

**RSA**

**RSA<sup>®</sup> ARCHER<sup>®</sup> SUITE**  
**Integration Guide**

Compliance.ai Service Connector - RSA Archer Integration 3.0



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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 Compliance.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: <https://www.compliance.ai/product-guides-iframe>

### 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:

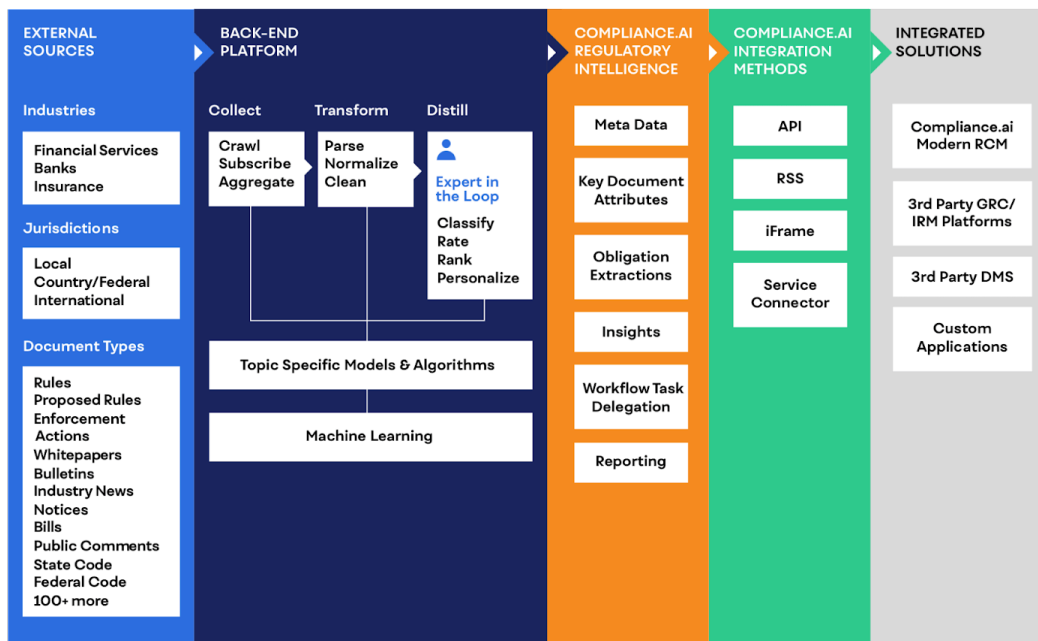
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- Focus only on the most relevant regulatory changes by creating finely tuned alerts that surface only specific content based on multiple key filters including, agency, jurisdiction, topic, and document type.
- Create user and/or team-specific alerts 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.

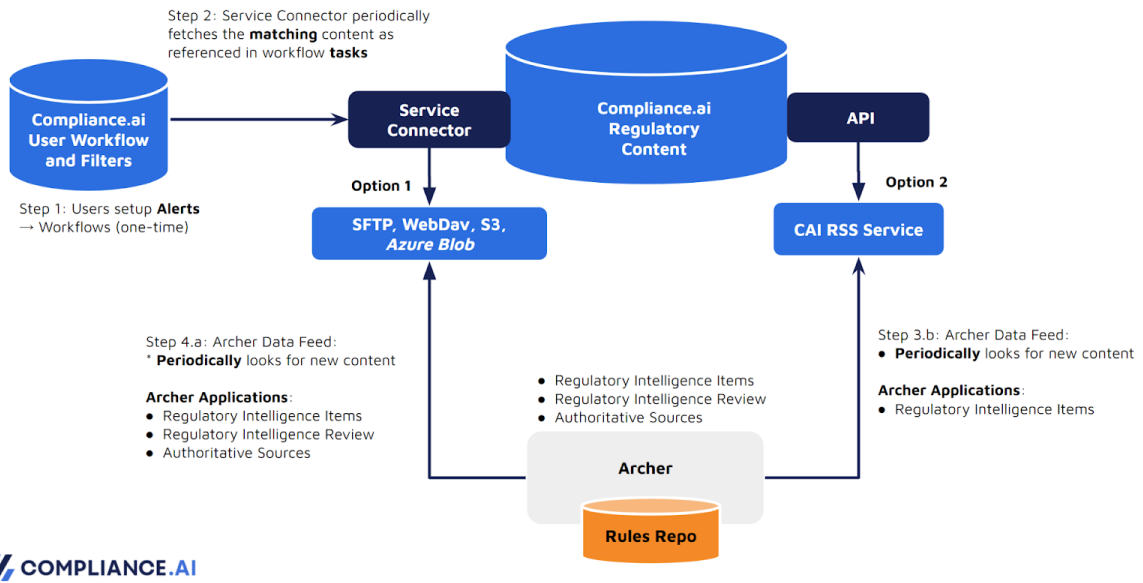
## Requirements

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

## Integration Diagram



## Compliance.ai <--> Archer Integration Options Overview








## Integration Method Comparison

	RSS	Service Connector
Document Attributes Configurable	✓	✓
Multiple Instances w/ Unique Configurations	✓	✓
Secured with TLS 1.2 & above	✓	✓
Data Format - JSON		✓
Data Format - CSV		✓
Data Format - XML	✓	✓
Publish content on set schedule		✓
Customer pulls content	✓	

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	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		
Publish Annotations & Obligations		
Time to Integrate	Within hours	3-4 weeks
Subscription Required	Team Edition	Team Edition OR Developer Platform and API Edition
How to get started	<a href="#">RSS Integration Guide</a>	<a href="#">Service Connector Guide</a>

### Supported outbound Transports/Protocols

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

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: <https://pro.compliance.ai/>
- Compliance.ai Developer site: <https://www.compliance.ai/api/>



