

COMPLIANCE WORKING RECORD

Whistleblowing intake assistant

FICTIONAL evidence sample. Requires tailoring.

Document control

Field	Value
Document type	Evidence workpaper
Document reference	CASE-FICTIONAL
Jurisdiction	United States
Version	2026-10-09.regulatory-training.1
Status	FICTIONAL sample. Requires tailoring.
Classification	Private
Prepared by	Fictional reviewer
Prepared on	October 9, 2026
Sources reviewed	October 9, 2026
Generated	October 9, 2026

Document control and frozen case

Extract exact customer-selected statement quotes, preserve allegations and unknowns, and prepare a restricted routing record from approved rules.

Field	Value
Case reference	CASE-FICTIONAL
Organization	Fictional organization
Subject	Fictional bounded review
Responsible reviewer	Fictional reviewer
Preparation date	October 9, 2026

Field	Value
Scope	Fictional customer-approved workflow. Replace every example before real use.
Customer policy	POLICY-FICTIONAL
Customer policy version	fictional-v1
Declared approver	Fictional policy owner
Declared approval date	October 2, 2026
Decision boundary	No substantive decision or external filing made.

Named method and supported scope

Match UTF-16 quote offsets against the unchanged statement, record who/what/when/where/concern/policy coverage, and join concern topic and urgency to one exact approved routing rule. Calculate the customer review date in calendar days.

No credibility determination, external report, statutory protection claim or authenticated anonymity. Up to 100 records per table, 4,000 characters per statement.

All original evidence, approved rules, recipient events and factual verification remain customer declarations. File hashes establish retained byte identity only.

The tool does not decide credibility, legal applicability, publication, competence, participation, signature, delivery, regulator acceptance or submission.

Prepared results preserve complete accepted records. Recovery never creates payment, source authentication, fresh consent or approval authority.

Complete result counts

Measure	Value
Intake statements	1
Selected fact quotes	1

1. Original evidence source (S1)

State. Customer verification linked

Customer-declared source identity and verification. Original contents are not extracted or independently authenticated.

Field	Value
Original file ID	F1
Locator	Fictional section one
Source date	October 1, 2026
Custodian	Fictional customer custodian
Description	Fictional source declaration. Does not establish real source evidence.
Customer verification	Customer verified
Verified by	Fictional customer reviewer
Verified on	October 2, 2026
Exact evidence source references	S1

2. Original byte manifest (F1)

State. Indexed

Complete attachment export requires these exact original bytes.

Field	Value
Filename	FICTIONAL-regulatory-training-evidence.txt
Media type	text/plain
Bytes	206
SHA-256	5caf71f8ad946bcc893f678cedea5f9390a5d12eb1f3e5f2e2c5b0789f93d574
Exact evidence source references	S1

3. Frozen customer policy (POLICY-FICTIONAL)

State. Documented

Exact customer-approved policy retained. Applicability and authority remain customer declarations.

Field	Value
Version	fictional-v1
Approver	Fictional policy owner
Approval date	October 2, 2026
Exact evidence source references	S1

4. Exact intake statement (STAT1)

State. Documented

Statement retained verbatim. Credibility is not determined.

Field	Value
reference	STAT1
on	October 1, 2026
text	Fictional clerk reported a missing control log.
sourceIds	["S1"]
Exact evidence source references	S1

5. Source-linked intake fact (FACT1)

State. Alleged

Only customer-selected exact quotes are extracted. Allegations remain allegations.

Field	Value
reference	FACT1
statementReference	STAT1
category	Who

Field	Value
exactQuote	Fictional clerk
start	0
end	15
verification	Alleged
sourceIds	["S1"]
Gaps	
Exact evidence source references	S1

6. Intake fact coverage (What)

State. Unresolved

No selected exact quote covers this fact category.

Field	Value
Exact evidence source references	None supplied

7. Intake fact coverage (When)

State. Unresolved

No selected exact quote covers this fact category.

