2020 Case Study Scoring Rubric

CSBS

As a judge you will use the below criteria to score each team paper and video. The column under points represents the max amount you may assign the team in that category. The column under points earned is where you will provide your score for the team in that category. Fractions of points are allowed, but are limited to half of a point. (Ex: 5.5)

University Name: _____

Team Number (if applicable): _____

Judge Name: _____

Adherence to Guidelines - Video

Category	Description	Points	Points Earned
Length	No more than 5 minutes.	1	
Visual	Video quality including sound, charts and graphs are clear and comprehensible.	4	
Content	The video highlights the bank, and addresses the Case Study topic?	5	
Point Total		10	

Adherence to Guidelines - Paper

Category	Description	Points	Points Earned
Length	Does not exceed 25 pages.	1	
Executive Summary	Includes a 1-2 page executive summary.	1	
Data Visualization	Includes no more than 10 full pages of tables and charts that address the case study findings. Charts are representative and understandable.	2	
Format	The paper is in MLA format (12 point font size, Times New Roman or similar font, and double spaced).	2	
Citations	Any referenced materials are cited appropriately.	2	
Clarity	Are the observations and analyses driving the case-study conclusions clear and cogent?	4	
Grammar & Spelling	Adheres to proper grammar, spelling and mechanics.	3	
Point Total		15	

Quality of Research

Part I: Financial Analysis	**Did the team analyze the following?** 1. Earnings Performance 2. Loan portfolio composition 3. Asset Growth 4. Capital levels & planning 5. Liquidity	15	

Part II: Bank Secrecy Act and Anti-Money Laundering Act (BSA/AML) Compliance Assessment	**Did the team address the questions most pertinent to the institution?** 1.What process, methods, and information does the bank utilize to conduct its BSA/AML risk assessment? 2.How many dedicated employees does the bank have for BSA/AML compliance? 3.What portion of the banks overall compliance costs are dedicated to BSA/AML? Are there ways in which the bank has been able to reduce costs associated with BSA/AML compliance? 4.How is the bank's BSA/AML compliance function structured to meet the Bank Secrecy Act requirements? 5.Have there been any recent changes to the bank's structure or approach to compliance? 6.What challenges does the institution face under the current BSA/AML compliance framework?	25	
Part III: Technology, Innovation, & Collaboration	**Did the team address the questions most pertinent to the institution?** 1.How has the institution used new or existing technology to meet BSA/AML requirements? What software does the bank currently use and why? How has this software assisted the bank in meeting BSA/AML requirements? What could the software better? 2.In October 2018, FinCEN and the federal banking agencies issued a joint statement explaining how community institutions with low-risk profiles could share BSA/AML resources in order to reduce compliance costs. Is the bank currently collaborating with any other financial institutions as part of their BSA compliance efforts? If not, would the bank be interested in exploring this further? 3.Does the bank have insights to share regarding their BSA-related interactions with local or state law enforcement, FinCEN, state and/or federal examiners? 4.Does the bank have any plans or ideas to change their BSA compliance methods through the use of innovative technologies or collaboration?	20	

Part IV: Policy Recommendation & The Future of BSA/AML Reform	**Did the team address all of the following?** 1.Are there areas where FinCEN and the regulators could be helpful in clarifying key components of the Act and compliance expectations? 2.Identify measures policymakers could take to: a.Modernize some of the Act's provisions; b.Reduce the burden of BSA/AML reporting; c.Improve the quality of information to meet the goals of the Act. 3.How can FinCEN and law enforcement better inform the bank on the effectiveness of their SAR and CTR submissions?		
		15	
Point Total		75	
	Total	100	

Please provide any comments or feedback for the student team: