

# Vote:129 Financial Intelligence Authority (FIA)

## QUARTER 2: 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 Q2	Released by End Q 2	Spent by End Q2	% Budget Released	% Budget Spent	% Releases Spent
Recurrent Wage	3.477	1.739	1.739	1.529	50.0%	44.0%	87.9%
Non Wage	8.347	5.672	5.672	4.087	67.9%	49.0%	72.1%
Dev. GoU	0.465	0.395	0.373	0.327	80.2%	70.3%	87.6%
Ext. Fin.	0.000	0.000	0.000	0.000	0.0%	0.0%	0.0%
<b>GoU Total</b>	<b>12.290</b>	<b>7.806</b>	<b>7.783</b>	<b>5.942</b>	<b>63.3%</b>	<b>48.4%</b>	<b>76.3%</b>
<b>Total GoU+Ext Fin (MTEF)</b>	<b>12.290</b>	<b>7.806</b>	<b>7.783</b>	<b>5.942</b>	<b>63.3%</b>	<b>48.4%</b>	<b>76.3%</b>
Arrears	0.210	0.210	0.210	0.210	100.0%	100.0%	100.0%
<b>Total Budget</b>	<b>12.500</b>	<b>8.016</b>	<b>7.994</b>	<b>6.152</b>	<b>64.0%</b>	<b>49.2%</b>	<b>77.0%</b>
<i>A.I.A Total</i>	0.000	0.000	0.000	0.000	0.0%	0.0%	0.0%
<b>Grand Total</b>	<b>12.500</b>	<b>8.016</b>	<b>7.994</b>	<b>6.152</b>	<b>64.0%</b>	<b>49.2%</b>	<b>77.0%</b>
<b>Total Vote Budget Excluding Arrears</b>	<b>12.290</b>	<b>7.806</b>	<b>7.783</b>	<b>5.942</b>	<b>63.3%</b>	<b>48.4%</b>	<b>76.3%</b>

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	2.88	1.99	1.66	69.2%	57.8%	83.4%
Program: 1459 Policy, International Cooperation and Mutual Legal Assistance	9.41	5.79	4.28	61.5%	45.5%	73.9%
<b>Total for Vote</b>	<b>12.29</b>	<b>7.78</b>	<b>5.94</b>	<b>63.3%</b>	<b>48.4%</b>	<b>76.3%</b>

### Matters to note in budget execution

a) Under program 1458 Prevention of ML/FT, Prosecution and confiscation of proceeds of crime, 16.6% of funds released was not spent. 46.4% of funds released for information System administration and security was spent. This is because the consultant delayed complete delivery of the services. Therefore payment could not be effected.

b) Under program 1459 Policy, International Cooperation and Mutual Legal Assistance 27% of funds released were not spent. This was mainly due to the delayed appointment and inauguration of the FIA board yet funds were already committed for board related activities.

c) The delays of the service providers to submit invoices also affected the timely disbursement of the committed funds

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

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(i) Major unspent balances		
Programs , Projects		
Program 1458 Prevention of ML/CFT, Prosecution and confiscation of proceeds of crime		
0.084 Bn Shs	SubProgram/Project :02 Legal, Inspection and Compliance	
	Reason: There was delayed implementation of the activities attributed to lengthy procurement processes and activities shifted to the next quarter. These funds are already committed and payments will be made in Q3	
Items		
33,010,000.000 UShs	211103 Allowances	
	Reason: Some activities did not take place during this quarter. They were pushed to next quarter	
29,700,000.000 UShs	221003 Staff Training	
	Reason: Training will be done in Q3. Funds are committed.	
15,000,000.000 UShs	225001 Consultancy Services- Short term	
	Reason: Some consultancy services could not procured because of the lengthy process.	
4,640,000.000 UShs	221017 Subscriptions	
	Reason: Service providers did not deliver invoices on time and therefore payment could not be effected. However funds are committed.	
1,662,540.000 UShs	221011 Printing, Stationery, Photocopying and Binding	
	Reason: Additional stationery will be procured in Q3	
0.056 Bn Shs	SubProgram/Project :03 Operational Analysis	
	Reason: The newly recruited staff had induction training. This could not allow staff to go for field work activities. Also the procurement process for consultancy services was not concluded on time. These activities were pushed to Q3	
Items		
38,772,330.000 UShs	211103 Allowances	
	Reason: Some activities did not take place because the new staff members were on training internally. Activities were pushed to Q3.	
15,000,000.000 UShs	225001 Consultancy Services- Short term	
	Reason: Procurement process for consultancy services was concluded in time. This will be concluded in Q3.	
2,700,000.000 UShs	221011 Printing, Stationery, Photocopying and Binding	
	Reason: Additional Stationery will be procured in Q3.	
0.176 Bn Shs	SubProgram/Project :04 Information Systems Administration and Security	
	Reason: Consultant delayed to finalise the assignment in Q2 and payment will be made in Q3 on conclusion of exercise. Subscription fees will be paid in Q3	
Items		
150,086,325.000 UShs	225001 Consultancy Services- Short term	
	Reason: Consultant delayed to complete the assignment and payment shall be done in Q3	
15,000,000.000 UShs	221017 Subscriptions	
	Reason: Invoices were not received on time and payment was pushed to Q3	
11,289,000.000 UShs	221003 Staff Training	

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Reason: Amount not enough for the activity.		
Program 1459 Policy, International Cooperation and Mutual Legal Assistance		
0.802 Bn Shs	SubProgram/Project :01 Headquarters	
Reason: Delays in the procurement of computer supplies, a need to set up a Training Committee to assess the training needs of the authority and the delay to appoint and inaugurate the FIA Board resulted into increased unspent funds. These activities were pushed to Q3 and funds are committed.		
Items		
248,640,000.000 UShs	213004 Gratuity Expenses	
Reason: Accumulated to be spent at the end of the end of Q4 to avoid shortfalls arising from budgetary cuts at the time of payment		
189,410,000.000 UShs	221006 Commissions and related charges	
Reason: There was delay in appointment of the FIA board, this would be spent in Q3.		
86,323,410.000 UShs	226001 Insurances	
Reason: Service provider delayed to deliver invoices for payment. This will be effected in Q3		
73,817,997.000 UShs	221003 Staff Training	
Reason: A Training Committee was set up to carry out a Training Needs Assessment to streamline trainings in the authority. This was done and staff training will be done in Q3.		
70,822,800.000 UShs	221008 Computer supplies and Information Technology (IT)	
Reason: Delayed procurement of toners and catridges due PPDA processes		
0.288 Bn Shs	SubProgram/Project :05 International Relations and Strategic Analysis	
Reason: Public awareness activities which were planned for Q2 did not take place and were pushed to Q3. Some services were procured and Funds committed but not yet paid. Payment will made in Q3.		
Items		
236,899,558.000 UShs	221002 Workshops and Seminars	
Reason: Upcountry public awareness activities were pushed to Q3. Budget Framework Paper retreat for the key departments was held. Service provider delayed to submit invoices. Funds committed but not yet paid.		
25,000,000.000 UShs	225001 Consultancy Services- Short term	
Reason: Delayed procurement process of the consultancy services. This was concluded in Q2, services will be provided in Q3		
19,222,600.000 UShs	221003 Staff Training	
Reason: Limited funds for the intended training		
6,769,000.000 UShs	211103 Allowances	
Reason: Funds will be spent in Q3 during the public awareness activities		
0.051 Bn Shs	SubProgram/Project :06 Internal Audit	
Reason: Statutory audit for FY 2017/2018 for FIA was carried out in Q2. Therefore, staff did not have time to go for training and field activities. These activities were pushed to Q3		
Items		

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### QUARTER 2: Highlights of Vote Performance

<b>31,898,610.000 UShs</b>	221003 Staff Training
Reason: Training was scheduled for December, but staff could not attend because he was involved in the the statutory audit activities of the FY 2017/2018. This was pushed to the next quarter.	
<b>12,620,000.000 UShs</b>	211103 Allowances
Reason: Staff was busy with external auditors and therefore could not go for field activities.	
<b>5,000,000.000 UShs</b>	221017 Subscriptions
Reason: Service providers delayed to issue invoices for this activity.	
<b>1,859,925.000 UShs</b>	221011 Printing, Stationery, Photocopying and Binding
Reason: Amount will be spent in the next quarter	
<i>(ii) Expenditures in excess of the original approved budget</i>	

### V2: Performance Highlights

Table V2.1: Programme Outcome and Outcome Indicators\*

Table V2.2: Key Vote Output Indicators\*

Performance highlights for the Quarter

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## QUARTER 2: Highlights of Vote Performance

103 STRs were received against a target of 120 representing 85.5% performance and above the 85 STRs received during the previous quarter. Of the 103 STRs, 87 STRs were received from Banks and 16 from Forex Bureaus. 19 were analyzed and closed, 11 STRs were disseminated and 73 STRs are still undergoing further analysis. 18 CBR and BNIs were received from entry/exit borders specifically from Entebbe Airport-Customs - URA

-Intelligence reportw were disseminated to law enforcement agencies for further investigation disaggregated as follows; Uganda Revenue Authority 20, Uganda Police Force (CIID) 17, Director of Public Prosecution 01 and Internal Security Organisation 01.

-Conducted 9 financial due diligence on investors intending to partner with government in infrastructure projects.

-FIA received and responded to one information request from FIU NCA of United Kingdom.

-FIA requested MOFPED for the amendment of S.38 1(b) of the AMLA 2013 to allow unrestricted exchange of information with foreign counterparts after it received feedback from Egmont that Uganda needs this section as a part of the pre requisite to join Egmont group. - In November 2018, FIA was invited by the Honourable Minister of Finance to provide justification to Top management of MoFPED so that the request could be cleared for approval by cabinet secretariat.

- FIA received revised re-ratings on 13/16 areas from ESAAMLG indicating tremendous improvement of Uganda's AML/CFT framework

- FIA commenced the development of the a monitoring and Evaluation tool for the National Risk Assessment (NRA)/Mutual Evaluation Report (MER) recommendations/Action plan monitoring and Evaluation tool. This is being developed in consultation with the Uganda Anti Money Laundering Committee (UAMLC) members. The M&E tool shall assist FIA in fasttracking the progress of implementing the NRA/MER recommendations.

- FIA legal officeis still pursuing 4 law suits; i.e;

i) Smart Protus Magara vs FIA Misc. App No. 215/2018

ii) Palmfox International Ltd vs DFCU, BOU & FIA mISC. cAUSE nO. 423

iii) Michael Akampurira and Godfrey Kisekka Vs Smart Ptotus Magara, Mark Kigozi, Moriah Kigozi, Excel Business Networks, FIA and Bank of Uganda HCCS 855/2018

iv) Uganda vs. Sundus Exchange and Money Transfer and others.

Piloting of the goAML electronic system is still on ongoing. STRs/LCTRs have been received through the system from Barclays Bank, Standard Chartered Bank, Diamond Trust Bank and Stanbic Bank.

- Conducted AML/CFT training for over 160 participants disaggregated as follows;

-Joint Kenya-Uganda cross border prevention of wildlife trafficking training at Hotel Africa - 36 participants

-Civil society workshop on compliance with AML/CFT at Kabira Country club - 30 participants

-FIA-MLCOs forum - 55 participants

-Religious leaders under the inter religious council of Uganda and Chapter Four - 40 participants

--AML/CFT training to management and staff of Dahabshiil Forex Bureau and Money Transfer services - 31 participants

- AML/CFT training to EFC BOARD members - 10 participants.

- 6 FIA staff were also trained in various fields e.g. Tactical/Operational Analysis taining organised by SUGAR-TAF, Kampala Uganda, Financial Profiling and Asset Recovery organised by SUGAR-TAF, Kampala Uganda, Leadership training for Top management organised by SUGAR-TAF, Kampala Uganda, and AML/CFT training organised by the EU AML/CFT Project for the Greater Horn of Africa in Kampala, Uganda.

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## V3: Details of Releases and Expenditure

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

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## QUARTER 2: Highlights of Vote Performance

<i>Billion Uganda Shillings</i>	Approved Budget	Released	Spent	% GoU Budget Released	% GoU Budget Spent	%GoU Releases Spent
<b>Program 1458 Prevention of ML/CFT, Prosecution and confiscation of proceeds of crime</b>	<b>2.88</b>	<b>1.99</b>	<b>1.66</b>	<b>69.2%</b>	<b>57.8%</b>	<b>83.4%</b>
<i>Class: Outputs Provided</i>	<i>2.88</i>	<i>1.99</i>	<i>1.66</i>	<i>69.2%</i>	<i>57.8%</i>	<i>83.4%</i>
145801 Compliance with AML and CFT laws and Regulations	0.27	0.17	0.13	62.0%	49.0%	79.0%
145802 Legal Representation and Litigation	0.11	0.07	0.02	62.7%	15.3%	24.4%
145803 Analysis and Reporting Financial Operations	2.00	1.38	1.35	69.0%	67.4%	97.7%
145804 Coordination of AML/CFT enforcement entities	0.05	0.05	0.01	90.0%	24.3%	27.0%
145805 Ensure safety and integrity of FIA information	0.45	0.33	0.15	74.1%	34.4%	46.4%
<b>Program 1459 Policy, International Cooperation and Mutual Legal Assistance</b>	<b>9.62</b>	<b>6.00</b>	<b>4.49</b>	<b>62.4%</b>	<b>46.7%</b>	<b>74.8%</b>
<i>Class: Outputs Provided</i>	<i>8.94</i>	<i>5.42</i>	<i>3.95</i>	<i>60.6%</i>	<i>44.2%</i>	<i>73.0%</i>
145901 International Mutual Legal Assistance	0.02	0.00	0.00	0.0%	0.0%	0.0%
145902 Financial Intelligence Research and Strategic Development	0.86	0.65	0.35	76.1%	41.5%	54.6%
145903 Development and Management of Internal Audit and Controls	0.10	0.09	0.03	85.5%	34.1%	39.9%
145904 FIA Support Services and Administration	7.97	4.68	3.56	58.7%	44.7%	76.1%
<i>Class: Capital Purchases</i>	<i>0.47</i>	<i>0.37</i>	<i>0.33</i>	<i>80.2%</i>	<i>70.2%</i>	<i>87.6%</i>
145977 Purchase of Specialised Machinery & Equipment	0.43	0.34	0.29	78.6%	67.8%	86.3%
145978 Purchase of Office and Residential Furniture and Fittings	0.04	0.04	0.04	100.0%	100.0%	100.0%
<i>Class: Arrears</i>	<i>0.21</i>	<i>0.21</i>	<i>0.21</i>	<i>100.0%</i>	<i>100.0%</i>	<i>100.0%</i>
145999 Arrears	0.21	0.21	0.21	100.0%	100.0%	100.0%
<b>Total for Vote</b>	<b>12.50</b>	<b>7.99</b>	<b>6.15</b>	<b>64.0%</b>	<b>49.2%</b>	<b>77.0%</b>

Table V3.2: 2018/19 GoU Expenditure by Item

<i>Billion Uganda Shillings</i>	Approved Budget	Released	Spent	% GoU Budget Released	% GoU Budget Spent	%GoU Releases Spent
<i>Class: Outputs Provided</i>	<i>11.82</i>	<i>7.41</i>	<i>5.62</i>	62.7%	47.5%	75.8%
211102 Contract Staff Salaries (Incl. Casuals, Temporary)	3.48	1.74	1.53	50.0%	44.0%	87.9%
211103 Allowances	0.44	0.30	0.20	68.2%	45.6%	66.8%
212101 Social Security Contributions	0.35	0.18	0.18	51.0%	51.0%	100.0%
213004 Gratuity Expenses	0.70	0.35	0.10	50.0%	14.2%	28.5%
221001 Advertising and Public Relations	0.02	0.02	0.02	95.2%	95.2%	100.0%
221002 Workshops and Seminars	0.62	0.47	0.24	76.3%	38.1%	49.9%
221003 Staff Training	0.54	0.34	0.17	62.8%	31.5%	50.2%
221004 Recruitment Expenses	0.18	0.18	0.15	100.0%	83.3%	83.3%
221006 Commissions and related charges	0.44	0.22	0.03	49.5%	6.9%	13.9%
221007 Books, Periodicals & Newspapers	0.02	0.01	0.00	76.7%	31.9%	41.6%
221008 Computer supplies and Information Technology (IT)	0.21	0.17	0.09	78.6%	43.7%	55.6%
221009 Welfare and Entertainment	0.33	0.18	0.18	52.9%	52.9%	100.0%

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## QUARTER 2: Highlights of Vote Performance

221011 Printing, Stationery, Photocopying and Binding	0.13	0.11	0.10	87.2%	82.2%	94.3%
221012 Small Office Equipment	0.01	0.01	0.01	100.0%	97.3%	97.3%
221017 Subscriptions	0.34	0.34	0.31	100.0%	92.6%	92.6%
222001 Telecommunications	0.04	0.02	0.02	50.0%	50.0%	100.0%
223003 Rent – (Produced Assets) to private entities	0.75	0.50	0.43	66.5%	57.5%	86.5%
223004 Guard and Security services	0.17	0.11	0.07	61.7%	42.4%	68.7%
223005 Electricity	0.07	0.04	0.03	50.0%	39.8%	79.7%
224003 Classified Expenditure	1.78	1.28	1.27	71.8%	71.5%	99.5%
224004 Cleaning and Sanitation	0.04	0.02	0.02	50.0%	50.0%	100.0%
225001 Consultancy Services- Short term	0.38	0.29	0.06	76.0%	16.0%	21.0%
226001 Insurances	0.18	0.18	0.10	100.0%	52.7%	52.7%
227001 Travel inland	0.07	0.04	0.02	57.8%	35.2%	60.9%
227002 Travel abroad	0.22	0.15	0.13	69.8%	58.4%	83.7%
227004 Fuel, Lubricants and Oils	0.30	0.15	0.15	50.0%	50.0%	100.0%
228002 Maintenance - Vehicles	0.05	0.05	0.01	100.0%	24.8%	24.8%
<b>Class: Capital Purchases</b>	<b>0.47</b>	<b>0.37</b>	<b>0.33</b>	<b>80.2%</b>	<b>70.2%</b>	<b>87.6%</b>
312202 Machinery and Equipment	0.43	0.34	0.29	78.6%	67.8%	86.3%
312203 Furniture & Fixtures	0.04	0.04	0.04	100.0%	100.0%	100.0%
<b>Class: Arrears</b>	<b>0.21</b>	<b>0.21</b>	<b>0.21</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>
321605 Domestic arrears (Budgeting)	0.21	0.21	0.21	100.0%	100.0%	100.0%
<b>Total for Vote</b>	<b>12.50</b>	<b>7.99</b>	<b>6.15</b>	<b>64.0%</b>	<b>49.2%</b>	<b>77.0%</b>

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

<i>Billion Uganda Shillings</i>	<b>Approved Budget</b>	<b>Released</b>	<b>Spent</b>	<b>% GoU Budget Released</b>	<b>% GoU Budget Spent</b>	<b>%GoU Releases Spent</b>
<b>Program 1458 Prevention of ML/CFT, Prosecution and confiscation of proceeds of crime</b>	<b>2.88</b>	<b>1.99</b>	<b>1.66</b>	<b>69.2%</b>	<b>57.8%</b>	<b>83.4%</b>
<i>Recurrent SubProgrammes</i>						
02 Legal, Inspection and Compliance	0.38	0.24	0.15	62.2%	39.3%	63.1%
03 Operational Analysis	2.05	1.42	1.36	69.5%	66.3%	95.5%
04 Information Systems Administration and Security	0.45	0.33	0.15	74.1%	34.4%	46.4%
<b>Program 1459 Policy, International Cooperation and Mutual Legal Assistance</b>	<b>9.62</b>	<b>6.00</b>	<b>4.49</b>	<b>62.4%</b>	<b>46.7%</b>	<b>74.8%</b>
<i>Recurrent SubProgrammes</i>						
01 Headquarters	8.18	4.89	3.77	59.8%	46.1%	77.2%
05 International Relations and Strategic Analysis	0.87	0.65	0.35	74.8%	40.8%	54.6%
06 Internal Audit	0.10	0.09	0.03	85.5%	34.1%	39.9%
<i>Development Projects</i>						
1423 Support to Financial Intelligence Authority	0.47	0.37	0.33	80.2%	70.2%	87.6%
<b>Total for Vote</b>	<b>12.50</b>	<b>7.99</b>	<b>6.15</b>	<b>64.0%</b>	<b>49.2%</b>	<b>77.0%</b>

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

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**QUARTER 2: Highlights of Vote Performance**

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

## QUARTER 2: 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	US\$ 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
Conduct public awareness to ensure compliance with AML/CFT requirements	By end of Q2, a total of 440 participants hand been training in AML/CFT. These included members from various sectors, institutions across the country	211103 Allowances	99,020
AML/CFT supervision guidelines to regulatory authorities issued		221003 Staff Training	10,300
Undertake supervision of non-regulated sectors to enforce AML/CFT compliance	By end of Q2, FIA had Received feedback from Egmont that	221011 Printing, Stationery, Photocopying and Binding	5,837
Risk based AML compliance programs for sectors where there are no regulators established	Uganda needs to amend S. 38 (1) (b) of the AMLA 2013 to remove any restrictions on international cooperation and exchange of information.	227001 Travel inland	17,124
AML/CFT onsite undertaken	-The amendment bill is due to be considered and approved by cabinet Received revised re-ratings on 13 / 16 areas. These indicated tremendous improvement of Uganda's AML/CFT framework. In October 2018, the DED attended the FATF plenary meeting Paris. The plenary recommended that all countries designate virtual assets service providers (VASPS) as accountable persons subject to AML/CFT regulations. The FIA has since taken steps to have the schedule of accountable persons amended and the board approved advice to the Minister to amend this schedule in accordance with the law.		
	By end of Q2, 13 on-sight inspections for AML/CFT compliance on a risk based approach had been conducted		

### Reasons for Variation in performance

7 more onsite inspections were conducted by compliance team in Q2 due to the increased number of staff.

No variation

There were 120 participants less trained in Q2. This was due to the fact that the team was involved in conducting on site inspections for ECO Bank.

<b>Total</b>	<b>132,282</b>
Wage Recurrent	0
Non Wage Recurrent	132,282
<i>AIA</i>	0

### Output: 02 Legal Representation and Litigation

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## QUARTER 2: 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	US\$ Thousand
Procedures to enforce administrative sanctions established	By end of Q2, FIA had successfully provided justification to Top management of MOFPED for the amendment of S.38	<b>Item</b>	<b>Spent</b>
Existing gaps in the current AML/CFT legislations addressed	1b to remove restrictions and allow for unrestricted exchange of information with other FIUs.	211103 Allowances	2,970
AMLA regulations 2015 reviewed, amended and revoked to ensure compliance and to meet FATF standards	By end of Q2, FIA Legal was still pursuing 4 law suits; i.e;	221003 Staff Training	5,000
	i) Smart Protus Magara vs FIA Misc. App No. 215/2018	221007 Books, Periodicals & Newspapers	3,540
	ii) Palmfox International Ltd vs DFCU, BOU & FIA Misc. Cause No. 423 of	221017 Subscriptions	360
	iii) Michael Akampurira and Godfrey Kisekka vs Smart Protus Magara, Mark Kigozi, Moriah Kigozi, Excel Business Networks Ltd, FIA and Bank of Uganda HCCS 855/2018	225001 Consultancy Services- Short term	5,000
	iv) Uganda Vs. Sundus Exchange and Money Transfer & 8 others		

### Reasons for Variation in performance

Cases had not been disposed off due to the pending court proceedings  
No Variation

<b>Total</b>	<b>16,870</b>
Wage Recurrent	0
Non Wage Recurrent	16,870
<i>AIA</i>	0
<b>Total For SubProgramme</b>	<b>149,152</b>
Wage Recurrent	0
Non Wage Recurrent	149,152
<i>AIA</i>	0

### Recurrent Programmes

#### Subprogram: 03 Operational Analysis

#### Outputs Provided

#### Output: 03 Analysis and Reporting Financial Operations

# Vote:129 Financial Intelligence Authority (FIA)

## QUARTER 2: 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	US\$ Thousand
Intelligence reports disseminated to Law Enforcement Agencies	Intelligence reports were disseminated to law enforcement agencies for further investigation disaggregated as follows; Uganda Revenue Authority 23, Uganda Police Force (CIID) 20, Directorate of Public Prosecutions 02, Inspectorate of Government 01 and Internal Security Organisation 01.	<b>Item</b>	<b>Spent</b>
Specialized skills in financial analysis and investigations developed		211103 Allowances	9,085
Specialized skills in financial analysis and investigations developed		221003 Staff Training	20,555
Data base of AML/CFT statistics developed		221009 Welfare and Entertainment	36,000
Data base of AML/CFT statistics developed		221011 Printing, Stationery, Photocopying and Binding	4,800
Improved collection, Analysis and dissemination of information to competent Authorities		224003 Classified Expenditure	1,272,342
Improved collection, Analysis and dissemination of information to competent Authorities		225001 Consultancy Services- Short term	5,000
Parallel ML/TF financial investigations initiated	Maintained and updated the database of all suspicious transactions, cash and/or monetary transactions and cross border declarations received from accountable persons to facilitate analysis and generation of statistics on ML/TF		
	By end Q2 total of 205 STRs were received against a target of 240 representing 85.4% performance. Of the 205 STRs, 190 STRs were received Banks and 18 from Forex Bureaus. 52 STRs were analysed and closed, 19 STRs were disseminated and 107 STRs are still undergoing further analysis. Conducted 15 financial due diligence on investors intending to partner with government in infrastructure projects. FIA responded to received and responded to one information request from FIU NCA of United Kingdom. All financial institutions filed LCTRs as required by law. These LCTRs were reviewed and 31 suspicious cases were identified for further management. 18 CBR and BNIs were received from entry/exit borders specifically from Entebbe Airport - Customs - URA		

### Reasons for Variation in performance

In Q2 the number of STRs analysed and closed increased by 14.6%. This was attributed to the recruitment of new staff. Intelligence reports increased due to the increased number of analysts from 1 to 5 as a result of the recruitment of new staff. No variation

<b>Total</b>	<b>1,347,781</b>
Wage Recurrent	0
Non Wage Recurrent	1,347,781
<b>AIA</b>	<b>0</b>

### Output: 04 Coordination of AML/CFT enforcement entities

ML/TF Coordination framework established in line with recommendations of the NRA	<b>Item</b>	<b>Spent</b>
	211103 Allowances	12,143

# Vote:129 Financial Intelligence Authority (FIA)

## QUARTER 2: 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	US\$ Thousand
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### Reasons for Variation in performance

<b>Total</b>	<b>12,143</b>
Wage Recurrent	0
Non Wage Recurrent	12,143
<i>AIA</i>	0
<b>Total For SubProgramme</b>	<b>1,359,925</b>
Wage Recurrent	0
Non Wage Recurrent	1,359,925
<i>AIA</i>	0

### Recurrent Programmes

#### Subprogram: 04 Information Systems Administration and Security

##### Outputs Provided

##### Output: 05 Ensure safety and integrity of FIA information

		Item	Spent
Support EGMONT Operations	Installed a dedicated computer to handle		
Capacity building of staff	Egmont information	221003 Staff Training	17,211
Information Security of the goAML infrastructure Strengthened	By end of Q2, 3 IT staff had been trained in various IT systems	221008 Computer supplies and Information Technology (IT)	77,530
GoAML electronic reporting system installed	Implemented more recommendations of the NISF report to enhance IT security	221017 Subscriptions	10,000
IT equipment procured	By the end of Q2, the goAML electronic reporting system was still on going with six banks submitting submitting	225001 Consultancy Services- Short term	49,914
GoAML operations supported	STRs/LCTRs through the system. That is Barclays Bank, Centenary Bank, Standard		
Reporting entities trained on the use of GoAML electric reporting system	Chartered Bank, Diamond Trust Bank, Stanbic Bank and DFCU.		
	Throughout Q2, FIA IT and compliance team continuously supported the 6 MLCOs and 6 IT bank staff to ensure successful goAML operations.		
	By the end of Q2, the 12 bank staff had been trained in use of GoAML electronic reporting system from six banks; Barclays Bank, Centenary Bank, Standard Chartered Bank, Diamond Trust Bank, Stanbic Bank and DFCU.		

### Reasons for Variation in performance

No variation

<b>Total</b>	<b>154,655</b>
Wage Recurrent	0
Non Wage Recurrent	154,655
<i>AIA</i>	0
<b>Total For SubProgramme</b>	<b>154,655</b>
Wage Recurrent	0

# Vote:129 Financial Intelligence Authority (FIA)

## QUARTER 2: 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	154,655
		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
FIA Business systems modernized	By end of Q2, IT had deployed an automatic IP addressing	211102 Contract Staff Salaries (Incl. Casuals, Temporary)	1,528,819
Strengthened staff capacity	system in the FIA network using the Dynamics Host Configuration Protocol (DHCP)	211103 Allowances	35,180
Corporate governance standards maintained	-Successfully configured and installed Unified Messaging and Collaboration Systems (UMCS) for both Emails and user interactions on the LAN.	212101 Social Security Contributions	177,450
FIA ICT infrastructure safeguarded against evolving National and International Security threats	-Improved hardware effectiveness through cable management and port labelling	213004 Gratuity Expenses	99,000
Physical security of Staff and premises effectively secured	By end of Q2, 17 new staff provided with hands on training in their specific areas of operation	221001 Advertising and Public Relations	16,000
Financial reporting and procurement systems established	By end of Q2, NRA/MER action plan M&E tool was being developed	221003 Staff Training	97,682
Office operations facilitated	By end of Q2, IT had Deployed standard tools to ensure security of the IT network and acceptable Quality of Service (QoS) for FIA switches, routers and the firewalls.	221004 Recruitment Expenses	149,980
Competent staff recruited	-Reviewed and reinforced security and operations of the Active Directory Domain services, (AD DS) by upgrading to windows server 2016 from windows server 2012 with a split-horizon Domain Name Service configuration (internal DNS-fia.local, External DNS ?? fia.go.ug).	221006 Commissions and related charges	30,590
	- Deployed System Center Configuration Manager (SCCM) to standardize bulk deployment and management of applications on user computers	221007 Books, Periodicals & Newspapers	1,240
	By end of Q2, security was being provided for all staff at work and to the 3 top officials of FIA, security was provided to them on the way and at home	221008 Computer supplies and Information Technology (IT)	14,177
		221009 Welfare and Entertainment	140,200
		221011 Printing, Stationery, Photocopying and Binding	90,000
		221012 Small Office Equipment	13,629
		221017 Subscriptions	300,000
		222001 Telecommunications	20,000
		223003 Rent – (Produced Assets) to private entities	432,358
		223004 Guard and Security services	72,161
		223005 Electricity	28,681
		224004 Cleaning and Sanitation	18,000
		226001 Insurances	96,077
		227001 Travel inland	6,000
		227002 Travel abroad	33,304
		227004 Fuel, Lubricants and Oils	150,000
		228002 Maintenance - Vehicles	12,400
	By end of Q2, all staff were being provided with office stationery and other office tools		
	By end of Q2, 17 new staff had been recruited		

#### Reasons for Variation in performance

# Vote:129

Financial Intelligence Authority (FIA)

## QUARTER 2: 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	US\$ Thousand
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No variation

<b>Total</b>	<b>3,562,928</b>
Wage Recurrent	1,528,819
Non Wage Recurrent	2,034,109
<i>AIA</i>	0

Arrears

<b>Total For SubProgramme</b>	<b>3,562,928</b>
Wage Recurrent	1,528,819
Non Wage Recurrent	2,034,109
<i>AIA</i>	0

Recurrent Programmes

### Subprogram: 05 International Relations and Strategic Analysis

Outputs Provided

#### Output: 02 Financial Intelligence Research and Strategic Development

		Item	Spent
Typologies/trends analysis studies produced	By end of Q2, FIA was in advanced stages of procuring consultancy services to support in conducting ML/TF typology study on sports betting	211103 Allowances	10,731
Reporting entities and other stakeholders trained in AML/CFT.		221002 Workshops and Seminars	236,160
Communication strategy for FIA developed	By end of Q2, 7 institutions had been trained in AML.CFT compliance	221003 Staff Training	15,777
coordinated mechanism for effective implementation of AML/CFT NRA/MER recommendations developed.		227002 Travel abroad	92,304
Reports for FIA Planning and budgeting produced.	By end of Q2, FIA had commenced development of NRA/MER M & E tool for the Action plan.		
Increased public awareness on ML/TF	By end of Q2, Q1 2018/19 report had been produced and submitted to management. 5 articles were published in various media including daily news papers and magazines		

Reasons for Variation in performance

No variation

<b>Total</b>	<b>354,973</b>
Wage Recurrent	0
Non Wage Recurrent	354,973
<i>AIA</i>	0
<b>Total For SubProgramme</b>	<b>354,973</b>
Wage Recurrent	0
Non Wage Recurrent	354,973
<i>AIA</i>	0

Recurrent Programmes

### Subprogram: 06 Internal Audit

Outputs Provided

# Vote:129 Financial Intelligence Authority (FIA)

## QUARTER 2: 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	US\$ Thousand
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### Output: 03 Development and Management of Internal Audit and Controls

Internal Control requirements complied with	By end of Q2, Q1 audit report had been completed and submitted	<b>Item</b>	<b>Spent</b>
		211103 Allowances	29,880
		221003 Staff Training	2,101
		221011 Printing, Stationery, Photocopying and Binding	2,140

### Reasons for Variation in performance

No variation

<b>Total</b>	<b>34,121</b>
Wage Recurrent	0
Non Wage Recurrent	34,121
AIA	0
<b>Total For SubProgramme</b>	<b>34,121</b>
Wage Recurrent	0
Non Wage Recurrent	34,121
AIA	0

### Development Projects

### Project: 1423 Support to Financial Intelligence Authority

#### Capital Purchases

### Output: 77 Purchase of Specialised Machinery & Equipment

Procure specialized machinery and Equipment	<b>Item</b>	<b>Spent</b>
	312202 Machinery and Equipment	291,587

### Reasons for Variation in performance

<b>Total</b>	<b>291,587</b>
GoU Development	291,587
External Financing	0
AIA	0

### Output: 78 Purchase of Office and Residential Furniture and Fittings

Purchase of office furniture	<b>Item</b>	<b>Spent</b>
	312203 Furniture & Fixtures	35,000

### Reasons for Variation in performance

<b>Total</b>	<b>35,000</b>
GoU Development	35,000
External Financing	0
AIA	0
<b>Total For SubProgramme</b>	<b>326,587</b>
GoU Development	326,587
External Financing	0
AIA	0

# Vote:129

Financial Intelligence Authority (FIA)

## QUARTER 2: Cumulative Outputs and Expenditure by End of Quarter

<b>GRAND TOTAL</b>	<b>5,942,340</b>
Wage Recurrent	1,528,819
Non Wage Recurrent	4,086,934
GoU Development	326,587
External Financing	0
AIA	0



# Vote:129

Financial Intelligence Authority (FIA)

## QUARTER 2: 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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**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
Identify the compliance gaps within accountable Persons and coordinate the training to support the entities. Approval of the Regulatory guidelines on-site inspections to be conducted. Disseminate the risk based compliance matrix to the non regulated sectors. Two on-site inspection conducted	Trained over 160 participants in AML/CFT - disaggregated as follows; -Joint Kenya-Uganda cross Border Prevention of Wildlife Trafficking Training at Hotel Africana - 36 participants - Civil Society Workshop on Compliance with AML/CFT at Kabira Country Club - 30 participants -FIA-MLCO Forum- 55 participants -Religious Leaders under Inter- Religious Council of Uganda and Chapter Four - 40 participants - AML/CFT training to management and staff of Dahabshiil Forex Bureau and Money transfer services- 31 participants N/A N/A	211103 Allowances 221003 Staff Training 221011 Printing, Stationery, Photocopying and Binding 227001 Travel inland	39,340 10,300 5,365 15,060
	10 on-site inspections for AML/CFT compliance were conducted on ECO Bank at its various branches across Uganda during the quarter. The Bank was found to be having issues with AML/CFT compliance that needed to be addressed.		

### Reasons for Variation in performance

7 more on-site inspections were conducted by compliance team in Q2 due to the increased number of staff.

No variation

There were 120 participants less trained in Q2. This was due to the fact that the team was involved in conducting on-site inspections for ECO Bank.

<b>Total</b>	<b>70,065</b>
Wage Recurrent	0
Non Wage Recurrent	70,065
<i>AIA</i>	0

### Output: 02 Legal Representation and Litigation

# Vote:129 Financial Intelligence Authority (FIA)

## QUARTER 2: Outputs and Expenditure in Quarter

Outputs Planned in Quarter	Actual Outputs Achieved in Quarter	Expenditures incurred in the Quarter to deliver outputs	US\$ Thousand
Approval of guidelines forward the identified gaps to the Ministry of Finance to initiate drafting of the Bills Approval of the regulations	FIA requested MOFPED for amendment S.38 1(b) of AMLA to allow unrestricted exchange of information with foreign counterparts. In November 2018, FIA was invited by the Honourable Minister of Finance to provide justification to Top management of MoFPED so that the request could be cleared for approval by cabinet secretariat FIA Legal office is still pursuing 4 law suits; i.e; i) Smart Protus Magara vs FIA Misc. App No. 215/2018 ii) Palmfox International Ltd vs DFCU, BOU & FIA Misc. Cause No. 423 iii) Michael Akampurira and Godfrey Kisekka vs Smart Protus Magara, Mark Kigozi, Moriah Kigozi, Excel Business Networks Ltd, FIA and Bank of Uganda HCCS 855/2018 iv) Uganda Vs. Sundus Exchange and Money Transfer & 8 others	<b>Item</b> 211103 Allowances 221003 Staff Training 221007 Books, Periodicals & Newspapers 221017 Subscriptions 225001 Consultancy Services- Short term	<b>Spent</b> 2,490 5,000 3,540 360 5,000

### Reasons for Variation in performance

Cases had not been disposed off due to the pending court proceedings  
No Variation

<b>Total</b>	<b>16,390</b>
Wage Recurrent	0
Non Wage Recurrent	16,390
<i>AIA</i>	0
<b>Total For SubProgramme</b>	<b>86,455</b>
Wage Recurrent	0
Non Wage Recurrent	86,455
<i>AIA</i>	0

### Recurrent Programmes

#### Subprogram: 03 Operational Analysis

##### Outputs Provided

#### Output: 03 Analysis and Reporting Financial Operations

Analyzing and coloration of all the reports received and produce intelligence report and disseminate to LEA	Intelligence reports were disseminated to law enforcement agencies for further investigation disaggregated as follows;	<b>Item</b>	<b>Spent</b>
Training of staff Compile and develop data base and continuous updating of information	Uganda Revenue Authority 20, Uganda Police Force (CIID) 17, Directorate of Public Prosecutions 01 and Internal Security Organisation 01.	211103 Allowances	9,085
Compile and develop data base and continuous updating of information		221003 Staff Training	20,157
Receive suspicious transaction Reports, Large Cash Transaction Reports and cross border declaration of cash and BNIR	6 Officers were trained in the various fields as indicated below;	221009 Welfare and Entertainment	36,000
Receive suspicious transaction Reports, Large Cash Transaction Reports and cross border declaration of cash and	1. Tactical/Operational Analysis Training, organized by SUGAR-TAF, Kampala - Uganda	221011 Printing, Stationery, Photocopying and Binding	4,800
		224003 Classified Expenditure	625,342
		225001 Consultancy Services- Short term	5,000

# Vote:129 Financial Intelligence Authority (FIA)

## QUARTER 2: Outputs and Expenditure in Quarter

BNIEngage LEA to enforce parallel financial investigation along side the predicate offences

2. AML/CFT training, organized by European Union AML/CFT Project for the Greater Horn of Africa, Kampala - Uganda

3. Financial Profiling and Asset Recovery Training, organized by SUGAR-TAF, Kampala - Uganda

One staff attended the Leadership Training organized by SUGAR-TAF, Kampala - Uganda

Up-to-date statistics of all suspicious transactions, cash and/or monetary transactions and cross-border declarations received during the quarter from accountable persons were stored in a data base accessed by Operational Analysis department

Continued to maintain and update the database of all suspicious transactions, cash and/or monetary transactions and cross-border declarations received from accountable persons to facilitate analysis and generation of statistics on ML/TF. The current number of LCTs as received every week is very big (in tens of thousands) however, the current ICT infrastructure with FIA does not have the capability of quantifying the exact number. From a review of the selected large cash transaction reports received during the quarter, 31 suspicious cases were identified for further management.

18 cross-border declaration reports disaggregated as follows; Entry declarations - 11

Exit declarations - 07

All the declaration reports were from Entebbe Airport entry/exit point

103 STRs were received against a target of 120 representing 85.8% performance and above the 85 STRs received during the previous quarter. Of the 103 STRs, 87 STRs were received Banks and 16 16 from Forex Bureaus. 19 STRs were analysed and closed, 11 STRs were disseminated and 73 STRs are still undergoing further analysis.

Conducted 9 financial due diligence on investors intending to partner with government in infrastructure projects. FIA received and responded to one information request from FIU NCA of United Kingdom.

All financial institutions filed LCTRs as required by law. These LCTRs were reviewed and 31 suspicious cases were identified for further management.

18 CBR and BNIs were received from entry/exit borders specifically from Entebbe Airport - Customs - URA

# Vote:129

## Financial Intelligence Authority (FIA)

### QUARTER 2: Outputs and Expenditure in Quarter

#### Reasons for Variation in performance

In Q2 the number of STRs analysed and closed increased by 14.6%. This was attributed to the recruitment of new staff. Intelligence reports increased due to the increased number of analysts from 1 to 5 as a result of the recruitment of new staff  
No variation

	<b>Total</b>	<b>700,384</b>
Wage Recurrent		0
Non Wage Recurrent		700,384
<i>AIA</i>		0

#### Output: 04 Coordination of AML/CFT enforcement entities

Stakeholder meetings to address crosscutting AML/CFT Issues	<b>Item</b>	<b>Spent</b>
	211103 Allowances	12,143

#### Reasons for Variation in performance

	<b>Total</b>	<b>12,143</b>
Wage Recurrent		0
Non Wage Recurrent		12,143
<i>AIA</i>		0
<b>Total For SubProgramme</b>		<b>712,527</b>
Wage Recurrent		0
Non Wage Recurrent		712,527
<i>AIA</i>		0

#### Recurrent Programmes

#### Subprogram: 04 Information Systems Administration and Security

#### Outputs Provided

#### Output: 05 Ensure safety and integrity of FIA information

# Vote:129 Financial Intelligence Authority (FIA)

## QUARTER 2: Outputs and Expenditure in Quarter

Outputs Planned in Quarter	Actual Outputs Achieved in Quarter	Expenditures incurred in the Quarter to deliver outputs	US\$ Thousand
Continuous support to EGMONT users and monitoring the smooth operation of the system training of staffProvide continuous monitoring of the Information security Roll out the financial institutions in a phased mannerprocure laptop computers Continuous support to users and monitoring the smooth operation of the system Training of Reporting entities in the use of GoAML electronic Reporting system	<p>Installed the computer dedicated to handling Egmont information requests and responses.</p> <p>2 IT officers were trained in systems center. The training was organised by NITA-U and delivered by Microsoft Corporation</p> <p>-Re-designed the network to provide for segmentation and segregation of traffic according to the peculiar requirements at the different user departments.</p> <p>-Deployed standard tools to ensure security of the IT network and acceptable Quality of Service (QoS) for FIA switches, routers and the firewalls.</p> <p>-Reviewed and reinforced security and operations of the Active Directory Domain services, (AD DS) by upgrading to windows server 2016 from windows server 2012 with a split-horizon Domain Name Service configuration (internal DNS-fia.local, External DNS –fia.go.ug).</p> <p>- Deployed System Center Configuration Manager (SCCM) to standardize bulk deployment and management of applications on user computers</p> <p>The goAML electronic system is still at pilot phase. Six banks submitted STRs/LCTRs through the system. That is Barclays Bank, Centenary Bank, Standard Chartered Bank, Diamond Trust Bank, Stanbic Bank and DFCU.</p> <p>Carried out sensitisation of 6 MLCOs, 6 IT staff from banks and 2 IT vendors on the comprehensive usage of the functionalities of the GoAML systems</p> <p>Pilot stage for goAML electronic system is still on going. STRs/LCTRs have been received through the system from Barclays Bank, Standard Chartered Bank, Diamond Trust Bank and Stanbic Bank</p>	<p><b>Item</b></p> <p>221003 Staff Training</p> <p>221008 Computer supplies and Information Technology (IT)</p> <p>225001 Consultancy Services- Short term</p>	<p><b>Spent</b></p> <p>12,861</p> <p>71,365</p> <p>30,000</p>

### Reasons for Variation in performance

No variation

<b>Total</b>	<b>114,226</b>
Wage Recurrent	0
Non Wage Recurrent	114,226
AIA	0
<b>Total For SubProgramme</b>	<b>114,226</b>
Wage Recurrent	0
Non Wage Recurrent	114,226
AIA	0

Program: 59 Policy, International Cooperation and Mutual Legal Assistance

# Vote:129 Financial Intelligence Authority (FIA)

## QUARTER 2: 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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### Recurrent Programmes

#### Subprogram: 01 Headquarters

#### Outputs Provided

#### Output: 04 FIA Support Services and Administration

		Item	Spent
Establish a help line to receive feedback and attend to general inquiries	Deployed an automatic IP addressing system in the FIA network using the Dynamics Host Configuration Protocol (DHCP)	211102 Contract Staff Salaries (Incl. Casuals, Temporary)	805,017
Maintain computers and IT systems and equipment in sound health through managing SLAs (4 SLAs for voice, power, hardware, software)	-Successfully configured and installed Unified Messaging and Collaboration Systems (UMCS) for both Emails and user interactions on the LAN.	211103 Allowances	4,680
Procure Internet Services procured (5Mbps)	-Improved hardware effectiveness through cable management and port labelling	212101 Social Security Contributions	105,250
Training staff Adherence to Corporate governance standardsMonitoring and safeguarding of the ICT infrastructure against security threats Provide for security of staff while at work and protect entitled staff on the way and at home	2 IT officers trained in systems centre by Microsoft Corporation organised by NITA-U	213004 Gratuity Expenses	15,000
Produce financial management reports	Commenced the development of a monitoring and Evaluation tool for National Risk Assessment and Mutual Evaluation Report Action plan	221001 Advertising and Public Relations	8,000
Ensure proper financial management of FIA funds	-Reconfigured Demilitarized Zone (DMZ) to buffer the zone between the public internet and the FIA network. It was deployed between two firewalls and the inbound network packets were screened using the CISCO firewall appliances before they arrive at the servers the organization hosts in the DMS and internal Network.	221003 Staff Training	41,806
Ensure that services, goods and works are procured and disposed off as per the PPDA rules and regulations	Security provided for all staff at work and 3 top officials of FIA were provided with security on the way and at home.	221004 Recruitment Expenses	10,330
Provide assorted office requirements for all staff Recruit staff	Produced all financial management reports	221006 Commissions and related charges	30,590
		221008 Computer supplies and Information Technology (IT)	10,000
		221009 Welfare and Entertainment	93,405
		221011 Printing, Stationery, Photocopying and Binding	15,905
		221012 Small Office Equipment	13,629
		222001 Telecommunications	13,893
		223003 Rent – (Produced Assets) to private entities	218,629
		223004 Guard and Security services	43,490
		223005 Electricity	15,553
		224004 Cleaning and Sanitation	13,125
		226001 Insurances	59,977
		227001 Travel inland	6,000
		227002 Travel abroad	8,304
		227004 Fuel, Lubricants and Oils	75,000
		228002 Maintenance - Vehicles	10,000
	Staff provided with office stationery and other office tools		
	N/A		

#### Reasons for Variation in performance

No variation

	<b>Total</b>	<b>1,617,582</b>
	Wage Recurrent	805,017
	Non Wage Recurrent	812,565
	<b>AIA</b>	<b>0</b>
<b>Arrears</b>		
	<b>Total For SubProgramme</b>	<b>1,617,582</b>
	Wage Recurrent	805,017

# Vote:129 Financial Intelligence Authority (FIA)

## QUARTER 2: Outputs and Expenditure in Quarter

Outputs Planned in Quarter	Actual Outputs Achieved in Quarter	Expenditures incurred in the Quarter to deliver outputs	US\$ Thousand
		Non Wage Recurrent	812,565
		AIA	0

### Recurrent Programmes

#### Subprogram: 05 International Relations and Strategic Analysis

##### Outputs Provided

##### Output: 01 International Mutual Legal Assistance

	Item	Spent
Monitor progress from EGDMONTContinuous updating of the template for recommendations of the MER and monitor progress and request ESAAML to revise ratings.Participate in scheduled ESAAMLG, EGDMONT and FATF activities Spontaneously and upon requests exchange information with other FIUS and other relevant jurisdictions	Received feedback from Egmont that Uganda needs to amend S. 38 (1) (b) of the AMLA 2013 to remove any restrictions on international cooperation and exchange of information. -The amendment bill is due to be considered and approved by cabinet Received revised re-ratings on 13 / 16 areas. These indicated tremendous improvement of Uganda's AML/CFT framework. In October 2018, the DED attended the FATF plenary meeting Paris. The plenary recommended that all countries designate virtual assets service providers (VASPS) as accountable persons subject to AML/CFT regulations. The FIA has since taken steps to have the schedule of accountable persons amended and the board approved advice to the Minister to amend this schedule in accordance with the law. 1 request for information sharing and exchange from FIU NCA UK was received and responded to.	

##### Reasons for Variation in performance

No variation

<b>Total</b>	<b>0</b>
Wage Recurrent	0
Non Wage Recurrent	0
AIA	0

##### Output: 02 Financial Intelligence Research and Strategic Development

# Vote:129 Financial Intelligence Authority (FIA)

## QUARTER 2: Outputs and Expenditure in Quarter

Outputs Planned in Quarter	Actual Outputs Achieved in Quarter	Expenditures incurred in the Quarter to deliver outputs	US\$ Thousand
Undertake the typology studies of reporting entities on AML/CFT. Engage the stakeholders to review progress of implementation of NRA and MER recommendations. Produce FIA quarterly performance reports. Undertake public awareness campaigns and trainings of stakeholders	<p>Inaugural meetings between FIA, National Gaming Board and UBOS have been held as part of the process to conduct typology study on sports betting.</p> <p>Developed sets of questionnaires for the respective target respondents</p> <p>Trained 2 institutions in AML/CFT i.e. Dahabshiil Forex Bureau on 27/10/2018, EFC Board members on 05/12/2018</p> <p>The NRA/MER recommendations / Action plan Monitoring and Evaluation tool is being developed in consultation with the Uganda Anti Money Laundering Committee members which will assist FIA in fast tracking the progress of implementing the NRA/MER recommendations</p> <p>First Quarter performance report was produced and submitted to management</p> <p>3 articles were published;</p> <p>The Newvision - FIA's contribution to vision 2040 through NDPII</p> <p>URA -Taxpayer's magazine</p> <p>NRM Liberation day magazine</p>	<p><b>Item</b></p> <p>211103 Allowances</p> <p>221002 Workshops and Seminars</p> <p>221003 Staff Training</p> <p>227002 Travel abroad</p>	<p><b>Spent</b></p> <p>9,031</p> <p>122,059</p> <p>560</p> <p>1,755</p>

### Reasons for Variation in performance

No variation

<b>Total</b>	<b>133,405</b>
Wage Recurrent	0
Non Wage Recurrent	133,405
<i>AIA</i>	0
<b>Total For SubProgramme</b>	<b>133,405</b>
Wage Recurrent	0
Non Wage Recurrent	133,405
<i>AIA</i>	0

### Recurrent Programmes

#### Subprogram: 06 Internal Audit

##### Outputs Provided

#### Output: 03 Development and Management of Internal Audit and Controls

Outputs Planned in Quarter	Actual Outputs Achieved in Quarter	Item	Spent
Undertake a risk based audit of FIAs Internal Control Environment	Q2 audit report ready for management's discussion before issuance to relevant stakeholders.	211103 Allowances	29,880
Publish and disseminate quarterly internal audit reports to eligible stake holders		221003 Staff Training	2,101
Provides assurance on efficiency and effectiveness of FIA in administration of programs		221011 Printing, Stationery, Photocopying and Binding	2,140

### Reasons for Variation in performance



# Vote:129 Financial Intelligence Authority (FIA)

## QUARTER 2: Outputs and Expenditure in Quarter

Outputs Planned in Quarter	Actual Outputs Achieved in Quarter	Expenditures incurred in the Quarter to deliver outputs	UShs Thousand
No variation			
		<b>Total</b>	<b>34,121</b>
		Wage Recurrent	0
		Non Wage Recurrent	34,121
		AIA	0
		<b>Total For SubProgramme</b>	<b>34,121</b>
		Wage Recurrent	0
		Non Wage Recurrent	34,121
		AIA	0
<i>Development Projects</i>			
<b>Project: 1423 Support to Financial Intelligence Authority</b>			
<i>Capital Purchases</i>			
<b>Output: 77 Purchase of Specialised Machinery &amp; Equipment</b>			
procure computes and photocopiers and other assorted machinery and equipment		<b>Item</b>	<b>Spent</b>
		312202 Machinery and Equipment	128,294
<i>Reasons for Variation in performance</i>			
		<b>Total</b>	<b>128,294</b>
		GoU Development	128,294
		External Financing	0
		AIA	0
<b>Output: 78 Purchase of Office and Residential Furniture and Fittings</b>			
Procure furniture		<b>Item</b>	<b>Spent</b>
		312203 Furniture & Fixtures	35,000
<i>Reasons for Variation in performance</i>			
		<b>Total</b>	<b>35,000</b>
		GoU Development	35,000
		External Financing	0
		AIA	0
		<b>Total For SubProgramme</b>	<b>163,294</b>
		GoU Development	163,294
		External Financing	0
		AIA	0
		<b>GRAND TOTAL</b>	<b>2,861,610</b>
		Wage Recurrent	805,017
		Non Wage Recurrent	1,893,299
		GoU Development	163,294
		External Financing	0
		AIA	0

# Vote:129 Financial Intelligence Authority (FIA)

## QUARTER 3: Revised Workplan

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

	<b>Item</b>	<b>Balance b/f</b>	<b>New Funds</b>	<b>Total</b>
Two onsite inspection conducted	211103 Allowances	20,980	0	20,980
Dissemination of the regulatory guidelines	221003 Staff Training	9,700	0	9,700
one onsite inspections to be conducted	221011 Printing, Stationery, Photocopying and Binding	1,663	0	1,663
Monitoring of the compliance with the matrix by the reporting entities	227001 Travel inland	2,876	0	2,876
	<b>Total</b>	<b>35,218</b>	<b>0</b>	<b>35,218</b>
Identify the compliance gaps within accountable Persons and coordinate the training to support the entities.	<b>Wage Recurrent</b>	<b>0</b>	<b>0</b>	<b>0</b>
	<b>Non Wage Recurrent</b>	<b>35,218</b>	<b>0</b>	<b>35,218</b>
	<b>AIA</b>	<b>0</b>	<b>0</b>	<b>0</b>

### Output: 02 Legal Representation and Litigation

	<b>Item</b>	<b>Balance b/f</b>	<b>New Funds</b>	<b>Total</b>
Disseminate guidelines to accountable persons	211103 Allowances	12,030	0	12,030
Monitor progress of the approval by Cabinet and Parliament	221003 Staff Training	20,000	0	20,000
gazetting of the regulations	221007 Books, Periodicals & Newspapers	460	0	460
	221017 Subscriptions	4,640	0	4,640
	225001 Consultancy Services- Short term	15,000	0	15,000
	<b>Total</b>	<b>52,130</b>	<b>0</b>	<b>52,130</b>
	<b>Wage Recurrent</b>	<b>0</b>	<b>0</b>	<b>0</b>
	<b>Non Wage Recurrent</b>	<b>52,130</b>	<b>0</b>	<b>52,130</b>
	<b>AIA</b>	<b>0</b>	<b>0</b>	<b>0</b>

# Vote:129 Financial Intelligence Authority (FIA)

## QUARTER 3: Revised Workplan

<i>US\$ Thousands</i>	<b>Planned Outputs for the Quarter</b>	<b>Estimated Funds Available in Quarter (from balance brought forward and actual/expected releases)</b>		
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### Subprogram: 03 Operational Analysis

#### Outputs Provided

#### Output: 03 Analysis and Reporting Financial Operations

	<b>Item</b>	<b>Balance b/f</b>	<b>New Funds</b>	<b>Total</b>
Receive suspicious transaction Reports, Large Cash Transaction Reports and cross border declaration of cash and BNI	211103 Allowances	5,915	0	5,915
	221003 Staff Training	1,445	0	1,445
Compile and develop data base and continuous updating of information	221011 Printing, Stationery, Photocopying and Binding	2,700	0	2,700
	224003 Classified Expenditure	6,165	0	6,165
Training of staff	225001 Consultancy Services- Short term	15,000	0	15,000
Receive suspicious transaction Reports, Large Cash Transaction Reports and cross border declaration of cash and BNI	<b>Total</b>	<b>31,226</b>	<b>0</b>	<b>31,226</b>
	<b>Wage Recurrent</b>	<b>0</b>	<b>0</b>	<b>0</b>
Analyzing and coloration of all the reports received and produce intelligence report and disseminate to LEA	<b>Non Wage Recurrent</b>	<b>31,226</b>	<b>0</b>	<b>31,226</b>
	<b>AIA</b>	<b>0</b>	<b>0</b>	<b>0</b>
Compile and develop data base and continuous updating of information				
Engage LEA to enforce parallel financial investigation along side the predicate offences				

#### Training of staff

#### Output: 04 Coordination of AML/CFT enforcement entities

	<b>Item</b>	<b>Balance b/f</b>	<b>New Funds</b>	<b>Total</b>
Stakeholder meetings to address crosscutting AML/CFT Issues	211103 Allowances	32,857	0	32,857
	<b>Total</b>	<b>32,857</b>	<b>0</b>	<b>32,857</b>
	<b>Wage Recurrent</b>	<b>0</b>	<b>0</b>	<b>0</b>
	<b>Non Wage Recurrent</b>	<b>32,857</b>	<b>0</b>	<b>32,857</b>
	<b>AIA</b>	<b>0</b>	<b>0</b>	<b>0</b>

### Subprogram: 04 Information Systems Administration and Security

#### Outputs Provided

#### Output: 05 Ensure safety and integrity of FIA information

	<b>Item</b>	<b>Balance b/f</b>	<b>New Funds</b>	<b>Total</b>
Training of Reporting entities in the use of GoAML electronic Reporting system	221003 Staff Training	11,289	0	11,289
Roll out the financial institutions in a phased manner	221008 Computer supplies and Information Technology (IT)	2,470	0	2,470
Continuous support to users and monitoring the smooth operation of the system	221017 Subscriptions	15,000	0	15,000
	225001 Consultancy Services- Short term	150,086	0	150,086
Continuous support to EGMONT users and monitoring the smooth operation of the system	<b>Total</b>	<b>178,845</b>	<b>0</b>	<b>178,845</b>
	<b>Wage Recurrent</b>	<b>0</b>	<b>0</b>	<b>0</b>
maintenance of the equipment procured	<b>Non Wage Recurrent</b>	<b>178,845</b>	<b>0</b>	<b>178,845</b>
Provide continuous monitoring of the Information security	<b>AIA</b>	<b>0</b>	<b>0</b>	<b>0</b>
training of staff				

# Vote:129 Financial Intelligence Authority (FIA)

## QUARTER 3: Revised Workplan

<i>US\$ Thousands</i>	<b>Planned Outputs for the Quarter</b>	<b>Estimated Funds Available in Quarter (from balance brought forward and actual/expected releases)</b>		
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### *Development Projects*

#### **Program: 59 Policy, International Cooperation and Mutual Legal Assistance**

#### *Recurrent Programmes*

#### **Subprogram: 01 Headquarters**

#### *Outputs Provided*

#### **Output: 04 FIA Support Services and Administration**

	<b>Item</b>	<b>Balance b/f</b>	<b>New Funds</b>	<b>Total</b>
Continuously maintain a help line to receive feedback and attend to general information and maintain computers and IT systems and equipment in sound health through managing SLAs (4 SLAs for voice, power, hardware, software) Procure Internet Services procured (5Mbps)	211102 Contract Staff Salaries (Incl. Casuals, Temporary)	209,881	0	209,881
	211103 Allowances	7,820	0	7,820
	213004 Gratuity Expenses	248,640	0	248,640
Monitoring and safeguarding of the ICT infrastructure against security threats	221003 Staff Training	73,818	0	73,818
	221004 Recruitment Expenses	30,020	0	30,020
Training staff	221006 Commissions and related charges	189,410	0	189,410
Induction of staff	221007 Books, Periodicals & Newspapers	6,260	0	6,260
	221008 Computer supplies and Information Technology (IT)	70,823	0	70,823
Provide for security of staff while at work and protect entitled staff on the way and at home	221012 Small Office Equipment	371	0	371
	223003 Rent – (Produced Assets) to private entities	67,642	0	67,642
Produce financial management reports Ensure proper financial management of FIA funds Ensure that services, goods and works are procured and disposed off as per the PPDA rules and regulations	223004 Guard and Security services	32,839	0	32,839
	223005 Electricity	7,319	0	7,319
	225001 Consultancy Services- Short term	20,000	0	20,000
	226001 Insurances	86,323	0	86,323
Provide assorted office requirements for all staff	227001 Travel inland	12,000	0	12,000
	227002 Travel abroad	16,696	0	16,696
	228002 Maintenance - Vehicles	37,600	0	37,600
<b>Total</b>		<b>1,117,462</b>	<b>0</b>	<b>1,117,462</b>
<b>Wage Recurrent</b>		<b>209,881</b>	<b>0</b>	<b>209,881</b>
<b>Non Wage Recurrent</b>		<b>907,581</b>	<b>0</b>	<b>907,581</b>
<b>AIA</b>		<b>0</b>	<b>0</b>	<b>0</b>

# Vote:129 Financial Intelligence Authority (FIA)

## QUARTER 3: Revised Workplan

<i>US\$ Thousands</i>	<b>Planned Outputs for the Quarter</b>	<b>Estimated Funds Available in Quarter (from balance brought forward and actual/expected releases)</b>		
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### Subprogram: 05 International Relations and Strategic Analysis

#### Outputs Provided

#### Output: 02 Financial Intelligence Research and Strategic Development

	<b>Item</b>	<b>Balance b/f</b>	<b>New Funds</b>	<b>Total</b>
Produce a typology report	211103 Allowances	6,769	0	6,769
Engage the stakeholders to review progress of implementation of NRA and MER recommendations.	221002 Workshops and Seminars	236,900	0	236,900
Produce FIA quarterly performance reports	221003 Staff Training	19,223	0	19,223
Undertake public awareness campaigns and trainings of stakeholders	225001 Consultancy Services- Short term	25,000	0	25,000
	227002 Travel abroad	7,696	0	7,696
Training of reporting entities on AML/CFT	<b>Total</b>	<b>295,587</b>	<b>0</b>	<b>295,587</b>
	<b>Wage Recurrent</b>	<b>0</b>	<b>0</b>	<b>0</b>
	<b>Non Wage Recurrent</b>	<b>295,587</b>	<b>0</b>	<b>295,587</b>
	<b>AIA</b>	<b>0</b>	<b>0</b>	<b>0</b>

### Subprogram: 06 Internal Audit

#### Outputs Provided

#### Output: 03 Development and Management of Internal Audit and Controls

	<b>Item</b>	<b>Balance b/f</b>	<b>New Funds</b>	<b>Total</b>
Undertake a risk based audit of FIAs Internal Control Environment	211103 Allowances	12,620	0	12,620
Publish and disseminate quarterly internal audit reports to eligible stake holders	221003 Staff Training	31,899	0	31,899
Provides assurance on efficiency and effectiveness of FIA in administration of programs	221011 Printing, Stationery, Photocopying and Binding	1,860	0	1,860
	221017 Subscriptions	5,000	0	5,000
	<b>Total</b>	<b>51,379</b>	<b>0</b>	<b>51,379</b>
	<b>Wage Recurrent</b>	<b>0</b>	<b>0</b>	<b>0</b>
	<b>Non Wage Recurrent</b>	<b>51,379</b>	<b>0</b>	<b>51,379</b>
	<b>AIA</b>	<b>0</b>	<b>0</b>	<b>0</b>

#### Development Projects

### Project: 1423 Support to Financial Intelligence Authority

#### Capital Purchases

#### Output: 77 Purchase of Specialised Machinery & Equipment

	<b>Item</b>	<b>Balance b/f</b>	<b>New Funds</b>	<b>Total</b>
procure computes and photocopiers and other assorted machinery and equipment	312202 Machinery and Equipment	46,413	0	46,413
	<b>Total</b>	<b>46,413</b>	<b>0</b>	<b>46,413</b>
	<b>GoU Development</b>	<b>46,413</b>	<b>0</b>	<b>46,413</b>
	<b>External Financing</b>	<b>0</b>	<b>0</b>	<b>0</b>
	<b>AIA</b>	<b>0</b>	<b>0</b>	<b>0</b>

#### Output: 78 Purchase of Office and Residential Furniture and Fittings

procure furniture

Vote:129 Financial Intelligence Authority (FIA)

QUARTER 3: Revised Workplan

<i>UShs Thousand</i>	Planned Outputs for the Quarter	Estimated Funds Available in Quarter (from balance brought forward and actual/expected releaes)			
		GRAND TOTAL	1,841,117	0	1,841,117
		Wage Recurrent	209,881	0	209,881
		Non Wage Recurrent	1,584,823	0	1,584,823
		GoU Development	46,413	0	46,413
		External Financing	0	0	0
		AIA	0	0	0