quantiphi
Solving What Matters

Health Canada

Health Canada DocAI Warehouse POC

RUN BOOK

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Table of Contents

1. Solution Architecture

The main component of this solution is Google Cloud's Document AI Warehouse (DocAI Warehouse), which is a document management solution to store, manage, govern, and search documents at scale.

- The user uploads the pdf to the input GCS storage to trigger the Cloud Function.
- Cloud Function separates the first page of the document and sends it to the Document AI CDE processor for extraction of the 6 labeled entities and remaining pages to the OCR processor to extract raw text .
- The PDF is then added in the DocAI Warehouse along with its extracted entities as properties.
- The PDFs are displayed in the Document AI Warehouse and users can conduct keyword or faceted search via filtering document properties.

Google Cloud Platform (GCP) services used for this solution are as follows:

Document AI Warehouse
It is used to search, store, govern, and manage documents and their AI-extracted data and metadata in a single platform.Document AI Warehouse provides a high-throughput pipeline to transfer, extract using DocAI and ingest or index data from Google Cloud Storage and from on-premises file systems via Storage Transfer Service

Cloud Functions

Google Cloud Functions is a serverless execution environment for building and connecting cloud services. With Cloud Functions you write simple, single-purpose functions that are attached to events emitted from your cloud infrastructure and services.

Google Cloud Storage

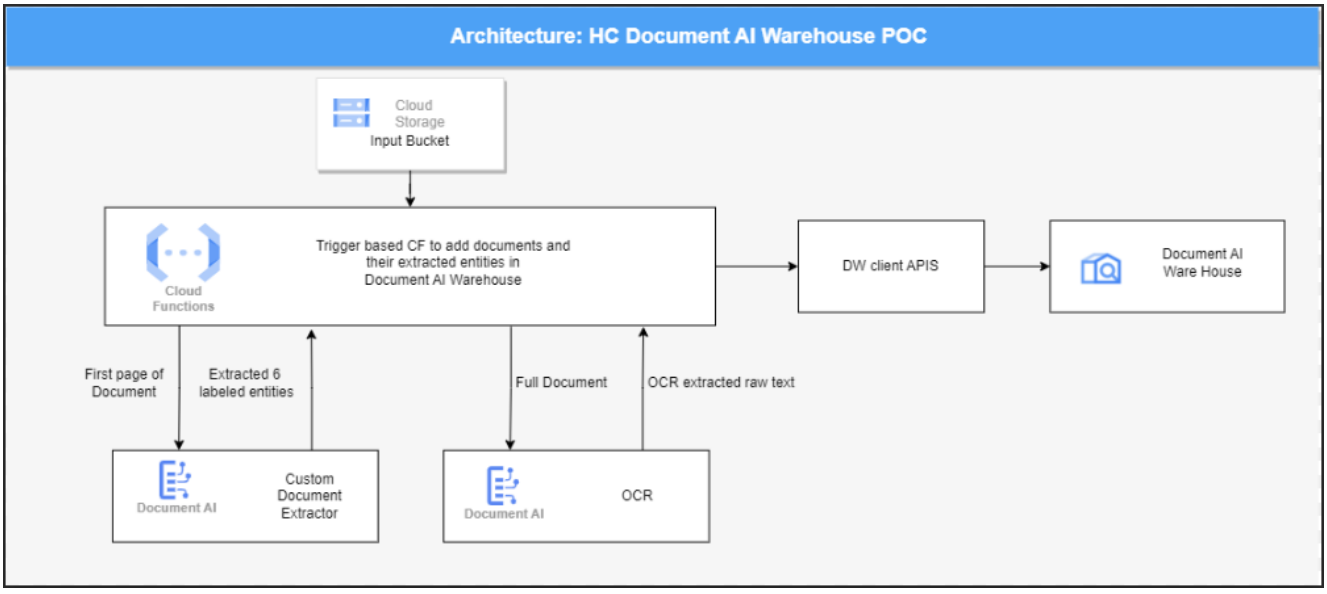
Google Cloud Storage (GCS) allows world-wide storage and retrieval of any amount of data at any time. Cloud Storage can be used for a range of scenarios including serving website content, storing data for archival and disaster recovery, or distributing large data objects to users via direct download.

Document AI

- Document AI OCR
  This processor allows you to identify and extract text, including handwritten text, from documents in over 200 languages.

- Document AI Custom Document Extractor (CDE)
  This processor helps to build and train customized entity extractor for new document types for which no pre-trained processors are available

The Solution Architecture Diagram is as follows:



1.1 Architecture Setup using Terraform

Terraform is an infrastructure as code (IaC) tool that allows you to build, change, and version infrastructure in a declarative manner. We are using Terraform code to create the components of the Inferencing systems in the architecture diagram. Note that this is a one time task, when you are starting to build out the POC architecture.

- Terraform code link

Clone the repo using this command

1. Open Cloud shell

2. Clone the repo using the following command:

git clone https://gitlab.qdatalabs.com/applied-ai/canada/healthcanada/hc-docwarehouse.git

1.1.1 Create GCP Project and backend bucket

To start deploying infrastructure on the GCP platform, we need a GCP project and a GCS bucket for saving the Terraform remote state, Terraform should use a remote state to prevent race conditions and stale Terraform plans from corrupting/mismanaging resources..

To create a GCP project we can start Google Cloud Shell and run the following command.

```
gcloud projects create PROJECT_ID
```

To create GCS bucket for terraform which will store the terraform state file in the project, run the following command

```
gcloud storage buckets create gs://terraform_state_BUCKET_NAME
--project=PROJECT_ID --location=northamerica-northeast1
```

Reference link for project creation
https://cloud.google.com/resource-manager/docs/creating-managing-projects

Reference link for cloud storage bucket creation
https://cloud.google.com/storage/docs/creating-buckets

1.1.2 Create Terraform runner service-account

```
gcloud iam service-accounts create SA_NAME --description="DESCRIPTION"
--display-name="DISPLAY_NAME"
```

To deploy infrastructure using Terraform to GCP, we can authenticate either using

a GCP user account or, preferably, by using a service account. Especially in the case of deploying Terraform through a pipeline, it is required to have the means to authenticate as a service account such as by storing the service account JSON key file as a secret, or by using service account impersonation where we use short-lived credentials to authenticate calls to Google Cloud APIs. The user who will run the Terraform requires the Service Account Token Creator IAM role.

