

# Vote:129 Financial Intelligence Authority (FIA)

## QUARTER 1: Highlights of Vote Performance

### V1: Summary of Issues in Budget Execution

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

		Approved Budget	Released by End Q 1	Spent by End Q1	% Budget Released	% Budget Spent	% Releases Spent
Recurrent	Wage	3.477	0.869	0.867	25.0%	24.9%	99.8%
	Non Wage	9.324	1.588	1.363	17.0%	14.6%	85.9%
Dev't.	GoU	0.215	0.108	0.108	50.2%	50.2%	100.0%
	Ext. Fin.	0.000	0.000	0.000	0.0%	0.0%	0.0%
<b>GoU Total</b>		<b>13.017</b>	<b>2.564</b>	<b>2.338</b>	<b>19.7%</b>	<b>18.0%</b>	<b>91.2%</b>
<b>Total GoU+Ext Fin (MTEF)</b>		<b>13.017</b>	<b>2.564</b>	<b>2.338</b>	<b>19.7%</b>	<b>18.0%</b>	<b>91.2%</b>
Arrears		0.000	0.000	0.000	0.0%	0.0%	0.0%
<b>Total Budget</b>		<b>13.017</b>	<b>2.564</b>	<b>2.338</b>	<b>19.7%</b>	<b>18.0%</b>	<b>91.2%</b>
<i>A.I.A Total</i>		0.000	0.000	0.000	0.0%	0.0%	0.0%
<b>Grand Total</b>		<b>13.017</b>	<b>2.564</b>	<b>2.338</b>	<b>19.7%</b>	<b>18.0%</b>	<b>91.2%</b>
<b>Total Vote Budget Excluding Arrears</b>		<b>13.017</b>	<b>2.564</b>	<b>2.338</b>	<b>19.7%</b>	<b>18.0%</b>	<b>91.2%</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: 1412 General Administration and Support Services	8.71	1.97	1.87	22.6%	21.5%	95.0%
Program: 1421 Prevention of ML/TF and Financial Intelligence Information Management	4.31	0.60	0.47	13.8%	10.9%	78.5%
<b>Total for Vote</b>	<b>13.02</b>	<b>2.56</b>	<b>2.34</b>	<b>19.7%</b>	<b>18.0%</b>	<b>91.2%</b>

### Matters to note in budget execution

Funds for project support were not expensed due to the fact that procurement process was not yet complete by end of period under review.

Other funds not spent are already committed and activities are to be conducted in the next quarter.

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

<i>(i) Major unspent balances</i>	
Programs , Projects	
Program 1412 General Administration and Support Services	
<b>0.031 Bn Shs</b>	<i>SubProgram/Project :07 Finance and Administration</i>
Reason: By end of the quarter, Invoices had not been provided by the supplier for payment to be effected.	

# Vote:129 Financial Intelligence Authority (FIA)

## QUARTER 1: Highlights of Vote Performance

<i>Items</i>	
<b>11,217,961.000 UShs</b>	223005 Electricity
Reason: Invoice had not been provided by end of the quarter. Payment for electricity to be made next in the next quarter.	
<b>9,570,000.000 UShs</b>	221011 Printing, Stationery, Photocopying and Binding
Reason: The supplier had not delivered the invoices by end of the quarter.	
<b>0.014 Bn Shs</b>	<i>SubProgram/Project :09 Human Resource Management Services</i>
Reason: By end of the quarter, the supplier had not delivered the invoices for payment to be effected.	
<i>Items</i>	
<b>7,000,000.000 UShs</b>	221017 Subscriptions
Reason: Balance on funds were not adequate for the subscription	
<b>6,966,800.000 UShs</b>	221007 Books, Periodicals & Newspapers
Reason: Supplier had not provided invoices for payment to be effected	
<b>Program 1421 Prevention of ML/TF and Financial Intelligence Information Management</b>	
<b>0.036 Bn Shs</b>	<i>SubProgram/Project :02 Legal, Inspection and Compliance</i>
Reason: By end of Q1, Supplier had not delivered the invoices for payment to be effected.	
<i>Items</i>	
<b>32,000,000.000 UShs</b>	221011 Printing, Stationery, Photocopying and Binding
Reason: Supplier had not delivered the invoices for payment to be effected	
<b>3,970,000.000 UShs</b>	227001 Travel inland
Reason: Funds were not adequate for the activity. To be conducted next quarter	
<b>330,000.000 UShs</b>	221007 Books, Periodicals & Newspapers
Reason: Supplier had not delivered the invoices for payment to be made	
<b>0.022 Bn Shs</b>	<i>SubProgram/Project :05 International Relations and Strategic Analysis</i>
Reason: By end of the quarter, supplier had not delivered the invoices for payment to be effected.	
<i>Items</i>	
<b>20,000,000.000 UShs</b>	221011 Printing, Stationery, Photocopying and Binding
Reason: Supplier had not delivered the invoices for payment to be effected	
<b>2,000,000.000 UShs</b>	221007 Books, Periodicals & Newspapers
Reason: Supplier had not delivered the invoices for payment to be made	
<b>0.052 Bn Shs</b>	<i>SubProgram/Project :07 Operational Analysis</i>
Reason: Supplier had not delivered the invoices for payment to be effected.	
<i>Items</i>	
<b>20,138,000.000 UShs</b>	221008 Computer supplies and Information Technology (IT)
Reason: Procurement process was initiated but not yet completed.	

# Vote:129 Financial Intelligence Authority (FIA)

## QUARTER 1: Highlights of Vote Performance

<b>10,000,000.000 UShs</b>	221011 Printing, Stationery, Photocopying and Binding
Reason: Supplier had not delivered the invoices for payment to be effected	
<b>5,074,918.000 UShs</b>	211103 Allowances (Inc. Casuals, Temporary)
Reason: Balance on funds were not adequate for the activity	
<b>0.008 Bn Shs</b>	<i>SubProgram/Project :08 AML Systems and ICT Management</i>
Reason: By end of Q1, Supplier had not delivered the invoices for payment to be effected.	
<i>Items</i>	
<b>3,753,500.000 UShs</b>	222001 Telecommunications
Reason: Supplier had not delivered the invoices for payment to be effected	
<b>2,500,000.000 UShs</b>	221011 Printing, Stationery, Photocopying and Binding
Reason: Supplier had not delivered the invoices for payment to be effected	
<b>2,000,000.000 UShs</b>	227001 Travel inland
Reason: Funds were not adequate for the activity. To 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\*

<b>Programme : 12 General Administration and Support Services</b>			
<b>Responsible Officer: Sydney Asubo</b>			
<b>Programme Outcome: An Efficient and effective Financial Intelligence Authority (FIA)</b>			
<b>Sector Outcomes contributed to by the Programme Outcome</b>			
1 .Sustainable Macroeconomic Stability			
<b>Programme Outcome Indicators</b>	<b>Indicator Measure</b>	<b>Planned 2019/20</b>	<b>Actuals By END Q1</b>
Level of Compliance of the Authority's planning and Budgeting instruments to NDPII	Percentage	70%	20%
Level of compliance of the Authority to Gender and Equity budgeting	Percentage	80%	10%
Annual External Auditor General Rating of the Authority	Percentage	100%	90%
<b>Programme : 21 Prevention of ML/TF and Financial Intelligence Information Management</b>			
<b>Responsible Officer: Wandera Were Samuel</b>			
<b>Programme Outcome: Reduced level of ML and TF cases in all the regions of the country</b>			
<b>Sector Outcomes contributed to by the Programme Outcome</b>			
1 .Sustainable Macroeconomic Stability			

# Vote:129

## Financial Intelligence Authority (FIA)

### QUARTER 1: Highlights of Vote Performance

Programme Outcome Indicators	Indicator Measure	Planned 2019/20	Actuals By END Q1
Proportion of ML/TF cases disseminated to LEDs with disaggregated data	Percentage	100%	20%
Proportion of STRs analyzed and indicating disaggregated data in terms of age, sex and nationality	Percentage	100%	40%

