



PAMBANSANG PUNONGHIMPILAN TANOD BAYBAYIN NG PILIPINAS
(National Headquarters Philippine Coast Guard)
139 25th Street, Port Area
1018 Manila

NHQ-PCG

27 November 2019

STANDING OPERATING PROCEDURE
NUMBER 21-19

BACKGROUND INVESTIGATION

I. REFERENCES:

- a. Republic Act 9993
- b. PCG Regulations G 200-002 dated 23 September 2002 on Security Investigation and Clearance of Personnel in the Philippine Coast Guard

II. PURPOSE:

This SOP shall establish the policies and guidelines in the conduct of Background Investigation (BI) to all applicants for Commissionship, enlistment and civilian service in the PCG, and request to marry of personnel.

III. DEFINITION OF TERMS:

a) **Background Investigation** – refers to the process of validating all information provided by applicants for Commissionship, enlistment and civilian service in the PCG, as well as request to marry of personnel.

1. **Partial Background Investigation (PBI)** – is an inquiry into specific phases of the applicant's life history including as a minimum a national and local agency check, verification of school/university credentials, contact with references and former employees, contacts with individuals whose names are taken from the reference of former employees interviewed, but not given as references by the subject, and such other investigation as may be deemed necessary.

2. **Personnel Security Investigation (PSI)** – is an inquiry into the background of an applicant, particularly with respect to his character, loyalty, integrity and discretion.

BI

b) **Derogatory Information** – unfavorable information on the character, integrity or reliability of an individual which can be used to deny an applicant's entry in the PCG service.

c) **Intelligence Group Agent** – is a PCG personnel assigned in any CGIF Intelligence Group who has already undergone basic intelligence course and has expertise to conduct Personnel Security Investigation (PSI) and Partial Background Investigation (PBI).

d) **Local Agency Check (LAC)** – inquiry or verification of public records of the applicant from the area of residence (i.e. barangay and local police records, municipal and regional trial court records).

e) **National Agency Check (NAC)** – an investigation of the records of national government agencies including the Philippine National Police (PNP); Headquarters of Philippine Army, Philippine Air Force and Philippine Navy, if an applicant is formerly Commissioned, enlisted or employed thereat; National Bureau of Investigation (NBI); National Intelligence Coordinating Agency (NICA); and Civil Service Commission (CSC).

IV. GENERAL POLICY:

a) Background Investigation is a continuing process. While background check is being conducted to aid the PCG on the screening of new recruits to determine the authenticity of the facts and documents they have presented prior being employed as commissioned officer, non-officer or non-uniformed personnel, continuous background monitoring is being done after employment to avoid internal threats to security and ensure that the integrity of the organization will not be tarnished by any misdeed committed by a personnel.

b) The conduct of background investigation for persons intending to apply for Commissionship and enlistment in the PCG are differentiated on the thoroughness of the process of background checking.

1. Applicants for Commissionship shall undergo a more comprehensive background investigation to include the PBI and PSI.

2. Applicants for Enlistment shall undergo LAC and NAC. This type of background investigation likewise applies to applicants for civilian service and requests to marry.

V. GUIDELINES:

a) Coast Guard Intelligence Groups shall be primarily responsible for the implementation of this SOP.

b) Any information gathered during the BI shall be treated with utmost confidentiality. Thus, all PCG personnel involved in the conduct of BI are strictly prohibited from having personal contact from the applicant and his family, and receive gift/money or even ask favor from friends, family and relatives of the applicant.

c) Personnel who will conduct the BI shall receive a corresponding amount for the performance of the activity. The BI fund will depend on the prevailing price of commodities on the year the BI will be conducted.

d) Safety and security of assets and personnel is paramount at all times.

VI. PROCEDURE:

a) After receiving the applicant's documents, Counterintelligence Division (CID) shall immediately forward said documents to respective Intelligence Groups that has jurisdiction over the applicant based on the information stated.

b) Intelligence Groups shall immediately forward copies of the documents to respective Intelligence Group Agents who has jurisdiction over the location of residence and/or school of the applicants.

c) Intelligence Group Agents shall professionally perform the conduct of BI. Proper coordination with the concerned government agencies and private institutions should be observed in order to obtain the desired record check. Further investigation on the character and integrity of the applicant should be done if the initial information gathered requires so.

d) The Intelligence Group Agent who has jurisdiction over the location of residence and/or school of the applicant shall accomplish the corresponding forms provided in **Annex A**, **Annex B** and **Annex C**. The signatory on the forms provided whether CGIG Commander or Field Station Agent will depend on what is acceptable to the recipient of the request.

e) Agent's Report on the result of the BI shall be done by the Intelligence Group Agent and submitted to the Intelligence Group Office.

f) Agent's Report shall be kept in the Intelligence Group Office for future reference.

g) Intelligence Group Office shall submit a summarized report to Headquarters Coast Guard Intelligence Force (Attention: CID) on the result of BI stating the names of the applicants and the result of BI whether they are cleared or has derogatory record.

h) If derogatory information was obtained against an applicant, a copy of the Agent's Report shall likewise be forwarded to the CID.

i) CGIF shall forward a consolidated report on the result of BI to the Office of the DCS for INTEL, CG-2 (Attention: Counterintelligence Branch) for subsequent submission to the Human Resource Management Service (HRMS).

