular responsibilities. In order for pay for consulting services to be approved, the consulting must be done at times other than the employee's regularly scheduled work hours, or, if this is not possible, the employee must schedule vacation, personal holiday time, or time off without pay. (See also Section 4.18.) If a non-exempt employee is engaged to perform services outside his or her regularly assigned department, all hours worked must be reported on the employee's time sheet. Hours worked in excess of forty during the work week will be paid at the appropriate overtime rate.

Fees paid to employees for consulting/personal services are considered income for the purpose of tax withholding and are reported according to the stipulations of the "Personal Services Approval and Payment Policy—UAB Employee." Fees for personal services paid to individuals who are not current UAB employees but who do not meet the Internal Revenue Service criteria as Independent Contractors will be subject to tax withholding.

See also the *UAB Faculty Handbook and Policies.*

4.17 Conflicts of Interest

Employees are prohibited from using their positions to influence UAB's business, academic, administrative, research, or other decisions in a manner which could lead to personal financial gain or advantage for that employee or for that employee's family or business.

UAB policy and federal regulations apply to the management of conflicts of interest involving extramural funding. The UAB Conflict of Interest Review Board is responsible for policies and procedures relating to such conflicts of interest involving extramural funding. Those policies and procedures are included on the Conflict of Interest Review Board World Wide Web site which can be accessed from the UAB Home page through the "UAB Faculty and Staff Resources" link or directly at the following World Wide Web address: <http://main.uab.edu/show.asp?durki=30255>. The Conflict of Interest Review Board site contains all the information, forms, policies, and procedures needed for complying with UAB policy and federal regulations concerning conflicts of interest involving extramural funding.

The full text of this policy and the forms for disclosing conflicts of interest are available from the UAB Conflict of Interest Review Board or its Web site.

4.18 Conflicts of Commitment

Employees are prohibited from assuming obligations external to UAB or elsewhere within UAB which interfere with, or prevent them from adequately discharging, their primary obligations and commitments to UAB. Therefore, employees should not engage in activities which create

conflicts of commitment.

When such conflicts arise, disclosure and resolution of conflicts of commitment must be made in writing through appropriate administrative channels. Specifics of the procedures for doing this may be obtained from one's supervisor, department/unit head, or other appropriate administrative official.

The full text of UAB's Conflicts of Commitment policy is available from the Office of Human Resources.

4.19 Political Activities of UAB Employees

Any UAB employee may support any political candidate, entity, campaign, program, or action so long as the employee is in compliance with Board of Trustees Rule 304 which states, in part, that "no University employee shall use or permit to be used University resources, time, or property for or on behalf of any political candidate, campaign, or organization or for any contribution or solicitation of any contribution to a political campaign or organization; nor shall any University employee lend or appear to lend the support of the University in connection with any contribution or solicitation of any contribution to a political campaign or organization." No employee shall be expected to engage in political activity except on a voluntary basis.

The seeking or holding of elected public office while a UAB employee also is governed by Board Rule 304 and requires approval of the Chancellor. Any employee who plans to seek election or appointment to a public office must make such intentions known to the President through appropriate channels. If, in the opinion of the President, the employee is not in compliance with the applicable Board of Trustees rule, the President will so advise the Chancellor.

4.20 Nepotism

No family member may interpret policy and procedures or make any work-related decisions regarding hiring, promotion, salary compensation level, job assignment, performance evaluation, discipline, termination, or any other such issue affecting another member of his/her immediate family. Likewise, no UAB employee may interpret policy and procedures or make any work-related decisions regarding hiring, promotion, salary compensation level, job assignment, performance evaluation, discipline, termination, or any other such issue affecting another UAB employee who is living in the same household.

Immediate family includes spouse, sponsored adult dependent*, son or daughter (including stepchildren), child(ren) of sponsored adult dependent, grandchild, son-in-law, daughter-in-law, parent (including stepparent), grandparent, father-in-law, mother-in-law, brother or sister (including stepbrother or stepsister), brother-in-law, or sister-in-law.

Any exceptions to this policy must be submitted to the Chief Human Resources Officer. Future problems related to an approved exception should be referred to the Chief Human Resources Officer.

According to Board of Trustees Rule 106, additional approvals at the campus and/or system levels are required before hiring members of the immediate families of the President, the Chancellor, and members of the Board of Trustees. (See Board Rule 106 for the specifics of this regulation.)

***Sponsored Adult Dependent** – a sponsored adult dependent is not a relative, is at least 19 years of age, shares a primary residence and has lived with you not as a renter, boarder, tenant or employee for at least twelve months.



Dr. Samuel Richardson Hill served as UAB's second president from 1977 to 1987.

Section 5 – Compensation Information

5.1 Pay Periods and Receipt of Pay

If you are a non-exempt (bi-weekly paid) employee, you will be paid every other Friday; if you are an exempt (monthly paid) employee, you will be paid on the last working day of the month. The bi-weekly pay period for non-Hospital employees ends every other Saturday at midnight, and for most Hospital employees it ends every other Sunday morning at 6:59 a.m.

As a condition of employment at UAB, appointed employees and trainees are required to participate in payroll direct deposit. This means that your pay will be deposited directly into your account at a participating banking institution each payday. If you do not provide information about an established bank account, UAB will establish a debit account at an approved banking institution for the purpose of direct deposit.

With each paycheck or direct deposit, you will receive a statement showing gross pay, itemized deductions, and net pay. If you are bi-weekly paid, the statement also will show the number of hours for which you are being paid, including sick time, vacation, and holiday hours. Vacation, sick time, and personal holiday to-date accruals also appear on each pay statement for bi-weekly paid employees. Direct deposit statements for all employees are available Online via UAB Self Service Applications. For bi-weekly employees, statements are also mailed to the employee's home address of record via the United States Postal Service. Direct deposit account setup and management features are available via UAB Self Service Applications.

Payments that cannot be deposited are mailed to the address of record. Lost or stolen checks should be reported immediately to the Payroll Services Department. If you suspect theft on UAB premises, the UAB Police also should be notified.

The processing calendar for regular and extra payrolls is provided on the Payroll Services Department World Wide Website under the link Payroll Calendars and Important Dates.

Questions regarding time, hours worked, or pay should be discussed with your supervisor or, if necessary, with the Payroll Services Department. Also, please see the Payroll Services Department World Wide Web site for information about how to correctly report hours worked.

5.2 Shift Differential

To compensate bi-weekly paid employees for the inconvenience of working during evening and night hours, a shift differential will be paid. The job classifications eligible for shift differential and the amount of the differential are determined by the Compensation Office in concert with the appropriate administrative official. Shifts are defined as follows:

UAB (Non-Hospital)

The evening shift is any shift that regularly starts on, or after, 2:00 p.m. but before 9:00 p.m.

The night shift is any shift that regularly starts on, or after, 9:00 p.m. but before 4:30 a.m.

Employees eligible for shift differential may be required to work hours into the evening shift following hours worked on the day shift. In that event, employees must work more than four hours on the evening shift to receive shift differential pay for the hours worked on the evening

shift.

Some departments/units may have variations to this policy. Check with your manager or supervisor concerning current practice in your department or unit.

Hospital

Shift differential is paid to affected Hospital employees for all hours worked between 2:30 p.m. and 8:00 a.m. the following day. The following guidelines are used in computing shift differential payments:

Evening differential is paid for hours worked between 2:30 p.m. and 10:30 p.m. To be eligible to receive evening differential, an employee must work until 7:00 p.m.

Night differential is paid for hours worked between 10:30 p.m. and 8:00 a.m. To be eligible for night differential, an employee must begin work before 3:00 a.m.

5.3 “Standby” Pay

The term “standby” is defined as requiring employees to remain on the premises during a period other than their usual working hours. The employee must be immediately available if needed in an emergency. Bi-weekly paid employees on standby will be paid their regular rate of pay or one-and-one-half times the regular rate if standby combined with regular hours worked exceeds forty hours in a work week. Requirements for standby are monitored closely and are used only when absolutely necessary.

During emergency periods, employees may be “relieved from duty” for specified periods of time. Employees “relieved from duty” will not be paid for that time.

The decision to place an employee on “standby” or “relieved from duty” status is made and approved by the employee’s supervisor and department/unit head and must be clearly communicated to the employee.

5.4 24 Hour Duty

The term “24 hour duty” is defined as requiring an employee to be on duty for 24 hours or more. The decision to place an employee on “24 hour duty” is made by the employee’s supervisor and department/unit head and requires approval of a Hospital Associate Executive Director, an assistant/associate vice president, or an official in an equivalent position.

While the employee is on duty, normal meal breaks and sleeping time of not more than 8 hours will be excluded from hours worked, and the employee must be on the premises the majority of the time. A best effort will be made to provide the employee with an uninterrupted sleep time of at least 5 hours. If the sleep time is interrupted by a call back to work, the interruption must be counted as hours worked. If the sleep time is interrupted to a point that the employee cannot get at least 5 hours of sleep, the entire period must be counted as hours worked. Adequate sleeping facilities will be provided for all employees placed on “24 hour duty.” All hours worked for employees on “24 hour duty” will be reported as regular hours or overtime for hours greater than 40 in the work week.

5.5 On Call

An employee who is On Call is required to be available off premises for call-in in case of an

emergency. The employee must be available for contact by telephone or beeper within the department-specified response time.

Bi-weekly paid employees who are placed on call receive a set rate of on-call pay as outlined in the annual Compensation Guidelines. In addition, the employee will be paid for each call-in at the regular rate of pay for actual time worked or two hours, whichever is greatest. Bi-weekly paid employees who have worked in excess of forty hours in a work week will be paid for call-in at 1 1/2 times their regular rate of pay.

An employee may not receive on-call pay at the same time he or she is receiving sick pay since it is presumed that the employee would be unable to report to work when ill. However, an employee may remain on call while on paid leave for vacation, personal holiday, or designated holiday. If an employee is required to be on call on a designated holiday and is eligible for holiday pay, the total hours payable may exceed 24. In that case, an employee could be paid for a total of 32 hours for that day (8 hours holiday and a maximum of 24 hours on call). This example assumes the employee is full time, is eligible for holiday pay, and was required to be on call the entire 24-hour designated holiday period but was not required to report to work.

Once an employee reports to work, on-call pay stops. An employee may not receive payment for working and on-call pay for the same hours. The total hours paid plus the on-call hours may not exceed 24 hours in a given day except in the case of a designated holiday or in the event an employee is required to remain on call while on paid leave for vacation or personal holiday.

5.6 Overtime Hours

Employees covered by the Fair Labor Standards Act (FLSA) are referred to as non-exempt, and those not subject to the Act's overtime provisions are referred to as exempt employees meaning that they are exempt from the Act's protection. The exemption status as set forth by FLSA is dependent on job duties, responsibilities, educational requirements, and salary received by the employee. The HR Compensation Office will assist in determining the correct status of employees.

Under the Fair Labor Standards Act, overtime is defined as time worked by a non-exempt, hourly paid employee over 40 hours in a work week of seven consecutive days (168 hours). UAB pays non-exempt, hourly paid employees at the appropriate overtime rate for all hours worked in excess of 40 hours during a work week.

For purposes of the FLSA, UAB is considered one employer regardless of where on campus an employee works. Consequently, if a non-exempt (bi-weekly paid) employee works in his or her regularly assigned department/unit for forty hours during a work week and then, during that same work week, provides services to another UAB department/unit, the hours in the second department/unit are considered for pay calculation purposes as overtime hours. Neither the employer nor the employee may waive their rights and obligations under the Fair Labor Standards Act or agree to pay less than the required overtime rate.

UAB departments/units may choose to allow non-exempt, hourly paid employees to accrue and use compensatory time off (CompTime) in lieu of pay for overtime worked. Such employees, with the approval of the appropriate supervisor and/or manager, may work in excess of forty hours in the first work week of a pay period and voluntarily may choose time off at time and one-half during the second week of the same pay period. By so doing, employees enjoy additional time off while their total pay for the pay period remains the same.

Departments/units may choose not to offer CompTime as an option at all or may choose when to offer it and under what circumstances. The business needs of the department/unit will dictate the use of CompTime. However, if the option is granted, the agreement must be totally voluntary on the part of the employee(s) affected. At any time, an employee may revoke an agreement to accrue CompTime in lieu of pay for overtime worked. Employees always may choose overtime pay instead of CompTime.

Non-exempt employees may not work overtime or take CompTime without the prior approval of the appropriate supervisor and/or manager. An hourly paid employee may not start working before the beginning of the scheduled shift and may not work beyond the ending of the scheduled shift without management's approval. Also, an hourly paid employee should not be allowed to continue to work at his/her work station while having lunch.

Certain job positions were reclassified from exempt to non-exempt, and, for purposes of CompTime, the incumbent employees in those positions are referred to as "grandfathered" employees. For grand-fathered employees, the applicable pay period for CompTime use is monthly. All CompTime hours accumulated by grandfathered employees should be taken within the monthly pay period in which the hours were accrued. If not taken then, the hours must be reported immediately following the month in which the hours were worked.

It is important for supervisors and/or managers to monitor overtime and CompTime violations. If employees fail to adhere to the overtime or CompTime guidelines, disciplinary action should be enforced to rectify the problem.

These overtime and CompTime provisions do not apply to exempt (monthly paid) employees.

If you have questions or need further clarification of the Fair Labor Standards Act or of UAB's Comp-Time guidelines, please contact the HR Compensation Office.

5.7 Payroll Deductions

Mandatory payroll deductions include the following:

1. Federal Income Tax
2. Social Security (FICA)
3. State Teachers' Retirement Program (if required, based on employment status)
4. Health insurance (if through a UAB plan)
5. State income tax
6. County occupational tax
7. City occupational tax
8. Court-ordered garnishments and child support orders
9. Federal and state income tax levies

Voluntary deductions include the following:

1. Benevolent Fund deductions
2. University Federal Credit Union savings deposits and loan repayments (by application to University Federal Credit Union)
3. Certain approved commercial insurance premiums
4. UAB-sponsored voluntary life and accident insurance premiums
5. Parking fees
6. UAB Athletic event tickets

7. UAB Alumni dues
8. Campus Recreation Center membership dues

For a more complete list of current payroll deductions, see the Payroll Services Department World Wide Web site.

5.8 Social Security Withholding

UAB and the employee contribute equally to the cost of Social Security benefits. The deduction from your paycheck and the amount contributed by UAB are deposited to your credit with the federal government according to federal regulations.

Employers are required to deduct, and report, Social Security (FICA) in two categories: (1) Old-Age, Survivors, and Disability Insurance (OASDI) and (2) Medicare.

5.9 Wage and Salary Policy

All UAB staff positions are assigned a specific job classification according to the duties and responsibilities performed by the employee as outlined in the Position Description Questionnaire for the job. Salary pay grades are established for each job classification. The salary pay grade defines a minimum and maximum salary the employee may be paid while in that classification.

Salary pay grades are based on labor market conditions and may or may not be adjusted from fiscal year to fiscal year as conditions warrant. If an adjustment to salary pay grades becomes necessary, the change typically is based on the fiscal year of October 1 to September 30.

New UAB employees are hired at a salary level commensurate with their job-relevant education, experience, training, and/or licensure as compared to the minimum qualifications of the job classification they are assigned. The minimum qualifications for each job are stated in the official job description for the classification. Official job descriptions are maintained in HR Compensation.

5.10 Salary Adjustments

At the beginning of each new fiscal year (October 1), non-hospital employees who have completed the initial six months probationary period and who are not on an extended or imposed probation may be considered for a salary adjustment. If your performance evaluation indicates that your overall job performance is satisfactory, you may be recommended for a salary adjustment in accordance with the budget implementation guidelines for the new fiscal year. These guidelines are based on the availability of funds and institutional guidelines regarding salary adjustments for any given fiscal year. In UAB Hospital, employees who have met the required guidelines to receive an increase may be eligible for consideration under the salary adjustment and merit increase program.

Section 6 – Terminating Employment With UAB

6.1 Termination of Employment

Resignation

If, at any time, you decide to resign from your employment at UAB, you will be expected to give at least 14 calendar days' written notice if you are a bi-weekly paid employee and 30 calendar days' written notice if you are in a professional, administrative, supervisory, or patient-care position. Patient-care personnel, although paid bi-weekly, are expected to give 30 calendar days' notice. Failure to provide appropriate written notice may result in your being considered ineligible for future employment at UAB. If UAB must terminate your employment for reasons other than for cause, you will be given the same amount of notice that is expected from you.

When you resign, you will be paid by UAB through the last day worked. If you have completed the initial six months probationary period, you will be eligible for payment of all vacation accrued but not taken at the time of resignation, up to the maximum accrual allowed. Vacation time and personal holidays may not be taken during the last pay period after termination notice has been given. Sick time may be granted after termination notice has been given; however, the department reserves the right to require a physician's certification before authorizing payment. Unused sick time and personal holidays will not be paid as terminal leave.

Prior to leaving UAB, an employee should schedule an exit interview with the HR Relations Office, Monday through Friday, between 7:00 a.m. and 4:30 p.m. After your exit interview, you will be referred to the Benefits Office to arrange for the conversion or transfer of benefits.

On the last day of employment or when designated by the department, employees should return all necessary items to the respective places (that is, keys, identification badges, pagers, uniforms, and any other UAB property or equipment). Employees will be reminded of this during the exit interview; however, expectations of where and when items are to be returned should be communicated by the department.

Immediate Discharge

UAB in its own best interests necessarily reserves the right to determine the duration of employment of any individual and hence to discharge an employee with or without cause. In instances of discharge not related to misconduct, an employee will be given appropriate notice or pay in lieu of notice. Unused personal holidays may not be taken after termination notice has been given. Vacation time and personal holidays may not be taken during the last pay period after termination notice. Unused sick time and personal holidays will not be paid as terminal leave.

