

FinCEN – BSA E-Filing System Performance Measure Survey FY 2014 FINAL VERSION

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.

All information you provide will be combined with others' for research and reporting purposes. Your individual responses will not be released.

This interview is authorized by Office of Management and Budget Control No. 1090-0007 which expires on March 31, 2015. This interview will take approximately 5-10 minutes.

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 INTERVIEW

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. Residential Mortgage Lender and Originator (Mortgage Company or Broker)
10. Other (specify)

Demo2. How long have you been using the BSA 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 the 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

Organizational Compatibility

OC1. On a scale from "1" to "10," where "1" is "poor" and "10" is "excellent," please rate FinCEN's BSA E-Filing System on meeting your organization's filing needs.

OC2. Is the technology used by the BSA E-Filing System compatible with your IT systems? (i.e. web browser compatibility, Adobe reports etc.)

1. Yes
2. No (if no, please explain: _____)

Usability

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:

- U1. Ease of use
- U2. Timeliness of file upload
- U3. Ability to submit filings with no issues (i.e., errors with uploading, etc)
- U4. Timeliness of acknowledgements
- U5. Usefulness of acknowledgements

The BSA E-Filing System contains multiple training tools. On a scale from "1" to "10," where "1" is "poor" and "10" is "excellent," please rate the usefulness of each tool you have used. If you have not used a particular tool, please select N/A.

- U6. Usefulness of online Help (pop-up window with instructions that appears when cursor hovers over a particular field)
- U7. BSA E-Filing User Manual
- U8. BSA E-Filing Supervisory User Manual (Supervisory Users only)
- U9. BSA E-Filing Quick Reference Guide

User Technical 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. If you have not used the Technical Support Helpline, please select N/A:

- HELP1. Courtesy of representative
- HELP2. Knowledge of the representative
- HELP3. Timeliness of response
- HELP4. Ability to resolve your problem/issue

HELP5. Do you have the user technical support/helpline?

1. Yes (if yes, document recommendation: _____)
2. No

FinCEN Resource Center Response

FRC1. FinCEN also has a Regulatory Helpline to answer questions for those who need guidance or clarification on BSA reporting or recordkeeping requirements (1-800-949-2732 or BSA_Resource_Center@fincen.gov). Have you ever contacted FinCEN's Regulatory Resource Center for assistance?

1. Yes (if yes, go to FRC2, if no skip to ACSI1).
2. No (Skip to ACSI 1)

FRC2. 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 guidance you received from the FinCEN Resource Center for meeting your BSA reporting and/or recordkeeping requirements?

On a scale from "1" to "10," where "1" is "poor" and "10" is "excellent," please rate the response you received from FinCEN's Regulatory Resource Center on the following:

FRC3. Response was understandable

FRC4. Response was delivered in a courteous manner

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:

ACSI1. 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?

ACSI2. 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."

ACSI3. 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."

OE1. FinCEN continues to look for ways to improve the user experience, functionality and overall layout of the BSA E-Filing System website.

Please provide any recommendations to improve the usability and functionality of the BSA E-Filing website.

Closing

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