



Smarter and More Effective Decisions

EMERGING RISK & TRANSFORMATION SERVICES

TRUST360TM

AI Governance-as-a-Service

**Govern AI with Confidence.
Scale AI with Control.**

Establish, operate, monitor and continuously improve the governance structures needed to use artificial intelligence responsibly and confidently.

THE TRUST360TM LIFECYCLE



An independent, integrated multidisciplinary
professional services firm

15+ Caribbean territories

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AI is moving faster than the governance built to control it.

Artificial intelligence is now embedded in everyday business processes. Organizations use it to create content, analyse data, support customer interactions, automate workflows, assist employees, identify risks and — increasingly — to make or influence important decisions.

Yet **AI adoption is often moving faster than the governance structures designed to control it.** The result is a new category of enterprise risk — one that sits across technology, operations, compliance and the boardroom at the same time.

ORGANIZATIONS INCREASINGLY NEED TO KNOW

- | | |
|--|--|
| 01 Which AI systems are being used? | 06 Where is human review mandatory? |
| 02 What information are those systems accessing? | 07 How are AI vendors assessed and outputs validated? |
| 03 Who approved each AI use case? | 08 How are incidents identified and reported? |
| 04 Who is accountable when an AI-supported decision goes wrong? | 09 What information should management provide to the board? |
| 05 Which decisions can AI make independently? | 10 Can the organization demonstrate that its AI controls actually work? |

SHADOW AI

The use of artificial intelligence without adequate organizational visibility, approval or control.

AI enters through enterprise software, generative platforms, customer service applications, productivity tools, third-party vendors, cloud services, embedded software functionality and applications employees acquire independently.

An organization cannot govern AI it does not know exists.

The starting point must therefore be visibility.

AI governance is no longer simply a technology issue.

It has become a governance, risk, regulatory and reputational question that boards and executives are expected to answer — often before internal capability has caught up.

Corporate Governance

Boards and senior executives need appropriate oversight of the organization's use of AI.

Risk Management

AI introduces operational, legal, financial, cybersecurity, privacy, reputational and ethical risk.

Regulatory Compliance

AI-specific regulation is developing internationally while existing privacy, consumer protection, employment and financial services law continues to apply.

Data Governance

AI depends on data. Organizations must understand what is provided to AI tools and how it is processed, stored and reused.

Cybersecurity

AI introduces new attack surfaces, third-party dependencies and potential misuse scenarios.

Reputation and Trust

Incorrect, biased, misleading or inappropriate outputs can quickly undermine stakeholder confidence.

AND, INCREASINGLY

Assurance

Boards, regulators, auditors, customers and other stakeholders will increasingly expect organizations to demonstrate that responsible AI practices are supported by evidence — not simply asserted in a policy document.

A continuous governance programme — not a one-time policy exercise.

Dawgen TRUST360™ provides a structured framework for managing AI across its full lifecycle. It is designed to evolve as technology, regulation and organizational use of AI change.

ASSESS → DESIGN → IMPLEMENT → MONITOR → ASSURE

One continuous lifecycle, reviewed on a governance calendar.

01

ASSESS

Understand your current AI environment

Maturity assessment, AI inventory, Shadow AI discovery, use-case mapping, privacy, cyber, vendor and regulatory exposure.

KEY DELIVERABLE AI Governance Maturity & Gap Assessment

02

DESIGN

Build the governance architecture

Governance framework, AI policy, accountability across board and management, RACI, risk classification and control catalogue.

KEY DELIVERABLE AI Governance Framework & Policy Suite

03

IMPLEMENT

Turn principles into operating controls

Approval workflows, inventory registers, vendor due diligence, data-access restrictions, human-review and output-validation controls, training.

KEY DELIVERABLE Operating Control Set & Approval Workflows

04

MONITOR

Governance must continue after deployment

Periodic inventory review, risk-register updates, control testing, vendor monitoring, regulatory horizon scanning, dashboard reporting.

KEY DELIVERABLE Quarterly Governance Review & Dashboard

05

ASSURE

Prepare for greater stakeholder scrutiny

Control documentation, evidence repositories, audit trails, testing protocols, exception reporting and remediation tracking.

KEY DELIVERABLE Assurance Readiness Assessment

Governance becomes meaningful only when policy becomes control.

Dawgen assists organizations to translate governance principles into processes that operate day to day — and that can be evidenced when tested.

OPERATING CONTROLS DAWGEN CAN HELP IMPLEMENT

AI use-case approval workflows	Output-validation controls	Prohibited-use rules
AI system inventory registers	User-access controls	Record-retention requirements
Vendor due-diligence procedures	Model-change procedures	AI literacy and staff training
Data-access restrictions	Incident-reporting processes	Management reporting
Human review requirements	Escalation thresholds	Board reporting

HUMAN OVERSIGHT

When must a human remain involved?

