

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

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## **I. VOTE MISSION STATEMENT**

The core mission is to foster the integrity of the financial system through effective detection and prevention of financial crimes.

## **II. STRATEGIC OBJECTIVE**

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.

## **III. MAJOR ACHIEVEMENTS IN 2022/23**

The financial Intelligence Authority conducted a number of activities within the approved work plan during the FY 2022 23. As at half year, a number of successes were achieved as under mentioned.

1. 39 intelligence reports were disseminated to law enforcement agencies and competent authorities for further management.
2. FIA received 55 requests for information from different Law Enforcement Agencies and competent authorities and responded to 48 of them by the end of half year. The remaining 7 requests that were pending receipt of information from various sources were responded to during Q3.
2. FIA Completed a Typology study on Internal Fraud in the Financial Sector. The purpose of the typology study was to identify money laundering trends, patterns and related issues to come up with measures to help sector players mitigate against identified risks.
3. The Tax crimes vulnerability assessment as part of the tax crimes assessment was completed. This Tax Crimes and Proceeds assessment aimed to assess the scale relative incidence and proceeds of tax crimes the nature of tax crimes and common typologies and their relevance to money laundering.
4. The goAML electronic platform continued to be enhanced and as a result 6854 reports were received via the goAML platform from various accountable persons relating to different transaction reports.
5. Conducting Risk based onsite inspections. 9 risk based onsite inspections were carried out on accountable persons to assess their compliance with AMLA 2013. These included 6 life insurance companies, Centenary bank, World vision Uganda and Airtel mobile commerce.
6. Registration of accountable persons. 348 accountable persons were registered and 383 certificates of registration issued bringing the total number of accountable persons registered to 2625.
7. Authentication of certificates of registration. 235 accountable persons requested for their certificates to be certified which was done.
8. FIA received 19 requests to conduct financial due diligence on entities intending to partner with the government to undertake key investment projects. 16 requests were conducted and the rest were under review by end of Q2. Of the requests received 15 were from MoFPED 2 from UETCL and 2 from UIA.
9. ICRG Progress Report November 2022. Ugandas ICRG progress report was prepared in preparation for the Face to Face meetings to be held in January 2023 in Rabat Morocco. The report provided updates and progress since May 2022 for the outstanding action items in Ugandas ICRG Action Plan.
10. ICRG Virtual Face to Face Meeting with Uganda. The Face to Face meeting between the Uganda delegation and the Africa/Middle East Joint Group was held on 9th September 2022 in Livingstone Zambia. The meeting took note of the significant progress made by Uganda in amending 6 sets of legislation aimed at addressing elements of the ICRG action plan

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of registration aimed at addressing elements of the FICG action plan.

11. The 44th Plenary of the East and southern African anti money laundering group was held in Livingstone, Zambia. The main outcome in relation to Uganda was the upgrade of 2 Financial Action Task Force recommendations;

a. recommendation 12 on Politically exposed persons was upgraded from Partially Compliant to Compliant.

b. recommendation 22 on customer due diligence for Designated Non Financial Business and Professionals was upgraded from Partially Compliant to Largely Compliant.

12. 6 laws were amended and assented to by the President. These include; The AntiMoney Laundering Amendment Act 2022, The Companies Amendment Act 2022, The Partnerships Amendment Act 2022, The Trustees Incorporation Amendment Act 2022, The Cooperative Societies Amendment Act 2022, The AntiTerrorism Amendment Act 2022.

13. FIA finalised the Draft AntiMoney Laundering Amendment Regulations 2022.

14. The AntiTerrorism Amendment Regulations 2022 were finalized.

15. In order to increase public awareness and understanding of matters related to anti money laundering and countering of terrorism financing, FIA published 5 articles that include 2 articles in New vision and daily monitor on the role of FIA in protecting the integrity of the financial system, an article on the nexus between corruption and Money Laundering that was published in the National Anti Corruption magazine, a message in the 13th edition of the annual financial service awareness magazine published by The Uganda Institute of Banking and Financial Services Magazine under the theme your money can, and a message in the 2022 social economic transformation Sector review magazine. FIA also participated in the National anti corruption week activities, the annual banking sports gala and the 2022 CEO forum.

**VOTE: 129 Financial Intelligence Authority (FIA)****IV. MEDIUM TERM BUDGET ALLOCATIONS****Table 4.1: Overview of Vote Expenditure (Ushs Billion)**

