

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 (US\$ Billion)

	Approved Budget	Released by End Q 1	Spent by End Q1	% Budget Released	% Budget Spent	% Releases Spent
Recurrent Wage	4.574	1.144	1.090	25.0%	23.8%	95.3%
Non Wage	12.343	5.104	3.809	41.3%	30.9%	74.6%
Devt. GoU	0.215	0.000	0.000	0.0%	0.0%	0.0%
Ext. Fin.	0.000	0.000	0.000	0.0%	0.0%	0.0%
GoU Total	17.133	6.247	4.899	36.5%	28.6%	78.4%
Total GoU+Ext Fin (MTEF)	17.133	6.247	4.899	36.5%	28.6%	78.4%
Arrears	0.000	0.000	0.000	0.0%	0.0%	0.0%
Total Budget	17.133	6.247	4.899	36.5%	28.6%	78.4%
<i>A.I.A Total</i>	0.000	0.000	0.000	0.0%	0.0%	0.0%
Grand Total	17.133	6.247	4.899	36.5%	28.6%	78.4%
Total Vote Budget Excluding Arrears	17.133	6.247	4.899	36.5%	28.6%	78.4%

Table V1.2: Releases and Expenditure by Programme and Sub-SubProgramme*

<i>Billion Uganda Shillings</i>	Approved Budget	Released	Spent	% Budget Released	% Budget Spent	%Releases Spent
Programme: Governance and Security	17.13	6.25	4.90	36.5%	28.6%	78.4%
Sub-SubProgramme: 12 General Administration and Support Services	9.42	3.41	2.60	36.2%	27.5%	76.1%
Sub-SubProgramme: 21 Prevention of ML/TF and Financial Intelligence Information Management	7.71	2.84	2.30	36.8%	29.9%	81.2%
Sub-SubProgramme: 58 Prevention of ML/CFT, Prosecution and confiscation of proceeds of crime	0.00	0.00	0.00	0.0%	0.0%	0.0%
Sub-SubProgramme: 59 Policy, International Cooperation and Mutual Legal Assistance	0.00	0.00	0.00	0.0%	0.0%	0.0%
Total for Vote	17.13	6.25	4.90	36.5%	28.6%	78.4%

Matters to note in budget execution

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The FIA received a total of UGX 6.247 Billion during Q1, which accounts for 36.5% of the approved Annual Budget of UGX 17.133 Billion. 25% of the approved annual Wage budget was received, 41.3% of the approved Nonwage budget was received and No funds were advanced for Development during the quarter under review.

By end of Q1, 78.4% (UGX 4.899 Billion) was spent out of the total budget of UGX 6.247 Billion received. By the end of the Quarter, 28.6% of the annual approved budget was spent.

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

<i>(i) Major unspent balances</i>	
Departments , Projects	
Sub-SubProgramme 12 General Administration and Support Services	
0.742 Bn Shs	<i>Department/Project :07 Finance and Administration</i>
	Reason: Supplier had not provided invoices for payment to be effected by the end of Q1. Payments to be effected in
<i>Items</i>	
682,600,000.000 UShs	213004 Gratuity Expenses
	Reason: Gratuity shall be due for payment by the next quarter
42,570,880.000 UShs	221009 Welfare and Entertainment
	Reason: Invoices had not yet been received by end of Quarter. Payments to be effected during Q2
9,462,659.000 UShs	223005 Electricity
	Reason: Invoices had not yet been received by end of Quarter. Payments to be effected during Q2
Sub-SubProgramme 21 Prevention of ML/TF and Financial Intelligence Information Management	
0.071 Bn Shs	<i>Department/Project :02 Legal, Inspection and Compliance</i>
	Reason: The procurement process for the consultancy is ongoing
<i>Items</i>	
50,000,000.000 UShs	225001 Consultancy Services- Short term
	Reason: The procurement process is ongoing
10,699,015.000 UShs	221011 Printing, Stationery, Photocopying and Binding
	Reason: The procurement process is ongoing
5,000,000.000 UShs	221012 Small Office Equipment
	Reason: Funds were not enough for the office equipment requested for. Equipment to be procured next quarter upon receipt of additional funds
1,795,166.000 UShs	221008 Computer supplies and Information Technology (IT)
	Reason: Funds were not enough for the office equipment requested for Computer supplies to be procured next quarter upon receipt of additional funds
1,743,000.000 UShs	221017 Subscriptions
	Reason: Subscriptions are due for payment in Q2

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0.127 Bn Shs	Department/Project :07 Operational Analysis
Reason: Procurement process is ongoing	
<i>Items</i>	
100,000,000.000 UShs	225001 Consultancy Services- Short term
Reason: Procurement process is ongoing	
17,696,000.000 UShs	221011 Printing, Stationery, Photocopying and Binding
Reason: Procurement process is yet to be completed	
0.330 Bn Shs	Department/Project :08 AML Systems and ICT Management
Reason: Funds were not enough for the activity. To be conducted next quarter.	
<i>Items</i>	
322,305,000.000 UShs	226002 Licenses
Reason: Procurement process is yet to be completed	
7,976,102.000 UShs	222001 Telecommunications
Reason: Supplier was yet to deliver invoices for payment to be effected.	
(ii) Expenditures in excess of the original approved budget	

V2: Performance Highlights

Table V2.1: Sub-SubProgramme Outcome and Outcome Indicators*

Table V2.2: Budget Output Indicators*

Sub-SubProgramme : 12 General Administration and Support Services			
Department : 06 Internal Audit			
Budget OutPut : 21 Development of Internal Audit Controls and Risk Management			
Budget Output Indicators	Indicator Measure	Planned 2021/22	Actuals By END Q1
Percentage of audit recommendations implemented	Percentage	40%	10%
Percentage of the strategic actions in the Strategic Plan delivered	Percentage	40%	10%
No. of risk management assessments conducted	Number	4	1
Department : 07 Finance and Administration			
Budget OutPut : 01 FIA Support Services and Administration			
Budget Output Indicators	Indicator Measure	Planned 2021/22	Actuals By END Q1
No of Financial Statements produced	Number	2	0

