

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	4.574	3.431	3.341	75.0%	73.0%	97.4%
Non Wage	12.343	9.583	8.649	77.6%	70.1%	90.2%
Devt. GoU	0.215	0.215	0.069	100.0%	32.1%	32.1%
Ext. Fin.	0.000	0.000	0.000	0.0%	0.0%	0.0%
GoU Total	17.133	13.229	12.058	77.2%	70.4%	91.2%
Total GoU+Ext Fin (MTEF)	17.133	13.229	12.058	77.2%	70.4%	91.2%
Arrears	0.000	0.000	0.000	0.0%	0.0%	0.0%
Total Budget	17.133	13.229	12.058	77.2%	70.4%	91.2%
<i>A.I.A Total</i>	0.000	0.000	0.000	0.0%	0.0%	0.0%
Grand Total	17.133	13.229	12.058	77.2%	70.4%	91.2%
Total Vote Budget Excluding Arrears	17.133	13.229	12.058	77.2%	70.4%	91.2%

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	13.23	12.06	77.2%	70.4%	91.2%
Sub-SubProgramme: 12 General Administration and Support Services	9.42	7.38	6.31	78.4%	67.0%	85.5%
Sub-SubProgramme: 21 Prevention of ML/TF and Financial Intelligence Information Management	7.71	5.85	5.75	75.8%	74.5%	98.3%
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	13.23	12.06	77.2%	70.4%	91.2%

Matters to note in budget execution

The approved budget for the FY 2021/22 was 17.133 billion that included 4.574 billion for wage, 12.343 billion for non-wage and 0.215 billion for development. By the end of Q3, UGX 13.229 billion was released representing 77.2% of the approved budget and of that, UGX12.058 billion was spent representing 91.2% of the total releases.

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

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<i>(i) Major unspent balances</i>	
Departments , Projects	
Sub-SubProgramme 12 General Administration and Support Services	
0.769 Bn Shs	Department/Project :07 Finance and Administration
Reason: Gratuity payments for some staff are due for payment in the next quarter.	
<i>Items</i>	
619,600,000.000 UShs	213004 Gratuity Expenses
Reason: Gratuity payments for some staff shall be due for payment in the next quarter	
149,758,628.000 UShs	226001 Insurances
Reason: The contract for medical insurance ends at the beginning of Q4 and thus payment will be effected.	
0.146 Bn Shs	Department/Project :1623 Retooling of Financial Intelligence Authority
Reason: Evaluation of bids is ongoing	
<i>Items</i>	
146,007,546.000 UShs	312213 ICT Equipment
Reason: Evaluation of bids is ongoing	
Sub-SubProgramme 21 Prevention of ML/TF and Financial Intelligence Information Management	
0.006 Bn Shs	Department/Project :02 Legal, Inspection and Compliance
Reason: Payments to be effected at the start of Q4	
<i>Items</i>	
6,415,307.000 UShs	221012 Small Office Equipment
Reason: Payments to be effected at the start of Q4	
0.022 Bn Shs	Department/Project :07 Operational Analysis
Reason: Payments to be effected at the start of Q4	
<i>Items</i>	
14,142,000.000 UShs	221012 Small Office Equipment
Reason: Payments to be effected at the start of Q4	
7,589,038.000 UShs	228002 Maintenance - Vehicles
Reason: Payments to be effected at the start of Q4	
<i>(ii) Expenditures in excess of the original approved budget</i>	

V2: Performance Highlights

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

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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 Q3
Percentage of audit recommendations implemented	Percentage	40%	30%
Percentage of the strategic actions in the Strategic Plan delivered	Percentage	40%	30%
No. of risk management assessments conducted	Number	4	3
Department : 07 Finance and Administration			
Budget OutPut : 01 FIA Support Services and Administration			
Budget Output Indicators	Indicator Measure	Planned 2021/22	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%
Budget OutPut : 19 Human Resource Management Services			
Budget Output Indicators	Indicator Measure	Planned 2021/22	Actuals By END Q3
Percentage of approved FIA structure filled by gender and PWDs	Percentage	10%	49%
Number of staff trained in relevant capacity building by gender	Number	10	8
Department : 09 Human Resource Management Services			
Budget OutPut : 19 Human Resource Management Services			
Budget Output Indicators	Indicator Measure	Planned 2021/22	Actuals By END Q3
Percentage of approved FIA structure filled by gender and PWDs	Percentage	65%	49%
Number of staff trained in relevant capacity building by gender	Number	20	8
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 Q3
Percentage of accountable persons issued with certificates of registration	Percentage	65%	22.5%

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Number of inspection reports from regulatory bodies reviewed	Number	3	4
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 Q3
Percentage of cases concluded and forwarded for prosecution	Percentage	100%	100%
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 Q3
Number of AML/CFT Awareness campaigns conducted by region	Number	5	6
Proportion of Accountable persons and supervisory bodies trained on AML/CFT	Percentage	60%	45%
Number of recommendations from AML/CFT coordination forum implemented	Number	16	12
Budget OutPut : 06 Financial Intelligence Research and Strategic Development			
Budget Output Indicators	Indicator Measure	Planned 2021/22	Actuals By END Q3
Number of studies on ML/TF trends and methods concluded with disaggregated data	Number	2	2
Proportion of recommendations from MER and NRA	Number	16	12
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 Q3
Number of (STR)/LCTR/CBR received and analysed with disaggregated data	Number	480	2096
Proportion of STRs analysed and disseminated for investigations to the relevant LEAs	Percentage	10%	73.6%
Number of due diligence requests on companies handled classified from each requesting MDA	Number	10	11
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 Q3
Number of reporting entities using goAML system disaggregated by Accountable persons	Number	35	12

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Number of statistical databases on STR/LCTR/CBR established and maintained to reflect national character	Number	1	1
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Performance highlights for the Quarter

Financial Intelligence Authority executed activities during Q3 in line with the annual work plan and the Strategic Plan FY 2020/21-2024/25. This report highlights a number of achievements that were recorded throughout the Quarter.

