Pay and Salary Setting
HR-03-30

About This Policy

Effective Dates:
01-01-1970

Last Updated:
12-20-2016

Responsible University Administrator:
Vice President and Chief Financial Officer

Policy Contact:
University Human Resources
hrpolicy@iu.edu

Scope

This policy applies to all Staff and Temporary positions.

Policy Statement

1. Indiana University pledges itself to continue its commitment to the achievement of equal opportunity within the University and throughout American society as a whole. In this regard, Indiana University will recruit, hire, promote, educate, and provide services to persons based upon their individual qualifications. Indiana University prohibits discrimination based on arbitrary considerations of such characteristics as age, color, disability, ethnicity, sex, gender identity, marital status, national origin, race, religion, sexual orientation, or veteran status.

2. It is the policy of Indiana University to pay all employees accurately and to remedy any errors in a timely manner consistent with Indiana law.
   a. Clearly communicated policy prohibiting improper deductions including a complaint mechanism
   b. Reimbursing employees for any improper deductions in a reasonable time frame
   c. Making a good faith commitment to comply in the future.

3. The University retains the right to eliminate, change, and establish classification pay grades. In the event a new position is established, or an existing position is changed, the campus Human Resource office shall classify the position within a Pay Plan which identifies an appropriate range of pay.

4. No supervisor or administrator may communicate or extend an offer contrary to the university policies related to employment, compensation or benefits, nor imply or state that a contract has been created between the university and the current or future employee before the necessary approvals have been obtained. Only the president or vice presidents may offer actual contracts.

5. Principles applicable to all decisions:
   a. The classification level and pay range of the position’s job level
   b. The candidate’s/employee’s job-related qualifications
   c. The employee’s performance
   d. Pay of current employees in the same job or comparable jobs at IU; depending on the position, this includes comparable jobs within the department, the Campus, RC, or the university.
   e. The RC’s fiscal status
f. External market considerations for similar work in the relevant labor market segment based on geographical considerations (local, state, regional, or national) and type of employer (public, private, or higher education)

6. The maximum of a pay range represents a wage that is significantly above average competitive wage grades. As such, it is reserved solely for exceptional performers who continually make significant contributions to the university.

7. Employees should not receive a wage that exceeds the established maximum for the assigned pay range. This is necessary to preserve the integrity of the wage structure.

8. The applicant or employee shall NOT be notified of the pay/salary action until the RC and any required campus approvals have been obtained.

9. Employees who meet minimum job qualifications should receive at least the minimum of the range.

**Procedure**

**New Hires**

1. The campus Human Resources office can provide consultative advice and assistance at any point in the process described below.

2. Campus Human Resources is the final reviewer of the E-Doc that will update the employee’s HRMS record.

3. In determining a starting wage for Support and Professional employees’ managers should consider the elements listed under Policy above and include all of the following:
   a. A new hire wage that creates an internal inequity should be carefully considered, including a strategy or plan for remedying the inequity with other employees. Such a remedy should be approved by campus HR before offering the pay/salary to the new hire.
   b. Any Department of Labor (DOL) minimum salary that would apply to certain visa holders.

4. For CWA covered positions:
   a. A starting wage set in the first quartile of the pay range requires that the new employee’s qualifications meet or exceed the minimum qualifications for the position.
   b. A starting wage at or near the pay of current incumbents in the same or comparable jobs will not be approved unless the new employee’s qualifications are comparable to those of the current incumbents.
   c. A starting wage may be set in the second quartile of the pay range up to the midpoint. This requires that the new employee's qualifications are exceptional. Departments will provide justification upon request to the campus Human Resources office to start a new hire's wage above the first quartile.
   d. Required approvals:
      i. A starting wage in the first quartile require the approval of:
         ii. The Department head
      iii. The Responsibility Center for Bloomington positions
      iv. The Campus Human Resources office for Northwest positions.
   v. A starting wage in the second quartile or above the midpoint requires the approval of:
      vi. The Department head
      vii. The Responsibility Center for Bloomington positions
      viii. The campus Human Resources office

5. For Law Enforcement employees:
   a. will be hired at the classification grade and pay rate that corresponds to his/her education and experience relative to the minimum requirements for Officer 3rd Class, 2nd Class, and 1st Class. Employees who have a background that satisfies the requirements for Officer 1st Class will be hired at the minimum pay rate for that grade.