VII. RESPONSIBILITIES:

a) Chief, Counterintelligence Division, CGIF

- (1) Maintain database of Background Investigation.
- (2) Detail personnel who shall be primarily responsible for the maintenance and regular update of BI status of applicants.
- (3) Promptly forward BI documents to Intelligence Groups upon receipt from HRMS.
- (4) Ensure that the BI documents are complete prior submission to Intelligence Groups to avoid unnecessary delay in the conduct of BI.
- (5) Ensure that the BI documents are securely sent to proper Intelligence Group. Proper transmittal stating the names and the kind of BI (Commissionship, enlistment, civilian service and request to marry) should be included when sending the BI documents.
- (6) Scanning of applicant's documents for archiving purposes is highly encouraged prior sending to respective Intelligence Groups.
- (7) Coordinate with Intelligence Groups as to the status of BI.
- (8) Promptly submit BI result to O/DCS for ISLEN, CG-2 (Attention: CIB) stating whether the applicant is cleared or has derogatory information. Derogatory information gathered against the applicant should be written in the report.
- (9) Maintain close coordination with CIB, CG-2 to avoid discrepancy as to the record of BI status in the database.
- (10) Coordinate with Logistics Group as to the funding of BI.
- (11) Supervise the overall conduct of BI.
- (12) Perform other tasks as directed by Commander, CGIF.

b) Chief, Logistics Group, CGIF

- (1) Coordinate with Chief, Counterintelligence Division as to the funding of BI.

(2) Process and ensure the availability of BI funds.

(3) Devise ways to ensure that BI funds reach the concerned Intelligence Group Agents to ensure that the Agents are properly compensated based on their BI activity.

(4) Perform other tasks as directed by Commander, CGIF.

c) Intelligence Group Commanders

(1) Receive BI documents from CID. For the purpose of secluding emails concerning BI from other communications, create an email address dedicated for BI documents.

(2) Ensure that all documents are properly acknowledged once received.

(3) Ensure that the Intelligence Group received the complete set of documents. If not, immediately inform the CID.

(4) Forward the BI documents to concerned Intelligence Group Agents having jurisdiction over the location of residence and/or school of the applicant.

(5) Promptly submit BI result to HCGIF (Attention: CID) stating whether the applicant is cleared or has derogatory information. Attach the Agent's Report for applicants with dero.

(6) Ensure that Intelligence Group Agents received proper compensation vis à vis the BI activity performed.

(7) Ensure that all Agent's Report pertaining to BI are properly kept and secured for future reference. Scanning of Agent's Report for archiving purposes is highly encouraged.

(8) Report to Chief, Counterintelligence Division any unusual incidents incurred during the conduct of BI. Safety and security of asset and personnel is paramount at all times.

(9) Deny any gift or favor offered by the applicant or any member of his/her family/relatives/friends.

(10) Oversee the overall performance of Intelligence Group Agents in the conduct of BI.

d) Intelligence Group Agents

(1) Receive BI documents from Commander, CGIG.

(2) Conduct BI with professionalism and integrity.

(3) Prepare the forms provided in **Annex A, Annex B** and **Annex C**. The signatory on the forms provided whether CGIG Commander or Field Station Agent will depend on what is acceptable to the recipient of the request.

(4) Promptly submit BI result to Intelligence Group Office stating whether the applicant is cleared or has derogatory information. Attach the Agent's Report of all applicants.

(5) Report to Commander, Intelligence Group any unusual incidents incurred during the conduct of BI. Safety and security of asset and personnel is paramount at all times. Lateral coordination with friendly forces' intelligence counterparts is highly encouraged for the conduct of BI in identified red areas (NPA-infested areas, war zones and the likes).

(6) Deny any gift or favor offered by the applicant or any member of his/her family/relatives/friends.

e) Chief, Counterintelligence Branch, CG-2

(1) Maintain a back up database of Background Investigation.

(2) Detail personnel who shall be primarily responsible for the maintenance and regular update of BI status of applicants.

(3) Maintain close coordination with CID, CGIF to avoid discrepancy as to the record of BI status in the database.

(4) Prepare transmittal of result of BI for signature of DCS for INTEL, CG-2. BI of applicants for Commissionship, enlistment and civilian service shall be forwarded to HRMS, while result of BI regarding request to marry shall be forwarded to the Office of the DCS for HRM, CG-1 stating whether the applicant is cleared or has derogatory information. Derogatory information gathered against the applicant should be written in the report.