	2022/23		2023/24	MTEF Budget Projections				
	Approved Budget	Spent by End Dec	Budget Estimates	2024/25	2025/26	2026/27	2027/28	
<b>Recurrent</b>	Wage	9.594	2.505	9.594	10.074	11.082	12.190	13.409
	Non-Wage	16.928	6.825	17.870	18.764	22.516	25.130	32.153
<b>Devt.</b>	GoU	0.129	0.004	0.729	0.729	0.875	1.006	1.107
	Ext Fin.	0.000	0.000	0.000	0.000	0.000	0.000	0.000
<b>GoU Total</b>		<b>26.651</b>	<b>9.334</b>	<b>28.193</b>	<b>29.567</b>	<b>34.473</b>	<b>38.326</b>	<b>46.669</b>
<b>Total GoU+Ext Fin (MTEF)</b>		<b>26.651</b>	<b>9.334</b>	<b>28.193</b>	<b>29.567</b>	<b>34.473</b>	<b>38.326</b>	<b>46.669</b>
<b>Arrears</b>		0.000	0.000	0.000	0.000	0.000	0.000	0.000
<b>Total Budget</b>		<b>26.651</b>	<b>9.334</b>	<b>28.193</b>	<b>29.567</b>	<b>34.473</b>	<b>38.326</b>	<b>46.669</b>
<b>Total Vote Budget Excluding Arrears</b>		<b>26.651</b>	<b>9.334</b>	<b>28.193</b>	<b>29.567</b>	<b>34.473</b>	<b>38.326</b>	<b>46.669</b>

**VOTE: 129 Financial Intelligence Authority (FIA)****Table 4.2: Budget Allocation by Department for Recurrent and Development (Ushs Billion)**

<i>Billion Uganda Shillings</i>	Draft Budget Estimates FY 2023/24	
	Recurrent	Development
<b>Programme:16 Governance And Security</b>	<b>27.464</b>	<b>0.729</b>
<b>SubProgramme:01 Institutional Coordination</b>	<b>14.233</b>	<b>0.000</b>
<b>Sub SubProgramme:01 Directorate of Finance and Administration</b>	<b>14.233</b>	<b>0.000</b>
002 Human resource registry and security	14.233	0.000
<b>SubProgramme:02 Security</b>	<b>1.357</b>	<b>0.000</b>
<b>Sub SubProgramme:03 Directorate of Systems Administration and Security</b>	<b>1.357</b>	<b>0.000</b>
001 Systems Administration and Security	1.357	0.000
<b>SubProgramme:03 Policy and Legislation Processes</b>	<b>0.244</b>	<b>0.000</b>
<b>Sub SubProgramme:06 Directorate of Legal, Corporate Services and International Relations</b>	<b>0.244</b>	<b>0.000</b>
001 Legal and Corporate Affairs	0.244	0.000
<b>SubProgramme:05 Anti-Corruption and Accountability</b>	<b>11.632</b>	<b>0.729</b>
<b>Sub SubProgramme:01 Directorate of Finance and Administration</b>	<b>4.781</b>	<b>0.729</b>
001 Accounts	4.781	0.000
003 Procurement	0.000	0.729
<b>Sub SubProgramme:02 Directorate of Internal Audit</b>	<b>0.066</b>	<b>0.000</b>
001 Internal Audit	0.066	0.000
<b>Sub SubProgramme:04 Directorate of Analysis and Monitoring</b>	<b>5.429</b>	<b>0.000</b>
001 Strategic Analysis and Statistics	1.162	0.000
002 Operational analysis	4.267	0.000
<b>Sub SubProgramme:05 Directorate of Compliance and Training</b>	<b>1.356</b>	<b>0.000</b>
001 Compliance and Inspection	1.356	0.000
<b>Total for the Vote</b>	<b>27.464</b>	<b>0.729</b>

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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	2022/23		Performance Targets
				Target	Q2 Performance	2023/24
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			85

**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	2022/23		Performance Targets
				Target	Q2 Performance	2023/24
Value of security equipment acquired (bn)	Value	2017/18	0.215	1	0	0.73

**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: Appropriate international and regional laws harmonized and domesticated.**

**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: Appropriate international and regional laws harmonized and domesticated.**

Indicator Name	Indicator Measure	Base Year	Base Level	2022/23		Performance Targets
				Target	Q2 Performance	2023/24
No of policies developed and/or reviewed	Number	2017/18	0	1	2	1

**PIAP Output: AML/CFT International standards implemented****Programme Intervention: 160603 Review and enact appropriate legislation**

Indicator Name	Indicator Measure	Base Year	Base Level	2022/23		Performance Targets
				Target	Q2 Performance	2023/24
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****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	2022/23		Performance Targets
				Target	Q2 Performance	2023/24
Number or percentage (%) of personnel recruited and trained	Number	2017/18	100%	100%	100	100%

**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	2022/23		Performance Targets
				Target	Q2 Performance	2023/24
Value of security equipment acquired (bn)	Number	2017/18	0.215	0.129	0.004	0.73

**VOTE: 129 Financial Intelligence Authority (FIA)****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	2022/23		Performance Targets
				Target	Q2 Performance	2023/24
Number or percentage (%) of personnel recruited and trained	Number	2017/18	100	100%	100	100%

**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	2022/23		Performance Targets
				Target	Q2 Performance	2023/24
Number of studies under taken per year and results disseminated to stakeholders	Number	2017/18	1	2	2	4

