SRI HUMAN RESOURCES

MANUAL

Vanhan Peoudara, LL.M.
Chief of Staff

So Farina, Ph.D. Candidate
Director, Center for Gender & Ethnic Studies

IN CONSULTATION WITH
Denise Bogart, Ph.D.
Certified Professional in Human Resources
Director, Human Resources and Employee Development
Valdosta State University, Valdosta, Georgia, USA

James L. Black, M.A., M.B.A., M.P.A.
Vice President for Finance and Administration (retired)
Assistant Professor Emeritus, Modern and Classical Languages
Valdosta State University, Valdosta, Georgia, USA

Matthew Flumerfelt, M.P.A.
Journalist, Editor, Poet
Valdosta, Georgia, USA

Catherine Price, Ph.D.
Professor Emeritus of Education
Valdosta State University, Valdosta, Georgia, USA

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The Sleuk Rith Institute (SRI)
Voices of Youk Chhang. Designed by Zaha Hadid
Illustration: MIR/Norway, 2014
This Human Resources Manual (Manual) was developed for use by the directors, coordinators, and staff of the Sleuk Rith Institute (SRI). Some of the policies set forth in the Manual were inspired by the United States Government program “Let Girls Learn” endorsed by First Lady Michelle Obama during her visit to Cambodia in March 2015. The policies and procedures in the Manual reflect the long-standing commitment of the Documentation Center of Cambodia to provide equal educational opportunities and equal treatment in all employment-related matters to all staff, including women. The Manual’s core principles are based on a number of fundamental commitments intended to assist individuals to more fully educate and develop themselves. The traditional position of women in Cambodian society has been one of subordination and lack of opportunity. Exposure of the Cambodian business and government communities to the enlightened practices and policies of the international community is helping to remedy these forms of discrimination; the Sleuk Rith Institute, following the lead of the Documentation Center of Cambodia, is at the forefront of the effort to discredit and eliminate all such abuses.

This Manual is designed to integrate modern organizational development practices and procedures into the management and administration of the Institute. The content of the Manual has been reviewed and approved by Sleuk Rith Institute’s Board of Directors for adoption as the human resource policy and procedures guide for Sleuk Rith Institute’s management and staff. The Manual lays out core principles to be followed to ensure an equitable and transparent work environment and a baseline for smooth, safe, and effective operations. This Manual focuses on 11 key areas of Human Resources administration: A) recruitment and staffing, B) interns and volunteers, C) employee code of conduct, D) compensation and benefits, E) raises and promotions, F) use of IT and computers, G) working hours and annual/sick leave, H) diversity and non-discrimination policy, I) health and safety, J) performance management, and K) training and development.

Sleuk Rith Institute’s organizational framework has been designed to enable the directors and coordinators to operate quasi-independently of each other. Consistent with that framework, the respective directors and coordinators are authorized to design and implement internal policies and procedures to be followed by their staff on the condition that such procedures conform to those set forth in this Manual.

Vanhan Peoudara, LL.M.
Chief of Staff
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RECRUITMENT

• The Sleuk Rith Institute (SRI) will announce new or vacant positions publicly in the media, via hard copy, and/or online, and on its website. SRI will provide access to the position description on its website and include the link in the position announcement. The announcement will summarize (i) the qualifications and experience requirement, (ii) the expected duration of the employment, (iii) how to apply, and (iv) the closing date for accepting applications.

• After the closing date for the submission of applications, SRI’s Office of Human Resources (OHR) will (i) review the materials submitted by each applicant, (ii) in consultation with the Chief of Staff and his/her Team, determine which among them most closely matches the requirements of the position to be filled, and (iii) contact those selected for interviews and more information. Persons selected for possible recruitment must go through a rigorous process that includes the administration of tests, individual interviews, and committee review and decision. All information relative to any applicant’s formal qualifications such as previous employment, degrees earned, schools attended, etc., will be verified and treated confidentially. SRI will conduct criminal, financial, and credit background checks before any formal job offer is made. Candidates selected for employment in safety-sensitive positions will be required to complete pre-employment drug testing.

• Generally, new staff will be recruited by SRI on a tiered, probationary basis. First, there is a required period of at least three months voluntary service prior to actual employment. Second, upon actual employment there is a probationary period of at least three months.

• Volunteer Service—Every successful applicant for employment must agree to provide, as a condition of employment, a period of volunteer service to SRI of at least three months. During this period, candidates will receive neither compensation nor benefits. This policy was implemented by SRI’s parent organization, the Documentation Center of Cambodia (DC-Cam), which has utilized it with great success for more than 20 years. This period of volunteer service provides an opportunity for candidates to learn about SRI and to demonstrate their commitment to SRI’s mission in advance of paid employment. SRI’s Board and Chief of Staff and his/her Team regard such condition as in keeping with the spirit of working in the human-rights oriented public-interest sector.

• Employment—After the applicant’s period of successful volunteer service, a period of paid, probationary employment begins. This paid probationary period will extend for a minimum of three months with the possibility of one additional three-month extension or conversion to a paid staff position, depending upon quality of performance, relevance of qualifications to SRI’s mission, and need for personnel. The Chief of Staff after consultation with his/her Team will determine whether to extend the original three-month period, transfer the temporary employee into a full-time SRI position, or terminate the employment.

• SRI’s Office of Human Resources (OHR) conducts its recruitment process in compliance with the Cambodian Labor Law (Article 12), which bans discrimination based on an applicant’s race, color, gender, religion, political affiliation, national origin, social origin, or membership in any workers’ union or association.

• SRI’s HR policies in such matters extend beyond the formal requirements of the Labor Law and ban discrimination on additional bases as well, including an applicant’s disability, marital status, personal appearance, matriculation, family responsibilities, veteran status, or sexual preference.
**STAFFING**

- All SRI’s directors and coordinators must have earned a master’s or professional (J.D./LL.M./M.B.A./Ph.D./Ed.D.) degree from a reputable institution outside of Cambodia. SRI reserves the right to impose additional educational requirements for certain specialized positions; generally, educational qualifications for SRI will be clearly stated in both the job description and the employment announcement.

- All directors and coordinators are required to work on weekends and during holidays as necessary in cases of emergency or urgent, time-sensitive projects without overtime compensation or other benefits. Any officer who, without good cause, refuses to work such off hours when required by SRI’s Chair or her designee, may be suspended without pay or terminated if such refusal is likely to have an adverse impact on SRI operations and/or project delivery schedules.

- Each staff member, upon accepting a paid staff position, will be required to sign a one-year contract. SRI’s Chief of Staff reserves the right to renew or to terminate an employee’s contract after conducting an evaluation with the participation of Chief of Staff and Executive Officer.

- Each staff member is responsible for his or her job tasks and may be assigned other tasks as deemed necessary by his/her directors or coordinators. Additional task assignments shall be coordinated by SRI’s Chief of Staff and/or Executive Officer.

- As a condition of continuing employment, all employees are required to attend, unless otherwise excused or on leave, SRI staff meetings which may be scheduled on a weekly, monthly, quarterly, semi-annual, and/or annual basis. Minutes shall be prepared of all such meetings by the person in charge or his/her designee. All minutes will be submitted to the Chief of Staff for his/her review, evaluation, and follow-up instructions as appropriate. Copies of minutes will be distributed electronically to all staff who shall be expected to review and be familiar with them.

**REDUCTIONS IN STAFF**

As a general rule, layoffs are rare. However, layoffs may occur under certain conditions.

**REORGANIZATION, PROGRAM MODIFICATION, REDIRECTION, OR FINANCIAL EXIGENCY:** Employees may be terminated, demoted, laid off, or otherwise adversely affected by reorganization, program modification, redirection of budgeted funds, or financial exigency. **REDUCTION IN WORK HOURS:** In an effort to avoid layoffs, reduction in work hours may represent a reasonable alternative. When such action is required, employees will be so advised and given ample opportunity to discuss alternative work schedules with their supervisors.

**PROCEDURE FOR LAYOFF.** SRI, recognizing the seriousness of laying off an employee and wishing to make this process fair, transparent, and free of bias of any kind, will adhere to the procedures below.

1. The director/coordinator will submit a written request for approval of a proposed reduction in staff to the Chief of Staff and his/her Team. The letter should contain:
   - a. the reason(s) for the reduction in staff,
   - b. the effective date of the layoff, and
   - c. instruction to contact the Office of Human Resources for information about right of appeal and opportunities for employment in other areas of SRI.

2. After receiving approval from Human Resources, the supervisor/director will notify the employee in writing of the layoff. This letter will be given to the employee at least sixty (60) days prior to the layoff date and should contain:
   - a. the reason for the layoff,
   - b. the effective date of the layoff, and
   - c. instruction to contact the Office of Human Resources for information about right of appeal and opportunities for employment in other areas of SRI.

