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RSA[®] ARCHER[®] SUITE Integration Guide

Compliance.ai Service Connector - RSA Archer Integration 3.0

COMPLIANCE.AI

Contact Information

Go to the RSA corporate web site for regional Customer Support telephone and fax numbers:https://community.rsa.com/community/rsa-customer-support.

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Chapter 1: Compliance.ai Archer Integration Overview

About Compliance.ai Integration

Compliance.ai enhanced regulatory content can be published to RSA Archer applications using various Archer supported integration methods.

- Integration Methods:
 - **RSS feed (Archer RSS Data feed transporter)**: Users can leverage RSS feeds available within Compliance.ai to publish regulatory changes from the Compliance.ai platform into the RSA Archer Regulatory Intelligence Items (RII) application. Users can create specific alerts & notifications within Compliance.ai for a more fine-tuned experience. This may be useful for users who wish to create feeds for specific workflows. For example, a user can create an alert that includes only Enforcement documents published by specific agencies related to a certain topic, such as Securities. The Compliance.ai Support page includes information on how to search and create notifications & alerts: https://www.compliance.ai/product-guides-iframe
 - Web feed (Archer HTTP/Web Data feed transporter): Users can leverage the Compliacne.ai Service Connector (CAI SC) infrastructure to create Archer Web Data feeds in order to publish regulatory changes, obligations, annotations and authoritative sources into Archer RII, Regulatory Intelligence Review (RIR) and Authoritative Sources (AS) applications.
 - Users can create specific alerts, notifications and workflows within Compliance.ai. This method may be useful for users who wish to create conditional content feeds based on specific workflows. For example, a user can create an alert that includes only regulatory rules published by specific agencies related to a certain topic, and then a workflow where they assess relevance of such rules, and then publish only the relevant rules with the extracted obligations to Archer. The Compliance.ai Support page includes information on how to search and create notifications, alerts and workflows: <u>https://www.compliance.ai/product-guides-iframe</u>

Key Features and Benefits

With the Compliance.ai / RSA Archer GRC Integration, users can process enhanced and filtered content from the Compliance.ai platform that include regulatory content with rich meta-data specific to the business and operational needs of financial services and insurance compliance, risk, audit and counsel professionals. The integration allows users to:

- Focus only on the most relevant regulatory changes by creating finely tuned alerts that surface only specific content based on multiple key filters including, agency, jurisdiction, topic, and document type.
- Create user and/or team-specific alerts and filters so that each user can focus on the highest priority changes for their business, project, and job function.
- Receive content via RSS feed or via the Web feed method (using CAI SC) to meet the integration preference of client IT professionals.
- Immediate, seamless integration available to current Compliance.ai / RSA Archer GRC users from Compliance.ai into the RSA Archer platform.

Requirements

Components	Requirement		
RSA Archer Solution	Regulatory and Corporate Compliance		
	Policy Program Management		
RSA Archer Use Case	Corporate Obligations Management		
RSA Archer Applications	Regulatory Intelligence Items (Archer RII)		
	Regulatory Intelligence Review (Archer RIR)		
	Authoritative Sources (Archer AS)		
Uses Custom Application	No		
Requires On-Demand License	No		

Integration Diagram



Compliance.ai <--> Archer Integration Options Overview



Integration Method Comparison

	RSS	Service Connector
Document Attributes Configurable	~	 Image: Contract of the second s
Multiple Instances w/ Unique Configurations	\bigcirc	\bigcirc
Secured with TLS 1.2 & above	\bigcirc	\bigcirc
Data Format - JSON		\bigcirc
Data Format - CSV		\bigcirc
Data Format - XML	\bigcirc	\bigcirc
Publish content on set schedule		
Customer pulls content	~	

	RSS	Service Connector
Build regulatory content library with hierarchical structure		
Multiple endpoints for list of values like Topics, Document Types, Agencies, etc		
Utilize Workflow and Task Dependencies		\checkmark
Publish Annotations & Obligations		\bigcirc
Time to Integrate	Within hours	3-4 weeks
Subscription Required	Team Edition	Team Edition OR Developer Platform and API Edition
How to get started	RSS Integration Guide	Service Connector Guide

Supported outbound Transports/Protocols

Protocol	Service Connector
SFTP	\bigcirc
WebDAV over HTTPS	\bigcirc
AWS S3 Bucket	\checkmark
RESTful API	\bigcirc
Custom API	\bigcirc

Regulatory changes are aggregated, parsed, classified, enhanced and tagged automatically by the Compliance.ai platform. Relevant & filtered content is then published into various RSA Archer GRC applications.

Additional Resources

The following additional resources are available for this application:

- Compliance.ai Pro/Team/Service Connector product site: <u>https://pro.compliance.ai/</u>
- Compliance.ai Developer site: <u>https://www.compliance.ai/api/</u>

Chapter 2: Configure the Compliance.ai - RSA Archer Integration

This section provides instructions for configuring Compliance.ai with the RSA Archer Platform. This document is not intended to suggest optimum installations or configurations. It is assumed that the reader has both working knowledge of all products involved, and the ability to perform the tasks outlined in this section. Administrators should have access to the product documentation for all products in order to install the required components. All Compliance.ai components must be installed and working prior to the integration. Perform the necessary tests to confirm that this is true before proceeding. **Important:** The integration described in this guide is being provided as a reference implementation for evaluation and testing purposes. It may or may not meet the needs and use cases for your organization. If additional customizations or enhancements are needed, it is recommended that customers contact RSA Professional Services for assistance.

