

# Extended Policy Gaps & Legal Escalation Guidelines

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## 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.