3. The last day the employee works is the effective date of the layoff.

4. The employee will be paid for accumulated vacation leave.

5. On the final day of employment the employee must complete the SRI’s clearance process in the Office of Human Resources.

6. All other business related to this termination will be carried out by the Office of Human Resources.
Since the inception of SRI and its parent DC-Cam, management has relied on non-paid interns and volunteers, many of whom have made substantial contributions over time and remained engaged with SRI in various capacities. SRI is thankful for their meaningful assistance and will continue to recruit interns and volunteers to assist with its work.

Numerous SRI staff members started their relationship with SRI as local interns and volunteers. Based on their performance and contributions, they subsequently migrated to paid staff positions. SRI will consider local interns and volunteers for positions along with other applicants when they meet the qualifications and credential requirements and as such positions become available. Information on SRI’s policies and practices relative to intern and volunteer positions is set forth in the document entitled “Information Bulletin” and available on request from SRI’s OHR.

Select former international DC-Cam interns and volunteers who have gone on to careers as lawyers, professors, and practitioners at various institutions and universities in the United States, Asia, and Europe have been appointed as members of SRI’s Board of Directors where they advise SRI’s Chairman, the Chief of Staff, and Executive Officer and their teams on various issues ranging from administrative and academic to legal and financial.

RECRUITMENT

SRI internships and volunteer opportunities will be posted at various forums, institutions, and universities, both in Cambodia and other countries. SRI’s Chief of Staff and department directors and coordinators will be responsible for drafting announcements, conducting the interviews, and selecting the applicant. Such drafts must be submitted to SRI’s Office of Human Resources to ensure that they are accurate and comply with SRI policies.

SRI regularly receives unsolicited internship applications; these will be retained for six months. Departmental directors and coordinators may recruit applicants from this pool where the applicants’ qualifications meet existing requirements. Finalists for volunteer and internship positions will be carefully screened and interviewed, and their credentials will be verified. SRI will conduct criminal, financial, and credit background checks before any person becomes associated with the Institute as an intern, volunteer, or temporary or permanent employee. All decisions regarding the temporary employment of interns and volunteers made by the Chief of Staff and his/her Team will be communicated to the Office of Human Resources, which will then initiate the necessary paperwork and advise the Chief of Staff Team. The Chief of Staff Team will then make the final administrative arrangements for the internship/volunteer-ship to begin.
FUNDING
As a matter of policy, SRI intern and volunteer positions are pro bono and do not qualify for employee compensation or benefits. Applicants may be required by the Office of Human Resources to provide evidence of their ability to independently fund lodging/living expenses while employed on a temporary pro-bono basis at SRI. On request from the applicant, OHR may issue a letter verifying the applicant’s position as an intern or volunteer to assist in efforts to seek future employment or to solicit grants or other funding support for the duration of their temporary, pro-bono employment.

DURATION
The duration of intern and volunteer positions varies depending on the need of each individual project and is subject to the discretion of the Chief of Staff. All interns and volunteers serve as at-will, pro bono employees; their positions may be terminated by SRI management at its discretion. Interns and volunteers may terminate their pro bono employment relationship with SRI at any time.
STANDARDS OF CONDUCT

All SRI’s directors, coordinators, and staff employees are required to follow SRI’s Code of Conduct to ensure the professionalism and integrity of the Institution. The Code of Conduct’s provisions are as follows:

1. All employees are required to be punctual and to faithfully observe scheduled SRI working hours. All full-time staff must report to their assigned work location no later than 7:30 a.m. on all business days unless their absence is excused; they are on travel status, or they are on previously authorized leave. SRI’s working hours are 7:30 am–12:00 noon and 1:30 pm–5:00 pm. Employees who report for work after 7:30 a.m. are considered late. Five repetitive incidents of reporting late for work will result in a formal warning by the employee’s immediate supervisor accompanied by an Office of Human Resources representative. A written summary of the oral warning will be prepared by the Office of Human Resources representatives and signed by both the supervisor or manager and the employee. Successive instances of reporting late after the oral warning will result in a written warning that will be placed in the employee’s Human Resources file. Successive instances of reporting late after the written warning will result in termination.

2. All SRI’s directors, coordinators, and staff employees are required to use SRI’s thumbprint reader/recorder when reporting and when leaving work. The automated reader creates an accurate record of employee punctuality and attendance and protects both employees and management. Failure to utilize the reader three times will be considered as unpunctual and may result in the sequence of warnings described above.

3. Employees shall not engage in personal work or activities during posted working hours. Where an employee must address a personal problem or issue, the employee should notify his or her manager or supervisor and request authorization to take personal leave. Such leave shall be taken in increments of one hour.

4. Employees shall report to work on business days in business-appropriate dress that reflects professionalism and respect for SRI’s mission.

5. Each employee must submit a concise, written report to his or her team leader weekly on the status and progress of assigned projects. SRI’s directors and coordinators are required to prepare monthly reports to the Chief of Staff on progress achieved in projects assigned to them and any issues or problems encountered during project implementation.

6. All employees shall schedule their work time and productivity to meet project objectives and deadlines pursuant to SRI quality standards. Project schedules and objectives can be amended if necessary after discussions with the Chief of Staff and the approval of the Executive Officer.

7. All employees are strictly prohibited from engaging in social networking, internet surfing and gaming, and other electronic forms of personal entertainment during regular work hours. Violations will result in the sequence of warnings detailed above.

8. Successive instances of employee negligence in meeting deadlines, devoting office time to personal problems or issues, or other prohibited behavior during working hours will result in the sequence of warnings detailed above.

9. All employees are strictly prohibited from engaging in unprofessional behavior including rude or discourteous behavior, profanity, inappropriate jokes, threats, intimidation, coercion, gender/sexual harassment, covert and overt racism, and disparaging practices and tendencies. Violations will result in the sequence of warnings detailed above or immediate termination depending on the severity of the incident.

10. Prohibited activities include but are not limited to the following:
   1. Conducting family or personal business/affairs during business hours,
   2. Personal use of cell phones during business hours,
   3. Facebook time during business hours,
   4. YouTube surfing during business hours,
   5. Yahoo, Gmail, and other forms of chatting during business hours,
   6. Use of an external modem (e.g., Beeline),
   7. Gambling inside the Sleuk Rith Institute compound at any time,
   8. Tong-Tir or borrowing money from other SRI employees, interns, or volunteers,
   9. Smoking inside any SRI building; abusing the smoking break policy of smoking only in designated areas for ten minutes every four hours whether on duty inside or outside the office,
   10. Carrying of weapons (except authorized security personnel) on any SRI property,
   11. Washing time, lottering, or loafing, including sleeping while on duty,
   12. Fighting,
   13. Acceptance of additional compensation in any form for work performed in the scope of employment for which compensation has been made through the payroll,
   14. Inappropriate disclosure or use of confidential information,
   15. Wilful damage or theft of property or removal of property without authorization,
   16. Use of SRI property including IT resources for personal gain or benefit,
   17. Illegal use of IT property to include, but not limited to, copyright and software license violation, failure to adhere to all laws including those prohibiting slander, libel, harassment, and obscenity,
   18. Commission of a criminal act,
   19. Dishonesty,
   20. Refusal to cooperate in administrative actions; refusal to appear as a witness at an official grievance or other hearing, refusal to participate in an official investigation, etc.,
   21. Falsification of documents or records including applications for employment,
   22. Insubordination or willful disobedience, and
   23. Drug usage, alcohol consumption, pornography, or sexual activity either in the SRI or on its grounds at any time.
RIGHT OF APPEAL

Any employee who believes that he/she has been unjustly issued warnings, informal reprimands, formal reprimands, suspensions, or termination due to prohibited activity or failure to satisfactorily perform assigned duties is encouraged to appeal. No employee should feel threatened by the reporting process, and no retaliation against said employee will be tolerated, either directly or indirectly.

Those about whom complaints are raised will be fully informed regarding the contents of the complaint, have full opportunity to respond to the complaint, and will receive an explanation of the reasoning behind any remedial action deemed appropriate by the Chief of Staff and his/her Team.

For additional information, please see “Complaint and Resolution Procedure,” page 59, in this Manual.

