

OFFICE OF THE COMPTROLLER GENERAL OF THE REPUBLIC

GENERAL SECRETARIAT

As at this date the following was determined:  
PERSONNEL MANAGEMENT POLICIES FOR THE OFFICE  
OF THE COMPTROLLER GENERAL OF THE REPUBLIC

SANTIAGO, OCT. 9, 2014

WHEREAS:

The fundamental importance represented by the officials working in the Office of the Comptroller General of the Republic is reflected in each of the strategic definitions established in the institution's Mission, Vision, Institutional Values and Strategic Objectives. These include having highly committed qualified officials with skills appropriate to the needs of the institution.

In accordance with the above, decisions taken concerning personnel should comply with the strategic guidelines, and that there are clearly defined policies of general and objective application for officials of all existing levels.

The document approved by this act contains guidelines that will govern the actions of the institution concerning the working lifespan of officials, creating conditions conducive to better personal and professional development, according to their potentialities.

That the processes concerned with managing people in this organization, within the applicable specifications and powers of the regulatory framework, are based both on general cross-cutting policies and specific policies for the relevant processes of personnel management, such as: recruitment and selection; training; performance evaluation; promotion and advancement; transfers; welfare and quality of life; remuneration and severance.

In order to make these policies known to officials the Organization will both disseminate them and convey them through existing media, making it the responsibility of each official to be familiar with them and aware of any updates, and - especially amongst management - to ensure they are duly observed and implemented by the personnel of their unit.

HAVING REGARD TO:

The provisions of Law 18.834; the powers vested in me by Organic Law 10.336 of this Comptroller General's Office, and Resolution 1600 of 2008 of this Supreme Audit Institution.

BE IT RESOLVED:

EXEMPTION No. 5236

**Article 1** - Approving the following Personnel Management Policies for the Office of the Comptroller General of the Republic:

## **I. General Policies**

1. To support ongoing institutional development through personnel management, in line with the strategic challenges of the Organization.
2. To ensure that processes associated with personnel are governed by the principles of merit, objectivity, equal opportunities and non-discrimination.
3. To always ensure that an official's level is in line with the function they perform.
4. To efficiently and effectively manage processes relating to the working life cycle of officials, which include recruitment and selection, induction, training, performance evaluation; the promotion and advancement; transfers, welfare and quality of life; safety in the workplace; remuneration and severance.
5. To promote the development of labor relations between officials in an atmosphere of respect and harmony, which in turn will promote an appropriate working environment.
6. To have appropriate channels of communication that officials are familiar with for communicating concerns and dealing with those issues where possible and in line with the institutional aims.
7. Personnel management computer systems should support related internal processes and meet the needs of institutional information. To this end their performance must be continuously monitored and necessary improvements made.
8. To set up formal procedures allowing officials to communicate possible cases of harassment or bullying, in all forms, or similar situations originating in the workplace.
9. Officials should be familiar with personnel policies and any changes made to them and should ensure that their personal information is duly updated in the institution's records.

## **II. Recruitment and Selection Policy**

### **A. Objectives:**

- a) To ensure that recruitment and selection of new staff is carried out in accordance with the needs of the institution.
- b) To carry out the recruitment and selection processes with an adequate number of candidates possessing the necessary skills for the position.
- c) To select staff according to the principles of procedural economy, taking on candidates with the greatest skills and competences, both for the job being offered and for possible future functions.

### **B. Policies:**

1. Recruitment and selection management is the responsibility of the General Secretariat, through the Department of Personnel, unless it is deemed appropriate that processes be assumed by the agency's regional offices.
2. Planning of the workforce should respond to the needs of the institution and the defined strategic guidelines.
3. In the selection process, identifying the most suited and/or qualified applicants in accordance with the institution's strategic definitions and the position profile will be encouraged.

4. Measuring skills to predict the suitability and performance of candidates will be done through selection committees, labor psychology assessments, and selection procedures and mechanisms, bearing in mind the characteristics of the position on offer.

