

Bids and Awards Committee

BID BULLETIN NO. 1

DESIGN, DEVELOPMENT, DELIVERY, INSTALLATION, TESTING, AND COMMISSIONING OF AUTOMATED CERTIFICATION EXAMINATION SYSTEM AND HARDWARE REQUIREMENTS

All Prospective Bidders are hereby informed of the following amendments to the SEC Bidding Document:

Item No.	SEC Requirements /Clarifications	Amendments/Responses
<i>SECTION I :Invitation to Bid</i>		
Page 10 Item No. 7	Bids must be duly received by the BAC Secretariat through manual submission at the Procurement Division, 3 rd Flr. Secretariat Building, PICC Complex, Pasay City on or before June 29, 2022, 9:00a.m. Late bids shall not be accepted.	Bids must be duly received by the BAC Secretariat through manual submission at BAC Room, Breezeway, 3rd Flr. Secretariat Building, PICC Complex, Pasay City on or before June 29, 2022, 9:00a.m. Late bids shall not be accepted.
<i>SECTION VI :Schedule of Requirements</i>		
Page 30	Delivery date : Within 120 days upon receipt of Notice to Proceed (NTP) <ul style="list-style-type: none"> Can we extend the delivery date from 120 days to 6 months since this is development of system? 	<ul style="list-style-type: none"> No, we expect that the supplier or the bidder already has an experience working on similar project and the same will be customized in accordance with the TOR.
<i>SECTION VII :Technical Specifications</i>		
Page 32 Item No. 14	Must be compatible with existing SEC application systems (Capital Market Participants Registry System (CMPRS-CSV File Export Import) <ul style="list-style-type: none"> May we clarify if this is an integration or a manual export/import process? 	<ul style="list-style-type: none"> This is an integration with the current SEC Online application
Page 33 Item No. 16	Able to capture and save examinees' answers real time (in	

	<p>case of disconnection, power shortage and other similar instances)</p> <ul style="list-style-type: none"> • Is this an offline feature? 	<ul style="list-style-type: none"> • No, we avoid saving or the retention of question in the examinees's computer unit to avoid leakage. In case of disconnection, power shortage and other similar instances beyond SEC control, we will reschedule the exam based on the integral guidelines.
<p>Page 34 Item No. 17</p>	<p>Must have a payment facility</p> <ul style="list-style-type: none"> • Is this a payment gateway integration? • For the payment channels, it would be a separate contract? 	<ul style="list-style-type: none"> • Yes • No. We already have an existing payment gateway provider.
<p>Page 34 Item No. 25</p>	<p>Must have a built-in short messaging system (SMS based on user Groupings. -Must be able to send SMS to any providers locally and internationally -Must be able to configure SMS Text User ID</p> <ul style="list-style-type: none"> • Will the SEC provide the SMS gateway? 	<ul style="list-style-type: none"> • Yes
<p>Page 34 Item No. 33</p>	<p>Customizable report</p> <ul style="list-style-type: none"> • Can we have a list of Data Points need or sample reports? 	<p>See sample reports below:</p> <ul style="list-style-type: none"> - List of Passers - Notice of Rating - Statistical Report (Tabular) - Graphical Report - Application Receipt
<p>Page 40 Project Management</p>	<ul style="list-style-type: none"> • We would like to request if you may consider the bidder to submit any of the following certifications listed on : -The minimum certification of the Project Manager 	<ul style="list-style-type: none"> • Yes, for evaluation and consideration

<p>Page 41 Warranty/Guarantee Item No. 2</p>	<p>phone/email support 24x7; on-site support as may be required; vendor must shoulder all the expenses of the technical personnel that will be deployed onsite.</p> <ul style="list-style-type: none"> • May we ask if SEC operates 24-hours to require 24/7 phone/email support? 	<ul style="list-style-type: none"> • The Commission is adopting an eight working hours a day for five days a week. The requirement of, "on-site support, as may be required" will ensure uninterrupted services in case the system experiences technical problems that require immediate action.
<p>Others:</p>	<ul style="list-style-type: none"> • Scope/Process of Integration with existing SEC application and are there other system for integration? • Can we request a process flow for examination? • Can we request to submit any of the certification listed in the TOR for Project manager? 	<ul style="list-style-type: none"> • Yes, there are other systems for integration: -Capital Market Participating Registry System (CMPRS) -Cashiering/payment System • The document will be provided during project preparation • Yes, for evaluation and consideration.