In an effort to enhance the identification of proceeds of crime, the performance of the goAML electronic reporting system continued to be enhanced. As a result, 2,984 reports were received via the goAML platform from various accountable persons relating to different transaction reports. FIA also undertook several risk assessments with an objective of understanding money laundering and terrorist financing related risks, emerging vulnerabilities and trends, and methods used by criminals to launder proceeds of crime. These include;

- During Quarter 3, the National ML/TF Risk assessment Draft Report was completed following the comments received from the different stakeholders that include FIA Top Management, working group Heads, Note Takers and the World Bank.
- NRA Tax Crimes ML/TF Risk Assessment. After several preparatory engagements with the World Bank in the previous quarter, the FIA in collaboration with URA launched the NRA Tax Crimes Assessment exercise in January 2022. Subsequently, the Working Group which consists of 14 members, held 4 meetings in Q3. The exercise is at the data collection stage.
- Typology of Fraud in the Banking Sector. FIA completed the planning stage for a study on fraud in the banking sector, and constituted a Working Group with 7 banks, Bank of Uganda, Uganda Bankers Association, and Agent Banking Company of Uganda. The Working Group held 2 meetings in Q3, and will start collecting the required data in Q4.

In an effort to increase compliance with the AML/CFT laws, 1 onsite inspections was carried out on 1 accountable person (DFCU bank) to assess their compliance. This was in comparison to 2 inspection carried out in the previous Quarter. In the same period, 145 accountable persons were also registered, 169 certificates issued and 89 accountable persons requested for certification of their certificates during the period under review.

Collection and dissemination of information to competent Authorities. During the period under review, FIA received 520 suspicious transaction reports, 87 suspicious activity reports and 1,015 large cash transaction reports. The reports were analyzed and as a result materialized into 20 intelligence reports that were disseminated to law enforcement agencies and competent authorities for further management. FIA also received 28 requests for information from different LEAs and competent authorities, and responded to 24 by the end of the quarter.

Strengthen international cooperation. Uganda submitted its 4th request for technical compliance re ratings of 15 recommendations with an objective of improving its technical compliance by addressing the technical compliance deficiencies identified in the MER. These will be discussed at the ESAAMLG face to face meeting in September 2022.

Conducting financial due diligence. During the period under review, FIA received 5 requests for conducting financial due diligence (background and credibility checks) from the Ministry of Finance, Planning and Economic Development on companies that wished to partner with Government of Uganda on certain projects. Of the 5 requests received, 1 was conducted and the respective report was finalized while the remaining 4 were awaiting supporting documents from various sources and will be completed in the next quarter.

V3: Details of Releases and Expenditure

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

Billion Uganda Shillings	Approved Budget	Released	Spent	% GoU Budget Released	% GoU Budget Spent	%GoU Releases Spent
Sub-SubProgramme 12 General Administration and Support Services	9.42	7.38	6.31	78.4%	67.0%	85.5%
Class: Outputs Provided	9.21	7.17	6.24	77.8%	67.8%	87.1%
141201 FIA Support Services and Administration	2.57	1.87	1.81	72.6%	70.6%	97.3%
141219 Human Resource Management Services	6.56	5.24	4.37	79.9%	66.6%	83.3%

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<i>Billion Uganda Shillings</i>	Approved Budget	Released	Spent	% GoU Budget Released	% GoU Budget Spent	%GoU Releases Spent
141221 Development of Internal Audit Controls and Risk Management	0.08	0.06	0.06	74.0%	73.4%	99.2%
Class: Capital Purchases	0.22	0.22	0.07	100.0%	32.1%	32.1%
141276 Purchase of Office and ICT Equipment, including Software	0.22	0.22	0.07	100.0%	32.1%	32.1%
Sub-SubProgramme 21 Prevention of ML/TF and Financial Intelligence Information Management	7.71	5.85	5.75	75.8%	74.5%	98.3%
Class: Outputs Provided	7.71	5.85	5.75	75.8%	74.5%	98.3%
142101 Analysis and Reporting Financial Operations in the different Sectors	5.14	4.26	4.23	82.8%	82.3%	99.5%
142102 Ensure safety and integrity of FIA information	0.88	0.54	0.48	60.9%	54.0%	88.8%
142103 Compliance with AML and CFT laws and Regulations	1.05	0.63	0.63	59.8%	59.6%	99.6%
142104 Legal Representation and Litigation	0.24	0.15	0.13	61.4%	55.4%	90.2%
142105 Coordination of the implementation of AML/CFT NRA and MER recommendations	0.05	0.04	0.04	74.4%	74.4%	100.0%
142106 Financial Intelligence Research and Strategic Development	0.35	0.24	0.24	69.3%	69.2%	99.9%
Total for Vote	17.13	13.23	12.06	77.2%	70.4%	91.2%