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

<b>Programme : 12 General Administration and Support Services</b>			
<b>Sub Programme : 07 Finance and Administration</b>			
<b>KeyOutputPut : 01 FIA Support Services and Administration</b>			
Key Output Indicators	Indicator Measure	Planned 2019/20	Actuals By END Q1
No of Financial Statements produced	Number	2	1
Percentage of the Strategic actions in the Strategic Plan delivered	Percentage	80%	10%
<b>KeyOutputPut : 21 Development of Internal Audit Controls and Risk Management</b>			
Key Output Indicators	Indicator Measure	Planned 2019/20	Actuals By END Q1
Percentage of audit recommendations implemented	Percentage	100%	40%
Percentage of the strategic actions in the Strategic Plan delivered	Percentage	60%	20%
No. of risk management assessments conducted	Number	4	1
<b>Sub Programme : 09 Human Resource Management Services</b>			
<b>KeyOutputPut : 19 Human Resource Management Services</b>			
Key Output Indicators	Indicator Measure	Planned 2019/20	Actuals By END Q1
Percentage of approved FIA structure filled by gender and PWDs	Percentage	70%	59%
Number of staff trained in relevant capacity building by gender	Number	20	5
<b>Programme : 21 Prevention of ML/TF and Financial Intelligence Information Management</b>			
<b>Sub Programme : 02 Legal, Inspection and Compliance</b>			
<b>KeyOutputPut : 03 Compliance with AML and CFT laws and Regulations</b>			
Key Output Indicators	Indicator Measure	Planned 2019/20	Actuals By END Q1
Percentage of accountable persons issued with certificates of registration	Percentage	60%	40%
Number of inspection reports from regulatory bodies reviewed	Number	3	3
Number of sanctions applied and disaggregated by Accountable Persons	Number	1	0

# Vote:129

Financial Intelligence Authority (FIA)

## QUARTER 1: Highlights of Vote Performance

<b>KeyOutputPut : 04 Legal Representation and Litigation</b>			
Key Output Indicators	Indicator Measure	Planned 2019/20	Actuals By END Q1
Percentage of cases concluded and forwarded for prosecution	Percentage	100%	30%
<b>Sub Programme : 05 International Relations and Strategic Analysis</b>			
<b>KeyOutputPut : 05 Coordination of the implementation of AML/CFT NRA and MER recommendations</b>			
Key Output Indicators	Indicator Measure	Planned 2019/20	Actuals By END Q1
Number of AML/CFT Awareness campaigns conducted by region	Number	5	0
Proportion of Accountable persons and supervisory bodies trained on AML/CFT	Percentage	50%	12.5%
Number of recommendations from AML/CFT coordination forum implemented	Number	14	2
<b>KeyOutputPut : 06 Financial Intelligence Research and Strategic Development</b>			
Key Output Indicators	Indicator Measure	Planned 2019/20	Actuals By END Q1
Number of studies on ML/TF trends and methods concluded with disaggregated data	Number	2	0
Proportion of recommendations from MER and NRA	Number	14	2
<b>Sub Programme : 07 Operational Analysis</b>			
<b>KeyOutputPut : 01 Analysis and Reporting Financial Operations in the different Sectors</b>			
Key Output Indicators	Indicator Measure	Planned 2019/20	Actuals By END Q1
Number of (STR)/LCTR/CBR received and analysed with disaggregated data	Number	480	691
Proportion of STRs analysed and disseminated for investigations to the relevant LEAs	Percentage	100%	15%
Number of due diligence requests on companies handled classified from each requesting MDA	Number	10	2
<b>Sub Programme : 08 AML Systems and ICT Management</b>			
<b>KeyOutputPut : 02 Ensure safety and integrity of FIA information</b>			
Key Output Indicators	Indicator Measure	Planned 2019/20	Actuals By END Q1
Number of reporting entities using goAML system disaggregated by Accountable persons	Number	20	2
Number of statistical databases on STR/LCTR/CBR established and maintained to reflect national character	Number	1	1

### Performance highlights for the Quarter

# Vote:129 Financial Intelligence Authority (FIA)

## QUARTER 1: Highlights of Vote Performance

During this quarter, 691 Suspicious Transaction Reports (STRs) were received and analysed. Out of these, 09 intelligence reports were generated and disseminated to various Law Enforcement Agencies (LEAs) for investigation and further management. 575 STR files were closed while 107 STRs files remained pending receipt of additional information to enable further analysis.

One financial due diligence request was received from MoFPED on the 31st/7/2019 and the report is yet to be submitted.

3 onsite AML/CFT Inspections were conducted during the quarter i.e. Finance Trust Bank on 26th July 2019, Equity Bank Uganda Limited on 26th August, 2019 and joint inspection between FIA and Bank of Uganda (BOU) on forex bureaus and money changers at the border points in Kafunjo, Mirama Town council and Kikagati both located in the western region of Uganda from the 1st - 6th July 2019

29 reporting entities were registered and the database was updated which brought the total number of registered reporting entities to 800 from 771.

FIA issued 5 opinions for purposes of guidance to accountable persons;

i. Barclays Bank - CDD of UN employees as Bank clients (high risk) on the 23rd July 2019

ii. Bank of Africa – S.19(1)(b)(iii) to (v) obtaining letters of introduction from employers, government officers, etc. on 22 August 2019

iii. Spot Cash Forex Bureau – PEP list Compilation on the 23 August 2019

iv. Nakayi and Partners CPA – Registration with FIA

v. Mobile Money Network an NGO – Registration as an accountable person

3 Legal gap were addressed i.e;

i) The amendment bill 2019 of AMLA 2013 S. 38 (1) (b) was passed by parliament and the President accented to it on the 19th/9/2019 passing it into law to allow for the spontaneous exchange of information.

ii) The AML Regulations amendment to incorporate enforcement of administrative sanctions on reporting entities that fail to comply with AMLA. The draft administrative sanctions are still under review by First Parliamentary Council (FPC).

iii) The amendment of the second schedule of AMLA, 2013 as amended, to incorporate Virtual Assets Service Providers (VASPs) as accountable persons. FIA is still fast tracking this amendment through the office of the Honourable Minister of MOFPED.

3 Litigation cases were handled and these include;

i) Wundu Alemu v Francis Asimwe, Julia Nansamba, Agro Seeds & Fisheries Ltd, Europet Ltd, KCB Bank (U) Ltd And FIA Civil Suit No. 300 of 2019 - Court is yet to set hearing date.

ii) Uganda Health Marketing Group (UHMG) v FIA, HCMC No. 179 OF 2019 in which UHMG applied for judicial review challenging FIA's decision to freeze UHMG accounts. The ruling to be delivered on 25th, October, 2019 at 10:30am.

iii) Tadeo Sseruwagi v FIA & Smart Protus Magara HCMC No. 311 of 2019 in the Application for review of court's judgment in the case of Smart Protus Magara v FIA MISC Cause No. 215 of 2018. The ruling is to be delivered on 6th December, 2019 at 11:30am.

The goAML electronic reporting system was fully rolled out on 1st/July/2019 after a successful pilot phase. By end of Q1, 85% of the Financial Institutions had been rolled onto the system.

FIA, conducted AML/CFT training for 15 reporting entities reaching out to over 500 staff and management members of these accountable persons.

These included; Top management of Brac Uganda Bank on -11/07/2019, staff of EFC Microfinance Ltd - 22/07/2019, Anti-Money Laundering officers of Jubilee Insurance Company and Board Members of UGAFODE Microfinance - 27/07/2019, Top Management and staff members of YAKO Microfinance - 06th 08 2019, Staff and Management members of GEI Forex and Exchange services -10th August 2019 Members of Lawrie Prophet Certified Public Accountants & Cos – 15/08/2019, credit and Sales staff members of EFC Microfinance Ltd FIA – 07/09/2019, 100 members of Association of Mobile Money Traders - mobile money agents' members - 9th September 2019 were trained on AML/CFT roles and obligations at Yovani Hotel in Rubaga, 80 Members of Association of Post Bank Management in East Africa, 03rd-06th September 2019, FIA trained, 10 Top Management staff members of Dahabshill Forex Bureau were trained on 13th September 2019, KCCA top Management and Technical wing were trained on 24th September 2019, members of the Watoto Church and Watoto NGO were trained on the AML/CFT obligations of Churches and Non-profit organisations on 25th September 2019 and 08 staff members and Executive Management of Exim Bank were trained on their AML/CFT obligations on 29th September 2019.