UAB may initiate prosecution of employees or former employees when discharge is a result of a violation of law.

Termination or discharge of tenured faculty members is covered in the *UAB Faculty Handbook and Policies*.

6.2 Re-employment and Its Effect on Service Dates and Benefits

Former employees whose separations were under satisfactory circumstances may be re-employed in the same type of work or in another job for which they are qualified. Special conditions relate to the re-employment of UAB retirees and are covered in a separate policy. Upon re-employment, an individual will serve an initial six months probationary period and will receive

benefits and privileges of employment on the same basis as a new employee. Sick time, vacation, personal holiday, eligibility for merit increases, and all other benefits or privileges of employment based on length of service will accrue from the most recent service date. The original service date and sick time leave may be reinstated by request of the employing department if an employee returns to work within 60 calendar days following voluntary termination and has not received the Teachers' Retirement refund.

6.3 Retirement Programs

Alabama State Law requires that certain categories of UAB employees participate in the Teachers' Retirement System of Alabama. (See *Benefit Eligibility* chart.) A member of Teachers' Retirement is eligible for service retirement upon reaching age 60 with 10 years or more of creditable service. Also, a member may retire at any age if the member has at least 25 years of creditable service. Vesting occurs when a member has completed 10 years of creditable service.

Participants in Teachers' Retirement contribute 5 percent of earnable compensation, subject to limitations established by the federal government. Employee contributions are tax deferred for federal income tax purposes. Federal taxes will not be paid on this 5 percent of your income until you terminate and withdraw your contribution or until you retire. UAB's matching contributions are actuarially determined.

Accrued unused sick time may be converted into creditable service. For example, a member can add six months to his/her creditable service if the member has 83 days of unused sick time. A member who has 225 days unused sick time will add 15 months creditable service. A sick time conversion chart is included in Teachers' Retirement brochures.

Complete details of the Teachers' Retirement program are contained in a booklet published by the Teachers' Retirement System of Alabama and available from the HR Benefits Office. If you terminate from UAB before qualifying for retirement benefits, you may withdraw your contributions by completing the necessary application for return of accumulated contributions.

Any employee contemplating retirement should contact the HR Benefits Office at least 90 calendar days before the anticipated retirement date so that necessary information can be compiled and prepared to avoid a delay in retirement compensation.

Persons who have retired from UAB may be re-employed only under certain conditions. (See the "Reemployment of UAB Retirees" policy for certain UAB stipulations.) Retirees who are receiving retirement benefits from the Teachers' Retirement System of Alabama may return to work at UAB only if they work on a part-time basis in the Irregular employment category and if their compensation during a calendar year does not exceed the limitations imposed by the Social Security Administration for a Social Security recipient 67 years of age. An additional condition is that the person may not replace a full-time employee. Contact the HR Benefits Office for additional rules and regulations concerning post-retirement employment restrictions.

6.4 Retirement Due to Disability

See Section 3.1.5.

6.5 Re-employment of UAB Retirees

See Sections 6.3 and 12.3.13.

6.6 Severance Pay and Benefits

See Section 12.3.14.

Section 7 – Employment Regulations

7.1 Management Rights

UAB always has sought the opinions of its employees about working conditions, ways and means of getting jobs done better, and other matters of employee interest. From time to time, however, UAB, like any other organization, has to make decisions without prior consultation with its employees. UAB must, therefore, maintain exclusive discretion to exercise the customary functions of management including, but not limited to, the discretion to:

- Select, hire, promote, suspend, dismiss, assign, supervise, and discipline employees
- Determine the size, organizational structure, and composition of the work force
- Establish, change, and/or abolish policies, procedures, rules, and regulations
- Determine and modify job descriptions and job classifications
- Assign duties and work hours to employees in accordance with the needs and requirements determined by UAB. (See also “Immediate Discharge” in Section 6.1.)

7.2 Supervisor/Manager Responsibility

If you have questions or problems concerning your work at UAB, you should discuss these first with your supervisor or manager. It is the responsibility of the supervisor or manager to:

- Resolve the problem
- Contact the appropriate department/unit for resolution/advice
- Take the matter to the next highest level of responsibility, when appropriate
- Distribute to, communicate with, and interpret for, employees the departmental and UAB policy decisions and procedural matters.

7.3 Progressive Discipline

Regulations and procedures are necessary for the orderly progress of every organization. UAB’s policies and regulations are intended to facilitate productivity and satisfactory working relationships based on trust, self-discipline, and respect for the rights of others. Depending on the gravity of the situation and whenever possible and feasible, UAB will work with an employee through a “progressive disciplinary” process which means that the least severe level of discipline applicable to the situation will be explored before invoking more harsh levels of discipline. The goal of progressive discipline is to retain employees and to improve an employee’s performance while at the same time documenting the efforts of the employer in the event of discharge. The following are approved progressive disciplinary steps:

Oral Warning

The first step in most disciplinary actions is oral warning. This may be given by an employee’s supervisor for:

- Substandard performance
- Poor attendance
- Other types of minor offenses or misconduct that occur for the first time.

The supervisor should keep notes of oral warnings in the department/unit file. These notes are

official UAB documents and may become part of the employee's official, permanent personnel file based on need.

Written Warning

A written warning may be given by an employee's supervisor for:

- Substandard performance
- Poor attendance
- Misconduct
- Other types of more serious offenses that occur after the first oral warning.

A written warning may be given instead of an oral warning for first-time misconduct or for a major offense.

All written warnings should be addressed to the employee in memorandum format. If there has been a prior oral warning given to the employee, it should be referenced in the first written warning. The supervisor should ask the employee to sign the written warning as proof of having received it. A signed copy of all written warnings should be sent to HR Relations to be placed in the employee's official, permanent personnel file and in the disciplinary log. An employee's signature does not imply agreement. If the employee refuses to sign the written warning, that should be noted, and the unsigned copy should be sent to HR Relations.

An employee who receives three written warnings during an 18-month period (whether or not the first two written warnings resulted in probation and/or suspension) may be terminated without proceeding through the remaining steps in the disciplinary process.

Imposed Probation

Depending on the gravity of the situation, if after an oral warning and a written warning an employee continues to demonstrate substandard performance, poor attendance, misconduct, and other types of offenses, the employee may be placed on probation by the immediate supervisor with the approval of the department/unit head for a period not to exceed 90 calendar days. This action may occur after prior written warning or immediately based on the severity of the misconduct or infraction.

The employee will be given a written memorandum indicating the beginning and ending dates of the probation. A copy of this document should be sent by the department/unit to HR Relations to be placed in the employee's official, permanent personnel file. If an employee fails to progress through, or satisfactorily complete, guidance and counseling based on goals set by UAB or by the appropriate supervisor during the imposed probation period, further disciplinary action up to, and including, discharge may be imposed.

Merit wage increases will not be given to the employee during an imposed probationary period. Vacation and personal holidays will continue to accrue but will not be granted during this period of imposed probation. Imposed probation does not affect an employee's access to the formal problem resolution procedure.

Suspension

Continued substandard performance, poor attendance, insubordination, misconduct, and other serious offenses or behavioral problems may result in a suspension without pay not to exceed ten

working days.

Suspension may occur after one written warning for minor or major offenses or as the first step if the infraction is serious enough. Employees arrested and charged with a felony, if not discharged, may, at the option of UAB, be suspended without pay pending disposition of the case.

All suspension notices will be given in writing by the appropriate supervisor, will be approved by the department/unit head, and will be sent to HR Relations to be placed in the employee's official, permanent personnel file.

No vacation, holiday, or sick time benefits will be paid by UAB during suspension, nor will such benefits accrue during suspension if the suspension exceeds a pay period.

Administrative Leave

Administrative leave, without pay, may be imposed in cases in which the operation of UAB warrants such action. Administrative leave most often is used when it is believed that normal unit operations or safety would be affected or when UAB officials need time to gather information for determining the specific disciplinary action which needs to be taken.

HR Relations should be consulted before administrative leave is imposed and should concur with the decision. The fact that administrative leave has been imposed should be documented in writing and should be sent to HR Relations to be placed in the employee's official, permanent personnel file.

Administrative leave may not be grieved unless it results in disciplinary action including termination as indicated in the Problem Resolution Procedure. (See also Problem Resolution Procedure for Nonfaculty Employees in Section 7.11.)

Discharge

Continued substandard performance, poor performance, insubordination, misconduct, and other serious offenses or behavioral problems that continue after other disciplinary actions have been taken may result in discharge from UAB.

Discharge also may occur immediately and without notice and/or without pay in lieu of notice. The recommendation for discharge must be approved by the department/unit head.

An employee who receives three written warnings during an 18-month period may be terminated without proceeding through all the remaining steps in the disciplinary process (that is, imposed probation and/or suspension).

Discharge will occur after a careful review of the case with the appropriate administrator, the appropriate dean, or the appropriate department/division head and a review of the case by the HR Relations Office for documentation adequacy and compliance with UAB policy.

Sometimes demotion may be used as a remedy and not as a step in the progressive disciplinary process when an employee cannot perform assigned job duties satisfactorily. It is most often used when an employee's skills are not matched to the job assignment.

It may be possible to demote the employee into a position of lower classification in the same department *with a resultant decrease in salary*. If a demotion is given but without a decrease in salary, the exception to allow this must be approved by the appropriate vice president, the

Provost, or the CEO of the UAB Health System and by the Chief Human Resources Officer.

If there is a vacant, lower-level position in another department, the receiving supervisor should be fully aware of the situation causing the demotion and should agree with the reassignment.

All demotions should be documented in writing, and the documentation should be sent to HR Relations to be placed in the employee's official, permanent personnel file. Also, a turnaround document should be completed indicating the change in status and pay.

The written record of any disciplinary action taken should be forwarded to the HR Relations Office where it will be maintained in a disciplinary log. This process will help insure that discipline administered across campus for the same or similar offense(s) is handled consistently.

Because of special responsibilities related to staffing in the Hospital setting, see also the UAB University Hospital Attendance Policy in Section 12.4 concerning progressive disciplinary action for excessive absenteeism and tardiness by Hospital employees.

7.3.1 Discipline Documentation

All documentation of actions involving discipline, written counseling, written warnings, imposed probation, suspension, administrative leave, requested resignations, or discharge should be sent to the HR Relations Office to be placed in the employee's official, permanent personnel file. All disciplinary actions also will be maintained in a disciplinary log in the HR Relations Office.

7.4 Employee Behavior and the Working Environment

Because UAB seeks to maintain an environment conducive to the conduct of business and one in which the rights of others are respected, UAB expects of its employees behavior consistent with the expectations of an institution of higher education. Part of the intent of this section is to identify typical offenses or behavior patterns for which disciplinary actions are taken. This is necessary in order to provide consistent treatment of all employees and so that the rights of some employees will not be violated by other employees.

Although this is not an all-inclusive list, the following are examples of deficiencies or offenses for which progressive disciplinary actions may be appropriate and which may result in discharge:

1. Examples of offenses which generally require discipline and which may result in discharge are as follows:
 - A. Absenteeism
 - B. Failure to record work time accurately
 - C. Failure to report an accident or injury to a patient, student, visitor, or self
 - D. Failure to report to work on time
 - E. Leaving UAB premises or work area without permission during work hours; unexcused absences
 - F. Malicious mischief
 - G. Misuse of sick time privileges and benefits
 - H. Neglect of duty or inattention to duty
 - I. Negligence in the performance of duty or productivity not up to standards
 - J. Sleeping during work hours
 - K. Violation of, or disregard for, safety practices
 - L. Wasting time, loitering, or loafing at work
 - M. Failure to cooperate in an investigation or providing false information during

- an investigation
 - N. Failure to disclose a conflict of interest or failure to eliminate a conflict of interest when so directed (See also the Conflicts of Interest Policy.)
 - O. Failure to maintain satisfactory interpersonal relationships with co-workers and supervisors
 - P. Gambling on UAB premises
 - Q. Inappropriate behavior in the workplace, including, but not limited to, horseplay and threatening, intimidating, coercing, or interfering with fellow employees on UAB property or leased space
 - R. Inappropriate behavior toward, or discourteous treatment of, patients, students, visitors, or co-workers including the use of profanity and other harassing statements
 - S. Negligence or abuse in the use of UAB property or equipment
 - T. Poor management practices and/or inattention to duty
 - U. Reporting to work when suffering from alcoholic or drug-related hangover
 - V. Misconduct in the workplace
 - W. Abuse of e-mail, electronic communications, and/or computer networks
 - X. Sexual harassment (See also the Sexual Harassment Policy.)
 - Y. Violation of UAB policies or procedures
2. The following occurrences are cause for immediate discharge without notice or without pay in lieu of notice. Since a complete list of specific offenses is impossible, discharge is not limited to the situations described below.
- A. Absence without notification or reasonable cause for failure to notify. Such absences for three consecutive work days or shifts require no further follow-up prior to termination.
 - B. Any act of fighting on UAB property or leased space
 - C. Conviction of a felony
 - D. Falsifying personnel or pay records, including application for employment, application for transfer, or health records; badging/clocking the time record or signing the time sheet for another employee (See also the Policy Concerning Employee Falsification of UAB Records and Documents.)
 - E. Falsifying official UAB records and documents (See also the Policy Concerning Employee Falsification of UAB Records and Documents.)
 - F. Forging e-mail, such as sending an e-mail communication in someone else's name
 - G. Immoral or indecent conduct on UAB property or leased space or conduct which brings discredit to UAB
 - H. Incompetence or inefficiency in patient care
 - I. Inexcusable neglect of duties, insubordination, disobedience, or dishonesty
 - J. Stealing from fellow employees, patients, UAB, or others on UAB property or leased space
 - K. Theft, misappropriation of funds, and/or unauthorized use or removal of UAB property
 - L. Possession of firearms, knives, or other weapons and ammunition (See also the Policy Concerning Firearms, Ammunition, and Other Dangerous Weapons.)
 - M. Unauthorized accessing of, and/or release of, confidential or official information (See also the Information Disclosure and Confidentiality Policy.)
 - N. Reporting to work under the influence of intoxicants, including alcohol, nonprescribed drugs, or illicit drugs
 - O. Unlawful possession, use, manufacture, distribution, or dispensing of illicit drugs,

controlled substances, or alcoholic beverages during the employee's work period, whether on the premises of UAB or at any other site where the employee is carrying out assigned UAB duties (See also the Drug-free Workplace Policy.)

7.5 Personal Appearance, Dress Code, and Uniforms

Use good judgment at all times regarding your personal appearance. You are expected to dress appropriately, to be neat, to wear clean clothing, and to be careful of your personal hygiene. You must adhere to special dress standards or uniforms that have been established in patient care areas or in any other department or unit at UAB. Flagrant violations of commonly accepted standards of cleanliness or dress may be cause for disciplinary action. If you have a question concerning the standard of dress for your area, ask your supervisor.

If your job requires that you wear a standard UAB uniform, in some cases it will be provided by UAB; however, some areas may require employees to purchase their own. In some areas, an identification emblem is part of the standard UAB uniform. This emblem will be issued by your department or unit and must be applied to the uniform as directed by your supervisor. Hospital employees should refer to the Hospital Dress Code Standard.

7.6 Personal Behavior in Patient-care Areas

Loud noises in patient areas should be avoided. These include singing, whistling, loud talking, arguing, and other types of noises. Rubber-soled shoes should be worn while working in a patient area.

7.7 Patient Information

Information concerning a patient's condition must not be discussed with the patient, employees, or other persons not directly concerned with the care of that patient. Only the patient's physician, the Hospital administrative staff, and the designated receptionist are authorized to indicate the condition of the patient.

All Hospital employees are required to sign a "Confidentiality Agreement" upon employment. Violation of this agreement or the Health Insurance Portability and Accountability Act (HIPAA) may result in disciplinary action, including discharge.

7.8 Horseplay

All employees are expected to behave in a professional, business-like manner at all times. Horseplay is not permitted on UAB premises. Tools or equipment should never be used except for the specific purposes for which they were designed. Horseplay is a serious matter that may result in injury to employees and that could lead to discharge.

7.9 Alcohol and Other Drugs

See Sections 12.3.2 and 12.4. See also Section 7.4 "Employee Behavior and the Working Environment."

Any Hospital employee who is reasonably suspected of using alcohol or illegal drugs or of abusing controlled substances in the workplace or of performing official duties while under the influence of alcohol, illegal drugs, or abused controlled substances will be required to undergo an alcohol and/or drug test. See UAB University Hospital "Policy and Procedure for Alcohol and Drug Testing for Reasonable Cause."

7.10 Smoking/Nonsmoking

See Section 12.4 “Full Text of Selected UAB Policies.” In addition to the UAB-wide policy, the UAB University Hospital has designated that smoking will not be permitted indoors or outdoors on any property owned or leased by UAB University Hospital.

7.11 Problem Resolution for Nonfaculty Employees

All employees who have a concern or complaint that arises within the course of their employment are first encouraged to seek resolution of the matter through an informal process regardless of whether the employee or work-related issue qualifies for the formal Problem Resolution Procedure. Resolving problems at the department level helps build trust and better working relationships. The appropriate actions to take to resolve the issue or complaint through the informal process are as follows:

- One-on-one Meetings – An employee is encouraged to meet with the person against whom he/she has a complaint to discuss the situation and to seek resolution of the complaint.
- Intervention by Supervisor, Manager, or Department/Unit Head – An employee is encouraged to contact his/her supervisor to request assistance with resolving the complaint.
- Facilitated Conversations – If one-on-one meetings or intervention by departmental officials as indicated above do not resolve the complaint or are not appropriate, the employee may contact the HRM Relations Office or the assigned department Consultant/Advisor to request the assistance of a “facilitator.” In some cases, HRM may take the initiative to recommend this action. Facilitated conversations allow the employee and the individual against whom the employee has a complaint to discuss the relevant issue in order to seek a mutually agreeable solution to the complaint.