Reference link for service account creation
https://cloud.google.com/iam/docs/service-accounts-create#iam-service-accounts-create-gcloud

IAM roles needed for Terraform runner service-account are listed below

- Cloud Functions Admin
- Document AI Administrator
- Project IAM Admin
- Role Administrator
- Service Management Administrator
- Storage Admin
- Editor

gcloud command to add IAM Roles to terraform runner service account

- *gcloud projects add-iam-policy-binding PROJECT_ID --member="serviceAccount:terraform_runner_SA_NAME@PROJECT_ID.iam.gserviceaccount.com" --role="roles/cloudfunctions.admin"*
- *gcloud projects add-iam-policy-binding PROJECT_ID --member="serviceAccount:terraform_runner_SA_NAME@PROJECT_ID.iam.gserviceaccount.com" --role="roles/roles/documentai.admin"*
- *gcloud projects add-iam-policy-binding PROJECT_ID --member="serviceAccount:terraform_runner_SA_NAME@PROJECT_ID.iam.gserviceaccount.com" --role="roles/resourcemanager.projectIamAdmin"*
- *gcloud projects add-iam-policy-binding PROJECT_ID --member="serviceAccount:terraform_runner_SA_NAME@PROJECT_ID.iam.gserviceaccount.com" --role="roles/roles/iam.roleAdmin"*
- *gcloud projects add-iam-policy-binding PROJECT_ID --member="serviceAccount:terraform_runner_SA_NAME@PROJECT_ID.iam.gserviceaccount.com" --role="roles/roles/servicemanagement.admin"*
- *gcloud projects add-iam-policy-binding PROJECT_ID --member="serviceAccount:terraform_runner_SA_NAME@PROJECT_ID.iam.gserviceaccount.com" --role="roles/roles/storage.admin*
- *gcloud projects add-iam-policy-binding PROJECT_ID --member="serviceAccount:terraform_runner_SA_NAME@PROJECT_ID.iam.gserviceaccount.com" --role="roles/roles/editor*

1.1.3 Enable The Apis

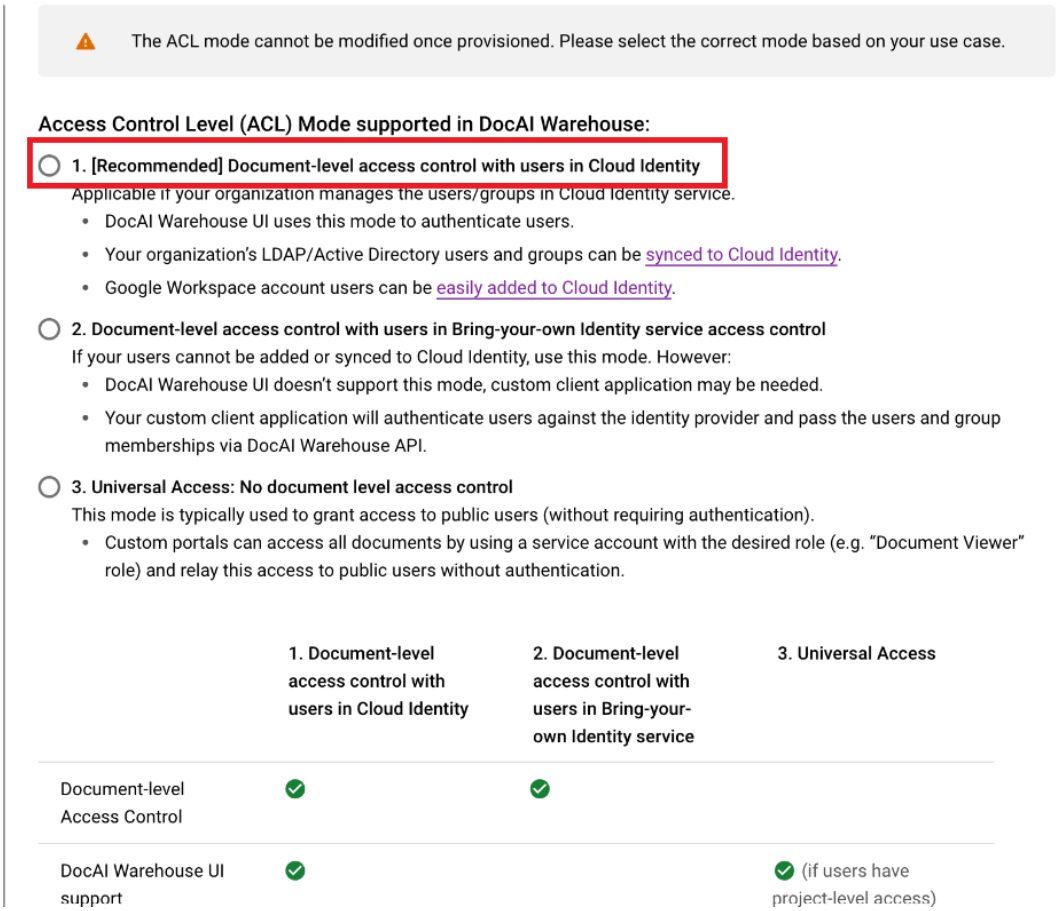
Go to the API and services from the cloud console click on enable API and services search below APIs and click on enable

- cloudresourcemanager.googleapis.com
- Serviceusage.googleapis.com
- App Engine
- IAM Service Account Credentials API

Note: These APIs are to be created manually

1.1.4 Document AI Warehouse creation

Refer to this link to create an instance of Document AI Warehouse in the project
Note:- Choose the ACL Mode as [Recommended] Document-level access control with users in Cloud Identity



⚠ The ACL mode cannot be modified once provisioned. Please select the correct mode based on your use case.

Access Control Level (ACL) Mode supported in DocAI Warehouse:

○ **1. [Recommended] Document-level access control with users in Cloud Identity**

Applicable if your organization manages the users/groups in Cloud Identity service.

- DocAI Warehouse UI uses this mode to authenticate users.
- Your organization's LDAP/Active Directory users and groups can be synced to Cloud Identity.
- Google Workspace account users can be easily added to Cloud Identity.

○ **2. Document-level access control with users in Bring-your-own Identity service access control**

If your users cannot be added or synced to Cloud Identity, use this mode. However:

- DocAI Warehouse UI doesn't support this mode, custom client application may be needed.
- Your custom client application will authenticate users against the identity provider and pass the users and group memberships via DocAI Warehouse API.

○ **3. Universal Access: No document level access control**

This mode is typically used to grant access to public users (without requiring authentication).

