Compliance & Reporting Service

API Contract Specification v1.0

Document Information

• Service Name: Compliance & Reporting Service

API Version: 1.0.0

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• Document Owner: Shireen Hussain J

Classification: Internal Use Only

• Technology Stack: Java 17 + Spring Boot + Apache POI

1. Service Overview

1.1 Purpose

The Compliance & Reporting Service manages the generation, validation, and submission of ESG reports across multiple regulatory standards. It serves as the central engine for transforming raw ESG data into compliant, audit-ready reports for various stakeholders and regulatory bodies.

1.2 Core Capabilities

- Multi-Standard Reporting: CSRD, SFDR, ISSB, GRI, CDP, GHG Protocol compliance
- Template Management: Dynamic report templates with regulatory updates
- Report Generation: Automated creation of PDF, Word, Excel, and XML formats
- Approval Workflows: Multi-level review and approval processes
- Submission Management: Direct integration with regulatory portals
- Audit Trail: Complete documentation and version control
- Validation Engine: Compliance rule checking and gap analysis

1.3 Base URLs

- **Production**: https://api.sweep.com/v1/compliance-reporting
- Staging: (https://api-staging.sweep.com/v1/compliance-reporting)
- **Development**: (https://api-dev.sweep.com/v1/compliance-reporting)

1.4 Authentication

• **Primary**: OAuth 2.0 Bearer Token (JWT format)

- Service-to-Service: API Key authentication
- Required Roles: ESG_ANALYST, SUSTAINABILITY_MANAGER, COMPLIANCE_OFFICER, AUDITOR

2. API Endpoints

2.1 Health Check

GET /health

Response (200 OK):				
json				
JS011				

```
"status": "healthy",
"timestamp": "2025-09-24T15:45:00Z",
"version": "1.0.0",
"uptime": "120h 45m 30s",
"regulatoryFrameworks": {
 "CSRD": {
  "status": "active",
  "version": "2024.1",
  "lastUpdate": "2025-09-01T00:00:00Z",
  "templatesLoaded": 12
 },
 "SFDR": {
  "status": "active",
  "version": "2024.2",
  "pailndicators": 18,
  "templatesLoaded": 8
 "GRI": {
  "status": "active",
  "version": "2023",
  "universalStandards": 3,
  "topicStandards": 33
"reportQueue": {
 "pendingReports": 15,
 "inProgress": 8,
 "averageProcessingTime": "12m 30s"
```

2.2 Report Generation

POST /reports/generate

Purpose: Generate compliance reports based on specified standards and parameters

Request Body:

```
json
```

```
"reportJobId": "report-job-abc123",
"organizationId": "org-123",
"reportConfig": {
 "standard": "CSRD",
 "template": "ESRS_E1_CLIMATE_CHANGE",
 "reportingPeriod": {
  "startDate": "2024-01-01T00:00:00Z",
  "endDate": "2024-12-31T23:59:59Z",
  "fiscalYear": "2024"
 },
 "scope": {
  "entities": ["entity-dubai-hq", "entity-abu-dhabi-plant"],
  "geographies": ["UAE", "KSA"],
  "businessUnits": ["manufacturing", "operations"]
 "outputFormats": ["PDF", "XLSX", "XML"],
 "language": "EN",
 "currency": "USD"
},
"dataFilters": {
 "includeEstimatedData": true,
 "qualityThreshold": 85.0,
 "includeThirdPartyData": true,
 "dataAssurance": "LIMITED"
},
"customizations": {
 "includeBranding": true,
 "executiveSummary": true,
 "detailedBreakdowns": true,
 "comparativePeriods": ["2023", "2022"]
```