The appealing employee should submit detailed information to the Office of Human Resources on the following form:

FORM 1: DISCIPLINARY ACTION APPEAL FORM

DATE_________________NAME________________________________TITLE____________________________________DEPARTMENT________________________________

1. NATURE OF PROBLEM/COMPLAINT (ATTACH SUPPORTING DOCUMENTATION IF NECESSARY)

______________________________________________________________________________________________________________________________________________

2. NAME OF SUPERVISOR(S) INVOLVED

______________________________________________________________________________________________________________________________________________

3. REASON WHY EMPLOYEE DISAGREES WITH RESULTS OF SUPERVISOR’S RESPONSE

______________________________________________________________________________________________________________________________________________

4. REMEDY SOUGHT BY EMPLOYEE

______________________________________________________________________________________________________________________________________________

5. WITNESSES RELEVANT TO ISSUE

______________________________________________________________________________________________________________________________________________

6. PREVIOUS EFFORTS BY THE EMPLOYEE OR RECOMMENDATIONS BY MANAGEMENT TO RESOLVE ISSUE

______________________________________________________________________________________________________________________________________________

DRUG FREE WORKPLACE

All SRI employees are subject to the Drug-Free Workplace Policy (DFWP). That policy is partially copied and excerpted from the Yale University Cambodian Genocide Program (CGP)-Documentation Center of Cambodia (DC-Cam) Drug-Free Workplace Policy implemented in 1995. Illicit drug abuse poses serious physical and mental risks. Moreover, it may entail criminal charges and has the potential to interfere with the safe and efficient conduct of the SRIs’ operations and mission.

All candidates selected for employment in safety sensitive positions, to include security/safety positions, employees operating heavy equipment, as well as others as defined by the Office of Human Resources are required to complete pre-employment drug testing paid for by SRI. A positive test shall disqualify the candidate for employment for a period of two years.

All employees are subject to drug testing at the discretion of the SRI Executive Officer. Failure to promptly follow through on drug testing as directed may result in termination. Employees who may have illicit drug-related issues are encouraged to discuss such issues with the SRIs’ designated Office of Human Resources representative who will aid the employee in seeking assistance. The determination of whether to continue such employee’s employment will be made by the SRI Executive Officer.

The DFWP specifies that SRI employees are expressly prohibited from engaging in the unlawful manufacture, distribution, dispensing, possession, and/or use of a controlled substance at any SRI location, including both buildings and grounds, at all times. These locations include, but are not limited to, SRI’s main offices, SRI branches, official field sites in Cambodia, and wherever SRI official activities or research work are being performed. Controlled substances include any and all illicit drugs whose possession, consumption, and distribution fall under the federal criminal statutes of the United States, for example: marijuana, methamphetamine, cocaine, LSD, club drugs such as ecstasy or other synthetic substances, hallucination-inducing mushrooms, and heroin. These prohibitions also include possession while at any SRI location of illicit-drug-related paraphernalia such as pipes, bongs, syringes, etc.

Employees who violate the SRI DFWP policy are subject to disciplinary action up to and including termination.
SRI is a non-profit organization with a human rights and public service mission, distinct from a private-sector, for-profit business enterprise. In that context, it is the goal of SRI’s Board and SRI’s directors and coordinators to structure its staff compensation program to attract and retain highly qualified and experienced staff.

SRI’s total compensation package includes the base salary, performance incentives, cost-of-living adjustments, and health insurance. The package also includes paid annual/vacation and sick leave benefits, including maternity and paternity benefits.

Salaries will be determined according to the following rules:

- Generally, SRI’s salary structure reflects Cambodian-based market rates for similar categories of work in similar organizations. SRI’s compensation plan provides for progressive increases based on a combination of performance measurement outcomes, position responsibilities, and time in service. All staff salaries are established by the SRI Executive Officer and his/her Team and are approved by SRI’s Board of Directors.

- Starting salary levels are based on candidates’ personal qualifications, experience, salary history, and the level of responsibility attached to the position.

- The performance and salary level of all SRI employees will be evaluated on an annual basis by the immediate supervisor and the responsible director. Evaluations will review the employee’s overall performance including punctuality, compliance with staff policies and procedures, productivity, demonstrated commitment to SRI’s objectives, and contributions to SRI’s mission. The Chief of Staff or his/her designee will review all evaluations and is responsible for approving them. Recommendations by directors for salary increases must be stated in writing and include a justification for the recommendation based on exceptional performance and demonstrated contributions to SRI’s objectives and mission.

- All permanent SRI employees are entitled to SRI’s uniform health insurance and other benefits subject to available funding.

- Compensation of SRI consultants will vary, based on conditions imposed by donors, qualifications and experience, compensation history, and available funding.
E. RAISES AND PROMOTIONS

• Promotions are based on SRI’s institutional needs, vacancies, relevant qualifications or experience, and responsibilities of the employee. A raise may be authorized based on superior reviews, contributions to SRI’s mission, or availability of funds.

• Unless otherwise authorized by SRI’s Chairman for truly exceptional performance, employees will be eligible for performance-based raises once every three years. A raise may be granted either in conjunction with or without a commensurate promotion.

• All employees will be granted a cost-of-living increase each year contingent upon the availability of funds and provided that the official inflation rate for Cambodia exceeds three percentage points.

• Any permanent employee who (i) has worked on a specific project for a minimum of three years, (ii) has been admitted to an advanced degree program at a foreign university, (iii) is awarded a grant to fund his/her degree program and project costs, and (iv) travels abroad to complete said degree program will receive an automatic promotion to the level of team leader and continue to draw his/her SRI position salary for the duration of his/her degree program.
Angkor Wat in Cambodia is the largest religious monument in the world. It was built by the Khmer King Suryavarman II in the early 12th century in Yasodhara, the capital of the Khmer Empire.

Photo: Ouch Makara
All employees are subject to SRI policies regarding the use of SRI IT and communications equipment and devices and SRI's official vehicles.

COMPUTER SYSTEMS AND EQUIPMENT
• All SRI-procured computers are designated for use by SRI staff, interns, and volunteers in their official capacity. SRI visitors and other non-employees shall not be granted access to SRI computers without the advance permission of a director.
• Where an SRI employee is assigned his/her official computer, he/she shall not permit other employees to access it without the advance permission of a director.
• Each SRI computer is set up with a unique password available only to the employee(s) authorized to access it. Every employee is required to keep his/her password confidential and is prohibited from sharing it with other employees or other persons. Each password contains at least 8 characters which include letters, numbers, and some capitalized characters. Passwords are changed every three months.
• Each employee with access rights to one or more SRI computers is required to exercise due diligence in caring for the computer equipment. Employees shall not, for example, keep food and drink within twelve (12) inches of computer keyboards, printers, smart phones, original archived documents, and other vulnerable devices or papers. In case of malfunctions or other problems such as frozen screens, program crashes, loss of data, system failure, etc., users must immediately request assistance from the SRI IT support office. Employees must avoid trying to address the IT problem on their own.
• Virus protection is mandatory on all SRI computing systems and must be updated at least once a month by the SRI IT support office.
• Separated telephone lines shall be set up for receiving calls and making calls.

PHONE/FAX EQUIPMENT
• SRI telephone and fax equipment shall be used only for official internal use. Any private or non-business hours use of such equipment is prohibited without the approval of a member of the Chief of Staff or the Executive Officer prior to being transmitted.

EMAIL/INTERNET
• Use of SRI email/internet system only for official, communications relating to their responsibilities. Personal use is forbidden except in the case of emergency.

PERSONAL MOBILE DEVICES
• SRI employees are not permitted to use personal mobile devices such as smart phones, iPads, or the equivalent during working hours except in the case of emergency. Non-emergency exceptions to this policy require the advance approval of a director.
• Employees shall not, for example, keep food and drink within twelve (12) inches of computer keyboards, printers, smart phones, original archived documents, and other vulnerable devices or papers. In case of malfunctions or other problems such as frozen screens, program crashes, loss of data, system failure, etc., users must immediately request assistance from the SRI IT support office. Employees must avoid trying to address the IT problem on their own.

VEHICLES
• All SRI-registered vehicles shall be parked, when not in official use, at the SRI compound. They are not to be parked overnight at the personal residences of SRI employees unless specifically authorized in advance by the Chief of Staff.

HUMAN RESOURCES MANUAL | 26 | THE SLEUK RITH INSTITUTE
HUMAN RESOURCES MANUAL | 27 | THE SLEUK RITH INSTITUTE
Official business hours at SRI are 7:30 am–12:00 noon and 1:30 pm–5:00 pm Monday through Friday, excluding official holidays. The one-hour break between 12:15–1:15 p.m. is intended for the employee lunch period. All full-time employees are required to complete a 45-hour workweek; part-time employees work a 20-hour week, scheduling of which is specified by the Chief of Staff and his/her Team. Overtime is not compensated; however, when an employee is being considered for a raise and/or promotion, the management team will take into consideration that employee’s record of overtime hours worked.

SRI observes the following paid holidays:
1. New Year’s Day (January 1st),
2. International Women’s Day (March 8th),
3. Khmer New Year (3 days in April),
4. The King’s Birthday (May 14th),
5. The King Mother’s Birthday (June 18th),
6. Constitution Day (September 24th),
7. Phchum Benn Ceremony (3 days in September or October),
8. The King Coronation Anniversary (October 28th),
9. Water Festival, Auk Ambok and Worshiping the Moon Festivals (3 days in November),
10. Independence Day (November 9th), and

NOTE: For items 3, 7, and 9, the actual dates vary annually according to the Cambodian lunar calendar.

