



SECURITIES AND EXCHANGE COMMISSION

FY 2020 PBB Status

The Commission's broad regulatory scope covers the corporate sector, capital market participants, securities and investment instruments, and the investing public. The Securities Act (Commonwealth Act. No. 83) established the SEC in 1936 mainly to administer the registration of securities, exchanges, brokers, dealers and salesmen.

STREAMLINING AND PROCESS IMPROVEMENT		Compliant	GOOD GOVERNANCE CONDITIONS					
			Transparency Seal	Compliant				
SUPPORT TO OPERATIONS			PhilGEPS Posting	Compliant				
ISO 9001:2015 Certification of QMS		Compliant	Citizen's or Service Charter	Compliant				
GENERAL ADMINISTRATION AND SUPPORT SERVICES								
PFM reporting requirements to COA			Other Cross-Cutting Requirements					
Sustained Compliance to prior years' AAR		Compliant	SALN Review and Compliance Procedure	Compliant				
			Compliance with FOI Program	Compliant				
			Agency's System of Rating and Ranking	Compliant				
PROCUREMENT REQUIREMENTS			BUDGET UTILIZATION RATE					
FY 2020 APP-NON CSE		Compliant		2016	2017	2018	2019	2020
Indicative FY 2021 APP NON-CSE		Compliant	Obligations BUR	85%	100%	91%	100%	72%
FY 2021 APP-CSE		Compliant						
FY 2019 APCPI Results		Compliant	Disbursement BUR	82%	93%	62%	88%	86%
Undertaking of Early Procurement Activities		Compliant						

NOTE: The DBM BMB-A considered the explanation provided by the SEC for not meeting its Obligations BUR targets to be due to uncontrollable factors based on the DBM BMB-A report dated 9/13/2021