

# Vote:129

Financial Intelligence Authority (FIA)

## QUARTER 4: Highlights of Vote Performance

### V1: Summary of Issues in Budget Execution

Table V1.1: Overview of Vote Expenditures (US\$ Billion)

	Approved Budget	Cashlimits by End Q4	Released by End Q 4	Spent by End Q4	% Budget Released	% Budget Spent	% Releases Spent
Recurrent Wage	3.477	3.477	3.477	3.274	100.0%	94.1%	94.1%
Non Wage	8.347	8.347	8.347	8.347	100.0%	100.0%	100.0%
Devt. GoU	0.465	0.409	0.387	0.387	83.2%	83.2%	100.1%
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>12.234</b>	<b>12.211</b>	<b>12.008</b>	<b>99.4%</b>	<b>97.7%</b>	<b>98.3%</b>
<b>Total GoU+Ext Fin (MTEF)</b>	<b>12.290</b>	<b>12.234</b>	<b>12.211</b>	<b>12.008</b>	<b>99.4%</b>	<b>97.7%</b>	<b>98.3%</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>12.444</b>	<b>12.421</b>	<b>12.218</b>	<b>99.4%</b>	<b>97.7%</b>	<b>98.4%</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>12.444</b>	<b>12.421</b>	<b>12.218</b>	<b>99.4%</b>	<b>97.7%</b>	<b>98.4%</b>
<b>Total Vote Budget Excluding Arrears</b>	<b>12.290</b>	<b>12.234</b>	<b>12.211</b>	<b>12.008</b>	<b>99.4%</b>	<b>97.7%</b>	<b>98.3%</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	2.88	2.88	100.0%	100.0%	100.0%
Program: 1459 Policy, International Cooperation and Mutual Legal Assistance	9.41	9.33	9.13	99.2%	97.0%	97.8%
<b>Total for Vote</b>	<b>12.29</b>	<b>12.21</b>	<b>12.01</b>	<b>99.4%</b>	<b>97.7%</b>	<b>98.3%</b>

### Matters to note in budget execution

# Vote:129 Financial Intelligence Authority (FIA)

## QUARTER 4: Highlights of Vote Performance

Under program 1458 Prevention of ML/FT, Prosecution and confiscation of proceeds of crime, 11.5% of funds released was not spent. One of the Staff Mr Kayongo James (RIP) passed on. He was the Director IT and Security. So funds that accrue as benefits to this post could not be expensed.

b) Under program 1459 Policy, International Cooperation and Mutual Legal Assistance, there was 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)**

No Data Found
<i>(ii) Expenditures in excess of the original approved budget</i>
Program 1458 Prevention of ML/CFT, Prosecution and confiscation of proceeds of crime

## V2: Performance Highlights

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

Programme : 58 Prevention of ML/CFT, Prosecution and confiscation of proceeds of crime			
Responsible Officer: Sydney Asubo			
Programme Outcome: Improved compliance to Anti Money Laundering rules and regulations			
Sector Outcomes contributed to by the Programme Outcome			
1 .Sustainable Macroeconomic Stability			
Programme Outcome Indicators	Indicator Measure	Planned 2018/19	Actuals By END Q4
Level of awareness of targeted entities	Percentage	50%	46%

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Financial Intelligence Authority (FIA)

## QUARTER 4: Highlights of Vote Performance

### Table V2.2: Key Vote Output Indicators\*

#### Performance highlights for the Quarter

During this quarter, 226 STRs were received against a target of 120 representing 188% performance and above the 121 STRs received during the previous quarter. Of the 226 STRs, 191 STRs were received Banks, 27 from Forex Bureaus, 3 from Credit Institutions, 2 from Telecom Companies and 1 from Microfinance Deposit Taking Institutions, 12 STRs were analysed and closed, 29 STRs were disseminated and 174 STRs are still undergoing further analysis. Conducted 6 financial due diligence on investors intending to partner with government in infrastructure projects. All financial institutions filed LCTRs as required by law. These LCTRs were reviewed and 31 suspicious cases were identified for further management.

Cumulatively, by end Q4, a total of 535 STRs were received against a target of 480 representing 111% performance. Of the 535 STRs, 455 STRs were received from Banks and 69 from Forex Bureaus, 4 from Credit Institutions, 3 from Telecom Companies, 3 from Asset Management Company and 1 from Microfinance Deposit Taking Institutions. 77 STRs were analysed and closed, 68 STRs were disseminated and 379 STRs are still undergoing further analysis. Conducted 45 financial due diligence on investors intending to partner with government in infrastructure projects. FIA exchanged information with Financial Intelligence Unit (FIU) of Sudan and FIU - Italy about a Fraud and Money laundering case that is under investigation. FIA sent out 4 requests for information to other FIUS, i.e. FIU Somalia, FIU Vietnam, FIU Mozambique, FIC South Africa, FIU NCA of United Kingdom on the Fraud and Money Laundering cases that are being investigated. All financial institutions filed LCTRs as required by law. These LCTRs were reviewed and 91 suspicious cases were identified for further management. 18 CBR and BNIs were received from entry/exit borders specifically from Entebbe Airport - Customs - URA

Conducted AML/CFT public awareness in various regions of Uganda where we reached out to over 1000 citizens. The districts included Jinja, Mbarara, Mbale, Arua and Kampala. Other districts and regions to be considered in the next quarter

Conducted training for various institutions including representatives from Law Enforcement Agencies (LEAs) and accountable persons such as banks, telecom companies and regulators on their AML/CFT obligations, strategies for strengthening Uganda's AML/CFT framework. Over 300 participants have been trained in various AML/CFT components in order to increase their knowledge and skills

#### Law Suits/Pending Legal matters against the FIA

i. Sundus & Others vs FIA - The application for judicial review of the FIA's decision to freeze the accounts of the applicants in accordance with the Anti-Terrorism Act, 2017 was dismissed with costs on 27th August 2018.

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- i. Palmfox Ltd vs DFCU, BOU, FIA - Palmfox Ltd added the FIA as a party to a suit it filed against DFCU and BOU following closure of its accounts which were associated with D9 - a pyramid scheme. The FIA was added as a party to the suit. The ED FIA swore an affidavit denying liability, and praying for dismissal of the suit for failure to disclose a cause of action against the FIA.
- i. **Smart Protus Magara vs FIA Misc. Cause No. 215/2018 - Notice of Appeal.** Smart Protus Magara being dissatisfied with the ruling of the Honourable Justice Ssekaana Musa given on the 7th day of March, 2019 filed a notice of Appeal in the High Court. The Appellant intends to appeal against the whole Ruling
- i. **Smart Protus Magara v FIA Miscellaneous Application No.244 of 2019.** The Applicant filed an application for an Interim order of stay of execution restraining the Respondent, its servant/agents or any person acting on its behalf from executing or enforcing the decision in Miscellaneous cause No. 215 of 2018 in the High Court.

