

Vote:129

 Financial Intelligence Authority (FIA)

QUARTER 3: Highlights of Vote Performance

V1: Summary of Issues in Budget Execution

Table V1.1: Overview of Vote Expenditures (UShs Billion)

	Approved Budget	Cashlimits by End Q3	Released by End Q 3	Spent by End Q3	% Budget Released	% Budget Spent	% Releases Spent
Recurrent Wage	2.306	1.730	1.730	1.704	75.0%	73.9%	98.5%
Non Wage	4.304	3.562	3.551	3.155	82.5%	73.3%	88.8%
Devt. GoU	0.840	0.840	0.840	0.849	100.0%	101.1%	101.1%
Ext. Fin.	0.000	0.000	0.000	0.000	0.0%	0.0%	0.0%
GoU Total	7.450	6.131	6.121	5.708	82.2%	76.6%	93.3%
Total GoU+Ext Fin (MTEF)	7.450	6.131	6.121	5.708	82.2%	76.6%	93.3%
Arrears	0.000	0.000	0.000	0.000	0.0%	0.0%	0.0%
Total Budget	7.450	6.131	6.121	5.708	82.2%	76.6%	93.3%
<i>A.I.A Total</i>	0.000	0.000	0.000	0.000	0.0%	0.0%	0.0%
Grand Total	7.450	6.131	6.121	5.708	82.2%	76.6%	93.3%
Total Vote Budget Excluding Arrears	7.450	6.131	6.121	5.708	82.2%	76.6%	93.3%

Table V1.2: Releases and Expenditure by Program*

<i>Billion Uganda Shillings</i>	Approved Budget	Released	Spent	% Budget Released	% Budget Spent	% Releases Spent
Program: 1458 Prevention of ML/CFT, Prosecution and confiscation of proceeds of crime	0.85	0.43	0.42	50.3%	49.9%	99.1%
Program: 1459 Policy, International Cooperation and Mutual Legal Assistance	6.60	5.69	5.28	86.3%	80.1%	92.8%
Total for Vote	7.45	6.12	5.71	82.2%	76.6%	93.3%

Matters to note in budget execution

No Data Found for this Vote

Table V1.3: High Unspent Balances and Over-Expenditure in the Domestic Budget (Ushs Bn)

<i>(i) Major unspent balances</i>	
Programs , Projects	
Program 1458 Prevention of ML/CFT, Prosecution and confiscation of proceeds of crime	
0.001 Bn Shs	<i>SubProgram/Project :02 Legal, Inspection and Compliance</i>
Reason: insignificant balance	
<i>Items</i>	1/25

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1,191,120.000 UShs	211103 Allowances
	Reason: insignificant balance
0.000 Bn Shs	<i>SubProgram/Project :03 Operational Analysis</i>
	Reason: Insignificant
<i>Items</i>	
154.000 UShs	224003 Classified Expenditure
	Reason: Insignificant balance
0.003 Bn Shs	<i>SubProgram/Project :04 Information Systems Administration and Security</i>
	Reason: insignificant balance
<i>Items</i>	
2,715,000.000 UShs	221008 Computer supplies and Information Technology (IT)
	Reason: Insignificant balance
Program 1459 Policy, International Cooperation and Mutual Legal Assistance	
0.355 Bn Shs	<i>SubProgram/Project :01 Headquarters</i>
	Reason: delays in some activities as well as accumulation of gratuity to be paid at the end of the FY.
<i>Items</i>	
275,240,000.000 UShs	213004 Gratuity Expenses
	Reason: Gratuity is paid at end of the of the Financial Year
30,700,000.000 UShs	221004 Recruitment Expenses
	Reason: Due to delayed recruitment. some staff will be recruited in Q4.
22,830,132.000 UShs	212101 Social Security Contributions
	Reason: Delayed remittance of the March NSSF discussion.
10,108,388.000 UShs	226001 Insurances
	Reason: Will be paid in Q4 and raising the required amount.
6,058,141.000 UShs	223005 Electricity
	Reason: Pending bills
0.038 Bn Shs	<i>SubProgram/Project :05 International Relations and Strategic Analysis</i>
	Reason: Insignificant
<i>Items</i>	
34,372,280.000 UShs	227002 Travel abroad
	Reason: Pending trips
3,556,395.000 UShs	221002 Workshops and Seminars
	Reason: Insignificant balance
94,218.000 UShs	221003 Staff Training

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Reason: Insignificant	
0.000 Bn Shs	<i>SubProgram/Project :06 Internal Audit</i>
Reason: Insignificant balances	
<i>Items</i>	
51,016.000 UShs	221011 Printing, Stationery, Photocopying and Binding
Reason: Insignificant balance	
66.000 UShs	221002 Workshops and Seminars
Reason: Insignificant balance	
<i>(ii) Expenditures in excess of the original approved budget</i>	

V2: Performance Highlights

Table V2.1: Key Vote Output Indicators and Expenditures*

<i>Vote, Vote Function Key Output</i>	Approved Budget and Planned outputs	Cumulative Expenditure and Performance	Status and Reasons for any Variation from Plans	
<i>Programme: 1459 Policy, International Cooperation and Mutual Legal Assistance</i>				
<i>Program Cost:</i>	<i>UShs Bn:</i>	<i>6.599 UShs Bn:</i>	<i>0.000 % Budget Spent:</i>	<i>0.0%</i>
Total Cost for Vote:	<i>UShs Bn:</i>	7.450 UShs Bn:	0.000 % Budget Spent:	0.0%

Performance highlights for the Quarter

No Data Found for this Vote

V3: Details of Releases and Expenditure

Table V3.1: GoU Releases and Expenditure by Output*

<i>Billion Uganda Shillings</i>	Approved Budget	Released	Spent	% GoU Budget Released	% GoU Budget Spent	%GoU Releases Spent
Program 1458 Prevention of ML/CFT, Prosecution and confiscation of proceeds of crime	0.85	0.43	0.42	50.3%	49.9%	99.1%
<i>Class: Outputs Provided</i>	<i>0.85</i>	<i>0.43</i>	<i>0.42</i>	<i>50.3%</i>	<i>49.9%</i>	<i>99.1%</i>
145801 Compliance with AML and CFT laws and Regulations	0.13	0.11	0.11	84.4%	83.5%	98.9%
145802 Legal Representation and Litigation	0.08	0.00	0.00	0.0%	0.0%	0.0%
145803 Analysis and Reporting Financial Operations	0.30	0.28	0.28	93.3%	93.3%	100.0%
145804 Coordination of AML/CFT enforcement entities	0.18	0.01	0.01	7.5%	7.5%	100.0%
145805 Ensure safety and integrity of FIA information	0.16	0.03	0.02	15.6%	13.9%	89.1%
Program 1459 Policy, International Cooperation and Mutual Legal Assistance	6.60	5.69	5.28	86.3%	80.1%	92.8%
<i>Class: Outputs Provided</i>	<i>5.76</i>	<i>4.85</i>	<i>4.43</i>	<i>84.3%</i>	<i>77.0%</i>	<i>91.4%</i>
145901 International Mutual Legal Assistance	0.15	0.06	0.06	40.0%	40.0%	100.0%

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QUARTER 3: Highlights of Vote Performance

<i>Billion Uganda Shillings</i>	Approved Budget	Released	Spent	% GoU Budget Released	% GoU Budget Spent	%GoU Releases Spent
145902 Financial Intelligence Research and Strategic Development	0.55	0.46	0.42	84.2%	77.3%	91.8%
145903 Development and Management of Internal Audit and Controls	0.15	0.08	0.08	52.2%	52.2%	99.9%
145904 FIA Support Services and Administration	4.91	4.25	3.87	86.6%	78.8%	91.1%
Class: Capital Purchases	0.84	0.84	0.85	100.0%	101.1%	101.1%
145975 Purchase of Motor Vehicles and Other Transport Equipment	0.84	0.84	0.85	100.0%	101.1%	101.1%
Total for Vote	7.45	6.12	5.71	82.2%	76.6%	93.3%

Table V3.2: 2016/17 GoU Expenditure by Item

<i>Billion Uganda Shillings</i>	Approved Budget	Released	Spent	% GoU Budget Released	% GoU Budget Spent	%GoU Releases Spent
Class: Outputs Provided	6.61	5.28	4.86	79.9%	73.5%	92.0%
211102 Contract Staff Salaries (Incl. Casuals, Temporary)	2.31	1.73	1.70	75.0%	73.9%	98.5%
211103 Allowances	0.78	0.54	0.54	69.3%	69.1%	99.8%
212101 Social Security Contributions	0.23	0.17	0.15	74.9%	65.0%	86.8%
213004 Gratuity Expenses	0.46	0.35	0.07	74.9%	15.3%	20.4%
221002 Workshops and Seminars	0.27	0.25	0.25	94.3%	93.0%	98.6%
221003 Staff Training	0.18	0.18	0.17	97.2%	97.2%	99.9%
221004 Recruitment Expenses	0.10	0.04	0.01	40.0%	9.3%	23.3%
221008 Computer supplies and Information Technology (IT)	0.03	0.03	0.02	83.3%	74.3%	89.1%
221009 Welfare and Entertainment	0.04	0.03	0.03	83.8%	83.8%	100.0%
221010 Special Meals and Drinks	0.01	0.01	0.01	81.3%	81.3%	100.0%
221011 Printing, Stationery, Photocopying and Binding	0.03	0.03	0.03	91.2%	91.0%	99.8%
221012 Small Office Equipment	0.01	0.01	0.01	100.0%	100.0%	100.0%
223003 Rent – (Produced Assets) to private entities	0.73	0.61	0.61	83.8%	83.6%	99.8%
223004 Guard and Security services	0.03	0.02	0.01	66.0%	56.7%	85.8%
223005 Electricity	0.04	0.02	0.01	57.1%	39.8%	69.7%
223006 Water	0.02	0.01	0.00	33.3%	0.0%	0.0%
224003 Classified Expenditure	0.30	0.28	0.28	93.3%	93.3%	100.0%
225001 Consultancy Services- Short term	0.04	0.04	0.04	94.8%	94.8%	100.0%
226001 Insurances	0.04	0.04	0.03	100.0%	76.1%	76.1%
227002 Travel abroad	0.83	0.56	0.52	67.0%	62.8%	93.7%
227004 Fuel, Lubricants and Oils	0.13	0.12	0.12	94.6%	94.6%	100.0%
228002 Maintenance - Vehicles	0.02	0.01	0.01	49.0%	49.0%	100.0%
Class: Capital Purchases	0.84	0.84	0.85	100.0%	101.1%	101.1%
312201 Transport Equipment	0.84	0.84	0.85	100.0%	101.1%	101.1%
Total for Vote	7.45	6.12	5.71	82.2%	76.6%	93.3%

Table V3.3: GoU Releases and Expenditure by Project and Programme*

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<i>Billion Uganda Shillings</i>	Approved Budget	Released	Spent	% GoU Budget Released	% GoU Budget Spent	%GoU Releases Spent
Program 1458 Prevention of ML/CFT, Prosecution and confiscation of proceeds of crime	0.85	0.43	0.42	50.3%	49.9%	99.1%
<i>Recurrent SubProgrammes</i>						
02 Legal, Inspection and Compliance	0.21	0.11	0.11	52.1%	51.5%	98.9%
03 Operational Analysis	0.48	0.29	0.29	61.1%	61.1%	100.0%
04 Information Systems Administration and Security	0.16	0.03	0.02	15.6%	13.9%	89.1%
Program 1459 Policy, International Cooperation and Mutual Legal Assistance	6.60	5.69	5.28	86.3%	80.1%	92.8%
<i>Recurrent SubProgrammes</i>						
01 Headquarters	4.91	4.25	3.87	86.6%	78.8%	91.1%
05 International Relations and Strategic Analysis	0.70	0.52	0.48	74.7%	69.3%	92.7%
06 Internal Audit	0.15	0.08	0.08	52.2%	52.2%	99.9%
<i>Development Projects</i>						
1423 Support to Financial Intelligence Authority	0.84	0.84	0.85	100.0%	101.1%	101.1%
Total for Vote	7.45	6.12	5.71	82.2%	76.6%	93.3%

Table V3.4: External Financing Releases and Expenditure by Sub Programme

<i>Billion Uganda Shillings</i>	Approved Budget	Released	Spent	% Budget Released	% Budget Spent	%Releases Spent
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Vote:129 Financial Intelligence Authority (FIA)

QUARTER 3: Cumulative Outputs and Expenditure by End of Quarter

Annual Planned Outputs	Cumulative Outputs Achieved by End of Quarter	Cumulative Expenditures made by the End of the Quarter to Deliver Cumulative Outputs	UShs Thousand
Program: 58 Prevention of ML/CFT, Prosecution and confiscation of proceeds of crime			
<i>Recurrent Programmes</i>			
Subprogram: 02 Legal, Inspection and Compliance			
<i>Outputs Provided</i>			
Output: 01 Compliance with AML and CFT laws and Regulations			
Suspicious Transaction Reports Analysed and disseminated	sensitized members of Uganda Bankers' Association on "Salient contents of AMLA Regulations". Sensitized prosecutors on Financial Crime trends and Impact on Development" Sensitized Forex and Money Remitters on "Uganda's AML/CFT Regulatory Framework – Key Compliance Obligations. compiled a list of all financial institutions which are not adhering to AMLA reporting obligations of filing suspicious transaction reports	Item 211103 Allowances	Spent 108,979
National and Sectoral Risk Assessment Reports on AML/CFT Produced.			
Inspection and Compliance Reports on adherence to the AML/CFT legal framework produced			
Compliance guidelines on AML/CFT legal			
	FIA continued to register good achievements in addressing the remaining AML/CFT gaps under the measures agreed with the FATF. The achievements that have been registered during the period under review include;		
	<ul style="list-style-type: none"> • The Insurance Regulatory Authority (amendment) bill was passed by Parliament on 9th March, 2017 and is awaiting assent by H.E the President. • The AMLA (amendment) bill was passed by Parliament on 15th March, 2017 and is awaiting assent by H.E the President. • Further amendments to the Anti-terrorist Act, vide the Anti-Terrorist (amendment) bill, 2016 was tabled before Parliament. • The Manager Legal, attended both the Regional Reporting Group (RRG) meeting of the ICRG – FATF (that was held on 16 – 20 January, 2017 in Paris) and the FATF plenary meetings (that were held on 20th – 25th February, 2016 in Paris). 		
Reasons for Variation in performance			
No major variations in outputs			
		Total	108,979
		Wage Recurrent	0
		Non Wage Recurrent	108,979
		AIA	0
		Total For SubProgramme	108,979
		Wage Recurrent	0

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QUARTER 3: Cumulative Outputs and Expenditure by End of Quarter

Annual Planned Outputs	Cumulative Outputs Achieved by End of Quarter	Cumulative Expenditures made by the End of the Quarter to Deliver Cumulative Outputs	UShs Thousand
		Non Wage Recurrent	108,979
		AIA	0
<i>Recurrent Programmes</i>			
Subprogram: 03 Operational Analysis			
<i>Outputs Provided</i>			
Output: 03 Analysis and Reporting Financial Operations			
Suspicious Transaction Reports Analysed and disseminated	The cumulative status of STRs, received, analyzed and disseminated during the current financial year is Q1 106, Q2 90 and Q3 110 making a total of 306.	Item 224003 Classified Expenditure	Spent 280,000
Database of all reports submitted by accountable persons maintained and regularly updated			
Reasons for Variation in performance			
No major variations			
		Total	280,000
		Wage Recurrent	0
		Non Wage Recurrent	280,000
		AIA	0
Output: 04 Coordination of AML/CFT enforcement entities			
Reports on all Investigative cases and bodies into suspicious ML and TF Produced	The Authority coordination with Law Enforcement Agencies on the 12 disseminated STRs for possible prosecution	Item 221009 Welfare and Entertainment	Spent 13,500
Operational analysis of AML/CFT and guidelines Produced	Stakeholder training was conducted on selected accountable persons,		
Reasons for Variation in performance			
No major variations			
		Total	13,500
		Wage Recurrent	0
		Non Wage Recurrent	13,500
		AIA	0
		Total For SubProgramme	293,500
		Wage Recurrent	0
		Non Wage Recurrent	293,500
		AIA	0

*Recurrent Programmes***Subprogram: 04 Information Systems Administration and Security***Outputs Provided***Output: 05 Ensure safety and integrity of FIA information**

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QUARTER 3: Cumulative Outputs and Expenditure by End of Quarter

Annual Planned Outputs	Cumulative Outputs Achieved by End of Quarter	Cumulative Expenditures made by the End of the Quarter to Deliver Cumulative Outputs	UShs Thousand
ICT infrastructure developed	Uploaded FIA documents on the website and maintained safety and integrity of all the information on the website i.	Item 221008 Computer supplies and Information Technology (IT)	Spent 22,285
implementation policies and procedures for electronic data processing and computer systems operations developed	Finalized the construction of structural cabling and labelling of all data and voice access point at the user end. Installed and configured wired and wireless access to internal resources for all users. ii.		
New and update technology acquired	Successfully migrated user desktops from the old premises to the new LAN settings and provided secure network printing services. iii. Developed and implemented a custom web based database program with the assistance from the consultants from Basel Institute under the SUGAR Project. This system is used to save the existing and incoming paper-based STRs. Data entry began with orientation of the Data entry Clerk and so far 93 STRs have been input into the system. The SQL database is designed to be compatible in technology with goAML to allow smooth transition of data between the two systems when time comes to deploy goAML. iv. Finalized development of the IT policy and Standard Operating Procedures. The IT policy was approved by FIA Senior Management and the Board. v. Installed the base servers that hold prerequisite services for goAML software. These include the Active Directory server for Identity management as well as File and print Services, Web services, Backup services and SQL Database Management services. vi.		
Safety and integrity of FIA information	Supported drafting of the first version of FIA Strategic plan 2018-2022.		
	The UNODC team backed by the IT team in FIA, finalized the installation and training of IT personnel on a test platform using virtual servers. This virtualized environment will be used during the pre-production period to customize goAML and test-run it. The UNODC team is expected to come back to deploy goAML on live infrastructure upon successful report on the test runs.		

Reasons for Variation in performance

No major variations

Total	22,285
Wage Recurrent	0
Non Wage Recurrent	22,285
AIA	0
Total For SubProgramme	22,285

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QUARTER 3: Cumulative Outputs and Expenditure by End of Quarter

Annual Planned Outputs	Cumulative Outputs Achieved by End of Quarter	Cumulative Expenditures made by the End of the Quarter to Deliver Cumulative Outputs	UShs Thousand
		Wage Recurrent	0
		Non Wage Recurrent	22,285
		AIA	0

Program: 59 Policy, International Cooperation and Mutual Legal Assistance

Recurrent Programmes

Subprogram: 01 Headquarters

Outputs Provided

Output: 04 FIA Support Services and Administration

		Item	Spent
Prudent financial and budgetary management.	Agreement with UAP for the Provision of Medical Insurance Services in December 2016 (ii) MoU and Service Level	211102 Contract Staff Salaries (Incl. Casuals, Temporary)	1,703,705
review all financial plans and budgets;	Agreement with National Information Technology Authority for the provision of Internet Bandwidth in November 2016	211103 Allowances	370,000
Monitor progress and changes while keeping management abreast of the Authority's financial status.	(iii) MoU on with Insurance Regulatory Authority in October 2016 (iv) MoU on Information Exchange with Office of the Auditor In partnership with the Ugandan Financial Intelligence Authority (FIA), the Global Center on Cooperative Security hosted a three-day training course on money laundering and terrorist financing risks and the effective regulation of designated non-financial businesses and professions (DNFBPs) in Uganda, supported by the Government of the Netherlands. ? Workshop on East African Anti-Corruption Dialogue attended by Inspection and Compliance Officer. ? Staff capacity was enhanced in Investigations and Asset Recovery and training for Trainers"	212101 Social Security Contributions 213004 Gratuity Expenses 221004 Recruitment Expenses 221009 Welfare and Entertainment 221010 Special Meals and Drinks 221012 Small Office Equipment 223003 Rent – (Produced Assets) to private entities 223004 Guard and Security services 223005 Electricity 226001 Insurances 227002 Travel abroad 227004 Fuel, Lubricants and Oils 228002 Maintenance - Vehicles	150,030 70,400 9,300 20,000 6,500 5,000 612,443 14,588 13,942 32,272 507,198 123,000 10,000
Co-ordinate and lead the annual External audit process			
Maintenance	Prepared the Authority Vehicle and Fuel Usage Policy		

The staff strength at the FIA increased by 3 officers to a total of 23. The officers were seconded to FIA from Uganda Revenue Authority. The officers were designated senior-level ranks, two of who were deployed in the Operational Directorate, while the third in the Directorate of International Relations and Strategic Analysis.

HR Department has worked with all heads of department and completed preparing Key Performance Indicators for all Staff for annual appraisal. The KPIs, were agreed between the Heads of Department as Supervisors and the respective officers.

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QUARTER 3: Cumulative Outputs and Expenditure by End of Quarter

Annual Planned Outputs	Cumulative Outputs Achieved by End of Quarter	Cumulative Expenditures made by the End of the Quarter to Deliver Cumulative Outputs	UShs Thousand
No variations			
		Total	3,648,378
		Wage Recurrent	1,703,705
		Non Wage Recurrent	1,944,673
		AIA	0
		Total For SubProgramme	3,871,433
		Wage Recurrent	1,703,705
		Non Wage Recurrent	2,167,728
		AIA	0

Recurrent Programmes

Subprogram: 05 International Relations and Strategic Analysis

Outputs Provided

Output: 01 International Mutual Legal Assistance

	Item	Spent
Strengthened mutual legal assistance with National and International stakeholders to share information on financial crimes.	FIA received the feedback report from FIC South Africa on Uganda's readiness to join Egmont. The report highlighted the important areas for Uganda to focus on in order to join Egmont. The report was circulated to the Board, and Top Management for review and action.	211103 Allowances 60,000
	FIA exchanged information with international stakeholders including, Financial Intelligence Centre, South Africa on Terrorist Financing, Financial Intelligence Unit, Tanzania on Terrorist Financing, Western Union, South Africa on ML, Wildlife Trafficking.	

Reasons for Variation in performance

No variations

Total	60,000
Wage Recurrent	0
Non Wage Recurrent	60,000
AIA	0

Output: 02 Financial Intelligence Research and Strategic Development

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QUARTER 3: Cumulative Outputs and Expenditure by End of Quarter

Annual Planned Outputs	Cumulative Outputs Achieved by End of Quarter	Cumulative Expenditures made by the End of the Quarter to Deliver Cumulative Outputs	UShs Thousand
FIA strategic plan developed.	Held the final stakeholder workshop, attended by the World Bank officials was held to discuss and provide comments to the draft comprehensive NRA report. A draft communication strategy had been compiled	Item 221002 Workshops and Seminars	Spent 196,444
Data collected to assess AML/CFT compliance		221003 Staff Training	174,906
Typologies trends analysed and Research findings on AML/CFT produced		225001 Consultancy Services- Short term	37,932
		227002 Travel abroad	15,628
Memorandum of understandings signed with other FIUs to facilitate the international corporation			
Public aware			

Reasons for Variation in performance

Total	424,909
Wage Recurrent	0
Non Wage Recurrent	424,909
AIA	0
Total For SubProgramme	484,909
Wage Recurrent	0
Non Wage Recurrent	484,909
AIA	0

Recurrent Programmes

Subprogram: 06 Internal Audit

Outputs Provided

Output: 03 Development and Management of Internal Audit and Controls

FIA Internal Audit Reports produced	Pay roll reports and accountability reports reviewed	Item	Spent
Development and Management of Internal Audit and control systems		221002 Workshops and Seminars	50,000
Review of the payroll management and procurement processes		221011 Printing, Stationery, Photocopying and Binding	27,294
Review of collection of fine adjudicated under AML/CFT			

Utilities, asset management and dome

Reasons for Variation in performance

no variations

Total	77,294
Wage Recurrent	0
Non Wage Recurrent	77,294
AIA	0
Total For SubProgramme	77,294
Wage Recurrent	0
Non Wage Recurrent	77,294

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QUARTER 3: Cumulative Outputs and Expenditure by End of Quarter

Annual Planned Outputs	Cumulative Outputs Achieved by End of Quarter	Cumulative Expenditures made by the End of the Quarter to Deliver Cumulative Outputs	UShs Thousand
		AIA	0
<i>Development Projects</i>			
Project: 1423 Support to Financial Intelligence Authority			
<i>Capital Purchases</i>			
Output: 75 Purchase of Motor Vehicles and Other Transport Equipment			
	2 station wagons and 1 double cabin pickup were procured.	Item 312201 Transport Equipment	Spent 849,344
<i>Reasons for Variation in performance</i>			
not variations			
		Total	849,344
		GoU Development	849,344
		External Financing	0
		AIA	0
		Total For SubProgramme	849,344
		GoU Development	849,344
		External Financing	0
		AIA	0
		GRAND TOTAL	5,707,744
		Wage Recurrent	1,703,705
		Non Wage Recurrent	3,154,695
		GoU Development	849,344
		External Financing	0
		AIA	0

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QUARTER 3: Outputs and Expenditure in Quarter

Outputs Planned in Quarter	Actual Outputs Achieved in Quarter	Expenditures incurred in the Quarter to deliver outputs	UShs Thousand
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Program: 58 Prevention of ML/CFT, Prosecution and confiscation of proceeds of crime

Recurrent Programmes

Subprogram: 02 Legal, Inspection and Compliance

Outputs Provided

Output: 01 Compliance with AML and CFT laws and Regulations

	Item	Spent
FIA continued to register good achievements in addressing the remaining AML/CFT gaps under the measures agreed with the FATF. The achievements that have been registered during the period under review include;	211103 Allowances	108,979
<ul style="list-style-type: none"> • The Insurance Regulatory Authority (amendment) bill was passed by Parliament on 9th March, 2017 and is awaiting assent by H.E the President. • The AMLA (amendment) bill was passed by Parliament on 15th March, 2017 and is awaiting assent by H.E the President. • Further amendments to the Anti-terrorist Act, vide the Anti-Terrorist (amendment) bill, 2016 was tabled before Parliament. • The Manager Legal, attended both the Regional Reporting Group (RRG) meeting of the ICRG – FATF (that was held on 16 – 20 January, 2017 in Paris) and the FATF plenary meetings (that were held on 20th – 25th February, 2016 in Paris). 		

Reasons for Variation in performance

No major variations in outputs

Total	108,979
Wage Recurrent	0
Non Wage Recurrent	108,979
AIA	0
Total For SubProgramme	108,979
Wage Recurrent	0
Non Wage Recurrent	108,979
AIA	0

Recurrent Programmes

Subprogram: 03 Operational Analysis

Outputs Provided

Output: 03 Analysis and Reporting Financial Operations

Vote:129

Financial Intelligence Authority (FIA)

QUARTER 3: Outputs and Expenditure in Quarter

Outputs Planned in Quarter	Actual Outputs Achieved in Quarter	Expenditures incurred in the Quarter to deliver outputs	UShs Thousand
Suspicious Transaction Reports analysed	FIA received 110 Suspicious Transaction Reports (STRs from Commercial Banks 102, Credit Institutions 3, Microfinance Deposit Taking Institutions 2, Forex Bureaus 2, and Uganda Wildlife Authority 1. A total of 09 STRs were disseminated, Uganda Revenue Authority 07 and Uganda Police (CID) 02 while 11 STRs were closed.	Item 224003 Classified Expenditure	Spent 280,000
FIA data base maintained and regularly updated			
Reasons for Variation in performance			
No major variations			
		Total	280,000
		Wage Recurrent	0
		Non Wage Recurrent	280,000
		<i>AIA</i>	0

Output: 04 Coordination of AML/CFT enforcement entities

Vote:129 Financial Intelligence Authority (FIA)

QUARTER 3: Outputs and Expenditure in Quarter

Outputs Planned in Quarter	Actual Outputs Achieved in Quarter	Expenditures incurred in the Quarter to deliver outputs	UShs Thousand
Reports on cases of AML/CFT investigated by competent Authorities	Stakeholder training was conducted on selected accountable persons, however, with a focus on staff from financial sector regulatory/supervisory agencies. Public awareness continued to be limited; mainly to media coverage of the training workshops and ED's article, on the role of FIA in fighting crime, published in the East African Newspaper (page 8) during the week of 25 -31 March, 2017. Other engagements with stakeholders undertaken during the period under review include;	Item 221009 Welfare and Entertainment	Spent 13,500
Operational Analysis guidelines produced	<p>i. Training workshop conducted by a British consultant (RUSI), for financial investigations in combating wildlife trafficking, held on 20 – 23 February, 2017 in Hotel Africana. FIA made a presentation and four members of staff participated in this training;</p> <p>ii. Presentation to Uganda Bankers' Association, stakeholders' dialogue on "Working towards preventing crime and fraud in the financial sector, th role of FIA". The presentation was done by D/ED, during a breakfast meeting held on 21 February, 2017 in Sheraton Hotel;</p> <p>iii. Training workshop on "AML/CFT supervision and procedures for regulatory and licensing agencies". The workshop, delivered by Global Centre on Cooperative Security, was held on 6 – 10 March, 2017 in Protea Hotel and attended by selected officers from all financial sector regulatory/supervisory agencies;</p> <p>iv. Training was given to all MLCOs and IT staff of commercial banks, on the goAML application software; and</p> <p>v. Training workshop was held for financial sector regulators on a, "Risk based approach to AML/CFT regulation and supervision" on 31 March, 2017 in Protea Hotel. The workshop, delivered by consultants from the Centre for Financial Regulation and Inclusion (Cenfri) of South Africa was attended by officers from IRA, selected commercial banks, BOU, Uganda Insurance Association and FIA.</p>		

Reasons for Variation in performance

No major variations

Total	13,500
Wage Recurrent	0
Non Wage Recurrent	13,500
AIA	0
Total For SubProgramme	293,500

Vote:129

Financial Intelligence Authority (FIA)

QUARTER 3: Outputs and Expenditure in Quarter

Outputs Planned in Quarter	Actual Outputs Achieved in Quarter	Expenditures incurred in the Quarter to deliver outputs	UShs Thousand
		Wage Recurrent	0
		Non Wage Recurrent	293,500
		AIA	0

Recurrent Programmes

Subprogram: 04 Information Systems Administration and Security

Outputs Provided

Output: 05 Ensure safety and integrity of FIA information

	Item	Spent
FIA hosted a one-man mission team (Mr. Zayeem Khan) from UNODC on a two-week pre-production visit on 6th – 18th March, 2017. The UNODC team backed by the IT team in FIA, finalized the installation and training of IT personnel on a test platform using virtual servers. This virtualized environment will be used during the pre-production period to customize goAML and test-run it. The UNODC team is expected to come back to deploy goAML on live infrastructure upon successful report on the test runs. Other specific accomplishments under the IT Directorate for the quarter under review are;	221008 Computer supplies and Information Technology (IT)	22,285
i. Maintenance carried out on system to store STRs electronically in the interim, with the support of SUGAR – Project;		
ii. Carried out Security audit of the infrastructure with the help of NITA officers. The findings will be presented in a report and action on identified gaps will be addressed in the FY 2017/18;		
iii. Set up workstations for new staff and installed required software;		
iv. Installed and updated antivirus software for all 22 computers to provide for the safety and integrity of FIA information;		
v. During the pre-production mission, Money Laundering Control Officers (MLCOs) and IT officers of key accountable persons (mainly commercial banks) underwent an awareness training and impart to them knowledge relating to goAML Web application, and its important features.		
vi. The Directorate obtained Board approval of the IT security policy and the provisions of this policy are being implemented to prevent cyber security intrusions.		

Reasons for Variation in performance

No major variations

Vote:129

 Financial Intelligence Authority (FIA)

QUARTER 3: Outputs and Expenditure in Quarter

Outputs Planned in Quarter	Actual Outputs Achieved in Quarter	Expenditures incurred in the Quarter to deliver outputs	UShs Thousand
		Wage Recurrent	0
		Non Wage Recurrent	22,285
		AIA	0
		Total For SubProgramme	22,285
		Wage Recurrent	0
		Non Wage Recurrent	22,285
		AIA	0

Program: 59 Policy, International Cooperation and Mutual Legal Assistance

Recurrent Programmes

Subprogram: 01 Headquarters

Outputs Provided

Output: 04 FIA Support Services and Administration

Vote:129 Financial Intelligence Authority (FIA)

QUARTER 3: Outputs and Expenditure in Quarter

Outputs Planned in Quarter	Actual Outputs Achieved in Quarter	Expenditures incurred in the Quarter to deliver outputs	UShs Thousand
Financial Records maintained	FIA Staff Matters	Item	Spent
Financial projections produced	During the quarter under review, the staff strength at the FIA increased by 3 officers to a total of 23. The officers were seconded to FIA from Uganda Revenue Authority. The officers were designated senior-level ranks, two of who were deployed in the Operational Directorate, while the third in the Directorate of International Relations and Strategic Analysis.	211102 Contract Staff Salaries (Incl. Casuals, Temporary)	1,703,705
Progress Performance reports produce		211103 Allowances	370,000
Staff Retained		212101 Social Security Contributions	150,030
Office Equipment procured		213004 Gratuity Expenses	70,400
Gender and HIV/AIDS concerns mainstreamed		221004 Recruitment Expenses	9,300
Communication strategy produced		221009 Welfare and Entertainment	20,000
Asset register produced		221010 Special Meals and Drinks	6,500
Human re		221012 Small Office Equipment	5,000
		223003 Rent – (Produced Assets) to private entities	612,443
		223004 Guard and Security services	14,588
		223005 Electricity	13,942
		226001 Insurances	32,272
		227002 Travel abroad	507,198
		227004 Fuel, Lubricants and Oils	123,000
		228002 Maintenance - Vehicles	10,000
	<p>During the quarter under review, HR Department has worked with all heads of department and completed preparing Key Performance Indicators for all Staff for annual appraisal. The KPIs, were agreed between the Heads of Department as Supervisors and the respective officers. Other accomplishments by the HR Departments during this quarter were;</p> <p>i. Prepared the Authority Vehicle and Fuel Usage Policy, that was submitted and reviewed by the Board. A few adjustments were made by the Board and the final approval is awaited.</p> <p>ii. Prepared and submitted a draft of proposed allowances and rates that have been approved by Top management. They have subsequently been submitted to the Board for consideration.</p> <p>iii. HR Department worked with the head of IT to design the official FIA stamp and Seal, as well as FIA business cards for all Staff. The designs were approved by Top Management at one of their meetings. Authority business cards have been issued to only staff who needed them. The Authority still awaits the delivery of the FIA official Stamp and Seal.</p> <p>iv. HR prepared a draft Equal Opportunities Statement to support the Authority's compliance with the Equal Opportunities Act. This Statement was approved by Top Management at one of their meetings and submitted to the Equal Opportunities Commission for consideration.</p> <p>v. HR prepared a draft staff vetting policy to be applied in the recruitment process in accordance with the HR Manual. The policy has been approved by Top Management at one of its meetings and has been submitted to the FIA Board for approval.</p>		

Vote:129

 Financial Intelligence Authority (FIA)

QUARTER 3: Outputs and Expenditure in Quarter

Outputs Planned in Quarter	Actual Outputs Achieved in Quarter	Expenditures incurred in the Quarter to deliver outputs	US\$ Thousand
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Reasons for Variation in performance

No variations

Total	3,648,378
Wage Recurrent	1,703,705
Non Wage Recurrent	1,944,673
AIA	0
Total For SubProgramme	3,871,433
Wage Recurrent	1,703,705
Non Wage Recurrent	2,167,728
AIA	0

Recurrent Programmes

Subprogram: 05 International Relations and Strategic Analysis

Outputs Provided

Output: 01 International Mutual Legal Assistance

	Item	Spent
FIA received the feedback report from FIC South Africa on Uganda's readiness to join Egmont. The report highlighted the important areas for Uganda to focus on in order to join Egmont. The report was circulated to the Board, and Top Management for review and action.	211103 Allowances	60,000
FIA exchanged information with international stakeholders including, Financial Intelligence Centre, South Africa on Terrorist Financing, Financial Intelligence Unit, Tanzania on Terrorist Financing, Western Union, South Africa on ML, Wildlife Trafficking.		

