



Insightful. Transparent. Trusted.

Navex and Compliance.ai Integration Options

Fast Time to Value, Minimal IT Demand

Phase 1: Implement RCM

End to End: ~2 days, No IT Support Required

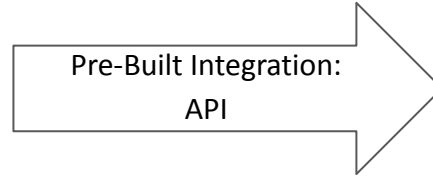


All Software-as-a-Service

- Business Profiling
- Regulatory Intelligence
- Insights & Trend Analysis
- Regulatory Notifications & Tracking
- Enforcement Action Monitoring
- Obligation Assessment
- Change Management
- Processing & Collaboration
- Reporting

Phase 2: Enterprise Team Edition: Integrate with GRC

Continuous Sync: ~2 weeks, Minimal IT Support

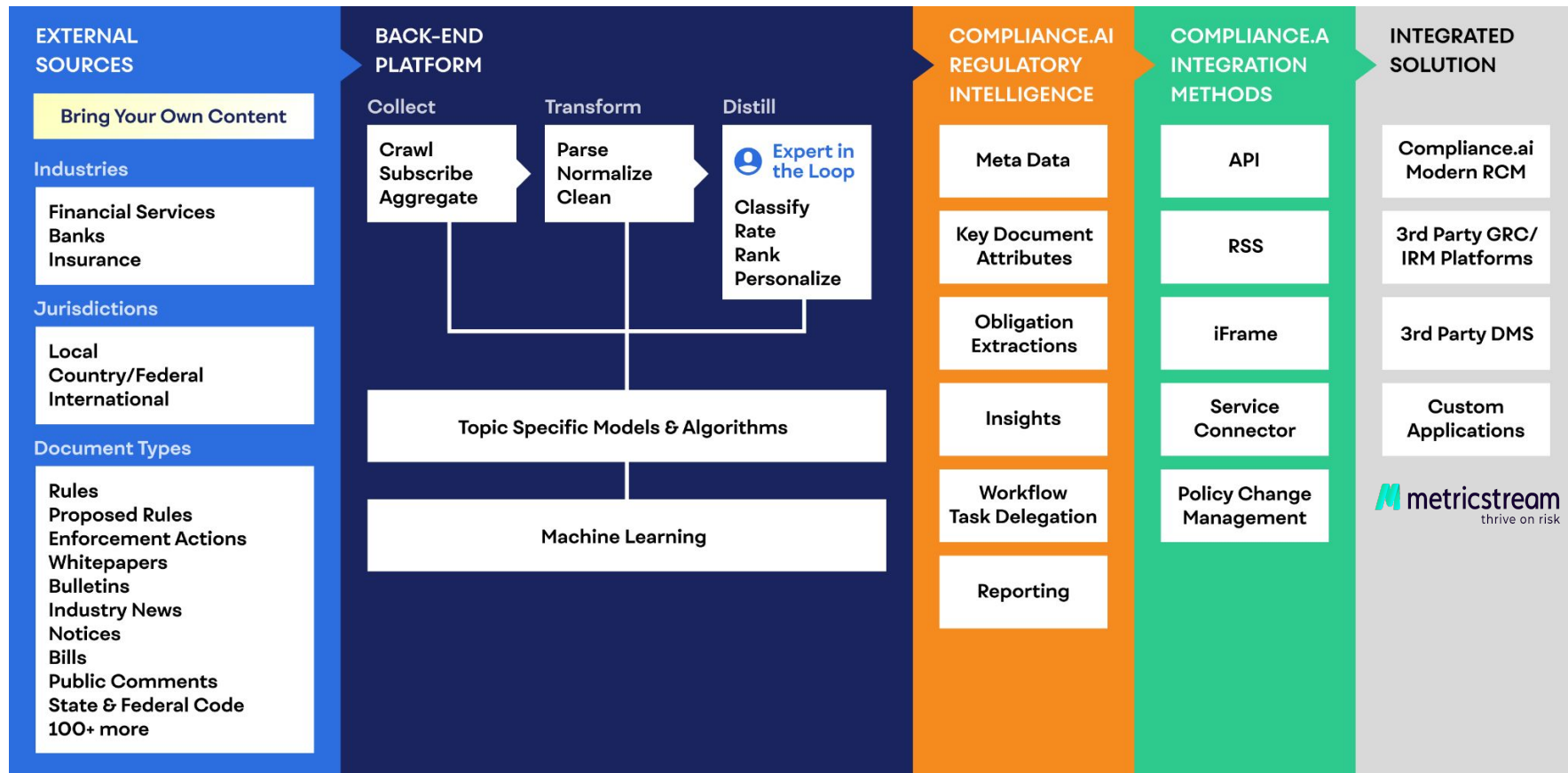


Streamline GRC activities

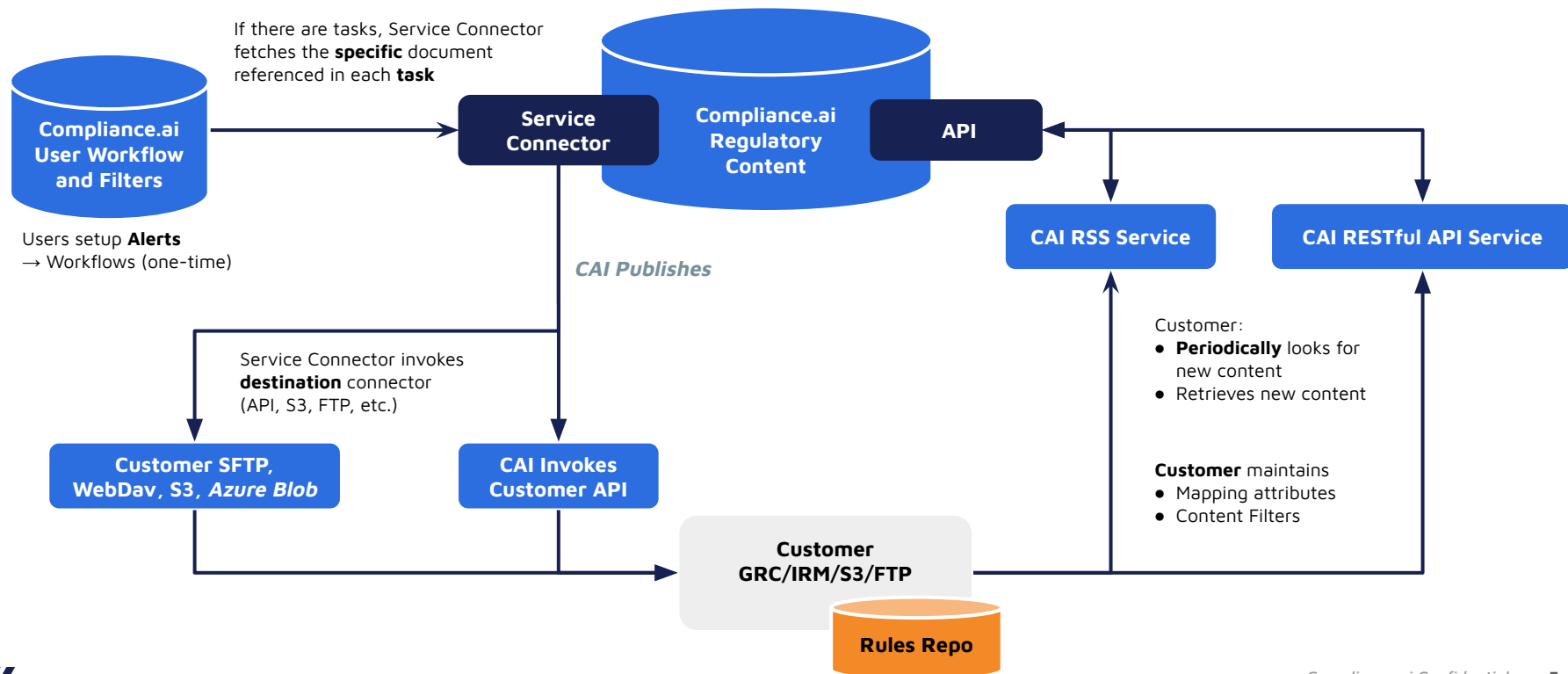
- Automatically map changes to controls and policies
- Trigger GRC workflow to track Regulatory changes
- Expert guidance for required updates
- Risk/Incident Management, Law library

