

FY 2021 PHYSICAL PLAN

Department : Department of Finance (DOF)
 Agency : Securities and Exchange Commission
 Operating Unit : N/A
 Organization Code (UACS) : 110110000000
 Report Status :

Particulars	UACS CODE	Current Year's Accomplishments			Physical Targets (Budget Year)					Variance	Remarks
		Actual Jan. 1- Sept. 30	Estimate Oct.1- Dec.31	TOTAL	TOTAL	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter		
1	2	3	4	5=3+4	6=7+8+9+10	7	8	9	10	11=6-5	12
OO: Investor-based capital market and business sector broadened											
SCORE-SRD and RCC Compliance of Regulated Entities											
Outcome Indicator											
1) Average Compliance rate of regulated entities increased				83%	60%					-23%	
2) Percentage of retail participation in the capital market/ various investment products increased				1%	1%					0%	
Output Indicators											
1) Percentage of regulated entities monitored											
A. Credit Rating Agencies/Property Valuers		100%	100%	100%	100%	100%	100%	100%	100%	0%	
B. External Auditors/Audit Firms		19%	40%	24%	25%	25%	25%	25%	25%	1%	
C. Ordinary Corporations											
CRMD		79%	66%	73%	32%	32%	32%	32%	32%	-41%	
BEO, CDOEO, CEO, DEO		20%	36%	28%	25%	25%	25%	25%	25%	-3%	
BacEO, IEO, TEO		22%	32%	27%	75%	75%	75%	75%	75%	48%	
LEO, ZEO		72%	82%	77%	100%	100%	100%	100%	100%	27%	
D. Investment Companies/ Funds (Audit)		100%	100%	100%	43%	43%	43%	43%	43%	-57%	
E. Proprietary/ Non-Proprietary Securituess Issuers		100%	100%	100%	84%	84%	84%	84%	84%	-16%	

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GEARING UP! – The Enforcement and Investor Protection Program											
Outcome Indicators											
1) Case disposition rate (i.e. either filed in court with DOJ, dismissed by SEC, revoked by SEC, fined by SEC, archived by SEC within prescribed time) increased				83%	100%					17%	
Output Indicators											
1) Percentage of tips, referrals and complaints acted upon (i.e. acknowledged, verified, referred) within prescribed time		100%	100%	100%	100%	100%	100%	100%	100%	0%	
SEC CAN! – Communication, Advocacy and Network											
Outcome Indicator											
1.) Equity market capitalization relative to GDP (%) increased				89.9%	73.27%					-16.18%	
2.) Size of local currency bond market to GDP (%) increased				37.83%	39.24%					1.41%	
Output Indicator											
1) Number of investment promotion advocacy campaigns conducted		1,291	517	3,098	207	51	52	52	52	-2,891	
OCS/ERTD/EIPD/CRMD/CGFD		445	127	572	63	15	16	16	16	-191	
EOs		2,136	390	2,526	144	36	36	36	36	-2,382	
Prepared by: <u>ROSE ANN S. ESPERITU</u> Planning Services Head / Planning Officer Date:		In coordination with: <u>LESTER V. DELAMERCEZ</u> Financial Services Head / Budget Officer Date:				Approved by: <u>CHAIRPERSON EMILIO B. AQUINO</u> Agency Head/ Department Secretary Date:					

PHYSICAL PLAN (BED No. 2)

Instructions

The **Physical Plan** shall contain the performance targets of the department/agency consistent with the targets embodied in the National Expenditure Program (NEP): Section 4 -Performance Informed Budget. *For FY 2014, agencies shall align their 2013 MFO/PI as reflected in the NEP- Performance Informed Budget (PIB), if feasible. Otherwise, current years' accomplishments shall be submitted separately.*

Column 1 Part A shall reflect the Cost Structure, Major Final Outputs (MFOs) and the corresponding Performance Indicators (PIs).

MFOs are goods/ services that a department / agency is mandated to deliver to external clients through the implementation of programs, activities, and projects.

PI is a characteristic of performance (quantity, quality, and timeliness) which will be measured to illustrate the standard of performance by which a department/agency has delivered its MFOs.

It is understood that the corresponding MFOs and PIs for Automatic Appropriations (i.e., Special Account in the General Fund) are subsumed in MFOs under Operations if applicable.

Part B shall highlight the targets of the Major Programs and Projects that are enrolled/attributioned to the Program Budgeting Approach per NBM No. 118, and those committed to the President and whose outputs are being closely monitored by the Presidential Management Staff (PMS). These Major Programs and Projects must be duly aligned to any five (5) priority areas of spending of the government, otherwise known as the Key Result Areas (KRAs) pursuant to EO No. 43, follows:

- (1) Anti-Corruption, Transparent, Accountable and Participatory Governance;
- (2) Poverty Reduction and Empowerment of the Poor and the Vulnerable;
- (3) Rapid, Inclusive and Sustained Economic Growth;
- (4) Just and Lasting Peace and Rule of Law; and
- (5) Integrity of the Environment and Climate Change Mitigation and Adaption.

For Programs/Projects closely monitored by the Office of the President, targets shall be consistent with Section 4 - Performance Information of the NEP and Form B of the Performance-Based Bonus (PBB) forms. For other Projects consider those milestones indicated in the approved project profile.

Column 2 Adopt the UACS Code per COA-DBM-DOF Joint Circular No. 2013-1 dated 6 August 2013.

Columns 3-5 Current year's accomplishments, composed of actual performance for the period Jan. 1 to Sept. 30 and estimated accomplishments for October 1 to December 31.

Columns 6-10 Refers to the Physical Targets of a department/agency for the entire year with quarterly targets.

Column 11 The difference between columns 6 and 5.

Column 12 As a rule, the target for the budget year should indicate an improving trend over the accomplishments in current year. Any variance that may arise from current year's accomplishment versus the budget year's targets shall be disclosed/justified under the remarks column.

Upon effectivity of the GAA, in case there were any changes made by Congress i.e., decrease or increase on the NEP level, the OU/agency concerned shall submit a revised Physical Plan on or before January 07.

This shall be submitted to DBM on or before November 30 of the year.