



Banc Ceannais na hÉireann
Central Bank of Ireland

Eurosystem

**Instructions and Guidance for Completion of the
Anti-Money Laundering, Countering the Financing of
Terrorism and Financial Sanctions
Risk Evaluation Questionnaire**

2023

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1. Anti-Money Laundering (AML), Countering the Financing of Terrorism (CFT) and Financial Sanctions (FS) Risk Evaluation Questionnaire (REQ) Framework

The Criminal Justice (Money Laundering and Terrorist Financing) Act 2010 - 2021 ('CJA 2010-2021') requires firms to have AML/CFT preventive measures in place, including policies, procedures and processes, to ensure compliance with the CJA 2010 - 2021. There is also an obligation to comply with EU Council Regulations that set out Financial Sanctions (FS) measures.

The REQ seeks to consider:

- 1.1. Information on the way in which a firm has assessed the AML/CFT/FS risks posed by its business model (based on high level information provided by the firm); and
- 1.2. Information on the AML/CFT/FS framework put in place by the firm.

2. Purpose of the Instructions and Guidance

The purpose of the instructions and guidance is to provide information to Credit and Financial Institutions ('firms') who are required to submit a Risk Evaluation Questionnaire ('REQ') to the Central Bank of Ireland ('Central Bank') Portal (the 'Portal').

The instructions and guidance focuses on the structure and content of the REQ and provides clarity for relevant fields contained within the REQ. This guidance also provides information on accessing and submitting the REQ via the Portal.

3. The Central Bank's Supervisory Approach to using the Portal

The Central Bank takes a risk-based approach to the supervision of regulated entities and requires key information from each firm to implement its approach.

Firms selected by the Central Bank to submit a REQ are required to submit the REQ in the specified format, through the Central Bank Portal and within the timeframe specified on the Portal.

Follow-up action will be taken by the Central Bank in cases where the submission date is not met.

4. Accessing the REQ via the Portal

Log into the Portal, navigate to Returns, click View/Edit Returns, and select the Risk Evaluation Questionnaire (REQ). There are two links on the right hand side of the page. These links are titled:

- **Guidance Material** (Which opens the Central Bank website where this guidance is contained)
- **Risk Evaluation Questionnaire** (Which opens the REQ template directly)

Home > Return Types

Risk Evaluation Questionnaire

Risk Evaluation Questionnaire

View / Signoff Returns
Signoff or View data that was previously entered

View Uploaded Files
View the files that were previously uploaded for this return

Load a File
Load a data file for this return

Return Type Options

This page displays the options for the 'Risk Evaluation Questionnaire' return for your institution.

You can signoff data or view previously loaded data by clicking on the 'View / Signoff Returns' button.

You can view a history of all the files uploaded (whether 'accepted' or 'rejected') by clicking on the 'View Uploaded Files' button.

You can load a new file by clicking on the 'Load a File' button.

[Guidance Material](#)
[Risk Evaluation Questionnaire](#)

The REQ is also available on the Central Bank website at the following location:

<https://www.centralbank.ie/regulation/anti-money-laundering-and-counteracting-the-financing-of-terrorism/risk-based-approach-to-aml-supervision>

