

Archer® Suite

6.9

Implementation Guide

Code of Federal Regulations (CFR) Data Feeds

Contact Information

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Table of Contents

Chapter 1: Overview of CFR Data Feeds	4
About CFR Data Feeds.....	4
Key Features and Benefits	4
Prerequisites (ODA and system requirements)	4
Compatible Use Cases and Applications	5
Related Applications	5
Impacted Use Case(s).....	6
Impacted Fields	6
CFR xml structure	7
Additional Resources	9
Chapter 2: CFR Data Feeds Integration Components	10
Integration Diagram	10
Chapter 3: Installing and Configuration of CFR Data Feeds	11
Installation Overview	11
Step 1: Prepare for the Installation	11
Step 2: Configure Application	11
Step 3: Set up Data Feeds	11
Step 4: Test the Installation	11
Configure Authoritative Sources Application	12
Task 1: Add Fields to the Layout	12
Setting Up Data Feeds.....	12
Task 1: Import a data feed	13
Task 2: Schedule a data feed.....	17
Appendix A: Certification Environment	18

Release Notes

Known Issues

Component	Issue ID	Description
Data Feed	ARCHERSOL-15009	Feed immediately fails because special characters part of this feed aren't supported on AWS S3 file system anymore. Issue should be addressed in Archer Platform Release after 6.12.

Chapter 1: Overview of CFR Data Feeds

About CFR Data Feeds

The U.S. Government Printing Office (GPO) and the National Archives' Office of the Federal Register (OFR) partnership is offering bulk data downloads of Code of Federal Regulations (CFR) files to the general public via Data.gov and FDsys.

CFR Data Feeds is a configurable data feed that would allow customers to select and import parts of the Code of Federal Regulations (CFR) into the Authoritative Sources application in Archer.

Key Features and Benefits

CFR Data Feeds integration with Archer enables organizations to:

- Easily import sections they need
- Faster import since they don't have to import the entire regulation
- The CFR is extremely large and different sections apply to various verticals. Offering the entire CFR is not feasible but giving customers the ability to bring in the parts they need would be very desirable.

Prerequisites (ODA and system requirements)

Components	Requirement
Archer Solution	Regulatory & Corporate Compliance Management
Archer Use Case(s)	The following use cases take advantage of the information provided by the CFR Data Feeds integration: <ul style="list-style-type: none"> • Archer Policy Program Management
Archer Applications	Leverages the following applications: <ul style="list-style-type: none"> • Authoritative Sources

Requires On-Demand License	No
Archer Requirements	Archer release 6.9 or later
Supported Platform Version	This offering has been developed for and validated on Archer Platform Release 6.9

Compatible Use Cases and Applications

Related Applications

Application	Use Case	Primary Purpose(s) of the Relationship
Authoritative Sources	Policy Program Management (Regulatory & Corporate Compliance)	The Authoritative Sources application allows you to centrally manage industry standards, regulations, laws and requirements and map them to the policies and control standards for rationalization purposes.

Impacted Use Case(s)

Archer Use Case(s)
Policy Program Management

Impacted Fields

Archer Application	Archer Field	(Vendor Name) Field
Authoritative Sources: Source Level	Source Name	Title Num + Subject
	Content Source	CFR
	Source Links	https://www.govinfo.gov/bulkdata/CFR
	Source Version	Title Date
	Source Description	This Title
Authoritative Sources: Topic Level	Topic Name	Chapter Name Chapter Num + Subchapter Name Subtitle Name Subtitle Num + Chapter Name Subtitle Num + Chapter Num + Subchapter Name
	Topic ID	Chapter Num
	Content Source	CFR
	Topic Description	Chapter Name
	Authoritative Sources: Section Level	Section Name
Section ID		Part Num
Content Source		CFR
Section Description		Part Name
Authoritative Sources: Sub Section Level	Sub Section Name	Section Subject
	Sub Section ID	Section Num
	Sub Section Description	Section details

Due to variations in the [CFR xml structure](#) there are multiple possibilities for how the data may be presented in Archer.

1. Topic Name - depending on the available xml structure tags the following combinations of data are presented in Archer:
 - a. Chapter Name
 - b. Chapter Num + Subchapter Name
 - c. Subtitle Name
 - d. Subtitle Num + Chapter Name
 - e. Subtitle Num + Chapter Num + Subchapter Name

2. Section Name - depending on the available xml structure tags the following combinations of data are presented in Archer:
 - a. Part Name
 - b. Part Num + Subpart Name

CFR xml structure

The TITLE, CHAPTER, PART and SUBPART tags are organized in an xml structure and contains logical divisions in the Code of Federal Regulations. For example, each title is divided into chapters, which usually bear the name of the issuing agency. Each chapter is further subdivided into parts that cover specific regulatory areas. Large parts may be subdivided into subparts. All parts are organized in sections, and most citations in the CFR are provided at the section level.

