

Vote:129 Financial Intelligence Authority (FIA)

QUARTER 3: Highlights of Vote Performance

V1: Summary of Issues in Budget Execution

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

| | | Approved Budget | Released by End Q 3 | Spent by End Q3 | % Budget Released | % Budget Spent | % Releases Spent |
|--|-----------|-----------------|---------------------|-----------------|-------------------|----------------|------------------|
| Recurrent | Wage | 3.744 | 2.808 | 2.792 | 75.0% | 74.6% | 99.4% |
| | Non Wage | 11.752 | 9.618 | 8.094 | 81.8% | 68.9% | 84.2% |
| Dev. | GoU | 0.215 | 0.108 | 0.025 | 50.2% | 11.6% | 23.0% |
| | Ext. Fin. | 0.000 | 0.000 | 0.000 | 0.0% | 0.0% | 0.0% |
| GoU Total | | 15.711 | 12.534 | 10.911 | 79.8% | 69.4% | 87.0% |
| Total GoU+Ext Fin (MTEF) | | 15.711 | 12.534 | 10.911 | 79.8% | 69.4% | 87.0% |
| Arrears | | 0.000 | 0.000 | 0.000 | 0.0% | 0.0% | 0.0% |
| Total Budget | | 15.711 | 12.534 | 10.911 | 79.8% | 69.4% | 87.0% |
| <i>A.I.A Total</i> | | 0.000 | 0.000 | 0.000 | 0.0% | 0.0% | 0.0% |
| Grand Total | | 15.711 | 12.534 | 10.911 | 79.8% | 69.4% | 87.0% |
| Total Vote Budget Excluding Arrears | | 15.711 | 12.534 | 10.911 | 79.8% | 69.4% | 87.0% |

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 | 9.75 | 7.54 | 6.24 | 77.4% | 64.1% | 82.8% |
| Program: 1421 Prevention of ML/TF and Financial Intelligence Information Management | 5.97 | 4.99 | 4.67 | 83.7% | 78.2% | 93.5% |
| Total for Vote | 15.71 | 12.53 | 10.91 | 79.8% | 69.4% | 87.0% |

Matters to note in budget execution

In Q3 FIA received UGX 2,659,245,836 (16.9%) of the approved its annual budget. The cumulative funds released to the FIA by end of Q3 were UGX 12,533,867,078, or 79.78% of the approved annual budget. There was no release for development in Q3.

A total of UGX 10,919,814,612 was spent by end of Q3. Expenditures included; statutory wage (UGX 2,791,800,000); gratuity (UGX 433,800,000); non-wage (UGX 7,673,063,412); and development (UGX 21,151,200). No funds were released for development which hindered the Authority's acquisition of tools that would support its operations.

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

| |
|-----------------------------------|
| <i>(i) Major unspent balances</i> |
| Programs , Projects |

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| | |
|--|---|
| Program 1412 General Administration and Support Services | |
| 0.013 Bn Shs | SubProgram/Project :06 Internal Audit |
| Reason: Funds were not enough for the activity. Activity has been scheduled to be conducted next quarter | |
| <i>Items</i> | |
| 12,600,000.000 UShs | 221002 Workshops and Seminars |
| Reason: Funds were not enough for the activity. Activity has been scheduled to be conducted next quarter | |
| 807,162.000 UShs | 221017 Subscriptions |
| Reason: Funds were not enough to cover the cost. Funds to be topped up and spent next quarter | |
| 0.406 Bn Shs | SubProgram/Project :07 Finance and Administration |
| Reason: Supplier was yet to deliver invoice for payment to be effected | |
| <i>Items</i> | |
| 204,082,240.000 UShs | 221006 Commissions and related charges |
| Reason: Supplier was yet to deliver invoice for payment to be effected | |
| 80,325,000.000 UShs | 226001 Insurances |
| Reason: Service provider was yet to deliver invoice for payment to be effected | |
| 78,586,000.000 UShs | 221009 Welfare and Entertainment |
| Reason: Supplier was yet to deliver invoice for payment to be effected | |
| 19,535,230.000 UShs | 223005 Electricity |
| Reason: Service provider was yet to deliver invoice for payment to be effected | |
| 0.652 Bn Shs | SubProgram/Project :09 Human Resource Management Services |
| Reason: Supplier was yet to submit invoice for payment to be effected | |
| <i>Items</i> | |
| 285,750,000.000 UShs | 213004 Gratuity Expenses |
| Reason: Funds were not enough to cover the payouts | |
| 285,686,852.000 UShs | 213001 Medical expenses (To employees) |
| Reason: Supplier was yet to submit invoice for payment to be effected | |
| 57,740,000.000 UShs | 221006 Commissions and related charges |
| Reason: Supplier was yet to submit invoice for payment to be effected | |
| 22,874,425.000 UShs | 223004 Guard and Security services |
| Reason: Service provider was yet to submit invoice for payment to be effected | |
| 0.083 Bn Shs | SubProgram/Project :1623 Retooling of Financial Intelligence Authority |
| Reason: Supplier was yet to submit the invoice for payment to be effected. | |
| <i>Items</i> | |

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| | |
|--|--|
| 82,808,800.000 UShs | 312213 ICT Equipment |
| Reason: Supplier was yet to submit the invoice for payment to be effected. | |
| Program 1421 Prevention of ML/TF and Financial Intelligence Information Management | |
| 0.093 Bn Shs | <i>SubProgram/Project :02 Legal, Inspection and Compliance</i> |
| Reason: Service provider was yet to deliver invoice for payment to be effected. | |
| <i>Items</i> | |
| 33,895,000.000 UShs | 221002 Workshops and Seminars |
| Reason: Service provider was yet to deliver invoice for payment to be effected. | |
| 27,200,000.000 UShs | 227001 Travel inland |
| Reason: Funds were not enough for the activity to be conducted. Activity has been scheduled to be conducted next quarter upon receipt of additional funds. | |
| 13,302,768.000 UShs | 221011 Printing, Stationery, Photocopying and Binding |
| Reason: Supplier was yet to deliver invoice for payment to be effected. | |
| 6,249,998.000 UShs | 221012 Small Office Equipment |
| Reason: Supplier was yet to deliver invoice for payment to be effected. | |
| 5,150,000.000 UShs | 221008 Computer supplies and Information Technology (IT) |
| Reason: Supplier was yet to deliver invoice for payment to be effected. | |
| 0.049 Bn Shs | <i>SubProgram/Project :05 International Relations and Strategic Analysis</i> |
| Reason: Supplier was yet to submit invoice for payment to be effected | |
| <i>Items</i> | |
| 46,059,493.000 UShs | 221001 Advertising and Public Relations |
| Reason: Supplier was yet to submit invoice for payment to be effected | |
| 3,000,000.000 UShs | 221007 Books, Periodicals & Newspapers |
| Reason: Supplier was yet to submit invoice for payment to be effected | |
| 0.061 Bn Shs | <i>SubProgram/Project :07 Operational Analysis</i> |
| Reason: Supplier was yet to submit invoice for payment to be effected. | |
| <i>Items</i> | |
| 37,200,000.000 UShs | 221002 Workshops and Seminars |
| Reason: Service provider was yet to submit invoice for payment to be effected. | |
| 0.050 Bn Shs | <i>SubProgram/Project :08 AML Systems and ICT Management</i> |
| Reason: Service provider was yet to submit invoice for payment to be effected | |
| <i>Items</i> | |
| 23,648,400.000 UShs | 221017 Subscriptions |

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| | |
|---|---|
| Reason: Funds were not enough to cater for the subscription. Payment shall be made next quarter upon receipt of more funds. | |
| 14,580,000.000 UShs | 222001 Telecommunications |
| Reason: Service provider was yet to submit invoice for payment to be effected | |
| 5,483,401.000 UShs | 228002 Maintenance - Vehicles |
| Reason: Service provider was yet to submit invoice for payment to be effected | |
| 2,524,000.000 UShs | 227001 Travel inland |
| Reason: Funds were not enough to cover the activity. Activity to be conducted in next quarter upon receipt of more funds. | |
| 2,197,500.000 UShs | 221011 Printing, Stationery, Photocopying and Binding |
| Reason: Supplier was yet to submit invoice for payment to be effected | |
| <i>(ii) Expenditures in excess of the original approved budget</i> | |