TRUST360™ helps organizations define appropriate human-control points based on the significance and potential consequences of AI-supported actions.

AI RISK CLASSIFICATION

Greater risk should result in greater oversight.

LOWER RISK

Administrative productivity tools with limited access to sensitive data.



MODERATE RISK

AI applications influencing customer communication or internal operational decisions.



HIGHER RISK

AI involved in credit decisions, employment, healthcare, financial advice, regulatory decisions, critical infrastructure or significant customer outcomes.



AI risk does not end when an application is approved.

Systems, vendors, models, data, regulation and organizational use cases all continue to change. TRUST360™ can operate as an ongoing subscription service, giving organizations continuing access to AI governance capability without building a large specialist function internally.

CONTINUOUS OVERSIGHT SERVICES

Periodic AI inventory reviews	Control testing	Employee-use monitoring
Governance dashboard reporting	Regulatory horizon scanning	Emerging-risk reviews
AI risk-register updates	Incident analysis	Management reporting
Vendor monitoring	Policy refreshes	Quarterly governance reviews

THE TRUST360™ GOVERNANCE DASHBOARD

Periodic executive reporting

AI Portfolio Number and type of AI systems in use.	Risk Classification Distribution of low-, moderate- and higher-risk use cases.
Governance Status Approved, pending and non-compliant AI applications.	Control Performance Status of key AI governance controls.
Vendor Exposure Important third-party AI dependencies.	AI Incidents Reported incidents, near misses and remediation.
Regulatory Developments Relevant changes affecting the organization.	Management Actions Outstanding remediation activities and responsible owners.

ASSURANCE-READY AI GOVERNANCE

It will not always be enough to say that governance policies exist. Organizations may need to demonstrate that the controls described in those policies actually operate.

Control documentation

Evidence repositories

Audit trails

Governance records

Approval evidence

Testing protocols

Exception reporting

Remediation tracking

Independent readiness assessments

Who should consider TRUST360™?

TRUST360™ is particularly relevant to organizations that:

- ✓ already allow employees to use generative AI
- ✓ intend to deploy AI agents
- ✓ are introducing Microsoft Copilot, ChatGPT Enterprise or comparable tools
- ✓ are developing proprietary AI applications
- ✓ use AI within customer service
- ✓ provide professional advice using AI
- ✓ use automated decision-making
- ✓ are concerned about Shadow AI
- ✓ process significant amounts of personal or confidential information
- ✓ require stronger board oversight of technology risk
- ✓ operate in regulated industries
- ✓ want to prepare for future AI assurance requirements
- ✓ rely heavily on third-party technology vendors

INDUSTRIES WE SERVE

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COMPOSITE CASE STUDY

From uncontrolled adoption to structured governance

A composite Caribbean financial-services organization had experienced rapid employee adoption of generative AI. Management believed use was relatively limited. An initial inventory revealed a significantly broader environment — multiple tools, third-party applications containing embedded AI functions, and several employee-led use cases that had never undergone formal approval.

THE GOVERNANCE PROGRAMME INTRODUCED

Enterprise AI inventory

Use-case classification

Acceptable-use policy

Vendor assessment

Human-review controls

Approval workflows

Staff training

Incident reporting

Quarterly governance reporting

The principal improvement was not simply better documentation. **Management gained visibility and accountability over a technology environment that had previously developed faster than its governance processes.**

Anonymised composite illustration. It does not represent a specific client engagement.

What organizations can achieve.

Improve Visibility

Understand where and how AI is being used.

Protect Sensitive Information

Reduce inappropriate disclosure of confidential and personal data.

Reduce Operational Risk

Introduce appropriate review, escalation and monitoring.

Support Responsible Innovation

Enable useful adoption without unnecessary barriers.

Establish Accountability

Clearly define responsibility for AI decisions and controls.

Strengthen Regulatory Readiness

Prepare for evolving regulatory expectations.

Improve Board Oversight

Provide directors with meaningful information about AI risk.

Increase Stakeholder Confidence

Demonstrate a systematic approach to responsible AI.

TRUST360™ ENGAGEMENT OPTIONS

OPTION 1

AI Governance Diagnostic

A focused assessment of current AI governance maturity.

OPTION 2

Framework Implementation

Development of the governance framework, policies, controls and reporting structures.

OPTION 3

AI Governance-as-a-Service

Ongoing support: monitoring, control reviews, regulatory updates and management reporting.

OPTION 4

AI Assurance Readiness

Improvement of documentation, controls and evidence ahead of independent scrutiny.

START HERE

Request the Dawgen AI Governance Maturity Diagnostic.

The diagnostic examines AI strategy, governance, accountability, risk management, data, privacy, cybersecurity, third parties, human oversight, policies, controls, employee practices, monitoring, reporting and assurance readiness — and produces a prioritized roadmap.

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