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Percentage of the Strategic actions in the Strategic Plan delivered	Percentage	40%	10%
Budget OutPut : 19 Human Resource Management Services			
Budget Output Indicators	Indicator Measure	Planned 2021/22	Actuals By END Q1
Percentage of approved FIA structure filled by gender and PWDs	Percentage	10%	47%
Number of staff trained in relevant capacity building by gender	Number	10	3
Department : 09 Human Resource Management Services			
Budget OutPut : 19 Human Resource Management Services			
Budget Output Indicators	Indicator Measure	Planned 2021/22	Actuals By END Q1
Percentage of approved FIA structure filled by gender and PWDs	Percentage	65%	47%
Number of staff trained in relevant capacity building by gender	Number	20	3
Sub-SubProgramme : 21 Prevention of ML/TF and Financial Intelligence Information Management			
Department : 02 Legal, Inspection and Compliance			
Budget OutPut : 03 Compliance with AML and CFT laws and Regulations			
Budget Output Indicators	Indicator Measure	Planned 2021/22	Actuals By END Q1
Percentage of accountable persons issued with certificates of registration	Percentage	65%	17%
Number of inspection reports from regulatory bodies reviewed	Number	3	1
Number of sanctions applied and disaggregated by Accountable Persons	Number	1	0
Budget OutPut : 04 Legal Representation and Litigation			
Budget Output Indicators	Indicator Measure	Planned 2021/22	Actuals By END Q1
Percentage of cases concluded and forwarded for prosecution	Percentage	100%	29%
Department : 05 International Relations and Strategic Analysis			
Budget OutPut : 05 Coordination of the implementation of AML/CFT NRA and MER recommendations			
Budget Output Indicators	Indicator Measure	Planned 2021/22	Actuals By END Q1
Number of AML/CFT Awareness campaigns conducted by region	Number	5	1
Proportion of Accountable persons and supervisory bodies trained on AML/CFT	Percentage	60%	15%

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Number of recommendations from AML/CFT coordination forum implemented	Number	16	4
Budget OutPut : 06 Financial Intelligence Research and Strategic Development			
Budget Output Indicators	Indicator Measure	Planned 2021/22	Actuals By END Q1
Number of studies on ML/TF trends and methods concluded with disaggregated data	Number	2	1
Proportion of recommendations from MER and NRA	Number	16	4
Department : 07 Operational Analysis			
Budget OutPut : 01 Analysis and Reporting Financial Operations in the different Sectors			
Budget Output Indicators	Indicator Measure	Planned 2021/22	Actuals By END Q1
Number of (STR)/LCTR/CBR received and analysed with disaggregated data	Number	480	736
Proportion of STRs analysed and disseminated for investigations to the relevant LEAs	Percentage	10%	4%
Number of due diligence requests on companies handled classified from each requesting MDA	Number	10	1
Department : 08 AML Systems and ICT Management			
Budget OutPut : 02 Ensure safety and integrity of FIA information			
Budget Output Indicators	Indicator Measure	Planned 2021/22	Actuals By END Q1
Number of reporting entities using goAML system disaggregated by Accountable persons	Number	35	1
Number of statistical databases on STR/LCTR/CBR established and maintained to reflect national character	Number	1	1

Performance highlights for the Quarter

Receipt and Analysis of Reports:

1) Suspicious Transaction and Suspicious Activity Reports: During the quarter under review, FIA received a total of 736 reports from Accountable Persons. Of the 736 reports received, 41 were received manually while 695 reports were received through the goAML system. Out of the reports received via goAML, 591 were Suspicious Transaction Reports (STRs) while 104 were Suspicious Activity Reports (SARs).

Of the 736 reports received during the quarter, 459 reports were analysed and closed, and 259 reports were still undergoing analysis. 18 reports materialized into intelligence reports.

2) Large Cash and/or Monetary Transaction Reports: During the period under review, the FIA received 871 LCTRs from 49 Accountable Persons through the goAML system. These LCTRs contained 721,101 transactions with a value totaling to UGX 138,295,348,609,071. These were received from Commercial Banks, MDIs, Credit Institutions, Telecoms and Forex Bureaus. In addition, FIA received 5,691,143 LCTRs from 39 Accountable Entities that submitted their reports through the LCTR email platform with a total value of UGX 232,342,298,287,194. These were received from Commercial Banks, MDIs, Credit Institutions, Telecoms, and Pension & Investment Scheme.

Cross Border Movements of Currency and Negotiable BIs (NBIs). No reports were filed on Cross Border Movements of Currency and Bearer Negotiable Instruments (BNIs). The failure/inability to declare currency or BNIs is attributed to a number of factors which have been identified by

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a joint task force set up by FIA and URA. The recommendations of the task force are being considered and these will enhance the ability of URA to compile the reports and submit to FIA. The filing of these reports was also affected by the closure of the national borders as one of the COVID-19 containment measures.

Sharing of Intelligence:

- 1) Dissemination of Intelligence Reports: Eighteen (18) intelligence reports were spontaneously disseminated to Law Enforcement Agencies (LEA) and other Competent Authorities during Quarter 1. Of the 18 reports, 11 were disseminated to CID, 3 to URA, 1 to NGO bureau, 1 to ISO, 1 to ESO and 1 to C/T.
- 2) Exchange of Intelligence with Foreign FIUs: The FIA cooperates with a network of countries, as well as, a number of international organizations in the global effort to counter ML/TF. This is intended to establish a wide and efficient information sharing network which is of great importance, considering the transnational scope of ML/TF activities. During the quarter under review, the FIA received One (1) foreign request for information, and one (1) spontaneous dissemination from other FIUs. The FIA also made Three (03) requests for information to other foreign FIUs.
- 3) Exchange of Information with Local Law Enforcement Agencies: The FIA cooperates with a number of domestic agencies which include, but not limited to, Uganda Revenue Authority (URA), Inspectorate of Government (IG), Uganda Police Force, Uganda Wildlife Authority, and the respective sector regulators. During Quarter Q1, the FIA received 34 requests for information from different domestic Law Enforcement Agencies and partners/regulators. Responses were sent for 24 requests and 10 are still ongoing, pending receipt of information from various sources such as financial institutions.

Risk Assessments: During the quarter under review, the FIA undertook various activities to complete ML/TF risk assessments that started in the previous financial year. These include;

- 1) Dissemination of the Legal Persons and Arrangements Risk Assessment Report. The report highlights the ML/TF threats and vulnerabilities of legal persons and arrangements and proposes mitigation measures which the various stakeholders need to adopt in the fight against ML/TF. This was conducted in line with the Uganda -FATF ICRG action plan that requires the FIA to demonstrate that the findings of this assessment are brought to the attention of policy makers and other stakeholders.
- 2) Completion of the NPO TF Risk Assessment Action Plan. During the quarter, FIA completed the action plan which was submitted to FATF ICRG for consideration. This risk assessment and action plan for high risk NPOs, is one of the key action items on Uganda's action plan agreed with FATF under the FATF-ICRG process and a key reference document for the regulation of the NPO sector. The final report and its findings will be shared with the relevant supervisory, regulatory and the general public in the next quarter
- 3) National ML/TF Risk assessment Exercise. During the reporting period, FIA coordinated the ML/TF National Risk Assessment (NRA) for Uganda, reports from different working groups were submitted to the FIA and consolidated into the report. The NRA is a comprehensive exercise whose main objective is to identify and understand ML/TF risks that the country faces and the main sources and drivers of those risks. This will assist in the development of effective national risk-based policies and actions, and the allocation of available resources in the most efficient way, to eliminate, control or mitigate the identified risks, thereby providing effective protection for the country's financial system.

