

VOTE: 129 Financial Intelligence Authority (FIA)

I. VOTE MISSION STATEMENT

To foster the integrity of the financial system through effective detection and prevention of financial crimes.

II. STRATEGIC OBJECTIVE

Section 19 of the Anti-Money Laundering Act (AMLA), 2013 sets out the objectives of the Authority as:

- i) Enhance the identification of the proceeds of crime and the combating of money laundering.
- ii) Ensure compliance with the AMLA.
- iii) Enhance public awareness and understanding of matters related to money laundering.
- iv) Make information collected by it available to competent authorities and to facilitate the administration and enforcement of the laws of Uganda.
- v) Exchange information with similar bodies whose countries have treaties, agreements or arrangements with the Government of Uganda regarding money laundering and similar offences.

III. MAJOR ACHIEVEMENTS IN 2023/24

The Authority has undertaken a number of key actions as set out in the approved workplan for FY 2023/24, as cascaded from the Authority's Strategic Plan for the 2020/21-2024/25 period. As at half year, as some of the key accomplishments the Authority;

- 1) Enhanced the goAML electronic platform with a view to facilitate identification of proceeds of crime, and resulted in receipt of 7,583 reports via the platform from various accountable persons relating to different transaction reports to support analysis.
- 2) Disseminated 34 financial intelligence reports that were disseminated to Law enforcement and competent authorities like CT, IG, ISO, URA, CID among others for further investigation, resulting from the receipt and analysis of 1,072 Suspicious Transaction Reports and 513 Suspicious Activity reports.
- 3) Responded to 75% requests for information from various LEAs (43 requests out of the 57 requests received). The remaining 14 requests were still pending receipt of information from various sources as of end Q2.
- 4) Registered and issued e-certificates to 548 new Accountable Persons on the goAML portal.
- 5) Reviewed 139 compliance reports from various Accountable Persons (annual compliance reports, risk assessments and independent AML/CFT audits) to inform supervisory actions towards compliance with the AMLA, 2013 (as amended).
- 6) Conducted 16 trainings to Accountable Persons and 5 trainings to LEAs and other competent bodies to enhance capacity in the handling of ML/TF/PF crimes.
- 7) Undertook a joint onsite inspection (with the NGO Bureau) on Give Directly Uganda with a view to assess compliance and legitimacy of its operations.
- 8) Finalized the tax crimes and proceeds risk assessment. The threat analysis indicated that at domestic level, the tax crimes threat is High. The level of domestic tax evasion vulnerability was rated as Medium. The report provided recommendations to boost tax revenue, reduce tax evasion and associated Money laundering crime.
- 9) Launched the 2023 National Risk Assessment and the 2023 Non-Profit Organization (NPO) Terrorism Financing (TF) Risk Assessment Reports.
- 10) Finalized and responded to 79% requests (11 of the 14 requests received) to carry out Financial Due Diligence on various entities that wanted to partner with the GoU. FDD on 3 requests was still ongoing, owing to pending receipt of information from third parties as at the close of Q2.
- 11) Realized re-rating of 2 Financial Action Task Force (FATF) recommendations from Non-compliant/Partially compliant to Largely compliant/compliant.
- 12) Coordinated several activities with the FATF and ESAAMLG to effectively implement its action plan in order to enable FIA to fulfill its mandate and for Uganda to demonstrate progress towards implementation of its action plan and exit the FATF/ICRG grey list.

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- 13) Coordinated an onsite visit by the Africa/Middle East Joint Group (JG) of the International Cooperation Review Group (ICRG) FATF hosted by Uganda as part of the requirements to enable Uganda be removed off the FATF grey list.
- 14) Coordinated the updating of the National AML/CTF/CPF strategy and ICRG preparatory meetings for technical officers and political leaders in preparation for the onsite visit.
- 15) Published 4 articles (expert opinions) about AML/CFT/CPF in print media, and participated in 1 radio and 2 TV talk shows to deliberate on AML/CFT/CPF issues.