## V3: Details of Releases and Expenditure

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

# Vote:129

## Financial Intelligence Authority (FIA)

### QUARTER 1: Highlights of Vote Performance

<i>Billion Uganda Shillings</i>	Approved Budget	Released	Spent	% GoU Budget Released	% GoU Budget Spent	%GoU Releases Spent
<b>Program 1412 General Administration and Support Services</b>	<b>8.71</b>	<b>1.97</b>	<b>1.87</b>	<b>22.6%</b>	<b>21.5%</b>	<b>95.0%</b>
<i>Class: Outputs Provided</i>	<i>8.50</i>	<i>1.86</i>	<i>1.76</i>	<i>21.9%</i>	<i>20.8%</i>	<i>94.7%</i>
141201 FIA Support Services and Administration	1.98	0.41	0.37	20.6%	18.6%	90.5%
141219 Human Resource Management Services	6.36	1.41	1.37	22.2%	21.6%	97.1%
141221 Development of Internal Audit Controls and Risk Management	0.15	0.04	0.02	26.6%	14.4%	54.0%
<i>Class: Capital Purchases</i>	<i>0.22</i>	<i>0.11</i>	<i>0.11</i>	<i>50.0%</i>	<i>50.0%</i>	<i>100.0%</i>
141276 Purchase of Office and ICT Equipment, including Software	0.22	0.11	0.11	50.0%	50.0%	100.0%
<b>Program 1421 Prevention of ML/TF and Financial Intelligence Information Management</b>	<b>4.31</b>	<b>0.60</b>	<b>0.47</b>	<b>13.8%</b>	<b>10.9%</b>	<b>78.5%</b>
<i>Class: Outputs Provided</i>	<i>4.31</i>	<i>0.60</i>	<i>0.47</i>	<i>13.8%</i>	<i>10.9%</i>	<i>78.5%</i>
142101 Analysis and Reporting Financial Operations in the different Sectors	2.13	0.24	0.18	11.1%	8.6%	77.4%
142102 Ensure safety and integrity of FIA information	0.50	0.06	0.05	12.1%	10.4%	85.9%
142103 Compliance with AML and CFT laws and Regulations	0.40	0.05	0.03	13.2%	7.4%	56.3%
142104 Legal Representation and Litigation	0.20	0.03	0.02	15.9%	9.2%	57.9%
142105 Coordination of the implementation of AML/CFT NRA and MER recommendations	0.68	0.19	0.16	27.4%	23.5%	86.0%
142106 Financial Intelligence Research and Strategic Development	0.40	0.03	0.02	7.0%	6.1%	86.5%
<b>Total for Vote</b>	<b>13.02</b>	<b>2.56</b>	<b>2.34</b>	<b>19.7%</b>	<b>18.0%</b>	<b>91.2%</b>

**Table V3.2: 2019/20 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>12.80</i>	<i>2.46</i>	<i>2.23</i>	19.2%	17.4%	90.8%
211102 Contract Staff Salaries	3.48	0.87	0.87	25.0%	24.9%	99.8%
211103 Allowances (Inc. Casuals, Temporary)	0.51	0.07	0.06	13.1%	11.3%	86.5%
212101 Social Security Contributions	0.35	0.09	0.08	25.0%	24.1%	96.4%
213001 Medical expenses (To employees)	0.20	0.00	0.00	0.0%	0.0%	0.0%
213004 Gratuity Expenses	0.70	0.17	0.17	25.0%	24.3%	97.3%
221001 Advertising and Public Relations	0.11	0.04	0.03	37.4%	27.6%	73.8%
221002 Workshops and Seminars	0.10	0.02	0.02	20.0%	20.0%	100.0%
221003 Staff Training	0.97	0.00	0.00	0.0%	0.0%	0.0%
221006 Commissions and related charges	0.96	0.19	0.18	20.0%	19.1%	95.2%
221007 Books, Periodicals & Newspapers	0.09	0.01	0.00	12.9%	0.6%	4.9%
221008 Computer supplies and Information Technology (IT)	0.05	0.03	0.00	50.0%	9.7%	19.4%
221009 Welfare and Entertainment	0.26	0.07	0.06	25.0%	22.0%	87.9%
221011 Printing, Stationery, Photocopying and Binding	0.22	0.10	0.03	47.5%	13.8%	29.1%
221012 Small Office Equipment	0.02	0.01	0.01	77.8%	27.8%	35.7%

# Vote:129

Financial Intelligence Authority (FIA)

## QUARTER 1: Highlights of Vote Performance

221017 Subscriptions	0.51	0.03	0.02	6.0%	4.4%	73.4%
222001 Telecommunications	0.07	0.01	0.01	16.8%	11.6%	68.7%
223003 Rent – (Produced Assets) to private entities	0.92	0.23	0.21	25.0%	22.8%	91.1%
223004 Guard and Security services	0.10	0.04	0.03	34.4%	30.4%	88.5%
223005 Electricity	0.07	0.02	0.01	25.7%	9.7%	37.7%
224003 Classified Expenditure	1.76	0.20	0.20	11.3%	11.3%	100.0%
224004 Cleaning and Sanitation	0.05	0.02	0.02	31.3%	31.3%	100.0%
225001 Consultancy Services- Short term	0.48	0.00	0.00	0.0%	0.0%	0.0%
226001 Insurances	0.02	0.01	0.01	50.8%	25.0%	49.2%
227001 Travel inland	0.20	0.05	0.04	24.7%	18.7%	75.9%
227002 Travel abroad	0.20	0.09	0.09	42.0%	42.0%	100.0%
227004 Fuel, Lubricants and Oils	0.34	0.08	0.08	25.0%	25.0%	100.0%
228002 Maintenance - Vehicles	0.06	0.02	0.01	25.0%	23.7%	94.9%
<b>Class: Capital Purchases</b>	<b>0.22</b>	<b>0.11</b>	<b>0.11</b>	<b>50.0%</b>	<b>50.0%</b>	<b>100.0%</b>
312213 ICT Equipment	0.22	0.11	0.11	50.0%	50.0%	100.0%
<b>Total for Vote</b>	<b>13.02</b>	<b>2.56</b>	<b>2.34</b>	<b>19.7%</b>	<b>18.0%</b>	<b>91.2%</b>

**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 1412 General Administration and Support Services</b>	<b>8.71</b>	<b>1.97</b>	<b>1.87</b>	<b>22.6%</b>	<b>21.5%</b>	<b>95.0%</b>
07 Finance and Administration	2.13	0.45	0.39	21.0%	18.3%	87.3%
09 Human Resource Management Services	6.36	1.41	1.37	22.2%	21.6%	97.1%
<i>Development Projects</i>						
1423 Support to Financial Intelligence Authority	0.22	0.11	0.11	50.0%	50.0%	100.0%
<b>Program 1421 Prevention of ML/TF and Financial Intelligence Information Management</b>	<b>4.31</b>	<b>0.60</b>	<b>0.47</b>	<b>13.8%</b>	<b>10.9%</b>	<b>78.5%</b>
<i>Recurrent SubProgrammes</i>						
02 Legal, Inspection and Compliance	0.60	0.08	0.05	14.1%	8.0%	56.9%
05 International Relations and Strategic Analysis	1.08	0.21	0.18	19.8%	17.1%	86.0%
07 Operational Analysis	2.13	0.24	0.18	11.1%	8.6%	77.4%
08 AML Systems and ICT Management	0.50	0.06	0.05	12.1%	10.4%	85.9%
<b>Total for Vote</b>	<b>13.02</b>	<b>2.56</b>	<b>2.34</b>	<b>19.7%</b>	<b>18.0%</b>	<b>91.2%</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
---------------------------------	-----------------	----------	-------	-------------------	----------------	-----------------



# Vote:129 Financial Intelligence Authority (FIA)

## QUARTER 1: 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
------------------------	---	--	---------------

### Program: 12 General Administration and Support Services

#### Recurrent Programmes

#### Subprogram: 07 Finance and Administration

#### Outputs Provided

#### Output: 01 FIA Support Services and Administration

Office supplies for staff procured	Various office supplies for staff were procured to ensure that staff had all the appropriate business tools to enable them perform their roles effectively and efficiently.	Item	Spent
Financial management and accountability Policies and operation procedure developed and enforced		211103 Allowances (Inc. Casuals, Temporary)	13,570
Routine operations facilitated to ensure efficiency and effectiveness		223003 Rent – (Produced Assets) to private entities	210,045
		223004 Guard and Security services	31,846
		223005 Electricity	6,782
	Financial management and Standard Operating Procedures were developed and reviewed respectively to foster accountability and achieve operational efficiency	224003 Classified Expenditure	50,000
		224004 Cleaning and Sanitation	7,000
		226001 Insurances	75
	All routine operations were promptly facilitated to ensure efficiency and effectiveness.	227001 Travel inland	9,206
		227002 Travel abroad	20,000
		227004 Fuel, Lubricants and Oils	21,300