Financial due diligence. During the quarter, FIA received 1 request for background and credibility checks from the Ministry of Finance Planning and Economic Development. The checks are ongoing and feedback will be provided in quarter 2.

AML/CFT Onsite Inspections: The FIA Conducted onsite inspections of Interlink and Clyde Forex Bureaus.

AML/CFT Awareness and Training: A total of 7 stakeholder engagements on AML/CTT awareness and training were conducted as listed;

- 1) FIA team Attended the Eastern and Southern Africa Anti Money Laundering Group AML/CFT Risk Based Supervision of DNFBPs Workshop in Germany,
- 2) FIA team Attended a virtual workshop on 'Strengthening Cooperation in Nuclear Security Detection in the Horn of Africa' organized by United Nations Counter Terrorism Centre of the UN Office of Counter-Terrorism (UNOCT),
- 3) FIA team Facilitated at Police Counter Terrorism School, Olilim ,Katakwi District to 170 Senior Police officers (District Police Commanders and Divisional Police Commanders undergoing a three months Operational Commanders Course on the topics of 'Introduction to Money Laundering, Terrorism Financing and Proliferation Financing, FATF and Uganda's Anti-Money Laundering and Countering Financing of Terrorism Legal Framework and Insights into Financial Investigations and Role of the Financial Intelligence Authority.
- 4) FIA delivered a lecture on AML/CFT to 131 Crime Intelligence officers who were formerly in Flying Squad and were attending a Basic Crime Intelligence Course at Police Training School, Kabalye on the topic of Money Laundering, Terrorism Financing and Insights into Financial Intelligence and Investigations.
- 5) FIA team held a meeting with Wave transfer Ltd. The FIA team FIA wanted to have a discussion with Wave Transfer Ltd in order to understand their operations and also inform them of their obligations as an accountable person.
- 6) FIA team held a meeting with Smith & Bolton. The FIA team wanted to have a discussion with Smith and Bolton in order for them to understand the background of what FIA does and the Risk Based Approach to the independent AML/CFT audits.
- 7) FIA team held a meeting with the CEO of Vitcoin Investments in order to appreciate Vitcoin's business before registering the entity as an accountable person under the Virtual Asset Service Providers category

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Registration of Accountable Persons: During the quarter, a total of 141 accountable persons were registered in part fulfilment of Accountable persons obligations.

Review of the different reports from accountable persons:

- 1) Annual Compliance Reports: During the review period, there were 4 submissions from 3 NGOs and one Audit firm.
- 2) Independent Audit Reports. One accountable person (NSSF) submitted a risk assessment report in the review period.

Stakeholder Engagements: During the quarter under review, the FIA took part in various engagements as part of the feedback mechanism to cases disseminated aimed at improving the quality of financial intelligence disseminated. These included;

- 1) Uganda Revenue Authority (URA) Engagement – August 10, 2021. During Q1, one meeting was held between the FIA and URA where the progress status of different cases disseminated by the FIA to URA was discussed and ways to mutually address the various operational challenges in a bid to strengthen the existing collaboration.
- 2) Uganda Police Force (CID) Engagement – September 02, 2021. During Q1, one meeting was held between the FIA and Uganda Police Force (CID) where the progress of different cases disseminated by the FIA to CID was discussed.
- 3) Public Awareness and Outreach. In order to increase public awareness and understanding of ML/TF matters, the FIA ran AML/CFT awareness messages on Dembe FM and KFM radio stations during the quarter.

V3: Details of Releases and Expenditure

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

<i>Billion Uganda Shillings</i>	Approved Budget	Released	Spent	% GoU Budget Released	% GoU Budget Spent	%GoU Releases Spent
Sub-SubProgramme 12 General Administration and Support Services	9.42	3.41	2.60	36.2%	27.5%	76.1%
<i>Class: Outputs Provided</i>	<i>9.21</i>	<i>3.41</i>	<i>2.60</i>	<i>37.0%</i>	<i>28.2%</i>	<i>76.1%</i>
141201 FIA Support Services and Administration	2.57	0.92	0.85	36.0%	33.3%	92.5%
141219 Human Resource Management Services	6.56	2.46	1.72	37.5%	26.2%	69.7%
141221 Development of Internal Audit Controls and Risk Management	0.08	0.03	0.03	31.4%	31.3%	99.8%
<i>Class: Capital Purchases</i>	<i>0.22</i>	<i>0.00</i>	<i>0.00</i>	<i>0.0%</i>	<i>0.0%</i>	<i>0.0%</i>
141276 Purchase of Office and ICT Equipment, including Software	0.22	0.00	0.00	0.0%	0.0%	0.0%
Sub-SubProgramme 21 Prevention of ML/TF and Financial Intelligence Information Management	7.71	2.84	2.30	36.8%	29.9%	81.2%
<i>Class: Outputs Provided</i>	<i>7.71</i>	<i>2.84</i>	<i>2.30</i>	<i>36.8%</i>	<i>29.9%</i>	<i>81.2%</i>
142101 Analysis and Reporting Financial Operations in the different Sectors	5.14	1.85	1.72	35.9%	33.4%	93.1%
142102 Ensure safety and integrity of FIA information	0.88	0.47	0.14	53.1%	15.6%	29.3%
142103 Compliance with AML and CFT laws and Regulations	1.05	0.34	0.28	32.6%	26.6%	81.5%
142104 Legal Representation and Litigation	0.24	0.05	0.04	20.3%	16.3%	80.0%
142105 Coordination of the implementation of AML/CFT NRA and MER recommendations	0.05	0.00	0.00	0.0%	0.0%	0.0%
142106 Financial Intelligence Research and Strategic Development	0.35	0.13	0.13	38.1%	37.0%	97.1%
Total for Vote	17.13	6.25	4.90	36.5%	28.6%	78.4%

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Table V3.2: 2021/22 GoU Expenditure by Item