5. General Information regarding Completion and Submission of the REQ

- The firm must complete **all** sections of the REQ and where a drop down box is available; the selection should be made using the available options.
- The firm **MUST NOT** 'Copy and Paste' data into any cells contained within the REQ. Data should only be entered in the format specified.
- Please ensure all tables are populated, where required.
- All financial figures should be reported in Euro thousands (€'000) and be rounded to the nearest thousand. For example, €325,652 should be stated as 326 (i.e. 325652/1000 = 326). Any '€' and 'k' symbols should be omitted when keying in this data and only numerical values should be input.
- Unless otherwise stated, the information sought in this REQ relates to the period of 12 months prior to the REQ's reporting date.
- Note that information requested for Suspicious Transaction Reporting ('STRs') relates to STR reporting/activities that were raised in the last calendar year, i.e., 01 January to 31 December.
- Where the term "customer" is used this also refers to "client", "consumer", etc.
- Where the term "turnover" is used this refers to the gross turnover of the firm.
- References to Board can be construed to be the Management Body or Principals of the firm in instances whereby the firm does not have a Board, where the REQ is being completed in relation to a branch of an EU institution passporting into Ireland or in the case of a sole trader or single director company.
- If applicable, where the term "firm" is used this also refers to "branch".
- For branches of EU institutions passporting into Ireland, the information sought in the REQ relates only to the activities of the branch in the Republic of Ireland.
- Certain questions contain validations that must be satisfied, for example, mandatory fields. Where a field is mandatory and not populated or populated incorrectly, the question number will remain highlighted in red and the REQ will be rejected. Where sections have been populated correctly, the 'Validation' on the 'Cover' sheet (see below) will read 'Valid'. All sections of the REQ must be completed and shown as 'Valid' on the cover tab before the REQ can be successfully uploaded to the Portal (please see section 7 for more details).
- Uploading the REQ to the Portal for submission is a three step process:
 1. Step one is the initial upload of REQ to the Portal, the status of the return will now be 'Valid' and a confirmation email will be received.
 2. Step two is to 'Finalise' the REQ return.
 3. Step three is to 'Sign Off' the return. The firm is required to confirm that the information provided within the REQ is complete and accurate. A second confirmation email is sent at this stage.
- **When uploading the REQ to the Portal for submission, please ensure to 'Finalise' and 'Sign-Off' the REQ return. These steps are critical and must be completed to ensure successful completion and transmission of the REQ.**

6. Guidance on Completion of the REQ

6.1 Overview of the REQ

Section	Detail
Firm Detail	<ul style="list-style-type: none">• Firm Details
Governance	<ul style="list-style-type: none">• Board/Senior Management Oversight• Risk Assessment• Policies and Procedures• Training• Record Keeping
Risk Profile 1	<ul style="list-style-type: none">• Products and Services• Geography/Country• Distribution Channels
Risk Profile 2	<ul style="list-style-type: none">• Customer Exposure• PEPs and Financial Sanctions
RBA Monitoring	<ul style="list-style-type: none">• Policies and Procedures• Assurance Testing• Third Party Reliance• Outsourcing
SA	<ul style="list-style-type: none">• Investigate/Escalate Suspicious Activity ('SA')
MI	<ul style="list-style-type: none">• Report Management Information ('MI')
Statement of Compliance	<ul style="list-style-type: none">• REQ Completed by Section• Statement of Compliance with CJA 2010 - 2021

6.2 Completion Notes – Individual Questions

6.2 Completion Notes (Individual Questions)	
Question	Notes
Firm Details	
6	<p>Total Assets Required to be completed by all firms.</p> <p>Please note the fields below should only be populated <u>if applicable to the firm's business model</u>:</p> <ul style="list-style-type: none"> • Assets Under Management; • Assets Under Administration; and • Money Throughput* <p>Where applicable the period should be for the same one as indicated in the Financial Statements – Year End (Question 5).</p> <p>* Money Throughput is only applicable to Payment Institutions (PIs).</p> <p>All financial figures should be reported in Euro thousands (€'000) for example €325,652 should be stated as 326. Any '€' and 'k' symbols should be omitted when keying in this data and only digits should be input.</p>
Governance	
Board/Senior Management Oversight	
7	The option to select 'N/A' is only available to Sole Traders, all other firm types should not avail of the 'N/A' option.
8	<p>References to “board” can be construed to be the Management Body or Principals of the firm in instances whereby the firm does not have a board.</p> <p>For example, where the REQ is being completed in relation to a branch of an EU institution passporting into Ireland.</p>
Risk Assessment	
10	Where applicable, please ensure rows are populated sequentially with no blank cells between rows as the validation on the 'Cover' sheet will remain 'Invalid' and the REQ will be rejected.
11	<p>This question has only to be answered where the answer to Question 9 is “Yes”.</p> <p>If the firm does not have a board, please advise the date when the principal(s) of the firm approved the risk assessment.</p>
12	Where the firm does not have a formal risk assessment approved by the board, please advise the informal risk ratings applied to its inherent risks.