V2: Performance Highlights

Table V2.1: Programme Outcome and Outcome Indicators*

| Programme : 12 General Administration and Support Services | | | |
|--|--------------------------|------------------------|--------------------------|
| Responsible Officer: Sydney Asubo | | | |
| Programme Outcome: An Efficient and effective Financial Intelligence Authority (FIA) | | | |
| Sector Outcomes contributed to by the Programme Outcome | | | |
| 1 .Sustainable Macroeconomic Stability | | | |
| Programme Outcome Indicators | Indicator Measure | Planned 2020/21 | Actuals By END Q3 |
| Level of Compliance of the Authority's planning and Budgeting instruments to NDPII | Percentage | 75% | 60% |
| Level of compliance of the Authority to Gender and Equity budgeting | Percentage | 85% | 61% |
| Annual External Auditor General Rating of the Authority | Percentage | 100% | 100% |
| Programme : 21 Prevention of ML/TF and Financial Intelligence Information Management | | | |
| Responsible Officer: Wandera Were Samuel | | | |
| Programme Outcome: Reduced level of ML and TF cases in all the regions of the country | | | |
| Sector Outcomes contributed to by the Programme Outcome | | | |
| 1 .Sustainable Macroeconomic Stability | | | |
| Programme Outcome Indicators | Indicator Measure | Planned 2020/21 | Actuals By END Q3 |
| Proportion of ML/TF cases disseminated to LEDs with disaggregated data | Percentage | 10% | 6% |

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| | | | |
|--|------------|-----|-----|
| Proportion of STRs analyzed and indicating disaggregated data in terms of age, sex and nationality | Percentage | 30% | 29% |
|--|------------|-----|-----|

Table V2.2: Key Vote Output Indicators*

| Programme : 12 General Administration and Support Services | | | |
|---|-------------------|-----------------|-------------------|
| Sub Programme : 06 Internal Audit | | | |
| KeyOutPut : 21 Development of Internal Audit Controls and Risk Management | | | |
| Key Output Indicators | Indicator Measure | Planned 2020/21 | Actuals By END Q3 |
| Percentage of audit recommendations implemented | Percentage | 40% | 25% |
| Percentage of the strategic actions in the Strategic Plan delivered | Percentage | 40% | 20% |
| No. of risk management assessments conducted | Number | 4 | 3 |
| Sub Programme : 07 Finance and Administration | | | |
| KeyOutPut : 01 FIA Support Services and Administration | | | |
| Key Output Indicators | Indicator Measure | Planned 2020/21 | Actuals By END Q3 |
| No of Financial Statements produced | Number | 2 | 1 |
| Percentage of the Strategic actions in the Strategic Plan delivered | Percentage | 40% | 30% |
| Sub Programme : 09 Human Resource Management Services | | | |
| KeyOutPut : 19 Human Resource Management Services | | | |
| Key Output Indicators | Indicator Measure | Planned 2020/21 | Actuals By END Q3 |
| Percentage of approved FIA structure filled by gender and PWDs | Percentage | 70% | 62.5% |
| Number of staff trained in relevant capacity building by gender | Number | 20 | 15 |
| Programme : 21 Prevention of ML/TF and Financial Intelligence Information Management | | | |
| Sub Programme : 02 Legal, Inspection and Compliance | | | |
| KeyOutPut : 03 Compliance with AML and CFT laws and Regulations | | | |
| Key Output Indicators | Indicator Measure | Planned 2020/21 | Actuals By END Q3 |
| Percentage of accountable persons issued with certificates of registration | Percentage | 61% | 16% |
| Number of inspection reports from regulatory bodies reviewed | Number | 3 | 2 |
| Number of sanctions applied and disaggregated by Accountable Persons | Number | 1 | 0 |

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| KeyOutPut : 04 Legal Representation and Litigation | | | |
|--|-------------------|-----------------|-------------------|
| Key Output Indicators | Indicator Measure | Planned 2020/21 | Actuals By END Q3 |
| Percentage of cases concluded and forwarded for prosecution | Percentage | 100% | 75% |
| Sub Programme : 05 International Relations and Strategic Analysis | | | |
| KeyOutPut : 05 Coordination of the implementation of AML/CFT NRA and MER recommendations | | | |
| Key Output Indicators | Indicator Measure | Planned 2020/21 | Actuals By END Q3 |
| Number of AML/CFT Awareness campaigns conducted by region | Number | 5 | 2 |
| Proportion of Accountable persons and supervisory bodies trained on AML/CFT | Percentage | 55% | 30% |
| Number of recommendations from AML/CFT coordination forum implemented | Number | 16 | 10 |
| KeyOutPut : 06 Financial Intelligence Research and Strategic Development | | | |
| Key Output Indicators | Indicator Measure | Planned 2020/21 | Actuals By END Q3 |
| Number of studies on ML/TF trends and methods concluded with disaggregated data | Number | 2 | 1 |
| Sub Programme : 07 Operational Analysis | | | |
| KeyOutPut : 01 Analysis and Reporting Financial Operations in the different Sectors | | | |
| Key Output Indicators | Indicator Measure | Planned 2020/21 | Actuals By END Q3 |
| Number of (STR)/LCTR/CBR received and analysed with disaggregated data | Number | 480 | 636 |
| Proportion of STRs analysed and disseminated for investigations to the relevant LEAs | Percentage | 10% | 6% |
| Number of due diligence requests on companies handled classified from each requesting MDA | Number | 10 | 20 |
| Sub Programme : 08 AML Systems and ICT Management | | | |
| KeyOutPut : 02 Ensure safety and integrity of FIA information | | | |
| Key Output Indicators | Indicator Measure | Planned 2020/21 | Actuals By END Q3 |
| Number of reporting entities using goAML system disaggregated by Accountable persons | Number | 25 | 18 |
| Number of statistical databases on STR/LCTR/CBR established and maintained to reflect national character | Number | 1 | 1 |

Performance highlights for the Quarter

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Operational Analysis

During this quarter, 636 Suspicious Transaction Reports (STRs) were received and analyzed. Intelligence information was gathered from various sources to assist in collaborating the financial analysis process. Out of the 636 STRs received and analyzed, 11 intelligence reports were generated and disseminated to various Law Enforcement Agencies (LEAs) for further management and investigation. All databases were regularly updated with new information. Thirteen (13) financial due diligence requests were received from MoFPED (6) and Uganda Heart Institute (7): 6 cases were concluded and submitted and 7 cases are still ongoing. Disseminated 11 STRs and Closed 185 STR files, while 440 STRs files remained pending receipt of additional information to enable further analysis.

Cumulatively, by end of quarter three, 1,755 Suspicious Transaction Reports (STRs) were received and analyzed. Intelligence information was gathered from various sources to assist in collaborating the financial analysis process. Out of the 1,755 STRs received and analyzed, 53 intelligence reports were generated and disseminated to various Law Enforcement Agencies (LEAs) for further management and investigation. All databases were regularly updated with new information. 14 financial due diligence request cases have been concluded and submitted and 10 cases are still ongoing. Disseminated 53 STRs; and Closed 394 STR files, while 1,268 STRs files remained pending receipt of additional information to enable further analysis.

Public awareness campaigns

A number of AML/CFT public awareness avenues have been used during the quarter in order to increase AML/CFT knowledge in the public. For example; FIA produced 1 informative article entitled "Congratulations from the FIA on the 35th NRM Liberation Day", and published in the Liberation Day congratulatory bulletin of the New Vision newspaper.

On the January 12, 2021 and February 9, 2021, the Uganda Broadcasting Corporation aired a documentary on the journey of the FIA since inception, with the title: "FIA the Journey". The documentary highlighted the successes that FIA has achieved.

On February 20, 2021, Capital Radio hosted the Executive Director FIA on the popular Saturday morning radio talk show dubbed the Capital Gang. The show discussed steps taken by the FIA to combat illicit financial flows and remove Uganda from the FATF grey list.

A number of multi-stakeholder engagements were conducted in order to fast track the execution of; (a) the ML/TF risk assessment of Legal persons and arrangements; (b) the TF risk assessment of the NPO Sector in Uganda; and (c) the Review and Update of the ML/TF National Risk Assessment (NRA).

FIA intensified the use of digital engagement with the public through its dedicated website, Twitter and Facebook. The digital platforms inform and educate the general public about the work of FIA and increasing public awareness on AML/CFT matters. With the geographical reach of 13 countries including Uganda, the website visits increased from 1,356 in January, to 1,530 in February, and to 2,570 in March 2021.- The total website visits in Q3 were 4,597, and of which 74% were from within Uganda.

