NICE Actimize

Regulatory Certainty Readiness Checklist



Regulatory enforcement now focuses on whether firms' systems could have prevented or detected misconduct—not just caught it. Regulators expect proof that nothing material was missed. Achieving this requires confidence in three areas: **data completeness, model transparency**, and **efficient, high-quality AI-driven processes**. Use this checklist to assess your organization's readiness.

Data Observability & Completeness

- ○ Do you maintain a complete inventory of all regulated communication and trading channels?
- ○ Can you reconcile front-office systems to your archive to prove that no data was missed?
- ○ Do you automatically detect and escalate dropped data feeds or ingestion failures?
- ○ Is your archive technically immutable (e.g., WORM-enforced and auditable)?
- ○ Can you trace a record from its source system through the archive and surveillance process to regulatory output?

Model Observability & Explainability

- ○ Can you clearly explain why an alert was generated — or why it was not?
- ○ Do you formally document model purpose, inputs, thresholds, and limitations?
- ○ Are changes to surveillance thresholds and models governed and auditable?
- ○ Do you continuously monitor model performance and alert quality?
- ○ Can you demonstrate independent oversight of AI and surveillance models?

Efficiency & Quality with AI Automation

- ○ Do you measure and monitor alert volumes, backlog, and analyst workload?
- ○ Is there formal QA sampling of dismissed alerts with documented rationale?
- ○ Can you quickly reconstruct cross-channel communications and trading activity during investigations?
- ○ Are automation and AI workflows governed and reviewable?
- ○ Do QA outcomes feed back into model tuning and process improvement?

Reach out to us to learn more and schedule a deeper readiness assessment.

Get in touch