Field	Value
Exact evidence source references	None supplied

8. Intake fact coverage (Where)

State. Unresolved

No selected exact quote covers this fact category.

Field	Value
Exact evidence source references	None supplied

9. Intake fact coverage (Concern)

State. Unresolved

No selected exact quote covers this fact category.

Field	Value
Exact evidence source references	None supplied

10. Intake fact coverage (Policy)

State. Unresolved

No selected exact quote covers this fact category.

Field	Value
Exact evidence source references	None supplied

11. Customer-rule routing preparation (CONCERN1)

State. Prepared route

No message, referral or case assignment is sent. The customer approves restricted access and routing.

Field	Value
reference	CONCERN1
topic	Control records
urgency	Routine
statementIds	["STAT1"]
sourceIds	["S1"]
Matching rules	[{"reference":"RULE1","topic":"Control records","urgency":"Routine","assignedOwner":"Fictional restricted reviewer","restrictedAudience":"Fictional intake reviewers","daysToReview":5,"sourceIds":["S1"]}]
Review due	October 6, 2026

Field	Value
Deadline state	Past customer date
Gaps	
Exact evidence source references	S1

12. Unresolved intake question (UNKNOWN1)

State. Unresolved

The question remains open without a credibility or protection finding.

Field	Value
reference	UNKNOWN1
question	Which control version governed the event?
owner	Fictional reviewer
sourceIds	["S1"]
Exact evidence source references	S1

Complete accepted task inputs

The following exact accepted fields preserve every supplied task record, including orphan records and contradictions. They are customer annotations, not independently extracted or authenticated evidence.

Field	Value
receivedOn	October 1, 2026
channel	Fictional private internal channel
reporterMode	Anonymous
reporterReference	
statements 1. reference	STAT1
statements 1. on	October 1, 2026
statements 1. text	Fictional clerk reported a missing control log.

Field	Value
statements 1. sourceIds	S1
extractedFacts 1. reference	FACT1
extractedFacts 1. statementReference	STAT1
extractedFacts 1. category	Who
extractedFacts 1. exactQuote	Fictional clerk
extractedFacts 1. start	0
extractedFacts 1. end	15
extractedFacts 1. verification	Alleged
extractedFacts 1. sourceIds	S1
concerns 1. reference	CONCERN1
concerns 1. topic	Control records
concerns 1. urgency	Routine
concerns 1. statementIds	STAT1
concerns 1. sourceIds	S1
routingRules 1. reference	RULE1
routingRules 1. topic	Control records
routingRules 1. urgency	Routine
routingRules 1. assignedOwner	Fictional restricted reviewer
routingRules 1. restrictedAudience	Fictional intake reviewers
routingRules 1. daysToReview	5
routingRules 1. sourceIds	S1
unknowns 1. reference	UNKNOWN1

Field	Value
unknowns 1. question	Which control version governed the event?
unknowns 1. owner	Fictional reviewer
unknowns 1. sourceIds	S1

Recovery and original attachment boundary

The complete local ZIP includes every original file listed in the retained manifest. A structured JSON or cloud record alone preserves the descriptor and annotation, not the original file bytes. Attach matching bytes before producing a complete original-attachment pack.

Customer recovery restores neither source authentication, approval authority nor paid export access. Payment ownership is checked before each commercial export.

Official sources

Source	Provision	Date	Link
Securities and Exchange Commission: Whistleblower Frequently Asked Questions	The SEC explains direct reporting and Rule 21F-17 protections. An internal intake record does not establish statutory protection, require internal reporting first or make a report to the SEC.	October 9, 2026	https://www.sec.gov/enforcement-litigation/whistleblower-program/whistleblower-frequently-asked-questions
US Department of Justice: Evaluation of Corporate Compliance Programs. September 2024	Program evaluation considers reporting, policies, role-appropriate training, testing and remediation. Customer-recorded events are not authenticated participation, delivery, competence or certification.	October 9, 2026	https://www.justice.gov/criminal/criminal-fraud/page/file/937501/download