If a satisfactory resolution cannot be reached, the formal Problem Resolution Procedure is available to employees who meet the following criteria:

- Employees must have completed the initial six months probationary period and must be employed in one of the following assignment categories:
 - Full-time Regular Employees (01)
 - Part-time Regular Employees (03)
 - Three Twelve-hour-shift (3/12 Hour) Employees (12)
 - Weekend Staff Employees (17)
- Employees in their initial six months probationary period may use this formal procedure only if the problem resolution request is based on an allegation of discrimination.
- All employees, even those not eligible to use the Problem Resolution Procedure, may submit a complaint of alleged discrimination to officials listed in the UAB Equal Opportunity Policy.

The work-related issues that may be challenged using the formal Problem Resolution Procedure are as follows:

- Discharge from employment

- Resignation in place of immediate dismissal
- Written warning
- Suspension
- Imposed probation
- Denied promotion
- Denied payment of approved benefit time
- Discrimination as outlined in the UAB Equal Opportunity Policy (For purposes of the Problem Resolution Procedure, employees must state specific acts or circumstances supporting the discrimination allegation and the desired outcome.)

Salary, performance appraisal, verbal counseling, voluntary resignation, position elimination due to restructuring or funding, or discharge as a result of a violation of the “Guidelines for Impaired Employees” (back-to-work agreement) may not be contested unless supported by specific evidence of discrimination.

A member of HR Relations first will attempt to resolve the issue through a facilitated conversation. The facilitated conversation affords a representative from HRM Relations the opportunity to meet with the employee and a management representative to seek a mutually agreeable solution to the complaint. If both parties cannot agree on a solution, a Problem Resolution Committee will be established to hear the case.

The Problem Resolution Committee will consist of three members who will be drawn from a pool of eligible employees. The pool of committee members is chosen at random from all eligible UAB staff and is representative of a diverse group of employees working in various job titles across the campus and Hospital. In some cases, dependent on the issue(s) to be addressed, HRM Relations reserves the right to have the Committee members drawn from a specialty pool. These would be Committee members with the training and/or expertise in a specific job field (for example, scientific research background, nursing/patient care experience) that would allow them a better understanding of the issues to be reviewed by the Committee. The pool of committee members will receive training related to the Problem Resolution Procedure. The training also will stress impartiality and fairness. The committee members will serve for a two-year period. The criteria for serving in the pool of committee members are as follows:

- Employed in a nonfaculty full-time regular, part-time regular, 3/12 hour-shift, or weekend staff employee assignment category.
- Employed with UAB for at least one year
- Must not have received any written corrective actions within the twelve months immediately prior to selection
- Must not have filed a complaint through the Problem Resolution Procedure (or previously the Grievance Procedure) within the twelve months immediately prior to selection
- Must not have an active Equal Employment Opportunity Commission (EEOC) charge, no lawsuit pending against the University of Alabama at Birmingham, nor any other complaints against the University filed with external agencies
- These criteria must be met at the point of initial selection and continuously throughout the term of commitment.

Employees considered senior leadership or those working in the Office of the President, offices of the vice presidents, Office of the Provost, Human Resources, Hospital Administration, or Risk Management and Insurance are not eligible to serve on the Problem Resolution Committee.

The employee filing the complaint and the management representative will be informed of the members chosen to serve on the Committee. If either party does not want a particular employee to serve on the Committee because of a conflict of interest or other legitimate concern, he/she may ask that another Committee member be chosen. The HRM Relations Representative ultimately will decide whether someone is removed and a replacement is selected.

In order to use the UAB Problem Resolution Procedure for Nonfaculty Employees, the employee must contact the Office of HR Relations or the HRM Consultant/Advisor within *five* work days following the eligible event/complaint the employee would like to challenge. The steps of the procedure are as follows:

1. The employee or former employee must report in person to the HRM Relations office and must submit the complaint in writing to the HRM Relations Representative.
2. The HRM Relations Representative will contact the employee's department/unit within 24 hours of receipt of the written complaint to make them aware of the complaint and to advise them of the steps in the process.
3. A representative from HR Relations will attempt to resolve the problem by acting as a mediator (through a "facilitated conversation" process) unless the facilitated conversation occurred during the informal process. If that step has not taken place, the Relations Representative will arrange a meeting within five work days with the employee and the designated department representative to discuss the complaint and possible agreeable outcomes.
4. If the problem is not resolved through a facilitated conversation, a three-member Problem Resolution Committee will be established to review the facts of the case.
5. The Problem Resolution Committee will meet within three work days or at the earliest date all members are available. The first meeting will consist of orientation to the Problem Resolution Procedure and a review of the documentation related to the specific complaint. The Committee will elect one of its members as chair. The employee is encouraged to submit any relevant documentation for review prior to the first meeting of the Committee including a list of individuals with firsthand information related to the complaint. The Committee reserves the right to determine which individuals it would like to hear from and what questions to ask of them.
6. The employee who initiates the process will be called to give his/her account of the facts to the Committee and may be present while any other individuals are called in to speak to the Committee or may have the opportunity to review written and oral transcripts. Also, a member of management, either the employee's immediate supervisor or department/unit head, may be present during the meetings or may have the opportunity to review written and oral transcripts. (Face-to-face situations, at times, may be inappropriate in which case alternatives such as written statements, audio tapes, or "intercom listening may be used.") Neither individual involved in a Problem Resolution Procedure may be represented by legal counsel.
7. The Committee will accumulate and study the facts about the case and will submit a written report and recommendation to the Chief Human Resources Officer who will render a decision. The Chief Human Resources Officer will send a copy of the written decision to the

employee and the supervisor. If the decision of the Chief Human Resources Officer differs from the recommendation of the Committee, the Chief Human Resources Officer may meet with the Committee to review the written rationale for the Committee's decision.

8. In the event that the decision is unsatisfactory to the employee, he/she may within five work days after receipt of the decision file a written notice of appeal to the President of the University of Alabama at Birmingham. All documentation from the case along with the rationale and recommendation from the Committee and the decision of the Chief Human Resources Officer will be forwarded to the President or to the President's designated representative for review. The decision of the President will be final.

Employees may use the procedure without penalty or fear of retaliation.

Any questions regarding the Problem Resolution Procedure for Nonfaculty Employees should be directed to the Office of HR Relations at extension 4-4458 or 4-4701.

7.12 Solicitation Protection

All forms of commercial and noncommercial expression, distribution, or speech for the purpose of soliciting, canvassing, vending, or peddling shall be conducted in accordance with the following guidelines. Without having been issued a permit by the Office of the Vice President for Financial Affairs and Administration, no person, employee or otherwise, shall:

1. Enter any UAB University Hospital or patient-care facility to engage in any activity referred to above
2. Enter any UAB classroom (while in use as such) or library (at any time) to engage in any activity referred to above
3. Enter any work area or living area, including, but not limited to, UAB faculty or administrative offices, student dormitories, research facilities, maintenance shops, kitchens, warehouses, motor pools, heating and air conditioning plants, mechanical rooms, material handling areas, or parking lots/decks to conduct any activity referred to above
4. Operate any sound-producing or amplification device in connection with nonofficial UAB business activities inside any UAB facility, except as specified by Student Affairs policies and procedures.

At a reasonable time prior to commencing any activity referred to above, a representative of an organization wishing to engage in such activity must register the proposed activity with the Office of the Vice President for Financial Affairs and Administration. That office will prohibit any activity from taking place if a scheduling conflict exists. If the activity is approved, a permit will be issued. An employee who observes such activities being conducted on campus and who is not sure if a permit has been issued for it should contact the UAB Police for them to handle the situation.

Employees who are in any UAB area to perform their jobs shall not engage in commercial solicitation or vending. This includes selling, delivering, or collecting for products, insurance, etc. Also, UAB telephones or other equipment should not be used for these activities.

Non-employees are prohibited from entering any UAB facility except in the public areas for the purpose of contacting employees regarding their working conditions, hours, or wages.

The conduct of any activity on UAB property shall be in such a manner as not to obstruct, or

unreasonably interfere with, legitimate business or the free flow of traffic by persons rightfully using the grounds or facilities.

7.13 Ownership of Intellectual Property Rights

UAB recognizes that research and scholarship should be encouraged and carried out without regard to financial gain from licensing fees, royalties, or other such income. However, UAB also recognizes that patentable inventions, discoveries, software programs, and other intellectual property often arise from UAB-related staff or faculty efforts.

The policies governing the administration of inventions are included in the Board of Trustees Rule 509. Other institutional policies govern other forms of intellectual property including computer software. Those policies also provide recognition and incentive to inventors and at the same time ensure that UAB shares in the rights pertaining to inventions in which it has an investment. Any income accruing to UAB is used in the furtherance of its academic mission.

Disclosure of discoveries and inventions which appear to have commercial value and/or utility should be made to the UAB Research Foundation. Any such invention or discovery (1) which is the result of research carried on by, or under the direction of, any employee of the University and/or having the costs thereof paid from University funds or from funds under the control of, or administered by, the University, or (2) which is made by an employee of the University and which relates to the inventor's field of work at the University, or (3) which has been developed in whole or in part by the utilization of resources or facilities belonging to the University shall be assigned to the University. Therefore, employees or students may not themselves assign or grant any option to any such intellectual property developed during the course of their employment without a release from UAB.

Questions concerning intellectual property rights should be directed to the UAB Research Foundation.

Section 8 – General Employment Information

8.1 Identification Cards and Name Badges

All new employees of UAB are issued a picture-type identification card. Hospital employees have their cards made prior to New Employee Orientation (during the pre-employment physical). Non-Hospital employees are issued their ID badges at New Employee Orientation. Hospital employees have the badge-type ID card which they are required to wear in plain view while on duty. Non-Hospital employees should carry their ID cards with them. Since the ID cards include a photograph, there is a charge for replacing lost or destroyed cards.

These ID cards are required identification to use at facilities such as the libraries and for discounts available at the cafeterias, bookstore, other locations around campus, and special events.

The HRM Hospital Support Services Office is responsible for issuing the identification cards for Hospital employees. Non-Hospital employee badges are issued by the UAB Police Department. The appropriate department should be contacted concerning replacing lost cards. Proof of employment at UAB will be required when the ID card is made. Upon termination of employment, an employee must turn in his or her ID card to the HR Benefits Office.

8.2 Issuance of Keys

In order to maintain maximum security, the following procedures must be followed by those requesting keys to UAB property:

- “Key Request” forms are available from the UAB Police Department or from the Hospital Key Control Office.
- The key request must be authorized by the appropriate department/unit head or administrative officer.
- Signatures will be verified by the UAB Police Department or Hospital Key Control.
- Non-Hospital key requests must be accompanied by a deposit for each key and will not be granted until the deposit has been paid.
- Under normal circumstances, keys will be issued within three days from the receipt of the request. In case of emergency, contact the supervisor of the key control system through the UAB Police Department.
- Keys are not transferable and must not be passed from one employee to another.

When you terminate from UAB, all keys must be turned in to the UAB Police Department or to Hospital Key Control if you are a Hospital employee. Deposits will be refunded when all the keys that have been issued to an employee have been returned.

8.3 Campus Mail System

The UAB campus mail system exists for the delivery of official interoffice/interdepartmental mail. Correspondence from non-UAB entities such as corporations, companies, and nonprofit organizations must be processed through the United States Postal Service. Once processed, it will be delivered by the UAB Post Office.

Unless a person lives on the UAB campus in a building served by the UAB Post Office, personal mail should not be regularly delivered to the person at his or her UAB address. Also, under no circumstances may the postage for personal mail be charged to a UAB account.

Use of the UAB campus mail system for personal purposes is unauthorized use of UAB property and may lead to discharge. **Use of the UAB campus mail system for sending chain letters is a misuse of UAB and state property; therefore, use of the UAB campus mail system for sending chain letters is strictly prohibited.** Likewise, use of any UAB equipment or supplies (for example, copy machines and campus mail envelopes) to process or send chain letters is strictly prohibited. The full text of the “Policy Concerning Use of the UAB

Campus Mail System” is available from the Office of Human Resources.

8.4 Personal Use of UAB Vehicles

UAB vehicles may not be used for personal purposes except as stipulated by state law or regulations or as approved by the UAB President.

8.5 Use of Employee’s Personal Vehicle for UAB Business

8.5.1 Voluntary Use of Employee’s Vehicle for UAB Business

UAB employees use their personal vehicles on UAB business at their own option and at their own risk. UAB does not maintain primary insurance to cover losses incurred by employees when driving their personal vehicles. Under most circumstances, a supervisor may not request or require that an employee use his or her personal vehicle for UAB business. When a job activity requires the use of a vehicle, a UAB-owned or UAB-leased vehicle should be used, or an alternative means of transportation should be arranged (for example, Campus Ride, rental car, or public transportation). *It is very important for department/unit heads to be aware whenever a personal vehicle is used for department/unit business. The department/unit head should make sure that using a personal vehicle is consistent with the intended operation of the department/unit and that there is no reasonable alternative means of transportation.*

Employees who voluntarily operate their vehicles on UAB business on a regular basis should disclose that fact to their personal auto insurance carrier. A higher different rate may be charged for that type of use. Employees may file for reimbursement of expenses related to the use of their personal vehicle on UAB business as outlined in the Expenditure Guidelines established by UAB Financial Affairs. The guidelines are available on the UAB World Wide Web site. The mileage reimbursement rate is intended to compensate the employee for all expenses related to the use of the vehicle including insurance.

8.5.2 Required Use of Personal Vehicle for UAB Business

There may be some jobs that require the regular use of a personal vehicle in order to carry out the job’s essential duties and responsibilities. Any department desiring approval for an employee to use his or her personal vehicle for UAB business on a regular basis must make a written request for a policy exception. The request should be directed to the Office of Human Resources and must show prior written approval by the department/unit head, the dean (if applicable), the Executive Director of the UAB University Hospital (if applicable), and the appropriate Vice President/Provost/CEO of the UAB Health System. Approval should be granted only under the following circumstances: (1) a substantial component of the employee’s job duties requires the use of a vehicle, (2) no reasonable alternative to the personal vehicle use exists, and (3) if the employee’s personal vehicle cannot be used, execution of the duties of the job would be altered to the extent that it would result in virtual elimination of the job position. The exception request to the Office of Human Resources should include documentation of each of the qualifiers noted above.

Any employee using his or her personal vehicle as part of the job requirement is responsible for purchasing and maintaining liability insurance on the vehicle with limits not less than \$100,000 per person and \$300,000 per accident. A certificate of insurance coverage must be provided to the Office of Risk Management and Insurance upon request. The employee’s supervisor must review with the employee the Vehicle Safety Management Program, and the employee must comply with all terms and conditions therein.

The employee’s department will be expected to pay the additional vehicle insurance premium incurred by the employee related to use of the vehicle as part of the job requirement. The additional vehicle insurance premium for which UAB will reimburse the employee must be calculated by the employee’s insurance carrier and must be based on the difference in rates for regular business use.

8.6 Safeguarding UAB Equipment

If you handle UAB equipment, you are responsible for the care and security of that equipment while it is under your control. You are not permitted to use UAB equipment for personal reasons. Unauthorized use or removal of UAB equipment or property may be cause for immediate discharge. If you are found guilty of carelessness or mischievous, malicious, or willful destruction of UAB equipment or loss of patient’s property, you may be

required to pay for the repair, recovery, or replacement of such equipment or property. In addition, this may be a cause for immediate discharge.

8.7 Telephone Usage

Prompt, courteous answers to telephone calls should be a self-imposed rule. It is a good practice to identify yourself and your department/unit when answering or making a call.

Personal long distance calls must not be charged to UAB telephone numbers. If it is necessary to make a personal long distance telephone call from a UAB telephone, the call must be charged to a personal telephone credit card, must be placed as a collect call, or must be charged to a third number that is not a UAB telephone number.

Personal telephone calls must be prohibited in some areas, such as the Hospital. In areas where they are allowed, personal telephone calls should be kept to a minimum. Supervisors are required to observe the frequency of such calls and to warn employees who use the phone excessively for personal calls.

There are additional restrictions concerning employees' not receiving personal telephone calls in patient-care areas. If this applies to you, contact your manager or supervisor for information concerning restrictions on telephone use in the Hospital. The use of cellular telephones is prohibited near sensitive medical equipment where signs so indicate in patient-care areas.



A bird's eye view of the UAB vs. Southern Miss football game.

Section 9 – Health and Safety

9.1 Health and Safety Overview

The UAB Department of Occupational Health and Safety helps to provide a safe and healthful workplace and coordinates compliance with workplace and environmental laws and regulations while supporting teaching, research, and patient care. **However, every employee is responsible for health and safety at UAB and for compliance with applicable laws and regulations. For additional health and safety information, the Occupational Health and Safety World Wide Web site is www.healthsafe.uab.edu.**

There are seven primary health and safety programs in the following areas:

1. General safety
2. Radiological health and safety
3. Biological safety
4. Chemical safety
5. Asbestos control/respirator fit testing
6. Hazardous waste management
7. Education and training

Key responsibilities of the UAB health and safety program include:

- Fire and life safety inspections in all areas of UAB
- Issuance and control of radioactive material licenses
- Control programs for biological and chemical agents
- Safe disposal methods for biohazardous, radioactive, and chemical wastes
- Health and safety education and training
- Establishment of procedures and standards for safe work practices
- Maintenance of records of exposures to toxic substances, building safety inspections, incident reports, radiation exposure levels, fire alarm tests, fire drills, and certain medical monitoring
- Emergency planning and homeland security activities.

