

FinCEN – Domestic Analytic Products Survey Customer Satisfaction Survey 2011

Introduction

FinCEN is committed to serving and satisfying their customers and has commissioned the CFI Group, an independent third-party research group, to conduct this survey. FinCEN is asking for general feedback about the product or service you received so they can improve their service to you; there will not be any specific questions concerning past or current investigations.

CFI Group will treat all information you provide as confidential. All information you provide will be grouped anonymously along with other FinCEN customers 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.

Demographics

Demo1. Which of the following best describes your organization?

1. Department of Defense
2. Department of Homeland Security
3. Department of Treasury
4. Department of Justice
5. Other Federal Government Department/Agency
6. State/Local Law Enforcement
7. Other (specify)

Domestic Law Enforcement Case and Project Support

FinCEN provides both basic tactical case support and complex analytic products in response to requests from law enforcement agencies for support on money laundering or financial crimes cases or projects.

1. How many times have you have received case or project support from FinCEN in response to your request during the past 12 months?
 1. None (Ask Q1.1)
 2. Once (Continue to Q2)
 3. 2-3 times (Continue to Q2)
 4. 4 or more times (Continue to Q2)

1.1 Have you ever received case or project support from FinCEN?

1. Yes (Continue to Q2)
2. No (Skip to Q17)
3. Don't Know (Skip to Q17)

On a scale from "1" to "10," where "1" is "not at all important" and "10" is "very important," please rate the importance of each of the following reasons that you/your agency typically request case or project support from FinCEN? If you/your agency have never requested case or project support, please select N/A.

2. FinCEN has unique expertise related to analyzing the Bank Secrecy Act (BSA) data
3. FinCEN has access to unique sources of information
4. FinCEN has access to unique resources/analytical software
5. FinCEN has unique expertise or knowledge in/of specific field(s) of money laundering or financial

crime relevant to my area of responsibility.

6. I do not/my agency does not have time to do the analysis internally
7. I do not/my agency does not have sufficient experience to do the analysis internally
8. I do not/my agency does not have access to the Bank Secrecy Act (BSA) database

9. Please specify any other reasons that you/your agency requested case or project support from FinCEN. (Open end)

On a scale from “1” to “10,” where “1” is “not at all useful” and “10” is “very useful,” please rate the usefulness of case or project support you received from FinCEN for the following.

If a choice does not apply, please indicate N/A.

10. Verifying existing information
11. Usefulness of financial information to investigation, if provided
12. Helping you identify new leads
13. Usefulness of information in planning/developing investigative plan
14. Providing case support
15. Providing information previously unknown
16. Supplementing or expanding known information
17. Helping you better use resources

18. On a scale from “1” to “10,” where “1” is “not at all useful” and “10” is “very useful,” please rate the usefulness of training FinCEN has provided you or your agency, if any, on the Analytical System for Investigative Support (ASIS).

If you/your agency has not received ASIS training, please indicate N/A.

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19. Please provide any suggestions for how FinCEN can improve its Domestic Law Enforcement Case and Project Support. (*Open ended*)
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Proactive Analytical Products

FinCEN also produces strategic and tactical analytical reports for the law enforcement community about national and international financial crime trends, patterns, methodologies and activities. These products, when provided to FinCEN’s partners in an unsolicited manner, are considered “Proactive Analytical Products.”

20. From the following list of proactive analytical products, please indicate if you received each of the products? (Select all that apply.)
 1. Effects of Mexican Regulations on U.S. Dollar Cash (Advisory and/or Key Points Summary – March 2011)
 2. Update on Mexican Regulation of U.S. Dollar Cash and Related Trends (Advisory – October 2010)

- 3. Recent Trends Associated with SAR-MSB Transactions Involving Mexico (Advisory – September 2010)
- 4. The Physical Flow of Dollars in the Mexican Financial System (Joint Study FinCEN/Mexican FIU- June 2010)
- 5. Trade Based Money Laundering Trends and Red Flag Indicators (Advisory- January 2010)
- 6. Other, including tactical and strategic information provided via presentations or training seminars at conferences or other informational venues
- 7. Mexico/SWB target referrals, tactical financial analysis, or pattern/trend information in support of USG SWB efforts to detect, interdict or investigate narcotics, firearms or human smuggling activities.
- 8. Mortgage loan fraud target referrals emanating from FinCEN's support to USG mortgage loan fraud initiatives (multiple reports issued May 2009 – May 2010). **(ASK QUESTION 20)**
- 9. None of the above **(SKIP TO Q28)**

21. How many mortgage loan fraud target referrals emanating from FinCEN's support to USG mortgage loan fraud initiatives (multiple reports issued May 2009 – May 2010) have you received?
- 1. 1-2
 - 2. 3-4
 - 3. 5 or more

22. What action did your organization take in response to the proactive analytic product from FinCEN? (Check all that apply)
- 1. Case, inquiry or project opened
 - 2. Associated with ongoing case, inquiry, or project (program)
 - 3. Assigned for preliminary investigation
 - 4. Referred to other office
 - 5. Retained for future use
 - 6. Incorporated information into intelligence or investigative report
 - 7. Initiated intelligence collection
 - 8. Other (Specify)

On a scale from “1” to “10,” where “1” is “not at all useful” and “10” is “very useful,” please rate the usefulness of the proactive analytical products that you or your agency have used with respect to ... If an item does not apply, please indicate N/A.

