

COMPLIANCE WORKING RECORD

AI prohibited-use workpaper

Fictional sample. Requires tailoring and responsible review.

Document control

Field	Value
Document type	AI prohibited-use workpaper
Document reference	FICTIONAL-AI-GOVERNANCE-1
Jurisdiction	Customer-selected US preparation
Version	1
Status	Named AI governance workpaper prepared
Prepared by	Fictional responsible AI reviewer
Prepared on	2026-10-09T18:00:00Z
Rule pack	2026-10-09.ai-governance-workpaper.1
Generated	October 9, 2026

Purpose and boundary

Prepare a prohibited-use review from actual system behavior, selected practice criteria, potential exceptions and responsible conclusions.

Evaluate customer-approved factual predicates with three-state logic against exact source-supported behavior facts. Keep criterion categories, jurisdiction, rule versions, affected groups and exceptions separate. A matched category is a potential issue for responsible review. Unsupported exclusions and conclusions remain unresolved.

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Approved scope and AI governance method

Fictional exercise only. One exact system/version with actual selected task rows, imported approved rules and original sources. Replace every fact before use.

Scope approval. FICTIONAL-SCOPE-1

Approved method. Fictional approved AI governance procedure 1. Source. f1. Locator. /methodVersion. Approver. Fictional authorized method approver. Approval date. 2026-01-02T12:00:00Z

Population statement. Declared complete population. Customer-declared system count. 1

Prohibited-practice predicate and exception workpaper system inputs

The first 20 exact task rows appear here. Displayed values are bounded to 1000 characters. Complete typed rows and exact values remain in Excel and JSON.

ID	Facts
1	System Id. SYSTEM-1 Name. Fictional Northfield AI assistant Version. 1 Owner. Fictional AI system owner Provider. Fictional model provider Organization role. Fictional customer-approved deployer role Jurisdiction. Customer-selected US preparation Framework. Fictional approved governance scheme Framework Version. Fictional operative framework 1 Approved framework source file ID. f1 Framework Locator. /frameworkVersion Scope Approved By. Fictional reported Scope Approved By Scope approval timestamp. 2026-01-02T12:00:00Z Intended Purpose. Summarize fictional customer evidence Actual Behavior. Assists a human by summarizing explicitly selected fictional source records. Affected groups. ["Fictional staff"] Deployment Contexts. ["Fictional browser workspace"] Lifecycle. Active Next Review At. 2027-01-01T12:00:00Z Population Mode. Declared complete population Declared system count. 1 Original source file ID. f2 Original JSON record pointer. /systems/0 Original source binding. Exact JSON recor [formal preview abridged]

Facts

The first 20 exact task rows appear here. Displayed values are bounded to 1000 characters. Complete typed rows and exact values remain in Excel and JSON.

ID	Facts
1	Fact Id. FACT-1 System Id. SYSTEM-1 Exact factual predicate name. Autonomous eligibility decision Value. No Observed At. 2026-10-08T15:00:00Z Affected groups. ["Fictional staff"] Context. Fictional actual browser-assisted review with mandatory human decision. Original source file ID. f2 Original JSON record pointer. /facts/0 Original source binding. Exact JSON record Supporting evidence IDs. ["PROOF-facts-FACT-1"]

Rule Groups

The first 20 exact task rows appear here. Displayed values are bounded to 1000 characters. Complete typed rows and exact values remain in Excel and JSON.

ID	Facts
1	Group Id. GROUP-1 System Id. SYSTEM-1 Category. Fictional selected decision-risk category Jurisdiction. Customer-selected US preparation Framework. Fictional approved governance scheme Operative rule version. Fictional operative framework 1 Instrument. Fictional operative instrument supplied by reviewer Provision. Fictional approved condition 1 Effective From. 2026-01-01 Effective Through. Mode. All Predicate Ids. ["PREDICATE-1"] Scope Basis. Fictional explicit approved system/role scope Incompatible Group Ids. [] Approved By. Fictional reported Approved By Approved At. 2026-01-02T12:00:00Z Original source file ID. f2 Original JSON record pointer. /ruleGroups/0 Original source binding. Exact JSON record Supporting evidence IDs. ["PROOF-ruleGroups-GROUP-1"]

Predicates

The first 20 exact task rows appear here. Displayed values are bounded to 1000 characters. Complete typed rows and exact values remain in Excel and JSON.