Configure Compliance.ai Filters and Alerts

Task 1: Setup filters and create alerts

- 1. Login to Compliance.ai Team/Service Connector with your Compliance.ai user credentials.
- 2. Create your alert(s).
 - a. Using Default Filters automatically includes select Agencies, Jurisdictions, News & Premium Content and Topics. Add criteria, e.g.: Text or Document Type, to refine your search

크는 Filter 59	Search	_		٩
Filter Enf	orcement Explorer Jurisdiction Anal	yzer		
Default I	Filters			Clear All
Publication Date:	From: To:		Key Date:	From: To:
Agency	× CFTC × OCC × SEC ×	•	Document Type	X Proposed Rule X V
or Jurisdiction	× US-IL × US-IN × US-IA ×	*	Regulation	Select 💌
or News & Premium Content	× American Banker × Law360: Banking ×	~	Act	Select 👻
Торіс	× BSA/AML × Privacy ×	•	Business	Select
Document Properties	Select	-	Citation is:	Type Citation here
Text is:	privacy		Title is:	Type Title here
			Label	Select your organization's labels 👻
		С	onvert to Advanced	l Search Search

b. Advanced Search – Builder: You can further refine your search by using capabilities within the Advanced Search Builder to exclude documents with, for example, specific text, document types, or topics as well as combine AND, OR, and NOT within a single search. Access Advanced Search by selecting the toggle next to the search bar.

luilder		Q Basic Adv
And Or NOT	+ Add filter + Add filter grou	p
And Or □NOT =	+ Add filter + Add filter group	Î
And Or DNOT	+ Add filter + Add filter group	Î
_	Illinois (US-IL) × Indiana (US-IN) ×	î
Equals	× CFTC × OCC × SEC × ×	î
Equals	X Administrative Order	1
= Published From * is *	04/20/2020	î
= Full Text * is not *	Self-Regulatory Organization	î
er structure:	Clear Builder Search	

c. Add an Alert: Turn on alerts to leverage your search and receive new documents that meet the criteria within your platform.

⊙com	pliance.ai 표 Filter 20 Search		Q Basic Advanced 0			θ
	□ 🖿 🗃 금 🔮 王王 프+ 110 Documents from Compliance.al - 0 selected		Turn on alerts	Details	Expert Auto Tasks Annotations Connection Summary	Obligations
Dashboard	Swap Data Recordkeeping and Reporting Requirements Privacy Securities	Create an alert Name: Privacy Rules & Proposed Rules	× vant Result?		Compare with any other document with this icon	
Timeline D Enforcement	Publication Date: 04/17/2020 Comments close: 05/20/2020 CFIC : Proposed Rule	You can add this alert to workflows. Cancel	Create	Proposed Ru Swap Data F	Ile Recordkeeping and Reporting Requirements View PDF -	
Hews	C Li III Recordkeeping and Reporting Requirements for Security-Based S Broker-Dealer Securities	wap Dealers, Major Security-Based Swap Participants,	and Broker-Dealers Relevant Result?	Summary The Commor proposing re recordkeepin (``SDRs''), d	dity Futures Trading Commission (` ` Commission" or visions to the Commission regulations that set Forth it grad reporting requirements for way data repositor Jerivatives cle	``CFTC''} is he swap data ries
Folders	Publication Date: 12/16/2019 Effective: 02/14/2020 SEC : Rule			Author Document Type		
Notifications	Privacy of Consumer Financial Information Privacy Securities		Relevant Result?	Published Key Dates Topics	Friday, April 17th, 2020 Comments should be received on or before Wedne 20th, 2020. Privacy (1, 1, 0.4064)	
inces					Securities (0, 0, 0.9761)	

Option 1: Publish to Archer RII Application using RSS

Task 1: Publish content into Archer RII using RSS Data feeds

- 3. Once you have established alerts, you can copy the alert RSS links, to your GRC, IRM or content management platform. You can then review documents that meet your alert criteria in near real time in either platform. Steps to retrieve the RSS link you'd like to feed into RSA Archer:
 - a. To create a feed based on any of the Customer Alert filters:
 - i. Go to Notifications from the left-hand menu
 - ii. Click the vertical "more options" ellipsis icon for your established alert

🖑 сом	MPLIANCE.AI RE Filter 2 Search		С	g Basic D Advanced	Θ
_ Default Filter	Alerts				
Dashboard	MY ALERTS				
\sim	CYM-CIMA REV	RSS	× nails:	Daily -	
Timeline	GDPR	https://rss.compliance.ai?	nails:	Daily -	
€ Conforcement	WORKFLOW ALERTS (MY ORGANIZATION)	rss_token=eyJoeXAiOLIKV1QiLCJhbGciOLIULITNIJ3.eyJ12CVYX2lkljoxNTA0LCJleHAiOJEZMTQx ODK1NzEsImlwijoiNzMuOTMuMTUVJEZMilsIm9y219pZCI6MX0.Ztt- 14HpeTTwoXNEN0MX2qv22A_pUIPZ4d5xNpiE8Mc6alert_id=c289957c-590b-4314-94b9-		Edit Share	
⊕	CCPA-Rules-Updates-Notices-2		nails:	None View RSS Link	
News	"12 CFR 1024" AND "12 CFR 1026" alert	Copy Link	nails:	None Delete	
	"ACH"		Emails:	None -	
-	"Beneficial Ownership" Alert		Emails:	None -	
Folders	"Flood Insurance" Alert		Emails:	None -	
≜ ⁴⁶	"HMDA" OR "TILA" Alert		Emails:	None -	
Notifications	"UDAAP" 2019 Rules		Emails:	None -	
Resources	"digital marketing" Alert		Emails:	None -	
	AML-Global-2000		Emails:	None -	
Tasks	CA-Privacy-Mortgage-related		Emails:	None -	
(j)	CCPA Compliance Questionnaire		Emails:	None -	
Support	CFPB "money transmitter" Enforcement Alert		Emails:	None -	

iii. Click "View RSS Link"

- Import the provided DFX5 file as a new Archer Data Feed item. They use your preferred alert RSS link plus your BASE URL in the Archer configuration steps. You can find more information on troubleshooting and configuring your RSS feed <u>here</u>.
 - a. Please make sure that the data mapping has populated the fields on the RSA application properly when the DFX5 file is uploaded
 - b. Also, make sure the Data Request URL to the SFTP server is whitelisted before running the new Archer Data Feed so the data feed can run properly

Option 2: Publish to Archer RII, RIR & AS applications using CAI SC

Task 1: Configure Compliance.ai Workflow for publishing into Archer

1. Login to Compliance.ai Team Edition with your Compliance.ai user credentials.

- 2. Set up Workflow: Go to Compliance.ai's Manage Workflow section
 - a. Select "Add a New Flow" and select the "start from scratch" option.
 - b. Name the Service Connector Workflow
 - c. Select the Alert you want to push future content in the "For" section.
 - d. Next, Select a past date you would like the Service Connector to start from. (Note: You can only go far as 1 month back)

Tasks	Manage Teams	Manage Workflow	Manage Org Repor	ts		
You are cr	eating a new workflow.					
Workf	low Name: Enter a nar	ne for your workflow				Cancel Save
For:	Select	•	Associate To:	Select	Published Since:	08/14/2020
	+ Add a step	+ Obligation Review				