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	13.01	11.99	76.9%	70.9%	92.1%
211102 Contract Staff Salaries	4.57	3.43	3.34	75.0%	73.0%	97.4%
211103 Allowances (Inc. Casuals, Temporary)	0.29	0.25	0.25	88.5%	88.5%	100.0%
212101 Social Security Contributions	0.23	0.17	0.17	75.0%	73.0%	97.4%
212201 Social Security Contributions	0.46	0.34	0.33	75.0%	73.0%	97.4%
213004 Gratuity Expenses	1.14	1.14	0.53	100.0%	45.9%	45.9%
221001 Advertising and Public Relations	0.01	0.01	0.00	100.0%	85.6%	85.6%
221002 Workshops and Seminars	0.23	0.08	0.08	33.6%	33.6%	100.0%
221003 Staff Training	0.12	0.06	0.06	50.0%	50.0%	100.0%
221006 Commissions and related charges	0.20	0.15	0.15	74.4%	74.4%	100.0%
221007 Books, Periodicals & Newspapers	0.02	0.01	0.01	75.0%	75.0%	100.0%
221008 Computer supplies and Information Technology (IT)	0.07	0.06	0.05	78.5%	76.5%	97.4%
221009 Welfare and Entertainment	0.26	0.24	0.21	94.5%	81.2%	85.9%
221011 Printing, Stationery, Photocopying and Binding	0.05	0.05	0.04	100.0%	92.0%	92.0%
221012 Small Office Equipment	0.03	0.03	0.01	100.0%	31.5%	31.5%
221017 Subscriptions	0.37	0.37	0.37	100.0%	99.8%	99.8%
222001 Telecommunications	0.03	0.03	0.02	96.2%	92.6%	96.2%

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223003 Rent – (Produced Assets) to private entities	0.89	0.67	0.66	75.0%	74.7%	99.7%
223004 Guard and Security services	0.19	0.14	0.14	75.0%	75.0%	100.0%
223005 Electricity	0.08	0.04	0.04	50.0%	44.2%	88.3%
224003 Classified Expenditure	5.74	4.47	4.47	78.0%	78.0%	100.0%
224004 Cleaning and Sanitation	0.08	0.06	0.05	75.0%	63.7%	85.0%
225001 Consultancy Services- Short term	0.48	0.42	0.42	87.5%	87.4%	99.9%
226001 Insurances	0.23	0.15	0.00	65.0%	1.0%	1.5%
226002 Licenses	0.64	0.32	0.26	50.0%	40.9%	81.8%
227001 Travel inland	0.09	0.09	0.09	100.0%	99.9%	99.9%
227002 Travel abroad	0.19	0.03	0.03	17.3%	13.9%	80.3%
227004 Fuel, Lubricants and Oils	0.21	0.17	0.17	81.2%	81.2%	100.0%
228002 Maintenance - Vehicles	0.02	0.02	0.01	100.0%	62.1%	62.1%
Class: Capital Purchases	0.22	0.22	0.07	100.0%	32.1%	32.1%
312213 ICT Equipment	0.22	0.22	0.07	100.0%	32.1%	32.1%
Total for Vote	17.13	13.23	12.06	77.2%	70.4%	91.2%

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
Sub-SubProgramme 1412 General Administration and Support Services	9.42	7.38	6.31	78.4%	67.0%	85.5%
<i>Departments</i>						
06 Internal Audit	0.08	0.06	0.06	74.0%	73.4%	99.2%
07 Finance and Administration	4.55	3.68	2.84	80.8%	62.5%	77.3%
09 Human Resource Management Services	4.57	3.43	3.34	75.0%	73.0%	97.4%
<i>Development Projects</i>						
1623 Retooling of Financial Intelligence Authority	0.22	0.22	0.07	100.0%	32.1%	32.1%
Sub-SubProgramme 1421 Prevention of ML/TF and Financial Intelligence Information Management	7.71	5.85	5.75	75.8%	74.5%	98.3%
<i>Departments</i>						
02 Legal, Inspection and Compliance	1.29	0.78	0.76	60.1%	58.8%	97.8%
05 International Relations and Strategic Analysis	0.40	0.28	0.28	69.9%	69.8%	99.9%
07 Operational Analysis	5.14	4.26	4.23	82.8%	82.3%	99.5%
08 AML Systems and ICT Management	0.88	0.54	0.48	60.9%	54.0%	88.8%
Total for Vote	17.13	13.23	12.06	77.2%	70.4%	91.2%

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 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
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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	1) 3 risk audits were conducted in order to identify and control the risks of the Authority.	211103 Allowances (Inc. Casuals, Temporary)	10,600
Internal Audit Charter developed	2) Review of the internal audit charter was being undertaken.	221017 Subscriptions	3,516
Internal Audit Quality and assurance Strengthened Internal Controls		227001 Travel inland	39,596
: Strengthen FIA governance structures to promote checks and balances	The following policies and reports were approved by the Board as at Q3:-	227004 Fuel, Lubricants and Oils	5,000
Quarterly Board reports produced on the status of the Authority	i) FIA Work from Home Policy ii) FIA Succession Plan Policy iii) FIA HIV Policy iv) Performance Rewards and Sanctions Policy v) Annual Report for FY 2020/ 2021 vi) Q1 FIA performance report vii) Q2 FIA performance report viii) FIA Ministerial Policy Statement FY 2022/23		