## 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

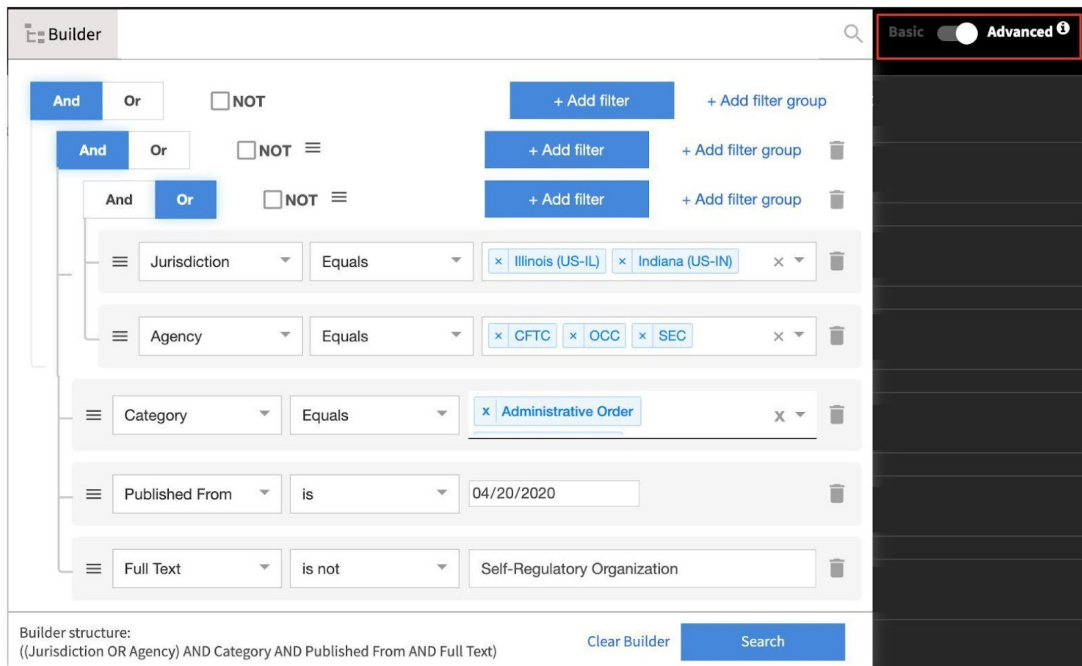
#### Task 1: Setup filters and create alerts

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

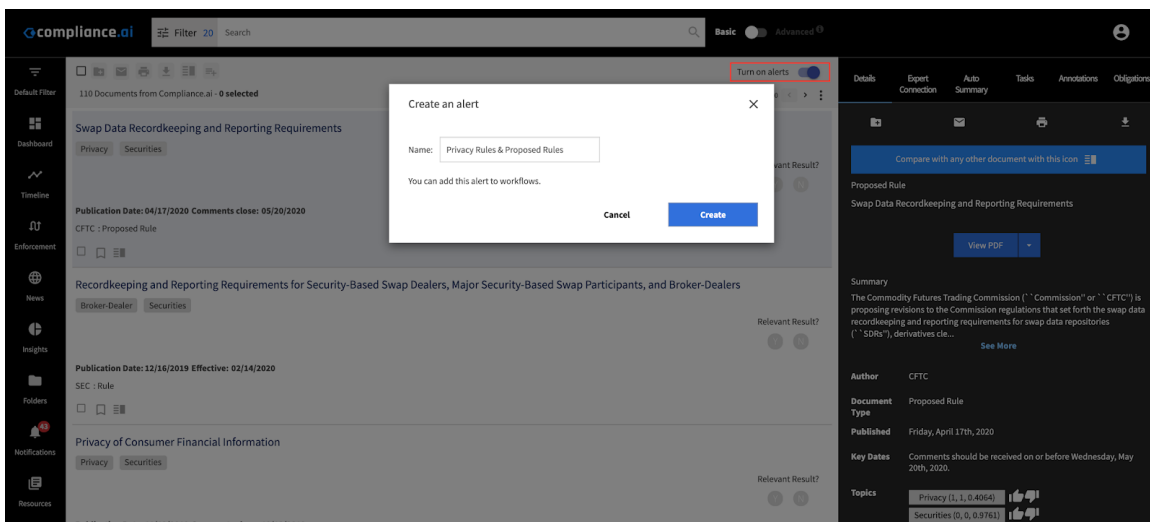
The screenshot displays the 'Filter 59' interface with a search bar and a 'Default Filters' toggle highlighted in a red box. The interface is divided into two columns of filters. The left column includes 'Publication Date' (From/To), 'Agency' (CFTC, OCC, SEC), 'Jurisdiction' (US-IL, US-IN, US-IA), 'News & Premium Content' (American Banker, Law360: Banking), 'Topic' (BSA/AML, Privacy), 'Document Properties' (Select...), and 'Text is:' (privacy). The right column includes 'Key Date' (From/To), 'Document Type' (Proposed Rule, Rule), 'Regulation' (Select...), 'Act' (Select...), 'Business' (Select...), 'Citation is:' (Type Citation here...), 'Title is:' (Type Title here...), and 'Label' (Select your organization's labels...). A 'Clear All' link is located in the top right. At the bottom, there is a 'Convert to Advanced Search' link and a blue 'Search' button.

- 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.

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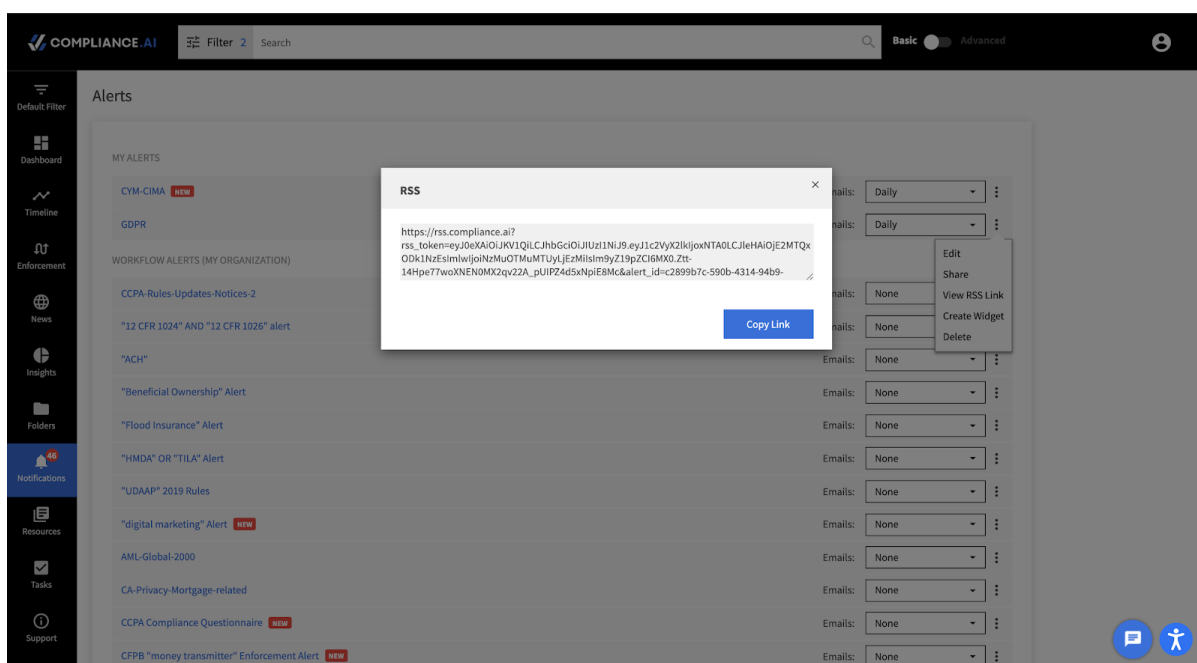
- c. Add an Alert: Turn on alerts to leverage your search and receive new documents that meet the criteria within your platform.