• All full-time employees are authorized ten (10) paid days of annual leave. Barring exceptional circumstances, annual leave requests must be presented to the Chief of Staff a minimum of one month prior to the requested leave. Employees are encouraged to submit their requests for annual leave as far in advance as possible and, once approved, to post those dates in the SRI work-plan. Such annual leave shall normally be taken in five-day increments one or two times during the year, subject to the approval of the Chief of Staff who shall take into consideration the workload and deadlines of the requesting employee. The Chief of Staff reserves the right to direct any employee to modify his/her annual leave request to accommodate the overall SRI work schedule.

• In the event that an employee, in order to extend the total time away from the office, takes annual leave for less than a five-day period in connection with a public holiday (such as Khmer New Year, Phchum Benn, etc.), SRI will compute such leave as equivalent to a five-day increment which will be charged against the employee’s annual leave balance.

• In the event of a personal emergency, employees are permitted to take leave in increments of fewer than five days with approval by the Chief of Staff. Such leave will be charged against their 10-day annual allotment.
Service longevity increases an employee’s annual leave benefit. Employees whose tenure with the SRI exceeds a certain number of years are awarded additional annual leave hours. These hours are shown in the following table.

<table>
<thead>
<tr>
<th>Type of Employee</th>
<th>Up to Three Years of Service</th>
<th>Three Years But Less Than Fifteen Years of Service</th>
<th>Fifteen or More Years of Service</th>
</tr>
</thead>
<tbody>
<tr>
<td>Full-Time</td>
<td>Four hours per month</td>
<td>Six hours per month</td>
<td>Eight hours per month</td>
</tr>
<tr>
<td>Part-Time</td>
<td>Two hours per month</td>
<td>Three hours per month</td>
<td>Four hours per month</td>
</tr>
</tbody>
</table>

Requests to use these leave hours shall be submitted to the Chief of Staff a minimum of one week in advance except for personal emergencies.

Sick leave does not count against annual leave. However, staff members are required to submit a sick leave form in case of illness. Where an employee is absent and requests sick leave for a period exceeding three days to seek medical treatment, he/she must provide a signed medical referral within one week of returning to work.

Cambodian business health insurance provisions define “sickness” as a period of not fewer than six hours during which a patient requires either the care and treatment of a medical doctor and/or admission to a hospital. Employees who are ill and meet these requirements shall not be charged annual leave while this medical condition persists.

Annual leave is used when an employee is not feeling well and needs personal time to rest and recuperate without having to see a doctor or be admitted to a hospital.

In case of a personal emergency requiring absence from work, an employee may opt to utilize annual leave by informing the Chief of Staff via telephone. In such instances, the employee is required to prepare a one-page report explaining and justifying the absence once he/she is back in the office. Dishonest reporting will result in temporary suspension or termination.

Excused, unexpected private responsibilities shall include but not be limited to the death of relatives (first-, second-, and third-line), an accident involving either the employee or an immediate first-line family member that results in bodily injury, and attending to obligatory civic responsibilities. Approved private-responsibility leave will be deducted from the employee’s annual leave balance.

Paid maternity leave extends up to ninety (90) days or three (3) months, whichever is longer, commencing at the discretion of the expectant mother. For example, she may wish to begin her 90-day leave period before the child is delivered to allow her to rest. Paid paternity leave is limited to five working days to enable the new father to attend to the mother and child at the time of delivery and provide assistance at home.
SRI is strongly committed to ethical values and principles. SRI’s employees are expected to conform and model their behavior and inter-personal relationships with others, with officials of various organizations that interact professionally with SRI, and with the public to high personal and professional standards that respect the ethical, cultural, religious, national differences, and traditional values in a diverse population. This precludes associating oneself with inappropriate jokes, gender harassment and derogation, covert and overt racism, and other disparaging practices and tendencies common in Cambodian society and public media. Such attitudes and behaviors by SRI employees will not be tolerated during business working hours or on SRI property. All employees are highly encouraged to observe the same standards in their personal lives to remain above reproach and to reflect SRI’s egalitarian values vis-à-vis other human beings. Abusive language and harassment of any kind are prohibited; demonstrating mutual respect and promoting personal integrity are strongly and actively encouraged.

SRI is fully committed to gender equality and will not tolerate sexual harassment or discrimination against females in any form. Such discrimination includes refusal to hire, refusal to promote, discharge without cause, or other negative activity based solely upon gender.

Unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature constitute sexual harassment when 1. Submission to conduct is made explicit or implicitly a term or condition of an individual’s employment. 2. Submission to or rejection of such conduct by an individual is used as a basis for determining that individual’s advancement. 3. Such conduct interferes with an individual’s work or creates an intimidating, hostile, or offensive working or related environment. All charges of sexual harassment will be investigated and if substantiated may lead to reporting and firing. Moreover, prior conviction of charges related to sexual harassment or other crimes of moral turpitude will disqualify a person for employment at SRI or association with SRI in any way.

Any employee who believes that he or she is being sexually harassed or has been or is being discriminated against in any way should report this to the SRI Human Resources ombudsperson. The ombudsperson is a human resources professional with a strong background in gender sensitivity and anti-discrimination who serves as a confidential channel for reporting concerns, as a counselor for employees seeking guidance on proper behavior, and as a resource for confidentially and objectively investigating such complaints.

Elements of SRI’s broad gender equality policy embrace the following:

GENDER EQUITY: WORKPLACE BENEFITS AND OPPORTUNITIES

1. Salary & Bonuses
- SRI aspires to pursue compensation, benefits, and promotional equality irrespective of gender and sexual preferences.
- All SRI employees shall be expected to satisfactorily perform the responsibilities of those respective positions, regardless of gender or sexual preference. All employees in executive or supervisory positions will be expected to satisfactorily perform the responsibilities of those respective positions, regardless of gender.
- Accommodation: Flexible working hours will be considered for any requesting employee who has significant family caretaking responsibilities either for small children or elderly family members. No person shall be discriminated against on the basis of gender for fulfilling reasonable family obligations.
- Respecting and recognizing the abilities of women: All SRI staff shall treat SRI officers serving in executive or supervisory positions with the respect due their positions, irrespective of their gender or sexual preference. All employees in executive or supervisory positions will be expected to satisfactorily perform the responsibilities of those respective positions, regardless of gender.

2. Work Opportunities and Expectations
- Work in the provinces: All staff will be accorded equal opportunity to build skills and expand responsibilities by traveling to the provinces to implement projects, regardless of gender, ethnicity, national origin, and religion.

3. Study Opportunities Abroad:
- All SRI employees shall be equally encouraged to take advantage of opportunities to study abroad, irrespective of gender. Successful completion of such educational opportunities shall strengthen an employee’s position within the SRI.
GENDER EMPOWERMENT

• As long as the spirit of the Chháb Srey and Chháb Proe persists in Cambodian society, SRI will actively promote a policy of empowering its female employees, as follows:
  - Gender mainstreaming: Encourage and/or require the active participation of women in all SRI organizational activities;
  - Role reversal: Encourage all employees to undertake assignments usually reserved for staff members of the opposite gender and acknowledge and reward them for it;
  - SRI Leadership development: Encourage female staff to (i) study and attend conferences abroad and (ii) actively promote their role as spokespersons and representatives of the SRI; and
  - Consciousness raising: Encourage SRI employees, both male and female, to participate in women’s empowerment programs, within and outside of SRI.

GENDER SENSITIVITY RULES AND EXPECTATIONS

• SRI promotes the following to address gender insensitivity:
  - Provision of awareness training for male and female employees on the types of statements, behaviors, attitudes, and activities reasonably likely to be perceived as offensive, denigrating, and uncomfortable.
  - Prohibition of sexually-oriented jokes, innuendo, and inferences in the workplace and in the field at all times. Failure to comply with this prohibition will be noted on staff evaluations. Repeated violations may result in mandatory gender training, demotion, suspension, and potential dismissal depending on the severity and repetition of the violation.
  - Prohibition of discrimination against employees for having children. No employee will be punished or otherwise discriminated against for having children. SRI will take reasonable measures to ensure that such a choice does not interfere with an employee’s career development.
  - Provision of temporary paid maternity leave, as specified above, and assurance of an effective transition back to work at the conclusion of the maternity leave period, including reasonable flexibility in working hours. SRI policy also provides for limited paternity leave.
  - Prohibition of employment-related double standards based on gender or any other form of discrimination. All male and female SRI employees shall actively ensure a discrimination-free, gender-equitable work and work-related environment, including refraining from engaging in behavior that encourages a double standard for women.