Compliance.ai overall Integration Options

Regulatory Change Management Platform



Enterprise Team Edition: Integration Options Overview



Enterprise Team Edition: Integration Method Comparison

	RSS	RESTful API	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 days	3-4 weeks
Subscription Required	Team Edition	Developer Platform and API Edition	Team Edition OR Developer Platform and API Edition
How to get started	RSS Integration Guide	API User Guide	Service Connector Guide

Enterprise Team Edition: Integration Method Comparison

	RSS	RESTful API	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	✓	✓	

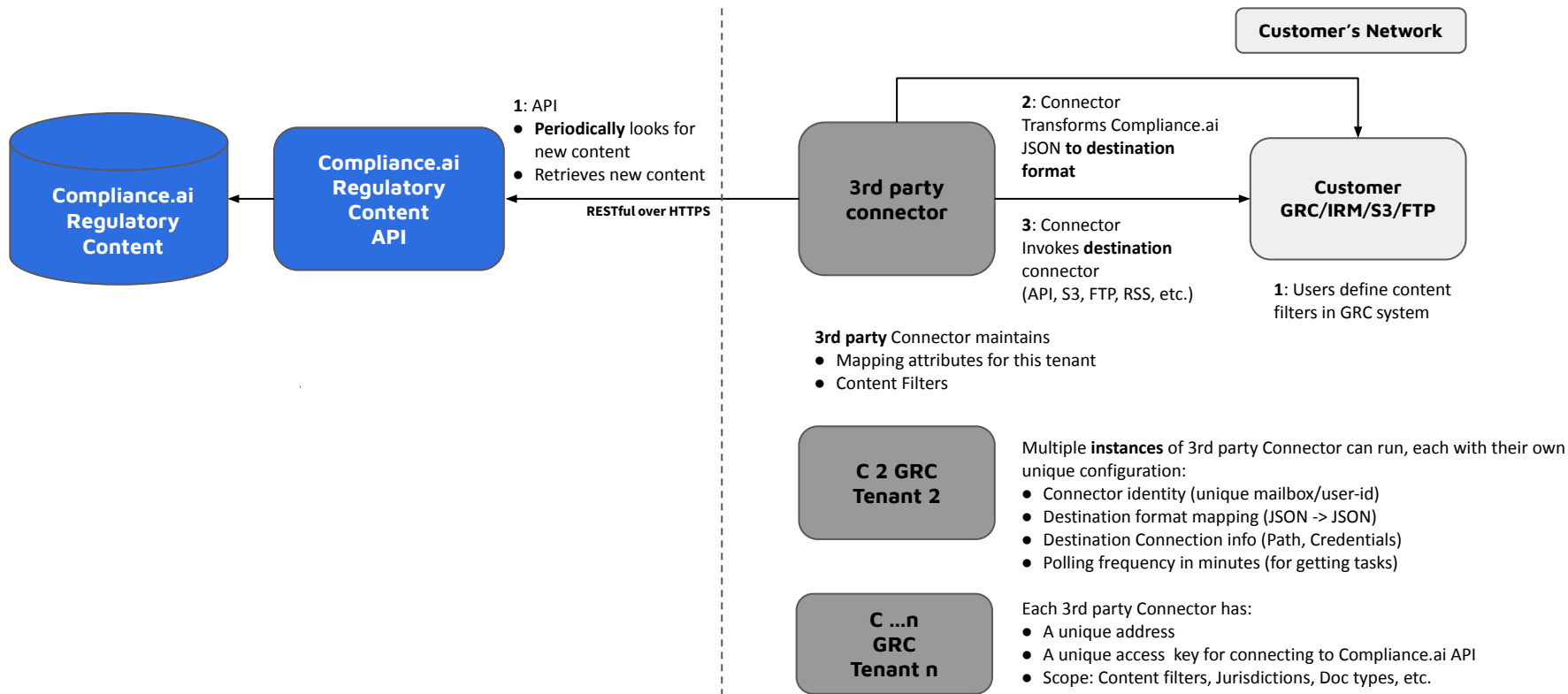
Enterprise Team Edition:

Supported Information Exchange Transports/Protocols

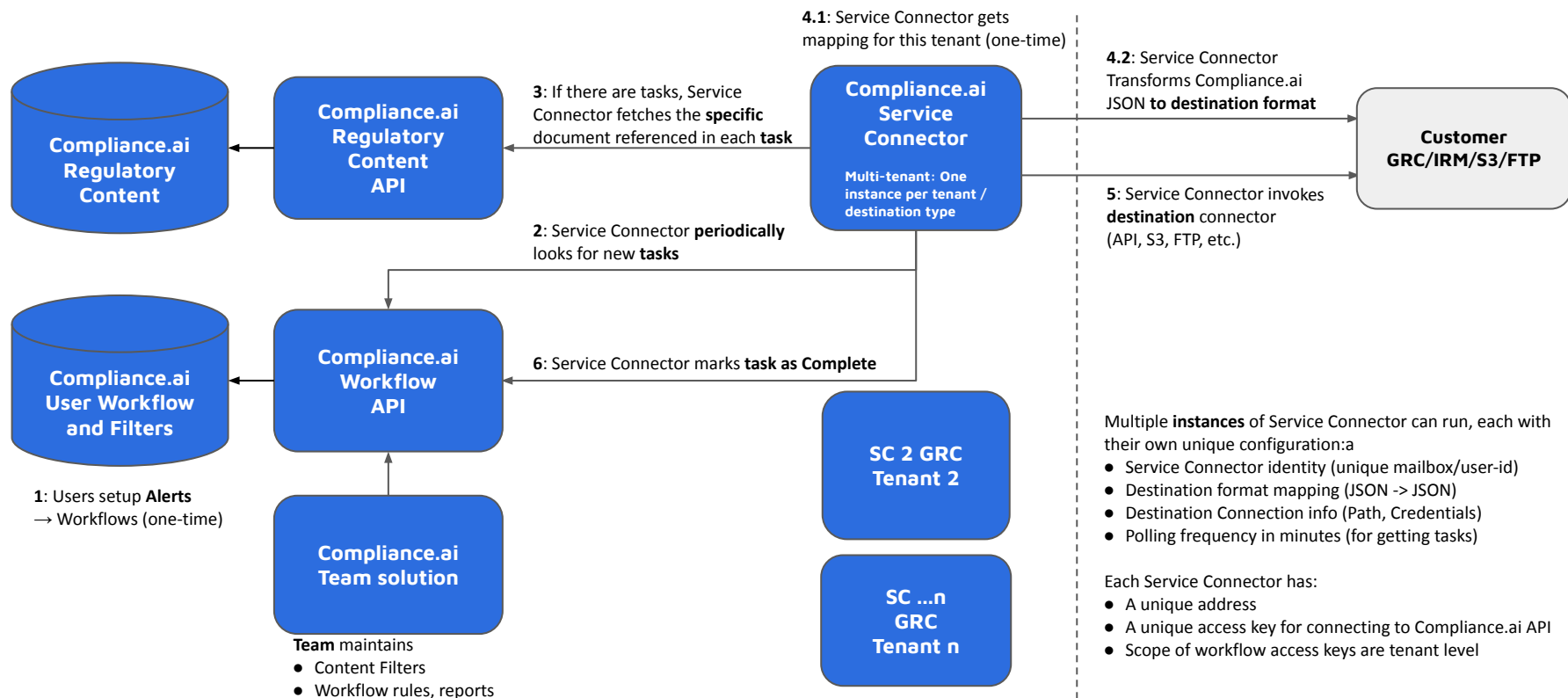
Protocol	Service Connector	API (RESTful)	RSS (XML 2.0)
SFTP (Push)	✓		
WebDAV over HTTPS (Push)	✓		
AWS S3 Bucket (Push)	✓		
RESTful API (Push)	✓		
RESTful API (Pull)		✓	
Custom API (Push)	✓		
HTTPS Digest (Pull)			✓

