

Compliance decision record

A generic template for recording one compliance decision. Adapt the fields to your own policy and tools. It is not legal or regulatory advice, does not reflect the record-keeping requirements of any specific jurisdiction and is not a description of the AMIN data model.

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1. Reference

Record ID	
Client or relationship	
Subject of the decision (person, company or alert)	
Decision type (for example onboarding, risk acceptance, alert disposition, exception, exit)	
Policy and version applied	
Date opened	
Date decided	

2. Context

The question being decided	
Background summary	
Risk rating at the time, and how it was determined	

3. Evidence relied on

Evidence item	Source	Version or date	Reviewed by	Notes

4. Decision

Outcome: ☐ Approve ☐ Approve with conditions ☐ Request more information ☐ Reject	
Decision maker (name and role)	
Date and time	

5. Rationale

Write for a reader who has none of today's context. Name the evidence that was decisive, explain how the risk factors were weighed, and state any remaining doubt and why it was acceptable under your policy.

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6. Approvals and authority

Role	Name	Authority (policy reference)	Outcome	Date

Was escalation required? If so, to whom and why?	
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7. Conditions and follow-up

Condition or action	Owner	Due date	Status and evidence of completion

8. Next review

Next review date	
Events that would trigger an earlier review	

9. Audit trail and evidence package

Where the audit trail for this decision is kept	
Evidence package reference (if one was sealed or exported)	
Record closed by and date	

Before you close the record

Could someone who was not involved answer these questions from this record alone?

- What was decided, and about whom?
- Who decided, and who approved?
- With what authority?
- On which evidence, in which version?
- Why was the outcome reasonable?
- Were the conditions met, and when is the next review?