In the example provided below, we will cover all the steps necessary for the following usage scenarios:

- Publish regulatory content into Archer RII after assessment in Compliance.ai
- Publish obligations into Archer RIR after assessment in Compliance.ai
- Publish annotations into Archer RIR after assessment in Compliance.ai
- Publish resource content as authoritative sources into Archer AS after assessment in Compliance.ai
- 3. Create the Assessment Steps: Select the "+Add a step" button.
 - a. Assess Document Applicability
 - i. Fill out for the Following Fields:
 - 1. Title i.e. Assess Document Applicability
 - 2. Assign to whoever will be making the assessment
 - 3. Turn on "Annotations" module
 - a. Select "Dropdown Field" and "Required?"
 - b. Name the "Dropdown label"
 - c. Select "Single select"
 - d. Add in the two dropdown options
 - i. "Yes"
 - ii. "No"

Title: Assess Document Applicability		Due by: 0 days	after 🔻	Publication Date	•	
Teams Select Description:	Assign to:		Ŧ	Notify: × Kayvan A.		× •
Enter description						
Annotations C Dropdown field C Required?	Date field		C] Text field	Attachments	
Doc Applicable?						
Single select O Multi select Dropdown options						
No	$\oplus \Theta$					
Yes	$\oplus \Theta$					
Task dependencies						

- b. Assess Obligations/Annotations
 - i. Fill out for the Following Fields:
 - 1. Title i.e. Assess Obligations/Annotations
 - 2. Assign to whoever will be making the assessment
 - 3. Turn on "Annotations" module
 - a. Select "Dropdown Field" and "Required?"
 - b. Name the "Dropdown label"
 - c. Select "Single select"
 - d. Add in the two dropdown options
 - i. "Yes"
 - ii. "Not Relevant"
 - 4. Turn on "Task Dependencies" module
 - a. Select "Relevant" and "All" in order to assess obligations and annotations on only documents that were previously marked relevant

Title: Assess Obligations/Annotations		Due by: 0 days aft	er 🔻 Pu	ublication Date	•	r î
Teams Select Description:	Assign to: Kayvan A.		• Not	tify: × Kayvan A.		× Ŧ
Enter description						
Annotations Dropdown field Required? Applicable? Single select Multi select	Date field Required? Enter date label		to Te	ext field	Attachments	
Dropdown options Yes	$\oplus \Theta$					
Not Relevant	$\oplus \ominus$					
Task dependencies Make this task relevant v if all v of the Assess Document Applicability is marked as Y	following match: es •					

- 4. Create the Service Connector Annotations Steps: Select the "+Add a step" button and Fill out for the Following Fields:
 - a. Publish content to Archer RII or AS if they are assessed as Relevant
 - i. Title i.e. Publish content to RSA __SFTP_CSV_DOC_
 - 1. You <u>must</u> use one of the following values in the tile name for this step:
 - a. For Regulatory Changes: " SFTP CSV DOC "
 - b. For Authoritative Sources: "__SFTP_CSV_RES__"
 - ii. Auto assigned to: Select the Service Connector User Account, for example support+abc-sc@compliance.ai.
 - iii. Turn on "Task dependencies" module
 - 1. Set the "If task" dropdown as the step previously created, in this case "Assess Document Applicability"
 - 2. Set the "marked as" dropdown as the dropdown option previously created, in this case "Yes"

Title: Publish Document to RSASFTP_CSV_DOC	Due by: 0 days after	•	Task Completion: Assess Document Applicability	
Teams Select	Assign to: service.connector-Im1@compliance.ai	•	Notify: × Kayvan A	× •
Description: Enter description				
Annotations				
Task dependencies Image: Constraint of the follow Make this task relevant if Assess Document Applicability is marked as Yes	ing match:			

- b. Publish Obligations after they are assessed as Relevant
 - i. Title i.e. Publish Obligations to RSA __SFTP_CSV_OBLR__
 - 1. You <u>must</u> include "___**SFTP_CSV_OBLR__**" in the task title for this step
 - ii. Auto assigned to: Select the Service Connector User Account, for example support+abc-sc@compliance.ai.
 - iii. Turn on "Task dependencies" module
 - 1. Set the "If task" dropdown as the steps previously created, in this case "Assess Document Applicability" and "Assess Obligations/Annotations"
 - 2. Set the "marked as" dropdown as the dropdown option, in this case "Yes" for both

Title: Publish Obligations to RSASFTP_CSV_OBLR	Due by: 0 days aft	fter Task Completion: Assess Obligations/Annotations	Î
Teams Select Description: Enter description Annotations	Assign to: service.connector-lm1@compliance.ai	Notify:	•
Task dependencies	ng match:		
Assess Document Applicability is marked as Yes Assess Obligations/Annotations is marked as Yes	 		

- c. Publishing all Obligations to Archer RIR
 - i. Title i.e. Publish Obligations to RSA __SFTP_CSV_OBL__
 - 1. You <u>must</u> include "___**SFTP_CSV_OBL__**" in the task title for this step
 - ii. Auto assigned to: Select the Service Connector User Account, for example support+abc-sc@compliance.ai.
 - iii. Turn on "Task dependencies" module
 - 1. Set the "If task" dropdown as the steps previously created, in this case "Assess Document Applicability" and "Assess Obligations/Annotations"
 - 2. Set the "marked as" dropdown as the dropdown option, in this case "Yes" for both

Title: Publish Obligations to RSASFTP_CSV_OBL	Due by: 0 days after	•	Task Completion: Assess obligations/annotations	r î
Teams	Assign to: service.connector-Im1@compliance.ai	*	Notify:	× •
Description: Enter description				
Annotations				
Task dependencies	ng match:			
Assess doc applicability is marked as Yes				
Assess obligations/annotations via is marked as Yes	• • •			

- d. Publishing Annotations to RII after they are assessed as Relevant
 - i. Title i.e. Publish Annotations to RSA __SFTP_CSV_ANN_
 - 1. You <u>must</u> include "___**SFTP_CSV_ANN__**" in the task title for this step
 - ii. Auto assigned to: Select the Service Connector User Account, for example support+abc-sc@compliance.ai.
 - iii. Turn on "Task dependencies" module
 - 1. Set the "If task" dropdown as the steps previously created, in this case "Assess Document Applicability" and "Assess Obligations/Annotations"
 - 2. Set the "marked as" dropdown as the dropdown option, in this case "Yes" for both

Title: Publish Annotations to RSASFTP_CSV_ANN	Due by: 0 days after	▼ Task Completion: Assess Obligations/Annotations
Teams Select Description: Enter description Annotations	Assign to: service.connector-Im1@compliance.ai	Notify:
Task dependencies Make this task relevant if all Assess Document Applicability* is marked as Assess Obligations/Annotations* is marked as Yes	ing match:	

5. Save the Workflow: Once completed, any new/changing regulatory changes and authoritative sources that either a) matches the filtered criteria for the workflow or b) are added to the workflow on an ad-hoc basis, and c) are assessed by users as relevant will be published to RSA Archer. Additionally, any obligations/annotations made on those regulatory changes that are assessed as relevant will also be published to Archer.