#### Reasons for Variation in performance

No Variation

<b>Total</b>	<b>369,824</b>
Wage Recurrent	0
Non Wage Recurrent	369,824
<b>AIA</b>	<b>0</b>

#### Output: 21 Development of Internal Audit Controls and Risk Management

Number of Risk based audits conducted	One Risk based audit was conducted and findings assisted the organisation in focusing its resources on the high risk areas as first priority.	Item	Spent
Number of times FIA Risk register is updated		211103 Allowances (Inc. Casuals, Temporary)	2,500
		221011 Printing, Stationery, Photocopying and Binding	430
	The FIA risk register was updated once during quarter and it aided departments in proactively mitigating the identified risks	227002 Travel abroad	15,000
		227004 Fuel, Lubricants and Oils	3,600

#### Reasons for Variation in performance

No Variation

<b>Total</b>	<b>21,530</b>
Wage Recurrent	0
Non Wage Recurrent	21,530
<b>AIA</b>	<b>0</b>
<b>Total For SubProgramme</b>	<b>391,354</b>
Wage Recurrent	0
Non Wage Recurrent	391,354
<b>AIA</b>	<b>0</b>

# Vote:129 Financial Intelligence Authority (FIA)

## QUARTER 1: 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
------------------------	---	--	---------------

### Recurrent Programmes

#### Subprogram: 09 Human Resource Management Services

#### Outputs Provided

#### Output: 19 Human Resource Management Services

Management of human capital	The available Human capital was effectively managed through retooling, effective deployment, and timely objective performance assessments conducted.	Item	Spent
		211102 Contract Staff Salaries	867,235
		212101 Social Security Contributions	84,110
		213004 Gratuity Expenses	169,680
		221006 Commissions and related charges	182,788
		221007 Books, Periodicals & Newspapers	283
		221009 Welfare and Entertainment	57,820
		221017 Subscriptions	10,000

#### Reasons for Variation in performance

No variation

<b>Total</b>	<b>1,371,916</b>
Wage Recurrent	867,235
Non Wage Recurrent	504,681
AIA	0
<b>Total For SubProgramme</b>	<b>1,371,916</b>
Wage Recurrent	867,235
Non Wage Recurrent	504,681
AIA	0

### Development Projects

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

#### Capital Purchases

#### Output: 76 Purchase of Office and ICT Equipment, including Software

ICT software for goAML procured and installed	The procurement process was not complete by end of quarter 1	Item	Spent
		312213 ICT Equipment	107,500

#### Reasons for Variation in performance

The procurement process was not complete by end of quarter 1

<b>Total</b>	<b>107,500</b>
GoU Development	107,500
External Financing	0
AIA	0
<b>Total For SubProgramme</b>	<b>107,500</b>
GoU Development	107,500
External Financing	0
AIA	0

#### Program: 21 Prevention of ML/TF and Financial Intelligence Information Management

#### Recurrent Programmes

# Vote:129 Financial Intelligence Authority (FIA)

## QUARTER 1: 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
------------------------	---	--	---------------

### Subprogram: 02 Legal, Inspection and Compliance

#### Outputs Provided

#### Output: 03 Compliance with AML and CFT laws and Regulations

		Item	Spent
Increased inspection reports	3 onsite AML/CFT Inspections were conducted during the quarter i.e. Finance Trust Bank on 26th July 2019, Equity Bank Uganda Limited on 26th August, 2019 and joint inspection between FIA and Bank of Uganda (BOU) on forex bureaus and money changers at the border points in Kafunjo, Mirama Town council and Kikagati both located in the western region of Uganda from the 1st - 6th July 2019	211103 Allowances (Inc. Casuals, Temporary)	10,000
Accountable persons registered		227001 Travel inland	7,030
Guidelines issued		227004 Fuel, Lubricants and Oils	12,600
Reports reviewed	Reviewed 80% of inspection reports submitted by supervisory/regulatory authorities.		
Sanctions enforced	Registered 29 reporting entities and the database was updated which brought the total number of registered reporting entities to 800 from 771.		
	No guideline was issued non regulated entities. However 5 opinions were issued;		
	I. Barclays Bank - CDD of UN employees as Bank clients (high risk) on the 23rd July 2019		
	ii. Bank of Africa – S.19(1)(b)(iii) to (v) obtaining letters of introduction from employers, government officers, etc. on 22 August 2019		
	iii. Spot Cash Forex Bureau – PEP list Compilation on the 23 August 2019		
	iv. Nakayi and Partners CPA – Registration with FIA		
	v. Mobile Money Network an NGO – Registration as an accountable person		
	No sanction was enforced for non compliance due to improved compliance from reporting entities.		

#### Reasons for Variation in performance

No guideline was issued to non regulated entities but 3 guidelines were drafted for review and approval and these included;

- i) Guidance on High Risk Countries
- ii) Guidance for Lawyers as accountable persons
- iii) Guidance for the Non-Governmental organizations

No sanction was enforced for non compliance due to improved compliance from reporting entities.

<b>Total</b>	<b>29,630</b>
Wage Recurrent	0
Non Wage Recurrent	29,630

Vote:129 Financial Intelligence Authority (FIA)

QUARTER 1: 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
			AIA0

Output: 04 Legal Representation and Litigation

# Vote:129 Financial Intelligence Authority (FIA)

## QUARTER 1: 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
Legal gaps identified and address	Three Legal gap was addressed i.e;	<b>Item</b>	<b>Spent</b>
Litigation cases handled	i) The amendment bill 2019 of AMLA 2013 S. 38 (1) (b) was passed by parliament and the President accented to it on the 19th/9/2019 passing it into law to allow for the spontaneous exchange of information.	211103 Allowances (Inc. Casuals, Temporary)	9,990
Stakeholder MOUs signed	ii) The AML Regulations amendment to incorporate enforcement of administrative sanctions on reporting entities that fail to comply with AMLA. The draft administrative sanctions are still under review by First Parliamentary Council (FPC).	221007 Books, Periodicals & Newspapers	270
	iii) The amendment of the second schedule of AMLA, 2013 as amended, to incorporate Virtual Assets Service Providers (VASPs) as accountable persons. FIA is still fast tracking this amendment through the office of the Honourable Minister of MOFPED.	227004 Fuel, Lubricants and Oils	8,100
	3 Litigation cases were handled and these include;		
	i) Wondu Alemu v Francis Asiimwe, Julia Nansamba, Agro Seeds & Fisheries Ltd, Europet Ltd, KCB Bank (U) Ltd And FIA Civil Suit No. 300 of 2019 - Court is yet to set hearing date.		
	ii) Uganda Health Marketing Group (UHMG) v FIA, HCMC No. 179 OF 2019 in which UHMG applied for judicial review challenging FIA's decision to freeze UHMG accounts. The ruling to be delivered on 25th, October, 2019 at 10:30am.		
	iii) Tadeo Sseruwagi v FIA & Smart Protus Magara HCMC No. 311 of 2019 in the Application for review of court's judgment in the case of Smart Protus Magara v FIA MISC Cause No. 215 of 2018. The ruling is to be delivered on 6th December, 2019 at 11:30am.		
	No MOUs were signed during the quarter. However, The MOU between FIA and KCCA was drafted and it is under review.		

### Reasons for Variation in performance

# Vote:129

Financial Intelligence Authority (FIA)

## QUARTER 1: 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
------------------------	--	--	------------------

The MOU between FIA and KCCA was drafted and it is under review.

