# Compliance.ai & AuditBoard Setup

AuditBoard Setup - By Client

Create a new CrossComply framework

1. Create a new framework that you will be using to capture the Compliance.ai regulatory intelligence (such as 'Compliance.ai Regulatory Change') in AuditBoard

   a. It is recommended to create a Test environment (sandbox) and go through each of these steps through AuditBoard and Compliance.ai

   b. Once the Test environment (sandbox) works as expected, repeat the steps for the Live production environment.
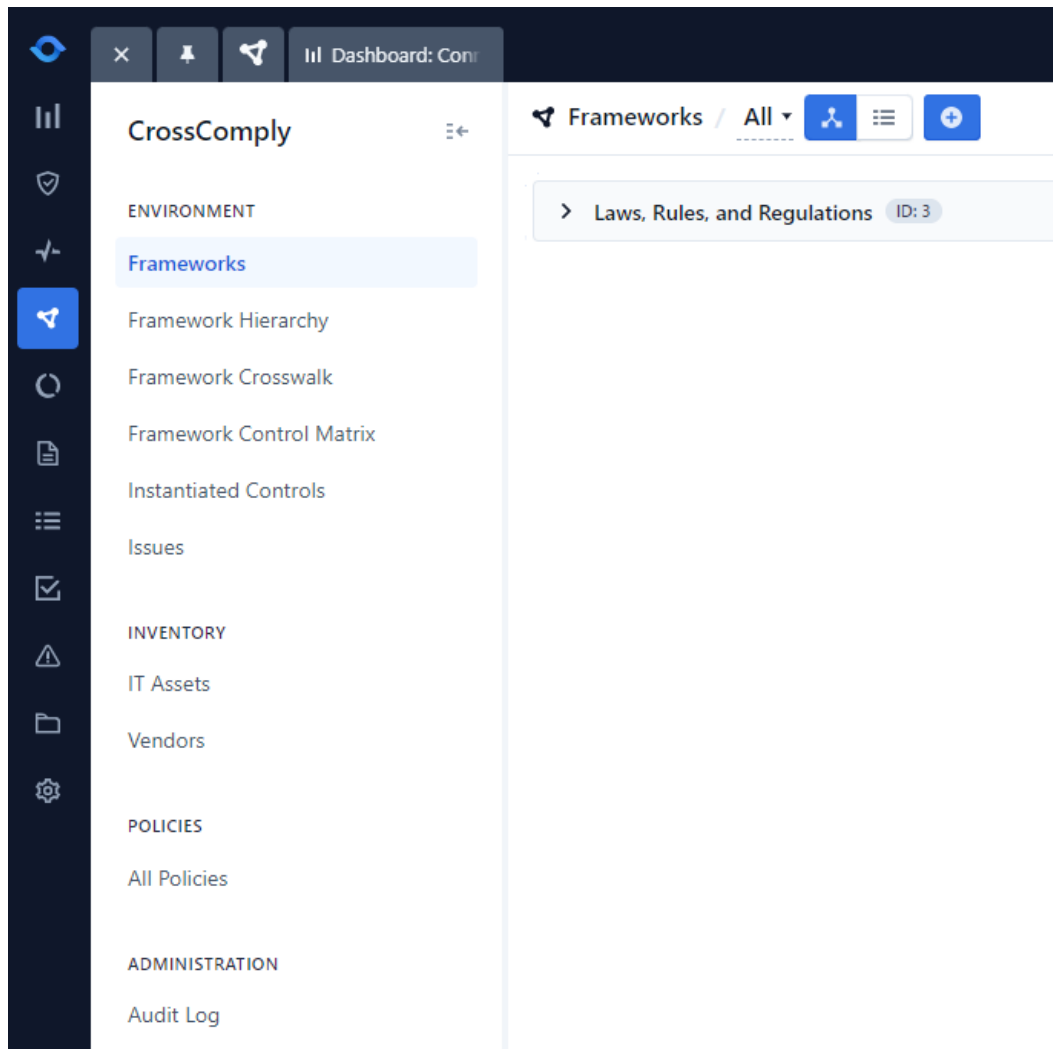
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Configure Service Account

