

FinCEN – BSA E-Filing System Performance Measure Survey FY 2008

Introduction

The Financial Crimes Enforcement Network (often referred to as FinCEN) is committed to serving and satisfying their customers. FinCEN records indicate that your organization has submitted Bank Secrecy Act reports through the BSA E-Filing system. We want to ask for feedback regarding your satisfaction with FinCEN's BSA E-Filing System.

The survey will only take five minutes to complete. CFI Group will treat all information you provide as confidential. All information you provide will be combined with others' for research and reporting purposes. Your individual responses will not be released. This survey is authorized by the U.S. Office of Management and Budget Control No. 1505-0191.

Have you used FinCEN's BSA E-Filing System?

1. Yes
2. No

(If No, ask below before terminating survey)

Please specify the reason(s) for not using FinCEN's BSA E-Filing System. (Open-End)

Demographics/Use

Demo1. Which of the following best describes your organization? (Select one)

1. Depository Institution
2. Money Services Business (MSB)
3. Dealer in Precious Metals, Stones, or Jewels
4. Mutual Fund
5. Futures Commission Merchant or Introducing Broker in Commodities
6. Securities Broker/Dealer
7. Casino
8. Insurance Company
9. Other (specify)

Demo2. How long have you been using the E-Filing System?

1. Less than one month
2. More than one month but less than six months
3. More than six months but less than one year
4. One year or longer

Demo3. Which best describes how frequently you use FinCEN's BSA E-Filing System?

1. About once a day or more often
2. A few times a week
3. About once a week
4. About once a month
5. Once every few months
6. Every six months or less often

Demo 4. What type of filing method is currently used by your organization? (Select all that apply)

1. Discrete (Single Filings)
2. Batch (Multiple Filings)
3. Secure Direct Transfer Mode (i.e. Connect:Direct)
4. Don't Know

Demo 5. Does your organization use a vendor or service bureau to submit batch filings?

1. Yes (if yes, please specify the name of the vendor or service bureau) _____
2. No
3. Don't Know

Demo 6a. Does your organization use FinCEN's SAR Software (4.0 or 5.0)?

1. Yes
2. No
3. Don't Know

(IF Demo 6a= 1 (YES) ASK Demo6b)

Demo 6b. If yes, please specify which version of FinCEN's SAR software your organization uses?

1. Version 4.0
2. Version 5.0
3. Don't Know

Demo 7a. Does your organization file any of your BSA forms on electronic media (tapes, diskettes) in addition to using the BSA E-Filing System?

1. Yes
2. No
3. Don't Know

(IF Demo 7a= 1 (YES) ASK Demo7b)

Demo 7b. If yes, what types of forms do you file on electronic media? (select all that apply)

1. CTR
2. CTR-C
3. SAR
4. SAR-SF
5. SARMSB
6. Don't Know

On a scale from "1" to "10," where "1" is "poor" and "10" is "excellent," please rate FinCEN's BSA E-Filing System on the following. If a question does not apply, please select "N/A."

Organizational compatibility

Q1. Meeting your organization's filing needs

Q2. Compatibility with your IT Processes

Usability

Q3. Clarity/Usefulness of online guidance for completing forms

Q4. Ease of use

Q5. Timeliness of file upload

Q6. Accuracy of filings (i.e., duplicates, file corruption)

Q7. Efficiency compared to traditional paper filing

Status/Acknowledgement

- Q8. Timeliness of acknowledgement email
- Q9. Usefulness of acknowledgement email

User Support/Helpline

On a scale from “1” to “10,” where “1” is “poor” and “10” is “excellent,” please rate FinCEN's BSA E-Filing System User Support/Helpline on the following:

- Q10. Courtesy of representative
- Q11. Knowledge of the representative
- Q12. Timeliness of response
- Q13. Ability to resolve your problem/issue

CSI Benchmark Questions

Now we are going to ask you to please consider your experiences with FinCEN's BSA E-Filing System with respect to the following:

- Q14. First, please consider all your experiences to date in submitting BSA Reports using FinCEN's E-Filing System. Using a 10-point scale on which “1” means “Very dissatisfied” and “10” means “Very satisfied,” how satisfied are you with FinCEN's E-Filing System?
- Q15. To what extent has FinCEN's BSA E-Filing System met your expectations? Please use a 10-point scale on which “1” now means “Falls short of your expectations” and “10” means, “Exceeds your expectations.”
- Q16. Forget about FinCEN for a moment. Imagine the ideal E-Filing System. How well does FinCEN's E-Filing System compare with that ideal? Please use a 10-point scale on which “1” means “Not very close to the ideal” and “10” means “Very close to the ideal.”

Open End

- Q17. What can FinCEN do to make the BSA E-Filing System better serve your needs?

Closing

On behalf of FinCEN, I thank you for your time and participation today. Your feedback is greatly appreciated.