5. All recruitment sources should be included to find the best candidates to fill vacant positions in the organization. Preference will be given to the website's database and curricula vitae sent from educational institutions at the request of the Comptroller's Office.

6. The departments where the job will be performed and the requirements of the respective managers will form the basis for defining selection procedures and determining the skills that will be required from job applicants.

7. In proceedings relating to positions that involve managing people, these skills will be taken into account as well as technical abilities and experience.

### **III. Induction Policy**

#### **A. Objectives:**

a) To provide officials joining the Office of the Comptroller General with general and/or specific basic skills to function in the institution, taking into account the characteristics of their office.

b) To ensure effective integration of those officials who have recently joined or have taken on a new role.

#### **B. Policies:**

1. Managing the incorporation of new officials is the responsibility of General Secretariat, through the Training Department.

2. Officials who have recently joined will participate in an induction which aims to provide guidelines and useful tools for subsequent performance in the workplace. This induction process will include at least one mandatory "general induction" which provide information on general aspects of the institution.

3. Depending on institutional needs and the requirements of a position held by a new official or one taking on a new role, there may also be a "specific induction" focusing on knowledge and experience that may contribute to improved job performance. Regarding this specific induction, a methodological assessment will be implemented to generate feedback through identifying aspects in need of strengthening.

4. According to needs and available institutional resources, new officials will be assigned a tutor who may be their line manager or a person designated by their line manager with experience and belonging to the same work team. The tutor will guide the official in their work and ensure their integration into the team. The mentoring system may also be applied to officials taking on a new role, as per criteria defined by General Secretariat.

5. Officials selected to help with the induction of other officials must accept the work designated to them, and this will be reflected positively on their resumes.

### **IV. Training Policies**

#### **A. Objectives:**

a) To contribute to the training of officials of the Office of the Comptroller General of the Republic in building competencies, knowledge and skills, aiding their development and improvement.

b) To make sure that training activities are based on institutional needs, ensuring a transfer of knowledge internally to create an effective impact on the functions performed by the Comptroller's Office and constituting an additional asset for the official in their job.

### **B. Policies:**

1. Managing the incorporation of new officials is the responsibility of General Secretariat, through the Training Department.
2. The development and training of all officials will be strengthened and encouraged, prioritizing professionals, through training that meets standards of quality, relevance and scope.
3. The development of cross-cutting knowledge and skills and those specific to each function shall be favored, and a training program shall be designed that develops such skills for officials of the Comptroller's Office.
4. The target group, selection criteria and registration of participants in the training group will be defined on a technical, ordered and structured basis.
5. In order to standardize, deepen and certify the competences of officials, curricula and development plans shall be prepared in accordance with the functions of Comptroller's Office associated with different training activities. These shall be reviewed and updated according to the needs of the institution.
6. The Organization shall effectively manage both the generation and transmission of knowledge, developing a network of trainers made up of officials qualified in matters concerning the Comptroller's Office. Staff will be selected and trained and certified in technical and pedagogical expertise.
7. Participatory tools shall be used to identify training needs (DNC) and training activities shall be planned in collaboration with strategic partners. Accordingly and in due course the Annual Training Plan (ATP) shall be published, encompassing all activities, both internal and external.
8. The training will be conducted by instructors qualified for the required purposes who may be members of the internal Network of Trainers or external instructors hired for this purpose.
9. Special courses such as diploma programs shall be available to officials. The courses will be defined according to the needs of the institution, existing demand, availability and financial resources.
10. All training activity will be evaluated in terms of perception, learning and/or impact.

### **V. Performance Evaluation Policies**

#### **A. Objectives:**

- a) To measure the performance of officials according to criteria, guidelines and working patterns based on organizational needs and the development of officials.
- b) To generate a formal channel for feedback, guidance and reinforcement of positive aspects and to improve the performance of officials.

#### **B. Policies:**

1. Managing performance evaluation will be the responsibility of the General Secretariat, through the Department of People Development, which will implement a Performance Evaluation System.

