Informatica

22nd Apr, 2025

# Ensuring Compliance Through Data Governance Case Study on Best Practices - Part 1


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Where data & AI come to LIFE

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# Housekeeping Tips

- Today's Webinar is scheduled for 1 hour
- The session will include a webcast and then your questions will be answered live at the end of the presentation
- All dial-in participants will be muted to enable the speakers to present without interruption
- Questions can be submitted to "All Panelists" via the Q&A option and we will respond at the end of the presentation
- The webinar is being recorded and will be available on our Success Portal - where you can download the slide deck for the presentation. The link to the recording will be emailed as well.
- Please take time to complete the post-webinar survey and provide your feedback and suggestions for upcoming topics.


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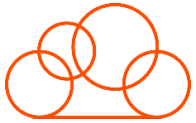
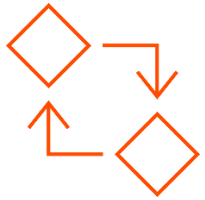
# Feature Rich Success Portal



**Bootstrap trial and POC Customers**

**Enriched Customer Onboarding experience**



**Product Learning Paths and Weekly Expert Sessions**

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**Tailored training and content recommendations**


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# More Information

## Success Portal

https://success.informatica.com

## Communities & Support

https://network.informatica.com

## Documentation

https://docs.informatica.com

## University

https://www.informatica.com/in/services-and-training/informatica-university.html



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# Agenda

- Business Challenges and Benefits using Regulatory Compliance
- How IDMC supports Regulatory Compliance
- Data Governance in Compliance
- Case Study Overview


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# What are the current trends in regulatory compliance?

## GenAI

Rapid growth of regulatory oversight as use of GenAI systems increases – EU AI Act | Colorado AI Act (CAIA)

## Data Privacy

Evolving privacy laws are still a major challenge to align data access policies – GDPR (EU) | CCPA (US)

## Cybersecurity

As threats become more sophisticated, risk exposure increases – HIPAA (US) | DORA (EU)

## ESG

Reporting is transitioning from voluntary to mandatory by regulatory and consumer demands – CSRD (EU) | SFDR (EU)

## Transparency & Accountability

Demand in areas such as beneficial ownership reporting and supply chain traceability – Corporate Transparency Act (US)


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# Business challenges to organizations

## Ethical Concerns

Biased decision-making, leading to unfair treatment or discrimination

## Privacy Exposure

Massive datasets of sensitive data pose risks if not handled appropriately

## Explainability

”Black box" algorithms where decision-making is not well understood

## Transparency

Data transformation that loses trust from source to delivery when used for AI

## “I don’t know”

Fear of unknowns creates hesitancy when adopting AI applications


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# Financial services company launching a new AI-driven credit scoring tool

**Compliance Challenges ???**


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# Solution Needs by Key Roles

**Want to drive business performance!**

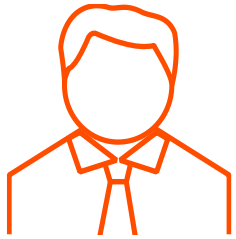
**…but also need to limit AI risk exposure**

## CDO / Head of Data

- Ensure compliance of data through enforceable policies.
- Manage data pipeline transparency & traceability essential for regulatory audits and reporting.

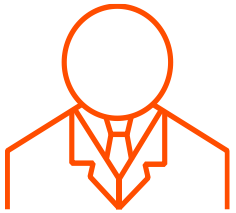
## LoB / App Owner

- Access to high-quality, policy-compliant data, for quick and accurate decision-making.
- More efficient compliance to avoid penalties and keep brand reputation.



## CIO / CISO

- Need for an agile, robust IT infrastructure that adapts to evolving compliance mandates.
- Strategic partner in policy compliance, cost efficiency and infrastructural agility



## Compliance Officer (CCO)

- Protect intelligence on personal data (PII)
- Continually assess data and compliance risks
- Efficiently respond to audits with transparency, and complete data.