## 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
    - iii. Click “View RSS Link”



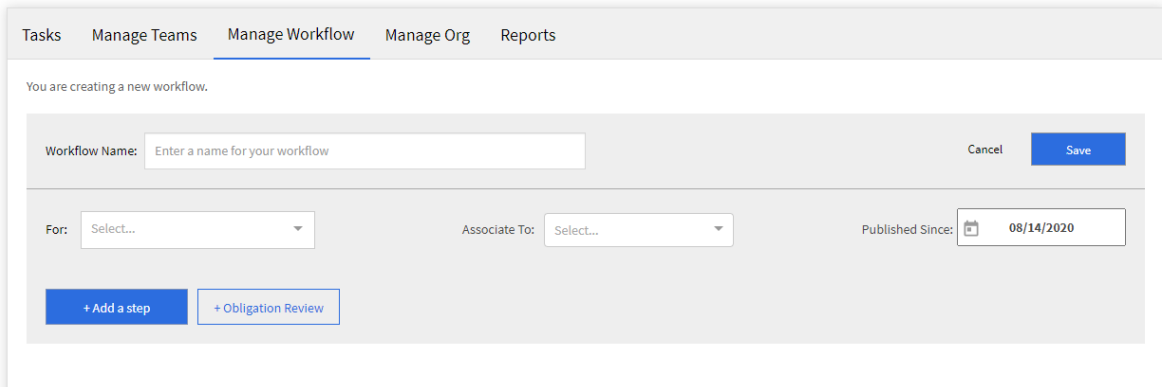
4. Import the provided DFX5 file as a new Archer Data Feed item. They use your preferred alert RSS link plus your BASE URL in the **Archer configuration steps**. You can find more information on troubleshooting and configuring your RSS feed [here](#).
  - a. Please make sure that the data mapping has 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)



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”

The screenshot displays the configuration interface for a task titled "Assess Document Applicability". At the top, there are fields for "Title" (Assess Document Applicability), "Due by" (0 days after), and "Publication Date". Below this, there are sections for "Teams" (Select...), "Assign to" (Kayvan A.), and "Notify" (Kayvan A.). A "Description" field is present with the placeholder "Enter description". The "Annotations" section is active, showing options for "Dropdown field", "Date field", "Text field", and "Attachments". The "Required?" checkbox is checked. The dropdown label is "Doc Applicable?". The dropdown options are "No" and "Yes". The "Task dependencies" toggle is off.

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

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 must 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”

- b. Publish Obligations after they are assessed as Relevant
  - i. Title - i.e. Publish Obligations to RSA \_\_SFTP\_CSV\_OBLR\_\_
    - 1. You must 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

The screenshot shows a task configuration form with the following details:

- Title:** Publish Obligations to RSA \_\_SFTP\_CSV\_OBLR\_\_
- Due by:** 0 days after
- Task Completion:** Assess Obligations/Annotations
- Teams:** Select...
- Assign to:** service.connector-1m1@compliance.ai
- Notify:** Kayvan A.
- Description:** Enter description
- Annotations:** Off
- Task dependencies:** On
- Make this task:** relevant
- if:** all
- of the following 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 must 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



The screenshot shows a task configuration interface. At the top, the title is 'Publish Obligations to RSA \_\_SFTP\_CSV\_OBL\_\_', the due date is '0 days after', and the task completion is 'Assess obligations/annotations'. Below this, there are three fields: 'Teams' with a dropdown menu showing 'Mortgage', 'Assign to:' with a dropdown menu showing 'service.connector-lm1@compliance.ai', and 'Notify:' with a dropdown menu showing 'Kayvan A.'. The 'Description:' field contains the text 'Enter description'. Below the description field, there are three toggle switches: 'Annotations' (off), 'Task dependencies' (on), and 'Task dependencies' (on). Below the 'Task dependencies' toggle, there are two dropdown menus: 'Make this task' (relevant) and 'if' (all). Below these, there are two rows of conditions: 'Assess doc applicability' is marked as 'Yes' and 'Assess obligations/annotations' 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 must 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

The screenshot shows a task configuration interface. At the top, the title is 'Publish Annotations to RSA \_\_SFTP\_CSV\_ANN\_\_', the due date is '0 days after', and the task completion is 'Assess Obligations/Annotations'. Below this, there are three fields: 'Teams' with a dropdown menu showing 'Select...', 'Assign to:' with a dropdown menu showing 'service.connector-lm1@compliance.ai', and 'Notify:' with a dropdown menu showing 'Select...'. The 'Description:' field contains the text 'Enter description'. Below the description field, there are three toggle switches: 'Annotations' (off), 'Task dependencies' (on), and 'Task dependencies' (on). Below the 'Task dependencies' toggle, there are two dropdown menus: 'Make this task' (relevant) and 'if' (all). Below these, there are two rows of conditions: 'Assess Document Applicability' is marked as 'Yes' and 'Assess Obligations/Annotations' is marked as 'Yes'.

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](mailto: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: <a href="https://www.compliance.ai/api/docs/document_type/">https://www.compliance.ai/api/docs/document_type/</a>
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: <a href="https://www.compliance.ai/api/docs/jurisdictions/">https://www.compliance.ai/api/docs/jurisdictions/</a>
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:

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### Manage Field: CAI Regulatory Intelligence Review

Save Apply Delete

General **Options** Help Text Access

**▼ Display Control**

Control:

- Grid** This option displays a grid containing multiple fields of data from the referenced record.
- Single Column** This option displays the key of the referenced record in a single column format. Use configuration.

**▼ 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. 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 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.