Reasons for Variation in performance

No variation

No variation

Total	58,712
Wage Recurrent	0
Non Wage Recurrent	58,712
Arrears	0
AIA	0
Total For Department	58,712
Wage Recurrent	0
Non Wage Recurrent	58,712
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 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
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	146,500
3. accountabilities for funds advanced processed	3) Security at office premises was provided	221009 Welfare and Entertainment	207,838
4. Enhanced security at office premises	4) 2 staff were recruited.	221017 Subscriptions	338,000
5.Qualified staff recruited, trained, adequately compensated	5) 8 staff completed the CAMS training	223003 Rent – (Produced Assets) to private entities	663,728
	6) Half year Financial statements prepared and submitted on time	223004 Guard and Security services	144,000
		223005 Electricity	37,093
		224003 Classified Expenditure	223,916
		224004 Cleaning and Sanitation	53,541
Reasons for Variation in performance		Total	1,814,617
No variation		Wage Recurrent	0
		Non Wage Recurrent	1,814,617
		Arrears	0
		AIA	0

Budget Output: 19 Human Resource Management Services

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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
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) Staff appraisal reports produced on time for the six-month mid- year performance appraisal review FY 2021/22	212101 Social Security Contributions	167,040
3. Capacity building of staff	3) Performance Management and Appraisal Training for all staff was conducted.	212201 Social Security Contributions	334,080
4. HIV/AIDs issues mainstreamed	4) Capacity building: 8 staff were trained and acquired CAMS certification. Total number of staff with CAMS certification is 21	213004 Gratuity Expenses	525,000
5. Staff welfare maintained and monitored	5) Staff welfare was well maintained and monitored	226001 Insurances	2,241
6. staff contractual obligations maintained	6) Staff contractual obligations were well maintained		
Approved structure of the organization filled	7) 4 HR policies were prepared and approved by the board.		
recruited staff retained in the organization during the contract period	8) Implementation of the new Approved structure came into effect 1st July, 2021 with an approved staff establishment of 83. Staff capacity is at 49% of approved structure. Redeployment of staff was conducted in order to realign with the new organizational structure.		
	9) 2 staff were recruited		
	10) Recruited staff were retained in the organization during the contract period		

Reasons for Variation in performance

No variation

Total	1,028,361
Wage Recurrent	0
Non Wage Recurrent	1,028,361
Arrears	0
AIA	0
Total For Department	2,842,978
Wage Recurrent	0
Non Wage Recurrent	2,842,978
Arrears	0
AIA	0

Departments

Department: 09 Human Resource Management Services

Outputs Provided

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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
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Budget Output: 19 Human Resource Management Services

Salaries of staff paid on time	Salaries of staff paid on time	Item	Spent
		211102 Contract Staff Salaries	3,340,800

Reasons for Variation in performance

No variation

Total	3,340,800
Wage Recurrent	3,340,800
Non Wage Recurrent	0
Arrears	0
AIA	0
Total For Department	3,340,800
Wage Recurrent	3,340,800
Non Wage Recurrent	0
Arrears	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

ICT equipment procured to support office operations	1. ICT equipment procured to support office operations (3 laptops were procured).	Item	Spent
Office furniture procured	2. Furniture procured for new staff.	312213 ICT Equipment	68,992
motor vehicles procured	3. Received the annual license for the Unified Patch Management Solution.		
Office partitioned to accommodate staff			

Reasons for Variation in performance

No variation

Total	68,992
GoU Development	68,992
External Financing	0
Arrears	0
AIA	0
Total For Project	68,992
GoU Development	68,992
External Financing	0
Arrears	0
AIA	0

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

Departments

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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
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Department: 02 Legal, Inspection and Compliance

Outputs Provided

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

		Item	Spent
1. AML/CFT Regulation and Supervision Framework developed	1) 5 risk based onsite inspections were carried out on accountable persons.	211103 Allowances (Inc. Casuals, Temporary)	85,000
2. Administrative sanctions enforced for non compliance.	2) 10 compliance spot checks were carried out on accountable persons.	221001 Advertising and Public Relations	4,280
3. AML/CFT inspections conducted.	3) 6 follow-up and thematic inspection reports were prepared and shared with the respective accountable persons.	221002 Workshops and Seminars	40,000
4. AML/CFT/CPF guidelines developed for DNFPB	4) 467 accountable persons were registered and 525 certificates of registration issued, bringing the total number of accountable persons registered to 1,947.	221003 Staff Training	30,000
5. Registration of Accountable persons	5) 264 accountable persons requested for their certificates to be certified.	221007 Books, Periodicals & Newspapers	1,500
	6) AML/CFT Regulation and Supervision Framework in place 7) Draft AML/CFT/CPF guidelines developed for DNFPB	221008 Computer supplies and Information Technology (IT)	18,200
		221011 Printing, Stationery, Photocopying and Binding	18,770
		222001 Telecommunications	2,250
		224003 Classified Expenditure	281,500
		225001 Consultancy Services- Short term	60,000
		227001 Travel inland	40,000
		227004 Fuel, Lubricants and Oils	45,000