2. Create a new API Access Tokens for the Compliance.ai Service Connector
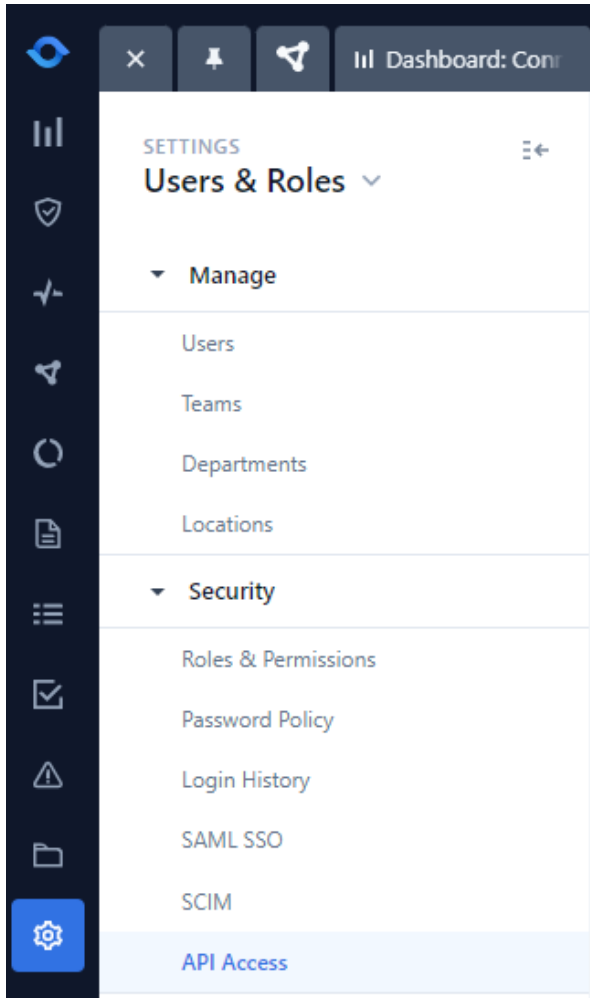
Create Developer Access Token

NAME

CAI-Serviceconnector1

ROLE

Platform Administrator

TOKEN

Token

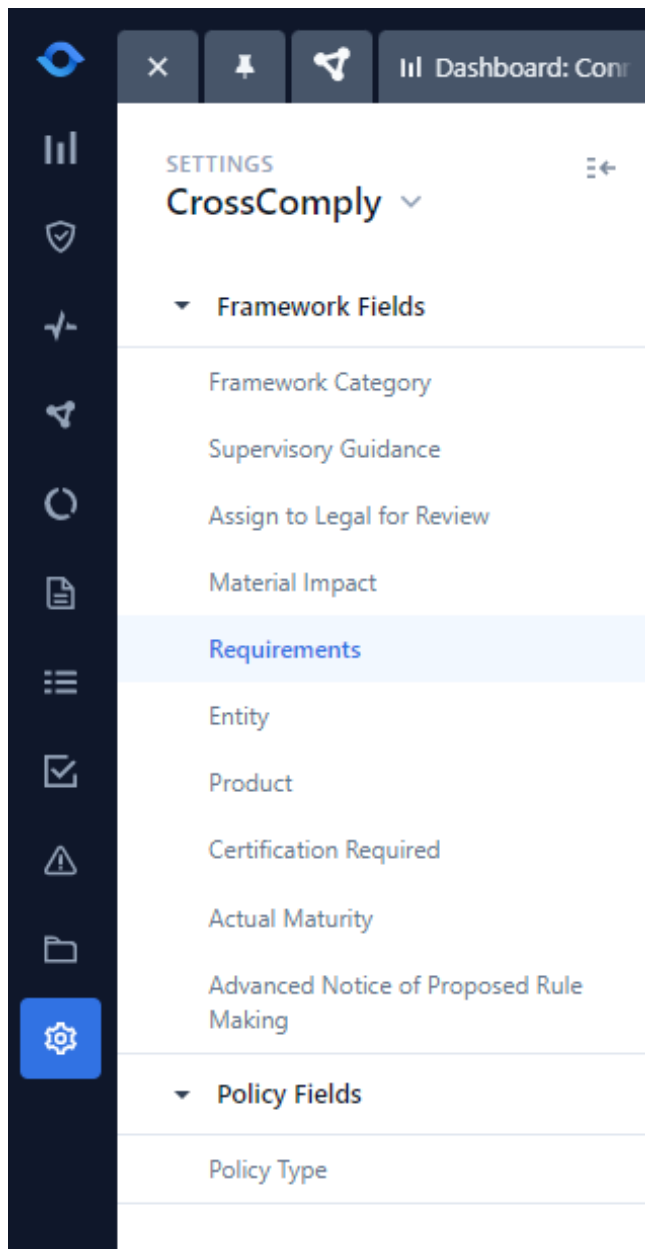Close   Create

Once this account is create, securely share the **generated Token** with Compliance.ai support team at support@complaiance.ai ("bearer: ….")