2. The Performance Evaluation System corresponds is a process through which managers and middle management work to manage and improve the performance of staff in meeting institutional goals, using quantitative sources from existing computer systems, and qualitative sources, ie assessments of work done.

3. The Performance Evaluation System shall be consistent with the grading rules of the Comptroller's Office and as such represents important input to the process.

4. The factors and/or items to be evaluated and their relative importance are determined according to levels of responsibility and the functions associated with the work performed by officials, in accordance with the grading rules.

5. It shall be the responsibility of the respective managers to communicate directly to officials the basis of the scores attained for their performance.

6. Spaces shall be created that allow performance commitments to be established between management and officials, aligning the work of officials with strategic objectives.

7. Improvements in staff competences identified during the evaluation process can be used as input for promotion and advancement and the eventual transfer of officials. Furthermore, gaps identified will be used as input for the training process.

## **VI. Promotion and Advancement Policies**

### **A. Objectives:**

To provide promotions and advancement to those officials who demonstrate merit through high levels of performance and/or skills in the performance of their duties, thereby promoting career development and internal mobility.

### **B. Policies:**

1. For promotions the requirements of the position shall be taken into account as well as the profiles defined, the merit of officials, the level of the position and institutional needs.

2. Promotions shall be made on the basis of objective procedures and relevant information on the performance of officials considered.

3. In cases of promotion to a management position, an official's leadership skills will be especially relevant.

4. When considering promotions, weight will be given to information on performance provided by the respective management as well as any information available from the various personnel systems relating to job performance, such as training, which will be provided by the General Secretariat.

In addition, reports on work burdens and performance of process management units will be considered. This information shall be based on uniform, public criteria.

5. For announcement and internal recruitment processes, selection will favor the merits of the most suitable candidates for the position. These processes will be disseminated through institutional channels such as the intranet, through which the results will be made known.

6. In the selection committees set up for recruitment purposes, the presence will be sought of officials who hold management positions in the area relevant to the position on offer, as well officials from the General Secretariat, or failing that from the Department of People Development or the Personnel Department.

7. When making promotions, resources available for this purpose shall always be taken into account.

## **VII. Transfer Policy**

### **A. Objectives:**

- a) To fill vacancies with officials from the same institution who are qualified to take on such positions.
- b) To make the institutional needs of staff compatible with officials' requests for transfer.

### **B. Policies:**

1. Changes of department of officials will be take place based on the needs of the institution, merit and the requirements of the position.
2. Transfer requests by officials and their motives will be considered bearing in mind the needs of the institution, existing vacancies and compliance with minimum tenure requirements.
3. The institution's management shall inform the General Secretariat of cases where officials have performed poorly in order to assess the appropriateness of assignment to other units, which shall be evaluated again after three months.
4. In regional comptrollers' offices, officials holding the position of Regional Comptroller, Head of External Control, Head of Legal Unit and Head of Personnel Unit of the State Administration, may not hold those positions in the same region for more than five years, in order that the supervisory powers of the institution be properly exercised. The Comptroller General may, under justified circumstances, extend staying in the same region and performing the same function by up to two additional years, making a maximum of seven years in total.

## **VIII. Welfare and Quality of Life Policies**

### **A. Objectives:**

- a) To provide benefits and services based on principles of a supportive nature and favoring the quality of life of officials, their integral development and the organizational welfare of the entity.
- b) To support and implement action to create a work environment that contributes to achieving the institution's strategic objectives through programs that promote the integration and welfare of staff as well as prevention in the performance of duties.
- c) To embrace and support officials and their families in situations of disaster or vulnerability, through comprehensive and timely social management.
- d) To provide regular and participatory assessments, at least biannually, regarding benefits given and their perception by officials.
- e) To employ, if necessary, existing institutional mechanisms for prevention of and rehabilitation for drug and alcohol use, for the benefit of officials.

### **B. Policies:**

1. The management of organizational well-being and officials' quality of life is the responsibility of General Secretariat, through the Department of Welfare and Quality of Working Life (shortened to "DBCVL" in Spanish).