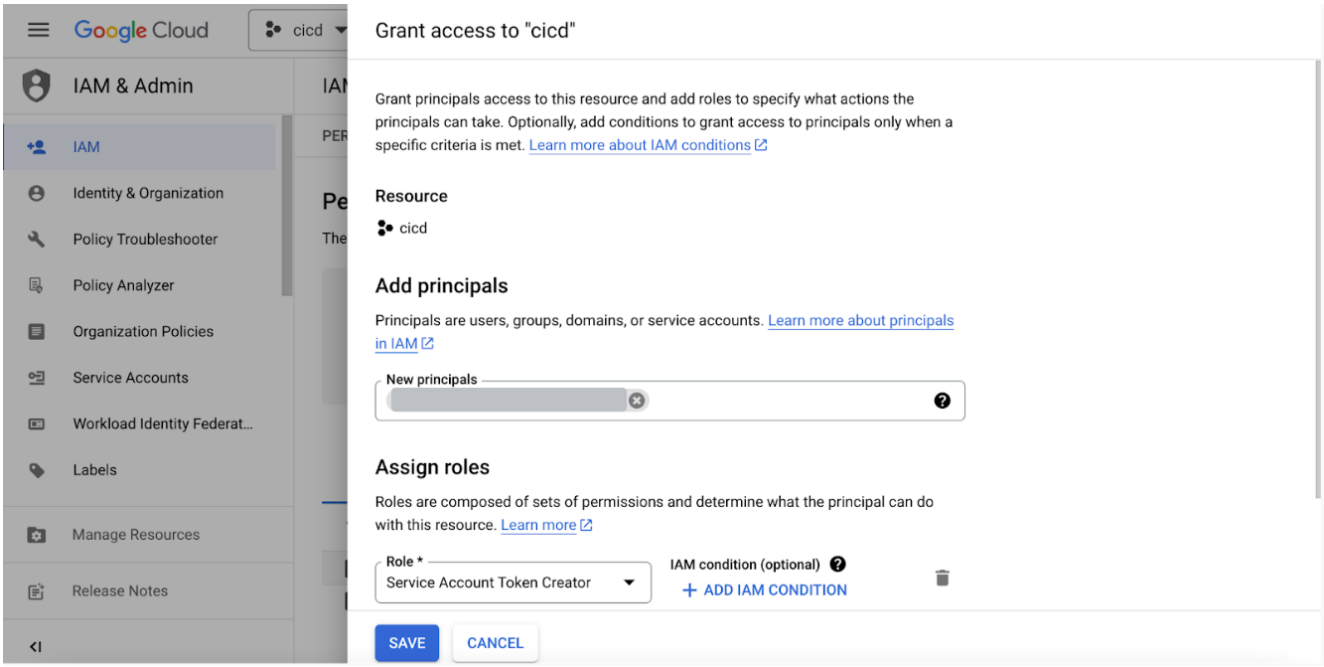
- Custom portals can access all documents by using a service account with the desired role (e.g. "Document Viewer" role) and relay this access to public users without authentication.

	1. Document-level access control with users in Cloud Identity	2. Document-level access control with users in Bring-your-own Identity service	3. Universal Access
Document-level Access Control	✓	✓	
DocAI Warehouse UI support	✓		✓ (if users have project-level access)

1.1.5 Grant SA token creator role

Provide service Account Token Creator role to the user who will run the Terraform requires the Service Account Token Creator IAM role.

Go to the GCP IAM section click on grant access and provide Service Account Token Creator role The user who will run the Terraform



1.3 Deploying the Terraform code

Terraform structure
Note: function-source.zip contains the ML code that will reside in the Cloud function named **HC_cloud_fuction.**

```
└── terraform
    ├── function-source.zip
    ├── modules
    │   ├── DocAi_Processor
    │   │   ├── main.tf
    │   │   ├── outputs.tf
    │   │   └── variables.tf
    │   ├── IAM
    │   │   ├── main.tf
    │   │   ├── outputs.tf
    │   │   └── variables.tf
    │   ├── Services
    │   │   ├── main.tf
    │   │   ├── outputs.tf
    │   │   └── variables.tf
    │   ├── cloud_function
    │   │   ├── main.tf
    │   │   ├── outputs.tf
    │   │   └── variables.tf
    │   ├── cloud_storage
    │   │   ├── main.tf
    │   │   ├── outputs.tf
    │   │   └── variables.tf
    │   └── custom_role
    │       ├── main.tf
    │       ├── outputs.tf
    │       └── variables.tf
    └── root
        ├── Terraform.gitignore
        ├── backend.tf
        ├── config.py
        ├── docai_processor_creation.py
        ├── impersonate.tf
        ├── main.tf
        ├── outputs.tf
        ├── requirements.txt
        ├── run.sh
        ├── terraform.tfvars
        └── variables.tf

9 directories, 31 files
```

1.3.1 Provide the values for Terraform variables

Go inside the terraform folder you will find root folder Inside the root folder there is a backend.tf file goes to this file you can find variable

bucket = "<terraform-state-bucket-name>"

replace **"<terraform-state-bucket-name>"** with your manually created bucket for terraform state bucket

terraform_code > terraform > root > backend.tf > terraform > backend "gcs" > bucket

```
terraform {
  backend "gcs" {
    bucket = "<terraform-state-bucket-name>" #this bucket need to create manually
  }
}
```

