

Trouble-shooting Guide: WBG National Risk Assessment Tool: NRA Templates

To ensure correct functioning of World Bank National AML/CFT Risk Assessment Tool Excel Templates, please follow carefully the following instructions. Any deviation will result in corruption of the Template which will make it un-useful, or will prevent the macros from producing the results based from the data entered on the first 2 pages.

1. ENABLE MACROS

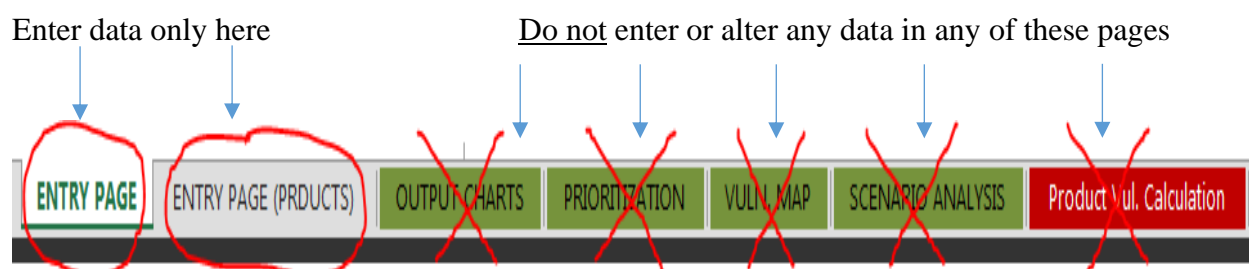
- Always on “ENABLE CONTENT” (located on top of the 1st ENTRY PAGE/file) whenever it appears. If the Macros are disabled no results can be produced.
- You may need to re-ENABLE CONTENT when save, close & re-open the file
- Anyone to whom you send the file will have to click on ENABLE CONTENT too.
- If you have entered data on the first 2 ‘data entry’ page/files, and results are **not** appearing on some or all of the following files the following ‘results pages’ (ie., Output Charts, Prioritization, Vulnerability Map, Scenario Analysis, Product Vulnerability Calculation, etc),
 - the Macros have not been enabled,
 - “Save the Original Case” has not been clicked on, or
 - data was entered on a page where it should not be entered, which corrupts the files.

2. SAVE ORIGINAL CASE

- Please note that, to run the template you need to click on “Save the Original Case” icon after making your entries. Otherwise, the template will not generate the results.
- This tool allows for saving various scenario/ratings so user can see how this affects results/prioritization.
- However, only the “Original” ratings are used by Macros to produce results in the results pages & charts.
- Whenever any rating has been changed in the Original ratings, you **MUST** click on “SAVE ORIGINAL CASE” in order for the data to be pulled into the subsequent results charts.

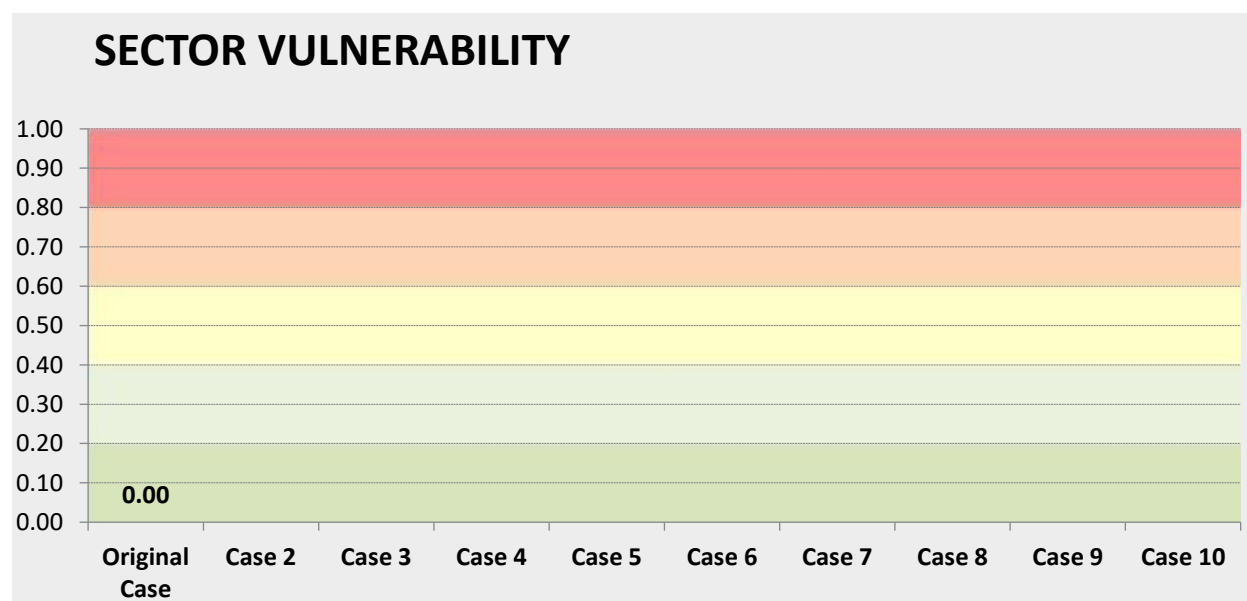
3. ENTER DATA in 2 ENTRY PAGES **ONLY!**