Reasons for Variation in performance

No variation

Total	626,500
Wage Recurrent	0
Non Wage Recurrent	626,500
Arrears	0
AIA	0

Budget Output: 04 Legal Representation and Litigation

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
AML/CFT/CPF legal framework strengthened in Uganda	<p>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.</p> <p>2) Uganda submitted its 7th Follow-up Report together with its 3rd request for technical compliance re-ratings of 7 Recommendations; Recs 2, 14, 15, 19, 26, 33 and 34. The Task Force approved the re-rating of Recommendations 2 and 14 in September 2021 and upgraded them to largely compliant.</p> <p>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 face to face meeting which took place on 8th September, 2021.</p> <p>4) Litigation issues for FIA were handled.</p> <p>5) Uganda's 4th ICRG Progress Report. On 1st December 2021, Uganda submitted its 4th ICRG progress report following its identification for monitoring by the ICRG of the FATF.</p> <p>6) Uganda submitted its 4th request for technical compliance re ratings of 15 recommendations with an objective of improving its technical compliance by addressing the technical compliance deficiencies identified in the MER. These will be discussed at the ESAAMLG face to face meeting in September 2022.</p>	<p>Item</p> <p>211103 Allowances (Inc. Casuals, Temporary)</p> <p>221007 Books, Periodicals & Newspapers</p> <p>221011 Printing, Stationery, Photocopying and Binding</p> <p>221012 Small Office Equipment</p> <p>221017 Subscriptions</p> <p>222001 Telecommunications</p> <p>227001 Travel inland</p> <p>227002 Travel abroad</p> <p>227004 Fuel, Lubricants and Oils</p>	<p>Spent</p> <p>55,000</p> <p>3,750</p> <p>2,821</p> <p>3,585</p> <p>7,000</p> <p>440</p> <p>4,937</p> <p>26,494</p> <p>28,900</p>

Reasons for Variation in performance

No variation

Total	132,927
Wage Recurrent	0
Non Wage Recurrent	132,927
Arrears	0
<i>AIA</i>	0
Total For Department	759,427
Wage Recurrent	0
Non Wage Recurrent	759,427
Arrears	0
<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	US\$ Thousand
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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	1) Completion of the National ML/TF Risk assessment Draft Report. 2) 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
		221002 Workshops and Seminars	37,184

Reasons for Variation in performance

No variation

Total	37,184
Wage Recurrent	0
Non Wage Recurrent	37,184
Arrears	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) Completion of the National ML/TF Risk assessment Draft Report and shared with stakeholders for comments 4) The NRA Tax Crimes ML/TF Risk Assessment commenced and was at Data collection stage by end of Q3 5) The planning stage for the typology study on fraud in the banking sector was completed.	Item	Spent
		211103 Allowances (Inc. Casuals, Temporary)	40,000
		221007 Books, Periodicals & Newspapers	3,000
		224003 Classified Expenditure	12,500
		225001 Consultancy Services- Short term	159,639
		227004 Fuel, Lubricants and Oils	27,000

Reasons for Variation in performance

No variation

Total	242,139
Wage Recurrent	0
Non Wage Recurrent	242,139
Arrears	0
AIA	0
Total For Department	279,323

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
		Wage Recurrent	0
		Non Wage Recurrent	279,323
		Arrears	0
		AIA	0

Departments

Department: 07 Operational Analysis

Outputs Provided

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

		Item	Spent
1. STRS, LCTRs and cross border declaration of cash and bearer negotiable instruments analysed	1) Received a total of 2,096 reports from Accountable Persons. 1,786 were Suspicious Transaction Reports (STRs) while 269 were Suspicious Activity Reports (SARs).	211103 Allowances (Inc. Casuals, Temporary)	37,500
2. Intelligence reports disseminated to LEAs	2) 1,312 STR/SARs reports from accountable persons were analysed and closed.	221003 Staff Training	28,000
3. Financial due diligence conducted on investors	3) 53 intelligence reports were therefore spontaneously disseminated to Law Enforcement Agencies (LEA)	221007 Books, Periodicals & Newspapers	2,475
4. ML/TF information exchanged with stakeholders	4) Received 3,055 LCTRs from 49 Accountable Persons through the goAML system	221008 Computer supplies and Information Technology (IT)	9,781
	5) FIA received 11 request for background and credibility checks from the Ministry of Finance Planning and Economic Development. 7 FDDs were conducted and reports produced, the remaining 4 were still ongoing by the end of Q3 to be completed by 30th June 2022.	221011 Printing, Stationery, Photocopying and Binding	19,792
	6) Received 82 requests for information from different Law enforcement agencies and competent authorities and responded to 78 of them by end of Q3.	221012 Small Office Equipment	5,858
		221017 Subscriptions	24,888
		224003 Classified Expenditure	3,954,514
		225001 Consultancy Services- Short term	100,000
		227001 Travel inland	5,000
		227004 Fuel, Lubricants and Oils	32,400
		228002 Maintenance - Vehicles	12,411

Reasons for Variation in performance

No variation

Total	4,232,619
Wage Recurrent	0
Non Wage Recurrent	4,232,619
Arrears	0
AIA	0
Total For Department	4,232,619
Wage Recurrent	0
Non Wage Recurrent	4,232,619
Arrears	0
AIA	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	US\$ Thousand
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Departments