6.2 Completion Notes Continued (Individual Questions)

Question	Notes
Policies and Procedures	
13	<p>Policies and/or procedures should at the very least, consider below sections, (please note this is not an exhaustive list and it is the responsibility of the firm to ensure its AML/CFT/FS procedures are adequate).</p> <ul style="list-style-type: none"> • Customer Due Diligence <ul style="list-style-type: none"> ○ Risk based approach to customers, for example, high risk, PEPs, non-face to face, etc. ○ Approach taken to identifying and verifying new and existing customers. ○ List of acceptable documents to identify and verify customers. ○ Beneficial ownership. ○ Third party reliance arrangements. • Suspicious Transaction Reporting (STR) <ul style="list-style-type: none"> ○ The process to raise and escalate STRs to the firm's MLRO. ○ Timeframe within which reports should be made to the authorities. ○ The offences and penalties for failure to report. ○ The definition of 'tipping off' and penalties associated with this offence. ○ Measures to be taken to avoid tipping off. • Transaction monitoring <ul style="list-style-type: none"> ○ Monitoring and rationale for setting thresholds. • Financial Sanctions <ul style="list-style-type: none"> ○ Frequency of screening. ○ Investigation and escalation procedures. • Record Keeping <ul style="list-style-type: none"> ○ Duration retained, format and location of retained documents. • Training <ul style="list-style-type: none"> ○ Format, frequency, testing, completion log, etc. • Assurance Testing <ul style="list-style-type: none"> ○ Internal/external, frequency and format.

6.2 Completion Notes Continued (Individual Questions)

Question	Notes
Training & Record Keeping	
20	<p>In-house training This refers to training that is provided by the firm.</p> <p>Parent/group training This refers to training designed by the parent/group and cascaded to the firm.</p> <p>Unrelated Training This refers to training provided by external third parties.</p> <p>Please ensure all fields are populated from the drop down list as the validation on the 'Cover' sheet will remain 'Invalid' and the REQ will be rejected.</p>
22	<p>Examples of records retained (for illustration purposes only) may include but are not limited to:</p> <ul style="list-style-type: none"> • Training records, • Customer and/or beneficial owner records, • History of service records, • Transaction records, • Suspicious Transaction Records, etc.
Risk Profile 1	
Products and Services	
24	<p>Please note that the total 'No. of Products' must equal 'Total No.' of products in Q23 and this also applies to 'No. of Services'.</p> <p>Where these figures do not agree, the validation on the 'Cover' sheet will remain 'Invalid' and the REQ will be rejected.</p>
Geography/Country	
25	<p>Please ensure to populate all three fields noting only one field can be populated 'Yes', otherwise the validation on the 'Cover' sheet will remain 'Invalid' and the REQ will be rejected.</p>
26	<p>Note this question is mandatory if the answer is "Yes" to "EU/EEA only" or "Not restricted to EU/EEA" to Q25. If Ireland is one of the top 5 countries by customer base, it should be reported within the table.</p> <p>Please note that not all 5 fields are required to be populated, where not relevant.</p> <p>Where fewer than 5 fields are populated, rows must not be skipped as the validation on the 'Cover' sheet will remain 'Invalid' and the REQ will be rejected.</p>
27	<p>All fields within the table must be populated as appropriate. Where "Other" has been selected, Q28 must be completed.</p>
31	<p>Please do not skip rows when populating the field(s), as the validation on the 'Cover' sheet will remain 'Invalid' and the REQ will be rejected.</p>

6.2 Completion Notes Continued (Individual Questions)

Risk Profile 2

Question	Notes
Customer Exposure	
32	Please report the accurate number of customers for which Simplified Due Diligence (rather than Standardised Due Diligence) measures have been taken.
33	<p>Please note that the total 'No. of Customers' must equal 'Total No.' of customers in Q32.</p> <p>Where these figures do not agree, the validation on the 'Cover' sheet will remain 'Invalid' and the REQ will be rejected.</p>
34	<p>Examples of customer types (for illustration purposes only) may include but are not limited to:</p> <ul style="list-style-type: none"> • Natural Persons (non-business). • Non-cash businesses & professionals. • Cash intensive businesses (e.g. pubs, restaurants, petrol stations, gambling firms etc.). • Legal structures (e.g. trusts, company structures, etc.). • Charities. • Offshore corporations. <p>Note that account types (e.g. personal accounts, current accounts, savings accounts etc.) should not be reported as customer types.</p> <p>When completing this table please ensure rows are populated sequentially with no blank cells between rows as the validation on the 'Cover' sheet will remain 'Invalid' and the REQ will be rejected.</p>
PEPs and Financial Sanctions	
44	<p>Please note that the total 'No. of PEPs' must equal 'No.' of PEPs in Q43.</p> <p>Where these figures do not agree, the validation on the 'Cover' sheet will remain 'Invalid' and the REQ will be rejected.</p>
RBA Monitoring	
Policies and Procedures	
45	At a minimum, a firm's policies and/or procedures must be sufficiently clear and detailed to enable its front-line staff (or equivalent) to readily distinguish those customers in respect of which enhanced due diligence requirements must be applied.
47	<p>Section 54 of CJA 2010 - 2021 prevents the establishment or continuation of relationships where, for example,</p> <ul style="list-style-type: none"> • the respondent does not have adequate controls against criminal activities; or • the respondent is not effectively supervised; or • the respondent is considered to be a shell bank. <p>Please see the CJA 2010 - 2021 for full listing.</p>