2. Targeting and delivering benefits will be carried out impartially, ensuring transparency, procedural economy and objectivity in their allocation.
3. The benefits program for officials will be approved annually by the Welfare Board. This program will include cross-cutting benefits for all staff together with the compensation fund and respective security mutuality, being supplemental to the benefits program of active and retired officials affiliated to the DBCVL.
4. The benefits granted will take into consideration the needs of active and retired officials, affiliated and unaffiliated to the DBCVL, as well as the particular circumstances of each region and the characteristics of different age groups at the Comptroller's Office.
5. In order to offer staff an attractive range of agreements and services, a program for identifying interests and needs of users affiliated and unaffiliated to the DBCVL will be run in order to encourage the creation of new agreements and the evaluation of existing ones, being mindful of the quality of service delivered and the emerging welfare needs of the institution's staff.
6. Existing agreements and all relevant information about economic, social and cultural benefits will be actively disseminated through the institutional intranet, printed material or otherwise.
7. Comprehensive prevention measures will be promoted in the area of occupational health for officials, aimed at minimizing the risks of situations that impede proper personal development and affect the quality of the working environment.
8. Measures will be adopted to help officials adopt healthy lifestyles, encouraging sports and the participation of officials in prevention programs and collective self care.
9. The use of premises administered by the DBCVL will be promoted through programs encouraging sports activities and education amongst officials.
10. The benefits and activities provided by the DBCVL will include an assessment of satisfaction, perception and impact, always working towards the continuous improvement of services delivered to users. The results of the evaluation will be made available to officials via the institutional intranet.

## **IX. Remuneration Policies**

### **A. Objectives:**

- a) To ensure that financial resources for remuneration are used efficiently and within the legal framework.
- b) To pay officials' salaries on time and based on reliable information.

### **B. Policies:**

1. Managing the incorporation of new officials is the responsibility of General Secretariat, through the Training Department.
2. Everything necessary will be done to have current, complete and accurate information for correctly calculating the remuneration of officials.
3. Resources allocated for the payment of variable remuneration, such as overtime and bonuses linked to performance, will be backed up by institutional requirements and verifiable information, in accordance with the relevant regulations.

4. Levels of remuneration shall relate to the relative value of the position held by officials and their contribution to the institution.

## **X. Severance Policies**

### **A. Objectives:**

- a) To manage the process of severance according to current regulations.
- b) To disseminate amongst officials close to retirement age as much relevant information as possible for the purposes of decision-making in this regard.

### **B. Policies:**

1. The institution's top management shall be provided with all information justifying the severance of officials, so that the decisions taken are in line with the current rules governing the matter.
2. Officials close to retirement as their career lifespan at the institution comes to an end shall be informed about benefits, retirement arrangements and other relevant topics.
3. Appropriate measures will be taken to transfer knowledge from those officials close to retirement as per the needs of the institution.

## **XI. Work Safety Policy**

### **A. Objectives:**

- a) To generate a safe and pleasant atmosphere for the development of officials' working conditions and for the care of users.
- b) To contribute to the safeguarding of health and the prevention and early detection of damage to the health of the staff.

### **B. Policies:**

1. Managing safety at work is the responsibility of General Secretariat, through the Department of Safety and Maintenance.
2. Information, training, and other mechanisms to address health risks for officials shall be provided on an ongoing basis.
3. To coordinate with those agencies responsible for matters relating to the workplace security policy in order to have access to their mechanisms and initiatives.
4. To establish and/or update the internal regulations instruments that must be in place in the institution according to current regulations.

**Article 20** - Render the resolution ineffective

Exemption No. 01471 of 2003.

It is hereby ordered that this be recorded,  
registered and published.

S: RAMIRO MENDOZA ZUÑIGA  
Comptroller General of the Republic

Transcribed for your information.

TRANSCRIBED FOR:

- Divisions
- Regional Comptrollers' Offices
- Personnel Department.
- Training Department.
- General Reception Office.