**Requires Cross-Functional Collaboration to drive business performance compliantly!**

# Key benefits for regulatory compliance

## Core value drivers for organizations

Improve efficacy of Regulatory Reporting

Advanced Analytics

Improve Data Democratization

Reduce Total Cost of Ownership

Mitigate Risks for Reliable Outcomes

# How IDMC supports Regulatory

## DATA CONSUMERS

ETL Developer | Data Engineer | Citizen Integrator | Data Scientist | Data Analyst | Business Users

# Intelligent Data Management Cloud™

| DISCOVER & UNDERSTAND | ACCESS & INTEGRATE | CONNECT & AUTOMATE | CLEANSE & TRUST | MASTER & RELATE | GOVERN & PROTECT | SHARE & DEMOCRATIZE |
|---|---|---|---|---|---|---|
| DATA CATALOG | DATA INTEGRATION & ENGINEERING | API & APP INTEGRATION | DATA QUALITY & OBSERVABILITY | MDM & 360 APPLICATIONS | GOVERNANCE & PRIVACY | DATA MARKETPLACE |

**CLAIRE®**
AI-Powered Metadata Intelligence & Automation

**Connectivity**
Metadata System of Record

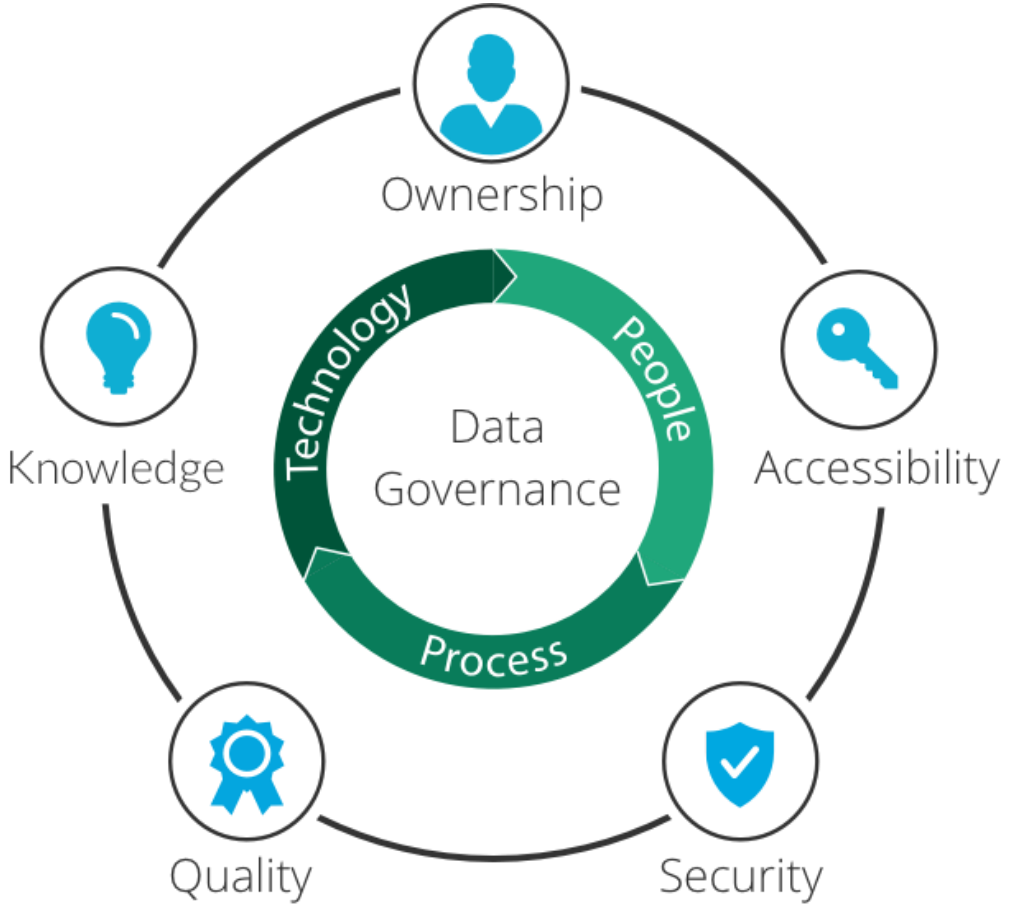
## DATA SOURCES

SaaS Apps Sources + Mainframe | Applications | Databases | On-premises Sources + IoT | Machine Data | Logs | Real-time / Streaming Sources

Multi-Cloud — Self-managed

aws | Microsoft | Google Cloud | ORACLE Cloud | On-premises | Enterprise Cloud

# Data Governance in Compliance



# Critical Ways INFA helps w/Regulatory Compliance?

Lineage / Impact

Where is the data coming from?