6.2 Completion Notes Continued (Individual Questions)

Question	Notes
Investigate/Escalate Suspicious Activity	
54	<p>Note that the AML/CFT outsourcing includes third-party outsourcing and/or inter-group/company AML/CFT arrangements.</p> <p>In the case of firms operating as branches in Ireland via the freedom of establishment (FOE), the AML/CFT outsourcing includes any AML/CFT outsourcing arrangements put in place by the branch's parent company or head office which relate to the activities of the branch.</p>
60	Note that figures in relation to this question are required to be in the last calendar year (i.e., 01 January to 31 December).
63	Please note that this question relates to wire transfers that have been rejected where there has been no information provided relating to the payer or beneficiary.
Statement of Compliance with CJA 2010 - 2021	
71	<p>Please note that the REQ includes a statement to be signed by the firm confirming compliance with the firm's AML/CFT/FS obligations. This statement of compliance should be signed and dated by a person who is duly authorised to do so by the Board. Ideally, this person will have responsibility for AML/CFT/FS within the firm. The Central Bank does not require this person to be in a PCF role but would expect them to be of sufficient seniority within the firm to provide the confirmation sought.</p> <p>For branches of EU institutions passporting into Ireland references to "Board" also refers to senior management of the Irish branch.</p> <p>A record of the person who signed the statement of compliance must formally be noted in the Board minutes when it is brought forward for consideration. The original signed and dated hard copy of the statement of compliance and the accompanying REQ is required to be kept on file and made available for review by the Central Bank upon request.</p>

7. Submission of the REQ via the Portal

7.1. Pre-requisite actions before submitting the REQ return

The Portal Permissions: The person submitting the REQ return via the Portal must request access to the return from their institutions' Portal administrator(s) - any authorised Portal user can be granted this access. Alternatively, the Portal administrator(s) may submit the return themselves.

7.2. Downloading the REQ return prior to completion

Download the [Risk Evaluation Questionnaire](#) from the Central Bank of Ireland Website Portal pages.

Populate the required fields within the return as detailed in Section 6 above.

Upload the REQ in the Portal post completion.

The REQ can only be successfully uploaded in the Portal if all the validations are 'Valid' in the 'Cover' tab in the REQ template as shown below:

Risk Evaluation Questionnaire - Validations				
<i>The information sought in this REQ is required pursuant to section 22 of the Central Bank (Supervision and Enforcement) Act 2013</i>				
Questions	Name	Contents	Validation	Validation
1 - 6	Firm Details	Firm Details	Valid	✓
7 - 22	Governance	Board / Senior Management Oversight	Valid	✓
		Risk Assessment	Valid	✓
		Policies and Procedures	Valid	✓
		Training & Record Keeping	Valid	✓
23 - 31	Risk Profile 1	Products and Services	Valid	✓
		Geography/Country	Valid	✓
		Distribution Channels	Valid	✓
32 - 44	Risk Profile 2	Customer Exposure	Valid	✓
		PEPs and Financial Sanctions	Valid	✓
45 - 58	RBA Monitoring	Policies and Procedures	Valid	✓
		Assurance Testing	Valid	✓
		Third Party Reliance	Valid	✓
		Outsourcing	Valid	✓
59 - 63	SA	Investigate/Escalate Suspicious Activity	Valid	✓
64	MI	Report Management Information	Valid	✓
65 - 71	Statement of Compliance	REQ Completed By Section	Valid	✓
		Statement of Compliance with CJA 2010	Valid	✓