Training of Accountable Persons

FIA conducted 8 AML/CFT training engagements with accountable persons: (a) a training on AML/CFT was conducted for Insurance Brokers, Assessors, Agents and MLCOs (March 17-18 2021) at the Insurance Training College; (b) trained leaders from major NGOs operating in Hoima and the greater Bunyoro area (March 23-26, 2021 at Eka Hotel; (c) trained NGO Leaders (31st March- 1st April 2021) at the Brovad Hotel in Masaka; (d) a training of Money Laundering Control Officers (MLCOs) of selected Non-Profit Organizations on March 3, 2021 at Kabira country club; (e) Trained and onboarded to goAML (February 1-2, 2021) one commercial Bank - Afriland First Bank and four Forex Bureaus namely Jetset, Kamwe, Loms and Dollar House, among others.

A number of stakeholder engagements were also conducted during the quarter in order to enhance domestic cooperation. These included; one engagement with the Inspectorate of Government (IG) on March 17, 2021, two engagements with the Uganda Revenue Authority (URA) - Tax Investigations Department on March 4, 2021 and March 17, 2021. An engagement was also held with the Money Laundering Control Officers (MLCOs) of Forex Bureaus and Money Remitters on the February 3, 2021 with the objective of providing feedback aimed at improving the quality of STRs submitted for analysis.

Onsite Inspections

Eight (8) on-site inspections were conducted during quarter three. That is; 4 banks and 4 forex bureaus. Cumulatively, 9 reporting entities have been inspected for the current fiscal year.

Registration of Accountable Persons

A total of 165 entities were registered with the FIA in Q3. These included 1 regulator; 2 Forex Bureaus; 143 NGOs; 10 casinos; 3 Dealers in precious metals and gems; 2 Accountancy Firms; 2 advocates/law firms; 1 Microfinance, and 1 Virtual Assets Service Provider (VASP). Cumulatively, 1,345 accountable persons have been registered.

Legal

FIA handled 11 lawsuits in Q3. These included;

1. Smart Protus Magara v Mwesigwa Samuel, Bulime Bob Henry, Michael Akampulira & others Misc. Application No.56 of 2019 (Arising out of Civil Suit No. 132 of 2018, Civil Suit No. 116 of 2018, Civil Suit No.19 of 2018, Civil Suit No. 856 of 2018).
2. YSB Holdings Ltd & Yahaya Sserundajja V -FIA HCMA (Civil Division) NO. 318/2020.
3. KARITAS Mission Fund Uganda -V- FIA HCMS (Civil Division) NO. 355/2020
4. Wondu Alemu -V- FIA & 5 Others HCCS NO. 300/2019.
5. Mutuuse Ivan & 10 others V Dunamiscoins Resources Ltd HCMA, FIA & BOU (Commercial Division) NO. 1037/2020 (Arising out of HCCS NO. 6/2020).
6. Guaranty Trust Bank V FIA, Mutuuse Ivan & 10 Others HCMA (Commercial Division) NO. 985/2020, (Arising out of HCCS NO. 6 /2020).

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7. Ssevume Martin V FIA & BOU Miscellaneous Application No. 155 of 2021 (Arising Out of Civil Suit No. 1056 of 2019) at The Chief Magistrate's Court of Kampala at Mengo.
8. Musujja Ssemanda Godfrey V Dunamiscoins Ltd, BOU, FIA HCCS NO. 977 OF 2020.
9. Majorlie Sarah Batiibwe & 45 Others V Mutuuse Ivan & 10 others, Dunamiscoins Resources Ltd, FIA HCMA (Commercial Court) No. 1165/2020 (Arising out of MA NO. 1037/2020 & formerly arising from Civil Suit No 6 /2020).
10. UWONET & Uganda National NGO Forum –V- FIA & Attorney General Miscellaneous Cause No. 23 Of 2021.
11. Sanya Ephraim & Others V Development Channel, MTN, Tropical Bank, Airtel and FIA Execution Miscellaneous Application No. 240 of 2020 (Arising From EMA. NO. 12/2021) (Arising from Civil Suit No 936 Of 2018 & Civil Suit No 950 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 |
|---|-----------------|--------------|--------------|-----------------------|--------------------|---------------------|
| Program 1412 General Administration and Support Services | 9.75 | 7.54 | 6.24 | 77.4% | 64.1% | 82.8% |
| <i>Class: Outputs Provided</i> | <i>9.53</i> | <i>7.43</i> | <i>6.22</i> | <i>78.0%</i> | <i>65.3%</i> | <i>83.7%</i> |
| 141201 FIA Support Services and Administration | 3.86 | 3.09 | 2.57 | 80.1% | 66.5% | 83.1% |
| 141219 Human Resource Management Services | 5.57 | 4.28 | 3.60 | 76.8% | 64.7% | 84.2% |
| 141221 Development of Internal Audit Controls and Risk Management | 0.10 | 0.06 | 0.05 | 62.5% | 47.9% | 76.6% |
| <i>Class: Capital Purchases</i> | <i>0.22</i> | <i>0.11</i> | <i>0.02</i> | <i>50.0%</i> | <i>11.5%</i> | <i>23.0%</i> |
| 141276 Purchase of Office and ICT Equipment, including Software | 0.22 | 0.11 | 0.02 | 50.0% | 11.5% | 23.0% |
| Program 1421 Prevention of ML/TF and Financial Intelligence Information Management | 5.97 | 4.99 | 4.67 | 83.7% | 78.2% | 93.5% |
| <i>Class: Outputs Provided</i> | <i>5.97</i> | <i>4.99</i> | <i>4.67</i> | <i>83.7%</i> | <i>78.2%</i> | <i>93.5%</i> |
| 142101 Analysis and Reporting Financial Operations in the different Sectors | 3.05 | 2.88 | 2.81 | 94.3% | 92.1% | 97.6% |
| 142102 Ensure safety and integrity of FIA information | 0.33 | 0.24 | 0.19 | 74.3% | 57.0% | 76.7% |
| 142103 Compliance with AML and CFT laws and Regulations | 0.55 | 0.31 | 0.23 | 56.0% | 42.2% | 75.3% |
| 142104 Legal Representation and Litigation | 0.26 | 0.12 | 0.09 | 46.9% | 33.2% | 70.8% |
| 142105 Coordination of the implementation of AML/CFT NRA and MER recommendations | 0.48 | 0.16 | 0.11 | 34.2% | 23.1% | 67.7% |
| 142106 Financial Intelligence Research and Strategic Development | 1.30 | 1.28 | 1.24 | 98.5% | 95.6% | 97.1% |
| Total for Vote | 15.71 | 12.53 | 10.91 | 79.8% | 69.4% | 87.0% |

Table V3.2: 2020/21 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>15.50</i> | <i>12.43</i> | <i>10.89</i> | <i>80.2%</i> | <i>70.2%</i> | <i>87.6%</i> |
| 211102 Contract Staff Salaries | 3.74 | 2.81 | 2.79 | 75.0% | 74.6% | 99.4% |

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|--|--------------|--------------|--------------|--------|-------|--------|
| 211103 Allowances (Inc. Casuals, Temporary) | 0.43 | 0.33 | 0.31 | 76.6% | 70.9% | 92.5% |
| 212101 Social Security Contributions | 0.38 | 0.29 | 0.28 | 75.0% | 72.8% | 97.0% |
| 213001 Medical expenses (To employees) | 0.29 | 0.29 | 0.00 | 100.0% | 0.8% | 0.8% |
| 213004 Gratuity Expenses | 0.96 | 0.72 | 0.43 | 75.0% | 45.2% | 60.3% |
| 221001 Advertising and Public Relations | 0.11 | 0.09 | 0.04 | 88.0% | 42.4% | 48.2% |
| 221002 Workshops and Seminars | 0.32 | 0.28 | 0.17 | 86.3% | 52.6% | 61.0% |
| 221003 Staff Training | 0.42 | 0.00 | 0.00 | 0.0% | 0.0% | 0.0% |
| 221006 Commissions and related charges | 0.97 | 0.97 | 0.71 | 100.0% | 72.9% | 72.9% |
| 221007 Books, Periodicals & Newspapers | 0.05 | 0.03 | 0.02 | 60.6% | 33.6% | 55.4% |
| 221008 Computer supplies and Information Technology (IT) | 0.06 | 0.05 | 0.04 | 95.5% | 63.3% | 66.3% |
| 221009 Welfare and Entertainment | 0.35 | 0.26 | 0.18 | 75.0% | 52.3% | 69.7% |
| 221011 Printing, Stationery, Photocopying and Binding | 0.17 | 0.17 | 0.13 | 99.1% | 75.6% | 76.3% |
| 221012 Small Office Equipment | 0.05 | 0.04 | 0.02 | 88.9% | 50.3% | 56.6% |
| 221017 Subscriptions | 0.46 | 0.38 | 0.33 | 83.1% | 70.9% | 85.3% |
| 222001 Telecommunications | 0.06 | 0.05 | 0.01 | 75.0% | 20.7% | 27.6% |
| 223003 Rent – (Produced Assets) to private entities | 0.92 | 0.69 | 0.65 | 75.0% | 70.4% | 93.9% |
| 223004 Guard and Security services | 0.22 | 0.16 | 0.14 | 75.0% | 64.4% | 85.9% |
| 223005 Electricity | 0.07 | 0.05 | 0.03 | 75.0% | 47.1% | 62.8% |
| 224003 Classified Expenditure | 3.99 | 3.89 | 3.89 | 97.4% | 97.4% | 100.0% |
| 224004 Cleaning and Sanitation | 0.08 | 0.06 | 0.06 | 75.0% | 73.0% | 97.3% |
| 225001 Consultancy Services- Short term | 0.42 | 0.36 | 0.33 | 85.7% | 77.7% | 90.6% |
| 226001 Insurances | 0.08 | 0.08 | 0.00 | 100.0% | 0.0% | 0.0% |
| 227001 Travel inland | 0.14 | 0.10 | 0.07 | 73.0% | 49.6% | 67.9% |
| 227002 Travel abroad | 0.40 | 0.00 | 0.00 | 0.0% | 0.0% | 0.0% |
| 227004 Fuel, Lubricants and Oils | 0.30 | 0.23 | 0.23 | 75.0% | 74.6% | 99.4% |
| 228002 Maintenance - Vehicles | 0.06 | 0.05 | 0.04 | 75.0% | 60.0% | 80.0% |
| Class: Capital Purchases | 0.22 | 0.11 | 0.02 | 50.0% | 11.5% | 23.0% |
| 312213 ICT Equipment | 0.22 | 0.11 | 0.02 | 50.0% | 11.5% | 23.0% |
| Total for Vote | 15.71 | 12.53 | 10.91 | 79.8% | 69.4% | 87.0% |

