



# WOODS HOLE OCEANOGRAPHIC INSTITUTION

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## **Appointments and Promotion Procedures for the Scientific and Technical Staffs and Departmental Assistants**

This manual provides information and guidelines on the criteria for appointment and promotion at the Woods Hole Oceanographic Institution, and on the procedures by which such decisions are generally made. It is intended for the information of current and prospective staff members, by individuals from whom we seek references, and those organizations and individuals who are interested in the nature and qualifications of research personnel at the Woods Hole Oceanographic Institution. The manual is not intended to be a contract or to form any part of a contract with any employee. The policies and procedures contained herein are subject to periodic review and revision. In the event of a difference concerning the administration or interpretation of this manual, the Institution reserves the right to administer and interpret this manual in its discretion, provided that it does so reasonably.

Staff members are also generally covered by and subject to the Institution's Human Resources Policies, except where otherwise noted in this manual or in the Human Resources Policies or where the context indicates that this manual applies in place of another policy.

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## General Information

WHOI strives for excellence in oceanographic research and education. The research undertaken at the Institution emphasizes seagoing, but not exclusively, and demands world-class expertise both intellectually and operationally. Oceanography often mandates teamwork, so the staff must be uniformly excellent, independent of discipline or task. Staff members at all levels and on all career ladders are carefully selected, annually evaluated, and rigorously screened for promotion. Promotion at all levels reflects expectation of continuing productivity in addition to documented impact in the Staff member's area of expertise. WHOI standards and expectations are extremely high, and its procedures for appointments and promotions are reevaluated from time to time for fairness and rigor. All recruiting and personnel actions are conducted without regard to age, race, religion, color, gender, national origin, sexual orientation, veteran status, disability or any other unlawful considerations. Not only is this legally required, but it is also important to sustain quality.

The key to WHOI's excellence is the quality of its science and engineering, and the principal factor influencing that quality is the caliber of the Scientific Staff. Members of this staff are responsible for conceiving, prosecuting, interpreting, and funding the research programs and they constitute the faculty of the educational programs of the Institution. They thus determine the quality and success of the Institution. To preserve that caliber, appointments and promotions within the Scientific Staff must reflect the highest possible standards.

Because successful oceanographic research requires not only the formulation of questions about nature but also the testing of these hypotheses, Technical Staff members and Departmental Assistants play a critical role both in the laboratory and at sea. Members of these staffs are primarily involved in developing and employing the means or techniques by which successful research is accomplished. Recognizing the wide range of disciplines, talents, and skills required by oceanography, WHOI currently has three career paths for these staffs: science/research, engineering, and information systems.

Technical Staff members (employees exempt from overtime payment as defined by the Fair Labor Standards Act) and Departmental Assistants (non-exempt) are expected to have superior competence in the application of their skills to problems in marine science. Since oceanographic research requires the development and application of new and challenging methodologies, they are expected to be committed to the continuing growth of their professional skills. Advancement in any of the career ladders, and at all levels, requires the demonstration of sustained superior performance and abilities independent of length of service.

Although Senior Technical Staff members can be sole Principal Investigators on grants and contracts, most members of the Technical Staff and all Departmental Assistants work under supervision of the Scientific Staff, either on a continuing or a project/task basis. A smaller number are supported full- or part-time in operational groups supervised by a scientist, or in Institution service and administration operations that provide basic support to the Scientific Staff. Although the overall course of their research is guided primarily by the members of the Scientific Staff whom they support, Technical and Departmental Assistant Staff are encouraged to participate in educational programs in ways that are appropriate to their skills and the needs of the science. They are encouraged,

and in some positions may be required, to go to sea and, if appropriately experienced and qualified, can serve as Chief Scientists on cruises.

To help achieve objectivity in all staff appointments and promotions, each action is based upon review of a file that provides documentary evidence of qualifications, experience, and achievements. Although the contents of the files vary (as described in more detail below) among and along the career ladders, the basic principle is constant: documented evidence of superior performance, abilities, and impact in research.