Department: 08 AML Systems and ICT Management

Outputs Provided

Budget Output: 02 Ensure safety and integrity of FIA information

		Item	Spent
a. a safe and secure working environment established	1) Provided coordination, technical support and issue diagnosis for the Egmont Secure Web (ESW) system.	211103 Allowances (Inc. Casuals, Temporary)	26,500
b. ICT infrastructure safe guarded against evolving threats	2) Desktop Central Proof of Concept (POC) for the Patch Management Solution commenced in October	221007 Books, Periodicals & Newspapers	1,500
c. Modernize ICT platforms and Business systems established	3) Weekly security awareness email alerts were generated 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.	221008 Computer supplies and Information Technology (IT)	26,304
d. business tools to facilitate Authority operations installed	4) FIA Alarm System was successfully overhauled	222001 Telecommunications	21,744
	5) FIA Website was Maintained	225001 Consultancy Services- Short term	100,000
	6) Continued support, troubleshooting and capacity building of Users	226002 Licenses	263,589
	7) Complete servicing and maintenance of all ICT equipment	227004 Fuel, Lubricants and Oils	36,000
	8) The Barracuda WAF appliance was successfully installed in the FIA Data Centre and the system configured as per the requirements.		
	9) FIA domain renewal. The FIA domain, fia.go.ug expired on 30th June 2021 and was renewed effective 1st July 2021		
	10) Successfully applied firmware updates to the 2 Cisco Wireless Access Points		
	11) EDMS system was launched.		
	12) Digitization of the hardcopy documents in the Directorate of ICT Systems & Security.		
	13) EDMS fine tuning and performance management through the maintenance agreement.		
	14) Received the annual license for the Unified Patch Management Solution		
	15) Automated Information Security Awareness and Training Platform - Knowbe4 was successfully implemented to addresses the risk of inadequate end user information security awareness and training that was identified by the April 2021, NITA-U National Information Security Framework (NISF) assessment.		

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
<i>Reasons for Variation in performance</i>			
No variation			
		Total	475,638
		Wage Recurrent	0
		Non Wage Recurrent	475,638
		Arrears	0
		AIA	0
		Total For Department	475,638
		Wage Recurrent	0
		Non Wage Recurrent	475,638
		Arrears	0
		AIA	0
		GRAND TOTAL	12,058,489
		Wage Recurrent	3,340,800
		Non Wage Recurrent	8,648,697
		GoU Development	68,992
		External Financing	0
		Arrears	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	UShs Thousand
Sub-SubProgramme: 12 General Administration and Support Services			
<i>Departments</i>			
Department: 06 Internal Audit			
<i>Outputs Provided</i>			
Budget Output: 21 Development of Internal Audit Controls and Risk Management			
Risks identified and a risk matrix developed.	Internal Audit report for Q3 was produced	Item	Spent
Internal Audit Charter developed	Q2 FIA performance report was produced.	211103 Allowances (Inc. Casuals, Temporary)	120
Strengthened Internal Controls.		221017 Subscriptions	3,516
Quarterly Board reports produced on the status of the Authority		227001 Travel inland	23
		227004 Fuel, Lubricants and Oils	2,500
Reasons for Variation in performance			
No variation			
No variation			
Total			6,159
Wage Recurrent			0
Non Wage Recurrent			6,159
AIA			0
Total For Department			6,159
Wage Recurrent			0
Non Wage Recurrent			6,159
AIA			0
<i>Departments</i>			
Department: 07 Finance and Administration			
<i>Outputs Provided</i>			
Budget Output: 01 FIA Support Services and Administration			
1. Salaries and other payments processed	1) Salaries and other payments were processed	Item	Spent
2. Financial statements prepared and submitted on time	2) Half year Financial statements prepared and submitted on time	221006 Commissions and related charges	69,327
3. accountabilities for funds advanced processed	3) Accountabilities for funds advanced were processed	221009 Welfare and Entertainment	58,890
4. Enhanced security at office premises	4) Enhanced security at office premises was provided	221017 Subscriptions	28,913
5. Qualified staff recruited, trained, adequately compensated		223003 Rent – (Produced Assets) to private entities	225,520
		223004 Guard and Security services	53,150
		223005 Electricity	13,510
		224004 Cleaning and Sanitation	20,860
Reasons for Variation in performance			
No variation			
Total			470,170
Wage Recurrent			0
Non Wage Recurrent			470,170
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
Budget Output: 19 Human Resource Management Services			
1. Staff appraisal reports produced on time	1) Staff appraisal reports produced on time for the six-month mid- year performance appraisal review	Item	Spent
2. Capacity building of staff		212101 Social Security Contributions	56,280
3. Staff welfare maintained and monitored	2) Staff welfare maintained and monitored	212201 Social Security Contributions	112,560
4. staff contractual obligations maintained	3) staff contractual obligations maintained	213004 Gratuity Expenses	63,000
Approved structure of the organization filled			
recruited staff retained in the organization during the contract period	Recruited staff were retained in the organization during the contract period		

Reasons for Variation in performance

No variation

Total	231,840
Wage Recurrent	0
Non Wage Recurrent	231,840
AIA	0
Total For Department	702,010
Wage Recurrent	0
Non Wage Recurrent	702,010
AIA	0

Departments

Department: 09 Human Resource Management Services

Outputs Provided

Budget Output: 19 Human Resource Management Services

Salaries of staff paid on time	Salaries of staff paid on time	Item	Spent
		211102 Contract Staff Salaries	1,125,600

Reasons for Variation in performance

No variation

Total	1,125,600
Wage Recurrent	1,125,600
Non Wage Recurrent	0
AIA	0
Total For Department	1,125,600
Wage Recurrent	1,125,600
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

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
CT equipment procured to support office operations Office furniture procured	1. Received the annual license for the Unified Patch Management Solution. 2. 1 laptop was procured.	Item 312213 ICT Equipment	Spent 36,710
Reasons for Variation in performance			
No variation			
Total			36,710
GoU Development			36,710
External Financing			0
AIA			0
Total For Project			36,710
GoU Development			36,710
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