In an effort to keep requirements reasonable, to foster voluntary compliance, and to develop partnerships, there are four major UAB health and safety committees: Radioisotope and Radiation Safety, Institutional Biosafety, Chemical Safety, and General Safety. Policies are published in “safety manuals” and represent a summation of regulatory requirements and agreements as to how activities will be conducted at UAB. All health and safety manuals are signed and endorsed by the President and, in many cases, are part of the licensing applications and agreements with regulatory agencies. The manuals are available on the World Wide Web at www.healthsafe.uab.edu.

9.2 Reporting Incidents and Unsafe Conditions

In the event of an incident involving personal injury or property damage on the UAB campus or in UAB University Hospital, contact the UAB Police by calling **911 from any UAB telephone** or 934-3535 from any non-UAB telephone.

1. The UAB Police dispatcher will contact the appropriate emergency services.
2. Use the UAB University Hospital Emergency Department for serious injuries or illnesses requiring immediate attention or after-hours attention and The Workplace (or the health care provider currently designated/approved by UAB Human Resources) for non-life-threatening injuries Monday through Friday, 8:00 a.m. - 4:30 p.m.

3. If the incident is a UAB On-the-Job Injury/Illness, see Section 3.2 of this handbook or the Human Resources World Wide Web site (www.hrm.uab.edu) for procedures to follow.
4. For all incidents involving faculty, staff, students, or visitors, the UAB Police or UAB employee must complete an Incident Report Form. The form may be printed from the Risk Management and Insurance World Wide Web site at www.uab.edu/riskmgt or by contacting Risk Management and Insurance. The Incident Report Form is confidential and for internal use only and is not to be released externally or copied. Employee reports are to be sent to Human Resources, and visitor/student reports are to be sent to Risk Management and Insurance.

Accidents/incidents involving UAB vehicles must be reported to the police and to the Office of Risk Management and Insurance. For further information concerning vehicle safety and accident reporting, refer to the UAB Vehicle Safety Manual available at www.uab.edu/riskmgt.

Unsafe conditions must be reported to your supervisor immediately. Remember, you are responsible for safety at UAB.

- Be aware of your surroundings and safe work practices for your area.
- Keep all equipment guards in place, and use the appropriate personal protective equipment.
- Never use potentially dangerous equipment unless you have received the proper training from your supervisor.
- Report unsafe conditions by calling the Department of Occupational Health and Safety (934-2487) or through the Occupational Health and Safety World Wide Web site at www.healthsafe.uab.edu. (If requested, the identity of the reporting individual will be kept confidential.)

9.3 Fire Safety

Everyone at UAB is responsible for fire prevention. Carelessness and thoughtlessness are two primary causes of fires. People smoking inside UAB buildings (all buildings are smoke-free), defective wiring, propped-open fire doors, blocked corridors or exits, accumulation of combustibles, or improper use and storage of flammables should be reported immediately to the Department of Occupational Health and Safety.

9.3.1 General Procedures for Fire Safety

If you detect smoke or fire, no matter how minor it may appear at first, stay calm and use common sense. Other people may be depending on your actions. Use the **CARE** response plan.

- C – Confine** the fire by closing all doors in the area.
- A – Activate** the fire alarm immediately to warn others.
- R – Report** the fire. When in a safe place, call UAB Police at 911 (from a UAB telephone) or 934-3535. Tell the dispatcher the building, room number, and what is burning. Stay on the line until instructed to hang up.
- E – Evacuate** yourself and others. Your department plan will designate a safe point away from the building for everyone to meet.

9.3.2 Hospital Areas

Hospital areas use the same fire response plan as above with the following two exceptions:

1. Report the fire to the Hospital Emergency Fire Phone Line at 4-0001.
2. Do not evacuate patients until instructed to do so. Patients are the first priority and moving them could cause harm. Your supervisor will provide unit-specific training.

9.3.3 Provisions for Individuals with Disabilities

Landings inside stairwells and protected elevator lobbies are considered “safe” areas. Emergency personnel, firefighters, and police check those areas for people who cannot use stairs. In an evacuation, disabled individuals should be escorted to one of those areas and a staff member should remain with them until emergency personnel arrive. Individuals with disabilities should have two “buddies” in their work area identified ahead of time who can help them with evacuation.

9.4 Emergency Preparedness

The emergency preparedness program at UAB, supported by the Emergency Planning Committee, is designed to manage the consequences of natural, man-made, or technological events that disrupt the normal operation of UAB. In addition to the UAB-wide plan, your supervisor will train you on the specific response procedures for your work area. You are responsible for knowing your role in an emergency situation and responding appropriately.

9.4.1 Homeland Security

The Homeland Security Advisory System, although voluntary for some levels of government and for the private sector, consists of five Threat Conditions, each identified by a description and corresponding color. From lowest to highest, the levels and colors are as follows:

Low = Green
Guarded = Blue
Elevated = Yellow
High = Orange
Severe = Red

The higher the Threat Condition, the greater the risk of a terrorist attack. Risk includes both the probability of an attack occurring and its potential gravity. Your supervisor will inform you of any specific actions necessary should the alert level change. The current level is posted on the UAB World Wide Web home page and on the Occupational Health and Safety World Wide Web site, www.healthsafe.uab.edu.

9.5 Other Emergencies — Contacting the UAB Police,

In case of any emergency on the campus, call the UAB Police at 911 from any UAB telephone or 9343535 from any non-UAB telephone.

1. Identify yourself by name.
2. Describe the nature of the emergency.
3. Give the exact location.
4. Report the problem to your supervisor.

Emergency telephones with a direct connection to the UAB Police Department are located at approximately 60 locations on campus and in elevators. Just lifting the receiver or pressing a button allows you to talk with the police dispatcher. If you are unable to communicate, your location is signaled to the dispatcher by lifting the receiver or by pressing the button. Assistance will be sent immediately.

9.6 Laboratory Safety

Safe operations and activities in UAB laboratories are vital to UAB's existence. Whether the activity is teaching, conducting research, or delivery of health care, it must be done in a way that is as error free as possible, is top quality, and is performed in a manner that protects the worker, the environment, and the community from undue risks. See the Occupational Health and Safety World Wide Web site at www.healthsafe.uab.edu for details concerning laboratory safety, including staff and faculty roles and responsibilities.



The Healing Garden, part of the new facility at UAB University Hospital, offers a serene setting.

Section 10 – Unusual Circumstances

10.1 Time Lost Due to Bad Weather or Other Emergencies

Occasionally the Birmingham area experiences bad weather with snow and ice on the roads making it difficult for employees to get to work. The University of Alabama at Birmingham is different from many other organizations in that we are involved in patient care, and many departments operate on an around-the-clock, seven-day-per-week schedule. These essential services cannot be suspended; therefore, UAB's policy toward bad weather reflects the nature of our work and the diversity of the various departments/units.

The governing policy is that UAB will remain open in those areas associated with patient care and other essential services; therefore, employees in those departments should make every effort to get to work. When driving is difficult, they should start early to allow for problems. Crews from previous shifts will be held over until relieved by the next shift personnel, but there are limits to this as a solution to the problem. A UAB employee (monthly or bi-weekly) who provides support to a physician who is open for business at the Kirklin Clinic (or any of the affiliated clinics such as the Family Practice Center, the Russell Clinic, or others) must call his or her immediate supervisor for instructions whether or not to report to work. Further, it is the employee's responsibility to inquire of his or her supervisor and to understand the inclement weather practices as they apply to the employee's specific work circumstances.

In any event, UAB will not pay for work not performed except in those areas that are officially closed and unless, in reporting in by telephone, you are advised by your supervisor to remain at home. You should contact your office or work area promptly.

In a situation in which UAB is **not** officially closed, if you experience problems (icy roads, dead battery, etc.), you should report by telephone to your supervisor for instructions. With your supervisor's approval, you will be allowed to charge time off to vacation or personal holiday.

If UAB is closed for emergency purposes (for example, bad weather) during the time an employee is using vacation, sick, or personal holiday time, those days will still be charged to vacation, sick, or personal holiday time.

While essential services will be continued, sometimes it may be considered prudent by the administration to suspend certain less sensitive elements of the operation. When UAB declares a weather emergency, the following statement is released to WBHM (90.3 FM) and the local news media: "UAB is closed (for the day), (until noon), (etc.) except for the Hospital. Outpatients should confirm clinic appointments by telephone; UAB personnel should contact their supervisors for further instructions. Stay tuned to this station for updates." WBHM-FM (90.3) radio station is the *only* official media source for information concerning closing of UAB. Official information about UAB weather emergencies also may be obtained by calling the UAB Bad Weather Hotline at 934-2165. You should telephone your supervisor for additional information and to report.

Once again, it is your responsibility to contact your supervisor during such emergencies and to report the conditions that are peculiar to your own situation. Even in less essential areas, some functions must go on; therefore, department/unit heads must know on whom they can depend for covering their operations. In order to make plans for emergency conditions, supervisors in most

cases do need to be present and need to know which employees can be present or can be available. Supervisors and other administrative personnel also will need to advise other members of their staff concerning decisions relating to which personnel will be needed in order to continue the minimum UAB functions in time of bad weather. If guidelines are not followed, disciplinary action may be appropriate.

Please see the Payroll Services Department's World Wide Web site under forms and publications for directions concerning how to report hours correctly.

10.1.1 Information for Employees of Essential Services

The Welcome to UAB section of this handbook points out that some employees involved in patient care and certain other employees (such as in Maintenance, Police, and Animal Resources) have special responsibilities. The safety, health, and improvement of patients and the safety of employees, students, and visitors outweigh every other consideration. Upon announcement of closure, essential personnel should report as previously instructed.

The following guidelines will be used in reporting time for employees of essential services during bad weather or other emergency periods:

1. Monthly paid and bi-weekly paid employees who do not report for work and who do not call in will not be paid.
2. With the approval of their supervisors, employees who call in but who do not report for work or who have been excused will be given the option of receiving no pay or of charging the time to vacation or personal holiday.
3. Overtime rates will be paid to bi-weekly employees for time worked in excess of 40 hours in one work week.
4. Those employees who are required by their supervisors to remain on the premises or to be available immediately after completing their assigned shift will be paid under either the "Standby" Pay policy or the 24 Hour Duty policy (see Sections 5.3 and 5.4).
5. Those employees who report in sick during emergency weather conditions will be eligible for sick time pay only if proper documentation is provided to the supervisor.

10.2 Lost and Found

Lost articles found on UAB premises should be turned in to your supervisor or department/unit head. Usually such items are turned over to the building administrator or the UAB Police. In the Hospital, found items should be turned in to the Patient Financial Services Office or to the Hospital Police.

10.3 Search Policy

As a condition of employment, UAB employees grant to management and supervisory personnel the authority to conduct random and unannounced inspections of employee lockers, desks, computers, and the like in order to promote health considerations and to insure compliance with all UAB rules and regulations. UAB may institute procedures for random inspection of any parcels leaving UAB buildings.

E-mail or other electronic communications also are subject to inspection by UAB at any time. Abuse of e-mail and/or networks may result in disciplinary action, including discharge. In addition, employees may be subject to criminal prosecution if inappropriate computer use includes criminal activity.

Except in matters in which there is reasonable cause to suspect criminal activity, employees may be given an opportunity to be present in any inspection of lockers, desks, computers, etc. Employees should leave at home possessions which they do not wish to have seen.

Disciplinary action, including discharge, may result from searches and inspections.

10.4 Security

In the event of an emergency or breach of security, **call the UAB Police at extension 4-3535 or 911**. At various points on the campus, emergency telephones with a direct line connection to the Police Dispatcher have been installed. These telephones do not require dialing. The removal of the receiver or the pressing of a button alerts the UAB Police to the location of a problem.



The UAB Police Department is accredited by the Commission for the Accreditation of Law Enforcement Agencies and provides professional, effective, and caring service to the UAB community.

Section 11 – Contact Information and Resources

11.1 Human Resources

11.1.1 Benefits934-3458

<http://www.uab.edu/benefits>

The Benefits Office is responsible for administering the following programs for the faculty and staff of UAB:

Insurance:

Viva UAB, Blue Cross/Blue Shield Preferred Care, Viva Health, sponsored life insurance, accidental death and dismemberment insurance, and long-term disability insurance; voluntary employee-paid dental, life, and accidental death insurance plans; and flexible spending accounts.

Retirement:

Alabama Teachers' Retirement System, TIAA-CREF (voluntary pension program), and other tax-sheltered annuities.

Educational Assistance:

Educational Assistance for employees, their spouses, and their dependent children.

Pre-retirement Program:

A pre-retirement program for all interested faculty and staff aged 45 and over.

This office assists with completion of all benefit enrollment forms and claims.

11.1.2 Compensation934-5264

<http://www.hrm.uab.edu/main/compensation>

The Compensation Office is responsible for the general administration and maintenance of UAB's compensation program. Its responsibilities and services include the following:

- Reviewing and updating position description questionnaires
- Recommending salary ranges and wage and salary scales
- Conducting salary surveys, job audits, and job classifications
- Conducting job evaluations and job pricing
- Answering questions concerning compliance with the Fair Labor Standards Act (Wage and Hour Law)

11.1.3 Relations934-4458

<http://www.hrm.uab.edu/main/relations>

The Human Resource Relations Office is responsible for assisting the management of each UAB department or unit with the fair and effective management of its staff in order to avoid problems. This includes the following:

- Policy interpretation and advice to managers
- Employee counseling
- Problem solving
- Nonfaculty grievances
- Equal Employment Opportunity Commission complaints and investigations
- Sexual harassment complaints
- Americans with Disabilities Act complaints and accommodation requests
- Department of Labor complaints
- Vietnam era veteran complaints
- Unemployment compensation matters
- Exit interviews
- Service awards for non-Hospital employees
- Impaired Employee Program
- On-the-Job Injury/Illness Program
- RAVE – Retaining a Valued Employee Program

11.1.4 Employment 934-5248

<http://www.uab.edu/employment>

The Employment Office is responsible for assisting departments and units in filling their human resource requirements through the following services:

- Recruitment, screening, interviewing, and referral of qualified candidates
- Providing a viable transfer/promotion mechanism for research and facilities positions
- Providing qualified temporary personnel for user departments and units
- Fostering nondiscriminatory and responsible treatment of all applicants
- Applicant tracking and Equal Employment Opportunity/Affirmative Action record keeping
- Policy interpretation and salary recommendation
- Employee counseling and referrals
- Pre-employment background investigation analysis
- Requisition tracking for non-Hospital job openings

Hospital employment matters are handled by the Hospital Human Resources Office as described below.

11.1.5 Hospital Human Resources934-4681

<http://www.uabhealth.org/18776/>

The Hospital Human Resources Office is responsible for assisting UAB departments and units in filling their human resource requirements with qualified employees through outside recruiting or internal transfers.

This office administers basic personnel functions for Hospital employees including the following:

- Recruitment, interviewing, and referral of qualified candidates
- Hospital transfers and promotions
- Hospital Employee Recognition Program
- Pre-employment physicals and Form I-9 documentation
- Employee counseling
- Policy interpretation and advice to supervisors and managers

- Inplacement/outplacement services to displaced Hospital employees
- Hospital performance appraisals

11.1.6 Hospital Personnel Support Services934-2097

<http://main.uab.edu/show.asp?durki=81546>

The Hospital Support Services Office is responsible for the operation of several automated functions for the UAB University Hospital to aid employees and management in timekeeping and reporting.

The primary functions of this office include the following:

- Time and Attendance Management System (KRONOS)
- Identification Badge Management System (BMS)
- Position control
- Management reporting and distribution

11.1.7 Organizational Development934-3359/934-3946

<http://www.uab.edu/traindev>

The Department of Organizational Development is responsible for providing professional, skill-expanding, and career-enhancing opportunities for employees of UAB. It is comprised of the Offices of Career Development, Cultural Diversity (including Affirmative Action), and Training and Development.

The Career Development Office is responsible for assisting employees in the areas of:

- Employee transfers
- Career testing and counseling

The Cultural Diversity Office is responsible for planning, developing, and marketing programs which assist in the establishment of a community of tolerance and sensitivity through intercultural education.

This office is responsible for:

- Diversity education
- The Affirmative Action Program

The Training and Development Office is responsible for planning, developing, and marketing programs promoting the development and training of UAB personnel.

The office conducts and staffs the following programs:

- New employee orientation
- New office professional orientation
- Leadership/Management/Supervisory training
- Office professional training
- Seminars and retreats
- Computer training
- Human Resources & Finance Administrative System technical training

This office also is responsible for developing training resources, for assessing the training program's effectiveness, and for maintaining applicable training records.

11.1.8 The Resource Center: Employee Assistance and Counseling Services.....934-2281

<http://www.uab.edu/eap>

This program provides help and services to faculty and staff and to their dependents in the following areas:

- Alcoholism
- Drug abuse
- Emotional disturbance
- Personal adjustment
- Stress management
- Financial counseling
- Marital or family distress
- Other areas of concern

11.1.9 HR Records Administration934-4408

<http://www.hrm.uab.edu/main/records>

The Records Administration Office is responsible for personnel file maintenance and database management through the following functions:

- Processes all ACT personnel action forms
- Verifies employment
- Answers reference inquiries concerning former employees
- Assists with name and address changes
- Maintains Form I-9 documentation
- Maintains non-Hospital performance appraisals
- Maintains permanent personnel files on all employees
- Maintains vacation, personal holiday, and sick time accrual records

11.1.10 Human Resources Technology & Data Services934-3319

http://www.hrm.uab.edu/main/technology_data_services

This office is responsible for providing management information reports from the Human Resources & Finance Administrative System and the Applicant Tracking System.

