



Central Bank of The United Arab Emirates

INTEGRATED ENQUIRY MANAGEMENT SYSTEM (IEMS) Financial Intelligence Department

IEMS – FID

User Guide

AUTHOR:
REPORTING SYSTEM

1. DOCUMENT HISTORY

SNO	Version	Change Description	Created By	Date
1	1.0	User Guide for Reporting Entities	REPORTING SYSTEM	28/01/2019



2. TABLE OF CONTENT

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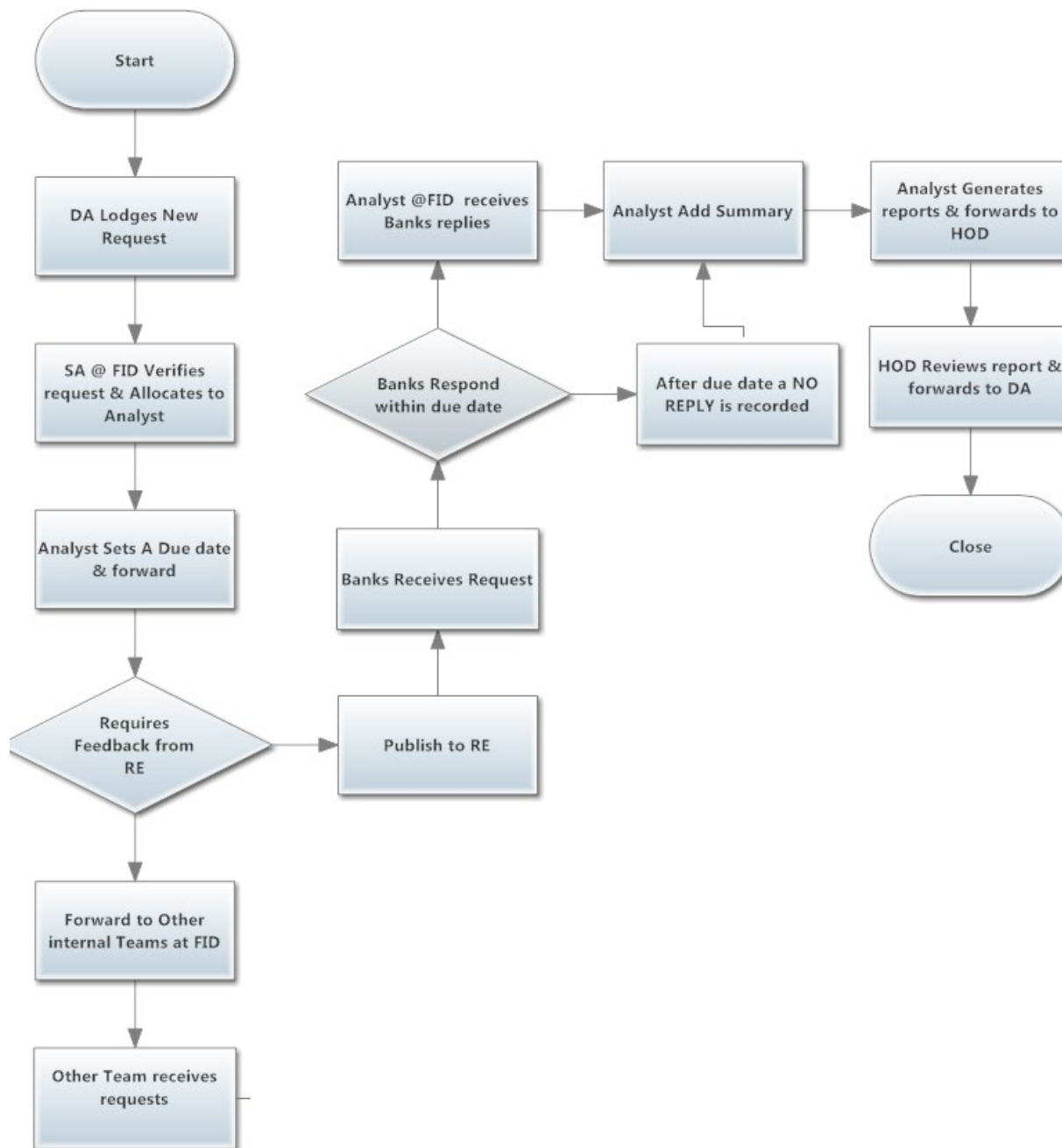
3. INTRODUCTION

The Financial Information Department at Central Bank is introducing a new system that would automate and facilitate the execution process of Requesting information, implementing decisions of public prosecutions and a certain type of requests regarding Combating Money Laundering and financing of Terrorism (AML/CFT) issued by all the Domestic authorities in the state.

This new system, called “Integrated Enquiries Management System – IEMS” that is built on top of an existing system called CCMS, intends to replace the existing Secure Email System currently used between the CBUAE and the banks in correspondence exchange (notices and letters issued by the Financial Information Department to banks electronically (sending / receiving), which involves a certain amount of manual processing. IEMS allows for an end-to-end automated process between the CBUAE and Domestic authorities and the Financial Institutions in the state, and offers a set of functionalities that would strengthen the execution and monitoring of the different domestic authorities, in addition to an adequate statistical reporting module.



4. GENERAL PROCESS FLOW



5. USERS AND ROLES

IEMS will have various types of user groups.

1. ADMIN

This user group can manage all the users within their entity. They can create new users, assign roles and disable users.

2. MAKER (INPUT USER)

The only user group that can reply to requests and add the relevant attachments to the requests.

