

VOTE: 129 Financial Intelligence Authority (FIA)

V1: VOTE OVERVIEW

i) Vote Strategic Objectives

The Authority has 7 strategic objectives that include;

1. Enhancing the identification of proceeds of crime.
2. Increasing compliance with the AML/CFT laws.
3. Improving collection and dissemination of information to competent Authorities.
4. Strengthening international cooperation.
5. Increasing public awareness and understanding of matters related to money laundering and terrorism financing.
6. Strengthening the capacity of FIA to conduct financial due diligence.
7. Enhancing the efficiency and effectiveness of FIA to execute its mandate.

ii) Snapshot of Medium Term Budget Allocations

Table V1.1 Overview of Vote Medium Term Allocations (Ush Billion)

<i>Billion Uganda Shillings</i>	FY2022/23		FY2023/24	MTEF Budget Projections			
	Approved Budget	Spent by End Sep	Proposed Budget	2024/25	2025/26	2026/27	2027/28
Recurrent Wage	9.594	0.990	9.594	10.074	11.082	12.190	12.190
Non Wage	16.928	2.481	16.928	17.267	20.720	27.972	27.972
Devt. GoU	0.129	0.000	0.729	0.729	0.875	1.225	1.225
ExtFin	0.000	0.000	0.000	0.000	0.000	0.000	0.000
GoU Total	26.651	3.471	27.251	28.070	32.676	41.386	41.386
Total GoU+Ext Fin (MTEF)	26.651	3.471	27.251	28.070	32.676	41.386	41.386
<i>A.I.A Total</i>	0.000	0	0	0.000	0.000	0.000	0.000
Grand Total	26.651	3.471	27.251	28.070	32.676	41.386	41.386

Table V1.2: Medium Term Projections by Programme and Sub-Subprogramme

<i>Billion Uganda Shillings</i>	FY2022/23		2023/24	MTEF Budget Projection			
	Approved Budget	Spent by End Sep	Proposed Budget	2024/25	2025/26	2026/27	2027/28
16 GOVERNANCE AND SECURITY							
01 Directorate of Finance and	16.597	2.126	19.412	15.803	22.956	20.414	23.414

VOTE: 129 Financial Intelligence Authority (FIA)

02 Directorate of Internal Audit	0.064	0.015	0.052	0.500	0.800	3.000	2.000
03 Directorate of Systems	1.827	0.071	1.651	1.651	3.000	2.000	5.000
04 Directorate of Analysis and	6.374	0.998	4.877	6.000	3.000	9.972	5.000
05 Directorate of Compliance	1.598	0.216	1.162	3.616	2.120	5.000	4.972
06 Directorate of Legal,	0.191	0.044	0.097	0.500	0.800	1.000	1.000
Total for the Programme	26.651	3.471	27.251	28.070	32.676	41.386	41.386
Total for the Vote: 129	26.651	3.471	27.251	28.070	32.676	41.386	41.386

V2: MEDIUM TERM BUDGET ALLOCATIONS BY DEPARTMENT AND PROJECT

Table V2.1: Medium Term Projections by Department and Project

Billion Uganda Shillings	FY2022/23		2023/24	MTEF Budget Projection			
	Approved Budget	Spent by End Sep	Proposed Budget	2024/25	2025/26	2026/27	2027/28
Programme: 16 GOVERNANCE AND SECURITY							
Sub-SubProgramme: 01 Directorate of Finance and Administration							
<i>Recurrent</i>							
001 Accounts	4.028	0.526	4.573	5.000	6.000	2.000	5.000
002 Human resource registry and security	12.440	1.600	14.111	10.074	16.082	17.190	17.190
<i>Development</i>							
1623 Retooling of Financial Intelligence Authority	0.129	0.000	0.729	0.729	0.875	1.225	1.225
Total for the Sub-SubProgramme	16.597	2.126	19.412	15.803	22.956	20.414	23.414
Sub-SubProgramme: 02 Directorate of Internal Audit							
<i>Recurrent</i>							
001 Internal Audit	0.064	0.015	0.052	0.500	0.800	3.000	2.000
Total for the Sub-SubProgramme	0.064	0.015	0.052	0.500	0.800	3.000	2.000
Sub-SubProgramme: 03 Directorate of Systems Administration and Security							

VOTE: 129 Financial Intelligence Authority (FIA)