ID	Facts
1	Predicate Id. PREDICATE-1 System Id. SYSTEM-1 Fact Id. FACT-1 Operator. Equals Expected. Yes Reason. Fictional customer-selected factual routing condition. Original source file ID. f2 Original JSON record pointer. /predicates/0 Original source binding. Exact JSON record Supporting evidence IDs. ["PROOF-predicates-PREDICATE-1"]

Exceptions

The first 20 exact task rows appear here. Displayed values are bounded to 1000 characters. Complete typed rows and exact values remain in Excel and JSON.

Assessments

The first 20 exact task rows appear here. Displayed values are bounded to 1000 characters. Complete typed rows and exact values remain in Excel and JSON.

ID	Facts
1	Assessment Id. ASSESS-1 System Id. SYSTEM-1 Group Ids. ["GROUP-1"] Exception Ids. [] Working Conclusion. No selected predicate match Responsible Conclusion. Prepared for review Argument. Fictional exact fact reports No, so this selected predicate does not match. No wider legal conclusion is inferred. Approved By. Fictional reported Approved By Approved At. 2026-10-08T15:00:00Z Original source file ID. f2 Original JSON record pointer. /assessments/0 Original source binding. Exact JSON record Supporting evidence IDs. ["PROOF-assessments-ASSESS-1"]

Decisions

The first 20 exact task rows appear here. Displayed values are bounded to 1000 characters. Complete typed rows and exact values remain in Excel and JSON.

Evidence

The first 20 exact task rows appear here. Displayed values are bounded to 1000 characters. Complete typed rows and exact values remain in Excel and JSON.

ID	Facts
1	Evidence Id. PROOF-systems-SYSTEM-1 System Id. SYSTEM-1 Record Type. systems Record Id. SYSTEM-1 File Id. f2 Source Sha256. 99f078b11071d6bfd1cf6a7f6481221ad880b3f34f1de55dc9410dc41810f809 Locator. /systems/0 Conclusion. Supports Reviewer. Fictional original-source reviewer Reviewed At. 2026-10-09T18:00:00Z
2	Evidence Id. PROOF-facts-FACT-1 System Id. SYSTEM-1 Record Type. facts Record Id. FACT-1 File Id. f2 Source Sha256. 99f078b11071d6bfd1cf6a7f6481221ad880b3f34f1de55dc9410dc41810f809 Locator. /facts/0 Conclusion. Supports Reviewer. Fictional original-source reviewer Reviewed At. 2026-10-09T18:00:00Z
3	Evidence Id. PROOF-ruleGroups-GROUP-1 System Id. SYSTEM-1 Record Type. ruleGroups Record Id. GROUP-1 File Id. f2 Source Sha256. 99f078b11071d6bfd1cf6a7f6481221ad880b3f34f1de55dc9410dc41810f809 Locator. /ruleGroups/0 Conclusion. Supports Reviewer. Fictional original-source reviewer Reviewed At. 2026-10-09T18:00:00Z
4	Evidence Id. PROOF-predicates-PREDICATE-1 System Id. SYSTEM-1 Record Type. predicates Record Id. PREDICATE-1 File Id. f2 Source Sha256. 99f078b11071d6bfd1cf6a7f6481221ad880b3f34f1de55dc9410dc41810f809 Locator. /predicates/0 Conclusion. Supports Reviewer. Fictional original-source reviewer Reviewed At. 2026-10-09T18:00:00Z
5	Evidence Id. PROOF-assessments-ASSESS-1 System Id. SYSTEM-1 Record Type. assessments Record Id. ASSESS-1 File Id. f2 Source Sha256. 99f078b11071d6bfd1cf6a7f6481221ad880b3f34f1de55dc9410dc41810f809 Locator. /assessments/0 Conclusion. Supports Reviewer. Fictional original-source reviewer Reviewed At. 2026-10-09T18:00:00Z

Actions

The first 20 exact task rows appear here. Displayed values are bounded to 1000 characters. Complete typed rows and exact values remain in Excel and JSON.

Prohibited-practice predicate and exception workpaper

The first 20 prepared output rows appear here. Complete rows remain in Excel and JSON.

ID	Result
ASSESS-1	<p>Item. ASSESS-1 System ID. SYSTEM-1 Matched categories. Unknown groups. Working conclusion. No selected predicate match Responsible conclusion. Prepared for review Draft text. System. SYSTEM-1</p> <p>Selected jurisdiction and framework. Customer-selected US preparation / Fictional approved governance scheme</p> <p>Matched factual categories.</p> <p>Unknown criteria.</p> <p>Exact exception decisions.</p> <p>Customer working conclusion. No selected predicate match</p> <p>Responsible review conclusion. Prepared for review</p> <p>Approved argument. Fictional exact fact reports No, so this selected predicate does not match. No wider legal conclusion is inferred.</p> <p>This browser preparation retains exact system facts, customer-approved jurisdictions and operative rules, original evidence and accountable decisions. It does not issue a legal classification, prove oversight or accessibility, establish copyright ownership, certify documentation or publish a notice. Imported non-US instruments require explicit approval. No remote AI or [formal preview abridged]</p>

Named AI governance draft sections

The first 20 prepared output rows appear here. Complete rows remain in Excel and JSON.