3. CHECKER (AUTHORIZER)

This group user can only sign off or authorize the replies given to requests by the maker. They can also reject the reply if they find any discrepancy. The request will be returned back to MAKER user for amendment before authorizing the request.

4. VIEWER

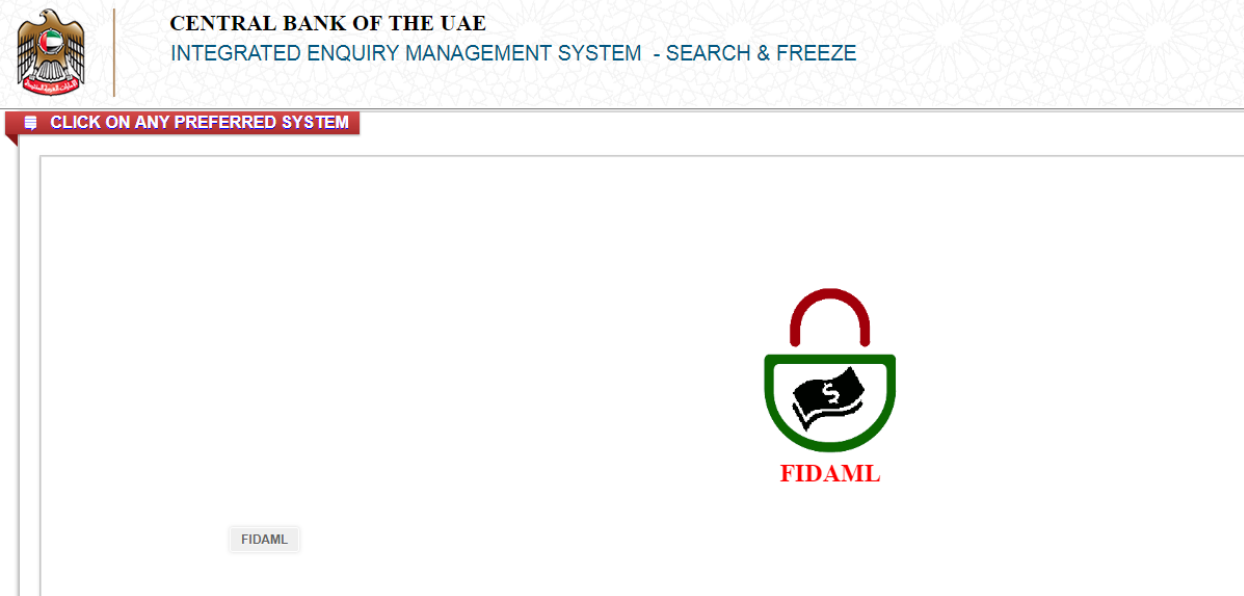
This group will be able to view all the requests lodged by FID.

