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AML AI Assurance Evidence Pack

Quick-Start Guide

OWNER-AUTHORIZED PUBLIC RESEARCH PROTOTYPE

A structured Excel research prototype for organizing AML AI system context, alert-review and escalation documentation, human-oversight references, model and data events, evidence sources, limitations, and consistency checks.

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Production/operational use	Not approved

Required public warning

Independent educational/research prototype only. Professional review, legal review, privacy/security review, AML review, audit/evidence-methodology review, records-management review, and model-risk review were not performed. OSG-009 remains open as a publication limitation. Use synthetic or non-sensitive information only. Do not enter real customer, employee, account, transaction, alert, case, investigation, filing, model, dataset, vendor-confidential, production, or security-sensitive information. This artifact is not legal, compliance, audit, regulatory, model-validation, privacy, security, or AML advice. It is not approved for production or operational use.

The workbook is public only as an independent educational/research prototype. Technical verification confirms the workbook package and specified controls; it is not professional approval.

1. Start with the use boundary

What the workbook is

The workbook is a structured documentation prototype for organizing synthetic AML AI system and monitoring context, alert review and escalation records, human-oversight references, model and data events, evidence notes, limitations, examples, and consistency prompts.

Who it is for

Potential audiences include AML and financial-crime practitioners, compliance teams, AI governance and assurance teams, technology-risk and GRC personnel, internal audit and model-risk personnel, privacy and security teams, researchers, and practitioners evaluating evidence-management practices. Audience relevance does not establish organization-specific applicability.

What it contains

- 20 visible worksheets and 19 structured tables.
- 166 implemented public data-entry columns supported by a Field_Guide and Value_Guide.
- 148 formulas, 60 validation rules across 14 worksheets, and five conditional-formatting rules across three ranges.
- Synthetic examples, research-source notes, a public changelog, and bounded consistency checks.

Before opening the workbook

- Confirm the downloaded filename is the canonical XLSX filename shown on page 4.
- Retain the original download as an unchanged reference copy.
- Open and work only in a separate copy. Do not convert, preview, or resave the reference copy.
- Use a current spreadsheet application; complete compatibility across every spreadsheet product is not guaranteed.

Synthetic/non-sensitive-data rule

Use only synthetic or non-sensitive information. The workbook is not a secure repository. Do not paste or import operational records, real case material, model artifacts, production datasets, credentials, confidential vendor content, or security-sensitive information.

2. Recommended workflow

1. Download and retain an unchanged reference copy.
2. Create a separate working copy.
3. Read the README worksheet before entering information.
4. Use only synthetic or non-sensitive information.
5. Complete Pack_Profile before using the detailed worksheets.
6. Use the Field_Guide and Value_Guide for field definitions and controlled values.
7. Preserve formulas, validation lists, worksheet names, table names, and identifiers.
8. Review Consistency_Checks for documentation gaps and manual-review prompts.
9. Treat results as documentation aids, not compliance or control conclusions.
10. Do not use the workbook in production or operational workflows.

Worksheet navigation

Worksheet group	Worksheets
Start and profile	README; Pack_Profile
System and monitoring context	System_Use_Case; Monitoring_Method_Context
Alert review and human oversight	Alert_Review_Escalation; Oversight_References; Reviewer_Handoff
Data and model events	Data_Gaps_Workarounds; Model_Data_Events
Lineage, lag, performance, and feedback	Date_Lineage_Lag; Observation_Performance; Analyst_Feedback
Evidence and limitations	Model_Data_Limitations; Evidence_Source_Notes
Examples and checks	Example_Scenarios; Consistency_Checks
Guides and sources	Field_Guide; Value_Guide; Research_Source_Notes
History	Changelog

How to enter demonstration information

- Use synthetic identifiers and fictional scenarios. Mark synthetic-record fields where provided.
- Use organization-configurable values only as illustrative starter vocabulary; define and govern meanings for the intended context.
- Use role-based or pseudonymous reviewer references. Do not enter real reviewer identities or credentials.

3. Interpret and preserve the workbook correctly

Consistency checks

A Pass means only that a formula detected no issue under the entered data. A Manual review status means the workbook cannot resolve the question automatically. Neither status is a compliance test, audit conclusion, AML determination, control-effectiveness conclusion, regulatory assessment, model validation, or proof of effective human oversight.

Preserve formulas and validations

- Do not overwrite formula cells or paste values across formula columns.
- Do not remove validation lists, change table ranges, rename worksheets or tables, or alter stable identifiers.
- When experimentation requires structural changes, use a disposable working copy and document the change separately.

What the workbook does not determine

The workbook does not establish AML compliance, transaction-monitoring adequacy, filing or reporting correctness, legal or regulatory conformity, audit sufficiency, control effectiveness, model validity or fitness, privacy compliance, security adequacy, records-management compliance, production readiness, or effective or meaningful human oversight.

OSG-009 limitation

OSG-009 remains open as an owner-accepted publication limitation. Professional review and signoff do not exist. The owner-authorized decision permits research-prototype publication only and does not satisfy the professional-review gate.

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Version and verification details

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