1. AML/CFT Regulation and Supervision Framework developed	1) Conducted onsite inspection of 1 accountable person (DFCU bank)	Item	Spent
2. Administrative sanctions enforced for non compliance.	2) 145 Accountable persons were registered, 165 certificates were issued	211103 Allowances (Inc. Casuals, Temporary)	35,263
3. AML/CFT inspections conducted.	and 89 certified copies of certificates were issued	221007 Books, Periodicals & Newspapers	500
4. AML/CFT/CPF guidelines developed for DNFPB		221008 Computer supplies and Information Technology (IT)	5,700
5. Registration of Accountable persons		221011 Printing, Stationery, Photocopying and Binding	2,200
		222001 Telecommunications	2,250
		225001 Consultancy Services- Short term	2,896
		227001 Travel inland	10,000
Total			58,809
Wage Recurrent			0
Non Wage Recurrent			58,809
AIA			0

Budget Output: 04 Legal Representation and Litigation

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
AML/CFT/CPF legal framework strengthened in Uganda Litigation issues for FIA handled	1) Litigation issues for FIA were handled. 2) Uganda submitted its 4th request for technical compliance re ratings of 15 recommendations with an objective of improving its technical compliance by addressing the technical compliance deficiencies identified in the MER. These will be discussed at the ESAAMLG face to face meeting in September 2022.	Item 211103 Allowances (Inc. Casuals, Temporary) 221007 Books, Periodicals & Newspapers 222001 Telecommunications 227001 Travel inland 227002 Travel abroad 227004 Fuel, Lubricants and Oils	Spent 25,060 1,250 440 1,187 26,494 8,100

Reasons for Variation in performance

No variation

Total	62,531
Wage Recurrent	0
Non Wage Recurrent	62,531
AIA	0
Total For Department	121,340
Wage Recurrent	0
Non Wage Recurrent	121,340
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	Completion of the National ML/TF Risk assessment Draft Report	Item	Spent
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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) NRA Tax Crimes ML/TF Risk Assessment was at Data collection stage by end of Q3 2) The planning stage of the typology study of Fraud in the Banking sector was completed.	Item 211103 Allowances (Inc. Casuals, Temporary) 221007 Books, Periodicals & Newspapers 225001 Consultancy Services- Short term 227004 Fuel, Lubricants and Oils	Spent 20,170 1,000 30,096 9,000
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Reasons for Variation in performance

No variation

Total	60,266
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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
		Wage Recurrent	0
		Non Wage Recurrent	60,266
		AIA	0
		Total For Department	60,266
		Wage Recurrent	0
		Non Wage Recurrent	60,266
		AIA	0

Departments

Department: 07 Operational Analysis

Outputs Provided

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

		Item	Spent
Receipt of STR/LCTR/SAR.	1) Received a total of 607 reports from Accountable Persons. 520 were Suspicious Transaction Reports (STRs) while 87 were Suspicious Activity Reports (SARs).	211103 Allowances (Inc. Casuals, Temporary)	12,575
Analysis of financial reports.		221007 Books, Periodicals & Newspapers	825
Dissemination of intelligence reports to LEAs.		221011 Printing, Stationery, Photocopying and Binding	3,241
Financial due diligence on investors conducted.	2) 383 STR/SARs reports from accountable persons were analysed and closed.	221017 Subscriptions	5,337
ML/TF Information exchanged with stakeholders.	3) 20 intelligence reports were therefore spontaneously disseminated to Law Enforcement Agencies (LEA)	224003 Classified Expenditure	921,084
Statistics on ML/TF compiled and maintained	4) Received 1,015 LCTRs from 49 Accountable Persons through the goAML system	225001 Consultancy Services- Short term	93,510
	5) FIA received 5 request for background and credibility checks from the Ministry of Finance Planning and Economic Development. one was completed and report produced and the remaining 4 were still ongoing by the end of the Quarter.	227001 Travel inland	1,357
		227004 Fuel, Lubricants and Oils	18,380
		228002 Maintenance - Vehicles	3,803

Reasons for Variation in performance

No variation

Total	1,060,113
Wage Recurrent	0
Non Wage Recurrent	1,060,113
AIA	0
Total For Department	1,060,113
Wage Recurrent	0
Non Wage Recurrent	1,060,113
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 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
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) Digitization of the hardcopy documents in the Directorate of ICT Systems & Security.	211103 Allowances (Inc. Casuals, Temporary)	6,810
c. Modernize ICT platforms and Business systems established	3) EDMS fine tuning and performance management through the maintenance agreement.	221007 Books, Periodicals & Newspapers	500
d. business tools to facilitate Authority operations installed	4) Received the annual license for the Unified Patch Management Solution	221008 Computer supplies and Information Technology (IT)	8,304
	5) Weekly security awareness email alerts from 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	1,320
	6) Automated Information Security Awareness and Training Platform - Knowbe4 was successfully implemented to addresses the risk of inadequate end user information security awareness and training that was identified by the April 2021, NITA-U National Information Security Framework (NISF) assessment.	226002 Licenses	263,589
		227004 Fuel, Lubricants and Oils	15,680