Go inside the terraform.tfvars folder and provide values for these variables

```
/* impersonate terraform service account */
service_account = "<terraform runner service_account>"

/* project_id */
project_id = "<project_id>"

/* Cloud Storage */
name     = "processor_training_bucket"
location = "us-central1"

/* IAM */
mode     = "additive"
projects = ["<project_id>"]
bindings = {
 "roles/bigquery.readSessionUser" = [
  "serviceAccount:<Doc Ai-service-account>",
 ]
 "roles/bigquery.user" = [
  "serviceAccount:<Doc Ai-service-account>",
 ]
```

```
"roles/contentwarehouse.admin" = [
  "serviceAccount:<Doc Ai-service-account>",
  "user:<user_id>",
]
"roles/contentwarehouse.documentAdmin" = [
  "serviceAccount:<Doc Ai-service-account>",
  "user:<user_id>",
]
"roles/contentwarehouse.documentCreator" = [
  "serviceAccount:<Doc Ai-service-account>",
  "user:<user_id>",
]
"roles/contentwarehouse.serviceAgent" = [
  "serviceAccount:<Doc Ai-service-account>",
]
"roles/contentwarehouse.documentViewer" = [
  "serviceAccount:<Doc Ai-service-account>",
]
"roles/documentai.admin" = [
  "serviceAccount:<Doc Ai-service-account>",
  "user:<user_id>"
]
"roles/contentwarehouse.documentAdmin" = [
  "serviceAccount:<Doc Ai-service-account>",
]
"roles/secretmanager.secretAccessor" = [
  "serviceAccount:<Doc Ai-service-account>",
]
"roles/iam.serviceAccountTokenCreator" = [
  "serviceAccount:<Doc Ai-service-account>",
]
"roles/storage.admin" = [
  "serviceAccount:<Doc Ai-service-account>",
  "user:<user_id>"
```

```
]
"roles/storage.objectViewer" = [
  "serviceAccount:<Doc Ai-service-account>",
]
"roles/aiplatform.admin" = [
  "serviceAccount:<Doc Ai-service-account>",
  "user:<user_id>",
]
"roles/bigquery.admin" = [
  "user:<user_id>",
]
"roles/bigquery.dataEditor" = [
  "user:<user_id>",
]
"roles/errorreporting.admin" = [
  "user:<user_id>",
]
"roles/logging.admin" = [
  "user:<user_id>",
]
"roles/notebooks.admin" = [
  "user:<user_id>",
]
"roles/notebooks.viewer" = [
  "user:<user_id>",
]
"roles/iam.serviceAccountUser" = [
  "user:<user_id>",
]
"roles/contentwarehouse.documentAdmin" = [
  "user:<user_id>",
]
"roles/storage.admin" = [
  "user:<user_id>"
```

```
]
 "roles/storage.objectAdmin" = [
  "user:<user_id>",
 ]
}

/* custom role */
target_level = "project"
target_id    = "<project_id>"
role_id      = "warehouse_custom_role"
title        = "doc ai warehousecustom custom role "
description  = "custom role for doc ai warehouse"
permissions                                    =                    ["contentwarehouse.documentSchemas.create",
"contentwarehouse.documentSchemas.delete",                    "contentwarehouse.documentSchemas.get",
"contentwarehouse.documentSchemas.list",                   "contentwarehouse.documentSchemas.update",
"contentwarehouse.documents.create",                                  "contentwarehouse.documents.delete",
"contentwarehouse.documents.get",                               "contentwarehouse.documents.getIamPolicy",
"contentwarehouse.documents.update",                                  "contentwarehouse.locations.initialize",
"contentwarehouse.operations.get",                              "contentwarehouse.rawDocuments.download",
"contentwarehouse.rawDocuments.upload",                                "contentwarehouse.synonymSets.get",
"contentwarehouse.synonymSets.list", "contentwarehouse.synonymSets.update"]
members      = ["serviceAccount:<Doc Ai-service-account>"]

/* cloud function */
cloud_function_name        = "HC_cloud_fuction"
cloud_function_desc        = "HC_cloud_function for Ml code"
runtime                    = "python310"
region                     = "us-central1"
timeout                    = 540
cloud_function_code_bucket  = "cloud_function_code_bucket"
cloud_function_event_bucket = "input-pdf-bucket"
source_code_name           = "function-source.zip"
source_code_path           = "../function-source.zip"
entry_point_function       = "main"
```

```
memory                  = 8192
# environment_variables for cloud function code #
project_number          = "<project_number>"
cloud_function_code_location = "us"
input_mime_type         = "application/pdf"
schema_id               = "<doc ai warehouse schema_id>"
sa_user                 = "user:<doc ai warehouse service account>"


/* DocAi */
docai_location      = "us"
first_processor_type  = "OCR_PROCESSOR"
second_processor_type = "CUSTOM_EXTRACTION_PROCESSOR"
first_docai_name    = "ocr_processor"
second_docai_name   = "cde_processor"


/* Api And services */
gcp_service_list            =           ["contentwarehouse.googleapis.com",          "documentai.googleapis.com",
"cloudfunctions.googleapis.com", "cloudbuild.googleapis.com"]
```

1.3.2 Run terraform code

To run Terraform code run these commands

```
cd hc-docwarehouse/code/terraform-code/terraform/root

gcloud auth application-default login

terraform init

terraform plan

terraform apply
```

Note:-
After running the **gcloud auth application-default login** **please authenticate with user who already added to gcp project and have service account token creator role**

2. Batch Inference

2.1 Data Ingestion:

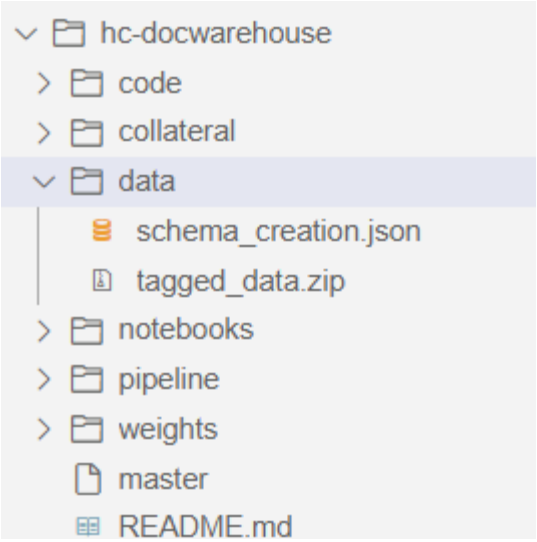
Through terraform 3 buckets will be created:

1. **<project-id>-cloud_function_code_bucket**: Contains the zip of Cloud function code
2. **<project-id>-input-pdf-bucket** : Landing bucket for the pdfs to trigger the pipeline that resides in cloud function

3. **<project-id>-processor_training_bucket** : Contains the exported jsons for train and test

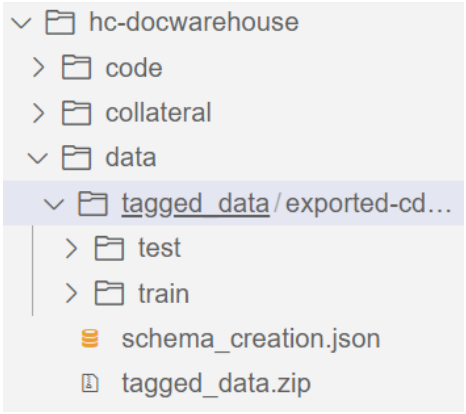
2.1.1. CDE Data export management:

Since we have a trained model wrt to a specific training and test dataset, we need to move the training and testing dataset to the other environment to train the newly provisioned processor, Check for the data in the data folder.
Using command
cd hc-warehouse/data
The tagged data would be present in the zip file as shown below:



Now unzip the zip using the following command:
unzip tagged_data.zip

Once unzipped, the directory would look like this:



Go to tagged_data with command **cd tagged_data/**

Now, follow the following gsutil command to transfer the training files to the bucket

```
gsutil cp -r exported-cde-tagged-data gs://<project-id>_processor_training_bucket
```

Once the data transfer has been completed, the directory structure wrt train and test folder will be created in the target project which will have the exported jsons. The python code will automatically create a CDE processor by following ways as mentioned below:

Note: Before running the **run.sh** file, below steps need to be completed.

