



HPCG/CGAO

20 February 2012

MEMORANDUM CIRCULAR)  
NUMBER . . . . . 03-12)

**PHILIPPINE COAST GUARD 201 FILES**

**I. AUTHORITY:**

- a. Republic Act 9993 (*The Philippine Coast Guard Law of 2009*)
- b. Republic Act 9470 (*An act to strengthen the system of management and administration of archival records, establishing for the purpose the national archives of the Philippines, and for other purposes*)
- c. CSC Resolution Number 1000385 Promulgated 22 Nov 2010 (*Addendum to CSC MC No. 8. s. 2007 on Management of 201/120 Files*)

**II. PURPOSE:** To prescribe procedures and guidelines for the creation, maintenance and disposition of PCG 201 Files for the following purposes:

- 1) To enhance management of active and inactive 201 files;
- 2) To define responsibilities and accountabilities of all concerned;
- 3) To reduce the number of 201 files to a manageable level; and
- 4) To be more responsive to current personnel needs and budgetary problems due to expensive maintenance cost.

**III. SCOPE:** The provisions of this Circular shall cover 201 Files of CG uniformed and non-uniformed personnel maintained by the CG Adjutant as well as in the districts and other major units.

**IV. DEFINITION OF TERMS:**

- a. **CGAO** – Coast Guard Adjutant Office
- b. **Command PCG 201 File** – pertains to the PCG 201 File maintained by CGAO under the supervision of the Deputy Chief of Coast Guard Staff for Human Resource Management (*DCS-HRM*), **CG-1**. It includes the Permanent Personnel File of CG personnel and PCG 201 File of retired or separated CG personnel which are maintained by the Non-Current Records Branch (*NCRB*), CGAO.
- c. **Moving PCG 201 File** – pertains to the PCG 201 File maintained by the District or major unit Admin or Personnel Officer unit where the individual is assigned.
- d. **Non-Officers** – enlisted men and women of the Philippine Coast Guard.

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- e. **Non-uniformed Personnel** – Civilian employees' personnel of the PCG and covered by the civil service rules and regulations.
- f. **Officers** – all commissioned officers of the Philippine Coast Guard.
- g. **PCG/CG** – pertains to Philippine Coast Guard/ Coast Guard.
- h. **PCG 201 File** – is a compilation of records and documents of all CG personnel.
- i. **Permanent Personnel File (PPF)** – a document that contains both personal and PCG/military information of the individual such as chronological dates and authority of promotion, assignment, awards and decorations, etc.
- j. **Transfer** – any permanent change in the assignment of individuals from one unit to another. This requires forwarding the individual PCG 201 Files to the new unit or PCG installation.

**V. POLICIES:**

- a. An individual shall have two basic PCG 201 Files, namely: Command and Moving PCG 201 Files. The Command PCG 201 File shall be maintained by the office of the CG Adjutant and the Moving PCG 201 File shall be maintained by the unit in which the individual is assigned.
- b. The CG Adjutant shall be responsible for the establishment, maintenance and disposition of Command PCG 201 files (*disposal of documents are subject for the RA 9470 provision*) of each PCG personnel which shall contain the following:
  - 1. Permanent Personnel Profile (PPP) (*Appendix*)
  - 2. Commissionship and Call to Active Duty Order for Officer, Enlistment/Reenlistment Order for non-officer or Appointment (CSC Form 33) for non-uniformed personnel;
  - 3. Certificate of leave balances;
  - 4. Clearance from property and money accountabilities;
  - 5. Contract of Service (for non-uniformed personnel);
  - 6. Copies of Certificates of Eligibilities;
  - 7. Copies of Diplomas, awards and decorations, citations, commendations and appreciations;
  - 8. Copies of disciplinary actions to include derogatory reports such as GCM order, reprimand, admonition, etc, if any Officers Evaluation Report (OER)/ Enlisted Personnel Evaluation Report (EPER);
  - 9. Copy of marriage contract and birth certificate of personnel and his/her dependents;
  - 10. Duly authenticated diploma/academic records on military/PCG and civilian schooling;
  - 11. Oaths of Office and Promotion or Appointment Orders;
  - 12. Notices of salary Adjustments/ Step Increments for non-uniformed personnel;
  - 13. Summary of information (SOI) / Personal Data Sheet (CSC Form 212) for non-uniformed personnel; and
  - 14. Copy of the Statement of Assets and Liabilities (SAL)