220+ OOTB Classifications

Where can I find 'PII, ESG, PCI…' data?

How do we get access to data?

Improve Quality

Can I trust this report?

Which definition is correct?

Data Engineer

Executives

Stakeholder

Scientist

Data Architect

Who can provide feedback?

Analyst

Who owns this data?

How do we **safely** & **smartly** protect data?

Automatically Enforce Policy upon Access

Establish ownership!

Data Governance is about enabling organizations to **DEFINE, DISCOVER, MEASURE, COLLABORATE, PROTECT, and SHARE** on all data concepts.

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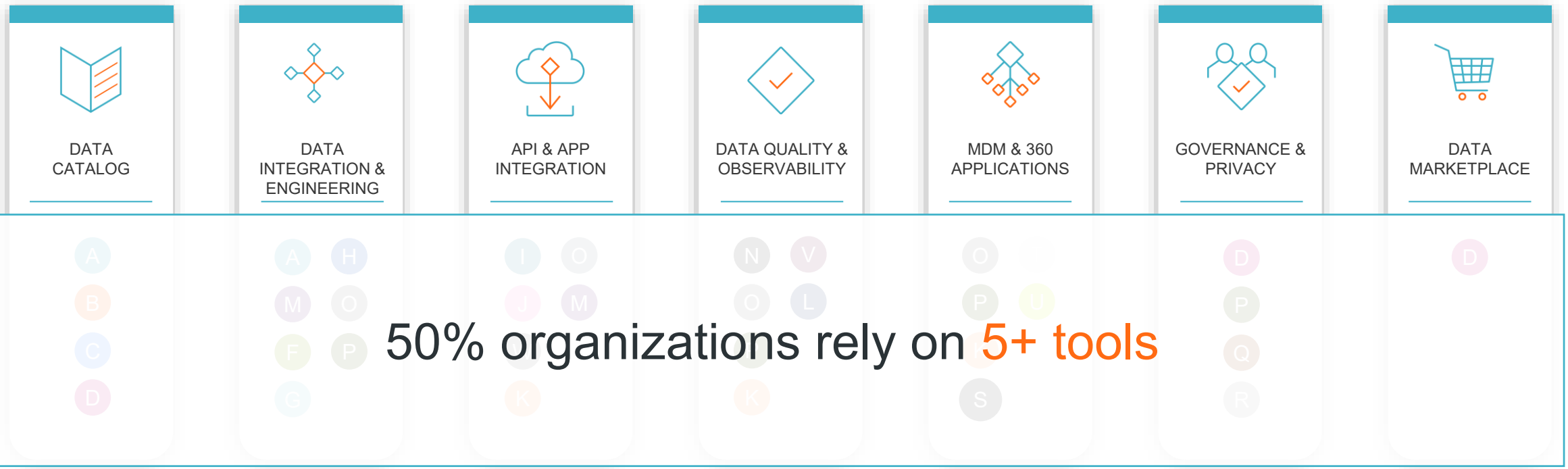
# Why is Data Management Hard and Complex?




50% organizations rely on 5+ tools

55% have 1,000+ data sources and 78% predict more in 2023

Statistics are based on 600 CDOs surveyed around the world – November 2022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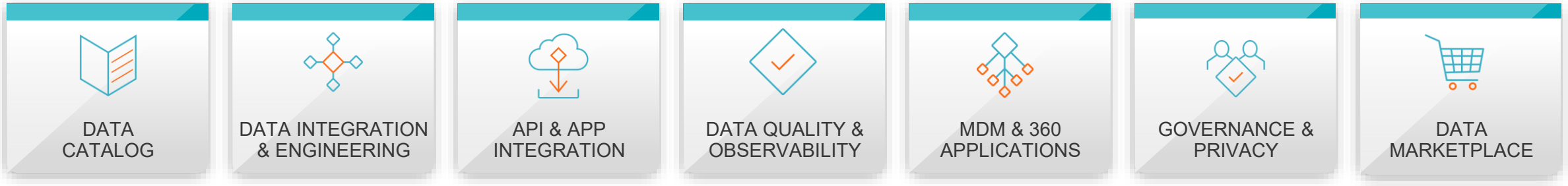
# IDMC Helps Answer These Hard Data Questions!