Create any additional attributes needed in AuditBoard. For example create a field for capturing requirements in AuditBoard:

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Keep track of the newly created fields using a list and share their names / expected mapped attributes with the Compliance.ai support team (support@compliance.ai).

Format the list formatted accordingly:

AuditBoard.Field -> ComplianceAI.Attribute

Compliance.ai Setup

See steps below to setup a workflow that publishes documents through Service Connector

Set up a Compliance.ai Alert:
1. Using Compliance.ai's Basic and Advanced Searches capabilities to surface relevant content. The user can then set up Alerts for this curated view to notify them of any future documents that are published.

Set up Compliance.ai Service Connector Workflow:
2. Go to Compliance.ai's Manage Workflow section
   - Select "Add a New Flow" and select the "start from scratch" option.
   - Name the Service Connector Workflow
   - Select the Alert you want to push future content in the "For" section.
   - Next, Select a past date you would like the Service Connector to start from. (Note: You can only go far as 1 month back)
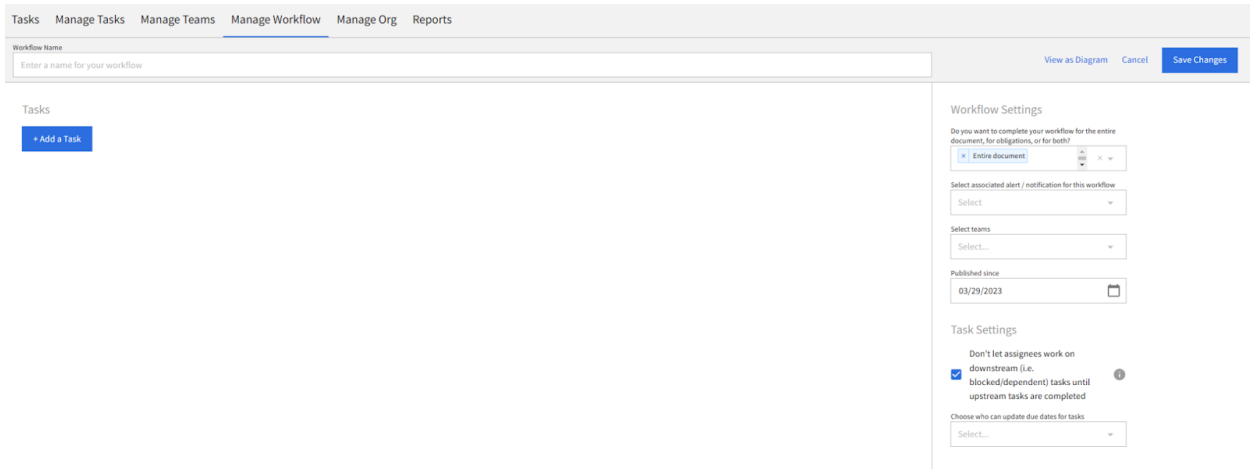
3. **Create The Service Connector Workflow Step:** Select the "+Add a step" button and Fill out for the Following Fields:
   - Title: Push to AuditBoard
   - Auto assigned to: Select the Service Connector User Account, for example support+abc-sc@compliance.ai.
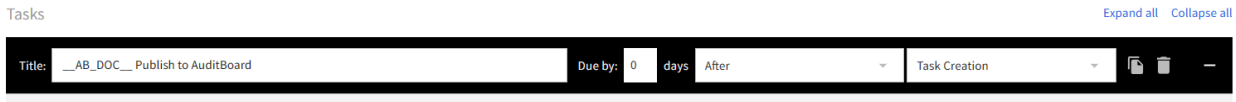
Save the Workflow:

4. Once done, any documents that are given tasks by this workflow will be published to AuditBoard. **Note:** The cadence of the push is customizable and its default is once every 24 hours.