The matter came up for final disposal on 9th April, 2019 before Her Worship Flavia Nabakooza. Court granted an interim order of stay of execution restraining the Respondent, its servants, officers or agents and/or any other person from executing and or enforcing the ruling and orders of the High Court in Miscellaneous Cause No. 215 of 2018

## 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
<b>Program 1458 Prevention of ML/CFT, Prosecution and confiscation of proceeds of crime</b>	<b>2.88</b>	<b>2.88</b>	<b>2.88</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>
<i>Class: Outputs Provided</i>	<b>2.88</b>	<b>2.88</b>	<b>2.88</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>
145801 Compliance with AML and CFT laws and Regulations	0.27	0.27	0.27	100.0%	100.1%	100.1%
145802 Legal Representation and Litigation	0.11	0.11	0.11	100.0%	99.8%	99.8%
145803 Analysis and Reporting Financial Operations	2.00	2.00	2.00	100.0%	100.0%	100.0%
145804 Coordination of AML/CFT enforcement entities	0.05	0.05	0.05	100.0%	100.0%	100.0%
145805 Ensure safety and integrity of FIA information	0.45	0.45	0.45	100.0%	100.0%	100.0%
<b>Program 1459 Policy, International Cooperation and Mutual Legal Assistance</b>	<b>9.62</b>	<b>9.54</b>	<b>9.34</b>	<b>99.2%</b>	<b>97.1%</b>	<b>97.9%</b>
<i>Class: Outputs Provided</i>	<b>8.94</b>	<b>8.94</b>	<b>8.74</b>	<b>100.0%</b>	<b>97.7%</b>	<b>97.7%</b>
145901 International Mutual Legal Assistance	0.02	0.02	0.02	100.0%	100.0%	100.0%

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<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	0.86	0.86	0.86	100.0%	100.0%	100.0%
145903 Development and Management of Internal Audit and Controls	0.10	0.10	0.10	100.0%	100.0%	100.0%
145904 FIA Support Services and Administration	7.97	7.97	7.77	100.0%	97.4%	97.4%
<b>Class: Capital Purchases</b>	<b>0.47</b>	<b>0.39</b>	<b>0.39</b>	<b>83.2%</b>	<b>83.3%</b>	<b>100.1%</b>
145977 Purchase of Specialised Machinery & Equipment	0.43	0.35	0.35	81.8%	81.9%	100.1%
145978 Purchase of Office and Residential Furniture and Fittings	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>
145999 Arrears	0.21	0.21	0.21	100.0%	100.0%	100.0%
<b>Total for Vote</b>	<b>12.50</b>	<b>12.42</b>	<b>12.22</b>	<b>99.4%</b>	<b>97.7%</b>	<b>98.4%</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
<b>Class: Outputs Provided</b>	<b>11.82</b>	<b>11.82</b>	<b>11.62</b>	100.0%	98.3%	98.3%
211102 Contract Staff Salaries	3.48	3.48	3.27	100.0%	94.1%	94.1%
211103 Allowances (Inc. Casuals, Temporary)	0.44	0.44	0.44	100.0%	100.0%	100.0%
212101 Social Security Contributions	0.35	0.35	0.33	100.0%	94.5%	94.5%
213004 Gratuity Expenses	0.70	0.70	0.70	100.0%	100.0%	100.0%
221001 Advertising and Public Relations	0.02	0.02	0.02	100.0%	100.0%	100.0%
221002 Workshops and Seminars	0.62	0.62	0.62	100.0%	100.0%	100.0%
221003 Staff Training	0.54	0.54	0.54	100.0%	100.0%	100.0%
221004 Recruitment Expenses	0.18	0.18	0.18	100.0%	100.0%	100.0%
221006 Commissions and related charges	0.44	0.44	0.44	100.0%	100.0%	100.0%
221007 Books, Periodicals & Newspapers	0.02	0.02	0.02	100.0%	100.0%	100.0%
221008 Computer supplies and Information Technology (IT)	0.21	0.21	0.21	100.0%	100.0%	100.0%
221009 Welfare and Entertainment	0.33	0.33	0.33	100.0%	100.1%	100.1%
221011 Printing, Stationery, Photocopying and Binding	0.13	0.13	0.12	100.0%	98.9%	98.9%
221012 Small Office Equipment	0.01	0.01	0.01	100.0%	100.0%	100.0%
221017 Subscriptions	0.34	0.34	0.35	100.0%	105.9%	105.9%
222001 Telecommunications	0.04	0.04	0.04	100.0%	100.0%	100.0%
223003 Rent – (Produced Assets) to private entities	0.75	0.75	0.75	100.0%	100.0%	100.0%
223004 Guard and Security services	0.17	0.17	0.17	100.0%	100.0%	100.0%
223005 Electricity	0.07	0.07	0.07	100.0%	100.0%	100.0%
224003 Classified Expenditure	1.78	1.78	1.78	100.0%	100.0%	100.0%
224004 Cleaning and Sanitation	0.04	0.04	0.04	100.0%	100.0%	100.0%
225001 Consultancy Services- Short term	0.38	0.38	0.38	100.0%	100.0%	100.0%
226001 Insurances	0.18	0.18	0.18	100.0%	100.0%	100.0%
227001 Travel inland	0.07	0.07	0.07	100.0%	100.0%	100.0%

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227002 Travel abroad	0.22	0.22	0.22	100.0%	100.0%	100.0%
227004 Fuel, Lubricants and Oils	0.30	0.30	0.30	100.0%	100.0%	100.0%
228002 Maintenance - Vehicles	0.05	0.05	0.05	100.0%	100.0%	100.0%
<b>Class: Capital Purchases</b>	<b>0.47</b>	<b>0.39</b>	<b>0.39</b>	83.2%	83.3%	100.1%
312202 Machinery and Equipment	0.43	0.35	0.35	81.8%	81.9%	100.1%
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>	100.0%	100.0%	100.0%
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>12.42</b>	<b>12.22</b>	99.4%	97.7%	98.4%

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

<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>2.88</b>	<b>2.88</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>
<i>Recurrent SubProgrammes</i>						
02 Legal, Inspection and Compliance	0.38	0.38	0.38	100.0%	100.0%	100.0%
03 Operational Analysis	2.05	2.05	2.05	100.0%	100.0%	100.0%
04 Information Systems Administration and Security	0.45	0.45	0.45	100.0%	100.0%	100.0%
<b>Program 1459 Policy, International Cooperation and Mutual Legal Assistance</b>	<b>9.62</b>	<b>9.54</b>	<b>9.34</b>	<b>99.2%</b>	<b>97.1%</b>	<b>97.9%</b>
<i>Recurrent SubProgrammes</i>						
01 Headquarters	8.18	8.18	7.98	100.0%	97.5%	97.5%
05 International Relations and Strategic Analysis	0.87	0.87	0.87	100.0%	100.0%	100.0%
06 Internal Audit	0.10	0.10	0.10	100.0%	100.0%	100.0%
<i>Development Projects</i>						
1423 Support to Financial Intelligence Authority	0.47	0.39	0.39	83.2%	83.3%	100.1%
<b>Total for Vote</b>	<b>12.50</b>	<b>12.42</b>	<b>12.22</b>	<b>99.4%</b>	<b>97.7%</b>	<b>98.4%</b>

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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## Financial Intelligence Authority (FIA)

### QUARTER 4: 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
<b>Program: 58 Prevention of ML/CFT, Prosecution and confiscation of proceeds of crime</b>			
<i>Recurrent Programmes</i>			
<b>Subprogram: 02 Legal, Inspection and Compliance</b>			
<i>Outputs Provided</i>			
<b>Output: 01 Compliance with AML and CFT laws and Regulations</b>			
Conduct public awareness to ensure compliance with AML/CFT requirements	By end of Q4, a total of 2,126 participants had been trained in AML/CFT . These included members from various sectors, institutions across the country.	<b>Item</b>	<b>Spent</b>
AML/CFT supervision guidelines to regulatory authorities issued	By end of Q4, FIA had issued various guidelines;	211103 Allowances (Inc. Casuals, Temporary)	180,180
Undertake supervision of non-regulated sectors to enforce AML/CFT compliance	The Ernest & Young legal opinion on Regulation 19(I)(vii), 20(1)(g) on the requirement of both a sample signature and thumb print to verify the identity of a natural person, Regulation 21(2)(a) on how to compare incorporation documents by the accountable person, Regulation 22(2)(e) on how to obtain information as to the nature and effectiveness of the anti-money laundering and counter terrorism financing control measures used by a foreign entity , Regulation (22) (3)(a) on the difficulty of obtaining information from banks in a bid to verify particulars obtained in respect of a foreign company.	221003 Staff Training	40,000
Risk based AML compliance programs for sectors where there are no regulators established	Legal opinion to MTN on section 8(1) of the AMLA and regulation 39(3) of the AML Regulations on reporting and submission large cash transactions reports	221011 Printing, Stationery, Photocopying and Binding	10,000
AML/CFT onsite undertaken	Legal opinion to Africa Gold refinery on their obligations as an accountable person.	227001 Travel inland	40,000
	Legal opinion to Stanbic bank on Regulation 15, 29(2) of the Anti-money laundering Regulations and Section 6(g) (v) of the Anti-money laundering Act on Senior management approval for establishing business relationships for high risk customers		
	Review of the different reports from accountable persons. A number of reports such as; the AML/CFT policies, Annual Compliance reports and risk assessment reports on AML /CFT were submitted by four accountable persons and are currently under review for quality assurance		
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	A number of reports from the different accountable persons were received by FIA and are currently under review by Inspection and Compliance officers for quality assurance. These include; the		

