COMPLIANCE WORKING RECORD

AML control testing planner

FICTIONAL evidence sample. Requires tailoring.

Document control

Field	Value
Document type	Evidence workpaper
Document reference	CASE-FICTIONAL
Jurisdiction	United States
Version	2026-10-09.financial-evidence.1
Status	FICTIONAL sample. Requires tailoring.
Classification	Private
Prepared by	Fictional responsible reviewer
Prepared on	October 9, 2026
Sources reviewed	October 9, 2026
Generated	October 9, 2026

Document control and frozen case

Prepare an exact control-testing scope, selected population, test schedule, acceptance criteria and required evidence workpaper.

Field	Value
Case reference	CASE-FICTIONAL
Organization	Fictional organization
Subject	Fictional customer or subject
Responsible reviewer	Fictional responsible reviewer
Preparation date	October 9, 2026

Field	Value
Scope	Fictional bounded evidence case. Replace every source, policy and fact before use.
Customer policy	POLICY-FICTIONAL
Customer policy version	fictional-v1
Declared approver	Fictional policy owner
Declared approval date	October 2, 2026
Decision boundary	No substantive decision or external filing made.

Named method and supported scope

Compare declared and supplied control population counts. Bind each planned test to one control, exact selected item IDs, named tester, planned period, selection basis, expected evidence and exception threshold. Check full-population selection for all-items methods and retain omitted or orphan records. Mark all plans as unperformed.

Selected-ID arrays support the full 100-item supplied population per planned test. No statistical representativeness, operating effectiveness or independence opinion is inferred.

Original evidence bytes, annotations and customer rules remain in this browser unless explicitly approved for paid cloud saving. Customer verification and approval are declarations. Mechanical results do not authenticate source facts, decide legal applicability, clear screening hits, authorize transactions, classify exports, file reports or establish total wealth.

Only the supplied population is evaluated. Source annotations do not prove completeness, authenticity, reviewer authority or external screening. Missing and conflicting evidence remains visible.

Every accepted finding and original source reference is retained. Supplied text is not silently shortened. Original files are copied only into a local full backup or an explicitly approved artifact operation.

Complete result counts

Measure	Value
Original file descriptors	1
Evidence source references	1
Complete findings	5
Findings needing review	0

1. Original evidence index (S1)

State. Customer evidence linked

Exact source descriptor and customer-declared locator retained. No content authentication.

Field	Value
File	F1
Locator	Fictional document paragraphs 1 to 3
Description	Fictional policy and evidence source only.
Custodian	Fictional custodian
Source date	October 1, 2026
Customer verification	Customer verified
Verified by	Fictional reviewer
Verified on	October 2, 2026
Exact evidence source references	S1

2. Original byte manifest (F1)

State. Indexed

Exact local SHA-256 descriptor. Recovered descriptors require matching original bytes for a complete attachment export.

Field	Value
Filename	FICTIONAL-evidence.txt
Media type	text/plain
Bytes	255
SHA-256	f915adc44353033ee611dbc67d8e24d6d2fcfa10da40688 f5b9d0a3cb2e20a4a
Exact evidence source references	None supplied

3. Frozen customer policy (POLICY-FICTIONAL)

State. Policy linked

Customer-selected policy, version and approval are retained. Applicability and authority require human review.

Field	Value
Version	fictional-v1
Approved by	Fictional policy owner
Approved on	October 2, 2026
Exact evidence source references	S1

4. Control testing scope (C1)

State. Scope documented

Selected control, full declared population and acceptance conditions retained for planning. No operating effectiveness test was performed.

Field	Value
Objective	Fictional control objective
Population	Two fictional control events only.
Declared count	2
Supplied count	2
Expected evidence	Fictional original review record for every selected item.
Acceptance criterion	Customer reviewer confirms original evidence and outcome.
Exception threshold	Fictional customer rule. Any missing evidence needs review.
Owner	Fictional control owner
Exact evidence source references	S1

5. Planned AML test (TEST1)

State. Plan assembled

Exact selected items and planned evidence are retained. Sample representativeness, policy sufficiency and test results remain unverified.

Field	Value
Control	C1
Method	All supplied items
Selected IDs	POP1, POP2
Selected count	2
Selection basis	All two supplied fictional records. No sampling inference.
Tester	Fictional tester
Start on	October 10, 2026
End on	October 11, 2026
Exact evidence source references	S1

Complete accepted task inputs

The following exact accepted fields preserve every supplied task record, including orphan records and contradictions. They are customer annotations, not independently extracted or authenticated evidence.

Field	Value
controls 1. reference	C1
controls 1. objective	Fictional control objective
controls 1. populationDescription	Two fictional control events only.
controls 1. populationCount	2
controls 1. expectedEvidence	Fictional original review record for every selected item.
controls 1. acceptanceCriterion	Customer reviewer confirms original evidence and outcome.

Field	Value
controls 1. exceptionThreshold	Fictional customer rule. Any missing evidence needs review.
controls 1. owner	Fictional control owner
controls 1. sourceIds	S1
population 1. reference	POP1
population 1. controlReference	C1
population 1. occurredOn	October 1, 2026
population 1. sourceIds	S1
population 2. reference	POP2
population 2. controlReference	C1
population 2. occurredOn	October 2, 2026
population 2. sourceIds	S1
tests 1. reference	TEST1
tests 1. controlReference	C1
tests 1. method	All supplied items
tests 1. selectedIds	POP1, POP2
tests 1. selectionBasis	All two supplied fictional records. No sampling inference.
tests 1. tester	Fictional tester
tests 1. startOn	October 10, 2026
tests 1. endOn	October 11, 2026
tests 1. sourceIds	S1

Recovery and original attachment boundary

The complete local ZIP includes every original file listed in the retained manifest. A structured JSON or cloud record alone preserves the descriptor and annotation, not the original file bytes. Attach matching bytes before producing a complete original-attachment pack.

Customer recovery restores neither source authentication, approval authority nor paid export access. Payment ownership is checked before each commercial export.

Official sources

Source	Provision	Date	Link
Federal Financial Institutions Examination Council: BSA/AML Independent Testing	Bank examination guidance describes risk-based independent testing, scope, workpapers and reporting. Customer-selected sampling and thresholds are not a professional assurance opinion.	October 9, 2026	https://bsaaml.ffiec.gov/manual/AssessingTheBSAAMLComplianceProgram/03