Model case Port Bank

The deadline is November 20, 2026. The fictitious Hafenbank AG checks whether payment processing and customer access are correctly linked to their ICT services and contracts. The sample file begins with two open findings.

What the initial sample shows

C-001 · Application operation	Contract, provider P-01 and critical function F-PAY are fully assigned. Use this line as a control sample.
C-074 · Customer train access platform	The contract is in the procurement portfolio. It is missing from the audited register edition. In sheet Deletion, line 9, it says "Misses in the register".
C-014 · Evasion service	The service line contains F-404 instead of F-PAY. The contract refers to a restricted audit clause. In the Service sheet, row 8, the function reference is open.

How to detect a correction

The contract C-074 must lead to customer access via the service D-074 (F-011). For C-014, you will keep the documented function assignment and the signed supplement for the event-related audit. Both findings are reviewed individually.

Relevant sources

~~Art. 28 DORA to the Information Register Art~~. 30 DORA to contract contents Joint ESA-Q&A ESMA 2646 to audit frequency

MODEL/PROCESSING

Add contract and assignment

Work in a copy of the sample file. The proof IDs in the following steps refer to fictitious documents already recorded.

Contracts · row 9	A?G: C-074 · P-053 · Customer access platform · 30.06.2025 · 31.12.2028 · NW-074 · Not relevant.
Services · Line 9	A?G: C-074 · D-074 · Operating customer access platform · P-053 · F-011 · NW-MAP · Direct. The relationship check must be "Customized" the
Clauses · Lines 13?15	C-074 with A30-01, A30-02B and A30-03E with the fictitious references Contract volume § 1, Appendix 2 and Appendix 3 § 4, document the evidence NW-074 and the examiner A. Wille. Column C is calculated.
Services · Cell E8	F-404 replace by F-PAY. In clauses H12 then shows the visible finding "Difference". The repaired assignment solves the not yet a contractual deficiency.
Clauses · row 12	D?G: Fulfils · Subsigned supplement § 4 · NW-AUD · M. Richter. the text, signature and the perceptibility of law in relation to events.

Short counter-sample

In a second copy, set E8 to F-404 again. The relationship check must "Report function reference missing". Check the two versions against each other and use the verifiably corrected version for the post-test.

Keep the nightest and release

The clearance is a separate decision. The calculated state shows whether the recorded relationships, evidence, findings and follow-up tests are fully available for this sample.

Post-tests · Line 7	NT-074 to BF-074. Test question: C-074 is present once and D-074 leads to F-011. Result Stocks, NW-TEST, 23.11.2026 10:30, M. Judge.
Aftertests · Line 8	NT-014 to BF-014. Test question: F-PAY is correctly linked and the signed supplement confirms the audit access Passed, NW-TEST, 23.11.2026 11:30, M. Richter.
Findings · Lines 7?8	Enter in G?I to BF-074 NW-KOR / NT-074 / completion. To BF-014 NW-AUD / NT-014 / Final. Column J shows per finding "Completed.
Release · B18?B20	M. Richter · 24.11.2026 · NW-FREI. With a consistent test bench appears in B22 "Technical Release Documented".

If a newer post-test fails

Capture NT-014-N to BF-014 with date 24.11.2026 09:00, same scale, result "Not passed", NW-TEST and M. Richter. The previous conclusion is reopened. In practice, the new post-test includes a separate proof.

Size of the sample

The sample file uses three selected contract criteria. The complete work file deepens the sample with 19 criteria, a separate example and more space for own records.