Examples of this department's functions are:

- Develop and execute mainframe programs to produce reports, mailing labels, and files.
- Develop MS Access database systems with data transferred from the mainframe computer.
- Apply knowledge of various systems and data sources to provide information to customers.
- Analyze reporting needs and develop and produce official reports to be filed with the University of Alabama System Office, the state legislature, and other government and regulatory agencies.

11.2 Online Computer Access to UAB Information

Information about UAB is available online through computer terminals located in departments, in the libraries, and in other public areas. Examples of the categories of information available through the “Data Post Office” system and/or through UAB’s World Wide Web pages are as follows:

UAB Home Page

<http://www.main.uab.edu>

Human Resources Home Page

<http://www.hrm.uab.edu>

Job Openings and Promotion Opportunities

http://www.hrm.uab.edu/main/employment/current_jobs.html

UAB Employee Career Development Services

http://www.hrm.uab.edu/main/career_development/index.html

HR Training and Development newsletter

<http://www.hrm.uab.edu/main/traindev/newsletter/>

HR Training and Development class schedule and class registration

<http://www.uab.edu/traindev>

You and UAB Handbook for Faculty and Staff

<http://www.uab.edu/youanduabhandbook>

HR Personnel Policies and Procedures Manual

<http://sppublic.ad.uab.edu/policies/Pages/default.aspx>

EEO/AA Policies

http://www.hrm.uab.edu/main/aa_eo/index.html

Payroll Services Reference Manual and Information

<http://main.uab.edu/show.asp?durki=5255>

UAB Policy Reference Manual

<http://www.iss.uab.edu/MgtSupSvcs/PolManual.PDF>

UAB Faculty Handbook and Policies

<http://main.uab.edu/Sites/provost/facultyresources/facultyhandbook/>

General UAB Address and Information

<http://main.uab.edu/show.asp?durki=3558>

UAB Electronic Phonebook and UAB *Campus Directory*, building names, addresses, and Zip+4 designations

<http://www.dpo.uab.edu/cgi-bin/bp/search.cgi>

Student Class Schedule

<http://main.uab.edu/show.asp?durki=5306>

Every effort will be made to keep the online version updated with the most current information; however, if the contents of the online version are in conflict with official UAB policies and procedures, the official policies and procedures will take precedence.

Section 12 – UAB General Policies

12.1 EQUAL OPPORTUNITY and DISCRIMINATORY HARASSMENT POLICY

November 8, 2011

(Replaces policy dated January 7, 2010)

See also UAB's "Policy Concerning Consensual Romantic Relationships".

Policy Statement

The University of Alabama at Birmingham (UAB) hereby reaffirms its policy of equal opportunity in education and employment.

Equal Employment Opportunity

The University of Alabama at Birmingham is expressly committed to maintaining and promoting nondiscrimination in all aspects of recruitment and employment of individuals at all levels throughout UAB. In accordance with applicable law, UAB prohibits, and will not tolerate, discrimination in any personnel actions, UAB programs, and UAB facilities on the basis of race, color, religion, sex, national origin, disability unrelated to job performance, veteran status, or genetic or family medical history. In addition, UAB prohibits, and will not tolerate, discrimination against individuals on the basis of their sexual orientation, gender identity or gender expression. UAB also complies with the Age Discrimination in Employment Act which prohibits employment discrimination against persons 40 years of age or older. UAB will not tolerate any conduct by an administrator, supervisor, faculty, or staff member which constitutes any form of prohibited discrimination. All personnel actions, programs, and facilities are administered in accordance with UAB's equal opportunity commitment and affirmative action plan.

UAB will state its position as an equal opportunity/affirmative action employer in all solicitations and advertisements for employment vacancies placed by, or on behalf of, UAB. UAB will broadly publish and circulate its policy of equal employment opportunity by including a statement in all media communication and printed matter for employment purposes. Further, UAB will consider, through appropriate established procedures, complaints of any individual who has reason to believe that he or she has been affected by prohibited discrimination. See also the "Complaints" section below.

Equal Education Opportunity

As an institution of higher education and in the spirit of its policies of equal employment opportunity, UAB hereby reaffirms its policy of equal educational opportunity. UAB prohibits, and will not tolerate, discrimination in admission, educational programs, and other student matters on the basis of race, color, religion, sex, sexual orientation, gender identity, gender expression, age, national origin, disability unrelated to program performance, veteran status, or genetic or family medical history. Complaints by any applicant or student who has reason to think he or she has been affected by discrimination will be considered through appropriate established procedures. See also the "Complaints" section below.

This policy must be included in all student handbooks and catalogs. The following summary statement may be printed in other UAB publications:

The University of Alabama at Birmingham prohibits discrimination in admission, educational programs, and other student matters on the basis of race, color, religion, sex, sexual orientation, gender identity,

gender expression, age, national origin, disability unrelated to program performance, veteran status or genetic or family medical history.

DISCRIMINATORY HARASSMENT POLICY

In keeping with its commitment to maintaining an environment that is free of unlawful discrimination and in keeping with its legal obligations, UAB prohibits unlawful harassment (and discouraging conduct that, while not unlawful, could reasonably be considered unwelcome). Discriminatory harassment of any kind is not appropriate at UAB, whether it is sexual harassment or harassment on the basis of race, color, religion, sex, sexual orientation, gender identity, gender expression, age, national origin, disability unrelated to program performance, veteran status, genetic or family medical history, or any factor that is a prohibited consideration under applicable law. At the same time, UAB recognizes the centrality of academic freedom and its determination to protect the full and frank discussion of ideas. Thus, discriminatory harassment does not refer to the use of materials about or discussion of race, color, religion, sex, sexual orientation, gender identity, gender expression, age, national origin, disability unrelated to program performance, veteran status, or genetic or family medical history for scholarly purposes appropriate to the academic context, such as class discussions, academic conferences, or meetings.

A. Definitions and Description of Prohibited Conduct.

1. Sexual Harassment

Harassment on the basis of sex is a violation of Section 703 of Title VII of the Civil Rights Act of 1964 and Title IX of the Education Amendments of 1972. *Unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature constitute sexual harassment when:*

- *Submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment (or a student's status)*
- *Submission to or rejection of such conduct by an individual is used as the basis for employment decisions (or academic decisions) affecting such individual or*
- *Such conduct has the purpose or effect of unreasonably interfering with an individual's work performance (or a student's academic performance) or creating an intimidating, hostile, or offensive work (or academic) environment.*

Under the law, sexual harassment does not refer to occasional compliments or conduct of a socially acceptable nature. Nor does it refer to the use of materials or discussion related to sex and/or gender for scholarly purposes appropriate to the academic context. It does refer to non-academic remarks or actions of a sexual nature that are not welcome and are likely to be viewed as personally offensive. This can include but is not limited to any of the following activities that are unwelcome by the recipient: physical or verbal advances; sexual flirtations; propositions; verbal abuse of a sexual nature; vulgar talk or jokes; degrading graphic materials or verbal comments of a sexual nature about an individual or his or her appearance; the display of sexually suggestive objects outside a scholarly context and purpose; and physical contact of a sexual or particularly personal nature. Cartoons, pictures, or other graphic materials that create a hostile or offensive working environment may also be considered as harassment. In addition, no one should imply or threaten that an employee's, applicant's, or student's "cooperation" with unwelcome sexual advances or requests for sexual favors (or refusal thereof) will have any effect on the individual's employment, assignment, compensation, advancement, career development, grades, or any other condition of employment or status as a student.

2. Discriminatory Harassment of a Non-Sexual Nature

The same principles related to sexual harassment also apply to harassment on the basis of any characteristic that is protected by law. Thus, UAB's policy prohibits discriminatory harassment of a non-sexual nature, which includes *verbal, physical, or graphic conduct that denigrates or shows hostility or aversion toward an individual or group on the basis of race, color, religion, sex, national origin, disability unrelated to job performance, veteran status, genetic or family medical history, or other status protected by applicable law and that*

- *Has the purpose or effect of creating an intimidating, hostile, or offensive employment, educational, or living environment; or*
- *Has the purpose or effect of unreasonably interfering with an individual's work performance or a student's academic performance.*

UAB also adopts these principles with regard to discrimination or discriminatory harassment on the basis of sexual orientation, gender identity and gender expression.

Prohibited behavior may, for example, include conduct or material (physical, oral, written, or graphic, including e-mail messages, text messaging or use of social media posted or circulated in the community) involving epithets, slurs, negative stereotyping, or threatening, intimidating, or hostile acts, that serves no scholarly purpose appropriate to the academic context and gratuitously denigrates or shows hostility or aversion toward an individual or group because of race, color, religion, sex, sexual orientation, gender identity, gender expression, age, national origin, disability unrelated to program performance, veteran status, genetic or family medical history, or any factor protected by applicable law.

3. Applicability of Policy

In determining whether the conduct at issue is sufficient to constitute discriminatory harassment in violation of this policy, the conduct will be analyzed from the *objective standpoint of a "reasonable person"* under similar circumstances. No violation of the policy should be found if the challenged conduct would not create a hostile environment (i.e., substantially affect the work environment of a "reasonable person.") See EEOC Policy Guidance on Current Issues of Sexual Harassment at www.eeoc.gov.

All harassing conduct prohibited by this policy, whether committed by faculty, staff, administrators, or students, is strictly prohibited and will bring prompt and appropriate disciplinary action, including possible termination of employment or permanent exclusion from UAB. This policy shall apply to any UAB-sponsored event or program, whether on or off campus, or other situations in which an individual is acting as a member of the UAB community.

The level of discipline imposed will depend upon the severity and pervasiveness of the conduct, which may be determined by the existence of prior incidents of harassment or discrimination. Depending upon the severity of the offense, however, a single violation of this policy may be sufficient for termination of employment or expulsion from an academic program.

B. Prohibition Against Retaliation.

Retaliation against an individual who, in good faith, complains about or participates in an investigation of an allegation of discrimination or harassment is prohibited. Any individual who feels he or she has been retaliated against, or has been threatened with retaliation, should report that allegation immediately to the Office of the Vice President for Equity and Diversity or to the Office of the Chief Human Resources Officer.

C. False Accusations.

Anyone who knowingly makes a false accusation of discrimination, harassment, or retaliation will be subject to appropriate sanctions. However, failure to prove a claim of discrimination, harassment, or retaliation does not, in and of itself, constitute proof of a knowing false accusation.

Complaints

For purposes of this policy, a "complaint" is a formal notification (usually in writing) of the belief that prohibited discrimination has occurred. Prior to filing a formal complaint, an individual is strongly encouraged to resolve a discrimination allegation through an informal process.

UAB Staff, Faculty, and Students: The procedure for resolving allegations when both the individual making the complaint and the person against whom the complaint is made are employed or enrolled at UAB is described in the sections entitled "Informal Resolution Procedure" and "Submitting a Formal Complaint."

All Others: Situations that involve other individuals (for example, visitors, patients, alumni or former students, applicants for admission or employment, or former employees) who believe they have been discriminated against by someone either employed by, or enrolled at, UAB are to be addressed through the process entitled "Informal Resolution Procedure".

Informal Resolution Procedure

(NOTE: Procedures similar to the following informal process are also included in UAB's "Problem Resolution Procedure for Nonfaculty Employees" and in the UAB *Faculty Handbook and Policies*.)

Although none of the actions set forth below is required before an individual is eligible to file a formal complaint, UAB encourages use of these mechanisms for informal resolution of the complaint. This list is not exhaustive. Actions taken using any of these mechanisms do not necessarily constitute a finding of discrimination.

1. **One-on-one Meeting.** The person making the complaint is encouraged to meet with the person whose behavior is considered discriminatory to discuss the situation and to seek resolution.
2. **Intervention by Supervisor, Manager, or Department/Unit Head.** The person making the complaint is encouraged to contact his/her supervisor to request assistance with resolving the allegation of discrimination.
3. **Facilitated Conversation.** If one-on-one meetings or intervention by departmental officials as indicated above do not resolve the discrimination allegation, the individual making the complaint may contact the appropriate office to request the assistance of a "facilitator." Facilitated conversations allow the parties involved to discuss the relevant issues in order to seek mutually agreeable solutions.

Individuals may contact the following for assistance with any aspect of the Informal Resolution Procedure:

Employees may contact their assigned HR Consultant or Employee Relations.

Faculty employees may contact the Office of the Provost or Employee Relations.

Students may contact the Office of the Vice Provost for Student and Faculty Success

Disability Support Services is available for consultation in any instances involving disabilities.

The Office of the Vice President for Equity and Diversity is also available for consultation.

Should the above mechanisms fail to resolve the matter satisfactorily, a complaint may be filed by *Staff, Faculty and Students* through the formal complaint process.

Potential Disciplinary Action

A violation of this policy may result in disciplinary action up to and including discharge.

Submitting a Formal Complaint

Before filing a formal complaint of alleged discrimination, the relevant parties are encouraged to use one or more of the options outlined above for informal resolution of the allegation. If one chooses to proceed with a complaint, the complaint may be submitted in writing to one of the following, as appropriate:

Staff and Faculty

HR Consultant/Employee Relations
Office of the Chief Human Resources Officer

Office of the Provost
Office of the Vice President for Equity and Diversity

Students

Non-academic Conduct Officer
Disability Support Services (for disability discrimination)
Office of the Vice Provost for Student and Faculty Success

To the extent possible, all complaints will be handled confidentially and addressed in accordance with UAB policy. The complaints will be referred to the appropriate area for review and investigations will be conducted in a timely manner. In instances where staff, faculty and student issues overlap, the areas listed above will confer and/or work collaboratively to resolve the issue.

All individuals may use the procedures without penalty or fear of retaliation.

Also, any inquiries or complaints concerning the application of the Americans with Disabilities Act (ADA); Title VII of the Civil Rights Act of 1964; Executive Order 11246, as amended; Title IX of the Education Amendments of 1972; the Rehabilitation Act of 1973; or other legislation and its implementing regulations as they relate to the University of Alabama at Birmingham should be directed to one of the officials listed above.

Overall Implementation

The Office of the Vice President for Financial Affairs and Administration and the Office of the Provost are responsible for submitting revisions to be considered for this policy.

12.2 General UAB Policies

UAB policies and procedures are established to provide an environment that is conducive to working, learning, and providing services to the public. Such policies include guidelines for employees, for the administration, for protecting employees' rights, and for providing an atmosphere in which one's best potential can be realized.

To this end, UAB has established policies covering various matters relevant to employees, students, and others at UAB. The following sections include some of the policies of which you should be aware; it is not an exhaustive list. Other personnel-related policies are covered throughout this handbook and in other UAB administrative documents.

12.3 Summaries of Selected UAB Policies

Because policies are updated from time-to-time, the most recent versions of the policies summarized here are available to all employees through their department/unit heads or through the Office of Human Resources. See also Section 12.4 for the full text of other policies.

12.3.1 Acceptance of Benefits, Awards, and Prizes from External Entities

Summary: Employees who purchase goods and services for UAB are prohibited from accepting personal gifts, services, gratuities, or other things of more than nominal value for themselves or for members of their immediate families from commercial enterprises with which UAB does business or with which it is likely to do business. Also prohibited is the paying for travel expenses for UAB employees by vendors in order to demonstrate

products.

If recognition of a UAB employee by an external entity includes a monetary prize in excess of \$100 or some other tangible benefit valued in excess of \$100, the recipient must report such award or prize to the appropriate vice president/Provost/CEO of the UAB Health System prior to accepting it.

12.3.2 Consumption of Alcoholic Beverages

Summary: This policy pertains to the legal possession, use, and distribution of alcoholic beverages on UAB property or at UAB activities.

12.3.3 Computer Software

Note: This is an extensive and lengthy policy covering the external distribution of software that is created by UAB employees as a part of their work at UAB. Contact the Office of Human Resources for a copy if this policy applies to you.

12.3.4 Computer Software Copying and Use

Summary: Federal copyright laws and software license agreements for computer software must be adhered to for any software used on UAB computers. No illegally obtained or illegally copied (often referred to as “pirated”) computer software is allowed at UAB. Anyone connected with UAB who makes, uses, or otherwise acquires unauthorized computer software in connection with his or her role at UAB shall be subject to discipline which may include discharge.

12.3.5 Consensual Romantic Relationships

Summary: Employees (including faculty) may not engage in consensual romantic or sexual relationships when one party to the relationship is a supervisor who supervises, evaluates, or grades the other party.

12.3.6 Employee Airline Ticket Purchase

Summary: UAB Travel Services is the official travel service for UAB. All employee airline ticket purchases to be paid for directly by UAB departments/units from a UAB account must be ordered through UAB Travel Services. If an employee chooses to purchase an airline ticket for his or her UAB-related travel other than by using the procedure approved by UAB, certain conditions will apply as indicated in the full text of this policy. (See also Section 3.6.5.)

12.3.7 Firearms, Ammunition, and Other Dangerous Weapons

Summary: No firearms, ammunition, or dangerous weapons are allowed in buildings or other facilities of the University of Alabama at Birmingham at any time. A gun permit does not authorize a staff member, faculty member, student, patient, or visitor to bring firearms into UAB buildings or into other UAB facilities under any circumstances. UAB prohibits the possession, transportation and use of firearms, ammunition and other dangerous weapons on University property. This policy applies to all employees (faculty and staff), contractors, students, patients, and visitors. Exception is made for UAB Police officers, civil law enforcement officers, private security in the employ of the University or members of an officially recognized team or course who are acting strictly within the scope of sanctioned activities. Law enforcement officers who are attending classes as students, and who are not in uniform, must keep weapons concealed. If enforcement of

this policy results in a volatile or dangerous situation or encounter, the UAB Police should be summoned.

