

COMPLIANCE WORKING RECORD

Screening decision audit trail

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-control.1
Status	FICTIONAL sample. Requires tailoring.
Classification	Private
Prepared by	Fictional reviewer
Prepared on	October 9, 2026
Sources reviewed	October 9, 2026
Generated	October 9, 2026

Document control and frozen case

Assemble ordered source-linked screening decisions, reasons, reviewers and frozen provider, list and policy versions.

Field	Value
Case reference	CASE-FICTIONAL
Organization	Fictional organization
Subject	Fictional bounded review
Responsible reviewer	Fictional reviewer
Preparation date	October 9, 2026
Scope	Fictional customer-approved workflow. Replace every example before real use.

Field	Value
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

Order each case by its explicit sequence. Check one opening event, exact predecessor references, consecutive numbering, date chronology, source verification and rationale. Keep every supplied event and every chain gap visible.

The reconstructed customer event chain is not a tamper-proof historical log. Original timestamps, authentication, legal retention and disposition remain customer responsibilities.

All original evidence, customer rules and factual verification are customer declarations. File hashes establish retained byte identity only.

The tool does not perform live screening, authenticate identities, decide legal applicability, approve transactions, file reports or certify effective controls.

Prepared results preserve complete accepted records. Recovery does not restore payment, source authentication or fresh approval authority.

Complete result counts

Measure	Value
Supplied events	2

1. Original evidence source (S1)

State. Customer verification linked

Customer-declared source identity and verification. Original contents are not extracted or independently authenticated.

Field	Value
Original file ID	F1
Locator	Fictional section one

Field	Value
Source date	October 1, 2026
Custodian	Fictional customer custodian
Description	Fictional source declaration. Does not establish real source evidence.
Customer verification	Customer verified
Verified by	Fictional customer reviewer
Verified on	October 2, 2026
Exact evidence source references	S1

2. Original byte manifest (F1)

State. Indexed

The complete archive requires these exact original bytes.

Field	Value
Filename	FICTIONAL-control-evidence.txt
Media type	text/plain
Bytes	208
SHA-256	158b727cc608104a93cc176d0e3cd7b62a9d775a674e30 837ae8f7fb5bc5ceff
Exact evidence source references	S1

3. Frozen customer policy (POLICY-FICTIONAL)

State. Documented

Exact customer-approved policy retained. Applicability and authority remain customer declarations.

Field	Value
Version	fictional-v1

Field	Value
Approver	Fictional policy owner
Approval date	October 2, 2026
Exact evidence source references	S1

4. Screening decision event (EVENT1)

State. Declared event chain linked

The supplied event and its predecessor remain exact. This exported chain does not prove immutable historical logging or a correct disposition.

Field	Value
Case	CASE1
Sequence	1
Date	October 1, 2026
Predecessor	
Action	Opened
Decision	Fictional case opened
Reviewer	Fictional reviewer
Provider	Fictional provider
List version	fictional-list-v1
Policy version	fictional-policy-v1
Rationale	Source-linked fictional observation
Gaps	
Exact evidence source references	S1

5. Screening decision event (EVENT2)

State. Audit gap

The supplied event and its predecessor remain exact. This exported chain does not prove immutable historical logging or a correct disposition.

Field	Value
Case	CASE1
Sequence	3
Date	October 2, 2026
Predecessor	EVENT1
Action	Escalated
Decision	Fictional escalation
Reviewer	Fictional reviewer
Provider	Fictional provider
List version	fictional-list-v2
Policy version	fictional-policy-v1
Rationale	Missing sequence two remains a gap
Gaps	Predecessor gap
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
events 1. reference	EVENT1
events 1. caseReference	CASE1
events 1. sequence	1

Field	Value
events 1. on	October 1, 2026
events 1. priorReference	
events 1. action	Opened
events 1. decision	Fictional case opened
events 1. reviewer	Fictional reviewer
events 1. provider	Fictional provider
events 1. listVersion	fictional-list-v1
events 1. policyVersion	fictional-policy-v1
events 1. rationale	Source-linked fictional observation
events 1. sourceIds	S1
events 2. reference	EVENT2
events 2. caseReference	CASE1
events 2. sequence	3
events 2. on	October 2, 2026
events 2. priorReference	EVENT1
events 2. action	Escalated
events 2. decision	Fictional escalation
events 2. reviewer	Fictional reviewer
events 2. provider	Fictional provider
events 2. listVersion	fictional-list-v2
events 2. policyVersion	fictional-policy-v1
events 2. rationale	Missing sequence two remains a gap
events 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
Office of Foreign Assets Control: A Framework for OFAC Compliance Commitments	Testing, auditing, internal controls and records support sanctions compliance programs. Customer-supplied synthetic results do not screen real parties or prove provider execution.	October 9, 2026	https://ofac.treasury.gov/system/files/126/framework_ofac_cc.pdf