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 |
|---|-----------------|-------------|-------------|-----------------------|--------------------|---------------------|
| Program 1412 General Administration and Support Services | 9.75 | 7.54 | 6.24 | 77.4% | 64.1% | 82.8% |
| <i>Recurrent SubProgrammes</i> | | | | | | |
| 06 Internal Audit | 0.10 | 0.06 | 0.05 | 62.5% | 47.9% | 76.6% |
| 07 Finance and Administration | 3.86 | 3.09 | 2.57 | 80.1% | 66.5% | 83.1% |
| 09 Human Resource Management Services | 5.57 | 4.28 | 3.60 | 76.8% | 64.7% | 84.2% |
| <i>Development Projects</i> | | | | | | |
| 1623 Retooling of Financial Intelligence Authority | 0.22 | 0.11 | 0.02 | 50.0% | 11.5% | 23.0% |

Vote:129

Financial Intelligence Authority (FIA)

QUARTER 3: Highlights of Vote Performance

| | | | | | | |
|---|--------------|--------------|--------------|--------------|--------------|--------------|
| Program 1421 Prevention of ML/TF and Financial Intelligence Information Management | 5.97 | 4.99 | 4.67 | 83.7% | 78.2% | 93.5% |
| <i>Recurrent SubProgrammes</i> | | | | | | |
| 02 Legal, Inspection and Compliance | 0.81 | 0.43 | 0.32 | 53.1% | 39.3% | 74.0% |
| 05 International Relations and Strategic Analysis | 1.78 | 1.44 | 1.35 | 81.2% | 76.1% | 93.8% |
| 07 Operational Analysis | 3.05 | 2.88 | 2.81 | 94.3% | 92.1% | 97.6% |
| 08 AML Systems and ICT Management | 0.33 | 0.24 | 0.19 | 74.3% | 57.0% | 76.7% |
| Total for Vote | 15.71 | 12.53 | 10.91 | 79.8% | 69.4% | 87.0% |

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 3: Cumulative Outputs and Expenditure by End of Quarter

| Annual Planned Outputs | Cumulative Outputs Achieved by End of Quarter | Cumulative Expenditures made by the End of the Quarter to Deliver Cumulative Outputs | UShs Thousand |
|------------------------|--|--|------------------|
|------------------------|--|--|------------------|

Program: 12 General Administration and Support Services

Recurrent Programmes

Subprogram: 06 Internal Audit

Outputs Provided

Output: 21 Development of Internal Audit Controls and Risk Management

4 risk based audits conducted

Three risk based audit was conducted

| Item | Spent |
|---|--------|
| 211103 Allowances (Inc. Casuals, Temporary) | 6,200 |
| 221002 Workshops and Seminars | 2,800 |
| 221017 Subscriptions | 2,193 |
| 227001 Travel inland | 25,780 |
| 227004 Fuel, Lubricants and Oils | 9,000 |

Reasons for Variation in performance

No variation. Performance was as per the plan

| | |
|-------------------------------|---------------|
| Total | 45,973 |
| Wage Recurrent | 0 |
| Non Wage Recurrent | 45,973 |
| AIA | 0 |
| Total For SubProgramme | 45,973 |
| Wage Recurrent | 0 |
| Non Wage Recurrent | 45,973 |
| AIA | 0 |

Recurrent Programmes

Subprogram: 07 Finance and Administration

Outputs Provided

Output: 01 FIA Support Services and Administration

Vote:129

Financial Intelligence Authority (FIA)

QUARTER 3: Cumulative Outputs and Expenditure by End of Quarter

| Annual Planned Outputs | Cumulative Outputs Achieved by End of Quarter | Cumulative Expenditures made by the End of the Quarter to Deliver Cumulative Outputs | US\$ Thousand |
|------------------------|--|--|------------------|
| Resources mobilised | 80% of the annual required resources were mobilised. | Item | Spent |
| | | 211103 Allowances (Inc. Casuals, Temporary) | 109,957 |
| | | 221002 Workshops and Seminars | 104,523 |
| | | 221006 Commissions and related charges | 695,918 |
| | | 221007 Books, Periodicals & Newspapers | 9,572 |
| | | 221009 Welfare and Entertainment | 180,660 |
| | | 221011 Printing, Stationery, Photocopying and Binding | 75,282 |
| | | 221017 Subscriptions | 307,831 |
| | | 223003 Rent – (Produced Assets) to private entities | 648,975 |
| | | 223004 Guard and Security services | 53,992 |
| | | 223005 Electricity | 32,965 |
| | | 224003 Classified Expenditure | 221,000 |
| | | 224004 Cleaning and Sanitation | 61,321 |
| | | 227001 Travel inland | 5,730 |
| | | 227004 Fuel, Lubricants and Oils | 63,900 |

Reasons for Variation in performance

No variation

| | |
|-------------------------------|------------------|
| Total | 2,571,626 |
| Wage Recurrent | 0 |
| Non Wage Recurrent | 2,571,626 |
| <i>AIA</i> | 0 |
| Total For SubProgramme | 2,571,626 |
| Wage Recurrent | 0 |
| Non Wage Recurrent | 2,571,626 |
| <i>AIA</i> | 0 |

Recurrent Programmes

Subprogram: 09 Human Resource Management Services

Outputs Provided

Output: 19 Human Resource Management Services

| | | | |
|-----------------------------------|---|--|--------------|
| Human capital effectively managed | Human capital was effectively and efficiently managed | Item | Spent |
| | | 211102 Contract Staff Salaries | 2,791,800 |
| | | 212101 Social Security Contributions | 279,320 |
| | | 213001 Medical expenses (To employees) | 2,313 |
| | | 213004 Gratuity Expenses | 433,800 |
| | | 221006 Commissions and related charges | 10,000 |
| | | 223004 Guard and Security services | 85,108 |

Reasons for Variation in performance

Vote:129

Financial Intelligence Authority (FIA)

QUARTER 3: Cumulative Outputs and Expenditure by End of Quarter

| Annual Planned Outputs | Cumulative Outputs Achieved by End of Quarter | Cumulative Expenditures made by the End of the Quarter to Deliver Cumulative Outputs | US\$ Thousand |
|------------------------|---|--|------------------|
|------------------------|---|--|------------------|

No variation

| | |
|-------------------------------|------------------|
| Total | 3,602,341 |
| Wage Recurrent | 2,791,800 |
| Non Wage Recurrent | 810,541 |
| AIA | 0 |
| Total For SubProgramme | 3,602,341 |
| Wage Recurrent | 2,791,800 |
| Non Wage Recurrent | 810,541 |
| AIA | 0 |

Development Projects

Project: 1623 Retooling of Financial Intelligence Authority

Capital Purchases

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

| Modern ICT infrastructure for both hardware and software acquired | 40% of modern ICT infrastructure for both hardware and software was acquired. | Item | Spent |
|---|---|----------------------|--------|
| | | 312213 ICT Equipment | 24,691 |