Enterprise Team Edition Integration Option 1: Pull from Compliance.ai

API or RSS-Based Integration



Service Connector-Based Integration

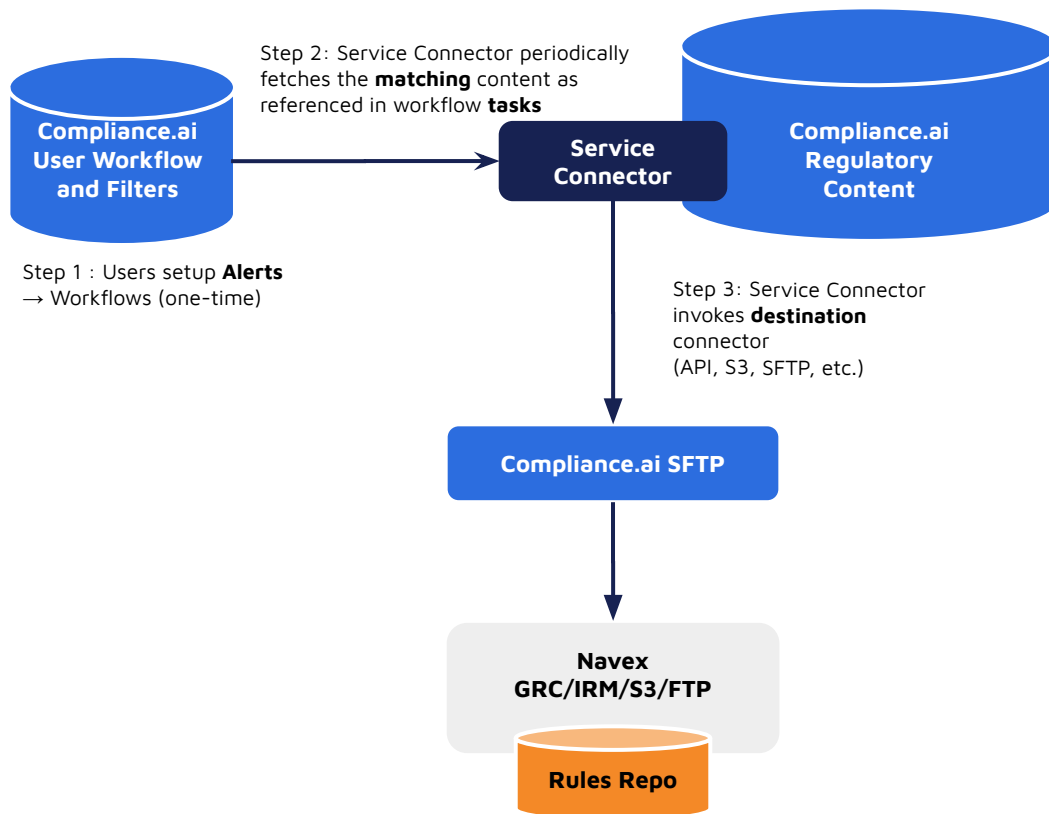


Navex and Compliance.ai

Integration Option

API Based

Enterprise Team Edition: API Integration



Enterprise Team Edition: Service Connector Integration: How to

Configure Compliance.ai Filters and Alerts

Publish to applications using CAI SC

Mapping Fields

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

Filter 59 Search

Filter Enforcement Explorer Jurisdiction Analyzer

☒ Default Filters [Clear All](#)

Publication Date: From: To:

Agency: ☒ CFTC ☒ OCC ☒ SEC

or

Jurisdiction: ☒ US-IL ☒ US-IN ☒ US-IA

or

News & Premium Content: ☒ American Banker ☒ Law360: Banking

Topic: ☒ BSA/AML ☒ Privacy

Document Properties: Select...

Text is: privacy

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...

Label: Select your organization's labels...

[Convert to Advanced Search](#) [Search](#)

Enterprise Team Edition: Service Connector Integration: How to

Configure Compliance.ai Filters and Alerts

Publish to Navex applications using CAI SC

Mapping Fields

- b. Using 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.