<b>Total</b>	<b>18,360</b>
Wage Recurrent	0
Non Wage Recurrent	18,360
<i>AIA</i>	0
<b>Total For SubProgramme</b>	<b>47,990</b>
Wage Recurrent	0
Non Wage Recurrent	47,990
<i>AIA</i>	0

### Recurrent Programmes

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

#### Outputs Provided

**Output: 05 Coordination of the implementation of AML/CFT NRA and MER recommendations**

# Vote:129 Financial Intelligence Authority (FIA)

## QUARTER 1: 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
AML/CFT Awareness campaigns conducted across Uganda Accountable persons and supervisory bodies trained on AML/CFT Various recommendations from AML/CFT coordination forum implemented	<p>No public awareness campaigns were conducted during the period under review</p> <p>Conducted AML/CFT training for 15 reporting entities reaching out to over 500 staff and members of accountable persons. These included; Top management of Brac Uganda Bank on -11/07/2019, staff of EFC Microfinance Ltd - 22/07/2019, Anti-Money Laundering officers of Jubilee Insurance Company and Board Members of UGAFODE Microfinance - 27/07/2019, Top Management and staff members of YAKO Microfinance - 06th 08 2019, Staff and Management members of GEI Forex and Exchange services -10th August 2019 Members of Lawrie Prophet Certified Public Accountants &amp; Cos – 15/08/2019, credit and Sales staff members of EFC Microfinance Ltd FIA – 07/09/2019, 100 members of Association of Mobile Money Traders - mobile money agents' members - 9th September 2019 were trained on AML/CFT roles and obligations at Yovani Hotel in Rubaga, 80 Members of Association of Post Bank Management in East Africa, 03rd-06th September 2019, FIA trained, 10 Top Management staff members of Dahabshill Forex Bureau were trained on 13th September 2019, KCCA top Management and Technical wing were trained on 24th September 2019, members of the Watoto Church and Watoto NGO were trained on the AML/CFT obligations of Churches and Non-profit organisations on 25th September 2019 and 08 staff members and Executive Management of Exim Bank were trained on their AML/CFT obligations on 29th September 2019.</p> <p>100% recommendations of the UAMLC task force were implemented.</p>	<p><b>Item</b></p> <p>221001 Advertising and Public Relations</p> <p>221002 Workshops and Seminars</p> <p>221011 Printing, Stationery, Photocopying and Binding</p> <p>224003 Classified Expenditure</p> <p>227001 Travel inland</p> <p>227002 Travel abroad</p> <p>228002 Maintenance - Vehicles</p>	<p><b>Spent</b></p> <p>30,350</p> <p>20,000</p> <p>20,000</p> <p>50,000</p> <p>20,000</p> <p>15,000</p> <p>4,645</p>

### Reasons for Variation in performance

No public awareness campaigns were conducted during the period under review due to inadequate funds remitted. The activity is scheduled to be conducted in the next quarter

<b>Total</b>	<b>159,995</b>
Wage Recurrent	0
Non Wage Recurrent	159,995
<i>AIA</i>	0

### Output: 06 Financial Intelligence Research and Strategic Development

# Vote:129 Financial Intelligence Authority (FIA)

## QUARTER 1: 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
Studies on ML/TF trends and methods conducted	2 typology studies were still being reviewed. Final reports to be submitted in the next quarter	<b>Item</b> 211103 Allowances (Inc. Casuals, Temporary) 227004 Fuel, Lubricants and Oils	<b>Spent</b> 13,213 11,000

### Reasons for Variation in performance

2 ML/TF typology study draft reports were reviewed, final reports to be submitted next quarter.

<b>Total</b>	<b>24,213</b>
Wage Recurrent	0
Non Wage Recurrent	24,213
AIA	0
<b>Total For SubProgramme</b>	<b>184,209</b>
Wage Recurrent	0
Non Wage Recurrent	184,209
AIA	0

### Recurrent Programmes

#### Subprogram: 07 Operational Analysis

#### Outputs Provided

#### Output: 01 Analysis and Reporting Financial Operations in the different Sectors

Reports received and analysed Intelligence information gathered Intelligence reports disseminated Databases maintained	During this quarter, 691 Suspicious Transaction Reports (STRs) were received and analysed.  Intelligence information was gathered from various sources to assist in collaborating the financial analysis process  Out of the 691 STRs received and analysed, 09 intelligence reports were generated and disseminated to various Law Enforcement Agencies (LEAs) for further management and investigation  All databases was regularly updated with new information.  One financial due diligence request was received from MoFPED on the 31st/7/2019 and the report is yet to be submitted.  Disseminated 09 STRs; and Closed 575 STR files, while 107 STRs files remained pending receipt of additional information to enable further analysis.	Item	Spent
		211103 Allowances (Inc. Casuals, Temporary)	1,925
		221008 Computer supplies and Information Technology (IT)	4,862
		221011 Printing, Stationery, Photocopying and Binding	10,000
		221012 Small Office Equipment	5,000
		221017 Subscriptions	12,532
		224003 Classified Expenditure	100,000
		224004 Cleaning and Sanitation	8,000
		226001 Insurances	5,000
		227001 Travel inland	750
		227002 Travel abroad	15,000
		227004 Fuel, Lubricants and Oils	15,600
		228002 Maintenance - Vehicles	4,595

### Reasons for Variation in performance

The over performance in Q1 was attributed to the increased use of the goAML system to submit various reports and communication as opposed to the manual hard paper report and mail communication.



# Vote:129 Financial Intelligence Authority (FIA)

## QUARTER 1: 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>183,264</b>
		Wage Recurrent	0
		Non Wage Recurrent	183,264
		AIA	0
		<b>Total For SubProgramme</b>	<b>183,264</b>
		Wage Recurrent	0
		Non Wage Recurrent	183,264
		AIA	0

### Recurrent Programmes

#### Subprogram: 08 AML Systems and ICT Management

#### Outputs Provided

#### Output: 02 Ensure safety and integrity of FIA information

goAML System Managed	goAML electronic system was rolled out to 85% of the Financial Institutions during the quarter	Item	Spent
		211103 Allowances (Inc. Casuals, Temporary)	6,530
		222001 Telecommunications	8,247
		227002 Travel abroad	20,000
		227004 Fuel, Lubricants and Oils	12,000
		228002 Maintenance - Vehicles	5,000

### Reasons for Variation in performance

The 15% of the financial institutions that are yet to be enrolled did not have adequate ICT facilities to be compatible with the goAML system. Arrangements are being made to upgrade their respective systems to support the goAML enrolment in the next quarter

	<b>Total</b>	<b>51,777</b>
	Wage Recurrent	0
	Non Wage Recurrent	51,777
	AIA	0
	<b>Total For SubProgramme</b>	<b>51,777</b>
	Wage Recurrent	0
	Non Wage Recurrent	51,777
	AIA	0
	<b>GRAND TOTAL</b>	<b>2,338,009</b>
	Wage Recurrent	867,235
	Non Wage Recurrent	1,363,274
	GoU Development	107,500
	External Financing	0
	AIA	0

# Vote:129 Financial Intelligence Authority (FIA)

## QUARTER 1: Outputs and Expenditure in Quarter

Outputs Planned in Quarter	Actual Outputs Achieved in Quarter	Expenditures incurred in the Quarter to deliver outputs	US\$ Thousand
----------------------------	------------------------------------	---	------------------

### Program: 12 General Administration and Support Services

#### Recurrent Programmes

#### Subprogram: 07 Finance and Administration

#### Outputs Provided

#### Output: 01 FIA Support Services and Administration

		Item	Spent
Office supplies for staff procured	Various office supplies for staff were procured to ensure that staff had all the appropriate business tools to enable them perform their roles effectively and efficiently.	211103 Allowances (Inc. Casuals, Temporary)	13,570
Financial management and accountability Policies and operation procedures developed		223003 Rent – (Produced Assets) to private entities	210,045
Routine operations facilitated to ensure efficiency and effectiveness		223004 Guard and Security services	31,846
	Financial management and Standard Operating Procedures were developed and reviewed respectively to foster accountability and achieve operational efficiency	223005 Electricity	6,782
		224003 Classified Expenditure	50,000
		224004 Cleaning and Sanitation	7,000
		226001 Insurances	75
	All routine operations were promptly facilitated to ensure efficiency and effectiveness.	227001 Travel inland	9,206
		227002 Travel abroad	20,000
		227004 Fuel, Lubricants and Oils	21,300

#### Reasons for Variation in performance

No Variation

<b>Total</b>	<b>369,824</b>
Wage Recurrent	0
Non Wage Recurrent	369,824
<b>AIA</b>	<b>0</b>

#### Output: 21 Development of Internal Audit Controls and Risk Management

		Item	Spent
One Risk based audit conducted	One Risk based audit was conducted and findings assisted the organisation in focusing its resources on the high risk areas as first priority.	211103 Allowances (Inc. Casuals, Temporary)	2,500
Risk register updated once per quarter		221011 Printing, Stationery, Photocopying and Binding	430
	The FIA risk register was updated once during quarter and it aided departments in proactively mitigating the identified risks	227002 Travel abroad	15,000
		227004 Fuel, Lubricants and Oils	3,600