1. Get to the config file which is inside the root directory, directory sequence as follows:
   hc-docwarehouse→code→terraform-code→terraform→root→config.py

2. Open the config.py and fill in the placeholder places(i.e GCS path for train data, GCS path for test data, Project id, Project number, location, training version name(a string value for the display name)) as shown below.

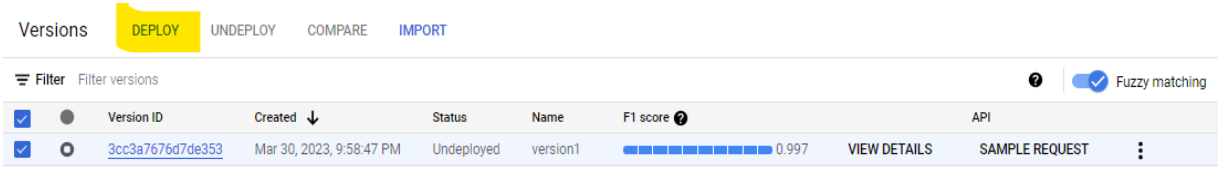
```
#Defining the variables
parameter_dict = {'DEST_PROCESSOR_NUMBER':os.environ.get["cde_processor_id"],
                  'GCS_PATH_FOR_LABELLED_DATA_TEST':'gs://<Add ur PROJECT_ID>_processor_training_bucket/exported-cde-tagged-data/test/',
                  'GCS_PATH_FOR_LABELLED_DATA_TRAIN':'gs://<Add ur PROJECT_ID>_processor_training_bucket/exported-cde-tagged-data/train/',
                  'PROJECT_ID': '<Add Project ID>',
                  'API_LOCATION' : '<Add Location>',
                  'PROJECT_NUMBER' : '<Add project number>',
                  'VERSION_NAME' : '<Add Processor training version name>'}
```

3. Once the changes in the config file has been made, run the following commands:

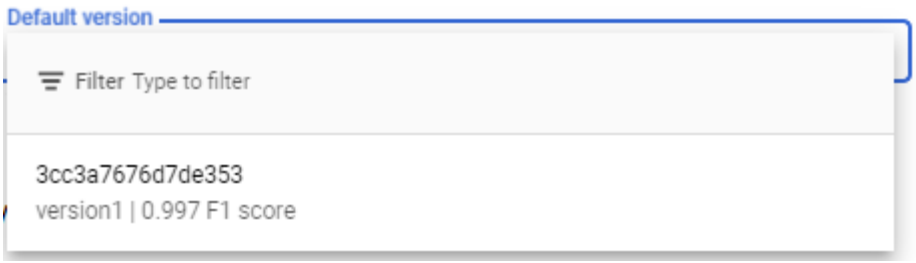
```
cd hc-docwarehouse/code/terraform-code/terraform/root
sudo chmod +x run.sh
./run.sh
```

4. Now it will start initializing a CDE processor in the background and will perform the following sequence of steps: Data Import → Training → Deployment.

5. After the processor is trained, go to the managed versions tab in the CDE processor and click on deploy to deploy the trained version .



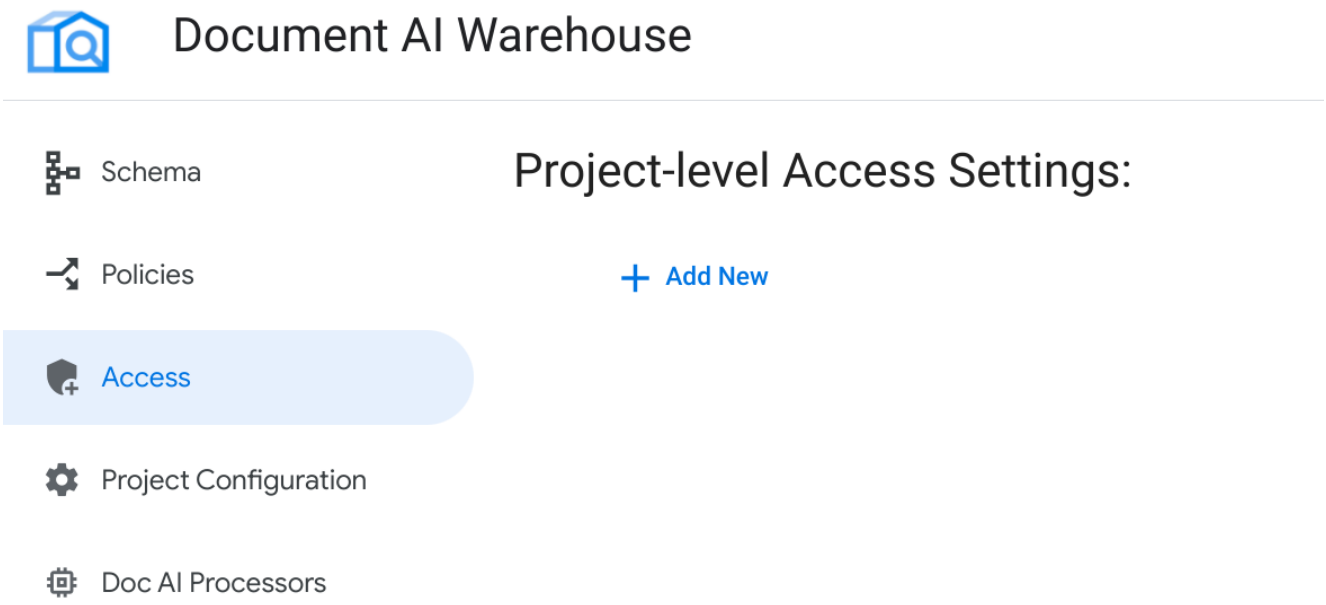
6. Assign that deployed version as default to process the requests by the respective version.