The following sections of this manual describe the guidelines for minimum eligibility requirements for each position, and the standards and procedures for the associated file and its review. It must be emphasized that the Institution is seeking the highest standards of excellence in all its activities and that not all who appear to meet the minimum requirements will necessarily be considered eligible. Formal training and degrees do not guarantee excellence nor are they necessary prerequisites for these positions in all cases. These procedures are intended to permit flexibility in the appointment and promotion of individuals who have demonstrated superior promise or performance.

## Scientific Staff

The Scientific Staff consists of those employees of the Institution holding appointments as Senior Scientist, Associate Scientist, or Assistant Scientist.

Appointments to the Scientific Staff are based upon recommendations to the President and Director by the Staff Council whose members vote following review and discussion of a confidential file. Appointments to Assistant Scientist, Associate Scientist and Senior Scientist are made by the President and Director.

The annual hiring cycle begins with Departmental discussions to identify the highest priority areas for hiring, considering both scientific significance and funding sustainability. A description of the position to be filled, or individual to be considered, is first brought to Staff Council by the relevant Department Chair for initial discussion and evaluation of the scientific and financial implications of the appointment. These discussions should be coordinated among all departments early in the annual hiring cycle to provide an Institution-wide hiring strategy. Taking this discussion into consideration, the Deputy Director and VP for Research approves or denies posting an advertisement or other further action on the appointment. Departments may also request permission to pursue opportunistic hires of exceptional candidates that fall outside of the approved hiring plan.

The necessary criteria for promotion and appointment within the Scientific Staff are the performance of research of the highest quality and demonstrated impact on the field of choice. Evidence for this is sought in the publications and manuscripts which describe the research, and in the opinions of experts in the candidate's field of expertise. In making such judgments, creativity, innovativeness, originality and impact within the field of research are the important factors.

Although it is not required, the Institution encourages all members of the Scientific Staff to participate, in ways appropriate to their science, in its educational programs. If an individual chooses to participate, success in teaching and/or supervision of graduate students is considered in the evaluation for promotion and these activities are expected to be of the same high quality as for research.

An appointment to the Scientific Staff is made with the expectation that the individual will work for the Institution on a full-time, year-round basis. A member of the Scientific Staff shall not normally hold a full-time position at another institution or any other formal employment or consulting that requires an excess of one-sixth of his/her time per year. Any proposed change in this status requires review of the employment arrangement and approval by the Deputy Director and Vice President for Research, and in some cases, approval by the President and Director is sought if further oversight is needed. Staff should be aware of separate policies regarding Conflict of Interest and Alternative Work Arrangements at WHOI.

WHOI is a soft-money institution. A conscientious and consistent effort to secure full funding for salary and other research costs is part of normal and expected performance for Scientific Staff. Because reasonable success in obtaining funding is necessary to develop and sustain a successful research career at WHOI, history of and prospects for extramural funding need to be considered in the hiring and promotion of scientific staff.

In addition, each member of the Scientific Staff is expected to participate in the life of the Institution through the normal activities of his/her department. This might include mentoring of junior staff, selection of department Postdoctoral Scholars, students, and Summer Student Fellows, and participation in the departmental annual merit increase review process.

Any exceptions, including extended and/or repeated absences, need the approval of the Department Chair and the Deputy Director and VP for Research.

## ***Assistant Scientist***

Appointment to the rank of Assistant Scientist may be granted to an individual who:

- holds a Ph.D. or Sc.D. (or equivalent) degree and has sufficient experience to do independent research, or
- regardless of degrees held, has demonstrated the ability to conduct independent research of high quality.