Response (202 Accepted):

```
json
```

```
"reportJobId": "report-job-abc123",

"status": "PROCESSING",

"standard": "CSRD",

"template": "ESRS_E1_CLIMATE_CHANGE",

"estimatedCompletionTime": "15-25 minutes",

"dataPointsToProcess": 1247,

"calculationsRequired": 45,

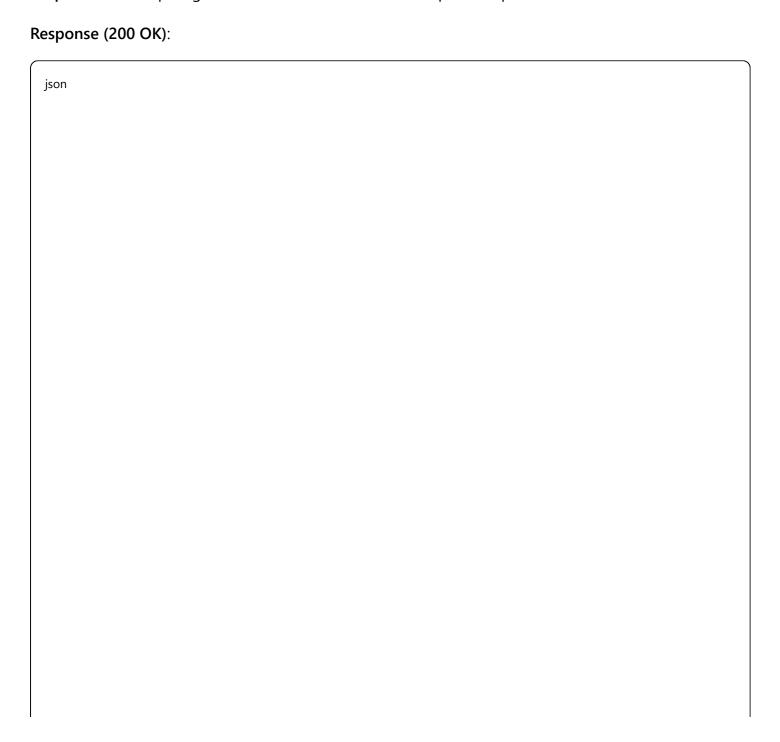
"statusUrl": "/reports/generate/status/report-job-abc123",

"submittedAt": "2025-09-24T16:00:00Z"

}
```

GET /reports/generate/status/{jobId}

Purpose: Check report generation status and retrieve completed reports



```
"reportJobId": "report-job-abc123",
"status": "COMPLETED",
"progress": {
 "dataCollection": "COMPLETED",
 "calculations": "COMPLETED",
 "validation": "COMPLETED",
 "formatting": "COMPLETED",
 "percentComplete": 100
},
"results": {
 "reportsGenerated": 3,
 "totalPages": 156,
 "dataPointsProcessed": 1247,
 "calculationsPerformed": 45.
 "validationIssues": 2,
 "outputs": [
   "format": "PDF",
   "fileSize": "12.4MB",
   "downloadUrl": "/reports/download/report-job-abc123.pdf",
   "expiresAt": "2025-09-31T16:00:00Z"
   "format": "XLSX",
   "fileSize": "3.8MB",
    "downloadUrl": "/reports/download/report-job-abc123.xlsx",
    "worksheets": 12
"compliance": {
 "standardCompliance": "FULLY_COMPLIANT",
 "mandatoryDisclosures": {
  "total": 85,
  "completed": 83,
  "missing": 2,
  "completenessPercentage": 97.6
 "validationResults": [
   "ruleId": "ESRS-E1-6",
   "status": "WARNING",
    "message": "Energy consumption data missing for Q4 renewable sources",
    "impact": "LOW",
    "recommendation": "Include estimated renewable energy consumption"
```

```
}
]
},
"completedAt": "2025-09-24T16:18:45Z"
}
```