ID	Result
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ID	Result
ASSESS-1	<p>Item. ASSESS-1 System ID. SYSTEM-1 Title. Prohibited-practice predicate and exception workpaper Decision. Prepared for review Draft text. System. SYSTEM-1</p> <p>Selected jurisdiction and framework. Customer-selected US preparation / Fictional approved governance scheme</p> <p>Matched factual categories.</p> <p>Unknown criteria.</p> <p>Exact exception decisions.</p> <p>Customer working conclusion. No selected predicate match</p> <p>Responsible review conclusion. Prepared for review</p> <p>Approved argument. Fictional exact fact reports No, so this selected predicate does not match. No wider legal conclusion is inferred.</p> <p>This browser preparation retains exact system facts, customer-approved jurisdictions and operative rules, original evidence and accountable decisions. It does not issue a legal classification, prove oversight or accessibility, establish copyright ownership, certify documentation or publish a notice. Imported non-US instruments require explicit approval. No remote AI or provider is called. Original files rem [formal preview abridged]</p>

Accountable AI governance actions

The first 20 prepared output rows appear here. Complete rows remain in Excel and JSON.

AI governance draft. ASSESS-1. Prepared for review

Complete source-supported draft text appears below and remains in Excel and JSON.

System. SYSTEM-1

Selected jurisdiction and framework. Customer-selected US preparation / Fictional approved governance scheme

Matched factual categories.

Unknown criteria.

Exact exception decisions.

Customer working conclusion. No selected predicate match

Responsible review conclusion. Prepared for review

Approved argument. Fictional exact fact reports No, so this selected predicate does not match. No wider legal conclusion is inferred.

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Review findings

1 actual system scopes. 1 named outputs. 0 unresolved findings.

The first 100 findings and 1000 characters per displayed field appear here. Complete findings remain in the data exports.

Kind	ID	Result	Finding
Original systems source	SYSTEM-1	Matched	Every exact task fact matches the original bytes.
Original facts source	FACT-1	Matched	Every exact task fact matches the original bytes.
Original ruleGroups source	GROUP-1	Matched	Every exact task fact matches the original bytes.
Original predicates source	PREDICATE-1	Matched	Every exact task fact matches the original bytes.
Original assessments source	ASSESS-1	Matched	Every exact task fact matches the original bytes.
Factual predicate evaluation	PREDICATE-1	False	Exact source-supported operator Equals yields False.
Selected criterion group	GROUP-1	False	Fictional selected decision-risk category under Fictional approved governance scheme Fictional operative framework 1. Potential factual match only.

Selected exact attachments

ID	Filename	Bytes	SHA-256
f1	fictional-approved-ai-governance-rules.json	148	1f8958ad149556a61f28cef068f35fdee62fa1412604839158f59e90fde605c9
f2	fictional-original-ai-governance-records.json	2682	99f078b11071d6bfd1cf6a7f6481221ad880b3f34f1de55dc9410dc41810f809

Unresolved items and limitations

The first 100 unresolved items appear here, with 1000 characters per preview. Complete findings remain in Excel and JSON.

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Limitations

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Official sources

Source	Provision	Date	Link
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Source	Provision	Date	Link
European Commission: Guidelines on prohibited AI practices	The 2025 guidelines discuss Article 5 practices, factual conditions and exceptions. They require case-specific assessment. This workpaper imports the customer-approved operative criterion population and keeps subsequent amendments, actual jurisdiction, factual support and responsible conclusions explicit. Historical guidance is not substituted for a current instrument.. Evaluate customer-approved factual predicates with three-state logic against exact source-supported behavior facts. Keep criterion categories, jurisdiction, rule versions, affected groups and exceptions separate. A matched category is a potential issue for responsible review. Unsupported exclusions and conclusions remain unresolved. Actual legal applicability, source completeness and real-world effectiveness remain separately approved decisions.	October 9, 2026	https://ai-act-service-desk.ec.europa.eu/sites/default/files/2025-08/guidelines_on_prohibited_artificial_intelligence_practices_established_by_regulation_eu_20241689_ai_act_english_ied3r5nwo50xggpcfmwckm3nuc_112367-1.PDF