12.3.8 Information Disclosure and Confidentiality Policy

Summary: This policy (1) specifies that UAB is the owner of all information captured using UAB resources and assets; (2) specifies the conditions under which administrative, management, business, policy-making, etc., information may be released to parties external to UAB; and (3) specifies the confidentiality aspects of certain types of UAB information.

12.3.9 Maintenance of High Ethical Standards in Research and Other Scholarly Activities

Summary: This policy describes the responsibilities inherent in scientific, research, and scholarly endeavors. Included are procedures related to reporting misconduct, explanation of the role of the UAB Scientific Integrity Officer, and a form for documenting the reporting and review process.

12.3.10 Patent Policy (See “Ownership of Intellectual Property Rights,” Section 7.13.)

12.3.11 Personal Services Approval and Payment—UAB Employee

Summary: Specifies the proper treatment of payments for individual services rendered to UAB, in accordance with the Internal Revenue Code, the Fair Labor Standards Act, and other laws and governmental regulations.

12.3.12 Personnel Monitoring Control of Radiation

Summary: Pertains to the issuing, wearing, and collecting of personnel radiation dosimeters used in monitoring UAB personnel for radiation exposure.

12.3.13 Re-employment of UAB Retirees

Summary: Describes provisions under which UAB may employ, or contract with, a person who is receiving retirement benefits from the Alabama Teachers’ Retirement System. Also describes additional provisions for employment by UAB of a person who previously has retired from UAB.

12.3.14 Severance Pay and Benefits for Nonfaculty Employees

Summary: This policy specifies the amounts of severance pay which will be paid for various types of full-time regular UAB nonfaculty employees who are terminated for the following reasons: loss of position due to institutional restructuring, elimination of position, or downsizing as a result of decisions made and approved by management.

12.4 Full Text of Selected UAB Policies

The following pages contain the full text of the UAB policies listed below. Because policies are updated from time-to-time, the most recent version of these policies is available from one’s supervisor or department/unit head or through the Office of Human Resources.

AIDS and HIV Infection

Drug-free Workplace Policy

Electronic Data Processing Security

Employee Falsification of UAB Records and Documents

Hiring Approval Policy

Nonsmoking Policy

UAB University Hospital Attendance Policy



The John N. Whitaker Building

Policy Concerning AIDS and HIV Infection

April 24, 1998

(Replaces "Policy Concerning AIDS and AIDS-related Conditions"
dated September 21, 1989)

NOTE: See also UAB University Hospital policies concerning prevention of transmission of HIV infections.

Definitions

The following are definitions or explanations of terminology used in this policy:

AIDS—Acquired immunodeficiency syndrome occurs in someone with HIV infection when one or more of certain diseases or infections occurs or when a CD4 (also known as T4 helper) lymphocyte cell count is below 200.

HIV—Human immunodeficiency virus (the virus which causes AIDS).

HIV antibody—A protein in the body produced in response to infection with HIV. (There are tests which look for HIV antibody in a person infected with HIV.)

HIV infection—A condition involving asymptomatic (without symptoms) or symptomatic (with symptoms) stages of infection.

Introduction

Human immunodeficiency virus (HIV) is the virus which causes the disease, AIDS. Infection with that virus damages the human body's immune (defense) system and allows life-threatening infections to develop. HIV has no known cure or vaccine for prevention. Available medical knowledge indicates that transmission of HIV is primarily through sexual contact or sharing intravenous drug paraphernalia with someone who has an HIV infection. It also can be spread from an infected mother to her baby before, or during, delivery and through breast feeding. HIV cannot be transmitted through casual contact such as sharing food or drink, touching surfaces, shaking hands, dry kissing, or working together. HIV cannot be transmitted by mosquitoes or other insects.

Even if there are no symptoms, an HIV-infected person can transmit HIV to a sexual partner or to a needle-sharing partner.

Because of the seriousness of the HIV/AIDS issue, the University of Alabama at Birmingham has established this policy which focuses on prevention (through detailed education of students, faculty, and staff) and on the compassionate care of people with HIV infection or AIDS.

A supervisor or anyone in the UAB community who becomes aware of an HIV/AIDS-related situation involving an employee, student, or visitor shall follow the guidelines stated in this policy.

Policy Statement

1. Admissions or Employment

The University of Alabama at Birmingham accepts otherwise-qualified individuals presenting themselves for admission or employment, irrespective of their HIV status.

2. Handicapping Conditions

Persons with AIDS (and, possibly, those with other manifestations of HIV infection) will be considered as having handicapping conditions as defined in the Rehabilitation Act of 1973 and the Americans with Disabilities Act. In determining policy and in making related decisions, UAB officials shall properly attend to the legal rights of these individuals and shall make reasonable accommodations as are appropriate for individuals with handicapping conditions.

Decisions regarding the continuation of employment of faculty and staff with HIV infection or AIDS will be made on the basis of job-related criteria. Within current UAB policies and procedures, individuals may be reassigned to accommodate a disabling condition. Termination will be pursued only when the employee, even with reasonable reassignment of responsibilities, can no longer perform the duties and responsibilities of his or her position. Any such termination action will be taken in accordance with established UAB procedures.

3. Student Attendance

UAB students who have HIV infections, whether they are symptomatic or asymptomatic, will be allowed regular classroom attendance as long as they are physically and mentally able to attend classes as determined by current UAB academic standards.

HIV-infected students enrolled in UAB health profession schools may have their educational program modified by their school to limit the risk of disease transmission, in accordance with the Alabama Infected Health-care Worker Management Act.

4. Access to Facilities

There will be no unreasonable restriction of access on the basis of HIV infection to student or employee facilities, theaters, restaurants, snack bars, gymnasiums, swimming pools, saunas, recreational facilities, or other common areas.

5. Student Housing

Currently available medical information does not indicate that there exists a risk of transmission of infection by casual contact which would preclude sharing a residence with a person with AIDS or HIV infection. However, there may be reasonable concern for the health of students with immune deficiencies (of any origin) when those students might be exposed to certain contagious diseases (for example, measles or chicken pox) in a close living situation. For these reasons, decisions regarding housing and private rooms for students with HIV infections will be made on a case-by-case basis by UAB Student Housing and Residential Life officials. It is the responsibility of the student to make his/her HIV status known to UAB in order for any accommodation request to be considered. It also is the responsibility of an HIV-infected student to take necessary precautions to avoid exposure of others to infection through known means of transmission.

6. Self-disclosure

In general, students, student applicants, employees, and applicants for employment at UAB will not be asked to respond to questions concerning the existence of HIV infection. However, both students and employees with HIV infection are encouraged to inform campus health-care providers so that UAB may provide information about proper medical care, medical care availability, support, counseling, and education. This, like any other medical information, will be handled in a strictly confidential manner in accordance with established UAB policy and Alabama law.

7. Immunizations

Incoming students known to have HIV infection need not be exempted from UAB requirements for nonlive virus vaccinations. However, because of potentially serious consequences for HIV-infected persons' receiving live virus vaccines, persons who are recommended to receive such immunizations should consult the UAB Student Health Center or the Jefferson County Department of Health for current recommendations.

8. Information, Testing, and Counseling

A. Testing

Students or employees requesting HIV antibody testing will be referred to the Jefferson County Department of Health. UAB University Hospital employees also may receive such testing through the Employee Health Services.

B. Services

Counseling, information, and education are available through various UAB units including the Student Health Service, the Division of Student Affairs, the Hospital Employee Health Service, and the Office of Human Resources. These services currently are made available to the students or employees at no cost and in accordance with the guidelines in each unit.

9. Confidentiality of Information

A. Standards

No information concerning HIV infection or AIDS or their diagnoses will be provided to any third party other than an employee's immediate supervisor without the expressed written consent of the infected person. Medical information cannot be released to any person, group, agency, insurer, employer, or institution without specific written consent of the patient or legal guardian, except as required by law. All disclosures of diagnoses of HIV infection or AIDS to individuals functioning in supervisory roles must be treated as confidential information.

According to present law, UAB physicians and other health-care providers are mandated to protect the confidentiality of medical information with exceptions being made only if the need arises to protect others in very specific, life-threatening circumstances. Also, disclosure by persons other than health-care providers that an individual has HIV infection or AIDS may be considered an invasion of that individual's privacy. Situations in which disclosure will be made will be determined on a case-by-case basis in consultation with the chair of the AIDS Activities Coordinating Committee and the Office of Counsel, if needed.

B. Public Health Reporting Requirements

UAB will observe the public health reporting requirements of the Alabama State Department of Public Health. Individuals known to have HIV infection will be reported to the State Department of Public Health according to prevailing statutes.

C. "Need to Know"

According to the American College Health Association, current medical information concerning HIV neither justifies nor requires warning others of the presence of someone with HIV infection or AIDS. Given the absence of any evidence of transmission of HIV by casual contact, there is no need or justification for warning individuals in the academic workplace, administrative officers, or instructors of the presence of such an individual. Therefore, the number of people at UAB who will be aware of the existence and/or identity of students or employees who have HIV infection will be kept to an absolute minimum, both to protect the confidentiality and the privacy of the infected persons and to avoid the generation of unnecessary fear and anxiety among faculty, staff, and students.

10. Education

11. Training requirements for employees deemed at-risk by the AIDS Activities Coordinating Committee shall consist of sessions sufficient in number and depth to comply with prevailing Centers for Disease Control and Prevention recommendations and "Bloodborne Pathogens Standards." In the absence of such guidelines, the AIDS Activities Coordinating Committee shall determine educational standards. Records of AIDS education training for at-risk employees shall be maintained in the appropriate UAB Human Resources office.

11. Safety Precautions

A. Personnel

Since many people with HIV infection are not identified in advance, universal precautions as defined by the Centers for Disease Control and Prevention and by the Occupational Safety and Health Administration will guide the procedures for the handling of blood and body fluids containing viable blood of any student, employee, or patient. Questions regarding these safety guidelines should be directed to the Department of Occupational Health and Safety, the Hospital Employee Health Service, the Office of Human Resources, the Hospital Committee on Infections, or the UAB Biosafety Committee. Each unit has the responsibility for developing department-specific directives and procedures. Departments also have the responsibility for compliance monitoring and staff education to prevent the transmission of HIV infection.

B. Equipment

Manuals and procedures already in use at UAB cover the precautions which should be taken when handling infectious materials. Certain of those procedures are re-emphasized here especially as pertains to

the transmission of HIV infection.

UAB personnel will use disposable, single-use needles and other equipment whenever such equipment will puncture the skin or mucous membranes of patients, employees, or students. Extreme caution should be exercised when handling sharp objects, particularly in disposing of needles. All used needles should be placed in puncture-resistant containers designated for this purpose. Needles should never be bent or recapped after use. Any needles which are made to be re-used or other equipment that punctures skin or mucous membranes should be appropriately cleaned and sterilized before re-use. Blood-soaked articles should be placed in leakproof bags with biohazard labels before being sent for reprocessing or disposal in accordance with established UAB infection control guidelines.

C. Teaching Laboratories

Laboratory courses requiring exposure to blood, such as biology courses in which blood is obtained by finger prick for typing or examination, should use disposable equipment, and no lancets or other blood-letting devices should be re-used or shared. No students, except those in health-care professions, should be required to obtain or process the blood of others.

12. Job Performance

Faculty, staff, students, and all other persons affiliated with UAB shall perform the responsibilities of their positions irrespective of the HIV status of patients, students, or co-workers. Failure to comply with this policy will be considered a failure to adequately perform the responsibilities of one's position and may result in disciplinary action up to, and including, discharge.

13. Behavior Risk

UAB students, faculty, and staff with HIV infection or AIDS who are aware of the potential danger of their condition to others and who engage in behavior (while performing their employee-related or student-related activities) which threatens the safety and welfare of others may be subject to disciplinary action in accordance with established UAB disciplinary procedures and/or applicable law.

Applicability to Other UAB AIDS Policies

More specific, written guidelines and procedures are the responsibility of individual departments and may be developed, as needed, by department/unit heads. All unit policies must be compatible with this UAB-wide policy and may not be in conflict with it.

Drug-free Workplace Policy

March 10, 1992

(Replaces policy dated November 2, 1990.)

NOTE: This policy was approved by the University of Alabama System on March 2, 1992.

NOTE: See also the following related policies:

Board of Trustees Board Rule 303 [formerly 315] *Compliance with Drug-free Workplace Requirements*;

Drug-free Campus Policy for Students;

School of Medicine "Policy on Impairment and Chemical Substance Abuse";

School of Dentistry "Policy on Impairment and Chemical Substance Abuse";

School of Nursing "Policy on Impairment and Chemical Substance Abuse";

University Hospital pre-employment drug testing rules and regulations;

"Dismissal" sections of the following handbooks and manuals: *You & UAB Handbook for Administrative,*

Professional, and Support Personnel; Personnel Policies and Procedures Manual; and Faculty Handbook.

Policy Statement

Unlawful possession, use, manufacture, distribution, or dispensing of illicit drugs, controlled substances, or alcoholic beverages by any UAB employee, including employees of UAB programs in foreign countries, during his or her work period, whether on the premises of UAB or at any other site where the employee is carrying out assigned UAB duties, is prohibited. The legal possession, use, or distribution of alcoholic beverages on UAB property or at UAB activities is governed by the *UAB General Policy Regarding the Use and Consumption of Alcoholic Beverages* and applicable local, state, and federal laws.

In certain situations, the University is required to report the activities prohibited by this policy to appropriate law enforcement authorities. In all cases, the University may report activities prohibited by this policy to appropriate law enforcement authorities if it appears that the activity is a violation of law.

Disciplinary Actions

Violation of this policy by employees shall result in immediate suspension. Except in those cases in which an unusual mitigating or extenuating circumstance exists, suspension will be followed by dismissal without notice.

All disciplinary measures against tenured employees/faculty members or against those employed for a specific term will be carried out in accordance with rules governing those situations.

In some cases of first violation of this policy for unlawful use, an employee may be given, at the discretion of the University, the option to participate satisfactorily in an approved drug or alcohol abuse assistance or rehabilitation program in lieu of dismissal. Participation in such an assistance or rehabilitation program is at the expense of the employee. The option shall not be available for subsequent violations of the policy.

Drug-free Awareness Program

UAB shall inform employees of the dangers of drug and alcohol abuse in the workplace, of the existence of this policy statement and its penalties for violations, and of available drug and alcohol counseling, rehabilitation, and assistance through the following activities:

1. Publication, at least annually, of this policy in appropriate employee publications such as the *UAB Report* and distribution to employees in UAB's foreign programs and to employees in programs conducted in conjunction with foreign universities;
2. Inclusion of this policy in future editions of employee handbooks;
3. Dissemination of this policy and of information at employee orientation and assistance programs regarding the dangers of drug and alcohol use and abuse and available rehabilitation programs;
4. Dissemination of information to supervisors concerning their responsibilities relative to the provisions of this policy.

Notifications and Distribution of the Policy

All persons employed by the University will be provided a copy of this policy and will be advised that, as a condition of employment, they are required (1) to abide by this policy and (2) to notify their supervisors of any criminal drug statute conviction for a violation occurring in the University workplace within five days after such conviction. A supervisor who receives such a notice from an employee shall forward the notice through proper administrative channels to the appropriate vice president [or Provost or CEO of UAB Health System]. Within thirty days of receiving notice, UAB will implement personnel action as indicated in the “Disciplinary Actions” section of this policy.

Special Conditions Applicable to Persons Performing Work on Federal Grants or Contracts

In cases in which a UAB employee is supported by a federal grant or contract, the appropriate vice president [or Provost or CEO of UAB Health System], upon receiving a notice of conviction covered by this policy, shall notify the UAB Office of Research and Grants Administration [Office of Grants and Contracts Administration]. Within ten days after receiving notice of conviction of an employee, the Office of Research and Grants Administration [Office of Grants and Contracts Administration] shall notify the granting agency of the conviction.

Applicability to Other Policies

Other drug-free policies created to cover specific areas of the University may be more restrictive than this policy but may not be less restrictive. At a minimum, other such policies must include, or reference, the provisions of this policy. Violators will be subject to the provisions of the more stringent policy but will not be punished under more than one policy for the same offense.

This policy does not revoke or otherwise interfere with policies in the health professional schools designed to determine whether health care professionals are impaired and to offer rehabilitation, subject to the above provisions.

The wording in the “Dismissal” sections of the *You & UAB Handbook for Administrative, Professional, and Support Personnel* and the *Personnel Policies and Procedures Manual* which relates to causes of dismissal due to the use, possession, etc. of illicit drugs, controlled substances, or alcoholic beverages is superseded by the wording of this policy’s “Policy Statement” section until those publications sufficiently incorporate the provisions of this policy.

Attachments

The “Applicable Legal Sanctions,” “Drug and Alcohol Use Health Risks,” and “Drug and Alcohol Counseling, Treatment, and Rehabilitation Programs” attached to this policy are a part of the policy but may be revised from time to time without affecting the policy itself.

Effective Date and Implementation

This policy is effective immediately upon its being signed by the President.

The Office of the Vice President for Administration [Vice President for Financial Affairs and Administration] is responsible for the development and maintenance of procedures to implement this policy.

In addition to being distributed to employees on the UAB campus, this policy will be distributed to employees in UAB’s foreign programs and to employees in programs conducted in conjunction with foreign universities. The Center for International Programs is responsible for all distributions to UAB employees participating in foreign programs.

Attachment A

“Applicable Legal Sanctions”

March 10, 1992

Federal Penalties and Sanctions for Illegal Possession of a Controlled Substance
(55 Federal Register 33589)

21 U.S.C. 844(a)

First conviction: Up to 1 year imprisonment and fined at least \$1,000 but not more than \$100,000, or both.