This Bid Bulletin No.1 shall form an integral part of the Bidding Document.

June 22, 2022

Prepared by:


Margery V. Abuyog
BAC Secretariat

Noted by:


Norlan M. De Las Alas
BAC Secretariat

Reviewed by:


Jernel R. Macatangay
Assistant Director, ERTD-Training Division

Approved by:


Armando A. Pan Jr
BAC Chairman

Sample Reports

1. List of passers



JUNE 13, 2022 LIST OF PASSER/S

Consolidated Examination – Phase 1	
Name of Examinee	
1	CRUZ, SHANDON GERARDO CLEMENTE
2	MENDOZA, MARNIE MAE MANGUIAT

Phase 2		
	Name of Examinee	Module
1	AGNIR, ALVIN KYLE AGNIR	7C
2	CABANGON, MICHAEL WESLEY MANLONGAT	7D
3	COTOCO, TANIA MARIE GO	7A
4	GALEON, FRANCIS JAKE DODOG	7A
5	LACORTE, ROWEL LESTER TANLUSCO	7C
6	PANGANIBAN, TERESA JOY BARDAJE	7A
7	ROSALES, CARLO DECHOSO	7A
8	TRONCO, KATRINA MARIE DE PAULA	7C

Prepared by

RODEL S. PRESCO
SEC Information System Analyst

Noted by

JERNEL R. MACATANGAY
Assistant Director, ERTD

7A-Certification Program for Certified Investment Solicitors (CPCIS)
7B-Certification Program for Equities Securities Salesman (CPES)
7C-Certification Program for Fixed Income Market Salesman (CPFIMS)
7D-Certification Program for Compliance Officers/Associated Persons (CPCO/AP)

2. Notice of Rating



Securities and
Exchange
Commission

ECONOMIC RESEARCH AND TRAINING DEPARTMENT

NOTICE OF RATING

2 June 2022

MR. JUAN DE LA CRUZ
San Fernando, Pampanga

Dear Mr. Cruz:

Greetings from the Securities and Exchange Commission!

We regret to inform you that you FAILED Phase 2 (Module 7C-Fixed Income Market Salesmen) of the **SEC Certification Examination**, which you took on 30 May 2021 at the SEC Examination Room, 3rd Floor, Breezeaway, Secretariat Building, PICC Complex, Roxas Boulevard, Pasay City. Your rating for Phase 2, Module 7C, is 50%.

Should you wish to retake the examination, please feel free to get in touch with our Training Division through telephone number (+63) 02 8818-7256. You may also send an email to certification@sec.gov.ph, copy furnished irmacarangay@sec.gov.ph.

This Notice is issued per your request.