The screenshot displays the 'Filter' section of the Compliance.ai Advanced Search Builder. At the top, a search bar contains the text: `(cai_category = "4500" AND (updated_date <= "30:Days" OR (updated_from = "2023-11-01" AND updated_to = "2023-12-08")))`. Below this, the 'Concepts' section shows a hierarchical tree of filter conditions. The root condition is 'Document Type' with the operator 'Equals' and the value 'Handbook'. This is combined with an 'AND' condition. The second main branch is 'Updated in Compliance.ai' with the operator 'In the last' and the value '30 Days'. This is further refined by an 'OR' condition. The 'OR' branch contains two conditions: 'Updated in Compliance.ai' with the operator 'On (=)' and the value '11/01/2023', and 'Updated in Compliance.ai' with the operator 'On (=)' and the value '12/08/2023'. The interface includes various UI elements like plus and minus signs for expanding/collapsing the tree, a 'Handbook' tag, and a 'Filter' button at the bottom right. The bottom of the screen shows the final filter expression: `Filter: View as text (Document Type AND (Updated in Compliance.ai <= "30:Days" OR (Updated in Compliance.ai From AND Updated in Compliance.ai To)))`.

Compliance.ai Confidential

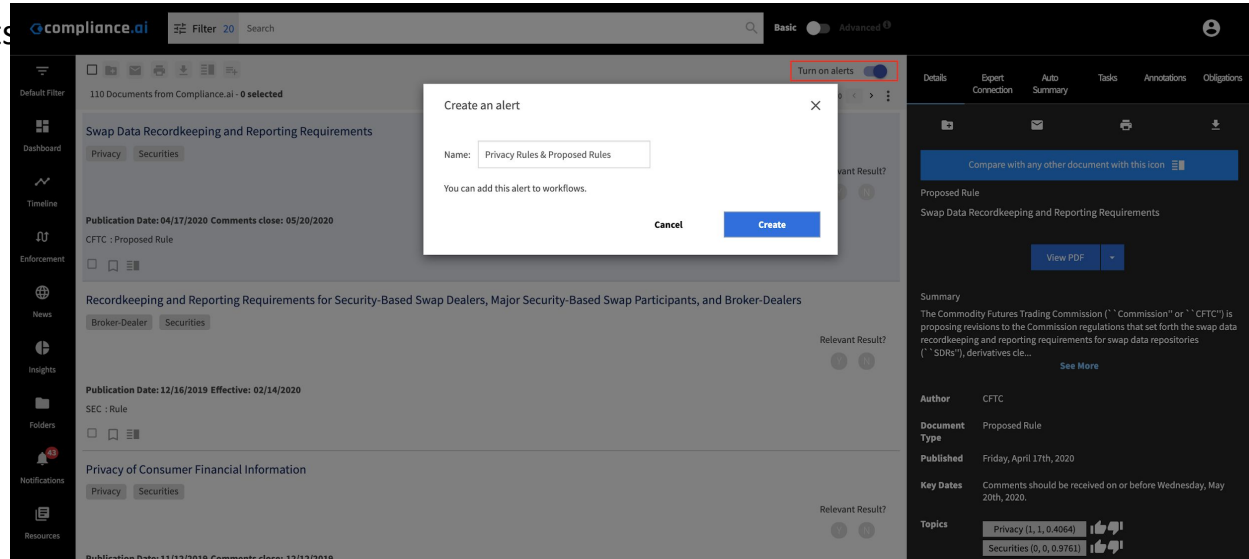
Enterprise Team Edition: Service Connector Integration: How to

Configure Compliance.ai Filters and Alerts

Publish to Navex applications using CAI SC

Mapping Fields

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



Enterprise Team Edition: Service Connector Integration: How to

Configure Compliance.ai Filters and Alerts

Publish to Nabex applications using CAI SC

Integrate CAI search API into your application

Task 2: Configure Compliance.ai Workflow for publishing into Navex

1. Login to Compliance.ai Team Edition with your Compliance.ai user credentials.
2. Set up Workflow: Go to Compliance.ai's Tasks > Manage Workflow section
 - a. Select "Add a New workFlow" 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.

Enterprise Team Edition: Service Connector Integration: How to

Configure Compliance.ai Filters and Alerts

Publish to Nabex applications using CAI SC

Mapping Fields

The screenshots below provide the settings to publish **Law Library** into the Navex Regulatory library after assessment in Compliance.ai.