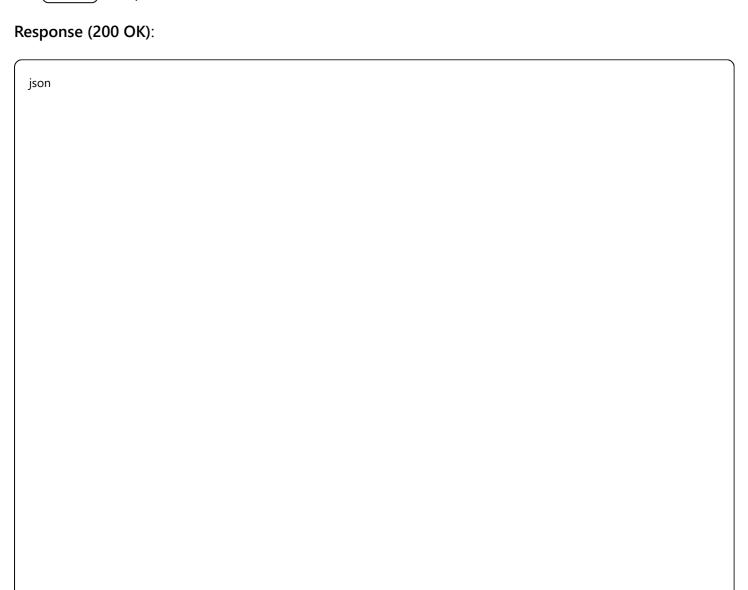
2.3 Report Templates Management

GET /templates

Purpose: List available report templates by standard

Query Parameters:

- (standard): Filter by regulatory standard (CSRD, SFDR, ISSB, GRI, CDP, GHG_PROTOCOL)
- (category): Filter by category (ENVIRONMENTAL, SOCIAL, GOVERNANCE)
- (language): Template language (EN, FR, DE, ES)
- (version): Template version



```
"templates": [
  "templateId": "CSRD_ESRS_E1",
  "name": "CSRD - Climate Change (ESRS E1)",
  "standard": "CSRD",
  "category": "ENVIRONMENTAL",
  "version": "1.2.0",
  "description": "CSRD compliance template for ESRS E1 Climate Change disclosure",
  "languages": ["EN", "FR", "DE"],
  "requiredDataPoints": [
   "scope_1_emissions",
   "scope_2_emissions",
   "scope_3_emissions",
   "energy_consumption",
   "renewable_energy_percentage"
  "mandatoryDisclosures": 15,
  "optionalDisclosures": 8,
  "estimatedPages": 25,
  "lastUpdated": "2025-08-15T10:00:00Z",
  "regulatoryDeadline": "2026-03-31T00:00:00Z"
  "templateId": "GRI_302_ENERGY",
  "name": "GRI 302: Energy 2016",
  "standard": "GRI",
  "category": "ENVIRONMENTAL",
  "version": "2016.1",
  "description": "GRI Standard for energy consumption and intensity reporting",
  "requiredDataPoints": [
   "energy_consumption_within_organization",
   "energy_consumption_outside_organization",
   "energy_intensity"
  ],
  "disclosures": [
   "302-1", "302-2", "302-3", "302-4", "302-5"
"totalTemplates": 45,
"standardsSupported": 6,
"lastFrameworkUpdate": "2025-09-01T00:00:00Z"
```

esponse (200 C	visj.			
json				

```
"templateId": "CSRD_ESRS_E1",
"name": "CSRD - Climate Change (ESRS E1)",
"standard": "CSRD",
"version": "1.2.0",
"structure": {
 "sections": [
   "sectionId": "E1-1",
   "title": "Transition plan for climate change mitigation",
    "mandatory": true,
    "subsections": [
      "subsectionId": "E1-1.1",
      "title": "Transition plan",
      "dataRequirements": [
       "decarbonization_targets",
       "transition_timeline",
       "investment_plans"
      ],
      "validationRules": [
         "ruleId": "E1-1.1-R1",
         "description": "Transition plan must include specific targets",
         "severity": "MANDATORY"
"dataMapping": {
 "scope_1_emissions": {
  "metricTypes": ["SCOPE_1_EMISSIONS"],
  "aggregation": "SUM",
  "units": ["kg CO2e", "tonnes CO2e"],
  "timeGranularity": "ANNUAL"
},
"outputOptions": {
 "formats": ["PDF", "DOCX", "XLSX", "XML"],
 "customBranding": true,
 "multiLanguage": true,
 "digitalSignature": true
```