- a. Note: The cadence of content publishing into Archer is customizable and its default is once every 24 hours.
- b. In the example above, only regulatory content and annotations/obligations assessed as relevant within Compliance.ai are published to Archer. Changes and annotations/obligations can also be published without the need for assessments by removing the "Assess" steps and the task dependencies from "Publish" steps.

Task 2: Publish into Archer RII using Web Data feed

- 5. Import the provided DFX5 files as new Archer Data Feeds item configured as Archer Web based Data feeds (WebDav over HTTPS) as outlined in the Archer configuration steps.
 - a. Please make sure that the data mapping has populated the fields on the RSA application properly when the DFX5 file is uploaded
 - b. Also, make sure the Data Request URL to the SFTP server is whitelisted before running the new Archer Data Feed so the data feed can run properly

For any Compliance.ai setup issues, please contact support@compliance.ai

Configure RSA Archer

Task 1: Add Fields to the Archer RII, RIR and AS Application Layouts

- 1. Click the Wrench -> Application Builder -> Regulatory Intelligence Items -> Fields.
- 2. Add the following fields:

Field Name	Feld Type	Usage
CAI Agency PDF URL	External Links	URL referencing the original source of content
CAI Agency Site	External Link	Agency web-site link from which document has been retrieved
CAI Category	Text	Type of document being added, referencing: https://www.compliance.ai/api/docs/document_type/
CAI Comments Close On	Date	Comment Close date for regulatory content
CAI Content Summary	Text	Summary of regulatory content (first x characters, x configurable)
CAI Jurisdiction	Text	Applied to regulatory change, one of the following values: https://www.compliance.ai/api/docs/jurisdictions/
CAI Regulatory Intelligence Review	Related Records (Cross Reference)	See Step 3 below
CAI URL	Text (Calculated)	See Task 2 part 2. Link to document within Compliance.ai application

3. For "CAI Regulatory Intelligence Review", please configure the Options section as provided below:

Provide Control Control Control Control Propose	lanage Field: CAI Regulatory Intelligence	Review						
General Options Options / Control Option / Control	ave Apply Delete							
P Display Control Control Control Control Control Control Control Single Column This option displays a grid containing multiple fields of data from the referenced Field Poptions Required Field: Poption Required Field: Poption Particle Poption Poptin Poption Poption Poption Poption Poption Poption Poption Poption	General Options Help Text Access							
Control: Orid This option displays a pair or containing multiple failst of data from the information: Single Column This option displays the kay of the referenced encord in a single column format. Control: Required Field: Display prior displays the kay of the referenced encord in a single column format. Section Results: Display prior failed in advanced search and search results. Section Results: Display this field in advanced search and search results. Enable Bulk Update: Allow users to initiate bulk update from search results. Enable Bulk Update: Allow users to initiate bulk update from search results. Enable Bulk Update: Allow users to initiate bulk update from search results. Enable Editable Grid Display: Allow users to initiate bulk update from search results. Enable Editable Grid Display: Allow users to select esting records from the relieted application from view mode. Columptified: Section: Allow users to select esting records from the failed section from view mode. Columptified: Section: Field To Eraluate Operator Intermine which field to edute than end with advance display of the failed to edute than end with field. Field To Eraluate Operator Intermine which fields from the related application from view mode. Column Fited capinys the search results in a columor injupout wit	Display Control							
Poplane Require Users to supply a value for this field before saving the record. Auditing Information: Display auditing (last modification) data next to this field. Include user name, date and time of last edd. Savarin Results: Display field in advanced savarh and savarh results. Enable Buik Update: Allow users to initiate buik update from savarh results. Enable Buik Update: Allow users to initiate buik update from savarh results. Enable Buik Update: Allow users to initiate buik update from savarh results. Enable Buik Update: Allow users to statiate buik update from savarh results. Enable Buik Update: Allow users to statiate buik update from savarh results. Enable Editione Gitt: Allow users to statiate buik update from savarh results. Enable Edit Updaty: Allow users to statist buik update from savarh results. Enable Edit Updaty: Allow users to statist buik update from savarh results. Enable Edit Updaty: Allow users to statist buik update from savarh results. Calculated Field: Allow users to statist buik update from savarh results. Calculate Field: Allow users to statist buik orazis from the related application from yiew mode. Calculate Field: Sorting: Field To Evaluate Operator 1	Control:	 Grid Single Column 	This option displays a grid containing multiple fiel This option displays the key of the referenced rec configuration.	ds of data from the referenced r ord in a single column format. U				
Required Field: Required search or saving the record. Auding Information: Dipplay auding (last motification) data next to this field. Include user name, date and time of last edit. Search Default Field: Include this field by default in acarch results. Enable Buik Update: Aldow users to initiate buik opdate from search results. Enable Buik Update: Allow users to initiate buik opdate from search results. Enable Buik Update: Allow users to enitiate buik opdate from search results. Enable Edit Create: Allow users to edit display fields that have inline edit enabled. Lockup: Allow users to edit display fields that have inline edit enabled. Lockup: Allow users to edit display fields that have inline edit enabled. Lockup: Allow users to edit display fields that have inline edit enabled. Lockup: Allow users to edit display fields that have inline edit enabled. Lockup: Allow users to edit display field than a display form mode. Calculate Always: The field uill be validated fis thaset of	▼ Options							
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Field Order 1.	Sorting:							
1.		Field		Order				
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Display Format:								
Grid Display Properties Determine which fields from the related application will display to users when they view this field. In addition, specify which field(s) will be used to sort the records that display	Display Format:	 Column - Hierarchical Column - Flat 	Column Hierarchical displays the search showing relationships. Column Flat displays the search results in	results in a columnar layout wh a simple columnar layout with				
Petermine which fields from the related application will display to users when they view this field. In addition, specify which field(s) will be used to sort the records that displa	r Grid Display Properties							
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	Determine which fields from the related application	on will display to users when they view this fi	eld. In addition, specify which field(s) will be use	to sort the records that displa				

4. Navigate to the Wrench -> Application Builder -> Regulatory Intelligence Items -> Layout tab. Drag the Newly created fields into the application layout.
5. Click Apply/Save.