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IV. MEDIUM TERM BUDGET ALLOCATIONS

Table 4.1: Overview of Vote Expenditure (Ushs Billion)

	2023/24		2024/25	MTEF Budget Projections				
	Approved Budget	Spent by End Dec	Budget Estimates	2025/26	2026/27	2027/28	2028/29	
Recurrent	Wage	9.594	3.822	9.594	10.074	10.578	11.107	12.207
	Non-Wage	20.870	7.940	20.870	21.287	24.906	28.642	34.371
Devt.	GoU	0.729	0.012	0.729	0.765	0.880	0.968	1.162
	Ext Fin.	0.000	0.000	0.000	0.000	0.000	0.000	0.000
GoU Total		31.193	11.774	31.193	32.127	36.364	40.717	47.739
Total GoU+Ext Fin (MTEF)		31.193	11.774	31.193	32.127	36.364	40.717	47.739
Arrears		0.000	0.000	0.000	0.000	0.000	0.000	0.000
Total Budget		31.193	11.774	31.193	32.127	36.364	40.717	47.739
Total Vote Budget Excluding Arrears		31.193	11.774	31.193	32.127	36.364	40.717	47.739

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Table 4.2: Budget Allocation by Department for Recurrent and Development (Ushs Billion)

<i>Billion Uganda Shillings</i>	Draft Budget Estimates FY 2024/25	
	Recurrent	Development
Programme:16 Governance And Security	30.464	0.729
SubProgramme:01 Institutional Coordination	17.996	0.000
Sub SubProgramme:01 Directorate of Finance and Administration	17.996	0.000
002 Human resource registry and security	17.996	0.000
SubProgramme:02 Security	1.604	0.000
Sub SubProgramme:03 Directorate of Systems Administration and Security	1.604	0.000
001 Systems Administration and Security	1.604	0.000
SubProgramme:03 Policy and Legislation Processes	1.670	0.000
Sub SubProgramme:06 Directorate of Legal, Corporate Services and International Relations	1.670	0.000
001 Legal and Corporate Affairs	1.670	0.000
SubProgramme:05 Anti-Corruption and Accountability	9.195	0.729
Sub SubProgramme:01 Directorate of Finance and Administration	2.256	0.729
001 Accounts	2.256	0.000
003 Procurement	0.000	0.729
Sub SubProgramme:02 Directorate of Internal Audit	0.130	0.000
001 Internal Audit	0.130	0.000
Sub SubProgramme:04 Directorate of Analysis and Monitoring	5.594	0.000
001 Strategic Analysis and Statistics	0.573	0.000
002 Operational analysis	5.021	0.000
Sub SubProgramme:05 Directorate of Compliance and Training	1.215	0.000
001 Compliance and Inspection	1.215	0.000
Total for the Vote	30.464	0.729

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V. PERFORMANCE INDICATORS AND PLANNED OUTPUTS

Table 5.1: Performance Indicators

Programme: 16 Governance And Security

SubProgramme: 01 Institutional Coordination

Sub SubProgramme: 01 Directorate of Finance and Administration

Department: 002 Human resource registry and security

Budget Output: 000005 Human Resource Management

PIAP Output: Human Resources Management Services provided

Programme Intervention: 160602 Develop and implement human resource policies to attract and retain competent staff

Indicator Name	Indicator Measure	Base Year	Base Level	2023/24		Performance Targets
				Target	Q2 Performance	2024/25
No of staff trained	Number	2017/18	16	80	44	75
No. of staff receiving salary by the 28th day of each month	Number	2017/18	22	85	84	88

SubProgramme: 02 Security

Sub SubProgramme: 03 Directorate of Systems Administration and Security

Department: 001 Systems Administration and Security

Budget Output: 120007 Support services

PIAP Output: Enhanced Technical capability

Programme Intervention: 160709 Strengthen capacity and handle emerging and prevailing sophisticated crimes such as cyber-crimes

Indicator Name	Indicator Measure	Base Year	Base Level	2023/24		Performance Targets
				Target	Q2 Performance	2024/25
Value of security equipment acquired (bn)	Value	2017/18	0.215	0.73	0.012	0.729

SubProgramme: 03 Policy and Legislation Processes

Sub SubProgramme: 06 Directorate of Legal, Corporate Services and International Relations

Department: 001 Legal and Corporate Affairs

Budget Output: 460103 Legal Representation and Litigation services

PIAP Output: AML/CFT International standards implemented

Programme Intervention: 160603 Review and enact appropriate legislation

VOTE: 129 Financial Intelligence Authority (FIA)**Sub SubProgramme: 06 Directorate of Legal, Corporate Services and International Relations****Department: 001 Legal and Corporate Affairs****Budget Output: 460103 Legal Representation and Litigation services****PIAP Output: AML/CFT International standards implemented**