}
}

2.4 Compliance Validation

POST /validate/compliance

Purpose: Validate data completeness and compliance before report generation

Request Body:

```
json
 "validationJobId": "validation-job-456def",
 "organizationId": "org-123",
 "validationConfig": {
  "standard": "CSRD",
  "template": "ESRS_E1_CLIMATE_CHANGE",
  "reportingPeriod": {
   "startDate": "2024-01-01T00:00:00Z",
   "endDate": "2024-12-31T23:59:59Z"
  },
  "strictMode": true,
  "includeWarnings": true
 },
 "scope": {
  "entities": ["entity-dubai-hq", "entity-abu-dhabi-plant"],
  "dataTypes": ["EMISSIONS", "ENERGY", "WASTE", "WATER"]
```

Response (200 OK):

```
json
```

```
"validationJobId": "validation-job-456def",
"status": "COMPLETED",
"overallCompliance": {
 "status": "PARTIALLY COMPLIANT",
 "score": 87.3,
 "readinessLevel": "NEEDS_IMPROVEMENT"
"mandatoryRequirements": {
 "total": 15,
 "satisfied": 13,
 "missing": 2,
 "complianceRate": 86.7
"validationResults": [
  "requirementId": "ESRS-E1-1",
  "title": "Transition plan for climate change mitigation",
  "status": "COMPLIANT",
  "completeness": 100,
  "dataQuality": 95.2
  "requirementId": "ESRS-E1-5",
  "title": "Energy consumption and mix",
  "status": "NON_COMPLIANT",
  "completeness": 65,
  "issues": [
    "type": "MISSING_DATA",
     "severity": "CRITICAL",
     "description": "Renewable energy percentage missing for Q3 and Q4",
     "dataPoints": ["renewable_energy_q3", "renewable_energy_q4"],
     "recommendation": "Collect or estimate missing renewable energy data"
"gapAnalysis": {
 "criticalGaps": 2,
 "warnings": 5,
 "recommendations": [
  "Implement automated renewable energy tracking",
  "Establish quarterly data validation procedures",
  "Consider third-party data assurance for material metrics"
```

```
"estimatedEffortToCompliance": "40-60 hours"
},
"completedAt": "2025-09-24T16:25:00Z"
}
```

2.5 Approval Workflows

POST /approvals/initiate

Purpose: Start approval workflow for generated reports

Request Body:	
json	

```
"approvalJobId": "approval-job-789ghi",
"reportJobId": "report-job-abc123",
"organizationId": "org-123",
"workflowConfig": {
 "workflowType": "CSRD_APPROVAL",
 "approvers": [
   "level": 1,
   "role": "ESG_ANALYST",
   "users": ["user-sarah-chen"],
   "required": true,
   "deadline": "2025-09-26T17:00:00Z"
   "level": 2,
   "role": "SUSTAINABILITY_MANAGER",
   "users": ["user-michael-brown"],
   "required": true,
   "deadline": "2025-09-28T17:00:00Z"
  },
   "level": 3,
   "role": "COMPLIANCE_OFFICER",
   "users": ["user-lisa-wilson", "user-david-kumar"],
   "required": false,
   "parallelApproval": true
 "escalationRules": {
  "autoEscalateAfter": "24h",
  "escalateTo": "user-ceo-office"
"notifications": {
 "email": true,
 "inApp": true,
 "webhook": "https://client.sweep.com/webhooks/approval-status"
```

Response (202 Accepted):

json

```
"approvalJobld": "approval-job-789ghi",
"workflowId": "workflow-123abc",
"status": "INITIATED",
"currentLevel": 1,
"currentApprovers": ["user-sarah-chen"],
"overallDeadline": "2025-09-30T17:00:00Z",
"statusUrl": "/approvals/status/approval-job-789ghi",
"initiatedAt": "2025-09-24T16:30:00Z"
}
```

