

FY 2022 PHYSICAL PLAN

Department: Department of Finance (DOF)
 Agency: Securities and Exchange Commission (SEC)
 Organization Code: 11 011 0000000

Particulars	UACS Code	Physical Target (Budget Year)				
		1st Quarter	2nd Quarter	3rd Quarter	4th Quarter	Total
1	2	3	4	5	6	7
SCORE - SRC and RCC Compliance of Regulated Entities						
Outcome Indicators						
1) Average Compliance rate of regulated entities increased						59%
2) Percentage of retail participation in the capital market/various investment products increased						1.33%
Output Indicators						
1) Percentage of regulated entities monitored						
A. Credit Rating Agencies/ Property Valuers		100%	100%	100%	100%	100%
B. External Auditors/Audit Firms		30%	30%	30%	30%	30%
C. Ordinary Corporations						
CRMD		5%	5%	5%	5%	20%
CEO, DEO, TEO		40%	40%	40%	40%	40%
BEO, CDOEO		50%	50%	50%	50%	50%
BacEO, IEO, LEO, ZEO		100%	100%	100%	100%	100%
D. Investment Companies/ Funds (Audit)		100%	100%	100%	100%	100%
E. Proprietary/ Non-Proprietary Securities Issuers		100%	100%	100%	100%	100%
F. PLCs		100%	100%	100%	100%	100%
GEARING UP! – The Enforcement and Investor Protection Program						
Outcome Indicator						
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						100%
Output Indicator						
1) Percentage of tips, referrals and complaints acted upon (i.e. acknowledged, verified, referred) within prescribed time		100%	100%	100%	100%	100%
SEC CAN! – SEC Communication, Advocacy and Network						
Outcome Indicator						
1) Equity market capitalization relative to GDP (%) increased						95.75%
2) Size of local currency bond market in % of GDP increased						51.90%
Output Indicator						
1) Number of investment promotion advocacy campaigns conducted		61	61	61	61	244

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