

Minimum Client Evidence Requirements

Documents and records to request from a client before a capability assessment, cross-referenced to the seven assessment domains and the Basic, Standard and Premium Gig Levels.

This checklist tells a client exactly what to send before an engagement starts. It follows the same evidence logic as the Domain Evidence Guidebook: a design/framework document proves a capability exists (E1), a current operating record proves it is in active use (E2), and an outcome record proves it is actually working (E3). Each Gig Level requests the minimum document set needed to reach the evidence depth it promises — nothing more.

How to use this document: for the subscribed Gig Level, send one document (or extract/excerpt) per row, per domain. If a named document genuinely does not exist, complete the attached attestation instead of leaving the row blank — see “When a document doesn't exist” below. Findings based on an attestation rather than a document are recorded in the assessment report as “assessed on attestation, not independently verified.”

BASIC	STANDARD	PREMIUM
Capability Snapshot Review selected evidence across the 7 domains; assign maturity (N/P/L/F) per domain. Evidence scope: Selected evidence — E1 focus Delivery: 5 days	Consolidated Assessment Structured assessment across all 7 domains using E1 and E2 evidence levels. Evidence scope: All 7 domains — E1 & E2 Delivery: 7 days	Capability Assessment & Priorities Comprehensive review across all 7 domains with E1-E3 evidence questions and notes. Evidence scope: All 7 domains — E1, E2 & E3 Delivery: 10 days

Document-count guide: Basic requests roughly 7 items (one per domain); Standard roughly 14 (two per domain — framework + live record); Premium roughly 21 (three per domain — framework + live record + outcome evidence). Where one existing document already covers multiple rows (for example, a combined risk and governance framework), submit it once and note which rows it satisfies.

DOMAIN-BY-DOMAIN EVIDENCE REQUEST

For each domain, the table below shows the cumulative minimum document set required at each Gig Level. Standard includes everything in Basic, plus one additional item; Premium includes everything in Standard, plus one further item.

Domain 1. Strategy & Direction

METRIC % of strategic objectives with a named owner and tracked outcomes		
BASIC — minimum documents	STANDARD — minimum documents	PREMIUM — minimum documents
• Strategy / corporate plan (or extract) Shows objectives, and who owns each one.	• Strategy / corporate plan As per Basic. • Current KPI/OKR scorecard or performance dashboard extract Shows measures, baselines, and targets against objectives (E2).	• Strategy / corporate plan As per Basic. • Current KPI/OKR scorecard or performance dashboard extract As per Standard (E2). • One recent Board/Executive minute or decision paper Shows a funding change, reprioritisation, or stopped initiative linked to objective performance (E3).

Domain 2. Decision-Making Quality

METRIC Decision reversal or rework rate		
BASIC — minimum documents	STANDARD — minimum documents	PREMIUM — minimum documents
• Delegation of Authority or decision-rights policy (or extract) Shows authority levels and escalation triggers.	• Delegation of Authority / decision framework As per Basic. • Decision log, or 1–2 completed decision/business-case papers Shows the framework applied in practice (E2).	• Delegation of Authority / decision framework As per Basic. • Decision log or completed decision papers As per Standard (E2). • Decision reversal/rework data or a post-implementation review Shows decisions made once and rarely reworked (E3).

Domain 3. Risk & Resilience

METRIC % of critical risks with treatments that reduce risk to target

BASIC — minimum documents	STANDARD — minimum documents	PREMIUM — minimum documents
Risk management policy/framework (or extract) Shows how risks are identified and assessed.	- Risk management policy/framework As per Basic. - Current risk register (critical/extreme risks) Shows treatments, owners, dates and target ratings (E2).	- Risk management policy/framework As per Basic. - Current risk register As per Standard (E2). - Recent risk trend extract, KRI report, or before/after residual ratings Shows treatments have reduced exposure in practice (E3).

Domain 4. Execution & Operational Control

METRIC On-time, on-budget delivery rate for material initiatives

BASIC — minimum documents	STANDARD — minimum documents	PREMIUM — minimum documents
Project/program delivery framework or governance model (or extract) Shows stage gates and approval roles.	- Delivery framework / governance model As per Basic. - Current portfolio status pack or dashboard extract Shows active governance, reporting and escalation in use (E2).	- Delivery framework / governance model As per Basic. - Current portfolio status pack As per Standard (E2). - Closure report(s) or post-implementation review for 1–2 material initiatives Shows delivery against agreed time/cost tolerances (E3).