POST /approvals/{approvalJobId}/action

Purpose: Approve, reject, or request changes to reports

Request Body:

```
| "action": "APPROVE",
| "approver": "user-sarah-chen",
| "level": 1,
| "comments": "Report looks comprehensive and meets CSRD requirements",
| "conditions": [],
| "attachments": [
| {
| "name": "approval_certificate.pdf",
| "url": "/attachments/approval_certificate_789ghi.pdf"
| }
| ]
| }
```

Response (200 OK):

```
json
```

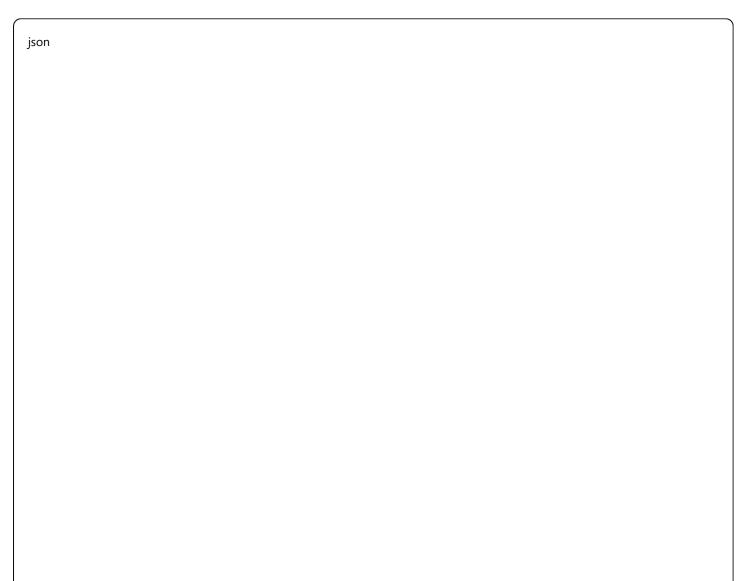
```
"approvalJobId": "approval-job-789ghi",
"actionResult": "APPROVED_LEVEL_1",
"nextLevel": 2,
"nextApprovers": ["user-michael-brown"],
"workflowStatus": "IN_PROGRESS",
"actionRecorded": "2025-09-24T17:15:00Z",
"notifications": {
    "sent": ["user-michael-brown"],
    "method": ["EMAIL", "IN_APP"]
}
```

2.6 Regulatory Submission

POST /submit/regulatory

Purpose: Submit approved reports to regulatory portals

Request Body:



```
"submissionJobId": "submission-job-abc456",
"reportJobId": "report-job-abc123",
"organizationId": "org-123",
"submissionConfig": {
 "standard": "CSRD",
 "regulatoryPortal": "ESMA_SINGLE_ACCESS_POINT",
 "submissionType": "ANNUAL_SUSTAINABILITY_STATEMENT",
 "deadlineDate": "2025-04-30T00:00:00Z",
 "testMode": false
},
"authorizedBy": {
 "userId": "user-cfo-john-smith",
 "role": "CHIEF_FINANCIAL_OFFICER",
 "digitalSignature": "base64_encoded_signature",
 "timestamp": "2025-09-24T18:00:00Z"
"submissionMetadata": {
 "lei": "LEI1234567890ABCDEF",
 "fiscalYear": "2024",
 "preparationDate": "2025-09-24T00:00:00Z",
 "assuranceLevel": "LIMITED",
 "assuranceProvider": "PwC Dubai"
```