Reasons for Variation in performance

Achievement was as per planned target

| | |
|-------------------------------|---------------|
| Total | 24,691 |
| GoU Development | 24,691 |
| External Financing | 0 |
| AIA | 0 |
| Total For SubProgramme | 24,691 |
| GoU Development | 24,691 |
| 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

Output: 03 Compliance with AML and CFT laws and Regulations

Vote:129

Financial Intelligence Authority (FIA)

QUARTER 3: Cumulative Outputs and Expenditure by End of Quarter

| Annual Planned Outputs | Cumulative Outputs Achieved by End of Quarter | Cumulative Expenditures made by the End of the Quarter to Deliver Cumulative Outputs | US\$ Thousand |
|--|---|--|------------------|
| 50% of Accountable persons registered as per their categories list in the AMLA, 2013 | 1351 representing 16% of Accountable persons were registered as per their categories listed in the Second Schedule of the AMLA, 2013. 9 AML/CFT on site inspections were conducted on accountable persons | Item | Spent |
| | | 211103 Allowances (Inc. Casuals, Temporary) | 67,190 |
| | | 221001 Advertising and Public Relations | 2,200 |
| 4 AML/CFT On site inspections conducted on accountable persons | | 221002 Workshops and Seminars | 49,535 |
| | | 221007 Books, Periodicals & Newspapers | 1,239 |
| | | 221008 Computer supplies and Information Technology (IT) | 4,850 |
| | | 221011 Printing, Stationery, Photocopying and Binding | 9,697 |
| | | 221012 Small Office Equipment | 9,630 |
| | | 222001 Telecommunications | 665 |
| | | 224003 Classified Expenditure | 48,000 |
| | | 227001 Travel inland | 5,175 |
| | | 227004 Fuel, Lubricants and Oils | 33,750 |

Reasons for Variation in performance

the performance was affected by limited public awareness on AML/CFT matters

| | |
|--------------------|----------------|
| Total | 231,931 |
| Wage Recurrent | 0 |
| Non Wage Recurrent | 231,931 |
| <i>AIA</i> | 0 |

Output: 04 Legal Representation and Litigation

| | | | |
|-----------------------------|---|---|--------------|
| Reviewed AML/CFT legal work | The reviewed AML/CFT regulations for administering the sanctions regime in line with the amendments of AMLA, 2013 (as amended) were submitted for approval and are currently with the First Parliamentary Counsel (FPC) | Item | Spent |
| | | 211103 Allowances (Inc. Casuals, Temporary) | 34,805 |
| | | 221002 Workshops and Seminars | 6,070 |
| | | 221007 Books, Periodicals & Newspapers | 3,488 |
| | | 221012 Small Office Equipment | 9,120 |
| | | 221017 Subscriptions | 4,786 |
| | | 224003 Classified Expenditure | 3,750 |
| | | 227004 Fuel, Lubricants and Oils | 24,300 |

Reasons for Variation in performance

The reviewed AML/CFT regulations for administering the sanctions regime in line with the amendments of AMLA, 2013 (as amended) were submitted for approval and are currently with the First Parliamentary Counsel (FPC)

| | |
|-------------------------------|----------------|
| Total | 86,319 |
| Wage Recurrent | 0 |
| Non Wage Recurrent | 86,319 |
| <i>AIA</i> | 0 |
| Total For SubProgramme | 318,250 |
| Wage Recurrent | 0 |
| Non Wage Recurrent | 318,250 |
| <i>AIA</i> | 0 |

Vote:129

Financial Intelligence Authority (FIA)

QUARTER 3: Cumulative Outputs and Expenditure by End of Quarter

| Annual Planned Outputs | Cumulative Outputs Achieved by End of Quarter | Cumulative Expenditures made by the End of the Quarter to Deliver Cumulative Outputs | UShs Thousand |
|------------------------|---|--|---------------|
|------------------------|---|--|---------------|

Recurrent Programmes

Subprogram: 05 International Relations and Strategic Analysis

Outputs Provided

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

| | | | |
|--|--|---|----------------|
| 2 stakeholder workshops held to fasttrack the of the NER/MER recommendations | 3 engagements were conducted to fast track the implementation of the NRA/MER recommendations | Item | Spent |
| | | 221001 Advertising and Public Relations | 42,300 |
| | | 221011 Printing, Stationery, Photocopying and Binding | 24,290 |
| | | 227001 Travel inland | 29,220 |
| | | 228002 Maintenance - Vehicles | 14,904 |
| Reasons for Variation in performance | | | |
| No variation | | | |
| Total | | | 110,714 |
| Wage Recurrent | | | 0 |
| Non Wage Recurrent | | | 110,714 |
| AIA | | | 0 |

Output: 06 Financial Intelligence Research and Strategic Development

| | | | |
|---|---|---|------------------|
| 2 ML/TF typology studies conducted to appreciate ML/TF trends in Uganda and inform policy | Three ML/TF risk assessments are being conducted to appreciate the ML/TF threats and vulnerabilities. These include; ML/TF risk assessment of legal persons and arrangements in Uganda; TF risk assessment of the NPO sector in Uganda; and the ML/TF National Risk Assessment (NRA) is being undertaken to review the findings of the previous NRA that was conducted in 2017. | Item | Spent |
| | | 211103 Allowances (Inc. Casuals, Temporary) | 29,952 |
| | | 224003 Classified Expenditure | 1,000,000 |
| | | 225001 Consultancy Services- Short term | 186,432 |
| | | 227004 Fuel, Lubricants and Oils | 27,000 |
| Reasons for Variation in performance | | | |
| No variations | | | |
| Total | | | 1,243,384 |
| Wage Recurrent | | | 0 |
| Non Wage Recurrent | | | 1,243,384 |
| AIA | | | 0 |
| Total For SubProgramme | | | 1,354,098 |
| Wage Recurrent | | | 0 |
| Non Wage Recurrent | | | 1,354,098 |
| AIA | | | 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 3: Cumulative Outputs and Expenditure by End of Quarter

| Annual Planned Outputs | Cumulative Outputs Achieved by End of Quarter | Cumulative Expenditures made by the End of the Quarter to Deliver Cumulative Outputs | US\$ Thousand |
|--|---|--|--|
| 480 STRs received and analysed from financial institutions | Cumulatively, by end of quarter three, 1,755 Suspicious Transaction Reports (STRs) were received and analyzed. Intelligence information was gathered from various sources to assist in collaborating the financial analysis process. Out of the 1,755 STRs received and analyzed, 53 intelligence reports were generated and disseminated to various Law Enforcement Agencies (LEAs) for further management and investigation. All databases were regularly updated with new information. 14 financial due diligence request cases have been concluded and submitted and 10 cases are still ongoing. Disseminated 53 STRs; and Closed 394 STR files, while 1268 STRs files remained pending receipt of additional information to enable further analysis. | Item 211103 Allowances (Inc. Casuals, Temporary) 221002 Workshops and Seminars 221007 Books, Periodicals & Newspapers 221011 Printing, Stationery, Photocopying and Binding 221012 Small Office Equipment 221017 Subscriptions 224003 Classified Expenditure 225001 Consultancy Services- Short term 227001 Travel inland 227004 Fuel, Lubricants and Oils 228002 Maintenance - Vehicles | Spent 38,760 7,800 919 17,416 3,894 5,897 2,616,559 69,000 2,865 32,400 11,568 |

Reasons for Variation in performance

The over performance by 530% is attributed to the increased use of the goAML system for submission and analysis of STRs

| | |
|-------------------------------|------------------|
| Total | 2,807,078 |
| Wage Recurrent | 0 |
| Non Wage Recurrent | 2,807,078 |
| <i>AIA</i> | 0 |
| Total For SubProgramme | 2,807,078 |
| Wage Recurrent | 0 |
| Non Wage Recurrent | 2,807,078 |
| <i>AIA</i> | 0 |

Recurrent Programmes

Subprogram: 08 AML Systems and ICT Management

Outputs Provided

Output: 02 Ensure safety and integrity of FIA information

Vote:129

Financial Intelligence Authority (FIA)