Domain 5. People Leadership & Culture

METRIC Voluntary turnover in critical roles

BASIC — minimum documents	STANDARD — minimum documents	PREMIUM — minimum documents
Critical-role register or workforce/succession framework (or extract) Shows how critical roles are defined and identified.	- Critical-role register / succession framework As per Basic. - Succession plan / talent review extract or development-plan template in use Shows leaders equipped to manage critical roles (E2).	- Critical-role register / succession framework As per Basic. - Succession plan / talent review extract As per Standard (E2). - Voluntary turnover data for critical roles (12 months) Shows turnover is controlled and within tolerance (E3).

Domain 6. Learning & Improvement

METRIC Repeat incidents or repeat failures

BASIC — minimum documents	STANDARD — minimum documents	PREMIUM — minimum documents
Incident/RCA/CAPA procedure (or extract) Shows the process for investigating and learning from incidents.	- Incident/RCA/CAPA procedure As per Basic. - Current CAPA register or 2–3 completed RCA records Shows root-cause analysis actually applied, with owners and dates (E2).	- Incident/RCA/CAPA procedure As per Basic. - Current CAPA register / completed RCA records As per Standard (E2). - Repeat-incident trend data or an effectiveness-check record Shows lessons learned have reduced recurrence (E3).

Domain 7. Governance & Accountability

METRIC % of material issues closed on time (audit, reviews, incidents)

BASIC — minimum documents	STANDARD — minimum documents	PREMIUM — minimum documents
• Governance framework / committee terms of reference (or extract) Shows defined roles, accountabilities and issue-management process.	• Governance framework / committee ToR As per Basic. • Current issue/audit-finding register extract Shows owners, due dates and escalation thresholds in use (E2).	• Governance framework / committee ToR As per Basic. • Current issue/audit-finding register As per Standard (E2). • Issue-closure performance report or committee minutes Shows material issues are reliably closed on time, with escalation for non-closure (E3).

WHEN A DOCUMENT DOESN'T EXIST

Attestation in Place of a Document

Many organisations — particularly smaller ones, or those newer to formal capability management — will not hold every document listed for every domain. This is itself useful evidence: an E1 gap usually means the underlying process does not yet exist in a defined form, which is a legitimate assessment finding rather than a data-collection failure.

Where a client cannot supply a listed document, ask them to complete a short attestation instead of leaving the evidence request unanswered. A workable attestation captures:

- The domain and evidence level (E1/E2/E3) the attestation relates to
- A plain statement of current practice, even if informal (for example, “we do not have a written risk framework; risk is discussed verbally in monthly leadership meetings”)
- Who is providing the attestation (name, role) and the date
- Confirmation that no equivalent document, record, or extract exists to be substituted

Reporting rule: any maturity rating based on an attestation rather than a document, register, or data extract must be labelled in the assessment report as “assessed on attestation, not independently verified.” This keeps the distinction visible to the client and preserves the credibility of document-backed ratings elsewhere in the same report.

General Evidence-Handling Rules

- Accept PDF, Word, Excel, or PowerPoint; a screenshot or photo of a register is acceptable if the source system cannot easily export.
- Approved/current versions are preferred, but a draft or working version is acceptable if clearly labelled as such.
- Clients may redact commercially sensitive figures (e.g. exact dollar values) as long as the structural evidence (that a target exists, that an owner is named) remains visible.
- If the exact named document does not exist, ask the client to send the nearest equivalent before falling back to an attestation — for example, a slide summary of a strategy in place of a formal strategic plan.
- A single document may satisfy more than one row across domains (e.g. an enterprise risk and governance framework can cover both Domain 3 and Domain 7 E1 rows) — accept it once and cross-reference it in the evidence log rather than requesting a duplicate.

Source basis: document groupings and the E1 (design document) / E2 (live operating record) / E3 (outcome evidence) evidence logic are drawn from the Universal Framework — Domain Evidence Guidebook and the subscribed Gig Level's stated scope (Basic: selected evidence, N/P/L/F maturity; Standard: all 7 domains, E1-E2; Premium: all 7 domains, E1-E3).