6. Maker System Actions

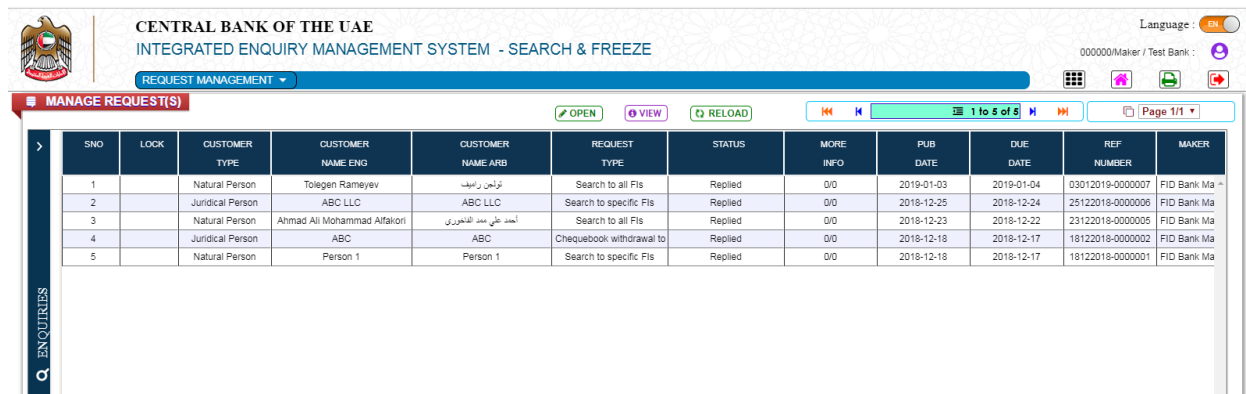
1. Logon to the system



2. Welcome Screen



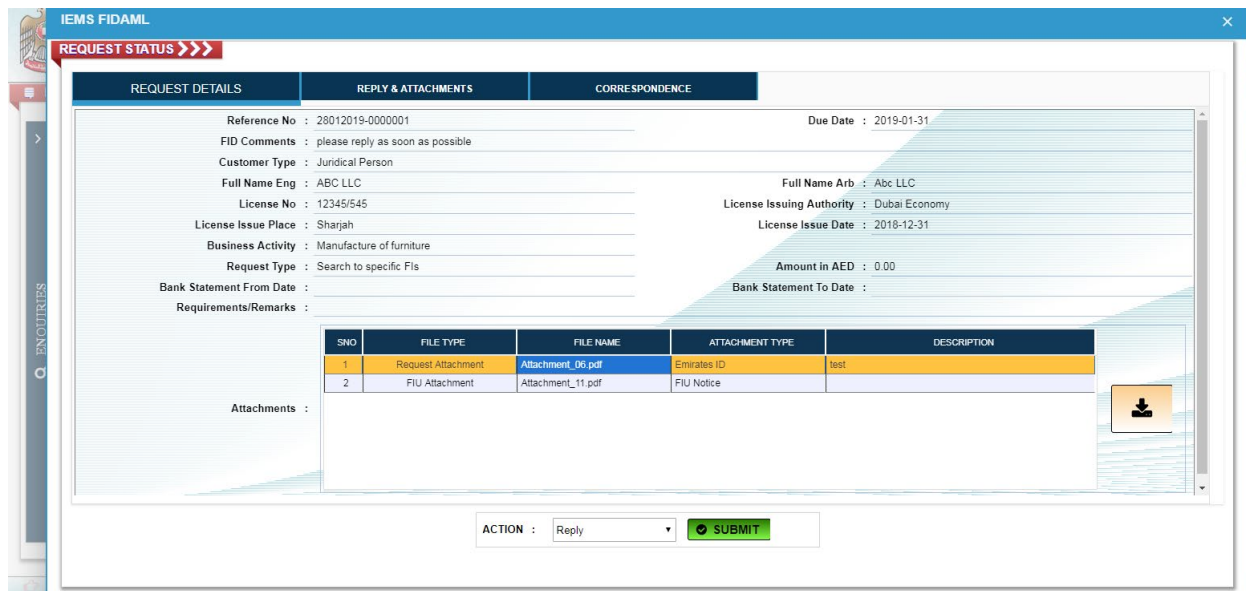
3. View Requests



The screenshot shows the 'MANAGE REQUEST(S)' interface. It includes a table with the following columns: SNO, LOCK, CUSTOMER TYPE, CUSTOMER NAME ENG, CUSTOMER NAME ARB, REQUEST TYPE, STATUS, MORE INFO, PUB DATE, DUE DATE, REF NUMBER, and MAKER. The table contains 5 rows of data.

SNO	LOCK	CUSTOMER TYPE	CUSTOMER NAME ENG	CUSTOMER NAME ARB	REQUEST TYPE	STATUS	MORE INFO	PUB DATE	DUE DATE	REF NUMBER	MAKER
1		Natural Person	Tolagen Rameyev	تولاجن رامييف	Search to all Fis	Replied	0/0	2019-01-03	2019-01-04	03012019-0000007	FID Bank Ma
2		Juridical Person	ABC LLC	ABC LLC	Search to specific Fis	Replied	0/0	2018-12-25	2018-12-24	25122018-0000006	FID Bank Ma
3		Natural Person	Ahmad Ali Mohammad Alfarani	أحمد علي محمد الفاروني	Search to all Fis	Replied	0/0	2018-12-23	2018-12-22	23122018-0000005	FID Bank Ma
4		Juridical Person	ABC	ABC	Chequebook withdrawal to	Replied	0/0	2018-12-18	2018-12-17	18122018-0000002	FID Bank Ma
5		Natural Person	Person 1	Person 1	Search to specific Fis	Replied	0/0	2018-12-18	2018-12-17	18122018-0000001	FID Bank Ma

4. Respond to the request



The screenshot shows the 'REQUEST STATUS' interface with tabs for REQUEST DETAILS, REPLY & ATTACHMENTS, and CORRESPONDENCE. The REQUEST DETAILS tab is active, displaying the following information:

- Reference No : 28012019-0000001
- FID Comments : please reply as soon as possible
- Customer Type : Juridical Person
- Full Name Eng : ABC LLC
- License No : 12345/545
- License Issue Place : Sharjah
- Business Activity : Manufacture of furniture
- Request Type : Search to specific Fis
- Bank Statement From Date :
- Requirements/Remarks :

On the right side, the following information is displayed:

- Due Date : 2019-01-31
- Full Name Arb : Abc LLC
- License Issuing Authority : Dubai Economy
- License Issue Date : 2018-12-31
- Amount in AED : 0.00
- Bank Statement To Date :

Below the details, there is a table for attachments:

SNO	FILE TYPE	FILE NAME	ATTACHMENT TYPE	DESCRIPTION
1	Request Attachment	Attachment_06.pdf	Emirates ID	test
2	FIU Attachment	Attachment_11.pdf	FIU Notice	

At the bottom, there is an 'ACTION' dropdown menu set to 'Reply' and a green 'SUBMIT' button.

- While replying to the requests, the maker has to attach the relevant supporting documents

5. Banks and FIC Reply Screen

IEMS FIDAML
×

REQUEST STATUS >>>

REQUEST DETAILS
REPLY & ATTACHMENTS
CORRESPONDENCE

***Relationship :** Customer

***Reply Action :** Recommended action taken

Reply Comments :

**** Account Details :**

SNO	A/C NAME	A/C NO IBAN NO	A/C TYPE	CURRENCY	A/C OPEN DATE	A/C CLOSE DATE	A/C STATUS	DEBIT TURN OVER	CREDIT TURN OVER	CURRENT BALANCE	SIGN
1	1234567	145545454544	Savings	AED - United Ara	31/12/2018	03/01/2019	Open	0	0	0	

[Add](#)
[Delete](#)

****Reply Attachments :**

SNO	FILE TYPE	FILE NAME	CATEGORY	DESCRIPTION
1	Reply Attachment	SKMBT_42318122010411.pdf	Account Statement	Reply

[Add](#)
[Delete](#)
[Download](#)

Reject Reason :

ACTION : Reply
SUBMIT

- The customer account details has to be entered if the request is an action against a customer.
- If the request is about a non customer, relevant relationship has to be selected.
- All the * marked field has to be entered.
- Supporting documents should be attached.