<i>Recurrent</i>							
001 Systems Administration and Security	1.827	0.071	1.651	1.651	3.000	2.000	5.000
Total for the Sub-SubProgramme	1.827	0.071	1.651	1.651	3.000	2.000	5.000
Sub-SubProgramme: 04 Directorate of Analysis and Monitoring							
<i>Recurrent</i>							
001 Strategic Analysis and Statistics	0.661	0.076	1.247	1.000	1.000	2.000	2.000
002 Operational analysis	5.713	0.922	3.630	5.000	2.000	6.000	3.000
Total for the Sub-SubProgramme	6.374	0.998	4.877	6.000	3.000	8.000	5.000
Sub-SubProgramme: 05 Directorate of Compliance and Training							
<i>Recurrent</i>							
001 Compliance and Inspection	1.598	0.216	1.162	3.616	2.120	5.000	4.972
Total for the Sub-SubProgramme	1.598	0.216	1.162	3.616	2.120	5.000	4.972
Sub-SubProgramme: 06 Directorate of Legal, Corporate Services and International Relations							
<i>Recurrent</i>							
001 Legal and Corporate Affairs	0.191	0.044	0.097	0.500	0.800	1.000	1.000
Total for the Sub-SubProgramme	0.191	0.044	0.097	0.500	0.800	1.000	1.000
Total for the Programme	32.365	3.471	27.251	28.070	32.676	39.414	41.386
Total for the Vote: 129	26.651	3.471	27.251	28.070	32.676	39.414	41.386

V3: VOTE MEDIUM TERM PLANS

Planned Outputs for FY2023/24 and Medium Term Plans

FY2022/23	FY2023/24		
Plan	BFP Performance	Plan	MEDIUM TERM PLANS

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

VOTE: 129 Financial Intelligence Authority (FIA)

Provision of general administration and support services to facilitate the implementation of the FIA mandate	1. 11 Capacity building engagements were held.	Update of Governance documents that include; 1. HR Policy to include staff attachment policy to gain experiential learning from developed FIUs. 2. Develop Gender and Equity Policy.	1. Provision of a conducive working environment to attract, and retain competent staff
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Programme Intervention: 160603 Review and enact appropriate legislation

	<p>Various Laws were amended and assented to by the President. These include;</p> <p>1. The Anti-Money Laundering (Amendment) Act, 2022. To empower the Financial Intelligence Authority and other supervisory authorities to levy administrative penalties for breach of the provisions of the Act and for related matters.</p> <p>2. The Partnerships (Amendment) Act, 2022. To amend the Partnership Act to provide for the definition of beneficial owner, to provide for a register of beneficial owners which shall contain particulars of beneficial owners and other related matters.</p> <p>3. The Trustees Incorporation (Amendment) Act, 2022. To provide for the definition of beneficial owner, to provide for a register of beneficial owners which shall contain particulars of beneficial owners and other related matters.</p> <p>4. The Cooperative Societies (Amendment) Act, 2022. To amend the Cooperative Societies Act by inserting a new section 12A dealing with beneficial owners for the purposes of cooperative societies, to require cooperative societies to keep a register of beneficial owners, and empower the Minister to make regulations for generally giving effect to the provisions on beneficial ownership and for related matters.</p> <p>5. The Anti-Terrorism (Amendment) Act, 2022. To</p>	<p>1. Enacting The Proceeds of Crime Law.</p> <p>2. Issuance of regulations and guidance in respect of confiscation, seizing and restraint of proceeds of crime, and Guidelines for Virtual Asset Service Providers.</p> <p>3. 4 ICRG progress reports submitted.</p> <p>4. 4 Quarterly reports on the activities of the AML/CFT/CPF taskforce submitted.</p> <p>5. ICRG face to face meeting reports submitted.</p> <p>6. ESAAMLG Follow-up report prepared and submitted.</p> <p>7. Submit reports on the ESAAMLG meetings.</p> <p>8. FATF Follow-up reports submitted.</p>	1. Comprehensive review of The Anti-Money Laundering Act.
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VOTE: 129 Financial Intelligence Authority (FIA)

(Amendment) Act, 2022. To provide for the offence of proliferation financing and for related matters.
6. The Companies (Amendment) Act, 2022. To provide for the definition of beneficial owners and to require all companies to keep a register of beneficial owners.

Programme Intervention: 160705 Improve the capacity and capability of the Security Sector through training and equipping personnel.