Task 2: Update Archer RII fields

- 1. Go back to Wrench -> Application Builder -> Regulatory Intelligence Items -> Fields.
- 2. Select the "GUID" field and go to the "Options" section to make sure the "Key Field" is selected:

			x
Save Apply Delete			Email
General Options Help Text Access	15		
▼ Display Control			
Control: 6	Text Field Display single line text field. Text Area Display multi-line text box capable of	displaying rich text.	Overland Park, KS
▼ Options			
Required Field:	Require users to supply a value for this field before saving the	record.	
Auditing Information:	Display auditing (last modification) data next to this field. Inclu	de user name, date and time of last edit.	
Search Results:	Display this field in advanced search and search results.		
Search Default Field:	Include this field by default in search results displayed to user	S.	
Enable Bulk Update:	Allow users to initiate bulk update from search results.		
Enable Inline Edit:	Allow this field to be editable in search results.		
Unique Field:	Do not allow duplicate values to be submitted for this field.		
Calculated Field:	Set the value of this field using a value calculated from a form	ula.	
Advanced Field Display:	Display advanced formatting options, including descriptive tex	t and display control formatting.	
Validate Always:	The field will be validated if at least one field changes, otherwi	se the field will only be validated if its value of	hanges.
Encrypt Field Data:	Encrypt data at rest in this field.		
Encryption Status: Static	onary		
▼ Configuration			
Maximum Characters:	\$	Input Mask:	None
Default Value:		Default Behavior:	Remove the default text on mouse click.

2. Update the "CAI URL" field to use following "Formula" and make sure that the Calculated Field is selected:

" " & [GUID] & ""

lanage Field: CAI URL			x
ave Apply Delete			Email
General Options Help Text	Access		
• Ontions			
Required Field:	Require users to supply a val	ue for this field before saving the record.	
Auditing Information:	Display auditing (last modifica	ation) data next to this field. Include user name, date and time of last edit.	
Search Results:	Display this field in advanced	search and search results.	
Search Default Field:	Include this field by default in	search results displayed to users.	
Enable Bulk Update:	Allow users to initiate bulk up	date from search results.	
Enable Inline Edit:	Allow this field to be editable	in search results.	
Unique Field:	Do not allow duplicate values	to be submitted for this field.	
Koy Ciold	This is the "key" field for reco	rde in this application. Hyparlink this field to allow drill-down into the record	
Advanced Field Display:	Display advanced formatting	options, including descriptive text and display control formatting.	
Validate Always:	The field will be validated if a	least one field changes, otherwise the field will only be validated if its value changes.	
Encrypt Field Data:	Encrypt data at rest in this fie	ld.	
Encryption Status:	Stationary		
Calculation Properties			
The Calculated Field option allows	you to define a calculated formula th	at will dynamically compute a value for the field. When defining the calculation properties, you can choose to recalculate the field only	when
the system determines that a recald	culation is necessary or to recalculat	e the field every time a record is updated. You can also select how the system should handle errors and what information should be	
Recalculation	As Needed	Allow the system to determine when this field needs to be recalculated. (Recommended)	
needicalduon.	Always	Formulas are recalculated every time content is saved even though a field is not referenced in the formula. Formulas that contain 1 and TODAY() functions, or user first name, last name, and middle name (Editor) parameters are recalculated regardless of content change.	NOW()
Error Handling:	Oisplay Error	Display the term "Error" when an error occurs. Users with the appropriate access can click this term and be directed to the Calcula Error page	tion
	O Use No Value	Display no value when an error occurs.	
	O Use Specific Value	Display a specific value within the field.	

Task 3: Update Archer RII Form Layout

- 1. Navigate to the Wrench -> Application Builder -> Regulatory Intelligence Items -> Layout
- 2. Update the layout to include the following Compliance.ai attributes.

Manage Application: Regulatory Intelligence Items		
Save Apply Delete		Email
General Fields Lawout Navientics Mean Workflow Adva	need MadeBau Coloulations Administration	
General Pielos Layour Inavigatori Menu Monkilow Adva	need worknow Calculations Administration	
Designer Rules Actions		
1 Add New Field		
Available Fields		
Author House		
Bill Legtype Abbreviation		
Bill Session ID	Tracking ID	Source
CAI Agency PDF URL	GUID	
CAI Agency Site	Tala	
CAI Category		
CAI Jurisdiction	Link	
First Published	CALIE	Status
Last Updated	Date Published	Topics
Regulatory Contact	Orate	Topica
Regulatory State ID	State	
State Abbreviation	Supplemental Legislative Information	∇
Add New Layout Object 🗸 🗸	Prefile Date	Date Bill Introduced
	Session Name	Bill Legtype
	Bill Number	Author Party
	Chapter Number	Author Name
	Current Disposition	Location
	Last Amend Date	Placeholder
	Supplemental Regulatory Information	▽
	Citation	
	Calendar Year	Agency Name
	Proposed Date	Adopted Date
	Status Actions	▽
	Private File Information	Ψ.
	Client Tags	
	Client Summaries	
		Ψ.
	E Regulatory Intelligence Review	
	CAI Regulatory Intelligence Review	∇
	Open Tasks/Activities	

Task 4: Configure Data feed for Archer RII Application

- 1. Click the Wrench -> Integration -> Data Feeds.
- 2. Import the **ComplianceAI_Regulatory_Intelligence_Feed.dfx5** file provided in the package from the Compliance.ai support team
 - a. Please make sure that the data mapping has populated the fields on the RSA application properly when the DFX5 file is uploaded
 - b. Also, make sure the Data Request URL to the SFTP server is whitelisted before running the new Archer Data Feed so the data feed can run properly

On the Transport Tab, paste the BASE URL link in the URL space under the Transport Configuration section and append