If any validation on the Cover page shows as 'Invalid' (as shown) then the REQ will not successfully be uploaded to the Portal:

Risk Evaluation Questionnaire - Validations				
The information sought in this REQ is required pursuant to section 22 of the Central Bank (Supervision and Enforcement) Act 2013				
Questions	Name	Contents	Validation	Validation
1 - 6	Firm Details	Firm Details	Valid	✓
7 - 22	Governance	Board / Senior Management Oversight	Valid	✓
		Risk Assessment	Valid	✓
		Policies and Procedures	Valid	✓
		Training & Record Keeping	Valid	✓
23 - 31	Risk Profile 1	Products and Services	Valid	✓
		Geography/Country	Invalid	✗
		Distribution Channels	Valid	✓
32 - 44	Risk Profile 2	Customer Exposure	Valid	✓
		PEPs and Financial Sanctions	Valid	✓
45 - 58	RBA Monitoring	Policies and Procedures	Valid	✓
		Assurance Testing	Valid	✓
		Third Party Reliance	Valid	✓
		Outsourcing	Valid	✓
59 - 63	SA	Investigate/Escalate Suspicious Activity	Valid	✓
64	MI	Report Management Information	Valid	✓
65 - 71	Statement of Compliance	REQ Completed By Section	Valid	✓
		Statement of Compliance with CJA 2010	Valid	✓

7.3. Saving the REQ on the Portal

Save the REQ return with the correct filename:

The file must be saved and renamed using the format: CXXXXX_YYYYMMDD_REQ.xlsx

CXXXXX = your institution code

YYYYMMDD = your return's reporting date

Note: The reporting date for the return can be found on the Portal within the REQ return and on the request letter.

Example:

A firm with an institution code of C50001 and a reporting date of 14/08/20 will name the file C50001_20200814_REQ.xlsx

7.4. Submission of the REQ to the Portal

Upload the Completed REQ to the Portal and submit to the Central Bank. This is a three step process:

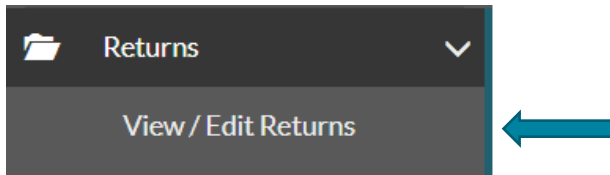
- i. Log into the Portal and select Returns – View / Edit d Returns – Risk Evaluation Questionnaire – View / Signoff Returns
- ii. Select Load a file and choose the previously saved template
- iii. Once the template has been uploaded, you must then Finalise and Sign Off the return to the Central Bank

Note: The return must be Signed Off, as uploading the file alone does not constitute a submitted return.

8. Uploading the REQ template in the Portal

8.1 Log in to the Portal

Open the Portal and select Returns – View / Edit Returns:



8.2 Select relevant return

The screen below will display showing all returns assigned to your firm. Select the Risk Evaluation Questionnaire from this list.

Home > Return Types

Returns

AIFMD Reporting

Name	Code	Description
Alternative Investment Fund Manager Return	AIM	Alternative Investment Fund Manager Reporting required under Articles 3(3)d and 24(1) of Directive 2011/61/EU
Alternative Investment Fund Return	AIF	Alternative Investment Fund Reporting required under Articles 3(3)d and 24(1), 24(2) and 24(4) of Directive 2011/61/EU

AML Registers

Name	Code	Description
BOR Verification of Identity Return	E3F	This return provides Beneficial Owners of Certain Financial Vehicles who do not hold a PPSN or CBI Number with the ability to provide a notarized document to the Central Bank, which can verify their identity.

Analytics and Risk

Name	Code	Description
2023 ETF Thematic Qualitative Questionnaire	ETQ	Bespoke Qualitative Questionnaire as part of 2023 ETF Thematic Inspection

8.3 Upload of the Risk Evaluation Questionnaire

Step 1:

From the following screen select the Load a File option to commence the upload of the REQ to the Portal.