Indicator Name	Indicator Measure	Base Year	Base Level	2023/24		Performance Targets
				Target	Q2 Performance	2024/25
Number of FATF Technical Compliance recommendations re-rated	Number	2017/18	8	6	2	6

SubProgramme: 05 Anti-Corruption and Accountability**Sub SubProgramme: 01 Directorate of Finance and Administration****Project: 1623 Retooling of Financial Intelligence Authority****Budget Output: 000003 Facilities and Equipment Management****PIAP Output: Enhanced Technical capability****Programme Intervention: 160709 Strengthen capacity and handle emerging and prevailing sophisticated crimes such as cyber-crimes**

Indicator Name	Indicator Measure	Base Year	Base Level	2023/24		Performance Targets
				Target	Q2 Performance	2024/25
Value of security equipment acquired (bn)	Number	2017/18	0.215	0.73	0.012	0.729

Sub SubProgramme: 04 Directorate of Analysis and Monitoring**Department: 001 Strategic Analysis and Statistics****Budget Output: 000001 Audit and Risk Management****PIAP Output: Typology studies/risk assessment undertaken to identify trends and methods of Money laundering and Terrorism financing****Programme Intervention: 160715 Strengthen research and development to address emerging security threats**

Indicator Name	Indicator Measure	Base Year	Base Level	2023/24		Performance Targets
				Target	Q2 Performance	2024/25
Number of studies under taken per year and results disseminated to stakeholders	Number	2017/18	1	4	2	4

VOTE: 129 Financial Intelligence Authority (FIA)**Sub SubProgramme: 04 Directorate of Analysis and Monitoring****Department: 001 Strategic Analysis and Statistics****Budget Output: 000001 Audit and Risk Management****PIAP Output: Improve public awareness of the dangers of financial crimes****Programme Intervention: 160804 Monitoring of Government Programs for effective service delivery**

Indicator Name	Indicator Measure	Base Year	Base Level	2023/24		Performance Targets
				Target	Q2 Performance	2024/25
Number of engagements with the public on matters related to ML/TF/PF	Number	2017/18	8	8	5	12

PIAP Output: Financial due diligence undertaken on investors**Programme Intervention: 160808 Strengthen the prevention, detection and elimination of corruption**

Indicator Name	Indicator Measure	Base Year	Base Level	2023/24		Performance Targets
				Target	Q2 Performance	2024/25
No . of financial due diligence reports produced	Number	2017/18	0	40	11	40

Department: 002 Operational analysis**Budget Output: 560019 Data Management and Dissemination****PIAP Output: Financial Intelligence provided to competent authorities to investigate and prosecute Money Laundering.****Programme Intervention: 160808 Strengthen the prevention, detection and elimination of corruption**

Indicator Name	Indicator Measure	Base Year	Base Level	2023/24		Performance Targets
				Target	Q2 Performance	2024/25
No. of reports disseminated	Number	2017/18	75	80	34	80

Sub SubProgramme: 05 Directorate of Compliance and Training**Department: 001 Compliance and Inspection****Budget Output: 000023 Inspection and Monitoring****PIAP Output: AML/CFT/CPF compliance enforced in accordance to the relevant laws****Programme Intervention: 160808 Strengthen the prevention, detection and elimination of corruption**

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Sub SubProgramme: 05 Directorate of Compliance and Training

Department: 001 Compliance and Inspection

Budget Output: 000023 Inspection and Monitoring

PIAP Output: AML/CFT/CPF compliance enforced in accordance to the relevant laws

Indicator Name	Indicator Measure	Base Year	Base Level	2023/24		Performance Targets
				Target	Q2 Performance	2024/25
Number of sanctions issued for non compliance with the AML/CFT/CPF standard	Number	2017/18	0	15	0	10

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VI. VOTE NARRATIVE

Vote Challenges

- 1) Insufficient budgetary allocation (including funding for retooling) resulting into;
 - a) Inadequate systems and operational assets to enhance FIA's efficiency and effectiveness in execution of its Mandate.
 - b) Limited Human Resource staff Capacity.
 - c) Inadequate training and supervision of accountable persons on their AML/CFT/CPF compliance obligations particularly Designated Non Financial Businesses and Professions (DNFPs).
 - d) Limited public awareness on matters related to AML/CFT/CPF as provided for in AMLA.
 - e) Limited onsite inspections which, negatively impacts on effective enforcement of compliance with AMLA.
 - f) Limited supervision of ML/TF/PF to the unregulated sectors like the real estate dealers in precious stones and gems Virtual Assets Service Providers among others that are attractive to launderers.
- 2) Inadequate capacity of Law Enforcement Agencies and Competent Authorities to comprehend and investigate ML/TF/PF crimes.