<i>Billion Uganda Shillings</i>	Approved Budget	Released	Spent	% GoU Budget Released	% GoU Budget Spent	%GoU Releases Spent
Class: Outputs Provided	16.92	6.25	4.90	36.9%	29.0%	78.4%
211102 Contract Staff Salaries	4.57	1.14	1.09	25.0%	23.8%	95.3%
211103 Allowances (Inc. Casuals, Temporary)	0.29	0.08	0.08	28.1%	27.9%	99.4%
212101 Social Security Contributions	0.23	0.06	0.05	25.0%	23.8%	95.3%
212201 Social Security Contributions	0.46	0.11	0.11	25.0%	23.8%	95.3%
213004 Gratuity Expenses	1.14	1.14	0.46	100.0%	40.4%	40.4%
221001 Advertising and Public Relations	0.01	0.01	0.00	100.0%	85.6%	85.6%
221002 Workshops and Seminars	0.23	0.00	0.00	0.0%	0.0%	0.0%
221003 Staff Training	0.12	0.06	0.06	50.0%	50.0%	100.0%
221006 Commissions and related charges	0.20	0.05	0.05	24.4%	23.6%	96.8%
221007 Books, Periodicals & Newspapers	0.02	0.00	0.00	25.0%	22.6%	90.2%
221008 Computer supplies and Information Technology (IT)	0.07	0.02	0.02	28.5%	23.4%	82.0%
221009 Welfare and Entertainment	0.26	0.11	0.07	44.5%	27.9%	62.6%
221011 Printing, Stationery, Photocopying and Binding	0.05	0.05	0.02	100.0%	36.9%	36.9%
221012 Small Office Equipment	0.03	0.02	0.00	50.0%	10.0%	20.1%
221017 Subscriptions	0.37	0.37	0.36	97.9%	96.8%	98.8%
222001 Telecommunications	0.03	0.02	0.01	88.6%	54.6%	61.6%
223003 Rent – (Produced Assets) to private entities	0.89	0.22	0.22	25.0%	24.7%	98.7%
223004 Guard and Security services	0.19	0.05	0.05	25.0%	23.7%	94.6%
223005 Electricity	0.08	0.02	0.01	25.0%	13.7%	54.9%
224003 Classified Expenditure	5.74	1.91	1.91	33.2%	33.2%	100.0%
224004 Cleaning and Sanitation	0.08	0.02	0.01	25.0%	16.2%	64.8%
225001 Consultancy Services- Short term	0.48	0.37	0.22	77.1%	45.0%	58.4%
226001 Insurances	0.23	0.00	0.00	0.0%	0.0%	0.0%
226002 Licenses	0.64	0.32	0.00	50.0%	0.0%	0.0%
227001 Travel inland	0.09	0.03	0.03	36.0%	33.9%	94.1%
227002 Travel abroad	0.19	0.00	0.00	0.0%	0.0%	0.0%
227004 Fuel, Lubricants and Oils	0.21	0.06	0.06	28.0%	28.0%	100.0%
228002 Maintenance - Vehicles	0.02	0.01	0.00	25.0%	23.1%	92.4%
Class: Capital Purchases	0.22	0.00	0.00	0.0%	0.0%	0.0%
312213 ICT Equipment	0.22	0.00	0.00	0.0%	0.0%	0.0%
Total for Vote	17.13	6.25	4.90	36.5%	28.6%	78.4%

Table V3.3: Releases and Expenditure by Department and Project*

<i>Billion Uganda Shillings</i>	Approved Budget	Released	Spent	% GoU Budget Released	% GoU Budget Spent	%GoU Releases Spent
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Sub-SubProgramme 1412 General Administration and Support Services	9.42	3.41	2.60	36.2%	27.5%	76.1%
<i>Departments</i>						
06 Internal Audit	0.08	0.03	0.03	31.4%	31.3%	99.8%
07 Finance and Administration	4.55	2.24	1.48	49.2%	32.5%	66.1%
09 Human Resource Management Services	4.57	1.14	1.09	25.0%	23.8%	95.3%
<i>Development Projects</i>						
1623 Retooling of Financial Intelligence Authority	0.22	0.00	0.00	0.0%	0.0%	0.0%
Sub-SubProgramme 1421 Prevention of ML/TF and Financial Intelligence Information Management	7.71	2.84	2.30	36.8%	29.9%	81.2%
<i>Departments</i>						
02 Legal, Inspection and Compliance	1.29	0.39	0.32	30.3%	24.7%	81.3%
05 International Relations and Strategic Analysis	0.40	0.13	0.13	33.4%	32.4%	97.1%
07 Operational Analysis	5.14	1.85	1.72	35.9%	33.4%	93.1%
08 AML Systems and ICT Management	0.88	0.47	0.14	53.1%	15.6%	29.3%
Total for Vote	17.13	6.25	4.90	36.5%	28.6%	78.4%

Table V3.4: External Financing Releases and Expenditure by Sub-SubProgramme and Project

<i>Billion Uganda Shillings</i>	Approved Budget	Released	Spent	% Budget Released	% Budget Spent	% Releases Spent
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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
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Sub-SubProgramme: 12 General Administration and Support Services

Departments

Department: 06 Internal Audit

Outputs Provided

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

		Item	Spent
Risks identified and a risk matrix developed	One risk audit was conducted in order to identify and control the risks of the Authority.	211103 Allowances (Inc. Casuals, Temporary)	5,300
Internal Audit Charter developed	The following policies and reports were approved by the Board during this quarter:-	227001 Travel inland	19,750
Internal Audit Quality and assurance	i) FIA Work from Home Policy		
Strengthened Internal Controls	ii) FIA Succession Plan Policy		
: Strengthen FIA governance structures to promote checks and balances	iii) FIA HIV Policy		
Quarterly Board reports produced on the status of the Authority	iv) Performance Rewards and Sanctions Policy		
	v) Annual Report for FY 2020/ 2021		

Reasons for Variation in performance

No variation

Total	25,050
Wage Recurrent	0
Non Wage Recurrent	25,050
Arrears	0
AIA	0
Total For Department	25,050
Wage Recurrent	0
Non Wage Recurrent	25,050
Arrears	0
AIA	0

Departments

Department: 07 Finance and Administration

Outputs Provided

Budget Output: 01 FIA Support Services and Administration

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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
1..Salaries and other payments processed	1) Salaries and other payments were processed	Item	Spent
2. Financial statements prepared and submitted on time	2) Accountabilities for funds advanced were promptly processed	221006 Commissions and related charges	46,450
3. accountabilities for funds advanced processed	3) Security at office premises was provided	221009 Welfare and Entertainment	71,389
4. Enhanced security at office premises	4) 2 staff were recruited.	221017 Subscriptions	335,454
5.Qualified staff recruited, trained, adequately compensated	5) 3 staff completed the CAMS training	223003 Rent – (Produced Assets) to private entities	219,104
		223004 Guard and Security services	45,425
		223005 Electricity	11,537
		224003 Classified Expenditure	111,958
		224004 Cleaning and Sanitation	13,601

Reasons for Variation in performance

Financial statements are produced at 6 months, 9 months and 1 year

Total	854,919
Wage Recurrent	0
Non Wage Recurrent	854,919
Arrears	0
AIA	0

Budget Output: 19 Human Resource Management Services

1. Human Resource policies produced for Board approval	1) Completed end of year staff performance appraisal process for the FY 2020/21	Item	Spent
2. staff appraisal reports produced on time	2) Capacity building; 3 staff were trained and acquired CAMS certification. Total number of staff with CAMS certification is 16	212101 Social Security Contributions	54,480
3. Capacity building of staff	3) Staff welfare was well maintained and monitored	212201 Social Security Contributions	108,960
4. HIV/AIDs issues mainstreamed	4) Staff contractual obligations were well maintained	213004 Gratuity Expenses	462,000
5. Staff welfare maintained and monitored	5) 4 HR policies were prepared and approved by the board.		
6. staff contractual obligations maintained	6) Implementation of the new Approved structure came into effect 1st July ,2021 with an approved staff establishment of 83. Staff capacity is at 47% of approved structure. Redeployment of staff was conducted in order to realign with the new organizational structure.		
Approved structure of the organization filled	7) 2 staff were recruited		
recruited staff retained in the organization during the contract period			