Response (202 Accepted):

```
"submissionJobId": "submission-job-abc456",
    "status": "PROCESSING",
    "regulatoryPortal": "ESMA_SINGLE_ACCESS_POINT",
    "submissionReference": "ESMA-2025-ORG123-CSRD-001",
    "estimatedProcessingTime": "5-10 minutes",
    "validationSteps": [
    "DIGITAL_SIGNATURE_VERIFICATION",
    "SCHEMA_VALIDATION",
    "BUSINESS_RULES_CHECK",
    "PORTAL_SUBMISSION"
],
    "statusUrl": "/submit/regulatory/status/submission-job-abc456"
}
```

GET /submit/regulatory/status/{jobId}

Purpose: Check regulatory submission status

Response (200 OK):

```
ison
 "submissionJobId": "submission-job-abc456",
 "status": "COMPLETED",
 "submissionResults": {
  "submissionSuccess": true,
  "regulatoryReference": "ESMA-2025-ORG123-CSRD-001",
  "submissionTimestamp": "2025-09-24T18:12:45Z",
  "acknowledgmentReceipt": {
   "receiptId": "RCP-ESMA-456789",
   "downloadUrl": "/submissions/receipts/RCP-ESMA-456789.pdf"
 "validationSteps": [
   "step": "DIGITAL_SIGNATURE_VERIFICATION",
   "status": "PASSED",
   "completedAt": "2025-09-24T18:05:15Z"
   "step": "SCHEMA_VALIDATION",
   "status": "PASSED",
   "completedAt": "2025-09-24T18:08:30Z"
   "step": "PORTAL_SUBMISSION",
   "status": "PASSED",
   "completedAt": "2025-09-24T18:12:45Z"
 ],
 "compliance": {
  "deadlineMet": true,
  "daysBeforeDeadline": 218,
  "submissionComplete": true
```

2.7 Audit Trail & Documentation

GET /audit/reports

Purpose: Retrieve audit trail for report generation and approval activities

Query Parameters:

- (organizationId) (required): Organization filter
- (reportJobId): Specific report job
- (standard): Filter by regulatory standard
- (dateFrom): Start date filter
- (dateTo): End date filter
- (action): Filter by action type

• (userId): Filter	r by user actions		
Response (200 C	DK):		
json			

```
"auditTrail": [
  "auditId": "audit-001",
  "timestamp": "2025-09-24T16:00:00Z",
  "action": "REPORT_GENERATION_INITIATED",
  "userId": "user-sarah-chen",
  "userRole": "ESG_ANALYST",
  "resourceType": "COMPLIANCE_REPORT",
  "resourceld": "report-job-abc123",
  "details": {
   "standard": "CSRD",
   "template": "ESRS_E1_CLIMATE_CHANGE",
   "reportingPeriod": "2024"
  "ipAddress": "10.0.1.45",
  "sessionId": "session-789def"
  "auditId": "audit-002",
  "timestamp": "2025-09-24T17:15:00Z",
  "action": "REPORT_APPROVED",
  "userId": "user-sarah-chen",
  "userRole": "ESG_ANALYST",
  "resourceType": "APPROVAL_WORKFLOW",
  "resourceld": "approval-job-789ghi",
  "details": {
   "approvalLevel": 1,
   "comments": "Report meets CSRD requirements",
   "nextApprover": "user-michael-brown"
"pagination": {
"page": 1,
"pageSize": 25,
 "totalRecords": 156,
"totalPages": 7
```

3. Error Handling

3.1 Standard Error Response Format

```
"error": {
  "code": "COMPLIANCE_VALIDATION_FAILED",
  "message": "Report validation failed due to missing mandatory disclosures",
  "details": "ESRS E1-5 energy consumption data incomplete",
  "timestamp": "2025-09-24T16:30:00Z",
  "requestld": "req-compliance-123abc",
  "path": "/v1/compliance-reporting/validate/compliance",
  "method": "POST",
  "complianceInfo": {
    "standard": "CSRD",
    "template": "ESRS_E1_CLIMATE_CHANGE",
    "missingRequirements": 2,
    "complianceScore": 87.3
}
}
```