Lookup:  Allow users to select existing records from the related application through a Lookup control.

Add New:  Allow users to add records in the referenced application from view mode.

Calculated Field:  Set the value of this field using a value calculated from a formula.

Validate Always:  The field will be validated if at least one field changes, otherwise the field will only be validated if its value changes.

Disable Remove:  The remove button will be disabled for records displayed in this field.

**Filters:**

Field To Evaluate	Operator
1. <input type="text"/>	<input type="text"/>
2. <input type="text"/>	<input type="text"/>

Advanced Operator Logic:  Example (1 AND 2) OR 3

**Sorting:**

Field	Order
1. <input type="text"/>	Ascending
2. <input type="text"/>	Ascending

Display Format:

- Column - Hierarchical** Column Hierarchical displays the search results in a columnar layout where showing relationships.
- Column - Flat** Column Flat displays the search results in a simple columnar layout without

**▼ 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 w

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:

The screenshot shows the 'Manage Field: GUID' configuration window. The 'Options' tab is active, displaying the following settings:

- Display Control:** Control:  Text Field (Display single line text field.) and  Text Area (Display multi-line text box capable of displaying rich text.). A preview box shows '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. 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 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.
- Configuration:**  Calculated Field: Set the value of this field using a value calculated from a formula.  Advanced Field Display: Display advanced formatting options, including descriptive text and display control formatting.  Validate Always: The field will be validated if at least one field changes, otherwise the field will only be validated if its value changes.  Encrypt Field Data: Encrypt data at rest in this field. Encryption Status: Stationary. Maximum Characters: [Empty text box]. Input Mask: None. Default Value: [Empty text box]. 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:

`"<a href='https://pro.compliance.ai/content?overlay=pdf-overlay&summary_page=summary&summary_id=' & [GUID] & '' & "target='_blank' rel='noopener'" & ">" & [GUID] & "</a>"`

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**Manage Field: CAI URL**

Save Apply Delete Email

General **Options** Help Text Access

**▼ Options**

Required Field:	<input type="checkbox"/>	Require users to supply a value for this field before saving the record.
Auditing Information:	<input type="checkbox"/>	Display auditing (last modification) data next to this field. Include user name, date and time of last edit.
Search Results:	<input checked="" type="checkbox"/>	Display this field in advanced search and search results.
Search Default Field:	<input type="checkbox"/>	Include this field by default in search results displayed to users.
Enable Bulk Update:	<input type="checkbox"/>	Allow users to initiate bulk update from search results.
Enable Inline Edit:	<input type="checkbox"/>	Allow this field to be editable in search results.
Unique Field:	<input type="checkbox"/>	Do not allow duplicate values to be submitted for this field.
Key Field:	<input type="checkbox"/>	This is the "key" field for records in this application. Hyperlink 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 at least one field changes, otherwise the field will only be validated if its value changes.

**Encrypt Field Data:**  Encrypt data at rest in this field.

**Encryption Status:** Stationary

**▼ Calculation Properties**

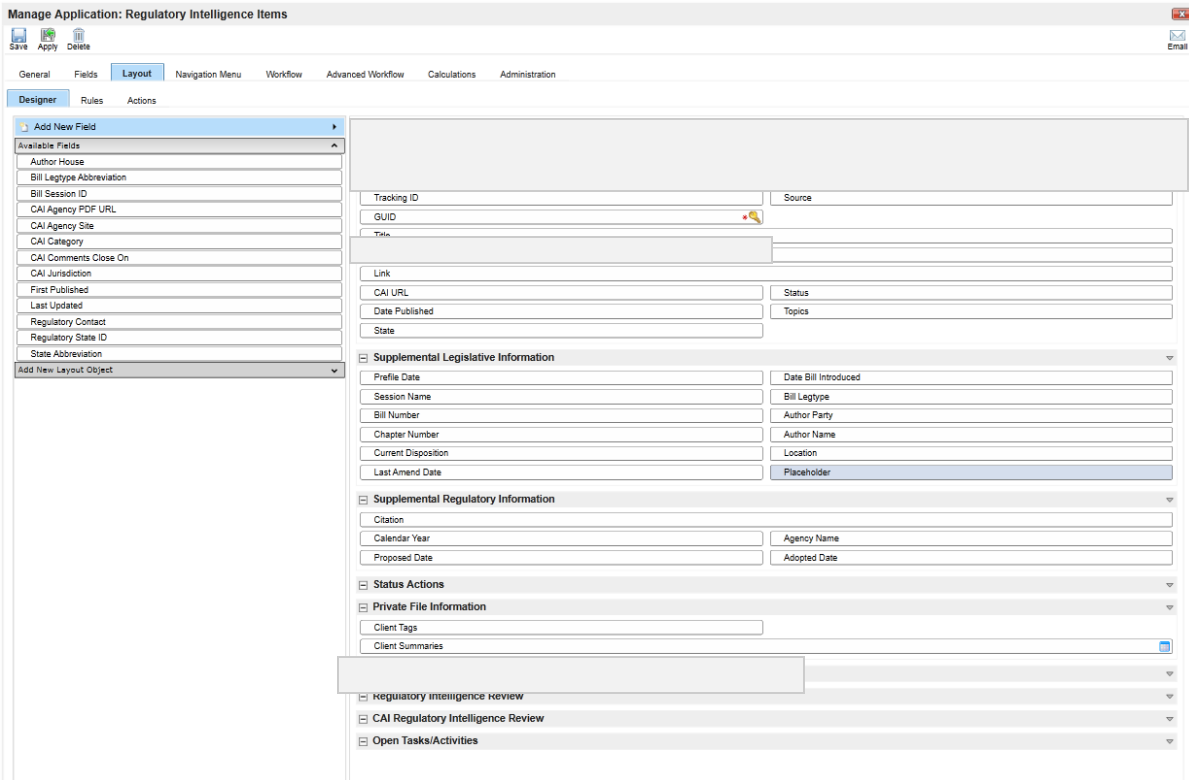
The Calculated Field option allows you to define a calculated formula that will dynamically compute a value for the field. When defining the calculation properties, you can choose to recalculate the field only when the system determines that a recalculation is necessary or to recalculate the field every time a record is updated. You can also select how the system should handle errors and what information should be

Recalculation:	<input checked="" type="radio"/> <b>As Needed</b>	Allow the system to determine when this field needs to be recalculated. (Recommended)
	<input type="radio"/> <b>Always</b>	Formulas are recalculated every time content is saved even though a field is not referenced in the formula. Formulas that contain NOW() and TODAY() functions, or user first name, last name, and middle name (Editor) parameters are recalculated regardless of content change.
Error Handling:	<input checked="" type="radio"/> <b>Display Error</b>	Display the term "Error" when an error occurs. Users with the appropriate access can click this term and be directed to the Calculation Error page.
	<input type="radio"/> <b>Use No Value</b>	Display no value when an error occurs.
	<input type="radio"/> <b>Use Specific Value</b>	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.

