

DIB Policies & Procedures (P&P) Control System

PositiveEdge enables a leading bank in the MEA region to leverage their SharePoint investment as a platform for optimizing their business applications. PositiveEdge has developed the Policies & Procedures (P&P) Control System, a Document Management System with Access Control.



CUSTOMER

Dubai Islamic Bank (DIB) is a leading bank in the MEA region and headquartered in Dubai, UAE. The IT department of the bank provides technology and application services to the various departments of the bank. The IT department also manages the IT assets and software licenses. Policies and Procedures (P&P) is a key department whose primary aim is to ensure that each activity in the Bank is governed through the Bank's Policies, Management Guidelines, country's laws and Regulations.

BUSINESS SITUATION

As part of the DIB's strategy to achieve its long term objectives without compromising on controls, it decided to have a strong Internal control system in place, which can be achieved by having an efficient and stringent Policy & Procedure department functioning in the bank. This department's aim was to ensure that each activity in the bank is governed through Bank's Policies, Management Guidelines and country's Laws and Regulations. In line with this objective, the P&P department wanted a have an in-house system that can be utilized for creating, tracking, monitoring, electronic approvals of new documents and follow-ups and repository for approved, released documents.

SOLUTION

PositiveEdge recommended leveraging the existing SharePoint platform and develop an application that will cater to the Business Requirement and provide the following functionalities:

- ✓ Develop the document within the system, and track reviews and approvals in the document lifecycle
- ✓ Maintain a bank-wide database and to ensure that the critical records are kept permanently which can be retrieved in future as and when required for reference
- ✓ Provide the feature to effectively control, monitor, and report on the document generation activities
- ✓ Facilitate Version and Revision Controls
- ✓ Provide security controls for DIB users to access and work on the documents as per their responsibility, authority and interest.

BENEFITS

P&P Control System is a SharePoint application accessible to the DIB users and provides these key benefits:

- ✓ Automation of all recording, tracking, monitoring, review and approval activities that are part of the P&P department's Document generation process
- ✓ One single system with workflows designed for all stakeholders who are part of the review and approval of documents, ensuring a stringent control of the process
- ✓ Access Control Mechanism to ensure that each user receives access to documents pertaining to his responsibility, authority and interest
- ✓ User friendly Dashboards specific to the role of the stakeholder, showing the status of all requests and pending activities
- ✓ Easy and seamless creation of a Document in the case of a Document Revision
- ✓ Centralized repository of documents that can be retrieved as and when required
- ✓ Version Control for all Documents
- ✓ 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

Region : Middle East Asia

Industry : Banking

Engagement Highlights:

- ✓ PositiveEdge developed the Document Management and Control System
- ✓ Utilizing Office Open XML, the P&P application provides features like Word editing tool, Rich-text formatting, Merging of Documents and Conversion of Word Document to PDF

Platform:

- ✓ Microsoft SharePoint 2010
- ✓ Microsoft Windows 2008 R2

Tools and Technology used

- ✓ SharePoint 2010
- ✓ SQL Server 2008 R2
- ✓ SQL Server 2008 Reporting Services
- ✓ Microsoft Office 2010
- ✓ Microsoft Visual Studio 2010

Results

- ✓ Automated Document Generation in accordance with Policies and Procedures of DIB
- ✓ Seamless Tracking and Monitoring of the Document lifecycle from Initiation Phase till Document Generation and Access
- ✓ Stringent Document Access Control mechanism as per the DIB's policies and regulations
- ✓ Permanent repository of approved released documents that can be retrieved as and when required
- ✓ Effective Follow-ups and Control through use of standard reports