6. Exchange House Reply Screen

IEMS FIDAML
X

REQUEST STATUS >>>

REQUEST DETAILS

REPLY & ATTACHMENTS

CORRESPONDENCE

***Relationship :** Please Select

***Reply Action :** Please Select

Reply Comments :
[Max size 250]

**** Transaction Summary :**

Add

Delete

SNO	MEMBERSHIP NO	CUSTOMER ID TYPE	CUSTOMER ID	CUSTOMER FULL NAME	NO OF TRANSACTIONS	TRANSACTION TYPE	TOTAL AMOUNT (AED)	REMARKS
1		Select ID Type				Select Transaction Type		

**** Reply Attachments :**

SNO	FILE TYPE	FILE NAME	CATEGORY	DESCRIPTION

Reject Reason :
[Max size 250]

7. Correspondence

IEMS FIDAML
X

REQUEST STATUS >>>

REQUEST DETAILS

REPLY & ATTACHMENTS

CORRESPONDENCE

[View](#)

SNO	FROM	TO	SUBJECT	REQUESTED	RESPONDED

IEMS FIDAML
X

MORE INFO REQUEST DETAILS

Subject : Emirates ID required

More Info Request :
[Max size 250]

ACTION : Please Select

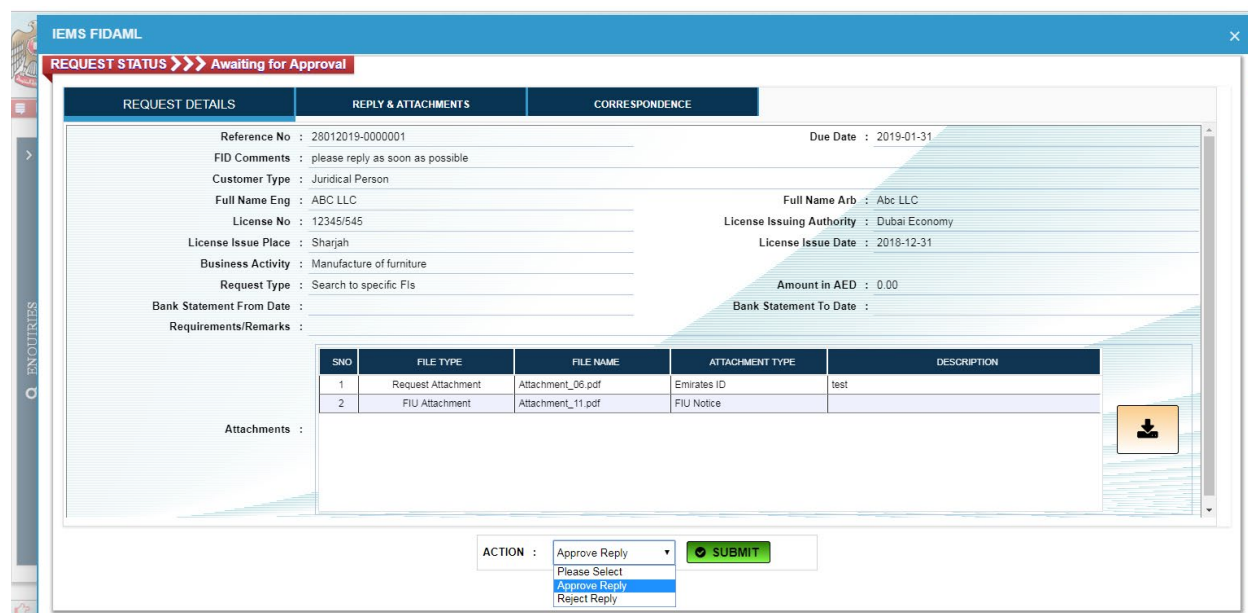
SUBMIT

ACTION : Request For More Info

SUBMIT

- In the correspondence tab, extra information can be requested back to the FID.
- IEMS is a bilingual system wherein requests against individuals/corporates can be enquired by the FID.
- Suitable action will be registered for freezing, unfreezing etc.

7. Checker System Actions



IEMS FIDAML

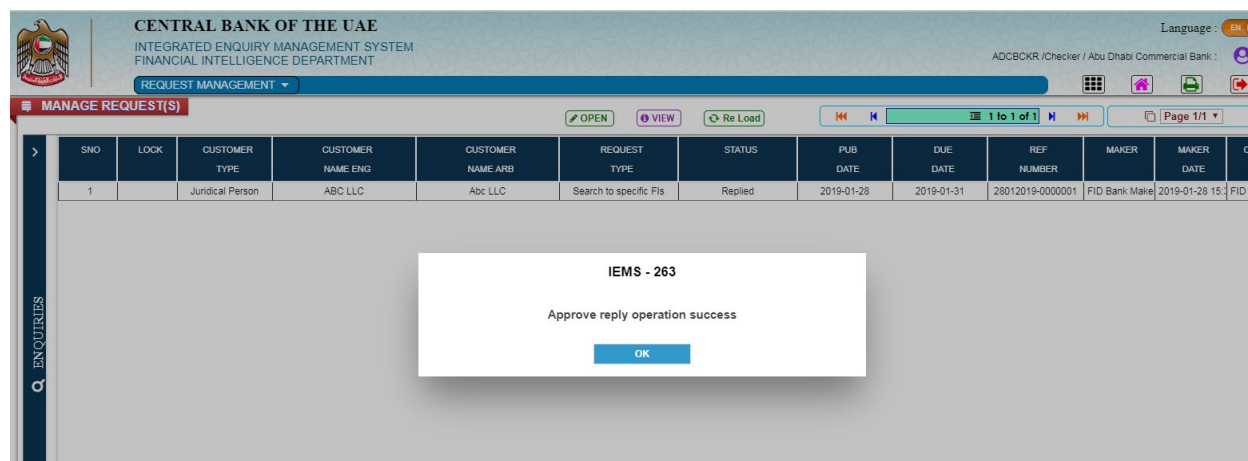
REQUEST STATUS >>> Awaiting for Approval