QUARTER 3: Cumulative Outputs and Expenditure by End of Quarter

| Annual Planned Outputs | Cumulative Outputs Achieved by End of Quarter | Cumulative Expenditures made by the End of the Quarter to Deliver Cumulative Outputs | US\$ Thousand |
|--|---|--|-------------------|
| 80% of financial institutions enrolled on goAML system | 68% of financial institutions were enrolled on goAML system by end of Q3. | Item | Spent |
| | | 211103 Allowances (Inc. Casuals, Temporary) | 20,180 |
| | | 221008 Computer supplies and Information Technology (IT) | 30,619 |
| | | 221011 Printing, Stationery, Photocopying and Binding | 2,803 |
| | | 221017 Subscriptions | 6,352 |
| | | 222001 Telecommunications | 12,420 |
| | | 225001 Consultancy Services- Short term | 70,000 |
| | | 227001 Travel inland | 110 |
| | | 227004 Fuel, Lubricants and Oils | 34,650 |
| | | 228002 Maintenance - Vehicles | 9,517 |
| Reasons for Variation in performance | | | |
| No variation. Achievement was as per the plan. | | | |
| | | Total | 186,649 |
| | | Wage Recurrent | 0 |
| | | Non Wage Recurrent | 186,649 |
| | | AIA | 0 |
| | | Total For SubProgramme | 186,649 |
| | | Wage Recurrent | 0 |
| | | Non Wage Recurrent | 186,649 |
| | | AIA | 0 |
| | | GRAND TOTAL | 10,910,706 |
| | | Wage Recurrent | 2,791,800 |
| | | Non Wage Recurrent | 8,094,215 |
| | | GoU Development | 24,691 |
| | | External Financing | 0 |
| | | AIA | 0 |

Vote:129 Financial Intelligence Authority (FIA)

QUARTER 3: Outputs and Expenditure in Quarter

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

Program: 12 General Administration and Support Services

Recurrent Programmes

Subprogram: 06 Internal Audit

Outputs Provided

Output: 21 Development of Internal Audit Controls and Risk Management

One risk based audit was conducted

One risk based audit was conducted

| Item | Spent |
|---|--------|
| 211103 Allowances (Inc. Casuals, Temporary) | 1,340 |
| 221017 Subscriptions | 2,193 |
| 227001 Travel inland | 25,780 |
| 227004 Fuel, Lubricants and Oils | 3,000 |

Reasons for Variation in performance

No variation. Performance was as per the plan

| | |
|-------------------------------|---------------|
| Total | 32,313 |
| Wage Recurrent | 0 |
| Non Wage Recurrent | 32,313 |
| AIA | 0 |
| Total For SubProgramme | 32,313 |
| Wage Recurrent | 0 |
| Non Wage Recurrent | 32,313 |
| AIA | 0 |

Recurrent Programmes

Subprogram: 07 Finance and Administration

Outputs Provided

Output: 01 FIA Support Services and Administration

12% of the annual required resources mobilised

17% of the annual required resources were mobilised

| Item | Spent |
|---|---------|
| 211103 Allowances (Inc. Casuals, Temporary) | 41,880 |
| 221002 Workshops and Seminars | 5,000 |
| 221006 Commissions and related charges | 301,034 |
| 221009 Welfare and Entertainment | 37,808 |
| 221011 Printing, Stationery, Photocopying and Binding | 43,629 |
| 221017 Subscriptions | 3,093 |
| 223003 Rent – (Produced Assets) to private entities | 215,897 |
| 223005 Electricity | 9,217 |
| 224003 Classified Expenditure | 55,250 |
| 224004 Cleaning and Sanitation | 19,321 |
| 227001 Travel inland | 5,730 |
| 227004 Fuel, Lubricants and Oils | 21,300 |

Reasons for Variation in performance

Vote:129 Financial Intelligence Authority (FIA)

QUARTER 3: Outputs and Expenditure in Quarter

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

No variation

| | |
|-------------------------------|----------------|
| Total | 759,159 |
| Wage Recurrent | 0 |
| Non Wage Recurrent | 759,159 |
| AIA | 0 |
| Total For SubProgramme | 759,159 |
| Wage Recurrent | 0 |
| Non Wage Recurrent | 759,159 |
| AIA | 0 |

Recurrent Programmes

Subprogram: 09 Human Resource Management Services

Outputs Provided

Output: 19 Human Resource Management Services

| Human capital was effectively and efficiently managed | Human capital was effectively and efficiently managed | Item | Spent |
|---|---|--------------------------------------|---------|
| | | 211102 Contract Staff Salaries | 928,900 |
| | | 212101 Social Security Contributions | 93,240 |
| | | 213004 Gratuity Expenses | 55,800 |
| | | 223004 Guard and Security services | 45,425 |

Reasons for Variation in performance

No variation

| | |
|-------------------------------|------------------|
| Total | 1,123,365 |
| Wage Recurrent | 928,900 |
| Non Wage Recurrent | 194,465 |
| AIA | 0 |
| Total For SubProgramme | 1,123,365 |
| Wage Recurrent | 928,900 |
| Non Wage Recurrent | 194,465 |
| AIA | 0 |

Development Projects

Project: 1623 Retooling of Financial Intelligence Authority

Capital Purchases

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

| 10% of modern ICT infrastructure for both hardware and software acquired. | 10% of modern ICT infrastructure for both hardware and software was acquired. | Item | Spent |
|---|---|----------------------|--------|
| | | 312213 ICT Equipment | 17,092 |

Reasons for Variation in performance

Achievement was as per planned target

| | |
|--------------------|---------------|
| Total | 17,092 |
| GoU Development | 17,092 |
| External Financing | 0 |

Vote:129 Financial Intelligence Authority (FIA)

QUARTER 3: Outputs and Expenditure in Quarter

| Outputs Planned in Quarter | Actual Outputs Achieved in Quarter | Expenditures incurred in the Quarter to deliver outputs | US\$ Thousand |
|----------------------------|------------------------------------|---|------------------|
| | | AIA | 0 |
| | | Total For SubProgramme | 17,092 |
| | | GoU Development | 17,092 |
| | | 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

Output: 03 Compliance with AML and CFT laws and Regulations

10% of Accountable persons were registered as per their categories list in the AMLA, 2013; one AML/CFT On site inspection conducted on accountable persons

165 representing 2% of Accountable persons were registered as per their categories list in the AMLA, 2013; and 8 AML/CFT On site inspection were conducted on accountable persons i.e. 4 banks and 4 forex bureaus. The AML/CFT issues discovered were discussed with the management teams of the respective institutions to be resolved.

| Item | Spent |
|---|--------|
| 211103 Allowances (Inc. Casuals, Temporary) | 27,680 |
| 221001 Advertising and Public Relations | 2,200 |
| 221002 Workshops and Seminars | 25,635 |
| 221007 Books, Periodicals & Newspapers | 1,239 |
| 224003 Classified Expenditure | 18,000 |
| 227001 Travel inland | 4,425 |
| 227004 Fuel, Lubricants and Oils | 11,250 |

Reasons for Variation in performance

the performance was affected by limited public awareness on AML/CFT matters

| | |
|--------------------|---------------|
| Total | 90,429 |
| Wage Recurrent | 0 |
| Non Wage Recurrent | 90,429 |
| AIA | 0 |

Output: 04 Legal Representation and Litigation

The reviewed AML/CFT regulations for administering the sanctions regime in line with the amendments of AMLA, 2013 (as amended) currently with the First Parliamentary Counsel (FPC) for approval fast tracked.

The reviewed AML/CFT regulations for administering the sanctions regime in line with the amendments of AMLA, 2013 (as amended) were submitted for approval and are currently with the First Parliamentary Counsel (FPC)

| Item | Spent |
|---|-------|
| 211103 Allowances (Inc. Casuals, Temporary) | 5,000 |
| 221002 Workshops and Seminars | 6,070 |
| 221007 Books, Periodicals & Newspapers | 2,388 |
| 221017 Subscriptions | 3,036 |
| 224003 Classified Expenditure | 1,250 |
| 227004 Fuel, Lubricants and Oils | 8,100 |

Reasons for Variation in performance

The reviewed AML/CFT regulations for administering the sanctions regime in line with the amendments of AMLA, 2013 (as amended) were submitted for approval and are currently with the First Parliamentary Counsel (FPC)

| | |
|--------------------|---------------|
| Total | 25,844 |
| Wage Recurrent | 0 |
| Non Wage Recurrent | 25,844 |
| AIA | 0 |

Vote:129

Financial Intelligence Authority (FIA)

QUARTER 3: Outputs and Expenditure in Quarter

| Outputs Planned in Quarter | Actual Outputs Achieved in Quarter | Expenditures incurred in the Quarter to deliver outputs | US\$ Thousand |
|----------------------------|------------------------------------|---|----------------|
| | | Total For SubProgramme | 116,273 |
| | | Wage Recurrent | 0 |
| | | Non Wage Recurrent | 116,273 |
| | | 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 |
|--|--|---|--------|
| 1 stakeholder workshop held to fast track the of the NER/MER recommendations | 1 engagement was conducted to fast track the implementation of the NRA/MER recommendations | 221001 Advertising and Public Relations | 22,300 |
| | | 227001 Travel inland | 29,220 |
| | | 228002 Maintenance - Vehicles | 9,904 |