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## QUARTER 4: Cumulative Outputs and Expenditure by End of Quarter

AML/CFT policies, annual compliance reports, risk assessment reports, independent audit reports on AML /CFT among others. In a bid to ensure compliance, preparation of a number of opinions was done during this period such as the Barclays Bank opinion on S.8 (3) of the AMLA, MMAKS Advocates Opinion on Registration, DTB Opinion on Local/domestic PEP Lists  
N/A  
N/A  
By end of Q4, 18 on sight inspections for AML/CFT compliance on a risk based approach had been conducted

### Reasons for Variation in performance

<b>Total</b>	<b>270,180</b>
Wage Recurrent	0
Non Wage Recurrent	270,180
<i>AIA</i>	0

### Output: 02 Legal Representation and Litigation

Procedures to enforce administrative sanctions established

Existing gaps in the current AML/CFT legislations addressed

AMLA regulations 2015 reviewed, amended and revoked to ensure compliance and to meet FATF standards

By end of Q4, The amendment bill (S.38 1(b) of AMLA 2013) was presented in parliament for the first and second reading during this quarter and approval is expected on the third reading.  
By the end of this quarter, FIA Legal had tracked all law suits as indicated below;  
I. Sundus & Others vs FIA –  
The application for judicial review of the FIA's decision to freeze the accounts of the applicants in accordance with the Anti-Terrorism Act, 2017 was dismissed with costs on 27th August 2018.

Item	Spent
211103 Allowances (Inc. Casuals, Temporary)	19,820
221003 Staff Training	60,000
221007 Books, Periodicals & Newspapers	5,000
221017 Subscriptions	5,000
225001 Consultancy Services- Short term	20,000

### Reasons for Variation in performance

<b>Total</b>	<b>109,820</b>
Wage Recurrent	0
Non Wage Recurrent	109,820
<i>AIA</i>	0
<b>Total For SubProgramme</b>	<b>380,000</b>
Wage Recurrent	0
Non Wage Recurrent	380,000
<i>AIA</i>	0

### Recurrent Programmes

### Subprogram: 03 Operational Analysis



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## QUARTER 4: 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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### Outputs Provided

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

Intelligence reports disseminated to Law Enforcement Agencies	By end of Q4, Intelligence reports were disseminated to law enforcement agencies for further investigation disaggregated as follows; Uganda Police Force (CIID) 47, Uganda Revenue Authority for tax evasion 35 reports, Uganda Police Force Counter Terrorism Unit 05, ISO & CMI Fraud, Espionage 2, Directorate of Public Prosecutions - Money Laundering 02 cases, and Internal Security Organisation Terrorist Financing 01	Item	Spent
Specialized skills in financial analysis and investigations developed		211103 Allowances (Inc. Casuals, Temporary)	40,000
Specialized skills in financial analysis and investigations developed		221003 Staff Training	47,114
Data base of AML/CFT statistics developed		221009 Welfare and Entertainment	72,886
Data base of AML/CFT statistics developed		221011 Printing, Stationery, Photocopying and Binding	10,000
Improved collection, Analysis and dissemination of information to competent Authorities		224003 Classified Expenditure	1,780,000
Improved collection, Analysis and dissemination of information to competent Authorities		225001 Consultancy Services- Short term	50,000
Parallel ML/TF financial investigations initiated	<p>By end of Q4, All staff has trained in various fields aimed enhancing their skills in AML/CFT as highlighted below; All staff were trained in various fields as indicated below;</p> <ol style="list-style-type: none"> <li>1. Anti-Money Laundering Strategies at the African Training Institute, Pretoria South Africa</li> <li>2. Advanced Fraud Examiners training at ESAMI Headquarters in Arusha, Tanzania</li> <li>3. Advanced Tactical/Operational Analysis training organized by SUGAR-TAF</li> <li>4. Training on Anti-Money Laundering: Current Trends, Prosecutions, and the Challenges around Crypto-currencies held at the African Tax Crime Academy – Nairobi</li> <li>5. EU AML/CFT Information Exchange on Financial Crimes Risks from Human beings trafficking Conference at Serena Lake Victoria, Entebbe. It was organized by the EU AML/CFT Project for the Greater Horn of Africa and had participants from 10 African Countries and Yemen</li> <li>6. Training in Activity Based Budgeting in Public Sector Management ESAMI-Eswatini</li> <li>7. Training on Drug and Crimes organized by UNODC delivered at Entebbe</li> <li>6. ACAMS online course pending examinations</li> <li>7. Training on AML and Asset Recovery</li> <li>8. Mapping Uganda's AML/CFT regulatory landscape and drafting sector guidance Notes on AML/CFT Compliance</li> <li>9. Enhancing collaboration with Law Enforcement and Intelligence Agencies</li> <li>10. Forensics and Cyber Crime Investigation training in Arusha,</li> </ol>		

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Tanzania.

11. Strategic Trade Controls, Sanctions and Counter Proliferation Finance at Sheraton Hotel organized by the Rand Corporation and the USA Embassy

12. Developing skills in drafting and development of sector specific AML/CFT guidelines.”

13. Enhancing coordination and cooperation among Law enforcement and Intelligence agencies in the fight against Money Laundering and Terrorist Financing

Updated 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

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 of Q4, the 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, 91 suspicious cases were identified for further management. By end Q4, a total of 535 STRs were received against a target of 480 representing 111% performance. Of the 535 STRs, 455 STRs were received from Banks and 69 from Forex Bureaus, 4 from Credit Institutions, 3 from Telecom Companies, 3 from Asset Management Company and 1 from Microfinance Deposit Taking Institutions.