► New Feature: Release - December 27th: Fine tune your US Federal Agency alerts with search enhancements [See release notes](#)

COMPLIANCE.AI Filter Search Basic Advanced

Tasks Manage Tasks Manage Workflow Reports

Workflow Name: Manual Service Connector for Authoritative Sources View as Diagram Cancel Save Changes

Tasks Reorder tasks Expand all Collapse all

Title: Document Review Due by: 6 days After Publication Date

Teams: Select... Assign to: support@indcoastbank.compliance.ai Notify: Select...

Description: Enter description

☐ Require approval

☐ Text field ☐ Attachments ☐ Select assignees

Dropdown Label: Relevant

☒ Required ☐ Multiselect

Dropdown Options: Relevant Not Relevant

+ Add dropdown option

+ Add dropdown field

Task dependencies

Workflow Settings

Do you want to complete your workflow for the entire document, for obligations, or for both? Entire document

Select associated alert / notification for this workflow

Select teams

Select folder: Public Folder

Published since: 12/20/2023

Task Settings

Don't let assignees work on downstream (i.e. blocked/dependent) tasks until upstream tasks are completed

Choose who can update due dates for tasks

Contact Us

Enterprise Team Edition: Service Connector Integration: How to

Configure Compliance.ai Filters and Alerts

Publish to Nabex applications using CAI SC

Mapping Fields

COMPLIANCE.AI Filter 1 Search Basic Advanced

Tasks Manage Tasks Manage Workflow Reports

Workflow Name: Manual Service Connector for Authoritative Sources

Task dependencies: ☐

Title: Publish Auth Sources ___PUB_DOC_A0___ Due by: 0 days After Task Completion: Documen...

Teams: Select... Assign to: support+thirdcoastbank-sc@compliance.ai Notify: Select...

Description: Enter description

☐ Require approval

☐ Text field [+ Add dropdown field](#) [+ Add date field](#)

☐ Attachments

☐ Select assignees

Task dependencies: ☒

Make this task: Relevant if Any of the following match:

Document Review is marked as Relevant

[+ Add a Task](#)

Workflow Settings

Do you want to complete your workflow for the entire document, for obligations, or for both?

☒ Entire document

Select associated alert / notification for this workflow

Select

Select teams

Select...

Select folder

Public Folder

Published since

12/20/2023

Task Settings

Don't let assignees work on downstream (i.e. blocked/dependent) tasks until upstream tasks are completed

☒

Choose who can update due dates for tasks

Select...

[Contact Us](#)

Enterprise Team Edition: Service Connector Integration: How to

Configure Compliance.ai Filters and Alerts

Publish to Nabex applications using CAI SC

Mapping Fields

The screenshots below provide the settings to publish **Regulatory Change** into the Navex Regulation library after assessment in Compliance.ai.

The screenshot displays the 'Manage Workflow' page in the Compliance.ai application. At the top, a banner reads 'New Feature: Release - December 27th: Fine tune your US Federal Agency alerts with search enhancements'. The interface includes a sidebar with navigation options like Dashboard, Timeline, Enforcement, News, Insights, Folders, Notifications, and Resources. The main content area is titled 'Manage Workflow' and shows a workflow named 'CRA Reg Change'. Below this, the 'Tasks' section is configured for a task titled 'Review Reg Changes'. The task is set to occur '7 days After' 'Task Creation'. It is assigned to 'Jennifer G.' and includes a description: 'You have Reg Changes to review in Compliance.ai'. The task settings include a 'Text field' (checked), 'Required' (unchecked), 'Attachments' (unchecked), and 'Select assignees' (unchecked). A dropdown menu is configured with the label 'Applicable to TCR?' and options 'Yes' and 'No'. The 'Workflow Settings' panel on the right shows 'Select associated alert / notification for this workflow' set to 'CRA State and Federal Changes', 'Select teams' set to 'Public Folder', and 'Published since' set to '07/05/2023'. The 'Task Settings' panel at the bottom right includes options for 'Don't let assignees work on downstream' and 'Choose who can update due dates for tasks'.