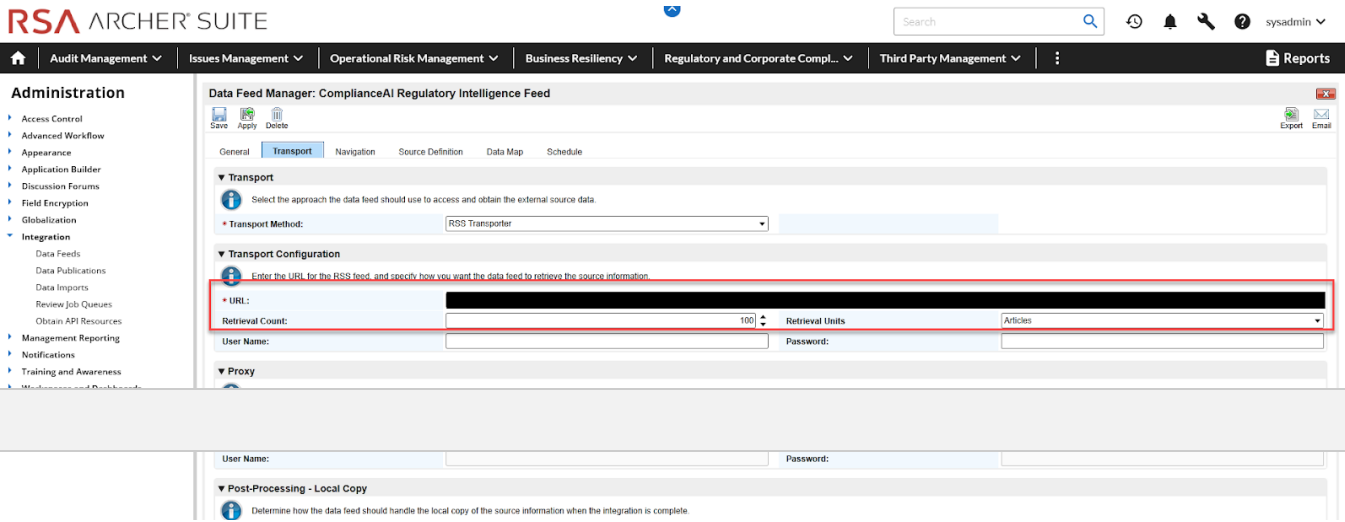
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## Task 4: Configure Data feed for Archer RII Application

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**



to the end of the URL.

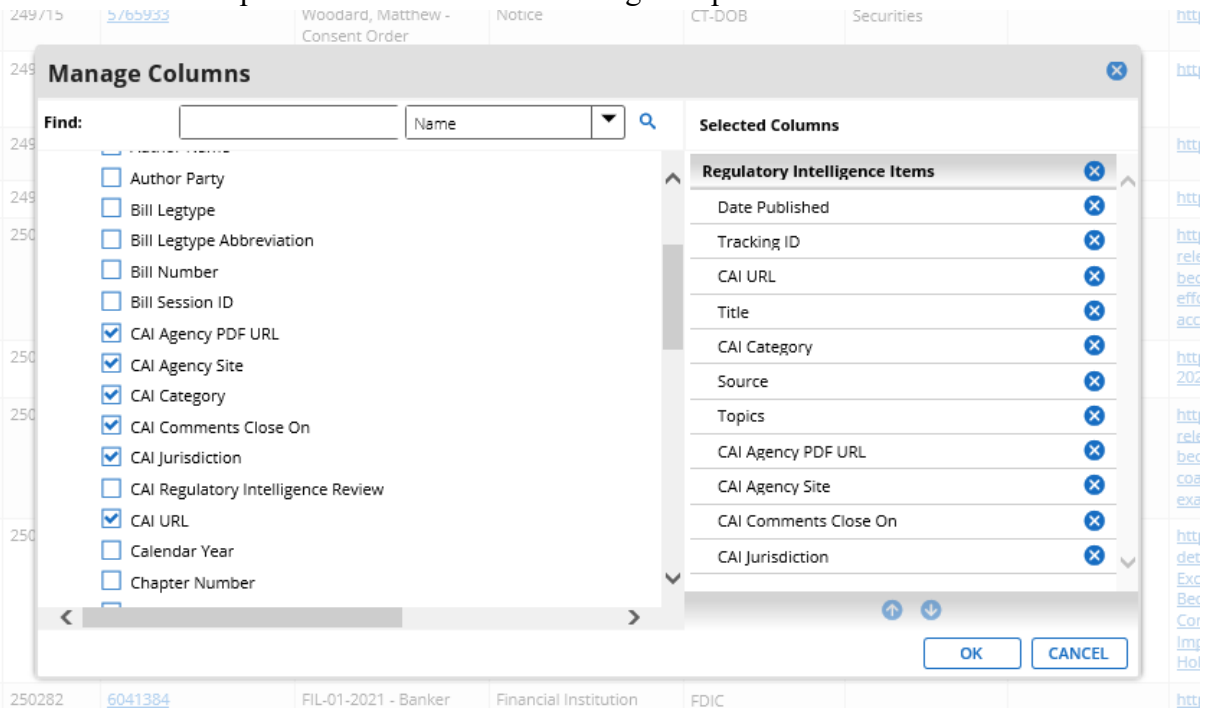
The combined URL would look like this:

***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 [Appendix B](#) 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

