FinCEN – BSA E-Filing System
Performance Measure Survey FY 2011

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. 1090-0007.

INTRO1. Have you used FinCEN's BSA E-Filing System?
>1. Yes
>2. No

(If No, ask below before terminating survey)
IF INTRO 1 = 2 NO ASK INTRO2 AND TERMINATE ELSE GO TO DEMO 1

INTRO2.   Please specify the reason(s) for not using FinCEN's BSA E-Filing System. (Open-End)

TERMINATE

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)

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

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

Q4.   Meeting your organization's filing needs

Q5.   Compatibility with your IT Processes

Usability

Q6.   Ease of use

Q7.   Timeliness of file upload

Q8.   Accuracy of filings (i.e., duplicates, file corruption)

IF DEMO 4 =1 DISCRETE ASK Q10 ELSE GO TO Q11

Q10.   Usefulness of online form Help windows (when cursor hovers over field, instructions for that field automatically pop up)

Q11.   BSA E-Filing User Manual

Q12.   BSA E-Filing Supervisory User Manual (Supervisory Users only)

Q13.   BSA E-Filing Quick Reference Guide

Status/Acknowledgement

Q14.   Timeliness of acknowledgement email

Q15.   Usefulness of acknowledgement email

Batch Filers Only

Q16.   Do you submit SAR forms in batch format?

1. Yes

2. No

3. Don't Know

If no – skip to next section (user support/helpline).

If yes – FinCEN implemented SAR Acknowledgments for SAR batch submissions in September 2009.

IF Q16 = 1 YES ASK Q17 and Q18

IF Q16 = 2 NO or 3 DON'T KNOW SKIP TO Q19

Q17.   On a scale of 1 to 10, where is not at all useful and10 is extremely useful, how useful is the SAR Acknowledgment information provided by FinCEN in response to your batch filings?

Q18.   Is there any additional information you want included in the SAR acknowledgement file? (Open-ended)

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:

Q19.   Courtesy of representative

Q20.   Knowledge of the representative

Q21.   Timeliness of response

Q22.   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:

Q23.   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?

Q24.   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."

Q25.   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

Q26.   What can FinCEN do to make the BSA E-Filing System better serve your needs (e.g., additional guidance, user support, system improvements)?

Closing

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