GENERAL GENDER SENSITIVITY PRINCIPLES

• All SRI employees are collectively encouraged to be open-minded and equally accommodating to the diverse populations that comprise Cambodian society.
• All SRI employees are collectively encouraged to help advance the status and improve the treatment of women in the workplace.
• All SRI employees are collectively urged to proactively combat gender and other forms of discrimination and to promote a culture of tolerance through their example and careful intervention where the opportunity presents itself.
SRI recognizes that the physical and mental health of employees is a key element in ensuring and maximizing their productivity, creativity, and performance. To promote those values and to assist employees recovering from accidents or illnesses, SRI provides supplemental health insurance benefits to eligible staff contingent on the availability of funding.

In addition, all permanent employees are eligible for accidental injury insurance benefits from the National Social Security Fund (NSSF) as required under Cambodian law. NSSF insurance benefits cover workplace accidents and work-related illnesses. To take advantage of this benefit, each SRI employee should register for membership with NSSF; SRI contributes funds to NSSF for each of its registered employees. For additional information relating to specific NSSF benefits, employees should review the information available on the NSSF website (www.nssf.gov.kh) and ensure that they have registered with NSSF.

To ensure the safety and security of all SRI employees, SRI has an ongoing security program, the elements of which are reviewed periodically and adjusted as required to respond to potential threats. Notwithstanding its high-profile activity, including its long-term support of the Khmer Rouge Tribunal, which is opposed by former Khmer Rouge regime surviving officials and, in some cases, their friends and families, SRI seeks to maintain a low profile and provide in-house security during working hours. This includes strictly enforcing security regulations through log books, requiring members of the Chief of Staff Team to guard the office during non-business hours on nights and weekends, and restricting access to the office by all non-employees, including employee relatives and friends. Reception staff have standing orders to refrain from discussing any and all sensitive issues with any visitors, regardless of the level of familiarity.

Basic security measures include the following:

- All SRI employees must strictly conform to SRI security regulations.
- SRI facilities are open only for official use. Unofficial visits are not allowed outside of the public areas, such as the Museum of Memory. All visitors are required to produce personal identification, and all employees are required to secure the approval of the Chief of Staff or his/her designee prior to admitting guests or visitors to any SRI office. Friends and relatives of staff are not allowed in the office by all non-employees, including employee relatives and friends. Reception staff have standing orders to refrain from discussing any and all sensitive issues with any visitors.
- SRI vehicles and equipment, including access to SRI computer systems, are only available for official use. The Chief of Staff is responsible for enforcing this rule with cooperative support from designated staff.
- No weapons or other lethal devices are allowed inside SRI premises except by authorized SRI security personnel. Violations of this policy will result in writing by the Chief of Staff.
- SRI ceases conducting business on regular workdays at 5:15 p.m. Employees should schedule their working day to ensure that all assignments for a particular day are completed within normal business hours. Exceptions to this standard are subject to the approval of the Chief of Staff or the Executive Officer.
- SRI employees should refrain from discussing sensitive SRI-related matters with the public without prior approval from the Chief of Staff.
- SRI Internet access and use of its email systems are restricted to official and internal communications and are subject to internal controls set forth in Section F. USE OF COMPUTERS, INFORMATION TECHNOLOGY, AND VEHICLES.

Additional provisions relating to the safety and security of SRI staff and facilities are as follows:

- Prior to embarking on any official field trip, the team leader must provide field trip plans to the Chief of Staff for a review of possible security issues.
- Prior to embarking on any field trip, SRI’s directors and coordinators must contact the appropriate provincial authority for a security briefing on the area to be visited. In addition, staff must request security service from the provincial authority for the entire duration of the field trip.
- Where potential threats to the safety of the SRI field-trip team exist, they should be reported to the Chief of Staff prior to departure.
- Once the team is on location in the field, the team leader must report daily via mobile phone or email to the Chief of Staff or his/her designee about progress and any security issues.
- The exact locations of past, current, and any planned future field trips shall remain confidential and are not to be made public, including disclosure to friends and relatives.
- Formal letters requesting the assistance of provincial authorities in connection with field trips shall not list the names of the individual SRI team members, exact time of their arrival, or the precise duration or location of their work in the province.
- Field trip activities, once underway, are not to be photographed or recorded via video camera or other visual recording device by any outside media representative or any media organization. Journalists are not allowed to accompany SRI staff on any field trip unless specifically authorized in writing by the Chief of Staff.
- All field trip team members are strictly prohibited from consuming alcoholic drinks or illicit addictive drugs before, during, or after fieldwork activity.
- Every SRI staff member is responsible for proactively taking all possible measures to protect himself/herself from possible infection with HIV/AIDS, SARS, or Bird Flu.
PERFORMANCE MANAGEMENT

Norng Chen Kim Ty, daughter of a child survivor at S-21’s Khmer Rouge secret prison. Norng ChanPhal; Photo: Ouch Makara

Prasat Neak Pean (Neak Poan) is a circular, artificial island with a Buddhist temple built during the reign of King Jayavarman VII. Photo: Meng Kimlong

PERFORMANCE MANAGEMENT
DIRECTORS AND COORDINATORS EVALUATION

Introduction and Purpose

The SRI’s directors and coordinators evaluation is an annual assessment process for senior-level SRI employees who have management roles and functions. The SRI’s directors and coordinators evaluation process focuses on work performance and leadership skills. The evaluation will assess how successful directors and coordinators are in motivating team members and subordinates to achieve outstanding results in meeting overall project goals and objectives, thus contributing to the realization of SRI’s vision and mission. The SRI’s directors and coordinators evaluation process serves several purposes:

• To enhance job performance,
• To encourage professional growth and development,
• To improve program quality, and
• To meet overall objectives.

The SRI’s directors and coordinators evaluation process is a crucial element in the Institute’s policy of management and development. It is aimed at ensuring the effectiveness of the SRI’s work processes, the efficient and responsible use of its funds, and the sustainability of its outcomes. Staff evaluation results are a tool for rewarding and encouraging individual staff members’ performance and progressive improvement. The results also serve as important indicators of existing skill sets and expertise, enabling the Chief of Staff to make better-informed strategic decisions on how to improve the way SRI is managed. The results also allow for addressing deficiencies through targeted, advanced training and development.

Internal staff evaluations are conducted biannually and utilize metrics based upon individual work plans and job descriptions to assess performance. Particular attention is paid to program design and management. This process enables the Chief of Staff Team and the Executive Officer to oversee and monitor all SRI activities and serves as an important strategic planning tool.

In 2010 an outside assessment was made of the performance of the management team of DC-Cam, SRI’s parent organization. This assessment identified deficiencies in the following areas:

• Communications,
• Skills Deficits,
• Transition Management, and
• Leadership.

The SRI’s directors and coordinators evaluation process is designed to enhance its management capacity and performance in these and other key areas.

Evaluation Process

The SRI’s directors and coordinators evaluation process comprises the following elements:

• Explanation of the purpose of the evaluation,
• Explanation of the evaluation criteria,
• Introduction of the evaluation team,
• Explanation of how the evaluation will be conducted,
• Review of the timeline for conducting the evaluation,
• Review of the instruments that will be used to record the evaluation,
• Explanation of the methodology for collecting staff input in a four-stage process,
• Review of options for collecting input from other sources,
• Review of results, and
• Summary of potential follow-up actions to maximize personal and professional expertise and enhance skills.

The SRI’s directors and coordinators performance evaluation is an iterative process, building on past evaluations to accurately track each employee’s performance over time and to facilitate gradual improvement with appropriate support, training, and skill-building activities. The performance evaluation process examines project implementation, progress monitoring, results-based reporting, and achievement. SRI’s review teams assess the commitment of SRI’s directors and coordinators, their leadership skills, and their ability to stimulate team motivation.

The SRI’s directors and coordinators conduct evaluations, consolidate findings, prepare individual reports with recommendations, and conduct follow-up reviews. They respond to questions in the evaluative instrument, schedule individual interviews with persons being evaluated, and meet with team members to seek their opinions about the SRI’s directors’ and coordinators’ performance. SRI’s directors and coordinators topical and monthly reports are reviewed for further performance indicators.

Evaluation Procedure

Evaluation documents, including forms and questionnaires, are used at SRI to evaluate employee performance. The evaluation process comprises four steps.

STEP 1: ORIENTATION

• When employees are hired, their SRI orientation will include an explanation of the evaluation processes and procedures used to assess performance.
• At the commencement of the evaluation process, the manager conducting the evaluation will meet with the employee to review the steps of the process and answer questions.
STEP II: EVALUATION

- Employees complete the self-evaluation documents, based on agreed-upon criteria, including job description and work plan. In this context, each employee should have an opportunity to regularly review his/her job description and suggest changes to it as appropriate.
- The Chief of Staff and his/her Team evaluator conducts written and oral evaluations of designated staff, including interviews with supervisors, peers, and subordinates.
- The Chief of Staff and his/her Team member conduct an in-depth evaluation interview with the employee being evaluated.
- The Chief of Staff and his/her Team analyze and compile data collected and prepare an evaluation report.