&configuration_id=1cd3dfe7-5e18-4da9-94df-ef445f74d65a

▼ Post-Processing - Local Copy

Determ

RSA ARCHER	SUITE						Search		Q	0 A	4	0	sysadmin 🗸
Audit Management ∨	Issues Management 🗸	Operational Risk Managem	ent 🗸 Bus	iness Resiliency 🗸	Regulatory and Corpo	orate Compl 🗸	Third Party Managemer	nt ~ :					Reports
Administration	Data Feed Manager:	ComplianceAl Regulatory I	ntelligence Fee	d									X
Access Control	Save Apply Delete												Export Email
Advanced Workflow Appearance	General Transport	Navigation Source Definition	Data Map	Schedule									
Application Builder Discussion Forums	▼ Transport												
 Field Encryption 	Select the approa	ch the data feed should use to access a	nd obtain the externa	al source data.									
 Globalization Integration 	* Transport Method:	RSS	Transporter		•								
Data Feeds	▼ Transport Configur	ation											
Data Publications Data Imports	Enter the URL for	the RSS feed, and specify how you wa	nt the data feed to ret	trieve the source information	1.								
Review Job Queues	* URL:												
Obtain API Resources	Retrieval Count:				100] 🗘	Retrieval Units		Articles					<u> </u>
Notifications	User Name:					Password:							
Training and Awareness	▼ Proxy												
 Madaaaaa ad Daabhaaada 													
	User Name:					Password:							

to the end of the URL. The combined URL would look like this: *https://BASE_URL*&configuration_id=1cd3dfe7-5e18-4da9-94df-ef445f74d65a

- 3. Load the source fields from the URL in the Source Definition Tab.
- 4. See <u>Appendix B</u> to confirm the configured fields in the Data Map Tab.
- 5. The **Schedule Tab** is pre-set to run periodically but selecting **Start** will run the feed On-demand.
- 6. Click Apply/Save.

Task 5: Configure Regulatory Intelligence Report

1. Create a Report that includes the following Compliance.ai columns

Find:	Name	▼ Q	Selected Columns	
	Author Party	~	Regulatory Intelligence Items	8
	Bill Legtype		Date Published	8
	Bill Legtype Abbreviation		Tracking ID	8
	🔲 Bill Number		CALURL	8
	Bill Session ID		Title	8
	CAI Agency PDF URL		CAI Category	8
	CAI Agency Site		Source	8
	CAI Category		Topics	
	CAI Comments Close On			
	CAI Jurisdiction			
	CAI Regulatory Intelligence Review		CAI Agency Site	
			CAI Comments Close On	8
	Calendar Year		CAI Jurisdiction	S ~
			0 0	
< (>		

Task 6: Update Archer RIR Fields

1. Update the Regulatory Intelligence Review fields include the following Compliance.ai attributes:

Field Name	Feld Type	Usage
CAI Regulatory Intelligence Items	Related Records (Cross Reference)	See Step 2 below
CAI Review ID	Text	

	SUITE						
Audit Management ∨	Issues Management V Operational Risk Management V	Business Resiliency 🗸 Regulatory and Corporate Compl 🗸 🕴 1	hird Party Manager				
Administration	Manage Application: Regulatory Intelligence Review	v					
Access Control							
Advanced Workflow	Save Apply Delete						
Appearance	General Fields Layout Navigation Menu Workfl	w Advanced Workflow Calculations Administration					
Application Builder	▼ Eielde						
Solutions	Drad a column name here to drown the items by the values within that	column					
Applications	brag a column name nore to group are rems by the values within that	comm.					
Questionnaires	Name 🔺	Field Type	Access				
Sub-Forms	Actual Remediation Plan Costs	Numeric (Calculated)	Public				
Global Values Lists	Analysis	Text	Public				
Packages	Analyst	User/Groups List	Public				
Install Packages	Automate Policy Change Recommendation	Values List (Global)	Public				
Schedules	CAI Regulatory Intelligence Items	Cross-Reference	Public				
View Application Builder Reports	CAI Review ID	Text	Public				

2. Configure the field "CAI Regulatory Intelligence Items" as follows:

and a start of a regulatory into agoine o items		
ave Appy Delete		
General Options Help Text Access		
- Diaplay Control		
Control:	Grid This	option displays a grid containing multiple fields of data from the reference
uniu.	Single Column This	option displays the key of the referenced record in a single column form
▼ Options		
Required Field:	Require users to supply a value for this field before saving the	e record.
Auditing Information:	Display auditing (last modification) data next to this field. Incl	ude user name, date and time of last edit.
Search Results:	 Display this field in advanced search and search results. 	
Search Default Field:	Include this field by default in search results displayed to use	75.
Enable Bulk Update:	Allow users to initiate bulk update from search results.	
Enable Bulk Create:	Allow users to initiate bulk create from search results	
Enable Inline Edit	Allow this field to be editable in search results	
Enable Editable Grid Display:	Allow users to edit display fields that have inline edit enabled	
Laskup:	Allow users to select existing records from the related applies	ition through a Lookun control
Add Name	Allow upper to add reports in the referenced application from	view mode
Add New:	Cat the union of this field using a union selected approach in our	view moute.
Calculated Field.	The field will be unlideted if at least see field shares ether	iuna.
Validate Always:	I ne neid will be validated if at least one neid changes, otherw	ise the field will only be validated if its value changes.
Disable Remove:	The remove button will be disabled for records displayed in the	his field.
Filters:		
Filters:	Field To Evaluate	Operato
Filters:	Field To Evaluate 1.	Operato
Filters:	Field To Evaluate 1. 2. Advanced Operator Logic:	Operato
Filters: Sorting:	Field To Evaluate 1. 2. Advanced Operator Logic:	Operato
Filters: Sorting:	Field To Evaluate 1. 2. Advanced Operator Logic: Field	Operato
Filters: Sorting:	Field To Evaluate 1. 2. Advanced Operator Logic: Field 1. Date Published	Operato
Filters: Sorting:	Field To Evaluate 1. 2. Advanced Operator Logic: Field 1. Date Published 2.	Operato
Filters: Sorting: Display Format:	Field To Evaluate 1. 2. Advanced Operator Logic: Field 1. Date Published 2. Image: Column - Hierarchical Column - Flat	Operato
Filters: Sorting: Display Format:	Field To Evaluate 1. 2. Advanced Operator Logic: Field 1. Date Published 2. Image: Solution of the Column - Hierarchical Column - Flat	Operato
Filters: Sorting: Display Format:	Field To Evaluate 1. 2. Advanced Operator Logic: Field 1. Date Published 2. ④ Column - Hierarchical Oclumn - Flat	Operato
Filters: Sorting: Display Format: V Grid Display Properties Image: The state of the s	Field To Evaluate 1. 2. Advanced Operator Logic: Field 1. Date Published 2. Image: Solution of Column - Hierarchical Column - Flat	Operato
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Fiters: Fiters: Sorting: Display Format: Grid Display Properties Determine which fields from the related application will display	Field To Evaluate 1. 2. Advanced Operator Logic: Field 1. Date Published 2. Image: Column - Hierarchical Column - Flat	Operato
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Task 7: Update Archer RIR Layout

Update the layout to include the following Compliance.ai attributes.