Train 20 FIA staff to effectively and efficiently address emerging ML/TF/PF trends, techniques and methods.	1. As at BFP, over 24 FIA staff were involved in 11 meetings and trainings for capacity building purposes.	1. Provide strategic training for 20 FIA staff to effectively and efficiently address emerging ML/TF/PF trends and techniques and methods.	1. Provide strategic training for all FIA staff to effectively and efficiently address emerging ML/TF/PF trends and techniques and methods.
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Programme Intervention: 160708 Strengthen border control and security

As at BFP, the Uganda Revenue Authority declared 5 forms filed under form C with total value of USD 216,100 and 7 forms filed under form D with total value of USD 3,881,000 was analysis was ongoing.	1. Analysis of all declarations of cash and Bearer Negotiable Instruments (BNIs) received from URA in accordance with Section 10 of the Anti-Money Laundering Act 2013 (as amended).	1. Analysis of all declarations of cash and Bearer Negotiable Instruments (BNIs) received from URA in accordance with Section 10 of the Anti-Money Laundering Act 2013 (as amended).
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Programme Intervention: 160709 Strengthen capacity and handle emerging and prevailing sophisticated crimes such as cyber-crimes

VOTE: 129 Financial Intelligence Authority (FIA)

<p>1. The goAML electronic system as at BFP was in the the production phase and several activities were undertaken. 3,712 reports were received through the goAML system from various accountable persons. The reports related to transactions such as STRs, SARs, LCTR and IWTR.</p>	<p>1. Acquire modern ICT equipment and reengineer systems and business processes to increase efficiency and effectiveness in prevention of financial crimes.</p>	<p>1. Acquire modern ICT equipment and reengineer systems and business processes to increase efficiency and effectiveness in prevention of financial crimes. 2. Acquire transport equipment to support operations of FIA.</p>
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Programme Intervention: 160715 Strengthen research and development to address emerging security threats

<p>Undertake 2 typology studies/risk assessments to identify trends and methods of money laundering and terrorism financing. Conduct 2 ML/TF risk assessment of sectors. Implement 7 recommendations from ML/TF typology studies/risk assessments</p>	<p>Two studies were ongoing as at BFP. 1. NRA Tax Crimes ML/TF Risk Assessment. The Working Group that was constituted to handle this assignment responded to comments from the World Bank technical support team. The exercise was at the stage of validating the findings of the draft risk assessment report with the participating institutions. 2. Typology of Internal Fraud in the Financial Sector. FIA coordinated the study on internal fraud in the financial sector, with the participation of 10 financial institutions and other relevant regulatory bodies and stakeholders that include; Bank of Uganda, Uganda Bankers Association, Agent Banking Company of Uganda, and Uganda Police CID. The Working Group completed the drafting of the typology report, the final findings of which will be validated through discussion with the banking sector in Q2.</p>	<p>1. Undertake 4 studies on Money Laundering, Terrorism Financing and Proliferation Financing (ML/TF/PF) risks, trends and Methods and disseminate results to stakeholders.</p>	<p>1. Undertake 6 studies on Money Laundering, Terrorism Financing and Proliferation Financing (ML/TF/PF) risks, trends and Methods and disseminate results to stakeholders.</p>
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Programme Intervention: 160805 Strengthen and enforce Compliance to accountability rules and regulations

VOTE: 129**Financial Intelligence Authority (FIA)**

Registration of 553 accountable persons.
 Review of 160 compliance risk based reports.
 Onboard 80 accountable persons on goAML.
 Issue of sanctions for non compliance with the AML/CFT/CPF laws.
 Conducting 6 risk based inspections.

1. The FIA and the Insurance Regulatory Authority (IRA) teams conducted joint on-site inspections of six Life insurance companies .
2. FIA also participated in the Centenary Bank AML/CFT Joint Inspection with the team from Bank of Uganda (BOU) AML/CFT Unit.
3. FIA undertook 5 AML/CFT awareness and training of Accountable Persons.
4. 183 accountable persons were registered.
5. 204 certificates of registration were issued while 140 were picked by the respective accountable persons.
6. The accountable persons register was continually updated.
7. 119 Accountable Persons requested for authentication of their certificates of registration.

1. Conduct 14 Risk Based Onsite inspections on various accountable persons.
2. Review of 320 Annual Compliance reports, 80 risk assessments, 80 Independent AML/CFT audits and 4 reports from supervisory bodies.
3. Conduct 4 registration drives of Accountable persons nation-wide to increase the number of accountable persons registered with FIA.
4. Hold 8 engagements with supervisory bodies to compel accountable persons to register.
5. Register 1,000 accountable persons and train them on the usage of the goAML system in collaboration with ICT.
6. Develop 3 AML/CFT guidelines for Dealers in Precious Metals & Stones, Real Estates & Virtual Assets Service Providers to support FIA to enforce compliance .
7. Develop a program to train 7 categories of accountable persons on AML/CFT .
8. Develop and print 4 categories of AML/CFT awareness materials to sensitize the public.
9. Engage different stakeholders to track the implementation progress of NRA and MER action plan/ recommendations.
10. Coordinate 4 TV/Radio awareness programs talk shows using different stations on AML/CFT/CPF .