Reasons for Variation in performance

No variation

Total	296,203
Wage Recurrent	0
Non Wage Recurrent	296,203
AIA	0
Total For Department	296,203
Wage Recurrent	0
Non Wage Recurrent	296,203
AIA	0
GRAND TOTAL	3,408,401
Wage Recurrent	1,125,600
Non Wage Recurrent	2,246,091
GoU Development	36,710
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)
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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	221017 Subscriptions	484	0	484
Internal Audit Quality and assurance				
Strengthened Internal Controls	227001 Travel inland	4	0	4
: Strengthen FIA governance structures to promote checks and balances				
	Total	488	0	488
	Wage Recurrent	0	0	0
Quarterly Board reports produced on the status of the Authority	Non Wage Recurrent	488	0	488
	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
salaries and other payments processed				
2. Financial statements prepared and submitted on time	221009 Welfare and Entertainment	34,042	0	34,042
3. accountabilities for funds advanced processed				
4. Enhanced security at office premises	223003 Rent – (Produced Assets) to private entities	2,272	0	2,272
5. Qualified staff recruited, trained, adequately compensated				
	223005 Electricity	4,907	0	4,907
	224004 Cleaning and Sanitation	9,459	0	9,459
	Total	50,679	0	50,679
	Wage Recurrent	0	0	0
	Non Wage Recurrent	50,679	0	50,679
	AIA	0	0	0

Budget Output: 19 Human Resource Management Services

	Item	Balance b/f	New Funds	Total
Human Resource policies produced for Board approval				
2. staff appraisal reports produced on time	212101 Social Security Contributions	4,500	0	4,500
3. Capacity building of staff				
4. HIV/AIDs issues mainstreamed	212201 Social Security Contributions	9,000	0	9,000
5. Staff welfare maintained and monitored				
6. staff contractual obligations maintained	213004 Gratuity Expenses	619,600	0	619,600
	226001 Insurances	149,759	0	149,759
	Total	782,859	0	782,859
Approved structure of the organization filled	Wage Recurrent	0	0	0
recruited staff retained in the organization during the contract period	Non Wage Recurrent	782,859	0	782,859
	AIA	0	0	0

Vote:129

Financial Intelligence Authority (FIA)

QUARTER 4: 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	90,000	0	90,000
	Total	90,000	0	90,000
	Wage Recurrent	90,000	0	90,000
	Non Wage Recurrent	0	0	0
	AIA	0	0	0

Development Projects

Project: 1623 Retooling of Financial Intelligence Authority

Capital Purchases

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

CT equipment procured to support office operations Office furniture procured	Item	Balance b/f	New Funds	Total
	312213 ICT Equipment	146,008	0	146,008
	Total	146,008	0	146,008
	GoU Development	146,008	0	146,008
	External Financing	0	0	0
	AIA	0	0	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

AML/CFT Regulation and Supervision Framework developed 2. Administrative sanctions enforced for non compliance. 3. AML/CFT inspections conducted. 4. AML/CFT/CPF guidelines developed for DNFPB 5. Registration of Accountable persons	Item	Balance b/f	New Funds	Total
	221001 Advertising and Public Relations	720	0	720
	221008 Computer supplies and Information Technology (IT)	550	0	550
	221011 Printing, Stationery, Photocopying and Binding	1,230	0	1,230
	Total	2,500	0	2,500
	Wage Recurrent	0	0	0
	Non Wage Recurrent	2,500	0	2,500
	AIA	0	0	0

Vote:129

Financial Intelligence Authority (FIA)

QUARTER 4: 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	1,179	0	1,179
	221012 Small Office Equipment	6,415	0	6,415
	222001 Telecommunications	310	0	310
	227001 Travel inland	63	0	63
	227002 Travel abroad	6,500	0	6,500
	Total	14,467	0	14,467
	Wage Recurrent	0	0	0
	Non Wage Recurrent	14,467	0	14,467
	AIA	0	0	0

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

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	361	0	361
	Total	361	0	361
	Wage Recurrent	0	0	0
	Non Wage Recurrent	361	0	361
	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	221008 Computer supplies and Information Technology (IT)	219	0	219
STRS and LCTRS analyzed	221011 Printing, Stationery, Photocopying and Binding	1,208	0	1,208
ML/TF Information exchanged with stakeholders	221012 Small Office Equipment	14,142	0	14,142
Statistics on ML/TF compiled and maintained	221017 Subscriptions	112	0	112
intelligence reports disseminated to LEAs	228002 Maintenance - Vehicles	7,589	0	7,589
	Total	23,270	0	23,270
	Wage Recurrent	0	0	0
	Non Wage Recurrent	23,270	0	23,270
	AIA	0	0	0

Vote:129 Financial Intelligence Authority (FIA)

QUARTER 4: Revised Workplan

Department: 08 AML Systems and ICT Management

Outputs Provided

Budget Output: 02 Ensure safety and integrity of FIA information

	Item	Balance b/f	New Funds	Total
a safe and secure working environment established				
b. ICT infrastructure safe guarded against evolving threats	221008 Computer supplies and Information Technology (IT)	696	0	696
c. Modernize ICT platforms and Business systems established				
d. business tools to facilitate Authority operations installed	222001 Telecommunications	646	0	646
	226002 Licenses	58,716	0	58,716
	Total	60,058	0	60,058
	<i>Wage Recurrent</i>	<i>0</i>	<i>0</i>	<i>0</i>
	<i>Non Wage Recurrent</i>	<i>60,058</i>	<i>0</i>	<i>60,058</i>
	<i>AIA</i>	<i>0</i>	<i>0</i>	<i>0</i>

Development Projects

GRAND TOTAL	1,170,689	0	1,170,689
<i>Wage Recurrent</i>	<i>90,000</i>	<i>0</i>	<i>90,000</i>
<i>Non Wage Recurrent</i>	<i>934,682</i>	<i>0</i>	<i>934,682</i>
<i>GoU Development</i>	<i>146,008</i>	<i>0</i>	<i>146,008</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>