Assistant Scientist is the normal professional entry point for recent doctoral graduates desiring to follow a career in ocean sciences research at WHOI. Recruitment is through advertisement, or by selection from the ranks of WHOI Postdoctoral Scholars and Fellows. The rigorous competitive selection process for WHOI Postdoctoral Scholars is considered equivalent from the standpoint of equal opportunity and affirmative action to evaluation of candidates responding to advertisements for Assistant Scientist positions. Therefore Departments can choose to hire Postdoctoral Scholars (or Fellows who qualified as Scholars) without advertising the position, although it is usually preferable to have Postdoctoral Scholars apply to a posted opening. Assistant Scientists are expected to pursue their research independently or with general supervision and advice from more senior scientific staff, and to develop sufficient research funding. They are expected to take an active interest in the welfare of the Institution by such activities as participation in Department or Center affairs, participation in education, and service on Institution and national committees. It is a term appointment that provides the individual with an opportunity for professional development as an oceanographer, and provides the Institution with information needed to evaluate the individual's promise as a continuing member of the Scientific Staff.

Appointment to the position of Assistant Scientist is for a single four-year term. When required to meet extenuating personal circumstances that could seriously inhibit professional productivity (e.g., disability of the employee, family illness requiring extended care, child rearing or bearing, or dependent parent care), with a timely written request via the Department Chair to the Director for Research, the term can be extended ('stopping the clock') for up to 12 months (or longer, if legally required as a reasonable accommodation for a disability or to comply with other legal requirements). Using this option does not eliminate the possibility of a Staff member being considered for promotion at any time during the term of appointment. [See 'stopping the clock' in [Navigating the Tenure Track Handbook](#)]

Appointment is based upon review of a file prepared by the sponsoring Scientific Department or the Marine Policy Center, and presented by its Chair to Staff Council whose members vote, by secret ballot, on a recommendation for the President and Director's decision, which is final. The file comprises the candidate's curriculum vitae, his or her personal statement of research interests (normally a maximum of three pages), copies of (usually) three recent publications, letters of reference from at least four external reviewers and from internal reviewers who are knowledgeable members of the department (or other Scientific Staff members who may know the candidate), and a cover memo from the Department Chair summarizing the candidate's interests and qualifications, describing why the department desires to appoint this individual, and believes that the candidate will be able to sustain a viable research program at WHOI in his or her chosen field(s). The external letters, from researchers familiar with the candidate's science, are a very important element of the file. They should be from individuals senior to the candidate and should comment on the candidate's originality and independence, ability to identify important areas of research, leadership skills, research quality as demonstrated by

publications and presentations, future research potential, likelihood of appointment at the reviewer's institution, and prospects for developing a successful scientific career at WHOI. For Assistant Scientist appointments, the external letters may be seen by internal letter writers prior to preparing their own letters. This is to provide information on candidates who may be unknown to internal reviewers. Internal reviewers' letters should not, however, reference or rebut the content of external letters.

An Assistant Scientist meets with his/her mentoring committee, consisting of the Department Chair and members of the Scientific Staff familiar with the individual's research after the first and second years of the individual's appointment to review progress and gain feedback on his/her research record and other activities. The results of this review are communicated to the Assistant Scientist verbally and in writing, with a copy to the Deputy Director and VP for Research. At least six months before the end of the four-year term appointment, the Chair will initiate the process of considering promotion to Associate Scientist without tenure, in consultation with the Associate and Senior Scientists of the candidate's Department. The Chair will discuss the results of the Department's deliberations with the candidate. If the Department or candidate desires to proceed with preparation of the file, the candidate is asked to provide names of individuals familiar with his or her research, and to consent to the solicitation of confidential opinions about his or her work.

## ***Associate Scientist***

Appointment as Associate Scientist may be given to an individual who has demonstrated the qualities of superior achievement expected of an established and independent research scientist. These qualities include: the capacity to identify significant and relevant research questions; the ability to formulate and carry out research to answer these questions and to sustain a viable, externally funded program; the ability to exercise superior judgment and discrimination in the interpretation of research results; the motivation to present the results of this research to the judgment of others through lectures, publications and papers; and finally, the recognition of the excellence of research as demonstrated by a national reputation. Associate Scientists are expected to pursue independent research, although this may involve collaboration with other scientists. They are expected to take an active interest in the welfare of the Institution by such activities as the preparation of research proposals, participation in Department or Center affairs, participation in Education programs, service on Institution and national committees, and providing assistance and advice to their colleagues.