VIII. PENALTY CLAUSE

Any unethical and corrupt act committed in connection to the accomplishment of this policy shall be dealt with administratively in reference to the Code of Conduct and Discipline for PCG Uniformed Personnel.

IX. RESCISSION:

Any existing directives, rules and regulations and other publication which are inconsistent with this SOP are hereby rescinded, repealed or modified accordingly.

X. EFFECTIVITY:

This SOP shall take effect immediately upon approval.

BY COMMAND OF VICE ADMIRAL GARCIA:

OFFICIAL:

JOSE WILLIAM U ISAGA
COMMO PCG
Chief of Coast Guard Staff

LIEZEL B BAUTISTA
CDR PCG
Coast Guard Adjutant
L. Bautista





Philippine Coast Guard
Maritime Security Command
COAST GUARD INTELLIGENCE FORCE

(Name of Field Station)

(Address)

(Date)

The REGISTRAR

Name of School/University

Address of School/University

Dear Sir/Madam:

This is in reference to the application for (Commissionship/Enlistment) in the Philippine Coast Guard (PCG) of (Name of student). Based on the documents submitted, subject applicant had been a student in your (school/university) with the degree of (career course taken by the applicant) for the period covering school years (years indicated in the TOR/certificate of grades submitted i.e. 2015-2019).

Part of the PCG's recruitment process is the conduct of Background Investigation wherein the authenticity of the documents submitted by the applicants is being validated.

In this connection, it is respectfully requested from your good office the authentication of herein attached photocopy of (his/her) (Certificate of Grades/ Transcript of Record and Diploma).

Looking forward for your favorable consideration on this request. Should you have any inquiry or clarification, you may reach the undersigned at telephone number (landline number) and/or at mobile phone number (cellular phone number).

Truly yours,

(Signature over printed name of FS Agent)



Philippine Coast Guard
Maritime Security Command
COAST GUARD INTELLIGENCE FORCE

(Name of Field Station)

(Address)

(Date)

The REGISTRAR

Name of School/University

Address of School/University

Dear Sir/Madam:

This is in reference to the application for (Commissionship/Enlistment) in the Philippine Coast Guard (PCG) of the following applicants who have been students in your (school/university) with the degree and during the period of school years indicated opposite their names:

Name of Student	Degree	School Years Attended

Part of the PCG's recruitment process is the conduct of Background Investigation wherein the authenticity of the documents submitted by the applicants is being validated.

In this connection, it is respectfully requested from your good office the authentication of herein attached photocopy of their (Certificate of Grades/ Transcript of Record and Diploma).

Looking forward for your favorable consideration on this request. Should you have any inquiry or clarification, you may reach the undersigned at telephone number (landline number) and/or at mobile phone number (cellular phone number).

Truly yours,

(Signature over printed name of FS Agent)



Philippine Coast Guard
Maritime Security Command
COAST GUARD INTELLIGENCE FORCE

(Name of Field Station)

(Address)

(Date)

For: **THE CHIEF OF POLICE**
 (Name of City/Municipality)
 (Address of City/Municipality)

(Attn: Chief, Criminal Record & Identification Section)

Subj: Record Check, Request for

Re: Name of Applicant:
 Date and Place of Birth:
 Present Address:
 Gender:
 Height: ___ cms
 Weight: ___ kgs
 Marital Status:
 Educational Attainment:
 Purpose: Background Investigation in connection with the application for
 (Commissionship/ enlistment/ civilian employment) in the Philippine Coast Guard.

INFORMATION REQUESTED: Derogatory Information or Criminal Record

(Signature over printed name of Commander, CGIG)

(Date)

To: (Name of Field Station Agent)
 (Address of Field Station)

Re: Result of Record Check conducted to (Name of Applicant)

- No derogatory information
- With derogatory information/ Criminal record (report attached)
- Other information

Remark/s: _____

Signature over Printed Name/ Designation

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Philippine Coast Guard
 Maritime Security Command
COAST GUARD INTELLIGENCE FORCE
 (Name of Field Station)

 (Address)

 (Date)

For: **BARANGAY (CHAIRMAN/CHAIRWOMAN)**
 (Name of Barangay)
 (Address of Barangay)

Subj: Record Check, Request for

Re: Name of Applicant:
 Date and Place of Birth:
 Present Address:
 Gender:
 Height: ___ cms
 Weight: ___ kgs
 Marital Status:
 Educational Attainment:

Purpose: Background Investigation in connection with the application for
 (Commissionship/ enlistment/ civilian employment) in the Philippine Coast Guard.

INFORMATION REQUESTED: Derogatory Information or Barangay Record

 (Signature over printed name of Commander, CGIG/ CGIG Agent)

 (Date)

To: (Name of Field Station Agent)
 (Address of Field Station)

Re: Result of Record Check conducted to _____ (Name of Applicant)

- No derogatory information
- With derogatory information (derogatory record attached)
- Other information

Remark/s: _____

 Signature over Printed Name/ Designation