

# Universal Framework — E1 — Exists Evidence Requirements

Documentary evidence that a defined process, framework, or policy exists for this domain — the gateway evidence required before enablement or execution can be assessed. This document sets the minimum documentation required, across all seven capability domains, to support a E1 attribution.

|                                                                                                                                                                            |                                                                                                                                                                                                 |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| DOMAIN 1                                                                                                                                                                   |                                                                                                                                                                                                 |
| Strategy & Direction                                                                                                                                                       |                                                                                                                                                                                                 |
| METRIC                                                                                                                                                                     |                                                                                                                                                                                                 |
| % of strategic objectives with a named owner and tracked outcomes                                                                                                          |                                                                                                                                                                                                 |
| E1                                                                                                                                                                         | Gateway question: Does a defined process exist for setting, prioritising and assigning strategic objectives?                                                                                    |
| EXISTS                                                                                                                                                                     | <b>MINIMUM DOCUMENTATION REQUIRED</b><br>Current strategic/corporate plan or documented strategy-setting process, showing how objectives are set, prioritised, and each assigned a named owner. |
| If a document does not exist, a signed client attestation may substitute; the resulting finding is then reported as "assessed on attestation, not independently verified." |                                                                                                                                                                                                 |

DOMAIN 2

Decision-Making Quality

METRIC

Decision reversal or rework rate

E1

EXISTS

Gateway question: Does a defined decision-making framework exist (authority levels, criteria, escalation)?

MINIMUM DOCUMENTATION REQUIRED

Delegation of authority / decision-rights policy, or a decision & escalation matrix, defining who decides what, thresholds, and escalation routes.

If a document does not exist, a signed client attestation may substitute; the resulting finding is then reported as "assessed on attestation, not independently verified."

DOMAIN 3

Risk & Resilience

METRIC

% of critical risks with treatments that reduce risk to target

E1

EXISTS

Gateway question: Does a defined process exist for identifying, assessing and managing risks?

MINIMUM DOCUMENTATION REQUIRED

Risk management policy/framework and a current risk register (or extract) showing critical risks identified and rated using a defined method.

If a document does not exist, a signed client attestation may substitute; the resulting finding is then reported as "assessed on attestation, not independently verified."

DOMAIN 4

Execution & Operational Control

METRIC

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

E1

EXISTS

Gateway question: Does a defined framework exist for planning, governing and controlling material initiatives?

MINIMUM DOCUMENTATION REQUIRED

Delivery/project governance framework, methodology, or template set (charter, stage-gate) plus a definition of what counts as a "material initiative."

If a document does not exist, a signed client attestation may substitute; the resulting finding is then reported as "assessed on attestation, not independently verified."

DOMAIN 5

People Leadership & Culture

METRIC

Voluntary turnover in critical roles

E1

EXISTS

Gateway question: Does a defined framework exist for managing critical roles, capability and succession?

MINIMUM DOCUMENTATION REQUIRED

Documented framework for managing critical roles and succession — e.g. an org chart identifying critical roles, or a succession/critical-role policy.

If a document does not exist, a signed client attestation may substitute; the resulting finding is then reported as "assessed on attestation, not independently verified."

DOMAIN 6

## Learning & Improvement

METRIC

Repeat incidents or repeat failures

E1

EXISTS

*Gateway question:* Does a defined process exist for learning from incidents, failures and reviews?

**MINIMUM DOCUMENTATION REQUIRED**

Incident/"learning from events" policy or procedure describing how incidents and failures are investigated and reviewed.

If a document does not exist, a signed client attestation may substitute; the resulting finding is then reported as "assessed on attestation, not independently verified."

# Governance & Accountability

METRIC

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

E1

EXISTS

Gateway question: Do defined governance roles, accountabilities and issue-management processes exist?

MINIMUM DOCUMENTATION REQUIRED

Governance structure document — org chart, board/committee terms of reference, or RACI — defining roles, accountabilities and the issue-management process.

If a document does not exist, a signed client attestation may substitute; the resulting finding is then reported as "assessed on attestation, not independently verified."