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Data Governance

Data lineage/quality dashboards, policy management, regulatory attestation, read-tracking

Here is a comprehensive, advanced requirements analysis for the **Data Governance** story in compliance/RegTech SaaS, featuring data lineage and quality dashboards, policy management, regulatory attestation, and read/access tracking. This framework leverages leading industry practice, regulatory demands (e.g., SOX, GDPR, BIS/EU, DORA), and competitive differentiators.

Data Governance – Advanced Analysis and Platform Requirements

1. Data Lineage & Quality Dashboards

- **End-to-End Lineage Mapping:** Visualize every field/object's journey from ingestion/source (ERP, manual, API, EDI) through all processing steps (screening, transformation, rule-hit, AI decision, manual override, export).
- **Quality Metrics Dashboards:** Real-time views for data completeness, accuracy rates per field/table, error/duplicate frequency, last validation date, and critical "age" and "source" KPIs.
- **Exception & Conflict Explorer:** Flag conflicting values, missing mappings, or assigned-risk levels; prompt rapid remediation.
- **Historical Data Rollback:** Ability to review, restore, or audit state of any compliance object (order, partner, doc) as it appeared at a prior point—meets audit evidence mandates.

2. Policy Management & Attestation

- **Central Policy Library:** Single repository for all live and historic compliance policies, regulatory citations, customer/partner rules, and configuration histories. Supports legal references (EU, BIS, PIPL, etc.).
- **Policy Lifecycle Tracking:** Full version control, auto-expiry and renewal alerts, link policies to rules/workflows/doc templates and change management approvals.
- **Attestation Workflow:** Role-based, multi-stage sign-off (e.g., compliance officer, legal, exec team, partner/vendor)—evidence of "policy read, understood, and accepted" for each cycle.
- **Automated Triggers:** System prompts users for attestation when policy/regulation changes, or new roles added; collects/links evidence for audits.

3. Regulatory Attestation & Read-Tracking

- **Regulator-Ready Attestation Logs:** Immutable audit trails linking every user, policy, sign-off (date/time/device/location), and rationale; supports “show me who saw/agreed to X” queries in seconds.
- **Smart Read Receipts:** Tracks not only explicit “read/acknowledge” but time on page, scroll, review frequency, quiz/tests for policy comprehension.
- **Bulk & Individual Tracking:** Per-user, per-role, per-entity breakdowns; “show outstanding attestation”, auto-remind/auto-escalation for non-compliance.
- **Attestation Analytics Dashboard:** Adoption, overdue, decline reasons, department/region/risk correlations, and PDF/CSV export for evidence packs.

4. Data Quality & Risk Management

- **Automated Quality Checks:** Non-stop validation routines auto-flag outliers, upload failures, mapping gaps, or out-of-date records; AI suggest and sometimes auto-fix recurring data issues.
- **Risk-Linked Lineage:** Each data object carries a dynamic “risk heritage” tag that is computed from source reliability, manual override, recency, and incident links.
- **Data Deletion & Purge Proof:** Full logs and visualizations of data retention, deletion events, and regulatory-mandated purges (with jurisdictional targeting).

5. Innovator Capabilities

- **Dynamic Data Contracts:** Data “handshake” between systems (ERP, partners, third-party integrators) is logged, version-controlled, and tracked for fit-for-purpose/consent for all flows.
- **Field-Level Regulatory Mapping:** Each field/attribute can be resolved to a law, policy, or business rule (auditor and developer can see instantly why it matters).
- **Governance Copilot:** AI assistant for explaining provenance risk (“Where’s this data from? Who touched it?”), suggesting fixes and policy update/bulk attestation triggers.

Acceptance Benchmarks

- 100% of critical compliance objects and fields have visible lineage and data quality status in real time.
- All policy updates are versioned, permissioned, and 100% of required recipients are prompted for attestation and logged.
- Regulatory audits instantly produce “point-in-time” data and attestation proofs for any date/statutory window.
- $\geq 99\%$ compliance with data quality, policy, attestation, and read-tracking KPIs over last 12 months.
- All deletion/purge events are logged and retrievable for statutory period.

Market & Regulatory Rationale

- Audit, fraud, and regulator inquiries now require granular, field-level proof of provenance, attestation, and policy compliance—not just “did user X login?”
- Buyers increasingly demand live quality and compliance dashboards, not just annual CSV evidence or after-the-fact responses.
- Unified, explainable, and AI-supported data governance is critical for a compliant, trusted, and extensible compliance SaaS.

If needed, individual user stories, process maps, or compliance dashboards can be detailed per your target user or regulator.



1. ComprehensiveRequirementsforaBest-in-ClassExportand-Groke.pdf
2. Expert-Review-of-the-Comprehensive-on-ths-doc.pdf
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