REQUEST DETAILS	REPLY & ATTACHMENTS	CORRESPONDENCE															
<p>Reference No : 28012019-0000001</p> <p>FID Comments : please reply as soon as possible</p> <p>Customer Type : Juridical Person</p> <p>Full Name Eng : ABC LLC</p> <p>License No : 12345/545</p> <p>License Issue Place : Sharjah</p> <p>Business Activity : Manufacture of furniture</p> <p>Request Type : Search to specific FIs</p> <p>Bank Statement From Date :</p> <p>Requirements/Remarks :</p>	<p>Due Date : 2019-01-31</p> <p>Full Name Arb : Abc LLC</p> <p>License Issuing Authority : Dubai Economy</p> <p>License Issue Date : 2018-12-31</p> <p>Amount in AED : 0.00</p> <p>Bank Statement To Date :</p>																
<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>SNO</th> <th>FILE TYPE</th> <th>FILE NAME</th> <th>ATTACHMENT TYPE</th> <th>DESCRIPTION</th> </tr> </thead> <tbody> <tr> <td>1</td> <td>Request Attachment</td> <td>Attachment_06.pdf</td> <td>Emirates ID</td> <td>test</td> </tr> <tr> <td>2</td> <td>FIU Attachment</td> <td>Attachment_11.pdf</td> <td>FIU Notice</td> <td></td> </tr> </tbody> </table>			SNO	FILE TYPE	FILE NAME	ATTACHMENT TYPE	DESCRIPTION	1	Request Attachment	Attachment_06.pdf	Emirates ID	test	2	FIU Attachment	Attachment_11.pdf	FIU Notice	
SNO	FILE TYPE	FILE NAME	ATTACHMENT TYPE	DESCRIPTION													
1	Request Attachment	Attachment_06.pdf	Emirates ID	test													
2	FIU Attachment	Attachment_11.pdf	FIU Notice														

Attachments :

ACTION : Approve Reply Please Select Approve Reply Reject Reply SUBMIT

- The checker will then login to the IEMS system and approve/reject the reply to the request.
- FID will provide the request order as attachment to enquire about banks/individuals/companies.



CENTRAL BANK OF THE UAE
INTEGRATED ENQUIRY MANAGEMENT SYSTEM
FINANCIAL INTELLIGENCE DEPARTMENT

Language : EN

ADCBCKR / Checker / Abu Dhabi Commercial Bank :

REQUEST MANAGEMENT

MANAGE REQUEST(S)