#### Reasons for Variation in performance

No Variation

<b>Total</b>	<b>21,530</b>
Wage Recurrent	0
Non Wage Recurrent	21,530
<b>AIA</b>	<b>0</b>
<b>Total For SubProgramme</b>	<b>391,354</b>
Wage Recurrent	0
Non Wage Recurrent	391,354
<b>AIA</b>	<b>0</b>

#### Recurrent Programmes

# Vote:129 Financial Intelligence Authority (FIA)

## QUARTER 1: Outputs and Expenditure in Quarter

Outputs Planned in Quarter	Actual Outputs Achieved in Quarter	Expenditures incurred in the Quarter to deliver outputs	US\$ Thousand
----------------------------	------------------------------------	---	------------------

### Subprogram: 09 Human Resource Management Services

#### Outputs Provided

#### Output: 19 Human Resource Management Services

Management of human capital	The available Human capital was effectively managed through retooling, effective deployment, and timely objective performance assessments conducted.	<b>Item</b>	<b>Spent</b>
		211102 Contract Staff Salaries	867,235
		212101 Social Security Contributions	84,110
		213004 Gratuity Expenses	169,680
		221006 Commissions and related charges	182,788
		221007 Books, Periodicals & Newspapers	283
		221009 Welfare and Entertainment	57,820
		221017 Subscriptions	10,000

#### Reasons for Variation in performance

No variation

<b>Total</b>	<b>1,371,916</b>
Wage Recurrent	867,235
Non Wage Recurrent	504,681
AIA	0
<b>Total For SubProgramme</b>	<b>1,371,916</b>
Wage Recurrent	867,235
Non Wage Recurrent	504,681
AIA	0

#### Development Projects

### Project: 1423 Support to Financial Intelligence Authority

#### Capital Purchases

#### Output: 76 Purchase of Office and ICT Equipment, including Software

Purchase and installation of security and data loss prevention software	The procurement process was not complete by end of quarter 1	<b>Item</b>	<b>Spent</b>
		312213 ICT Equipment	107,500

#### Reasons for Variation in performance

The procurement process was not complete by end of quarter 1

<b>Total</b>	<b>107,500</b>
GoU Development	107,500
External Financing	0
AIA	0
<b>Total For SubProgramme</b>	<b>107,500</b>
GoU Development	107,500
External Financing	0
AIA	0

### Program: 21 Prevention of ML/TF and Financial Intelligence Information Management

#### Recurrent Programmes

#### Subprogram: 02 Legal, Inspection and Compliance

#### Outputs Provided

# Vote:129 Financial Intelligence Authority (FIA)

## QUARTER 1: Outputs and Expenditure in Quarter

Outputs Planned in Quarter	Actual Outputs Achieved in Quarter	Expenditures incurred in the Quarter to deliver outputs	US\$ Thousand
----------------------------	------------------------------------	---	---------------

### Output: 03 Compliance with AML and CFT laws and Regulations

		Item	Spent
2 inspections of accountable persons conducted	3 onsite AML/CFT Inspections were conducted during the quarter i.e. Finance Trust Bank on 26th July 2019, Equity Bank Uganda Limited on 26th August, 2019 and joint inspection between FIA and Bank of Uganda (BOU) on forex bureaus and money changers at the border points in Kafunjo, Mirama Town council and Kikagati both located in the western region of Uganda from the 1st - 6th July 2019	211103 Allowances (Inc. Casuals, Temporary)	10,000
Review 80% of inspection reports submitted by supervisory/regulatory authorities	Reviewed 80% of inspection reports submitted by supervisory/regulatory authorities.	227001 Travel inland	7,030
Register new Accountable persons and update the database	Registered 29 reporting entities and the database was updated which brought the total number of registered reporting entities to 800 from 771.	227004 Fuel, Lubricants and Oils	12,600
Issue 1 Guideline for the Non regulated reporting entities	No guideline was issued non regulated entities. However 5 opinions were issued; I. Barclays Bank - CDD of UN employees as Bank clients (high risk) on the 23rd July 2019 ii. Bank of Africa – S.19(1)(b)(iii) to (v) obtaining letters of introduction from employers, government officers, etc. on 22 August 2019 iii. Spot Cash Forex Bureau – PEP list Compilation on the 23 August 2019 iv. Nakayi and Partners CPA – Registration with FIA v. Mobile Money Network an NGO – Registration as an accountable person		
1 Sanctions enforced for non compliance	No sanction was enforced for non compliance due to improved compliance from reporting entities.		

### Reasons for Variation in performance

No guideline was issued to non regulated entities but 3 guidelines were drafted for review and approval and these included;

- i) Guidance on High Risk Countries
- ii) Guidance for Lawyers as accountable persons
- iii) Guidance for the Non-Governmental organizations

No sanction was enforced for non compliance due to improved compliance from reporting entities.

<b>Total</b>	<b>29,630</b>
Wage Recurrent	0
Non Wage Recurrent	29,630
<i>AIA</i>	0

### Output: 04 Legal Representation and Litigation

# Vote:129 Financial Intelligence Authority (FIA)

## QUARTER 1: Outputs and Expenditure in Quarter

Outputs Planned in Quarter	Actual Outputs Achieved in Quarter	Expenditures incurred in the Quarter to deliver outputs	US\$ Thousand
Legal gaps identified and addressed	Three Legal gap was addressed i.e;	<b>Item</b>	<b>Spent</b>
Litigation cases handled	i) The amendment bill 2019 of AMLA 2013 S. 38 (1) (b) was passed by parliament and the President accented to it on the 19th/9/2019 passing it into law to allow for the spontaneous exchange of information.	211103 Allowances (Inc. Casuals, Temporary)	9,990
Stakeholder MOUs signed	ii) The AML Regulations amendment to incorporate enforcement of administrative sanctions on reporting entities that fail to comply with AMLA. The draft administrative sanctions are still under review by First Parliamentary Council (FPC).	221007 Books, Periodicals & Newspapers	270
	iii) The amendment of the second schedule of AMLA, 2013 as amended, to incorporate Virtual Assets Service Providers (VASPs) as accountable persons. FIA is still fast tracking this amendment through the office of the Honourable Minister of MOFPED.	227004 Fuel, Lubricants and Oils	8,100
	3 Litigation cases were handled and these include;		
	i) Wondu Alemu v Francis Asiimwe, Julia Nansamba, Agro Seeds & Fisheries Ltd, Europet Ltd, KCB Bank (U) Ltd And FIA Civil Suit No. 300 of 2019 - Court is yet to set hearing date.		
	ii) Uganda Health Marketing Group (UHMG) v FIA, HCMC No. 179 OF 2019 in which UHMG applied for judicial review challenging FIA's decision to freeze UHMG accounts. The ruling to be delivered on 25th, October, 2019 at 10:30am.		
	iii) Tadeo Sseruwagi v FIA & Smart Protus Magara HCMC No. 311 of 2019 in the Application for review of court's judgment in the case of Smart Protus Magara v FIA MISC Cause No. 215 of 2018. The ruling is to be delivered on 6th December, 2019 at 11:30am.		
	No MOUs were signed during the quarter. However, The MOU between FIA and KCCA was drafted and it is under review.		

### Reasons for Variation in performance

The MOU between FIA and KCCA was drafted and it is under review.