After 1 prior drug conviction: At least 15 days in prison, not to exceed 2 years and fined at least \$2,500 but not more than \$250,000, or both.

After 2 or more prior drug convictions: At least 90 days in prison, not to exceed 3 years and fined at least \$5,000 but not more than \$250,000, or both.

Special sentencing provisions for possession of crack cocaine: Mandatory at least 5 years in prison, not to exceed 20 years and fined up to \$250,000, or both, if:

(a) First conviction and the amount of crack possessed exceeds 5 grams.

(b) Second crack conviction and the amount of crack possessed exceeds 3 grams.

(c) Third or subsequent crack conviction and the amount of crack possessed exceeds 1 gram.

21 U.S.C. 853(a)(2) and 881(a)(7)

Forfeiture of personal and real property used to possess or to facilitate possession of a controlled substance if that offense is punishable by more than 1 year imprisonment. (See special sentencing provisions re: crack.)

21 U.S.C. 881(a)(4)

Forfeiture of vehicles, boats, aircraft, or any other conveyance used to transport or conceal a controlled substance.

21 U.S.C. 844a

Civil fine of up to \$10,000 (pending adoption of final regulations).

21 U.S.C. 853a

Denial of Federal benefits, such as student loans, grants, contracts, and professional and commercial licenses, up to 1 year for first offense, up to 5 years for second and subsequent offenses.

18 U.S.C. 922(g)

Ineligible to receive or purchase a firearm.

Miscellaneous

Revocation of certain Federal licenses and benefits, e.g., pilot licenses, public housing tenancy, etc., are vested within the authorities of individual Federal agencies.

Note: See Attachment A.1 for additional Federal drug trafficking penalties and information.

Note: These are only Federal penalties and sanctions. Additional *State* penalties and sanctions may apply.

Federal Trafficking Penalties

As of November 18, 1988

CSA	PENALTY		Quantity	DRUG	Quantity	PENALTY	
	2nd Offense	1st Offense				1st Offense	2nd Offense
I and II	Not less than 10 years. Not more than life. If death or serious injury, not less than life. Fine of not more than \$4 million individual, \$10 million other than individual.	Not less than 5 years. Not more than 40 years. If death or serious injury, not less than 20 years. Not more than life. Fine of not more than \$2 million individual, \$5 million other than individual.	10-99 gm or 100-999 gm mixture	METHAMPHETAMINE	100 gm or more or 1 kg ¹ or more mixture	Not less than 10 years. Not more than life. If death or serious injury, not less than 20 years. Not more than life. Fine of not more than \$4 million individual, \$10 million other than individual.	Not less than 20 years. Not more than life. If death or serious injury, not less than life.
			100-999 gm mixture	HEROIN	1 kg or more mixture		
			500-4,999 gm mixture	COCAINE	5 kg or more mixture		
			5-49 gm mixture	COCAINE BASE	50 gm or more mixture		
			10-99 gm or 100-999 gm mixture	PCP	100 gm or more or 1 kg or more mixture		
			1-10 gm mixture	LSD	10 gm or more mixture		
			40-399 gm mixture	FENTANYL	400 gm or more mixture		
10-99 gm mixture	FENTANYL ANALOGUE	100 gm or more mixture					
	Drug	Quantity	First Offense		Second Offense		
	Others ²	Any	Not more than 20 years. If death or serious injury, not less than 20 years, not more than life. Fine \$1 million individual, \$5 million not individual.		Not more than 30 years. If death or serious injury, life. Fine \$2 million individual, \$10 million not individual.		
III	All	Any	Not more than 5 years. Fine not more than \$250,000 individual, \$1 million not individual.		Not more than 10 years. Fine not more than \$500,000 individual, \$2 million not individual.		
IV	All	Any	Not more than 3 years. Fine not more than \$250,000 individual, \$1 million not individual.		Not more than 6 years. Fine not more than \$500,000 individual, \$2 million not individual.		
V	All	Any	Not more than 1 year. Fine not more than \$100,000 individual, \$250,000 not individual.		Not more than 2 years. Fine not more than \$200,000 individual, \$500,000 not individual.		

¹Law as originally enacted states 100 gm. Congress requested to make technical correction to 1 kg.

²Does not include marijuana, hashish, or hash oil. (See separate chart.)

Federal Trafficking Penalties - Marijuana

As of November 18, 1988

Quantity	Description	First Offense	Second Offense
1,000 kg or more; or 1,000 or more plants	Marijuana Mixture containing detectable quantity*	Not less than 10 years, not more than life. If death or serious injury, not less than 20 years, not more than life. Fine not more than \$4 million individual, \$10 million other than individual.	Not less than 20 years, not more than life. If death or serious injury, not less than life. Fine not more than \$8 million individual, \$20 million other than individual.
100 kg to 1,000 kg; or 100-999 plants	Marijuana Mixture containing detectable quantity*	Not less than 5 years, not more than 40 years. If death or serious injury, not less than 20 years, not more than life. Fine not more than \$2 million individual, \$5 million other than individual.	Not less than 10 years, not more than life. If death or serious injury, not less than life. Fine not more than \$4 million individual, \$10 million other than individual.
50 to 100 kg	Marijuana	Not more than 20 years. If death or serious injury, not less than 20 years, not more than life. Fine \$1 million individual, \$5 million other than individual.	Not more than 30 years. If death or serious injury, life. Fine \$2 million individual, \$10 million other than individual.
10 to 100 kg	Hashish		
1 to 100 kg	Hashish Oil		
50-99 plants	Marijuana		
Less than 50 kg	Marijuana	Not more than 5 years. Fine not more than \$250,000, \$1 million other than individual.	Not more than 10 years. Fine \$500,000 individual, \$2 million other than individual.
Less than 10 kg	Hashish		
Less than 1 kg	Hashish Oil		

*Includes Hashish and Hashish Oil.

(Marijuana is a Schedule I Controlled Substance)

Summary of State Penalties and Sanctions

Under Alabama law, the possession, purchase, or consumption of alcoholic beverages by a person under 21 years of age is punishable by a fine of up to \$500 and by up to three months in jail. Also under Alabama law, for a first offense, unlawful possession of a controlled substance (that is, illegal drugs) may be punished by imprisonment up to ten years and a \$5,000 fine and unlawful distribution of controlled substances may be punished by imprisonment up to 20 years and a \$10,000 fine. Subsequent offenses may carry more stringent sentences.

Drug-Free Schools and Communities Act

Illegal drug and alcohol use, consumption, distribution, etc. on college and university campuses also are covered by the provisions of the United States Drug-Free Schools and Communities Act Amendment of 1989 (Public Law 101226).

Legal Sanctions in Foreign Countries

Employees in a program in a foreign country conducted by UAB alone or in conjunction with a foreign university also may be subject to sanctions under foreign law or under the Uniform Code of Military Justice. Although the legal sanctions described in this policy under United States law may not apply to employees in a foreign country, UAB will nevertheless hold such employees to the same standards as employees within the United States and will take the disciplinary actions described in this policy for violations of these standards.

Attachment B

“Drug and Alcohol Use Health Risks”

March 10, 1992

General

Although there has been recent change in American health habits and societal attitudes toward recreational drug and alcohol use, problems continue to exist and experimentation is starting at an earlier age. An important piece of information to surface in recent years is that even moderate, nonprescribed use of alcohol and nonprescribed use of drugs can have an adverse effect on overall health and well-being. Consider the following facts:

1. Drinking more than one or two alcoholic beverages a week promotes more visible signs of aging;
2. Consuming one and one-half or more alcoholic beverages per day increases the risk of breast cancer;
3. Drinking alcoholic beverages poisons the heart muscle, counteracts the benefits of exercise, increases male impotence, and depresses the body's immune system;
4. Tobacco use is a contributing factor in the development of chronic bronchitis, emphysema, circulatory problems, and coronary disease, as well as being the leading cause of lung cancer;
5. Cocaine use is responsible for kidney damage, stroke, lung and heart diseases, seizures, and intense psychological problems;
6. Many forms of narcotics are highly addictive to users;
7. Marijuana use creates certain dysfunctions related to thinking, learning, and recall; aggravates asthma, bronchitis, and emphysema; contributes to fertility problems; and contributes to the development of lung cancer;
8. The nonprescribed use of tranquilizers, barbiturates, and amphetamines is dangerous and may cause major health problems, including death;
9. Extended drug and/or alcohol use may result in substance dependency and loss of control of an individual's life.

Source: Compiled by UAB Substance Abuse Program from the following resources:

Drug Data: What Everyone Needs to Know about Mood-altering Drugs, Comp Care Publications, Minneapolis.

You Are What You Drink, Allan Luks and Joseph Barbato, Villard Books, New York.

You Can Stop, Jacquelyn Rogers, Simon & Schuster, New York.

Attachment B.2
(55 Federal Register 33590)

Controlled Substances - Uses & Effects

DURATION (Hours)
USUAL METHODS OF
ADMINISTRATION
TOLERANCE

DEPENDENCE
Physical Psychological

EFFECTS OF WITHDRAWAL
OVERDOSE SYNDROME

POSSIBLE
EFFECTS

MEDICAL
USES

TRADE OR
OTHER NAMES

DRUGS/
CSA SCHEDULES

NARCOTICS

DRUGS/ CSA SCHEDULES	TRADE OR OTHER NAMES	MEDICAL USES	DEPENDENCE Physical Psychological	DURATION (Hours) USUAL METHODS OF ADMINISTRATION	EFFECTS OF WITHDRAWAL OVERDOSE SYNDROME
II III V	Oxycodone, Percocet, Percodan, Tylox, Tyloxiprin, Tyloxiprin, Tyloxiprin, Tyloxiprin	Analggesic, antidiarrheal	High	3-6 Oral, smoked, injected	Watery, eyes, runny nose, yawning, loss of appetite, irritability, tremors, panic, cramps, nausea, chills and sweating
II III V	Morphine, MS-Contin, Fentanyl, Fentanyl	Analggesic, antidiarrheal	High	3-6 Oral, smoked, injected	Slow and shallow breathing, clammy skin, convulsions, coma, possible death
II III V	Hydrocodone, Vicodin, Norco, Tyloxiprin, Tyloxiprin	Analggesic, antidiarrheal	Moderate	3-6 Oral, injected, inhalant, smoked	Euphoria, drowsiness respiratory depression, constricted pupils, nausea
II	Hydrocodone	Analggesic	High	3-6 Oral, injected	
II	Meperidine (Pethidine)	Analggesic	High	3-6 Oral, injected	
II	Methadone	Analggesic	High-Low	12-24 Oral, injected	
II III IV V	Other Narcotics	Analggesic, antidiarrheal, antitussive	High-Low	Variable Oral, injected	

DEPRESSANTS

IV	Chloral Hydrate	Hypnotic	Moderate	5-8 Oral	Slurred speech, disorientation, drunken behavior without odor of alcohol
II III IV	Barbiturates	Anesthetic, anticonvulsant, sedative, hypnotic, veterinary euthanasia agent	High-Mod.	1-16 Oral	Shallow respiration, clammy skin, dilated pupils, weak and rapid pulse, coma, possible death
IV	Benzodiazepines	Anxiolytic, anticonvulsant, sedative, hypnotic	Low	4-8 Oral	
I	Methaqualone	Sedative, hypnotic	High	4-8 Oral	
III	Glutethimide	Sedative, hypnotic	High	4-8 Oral	
III IV	Other Depressants	Anxiolytic, sedative, hypnotic	Moderate	4-8 Oral	

STIMULANTS

II	Cocaine ¹	Local anesthetic	Possible	1-2 Smoked, smoked, injected	Agitation, increase in body temperature, hallucinations, convulsions, disorientation
II	Amphetamines	Attention deficit disorders, narcolepsy, weight control	Possible	2-4 Oral, injected	Increased alertness, excitation, euphoria, increased pulse rate & blood pressure, insomnia, loss of appetite
II	Phenmetrazine	Weight control	Possible	2-4 Oral, injected	
II	Methylphenidate	Attention deficit disorders, narcolepsy	Possible	2-4 Oral, injected	
III IV	Other Stimulants	Weight control	Possible	2-4 Oral, injected	

HALLUCINOGENS

I	LSD	None	None	8-12 Oral	Longer, more intense "trip" episodes, psychosis, possible death
I	Mescaline and Peyote	None	None	8-12 Oral	Withdrawal syndrome not reported
I	Amphetamine Variants	None	Unknown	Variable Oral, injected	
II	Phencyclidine	None	Unknown	Days Smoked, oral, injected	
I	Phencyclidine Analogues	None	High	Days Smoked, oral, injected, smoked	
I	Other Hallucinogens	None	Unknown	Variable Oral, injected, smoked	

CANNABIS

I	Marijuana	None	Unknown	2-4 Smoked, injected	Anxiety, insomnia, hyperactivity and decreased appetite occasionally reported
I	Tetrahydrocannabinol	Contraceptive therapy, antitussive	Unknown	2-4 Smoked, oral	Fatigue, paranoia, possible psychosis
I	Hashish	None	Unknown	2-4 Smoked, oral	increased appetite, disoriented behavior
I	Hashish Oil	None	Unknown	2-4 Smoked, oral	

¹ Designated a narcotic under the CSA. ² Not designated a narcotic under the CSA.

Attachment B.1

Alcohol — Effects (55 Federal Register 33591)

Alcohol consumption causes a number of marked changes in behavior. Even low doses significantly impair the judgment and coordination required to drive a car safely, increasing the likelihood that the driver will be involved in an accident. Low to moderate doses of alcohol also increase the incidence of a variety of aggressive acts, including spouse and child abuse. Moderate to high doses of alcohol cause marked impairments in higher mental functions, severely altering a person's ability to learn and remember information. Very high doses cause respiratory depression and death. If combined with other depressants of the central nervous system, much lower doses of alcohol will produce the effects just described.

Repeated use of alcohol can lead to dependence. Sudden cessation of alcohol intake is likely to produce withdrawal symptoms, including severe anxiety, tremors, hallucinations, and convulsions. Alcohol withdrawal can be life-threatening. Long-term consumption of large quantities of alcohol, particularly when combined with poor nutrition, can also lead to permanent damage to vital organs such as the brain and the liver.

Mothers who drink alcohol during pregnancy may give birth to infants with fetal alcohol syndrome. These infants have irreversible physical abnormalities and mental retardation. In addition, research indicates that children of alcoholic parents are at greater risk than other youngsters of becoming alcoholics.

Uses and Effects of Controlled Substances

See Attachment B.2 for additional information concerning health risks involved in drug use.

Attachment C

“Drug and Alcohol Counseling, Treatment, and Rehabilitation Programs”

March 10, 1992

Employee Services

The Faculty and Staff Assistance Program [The Resource Center] was established to provide comprehensive counseling and referral services to all UAB employees or their dependents with drug- and/or alcohol-related problems. Referrals for services are confidential and may include the following:

UAB Mental Health Services
Center for Psychiatric Medicine
1713 Sixth Avenue South
Birmingham, Alabama 35294-0018
ACCESS line 934-7008

UAB Substance Abuse Program
401 Beacon Parkway East
Birmingham, Alabama 35209
917-3733

UAB Benevolent Fund
934-2281

Other non-UAB, off-campus services are available in the Birmingham area and in many of the foreign countries in which UAB conducts programs of study. Such counseling, treatment, and rehabilitation services are too numerous to list here, but anyone needing assistance with locating such off-campus or foreign country services may contact one of the programs listed above, the UAB Faculty and Staff Assistance Program [The Resource Center], or the UAB Center for International Programs [International Scholar and Student Services], as appropriate.

DATA PROTECTION AND SECURITY POLICY

March 19, 2007

(Replaces policy entitled “Electronic Data Processing Security Policy” dated August 5, 1985)

Introduction

In the course of doing business at UAB, electronic information assets (data) are created and must be protected and maintained in accordance with all applicable federal and state laws and university policies. The intent of this policy is to provide a framework that ensures that electronic data, in all of its forms, are adequately protected. This policy specifically outlines:

- The roles and responsibilities of the UAB community for data protection and security;
- Additional requirements associated with the use and maintenance of systems containing sensitive information.

Scope and Applicability of Policy

Managing and protecting data are responsibilities shared by all members of the UAB community. This policy applies to:

- All individuals (faculty/staff/students/visitors), schools, departments, affiliates, and/or other similar entities within the UAB community, including employees of contracted or outsourced non-UAB entities;
- All UAB data and systems including, but not limited to, centralized institutional systems, departmental/unit systems, systems created or operated by third party vendors under the direction of UAB, and UAB data in any and all of those systems.

POLICY STATEMENT

General Data Protection

Availability of data to the UAB community is critical to conducting business. All members of the UAB community should learn to protect their individual data and data under their control or use by viewing the online UAB General Data Security training program and periodically reviewing all applicable data security, confidentiality, and acceptable use policies.

Protection of Sensitive Data

When sensitive data are used or stored electronically, additional care must be taken to ensure security and confidentiality.

Sensitive Data Defined

Sensitive data include, but are not limited to:

- Individually identifiable information (Example: name and date of birth – see “Information Disclosure and Confidentiality Policy”)
- Social Security numbers
- Credit card numbers
- Driver’s license numbers
- Proprietary research data
- Privileged legal information
- Data protected by law such as student and patient records

Specific Roles and Responsibilities for Protecting and Maintaining Sensitive Data

The following information is provided for members of the UAB community as a guide in understanding their roles and responsibilities in the protection of sensitive UAB data:

Data Custodians

UAB’s central Information Technology (IT) units are responsible for protecting all sensitive information maintained/stored in the institutional information systems. While it is not recommended that sensitive information be stored outside centrally maintained servers and systems, any UAB department or unit that retains sensitive UAB data on departmental/unit servers, personal computers (desk and laptop), personal digital assistants (PDAs), thumbdrives, or computer disks also will be responsible for protecting and securing those data. In the case of information stored in department/unit systems, the department/unit head is charged with responsibility for data protection and designated as the data custodian.