The abbreviated example of the TITLE, CHAPTER, PART and SUBPART tags are shown below.

NOTE: CFR data files with XML structure in the below format are compatible with the existing CFR Data Feeds integration. Files having a different XML structure is not supported and may require modifications to XSLT in the data feeds.

Ex: CFR-2020-title3-vol1 contains xml tags which are not organized, and the structure is inconsistent with comparison to the regular structure of CFR files for each level (TITLE, CHAPTER, PART and SECTION). Hence, **CFR Title 3** file is not a valid XML structure to import data.

```

<CFRDOC>
.
.
.
<TITLE>
  <CHAPTER>
    <SUBCHAP>
      <HD SOURCE="HED">SUBCHAPTER C-AIR PROGRAMS (CONTINUED)</HD>
      <PART>
        <HD SOURCE="HED">PART 53-AMBIENT AIR MONITORING...</HD>
        <CONTENTS>
          .
          .
          .
          <SUBPART>
            <HD SOURCE="HED">Subpart A-General Provisions</HD>
            <SECHD>Sec.</SECHD>
            <SECTNO>53.1</SECTNO>
            <SUBJECT>Definitions.</SUBJECT>
            <SECTNO>53.2</SECTNO>
            <SUBJECT>General requirements for a...</SUBJECT>
            <SECTNO>53.3</SECTNO>
            <SUBJECT>General requirements for an...</SUBJECT>
          </SUBPART>
          .
          .
          .
          <SUBPART>
            <HD SOURCE="HED">Subpart B-Procedures for...</HD>
            <SECTNO>53.20</SECTNO>
            <SUBJECT>General provisions.</SUBJECT>
            <SECTNO>53.21</SECTNO>
            <SUBJECT>Test conditions.</SUBJECT>
          </SUBPART>
          .
          .
          .
          <APP> <E T="04">Appendix A to Subpart...</E></APP>
          .
          .
          .
        </CONTENTS>
      </PART>
    </SUBCHAP>
  </CHAPTER>
</TITLE>
.
.
.
</CFRDOC>

```


Additional Resources

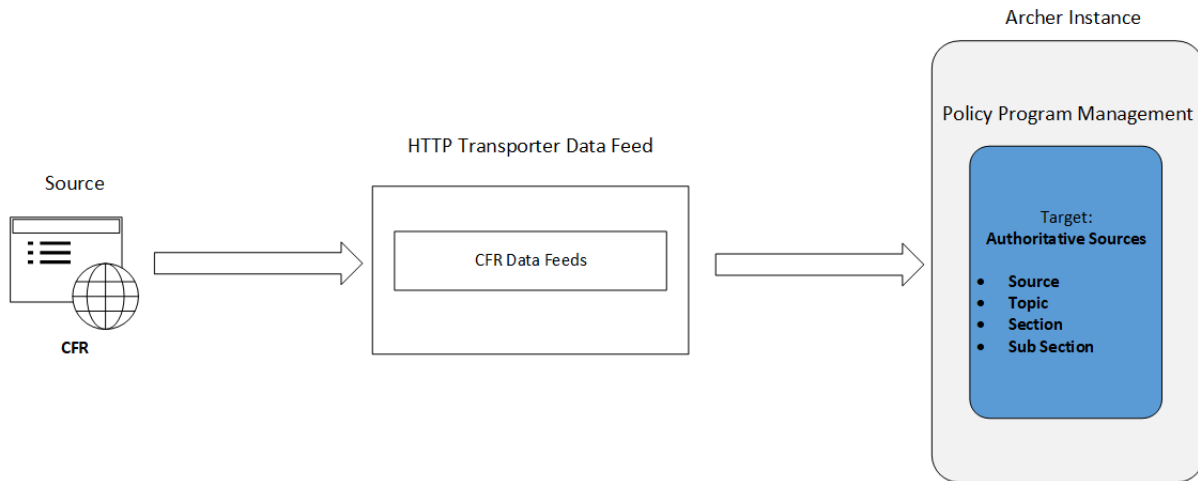
The following additional resources are available for this application:

- Website: <https://www.govinfo.gov/bulkdata/CFR>
- User Guide: https://www.govinfo.gov/bulkdata/CFR/resources/CFR-XML_User-Guide_v1.pdf

Chapter 2: CFR Data Feeds Integration Components

Integration Diagram

The following diagram provides an overview of interaction between CFR and Archer.