**Total 18,360**

# Vote:129 Financial Intelligence Authority (FIA)

## QUARTER 1: Outputs and Expenditure in Quarter

Outputs Planned in Quarter	Actual Outputs Achieved in Quarter	Expenditures incurred in the Quarter to deliver outputs	US\$ Thousand
		Wage Recurrent	0
		Non Wage Recurrent	18,360
		AIA	0
		<b>Total For SubProgramme</b>	<b>47,990</b>
		Wage Recurrent	0
		Non Wage Recurrent	47,990
		AIA	0

### Recurrent Programmes

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

##### Outputs Provided

##### Output: 05 Coordination of the implementation of AML/CFT NRA and MER recommendations

		Item	Spent
Conduct 5 awareness campaigns across the country	No public awareness campaigns were conducted during the period under review	221001 Advertising and Public Relations	30,350
Conduct AML/CFT training for 2 reporting entities	Conducted AML/CFT training for 15 reporting entities reaching out to over 500 staff and members of accountable persons. These included; Top management of Brac Uganda Bank on -11/07/2019, staff of EFC Microfinance Ltd - 22/07/2019, Anti-Money Laundering officers of Jubilee Insurance Company and Board Members of UGAFODE Microfinance - 27/07/2019, Top Management and staff members of YAKO Microfinance - 06th 08 2019, Staff and Management members of GEI Forex and Exchange services -10th August 2019 Members of Lawrie Prophet Certified Public Accountants & Cos – 15/08/2019, credit and Sales staff members of EFC Microfinance Ltd FIA – 07/09/2019, 100 members of Association of Mobile Money Traders - mobile money agents' members - 9th September 2019 were trained on AML/CFT roles and obligations at Yovani Hotel in Rubaga, 80 Members of Association of Post Bank Management in East Africa, 03rd-06th September 2019, FIA trained, 10 Top Management staff members of Dahabshill Forex Bureau were trained on 13th September 2019, KCCA top Management and Technical wing were trained on 24th September 2019, members of the Watoto Church and Watoto NGO were trained on the AML/CFT obligations of Churches and Non-profit organisations on 25th September 2019 and 08 staff members and Executive Management of Exim Bank were trained on their AML/CFT obligations on 29th September 2019.	221002 Workshops and Seminars	20,000
Implement 100% recommendation of the UAMLC Task force recommendations		221011 Printing, Stationery, Photocopying and Binding	20,000
		224003 Classified Expenditure	50,000
		227001 Travel inland	20,000
		227002 Travel abroad	15,000
		228002 Maintenance - Vehicles	4,645
	100% recommendations of the UAMLC task force were implemented.		

# Vote:129 Financial Intelligence Authority (FIA)

## QUARTER 1: Outputs and Expenditure in Quarter

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

### Reasons for Variation in performance

No public awareness campaigns were conducted during the period under review due to inadequate funds remitted. The activity is scheduled to be conducted in the next quarter

<b>Total</b>	<b>159,995</b>
Wage Recurrent	0
Non Wage Recurrent	159,995
<i>AIA</i>	0

### Output: 06 Financial Intelligence Research and Strategic Development

Conduct one study on ML/TF trends and methods in Uganda to inform policy	2 typology studies were still being reviewed. Final reports to be submitted in the next quarter	<b>Item</b>	<b>Spent</b>
		211103 Allowances (Inc. Casuals, Temporary)	13,213
		227004 Fuel, Lubricants and Oils	11,000

### Reasons for Variation in performance

2 ML/TF typology study draft reports were reviewed, final reports to be submitted next quarter.

<b>Total</b>	<b>24,213</b>
Wage Recurrent	0
Non Wage Recurrent	24,213
<i>AIA</i>	0
<b>Total For SubProgramme</b>	<b>184,209</b>
Wage Recurrent	0
Non Wage Recurrent	184,209
<i>AIA</i>	0

### Recurrent Programmes

### Subprogram: 07 Operational Analysis

#### Outputs Provided

### Output: 01 Analysis and Reporting Financial Operations in the different Sectors

# Vote:129 Financial Intelligence Authority (FIA)

## QUARTER 1: Outputs and Expenditure in Quarter

Outputs Planned in Quarter	Actual Outputs Achieved in Quarter	Expenditures incurred in the Quarter to deliver outputs	US\$ Thousand
Reports received and analysed Intelligence information gathered Intelligence reports disseminated Databases maintained Due diligence on investors intending to partner with government in infrastructural developments conducted	During this quarter, 691 Suspicious Transaction Reports (STRs) were received and analysed.  Intelligence information was gathered from various sources to assist in collaborating the financial analysis process  Out of the 691 STRs received and analysed, 09 intelligence reports were generated and disseminated to various Law Enforcement Agencies (LEAs) for further management and investigation  All databases was regularly updated with new information.  One financial due diligence request was received from MoFPED on the 31st/7/2019 and the report is yet to be submitted.  Disseminated 09 STRs; and Closed 575 STR files, while 107 STRs files remained pending receipt of additional information to enable further analysis.	<b>Item</b> 211103 Allowances (Inc. Casuals, Temporary) 221008 Computer supplies and Information Technology (IT) 221011 Printing, Stationery, Photocopying and Binding 221012 Small Office Equipment 221017 Subscriptions 224003 Classified Expenditure 224004 Cleaning and Sanitation 226001 Insurances 227001 Travel inland 227002 Travel abroad 227004 Fuel, Lubricants and Oils 228002 Maintenance - Vehicles	<b>Spent</b> 1,925 4,862 10,000 5,000 12,532 100,000 8,000 5,000 750 15,000 15,600 4,595

### Reasons for Variation in performance

The over performance in Q1 was attributed to the increased use of the goAML system to submit various reports and communication as opposed to the manual hard paper report and mail communication.

<b>Total</b>	<b>183,264</b>
Wage Recurrent	0
Non Wage Recurrent	183,264
<i>AIA</i>	0
<b>Total For SubProgramme</b>	<b>183,264</b>
Wage Recurrent	0
Non Wage Recurrent	183,264
<i>AIA</i>	0

### Recurrent Programmes

#### Subprogram: 08 AML Systems and ICT Management

##### Outputs Provided

#### Output: 02 Ensure safety and integrity of FIA information

Phased roll out of goAML to 100% Financial Institutions onto goAML system	goAML electronic system was rolled out to 85% of the Financial Institutions during the quarter	<b>Item</b> 211103 Allowances (Inc. Casuals, Temporary) 222001 Telecommunications 227002 Travel abroad 227004 Fuel, Lubricants and Oils 228002 Maintenance - Vehicles	<b>Spent</b> 6,530 8,247 20,000 12,000 5,000
--	--	--	---



# Vote:129 Financial Intelligence Authority (FIA)

## QUARTER 1: Outputs and Expenditure in Quarter

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

### Reasons for Variation in performance

The 15% of the financial institutions that are yet to be enrolled did not have adequate ICT facilities to be compatible with the goAML system. Arrangements are being made to upgrade their respective systems to support the goAML enrolment in the next quarter

	<b>Total</b>	<b>51,777</b>
Wage Recurrent		0
Non Wage Recurrent		51,777
AIA		0
<b>Total For SubProgramme</b>	<b>51,777</b>	
Wage Recurrent		0
Non Wage Recurrent		51,777
AIA		0
<b>GRAND TOTAL</b>	<b>2,338,009</b>	
Wage Recurrent		867,235
Non Wage Recurrent		1,363,274
GoU Development		107,500
External Financing		0
AIA		0

# Vote:129 Financial Intelligence Authority (FIA)

## QUARTER 2: 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>		
-----------------------	--	---	--	--

### Program: 12 General Administration and Support Services

#### Recurrent Programmes

#### Subprogram: 07 Finance and Administration

#### Outputs Provided

#### Output: 01 FIA Support Services and Administration

	<b>Item</b>	<b>Balance b/f</b>	<b>New Funds</b>	<b>Total</b>
Office Supplies for staff procured	211103 Allowances (Inc. Casuals, Temporary)	1,430	0	1,430
Financial Management and Accountability policies and operation procedures reviewed and enforced	221017 Subscriptions	500	0	500
Routine Operations facilitated to ensure efficiency and effectiveness	223003 Rent – (Produced Assets) to private entities	20,455	0	20,455
	223004 Guard and Security services	4,154	0	4,154
	223005 Electricity	11,218	0	11,218
	226001 Insurances	250	0	250
	227001 Travel inland	794	0	794
	<b>Total</b>	<b>38,801</b>	<b>0</b>	<b>38,801</b>
	<i>Wage Recurrent</i>	<i>0</i>	<i>0</i>	<i>0</i>
	<i>Non Wage Recurrent</i>	<i>38,801</i>	<i>0</i>	<i>38,801</i>
	<i>AIA</i>	<i>0</i>	<i>0</i>	<i>0</i>

#### Output: 21 Development of Internal Audit Controls and Risk Management

	<b>Item</b>	<b>Balance b/f</b>	<b>New Funds</b>	<b>Total</b>
1 Risk based audit conducted	211103 Allowances (Inc. Casuals, Temporary)	500	0	500
FIA risk register reviewed and updated once during the quarter	221007 Books, Periodicals & Newspapers	500	0	500
	221011 Printing, Stationery, Photocopying and Binding	9,570	0	9,570
	221012 Small Office Equipment	4,000	0	4,000
	227001 Travel inland	3,750	0	3,750
	<b>Total</b>	<b>18,320</b>	<b>0</b>	<b>18,320</b>
	<i>Wage Recurrent</i>	<i>0</i>	<i>0</i>	<i>0</i>
	<i>Non Wage Recurrent</i>	<i>18,320</i>	<i>0</i>	<i>18,320</i>
	<i>AIA</i>	<i>0</i>	<i>0</i>	<i>0</i>