Reasons for Variation in performance

No variations

Total	60,000
Wage Recurrent	0
Non Wage Recurrent	60,000
AIA	0

Output: 02 Financial Intelligence Research and Strategic Development

Vote:129 Financial Intelligence Authority (FIA)

QUARTER 3: Outputs and Expenditure in Quarter

Outputs Planned in Quarter	Actual Outputs Achieved in Quarter	Expenditures incurred in the Quarter to deliver outputs	US\$ Thousand
Final draft plan approved	The FIA staff attended various training workshops/seminars both at national and international levels. including	Item 221002 Workshops and Seminars	Spent 196,444
Data collected and compiled		221003 Staff Training	174,906
Reports on the findings of the typology studies produced	Sub-Regional training workshop on “taking proceeds from wildlife crime” organized by UNODC and held on 09 – 13 January, 2017 in Zanzibar. It was attended by Director IR&SA and Senior Officer Compliance and Inspection.	225001 Consultancy Services- Short term	37,932
MoUs signed and reports on international and regional engagements produced		227002 Travel abroad	15,628
Sensitisation reports produced			
Approved national strategy for i	The FATF-ICRG Regional Review Group meeting, held on 16 – 20 January, 2017 in Paris and attended by Manager Legal.		
	The FATF plenary meetings, held on 20 – 25 February, 2017 in Paris and was attended by Manager Legal.		
	Training workshop for Mutual Evaluation Assessors, organized by FATF in collaboration with ESAAMLG and FIC-South Africa. It was held on 27 February – 03 March, 2017 in Johannesburg, South Africa and attended by D/ED.		
	Regional workshop on TF, held on 28 February – 02 March, 2017 in Pretoria, South Africa and attended by Director Operational Analysis.		
	Training on “Anti Money Laundering Strategies” from 13 – 24th March 2017, held at the Africa Training Institute, South Africa and attended by Senior Officer Legal.		
	Domestic Meetings, Workshops and Seminars include		
	Meetings of the UAMLC, held in the Ministry of Finance on 10th January, 27th January and 01st March, 2017. In addition, UAMLC (Sub-Committee Chaired by D/ED) meetings to populate ESAAMLG mutual evaluation template/report were held in FIA offices on 13 January and 24th January, 2017 respectively.		
	FIA staff training on PPDA Procedures was held on 12 – 13 January, 2017 in FIA boardroom and attended by all staff.		

Reasons for Variation in performance

Vote:129

 Financial Intelligence Authority (FIA)

QUARTER 3: Outputs and Expenditure in Quarter

Outputs Planned in Quarter	Actual Outputs Achieved in Quarter	Expenditures incurred in the Quarter to deliver outputs	UShs Thousand
		Total	424,909
		Wage Recurrent	0
		Non Wage Recurrent	424,909
		AIA	0
		Total For SubProgramme	484,909
		Wage Recurrent	0
		Non Wage Recurrent	484,909
		AIA	0

Recurrent Programmes

Subprogram: 06 Internal Audit

Outputs Provided

Output: 03 Development and Management of Internal Audit and Controls

Payroll Management report produced	Internal Audit report for Q2 was produced	Item	Spent
Fine collection reports produced		221002 Workshops and Seminars	50,000
Accountability Reports Produced		221011 Printing, Stationery, Photocopying and Binding	27,294
		Total	77,294
		Wage Recurrent	0
		Non Wage Recurrent	77,294
		AIA	0
		Total For SubProgramme	77,294
		Wage Recurrent	0
		Non Wage Recurrent	77,294
		AIA	0

Reasons for Variation in performance

no variations

Development Projects

Project: 1423 Support to Financial Intelligence Authority

Capital Purchases

Output: 75 Purchase of Motor Vehicles and Other Transport Equipment

Complete the process of acquisition of transport equipment. procurement of 1 double cabin and 2 station wagons.	the vehicles were procured as planned	Item	Spent
		312201 Transport Equipment	849,344
		Total	849,344
		GoU Development	849,344
		External Financing	0
		AIA	0
		Total For SubProgramme	849,344
		GoU Development	849,344
		External Financing	0

Vote:129

 Financial Intelligence Authority (FIA)

QUARTER 3: Outputs and Expenditure in Quarter

Outputs Planned in Quarter	Actual Outputs Achieved in Quarter	Expenditures incurred in the Quarter to deliver outputs	<i>UShs Thousand</i>
		AIA	0
		GRAND TOTAL	5,707,743
		Wage Recurrent	1,703,705
		Non Wage Recurrent	3,154,695
		GoU Development	849,344
		External Financing	0
		AIA	0

Vote:129 Financial Intelligence Authority (FIA)

QUARTER 4: Revised Workplan

<i>US\$ Thousands</i>	Planned Outputs for the Quarter	Estimated Funds Available in Quarter (from balance brought forward and actual/expected releases)
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Program: 58 Prevention of ML/CFT, Prosecution and confiscation of proceeds of crime

Recurrent Programmes

Subprogram: 02 Legal, Inspection and Compliance

Outputs Provided

Output: 01 Compliance with AML and CFT laws and Regulations

	Item	Balance b/f	New Funds	Total
Suspicious Transaction Reports Analysed and disseminated National and Sectoral Risk Assessment Reports on AML/CFT Produced. Inspection and Compliance Reports on adherence to the AML/CFT legal framework produced Compliance guidelines on AML/CFT legal	211103 Allowances	1,191	0	1,191
	Total	1,191	0	1,191
	<i>Wage Recurrent</i>	<i>0</i>	<i>0</i>	<i>0</i>
	<i>Non Wage Recurrent</i>	<i>110,170</i>	<i>0</i>	<i>110,170</i>
	<i>AIA</i>	<i>0</i>	<i>0</i>	<i>0</i>