77 STRs were analysed and closed, 68 STRs were disseminated and 379 STRs are still undergoing further analysis. Conducted 45 financial due diligence on investors intending to partner with government in infrastructure projects. FIA exchanged information with Financial Intelligence Unit (FIU) of Sudan

FIU - Italy about a Fraud and Money laundering case that is under investigation. FIA sent out 4 requests for information to other FIUs, i.e. FIU Somalia, FIU Vietnam, FIU Mozambique, FIC South Africa, FIU NCA of United Kingdom on the Fraud

# Vote:129 Financial Intelligence Authority (FIA)

## QUARTER 4: Cumulative Outputs and Expenditure by End of Quarter

and Money Laundering cases that are being investigated. All financial institutions filed LCTRs as required by law. These LCTRs were reviewed and 91 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

	<b>Total</b>	<b>2,000,000</b>
Wage Recurrent		0
Non Wage Recurrent		2,000,000
	<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

Item	Spent
211103 Allowances (Inc. Casuals, Temporary)	50,000

### Reasons for Variation in performance

	<b>Total</b>	<b>50,000</b>
Wage Recurrent		0
Non Wage Recurrent		50,000
	<b>AIA</b>	<b>0</b>
<b>Total For SubProgramme</b>		<b>2,050,000</b>
Wage Recurrent		0
Non Wage Recurrent		2,050,000
	<b>AIA</b>	<b>0</b>

### 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	By end of Q4, system tests had been conducted on the computer dedicated to handle Egmont information	221003 Staff Training	74,000
Capacity building of staff	By end of Q4, the 3 IT staff had been trained in various IT systems	221008 Computer supplies and Information Technology (IT)	101,000
Information Security of the goAML infrastructure Strengthened	By end of Q4, FIA had implemented more recommendations of the NISF report to enhance IT security as follows;	221017 Subscriptions	25,000
GoAML electronic reporting system installed	Procured and installed two secure CISCO WiFi devices to allow for seamless wireless connection within every area of the office on secure channels. The former WiFi devices had security loopholes that are currently addressed by the newly	225001 Consultancy Services- Short term	250,000
IT equipment procured			
GoAML operations supported			
Reporting entities trained on the use of GoAML electric reporting system			

# Vote:129 Financial Intelligence Authority (FIA)

## QUARTER 4: Cumulative Outputs and Expenditure by End of Quarter

procured CISCO WiFi devices.

A Network Penetration test was carried out from 7th – 21st June 2019. This was a planned program of security assessments, penetration tests and security configuration reviews on the FIA's systems, networks and the goAML application with the purpose of examining and ultimately improving the information security posture of the IT infrastructure. The outcome was a detailed report comprising possible risks and suitable recommendations for achieving an improved Information security posture at the FIA.

Procured and installed Kaspersky end point security. Security of key data on laptops, desktops and servers is paramount hence the requirement of an antivirus to ensure that data loss due to malware, viruses, worms, Trojan horses and other attacks is prevented. The Kaspersky end point security was installed and configured successfully on all FIA laptops, computers and servers with hard disk encryption algorithms. Weekly reports generated by Kaspersky on the state of security are submitted to Top management. Network segmentation was implemented. Re-designed the network to provide for segmentation and segregation of traffic according to the peculiar requirements at the different user departments.

Quality of services in border inline equipment, deployed standard tools to ensure security of the IT network and acceptable Quality of Service (QoS) for FIA switches, routers and the firewalls. By the end of Q4, The goAML electronic system had been rolled out to all banks and telecoms. The bank and telecom staff system users had also been trained

By end of Q4, all Banks and telecoms MLCOs and IT staff had been trained on enhanced comprehensive usage of the functionalities of the goAML systems. By end of Q4, the goAML system users in the entire banking and telecom sector had been trained on report submissions, System registration, Security features, Message board use and Feedback from the initial pilot banks. This was aimed at harnessing system issues and increasing its usage

*Reasons for Variation in performance*

# Vote:129 Financial Intelligence Authority (FIA)

## QUARTER 4: 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
		<b>Total</b>	<b>450,000</b>
		Wage Recurrent	0
		Non Wage Recurrent	450,000
		AIA	0
		<b>Total For SubProgramme</b>	<b>450,000</b>
		Wage Recurrent	0
		Non Wage Recurrent	450,000
		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 Q4, helpine equipment was procured pending installation. Preventive maintenance services were carried out on laptops, computers, servers, printers, shredders, switches and routers. This was to ensure optimum performance of the devices.	211102 Contract Staff Salaries	3,273,604
Strengthened staff capacity	• Memory upgrades were installed for 16 laptops and 3 servers. This was to ensure increased processing speed of the laptops and servers due to increasing resource requirements.	211103 Allowances (Inc. Casuals, Temporary)	65,894
Corporate governance standards maintained	• Continued support and troubleshooting of User issues regards email, printing and software applications.	212101 Social Security Contributions	328,640
FIA ICT infrastructure safeguarded against evolving National and International Security threats	By end of Q4, a total of 15 staff had been trained in various fields	213004 Gratuity Expenses	695,280
Physical security of Staff and premises effectively secured	By end of Q4, NRA/MER action plan M&E tool was being implemented by various agencies	221001 Advertising and Public Relations	16,800
Financial reporting and procurement systems established	By end of Q4, FIA had	221003 Staff Training	200,000
Office operations facilitated	•Procured and installed of two secure CISCO WiFi devices to allow for seamless wireless connection within every area of the office on secure channels. The former WiFi devices had security loopholes that are currently addressed by the newly procured CISCO WiFi devices.	221004 Recruitment Expenses	180,000
Competent staff recruited	•A Network Penetration test was carried out from 7th – 21st June 2019. This was a planned program of security assessments, penetration tests and security configuration reviews on the FIA's systems, networks and the goAML application with the purpose of	221006 Commissions and related charges	444,820
		221007 Books, Periodicals & Newspapers	10,000
		221008 Computer supplies and Information Technology (IT)	109,000
		221009 Welfare and Entertainment	260,300
		221011 Printing, Stationery, Photocopying and Binding	98,584
		221012 Small Office Equipment	14,000
		221017 Subscriptions	319,881
		222001 Telecommunications	40,000
		223003 Rent – (Produced Assets) to private entities	752,400
		223004 Guard and Security services	170,160
		223005 Electricity	72,000
		224004 Cleaning and Sanitation	36,000
		225001 Consultancy Services- Short term	25,000
		226001 Insurances	182,400
		227001 Travel inland	25,720
		227002 Travel abroad	100,000

# Vote:129 Financial Intelligence Authority (FIA)

## QUARTER 4: Cumulative Outputs and Expenditure by End of Quarter

examining and ultimately improving the information security posture of the IT infrastructure. The outcome was a detailed report comprising possible risks and suitable recommendations for achieving an improved Information security posture at the FIA.	227004 Fuel, Lubricants and Oils	300,000
<ul style="list-style-type: none"> <li>•Procurement and Installation of Kaspersky end point security. Security of key data on laptops, desktops and servers is paramount hence the requirement of an antivirus to ensure that data loss due to malware, viruses, worms, Trojan horses and other attacks is prevented. The Kaspersky end point security was installed and configured successfully on all FIA laptops, computers and servers with hard disk encryption algorithms. Weekly reports generated by Kaspersky on the state of security are submitted to Top management.</li> <li>•Network segmentation, Re-design the network to provide for segmentation and segregation of traffic according to the peculiar requirements at the different user departments.</li> <li>•Quality of services in border inline equipment , deployed standard tools to ensure security of the IT network and acceptable Quality of Service (QoS) for FIA switches, routers and the firewalls.</li> </ul>	228002 Maintenance - Vehicles	50,000
By end of Q4, 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		
By end of Q4, all financial managements reports had been produced. All FIA funds properly accounted. All procurements conducted as per the PPDA procedures, rules and regulations		
By end of Q4, all staff were being provided with office stationery and other office tools		
No staff recruitment was done		

### Reasons for Variation in performance

	<b>Total</b>	<b>7,770,483</b>
	Wage Recurrent	3,273,604
	Non Wage Recurrent	4,496,879
	<i>AIA</i>	0
<i>Arrears</i>		
	<b>Total For SubProgramme</b>	<b>7,770,483</b>
	Wage Recurrent	3,273,604
	Non Wage Recurrent	4,496,879

