

COMPLIANCE WORKING RECORD

Payment approval exception checker

Fictional sample. Requires tailoring and responsible review.

Document control

Field	Value
Organization	Not recorded
Document type	Payment approval exception checker
Document reference	24-payment-approval-exception-checker
Jurisdiction	United States
Version	1
Status	Review has policy exceptions
Prepared by	Customer prepared
Prepared on	October 22, 2026
Sources reviewed	September 24, 2026
Generated	October 22, 2026

Purpose and boundary

Identify unapproved payments, missing or self approvals, duplicate payment IDs, currency mismatches, and amounts above a selected approval limit.

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	24-payment-approval-exception-checker
Specification version	1

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

Structured inputs

Field	Value
Frozen review date	October 8, 2026
Approved policy and scope reference	Fictional approved policy v1. Fictional reviewer. Replace before use.
Payment currency or unit	USD
Maximum amount under the selected approval rule	1000
Require requester and approver to differ	Yes

Result

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

- Identify unapproved payments, missing or self approvals, duplicate payment IDs, currency mismatches, and amounts above a selected approval limit.
- 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	0
Policy exceptions	1
Missing checklist records	0

Unresolved items

- Row 3. fictional-002. Requester and approver are the same identity. Amount exceeds the recorded approval limit

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	Review required	Requester and approver are the same identity. Amount exceeds the recorded approval limit

Row	Requester	Approver	Amount
2	Fictional requester	Fictional approver	100
3	Fictional requester	Fictional requester	1000.01

Row	Approval limit	Remaining limit	Currency
2	1000	900	USD
3	1000	-0.01	USD

Row	Approval status
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Row	Approval status
2	Approved
3	Approved

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
US Department of Justice and US Securities and Exchange Commission: A Resource Guide to the U.S. Foreign Corrupt Practices Act	Anti-bribery and accounting provisions, compliance programs and enforcement. This source supports the Payment approval exception checker scope described on this page. It does not determine applicability or approve the customer result.	September 24, 2026	https://www.justice.gov/criminal/criminal-fraud/file/1292051/dl?inline

Source	Provision	Date	Link
Financial Crimes Enforcement Network: Statutes, regulations and guidance	Bank Secrecy Act and anti-money laundering guidance. This source supports the Payment approval exception checker scope described on this page. It does not determine applicability or approve the customer result.	September 24, 2026	https://www.fincen.gov/resources/statutes-regulations/guidance
National Institute of Standards and Technology: Secure Hash Standard	SHA-224, SHA-256, SHA-384, SHA-512 and related functions. This source supports the Payment approval exception checker scope described on this page. It does not determine applicability or approve the customer result.	September 24, 2026	https://csrc.nist.gov/pubs/fips/180-4/upd1/final
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 Payment approval exception 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