OPEN VIEW Re Load

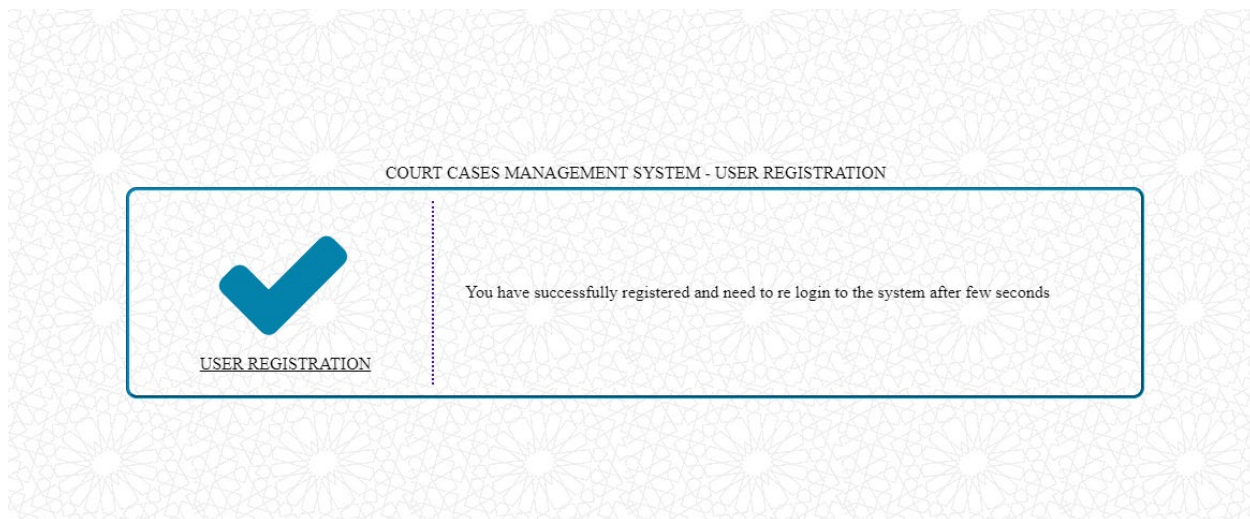
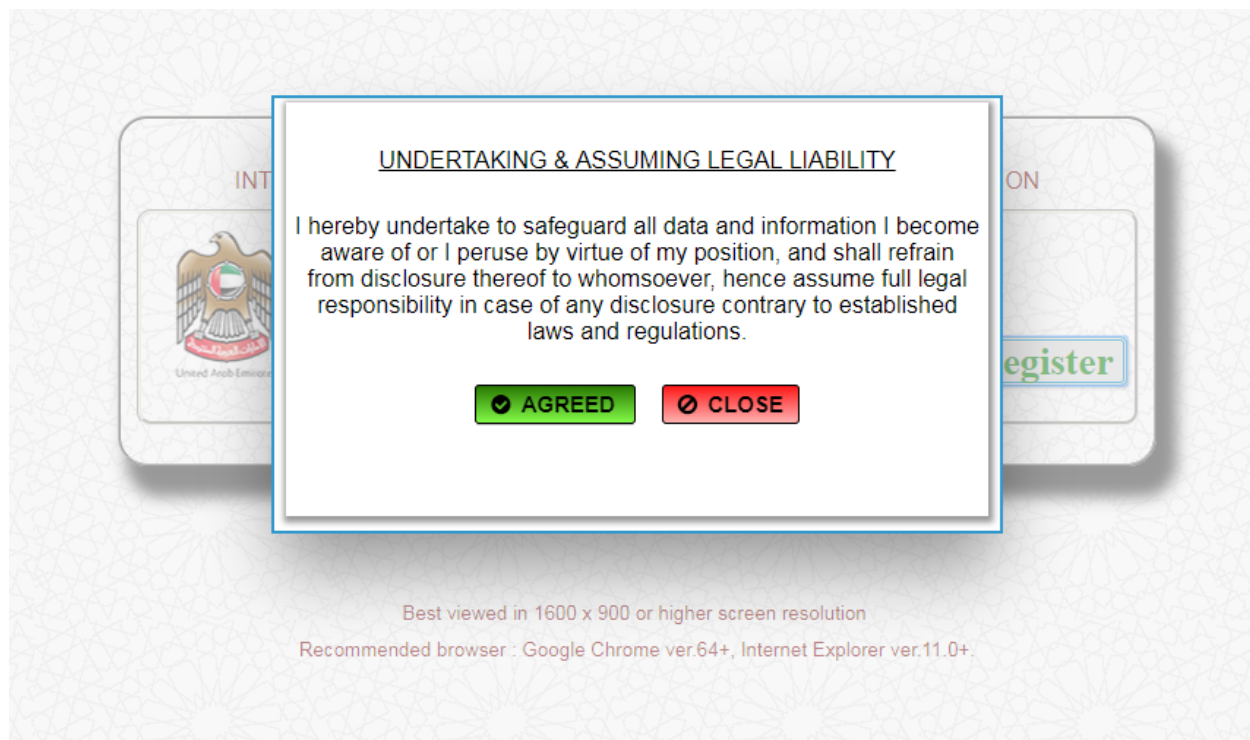
1 to 1 of 1 Page 1/1

SNO	LOCK	CUSTOMER TYPE	CUSTOMER NAME ENG	CUSTOMER NAME ARB	REQUEST TYPE	STATUS	PUB DATE	DUE DATE	REF NUMBER	MAKER	MAKER DATE
1		Juridical Person	ABC LLC	Abc LLC	Search to specific FIs	Replied	2019-01-28	2019-01-31	28012019-0000001	FID Bank Make	2019-01-28 15:15