1. Conduct 42 Risk Based Onsite inspections on various accountable persons.
2. Review of 960 Annual Compliance reports, 240 risk assessments, 240 Independent AML/CFT audits and 12 reports from supervisory bodies.
3. Conduct 12 registration drives of Accountable persons nation-wide to increase the number of accountable persons registered with FIA.
4. Hold 8 engagements with supervisory bodies to compel accountable persons to register.
5. Register 3,000 accountable persons and train them on the usage of the goAML system in collaboration with ICT.
6. Develop 9 AML/CFT guidelines for Dealers in Precious Metals & Stones, Real Estates & Virtual Assets Service Providers to support FIA to enforce compliance .
7. Develop a program to train 21 categories of accountable persons on AML/CFT .
8. Develop and print 12 categories of AML/CFT awareness materials to sensitize the public.
9. Engage different stakeholders to track the implementation progress of NRA and MER action plan/ recommendations.
10. Coordinate 12 TV/Radio awareness programs talk shows using different stations on AML/CFT/CPF .

VOTE: 129

Financial Intelligence Authority (FIA)

Produce at least 30 due diligence reports on investors . Disseminate at least 80 intelligence reports to LEAs. Conduct 8 engagements with the public on matters related to ML/TF/PF	1. Responded to 3 requests for information from the Inspectorate of Government on corruption related cases. 2. Disseminated 1 intelligence report related to corruption to the Inspectorate of Government for further investigation.	1. Atleast 5 financial intelligence reports relating to corruption disseminated to Inspectorate of Government. 2. 4 inter agency engagements with IG to address corruption related matters. 3. Responding to all requests for information from competent authorities handling corruption. 4. 100 percent analysis of all reports filed by accountable persons 5. Dissemination of atleast 80 financial intelligence reports to LEAs 6. Intelligence gathering and investigations coordinated 7. Requests for information from other FIUs responded to	1. Atleast 15 financial intelligence reports relating to corruption disseminated to Inspectorate of Government. 2. 12 inter agency engagements with IG to address corruption related matters. 3. Responding to all requests for information from competent authorities handling corruption. 4. 100 percent analysis of all reports filed by accountable persons 5. Dissemination of financial intelligence reports to LEAs coordinated 6. Intelligence gathering and investigations coordinated 7. Requests for information from other FIUs responded to
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V4: Highlights of Vote Projected Performance

Table V4.1: Budget Outputs and Indicators

Programme:	16 GOVERNANCE AND SECURITY					
Sub SubProgramme:	01 Directorate of Finance and Administration					
Department:	001 Accounts					
Budget Output:	000014 Administrative and Support Services					
PIAP Output:	Security personnel trained					
Programme Intervention:	160705 Improve the capacity and capability of the Security Sector through training and equipping personnel.					
Indicator Name	Indicator Measure	Base Year	Base Level	FY2022/23		FY2023/24
				Target	Q1 Performance	Proposed
Number or percentage (%) of personnel recruited and trained	Number	2017/18	100%	100%	100%	100%
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					

VOTE: 129 Financial Intelligence Authority (FIA)

Sub SubProgramme:		01 Directorate of Finance and Administration				
PIAP Output:		Human Resources Management Services provided				
Indicator Name	Indicator Measure	Base Year	Base Level	FY2022/23		FY2023/24
				Target	Q1 Performance	Proposed
No of staff trained	Number	2017/18	16	20	19	40
No. of staff receiving salary by the 28th day of each month	Number	2017/18	22			88
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	FY2022/23		FY2023/24
				Target	Q1 Performance	Proposed
Value of security equipment acquired (bn)	Number	2017/18	0.215	0.129	0	0.73
Sub SubProgramme:		02 Directorate of Internal Audit				
Department:		001 Internal Audit				
Budget Output:		000001 Audit and Risk Management				
PIAP Output:		Security personnel trained				
Programme Intervention:		160705 Improve the capacity and capability of the Security Sector through training and equipping personnel.				
Indicator Name	Indicator Measure	Base Year	Base Level	FY2022/23		FY2023/24
				Target	Q1 Performance	Proposed
Number or percentage (%) of personnel recruited and trained	Number	2017/18	100	100%	100%	100%
Sub SubProgramme:		03 Directorate of Systems Administration and Security				
Department:		001 Systems Administration and Security				
Budget Output:		120007 Support services				

