COMPLIANCE WORKING RECORD

Financial-crime case quality review

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

Assess complete supplied-case documentation against an exact approved rubric, including missing answers, evidence gaps and customer exclusions.

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

Join every rubric criterion to all entered assessments. Require evidence and named rationale where selected. Honor not-applicable treatment only when the exact rubric permits it and a reason is supplied. Calculate exact documented and applicable weight points, preserving missing and conflicting assessments. Never infer a passing case or closure decision.

Weights are whole nonnegative integers through 999. Coverage is a documentation ratio without a pass threshold. Source correctness, case merit and compliance remain reviewer responsibilities.

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	6
Findings needing review	2

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. Case quality rubric (R1)

State. Customer assessment documented

Customer-entered assessment meets the selected documentation requirements. No case or legal decision is made.

Field	Value
Section	Case facts
Criterion	Document the fictional case subject and original evidence.
Required	Yes
Reviewer state	Satisfied
Explanation	Fictional source annotation recorded. Requires tailoring.
Reviewer	Fictional reviewer
Not-applicable rationale	Not provided
Weight	2
Exact evidence source references	S1, S1

5. Case quality rubric (R2)

State. Unresolved

Reviewer marks the criterion unknown or deficient.

Field	Value
Section	Decision rationale
Criterion	Retain the responsible reviewer rationale.
Required	Yes
Reviewer state	Unknown
Explanation	Fictional rationale is not yet resolved.
Reviewer	Fictional reviewer
Not-applicable rationale	Not provided
Weight	1
Exact evidence source references	S1, S1

6. Weighted documentation coverage (CASE-FICTIONAL)

State. Incomplete

Exact customer-weighted documentation coverage only. No pass threshold, case closure or compliance approval is inferred.

Field	Value
Documented points	2
Applicable points	3
Coverage fraction	2/3
Exact evidence source references	None supplied

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
criteria 1. reference	R1
criteria 1. section	Case facts
criteria 1. prompt	Document the fictional case subject and original evidence.
criteria 1. required	Yes
criteria 1. evidenceRequired	Yes
criteria 1. allowNotApplicable	No
criteria 1. weight	2
criteria 1. sourceIds	S1
criteria 2. reference	R2
criteria 2. section	Decision rationale
criteria 2. prompt	Retain the responsible reviewer rationale.
criteria 2. required	Yes
criteria 2. evidenceRequired	Yes
criteria 2. allowNotApplicable	No
criteria 2. weight	1
criteria 2. sourceIds	S1
assessments 1. criterionReference	R1
assessments 1. state	Satisfied
assessments 1. explanation	Fictional source annotation recorded. Requires tailoring.
assessments 1. reviewer	Fictional reviewer
assessments 1. notApplicableReason	Not provided

Field	Value
assessments 1. sourceIds	S1
assessments 2. criterionReference	R2
assessments 2. state	Unknown
assessments 2. explanation	Fictional rationale is not yet resolved.
assessments 2. reviewer	Fictional reviewer
assessments 2. notApplicableReason	Not provided
assessments 2. 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: Developing Conclusions and Finalizing the Exam	Examiner guidance discusses supporting evidence, findings and conclusions. A customer rubric only assesses documented supplied-case coverage, not an examiner conclusion or legal compliance.	October 9, 2026	https://bsaaml.ffiec.gov/manual/DevelopingConclusionsAndFinalizingTheExam/01
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/AssessingTheBSAAMLCompliance Program/03