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- c. Moving PCG 201 Files shall contain the following:
1. Permanent Personnel Profile (PPP) (Appendix)
  2. Summary of Information (SOI);
  3. Officers Evaluation Report (OER)/Enlisted Personnel Evaluation Mark (EPEM);
  4. Awards and decorations, citations, commendations and Certificate of appreciations;
  5. Copies of derogatory reports such as GCM order, reprimand, admonition, etc, if any;
  6. Leave Records;
  7. Copy of the Statement of Assets and Liabilities (SAL)
  8. Reenlistment Request/ Order.
- d. The Permanent Personnel Profile shall be regularly updated and maintained by CGAO and Districts or Major Units Adjutants as well as the parallel computer file/ database.
- e. Adjutants shall inventory the contents of PCG 201 Files periodically to determine the completeness of records/documents, and require individuals/unit concerned to provide lacking documents/records.
- f. Upon retirement or separation, the PCG 201 File shall be sanitized to contain only those documents needed for legal/financial claims such as family documents, list of beneficiaries, leave records, appointments, discharge orders and the latest statement of service. The permanent Personnel Profile shall be retained in the file. Excess documents shall either be returned to the personnel concerned or disposed in accordance with existing regulations and provision stated on the Republic Act 9470.
- g. Procedure on the creation and handling of PCG 201 files:
1. Creation -
    - a) Upon CAD/enlistment, appointment as cadet or direct commission into the PCG, CG-1 shall forward all documents of concerned personnel to CGAO.
    - b) After receipt of documents from CG-1, CGAO shall prepare two (2) copies of individuals PCG 201 File as follows:
      - (1) The Command PCG 201 File to be maintained at CGAO;  
and
      - (2) The Moving PCG 201 File to be forwarded to the individual is assigned.
  2. Handling - Transfer of individuals between units within the Districts or Major units:

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- a) The gaining unit shall notify losing unit that subject individual has already reported for duty.
- b) Upon receipt of the notice, the Adjutant of the losing unit shall immediately forward subject individual's Moving PCG 201 File to the gaining unit. *A relieved individual shall not be allowed to hand carry his PCG 201 File from one unit to another.*
- c) Personnel concerned shall be provided with original copies of their Orders of Appointment/ CAD or reenlistment as well as duplicate/machine copies of documents in the 201 file for their own record;
- d) In case of transfer of an employee to other government agency, the CG Adjutant shall effect the turn over of the personnel's 201 folder to the new employing agency or unit through the employee. Personnel from other government agency who opted to transfer to the PCG and subsequently entered the PCG service shall likewise be required to submit their 201 files from previous employment as a pre-requisite of their entry.
- h. Updating of PCG 201 files:
1. The CG Adjutant shall update the Permanent Personnel Profile upon issuance of order or receipt of the report/radio message from PCG units pertaining to the individual.
  2. Unit Adjutants shall update the Moving PCG 201 Files when new records/documents are received and should furnish copies thereof to the Districts or Major Unit Adjutants who will in turn update the Command PCG 201 File and vice versa.
- i. Final disposition of PCG 201 files when individuals are separated or retired from active service:
1. The Moving PCG 201 File of individual applying for retirement/separation shall be forwarded to the CG Adjutant for reconciliation with the Command PCG 201 File prior final disposition;
  2. In case of voluntary resignation, CGAO shall turn over the 201 file to the resigned personnel who shall thereafter assume full responsibility over one's file;
  3. Personnel who retire from the service in good standing shall be given one's 201 file as a memoir during the retirement ceremony in honor of the personnel. The retired personnel shall thereafter assume responsibility for safekeeping. An employee in good standing would mean that the person has no pending administrative case with the PCG/ Ombudsman and has been cleared of money and property accountabilities.

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4. CGAO shall maintain copies of the Statement of Assets and Net Worth of the retired personnel for a period of ten (10) years while the Personnel Data Sheet/ Summary of Information and Clearance from Property and Monetary Accountabilities for five (5) years in accordance with the Civil Service Resolution No. 1000385 (*Addendum to CSC MC no. 8, s. 2007 on Management of 201/102 Files*) promulgated 22 Nov 2010.
5. CGAO shall maintain a copy of the Permanent Personnel Profile of retired and separated personnel as reference for future use.
6. CGAO under the supervision of CG-1 may effect disposal of 201 files of retired or separated employees in accordance with this Circular.

j. PCG Personnel shall:

1. Assume full responsibility for keeping and maintaining a complete 201 file with the original copies of one's CAD/ Reenlistment or Appointment Orders as well as authenticated copy of Commissionship Order for Officers as Approved by the President of the Philippines;
2. Upon transfer, request for one's 201 folder maintained by the agency/unit and assume responsibility for its conveyance to the new unit/agency; and
3. Upon separation or retirement, assume responsibility for safekeeping of 201 file.