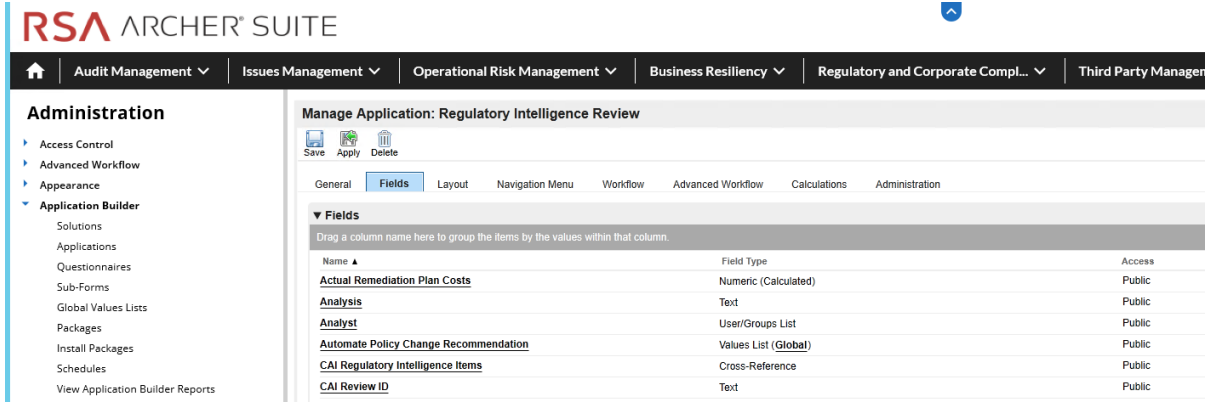


### Task 6: Update Archer RIR Fields

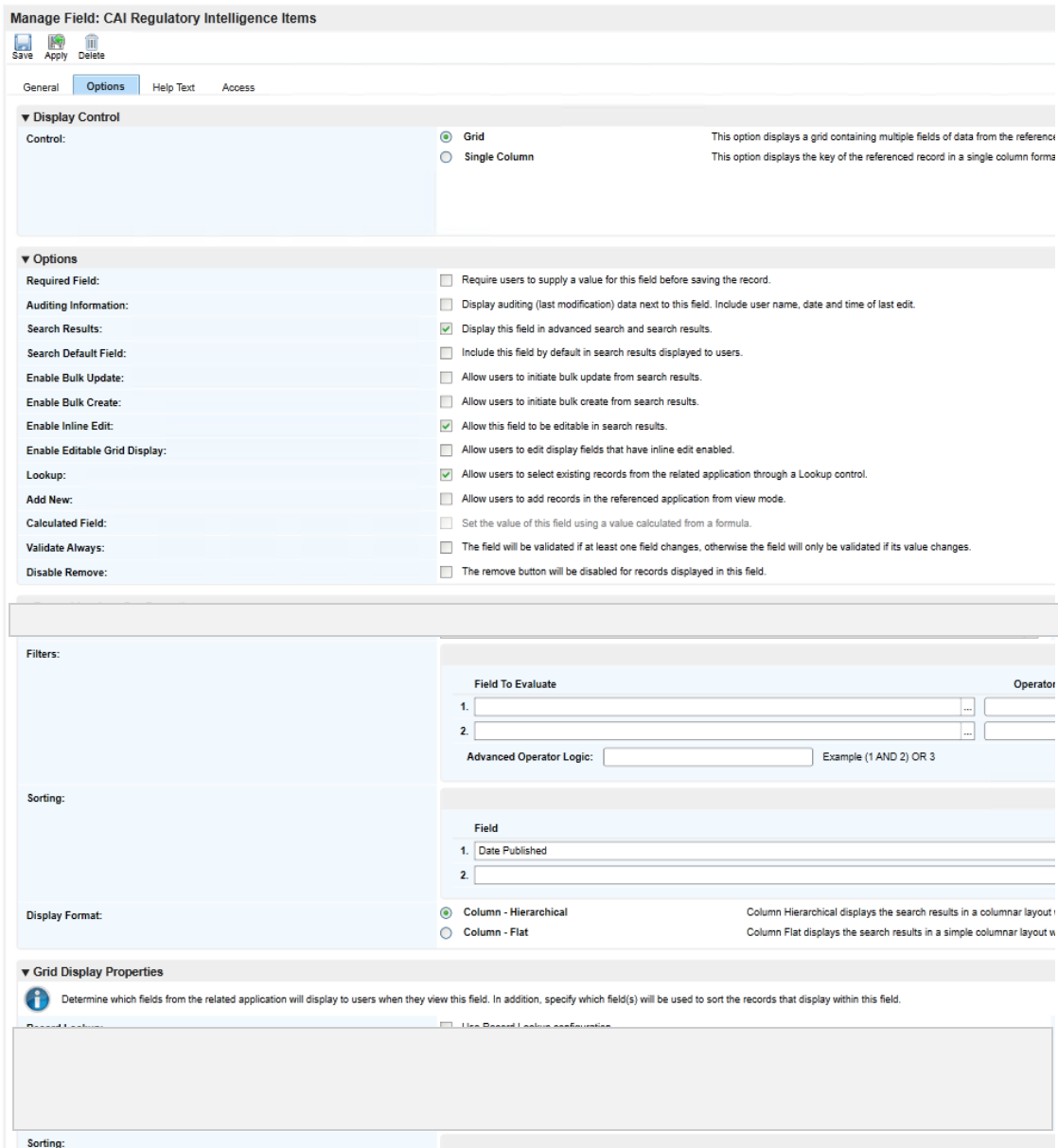
1. Update the Regulatory Intelligence Review fields include the following Compliance.ai attributes:

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



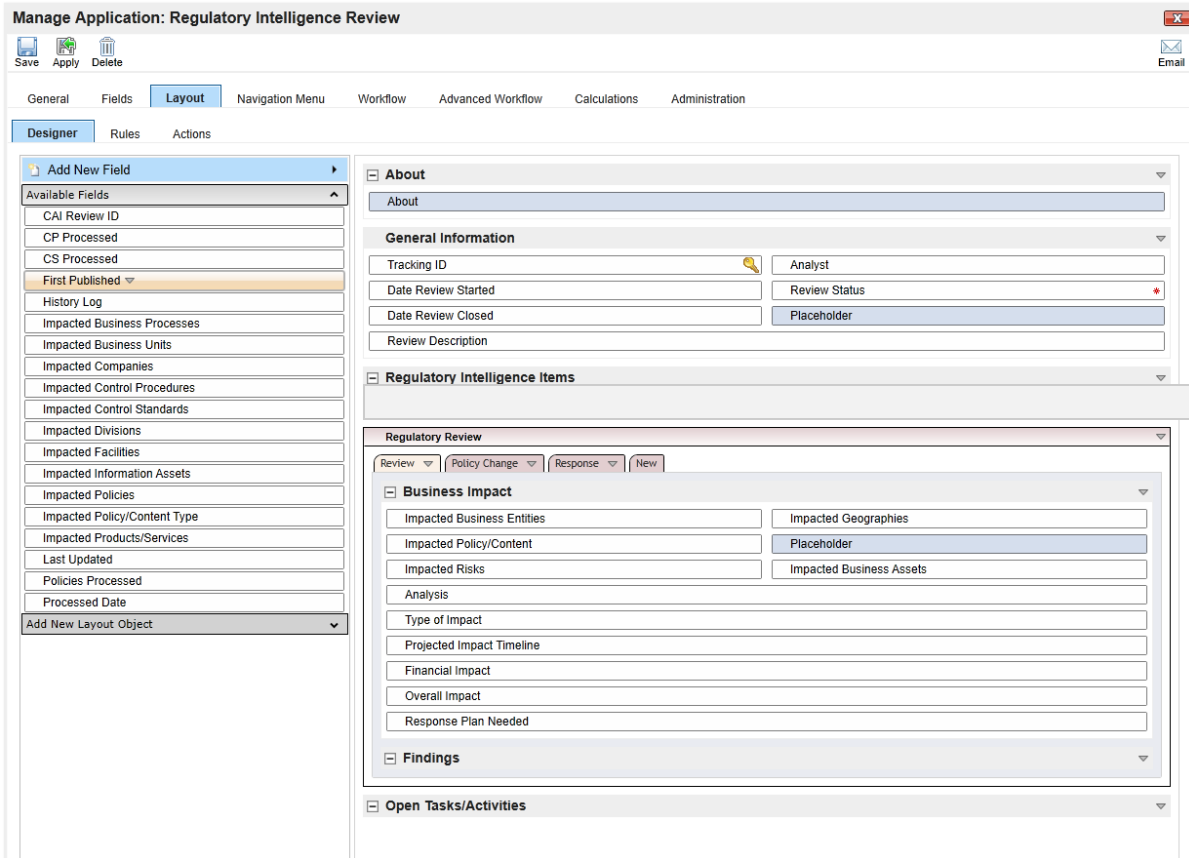


2. Configure the field “CAI Regulatory Intelligence Items” as follows:



### Task 7: Update Archer RIR Layout

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



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Data Feed Manager: 2: Compliance.ai Relevant Obligation review

General **Transport** Navigation Source Definition Data Map Schedule

**Transport**

Select the approach the data feed should use to access and obtain the external source data.

Transport Method: HTTP Transporter

**Transport Configuration**

Enter the required credentials to allow the data feed to locate and access the HTTP site and retrieve the specified source information. If necessary, specify header parameters that will accompany your HTTP request.

File Type: Single Data File File Filter:

Action Type: Get

**Login Properties**

Use Credentials:  Anonymous  Specific Select this option if the HTTP site allows public access to the information. Select this option if the HTTP site restricts access to the information. Specify which authorized account will make the HTTP request.

Specify Credentials:  Data Feed Service  Other Select this option if the Data Feed Service account will be the account that makes the request to the HTTP site. Select this option to use a separate account to make the request to the HTTP site. Enter the credentials for this account in the following fields.

User Name: complianceai\_archer Password: \*\*\*\*\*

**Data Request Properties**

Configure the HTTP site to connect to retrieve the data source. Include any header parameters that are required.

Data Request URI: https://complianceai.com/... Key Value: Basic

**Proxy**

Select whether the data feed must pass through a proxy to access the source information. If a proxy will be utilized, enter the credentials for accessing the proxy.

Proxy Options: No Proxy Name: Port: 8080 Domain: User Name: Password:

**Post-Processing - Local Copy**

Determine how the data feed should handle the local copy of the source information when the integration is complete.

On Success:  Nothing  Rename  Delete Remove the temporary source file when the data feed completes successfully. Save the source file under a new name when the data feed completes successfully. Enter the location where the file should be saved and the new name for the file in the following field.

Data Feed Manager: Compliance.ai Obligation review

General **Transport** Navigation Source Definition Data Map Schedule

**Transport**

Select the approach the data feed should use to access and obtain the external source data.

Transport Method: FTP Transporter

**Transport Configuration**

Define the structure of the file(s) retrieved by this data feed and provide the URL, detailing where the file(s) can be located. Provide the credentials necessary to access the FTP site.

SSL Connection:  Use SSL

File Type: Single Data File File Filter:

Fully-qualified URL: ftp://complianceai.files.com

User Name: complianceai\_archer Password: \*\*\*\*\*

**Proxy**

Select whether the data feed must pass through a proxy to access the source information. If a proxy will be utilized, enter the credentials for accessing the proxy.

Proxy Options: No Proxy Name: Port: 8080 Domain: User Name: Password:

**Post-Processing**

Determine how the data feed should handle the source information when the integration is complete.

On Success:  Nothing  Rename  Delete Do not alter the source file when the data feed completes successfully. Save the source file under a new name when the data feed completes successfully. Enter the location where the file should be saved and the new name for the file in the following field. Delete the source file when the data feed completes successfully.

**Post-Processing - Local Copy**

Determine how the data feed should handle the local copy of the source information when the integration is complete.

On Success:  Nothing  Rename Remove the temporary source file when the data feed completes successfully. Save the source file under a new name when the data feed completes successfully. Enter the location where the file should be saved and the new name for the file in the following field.

1. Load the source fields from the URL in the Source Definition Tab.
2. See [Appendix B](#) 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	Topic
CAI Name	Section
CAI Name	Sub Section
CAI Source Links	Source
CAI Source Links	Topic
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 be added for the Regulatory Intelligence Review using HTTPS/FTPS by importing the associated file provided in the package from the Compliance.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