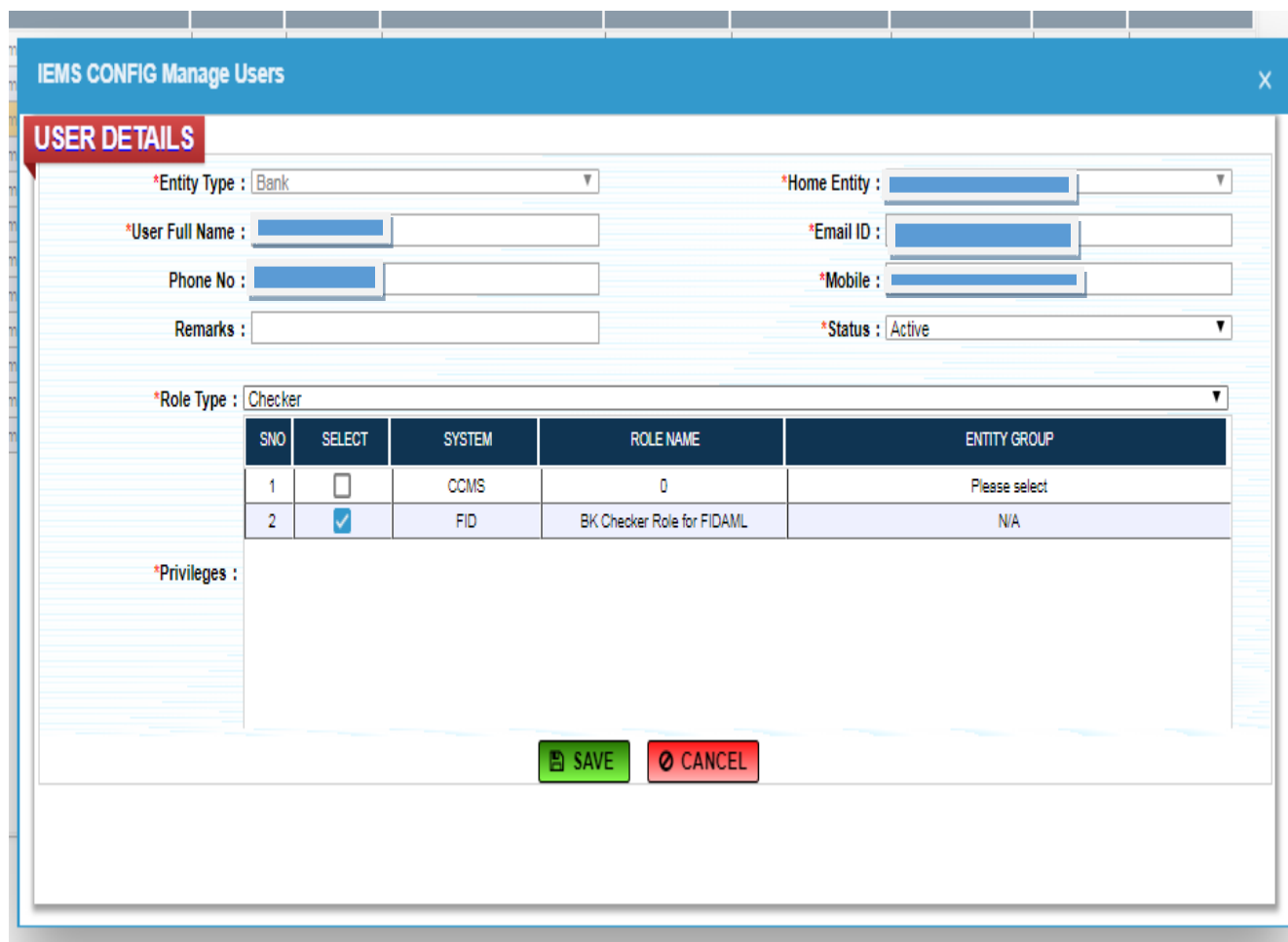
IEMS - 263

Approve reply operation success

OK



- The Admin can assign the users to each system as per department



IEMS CONFIG Manage Users

USER DETAILS

*Entity Type : Bank

*Home Entity :

*User Full Name :

*Email ID :

Phone No :

*Mobile :

Remarks :

*Status : Active

*Role Type : Checker

SNO	SELECT	SYSTEM	ROLE NAME	ENTITY GROUP
1	<input type="checkbox"/>	CCMS	0	Please select
2	<input checked="" type="checkbox"/>	FID	BK Checker Role for FIDAML	N/A

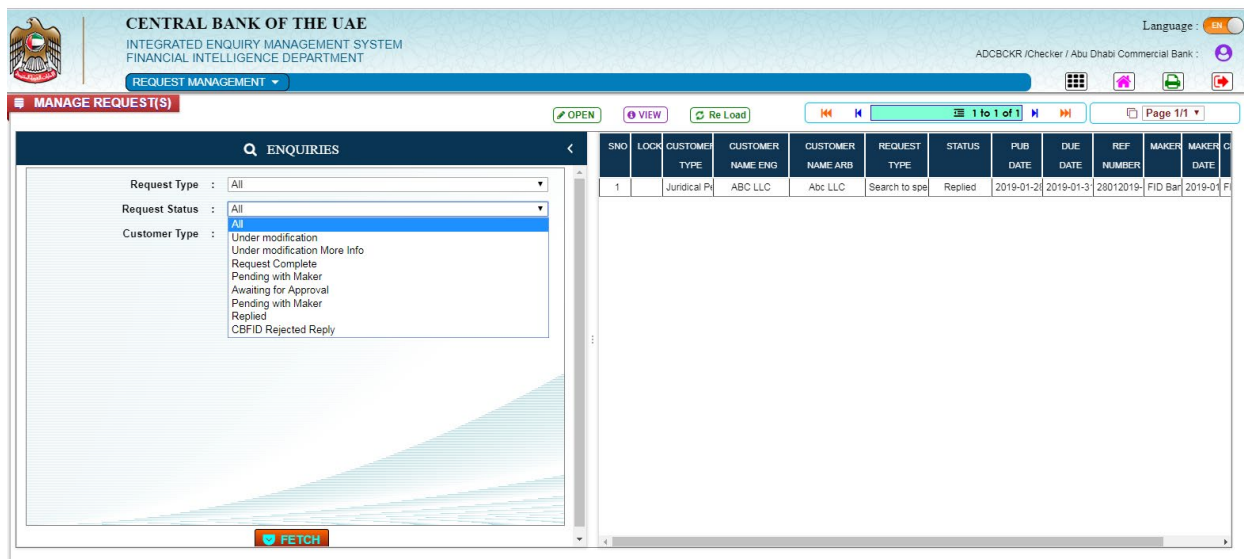
*Privileges :

SAVE
CANCEL

- You can assign different roles to SAME person by creating separate user profiles. e.g.
 - 050M1200 - Maker - CCMS - Ahmed
 - 050C1201 - Checker - FID - Ahmed
- So Maker in CCMS can be checker in FID but with DIFFERENT user id
- Similarly same person with same ID can only have SAME role in CCMS & FID e.g.
 - 050M1300 Maker CCMS - Ahmed
 - 050M1300 Maker FID - Ahmed

- So Maker in CCMS will be Maker in FID but with SAME user id
- Likewise Checker in CCMS will be Checker in FID but with SAME user id
- For same existing user id you can edit and assign one or both systems to the same user id / role