3.2 Compliance-Specific Error Codes

Status Code	Error Code	Description
400	INVALID_STANDARD	Regulatory standard not supported
400	INVALID_TEMPLATE	Report template not found or outdated
400	INVALID_REPORTING_PERIOD	Reporting period format or range invalid
422	COMPLIANCE_VALIDATION_FAILED	Data doesn't meet regulatory requirements
422	INSUFFICIENT_DATA	Not enough data for report generation
422	APPROVAL_WORKFLOW_ERROR	Error in approval process execution
422	REGULATORY_SUBMISSION_FAILED	Submission to regulatory portal failed
424	TEMPLATE_OUTDATED	Template version no longer compliant
503	REGULATORY_PORTAL_UNAVAILABLE	External regulatory system unavailable
◀	•	>

4. Performance & SLA

4.1 Processing Time Targets

Operation Type	Target Processing Time	SLA Percentile
Report Generation	< 20 minutes	90th percentile
Compliance Validation	< 2 minutes	95th percentile
Template Retrieval	< 5 seconds	95th percentile
Approval Actions	< 10 seconds	99th percentile
Regulatory Submission	< 10 minutes	90th percentile
◀	1)

4.2 Report Quality Standards

• Template Accuracy: 100% compliance with latest regulatory versions

• Data Completeness: ≥ 95% for mandatory disclosures

• Validation Accuracy: ≥ 99.5% correct identification of compliance gaps

• Format Consistency: 100% adherence to regulatory formatting requirements

4.3 Scalability Limits

• Concurrent Report Generation: 50 per organization

• Max Report Size: 500MB per output file

• Data Points per Report: Up to 50,000 metrics

• Approval Workflow Participants: Up to 20 approvers per workflow

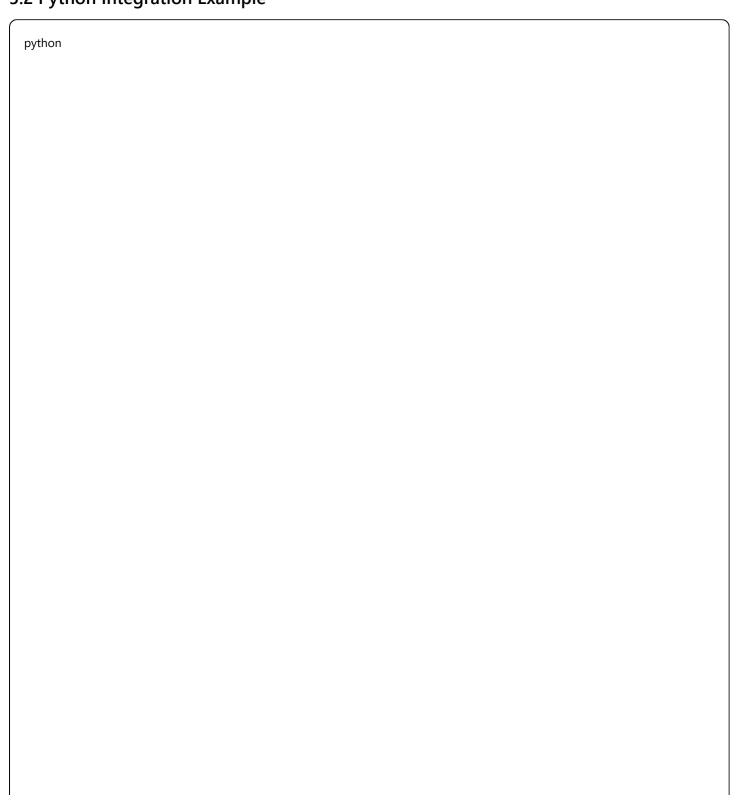
5. Integration Examples

5.1 Java Spring Boot Client

```
@Service
public class ComplianceReportingClient {
  private final WebClient webClient;
  private final String baseUrl = "https://api.sweep.com/v1/compliance-reporting";
  public ComplianceReportingClient(WebClient.Builder webClientBuilder) {
     this.webClient = webClientBuilder.baseUrl(baseUrl).build();
  public Mono < ReportGenerationResponse > generateCSRDReport(
       String organizationId,
       String template,
       LocalDate startDate,
       LocalDate endDate) {
     ReportGenerationRequest request = ReportGenerationRequest.builder()
          .reportJobId("report-job-" + UUID.randomUUID())
         .organizationId(organizationId)
         .reportConfig(ReportConfig.builder()
              .standard("CSRD")
              .template(template)
              .reportingPeriod(ReportingPeriod.builder()
                    . startDate(startDate.atStartOfDay().atZone(ZoneOffset.UTC)) \\
                   .endDate(endDate.atTime(LocalTime.MAX).atZone(ZoneOffset.UTC))
                   .build())
              .outputFormats(List.of("PDF", "XLSX"))
              .build())
         .build();
     return webClient.post()
         .uri("/reports/generate")
         .header("Authorization", "Bearer " + getAccessToken())
         .bodyValue(request)
         .retrieve()
         . body To Mono (Report Generation Response. class);\\
  public Mono < Compliance Validation Response > validate Compliance(
       String organizationId,
       String standard,