# Vote:129 Financial Intelligence Authority (FIA)

## QUARTER 2: 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>		
-----------------------	--	---	--	--

### Subprogram: 09 Human Resource Management Services

#### *Outputs Provided*

#### Output: 19 Human Resource Management Services

Human capital effectively managed	Item	Balance b/f	New Funds	Total
	211102 Contract Staff Salaries	2,115	0	2,115
	212101 Social Security Contributions	3,100	0	3,100
	213004 Gratuity Expenses	4,740	0	4,740
	221006 Commissions and related charges	9,212	0	9,212
	221007 Books, Periodicals & Newspapers	6,967	0	6,967
	221009 Welfare and Entertainment	7,930	0	7,930
	221017 Subscriptions	7,000	0	7,000
	<b>Total</b>	<b>41,064</b>	<b>0</b>	<b>41,064</b>
	<i>Wage Recurrent</i>	<i>2,115</i>	<i>0</i>	<i>2,115</i>
	<i>Non Wage Recurrent</i>	<i>38,949</i>	<i>0</i>	<i>38,949</i>
	<i>AIA</i>	<i>0</i>	<i>0</i>	<i>0</i>

#### *Development Projects*

### Program: 21 Prevention of ML/TF and Financial Intelligence Information Management

#### *Recurrent Programmes*

### Subprogram: 02 Legal, Inspection and Compliance

#### *Outputs Provided*

#### Output: 03 Compliance with AML and CFT laws and Regulations

1 inspection report produced	Item	Balance b/f	New Funds	Total
5 Accountable persons registered	221011 Printing, Stationery, Photocopying and Binding	20,000	0	20,000
1 guideline/opinion issued	227001 Travel inland	2,970	0	2,970
	<b>Total</b>	<b>22,970</b>	<b>0</b>	<b>22,970</b>
1 compliance report from reporting entity or Regulatory authority reviewed	<i>Wage Recurrent</i>	<i>0</i>	<i>0</i>	<i>0</i>
	<i>Non Wage Recurrent</i>	<i>22,970</i>	<i>0</i>	<i>22,970</i>
1 Sanction enforced	<i>AIA</i>	<i>0</i>	<i>0</i>	<i>0</i>

# Vote:129 Financial Intelligence Authority (FIA)

## QUARTER 2: 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>		
-----------------------	--	---	--	--

### Output: 04 Legal Representation and Litigation

Legal gaps identified and address	Item	Balance b/f	New Funds	Total
Litigation cases fast tracked and handled	211103 Allowances (Inc. Casuals, Temporary)	10	0	10
	221007 Books, Periodicals & Newspapers	330	0	330
1 Stakeholder MOU developed and signed	221011 Printing, Stationery, Photocopying and Binding	12,000	0	12,000
	227001 Travel inland	1,000	0	1,000
	<b>Total</b>	<b>13,340</b>	<b>0</b>	<b>13,340</b>
	<i>Wage Recurrent</i>	<i>0</i>	<i>0</i>	<i>0</i>
	<i>Non Wage Recurrent</i>	<i>13,340</i>	<i>0</i>	<i>13,340</i>
	<i>AIA</i>	<i>0</i>	<i>0</i>	<i>0</i>

### Subprogram: 05 International Relations and Strategic Analysis

#### Outputs Provided

### Output: 05 Coordination of the implementation of AML/CFT NRA and MER recommendations

2 AML/CFT Awareness campaigns conducted across Uganda	Item	Balance b/f	New Funds	Total
2 Accountable persons and 1 supervisory bodies trained on AML/CFT	221001 Advertising and Public Relations	5,781	0	5,781
	221011 Printing, Stationery, Photocopying and Binding	20,000	0	20,000
Monitor implementation of Various recommendations from AML/CFT coordination forum	228002 Maintenance - Vehicles	355	0	355
	<b>Total</b>	<b>26,135</b>	<b>0</b>	<b>26,135</b>
	<i>Wage Recurrent</i>	<i>0</i>	<i>0</i>	<i>0</i>
	<i>Non Wage Recurrent</i>	<i>26,135</i>	<i>0</i>	<i>26,135</i>
	<i>AIA</i>	<i>0</i>	<i>0</i>	<i>0</i>

### Output: 06 Financial Intelligence Research and Strategic Development

Finalisation of the 2 typology studies i.e. ML/TF Typology study on Sports betting in Uganda and ML/TF typology study on the NGO sector in Uganda	Item	Balance b/f	New Funds	Total
	211103 Allowances (Inc. Casuals, Temporary)	1,787	0	1,787
	221007 Books, Periodicals & Newspapers	2,000	0	2,000
	<b>Total</b>	<b>3,787</b>	<b>0</b>	<b>3,787</b>
	<i>Wage Recurrent</i>	<i>0</i>	<i>0</i>	<i>0</i>
	<i>Non Wage Recurrent</i>	<i>3,787</i>	<i>0</i>	<i>3,787</i>
	<i>AIA</i>	<i>0</i>	<i>0</i>	<i>0</i>

# Vote:129 Financial Intelligence Authority (FIA)

## QUARTER 2: 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>		
-----------------------	--	---	--	--

### Subprogram: 07 Operational Analysis

#### Outputs Provided

#### Output: 01 Analysis and Reporting Financial Operations in the different Sectors

	<b>Item</b>	<b>Balance b/f</b>	<b>New Funds</b>	<b>Total</b>
120 suspicious reports received and analysed				
Intelligence information gathered on 10% of reports considered for dissemination	211103 Allowances (Inc. Casuals, Temporary)	5,075	0	5,075
	221001 Advertising and Public Relations	5,000	0	5,000
10% of intelligence reports disseminated found useful through obtaining feedback from respective LEAs	221007 Books, Periodicals & Newspapers	1,000	0	1,000
	221008 Computer supplies and Information Technology (IT)	20,138	0	20,138
All databases maintained and updated on a monthly basis	221011 Printing, Stationery, Photocopying and Binding	10,000	0	10,000
	221012 Small Office Equipment	5,000	0	5,000
	221017 Subscriptions	668	0	668
	226001 Insurances	5,000	0	5,000
	227001 Travel inland	1,250	0	1,250
	228002 Maintenance - Vehicles	405	0	405
	<b>Total</b>	<b>53,536</b>	<b>0</b>	<b>53,536</b>
	<b>Wage Recurrent</b>	<b>0</b>	<b>0</b>	<b>0</b>
	<b>Non Wage Recurrent</b>	<b>53,536</b>	<b>0</b>	<b>53,536</b>
	<b>AIA</b>	<b>0</b>	<b>0</b>	<b>0</b>

### Subprogram: 08 AML Systems and ICT Management

#### Outputs Provided

#### Output: 02 Ensure safety and integrity of FIA information

	<b>Item</b>	<b>Balance b/f</b>	<b>New Funds</b>	<b>Total</b>
86% of Financial Institutions rolled out onto goAML electronic system.				
	211103 Allowances (Inc. Casuals, Temporary)	220	0	220
	221011 Printing, Stationery, Photocopying and Binding	2,500	0	2,500
	222001 Telecommunications	3,754	0	3,754
	227001 Travel inland	2,000	0	2,000
	<b>Total</b>	<b>8,474</b>	<b>0</b>	<b>8,474</b>
	<b>Wage Recurrent</b>	<b>0</b>	<b>0</b>	<b>0</b>
	<b>Non Wage Recurrent</b>	<b>8,474</b>	<b>0</b>	<b>8,474</b>
	<b>AIA</b>	<b>0</b>	<b>0</b>	<b>0</b>

#### Development Projects

<b>GRAND TOTAL</b>	<b>226,426</b>	<b>0</b>	<b>226,426</b>
<b>Wage Recurrent</b>	<b>2,115</b>	<b>0</b>	<b>2,115</b>
<b>Non Wage Recurrent</b>	<b>224,311</b>	<b>0</b>	<b>224,311</b>
<b>GoU Development</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>External Financing</b>	<b>0</b>	<b>0</b>	<b>0</b>

Vote:129 Financial Intelligence Authority (FIA)

QUARTER 2: Revised Workplan

UShs Thousand	Planned Outputs for the Quarter	Estimated Funds Available in Quarter (from balance brought forward and actual/expected releaes)
		AIA000