6. For Professional Staff positions:
a. A new hire’s salary above the salary range Market Zone should be supported by exceptional skills and experience and needs to be carefully considered for such limited circumstances.
   i. Approvals are required from the following:
   ii. RC Head
   iii. Campus fiscal affairs or UA unit fiscal affairs
   iv. University HR, only for amounts above the salary range Market Zone.

7. For Service covered positions:
   a. An hourly wage rate up to the salary range midpoint can be established by the campus/unit.
   b. A starting wage rate above the midpoint can be considered for individuals with many years of directly related/transferable experience with approval from UHR. Internal pay equity should be maintained.
   c. For Apprentices staff, wage rates year 1 to 4: 75/80/85/90% of hiring rate established by campus for journey level job.

8. For non-union covered Support Staff positions, see Section 3 above for general guidelines. Also see Section 6 above for approvals required.

9. For Temporary Employees the rate of pay should be based on a competitive rate for the work that will be performed.

Promotion and Reclassification

Introduction

1. The Campus Human Resources Office can provide consultative advice and assistance at any point in the process.

2. Successful upward mobility for employees may be accomplished through a promotion. Consequently, managers and supervisors are expected to consider employees for promotion within their own departments and to allow them opportunities to seek advancement in other departments. An atmosphere conducive to exploring promotion must be maintained.

3. The university encourages staff to pursue career development opportunities; therefore, reasonable time away from the job for IU-provided training and development classes (see the Training and Education Policy) and IU job interviews is permissible. Employees are not required to make up the time or charge it to accumulated time off.

Pay/Salary increases as a result of promotion or reclassification

1. When an employee is promoted to a position of a higher grade, or when an employee’s position is re-classified to a higher grade, a salary increase may be given.

2. Reclassifications must comply with Position Classification/Reclassification.

3. For all Law Enforcement (L/E) positions.
   a. An employee must have overall satisfactory performance and satisfy the minimum education and experience requirements in order to move to a higher classification grade.
   b. An employee who receives a promotion will be advanced to the pay rate of the higher grade.
      i. Employees who are promoted to the Officer 1st Class grade will start at the minimum pay rate for that grade.
      ii. For AFSCME Police employees at Bloomington in reclassified positions, the new pay increase will be effective on the date the respective department head approved the associated new duties. If this date is prior to the date the position is officially reclassified, then the incumbent shall receive a lump-sum pay adjustment.
   c. An employee paid at a pay rate higher than the pay rate for the higher grade position will continue at the current rate and be eligible for any future annual increases up to the wage structure maximum for Officer 1st Class.
d. Employees who move from another employee group (such as Support Staff (SS), Service Maintenance (SM), General Supervision (GS) or Professional (PA)) will be set at the classification grade and pay rate that corresponds to his/her education and experience relative to the minimum requirements for Officer 3rd Class, 2nd Class and 1st Class.

4. For Service covered positions:
   a. The wage rate due to the promotion to a higher level job should be based on the employee’s skills and experience relative to the new position and the unit’s fiscal resources.
   b. Increases up to the midpoint or eight (8%) percent may be considered, provided all the below conditions are met:
      a. Employee’s skills and experience exceed the minimum qualifications of the new position;
      b. The increase will not create inequity with other employees in the unit performing same or similar work and having similar skills;
      c. The increase is consistent with the promotional increases provided to other employees within the unit under comparable circumstances;
      d. The new wage rate would not exceed the maximum of the rate for that pay grade; and
      e. The amount of the increase must be approved by Campus HR
   c. Increases above the midpoint or greater than eight (8%) percent may be considered, provided all the below conditions are met:
      a. The employee’s qualifications relative to the new position are exceptional;
      b. The increase will not create inequity with other employees in the unit performing same or similar work and having similar skills;
      c. The increase is consistent with the promotional increases provided to other employees within the unit under comparable circumstances;
      d. The new wage rate would not exceed the maximum of the rate for that pay grade; and
      e. The department provides written justification with its request to UHR for approval