STEP III: POST-EVALUATION

- Staff evaluation is finalized, reviewed, signed by the Chief of Staff and his/her Team member and the evaluated employee, and filed in SRI's confidential HR files.
- The Chief of Staff and his/her Team member conduct an in-depth evaluation interview with the employee being evaluated.
- The Chief of Staff and his/her Team analyze and compile data collected and prepare an evaluation report.

STEP IV: FOLLOW UP

- The Chief of Staff and his/her Team will conduct a follow-up evaluation every six months to one year, depending on the employee's position, length of tenure, and specific responsibilities. This follow-up will monitor progress toward agreed upon goals and objectives intended to improve performance.

TIMELINE

The evaluation will generally take place over two weeks based on the following schedule:

<table>
<thead>
<tr>
<th>Date</th>
<th>Description</th>
<th>Responsibility</th>
</tr>
</thead>
<tbody>
<tr>
<td>Week 1</td>
<td>Prepare responses to self-evaluation questionnaire</td>
<td>Evaluated Employee</td>
</tr>
<tr>
<td>Week 1</td>
<td>Conduct interviews with employee</td>
<td>Evaluation Team</td>
</tr>
<tr>
<td>Week 1</td>
<td>Conduct interviews with supervisors, peers, and subordinate employees</td>
<td>Evaluation Team</td>
</tr>
<tr>
<td>Week 1</td>
<td>Review and compile data collected for relevant findings and prepare reports</td>
<td>Evaluation Team</td>
</tr>
<tr>
<td>Week 2</td>
<td>Meet with employee to review all evaluation documents and feedback;</td>
<td>Employee Evaluation Team &amp; Evaluated Employee</td>
</tr>
<tr>
<td></td>
<td>Provide overall recommendations for improving professional development</td>
<td></td>
</tr>
<tr>
<td>Week 2</td>
<td>Revisit strategic plans, program designs, and management initiatives to</td>
<td>Evaluated Employee</td>
</tr>
<tr>
<td></td>
<td>address issues raised by the evaluation team and modifying those designs and</td>
<td></td>
</tr>
<tr>
<td></td>
<td>initiatives as appropriate</td>
<td></td>
</tr>
<tr>
<td>Follow up</td>
<td>Review previous evaluation for interim progress analysis and mid-course</td>
<td>Evaluation Team &amp; Evaluated Employee</td>
</tr>
<tr>
<td>Evaluation (six months)</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Angkor Wat at Dawn
Photo: Ouch Makara
EVALUATION STANDARDS

The Institute will measure staff performance in five main areas.

I. Efficiency, Effectiveness, Timeliness of Performance, and Work Product
II. Initiative and Creativity in Completing Assigned Tasks and Responsibilities
III. Ability to Establish and Maintain Strong, Proactive, Productive, and Collaborative Working Relationships and Communications
IV. Ability to Conform to and Respect all SRI Rules, Regulations, and Policies
V. Commitment to Working toward and Achieving the Overall Goals and Objectives of the SRI

EVALUATION INSTRUMENTS

FORM 2: SELF-EVALUATION PERFORMANCE QUESTIONNAIRE (to be completed by employee being evaluated)

1. Review previously established goals and objectives to determine the extent to which they have been successfully accomplished and implemented. (Results of your project.)

2. If those goals and objectives were not successfully accomplished and implemented, analyze and summarize what occurred to hinder progress and how those hindrances can be overcome.

3. Identify challenges encountered during the interim period, how those challenges were addressed, and whether the strategies to address them were successful.

4. How does your project fit with and contribute to SRI’s primary objectives of achieving memory, justice, and reconciliation?

5. What types of critical improvements will result from your project over both the short-term and long-term?

6. Describe your personal impact on the success of the project and the extent to which your motivation led to its completion. To what extent did you motivate and encourage the members of your project team? What, if anything, could you have done to increase their motivation and performance?

FORM 3: GUIDE FOR INTERVIEW WITH EVALUATED EMPLOYEE

The following specific topics should be included among those addressed in the employee interview:

1. Any changes to the project plan and the justification for it,
2. Other related achievements not yet articulated in this written response,
3. Any serious challenges encountered during the three-month period and a response to them, and

FORM 4: MEASUREMENT OF PERFORMANCE STANDARDS

1. Efficiency, Effectiveness, Timeliness of Performance and Work Product
   • Meets or exceeds established goals and objectives
   • Meets or exceeds established timelines
   • Produces timely and quality results in services delivered
   • Organizes work and work area to maximize quality and increase quantity of results
   • Consistently accepts responsibility for and accomplishes assigned workload

Describe specific examples:

_________________________________________________________________________________________________________________________
_________________________________________________________________________________________________________________________
_________________________________________________________________________________________________________________________

Mark one rating of demonstrated Efficiency and Effectiveness of Work

Significantly Exceeds | Meets & Often Exceeds | Generally Meets | Somewhat Meets | Does not Meet

_________ | ___________ | ________ | ________ | ________
2. Initiative and Creativity in Completing Assigned Tasks and Responsibilities

• Demonstrates initiative in taking charge of and completing assigned projects
• Identifies and assumes responsibility for new initiatives
• Identifies and follows through independently on important details
• Demonstrates willingness to perform unassigned tasks when needed
• Accepts and promotes change/innovation willingly
• Exercises sound judgment in making decisions
• Responds positively to constructive criticism

Mark one rating of demonstrated Initiative and Creativity

Significantly
Meets
Generally
Somewhat
Does not Meet

Exceeds
& Often Exceeds
Meets
Meets

Actions to continue to develop this standard:

_________________________________________________________________________________________________________________________
_________________________________________________________________________________________________________________________
_________________________________________________________________________________________________________________________

3. Ability to Establish and Maintain Strong, Proactive, Productive, and Collaborative Working Relationships and Communications

• Establishes and maintains cooperative working relationships
• Interacts with team members in a positive and proactive manner
• Interacts with public in a respectful, helpful, and positive manner
• Actively promotes the Institute’s objectives of Memory, Reconciliation, and Justice
• Maintains confidentiality of programs and team members’ identities

Mark one rating of demonstrated Working Relationship and Communication

Significantly
Meets
Generally
Somewhat
Does not Meet

Exceeds
& Often Exceeds
Meets
Meets

Actions to continue to develop this standard:

_________________________________________________________________________________________________________________________
_________________________________________________________________________________________________________________________
_________________________________________________________________________________________________________________________

4. Ability to Conform to and Respect all SRI Rules, Regulations, and Policies

• Maintains appropriate daily attendance
• Comes to work on time
• Fulfills the Institute’s requirements
• Motivates others by his/her example as a dedicated and committed SRI employee

Mark one rating of demonstrated ability to conform to and respect all SRI rules, regulations, and policies

Significantly
Meets
Generally
Somewhat
Does not Meet

Exceeds
& Often Exceeds
Meets
Meets

Actions to continue to develop this standard:

_________________________________________________________________________________________________________________________
_________________________________________________________________________________________________________________________
_________________________________________________________________________________________________________________________
5. Commitment to Working toward and Achieving the Overall Goals and Objectives of the SRI
   • Shows commitment to achieving SRI’s overall goals and objectives
   • Serves as an example of consistent and proactive support for SRI and its vision
   • Consistently focuses on how interim projects and initiatives contribute to achieving SRI goals and objectives

Mark one rating of demonstrated commitment to working toward and achieving the overall goals and objectives of the SRI

<table>
<thead>
<tr>
<th>Exceeds</th>
<th>Meets</th>
<th>Generally Meets</th>
<th>Somewhat Meets</th>
<th>Does not Meet</th>
</tr>
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<tr>
<td>✔️</td>
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</tbody>
</table>

Actions to continue to develop this standard:

_________________________________________________________________________________________________________________________
_________________________________________________________________________________________________________________________
_________________________________________________________________________________________________________________________
GENERAL STAFF EVALUATION

STAFF COMPETENCY EVALUATION

For effective management of its human resources, the Sleuk Rith Institute will regularly conduct performance evaluations of all non-management employees (General Staff). A special format has been created for this. This section sets forth the mechanism and process to evaluate the general staff.

The purposes of the evaluative performance assessment are to determine the following:

• How well employees perform their duties,
• Employees’ levels of aptitude and their potential,
• How their capabilities fit within and contribute to SRI’s goals and objectives,
• How employees might improve their performance, and
• How employees might advance in their careers.

The results of these evaluations will inform the management team in deciding how to best utilize the employees, deploy their skills, and assist them with career development. The results will also be used to promote staff development and capacity building. Such development and capacity-building initiatives may be international, local, or in-house. Their scope and content may vary in subject areas such as technical skills, human interaction skills, leadership development, and organizational development. The evaluation will also permit the Chief of Staff and the Executive Officer Team to identify staff for promotion and numerous incentives. At SRI, international training programs and advanced education overseas are a part of the incentive program.