Appointment to Associate Scientist occurs via response to a national advertisement or by promotion from Assistant Scientist at any time prior to completion of the initial 4- year term (but almost always near its conclusion). Appointment or promotion to Associate Scientist is normally for a 4- year term, except in certain circumstances when the President and Director may approve a 5-year term. This, and Associate with Tenure, are both 'up or out' promotion steps, and failed candidates will normally leave the Institution.

When required to meet extenuating personal circumstances that could seriously inhibit professional productivity (e.g., disability of the employee, family illness requiring extended care, child rearing or bearing, or dependent parent care), with a timely written request via the Department Chair to the Deputy Director and VP for Research, the term can be extended ("stopping the clock") for up to 12 months (or longer, if legally required as a reasonable accommodation for a disability or to comply with other legal requirements). Using this option does not eliminate the possibility of a Staff member being considered for promotion at any time during the term of appointment. [See 'stopping the clock' in [Navigating the Tenure Track Handbook](#)]

## ***Associate Scientist without Tenure***

To initiate the process for promotion to this position, the relevant Department Chair or Center Director, with the approval of the Deputy Director and VP for Research, forms an internal Ad Hoc Review Committee to consider and prepare the case for promotion. This occurs at least six months prior to the end of the Assistant Scientist's appointment. The Chair of the Ad Hoc Review Committee is from a Department other than the candidate's, and other members consist of the candidate's Department Chair (ex officio) and three others. The Committee is selected by the Department Chair in consultation with the Deputy Director and VP for Research. The chair of the Committee should not have had a prior supervisory or working relationship with the candidate. The Ad Hoc Review Committee solicits letters from outside reviewers, interviews Associate and Senior Scientists in the candidate's Department, and prepares the file. Its Chair presents the case to Staff Council, which advises the President and Director whose decision is final.

The file for Associate Scientist without Tenure comprises an updated curriculum vitae; the candidate's personal research statement (normally four page maximum) and copies of five recent publications; letters from at least six external referees; a statement from the Dean or Associate Dean about the candidate's participation in the Institution's Education Programs; and, in the cases of promotion, the report from the chair of the internal *Ad Hoc* Review Committee. This report should include comments received in interviews of Associate and Senior Scientists in the candidate's Department as well as a summary of the external reviewers' comments. External and internal reviewers should not be identified by name in this memo, but listed on a separate key. In the case of appointment, letters from internal reviewers are included in the file, and internal reviewers may not read external letters prior to writing their own in order to prevent undue bias. The letters from external reviewers are a very significant element of the file. At this stage in the candidate's career they address the significance and influence of the candidate's research, demonstrated independence and originality, judgment and discrimination in interpreting results, comparison to peers, promise for future growth, and likelihood of promotion (or appointment) if at the reviewer's institution. The relevant Chair should provide a written assessment of the sustainability of the candidate's research program, taking into account funding history and future prospects. Information on funding is available only to the ad hoc Chair and to members of Staff Council and not to external referees, or other WHOI staff (including other ad hoc committee members).

If at any point in the promotion process prior to a vote in Staff Council, the Department, Chair, or Deputy Director and VP for Research believe that the promotion or appointment should not proceed, the Chair, in consultation with the Deputy Director and VP for Research, will discuss the situation with the candidate. The candidate may then elect either to withdraw the file or have the process continue as normal.

If promotion or appointment is recommended by the President and Director, the Department Chair will communicate recommendations resulting from the Ad Hoc Review Committee and Staff Council discussion to the candidate verbally and in writing, with a copy to the Deputy Director and VP for Research. If promotion is not approved, the Department Chair and Deputy Director and VP for Research will meet with the candidate and discuss the decision. The unsuccessful candidate's appointment will usually be extended a reasonable amount of time, normally up to a year, to allow relocation. Individuals who withdraw their files will normally receive similar extensions.