***What happens to our data** from creation to consumption?*

*How do we **get the data into our systems?***

*Can we **trust the data** we use to run our business?*

*Is there an **authoritative source of the truth?***

*Can we ensure we are **using the right data** to drive business success?*

*Do business users understand **what data is available and how to use it?***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# Case Study Overview


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# BFSI – IDMC CDGC Use Cases for Compliance

## Data Privacy and Protection

Helps comply with GDPR and CCPA by managing personal data, ensuring secure access and handling practices.

## Data Lineage and Transparency

Provides detailed data lineage for accurate regulatory reporting and audit purposes, supporting BCBS 239 compliance

## Risk Management

Facilitates risk data aggregation and analysis to support compliance with Basel III for accurate risk reporting.

## Anti-Money Laundering (AML)

Assists in monitoring and detecting suspicious patterns in customer activity and transactions, essential for AML compliance

## Know Your Customer (KYC)

Integrates data from multiple sources to build comprehensive customer profiles, ensuring compliance with identity verification requirements

## Data Quality Management

Ensures accurate and consistent data for financial reporting compliance, supporting standards like SOX (Sarbanes-Oxley Act).

## Access Controls and Audits

Provides secure data management with role-based access controls and audit trails, crucial for maintaining security compliance.

## Industry Regulations Compliance

Aids in documenting compliance with industry-specific regulations such as MiFID II for transparency and accountability

## Automated Policy Management

Enables automatic enforcement of data governance policies across the organization, ensuring consistent regulatory compliance


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# Retail – IDMC CDGC Use Cases for Compliance

## Data Privacy and Protection

Ensures compliance with data privacy laws like GDPR and CCPA by effectively managing personal customer data

## Consent Management

Manages and tracks customer consent for data usage, ensuring alignment with privacy regulations

## Data Quality and Accuracy

Maintains accuracy and consistency in product and transaction data for regulatory compliance and operational efficiency

## Product Information Management

Ensures product data comply with labeling, safety, and regulatory standards across various regions

## Supply Chain Transparency

Provides visibility across the supply chain to meet compliance requirements related to product sourcing and ethical standards

## Consumer Protection

Maintains accurate product and pricing information to comply with consumer protection and advertising laws

## Data Integration and Governance

Centralizes data asset management to ensure comprehensive governance and compliance with applicable regulations

## Access Control and Security

Secures sensitive customer data with role-based access controls and monitoring, adhering to data protection standards

## Audit Readiness and Reporting

Streamlines compliance audits with robust documentation and reporting features

## Automated Policy Enforcement

Automates the application of data governance policies to ensure consistent compliance across the organization


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# Healthcare – IDMC CDGC Use Cases for Compliance

## Patient Data Privacy and Security

Ensures compliance with HIPAA by managing and protecting patient health information (PHI) through secure data handling

## Lineage and Transparency

Provides audit trails and transparency over data sources and transformations, supporting compliance during audits

## Sensitive Data Identification

Identifies and manages sensitive data like PHI and PII, ensuring secure handling in compliance with regulations

## Data Quality and Integrity

Maintains data accuracy and integrity for reliable clinical reporting and compliance with regulatory standards

## Policy Management

Enables the creation and automation of data governance policies to ensure consistent compliance with regulations

## Clinical Research Compliance

Facilitates ethical data usage and management in clinical research, supporting compliance with Good Clinical Practice (GCP)

## Regulatory Reporting and Risk Management

Supports efficient and compliant regulatory reporting through comprehensive reporting features

## Access Control and Security

Enhances data security with role-based access controls and audit capabilities aligned with healthcare standards

## Consent Management

Manages and tracks patient consents and preferences, crucial for compliance with data privacy regulations

## Interoperability and Data Sharing

Ensures compliance with healthcare data exchange standards to facilitate safe and compliant data sharing


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# Thank You


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