5. For Support positions, the campus Human Resources office and the requesting department head will work together to establish a salary increase amount which meets the following criteria:
   a. A salary that creates an internal inequity should be carefully considered, including a strategy for remedying the inequity with other employees.
   b. The increase will not exceed the maximum of the new salary range.
   c. Is at least comparable to the salary level that would be paid to a new hire with equivalent qualifications
   d. For CWA covered positions:
      i. The salary increase amount should also include the following criteria:
         a. Adequately recognizes the assumption of higher level responsibilities
         b. Is consistent with the promotional increases provided to other employees under comparable circumstances
         c. Considers the individuals qualifications of the position
      ii. A salary set in the first quartile of the salary range requires that the employee's qualifications meet or exceed the minimum qualifications for the position.
      iii. A salary set in the middle of the salary range requires that the employee's qualifications are exceptional.
      iv. The minimum increase should be five (5%) percent or the minimum of the new salary range, whichever is higher.
      v. In limited circumstances, a minimum salary increase may be less than five percent (5%) if the increase would create internal inequity within the unit and if the promoted or reclassified employee gives his or her consent.
vi. The maximum increase is to the same relative position within the new salary range (i.e., the percentage
difference between the pay ranges involved) or at the midpoint of the new range, whichever is higher.

6. Pay/salary increases due to promotion are effective on the date the employee fully assumes the new, higher-
level duties.

7. Pay/salary increases due to reclassification - An increase should be effective at the start of the pay period
following the approval of the new classification.
   a. For AFSCME Service covered positions at Bloomington, in the event that a position is reclassified to a
      higher grade, any new pay/salary increase will be effective from the date the respective department head
      approves the associated duties.
      i. If this effective date is prior to the date the position is officially reclassified, then the incumbent shall
         receive a lump-sum adjustment to make up for any difference in base salary.

8. For considerations for compensatory or other accrued time off balances, when staff transfer/promote between
department and/or campuses see the respective policies, e.g. Overtime, PTO for PA, PTO for PB, Vacation.

The required approval for the pay/salary actions:

1. The applicant or employee shall NOT be notified of the pay/salary action until the above RC and any required
   campus approvals have been obtained.
   a. Campus Human Resources is the final reviewer of the E-Doc that will update the employee’s HRMS record.

2. For CWA covered Support Staff
   a. Increases in the first quartile require the approval of the Head of the Responsibility Center. At Northwest
      the campus additional approval from the campus HR office is required.
   b. Increases in the second quartile or above the midpoint require the approval of the Responsibility Center
      and the campus Human Resources office.

3. For all other employee groups, follow the campus specific approval process. Campus HR may be contacted
   for additional information.

4. Promotion documentation is to be initiated by the new department.

Lateral Transfer

Introduction

1. The Campus Human Resources Office can provide consultative advice and assistance at any point in the
   process.

Pay/Salary impact as a result of lateral transfer

1. A lateral transfer occurs when an employee moves from one position to another within the same salary grade
   and within the same or different job family. The position may be in the same or a different RC.

2. A lateral transfer may be initiated by the employee or by management.

3. Lateral transfers typically do not involve a major change in level of responsibility or job scope and, as such, do
   not normally result in a pay change. In determining whether there will be a pay adjustment the factors outlined
   in the Policy section of this document and the following factors should be considered:
   a. The wage schedule or salary structure, if the transfer involves a move to another campus
   b. The employee’s pay is consistent with the pay provided to other employees in the unit under comparable
      circumstance.

4. A salary decrease may be appropriate if a lateral transfer is initiated by the employee for personal or career
   development reasons, or as a result of a choosing another position because of a reduction in force, and results
   in an internal equity issue within the unit. Such decreases must be approved by campus HR.

5. For CWA covered positions:
a. a reassignment initiated by management or a change in job title, all at the same grade within the same wage schedule, will result in no salary change.

6. For Law Enforcement employees:
   a. The wage for lateral transfers will be consistent with the wage schedule for the Police department on the new campus.
   b. Employees who move from another employee group (such as Support Staff (SS), Service Maintenance (SM), General Supervision (GS) or Professional (PA)) will be set at the classification grade and pay rate that corresponds to his/her education and experience relative to the minimum requirements for Officer 3rd Class, 2nd Class and 1st Class.

7. For Service employees:
   a. When an employee transfers to a job at the same classification grade, an increase of up to five (5%) percent may be considered if there is a significant difference in the complexity of the duties assigned. The duties must be documented in a position description (PD). All wage increases must be approved by Campus HR and internal pay equity must be maintained.