Risk Evaluation Questionnaire

Risk Evaluation Questionnaire

View / Signoff Returns
Signoff or View data that was previously entered

View Uploaded Files
View the files that were previously uploaded for this return

Load a File
Load a data file for this return

Return Type Options

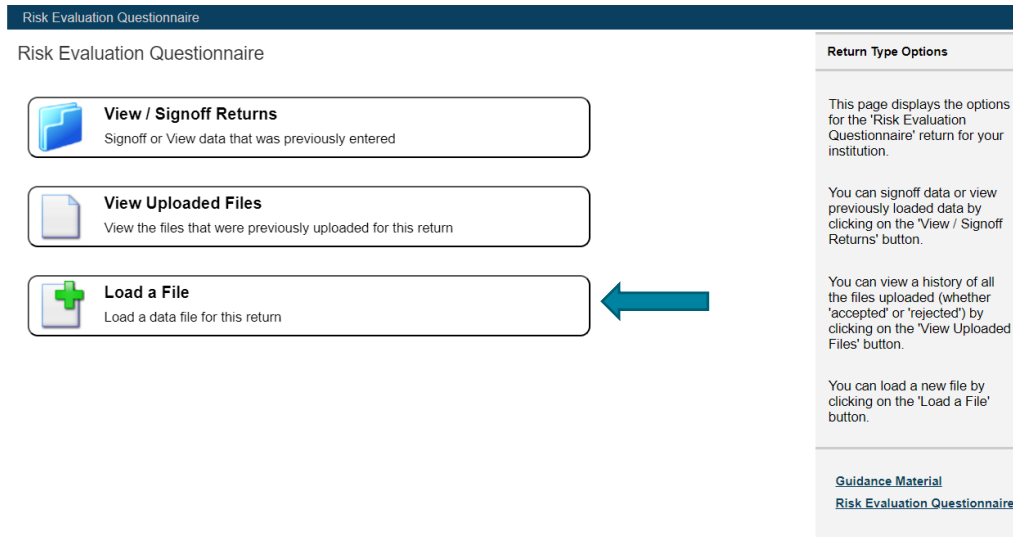
This page displays the options for the 'Risk Evaluation Questionnaire' return for your institution.

You can signoff data or view previously loaded data by clicking on the 'View / Signoff Returns' button.

You can view a history of all the files uploaded (whether 'accepted' or 'rejected') by clicking on the 'View Uploaded Files' button.

You can load a new file by clicking on the 'Load a File' button.

[Guidance Material](#)
[Risk Evaluation Questionnaire](#)



Step 2:

From the following screen select the Choose File (arrow 1) and this will allow you to select your firm's saved REQ template.

Risk Evaluation Questionnaire > _load

Load a Risk Evaluation Questionnaire File

Select a file and click 'Load File' to load it to the server:

Choose File No file chosen

Load File Cancel

File Upload

On this page, you can load a file containing 'Risk Evaluation Questionnaire' data.

The file name must be of the form:

CCCCC_YYYYMMDD_REQ.xlsx

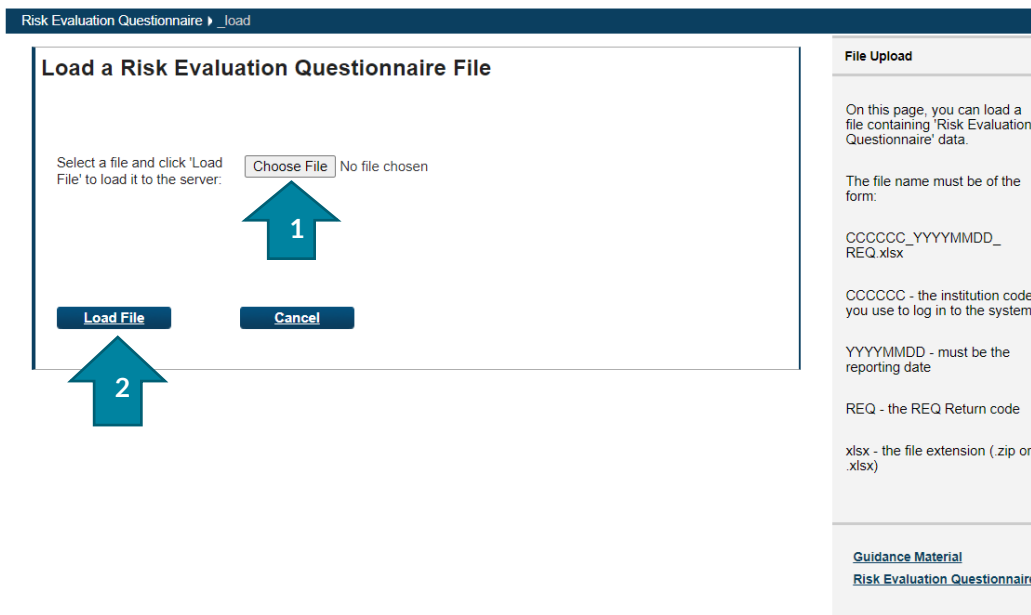
CCCCC - the institution code you use to log in to the system

