

HUMAN RESOURCES DEPARTMENT

PRIVACY NOTICE JOB APPLICANTS

The Securities and Exchange Commission is committed to protecting and respecting your personal data privacy. We are at the forefront of not only implementing but also complying with the Data Privacy Act of 2012 (RA No. 10173) and pertinent issuances of the National Privacy Commission (NPC).

This Privacy Notice outlines how the Human Resources Management Division (HRMD) of the Human Resources Department (HRD) collects, uses, and protects the personal information of job applicants (plantilla positions) in connection with their applications.

1. What personal information do we collect from job applicants?

The SEC collects from job applicants personal and sensitive personal information, such as but not limited to:

- **Personal identification:** Full name, birth date and place, sex, citizenship, and signature;
- **Physical characteristics:** Height, weight, and blood type;
- **Contact information:** Residential and permanent addresses, and contact number;
- **Government identification numbers:** GSIS ID Number, Pag-IBIG ID Number, PhilHealth Number, SSS Number, Taxpayer Identification Number (TIN);
- **Family background:** Civil status, spouse's information, name of children, and father's and mother's names; and
- **Qualifications:** Educational background, work experience, and civil service eligibility, licenses, and ratings.

2. Why do we need to collect personal information?

As a government agency, the SEC is mandated to comply with the Civil Service Commission's (CSC) rules and regulations on recruitment, selection, appointment, and other human resource actions in the civil service. As required by the 2025 Omnibus Rules on Appointments and Other Human Resource Actions, the CSC's Program to Institutionalize Meritocracy and Excellence in Human Resource Management (PRIME-HRM), and the SEC's Competency-Based Merit Selection Plan, among others, the personal information collected, primarily through the CSC Form 212 or the Personal Data Sheet (PDS), shall be used for the following specific purposes:

- To assess applications and suitability:** An applicant's qualifications, including educational background, work experience, and professional licenses or eligibilities, are evaluated to determine their suitability for the position applied for. This forms the basis for screening, shortlisting, and hiring the most qualified applicant fit for the position.
- To conduct background investigations:** For shortlisted candidates, a comprehensive background investigation is conducted to verify the accuracy of the information provided. This process is crucial for assessing an applicant's character and fitness for government service and may include:
 - Verification of academic records and credentials;
 - Confirmation of past employment details and performance;

- Checking character references provided; and
 - Validation of professional licenses and civil service eligibility.
- c. **To communicate with applicants:** The provided contact information is used to communicate with applicants regarding their application status, schedule interviews or examinations, and provide updates on the recruitment process.
 - d. **To comply with legal and regulatory obligations:** Personal information is collected and processed to adhere to the requirements set by the CSC and other relevant laws and regulations governing government hiring.
 - e. **For future recruitment activities:** With an applicant's consent, their personal information may be retained for a specific period to consider them for other vacant positions that may match their qualifications in the future.

3. When do we collect personal information?

Personal information is collected at various stages of the recruitment and selection process:

- a. **Upon application:** The initial set of personal information is collected when an applicant submits their application and required documents (such as the PDS, transcript of records, and proof of civil service eligibility) through official channels and job fairs.
- b. **During the selection process:** Additional personal information may be collected during subsequent stages, such as interviews, written examinations, and other assessment activities including psychological assessment.
- c. **Prior to endorsement to the Appointing Authority:** For shortlisted candidates, further personal information is collected as part of the background investigation process before an endorsement is made by the Human Resource Merit Promotion and Selection Board to the Appointing Authority.

4. How do we collect personal information?

The SEC collects, uses, and/or processes personal information based on electronic and paper documents submitted by applicants. Specifically, the SEC collects personal information through the following methods:

- a. **Directly from applicants:** Personal information is collected when applicants directly provide it by:
 - Submitting an application and supporting documents via email to careers@sec.gov.ph or during job fairs; and/or
 - Uploading credentials and filling out application forms on the official SEC Careers Portal.
- b. **Through third-party verification (background investigation):** For shortlisted candidates, and with their authorization, personal information may be collected from third parties to verify application details. This includes contacting:
 - The character references provided by the applicant;
 - Previous employers;
 - Educational institutions attended; and
 - Government agencies that issued the applicant's license or eligibility.

5. How do we store the data collected?

The SEC ensures the protection of personal data against accidental or unlawful destruction, alteration, disclosure, and other unlawful processing by implementing appropriate security measures.

The security and integrity of all data collected are ensured through the development and implementation of clear handling policies and procedures. These policies mandate specific physical security measures,

including storing all physical applicant records in locked cabinets within the HRD-HRMD, restricting access to authorized HRD-HRMD personnel only, and enforcing a strict clean desk policy. Furthermore, electronic security protocols are in place for all electronic applicant records, such as scanned copies of PDS, transcript of records, and proof of civil service eligibility. These protocols require storage in a dedicated, access-controlled folder, prohibit storage on personal laptops, and enforce data protection through strong passwords and regular backups to prevent loss.