Reasons for Variation in performance

No variation

Total	625,440
Wage Recurrent	0

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
		Non Wage Recurrent	625,440
		Arrears	0
		AIA	0
		Total For Department	1,480,359
		Wage Recurrent	0
		Non Wage Recurrent	1,480,359
		Arrears	0
		AIA	0

Departments

Department: 09 Human Resource Management Services

Outputs Provided

Budget Output: 19 Human Resource Management Services

Salaries of staff paid on time	Staff salaries were promptly paid	Item	Spent
		211102 Contract Staff Salaries	1,089,600

Reasons for Variation in performance

No variation

Total	1,089,600
Wage Recurrent	1,089,600
Non Wage Recurrent	0
Arrears	0
AIA	0
Total For Department	1,089,600
Wage Recurrent	1,089,600
Non Wage Recurrent	0
Arrears	0
AIA	0

Sub-SubProgramme: 21 Prevention of ML/TF and Financial Intelligence Information Management

Departments

Department: 02 Legal, Inspection and Compliance

Outputs Provided

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

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
1. AML/CFT Regulation and Supervision Framework developed	1) Conducted onsite inspections of Interlink and Clyde Forex Bureaus.	Item	Spent
2. Administrative sanctions enforced for non compliance.	2) 141 accountable persons were registered	211103 Allowances (Inc. Casuals, Temporary)	25,000
3. AML/CFT inspections conducted.	3) AML/CFT Regulation and Supervision Framework in place	221001 Advertising and Public Relations	4,280
4. AML/CFT/CPF guidelines developed for DNFPB		221003 Staff Training	30,000
5. Registration of Accountable persons		221007 Books, Periodicals & Newspapers	101
		221008 Computer supplies and Information Technology (IT)	4,455
		221011 Printing, Stationery, Photocopying and Binding	10,800
		224003 Classified Expenditure	140,750
		225001 Consultancy Services- Short term	10,000
		227001 Travel inland	9,411
		227004 Fuel, Lubricants and Oils	45,000

Reasons for Variation in performance

No variation

Total	279,797
Wage Recurrent	0
Non Wage Recurrent	279,797
Arrears	0
<i>AIA</i>	0

Budget Output: 04 Legal Representation and Litigation

AML/CFT/CPF legal framework strengthened in Uganda	1) Participated in the 42nd ESAAMLG Task Force of Senior Officials and 21st Council of Ministers Virtual Meetings: The 42nd ESAAMLG meetings of senior officials took place virtually from Thursday 26th August 2021 to Monday 6th September 2021.	Item	Spent
	2) Uganda's 7th Follow-Up Report (FUR); Uganda submitted its FUR for discussion at this meeting.	211103 Allowances (Inc. Casuals, Temporary)	15,000
	3) Uganda's 3rd ICRG Progress Report: This was Uganda's third progress report following its identification for monitoring by the ICRG of the FATF. It was discussed at the F2F meeting which took place on 8th September, 2021.	221007 Books, Periodicals & Newspapers	1,250
		221011 Printing, Stationery, Photocopying and Binding	2,501
		221017 Subscriptions	5,257
		227004 Fuel, Lubricants and Oils	15,000

Reasons for Variation in performance

No variation

Total	39,008
Wage Recurrent	0
Non Wage Recurrent	39,008
Arrears	0

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
		AIA	0
		Total For Department	318,805
		Wage Recurrent	0
		Non Wage Recurrent	318,805
		Arrears	0
		AIA	0

Departments

Department: 05 International Relations and Strategic Analysis

Outputs Provided

Budget Output: 06 Financial Intelligence Research and Strategic Development

typology studies to identify ML/TF risks methods and trends conducted strategic analysis on ML/TF conducted and findings disseminated to stakeholders	1) Disseminated the final report for the ML/TF risk assessment of legal persons and arrangements in Uganda. 2) Completion of the NPO TF Risk Assessment Action Plan. 3) coordinated the update of the ML/TF National Risk Assessment	Item	Spent
		211103 Allowances (Inc. Casuals, Temporary)	10,000
		221007 Books, Periodicals & Newspapers	1,000
		224003 Classified Expenditure	12,500
		225001 Consultancy Services- Short term	106,131

Reasons for Variation in performance

No variation

Total	129,631
Wage Recurrent	0
Non Wage Recurrent	129,631
Arrears	0
AIA	0
Total For Department	129,631
Wage Recurrent	0
Non Wage Recurrent	129,631
Arrears	0
AIA	0

Departments

Department: 07 Operational Analysis

Outputs Provided

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

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
1. STRS, LCTRs and cross border declaration of cash and bearer negotiable instruments analysed	1) Received a total of 736 reports from Accountable Persons. 591 were Suspicious Transaction Reports (STRs) while 104 were Suspicious Activity Reports (SARs).	Item	Spent
2. Intelligence reports disseminated to LEAs	2) 459 STR/SARs reports from accountable persons were analysed and closed	211103 Allowances (Inc. Casuals, Temporary)	12,036
3. Financial due diligence conducted on investors	3) 18 intelligence reports were therefore spontaneously disseminated to Law Enforcement Agencies (LEA)	221003 Staff Training	28,000
4. ML/TF information exchanged with stakeholders	4) Received 871 LCTRs from 49 Accountable Persons through the goAML system and 5,691,143 LCTRs from 39 Accountable Entities that submitted their reports through the LCTR email platform	221007 Books, Periodicals & Newspapers	825
	5) FIA received 1 request for background and credibility checks from the Ministry of Finance Planning and Economic Development. The checks are ongoing and feedback will be provided in quarter 2.	221008 Computer supplies and Information Technology (IT)	3,145
		221011 Printing, Stationery, Photocopying and Binding	3,304
		221012 Small Office Equipment	3,008
		221017 Subscriptions	21,250
		224003 Classified Expenditure	1,641,055
		227001 Travel inland	1,236
		228002 Maintenance - Vehicles	4,619

Reasons for Variation in performance

No variation

Total	1,718,477
Wage Recurrent	0
Non Wage Recurrent	1,718,477
Arrears	0
<i>AIA</i>	0
Total For Department	1,718,477
Wage Recurrent	0
Non Wage Recurrent	1,718,477
Arrears	0
<i>AIA</i>	0