Manage Application: Regulatory Intelligence Review							
Save Apply Delete		Email					
General Fields Layout Navigation Menu	Workflow Advanced Workflow Calculations Administration						
Add New Field Add New Field Available Field CAI Review ID CP Processed	About About General Information	~					
CS Processed	Tracking ID	Analyst					
First Published V	Date Review Started	Beview Status *					
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Impacted Business Processes	Date Review Closed	Placenoider					
Impacted Business Units	Review Description						
Impacted Companies	Regulatory Intelligence Items	∇					
Impacted Control Procedures	L						
Impacted Control Standards							
Impacted Divisions	Regulatory Review	\bigtriangledown					
Impacted Facilities	Review Policy Change Response New						
Impacted Information Assets	Business Impact	~					
Impacted Policies	Impacted Dusiness Estition	Immented Generative					
Impacted Products/Services	Impacted Business Entities						
Last Lindated	Impacted Policy/Content	Placeholder					
Policies Processed	Impacted Risks	Impacted Business Assets					
Processed Date	Analysis						
Add New Layout Object 🗸	Type of Impact						
-	Projected Impact Timeline						
	Financial Impact						
	Overall Impact						
	Overall Impact						
	Response Plan Needed						
	Findings	~					
	Open Tasks/Activities	\$					

Apply Delite					Export
neral Transport Navigation Source Definition	Data Map Schedule				
ransport					
Select the approach the data feed should use to access	and obtain the external source data.				
ansport Method:	HTTP Transporter				
ansport Configuration					
Enter the required credentials to allow the data feed to lo	cate and access the HTTP site and retrieve the specified source i	formation. If necessary, specify header parameters that will acco	mpany your HTTP request.		
Type:	Single Data File		File Filter:		
ion Type:	Get				
ogon Properties					
Credentials:	Anonymous Specific	Select this option if the HTTP site allows public access Select this option if the HTTP site restricts access to the	to the intermation. e information. Specify which authorized account will make the H	TTP request.	
cify Credentials:	Data Feed Service	Select this option if the Data Feed Service account will	be the account that makes the request to the HTTP site.		
	Other	Select this option to use a separate account to make the	e request to the HTTP site. Enter the oredentials for this accou	nt in the following fields.	
ser Name	complianceal_archer		* Password	•••••	
nain					
ata Request Properties					I Add N
Configure the HTTP site to connect to retrieve the data s	ource. Include any header parameters that are required.				
ata Request URI:	https://compliances	CSV	United		Actions
	Authorization		Basic		8
TOXY					
Select whether the data feed must pass through a proxy	to access the source information. If a proxy will be utilized, enter t	te credentials for accessing the proxy.			
xy Options:	No Proxy		Name:		
ıt.		8030	Domain:		
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ost-Processing - Local Copy					
Determine how the data feed should handle the local cop	by of the source information when the integration is complete.				
Success:	Nothing	Remove the temporary source file when the data feed	completes successfully.		
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- 1. Load the source fields from the URL in the Source Definition Tab.
- 2. See <u>Appendix B</u> to confirm the configured fields in the Data Map Tab.
- 3. The **Schedule Tab** is pre-set to run periodically but selecting **Start** will run the feed On-demand.
- 4. Click Apply/Save.

Task 8: Update Archer AS Layout

Update Archer AS layouts to include the following Compliance.ai attributes.

Source Field (Compliance.ai)	Add to Archer AS Layout
CAI Name	Source
CAI Name	Торіс
CAI Name	Section
CAI Name	Sub Section
CAI Source Links	Source
CAI Source Links	Торіс
CAI Source Links	Section
CAI Source Links	Sub Section

Task 9: Configure the Data feed for Archer RIR, RII, and AS Applications

1. Click the Wrench -> Integration -> Data Feeds.

- 2. There are five different data feeds that can added for the Regulatory Intelligence Review using HTTPS/FTPS by importing the associated file provided in the package from the Comliance.ai support team:
 - a. Relevant Content
 - i. Publishes content/documents that have been marked as relevant within the Compliance.ai platform

ii. Compliance.ai_Relevant_Content_review.dfx5 file

- b. Relevant Obligations
 - i. Publishes obligations that have been marked as relevant within the Compliance.ai platform and then associate them to the Regulatory Intelligence Items

ii. Compliance.ai_Relevant_Obligation_review.dfx5 file

- c. All Annotations
 - i. Publishes all annotations from the Compliance.ai platform and associate them to the Regulatory Intelligence Items
 - ii. Compliance.ai_Annotation_review.dfx5 file
- d. All Obligations
 - i. Publishes all obligations from the Compliance.ai platform and associate them to the Regulatory Intelligence Items

ii. Compliance.ai_Obligation_review.dfx5 file

- e. Authoritative Sources
 - i. Publishes matching authoritative sources from the Compliance.ai platform and associate them to the Authoritative Source items: Source, Topic, Section and Sub Section

- ii. Import four Compliance.ai_Authoritative_Sources_* DFX5 (uncompress files) in sequential order to create 4 new data feeds for Archer Authoritative Sources levels: Source > Topic > Section > Sub Section.
- iii. If you've changed your credentials to connect to Compliance.ai Service Connector/RSS feeds, go to Archer Data Feed -> Transport Tab -> Update the credentials for connecting to the HTTPS (Web) or FTP (Secure FTP) server as provided by the Compliance.ai support team.
- 3. Please make sure that the data mapping has populated the fields on the RSA application properly when the DFX5 file is uploaded
- 4. Also, make sure the Data Request URL to the SFTP server is whitelisted before running the new Archer Data Feed so the data feed can run properly

Chapter 3: Using the Compliance.ai - RSA Archer Integration

Once configured, regulatory changes that meet the criteria you've specified in Compliance.ai will be published either as Archer RII or Archer AS items. From here, you can process the incoming content in Archer as you see fit.

