

COMPLIANCE WORKING RECORD

Role-based training matrix

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

Produce a complete role-course-learner matrix with version, due date, declared completion and expiry reconciliation.

Field	Value
Case reference	CASE-FICTIONAL
Organization	Fictional organization
Subject	Fictional bounded review
Responsible reviewer	Fictional reviewer
Preparation date	October 9, 2026
Scope	Fictional customer-approved workflow. Replace every example before real use.

Field	Value
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 exact role and course versions, calculate due dates from start dates and expiry from supplied completions, and retain missing, outdated and conflicting outcomes.

Reported completion remains a customer declaration. No learning-management-system integration, authenticated participation or certification. Complete matrix must fit the result bound.

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
Role-course-learner assignments	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

Field	Value
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. Role-course-learner matrix assignment (LEARNER1/REQ1)

State. Current declared completion

Exact version and customer date rules define this matrix. Reported course completion is not authenticated participation or competence.

Field	Value
Learner	{"reference":"LEARNER1","name":"Fictional learner","roleReference":"ROLE1","startOn":"2026-10-01","sourceIds":["S1"]}
Role	{"reference":"ROLE1","name":"Fictional reviewer role","sourceIds":["S1"]}
Requirement	{"reference":"REQ1","roleReference":"ROLE1","courseReference":"COURSE1","courseVersion":"fictional-v1","daysFromStart":7,"validForDays":365,"sourceIds":["S1"]}
Course	{"reference":"COURSE1","version":"fictional-v1","title":"Fictional role course","sourceIds":["S1"]}
Every course completion	[{"reference":"COMPLETE1","learnerReference":"LEARNER1","courseReference":"COURSE1","courseVersion":"fictional-v1","on":"2026-10-02","outcome":"Passed","sourceIds":["S1"]}]
Due on	October 8, 2026
Last declared outcome	Passed
Expires on	October 2, 2027
Gaps	
Exact evidence source references	S1, 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
roles 1. reference	ROLE1
roles 1. name	Fictional reviewer role
roles 1. sourceIds	S1
courses 1. reference	COURSE1
courses 1. version	fictional-v1
courses 1. title	Fictional role course
courses 1. sourceIds	S1
learners 1. reference	LEARNER1
learners 1. name	Fictional learner
learners 1. roleReference	ROLE1
learners 1. startOn	October 1, 2026
learners 1. sourceIds	S1
requirements 1. reference	REQ1
requirements 1. roleReference	ROLE1
requirements 1. courseReference	COURSE1
requirements 1. courseVersion	fictional-v1
requirements 1. daysFromStart	7
requirements 1. validForDays	365
requirements 1. sourceIds	S1
completions 1. reference	COMPLETE1
completions 1. learnerReference	LEARNER1

Field	Value
completions 1. courseReference	COURSE1
completions 1. courseVersion	fictional-v1
completions 1. on	October 2, 2026
completions 1. outcome	Passed
completions 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.consumerfinance.gov/compliance/supervision-examinations/compliance-management-review-examination-procedures/