Personal information of SEC personnel is retained and disposed of in accordance with civil service laws and the National Archives of the Philippines Act of 2007 (RA No. 9470).

6. How do we dispose of the data collected?

Once a record has passed its retention period and is no longer needed, all hard and soft copies of personal information will be securely disposed of and destroyed in accordance with the SEC's Records and Disposition Schedule. Authorized disposal methods for physical documents (hard copies) include shredding or burial. Digital files (soft copies) must be permanently deleted using secure methods. The disposal will be carried out in the presence of a Records Management Analyst from the National Archives of the Philippines (NAP), an SEC Commission on Audit (COA) representative, and members of the SEC Records Management Improvement Committee (RMIC), such as the Chairperson, Vice-Chairperson, and relevant Departmental Directors/Records Focals (or their alternates).

7. What are the risks involved in processing your personal information?

Risk refers to the potential for incidents that may harm a data subject or organization, including unauthorized collection, use, disclosure, or access to personal data. It involves threats to the confidentiality, integrity, and availability of personal data or violations of data privacy principles and rights.

The SEC implements physical, technical, and organizational security measures to protect personal data but acknowledges that risks like cyberattacks, malware, and unauthorized access to manual records may still occur.

Adequate policies are in place to manage security incidents, in alignment with NPC policies, circulars, and other relevant issuances.

8. How do we keep your personal information secure?

Only authorized SEC personnel are granted access to the personal information collected by the HRD-HRMD. The collected personal information via the Internet or other electronic methods is stored in a secured database. We use reasonable security safeguards to protect the information gathered from any loss, unauthorized access, use, or disclosure. Specifically:

- a. We strictly adhere to clear policies on recruitment, selection, and placement, as well as the HRD's operational guidelines for handling personal information and the SEC's Data Privacy Manual.
- b. Physical application documents are stored in secure, locked cabinets within the HRD-HRMD. Access to the 201 file room is restricted to authorized personnel only, i.e., personnel of the Human Resource Information and Services Unit of the HRD-HRMD.
- c. We enforce a clean desk policy to ensure that documents containing your personal information are never left unattended or unsecured. Furthermore, we maintain a clean, organized, and efficient workplace by implementing and adhering to the 5S methodology (sort, set in order, shine, standardize, sustain). This practice helps minimize the risk of data breaches and enhances overall security.
- d. Electronic records are held in a secured database and dedicated digital folders with robust access controls. To prevent unauthorized copies and disclosure, storing application files on personal laptops or devices is strictly prohibited. We utilize strong password policies for all systems, and regular data backups are performed to prevent accidental loss. These comprehensive safeguards

are designed to protect your personal information from any loss, unauthorized access, use, or disclosure.

9. What are the rights of the data subjects?

Under the Data Privacy Act of 2012, a data subject refers to an individual whose personal information is collected and processed. We are duly bound to observe and respect your privacy rights, including your right to information, right to access, right to object, right to correct, right to remove, right to damages, right to file a complaint, and right to data portability.

10. How can data subjects exercise these rights?

Data subjects are informed of their rights through this Privacy Notice, which also cites the legal basis for processing their personal information. Should they wish to exercise other rights, such as the right to access, right to object, right to correct, right to remove, right to damages, right to file a complaint, and right to data portability, they may file a request with the SEC Data Protection Officer (DPO). They may contact the DPO at 8818-7204 or send an email to dpo@sec.gov.ph.

FEEDBACK ON THE PRIVACY NOTICE

If you have any questions, concerns, or requests related to this Privacy Notice, or if you would like to exercise your rights under applicable data protection laws, please contact our Data Protection Officer, Director Oliver V. Chato:

- **Email:** dpo@sec.gov.ph
- **Phone:** 8818-7204

CONSENT FORM

I hereby acknowledge that I have read and understood the SEC Privacy Notice for Job Applicants.

I freely and voluntarily consent to the processing of my personal information by the SEC for the purpose of recruitment, selection, and placement, including but not limited to:

1. Assessing my qualifications and suitability for the position I applied for;
2. Conducting a comprehensive background investigation to verify the accuracy and completeness of the information I have provided. I understand this may involve contacting my former employers, educational institutions, and the character references I have named;
3. Including my application in the active pool of applicants for one (1) year from the date of submission; and
4. Contacting me for updates and other recruitment-related activities.

Furthermore, I expressly authorize any relevant government agencies and private institutions to release and disclose any and all information concerning me that may be relevant to my application for employment with the SEC.

I understand that I have the right to withdraw my application and my consent to the processing of my personal information at any time.