YYYYMMDD - must be the reporting date

REQ - the REQ Return code

xlsx - the file extension (.zip or .xlsx)

[Guidance Material](#)
[Risk Evaluation Questionnaire](#)



When the completed REQ template has been selected, click the Load File button (arrow 2).

Step 3:

The Portal will run validation checks to ensure that the REQ template has completed and that all the values on the Cover Tab are showing Valid.

Risk Evaluation Questionnaire > Files > #226705

Risk Evaluation Questionnaire File #226705

C50001_20220731_REQ.xlsx is queued and awaiting processing.

Filename:	C50001_20220731_REQ.xlsx
Status:	Queued
Estimated Time to Complete:	4.5 to 5 hours
Return Type:	Risk Evaluation Questionnaire
Size:	101847 bytes
Uploaded Date:	08-Sep-2023 (13:07)
Processed Date:	N/A
Invalid Records:	0

[Back](#) [Refresh page](#)

[Print current page](#) [Collapse all Errors](#) [Expand all Errors](#)

[Guidance Material](#)
[Risk Evaluation Questionnaire](#)

As per 7.3 Uploading the REQ template in the Portal, if any of the fields in the 'Cover' tab show as 'Invalid' then the Portal will reject the upload of the REQ at this stage. Please ensure that all fields in the 'Cover' tab as 'Valid' before starting the upload process in the Portal.

Step 4:

If all fields in the REQ template have been completed, the Portal will confirm that it has accepted the form (see the screenshot below):

Risk Evaluation Questionnaire > Files > #226705

Risk Evaluation Questionnaire File #226705

Filename:	C50001_20220731_REQ.xlsx
Status:	Accepted
Return Type:	Risk Evaluation Questionnaire
Size:	101847 bytes
Uploaded Date:	08-Sep-2023 (13:07)
Processed Date:	08-Sep-2023 (13:08)
Invalid Records:	0

[Back](#) [Refresh page](#)

[Print current page](#) [Collapse all Errors](#) [Expand all Errors](#)

[Guidance Material](#)
[Risk Evaluation Questionnaire](#)

A confirmation email will be sent to your firm to confirming that the REQ has been accepted by the Portal:

“Risk Evaluation Questionnaire uploaded by XXXXXX on DD MM YYYY has been accepted”.

8.4 Finalise the REQ Template


Step 1:


To finalise the REQ return, select **View / Signoff Returns** for the Risk Evaluation Questionnaire, see below:


Home > Return Types

Risk Evaluation Questionnaire

Risk Evaluation Questionnaire

 **View / Signoff Returns**
Signoff or View data that was previously entered

 **View Uploaded Files**
View the files that were previously uploaded for this return

 **Load a File**
Load a data file for this return

Return Type Options

This page displays the options for the 'Risk Evaluation Questionnaire' return for your institution.

You can signoff data or view previously loaded data by clicking on the 'View / Signoff Returns' button.

You can view a history of all the files uploaded (whether 'accepted' or 'rejected') by clicking on the 'View Uploaded Files' button.

You can load a new file by clicking on the 'Load a File' button.

[Guidance Material](#)
[Risk Evaluation Questionnaire](#)

Step 2:



The following screen will open allowing you to 'Finalise' the REQ return. This is the second stage of the upload process.

Home > Return Types

Create Request ▾

Risk Evaluation Questionnaire > Returns > 31-Jul-2022

Risk Evaluation Questionnaire , 31-Jul-2022 - Sections

Section	Status	Required	Last Updated By	Last Updated		
REQ	Valid	Mandatory	(Central Bank)	00-Sep-2023 (13:08)		

Finalise ←

Sections

The 'Risk Evaluation Questionnaire' return is divided into sections.

Complete each section that applies to your institution and submit the return to the Central Bank .