VI. **RESCISSION:** All other publications in conflict with this Circular are hereby rescinded.

**BY COMMAND OF VICE ADMIRAL TAN, PCG:**

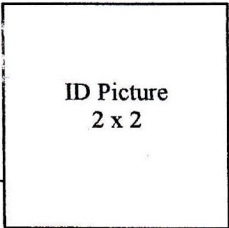
OFFICIAL:

**AARON T RECONQUISTA**  
COMMO PCG  
Chief of Coast Guard Staff

  
**JEFFERSON L RICO**  
LT PCG  
Coast Guard Adjutant

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PERMANENT PERSONNEL PROFILE



- 1. NAME \_\_\_\_\_  
(Last Name) (First Name) (MI)
- 2. Change of Name and Authority: \_\_\_\_\_
- 3. PCGSN: \_\_\_\_\_ 4. Sex: \_\_\_\_\_
- 5. PCG Rating/ Branch of Service if Technical Officers: \_\_\_\_\_
- 6. Civil Status [ ] single [ ] married [ ] widow
- 7. Date of Birth: \_\_\_\_\_
- 8. Place of Birth: \_\_\_\_\_
- 9. Height: (m) \_\_\_\_\_ 10. Weight: (kg) \_\_\_\_\_ 11. Religion: \_\_\_\_\_
- 12. Color of Eyes: \_\_\_\_\_ 13. Color of Hair: \_\_\_\_\_
- 14. Other identifying data: \_\_\_\_\_
- 15. Home Address: \_\_\_\_\_
- 16. PHILHEALTH Nr: \_\_\_\_\_ 17. TIN: \_\_\_\_\_ 18. PAG-IBIG Nr: \_\_\_\_\_
- 19. Blood Type: \_\_\_\_\_ 20. Ethnic/Tribe: \_\_\_\_\_
- 21. Body Built: [ ] small [ ] medium [ ] large
- 22. Complexion: [ ] fair [ ] dark [ ] white
- 23. Source of Commission/Enlistment: \_\_\_\_\_
- 24. Date of Commission/Enlistment: \_\_\_\_\_
- 25. Date of Compulsory Retirement: \_\_\_\_\_
- 26. Dependents:

NAME	DATE OF BIRTH	RELATIONSHIP	ADDRESS

27. STATEMENT OF SERVICE

TRAINEE/ENLISTMENT/REENLISTMENT

RANK	EFF DATE	ETE	AUTHORITY

A. PROB/CADETSHIP/AADT/FILLER

RANK	EFF DATE	AUTHORITY

B. COMMISSIONSHIP/CAD

RANK	EFF DATE	AUTHORITY

C. CIVILIAN SERVICE

POSITION	INCLUSIVE DATE	AUTHORITY

28. PROMOTION/DEMOTION

TO	STATUS	EFF DATE	AUTHORITY

29. LEAVE RECORDS

TYPE OF LEAVE	DURATION		NR OF DAYS	AUTHORITY
	FROM	TO		

30. SCHOOLING

A. CIVILIAN

NAME OF SCHOOL	PLACE	CRSE	REMARKS	INCL DATE	CLS STDG	NR OF STUDS

**B. MILITARY/COAST GUARD**

NAME OF SCHOOL	PLACE	COURSE	REMARKS	INCL DATE	CLS STDG	NR OF STUDS

**31. UNIT ASSIGNMENTS**

UNIT	POSITION	INCL DATE	AUTHORITY

**32. AWARDS/DECORATIONS**

AWARD TYPE	AUTHORITY

**33. COMMENDATION**

TYPE OF COMMENDATION	DATE	AWARDING PERSON/ AUTHORITY	POSITION OF AWARDING AUTHORITY

**34. PHYSICAL EXAMINATION**

PLACE OF EXAM	DATE OF EXAM	REMARKS

**35. DEROGATORY RECORDS**

CASE	PUNISHMENT	DATE AWARDED

*CERTIFY that the aforementioned entries / information are true and correct to the best of my knowledge and belief.*

\_\_\_\_\_  
Affiant

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POIC, Record Management Br

**AUTHENTICATED BY:**

**JEFFERSON L RICO**  
LT                      PCG  
Coast Guard Adjutant