The Integration process follows the following flow:

1. The government website posts the most recent updates on regulatory information related to Code of Federal Regulations (CFR) on their website in XML.
2. The CFR data feeds pulls the below mentioned data from the **Source**: government website (<https://www.govinfo.gov/bulkdata/CFR>) XML and import the data into **Target**: Authoritative Sources application.
 - Title
 - Chapter
 - Part
 - Section

Chapter 3: Installing and Configuration of CFR Data Feeds

Before You Begin

This section provides instructions for configuring the CFR data with the 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 to install the required components.

All CFR Content links must be 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.

Installation Overview

Complete the following tasks to install the integration.

Step 1: Prepare for the Installation

1. Ensure that your Archer system meets the following requirements:
 - Archer Platform version 6.9 or later
2. Download the integration package from the Archer Exchange on Link:
<https://community.rsa.com/t5/archer-exchange/ct-p/archer-exchange>

Step 2: Configure Application

You must configure the Authoritative Sources application. See [Configuring Authoritative Sources Application](#) for complete information.

Step 3: Set up Data Feeds


You must import and schedule each data feed that you want to use. See [Setting Up Data Feeds](#) for complete information.

Step 4: Test the Installation

Test the integration according to your company standards and procedures, to ensure that the use case works with your existing processes.

Configure Authoritative Sources Application

Task 1: Add Fields to the Layout

1. Click  and navigate to Applications. Under the **Application Builder** dropdown, select **Applications**.
2. Select the **Authoritative Sources** application and navigate to the **Fields** tab.

Level: **Source**

3. Edit the **Content Source** Values List field and Add a new value "CFR".
4. In the **Fields** tab. Add the following fields:
 - a. Create a new field. **Source ID**
 - i. Type: Text
5. Navigate to Layout -> Designer tab -> Add New Layout Object
6. Place the above created field in the Authoritative Source section.
7. Click Apply.

Level: **Topic**

8. In the **Fields** tab.
 - a. Edit the **Topic ID** field. Disable the Unique Field property in the options tab for the field.
OR
Create a new field. **Topic Num**
Type: Text
 - b. Create a new field. **Topic Key**
 - i. Type: Text
9. Click Apply.

Level: **Section**

10. In the **Fields** tab.
 - a. Edit the **Section ID** field. Disable the Unique Field property in the options tab for the field.
OR
Create a new field. **Section Num**
Type: Text
 - b. Create a new field. **Section Key**
 - ii. Type: Text
11. Click Save.


Setting Up Data Feeds

The following data feeds are used as part of the CFR Data Feeds Integration process:

CFR data feeds are HTTP transporter data feeds that retrieves data from the Code of Federal Regulations (CFR) URL and creates and updates the records in the Archer Authoritative Sources application.

All data feeds must be configured. After setting up the data feeds, you can schedule them to run **as needed per your organization’s requirements**. For more information on Scheduling data feeds, see the [Schedule a data feed](#) section.

Task 1: Import a data feed

1. Go to the Manage Data Feeds page.
 - a. From the menu bar, click  .
 - b. Under Integration, click Data Feeds.
2. In the Manage Data Feeds section, click Import.
3. Locate and select the **CFR Data Feeds.dfx5** file for the data feed.
4. From the General tab in the General Information section, in the Status field, select Active.
5. Click the Transport tab. Complete the fields in the Data Request Properties section as follows:
 - a. In the Data Request URI field, enter:

[https://www.govinfo.gov/bulkdata/CFR/\[year\]/\[title-no\]/\[title-filename\].xml](https://www.govinfo.gov/bulkdata/CFR/[year]/[title-no]/[title-filename].xml)

The following table describes the value for each placeholder in the URL, which can be varied to obtain the required Title of CFR.

Placeholder	Value
[year]	Valid CFR Year Ex: 2020, 2019, 2018 etc.
[title-no]	Valid CFR title number Ex: title-1, title-2
[title-filename]	Valid CFR title filename Ex: CFR-2020-title-1-vol1

- b. User can select which Title from CFR they want to bring in and provide the appropriate URL. Steps to obtain CFR URL:
 - i. Navigate to the website: <https://www.govinfo.gov/bulkdata/CFR>
 - ii. Select the year.
 - iii. Select the title.
 - iv. Select the title filename. Copy the entire URL from the browser.
Ex: <https://www.govinfo.gov/bulkdata/CFR/2020/title-1/CFR-2020-title1-vol1.xml>

Bulk Data			Code of Federal Regulations...			2020			title-1		
Name	Last Modified (GMT)	Size									
CFR-2020-title1-vol1.xml	24-Jul-2020 16:00	682.1 kB									
CFR-2020-title-1.zip	24-Jul-2020 16:03	138.9 kB									

6. Click the **Data Map** tab.
7. In the **Field Map** sub tab, configure all the source fields (new and modified) to the target Authoritative Sources fields.