An Associate Scientist without Tenure meets with his/her mentoring committee, consisting of the Department Chair and members of the Scientific Staff familiar with the individual's research, mid-way through the individual's term (at a minimum), to review progress and provide feedback on the individual's research record and other activities. The results of the review are communicated to the Associate Scientist verbally and in writing, with a copy to the Deputy Director and VP for Research. Approximately twelve months before the end of the four-year term appointment, the Chair will initiate the process of considering promotion to Associate Scientist with Tenure, in consultation with the tenured scientists of the candidate's department.

The Chair will discuss the results of the Department's deliberations with the candidate. If the Department or candidate desires to proceed with preparation of the file, the candidate is asked to provide names of individuals familiar with his or her research, and to consent to the solicitation of confidential opinions about his or her work.

## ***Associate Scientist with Tenure***

A tenure decision is made prior to the completion of the four-year term of an Associate Scientist, and for all appointments from outside the Institution's Scientific Staff at the tenured Associate Scientist or Senior Scientist level. The fundamental criterion for granting tenure, whether for a promotion or new hire, is strong evidence that the candidate is recognized at an international level as an expert in his or her field of research, and has provided significant contributions and influence to the development of that field. Such evidence would normally include publications that demonstrate the central role of the candidate, letters from national and international experts that attest to the importance of the candidate's research, and other evidence of innovation, scholarship, integrity and scientific leadership as appropriate to the circumstances.

The transition from a term appointment to tenure implies a significant commitment by the Institution to support the candidate's position and his/her research. Tenure assures a continued appointment on the Scientific Staff until retirement, except in situations described below under Termination of Appointment. Tenure formalizes the Institution's confidence in the person's professional qualities, scientific judgment and ability to sustain a research program, and thus the appointment and promotion process is commensurately rigorous. Tenured scientists are expected to maintain conscientious and consistent efforts to obtain funding for their salary and research expenses.

The tenure process in the case of appointment is initiated by the Department Chair or Center Director once an external candidate has been selected by the Department. In the case of promotion, the process begins at any time during the Associate Scientist's term, but typically twelve months before its completion. A tenure decision involves a three-step review process: 1) Department deliberations and vote of the tenured staff; 2) presentation, discussion and vote on the file at Staff Council; 3) an External Ad Hoc Review Committee of prominent scientists familiar with the field of the candidate's research.

The process starts with consultation between the Chair and tenured members of the Department; normally this should occur approximately 12 months before the completion of an Associate Scientist's term. The Chair will discuss the results of the Department's deliberations with the candidate. If the Department or the candidate desires to proceed with preparation of the file, the candidate is asked to provide names of individuals familiar with his or her research, and to consent to the solicitation of confidential opinions about his or her work.

The Department Chair then assembles the candidate's updated curriculum vitae, research statement (usually five page maximum) and copies of approximately five recent papers, and obtains written opinions from at least six outside national and international scientists expert in the candidate's field. The Chair circulates the file (not including the outside letters) to, and obtains written evaluations of the candidate's research from the tenured members of the Department, and/or other WHOI Departments who are familiar with the candidate's research. Written comments on the candidate's participation in education from the Dean or Associate Dean are also obtained. The outside letters, which weigh heavily in the evaluation, should address the importance of the research questions the candidate is addressing, the quality of his or her research and its impact on the field, the candidate's ranking with peers and national standing, external impact of participation in education, and qualification for tenure at the reviewer's institution. The Department Chair meets with the tenured staff to review the complete file (including the outside letters and

internal memos). The Department Chair then prepares a written memorandum to Staff Council summarizing the case and recommending for or against tenure, stating the reasons for both majority and any dissenting opinions. Neither external nor internal reviewers should be identified by name in this memo, but listed on a separate key. The Chair's memo should include, on a separate sheet, an assessment of the sustainability of the candidate's research program, taking into account funding history and future prospects. Information on funding is available only to members of Staff Council and not to external referees, external Ad-Hoc Review Committee members, or other WHOI staff.