[Guidance Material](#)
[Risk Evaluation Questionnaire](#)

When the return has been Finalised, the following box will pop up so that for the REQ to be fully submitted to the Central Bank it must be 'Signed Off'.

Home > Return Types

Home > Return Types

Risk Evaluation Questionnaire > Returns > 31-Jul-2022 > Finalise Return

Create Request

Risk Evaluation Questionnaire, 31-Jul-2022 has been finalised

This Return is 'Finalised' - it must now be 'Signed-Off' to be submitted to the Central Bank. Use the back button to navigate to the previous page.

Back

Finalise Return Instance

This page shows the results of Finalising a Return. The return will only be finalised if it has passed all cross form rule checks.

[Guidance Material](#)
[Risk Evaluation Questionnaire](#)

8.5 Sign Off the REQ template

Step 1:

To Sign Off the REQ return, select View / Signoff Returns for the Risk Evaluation Questionnaire screen as shown below:

Home > Return Types

Home > Return Types

Risk Evaluation Questionnaire

Risk Evaluation Questionnaire

View / Signoff Returns
Signoff or View data that was previously entered

View Uploaded Files
View the files that were previously uploaded for this return

Load a File
Load a data file for this return

Return Type Options

This page displays the options for the 'Risk Evaluation Questionnaire' return for your institution.

You can signoff data or view previously loaded data by clicking on the 'View / Signoff Returns' button.

You can view a history of all the files uploaded (whether 'accepted' or 'rejected') by clicking on the 'View Uploaded Files' button.

You can load a new file by clicking on the 'Load a File' button.

[Guidance Material](#)
[Risk Evaluation Questionnaire](#)

Step 2:

Select the REQ that has been uploaded by your firm from the following screen, then select the Sign-Off icon:

Home > Return Types

The screenshot shows a web interface for 'Risk Evaluation Questionnaire'. At the top right is a 'Create Request' button. Below it is a breadcrumb trail: 'Risk Evaluation Questionnaire > Returns > 31-Jul-2022'. The main heading is 'Risk Evaluation Questionnaire , 31-Jul-2022 - Sections'. A table lists sections with columns for Section, Status, Required, Last Updated By, and Last Updated. One row is visible for 'REQ' with status 'Valid' and 'Mandatory'. To the right of the table is a 'Sign-Off' button. Further right is a 'Sections' panel with text explaining that the return is divided into sections and must be completed before submission to the Central Bank. At the bottom right of the page are links for 'Guidance Material' and 'Risk Evaluation Questionnaire'.

Section	Status	Required	Last Updated By	Last Updated
REQ	Valid	Mandatory	(Central Bank)	08-Sep-2023 (13:08)

Step 3:

This is the final step in uploading the REQ to the Portal. The firm is requested to declare that the information which has been entered for the REQ return is complete and correct to the best of the firm's knowledge. Once you are happy with the accuracy and correctness of the data, click the Sign-off Return button. The REQ template is now successfully submitted through to the Central Bank. The Portal will automatically send an email confirming the successful upload of the Firm's REQ.

Home > Return Types

The screenshot shows the 'Sign-Off Return' page. At the top right is a 'Create Request' button. The breadcrumb trail is 'Risk Evaluation Questionnaire > Returns > 31-Jul-2022 > SignOff Return'. The main heading is 'Sign-Off Return'. The page contains a message stating 'The Return is ready to be signed-off.' and provides information about the submission deadline (31-Aug-2022) and that the return is now overdue. Below this is a 'Declaration' section with a checkbox for accepting the statement. To the right of the checkbox is a declaration text: 'I declare that the information which has been entered for the Risk Evaluation Questionnaire return for 31-Jul-2022 is complete and correct to the best of my knowledge.' At the bottom of the declaration box are 'Cancel' and 'Sign-off Return' buttons. On the right side of the page is a 'Sign Off Return Instance' panel with links for 'Guidance Material' and 'Risk Evaluation Questionnaire'.

Note: if you have inadvertently submitted the REQ with incorrect information, please contact onlinereturns@centralbank.ie so that the REQ can be unlocked and resubmitted following the necessary revision.

9. Queries

All technical queries relating to the submission of the REQ, for example, the naming convention, reporting date, location of REQ on the Portal, etc. should be directed to onlinereturns@centralbank.ie.

All other queries relating to the content of the REQ should be emailed to REQreturns@centralbank.ie.



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