Departments

Department: 08 AML Systems and ICT Management

Outputs Provided

Budget Output: 02 Ensure safety and integrity of FIA information

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
a. a safe and secure working environment established	1) Provided coordination, technical support and issue diagnosis for the Egmont Secure Web (ESW) system	Item	Spent
b. ICT infrastructure safe guarded against evolving threats	2) The Barracuda WAF appliance was successfully installed in the FIA Data Centre and the system configured as per the requirements. WAF adds a layer of security that protects FIA web services against potential Cyber-attacks	211103 Allowances (Inc. Casuals, Temporary)	12,990
c. Modernize ICT platforms and Business systems established	3) FIA domain renewal. The FIA domain, fia.go.ug expired on 30th June 2021 and was renewed effective 1st July 2021	221007 Books, Periodicals & Newspapers	500
d. business tools to facilitate Authority operations installed	4) Successfully applied firmware updates to the 2 (two) Cisco Wireless Access Points	221008 Computer supplies and Information Technology (IT)	9,000
	5) Weekly security awareness alerts were generated by the Cyber Security Officer on areas such as spear phishing, windows patch management, Kaspersky malware detections and vulnerabilities, threat intelligence metrics, proactive and preventive cyber security measures, incidents and intrusion attempts	222001 Telecommunications	14,415
		225001 Consultancy Services- Short term	100,000

Reasons for Variation in performance

No variation

	Total	136,905
Wage Recurrent		0
Non Wage Recurrent		136,905
Arrears		0
AIA		0
Total For Department		136,905
Wage Recurrent		0
Non Wage Recurrent		136,905
Arrears		0
AIA		0
GRAND TOTAL		4,898,826
Wage Recurrent		1,089,600
Non Wage Recurrent		3,809,226
GoU Development		0
External Financing		0
Arrears		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
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Sub-SubProgramme: 12 General Administration and Support Services

Departments

Department: 06 Internal Audit

Outputs Provided

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

		Item	Spent
Risks identified and a risk matrix developed	One risk audit was conducted in order to identify and control the risks of the Authority.	211103 Allowances (Inc. Casuals, Temporary)	5,300
Internal Audit Charter developed	The following policies and reports were approved by the Board during this quarter:-	227001 Travel inland	19,750
Internal Audit Quality and assurance	i) FIA Work from Home Policy		
Strengthened Internal Controls	ii) FIA Succession Plan Policy		
: Strengthen FIA governance structures to promote checks and balances	iii) FIA HIV Policy		
Quarterly Board reports produced on the status of the Authority	iv) Performance Rewards and Sanctions Policy		
	v) Annual Report for FY 2020/ 2021		

Reasons for Variation in performance

No variation

Total	25,050
Wage Recurrent	0
Non Wage Recurrent	25,050
AIA	0
Total For Department	25,050
Wage Recurrent	0
Non Wage Recurrent	25,050
AIA	0

Departments

Department: 07 Finance and Administration

Outputs Provided

Budget Output: 01 FIA Support Services and Administration

		Item	Spent
Salaries and other payments processed	1) Salaries and other payments were processed	221006 Commissions and related charges	46,450
2. Financial statements prepared and submitted on time	2) Accountabilities for funds advanced were promptly processed	221009 Welfare and Entertainment	71,389
3. accountabilities for funds advanced processed	3) Security at office premises was provided	221017 Subscriptions	335,454
4. Enhanced security at office premises	4) 2 staff were recruited.	223003 Rent – (Produced Assets) to private entities	219,104
5. Qualified staff recruited, trained, adequately compensated	5) 3 staff completed the CAMS training	223004 Guard and Security services	45,425
		223005 Electricity	11,537
		224003 Classified Expenditure	111,958
		224004 Cleaning and Sanitation	13,601

Reasons for Variation in performance

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
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Financial statements are produced at 6 months, 9 months and 1 year

	Total	854,919
	Wage Recurrent	0
	Non Wage Recurrent	854,919
	AIA	0

Budget Output: 19 Human Resource Management Services

	Item	Spent
Human Resource policies produced for Board approval	1) Completed end of year staff performance appraisal process for the FY 2020/21	212101 Social Security Contributions 54,480
2. staff appraisal reports produced on time	2) Capacity building; 3 staff were trained and acquired CAMS certification. Total number of staff with CAMS certification is 16	212201 Social Security Contributions 108,960
3. Capacity building of staff	3) Staff welfare was well maintained and monitored	213004 Gratuity Expenses 462,000
4. HIV/AIDs issues mainstreamed	4) Staff contractual obligations were well maintained	
5. Staff welfare maintained and monitored	5) 4 HR policies were prepared and approved by the board.	
6. staff contractual obligations maintained	6) Implementation of the new Approved structure came into effect 1st July ,2021 with an approved staff establishment of 83. Staff capacity is at 47% of approved structure. Redeployment of staff was conducted in order to realign with the new organizational structure.	
Approved structure of the organization filled	7) 2 staff were recruited	
recruited staff retained in the organization during the contract period		

Reasons for Variation in performance

No variation

	Total	625,440
	Wage Recurrent	0
	Non Wage Recurrent	625,440
	AIA	0
	Total For Department	1,480,359
	Wage Recurrent	0
	Non Wage Recurrent	1,480,359
	AIA	0

Departments

Department: 09 Human Resource Management Services

Outputs Provided

Budget Output: 19 Human Resource Management Services

Salaries of staff paid on time	Staff salaries were promptly paid	Item	Spent
		211102 Contract Staff Salaries	1,089,600

Reasons for Variation in performance

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
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No variation

Total	1,089,600
Wage Recurrent	1,089,600
Non Wage Recurrent	0
AIA	0
Total For Department	1,089,600
Wage Recurrent	1,089,600
Non Wage Recurrent	0
AIA	0

Development Projects

Project: 1623 Retooling of Financial Intelligence Authority

Capital Purchases

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

Item	Spent
CT equipment procured to support office operations	Equipment were not procured
Office furniture procured	

Reasons for Variation in performance

Budget shortfall during Q1

Total	0
GoU Development	0
External Financing	0
AIA	0
Total For Project	0
GoU Development	0
External Financing	0
AIA	0

Sub-SubProgramme: 21 Prevention of ML/TF and Financial Intelligence Information Management

Departments

Department: 02 Legal, Inspection and Compliance

Outputs Provided

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

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
AML/CFT Regulation and Supervision Framework developed	1) Conducted onsite inspections of Interlink and Clyde Forex Bureaus.	Item	Spent
2. Administrative sanctions enforced for non compliance.	2) 141 accountable persons were registered	211103 Allowances (Inc. Casuals, Temporary)	25,000
3. AML/CFT inspections conducted.	3) AML/CFT Regulation and Supervision Framework in place	221001 Advertising and Public Relations	4,280
4. AML/CFT/CPF guidelines developed for DNFPB		221003 Staff Training	30,000
5. Registration of Accountable persons		221007 Books, Periodicals & Newspapers	101
		221008 Computer supplies and Information Technology (IT)	4,455
		221011 Printing, Stationery, Photocopying and Binding	10,800
		224003 Classified Expenditure	140,750
		225001 Consultancy Services- Short term	10,000
		227001 Travel inland	9,411
		227004 Fuel, Lubricants and Oils	45,000
		Total	279,797
		Wage Recurrent	0
		Non Wage Recurrent	279,797
		AIA	0