# Vote:129 Financial Intelligence Authority (FIA)

## QUARTER 4: 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

### Recurrent Programmes

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

##### Outputs Provided

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

	Item	Spent
FIA admitted in EGMONT Group of FIUs.	227002 Travel abroad	15,000
Mutual Evaluation Report recommendations coordinated and implemented		
Reports on international Engagements. Information exchanged with other jurisdictions		
	By end of Q4, Amendment Bill for S.38 (1)(b) of the AMLA, 2013 to remove any restrictions on international cooperation and exchange of information was presented to parliament for first and second reading	
	By the end of Q4, FIA had maintained Uganda's AML/CFT compliance framework re-ratings which indicated improved AML/CFT framework on 13/16 areas.	
	By end of Q4, 5 members of top management from FIA had attended and participated in ESAAMLG (5) and FATF plenary (2) meetings.	
	By end of Q4, 6 requests for information had been received and responded to by FIA. And FIA, Uganda made 4 requests for information from various jurisdictions	

##### Reasons for Variation in performance

<b>Total</b>	<b>15,000</b>
Wage Recurrent	0
Non Wage Recurrent	15,000
AIA	0

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

	Item	Spent
Typologies/trends analysis studies produced	211103 Allowances (Inc. Casuals, Temporary)	25,000
Reporting entities and other stakeholders trained in AML/CFT.	221002 Workshops and Seminars	620,000
Communication strategy for FIA developed	221003 Staff Training	80,000
coordinated mechanism for effective implementation of AML/CFT NRA/MER recommendations developed.	225001 Consultancy Services- Short term	30,000
Reports for FIA Planning and budgeting produced.	227002 Travel abroad	100,000
Increased public awareness on ML/TF		
	By end of Q4, FIA had procured 2 consultants to support in conducting ML/TF typology study on sports betting and NGO sector in Uganda respectively	
	By end of Q4 institutions had been trained on AML/CFT i.e. 30/4/19, trained Board Members of Opportunity Bank on AML/CFT Compliance obligations,	
	24/5/19 – training on Role of FIA in Financial Crime Investigations to 37 Senior Police Officers undergoing the Senior Command and Staff Course at Police Senior Command and Staff College, Bwebajja, 31/5/19 – FIA in conjunction with Ministry of Lands Housing and Urban Development conducted AML/CFT awareness through training of Registrars of land at Imperial Royale Hotel. Over 60 Registrars of land attended the training, 2-3/4/19, coordinated the CWAG/AAP AML/CFT	

# Vote:129 Financial Intelligence Authority (FIA)

## QUARTER 4: Cumulative Outputs and Expenditure by End of Quarter

training at Protea Hotel, Kampala and over 130 participants from LEAs attended, 16/4/19 – Conducted training for management of Airtel in AML/CFT at their Head period Offices (15 members attended), 4/5/19 – Conducted training of staff of Dollar House at their Head offices located at Uganda House (22 members attend), 13/5/19 – engaged 20 participants of LEAs through a Roundtable discussion in conjunction with Global Centre on Cooperative Security at Protea about Uganda's status on the effectiveness of the AML/CFT framework in Uganda, 14-16/5/19 conducted the AML/CFT training of LEAs at Protea Hotel facilitated by GCCS with the objective of developing skills and knowledge in generating supervision guidelines for particular sectors. 50 participants attended this training, 23/5/19-20 representatives from various CSOs based in Western Uganda organized by Defenders Protection Initiative (DPI) a NGO were trained on AML/CFT NGO obligations as accountable persons, 26-28/6/19 – trained Law Enforcement Agencies' representatives at Imperial Royale and 60 participants were trained. It was aimed enhancing coordination and cooperation among Law enforcement and Intelligence agencies in the fight against Money Laundering and Terrorist Financing. At the end of the training, participants from various LEAs resolved to cooperate and work together in order to curb ML/TF in Uganda

By end of Q4, NRA/MER recommendations/Action Plan M & E tool was being used by various agencies to report progress on recommendations of the NRA

By end of Q4, Q1, Q2 and Q3 performance reports had been produced and submitted to management

By end of Q4, 7 articles had been published in various platforms e.g. Government handbook on the Manifesto implementation, Annual Bankers' Conference Magazine, Newvision - FIA's contribution to vision 2040 through NDPII URA -Taxpayer's magazine NRM Liberation day magazine and magazine of 26th January 2019, to commemorate the NRM Liberation Day on the achievements of FIA in line with the NRM manifesto

### *Reasons for Variation in performance*



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Financial Intelligence Authority (FIA)

## QUARTER 4: 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
		<b>Total</b>	<b>855,000</b>
		Wage Recurrent	0
		Non Wage Recurrent	855,000
		<i>AIA</i>	0
		<b>Total For SubProgramme</b>	<b>870,000</b>
		Wage Recurrent	0
		Non Wage Recurrent	870,000
		<i>AIA</i>	0

### Recurrent Programmes

#### Subprogram: 06 Internal Audit

#### Outputs Provided

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

Internal Control requirements complied with	By end of Q4, Q3, Q2 and Q1 audit report had been completed and submitted	Item	Spent
		211103 Allowances (Inc. Casuals, Temporary)	56,000
		221003 Staff Training	34,000
		221011 Printing, Stationery, Photocopying and Binding	5,000
		221017 Subscriptions	5,000

### Reasons for Variation in performance

<b>Total</b>	<b>100,000</b>
Wage Recurrent	0
Non Wage Recurrent	100,000
<i>AIA</i>	0
<b>Total For SubProgramme</b>	<b>100,000</b>
Wage Recurrent	0
Non Wage Recurrent	100,000
<i>AIA</i>	0

### Development Projects

#### Project: 1423 Support to Financial Intelligence Authority

#### Capital Purchases

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

# Vote:129 Financial Intelligence Authority (FIA)

## QUARTER 4: 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
Procure specialized machinery and Equipment	A Network Penetration test was carried out from 7th – 21st June 2019. This was a planned program of security assessments, penetration tests and security configuration reviews on the FIA's systems, networks and the goAML application with the purpose of examining and ultimately improving the information security posture of the IT infrastructure. The outcome was a detailed report comprising possible risks and suitable recommendations for achieving an improved Information security posture at the FIA	Item 312202 Machinery and Equipment	Spent 352,244
<i>Reasons for Variation in performance</i>			
			<b>Total 352,244</b>
			GoU Development 352,244
			External Financing 0
			AIA 0
<b>Output: 78 Purchase of Office and Residential Furniture and Fittings</b>			
Purchase of office furniture		Item 312203 Furniture & Fixtures	Spent 35,000
<i>Reasons for Variation in performance</i>			
			<b>Total 35,000</b>
			GoU Development 35,000
			External Financing 0
			AIA 0
			<b>Total For SubProgramme 387,244</b>
			GoU Development 387,244
			External Financing 0
			AIA 0
			<b>GRAND TOTAL 12,007,727</b>
			Wage Recurrent 3,273,604
			Non Wage Recurrent 8,346,879
			GoU Development 387,244
			External Financing 0
			AIA 0

Vote:129 Financial Intelligence Authority (FIA)

QUARTER 4: Outputs and Expenditure in Quarter

Outputs Planned in Quarter	Actual Outputs Achieved in Quarter	Expenditures incurred in the Quarter to deliver outputs	UShs Thousand
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			