Enterprise Team Edition: Service Connector Integration: How to

Configure Compliance.ai Filters and Alerts

Publish to Nabex applications using CAI SC

Mapping Fields

COMPLIANCE.AI Filter Search Basic Advanced

Tasks Manage Tasks Manage Workflow Reports

Workflow Name: CRA Reg Change View as Diagram Cancel Save Changes

Task dependencies: ☐

Title: __SFTP_CSV_DOC__ Publish to NAVEX Due by: 0 days After: Task Completion: Review Re...

Teams: Select... Assign to: support+thirdcoastbank-sc@compliance.ai Notify: Select...

Description: Enter description

☐ Require approval

☐ Text field + Add dropdown field + Add date field

☐ Attachments

☐ Select assignees

Task dependencies: ☒

Make this task: Relevant if: Any of the following match:

Review Reg Changes is marked as: Yes

+ Add a Task

Workflow Settings

Do you want to complete your workflow for the entire document, for obligations, or for both?

Select associated alert / notification for this workflow

Select teams

Select folder

Published since: 07/05/2023

Task Settings

Don't let assignees work on downstream (i.e. blocked/dependent) tasks until upstream tasks are completed

Choose who can update due dates for tasks

Contact Us

Enterprise Team Edition: Service Connector Integration: How to

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and Alerts

Publish to Nabex applications
using CAI SC

Mapping Fields

Task 3: Save workflows for publishing into Navex

Once workflows are completed and saved, any new/changing regulatory changes and authoritative sources that either match the filtered criteria for the workflow or are added to the workflow on an ad-hoc basis and are assessed by users as relevant; they will be published to Navex

Note:

- The cadence of content publishing into Navex is customizable, and its default is once every 24 hours.
- Changes can also be published without needing assessments by removing the “Assess” steps and the task dependencies from the “Publish” steps.
- These steps can be repeated for publishing Obligations and Tasks.
- Please set up a session with Compliance.ai Support to walk you through the necessary steps.

Enterprise Team Edition: Service Connector Integration: How to

Configure Compliance.ai Filters
and Alerts

Publish to Nabex
applications using CAI SC

Mapping Fields

The following **document** fields can be mapped from the Compliance.ai source CSV file to Navex system

Source Field (Compliance.ai)	Field Type
Change Name	Text
Description	Text
Source Link	Text
guid	Text
category	Text
pubDate	Date
jurisdiction	Text
summary_text	Text
Compliance.ai Link	Text
effective_on	Date
comments_close_on	Date
Current tracked Citation reference	Text
topic	Date
Risk Change Source	Text
DateProcessed	Date
CreatedDate	Date
Document Label	Text
workflow_name	Text
The GUID field is the document ID	

Enterprise Team Edition: Service Connector Integration: How to

Configure Compliance.ai Filters
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Publish to Nabex
applications using CAI SC

Mapping Fields

The following **obligation** fields can be mapped from the Compliance.ai source CSV file to Navex system.

Source Field (Compliance.ai)	Field Type
Date Review Started	Date
Review Description	Text
Review Status	Text
Analysis	Text
Policy Change Overview	Text
Type of Impact	Text
CAI Regulatory Intelligence Items (GUID)	Text
CAI Review ID	Text
DateProcessed	Date
guid	Text
The GUID field is the document ID	

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Mapping Fields

The following **ann**fields can be mapped from the Compliance.ai source CSV file to Navex system

Source Field (Compliance.ai)	Field Type
Date Review Started	Date
Review Description	Text
Review Status	Text
Analysis	Text
Policy Change Overview	Text
Type of Impact	Text
CAI Regulatory Intelligence Items (GUID)	Text
CAI Review ID	Text
DateProcessed	Date
guid	Text
The GUID field is the document ID	

Enterprise Team Edition: Service Connector Integration: How to

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Mapping Fields

The following **tasks** fields can be mapped from the Compliance.ai source CSV file to Navex system

Source Field (Compliance.ai)	Field Type
Task_id	text
created_at	Date
updated_at	Date
doc_id	Text
workflow_name	text
workflow_id	Text
original_assignee	text
original_assignee_email	Text
first_comment	Text
DateProcessed	Date

Compliance.ai Resources

- Link to a pre-recorded training sessions - [Link](#)
- Link to Compliance.ai Customer Success Portal - [Link](#)
- Link to Compliance.ai Release Notes portal - [Link](#)
- Email any questions to: support@compliance.ai

Thank you!