       String template,
       LocalDate startDate,
       LocalDate endDate) {
     ComplianceValidationRequest request = ComplianceValidationRequest.builder()
```

```
.validationJobId("validation-job-" + UUID.randomUUID())
          .organizationId(organizationId)
         .validationConfig(ValidationConfig.builder()
              .standard(standard)
              .template(template)
              .strictMode(true)
              .includeWarnings(true)
              .build())
         .build();
     return webClient.post()
         .uri("/validate/compliance")
         .header("Authorization", "Bearer " + getAccessToken())
         .bodyValue(request)
         .retrieve()
         .bodyToMono(ComplianceValidationResponse.class);
  public Mono < ReportStatus > pollReportStatus(String reportJobId) {
     return webClient.get()
         .uri("/reports/generate/status/{jobId}", reportJobId)
         .header("Authorization", "Bearer " + getAccessToken())
         .retrieve()
         .bodyToMono(ReportStatus.class);
  private String getAccessToken() {
    // Implementation for OAuth token retrieval
     return tokenService.getValidAccessToken();
// Usage Example
@RestController
public class ReportController {
  @Autowired
  private ComplianceReportingClient complianceClient;
  @PostMapping("/generate-csrd-report")
  public Mono < Response Entity < Report Generation Response >> generate Report(
       @RequestBody ReportRequest request) {
     return complianceClient.generateCSRDReport(
         request.getOrganizationId(),
         "ESRS_E1_CLIMATE_CHANGE",
         request.getStartDate(),
```

5.2 Python Integration Example



```
import requests
import time
from datetime import datetime, timedelta
from typing import Dict, List, Optional
class ComplianceReportingClient:
  def __init__(self, access_token: str, base_url: str = "https://api.sweep.com/v1/compliance-reporting"):
     self.base_url = base_url
     self.headers = {
       'Authorization': f'Bearer {access_token}',
       'Content-Type': 'application/json'
  def generate_report(self,
               organization_id: str,
              standard: str.
              template: str,
               start_date: datetime,
               end date: datetime.
               output_formats: List[str] = None) -> Dict:
     """Generate compliance report"""
     if output_formats is None:
       output_formats = ["PDF", "XLSX"]
     payload = {
        'reportJobId': f'report-job-{int(time.time())}',
       'organizationId': organization_id,
       'reportConfig': {
          'standard': standard.
          'template': template,
          'reportingPeriod': {
             'startDate': start_date.isoformat() + 'Z',
            'endDate': end_date.isoformat() + 'Z',
            'fiscalYear': str(start_date.year)
          },
          'outputFormats': output_formats,
          'language': 'EN',
          'currency': 'USD'
       },
        'dataFilters': {
          'includeEstimatedData': True,
          'qualityThreshold': 85.0,
          'includeThirdPartyData': True
```

response = requests.post(f'{self.base_