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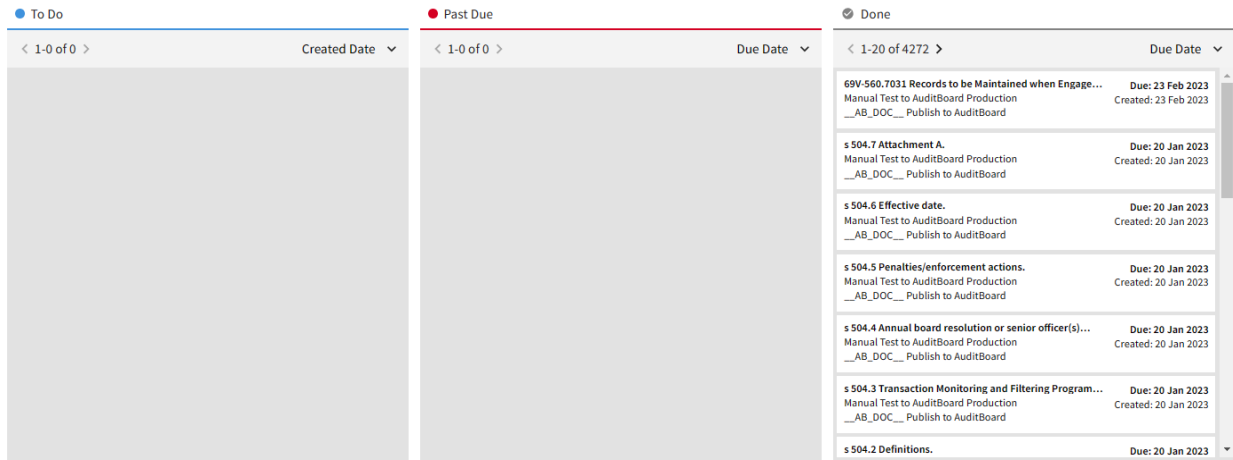
Review

Confirm the document's attributes are populated correctly into AuditBoard.

On a recurring basis (by default once a day), Compliance.ai Service Connector will publish any new changes to the AuditBoard system.
You can always track the Service Connector activity using the Compliance.ai task management section. Here's an example of a Service Connector activity report screen:

Note - changes made to the content on AuditBoard after the initial implementation may cause syncing issues with the integration
- If there are any changes that need to be made, please email both Compliance.ai and AuditBoard support teams.

Configuring your Service Connector activities

Using Compliance.ai Service Connector for AuditoBoard with external attributes

Compliance.ai document attributes can be directly mapped to AuditBoard CrossComply Framework item attributes.

For example, the Compliance.ai (CAI) Document 'title' attribute can be mapped to the AuditBoard CrossComply 'name' attribute.

CAI.document.**title** ⇒ AB.CrossComply.FrameworkItem.**name**

By default, CAI Service Connector provides the following mapped attributes to AuditBoard CrossComply:

AB	Default CAI Document attribute	Default CAI Annotation or Obligation	Restriction	Configuration override: Labels	Configuration override: External Files	Combining with other attributes
name	title	first line of obligation	Required	X	X	X
subsection	citation	citation of most recent header section (sub-section) association with annotation/obligation	Required	X	X	X
uid	id	annotation group associated with the obligation or annotation (exportable from the application)	Required, Unique	X	X	X
section	title	first line of obligation/annotation	Required	x	x	x
description	full text	sentence/annotation text	Optional	x	x	x
custom_field_pdf_link	Pdf URL	PDF URL	Optional			
custom_text5	jurisdiction	jurisdiction	Optional			
custom_text6	agency	agency	Optional			
custom_text3	web url	web url	Optional			
custom_text4	DocTypes	DocTypes	Optional			
custom_field_publication_date	publication date	NA	Optional			

Additionally, any other Compliance.ai Document, Annotation or Obligation attribute can be mapped to current or custom attributes added in AuditBoard. Once an attribute is added in your AuditBoard CrossComply instance, inform the Compliance.ai support team to re-configure your Service Connector to extend mapping to the newly added attribute.

Configuration override: Labels

You can define extended attributes using the Compliance.ai labels.
Labels can be added directly, manually, one-by-one, in bulk or on a scheduled basis.
Additionally, you can associate Compliance.ai labels to AuditBoard attributes.

CAI.Document.**Label** ⇒ AB.CrossComply.FrameworkItem.**Attribute**
and similarly
CAI.Document.**Label** ⇒ AB.CrossComply.FrameworkItem.**Attribute**

In order to map CAI labels to AuditBoard CrossComply, inform the Compliance.ai support team (support@compliance.ai) to configure your Service Connector to extend mapping to labels.

You can map Compliance.ai Document Labels to an AuditBoard custom attribute using the following methods:

- **1 to 1 label mapping**
  Map CAI Document/Annotation/Obligation label value(s) directly to a **specific** AuditBoard CrossComply attributes
  CAI.Annotation.**LabelValue** ⇒ AB.CrossComply.FrameworkItem.**Attribute**

- **1 to many label mapping**
  Map CAI Document/Annotation/Obligation labels value(s) based on "Prefix"to **multiple** AuditBoard CrossComply attributes
  CAI.Annotation.Prefix_**1**:LabelValue ⇒ AB.CrossComply.FrameworkItem.Attribute_**1**
  CAI.Annotation.Prefix_**2**:LabelValue ⇒ AB.CrossComply.FrameworkItem.Attribute_**2**
  …
  CAI.Annotation.Prefix_**n**:LabelValue ⇒ AB.CrossComply.FrameworkItem.Attribute_**n**

  Once you've decided on the type of labeling you'd like to use and the mapping you'd like to apply, inform the Compliance.ai support team to configure your Service Connector to extend mapping to your labeling process.