Such evaluations are to be carried out annually, ideally in August, by SRI department directors and coordinators. This evaluative process will extend to SRI staff in all seven departments and certain independent centers. The seven departments comprise 1) Administration including security, 2) Finance, 3) School, 4) Museum, 5) Media Center, 6) Library, and 7) Research. Department directors, coordinators, and the directors of independent centers such as Anlong Veng Peace Center, Center for Gender and Ethnic Studies, and Rule-of-Law/Legal Clinic will conduct these evaluations and report their findings to the Chief of Staff and his/her Team. Based on those findings, department and center management and coordinators, consulting with the Chief of Staff and his/her Team including the Executive Officer, will work with individual staff members to achieve the priorities established in the process.

FORM 5: COMPREHENSIVE EVALUATION OUTCOME (SUMMARY OF EVALUATION RESULTS)

<table>
<thead>
<tr>
<th>Project Name:</th>
<th>Employee’s Name:</th>
<th>ID:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Evaluator’s Name:</td>
<td>Employee’s Position Title:</td>
<td></td>
</tr>
<tr>
<td>Hire Date:</td>
<td>Date of Evaluation:</td>
<td></td>
</tr>
<tr>
<td>Names of Team Members:</td>
<td>Team Member Position Titles:</td>
<td></td>
</tr>
<tr>
<td>Key Job Responsibilities (in employee contract and work plan)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Overall Level of Performance/ A Summary Rating (Check one):</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**A = Exceptional**
Performance is consistently outstanding and ranks well above the criteria for satisfactory performance in all areas of the job description. Efforts to increase the quality and/or quantity of contributions to workplace and peers are continuous.

**B = Commendable**
Performance generally reflects superior and timely meeting of performance expectations and job requirements in most areas of responsibility. Performance also reflects satisfactory accomplishment in some areas. Work product and performance indicate strong knowledge of job responsibilities and duties.

**C = Competent**
Performance meets and occasionally exceeds job standards. Work results are fully acceptable.

**D = Fair**
Performance generally meets minimum job and performance standards, but rarely exceeds them. Demonstrates basic technical mastery of basic job requirements, but levels of motivation and commitment vary over time. Substandard performance in some areas raises concerns about how tasks are performed and whether personal commitment to SRI’s overall goals and objectives is consistent.

**E = Poor**
Performance and productivity frequently fail to meet minimum job standards and are consistently below expectations. Employee is being placed into a three-month probationary status during which immediate improvements in performance and productivity are required. At the end of the probationary period, a determination will be made by the Management Team whether to retain, place on remedial probationary status, or terminate the employee.
### FORM 6: GENERAL STAFF PERFORMANCE EVALUATION

<table>
<thead>
<tr>
<th>Employee:</th>
<th>Position:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Department:</td>
<td>Position:</td>
</tr>
<tr>
<td>Supervisor:</td>
<td>Position:</td>
</tr>
</tbody>
</table>

When assessing competencies, the supervisor should choose the descriptor that best matches the employee’s relative level of aptitude as described below. If an explanation of assessment level is required, supervisors should provide relevant detail in the comments section.

**Date of Evaluation:**

<table>
<thead>
<tr>
<th>DESCRIPTOR</th>
<th>DESCRIPTION OF ASSESSMENT CRITERIA</th>
</tr>
</thead>
<tbody>
<tr>
<td>Very Good</td>
<td>Very good comprehension or performance. The employee demonstrates a high degree of aptitude in this competency requirement.</td>
</tr>
<tr>
<td>Good</td>
<td>Good comprehension or performance in most areas. The employee demonstrates a reasonable aptitude that is more than adequate to perform in this assessed competency but is not exemplary. Additional coaching may be required to maximize performance.</td>
</tr>
<tr>
<td>Satisfactory</td>
<td>Satisfactory comprehension or performance, but with various shortcomings. The employee demonstrates basic aptitude for this competency requirement but his/her performance does not extend beyond that level. Additional training in the areas of deficiency is strongly suggested.</td>
</tr>
<tr>
<td>Unsatisfactory</td>
<td>Comprehension or performance does not meet the minimum criteria. Knowledge and application of principles and facts are insufficient to perform at a minimal level. The employee demonstrates an absence of aptitude for this competency requirement.</td>
</tr>
</tbody>
</table>

**Areas of Assessment**
- Performance of basic position functions
- Complete specific tasks on time and in an acceptable manner
- Inter-personal communication
- Report writing
- Interactions and working together with others to achieve common goals
- Compliance with ethical standards and the code of conduct
- Punctuality and attendance

**Answer the following questions:**

- How has the employee demonstrated competency in performing his/her duties?
- Are the achievements satisfactory? Do they not meet, meet, or exceed expectations?
- How effectively does the employee communicate?
- What are the gaps in competency?
- How will these gaps be addressed?

**Employee’s Overall Performance Rating**

- [ ] Very good
- [ ] Good
- [ ] Satisfactory
- [ ] Unsatisfactory

When assessing competencies, the supervisor should choose the descriptor that best matches the employee’s relative level of aptitude as described below. If an explanation of assessment level is required, supervisors should provide relevant detail in the comments section.
FORM 7: VERIFICATION OF EMPLOYEE EVALUATION

1. Evaluator’s Signature: This evaluation is based on the staff performance during the three-month period. This evaluation has been discussed with the employee.

____________________________________       ______________________________
Signature                                        Date

2. Evaluated Employee’s Signature: Please check one of the following.

• I understand this evaluation, agree with its conclusions, and will make every effort to implement the guidance, recommendations, and performance expectations.
• I understand this evaluation but am concerned about my capacity to comply with all of the guidance, recommendations, and expectations it includes. I would appreciate the opportunity to discuss it further with the possibility of redefining my current position with fewer expectations and responsibilities.
• I understand this evaluation but disagree with one or more portions of it and will prepare documentation of this disagreement for review by the Board of Directors.

Comments: ________________________________________________________________________________________________________________
____________________________________       ______________________________
My signature on this form verifies that the evaluation has been discussed with me and that I have received a copy.
Signature                                        Date

Reviewed by:

____________________________________       ______________________________
Signature of evaluator’s supervisor (Director or Coordinator)  Date

Copies of this form will be submitted to:
TIPS FOR EVALUATOR PRIOR TO EVALUATION

i) Review the job description and responsibilities in the staff member's contract.
ii) Review relevant work plan(s).
iii) Compare and contrast the actual activity and results with planned activity which can be found in monthly and topical reports.
iv) Review previous year's evaluation results, including professional development plans.
v) Schedule an appointment for a one-to-one interview, allowing sufficient time for an in-depth review and opportunity for the employee to actively participate.
vi) Prepare the questionnaire and all related documents.

TIPS FOR STAFF PRIOR TO EVALUATION

i) Review the job description and responsibilities in the staff contract.
ii) Review work plan for the current year.
iii) Compare and contrast the actual activity and result with planned activity which can be found in monthly and topical reports.
iv) Review previous employee evaluations.
v) Revisit program design and management.
vi) Prepare a list of questions using the guidelines above.

COMPLAINT AND RESOLUTION PROCEDURE

GOALS

• To implement a means by which junior-level staff with limited experience can receive guidance and support in their efforts to learn to function within an organizational setting and become productive members of SRI’s staff.
• To increase staff understanding of and involvement with the management and operations of the SRI.
• To increase the awareness of SRI’s Chief of Staff and his/her Team and the Executive Officer regarding matters of importance to staff and allow for effective and efficient responses.
• To provide a reliable and effective procedure for addressing various performance and other deficiencies in employee activity and behavior.
• To develop greater collective trust and mutual cooperation among SRI employees at all levels.
• To improve employee relations, communication, and confidence.