# Vote:129 Financial Intelligence Authority (FIA)

## QUARTER 4: Outputs and Expenditure in Quarter

		Item	Spent
Identify the compliance gaps within accountable Persons and coordinate the training to support the entities.monitoring the compliance to the guidelines issuesone onsite inspections to be conductedannual report on the compliance using risk based produced Two onsite inspection conducted	Trained over 979 participants in AML/CFT - disaggregated as follows; 150 participants engaged on AML/CFT during Accountability Sector Regional activities in Bunyoro Sub region in Hoima district, 20 Board members of Opportunity Bank, 37 Senior Police Officers trained on MAL/CFT form Bwebaja training school, 60 Registrars of land and other Ministry of Lands Housing and Urban Development (MLHUD) officials, 260 representatives from LEAs, 15 management staff of Airtel Uganda, 22 staff members of Dollar House, 20 representatives of NGOs in western Uganda, among others During this quarter, guidelines were issued as follows; The Ernest & Young legal opinion on Regulation 19(I)(vii), 20(1)(g) on the requirement of both a sample signature and thumb print to verify the identity of a natural person, Regulation 21(2)(a) on how to compare incorporation documents by the accountable person, Regulation 22(2)(e) on how to obtain information as to the nature and effectiveness of the anti-money laundering and counter terrorism financing control measures used by a foreign entity , Regulation (22) (3)(a) on the difficulty of obtaining information from banks in a bid to verify particulars obtained in respect of a foreign company. Legal opinion to MTN on section 8(1) of the AMLA and regulation 39(3) of the AML Regulations on reporting and submission large cash transactions reports Legal opinion to Africa Gold refinery on their obligations as an accountable person. Legal opinion to Stanbic bank on Regulation 15, 29(2) of the Anti-money laundering Regulations and Section 6(g) (v) of the Anti-money laundering Act on Senior management approval for establishing business relationships for high risk customers Review of the different reports from accountable persons. A number of reports such as; the AML/CFT policies, Annual Compliance reports and risk assessment reports on AML /CFT were submitted by four accountable persons and are currently under review for quality assurance N/A N/A 04 on-site inspections for AML/CFT compliance were conducted on Dollar House Forex Bureau, Finance Trust Bank Limited and Kamwe, Easy Trade and Novo Forex Bureaus . The Forex Bureau were found to be having issues with AML/CFT compliance that needed to be addressed.	211103 Allowances (Inc. Casuals, Temporary) 221003 Staff Training 221011 Printing, Stationery, Photocopying and Binding 227001 Travel inland	58,180 10,000 4,163 7,130

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Financial Intelligence Authority (FIA)

## QUARTER 4: 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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*Reasons for Variation in performance*

<b>Total</b>	<b>79,472</b>
Wage Recurrent	0
Non Wage Recurrent	79,472
<i>AIA</i>	0

**Output: 02 Legal Representation and Litigation**

# Vote:129 Financial Intelligence Authority (FIA)

## QUARTER 4: Outputs and Expenditure in Quarter

Enforce sanctions on non compliance with AMLA Monitor progress of the approval by Cabinet and Parliament Disseminate the regulations		Item	Spent
<p>The amendment bill (S.38 1(b) of AMLA 2013) was presented in parliament for the first and second reading during this quarter and approval is expected on the third reading.</p> <p>During the quarter, I. Sundus &amp; Others vs FIA – The application for judicial review of the FIA’s decision to freeze the accounts of the applicants in accordance with the Anti-Terrorism Act, 2017 was dismissed with costs on 27th August 2018.</p> <p>II. Palmfox Ltd vs DFCU, BOU, FIA – Palmfox Ltd added the FIA as a party to a suit it filed against DFCU and BOU following closure of its accounts which were associated with D9 - a pyramid scheme. The FIA was added as a party to the suit. The ED FIA swore an affidavit denying liability, and praying for dismissal of the suit for failure to disclose a cause of action against the FIA.</p> <p>III. Smart Protus Magara vs FIA Misc. Cause No. 215/2018 – Notice of Appeal Smart Protus Magara being dissatisfied with the ruling of the Honourable Justice Ssekaana Musa given on the 7th day of March, 2019 filed a notice of Appeal in the High Court. The Appellant intends to appeal against the whole Ruling.</p> <p>IV. Smart Protus Magara v FIA Miscellaneous Application No.244 of 2019.</p> <p>The Applicant filed an application for an Interim order of stay of execution restraining the Respondent, its servant/agents or any person acting on its behalf from executing or enforcing the decision in Miscellaneous cause No. 215 of 2018 in the High Court.</p> <p>The matter came up for final disposal on 9th April, 2019 before Her Worship Flavia Nabakooza. Court granted an interim order of stay of execution restraining the Respondent, its servants, officers or agents and/or any other person from executing and or enforcing the ruling and orders of the High Court in Miscellaneous Cause No. 215 of 2018.</p> <p>V. Smart Protus Magara v FIA Miscellaneous Application No.243 of 2019.</p> <p>The Applicant filed the main Application for stay of execution of the judgment and decree of the High Court in Miscellaneous Cause 215 of 2018. The matter came up for hearing on 25th June, 2019 before Hon. Justice Duncan Gaswaga.</p>		211103 Allowances (Inc. Casuals, Temporary)	15,898
		221003 Staff Training	19,925
		221007 Books, Periodicals & Newspapers	1,460
		221017 Subscriptions	1,604
		225001 Consultancy Services- Short term	15,000

# Vote:129 Financial Intelligence Authority (FIA)

## QUARTER 4: 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*

<b>Total</b>	<b>53,887</b>
Wage Recurrent	0
Non Wage Recurrent	53,887
AIA	0
<b>Total For SubProgramme</b>	<b>133,359</b>
Wage Recurrent	0
Non Wage Recurrent	133,359
AIA	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	During this quarter, Intelligence reports were disseminated to law enforcement agencies for further investigation disaggregated as follows; Uganda Revenue Authority 7, Uganda Police Force (CIID) 20 and Police Counter Terrorism Unit 02	<b>Item</b>	<b>Spent</b>
Training of staff		211103 Allowances (Inc. Casuals, Temporary)	22,577
Compile and develop data base and continuous updating of information		221003 Staff Training	5,114
Compile and develop data base and continuous updating of information		221009 Welfare and Entertainment	26,886
Receive suspicious transaction Reports, Large Cash Transaction Reports and cross border declaration of cash and BNI		221011 Printing, Stationery, Photocopying and Binding	5,200
Receive suspicious transaction Reports, Large Cash Transaction Reports and cross border declaration of cash and BNI		224003 Classified Expenditure	119,390
Engage LEA to enforce parallel financial investigation along side the predicate offences	During this quarter, staff were trained in various fields as highlighted below; 1. ACAMS online course pending examinations 2. Training on AML and Asset Recovery 3. Mapping Uganda's AML/CFT regulatory landscape and drafting sector guidance Notes on AML/CFT Compliance  4. Enhancing collaboration with Law Enforcement and Intelligence Agencies 5. Forensics and Cyber Crime Investigation training in Arusha, Tanzania.  6. Strategic Trade Controls, Sanctions and Counter Proliferation Finance at Sheraton Hotel organized by the Rand Corporation and the USA Embassy 7. Developing skills in drafting and development of sector specific AML/CFT guidelines." 8. Enhancing coordination and cooperation among Law enforcement and Intelligence agencies in the fight against Money Laundering and Terrorist Financing	225001 Consultancy Services- Short term	45,000
	Updated statistics of all suspicious transactions, cash and/or monetary transactions and cross-border declarations		

# Vote:129 Financial Intelligence Authority (FIA)

## QUARTER 4: Outputs and Expenditure in Quarter

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. 226 STRs were received against a target of 120 representing 188% performance and above the 121 STRs received during the previous quarter. Of the 226 STRs, 191 STRs were received Banks, 27 from Forex Bureaus, 3 from Credit Institutions, 2 from Telecom Companies and 1 from Microfinance Deposit Taking Institutions

12 STRs were analysed and closed, 29 STRs were disseminated and 174 STRs are still undergoing further analysis. Conducted 6 financial due diligence on investors intending to partner with government in infrastructure projects.