The required approval for the pay/salary actions:

1. The applicant or employee shall NOT be notified of the pay/salary action until the RC and any required campus approvals have been obtained.
   a. Campus Human Resources is the final reviewer of the E-Doc that will update the employee’s HRMS record.

2. For CWA covered support staff
   a. Increases in the first quartile require the approval of the Head of the Responsibility Center. At Northwest the campus additional approval from the campus HR office is required.
   b. Increases in the second quartile or above the midpoint require the approval of the Responsibility Center and the campus Human Resources office.

3. For all other employee groups, follow the campus specific approval process. Campus HR may be contacted for additional information.

4. Lateral transfer documentation is to be initiated by the new department.
   a. For CWA, An employee should not be given a transfer commitment until he/she has informed the present department head.

Demotion and Reclassification

Introduction

1. The Campus Human Resources Office can provide consultative advice and assistance at any point in the process.

Pay/Salary impact as a result of demotion

1. A demotion can occur due to:
   a. Reassignment of an employee to a new position in a pay grade lower than the current grade
   b. Reclassification of a position to a lower grade.
   c. Voluntary transfer to a position in a pay grade lower than their current grade due to personal or career development reasons
   d. Reduction in force.

2. Demotions may result in a decrease in pay/salary.

3. Employees will be assigned to positions that are consistent with their skills and abilities and the university’s needs and their salary will fairly reflect that assignment.
4. When it is contemplated that an employee is going to be transferred to a lesser classification, the campus Human Resource office must be contacted.

5. In determining if any pay/salary decrease will be made, the department should consider all of the following:
   a. The reason for the action, such as:
      i. When an employee is transferred to a position due to performance, qualifications, or corrective action a reduction in pay typically occurs.
         a. For CWA covered employees, typically, the maximum decrease is to the same relative position within the salary range (i.e., the percentage difference between the pay ranges involved).
         i. A greater decrease (than the same relative position) may be applied subject to approval by campus HR to address internal equity with other employees within the unit performing the same or similar work and having similar skills.
      ii. When an employee voluntarily applies for or chooses another position (this includes when they apply as a result of a Reduction in Force). This typically results in a reduction in pay.
         a. For CWA covered employees, typically, the maximum decrease is to the same relative position within the salary range (i.e., the percentage difference between the pay ranges involved).
         i. A greater decrease (than the same relative position) may be applied subject to the employee’s agreement and approval by campus HR, to address internal equity with other employees within the unit performing the same or similar work and having similar skills.
      iii. When a reorganization or reclassification occurs, this may result in a reduction in pay.
         a. For AFSCME Service covered employee, if a position classification is changed to a job in a lower grade due to reorganization and a change in duties there would typically be no reduction in pay.
         i. If the employee’s pay is outside of the new pay range then the rate will be frozen or "red-circled" until it falls below the pay range maximum. Any annual wage increases will be paid in the form of additional pay (fiscal year supplement, FYS) in bi-weekly installments over the fiscal year.
            • Any annual wage increases will be paid in the form of additional pay (fiscal year supplement, FYS) in bi-weekly installments over the fiscal year.
            • An employee with a FYS who changes positions, with the exception of a change to Professional Staff, during the fiscal year will continue to receive the FYS.
         b. For CWA, if a position classification is changed to a job in a lower grade due to reorganization and a change of duties, there will be no reduction in the affected individual's salary. However, when the salary is outside the range, in which case if a classification change would cause an employee's salary to exceed the salary maximum of the new classification, the employee's salary will be reduced to the top of the new salary range of the new classification.
         c. For AFSCME Police covered positions, an employee who is promoted to a position in the Professional functional classification and who then returns to a Police Service position will have their original Police Service occupational unit seniority time reinstated.

6. Reclassifications must comply with Position Classification/Reclassification policy.

The required approval for the pay/salary actions:

1. For CWA covered support staff
   a. Increases in the first quartile require the approval of the Head of the Responsibility Center. At Northwest the campus additional approval from the campus HR office is required.
   b. Increases in the second quartile or above the midpoint require the approval of the Responsibility Center and the campus Human Resources office.

2. For all other employee groups, follow the campus specific approval process. Campus HR may be contacted for additional information.
In-Range and Equity Adjustments

In-Range Increases

1. An in-range increase may be appropriate when:
   a. The scope and responsibility of an employee’s position significantly changes within the current grade, and
   b. An employee mastered new job competences resulting in significant additional responsibilities within the current grade.