ELEMENTS OF THE PROCEDURE

• Statement of Values
• Employee Discussion Groups
• Reporting Procedure
• Initial Resolution Processes
• Advanced Resolution Processes
• Optional Reporting Form

1. Statement of Values

• SRI recognizes the importance and seriousness of all staff concerns and complaints. It also recognizes the importance of resolving such concerns and complaints in a fair, prompt, effective, and transparent way.
• No employee should feel threatened by the reporting process, and no retaliation against said employee will be tolerated, either directly or indirectly. Likewise, those about whom complaints are raised will be fully informed regarding the contents of the complaint, have full opportunity to respond to the complaint, and will receive an explanation of the reasoning behind any remedial action determined appropriate by the Chief of Staff and his/her Team including the Executive Officer.
• SRI is a Cambodian Institute that promotes cultural values. Therefore, to the greatest extent possible, culturally sensitive and appropriate models of dispute resolution will be encouraged. However, this emphasis does not extend to traditional gender roles, nor can it be used to justify any form of discrimination or unequal treatment.
• SRI endeavors to ensure that no complaint reaches the level of seriousness requiring convening the Forum on Staff Concerns. Therefore, employees are encouraged to voice their complaints at the earliest stage of concern. The Chief of Staff and his/her Team, including the Executive Officer, pledge to respond to such concerns in a supportive, constructive, confidential, and effective manner.
2. Staff Discussion Groups

To prevent individual employee concerns from evolving into group complaints, SRI’s Chief of Staff and his/her Team, including the Executive Officer, will schedule regular staff discussion groups to encourage employees to voice concerns informally in a peer-group setting without the presence of executive team members. Every six months, all non-management-level staff will be invited to participate, and those who elect to do so will be randomly assigned to small discussion groups of approximately five people. A designated note taker will anonymously record any issues that are raised and report them to the Chief of Staff as appropriate. In addition, any staff member who does not feel comfortable raising an issue in the discussion group has the option of preparing and submitting an anonymous written comment. Such comments are to be delivered to the Chief of Staff or designated HR Representative for Gender Relations and Staff Concerns at the employee’s discretion.

3. Reporting Procedure

Where a more serious issue emerges, employees retain the option of filing a formal complaint with the Office of Human Resources. Such complaints may be submitted anonymously. Within the body of the complaint, the employee should clearly state the issue(s) and why they need to be addressed, provide relevant facts and details, and either request a response or propose action that might be taken. For more serious complaints, it may be necessary to list witnesses or provide the name of the complainant so SRI’s Chief of Staff and Executive Officer can initiate an internal investigation.

When the Chief of Staff or a member of his/her Team receives a formal complaint, they are obligated to respond fully and in a timely manner. This may include interviewing the complainant, interviewing the alleged perpetrators where applicable, interviewing witnesses, and, following deliberations, taking appropriate action to resolve the complaint using the procedures set forth below. All complaints received by the Office of Human Resources through this process must be filed in a confidential archive and include written documentation of the steps taken to address the issues raised.

A NOTE ON ANONYMITY

Employees may elect to remain anonymous when making a complaint or they may choose to reveal their identity either to an Office of Human Resources representative or to the Chief of Staff or his/her Team member including the Director, Center for Gender and Ethnic Studies. The SRI Chief of Staff or his/her Team member who receives the complaint is obligated to treat it as confidential. The staff member’s anonymity will be preserved to the extent possible as the matter is thoroughly investigated and efforts are made to reach an amicable, informal resolution. However, in resolving more serious complaints that reach the level of requiring a formal resolution, the Chief of Staff and his/her Team may not be able to ensure anonymity. In such cases, care will be taken to preserve the privacy and protect the personal integrity of all participating parties throughout the investigation and resolution processes.

Both the complainant and the person(s) implicated in the report will be notified in writing of the Forum’s decision and reasoning. Follow-up will occur after one month and after three months to ensure that the complaint has been adequately resolved. These follow-up reports should be in writing and should be filed along with all other documentation pertaining to the complaint in OHR files.

As an alternative to the above Complaint and Resolution Procedures, an aggrieved employee may complete and submit the following form to the Chief of Staff or designated HR Representative for Gender Relations and Staff Concerns at the employee’s discretion.
Entrance to Bayon Temple

Bayon Temple is the central temple of the ancient city of Angkor Thom.

It was built by Jayavarman VII around 1190 and is known for its stone faces.

Photo: Ouch Makara
4. Initial Resolution

The first step in resolving a complaint is to attempt to reach an informal and amicable resolution. This may be as straightforward as discussing the complaint with the relevant parties and receiving written assurances that the cause of the complaint has been resolved. If such a casual resolution is not possible, the relevant member of the office of the Chief of Staff or his/her Team will attempt to facilitate a resolution, advising the involved staff members on possible resolutions and the implications of the resolution options they are considering. This process is informal, but a summary of it must be recorded in writing and placed into the Office of Human Resources confidential files.

If an amicable resolution is achieved, the facilitating member of the management team will follow up at the conclusion of one month and three months to ensure that the complaint has been adequately resolved. Brief summary follow-up reports will be prepared in writing and placed in Office of Human Resources files. If the resolution is ineffective and the dissatisfaction continues, additional steps will be taken to ensure that the complaint has been fully and satisfactorily resolved.

5. Formal Resolution

The first step in the formal resolution process will be a background investigation by the Office of Human Resources into the alleged complaint. This may include interviews, informal discussions, a review of any pertinent documents, and other steps needed to fully understand the complaint. The specific measures taken will vary depending on the nature of the complaint.

During the investigation, care will be taken to ensure that the process does not violate employee privacy. To this end, all steps in the investigation, to the extent possible, will be anonymous, recorded with the permission of the relevant parties, consensual, and guaranteed to not adversely affect parties. It is generally preferable to conclude all discussions with a review of what was said. A summary of this review will be prepared in writing and signed by all parties present.

Once the facts pertaining to the complaint have been established, the Forum on Staff Concerns shall be convened. This Forum consists of the operational team members, the OHR Representative on Gender and Staff concerns, and two employees nominated from among the staff. If more than two staff are nominated for the Forum, the selection will be made at random by the Office of Human Resources from the nominees. Forum members may be required to recuse themselves from participating if they are implicated in a particular complaint or if there is a conflict of interest.

The Forum will hear the complaint and consider the facts as established. The members will then consult with the complainant and the person(s) responsible for the complaint, as appropriate. The Forum will then discuss the complaint and reach a decision on how best to move forward. Ideally, all decisions of the Forum shall be unanimous. However, two-thirds (2/3) of the members are required to reach a disciplinary decision. This decision shall be approved by the Executive Officer and implemented accordingly. If this majority cannot be reached, a compromise solution will be sought that is amenable to all parties. If the mechanism fails, the Executive Officer may at his/her discretion issue a final disposition of the matter in the form of a report, copies of which will be provided to all relevant parties and placed in the Office of Human Resources confidential files.

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**FORM 8: OPTIONAL COMPLAINT REPORTING FORM**

<table>
<thead>
<tr>
<th>Name:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Brief Description of Complaint:</td>
</tr>
<tr>
<td>Brief Description of Desired Resolution:</td>
</tr>
<tr>
<td>List of Persons who may assist in understanding the complaint:</td>
</tr>
<tr>
<td>Personal Notes (Include best time to discuss the complaint or specific privacy concerns as relevant):</td>
</tr>
</tbody>
</table>

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**HUMAN RESOURCES MANUAL | THE SLEUK RITH INSTITUTE**
Since its founding in 1995, DC-Cam, SRI’s parent organization, has implemented employee-focused training programs and opportunities that aim to constantly increase the knowledge and capabilities of all employees. SRI continues this proud tradition. Elements of SRI’s employee training and development program, administered by SRI’s Office of Human Resources, include the following.

INTERNAL TRAINING

SRI offers numerous training courses conducted by the Chief of Staff and his/her Team and outside experts in such areas as research methods, interviewing, English language, Internet research, Khmer Rouge terminology, microfilming, cataloguing, and transliteration. In addition, select staff have the opportunity to attend SRI’s six-week legal training courses offered to prepare them to work with the Khmer Rouge Tribunal, the tribunal charged with bringing to justice senior Khmer Rouge leaders.

LOCAL TRAINING

SRI also sends promising staff members to advanced English courses at a local school or university, to training programs for specific roles in radio broadcasting, and to psychology courses that teach skills essential in identifying people who suffer from post-traumatic stress disorder. Such courses are taught by Cambodian experts.

OVERSEAS TRAINING

Every year, SRI sends select employees abroad to acquire new skills and knowledge. They receive short-term training in a variety of work-related subject areas such as information technology (Singapore), database management (Australia), human rights (including but not limited to South Africa, Canada, Ireland, UK, USA, The Netherlands, Sweden, Columbia, Spain, Nepal, Indonesia, and Thailand), anthropology (South Africa), and graphics and book design (India). Particularly promising and motivated employees seek, through the auspices of SRI, admission to and enrollment in graduate degree programs such as Master’s and Ph.D. levels at both Cambodian and foreign universities, predominantly in the UK and USA. This program is both a strong incentive for employees to excel and, when they return to SRI, a source of significant strength for the organization.

Staff members are encouraged to participate in local and international conferences, seminars, meetings, trainings, etc. However, all such activity must be approved by the Chief of Staff two weeks in advance. An employee may take annual leave to attend without the approval of the Chief of Staff. Any person receiving support from USAID is prohibited from participating in political activity of any kind.

Overseas training will be allowed only when such training is sponsored by the training host or the trainee is willing to pay the rest of cost incurred during the training.
“...a society cannot know itself if it does not have an accurate memory of its own history.” —Youk Chhang