- 23. Relevancy to your work
- 24. Product provided information previously unknown
- 25. Product supplemented/expanded or reinforced known information
- 26. Product contradicted known information
- 27. Information assisted in planning or developing agency or unit objectives

 28. How can FinCEN improve its proactive analytical products? *(open ended)*

Technical Reference Manuals

FinCEN also produces a number of technical reference manuals on issues relevant to investigating money laundering, terrorist financing, and other financial crimes. Manuals typically cover the logistics of mechanisms for moving money and making payments.

On a scale from “1” to “10,” where “1” is “not at all useful” and “10” is “very useful,” please rate the usefulness of each technical reference manual to your agency’s investigations of financial crimes or

money laundering?

If you did not receive or use a particular manual, please select N/A.

29. Funds Transfers (March 2005)
30. Postal Money Orders (December 2005)
31. PayPal, Operations & Record Processes (December 2007)
32. MoneyGram, Operations & Record Processes (June 2008)
33. Utilizing Bank Secrecy Act Data (December 2008)
34. Western Union, Operations & Record Processes (August 2009)
35. Funds Transfers – Update, Correspondent Accounts (January 2010)
36. Green Dot – Operations and Record Processes (July 2010)
37. NetSpend – Operations and Record Processes (August 2010)

38. Please provide any suggestions for how FinCEN can improve its Technical Reference Manuals.
(Open ended)

314(a) Requests

FinCEN's regulations under Section 314(a) of the USA PATRIOT Act enable law enforcement agencies, through FinCEN, to reach out to U.S. financial institutions to locate accounts and transactions of persons that may be involved in terrorism or significant money laundering. FinCEN receives requests from law enforcement and upon review, sends requests to designated contacts within financial institutions across the country once every 2 weeks via either a secure Internet web site or via facsimile.

35. How many times have you have utilized FinCEN's 314(a) program during the past 12 months?

1. None (skip to intro before Q37)
2. Once (continue to Q36)
3. 2-3 times (continue to Q36)
4. 4 or more times (continue to Q36)

36. On a scale from "1" to "10," where "1" is "not at all useful" and "10" is "very useful," please rate the usefulness of the 314(a) requests FinCEN processed on behalf of your agency for investigations of financial crimes or money laundering?

Foreign Financial Intelligence Unit (FIU) Requests

FinCEN is the FIU representing the United States that participates in a global network of FIUs called the Egmont Group. As such, at the request of domestic law enforcement agencies, FinCEN can facilitate information exchange with FIUs in other countries on law enforcement investigations that have an international component.

On a scale from "1" to "10," where "1" is "not at all useful" and "10" is "very useful," please rate the usefulness of the following types of FIU requests in your agency's investigations of financial crimes or money laundering.

If you have not utilized this service, please select N/A.

37. Responses to your/your agency's requests for foreign FIU information
38. Referrals to you/your agency regarding foreign countries' requests for information

Training/Outreach Services

FinCEN provides a variety of training and outreach to law enforcement including CBRS/Gateway, as well

as training sessions on such issues as funds transfers, postal money orders, PayPal, and Money Service Businesses. FinCEN also conducts outreach to law enforcement by attending a number of conferences each year and conducting information sessions for individual agencies on the types of products and services it offers to law enforcement.

39. Have you/any agents or other staff from your agency attended training or outreach sessions offered by FinCEN?

1. Yes (Ask Q40)
2. No (Skip to Q41)
3. Don't Know (Skip to Q41)

40. On a scale from "1" to "10," where "1" is "not at all useful" and "10" is "very useful," please rate the usefulness of the training and outreach sessions you or other staff from your agency have attended.

Communication

On a scale from "1" to "10," where "1" is "not very satisfied" and "10" is "very satisfied," please rate your/your agency's satisfaction with the opportunities it has had to provide FinCEN with input or feedback on the following issues.

If you have not provided FinCEN input or feedback on an issue, please select N/A.

38. Planned changes to the Bank Secrecy Act (BSA) forms
39. Proposed guidance for financial institutions submitting BSA reports
40. Development, prioritization, and implementation of its case and project support products
41. Development, prioritization, and implementation of its proactive analytical products
42. Topics, structure and content of Technical Reference Manuals
43. Development, prioritization, and implementation of its 314(a) process
44. Development, prioritization, and implementation of its FIU process

45. Please provide any suggestions for how FinCEN can improve its customer communication.
(Open ended)

ACSI Benchmark Questions

Now we are going to ask you to please consider your overall experiences with FinCEN:

46. First, please consider your experiences with FinCEN's law enforcement support products and services over the past 12 months. Using a 10-point scale on which "1" means "Very dissatisfied" and "10" means "Very satisfied," how satisfied are you with these products?
47. To what extent have FinCEN's law enforcement support products and services 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."
48. Forget about FinCEN's law enforcement support products and service for a moment. Now, imagine the ideal law enforcement support product or service. How well do you think FinCEN's products and services 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."

Closing

FinCEN would like to thank you for your time and participation today. Your feedback is greatly appreciated.