

FinCEN – Foreign Financial Intelligence Unit (FIU) Survey 2021

Introduction

FinCEN has commissioned the CFI Group, an independent third-party research group, to conduct this survey. Records indicate that you received at least one FinCEN product over the last 12 months. FinCEN is asking for feedback about the process and the information you received in response to your request. We ask that your responses 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 important to us. Your responses will remain anonymous and will only be reported in aggregate. This survey is authorized by Office of Management and Budget Control No. 1506-0062

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 assistance you received from FinCEN regarding your request. If a particular choice does not apply, please select “N/A.”

- Rep1. Ability to explain the capabilities of FinCEN
Rep2. Ability to answer your question(s)
Rep3. Keeping you updated about the status of your case
Rep4. Timeliness of response(s)
Rep5. Overall service and responsiveness

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

FinCEN Spontaneous Disclosure Intelligence Products

FinCEN sends Spontaneous Disclosures to fellow FIUs concerning international financial crime networks, trends, patterns, vulnerable payment mechanisms and related fund flows, methodologies and activities.

SD1 Have you ever received a Spontaneous Disclosure 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 from FinCEN? (Check all that apply)

1. Assigned for preliminary evaluation or investigation
2. Referred to law enforcement authorities
3. Referred to intelligence or security agencies
4. Referred to other office
5. Retained for future use
6. Incorporated information into intelligence, investigative or other reports
7. Initiated intelligence collection
8. Requested additional analytical support, and/or target and trends monitoring from FinCEN
9. Requested training from FinCEN
10. Requested other type of support from FinCEN (Specify)
11. Took no action

SD3 How useful was the information you received from FinCEN? (Check all that apply)

1. Provided information previously unknown
2. Supplemented, expanded or reinforced known information
3. Contradicted previously 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 understanding 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 Spontaneous Disclosures received from FinCEN.

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.”

Closing

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