Level 1: **Source**

Source Field	Target Field (Source)
CONTENT_SOURCE	Content Source
SOURCE_LINK	Source Links
TITLE_DESCRIPTION	Source Description
TITLE_NAME	Source Name
TITLE_NUM	Source ID
VERSION	Source Version

The screen shows below provide examples of these field mappings.

Target Field	Field Type	Source Field	Trust Level	Options	Actions
<input type="checkbox"/> Audit Entities (Authoritative Sources)	Related Records		0		
<input type="checkbox"/> Compliance Rating	Values List		0		
<input type="checkbox"/> Content Source	Values List	CONTENT_SOURCE	0		
<input type="checkbox"/> Control Procedures	Related Records		0		
<input type="checkbox"/> Control Standards	Related Records		0		
Count of Controls	Numeric		0		
Count of Non-Compliant Controls	Numeric		0		
<input type="checkbox"/> Criticality	Values List		0		
Disclaimer	Text		0		
<input type="checkbox"/> Findings	Related Records		0		
<input type="checkbox"/> Findings (Authoritative Sources)	Related Records		0		
<input type="checkbox"/> Information	Related Records		0		
<input type="checkbox"/> Master Controls (Authoritative Sources)	Related Records		0		
Number of Control Standards	Numeric		0		
<input type="checkbox"/> PCI Record Of Compliance (Authoritative Sources)	Related Records		0		
<input type="checkbox"/> Question Library	Related Records		0		
Related to Key Controls	Numeric		0		
<input type="checkbox"/> Retention Schedules (Authoritative Sources)	Related Records		0		
Source Criticality Value	Numeric		0		
* Source Description	Text	TITLE_DESCRIPTION	0		
Source ID	Text	TITLE_NUM	0		
<input type="checkbox"/> Source Links	External Links	SOURCE_LINK	0		
* Source Name	Text	TITLE_NAME	0		
Source Tracking ID	Tracking ID				
<input type="checkbox"/> Source Type	Values List		0		
* Source Version	Text	VERSION	0		
<input type="checkbox"/> Topic Reference(s)	Cross-Reference	Record	0		

Level 2: **Topic**

Source Field	Target Field (Topic)
CONTENT_SOURCE	Content Source
CHAPTER_DESCRIPTION	Topic Description
CHAPTER_NAME	Topic Name
CHAPTER_NUM	Topic ID
CHAPTER_KEY	Topic Key

The screen shows below provide examples of these field mappings.

Target Field	Field Type	Source Field	Trust Level	Options	Actions
Topic Reference(s)	Cross-Reference	Record	0		
% of Non-Compliant Controls	Numeric		0		
Attachments	Attachments		0		
Audit Engagement (Authoritative Sources)	Related Records		0		
Audit Entities (Authoritative Sources)	Related Records		0		
Compliance Rating	Values List		0		
Content Source	Values List	CONTENT_SOURCE	0		
Control Procedures	Related Records		0		
Control Standards	Related Records		0		
Count of Controls	Numeric		0		
Count of Non-Compliant Controls	Numeric		0		
Criticality	Values List		0		
Findings	Related Records		0		
Information	Related Records		0		
Master Controls (Authoritative Sources)	Related Records		0		
Number of Control Standards	Numeric		0		
PCI Record Of Compliance (Authoritative Sources)	Related Records		0		
Question Library	Related Records		0		
Related to Key Controls	Numeric		0		
Retention Schedules (Authoritative Sources)	Related Records		0		
Section Reference(s)	Cross-Reference		0		
Sub Chapter Name	Text		0		
Topic Criticality Value	Numeric		0		
Topic Description	Text	CHAPTER_DESCRIP	0		
* Topic ID	Text	CHAPTER_NUM	0		
Topic Key	Text	CHAPTER_KEY	0		
* Topic Name	Text	CHAPTER_NAME	0		

Level 3: **Section**

Source Field	Target Field (Section)
CONTENT_SOURCE	Content Source
PART_DESCRIPTION	Section Description
PART_NAME	Section Name
PART_NUM	Section ID
PART_KEY	Section Key

The screen shows below provide examples of these field mappings.

