

COMPLIANCE WORKING RECORD

Remedial learning planner

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

Prepare rule-based remedial course assignments from supplied outcomes, exact versions, customer dates and escalation owners.

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

Join obligations to learner/course versions. Select the latest source-linked dated attempt, preserve conflicting outcomes, match one approved Failed/Incomplete/Overdue rule, and calculate the frozen remedial date.

No training delivery, authenticated participation, competence assessment or external enrollment. Up to 100 records per table.

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
Training obligations	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

Field	Value
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

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

4. Source-linked remedial plan (OBL1)

State. Prepared remedial action

Approved rules define the plan. Training is not delivered and declared attempts are not authenticated.

Field	Value
reference	OBL1
learnerReference	LEARNER1
courseReference	COURSE1
courseVersion	fictional-v1
dueOn	October 5, 2026
sourceIds	["S1"]
Learner	{ "reference": "LEARNER1", "role": "Fictional reviewer", "owner": "Fictional learning owner", "sourceIds": ["S1"] }
Every attempt	[{ "reference": "ATTEMPT1", "obligationReference": "OBL1", "on": "2026-10-02", "outcome": "Failed", "score": "Fictional reported score 50", "sourceIds": ["S1"] }]
Selected trigger	Failed
Matched rules	[{ "reference": "RULE1", "trigger": "Failed", "remedialCourseReference": "COURSE2", "remedialCourseVersion": "fictional-v2", "daysToComplete": 7, "escalationOwner": "Fictional escalation owner", "sourceIds": ["S1"] }]
Remedial course	{ "reference": "COURSE2", "version": "fictional-v2", "title": "Fictional remedial course", "sourceIds": ["S1"] }

Field	Value
Customer due date	October 16, 2026
Gaps	
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
learners 1. reference	LEARNER1
learners 1. role	Fictional reviewer
learners 1. owner	Fictional learning owner
learners 1. sourceIds	S1
courses 1. reference	COURSE1
courses 1. version	fictional-v1
courses 1. title	Fictional original course
courses 1. sourceIds	S1
courses 2. reference	COURSE2
courses 2. version	fictional-v2
courses 2. title	Fictional remedial course
courses 2. sourceIds	S1
obligations 1. reference	OBL1
obligations 1. learnerReference	LEARNER1
obligations 1. courseReference	COURSE1
obligations 1. courseVersion	fictional-v1

Field	Value
obligations 1. dueOn	October 5, 2026
obligations 1. sourceIds	S1
attempts 1. reference	ATTEMPT1
attempts 1. obligationReference	OBL1
attempts 1. on	October 2, 2026
attempts 1. outcome	Failed
attempts 1. score	Fictional reported score 50
attempts 1. sourceIds	S1
rules 1. reference	RULE1
rules 1. trigger	Failed
rules 1. remedialCourseReference	COURSE2
rules 1. remedialCourseVersion	fictional-v2
rules 1. daysToComplete	7
rules 1. escalationOwner	Fictional escalation owner
rules 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
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
Consumer Financial Protection Bureau: Compliance Management Review. Examination Procedures	Examination procedures discuss product development, marketing, administration, complaints and staff training. These procedures do not automatically apply to every US business; customer-selected records remain bounded observations.	October 9, 2026	https://www.consumerrfinance.gov/compliance/supervision-examinations/compliance-management-review-examination-procedures/