2. Job changes must be measurable and well documented
   a. the rationale for an in-range increase requires written substantiation of the assignment of additional responsibilities and/or the new job competences
   b. the Department must document the new responsibilities in an updated position description with the campus human resource office.

3. For CWA covered positions, to be eligible, the employee’s pay should be below the fourth quartile of the wage schedule.

4. For Professional staff, and Support and Service Staff not represented by a union, nothing in this policy provision is intended to prohibit an in-range reduction in pay. Such an action could be considered when there is a significant reduction in responsibilities that is measurable and well documented.

5. For Service employees, in-range increases up to five (5%) percent may be considered.

Equity Adjustments

1. An equity adjustment is a special, one-time increase to the base pay provided to an employee or employees to correct a significant deviation from internal equity or external competitiveness.

2. Equity adjustments may be appropriate in any of the situations described below. In these situations the department may review pay across their organization and may request adjustments for additional individuals to ensure equity is maintained.
   a. An employee is paid substantially lower in the pay range than other employees with similar qualifications and comparable years of service in the same job or comparable jobs in the RC or if appropriate comparable jobs at the university.
   b. There is significant compression between the employee’s pay and the pay of more recent hires in the same job within the same department, which results from conditions outside the control of the department head (e.g., placements through reduction in force or reorganizations).
   c. There is significant compression between the employee’s pay and any pay of other employees who report directly to the employee.

3. The rationale for an equity adjustment requires written substantiation and analysis of the pay discrepancy and the internal or external market conditions that led to the discrepancy; and if applicable, documentation of any relevant employment offer.

4. Following are guidelines for equity adjustments:
   a. A pay adjustment may occur at any time of the year.
   b. Pay adjustments will not be approved retroactively.
   c. No employee will receive more than one pay adjustment during any twelve-month period.
   d. Generally, an employee must have been in the current position for at least six months and performance must be at least at the satisfactory level.
   e. For CWA covered employees:
      i. A pay adjustment should not exceed 10% of the employee's current pay.
      ii. The employee's pay should be below the midpoint of the range and the employee should have considerable years of service and/or critical experience or skills.
iii. In determining the amount of the equity adjustment, in addition to those principles listed in the policy section also consider.
   a. The employee’s placement within the salary range relative to the number of years of service
f. For Service covered employees:
   i. Up to a five (5%) percent wage increase may be considered to address internal equity issues.
   ii. Increases must be approved by Campus HR; and increases greater than five (5%) percent require UHRS approval.

Pay Decisions as the Result of Job-Related Certification

1. Certain job related certifications needed to advance within a profession may result in a pay increase adjustment but are not explicitly required by policy.
2. A formal certification pay adjustment program should be approved and on file with the Campus Human Resources Office prior to the submission of any related salary adjustments.

Procedures for In-Range Increases and Equity Salary Increases

1. The department head will obtain approval for the starting salary and the salary adjustments:
   a. For CWA covered positions:
      i. Recommendations for a salary adjustment will be initiated and forwarded by the department head, with notice to the Responsibility Center for Bloomington positions, and submitted to the campus human resources office.
      ii. The campus HR office will review the request, and is responsible for the approval of all salary adjustments.
         a. For equity requests, the respective campus HR office will notify the president of CWA, Local 4730, for Bloomington and Northwest positions and the Northwest campus CWA vice president for Northwest positions, prior to the approval of a salary adjustment, and provide the president an opportunity to discuss the request.
   iii. Notification of the result of a requested salary adjustment will be made by and to the following persons:
      a. HR will notify the requesting department head.
      b. Department heads will notify the employee requesting the adjustment.
      c. The department head will notify departmental employees to initiate the paperwork required for payroll and budget actions.
   b. For Non-Union Support and Professional Positions, the department head shall obtain approval for the salary adjustments, including the following required approvals
      i. The immediate supervisor shall obtain approval from her or his manager
      ii. Any salary that is at or above the Upper Reference Point shall have the RC head approval.
      iii. The unit’s fiscal officer shall indicate that base or alternate appropriate funds are available.
      iv. Any other RC or campus approval protocol shall be followed and approvals obtained.