**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	2022/23		Performance Targets
				Target	Q2 Performance	2023/24
Number of engagements with the public on matters related to ML/TF/PF	Number	2017/18	8	8	5	8

**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	2022/23		Performance Targets
				Target	Q2 Performance	2023/24
No . of financial due diligence reports produced	Number	2017/18	0	30	16	40

**VOTE: 129 Financial Intelligence Authority (FIA)****Sub SubProgramme: 04 Directorate of Analysis and Monitoring****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	2022/23		Performance Targets
				Target	Q2 Performance	2023/24
No. of reports disseminated	Number	2017/18	75	80	39	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	2022/23		Performance Targets
				Target	Q2 Performance	2023/24
Number of sanctions issued for non compliance with the AML/CFT/CPF standard	Number	2017/18	0	1	0	15



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## **VI. VOTE NARRATIVE**

### **Vote Challenges**

1. Inadequate budget allocations. This affects the ability of FIA to effectively execute its mandate.
2. Release shortfalls. The Authority is often faced with a challenge of release shortfalls which affects the implementation of the approved workplan.
3. Lack or Inadequacy of the legal frameworks which has not enabled the country to achieve technical compliance in a timely manner with some of the FATF Recommendations.

### **Plans to improve Vote Performance**

1. The continuous automation of FIA core processes will improve service delivery by reducing the turnaround time of service provision and increase accountability.
2. Alignment of strategies and annual work plans to available planning frameworks that include NDP III Program Implementation Action Plans, NRM manifesto and the parish development model pillars.

## **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 Collections (Uganda Shillings Billions)**

<b>Revenue Code</b>	<b>Revenue Name</b>	<b>FY2022/23</b>	<b>Projection FY2023/24</b>
142119	Sale of bid documents-From Private Entities	0.000	0.000
143201	Other fines and Penalties – private	0.000	0.000
<b>Total</b>		<b>0.000</b>	<b>0.000</b>

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## VIII. VOTE CROSS CUTTING POLICY AND OTHER BUDGETARY ISSUES

Table 8.1: Cross- Cutting Policy Issues

### i) Gender and Equity

<b>OBJECTIVE</b>	Gender and equity mainstreaming in FIA operations
<b>Issue of Concern</b>	Marginalization of vulnerable groups nationally
<b>Planned Interventions</b>	<ol style="list-style-type: none"> <li>1. Provide appropriate facilities for PWDs</li> <li>2. Mainstream gender and equity issues in departmental reporting.</li> <li>3. Conducting public awareness campaigns in all regions of Uganda</li> <li>4. Mainstreaming gender and equity issues in planning and budgeting instruments.</li> </ol>
<b>Budget Allocation (Billion)</b>	0.010
<b>Performance Indicators</b>	Level of compliance of FIA to gender and equity budgeting

### ii) HIV/AIDS

<b>OBJECTIVE</b>	Reduce the spread of HIV/AIDS among FIA staff
<b>Issue of Concern</b>	The Government target of eradicating HIV/AIDS in the population is not yet met
<b>Planned Interventions</b>	<p>Continue with the implementation of the HIV/AIDS policy.          Conducting HIV/AIDS sensitization sessions for all staff.          Provision of condoms to staff.</p>
<b>Budget Allocation (Billion)</b>	0.010
<b>Performance Indicators</b>	Number of HIV/AIDS awareness sessions conducted

### iii) Environment

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

### iv) Covid

<b>OBJECTIVE</b>	To reduce the spread of COVID 19 among staff
<b>Issue of Concern</b>	The spread COVID 19 is still within the population. New variants are still a threat to mankind.
<b>Planned Interventions</b>	1. Ensure a safe work environment by provision of COVID-19 essentials such as office sanitizers, disinfectants, masks for guards and visual information.

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<b>Budget Allocation (Billion)</b>	0.015
<b>Performance Indicators</b>	Number of COVID 19 supplies procured.

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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	2
Assistant Inventory Management Officer	FIA 7	1	1
Compliance and Inspection Officer	FIA 6	5	5
Database Administrator	FIA 6	2	2
Deputy Executive Director	FIA 2	1	1
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	12	10
Executive Director	FIA 1	1	1
Human Resource officer	FIA 6	1	1
information Security 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
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

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<b>Title</b>	<b>Salary Scale</b>	<b>Number of Approved Positions</b>	<b>Number of filled Positions</b>
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	1	1
Office Attendant	FIA 9	1	1
Operational Analysis officer	FIA 6	5	5
Personal Assistant	FIA 6	1	1
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	1	1
Security Officer	FIA 6	1	1
Senior Accountant	FIA 5	1	1
Senior Compliance and Inspection	FIA 5	2	2
Senior Human Resource Officer	FIA 5	1	1
Senior Information Security 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	2
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	1	1
Senior Training and Outreach Officer	FIA 5	1	1
Strategic Analysis and Statistics officer	FIA 6	2	2

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**Table 9.2: Staff Recruitment Plan**

N / A