Very truly yours,

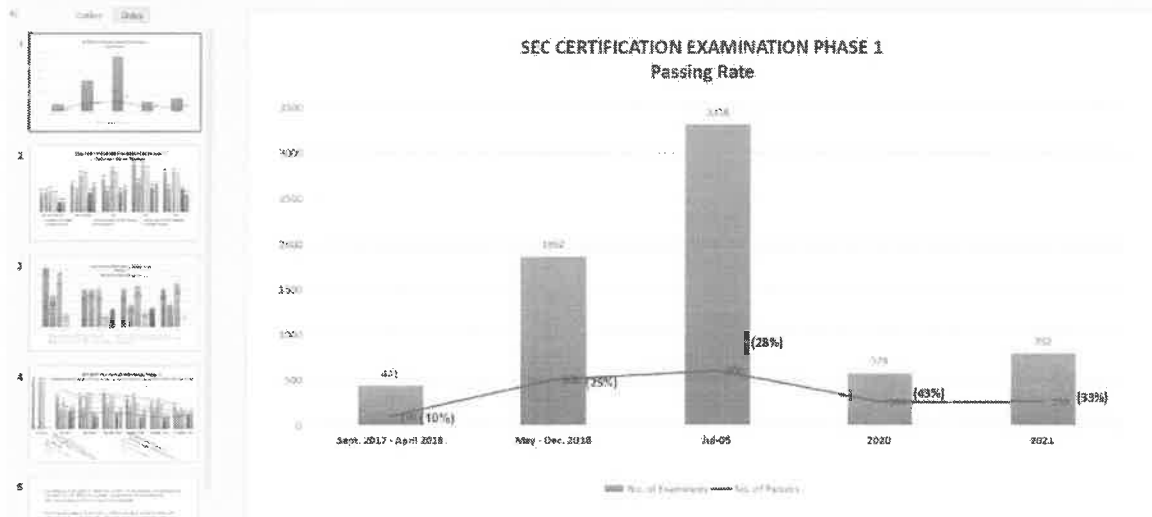
ROSE ANNS. ESPIRITU
Director, ERTD

3. Statistical Report (Tabular)

Certification Program	No. of Questions	Weight	Passing Score	January			February			March			April			May			Total No. of Examinees	Total No. of Passes	Passing Rate
				No. of Examinees	No. of Passes	Passing Rate	No. of Examinees	No. of Passes	Passing Rate	No. of Examinees	No. of Passes	Passing Rate	No. of Examinees	No. of Passes	Passing Rate	No. of Examinees	No. of Passes	Passing Rate			
CERTIFIED INVESTMENT SOLICITORS (CPCIS)	50	100%	75%	3	4	133.33%	12	10	83.33%	19	13	68.42%	14	9	64.29%	21	10	47.62%	16	11	68.75%
EQUITIES SECURITIES SALESMEN (CPESST)	50	100%	75%	4	2	50.00%	7	4	57.14%	5	3	60.00%	4	2	50.00%	7	1	14.29%	5	1	20.00%
FIXED INCOME MARKET SALESMEN (CPFIMS)	50	100%	75%	5	3	60.00%	13	8	61.54%	14	11	78.57%	12	6	50.00%	16	6	37.50%	23	17	73.91%
COMPLIANCE OFFICERS/ASSOCIATED PERSONS (CPCO/AP)	50	100%	75%	0	0	0.00%	0	0	0.00%	1	0	0.00%	2	1	50.00%	1	0	0.00%	1	1	100.00%
PROPRIETARY AND NON-PROPRIETARY SECURITIES SALESMEN	50	100%	75%	7	0	0.00%	0	0	0.00%	0	0	0.00%	0	0	0.00%	0	0	0.00%	0	0	0.00%
Total				25	9	40%	32	22	40%	39	27	41%	32	19	42%	47	24	25%	43	30	55%

Certification Program	No. of Questions	Weight	Passing Score	July			August			September			October			November			December			Total No. of Examinees	Total No. of Passes	Passing Rate
				No. of Examinees	No. of Passes	Passing Rate	No. of Examinees	No. of Passes	Passing Rate	No. of Examinees	No. of Passes	Passing Rate	No. of Examinees	No. of Passes	Passing Rate	No. of Examinees	No. of Passes	Passing Rate	No. of Examinees	No. of Passes	Passing Rate			
CERTIFIED INVESTMENT SOLICITORS (CPCIS)	50	100%	75%	13	3	23.08%	3	3	100.00%	2	2	100.00%	0	0	0.00%	76	50	65.79%	10	7	70.00%	129	197	65%
EQUITIES SECURITIES SALESMEN (CPESST)	50	100%	75%	6	3	50.00%	3	1	33.33%	2	0	0.00%	0	0	0.00%	28	9	32.14%	17	3	17.65%	29	86	34%
FIXED INCOME MARKET SALESMEN (CPFIMS)	50	100%	75%	16	4	25.00%	2	1	50.00%	2	2	100.00%	1	2	50.00%	26	16	61.54%	8	1	12.50%	79	140	56%
COMPLIANCE OFFICERS/ASSOCIATED PERSONS (CPCO/AP)	50	100%	75%	0	5	0.00%	0	0	0.00%	0	0	0.00%	1	0	0.00%	4	0	0.00%	1	0	0.00%	7	17	0
PROPRIETARY AND NON-PROPRIETARY SECURITIES SALESMEN	50	100%	75%	0	6	0.00%	0	0	0.00%	0	0	0.00%	0	0	0.00%	0	0	0.00%	0	0	0.00%	0	7	0
Total				40	20	17%	8	5	37%	6	4	40%	5	2	10%	124	75	32%	36	14	28%	447	447	44%