Reasons for Variation in performance

No variation

| | | | |
|--|--|--------------------|---------------|
| | | Total | 61,424 |
| | | Wage Recurrent | 0 |
| | | Non Wage Recurrent | 61,424 |
| | | AIA | 0 |

Output: 06 Financial Intelligence Research and Strategic Development

| | | | |
|--|--|---|---------|
| The three ongoing risk assessments to appreciate the ML/TF threats and vulnerabilities in their respective sectors completed. These include; ML/TF risk assessment of legal persons and arrangements in Uganda and TF risk assessment of the NPO sector in Uganda; and the ML/TF National Risk Assessment (NRA) is being undertaken to review the findings of the previous NRA that was conducted in 2017. | Two ML/TF risk assessments are being conducted to appreciate the ML/TF threats and vulnerabilities. These include; TF risk assessment of the NPO sector in Uganda; and the ML/TF National Risk Assessment (NRA) is being undertaken to review the findings of the previous NRA that was conducted in 2017. | Item | Spent |
| | | 211103 Allowances (Inc. Casuals, Temporary) | 11,580 |
| | | 224003 Classified Expenditure | 104,331 |
| | | 225001 Consultancy Services- Short term | 124,057 |
| | | 227004 Fuel, Lubricants and Oils | 9,000 |

Reasons for Variation in performance

No variations

| | | | |
|--|--|-------------------------------|----------------|
| | | Total | 248,968 |
| | | Wage Recurrent | 0 |
| | | Non Wage Recurrent | 248,968 |
| | | AIA | 0 |
| | | Total For SubProgramme | 310,392 |
| | | Wage Recurrent | 0 |
| | | Non Wage Recurrent | 310,392 |
| | | AIA | 0 |

Recurrent Programmes

Subprogram: 07 Operational Analysis

Vote:129

Financial Intelligence Authority (FIA)

QUARTER 3: Outputs and Expenditure in Quarter

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

Outputs Provided

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

120 STRs received and analysed from financial institutions

During this quarter, 636 Suspicious Transaction Reports (STRs) were received and analyzed. Intelligence information was gathered from various sources to assist in collaborating the financial analysis process. Out of the 636 STRs received and analyzed, 11 intelligence reports were generated and disseminated to various Law Enforcement Agencies (LEAs) for further management and investigation. All databases were regularly updated with new information. A total of thirteen (13) financial due diligence requests were received from MoFPED (6) and Uganda Heart Institute (7): 6 cases were concluded and submitted and 7 cases are still ongoing. Disseminated 11 STRs and Closed 185 STR files, while 440 STRs files remained pending receipt of additional information to enable further analysis.

| Item | Spent |
|---|---------|
| 211103 Allowances (Inc. Casuals, Temporary) | 10,930 |
| 221002 Workshops and Seminars | 5,000 |
| 221007 Books, Periodicals & Newspapers | 919 |
| 221011 Printing, Stationery, Photocopying and Binding | 7,416 |
| 221017 Subscriptions | 772 |
| 224003 Classified Expenditure | 108,934 |
| 225001 Consultancy Services- Short term | 69,000 |
| 227001 Travel inland | 2,865 |
| 227004 Fuel, Lubricants and Oils | 10,800 |
| 228002 Maintenance - Vehicles | 3,487 |

Reasons for Variation in performance

The over performance by 530% is attributed to the increased use of the goAML system for submission and analysis of STRs

| | |
|-------------------------------|----------------|
| Total | 220,123 |
| Wage Recurrent | 0 |
| Non Wage Recurrent | 220,123 |
| AIA | 0 |
| Total For SubProgramme | 220,123 |
| Wage Recurrent | 0 |
| Non Wage Recurrent | 220,123 |
| AIA | 0 |

Recurrent Programmes

Subprogram: 08 AML Systems and ICT Management

Outputs Provided

Output: 02 Ensure safety and integrity of FIA information

10% of financial institutions enrolled on goAML system during this quarter

10% of financial institutions were enrolled on goAML system during this quarter

| Item | Spent |
|--|--------|
| 211103 Allowances (Inc. Casuals, Temporary) | 6,680 |
| 221008 Computer supplies and Information Technology (IT) | 1,038 |
| 222001 Telecommunications | 4,850 |
| 225001 Consultancy Services- Short term | 70,000 |
| 227004 Fuel, Lubricants and Oils | 11,550 |
| 228002 Maintenance - Vehicles | 4,517 |

Reasons for Variation in performance

Vote:129

Financial Intelligence Authority (FIA)

QUARTER 3: Outputs and Expenditure in Quarter

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

No variation. Achievement was as per the plan.

| | | | |
|--|--|-------------------------------|------------------|
| | | Total | 98,635 |
| | | Wage Recurrent | 0 |
| | | Non Wage Recurrent | 98,635 |
| | | AIA | 0 |
| | | Total For SubProgramme | 98,635 |
| | | Wage Recurrent | 0 |
| | | Non Wage Recurrent | 98,635 |
| | | AIA | 0 |
| | | GRAND TOTAL | 2,677,352 |
| | | Wage Recurrent | 928,900 |
| | | Non Wage Recurrent | 1,731,360 |
| | | GoU Development | 17,092 |
| | | External Financing | 0 |
| | | AIA | 0 |

Vote:129

Financial Intelligence Authority (FIA)

QUARTER 4: Revised Workplan

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

Program: 12 General Administration and Support Services

Recurrent Programmes

Subprogram: 06 Internal Audit

Outputs Provided

Output: 21 Development of Internal Audit Controls and Risk Management

| | Item | Balance b/f | New Funds | Total |
|--|-------------------------------|--------------------|------------------|---------------|
| | 221002 Workshops and Seminars | 12,600 | 0 | 12,600 |
| | 221017 Subscriptions | 807 | 0 | 807 |
| | 227001 Travel inland | 620 | 0 | 620 |
| | Total | 14,027 | 0 | 14,027 |
| | <i>Wage Recurrent</i> | <i>0</i> | <i>0</i> | <i>0</i> |
| | <i>Non Wage Recurrent</i> | <i>14,027</i> | <i>0</i> | <i>14,027</i> |
| | <i>AIA</i> | <i>0</i> | <i>0</i> | <i>0</i> |

Subprogram: 07 Finance and Administration

Outputs Provided

Output: 01 FIA Support Services and Administration

| | Item | Balance b/f | New Funds | Total |
|--|---|--------------------|------------------|----------------|
| | 211103 Allowances (Inc. Casuals, Temporary) | 2,543 | 0 | 2,543 |
| | 221002 Workshops and Seminars | 25,477 | 0 | 25,477 |
| | 221006 Commissions and related charges | 204,082 | 0 | 204,082 |
| | 221007 Books, Periodicals & Newspapers | 5,654 | 0 | 5,654 |
| | 221009 Welfare and Entertainment | 78,586 | 0 | 78,586 |
| | 221011 Printing, Stationery, Photocopying and Binding | 16,487 | 0 | 16,487 |
| | 221017 Subscriptions | 28,169 | 0 | 28,169 |
| | 222001 Telecommunications | 17,475 | 0 | 17,475 |
| | 223003 Rent – (Produced Assets) to private entities | 42,525 | 0 | 42,525 |
| | 223005 Electricity | 19,535 | 0 | 19,535 |
| | 224004 Cleaning and Sanitation | 1,679 | 0 | 1,679 |
| | 226001 Insurances | 80,325 | 0 | 80,325 |
| | 227001 Travel inland | 520 | 0 | 520 |
| | Total | 523,056 | 0 | 523,056 |
| | <i>Wage Recurrent</i> | <i>0</i> | <i>0</i> | <i>0</i> |
| | <i>Non Wage Recurrent</i> | <i>523,056</i> | <i>0</i> | <i>523,056</i> |
| | <i>AIA</i> | <i>0</i> | <i>0</i> | <i>0</i> |

Vote:129

Financial Intelligence Authority (FIA)