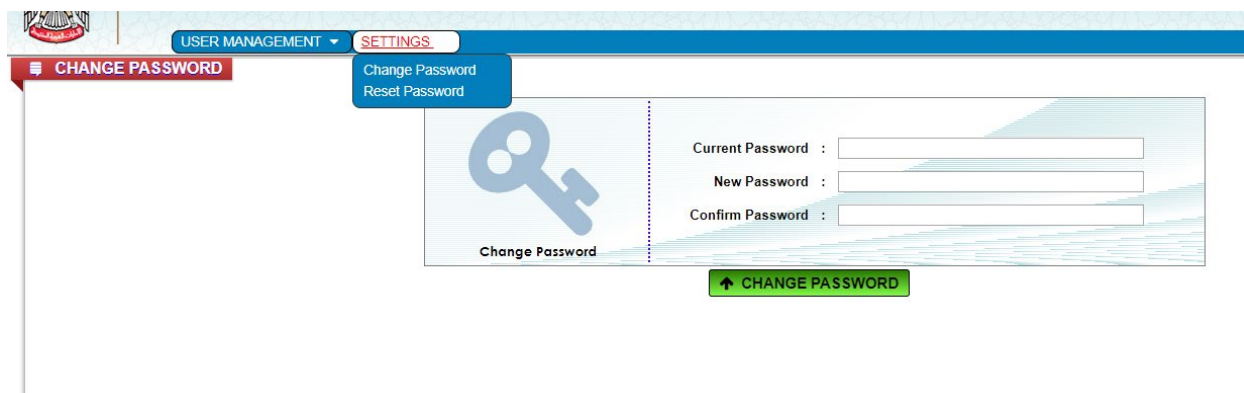
9. Enquiries



- The enquiries screen will show the user the status of each request.
- The overall status of requests- published, pending, additional info, replied and not read can be seen on the request status screen.

10. Maintenance Screen


1. Change Password



2. Reset Password

USER MANAGEMENT ▾
SETTINGS ▾

RESET PASSWORD



Reset User Password

Entity Type : Select any Entity Type


Entity Name : Select any Entity

User Role Type : Select any Role Type

User Name : Select any user

RESET PASSWORD

3. Alert Screen



CENTRAL BANK OF THE UAE
INTEGRATED ENQUIRY MANAGEMENT SYSTEM - COURT CASES

Language : EN

REQUEST MANAGEMENT ▾
REPORTS ▾
HELP ▾

CCMS HOME - DASHBOARD

STATISTICS		MESSAGES					
SNO	MARK AS READ	TYPE	SUBJECT	DESCRIPTION	PUBLISHED ON	READ DT	
1	<input type="checkbox"/>	Holiday Alert	Holiday Alert	Holiday has been declared from 2018-12-02 to 2018-12-03 UAE National Day	04/12/2018 22:16:14		
2	<input type="checkbox"/>	Holiday Alert	UAE National Day	Holiday declared for UAE national day from 2DEC2018 to 3DEC2018	29/11/2018 11:50:04		
3	<input type="checkbox"/>	Changes & Enhancements	Replying for Freeze and Unfreeze	In case of replying as Customer Total amount freed for freeze requests and Total amount unfreezed for unfreeze request added	14/10/2018 08:54:06		
4	<input type="checkbox"/>	Changes & Enhancements	Request for Additional Information from Banks	Introduced dropdown for subject field	14/10/2018 08:47:48		
5	<input type="checkbox"/>	Holiday Alert	Holiday Alert	Holiday has been declared from 2018-09-13 to 2018-09-13 New Hijri Year	04/09/2018 09:18:00		
6	<input type="checkbox"/>	Holiday Alert	Holiday Alert	Holiday has been declared from 2018-08-20 to 2018-08-23 EID AL Adha 2018	15/08/2018 09:48:43		
7	<input type="checkbox"/>	Alert	Bank reping NON-CUSTOMER	We have observed that some banks are replying to court orders as NON-CUSTOMERS and in the comment they type something like "Court judgement required" or "ID required" etc. Banks must use the NEED INFO functionality and courts will attached or upload the missing information or document. Therefore banks must not reply as non customer unless if they have confirmed a negative match for the customer in the comment they type something like "Court judgement required" or "ID required" etc. Banks must use the NEED INFO functionality and courts will attached or upload the missing information or document. 1) Double click on the "Request" button to add a new request. 2) Request "Therefore banks must not reply as non customer unless if they have confirmed a negative match for the customer in the comment they type something like "Court judgement required" or "ID required" etc. Banks must use the NEED INFO functionality and courts will attached or upload the missing information or document." 3) Request "Therefore banks must not reply as non customer unless if they have confirmed a negative match for the customer in the comment they type something like "Court judgement required" or "ID required" etc. Banks must use the NEED INFO functionality and courts will attached or upload the missing information or document." 4) Auto Due date calculation as per request type and workdays 5) Updated Arabic Page Header Alignment and Arabic labels 6) Customer Account Details is optional based on Request Type for (Unfreeze, Stop attachment in execution, Lifting attachment in execution, Cancellation)	26/07/2018 16:03:26		
8	<input type="checkbox"/>	Changes & Enhancements	CCMS Fixes		18/07/2018 10:00:43		

11. Feedback and IT enquiries

IT Division – CBITD

ITD is responsible for facilitating the IEMS to all internal and external entities.

All application related questions may forwarded to repsys.support@cbuae.gov.ae.

All connectivity related queries may be forwarded to network.support@cbuae.gov.ae