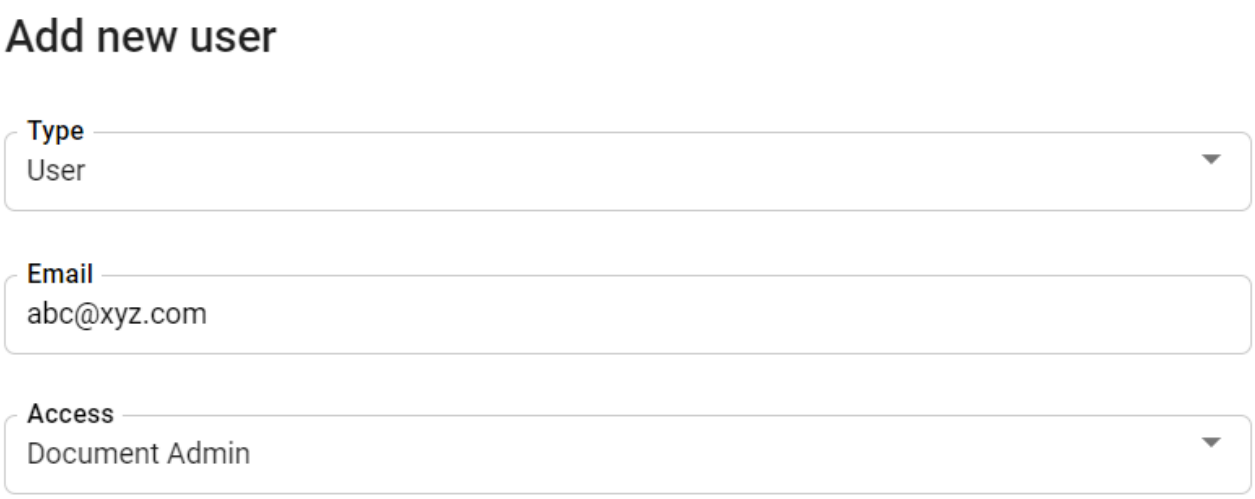
2.2 DocAI Warehouse

2.2.1 Steps to setup DocAI Warehouse

After creating the DocAI warehouse instance, one has to join the warehouse ui preview group. Link to the group. Once you are added to the group you can start viewing the UI of the warehouse.
At present, no-one has authority to work with any documents. We must set up some initial access permissions. Launch the UI and go to the Admin tab and click Access.



Click the Add New button and enter details for your identity:

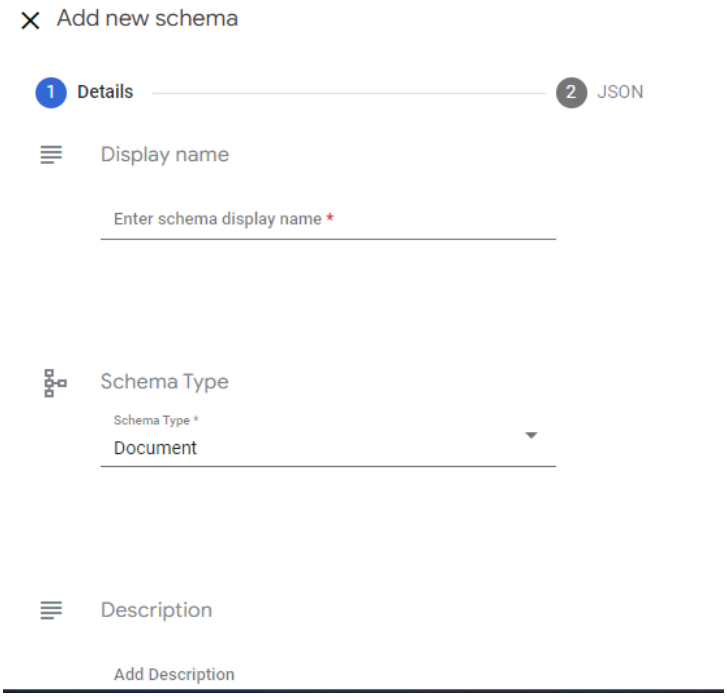


We will find that our user now has permissions to work with document.

Note : Please make sure that the document ai warehouse service account is added as Document Admin.

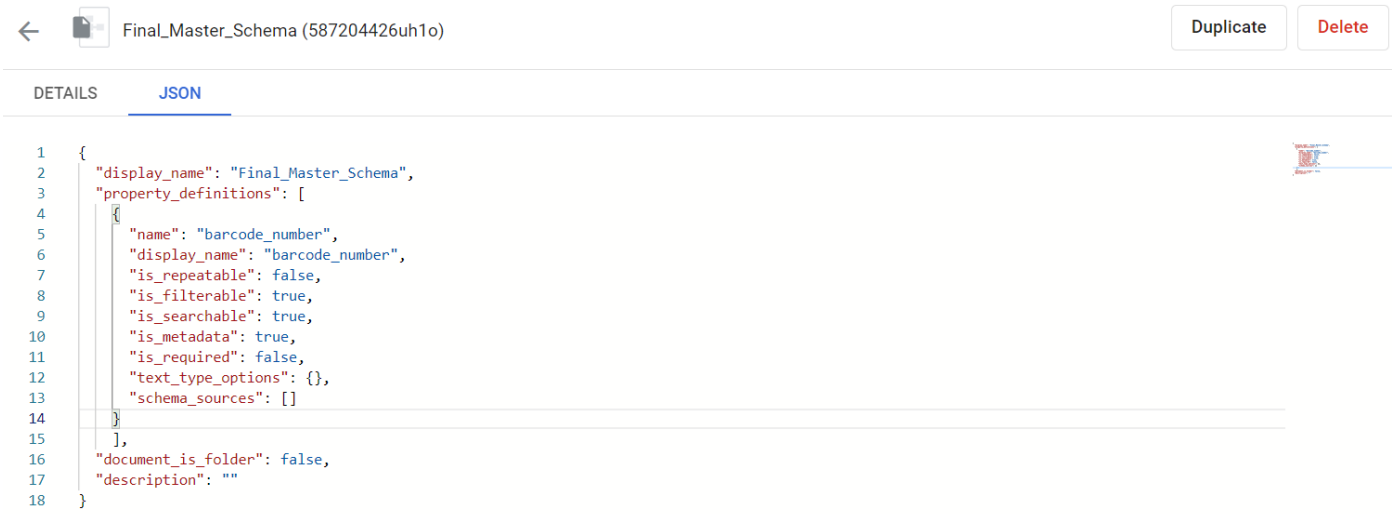
2.2.2 Steps to create schema through Warehouse UI

Click on add new button and fill the details like schema display name,type and description.



Add the required properties, a sample template of schema json attached here and click on Done.

Shown below creates a schema which has one attributed **barcode number**, which is filterable as well as searchable.



Once the schema is created, it would reflect in the Schema section along with its number of properties as shown below.

