SAMPLE POLICY #2

HOW TO VIEW/USE THIS DOCUMENT

Below, you will find a sample new role approval policy from a charter management organization. You will see that the policy has been annotated by Sara-Kate Roberts, a Director at EdFuel and the author of our policy materials. The comments you will see below are in alignment with our Policy Review Matrix.

Our hope in sharing this sample policy with you is to help you understand how you could use our matrix and/or partner with a member of our team to review and improve your own policies. Policies should support the overall goals of your organization and should also be in accordance with any federal, state, and local statutes. Therefore, we do not recommend viewing our sample policies as exemplars or templates, as they may not match what your organization needs at this moment in time.

CAP Beliefs:

- The primary function of all roles at CAP is to meet our mission: to prepare all students for lives of unlimited opportunity.
- As we grow, expand, and/or restructure, there are times when we need to create new roles in the organization to meet this mission and the associated goals.
- Before a new role is added to the team, people at multiple layers of the organization will be involved in the approval process. This is important for two reasons:
    - Our goal is always to funnel our resources towards the greatest impact on students. If we can do that by adding another role, then we should do it. But if the resources could be channeled more effectively in another way, we should explore that path as well. We can only know that by consulting a wide variety of stakeholders and voices.
    - We believe that every member of our team contributes greatly to our mission and as such, it's important to give everyone on the team a chance to play a part in various organizational decision-making.
- Once a new role has been approved, we will look to fill it internally if possible. We do this because we value our people and know we must build pipelines and provide opportunities to grow. However, we will not create a new role for a team member if that role is not aligned to a deeper or more significant impact on our students.

Policy:

The language below represents our current policy for the proposal and approval of new roles. Should there be a need for a change to the policy, language will be updated and published in the CAP Employee Handbook, and employees will be notified of the policy change via email.

Roles can be proposed by any member of the team for the following reasons:

1. Manager sees a clear need grounded in their scorecard goals for a new role.
2. Teammate proposes a role they feel is mission-critical. The teammate may be interested in the role for him/her/theirselves, but he/she/they may also simply identify a need that could be addressed through a new role.

Roles should ideally be proposed within the budget cycle, and the process will follow the phases and steps below.

Design Phase Details

The steps in the design phase of the process are detailed below:

1. The Chief Operating Officer (COO) conducts the budget forecast for the upcoming year.
2. The Budget Planning Template and Role Proposal Template are rolled out to managers, with detailed expectations for their role in these processes, as well as the role of their teammates.
3. A budget update and the process timeline is presented to all CST, including:
   a. Steps and associated deadlines for the budget planning process
   b. Organizational growth and/or directional changes over the next year and the associated budget implications
   c. The role all teammates play in the budget process, including the ability to propose new roles
4. Managers should review the organizational strategy and their team's strategy for the next year and determine if changes are needed to the current team structure. As necessary, managers should use the Role Proposal Template to put forth a new role and move it to the vetting phase.
5. Teammates may also complete a Role Proposal Template based on their own reflections.

Vetting Phase Details

The goal of the vetting process is to ensure that any new roles added to the team are mission-critical and represent the best use of organizational resources. The questions that should be answered during the vetting process are below:

- Why this role? Why now?
- How will not hiring for this role impact our goals?
- Is this role needed, or is this surfacing an alternate need that we can address in other ways?

- Are there any budget trade-offs we would need to make to prioritize this role?
- Would having this role advance our ability to become a more diverse, equitable, inclusive, and Anti-Racist organization?

The vetting process is meant to be collaborative, and will function as follows:

1. Roles proposed by non-managers should be brought to the immediate manager first. The manager and teammate should work through the above questions together, with the goal of aligning on whether or not the role should move to the next stage of the process. There are three possible outcomes to this process:
    a. Through the conversation, the teammate and manager agree that the role should not move forward at this time. No further action is taken.
    b. Through this conversation, the teammate and manager agree that the role should move forward. The role proposal will then move to Step 2 below.
    c. Through this conversation, the teammate and manager do not come to agreement. In this case, the teammate has the option to discuss his/her/their proposal with the CEO and determine next steps from there.
2. Roles proposed by a team manager are brought to their manager, with the goal of aligning on whether or not the role should move to the next stage of the process. This process is also applied if the team manager is bringing a role proposed by one of his/her/their direct reports.
3. If the role proposal passes Step 2, the proposer of the role meets with the Chief Talent Officer (CTO) to finalize the title and the compensation range for the role.
4. The proposer of the role presents the role to the manager group and the Leadership Team (LT) for feedback. These groups provide feedback aligned to the vetting questions.
5. Based on the discussion in this group, the proposer of the role determines if they want to take it to the approval phase.

