

COMPLIANCE WORKING RECORD

Alert coverage analyzer

Fictional sample. Requires tailoring and responsible review.

Document control

Field	Value
Organization	Fictional Example Company
Document type	Alert coverage analyzer
Document reference	22-alert-coverage-analyser
Jurisdiction	United States
Version	2026-10-06.3
Status	Working result has unresolved items
Prepared by	Fictional responsible reviewer
Prepared on	October 6, 2026
Sources reviewed	October 6, 2026
Generated	October 6, 2026

Frozen review scope

Field	Value
Tool identifier	22-alert-coverage-analyser
Method revision	2026-10-06.3
Evidence window	January 1, 2026
Review date	October 6, 2026
Reviewer	Fictional responsible reviewer

Purpose and boundary

Map approved monitoring scenarios to dated alert validation results. Identify disabled rules, unresolved scope and ineffective or untested mappings.

The map reviews supplied scenario and alert validation records. It does not run transaction monitoring, backtest thresholds, measure false positives or establish detection effectiveness. An enabled rule without a recorded validation result is unresolved.

Review scope

Fictional requirements and records. Requires tailoring.

Result

1 of 3 approved included requirements have only supported recorded mappings.

- The map reviews supplied scenario and alert validation records. It does not run transaction monitoring, backtest thresholds, measure false positives or establish detection effectiveness. An enabled rule without a recorded validation result is unresolved.

- Identifiers trim surrounding spaces and ignore letter case. Required methods must match exactly after that normalization. Multiple methods need separate requirements.

- Every mapping is assessed separately. An adverse or unresolved mapping keeps the requirement open even when another mapping is supported.

Measure	Value
Approved included requirements	3
Supported recorded requirements	1
Requirements needing review	2
Source issues and exclusions	0

Approved requirements

The report includes the first 100 requirements and at most 400 characters per cell. Excel and JSON preserve every source. CSV preserves every requirement.

ID	Method	Result	Finding
EXAMPLE-R01	Test	Supported mappings recorded	EXAMPLE-M01. A full-scope mapping has a matching method, completed activity, acceptable recorded outcome and dated evidence. Source authenticity and adequacy require review.

ID	Method	Result	Finding
EXAMPLE-R02	Test	Missing mapping	No mapping cites this approved requirement. A source population match is not inferred.
EXAMPLE-R03	Test	Mappings need review	EXAMPLE-M02. The recorded outcome is Ineffective.

Mapping assessments

The first 100 mapping assessments are summarized here. Excel and JSON preserve every assessment.

Requirement	Mapping	Activity	Result
EXAMPLE-R01	EXAMPLE-M01	EXAMPLE-A01	Supported mapping
EXAMPLE-R03	EXAMPLE-M02	EXAMPLE-A02	Adverse result

Requirement	Finding
EXAMPLE-R01	A full-scope mapping has a matching method, completed activity, acceptable recorded outcome and dated evidence. Source authenticity and adequacy require review.
EXAMPLE-R03	The recorded outcome is Ineffective.

Source issues and exclusions

The report includes the first 100 source issues. The complete issue list is preserved in Excel and JSON.

Responsible review

- EXAMPLE-R02. Missing mapping.
- EXAMPLE-R03. Mappings need review.

Assumptions

- Fictional requirements and records. Requires tailoring.

Limitations

- The map reviews supplied scenario and alert validation records. It does not run transaction monitoring, backtest thresholds, measure false positives or establish detection effectiveness. An enabled rule without a recorded validation result is unresolved.

Official sources

Source	Provision	Date	Link
National Institute of Standards and Technology: NIST SP 800-53A Revision 5 assessment methodology	Alert coverage analyzer. A methodological reference. Customer-approved requirements and recorded evidence determine the map. No mandatory scope or adequacy conclusion is inferred.	October 6, 2026	https://csrc.nist.gov/pubs/sp/800/53/a/r5/financial
Federal Financial Institutions Examination Council: FFIEC BSA/AML Manual, Suspicious Activity Reporting Examination Procedures	Alert coverage analyzer. US bank examination guidance only. Applicability to an organization requires separate review. This tool does not collect transactions, test thresholds or decide whether to file a SAR.	October 6, 2026	https://bsaaml.ffiec.gov/manual/AssessingComplianceWithBSARegulatoryRequirements/04_ep