2.3 Cloud Function:

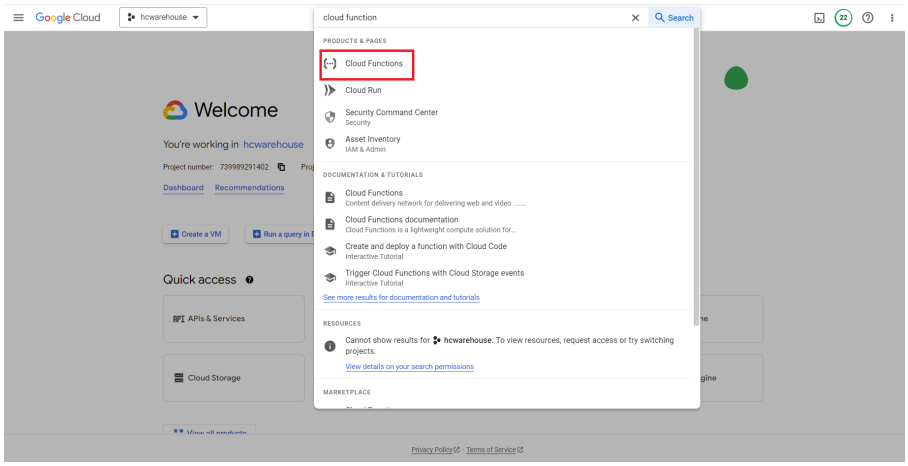
The ML pipeline code is running on a cloud function called **HC_cloud_function**. Following the deployment of the Cloud function using the Terraform script, the following prerequisites must be met:

Prerequisites:

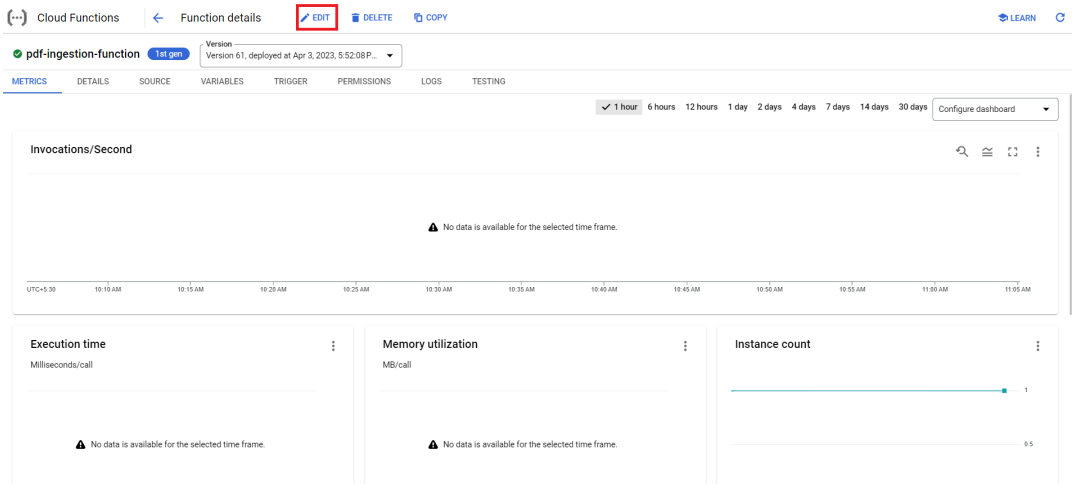
1. Change the schema_id and sa_user under the Runtime environment variables of Cloud function to the desired values.

   Steps:

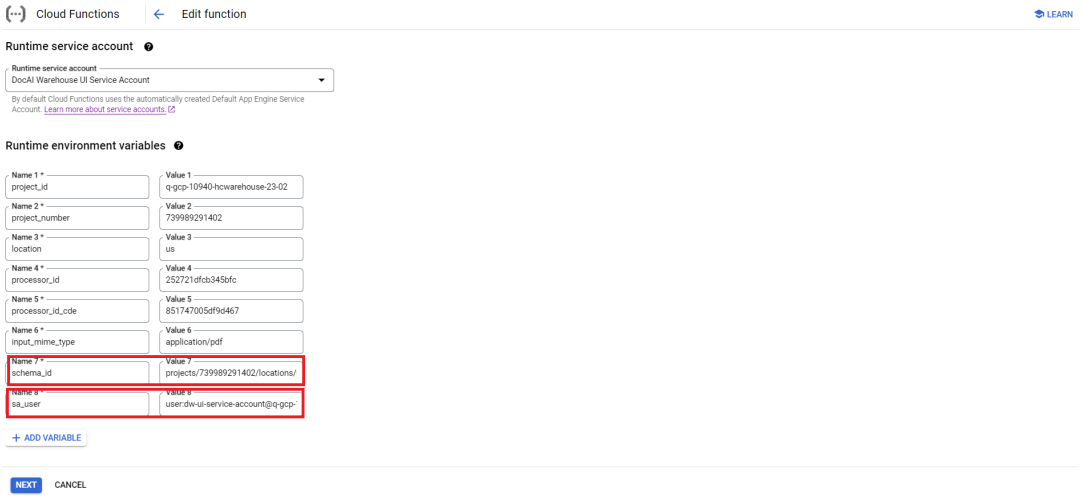
   a. Open the cloud functions page in the Google Cloud console as shown



   b. Head to the deployed Cloud function pdf-ingestion-function
   c. Click on edit

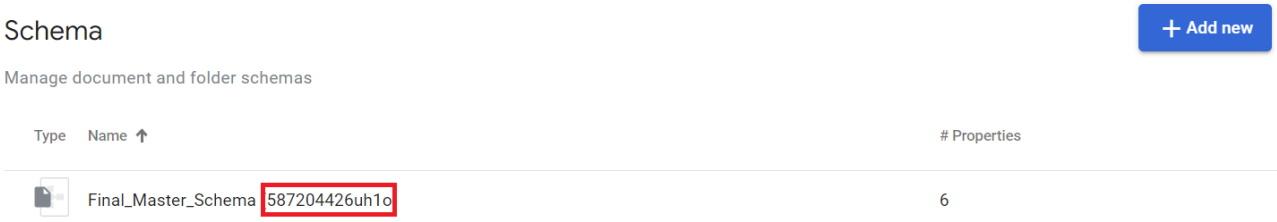


d. Expand the Runtime, build, connections and security settings and find the variables under the section of Runtime environment variables



Schema_id value needs to be changed according to the requirements. Schema id needs to follow this format:
projects/{project}/locations/{location}/documentSchemas/{schema_id}

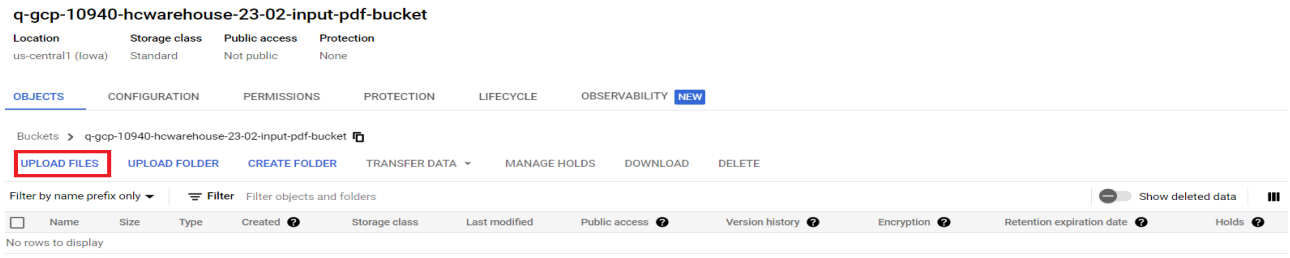
schema_id can be found here as shown:



e. Then click on next followed by deploy to deploy the cloud function with the changes.

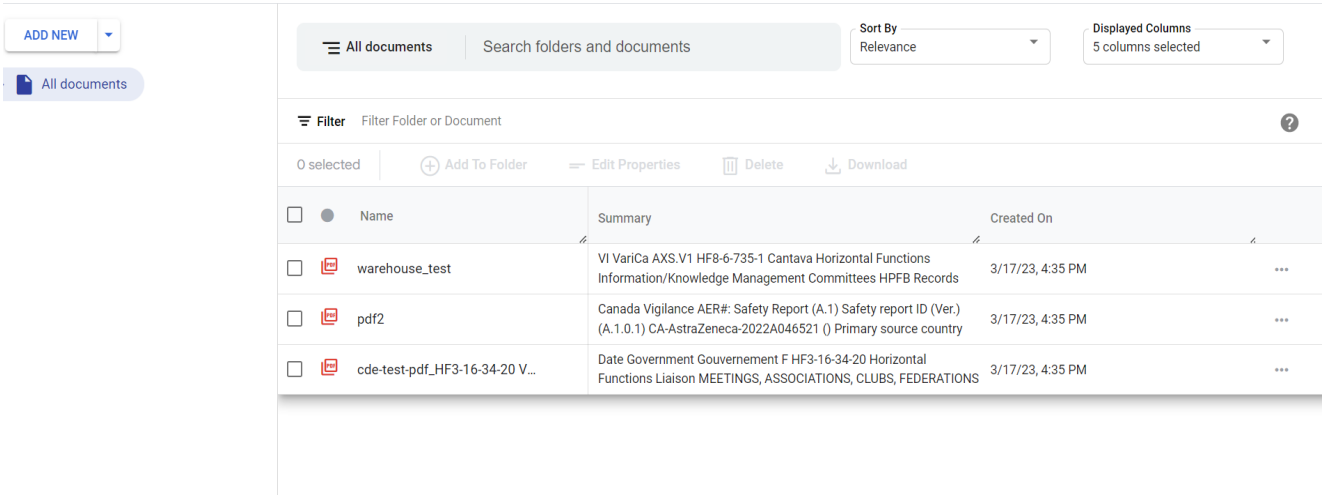
2.4. Pipeline run:

We are using GCS for data ingestion and the name of the bucket goes by **<project-id>-input-pdf-bucket**. The solution supports both single and multiple file uploads.

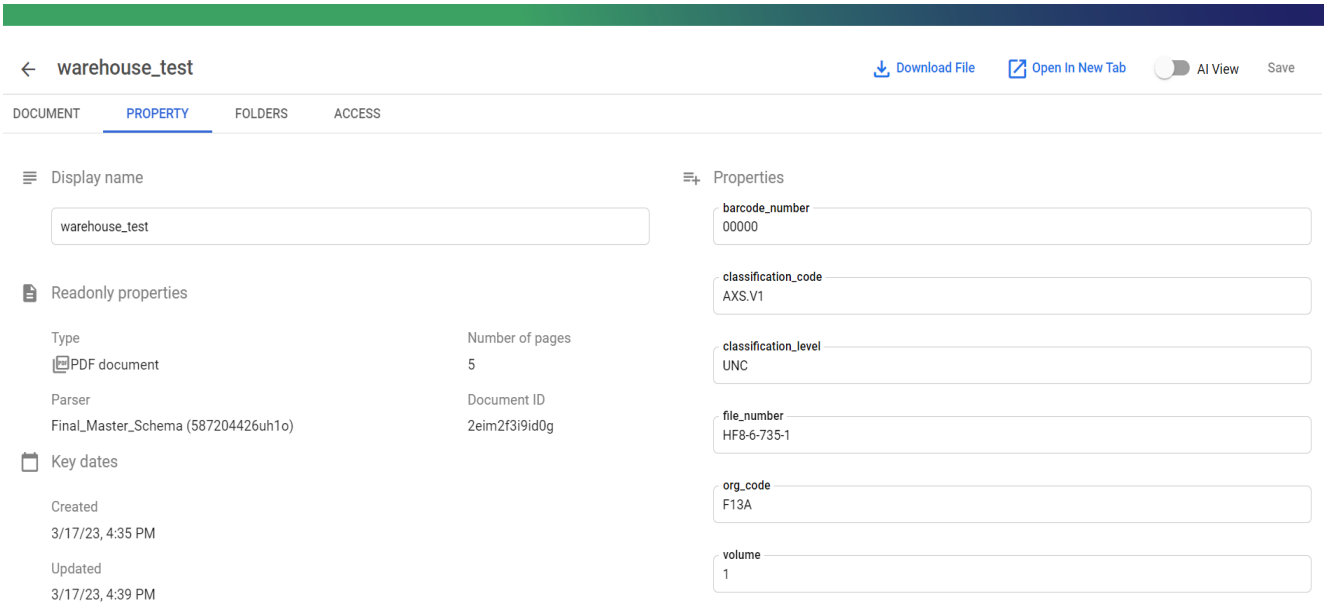


After uploading of documents to cloud storage, it triggers the cloud function named as **HC_cloud_function** which ocr the complete document and extract entities from the first page using Custom Document Extractor(CDE).

And after the extraction process, it pushed the pdf document to Warehouse with the extracted entities to be displayed as the properties wrt the respective document as shown below.



The properties for a document are listed out in this fashion(shown below):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Document ID
2eim2f3i9id0g
Key dates
Created
3/17/23, 4:35 PM
Updated
3/17/23, 4:39 PM
Properties
barcode_number
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classification_code
AXS.V1
classification_level
UNC
file_number
HF8-6-735-1
org_code
F13A
volume
1