- Only enter info/data in the first 2 Excel page-files: “Entry Page” and “Entry Page (Products)”.
- **DO NOT ENTER ANY DATA** in any other pages/files, as doing so will corrupt the results that the Macros are designed to generate
- Do not enter data on the following pages: Output Charts; Prioritization, Vulnerability Map, Scenario Analysis, Product Calculation, etc.
- If all fields where entries are required are not completed (enter N/A for not applicable), the results in the Results charts will be inaccurate.



ENABLING MACROS: Always click on the “*ENABLE CONTENT*” whenever it appears. If Macros are disabled, remaining results files will not work or will produce incorrect results. The below illustrates data entered on the Entry Page which is not appearing on the results chart (Sector Vulnerability, below) even if the data was properly saved, because the Macros have not been enabled.

INSURANCE SECTOR		ASSESSMENT
A. GENERAL INPUT VARIABLES		
Staff Integrity	[0.6] Medium High	0.6
Staff Knowledge	[0.2] Low	0.2
Compliance Function	[0.2] Low	0.2
AML Monitoring Systems	[0.1] Close to Nothing	0.1
Corporate and Trust Transparency	[0.5] Medium	0.5
Identification Infrastructure	[0.4] Medium Low	0.4
Availability of Independent Information Sources	[0.4] Medium Low	0.4



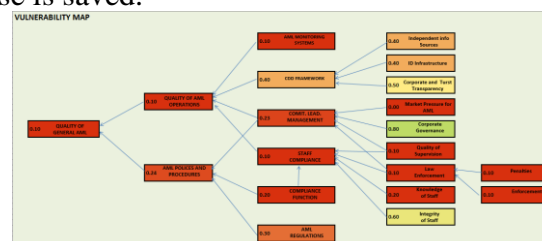
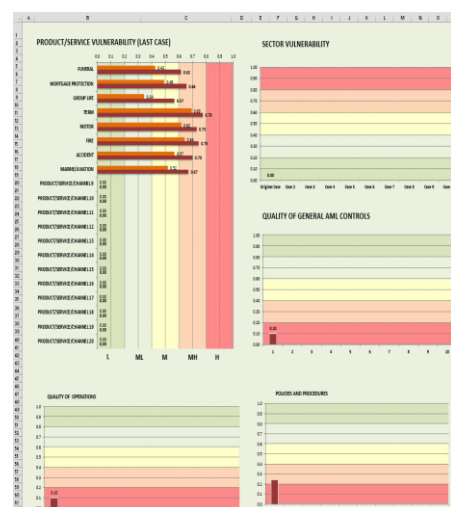
SAVE ORIGINAL CASE: Whenever any rating has been changed in the Original ratings, you must re-click on “SAVE ORIGINAL CASE” in order for the data to be pulled into the subsequent results charts.

A		B		D	
Please complete the entries at this page as well as product entry page, before saving the case.					
INSURANCE SECTOR			ASSESSMENT		
A. GENERAL INPUT VARIABLES					
Staff Integrity		(0.6) Medium High			0.6
Staff Knowledge		(0.2) Low			0.2
Compliance Function		(0.2) Low			0.2
AML Monitoring Systems		(0.1) Close to Nothing			0.1
Corporate and Trust Transparency		(0.5) Medium			0.5
Identification Infrastructure		(0.4) Medium Low			0.4
Availability of Independent Information Sources		(0.4) Medium Low			0.4
Proceed (Products) Outputs Vulnerability Map Prioritization			<div style="border: 1px solid red; border-radius: 50%; padding: 5px; text-align: center;"> Save the Original Case </div> <div> Scenario 2 Scenario 3 Scenario 4 Scenario 5 Scenario 6 Scenario 7 Scenario 8 Scenario 9 Scenario 10 Reset The Entries </div>		

Macros will not work properly unless required input fields are completed. Where item does not apply, the appropriate selection must be made. You can save your entries which are not yet completed, but remember the Macros don't work until all fields are completed. If you add info later, be sure to click on **SAVE ORIGINAL CASE** again.