Plans to improve Vote Performance

- i) Prioritize and allocate resources based on the highest need or impact interventions/initiatives.
- ii) Develop and implement a resource mobilization strategy, including lobbying Parliament for additional funding.
- iii) Enhance public awareness on ML/TF/PF matters for ease of public vigilance especially in light of the largely cash based income.
- iv) Implementation of targeted training and capacity development programs for Law Enforcement Agencies and Competent Persons in AML/CFT/CPF matters.

VII. Off Budget Support and NTR Projections

Table 7.1: Off Budget Support by Project and Department

N/A

VOTE: 129 Financial Intelligence Authority (FIA)**Table 7.2: NTR Projections(Uganda Shillings Billions)**

Revenue Code	Revenue Name	FY2023/24	Projection FY2024/25
142119	Sale of bid documents-From Private Entities	0.300	0.010
143201	Other fines and Penalties – private	0.500	0.000
143261	Other fines and Penalties – from other government units	0.000	0.000
Total		0.800	0.010

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VIII. VOTE CROSS CUTTING POLICY AND OTHER BUDGETARY ISSUES

Table 8.1: Cross- Cutting Policy Issues

i) Gender and Equity

OBJECTIVE	Gender and equity mainstreaming in FIA operations.
Issue of Concern	Marginalization of vulnerable groups nationally.
Planned Interventions	<ul style="list-style-type: none"> i) Conduct a targeted sensitization webinar of women on the AML/CTF/PF matters. ii) Maintain an accessible office premise with operational lift (with audio functionality). iii) Provide appropriate facilities and support for the visually impaired staff.
Budget Allocation (Billion)	0.013
Performance Indicators	<ul style="list-style-type: none"> i) No. of targeted women sensitized on AML/CTF/PF matters. (Target of 150 women) ii) An accessible office premise with an operational lift with audio functionality. (Target of 1) iii) An aid to support the visually impaired staff. (Target of 1)

ii) HIV/AIDS

OBJECTIVE	Mitigate the spread, stigmatization, and other negative effects of HIV/AIDS amongst FIA staff.
Issue of Concern	HIV/AIDS negative effects could hinder the Authority's effective and efficient service delivery.
Planned Interventions	<ul style="list-style-type: none"> i) Maintain counselling services for all FIA staff. ii) Conduct sensitization of all FIA staff on HIV/AIDS.
Budget Allocation (Billion)	0.027
Performance Indicators	<ul style="list-style-type: none"> i) A designated counsellor. (Target of 1) ii) No. of FIA staff sensitization sessions on HIV/AIDS held. (Target of 1)

iii) Environment

OBJECTIVE	Mainstream environmental concerns during office operations.
Issue of Concern	Environmental degradation and climate change.
Planned Interventions	<ul style="list-style-type: none"> i) Sensitize all staff on environmental measures. ii) Maintain an operational Electronic Document Management System to reduce on usage of paper.
Budget Allocation (Billion)	0.003

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Performance Indicators	<ul style="list-style-type: none"> i) No. of FIA staff sensitization sessions on environmental measures held. (Target of 1) ii) An operational Electronic Document Management System. (Target of 1).
iv) Covid	
OBJECTIVE	Mitigate the spread and related negative effects of COVID-19, or related contagious viruses.
Issue of Concern	Possible disruption of the Authority's supervisory activities owing to COVID-19, or related contagious viruses.
Planned Interventions	<ul style="list-style-type: none"> i) Maintain an operational and effective goAML online platform for virtual reporting by Accountable Persons. ii) Maintain an inventory of COVID-19 /contagious viruses /supplies and first AID box. iii) Maintain a work from home policy.
Budget Allocation (Billion)	0.007
Performance Indicators	<ul style="list-style-type: none"> i) An operational goAML online reporting platform. (Target of 1) ii) An inventory of sanitizer supplies and first aid kit. (Target of 1) iii) A work from home policy. (Target of 1)