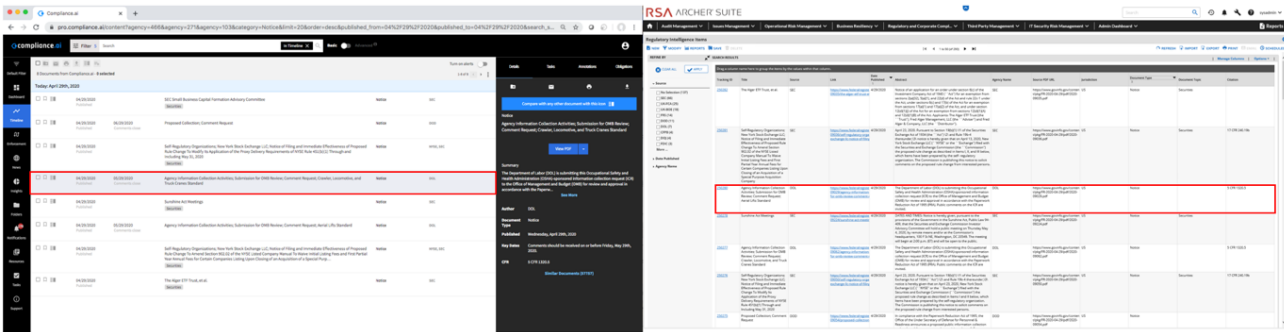
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- ii. Import four **Compliance.ai\_Authoritative\_Sources\_\*** **DFX5 (uncompress files)** in sequential order to create 4 new data feeds for Archer Authoritative Sources levels: Source > Topic > Section > Sub Section.
  - iii. If you've changed your 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

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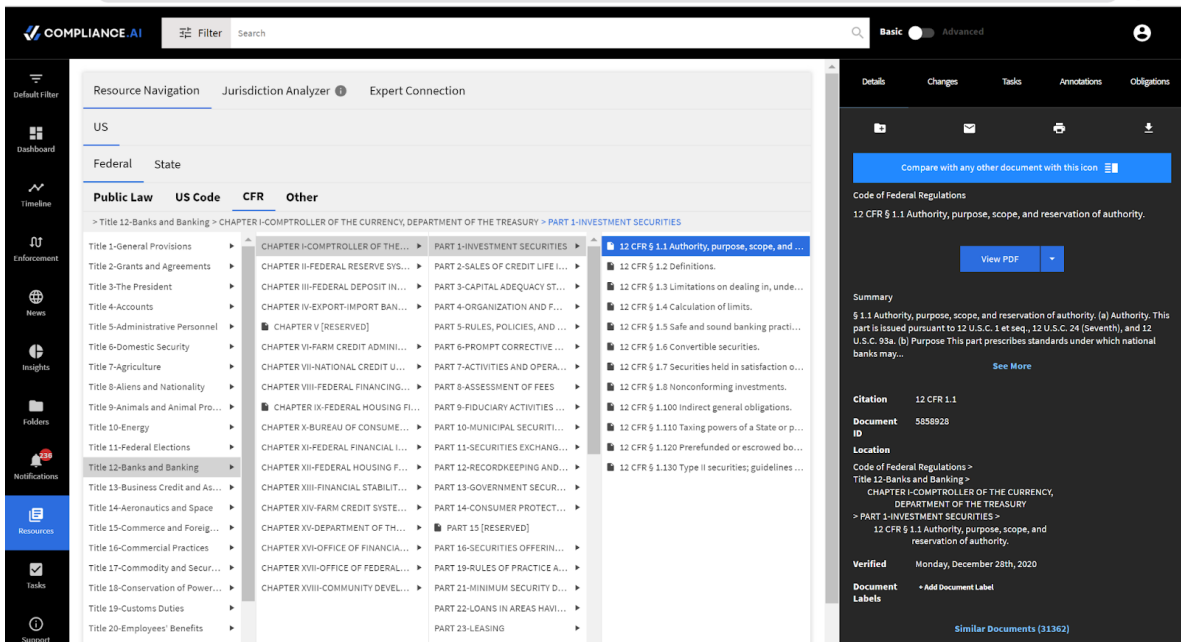
Once configured, regulatory changes that meet the criteria you've specified in Compliance.ai will be published either as Archer RII or Archer AS items. From here, you can process the incoming content in Archer as you see fit.

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



The screenshots below shows a sample set of Regulatory sources published into Archer AS.

pro.compliance.ai/resources?citation\_selected\_id=5858385&summary\_id=5858921&summary\_page=summary



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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:

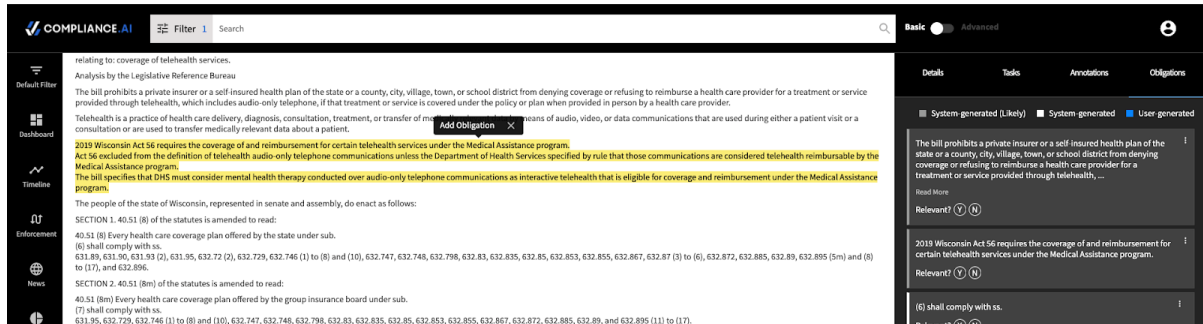
- **Content Alert 1:**
  - Daily feed of Enforcement actions that led to actions above \$100 in penalty --> Archer Feed #1
- **Content Alert 2:**
  - Weekly feed of Proposed rules published by the CFPB that reference a specific citation --> Archer Feed #2
- **Content Alert 3:**
  - Weekly feed of Regulatory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

Additionally, regulatory changes that have been reviewed and assessed as relevant through the Compliance.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

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- 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 [Product Guide](#)
  - 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.
  6. 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 Archer AS modules using the following mapping:

Source Field (Compliance.ai)	Archer AS module
Top Level Navigation	Source
Sub Navigation Level 1	Topic
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.

The screenshot shows the Compliance.ai interface with a navigation tree on the left and a document preview on the right. Red boxes highlight the navigation levels, and labels below them indicate their mapping to Archer AS modules:

- Level 1 -> Archer Source:** Points to the top-level document '12 CFR 271.5'.
- Level 2 -> Archer Topic:** Points to the sub-section '12 CFR 271.5 Records available to the public on request'.
- Level 3 -> Archer Section:** Points to the sub-section '12 CFR 271.5 Authority and purpose'.
- Level 4 -> Archer Sub Section:** Points to the sub-section '12 CFR 271.5 Definitions'.
- Level 5 -> Not Mapped:** Points to the sub-section '12 CFR 271.5 Published information'.

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 Edition	Server: SaaS, 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)

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

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

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 AS:

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