

Triage Guide — Compliance / CDD

SAMPLE DOCUMENT — FOR TRAINING PURPOSES ONLY

Triage Reference Guide — Compliance / CDD

Urgency Criteria

Urgency is driven by regulatory deadlines and risk scores. Items with high risk scores or approaching deadlines are always urgent, regardless of status.

Priority Scale (Risk_Score)

- **80-100: URGENT** — high risk, act immediately
- **60-79: ATTENTION** — elevated risk, review today
- **20-59: ROUTINE** — standard processing
- **1-19: LOW** — likely false positive, verify and clear

Categories

- **PEP**
- **Sanctions**
- **Adverse Media**
- **Watchlist**
- **Periodic Refresh**

Status Values

- **New**
- **Reviewed**
- **Escalated**
- **Dismissed**

Escalation Rules

1. Any item categorised as URGENT that has been in queue for more than 24 hours
2. Multiple items from the same source or merchant (pattern indicates systemic issue)
3. Items with contradictory data (status says one thing, priority says another)
4. Items you cannot categorise with the information available

The 5 Failure Modes (check your output)

1. **Miscalculation** — Are the counts in your summary correct? Count manually.
2. **Misclassification** — Did the AI put ambiguous items in the right category?
3. **Hallucinated references** — Do any links, IDs, or cross-references actually exist?
4. **Overconfident language** — Does the output say "definitely" when it means "likely"?
5. **Missing context** — What do you know from experience that the data doesn't show?