4. Graphical Report



5. Application Receipt

APPLICATION RECEIPT		THIS FORM IS NOT FOR SALE			
<p>*TO BE ACCOMPLISHED BY THE APPLICANT:</p> <p>Printed Name: _____</p> <p>Signature: _____</p>					
<p>FOR REC-ENTD PROCESSOR USE ONLY</p> <p>Received the application for CERTIFICATION EXAMINATION – PHASE 1 to be held on:</p>					
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="padding: 5px;">DATE: _____</td> </tr> <tr> <td style="padding: 5px;">TIME: _____</td> </tr> <tr> <td style="padding: 5px;">VENUE: _____</td> </tr> </table>			DATE: _____	TIME: _____	VENUE: _____
DATE: _____					
TIME: _____					
VENUE: _____					
<p><i>Application processed by:</i></p> <p>NAME & SIGNATURE OF ERTD PROCESSOR: _____ DATE: _____</p> <p><i>Examination Proctor:</i></p> <p>NAME & SIGNATURE OF PROCTOR: _____ DATE: _____</p>					
<p>THINGS TO BRING ON EXAMINATION DAY:</p> <ol style="list-style-type: none"> 1. One (1) original valid ID card (see List of acceptable Philippine-issued ID cards). NO ID, NO EXAM. Examinee will be considered absent and examination payment will be forfeited if the examinee cannot present a valid ID card. 2. Proof of payment (hard copy or electronic copy). 3. This Application Receipt (hard copy or electronic copy). 4. One (1) blue or black ballpoint pen. 5. One (1) pencil (any type); and 6. One (1) ordinary calculator (scientific/financial/programmable calculators are not allowed). <p>Examinees must also comply with the other requirements indicated in the SEC Guidelines on the Health and Safety Protocols to be Observed in the Conduct of the SEC Certification Examinations During the COVID-19 Pandemic.</p> <p>Note:</p> <ul style="list-style-type: none"> • Please be at the examination venue at least 15 minutes prior for the Head Office exam and 30 minutes for provincial. • Attire is smart casual (sleeveless shirt, shorts/short pants and slippers are not allowed). Examinees are advised to bring a blazer, cardigan or jacket as some may find the examination room quite cold. • The time limit for the Phase 1 examination is 3 hours. • Examinees will be provided with one scratch paper. • Only bottled water, tissue paper, eyeglasses, candy, medicine/liniment are allowed on the examination desk. The rest are prohibited. • Non-appearance on the day of examination would mean forfeiture of examination payment. <p>WARNING: Any of the following constitutes an examination offense and will result in the permanent disqualification from taking any SEC examinations in the future and/or criminal prosecution:</p> <ol style="list-style-type: none"> 1. Impersonating an examinee; 2. Consulting or having access to or in possession of unauthorized materials such as books, electronic devices, "codigo" and notes during the examination; 3. Aiding or attempting to aid another examinee or any other person during the examination; 4. Obtaining or attempting to obtain aid from another examinee or any other person during the examination; 5. Attempting to read the answer/s of another examinee; 6. Unruly behaviour or causing disturbance during an examination; and 7. Any deed (verbal or physical) deemed inappropriate or considered to be an examination offense by the proctor. 					
<p>IMPORTANT!</p> <p>◆ Results of examinations are final. Requests for rechecking, if any, shall not be entertained.</p> <p>◆ The Commission reserves the right to postpone or suspend an examination in case of natural calamities and/or other justifiable causes.</p>					