Definitions

1. A demotion occurs when an employee moves from one position to another position that is assigned to a lower job grade in the same or different job family or when a department restructures the duties and responsibilities of a position resulting in a classification to a lower job grade.
2. Equity adjustment are used to remedy significant inequities with internal or external positions, based on substantiated comparisons that are documented; includes responding to an employment offer from an external
entity for a position with comparable duties and responsibilities. Equity adjustments are for exceptional circumstances and require careful analysis to ensure compliance with Trustee approved salary policies.

3. **Grade level** is the alphabetical or numerical level assigned to a group of jobs.

4. An **incumbent** is the current employee in a specific position.

5. A **job** is a collection of positions that have similar major duties and responsibilities.

6. **In-range increase** occur when there is a significant change in responsibilities that resulted in a greater scope of responsibility within the current job grade. These duties are typically being performed for an extended period of time, such as six months or more, and the employee has demonstrated competency in the expanded responsibilities.

7. **Lateral transfers** typically do not involve a major change in level of responsibility or job scope and, as such, do not normally but may result in a salary change.

8. A **promotion** occurs when an employee is promoted to a position in a higher salary grade (or when an employee’s current position is reclassified to a higher range).

9. A **position** is a specific set of duties and responsibilities assigned to and performed by an individual.

10. **Position classification** is the assignment of a position to an established, broad-based job that most closely matches the distinguishing characteristics of the position.

11. A **quartile** is any one of four equal divisions.

12. A **reclassification** occurs when the duties and responsibilities of a position are significantly redefined and the Campus Human Resources Office determines that the current job description no longer characterizes the nature of the work. The position is then assigned to a job in the same or different job family.

13. **Salary range** is the range of salaries, from lowest to highest, that is assigned to each grade.

**Sanctions**

Managers, supervisors, and employees who violate this policy are subject to corrective action, up to and including separation.

**History**

**December 2016**
Revised to incorporate provisions of the 2016-2019 Agreement between Indiana University and CWA Local 4730.

**February 2016**
Replaces the following policies and guidelines

<table>
<thead>
<tr>
<th>AFSCME Police</th>
<th>Recruitment-Selection</th>
</tr>
</thead>
<tbody>
<tr>
<td>AFSCME Service</td>
<td>3.1 - Payroll Procedures</td>
</tr>
<tr>
<td>Professional Staff and Support and Service Staff not Covered by a Union</td>
<td>2.6 - Salary Decisions for Professional Staff</td>
</tr>
</tbody>
</table>

Service Wage Guidelines

Replaces parts of the following policies and guidelines
<table>
<thead>
<tr>
<th>Position Classification / Reclassification</th>
<th>1.2 - Position Classification</th>
<th>6.5 - Career Development and Changing Positions</th>
<th>3.2 - Filling Positions</th>
<th>1.2 - Filling Temporary Positions</th>
<th>9.4 Salary Decision for Individual Employees</th>
</tr>
</thead>
<tbody>
<tr>
<td>• B.1.</td>
<td>• C.7.</td>
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<td>• A.</td>
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<td>Transfers</td>
<td>2.10 - Promotions and Transfers</td>
<td>• B.3.a.</td>
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<td>• C.7.c.</td>
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<td>• B.5.a.3.i.</td>
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<td>• B.5.a.3.ii.</td>
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<td>• B.5.a.3.iii.</td>
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<td>• B.5.b.1.</td>
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<td>• D.1.</td>
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</table>

- Starting wages for new employees
- Starting wages for employees who move from another employee group
- Promotion or reclassification to a higher level position within the LE wage structure
- Annual wage increases
| C.5.c.iv. |
| D.2. |
| D.2.a. |
| D.2.b. |
| D.3. |
| E.1. |
| E.2. |
| E.2.a.i. |
| E.2.b.i. |
| E.2.b.ii. |
| E.2.b.iii. |
| E.3.a. |
| E.3.b. |
| E.5. |
| F.1. |
| F.2. |
| F.2.a. |
| F.2.b. |
| F.2.c. |
| F.3. |
| F.3.a. |
| F.3.b. |
| F.3.c. |
| F.3.d. |
| F.3.e. |
| F.3.f. |
| G.1. |
| G.1.a. |
| G.1.b. |
| G.2. |
| G.2.a. |
| G.2.b. |
| G.3. |
| G.3.a. |
| G.3.b. |
| G.3.c. |
| G.4. |
| Pro 1. |
| Pro 2.a. |
| Pro 2.b. |
| Pro 2.c. |