PRODUCT/SERVICE/CHANNEL 9	PRODUCT/SERVICE/CHANNEL 10
	Not Available
	Not Analyzed
	Not Available
Not Available	Not Available
Not Analyzed	Not Analyzed
Not Analyzed	Not Analyzed
Not Available	Not Available
Not Exist	Not Exist
Not Exist	Not Exist
Easy to trace	Easy to trace
Not Available	Not Available
Not Exist	Not Exist
Only General AML Controls	Only General AML Controls
Please, complete the entries!	Please, complete the entries!

Do not enter or alter **any** data in any of the following page/files; these charts are automatically populated by the ratings & data entered in the previous Data Entry pages, if Macros are properly enabled, and Original Case is saved.



PRIORITY	Best Case	Original Case
AML Laws and Regulations (Preventive measures and supervision)	5	5
Quality of AML Supervision	1	1
Market Pressure to Meet AML Standards	4	4
Commitment to Good Corporate Governance		
Penalties	8	8
Enforcement of AML Obligations	7	7
Staff Integrity	8	8
Staff Knowledge	2	2
Compliance Function	3	3
AML Record Keeping and Monitoring Systems	5	5
Corporate and Trust Transparency	10	10
Identification Infrastructure	10	10
Availability of Independent Information Sources	12	12

1	NOTICE! The Data On This Page Contains the Assumptions of The Model and Can Be Edited Just by YEAR 1*	
		IMPACT RANKING**
32		
33	AML Laws and Regulations (Preventive measures and supervision)	5
34	Quality of AML Supervision	1
35	Market Pressure to Meet AML Standards	4
36	Commitment to Good Corporate Governance	
37	Penalties	8
38	Enforcement of AML Obligations	7
39	Staff Integrity	8
40	Staff Knowledge	2
41	Compliance Function	3
42	AML Monitoring Systems	5
43	Corporate and Trust Transparency	10
44	Identification Infrastructure	10
45	Availability of Independent Information Sources	12
46	* For the impact analysis, a best case scenario has been created. Then the factor to be analyzed is retracted to its original (entry) value, while all other components are held constant at their best scenario values. Macros measure the negative impact (compared to best case scenario) of each input and ranks the factors accordingly. Due to the conditionality in model structure, the impact analysis is not straightforward and need to be	
47	**Darker the color is, more priority the item has.	

PRODUCT/SERVICE/CHANNEL 16				PRODUCT/SERVICE/CHANNEL 17			
Response Code	Corresponding Score	Weights	Weighted Scores	Response Code	Corresponding Score	Weights	Weighted Scores
-1.00	3.00	-3.00		-1.00	3.00	-3.00	
-1.00	1.00	-1.00		-1.00	1.00	-1.00	
-1.00	3.00	-3.00		-1.00	3.00	-3.00	
-1.00	2.00	-2.00		-1.00	2.00	-2.00	
-1.00	0.00	0.00		-1.00	0.00	0.00	
-1.00	0.00	0.00		-1.00	0.00	0.00	
-1.00	0.00	0.00		-1.00	0.00	0.00	
-1.00	0.00	0.00		-1.00	0.00	0.00	
-1.00	-1.00	3.00	-3.00	-1.00	-1.00	3.00	-3.00
-1.00				-1.00			
-1.00				-1.00			
-1.00				-1.00			
-1.00				-1.00			
-1.00				-1.00			
-1.00				-1.00			
-1.00				-1.00			
0.10	0.00	0.00	0.00	0.10	0.00	0.00	0.00
0.90	0.00	0.00	0.00	0.90	0.00	0.00	0.00
-1.00	0.00	-1.00	-1.00	-1.00	0.00	-1.00	-1.00
-0.90	0.00	-0.90	-0.90	-0.90	0.00	-0.90	-0.90
-0.80	0.00	-0.80	-0.80	-0.80	0.00	-0.80	-0.80
1.00	0.00	99.00	99.00	1.00	0.00	99.00	99.00
-1.00	0.00	-99.00	-99.00	-1.00	0.00	-99.00	-99.00
0.12	0.00	99.00	99.00	0.12	0.00	99.00	99.00

NRA Trouble Shooting

- Verify that all the above-mentioned steps have been taken
- If results are still not appearing in the result/chart pages, then the Template macros have been somehow corrupted. Start again with a clean Excel Template and re-enter all data, being sure to ENABLE CONTENT (macros) and SAVING ORIGINAL CASE
- If problems persist, contact your World Bank NRA Team