Reasons for Variation in performance

No variation

Budget Output: 04 Legal Representation and Litigation

AML/CFT/CPF legal framework strengthened in Uganda	1) Participated in the 42nd ESAAMLG Task Force of Senior Officials and 21st Council of Ministers Virtual Meetings: The 42nd ESAAMLG meetings of senior officials took place virtually from Thursday 26th August 2021 to Monday 6th September 2021.	Item	Spent
Litigation issues for FIA handled	2) Uganda's 7th Follow-Up Report (FUR); Uganda submitted its FUR for discussion at this meeting.	211103 Allowances (Inc. Casuals, Temporary)	15,000
	3) Uganda's 3rd ICRG Progress Report: This was Uganda's third progress report following its identification for monitoring by the ICRG of the FATF. It was discussed at the F2F meeting which took place on 8th September, 2021.	221007 Books, Periodicals & Newspapers	1,250
		221011 Printing, Stationery, Photocopying and Binding	2,501
		221017 Subscriptions	5,257
		227004 Fuel, Lubricants and Oils	15,000

Reasons for Variation in performance

No variation

Total	39,008
Wage Recurrent	0
Non Wage Recurrent	39,008
AIA	0
Total For Department	318,805
Wage Recurrent	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
		Non Wage Recurrent	318,805
		AIA	0

Departments

Department: 05 International Relations and Strategic Analysis

Outputs Provided

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

Mutual Evaluation Report and National Risk Assessment recommendations implemented to strengthen Uganda's AML/CFT framework	Completed the action plan which was submitted to FATF ICRG for consideration. This risk assessment and action plan for high risk NPOs, is one of the key action items on Uganda's action plan agreed with FATF under the FATF-ICRG process and a key reference document for the regulation of the NPO sector.	Item	Spent

Reasons for Variation in performance

No variation

Total	0
Wage Recurrent	0
Non Wage Recurrent	0
AIA	0

Budget Output: 06 Financial Intelligence Research and Strategic Development

typology studies to identify ML/TF risks methods and trends conducted strategic analysis on ML/TF conducted and findings disseminated to stakeholders	1) Disseminated the final report for the ML/TF risk assessment of legal persons and arrangements in Uganda. 2) Completion of the NPO TF Risk Assessment Action Plan. 3) coordinated the update of the ML/TF National Risk Assessment	Item	Spent
		211103 Allowances (Inc. Casuals, Temporary)	10,000
		221007 Books, Periodicals & Newspapers	1,000
		224003 Classified Expenditure	12,500
		225001 Consultancy Services- Short term	106,131

Reasons for Variation in performance

No variation

Total	129,631
Wage Recurrent	0
Non Wage Recurrent	129,631
AIA	0
Total For Department	129,631
Wage Recurrent	0
Non Wage Recurrent	129,631
AIA	0

Departments

Department: 07 Operational Analysis

Outputs Provided

Budget 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
Strategic analysis to establish ML/TF risks, trends and methods conducted financial due diligence on investors conducted STRS and LCTRS analyzed ML/TF Information exchanged with stakeholders Statistics on ML/TF compiled and maintained intelligence reports disseminated to LEAs	1) Received a total of 736 reports from Accountable Persons. 591 were Suspicious Transaction Reports (STRs) while 104 were Suspicious Activity Reports (SARs).	Item	Spent
	2) 459 STR/SARs reports from accountable persons were analysed and closed	211103 Allowances (Inc. Casuals, Temporary)	12,036
	3) 18 intelligence reports were therefore spontaneously disseminated to Law Enforcement Agencies (LEA)	221003 Staff Training	28,000
	4) Received 871 LCTRs from 49 Accountable Persons through the goAML system and 5,691,143 LCTRs from 39 Accountable Entities that submitted their reports through the LCTR email platform	221007 Books, Periodicals & Newspapers	825
	5) FIA received 1 request for background and credibility checks from the Ministry of Finance Planning and Economic Development. The checks are ongoing and feedback will be provided in quarter 2.	221008 Computer supplies and Information Technology (IT)	3,145
		221011 Printing, Stationery, Photocopying and Binding	3,304
		221012 Small Office Equipment	3,008
		221017 Subscriptions	21,250
		224003 Classified Expenditure	1,641,055
		227001 Travel inland	1,236
		228002 Maintenance - Vehicles	4,619

Reasons for Variation in performance

No variation

Total	1,718,477
Wage Recurrent	0
Non Wage Recurrent	1,718,477
AIA	0
Total For Department	1,718,477
Wage Recurrent	0
Non Wage Recurrent	1,718,477
AIA	0

Departments

Department: 08 AML Systems and ICT Management

Outputs Provided

Budget Output: 02 Ensure safety and integrity of FIA information

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
a safe and secure working environment established	1) Provided coordination, technical support and issue diagnosis for the Egmont Secure Web (ESW) system	Item	Spent
b. ICT infrastructure safe guarded against evolving threats	2) The Barracuda WAF appliance was successfully installed in the FIA Data Centre and the system configured as per the requirements. WAF adds a layer of security that protects FIA web services against potential Cyber-attacks	211103 Allowances (Inc. Casuals, Temporary)	12,990
c. Modernize ICT platforms and Business systems established	3) FIA domain renewal. The FIA domain, fia.go.ug expired on 30th June 2021 and was renewed effective 1st July 2021	221007 Books, Periodicals & Newspapers	500
d. business tools to facilitate Authority operations installed	4) Successfully applied firmware updates to the 2 (two) Cisco Wireless Access Points	221008 Computer supplies and Information Technology (IT)	9,000
	5) Weekly security awareness alerts were generated by the Cyber Security Officer on areas such as spear phishing, windows patch management, Kaspersky malware detections and vulnerabilities, threat intelligence metrics, proactive and preventive cyber security measures, incidents and intrusion attempts	222001 Telecommunications	14,415
		225001 Consultancy Services- Short term	100,000

Reasons for Variation in performance

No variation

	Total	136,905
	Wage Recurrent	0
	Non Wage Recurrent	136,905
	AIA	0
	Total For Department	136,905
	Wage Recurrent	0
	Non Wage Recurrent	136,905
	AIA	0
	GRAND TOTAL	4,898,826
	Wage Recurrent	1,089,600
	Non Wage Recurrent	3,809,226
	GoU Development	0
	External Financing	0
	AIA	0

Vote:129 Financial Intelligence Authority (FIA)

QUARTER 2: Revised Workplan

<i>US\$ Thousands</i>	Planned Outputs for the Quarter	Estimated Funds Available in Quarter (from balance brought forward and actual/expected releases)
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Sub-SubProgramme: 12 General Administration and Support Services