Target Field	Field Type	Source Field	Trust Level	Options	Actions
[-] Section Reference(s)	Cross-Reference		0		
% of Non-Compliant Controls	Numeric		0		
Attachments	Attachments		0		
[-] Audit Engagement (Authoritative Sources)	Related Records		0		
[-] Audit Entities (Authoritative Sources)	Related Records		0		
[-] Compliance Rating	Values List		0		
[-] Content Source	Values List	CONTENT_SOURCE	0		
[-] Control Procedures	Related Records		0		
[-] Control Standards	Related Records		0		
Count of Controls	Numeric		0		
Count of Non-Compliant Controls	Numeric		0		
[-] Criticality	Values List		0		
[-] Findings	Related Records		0		
[-] Information	Related Records		0		
[-] Master Controls (Authoritative Sources)	Related Records		0		
Number of Control Standards	Numeric		0		
[-] PCI Report On Compliance (Authoritative Sources)	Related Records		0		
[-] Question Library	Related Records		0		
Related to Key Controls	Numeric		0		
[-] Retention Schedules (Authoritative Sources)	Related Records		0		
[-] Section Criticality Value	Values List		0		
Section Description	Text	PART_DESCRIPTION	0		
* Section ID	Text	PART_NUM	0		
Section Key	Text	PART_KEY	0		
[-] Section Mapping Status	Values List		0		
* Section Name	Text	PART_NAME	0		
Section Tracking ID	Tracking ID				

Level 4: Sub Section

Source Field	Target Field (Sub Section)
CONTENT_SOURCE	Content Source
SECTION_DESCRIPTION	Sub Section Description
SECTION_NAME	Sub Section Name
SECTION_NUM	Sub Section ID

The screen shows below provide examples of these field mappings.

Target Field	Field Type	Source Field	Trust Level	Options	Actions
[-] Sub Section Reference(s)	Cross-Reference	<input type="text"/>	0		
% of Non-Compliant Controls	Numeric	<input type="text"/>	0		
Attachments	Attachments	<input type="text"/>	0		
[-] Audit Engagement (Authoritative Sources)	Related Records	<input type="text"/>	0		
[-] Audit Entities (Authoritative Sources)	Related Records	<input type="text"/>	0		
[-] Compliance Rating	Values List	<input type="text"/>	0		
[-] Content Source	Values List	CONTENT_SOURCE	0		
[-] Control Procedures	Related Records	<input type="text"/>	0		
[-] Control Standards	Related Records	<input type="text"/>	0		
Count of Controls	Numeric	<input type="text"/>	0		
Count of Non-Compliant Controls	Numeric	<input type="text"/>	0		
[-] Criticality	Values List	<input type="text"/>	0		
[-] Findings	Related Records	<input type="text"/>	0		
[-] Information	Related Records	<input type="text"/>	0		
[-] Master Controls (Authoritative Sources)	Related Records	<input type="text"/>	0		
Number of Control Standards	Numeric	<input type="text"/>	0		
[-] PCI Record Of Compliance (Authoritative Sources)	Related Records	<input type="text"/>	0		
[-] Question Library	Related Records	<input type="text"/>	0		
Related to Key Controls	Numeric	<input type="text"/>	0		
[-] Retention Schedules (Authoritative Sources)	Related Records	<input type="text"/>	0		
[-] Statement of Applicability (Control Reference)	Related Records	<input type="text"/>	0		
Sub Section Description	Text	SECTION_DESCRIP	0		
* Sub Section ID	Text	SECTION_ID	0		
Sub Section Key	Text	<input type="text"/>	0		
[-] Sub Section Mapping Status	Values List	<input type="text"/>	0		
* Sub Section Name	Text	SECTION_NAME	0		
Sub Section Tracking ID	Tracking ID	<input type="text"/>			

8. In the Key Field Definitions Sub tab, add the following as key field for Authoritative Sources application.
 - a. Source: Source Name
 - b. Topic References(s): Topic Key
 - c. Section References(s): Section Key
 - d. Sub Section References(s): Sub Section ID




9. Click Save.

Task 2: Schedule a data feed

Important: A data feed must be active and valid to successfully run.

As you schedule your data feed, the Data Feed Manager validates the information. If any information is invalid, an error message is displayed. You can save the data feed and correct the errors later; but the data feed does not process until you make corrections.

1. Go to the Schedule tab of the data feed that you want to modify.
 - a. From the menu bar, click  .
 - b. Under Integration, click Data Feeds.
 - c. Select the data feed.
 - d. Click the Schedule tab.
2. Go to the Recurrences section and complete frequency, start, and stop times, and time zone.
3. (Optional) To override the data feed schedule and immediately run your data feed, in the Run Data Feed Now section, click Start.
4. Click Save.

Appendix A: Certification Environment

Date Tested: April 2021

Product Name	Version Information	Operating System
Archer Suite	6.9	Virtual Appliance