A minimal list of the Data Custodian’s responsibilities may be found on the UAB IT web site <http://www.uab.edu/it/datasecurity>.

System Administrators

System Administrators are individuals within the central IT units or school/department units with day-to-day responsibility for maintaining information systems. They are responsible for following all data security and protection procedures and practices. (See IT Security Practices at http://www.uab.edu/it/policies/UAB_IT_Security_Practices.doc.) System Administrators are further responsible for reporting any data security breaches or compromises to their immediate supervisor. As required by the Data Custodian or department head, they perform risk assessments and data backups. They also provide secure storage, execute disaster recovery plans, and provide system documentation. System Administrators successfully complete specific security and other IT training as required.

Data Users

Data Users are individuals within a department/unit who access/use UAB information systems and data. The UAB data users are responsible for following the acceptable use policies for the specific systems in use as well as all other applicable policies. Data users should not reuse or save sensitive data on their desktop or laptop computers without approval and appropriate security safeguards in place. Data users are further charged with reporting to their supervisors or managers any activities that could compromise the protection of UAB data.

Incident Reporting and Response Relative to Data Security

Any breach or compromise of UAB data must be reported immediately, especially when it involves sensitive data. Anyone who becomes aware of a breach or compromise should report the incident to his or her immediate supervisor or manager. Department/unit heads are responsible for reporting breaches to the Data Security Office in the Office of the Vice President for Information Technology. Specific procedures for reporting a suspected or actual breach/compromise of data are maintained on the Data Security web site at <http://www.uab.edu/it/datasecurity/index.html>. Upon receiving the report, the Data Security Office will be responsible for conducting or coordinating the investigation, making or assessing a recommendation for corrective action, reporting the incident to the Incident Response Committee or other administrative units as needed, and maintaining documentation of the incident.

Risk Assessment and Risk Management

Department/unit heads are responsible for assessing (in conjunction with UAB Information Technology) the business processes and technical risks associated with implementing any planned or proposed electronic information system or data collection system. Such risk assessments are required when sensitive data are involved and must be updated periodically. Risk assessments must identify specific procedures to manage risks. Approval for the dissemination of sensitive information will be in accordance with the UAB Information Disclosure and Confidentiality policy.

Other Data Security Policies at UAB

Other data security policies implemented at UAB (campus-wide or locally by/for a specific department, school, or system) may be more restrictive than this UAB-wide policy but may not be less restrictive.

Implementation

Data Custodians located both centrally and within departments/units are responsible for implementation of this policy within their areas of responsibility. The Vice President for Information Technology is responsible for overall procedures related to the implementation of this policy and for providing implementation assistance to Data Custodians.

Policy Violation

A violation of this policy by employees, including faculty, shall result in disciplinary action, up to and including discharge, according to established UAB disciplinary procedures. A violation of this policy by a student constitutes nonacademic misconduct, and the student will be subject to established disciplinary action.

See also the following:

- “Information Disclosure and Confidentiality Policy” (UAB Policy Reference Manual)
- “UAB Policy for Acceptable Use of Computer and Network Resources” (see “Acceptable Use Policy” on UAB Information Security World Wide Web site)
- “Policy for Connecting Devices to the UAB Voice, Data, and Video Network” (UAB Policy Reference Manual)

- “World Wide Web Pages Policy” (UAB Policy Reference Manual)
- Search Policy (Section 10.3 in the *You and UAB Handbook for Administrative, Professional, and Support Personnel*)
- Related UAB Information Technology procedures, standards, guidelines, and training materials
- Related UAB/UABHS HIPAA Privacy and Security Standards
- Board of Trustees Rule 105 “Ownership and Preservation of Records and Files.” (The Board of Trustees of The University of Alabama Board Manual)
- Data Custodian Responsibilities (<http://www.uab.edu/it>)

Policy Concerning Employee Falsification of UAB Records and Documents

April 20, 1998

(Replaces “Policy Concerning Falsification of UAB Records and Documents” dated June 27, 1996.)

See also the following related items:

“Policy Concerning the Maintenance of High Ethical Standards in Research and Other Scholarly Activities”

Regulations and procedures governing faculty credentials

Board of Trustees Board Rule 105 *Ownership and Preservation of Records and Files*.

NOTE: Falsification of documents and records by a student who is not functioning in a UAB employee capacity is considered nonacademic misconduct and is handled in accordance with regulations covering nonacademic misconduct. See *Direction: Student Handbook*.

Introduction

As a health-care, research, and educational institution, the University of Alabama at Birmingham is acutely interested in issues relating to the integrity of its employees.

For purposes of this policy, falsification of records exists when a UAB employee is discovered to have provided false information on the employment application; to have failed to disclose requested information; knowingly to have falsified information; or knowingly to have recorded false information on any UAB document or record, regardless of format and including electronic communications. The following is a partial list of infractions which are specifically prohibited: falsifying information on an application for initial employment or for transfer; falsifying employee recruitment/credential records; falsifying employee expense account records or other reimbursement records; falsifying personnel/payroll documents (including, but not limited to, pay records, time sheets, or other types of time records); clocking the time card/time record of another employee or completing and submitting for approval the time sheet/time record of another employee; falsifying health records or vacation/sick time records; falsifying research records, medical records, or departmental administrative records; and falsifying student records (including, but not limited to, admissions application materials, transcripts, grade sheets, registration documents, and student identification documents).

Policy Statement

Falsification of UAB records or documents is prohibited. Any knowing or negligent misrepresentation of a material fact or any failure to make a complete disclosure of any requested information are causes for immediate discharge without notice or pay in lieu of notice for nonfaculty employees or termination for cause for faculty employees. Any exception to the immediate and automatic discharge of nonfaculty employees for these reasons must be approved

in writing by the Associate Vice President for Human Resources [Chief Human Resources Officer]. Any exception to the recommendation of termination for cause for faculty for these reasons must be approved in writing by the Provost and by the Associate Vice President for Human Resources [Chief Human Resources Officer].

Implementation

The Office of the Vice President for Financial Affairs and Administration is responsible for procedures to implement this policy as it relates to employee or departmental administrative records. The Office of the Provost is responsible for procedures to implement this policy as it relates to academic records, research records, or faculty recruitment/credential records.

Hiring Approval Policy

July 3, 1989

(Edited for publication March 1996 for office title changes.)

Introduction

The University of Alabama at Birmingham seeks to ensure that the best employment decisions are made when filling vacancies in its workforce. UAB has always depended on, and will continue to depend on, the decisions of departmental managers and search committees for this purpose. One of the roles of the UAB Office of Human Resources is to document that all the steps required by University personnel policy and federal regulations have been followed in relation to hiring procedures prior to notification to the new employee of the hiring decision. The following policy is designed to monitor the process such that documentation of the hiring decision is available and complies with internal personnel policy and federal regulations.

Policy Statement

Among its many responsibilities as an employer and a recipient of federal grants and contracts, the University of Alabama at Birmingham must consider the rights of all job applicants, must evaluate carefully the candidates for employment, and must follow approved hiring procedures. To ensure that all of the University's responsibilities are met, only the HR Employment Office and Hospital Human Resources Office have the authority (1) to complete the final review of, and to grant final approval of, non-academic "regular" staff hiring recommendations which have been developed elsewhere in the University and (2) to notify such new employees of that approval. That notification will not be given until the Employment Office or the Hospital Human Resources Office has verified that all appropriate employment policies and procedures have been followed and that all appropriate approvals have been obtained.

As a corollary to the policy stated above, no person may report to work prior to the date of final approval and notification of hire by the Employment Office or by the Hospital Human Resources Office.

Nonsmoking Policy

September 14, 2004

(Replaces policy dated April 3, 1991)

Introduction

As an institution dedicated to the preservation of health and the prevention of disease, it is important for UAB to provide the means for protecting the health of its faculty, staff, students, patients, and visitors from the hazards associated with inhaling smoke from tobacco products

used within the confines of UAB buildings and facilities.

Policy Statement

All buildings, facilities, and spaces (including covered walkways and covered parking) that are owned, rented, or leased by the University of Alabama at Birmingham are nonsmoking areas with the exception of spaces leased by UAB to third parties for uses not related to UAB, subject to the provisions of a contract. With approval of the Vice President for Research, an exception to this policy may be made for research involving smoking. Major UAB components that control a block of UAB buildings (such as the UAB University Hospital) may implement nonsmoking policies that are more restrictive than this policy, but such policies may not be less restrictive than this policy.

Signs should be posted at all main building entrances and, as appropriate, should be located throughout buildings to advise occupants that smoking is prohibited. All employees and students are expected to be good stewards of UAB's property and grounds, and individuals who choose to smoke outside of, but near, UAB buildings are expected to place the remains of tobacco products in proper receptacles.

Disciplinary Action

A violation of this policy by an employee, including faculty, shall result in disciplinary action according to established UAB disciplinary procedures up to, and including, discharge. A violation of this policy by a student constitutes nonacademic misconduct, and the student will be subject to established disciplinary action.

Signs should be posted at all main building entrances and, as appropriate, should be located throughout buildings to advise occupants that smoking is prohibited. All employees and students are expected to be good stewards of UAB's property and grounds, and individuals who choose to smoke outside of, but near, UAB buildings are expected to place the remains of tobacco products in proper receptacles.

Implementation

The Vice President for Financial Affairs and Administration is responsible for overall procedures to implement this policy, including procedures relative to visitors to the campus. The Vice President for Student Affairs is responsible for procedures to implement this policy as it relates to students, student organizations, and student facilities. The UAB University Hospital Executive Director is responsible for procedures to implement this policy as it relates to Hospital facilities, Hospital employees, and patients.

Human Resources Personnel Policies and Procedures Manual POLICY 619 ATTENDANCE (UAB University Hospital Section Only)

Date Revised: August 2011 (Edited for publication here)

Hospital

This policy applies to all employees of UAB University Hospital.

University Hospital employees, working together as a team, provide a much-needed service to our community, patients, physicians, visitors, and staff. Employee absence and tardiness diminishes the level of quality of this service and can cause undue hardship on co-workers. University Hospital must be able to depend on regular and consistent attendance of all its employees.

In order to maintain a fair and reasonable work environment and in recognition of the important contributions of each member of the UAB University Hospital team, it is imperative that this attendance policy be applied equitably and consistently to applicable employees.

Failure to give advance notice of an absence according to division guidelines up to twelve (12) hours, failure to properly badge in or out, and/or tardiness will be managed according to this policy.

An employee may be terminated without proceeding through each step as outlined in this policy once a written warning has occurred and he/she has received at least two written warnings for other policy infractions during the same eighteen (18) month period.

University Hospital administers its Attendance Policy in compliance with the Family and Medical Leave Act (FMLA). University Hospital must reserve the right to: (1) Authorize or refuse to authorize an employee's request for permission to be absent, (2) investigate absences; management may require additional documentation and/or referral from Employee Health to support an absence, (3) determine whether an absence is necessary or justifiable, (4) deny pay for an absence in violation of this policy.

DEFINITIONS

Absence – Any time from work for more than one (1) hour after the start of the shift for one or more consecutively scheduled workdays for the same incident/illness in which the employee failed to give advance notice (as defined by department leadership) and/or failed to receive approval from his/her manager. If an employee departs the workplace more than an hour before the end of the shift or arrives to the workplace more than an hour after the beginning of the shift without prior supervisor approval, it will be considered an absence.

Failure to badge “in” or “out”/Misbadges – Any time an employee fails to run his/her Hospital issued identification badge through the assigned Kronos reader and properly record time in or out. For instance, if an employee fails to badge in at the beginning of his shift, he or she will be assigned a missed badge for the day, regardless of whether he or she was able to badge out at the end of the shift.

Tardy – Employees will be considered tardy if they arrive to their designated workplace later than five (5) minutes after the beginning of the shift. Tardiness of greater than one (1) hour will be considered an absence with regards to the Attendance Policy unless prior approval has been granted and deemed appropriate by department leadership in advance.

Scheduled workday – Any time that an employee is scheduled to work, including voluntary and mandated overtime.

Progressive Discipline for Attendance Policy – Defined as

- (1) Documented Oral Warning
- (2) 1st Written Warning
- (3) 2nd Written Warning
- (4) Termination

ADMINISTRATION OF THE POLICY

Absence – An employee who has accumulated four (4) or more absences in a six (6) month rolling time period will be subject to progressive discipline up to and including discharge. When an employee is absent due to illness a physician’s statement may be necessary. An employee who is scheduled to work the day before or after a holiday or on the holiday and fails to do so will forfeit holiday pay unless a legitimate reason for absence is approved in writing by the department/unit head. A physician’s certification and/or employee health referral may be required for such absences to be paid. One or more consecutive work days missed for the same incident/illness will be treated as one absence, although physician documentation may be required by the department.

Failure to badge “in” or “out”/Misbadges and Tardiness - An employee who has accumulated six (6) or more instances of tardiness or misbadges in a six (6) month rolling time period will be subject to progressive discipline up to and including discharge. An employee who realizes he or she will be tardy should notify his or her supervisor as soon as possible and give an accurate expected time of arrival. Unauthorized use of unassigned Kronos reader may result in corrective action. Employees who misplace or damage their identification badge must report the loss/damage to their supervisor immediately. Misbadges and tardiness will be tallied together.

No-call, No-show – If an employee fails to call-in or report to work, this is considered a “no-call no show” (unscheduled absences without managerial notification). The first “no-call, no-show” will result in a written warning, and subsequent instances of “no-call, no-show” may result in termination. Employees who have three consecutive days of “no-call, no-show” will be immediately terminated for being Absent Without Leave (AWOL).

Ramping – An employee who badges-in and does not directly report to his or her work area will be subject to disciplinary action according to the policy regarding Falsification of UAB Records and Documents (i.e., payroll documentation). For example, an employee who badges-in and subsequently parks his car before reporting to his work area will be immediately subject to disciplinary action. The first instance of ramping will result in a written warning, and subsequent instances of ramping may result in termination.

Once an employee reaches the level of a documented oral warning in a single category (i.e. absence, misbadges and tardiness), and maintains that level, any future instances in either category may be treated as a continuation of the progressive disciplinary process. If at any time an employee’s absences and/or misbadges and tardy instances fall below the required levels of 4 and 6 respectively, any future instances will restart the process of progressive discipline with a documented oral warning once the required levels are again reached.

Employees who receive four (4) written warnings for attendance **only** in a twelve (12) month period may be subject to termination without proceeding through the remaining steps of the attendance policy.

Absences, tardiness, and failures to badge in and out will be reviewed over a consecutive, rolling, six (6) month period. Each absence, tardy, or misbadge will be on record for six (6) months after the absence, tardy, or misbadge. On the six-month anniversary, the absence, tardy, or misbadge will expire.

Hospital departments must develop policies and procedures for the method of timely reporting absences/tardiness. These policies and associated reports must be periodically reviewed with employees, and placed on file in Hospital Human Resources.

Hospital departments will be responsible for reviewing absences, tardiness, and misbadges on a continuous basis with the employee. When the total number of absences, tardiness, and/or misbadges become excessive (as previously defined), the appropriate disciplinary action should be administered by the end of the following pay period. Should an employee be absent during this time period, sessions the disciplinary action will be administered as soon as the employee returns to work. All counseling levels (e.g. documented oral warning, written warnings) must be given prior to termination.

The following exceptions are not counted as absenteeism/tardiness under this policy:

Approved Leaves of Absence per UAB policy.

- Ø Pre-approved: scheduled vacation, scheduled personal holidays, scheduled sick leave, bereavement leave, jury duty, and military leave.
- Ø Hospital confinement, including day surgery (exclusive of the Emergency department except when approved by the employee's manager).
- Ø Absence due to work-related injury/approved on-the-job injury.
- Ø Absences pre-approved in writing by Manager/Supervisor according to department guidelines.
- Ø Absences related to any FMLA qualifying condition with proper documentation.
 - o The Family Medical Leave Act (FMLA) explicitly asserts that an employee cannot be penalized and/or disciplined under a "No Fault" attendance policy for absences which qualify under the FMLA. Under the FMLA, a "serious health condition" is defined as one which requires either inpatient care or continuing treatment by a health care provider. Employees who wish to have their absences excused due to being a FMLA qualifying condition should submit documentation from a physician to substantiate the reason for the absence. (Refer to UAB Leave of Absence Policy).
- Ø Tardiness approved by the CEO, AVP, or designee in writing, for extraordinary circumstances such as weather related emergencies.
- Ø Tardiness due to malfunctions of identification badges or badge readers verified by the department supervisor and/or Personnel Support Services.

The Department Manager/Designee is responsible for the accuracy of each employee's attendance record. Records should be updated at least on a bi-weekly basis.

The first six calendar months of employment of all employees, both exempt and non-exempt, are considered an initial period of review. During the initial six months of employment at UAB Hospital an employee's performance, attendance and adherence to UAB Hospital policies and procedures will be closely monitored. The employee will be counseled and receive disciplinary action when necessary as an ongoing part of this new employment period. The employee's supervisor will have the opportunity during the initial six months period of review to determine the employee's suitability for the position for which he or she is employed. If the employee's performance or attendance is not satisfactory, his or her employment may be terminated at any time during the initial six months period of review.

Transfers – An employee who has reached the level of 2nd Written Warning will not be allowed to transfer. Any exception must be approved by the appropriate AVP.

Prior to terminating an employee under this policy, the employee's manager or supervisor should contact the HR Consultant assigned to his or her area or HR Relations.

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