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IX. PERSONNEL INFORMATION

Table 9.1: Staff Establishment Analysis

Title	Salary Scale	Number of Approved Positions	Number of filled Positions
Senior International Relations Officer	FIA 5	1	1
Accountant	FIA 6	2	1
Assistant Inventory Management Officer	FIA 7	1	1
Compliance and Inspection Officer	FIA 6	5	5
Database Administrator	FIA 6	1	1
Deputy Executive Director	FIA 2	1	0
Director Analysis and Monitoring	FIA 3	1	1
Director Compliance and Training	FIA 3	1	1
Director Finance and Administration	FIA 3	1	1
Director ICT Systems and Security	FIA 3	1	1
Director Internal Audit	FIA 3	1	0
Director Legal, corporate services & international relations	FIA 3	1	1
Driver	FIA 8	8	7
Executive Director	FIA 1	1	1
Human Resource officer	FIA 6	1	1
information Security Officer	FIA 6	1	1
International relations officer	FIA 6	1	1
Law Clerk	FIA 7	1	1
Legal and corporate affairs Officer	FIA 6	2	2
Manager Accounts & Inventory	FIA 4	1	1
Manager Compliance and Inspection	FIA 4	1	1
Manager E-services	FIA 4	1	1
Manager Human Resource ,Registry & Security	FIA 4	1	1
Manager Information systems	FIA 4	1	1

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Title	Salary Scale	Number of Approved Positions	Number of filled Positions
Manager Internal Audit	FIA 4	1	1
Manager International Relations	FIA 4	1	1
Manager Legal and corporate affairs	FIA 4	1	1
Manager Monitoring and Intelligence	FIA 4	1	1
Manager Operational Analysis	FIA 4	1	1
Manager Planning and Budgeting	FIA 4	1	1
Manager Procurement	FIA 4	1	1
Manager Strategic Analysis and Statistics	FIA 4	1	1
Manager Training and Outreach	FIA 4	1	1
Monitoring and Intelligence officer	FIA 6	2	2
Network Administrator	FIA 6	2	2
Office Attendant	FIA 9	1	1
Operational Analysis officer	FIA 6	5	5
Planning and budgeting officer	FIA 6	1	1
Procurement Officer	FIA 6	1	1
Receptionist	FIA 8	2	2
Records Officer	FIA 6	1	1
secretary	FIA 6	2	2
Security Officer	FIA 6	1	1
Senior Accountant	FIA 5	1	1
Senior Compliance and Inspection	FIA 5	2	1
Senior Human Resource Officer	FIA 5	1	1
Senior Information Security Officer	FIA 5	1	1
Senior Information systems Officer	FIA 5	1	1
Senior Internal Auditor	FIA 5	1	1
Senior Legal and corporate affairs Officer	FIA 5	2	2
Senior Monitoring and Intelligence officer	FIA 5	2	1

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Title	Salary Scale	Number of Approved Positions	Number of filled Positions
Senior operational analysis officer	FIA 5	2	2
Senior Personal Assistant	FIA 5	1	1
Senior Planning and budgeting officer	FIA 5	1	1
Senior Procurement Officer	FIA 5	1	1
Senior Public Relations/ Communications Officer	FIA 5	1	1
Senior Strategic Analysis and Statistics officer	FIA 5	2	2
Senior Training and Outreach Officer	FIA 5	1	1
Strategic Analysis and Statistics officer	FIA 6	3	3
Training and Outreach Officer	FIA 6	4	4

VOTE: 129 Financial Intelligence Authority (FIA)**Table 9.2: Staff Recruitment Plan**

Post Title	Salary Scale	No. Of Approved Posts	No. Of Filled Posts	No. Of Vacant Posts	No. Of Posts Cleared for Filling FY2024/25	Gross Salary Per Month (UGX)	Total Annual Salary (UGX)
Deputy Executive Director	FIA 2	1	0	1	1	23,000,000	276,000,000
Senior Monitoring and Intelligence officer	FIA 5	2	1	1	1	11,000,000	132,000,000
Total					2	34,000,000	408,000,000