

Extended Policy Gaps & Legal Escalation Guidelines

1. Purpose of Escalation Framework

This document outlines procedures when a policy inquiry cannot be resolved through existing documented policy.

Escalation ensures responsible decision-making, compliance adherence, and mitigation of legal exposure.

2. Identifying Policy Gaps

A policy gap exists when no relevant clause, section, or documented guidance addresses the employee's inquiry.

Low-confidence outputs or absence of retrieved policy sources should trigger additional review.

3. Escalation to Legal Process

Cases identified as high-risk or lacking policy coverage must be escalated to Legal.

HR must prepare a formal memorandum including question context, retrieved documents (if any), risk assessment, and business impact summary.

4. Documentation Requirements

Escalation memoranda must include a case reference ID, timestamp, summary of analysis, and relevant policy citations.

All escalations must be stored in accordance with document retention guidelines.

5. Examples of Escalation Scenarios

Unusual workplace accommodation requests not covered by policy.

Cross-border employment structures with regulatory ambiguity.

Novel or emerging workplace issues without precedent in current documentation.

6. Final Decision Authority

Legal provides binding guidance where statutory interpretation or compliance risk exists.

No action should be taken in high-risk cases until Legal guidance is documented.