

COMPLIANCE WORKING RECORD

Screening input-quality checker

Fictional sample. Requires tailoring and responsible review.

Document control

Field	Value
Organization	Not recorded
Document type	Screening input-quality checker
Document reference	21-screening-input-quality-checker
Jurisdiction	United States
Version	1
Status	Review has unresolved requirements
Prepared by	Customer prepared
Prepared on	October 22, 2026
Sources reviewed	September 24, 2026
Generated	October 22, 2026

Purpose and boundary

Check party inputs for missing or placeholder names, duplicate identifiers, invalid or future birth dates, approved country vocabulary, and repeated party details.

Mechanical review applies only to the supplied source and customer-approved rules. It does not authenticate evidence, determine legal applicability, approve closure or work, clear a party, submit a filing, or change a source system.

Document control

Field	Value
Tool identifier	21-screening-input-quality-checker
Specification version	1

Field	Value
Dataset method revision	2026-10-08.task-dataset-review.1
Engine	validator
Result status	Review has unresolved requirements

Structured inputs

Field	Value
Frozen review date	October 8, 2026
Approved policy and scope reference	Fictional approved policy v1. Fictional reviewer. Replace before use.
Require country in every party row	Yes
Require date of birth in every party row	No
Approved country codes or names	US CA
Values that mean unknown	UNKNOWN N/A

Result

2 source rows checked. 1 unresolved rows, 0 policy exceptions, and 0 missing checklist records.

- Check party inputs for missing or placeholder names, duplicate identifiers, invalid or future birth dates, approved country vocabulary, and repeated party details.

- Method revision 2026-10-08.task-dataset-review.1.

- Frozen review date 2026-10-08.

- Approved rule Fictional approved policy v1. Fictional reviewer. Replace before use..

- Every source row is preserved. Missing checklist entries use an empty source-row pointer. Duplicate identities remain unresolved in every occurrence.

- Exact identifiers and checklist values are case-sensitive. Status comparisons ignore case where the displayed contract names a supported status. Surrounding whitespace in identifiers requires review.

- Amounts use exact scaled-integer arithmetic. No source values, dates, quantities, or original bytes are changed.

- Mechanical review applies only to the supplied source and customer-approved rules. It does not authenticate evidence, determine legal applicability, approve closure or work, clear a party, submit a filing, or change a source system.

Measure	Value
Source rows	2
Result rows	2
Unresolved	1
Policy exceptions	0
Missing checklist records	0

Unresolved items

- Row 3. fictional-002. Missing or placeholder party name. Country is outside the approved vocabulary. Date of birth is after the frozen review date

Detailed results

Row	Reference	Result	Finding
2	fictional-001	Within selected rules	The supported administrative checks found no exception under the selected rules.
3	fictional-002	Unresolved	Missing or placeholder party name. Country is outside the approved vocabulary. Date of birth is after the frozen review date

Row	Name	Country	Date of birth
2	Fictional Example Person	US	January 1, 1990
3	UNKNOWN	XX	October 9, 2026

Assumptions

- No additional assumption was recorded.

Limitations

- Mechanical review applies only to the supplied source and customer-approved rules. It does not authenticate evidence, determine legal applicability, approve closure or work, clear a party, submit a filing, or change a source system.

Official sources

Source	Provision	Date	Link
Office of Foreign Assets Control: A Framework for OFAC Compliance Commitments	Management commitment, risk assessment, internal controls, testing and training. This source supports the Screening input-quality checker scope described on this page. It does not determine applicability or approve the customer result.	September 24, 2026	https://ofac.treasury.gov/media/16331/download?inline

Source	Provision	Date	Link
Office of Foreign Assets Control: Sanctions List Service	Current sanctions list files, formats and published hashes. This source supports the Screening input-quality checker scope described on this page. It does not determine applicability or approve the customer result.	September 24, 2026	https://ofac.treasury.gov/sanctions-list-service
RFC Editor: Common Format and MIME Type for Comma-Separated Values Files	CSV records, fields, escaping and MIME type. This source supports the Screening input-quality checker scope described on this page. It does not determine applicability or approve the customer result.	September 24, 2026	https://www.rfc-editor.org/rfc/rfc4180
National Cybersecurity Center of Excellence: Data Integrity: Identifying and Protecting Assets Against Ransomware and Other Destructive Events	Asset identification, integrity protection and recoverability. This source supports the Screening input-quality checker scope described on this page. It does not determine applicability or approve the customer result.	September 24, 2026	https://www.nccoe.nist.gov/publication/1800-25/VolA/index.html