Approval Phase Details

The approval phase for new roles will be dependent on a number of factors each year, including the budget landscape. Based on these factors, the actual approval mechanism may look different from year to year, but it will follow the process below.

1. Any role that has been brought forward by the proposer will go to the Network Leadership Team (NLT). Principals will weigh in on the roles they think should or should not be approved for the upcoming year.
2. The Chief Executive Officer (CEO) then uses all data above to give final approval of roles.
3. After final roles are approved, the CTO will conduct an analysis of all roles proposed to determine if there are any trends in the data that need to be addressed immediately or in the future. For example, do roles proposed by people who identify as a certain gender or race have a lower chance of getting approved?

At times, roles will need to be developed and approved outside of the budget process. We will only consider roles outside of the budget approval process in emergency situations. The approval process for those roles is as follows:

Emergency Situation: Design Phase Details

An emergency situation is defined as any member of the team seeing an immediate need for a new role that must be met and cannot wait until the budget approval process outlined above. This process would follow the steps below.

1. Chief, Manager or CST teammate fills out the role proposal template including the addendum for why this role needs to be considered outside of the budget approval process and submits the form to the CTO.
2. The CTO first works to clarify who the manager of the new role would be. Once that is established, the CTO meets with the presumed manager as well as his/her/their manager to determine next steps.
3. Collectively, they would determine whether or not to bring the role to the vetting phase. Considerations would include current status of the team's budget, as well as the CST budget. Possible outcomes of this conversation include:
   - The rationale for the role - either overall or at this moment in time - is not where it needs to be for the role to be approved. In this case, no further action is taken, though the proposer of the role may choose to submit the role again in the next budget cycle.
   - The rationale for the creation of the role appears strong, but all parties agree there is not a clear path to funding the role off-cycle. In this case, it is agreed that the proposer will resubmit the template in the next budget cycle.
   - The rationale for the role appears strong, but there are budget trade-offs to introducing the role at this time. In this case, the CTO would bring the role forward and clearly enumerate the trade-offs in the next stage of the process.
   - The rationale is strong and the path to funding the role is clear. In this case, the CTO moves the role forward and serves as the steward of the role through the rest of the process.
4. To prepare for the vetting phase, CTO adds compensation and title to the role proposal, in line with our compensation and title setting philosophy.

Emergency Situation: Vetting Phase Details

The goal of the vetting process is to ensure that any new roles added to the team are mission-critical, represent the best use of organizational resources, and are added to the team at the most strategic time. The questions that should be answered during the vetting process are below:

- Why this role? Why now?
- How will not hiring for this role impact our goals?
- Is this role needed, or is this surfacing an alternate need that we can address in other ways?
- Are there any budget trade-offs we would need to make to prioritize this role?
- Would having this role advance our ability to become a more diverse, equitable, inclusive, and Anti-Racist organization?

The vetting process for an off-cycle role is abbreviated, to account for the potential urgency of adding the role to the team. The Leadership Team (LT) will review the proposal and make one of the following decisions concerning the role:

- The LT may advance the role to the approval phase.
- The LT may determine there is not a need for the role at this time. In this case, the CTO will bring the feedback to the originator of the proposal, along with any relevant next steps (e.g. proposing the role in the next budget cycle).

- The LT may see a need to address the role proposal, but through another mechanism. In this case, next steps will be determined on a case-by-case basis.

Emergency Situation: Approval Phase Details
The first step in the approval phase is for the Network Leadership Team to review the role proposal. They are responsible for: ● Clarifying any gaps in the rationale for the role ● Assessing whether or not the role is critical to our annual and long term goals ● Whether there is an immediate need to hire for the role (vs. in the next budget cycle) ● Determining if there is another way to meet the needs brought forth in the proposal ● Voting on whether or not to recommend the role to the CEO for approval. Based on the outcome of the vote, the CEO may take one of the following actions: ● Approve the role. ● Share feedback with the CTO and NLT about why the role will not be approved at this time. In this case, the CTO brings feedback to the originator of the proposal and recommends next steps, which may include bringing the proposal to the next budget cycle.

At any point in this process, if a role is not advanced or approved, the original author of the proposal will receive synthesized feedback and potential next steps. Depending on what stage of the process the proposal is advanced to, the author may receive that feedback directly, verbally, and in the moment. If the author is not present for the meeting in which the role is not advanced, the CTO will follow up with that person to share feedback and discuss next steps. If there are further questions that remain, any team member can reach out directly to the CEO to gain more context and bring any conflict.

Once roles are approved by the CEO, the Hiring Manager meets with the Talent Team to begin the Search and Selection design process and the Hiring Process.