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

### Reasons for Variation in performance

<b>Total</b>	<b>224,167</b>
Wage Recurrent	0
Non Wage Recurrent	224,167
<i>AIA</i>	0

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

Stakeholder meetings to address crosscutting AML/CFT Issues

Item	Spent
211103 Allowances (Inc. Casuals, Temporary)	37,767

### Reasons for Variation in performance

<b>Total</b>	<b>37,767</b>
Wage Recurrent	0
Non Wage Recurrent	37,767



# Vote:129 Financial Intelligence Authority (FIA)

## QUARTER 4: Outputs and Expenditure in Quarter

Outputs Planned in Quarter	Actual Outputs Achieved in Quarter	Expenditures incurred in the Quarter to deliver outputs	US\$ Thousand
		AIA	0
		<b>Total For SubProgramme</b>	<b>261,934</b>
		Wage Recurrent	0
		Non Wage Recurrent	261,934
		AIA	0

### Recurrent Programmes

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

##### Outputs Provided

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

		Item	Spent
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 mannermaintenance of the equipment procured Continuous support to users and monitoring the smooth operation of the system Training of Reporting entities in the use of GoAML electronic Reporting system	Continued with system tests system tests on the computer dedicated to handling Egmont information requests and responses During this quarter, Two IT officers attended a training in Mapping Uganda's AML/CFT framework as well as developing skills in preparation of sector specific guidance notes. During this quarter, Procured and installed two secure CISCO WiFi devices to allow for seamless wireless connection within every area of the office on secure channels. The former WiFi devices had security loopholes that are currently addressed by the newly procured CISCO WiFi devices.	221003 Staff Training	28,445
		221008 Computer supplies and Information Technology (IT)	21,395
		221017 Subscriptions	2,764
		225001 Consultancy Services- Short term	96,721
	A Network Penetration test was carried out from 7th – 21st June 2019. This was a planned program of security assessments, penetration tests and security configuration reviews on the FIA's systems, networks and the goAML application with the purpose of examining and ultimately improving the information security posture of the IT infrastructure. The outcome was a detailed report comprising possible risks and suitable recommendations for achieving an improved Information security posture at the FIA.		
	Procured and installed Kaspersky end point security. Security of key data on laptops, desktops and servers is paramount hence the requirement of an antivirus to ensure that data loss due to malware, viruses, worms, Trojan horses and other attacks is prevented. The Kaspersky end point security was installed and configured successfully on all FIA laptops, computers and servers with hard disk encryption algorithms. Weekly reports generated by Kaspersky on the state of security are submitted to Top management.		

# Vote:129 Financial Intelligence Authority (FIA)

## QUARTER 4: Outputs and Expenditure in Quarter

Network segmentation was implemented. Re-designed the network to provide for segmentation and segregation of traffic according to the peculiar requirements at the different user departments.

Quality of services in border inline equipment , deployed standard tools to ensure security of the IT network and acceptable Quality of Service (QoS) for FIA switches, routers and the firewalls.

The goAML electronic system was rolled out to all banks. The bank staff system users were also trained during this quarter

Carried out sensitisation of all goAML system users(25 banks and 3 telecoms), MLCOs and IT staff on enhanced comprehensive usage of the functionalities of the goAML systems.

During this quarter, a goAML system training was conducted from 5th – 8th June 2019 with the participants comprising the entire Banking sector and the Telecom companies. The training content included: Report submissions, System registration, Security features, Message board use and Feedback from the initial pilot banks. This was aimed at harnessing system issues and increasing its usage

### Reasons for Variation in performance

<b>Total</b>	<b>149,325</b>
Wage Recurrent	0
Non Wage Recurrent	149,325
<i>AIA</i>	0
<b>Total For SubProgramme</b>	<b>149,325</b>
Wage Recurrent	0
Non Wage Recurrent	149,325
<i>AIA</i>	0

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

#### Recurrent Programmes

#### Subprogram: 01 Headquarters

#### Outputs Provided

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

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)	•During this quarter, helpline equipment was procured and it awaits installation. Preventive maintenance services was carried out on laptops, computers, servers, printers, shredders, switches and routers. This was to ensure optimum performance	<b>Item</b>	<b>Spent</b>
		211102 Contract Staff Salaries	1,026,141
		211103 Allowances (Inc. Casuals, Temporary)	10,994
		212101 Social Security Contributions	82,265

# Vote:129 Financial Intelligence Authority (FIA)

## QUARTER 4: Outputs and Expenditure in Quarter

Procure Internet Services procured (5Mbps) Training staff Adherence to Corporate governance standards Monitoring 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 Produce financial management reports	of the devices. 3 IT officers were trained in mapping Uganda's AML/CFT framework as well as developing skills in producing AML/CFT sector specific guidance notes During this quarter, completed development of NRA/MER action plan M&E tool implementation by various agencies begun During this quarter, FIA; •Procured and installed two secure CISCO WiFi devices to allow for seamless wireless connection within the office on secure channels. The former WiFi devices had security loopholes that are currently addressed by the newly procured CISCO WiFi devices. •A Network Penetration test was carried out from 7th – 21st June 2019. This was a planned program of security assessments, penetration tests and security configuration reviews on the FIA's systems, networks and the goAML application with the purpose of examining and ultimately improving the information security posture of the IT infrastructure. The outcome was a detailed report comprising possible risks and suitable recommendations for achieving an improved Information security posture at the FIA. •Procurement and Installation of Kaspersky end point security. Security of key data on laptops, desktops and servers is paramount hence the requirement of an antivirus to ensure that data loss due to malware, viruses, worms, Trojan horses and other attacks is prevented. The Kaspersky end point security was installed and configured successfully on all FIA laptops, computers and servers with hard disk encryption algorithms. Weekly reports generated by Kaspersky on the state of security are submitted to Top management. •Network segmentation, Re-design the network to provide for segmentation and segregation of traffic according to the peculiar requirements at the different user departments. •Quality of services in border inline equipment, deployed standard tools to ensure security of the IT network and acceptable Quality of Service (QoS) for FIA switches, routers and the firewalls. Security provided for all staff at work and 3 top officials of FIA were provided with security on the way and at home. Produced all financial managements reports and all FIA funds properly accounted for. All procurements conducted as per the PPDA procedures,	213004 Gratuity Expenses	596,280
Ensure proper financial management of FIA funds		221001 Advertising and Public Relations	800
Ensure that services, goods and works are procured and disposed off as per the PPDA rules and regulations		221003 Staff Training	10,589
Provide assorted office requirements for all staff		221004 Recruitment Expenses	4,620
		221006 Commissions and related charges	355,431
		221007 Books, Periodicals & Newspapers	4,960
		221008 Computer supplies and Information Technology (IT)	85,690
		221009 Welfare and Entertainment	76,279
		221011 Printing, Stationery, Photocopying and Binding	7,849
		221012 Small Office Equipment	371
		221017 Subscriptions	7,731
		222001 Telecommunications	20,000
		223003 Rent – (Produced Assets) to private entities	102,400
		223004 Guard and Security services	75,739
		223005 Electricity	36,610
		224004 Cleaning and Sanitation	9,000
		225001 Consultancy Services- Short term	25,000
		227001 Travel inland	18,290
		227002 Travel abroad	49,979
		227004 Fuel, Lubricants and Oils	71,700
		228002 Maintenance - Vehicles	37,600

# Vote:129 Financial Intelligence Authority (FIA)

## QUARTER 4: Outputs and Expenditure in Quarter

rules and regulations  
 Provided to staff with the necessary or  
 required office stationery and other office  
 tools/equipment  
 N/A

### Reasons for Variation in performance

	<b>Total</b>	<b>2,716,318</b>
	Wage Recurrent	1,026,141
	Non Wage Recurrent	1,690,177
	<i>AIA</i>	0
Arrears		
	<b>Total For SubProgramme</b>	<b>2,716,318</b>
	Wage Recurrent	1,026,141
	Non Wage Recurrent	1,690,177
	<i>AIA</i>	0