Departments

Department: 06 Internal Audit

Outputs Provided

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

	Item	Balance b/f	New Funds	Total
Risks identified and a risk matrix developed				
Internal Audit Charter developed	227001 Travel inland	50	0	50
Internal Audit Quality and assurance				
Strengthened Internal Controls	Total	50	0	50
: Strengthen FIA governance structures to promote checks and balances	Wage Recurrent	0	0	0
	Non Wage Recurrent	50	0	50
Quarterly Board reports produced on the status of the Authority	AIA	0	0	0

Department: 07 Finance and Administration

Outputs Provided

Budget Output: 01 FIA Support Services and Administration

	Item	Balance b/f	New Funds	Total
1. Salaries and other payments processed				
2. Financial statements prepared and submitted on time	221006 Commissions and related charges	1,550	0	1,550
3. Accountabilities for funds advanced processed	221009 Welfare and Entertainment	42,571	0	42,571
4. Enhanced security at office premises	221017 Subscriptions	2,546	0	2,546
5. Qualified staff recruited, trained, adequately compensated	223003 Rent – (Produced Assets) to private entities	2,896	0	2,896
	223004 Guard and Security services	2,575	0	2,575
	223005 Electricity	9,463	0	9,463
	224004 Cleaning and Sanitation	7,399	0	7,399
	Total	68,999	0	68,999
	Wage Recurrent	0	0	0
	Non Wage Recurrent	68,999	0	68,999
	AIA	0	0	0

Budget Output: 19 Human Resource Management Services

	Item	Balance b/f	New Funds	Total
1. Human Resource policies produced for Board approval				
2. staff appraisal reports produced on time	212101 Social Security Contributions	2,700	0	2,700
3. Capacity building of staff	212201 Social Security Contributions	5,400	0	5,400
4. HIV/AIDs issues mainstreamed				
5. Staff welfare maintained and monitored	213004 Gratuity Expenses	682,600	0	682,600
6. staff contractual obligations maintained	Total	690,700	0	690,700
Approved structure of the organization filled	Wage Recurrent	0	0	0
recruited staff retained in the organization during the contract period	Non Wage Recurrent	690,700	0	690,700
	AIA	0	0	0

Vote:129

Financial Intelligence Authority (FIA)

QUARTER 2: Revised Workplan

Department: 09 Human Resource Management Services

Outputs Provided

Budget Output: 19 Human Resource Management Services

Salaries of staff paid on time	Item	Balance b/f	New Funds	Total
	211102 Contract Staff Salaries	54,000	0	54,000
	Total	54,000	0	54,000
	Wage Recurrent	54,000	0	54,000
	Non Wage Recurrent	0	0	0
	AIA	0	0	0

Development Projects

Sub-SubProgramme: 21 Prevention of ML/TF and Financial Intelligence Information Management

Departments

Department: 02 Legal, Inspection and Compliance

Outputs Provided

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

AML/CFT Regulation and Supervision Framework developed	Item	Balance b/f	New Funds	Total
2. Administrative sanctions enforced for non compliance.	221001 Advertising and Public Relations	720	0	720
3. AML/CFT inspections conducted.	221007 Books, Periodicals & Newspapers	399	0	399
4. AML/CFT/CPF guidelines developed for DNFPB	221008 Computer supplies and Information Technology (IT)	1,795	0	1,795
5. Registration of Accountable persons	221011 Printing, Stationery, Photocopying and Binding	9,200	0	9,200
	222001 Telecommunications	750	0	750
	225001 Consultancy Services- Short term	50,000	0	50,000
	227001 Travel inland	589	0	589
	Total	63,453	0	63,453
	Wage Recurrent	0	0	0
	Non Wage Recurrent	63,453	0	63,453
	AIA	0	0	0

Vote:129

Financial Intelligence Authority (FIA)

QUARTER 2: Revised Workplan

Budget Output: 04 Legal Representation and Litigation

AML/CFT/CPF legal framework strengthened in Uganda	Item	Balance b/f	New Funds	Total
Litigation issues for FIA handled	221011 Printing, Stationery, Photocopying and Binding	1,499	0	1,499
	221012 Small Office Equipment	5,000	0	5,000
	221017 Subscriptions	1,743	0	1,743
	222001 Telecommunications	250	0	250
	227001 Travel inland	1,250	0	1,250
	Total	9,742	0	9,742
	Wage Recurrent	0	0	0
	Non Wage Recurrent	9,742	0	9,742
	AIA	0	0	0

Department: 05 International Relations and Strategic Analysis

Outputs Provided

Budget Output: 06 Financial Intelligence Research and Strategic Development

typology studies to identify ML/TF risks methods and trends conducted	Item	Balance b/f	New Funds	Total
strategic analysis on ML/TF conducted and findings disseminated to stakeholders	225001 Consultancy Services- Short term	3,869	0	3,869
	Total	3,869	0	3,869
	Wage Recurrent	0	0	0
	Non Wage Recurrent	3,869	0	3,869
	AIA	0	0	0

Department: 07 Operational Analysis

Outputs Provided

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

Strategic analysis to establish ML/TF risks, trends and methods conducted	Item	Balance b/f	New Funds	Total
financial due diligence on investors conducted	211103 Allowances (Inc. Casuals, Temporary)	464	0	464
STRS and LCTRS analyzed	221008 Computer supplies and Information Technology (IT)	1,855	0	1,855
ML/TF Information exchanged with stakeholders	221011 Printing, Stationery, Photocopying and Binding	17,696	0	17,696
Statistics on ML/TF compiled and maintained	221012 Small Office Equipment	6,992	0	6,992
intelligence reports disseminated to LEAs	225001 Consultancy Services- Short term	100,000	0	100,000
	227001 Travel inland	14	0	14
	228002 Maintenance - Vehicles	381	0	381
	Total	127,403	0	127,403
	Wage Recurrent	0	0	0
	Non Wage Recurrent	127,403	0	127,403
	AIA	0	0	0

Vote:129 Financial Intelligence Authority (FIA)

QUARTER 2: Revised Workplan

Department: 08 AML Systems and ICT Management

Outputs Provided

Budget Output: 02 Ensure safety and integrity of FIA information

a safe and secure working environment established	Item	Balance b/f	New Funds	Total
b. ICT infrastructure safe guarded against evolving threats	211103 Allowances (Inc. Casuals, Temporary)	10	0	10
c. Modernize ICT platforms and Business systems established	222001 Telecommunications	7,976	0	7,976
d. business tools to facilitate Authority operations installed	226002 Licenses	322,305	0	322,305
	Total	330,291	0	330,291
	Wage Recurrent	0	0	0
	Non Wage Recurrent	330,291	0	330,291
	AIA	0	0	0

Development Projects

GRAND TOTAL	1,348,507	0	1,348,507
Wage Recurrent	54,000	0	54,000
Non Wage Recurrent	1,294,507	0	1,294,507
GoU Development	0	0	0
External Financing	0	0	0
AIA	0	0	0