The screenshot below shows a sample set of Regulatory changes published into Archer RII.

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The screenshots below shows a sample set of Regulatory sources published into Archer AS. ← → C (pro.compliance.ai/resources?citation_selected_id=5858385&summary_id=5858921&summary_page=summary

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			Sub Section Name	 Sub Section Description 						
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As mentioned in Chapter 1, Compliance.ai supports content data alerts/feeds through custom alert filters: There can be many user defined alerts per account. These alerts will filter content based on the various criteria defined in Compliance.ai for the specific Alert.

These alerts can then be fed into Archer using any of the filter options available in Compliance.ai for Agencies, Topics, Jurisdictions, etc. For example, there could be 2 content feeds configured from Compliance.ai into Archer:

- Content Alert 1:
 - Daily feed of Enforcement actions that led to actions above \$100 in penalty
 --> Archer Feed #1
- Content Alert 2:
 - Weekly feed of Proposed rules published by the CFPB that reference a specific citation --> Archer Feed #2
- Content Alert 3:
 - Weekly feed of Regulatory Authoritative source content changes (Resources)
 --> Archer Feed #3

Additionally, regulatory changes that have been reviewed and assessed as relevant through the Compliace.ai Workflow can be published as Archer RIR items.

- Under the "Tasks" section, tasks will be generated based on the workflows created in Task 1 of section "Configure Compliance.ai for RIR Application" of this integration guide.
- Select a task and click "See Document" to open up the document and go to the "Obligations" tab

• To add an obligation, simply highlight text and select "Add Obligations." Once you have added obligations, you can navigate to a specific annotated fragment within a document by clicking on the obligations in the right panel.



- You can learn more about reviewing obligations in our <u>Product Guide</u>
- When you have added obligations on the document or determined it as "not relevant", go to the "Tasks" tab of the document and mark the task as "Yes" or "Not Relevant"
- 5. Once done, obligations processed on regulatory changes through tasks in Compliance.ai will be published as Archer RIR records.
- Run the created data feeds in Archer once: Schedule -> Start Data Feed Now -> Start. Once completed,
 - a) Verify the data feed has successfully run (Run Details).
 - b) Verify the data fetched from Compliance.ai into Archer Applications

Mapping Compliance.ai Resource content to Archer AS

When publishing Compliance.ai resource type content (Authoritative sources) using CAI SC to Archer AS, the CAI SC will automatically associated the Compliance.ai resource information into Acher AS modules using the following mapping:

Source Field (Compliance.ai)	Archer AS module
Top Level Navigation	Source
Sub Navigation Level 1	Торіс
Sub Navigation/leaf Level 2	Section
Sub-sub Navigation/leaf Level 3	Sub Section

Many of the Resource content (authoritative sources) available in Compliance.ai has been broken down into more than 4 levels of sub-navigation (sometimes up to 8 levels of depth/navigation).

By default content deeper than the 4th level of navigation will not be published into Archer, as Archer out of the box provides 4 levels of navigation.

For example, the specific section below within the Compliance.ai resource content has 5 layers of navigation, and the top 4 levels are mapped in Archer.

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() Support	Level 1 -> Archer Source Level 2 -> Archer Topic Level 3 -> Archer Section Level 3 -> Archer Section	Document + Add Document Label Labels	
	Title 23-Highwys Title 24-Housing and Urban D Level 4 -> Archer Sub Section Level 5 -> Not Mapped	Similar Documents (614553)	

Users can create new sub-navigation modules in Archer AS (for example: "Sub section level 5"), and then reconfigure the CAI SC to include additional/deeper layers of content navigation into Archer AS. Please contact Compliance.ai Support team for more information.

Appendix A: Certification Environment

Date Tested: May 1, 2020

Product Name	Version Information	Operating System
RSA Archer	v6.7_P05.x64	Windows
Compliance.ai	Team Edition / Service Connector	Server: SaaS,
	Edition	Client: IE 11, Edge, Chrome,
		Firefox and Safari

Appendix B: Mapping fields

The following fields should be mapped from the source feed to Archer RII:

Source Field (Compliance.ai)	Target Fields (Archer)	Field Type		
summary_text	Abstract	Text		
effective_on	Adopted_Date	Date		
agency	Agency_Name	ValuesList		
cfr	Citation	Text		
comments_close_on	CAI Comments Close On	Date		
description	CAI Content Summary	Text		
pubDate	Date_Published	Date		
topic	Document_Topic	Text		
category	CAI Category	Text		
guid	GUID	Text		
jurisdiction	CAI Jurisdiction	Text		
link	External_Links	ExternalLinksUrl		
pubDate	Proposed_Date	Date		
Source	Agency	ValuesList		
pdf_url	CAI Agency PDF URL	Text		
title	Title	Text		
topic	Topics	ValuesList		
Link	CAI Agency Site	External Link		
GUID	CAI Regulatory Intelligence Review	Cross-reference		
GUID	CAI URL	Text (Calculated field)		

The GUID field is the Key Field Definition for this Data feed

Source Field (Compliance.ai)	Target Fields (Archer)	Field Type	
Date Review Started	Date Review Started	Date	
Review Description	Review Description	Text	
Review Status	Review Status	Text	
Analysis	Analysis	Text	
Policy Change Overview	Policy Change Overview	Text	
Type of Impact	Type of Impact	Text	
CAI Regulatory Intelligence Items (GUID)	CAI Regulatory Intelligence Items (GUID)	Cross Reference	
CAI Review ID	CAI Review ID	Text	
The CAI Review ID field is the Key Field Definition for this Data feed			

The following fields should be mapped from the source feed to Archer RIR:

The following fields should be mapped from the source feed to Archer AS:

Source Field (Compliance.ai)	Target Fields (Archer)	Field Type
CAI Name	Source	Text
CAI Name	Торіс	Text
CAI Name	Section	Text
CAI Name	Sub Section	Text
CAI Source Links	Source	External Links
CAI Source Links	Торіс	External Links
CAI Source Links	Section	External Links
CAI Source Links	Sub Section	External Links