Subprogram: 03 Operational Analysis

Outputs Provided

Output: 03 Analysis and Reporting Financial Operations

Suspicious Transaction Reports analysed

FIA data base maintained and regularly updated

Output: 04 Coordination of AML/CFT enforcement entities

Reports on cases of AML/CFT investigated by competent Authorities

Operational Analysis guidelines produced

Subprogram: 04 Information Systems Administration and Security

Outputs Provided

Output: 05 Ensure safety and integrity of FIA information

	Item	Balance b/f	New Funds	Total
ICT infrastructure developed implementation policies and procedures for electronic data processing and computer systems operations developed New and update technology acquired Safety and integrity of FIA information	221008 Computer supplies and Information Technology (IT)	2,715	0	2,715
	Total	2,715	0	2,715
	<i>Wage Recurrent</i>	<i>0</i>	<i>0</i>	<i>0</i>
	<i>Non Wage Recurrent</i>	<i>10,000</i>	<i>0</i>	<i>10,000</i>
	<i>AIA</i>	<i>0</i>	<i>0</i>	<i>0</i>

Development Projects

Program: 59 Policy, International Cooperation and Mutual Legal Assistance

Recurrent Programmes

Vote:129 Financial Intelligence Authority (FIA)

QUARTER 4: Revised Workplan

<i>US\$ Thousands</i>	Planned Outputs for the Quarter	Estimated Funds Available in Quarter (from balance brought forward and actual/expected releases)
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Subprogram: 01 Headquarters

Outputs Provided

Output: 04 FIA Support Services and Administration

	Item	Balance b/f	New Funds	Total
Annual Financial statements produced				
financial projections produced	211102 Contract Staff Salaries (Incl. Casuals, Temporary)	25,795	0	25,795
Annual performance report produced	212101 Social Security Contributions	22,830	0	22,830
Annual Audited Reports produced	213004 Gratuity Expenses	275,240	0	275,240
Staff Retained	221004 Recruitment Expenses	30,700	0	30,700
Office Equipment procured	223003 Rent – (Produced Assets) to private entities	1,333	0	1,333
Gender and HIV/AIDS concerns mainstreamed	223004 Guard and Security services	2,412	0	2,412
Communication strategy produced	223005 Electricity	6,058	0	6,058
	223006 Water	5,000	0	5,000
	226001 Insurances	10,108	0	10,108
	227002 Travel abroad	878	0	878
	Total	380,355	0	380,355
	<i>Wage Recurrent</i>	<i>25,795</i>	<i>0</i>	<i>25,795</i>
	<i>Non Wage Recurrent</i>	<i>1,702,345</i>	<i>0</i>	<i>1,702,345</i>
	<i>AIA</i>	<i>0</i>	<i>0</i>	<i>0</i>

Subprogram: 05 International Relations and Strategic Analysis

Outputs Provided

Output: 01 International Mutual Legal Assistance

Output: 02 Financial Intelligence Research and Strategic Development

	Item	Balance b/f	New Funds	Total
Data collected and compiled				
Reports on the findings of the typology studies produced	221002 Workshops and Seminars	3,556	0	3,556
MoUs signed and reports on international and regional engagements produced	221003 Staff Training	94	0	94
	227002 Travel abroad	34,372	0	34,372
	Total	38,023	0	38,023
Sensitisation reports produced				
	<i>Wage Recurrent</i>	<i>0</i>	<i>0</i>	<i>0</i>
Progress report on implantation of AML/CFT strategy produce				
	<i>Non Wage Recurrent</i>	<i>378,758</i>	<i>0</i>	<i>378,758</i>
	<i>AIA</i>	<i>0</i>	<i>0</i>	<i>0</i>

Vote:129 Financial Intelligence Authority (FIA)

QUARTER 4: Revised Workplan

<i>US\$ Thousands</i>	Planned Outputs for the Quarter	Estimated Funds Available in Quarter (from balance brought forward and actual/expected releases)
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Subprogram: 06 Internal Audit

Outputs Provided

Output: 03 Development and Management of Internal Audit and Controls

	Item	Balance b/f	New Funds	Total
Payroll Management report produced				
Fine collection reports produced	221011 Printing, Stationery, Photocopying and Binding	51	0	51
	Total	51	0	51
Annual Utilities, asset management and domestic Arrears Report produced		<i>Wage Recurrent</i> 0	0	0
		<i>Non Wage Recurrent</i> 62,345	0	62,345
Special Audit Reports produced		<i>AIA</i> 0	0	0
Accountability Reports Produced				
End of year financial Statements reviewed				

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Development Projects

Project: 1423 Support to Financial Intelligence Authority

Capital Purchases

Output: 75 Purchase of Motor Vehicles and Other Transport Equipment

	Item	Balance b/f	New Funds	Total
	312201 Transport Equipment	(9,344)	0	(9,344)
	Total	(9,344)	0	(9,344)
	<i>GoU Development</i>	<i>(9,344)</i>	<i>0</i>	<i>(9,344)</i>
	<i>External Financing</i>	<i>0</i>	<i>0</i>	<i>0</i>
	<i>AIA</i>	<i>0</i>	<i>0</i>	<i>0</i>
	GRAND TOTAL	412,991	0	412,991
	<i>Wage Recurrent</i>	<i>25,795</i>	<i>0</i>	<i>25,795</i>
	<i>Non Wage Recurrent</i>	<i>2,308,087</i>	<i>0</i>	<i>2,308,087</i>
	<i>GoU Development</i>	<i>(9,344)</i>	<i>0</i>	<i>(9,344)</i>
	<i>External Financing</i>	<i>0</i>	<i>0</i>	<i>0</i>
	<i>AIA</i>	<i>0</i>	<i>0</i>	<i>0</i>