



# DUBAI ISLAMIC BANK IMPLEMENTING A DOCUMENT MANAGEMENT SYSTEM FOR THE POLICIES & PROCEDURES DEPARTMENT

Dubai Islamic Bank (DIB) is a leading bank in the MEA region and is headquartered in Dubai, UAE. It is one of the most progressive Islamic financial institutions in the world with an unparalleled commitment to delivering flexible, innovative, and comprehensive financial solutions that are personalized for their clients. Policies and Procedures (P&P) is a key department within the DIB charged with ensuring that all of the bank's functions and activities are compliant with the bank's policies, management guidelines, and the country's laws and regulations.

## The Challenge

Given the scale of its business operations and reach, the DIB's Policy & Procedure (P&P) department enables them to achieve their long term corporate objectives without compromising on controls. The P&P is the DIB's internal control system, enforcing strict compliance with the bank's policies, management guidelines, and the country's laws and regulations across the bank's various operations.



In order to strengthen compliance monitoring throughout the bank's department, the P&P needed an in-house system that would allow them to create, track, and monitor the electronic approval of new documents as well as serve as a repository for approved, released documents.

# The Solution

With the success of the Dar Al Shari'a's (DAS) Case Tracking System, PositiveEdge was engaged by DIB Information Technology management to develop and implement a dedicated solution for the P&P's business requirements. PositiveEdge proposed leveraging the DIB IT's SharePoint platform once more to host a Document Management System outfitted with Access Controls to meet the P&P's needs. It would serve as a key control system for the P&P's compliance management activities and needed to provide functionalities such as:



Develop documents within the system along with reviews and approvals tracking across the document's entire lifecycle



Maintain a bank-wide database that allowed to permanently preserve and quickly retrieve critical records



Document administration features that would allow them to control, monitor, and report on document generation activities



Facilitate Version and Revision Controls



Security controls that would allow them to limit DIB users' ability to access and work on documents according to their responsibilities, authority, and privileges

## overview

### INDUSTRY

Banking and Finance

### SOLUTION SUMMARY

Implement a CRM solution, focused on enhancing Regulatory Compliance Consulting case management

### TECHNOLOGY

Microsoft® SharePoint  
Microsoft® .NET Framework  
Microsoft® SQL Server Reporting

### BENEFITS

- Automated Document Generation in accordance with the Policies and Procedures of DIB
- End-to-end Tracking and Monitoring of Document lifecycles, from Initiation to Document Generation and Access
- Stringent Document Access Control mechanism as per the DIB's policies and regulations
- Permanent repository and quick retrieval of approved released documents
- Effective Follow-ups and Control through use of standard reports

### RESULTS

- Streamlined and automated workflows
- Improved visibility and reach across the entire organization
- Greater compliance enforcement across all bank department and activities

# The Benefits

The implemented P&P Control System allowed DIB users to easily and seamlessly create and revise documents from a centralized point of access and control. It also equipped the DIB with a stringent control process to ensure and enforce compliance as well as a unified repository for all documents that also allowed for their quick and secure retrieval across departments. It boasts a robust feature list, including:

- ✓ Automation of all recording, tracking, monitoring, review and approval activities that are part of the P&P department's Document generation process
- ✓ Unified system with workflows designed for all stakeholders involved in the review and approval of documents
- ✓ Access Control Mechanism that grants access to documents based on the user's responsibilities, authority, and privileges
- ✓ Version Control for all Documents
- ✓ Stakeholder specific dashboard with status tracking of all requests and pending activities
- ✓ Enquiry Screens for easy access to Information like Document Version, Users History, Review and Approval History, Request Details, etc.
- ✓ Outlook Reminders for various activities that are assigned to Users
- ✓ Seamless accessibility using the Org Active Directory
- ✓ Configurable and Granular Security using SharePoint Groups



## The Results

The P&P control system allowed the P&P department to enforce and drive of compliance with regulations across all of the DIB's crucial documents. With automated document controls, end-to-end monitoring across a document's lifecycle, and a centralized point of access and archiving, the P&P enjoyed unprecedented inter-organizational visibility and reach.

### ABOUT POSITIVEEDGE SOLUTIONS

PositiveEdge Solutions helps customers design, develop and deploy software solutions for critical customer-facing business challenges. With our unparalleled commitment to customer and project success, along with our comprehensive knowledge of Microsoft technologies and broad industry experience and methodologies, we extend the capabilities of core business platforms to create commercial advantage for our customers. By leveraging our unique onshore/offshore delivery model, our consultants work around the clock to provide solutions quickly and cost effectively, which add measureable value to your business.



positiveedge