VOTE: 129 Financial Intelligence Authority (FIA)

Sub SubProgramme:	03 Directorate of Systems Administration and Security					
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	FY2022/23		FY2023/24
				Target	Q1 Performance	Proposed
Value of security equipment acquired (bn)	Number	2017/18	0.215	1	0	0.73
Sub SubProgramme:	04 Directorate of Analysis and Monitoring					
Department:	001 Strategic Analysis and Statistics					
Budget Output:	000001 Audit and Risk Management					
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	FY2022/23		FY2023/24
				Target	Q1 Performance	Proposed
No . of financial due diligence reports produced	Number	2017/18	0	30	1	40
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	FY2022/23		FY2023/24
				Target	Q1 Performance	Proposed
Number of engagements with the public on matters related to ML/TF/PF	Number	2017/18	8	8	2	8
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					

VOTE: 129 Financial Intelligence Authority (FIA)

Sub SubProgramme:	04 Directorate of Analysis and Monitoring					
PIAP Output:	Typology studies/risk assessment undertaken to identify trends and methods of Money laundering and Terrorism financing					
Indicator Name	Indicator Measure	Base Year	Base Level	FY2022/23		FY2023/24
				Target	Q1 Performance	Proposed
Number of studies under taken per year and results disseminated to stakeholders	Number	2017/18	1	2	2	4
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	FY2022/23		FY2023/24
				Target	Q1 Performance	Proposed
No. of reports disseminated	Number	2017/18	75	80	22	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					
Indicator Name	Indicator Measure	Base Year	Base Level	FY2022/23		FY2023/24
				Target	Q1 Performance	Proposed
Number of sanctions issued for non compliance with the AML/CFT/CPF standard	Number	2017/18	0	1	0	15
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					
PIAP Output:	AML/CFT International standards implemented					
Indicator Name	Indicator Measure	Base Year	Base Level	FY2022/23		FY2023/24
				Target	Q1 Performance	Proposed
Number of FATF Technical Compliance recommendations re-rated	Number	2017/18	8	6	2	6
PIAP Output:	Appropriate international and regional laws harmonized and domesticated.					
Programme Intervention:	160603 Review and enact appropriate legislation					
Indicator Name	Indicator Measure	Base Year	Base Level	FY2022/23		FY2023/24
				Target	Q1 Performance	Proposed
No of policies developed and/or reviewed	Number	2017/18	0	1	1	1

V5: VOTE CROSS CUTTING ISSUES

i) Gender and Equity

OBJECTIVE	Gender and equity mainstreaming in FIA operations
Issue of Concern	Marginalization of vulnerable groups nationally
Planned Interventions	<ol style="list-style-type: none"> 1. Provide appropriate facilities for PWDs 2. Mainstream gender and equity issues in departmental reporting. 3. Conducting public awareness campaigns in all regions of Uganda 4. Mainstreaming gender and equity issues in planning and budgeting instruments.
Budget Allocation (Billion)	0.01
Performance Indicators	Level of compliance of FIA to gender and equity budgeting

ii) HIV/AIDS

OBJECTIVE	Reduce the spread of HIV/AIDS among FIA staff
Issue of Concern	The government target of eradicating HIV/AIDS in the population is not yet met.
Planned Interventions	<ol style="list-style-type: none"> 1. Conducting HIV/AIDS Sensitization sessions for all staff. 2. Providing staff with protective gear such as condoms (male/female).
Budget Allocation (Billion)	0.01
Performance Indicators	Number of HIV/AIDS sensitization sessions for all staff conducted

iii) Environment

VOTE: 129 Financial Intelligence Authority (FIA)

OBJECTIVE	To mainstream environmental concerns during office operations
Issue of Concern	Climate change is a threat to the future generation.
Planned Interventions	<ol style="list-style-type: none"> 1. Proper waste disposal in office 2. Promotion of energy use efficiency through use of renewable energy like natural lighting and air conditioning 3. Embracing the use of digital communication and workflows to reduce paper trail & paper waste management
Budget Allocation (Billion)	0.001
Performance Indicators	Number of offices using renewable energy

iv) Covid

OBJECTIVE	To reduce the spread of COVID 19 among staff
Issue of Concern	The spread COVID 19 is still within the population. New variants are still a threat to mankind.
Planned Interventions	<ol style="list-style-type: none"> 1. Ensure a safe work environment by provision of COVID-19 essentials such as office sanitizers, disinfectants, masks for guards and visual information.
Budget Allocation (Billion)	0.015
Performance Indicators	Number of COVID 19 supplies procured.