QUARTER 4: Revised Workplan

Subprogram: 09 Human Resource Management Services

Outputs Provided

Output: 19 Human Resource Management Services

| Item | Balance b/f | New Funds | Total |
|--|----------------|-----------|----------------|
| 211102 Contract Staff Salaries | 16,200 | 0 | 16,200 |
| 212101 Social Security Contributions | 8,500 | 0 | 8,500 |
| 213001 Medical expenses (To employees) | 285,687 | 0 | 285,687 |
| 213004 Gratuity Expenses | 285,750 | 0 | 285,750 |
| 221006 Commissions and related charges | 57,740 | 0 | 57,740 |
| 223004 Guard and Security services | 22,874 | 0 | 22,874 |
| Total | 676,751 | 0 | 676,751 |
| <i>Wage Recurrent</i> | <i>16,200</i> | <i>0</i> | <i>16,200</i> |
| <i>Non Wage Recurrent</i> | <i>660,551</i> | <i>0</i> | <i>660,551</i> |
| <i>AIA</i> | <i>0</i> | <i>0</i> | <i>0</i> |

Development Projects

Project: 1623 Retooling of Financial Intelligence Authority

Capital Purchases

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

| Item | Balance b/f | New Funds | Total |
|---------------------------|---------------|-----------|---------------|
| 312213 ICT Equipment | 82,809 | 0 | 82,809 |
| Total | 82,809 | 0 | 82,809 |
| <i>GoU Development</i> | <i>82,809</i> | <i>0</i> | <i>82,809</i> |
| <i>External Financing</i> | <i>0</i> | <i>0</i> | <i>0</i> |
| <i>AIA</i> | <i>0</i> | <i>0</i> | <i>0</i> |

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

Recurrent Programmes

Vote:129

Financial Intelligence Authority (FIA)

QUARTER 4: Revised Workplan

Subprogram: 02 Legal, Inspection and Compliance

Outputs Provided

Output: 03 Compliance with AML and CFT laws and Regulations

| Item | Balance b/f | New Funds | Total |
|--|---------------|-----------|---------------|
| 211103 Allowances (Inc. Casuals, Temporary) | 7,810 | 0 | 7,810 |
| 221001 Advertising and Public Relations | 1,800 | 0 | 1,800 |
| 221002 Workshops and Seminars | 19,965 | 0 | 19,965 |
| 221007 Books, Periodicals & Newspapers | 262 | 0 | 262 |
| 221008 Computer supplies and Information Technology (IT) | 5,150 | 0 | 5,150 |
| 221011 Printing, Stationery, Photocopying and Binding | 10,303 | 0 | 10,303 |
| 221012 Small Office Equipment | 5,370 | 0 | 5,370 |
| 221017 Subscriptions | 1,000 | 0 | 1,000 |
| 222001 Telecommunications | 1,585 | 0 | 1,585 |
| 227001 Travel inland | 22,825 | 0 | 22,825 |
| Total | 76,069 | 0 | 76,069 |
| <i>Wage Recurrent</i> | <i>0</i> | <i>0</i> | <i>0</i> |
| <i>Non Wage Recurrent</i> | <i>76,069</i> | <i>0</i> | <i>76,069</i> |
| <i>AIA</i> | <i>0</i> | <i>0</i> | <i>0</i> |

Output: 04 Legal Representation and Litigation

| Item | Balance b/f | New Funds | Total |
|---|---------------|-----------|---------------|
| 211103 Allowances (Inc. Casuals, Temporary) | 10,195 | 0 | 10,195 |
| 221002 Workshops and Seminars | 13,930 | 0 | 13,930 |
| 221007 Books, Periodicals & Newspapers | 262 | 0 | 262 |
| 221011 Printing, Stationery, Photocopying and Binding | 3,000 | 0 | 3,000 |
| 221012 Small Office Equipment | 880 | 0 | 880 |
| 221017 Subscriptions | 2,214 | 0 | 2,214 |
| 222001 Telecommunications | 750 | 0 | 750 |
| 227001 Travel inland | 4,375 | 0 | 4,375 |
| Total | 35,606 | 0 | 35,606 |
| <i>Wage Recurrent</i> | <i>0</i> | <i>0</i> | <i>0</i> |
| <i>Non Wage Recurrent</i> | <i>35,606</i> | <i>0</i> | <i>35,606</i> |
| <i>AIA</i> | <i>0</i> | <i>0</i> | <i>0</i> |

Vote:129

Financial Intelligence Authority (FIA)

QUARTER 4: Revised Workplan

Subprogram: 05 International Relations and Strategic Analysis

Outputs Provided

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

| Item | Balance b/f | New Funds | Total |
|---|---------------|-----------|---------------|
| 221001 Advertising and Public Relations | 46,059 | 0 | 46,059 |
| 221011 Printing, Stationery, Photocopying and Binding | 5,201 | 0 | 5,201 |
| 227001 Travel inland | 1,405 | 0 | 1,405 |
| 228002 Maintenance - Vehicles | 96 | 0 | 96 |
| Total | 52,762 | 0 | 52,762 |
| Wage Recurrent | 0 | 0 | 0 |
| Non Wage Recurrent | 52,762 | 0 | 52,762 |
| AIA | 0 | 0 | 0 |

Output: 06 Financial Intelligence Research and Strategic Development

| Item | Balance b/f | New Funds | Total |
|---|---------------|-----------|---------------|
| 211103 Allowances (Inc. Casuals, Temporary) | 48 | 0 | 48 |
| 221007 Books, Periodicals & Newspapers | 3,000 | 0 | 3,000 |
| 225001 Consultancy Services- Short term | 33,568 | 0 | 33,568 |
| Total | 36,616 | 0 | 36,616 |
| Wage Recurrent | 0 | 0 | 0 |
| Non Wage Recurrent | 36,616 | 0 | 36,616 |
| AIA | 0 | 0 | 0 |

Subprogram: 07 Operational Analysis

Outputs Provided

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

| Item | Balance b/f | New Funds | Total |
|--|---------------|-----------|---------------|
| 211103 Allowances (Inc. Casuals, Temporary) | 4,240 | 0 | 4,240 |
| 221002 Workshops and Seminars | 37,200 | 0 | 37,200 |
| 221007 Books, Periodicals & Newspapers | 1,556 | 0 | 1,556 |
| 221008 Computer supplies and Information Technology (IT) | 7,500 | 0 | 7,500 |
| 221011 Printing, Stationery, Photocopying and Binding | 3,084 | 0 | 3,084 |
| 221012 Small Office Equipment | 11,106 | 0 | 11,106 |
| 221017 Subscriptions | 353 | 0 | 353 |
| 227001 Travel inland | 260 | 0 | 260 |
| 228002 Maintenance - Vehicles | 3,432 | 0 | 3,432 |
| Total | 68,731 | 0 | 68,731 |
| Wage Recurrent | 0 | 0 | 0 |
| Non Wage Recurrent | 68,731 | 0 | 68,731 |
| AIA | 0 | 0 | 0 |

Vote:129

Financial Intelligence Authority (FIA)

QUARTER 4: Revised Workplan

Subprogram: 08 AML Systems and ICT Management

Outputs Provided

Output: 02 Ensure safety and integrity of FIA information

| Item | Balance b/f | New Funds | Total |
|--|---------------|-----------|---------------|
| 211103 Allowances (Inc. Casuals, Temporary) | 70 | 0 | 70 |
| 221007 Books, Periodicals & Newspapers | 1,500 | 0 | 1,500 |
| 221008 Computer supplies and Information Technology (IT) | 5,381 | 0 | 5,381 |
| 221011 Printing, Stationery, Photocopying and Binding | 2,198 | 0 | 2,198 |
| 221017 Subscriptions | 23,648 | 0 | 23,648 |
| 222001 Telecommunications | 14,580 | 0 | 14,580 |
| 227001 Travel inland | 2,524 | 0 | 2,524 |
| 227004 Fuel, Lubricants and Oils | 1,350 | 0 | 1,350 |
| 228002 Maintenance - Vehicles | 5,483 | 0 | 5,483 |
| Total | 56,735 | 0 | 56,735 |
| <i>Wage Recurrent</i> | <i>0</i> | <i>0</i> | <i>0</i> |
| <i>Non Wage Recurrent</i> | <i>56,735</i> | <i>0</i> | <i>56,735</i> |
| <i>AIA</i> | <i>0</i> | <i>0</i> | <i>0</i> |

Development Projects

| | | | |
|---------------------------|------------------|----------|------------------|
| GRAND TOTAL | 1,623,161 | 0 | 1,623,161 |
| <i>Wage Recurrent</i> | <i>16,200</i> | <i>0</i> | <i>16,200</i> |
| <i>Non Wage Recurrent</i> | <i>1,524,152</i> | <i>0</i> | <i>1,524,152</i> |
| <i>GoU Development</i> | <i>82,809</i> | <i>0</i> | <i>82,809</i> |
| <i>External Financing</i> | <i>0</i> | <i>0</i> | <i>0</i> |
| <i>AIA</i> | <i>0</i> | <i>0</i> | <i>0</i> |