### Recurrent Programmes

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

##### Outputs Provided

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

	Item	Spent
Monitor progress from EGMONTContinuous updating of the template for recommendations of the MER and monitor progress and request ESAAML to revise ratings.Participate in scheduled ESAAMLG, EGMONT and FATF activities Spontaneously and upon requests exchange information with other FIUS and other relevant jurisdictions	Amendment Bill for S.38 (1)(b) of the AMLA, 2013 to remove any restrictions on international cooperation and exchange of information was presented for the first and second reading in parliament during this quarter Maintained revised re-ratings on 13/16 areas which indicated tremendous improvement of Uganda's AML/CFT framework There was 1 ESAAMLG and 1 FATF meeting during this quarter Responded to 2 requests for information by FIU Italy and FIU South Sudan. This was in respect to fraud and money laundering case under investigation. FIA, Uganda made 5 requests for information from various jurisdictions	227002 Travel abroad 15,000

### Reasons for Variation in performance

	<b>Total</b>	<b>15,000</b>
	Wage Recurrent	0
	Non Wage Recurrent	15,000
	<i>AIA</i>	0

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

	Item	Spent
Disseminate the findings of the study to relevant stakeholdersTraining of reporting entities on AML/CFTEngage the stakeholders to review progress of implementation of NRA and MER	FIA procured 2 consultants to support in the conducting ML/TF typology studies on sports betting and NGO sector in Uganda respectively By end of Q4 institutions had been	211103 Allowances (Inc. Casuals, Temporary) 10,289 221002 Workshops and Seminars 288,896 221003 Staff Training 17,292

# Vote:129 Financial Intelligence Authority (FIA)

## QUARTER 4: Outputs and Expenditure in Quarter

recommendations. Produce FIA quarterly performance reports Undertake public awareness campaigns and trainings of stakeholders	trained on AML/CFT i.e. 30/4/19, trained Board Members of Opportunity Bank on AML/CFT Compliance obligations, 24/5/19 – training on Role of FIA in Financial Crime Investigations to 37 Senior Police Officers undergoing the Senior Command and Staff Course at Police Senior Command and Staff College, Bwebajja, 31/5/19 – FIA in conjunction with Ministry of Lands Housing and Urban Development conducted AML/CFT awareness through training of Registrars of land at Imperial Royale Hotel. Over 60 Registrars of land attended the training, 2-3/4/19, coordinated the CWAG AAP AML/CFT training at Protea Hotel, Kampala and over 130 participants from LEAs attended, 16/4/19 – Conducted training for management of Airtel in AML/CFT at their Head period Offices (15 members attended), 4/5/19 – Conducted training of staff of Dollar House at their Head offices located at Uganda House (22 members attend), 13/5/19 – engaged 20 participants of LEAs through a Roundtable discussion in conjunction with Global Centre on Cooperative Security at Protea about Uganda's status on the effectiveness of the AML/CFT framework in Uganda, 14-16/5/19 conducted the AML/CFT training of LEAs at Protea Hotel facilitated by GCCS with the objective of developing skills and knowledge in generating supervision guidelines for particular sectors. 50 participants attended this training, 23/5/19-20 representatives from various CSOs based in Western Uganda organized by Defenders Protection Initiative (DPI) a NGO were trained on AML/CFT NGO obligations as accountable persons, 26-28/6/19 – trained Law Enforcement Agencies' representatives at Imperial Royale and 60 participants were trained. It was aimed enhancing coordination and cooperation among Law enforcement and Intelligence agencies in the fight against Money Laundering and Terrorist Financing. At the end of the training, participants from various LEAs resolved to cooperate and work together in order to curb ML/TF in Uganda	225001 Consultancy Services- Short term	30,000
	NRA/MER recommendations/Action Plan M&E tool was completed and launched during this quarter. Fourth Quarter performance report was produced and submitted to management 3 magazine articles were published in the government handbook on the implementation of the manifesto, Annual		

# Vote:129 Financial Intelligence Authority (FIA)

## QUARTER 4: Outputs and Expenditure in Quarter

Bankers' magazine, Newvision and Daily Monitor

### Reasons for Variation in performance

<b>Total</b>	<b>346,477</b>
Wage Recurrent	0
Non Wage Recurrent	346,477
AIA	0
<b>Total For SubProgramme</b>	<b>361,477</b>
Wage Recurrent	0
Non Wage Recurrent	361,477
AIA	0

### Recurrent Programmes

#### Subprogram: 06 Internal Audit

##### Outputs Provided

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

Undertake a risk based audit of FIAs Internal Control Environment	Q4 audit report ready for management's discussion before issuance to relevant stakeholders.	<b>Item</b>	<b>Spent</b>
Publish and disseminate quarterly internal audit reports to eligible stake holders		211103 Allowances (Inc. Casuals, Temporary)	17,561
Provides assurance on efficiency and effectiveness of FIA in administration of programs		221003 Staff Training	305
		221011 Printing, Stationery, Photocopying and Binding	2,860
		221017 Subscriptions	1,618

### Reasons for Variation in performance

<b>Total</b>	<b>22,344</b>
Wage Recurrent	0
Non Wage Recurrent	22,344
AIA	0
<b>Total For SubProgramme</b>	<b>22,344</b>
Wage Recurrent	0
Non Wage Recurrent	22,344
AIA	0

### Development Projects

#### Project: 1423 Support to Financial Intelligence Authority

##### Capital Purchases

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

# Vote:129 Financial Intelligence Authority (FIA)

## QUARTER 4: Outputs and Expenditure in Quarter

Outputs Planned in Quarter	Actual Outputs Achieved in Quarter	Expenditures incurred in the Quarter to deliver outputs	UShs Thousand
	<p>Procurement and installation of two secure CISCO WiFi devices to allow for seamless wireless connection within every area of the office on secure channels. The former WiFi devices had security loopholes that are currently addressed by the newly procured CISCO WiFi devices.</p> <p>Procurement and Installation of Kaspersky end point security. Security of key data on laptops, desktops and servers is paramount hence the requirement of an antivirus to ensure that data loss due to malware, viruses, worms, Trojan horses and other attacks is prevented. The Kaspersky end point security was installed and configured successfully on all FIA laptops, computers and servers with hard disk encryption algorithms. Weekly reports generated by Kaspersky on the state of security are submitted to Top management.</p> <p>A Network Penetration test was carried out from 7th – 21st June 2019. This was a planned program of security assessments, penetration tests and security configuration reviews on the FIA's systems, networks and the goAML application with the purpose of examining and ultimately improving the information security posture of the IT infrastructure. The outcome was a detailed report comprising possible risks and suitable recommendations for achieving an improved Information security posture at the FIA</p>	<p><b>Item</b></p> <p>312202 Machinery and Equipment</p>	<p><b>Spent</b></p> <p>47,787</p>

### Reasons for Variation in performance

<b>Total</b>	<b>47,787</b>
GoU Development	47,787
External Financing	0
AIA	0

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

Item	Spent
<b>Total</b>	<b>0</b>
GoU Development	0
External Financing	0
AIA	0
<b>Total For SubProgramme</b>	<b>47,787</b>
GoU Development	47,787

### Reasons for Variation in performance

# Vote:129

Financial Intelligence Authority (FIA)

## QUARTER 4: Outputs and Expenditure in Quarter

Outputs Planned in Quarter	Actual Outputs Achieved in Quarter	Expenditures incurred in the Quarter to deliver outputs	UShs Thousand
		External Financing	0
		AIA	0
		<b>GRAND TOTAL</b>	<b>3,692,544</b>
		Wage Recurrent	1,026,141
		Non Wage Recurrent	2,618,616
		GoU Development	47,787
		External Financing	0
		AIA	0