

AI Integrity Assessment Assistant

Context

The core of integrity assessment processes rely on verifying party information in external information sources. However, in cases where the assessed party has been previously involved in EBRD engagements and flagged as a risk, Bankers and OCCO team members are required to interrogate such documentation as part of the assessment.

This process is triggered by presence of an assessed party name in SmartKYC search list (prepared with the help of AI integrity reports data extractor). For each party that is on SmartKYC search list, Bankers currently search for party name in OCCOLink, open up relevant documents and interrogate these using search capabilities in Adobe Acrobat or Word to understand the risk flagged and its context. They subsequently use similar techniques to find answers to questions posed by Integrity Questionnaire.

This process is highly manual and takes on average 20 minutes per party. The key pain points are as follows:

- Livelink search is ineffective with large number of irrelevant search results, and insufficient information provided in search summaries preventing Bankers find relevant documents quickly
- Many documents are several hundred pages long, are unstructured, and often the required information is captured in m , slows down users in finding answer to questions

The objective of AI Integrity Assessment Assistant is to help Bankers and OCCO team members quickly find relevant internal reports supporting party integrity assessment and interrogate these using natural language.

The assistant is to be used in cases where previous internal reports on the party subject

Business Requirement

Search

- Search for party on its own or in conjunction with and party role, country, or engagement in the following documents: Due diligence reports, project integrity reports, capital market notes, domiciliation notes
- Search features
 - Fuzzy search
 - Results ordered by relevance (year)
 - Each document to include pre-defined summary (e.g. principal risk)
 - User can facet results by year, engagement party role, country

Question answering

- User can ask free text questions against the most relevant documents (either manually or automatically selected)
- System produces answer in natural language answering user's questions

Relevant Architecture Principles

The following [enterprise architecture principles](#) have been applied to derive the preferred solution of the design:

- Data must have a designated authoritative source of truth. Data must be captured only once at the point of its creation and any duplication of data should be kept to minimum. Corrections must be made at the designated authoritative source and propagated to the affected downstream components;
- Use Industry Standards. When there is an industry standard (preferably an open one) in the area it should be adopted before creating an ad-hoc format
- Replace deprecated technology. Keep the bank up to date with modern technology
- Grant least privileges. Ensure that users have only the level of access required to perform their activities.

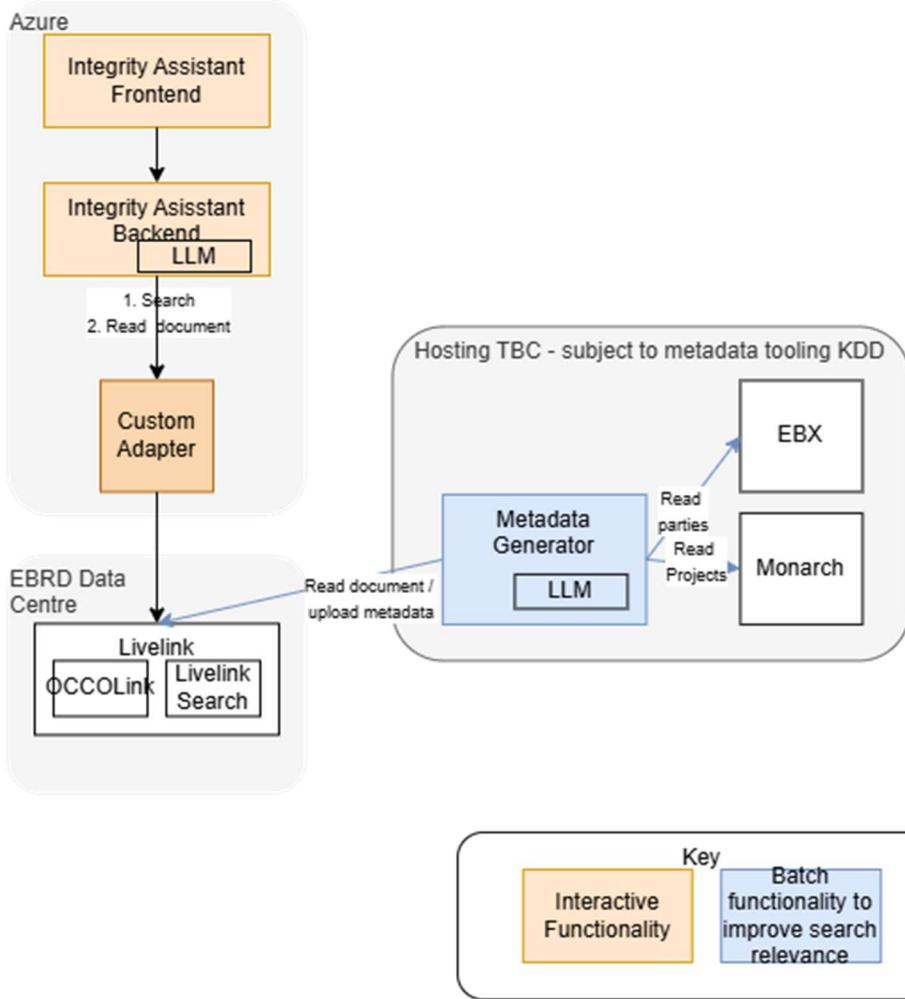
Solution Architecture

The architecture approach is as follows

- Custom business application combining Search and Document Management capabilities offered by Livelink with conversational capabilities (not present in the system);
- Improving Livelink REST API security by adopting contemporary industry standard;
- Improving quality of search results via improvements in metadata.

The architecture builds on [Livelink Integration High Level Design](#) and on [AI KDD: Livelink Metadata Quality Improvement Tools - DRAFT](#)

An illustration of the proposed application architecture is as follows.



The initial document search will be supported by a custom application using Livelink search endpoint REST API accessing search index built into Livelink. (Note: In case of insufficient relevance of search results, search indices can be improved using a custom metadata generator). Subsequent user conversation with the content of the document would be facilitated by custom application retrieval of the selected documents from Livelink (using REST APIs) and their processing using LLM.

Delivery Considerations

1. Livelink REST APIs have been configured to support oAuth2
2. Livelink REST APIs must be made available in a secure manner in Azure