

FinCEN – Foreign Financial Intelligence Unit (FIU) Survey 2015

Introduction

FinCEN is committed to serving and satisfying its customers and has commissioned the CFI Group, an independent third-party research group, to conduct this survey. Records indicate that you received at least one investigative case report over the last 12 months. FinCEN is asking for feedback about the process, the customer service you received, and the information you received in response to your request. Your responses should reflect an overall rating based on all case requests.

The survey will take approximately 5 minutes to complete. Your answers are voluntary, but your opinions are very important. Your responses will remain anonymous and will only be reported in aggregate. This survey is authorized by Office of Management and Budget Control No. 1090-0007 which expires on March 31, 2015.

Demographics

Demo1. Please identify the country in which your FIU is located (open-ended, specify foreign jurisdiction)

Process for Requesting Case Support from FinCEN

CS1. How frequently have you requested case support from FinCEN during the past 12 months?

1. Once
2. 2-4 times
3. 5 or more times

On a scale from “1” to “10,” where “1” is “poor” and “10” is “excellent,” please rate the process for requesting case support from FinCEN on the items listed below. If a particular choice does not apply, please select “N/A.”

- CS2. Ease of filling out the FinCEN Supplemental form
CS3. Ease of submitting the Request for Research Form (including *USA/FinCEN Case Request Supplement*)
CS4. Receiving confirmation of receipt of Request for Research
CS5. Convenience of the process overall

FinCEN Customer Service

On a scale from “1” to “10,” where “1” is “poor” and “10” is “excellent,” please rate the FinCEN representative who assisted you with your request on items below. If a particular choice does not apply, please select “N/A.”

- Rep1. Ability to explain the capabilities of FinCEN
Rep2. Ability to answer your questions
Rep3. Keeping you updated about the status of your case
Rep4. Timeliness of responses from the representative
Rep5. Courtesy of representative

Response from FinCEN (Formal Egmont Requests to FinCEN)

As the U.S. FIU, FinCEN provides specialized research and analysis of U.S. Bank Secrecy Act (BSA) data to support partner FIU efforts to identify, deter, and investigate financial crime. On a scale from “1” to “10,” where “1” is “poor” and “10” is “excellent,” please rate the response you received from FinCEN on the items listed below. If a choice does not apply, please select “N/A.”

- Res1. Clarity of information
Res2. Organization of information

- Res3. Relevance
- Res4. Thoroughness
- Res5. Timeliness

Usefulness of FinCEN Response to Formal Egmont Requests

On a scale from “1” to “10,” where “1” is “not at all useful” and “10” is “very useful,” please rate the value of information you received from FinCEN on the items below. If a choice does not apply, please select “N/A”

- Use1. Verifying existing information
- Use2. Usefulness of financial information to investigation, if provided
- Use3. Helping you identify new leads
- Use4. Providing information previously unknown
- Use5. Supplementing or expanding known information

- Use6. Please provide any suggestions for how FinCEN can improve the analytical reports you receive.

FinCEN Spontaneous Disclosure Intelligence Products

FinCEN's Intelligence Division also produces tactical and strategic Spontaneous Disclosure intelligence products concerning specific tactical investigative targets as well as national and international financial crime networks, trends, patterns, vulnerable payment mechanisms and related fund flows, methodologies and activities.

- SD1 Have you ever received a Spontaneous Disclosure intelligence product from FinCEN?
 - a. Yes (Continue to next question)
 - b. No (Skip to next Section – Egmont Secure Web)

- SD2 What action did your organization take in response to the Spontaneous Disclosure intelligence product from FinCEN? (Check all that apply)
 - 1. Opened case, inquiry or project
 - 2. Assigned for preliminary evaluation or investigation
 - 3. Referred to other office
 - 4. Retained for future use
 - 5. Incorporated information into intelligence, investigative or other reports
 - 6. Initiated intelligence collection
 - 7. Requested additional analytical support, and/or target and trends monitoring from FinCEN
 - 8. Requested training from FinCEN
 - 9. Requested other type of support from FinCEN (Specify)
 - 10. Took no action

- SD3 How useful was the intelligence product you received from FinCEN? (Check all that apply)
 - 1. Provided information previously unknown
 - 2. Supplemented, expanded or reinforced known information
 - 3. Contradicted known information
 - 4. Assisted in planning or developing agency or unit objectives
 - 5. Identified new investigative leads (e.g., financial transactions, bank accounts, assets, subject associations, etc.)
 - 6. Helped enhance the focus and/or scope of your investigative and analytic efforts
 - 7. Helped you better use resources
 - 8. Assisted in comprehending and following illicit money flows through vulnerable payment processes and transactions
 - 9. Not useful

10. Other (please specify) (Open ended)

SD4 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 intelligence product received from FinCEN.

SD5 How can FinCEN improve its tactical and strategic intelligence products? (open ended)

Egmont Secure Web

ESW1. On a scale from “1” to “10,” where “1” is “not at all satisfied” and “10” is “very satisfied,” please rate how satisfied you are with the Egmont Secure Web.

ESW2. What suggestions do you have for improving the Egmont Secure Web? (Open-ended)

ACSI Benchmark Questions

Now we are going to ask you to please consider your experiences with FinCEN with respect to the following:

ACSI1. First, please consider your experiences with FinCEN 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 FinCEN?

ACSI2. To what extent has FinCEN met your expectations? Please use a 10-point scale on which “1” means “Falls short of your expectations” and “10” means “Exceeds your expectations.”

ACSI3. Forget about FinCEN for a moment. Now, imagine the ideal Financial Intelligence Unit. How well do you think FinCEN compares 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.