# Portal users

The roles & responsibilities of Umoja portal users		
Web access permission	Principal user	Secondary user
Edit Return/Submission	Yes	Yes
View Return/Submission	Yes	Yes
Clear/Delete Data	Yes	Yes
Upload Data	Yes	No
Submission	Yes	Yes
Create Return/Submission	Yes	No
Delete Return/Submission	Yes	No
View Institution Profile	Yes	Yes
Add Comments	Yes	No
Comment Notifications	Yes	No
Create Users	Yes	No
Edit User Details	Yes	No
Edit User Emails	Yes	No
Assign Permission to Users	Yes	No
View Documents	Yes	Yes
Can Edit Email	Yes	No
Can Edit First Name	Yes	No
Can Edit Surname	Yes	No
Can Edit Telephone	Yes	No

### 1. What roles do the principal and secondary users play on the portal?

#### 2. How many primary and secondary users are institutions allowed to have?

The PA will register 2 principal and 2 secondary users. Once the portal goes live, the principal user will be able to add, update or replace secondary users

#### 3. Where can we confirm primary/secondary user details?

Registered portal users will be able to view who has access to the specific institution in the menu by clicking on users.

- 4. Can a secondary user remove a principal user? The secondary user does not have the ability to remove the principal user
- 5. Do the new nominated portal users replace the existing AML/CFT users?

No, existing AML/CFT portal users continue with the necessary permissions. The new users are therefore additional to existing ones

6. Can an institution have a principal user for a group and a subsidiary Each licensed institution will have principal and secondary users

# Access to information on the portal

### 7. Will all the registered portal users be able to see all submissions logged with the PA.

Submissions are linked to the entity. Any user that has access to the entity profile will see submissions made for the entity. To cater for a scenario where other users are not able to see specific submissions, a specific user would need to be created for that purpose, however it would only be in exceptional instances.

8. Can an entity select specific sections of an application that their users can have?

If a user has permission to a submission, they have access to all sections within that submission type. We cannot implement permissions within certain sections of a submission type.

# 9. How would a "not yet licensed" institution access the portal when there is a need to submit a new bank application

This will be done through a registration process which will be part of the licensing process. The PA will communicate the licensing process and the associated registration process for entities that are seeking to be licensed.

## 10. Is there going to be standard turnaround times for notifications and applications?

The PA strives to assess each application, based on its merits and supporting documentation, therefore timelines vary, with that said we will strive to adhere to any timeline prescribed by law.

# 11. Will the reference contain the title of the submission and the institution's ref number, if it was submitted in this format?

The institution reference number/unique identifier is tracked in the background by the system. Detailed guidance will be provided in the training material on the format to be used for submission names.

## 12. Does the system accept passport numbers in place of ID numbers?

The system does allow passport numbers. In addition, both the issue date and expiry date must be completed

## Access to historical information

## 13. Will institution profile information be loaded on the portal when it goes live?

Yes, profile information will be pre-populated with existing information based on previously approved licensing and applications/notifications.

#### 14. Will previous submissions be transferred to this new portal for historical recording?

All exiting submissions (closed or in progress) from the previous system will be migrated to the portal as far as possible.

## 15. Does the system prepopulate information previously captured?

Yes. You can re-use an existing person's record for different roles/relationships. The system has validation rules that prevent duplicate entities (individuals and legal entities) from being created.

#### 16. What if the pre-populated information is not accurate?

The institutions will have the option to send a notification or application updating the relevant information.

#### 17. Will the history be per insurer or per user on the portal landing page?

Historical records are linked to the entity and not the user. However, users' actions on the profile of the institution are tracked via an audit history.

## **Notifications**

# 18. Will portal users receive email notifications when there is action required on a specific application submitted on the portal?

Yes. The PA will also communicate with the registered users via the 2-way comments feature which also sends the relevant call to action (e.g. request for additional documents) emails to the portal users. Notifications will also be displayed on the portal landing page.

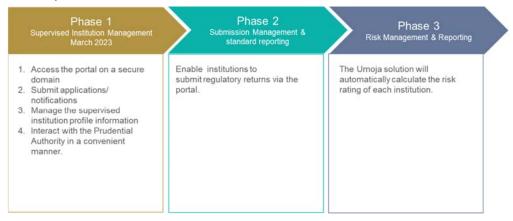
19. Is the intention that the portal will completely replace email correspondence with the frontline team?

Correct. Any correspondence that relates to applications and notifications will be done via the selfservice portal

# Phase 1 scope

#### 20. What is included in phase 1 vs phase 2 and 3?

Below is a view of the scope per phase. Timelines for phase 2 and 3 roll-out will be shared by the end of April 2023.



#### 21. Will general correspondence continue via email.

The portal will eventually replace all correspondence methods currently available. For phase 1 this addresses submissions of applications & notifications, and profile management requests.

# 22. Will the portal be used to submit all correspondences (including the RO 001 & RO 002) forms?

The RO forms/returns will be implemented in Phase 2

- 23. Will the portal include annual reporting of service providers and reporting of material IT/cyber incidents? or any other reporting obligations? Yes.
- 24. Will the Umoja portal be the new platform to submit QRT's? QRTs will be submitted via the Umoja Portal in phase 2

# Downloading from the portal

- **25. What is the maximum size for a document to be uploaded on the portal?** 30MB per file, and up to 300MB for a zipped file
- 26. Are we able to download the approval or acknowledgment letters from the portal? Yes
- 27. Can entities download a register from the portal on all submissions? Yes

# Support

## 28. How will entities be supported during go-live and beyond?

The following support structures have been put in place

Support	Description	Availability
Access to the portal sandbox	A training environment of the Umoja portal, allowing portal users to engage and get acquainted with the system	17 February – 31 March 2023
Virtual support centre <u>Click here to join</u>	An MS Teams support centre will be made available to portal users for any queries	17 February – 31 March 2023
Dedicated email	A dedicated support team is in place to respond to all queries via an email address which will be communicated prior to go-live. In the meantime email pa-transformation@resbank.co.za	17 February – On going