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Configuration override: External Files

You can define extended attributes using an external Comma Separated value file (CSV).
Mapped values can be added in bulk and processed using Compliance.ai workflow.
This feature enables you to augment Compliancel.ai to AuditBoard mapping without entering the extended attribute information in Compliance.ai.

CSV File format
The format of the CSV files are outlined **here**.
Aside from the header (column names), each row in the CSV file represents additional AuditBoard attributes to be used for add/update requests.
CAI.Document.**id** ⇒ External_File.id => AB.uid => AB.CrossComply.FrameworkItem.**Attribute**
and similarly
CAI.Document.**Label** ⇒ AB.CrossComply.FrameworkItem.**Attribute**

In order to map CAI labels to AuditBoard CrossComply, inform the Compliance.ai support team to configure your Service Connector to extend mapping to labels (support@compliance.ai).

Follow the steps below to configure an external file for additional attributes or to override the ones being used by Compliance.ai

Process for using External Attribute files
Step 1: Copy the "Sample_Attachment_File" tab from this template to a new spreadsheet
Step 2: Open the new spreadsheet & populate rows 2 onwards with actual data, following the schema outlined in "Attached_File_Structure"
Step 3: Save/download the new spreadsheet as a Comma Separated Value file, for example: "abc.csv"
Step 4: Attached "abc.csv' to a Compliance.ai task that is associated with the document & annotations referenced in "abc.csv", using "**Provide External Assessments for Annotations**" workflow as your template
Step 5: Mark your task as Complete
Step 6: Wait for the next Service Connector run (1-12 hours)
Step 7: Once complete, review the report attached to the Service Connector task, which provides the results of the processing on a per-row basis (date/time, success, failure, and error code)

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Bulk loading labels: External Files

You can import an extended group of labels and associate them with Compliance.ai Documents, Annotations and Obligations using an external Comma Separated value formatted file (CSV). To get started with using labels, review our label management training course.

Mapped labels can be added in bulk and processed using Compliance.ai workflow.
This feature enables you to rapidly add labels to your annotations and then use them for mapping to AuditBoard.

CSV File format for bulk loading Labels -> Annotations
The format of the CSV files are outlined here.

Aside from the header (column names), each row in the CSV file represents additional Label information to be used for add/update requests.
CAI.Document.**id** ⇒ CAI.Annotation.Annotation_Group.Label => ExternalFile.Label.**Name**
and similarly
CAI.Document.**Label** ⇒ ExternalFile.Label.**Name**

Follow the steps below to configure an external file for additional attributes or to override the ones being used by Compliance.ai

Process for using External Label files
Step 1:   Copy the "Sample_Attachment_File" tab from this template to a new spreadsheet
Step 2:   Open the new spreadsheet & populate rows 2 onwards with actual data, following the schema outlined in "Attached_File_Structure" section here
Step 3:   Save/download the new spreadsheet as a Comma Separated Value file, for example: "abc.csv"
Step 4:   Attached "abc.csv' to a Compliance.ai task that is associated with the document & annotations referenced in "abc.csv", using the Compliance.ai "**Associate User provided Labels to Annotation Groups**" workflow as your template
Step 5:   Mark your task as Complete
Step 6:   Wait for the next Service Connector run (1-12 hours)
Step 7:   Once complete, review the report attached to the Service Connector task, which provides the results of the processing on a per-row basis (date/time, success, failure, and error code)

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Processing Rules: Order of execution

Compliance.ai Service Connector applies an ordered sequence when mapping CAI attributes to AB attributes.

1) **External file content**: The Service Connector first finds any linked external file that is attached to its mapping and publication task. If such a file is present -> the Service Connector will use the attribute values present in the file to override/use those values. If the attributes are missing or empty in the external file -> Service Connector will look for rules to map the attribute using a Label prefix (optional).

2) **Labels**: The Service Connector will find any mapped labels (can be configured with or without prefixes). If not found, the Service Connector will look for mapped attributes (optional)

3) **Internal attributes**: Using any combination of Compliance.ai document or annotation attributes. Attributes can be concatenated and truncated prior to being published into AuditBoard (optional).

4) Default values

External Attribute File Mapping → Label Mapping (Prefixed and not-prefixed) → Internal Attributes Mapping