If at any point in the promotion to tenure process, the Department or the Chair determines it should not proceed, the Chair, in consultation with the Deputy Director and VP for Research, will discuss the reasons with the candidate. The candidate may then elect either to withdraw the file or to have the process completed.

Based upon the discussions and vote at Staff Council, the President and Director will decide whether or not to proceed with an external *Ad Hoc* Review Committee. This Committee consists of four to five scientists from other institutions, who have not written tenure recommendation letters about the candidate. They will review the file that was presented at Staff Council (except for funding information) and meet off-campus with the President and Director, Deputy Director and VP for Research, and Department Chair to discuss in depth the candidate's contributions and qualifications. At the conclusion of the discussion, the committee members are asked whether they would vote for or against tenure (or nearest equivalent) for the candidate at their institution, and whether they would recommend for or against tenure at WHOI. The Department Chair, with input from the President and Director and Deputy Director and VP for Research, prepares a detailed written summary of these deliberations and adds it to the file. Members of the Ad Hoc Review Committee should not be identified in the summary, but only on a separate key. If new information has been brought forward at the external Ad Hoc Review Committee meeting, the Chair, in exceptional circumstances, may elect to review the information with tenured members of the Department, preserving the confidentiality of the names of committee members. The Chair may then add an additional memorandum to the file summarizing the Department's response to the new evidence introduced at the external Ad Hoc meeting. The President and Director may also obtain additional information and advice from internal or external sources if necessary.

Once the promotion or appointment is approved by the President and Director, the Department Chair will communicate recommendations resulting from the Ad Hoc Review Committee and Staff Council discussion to the candidate verbally, followed by a letter generated by Human Resources. If promotion or appointment is not approved, the Department Chair and Deputy Director and VP for Research will meet with the candidate and discuss the decision. The unsuccessful candidate's appointment will usually be extended a reasonable amount of time, normally up to a year, to allow relocation. Individuals who withdraw their files will normally receive similar extensions. A candidate who was denied tenure is not automatically excluded from applying for future openings at the Institution, although this would be unusual.

## **Senior Scientist**

The criteria for Senior Scientist status include continued excellence in scientific research sustaining a respected and outstanding international reputation. A Senior Scientist is expected to initiate, support and conduct independent research and also provide leadership, influence and advice that help promote the highest scientific standards and results within the Institution and the field, and contribute to the professional development of junior staff. Senior Scientists are expected to maintain a close liaison with their Department Chair to aid and assist the Chair in planning the future development of the Department, to serve on national and international science planning and evaluation committees, and to both serve on and chair Institution committees.

Consideration for promotion to Senior Scientist usually occurs between four and eight years after tenure. The process can be initiated by the Department Chair at any time following tenure (usually following an annual discussion of nominations with the departmental Senior Scientists), or it can be requested by the Associate Scientist candidate after he or she has been tenured for at least four years (or four years after a previous failed Senior Scientist promotion review). If an Associate Scientist has not been considered for promotion by the end of the eighth year after tenure, the Department Chair will explain the circumstances in writing to the candidate and Deputy Director and VP for Research.

The file for Senior Scientist consists of an updated curriculum vitae, research statement (normally five page maximum) and usually five recent publications, independent written opinions from Institution Senior Scientists who are familiar with the candidate's research and from the Dean or Associate Dean, letters from at least six knowledgeable outside scientists, at least three of whom did not provide letters for the appointment or promotion to Associate Scientist with Tenure. The reference letters for Senior Scientist appointments should address the candidate's research contributions, international standing, the leadership and influence of his or her work, participation in national and international programs, editorship or similar duties, concern for the scientific and educational vitality of the Institution and the field, participation in Department and Institution affairs, and involvement in the professional development of junior staff and/or students. As for the process for tenure, written opinions from Institution Senior Scientists are based on a file which does not include the outside letters. Prior to the Department Chair's recommendation, he or she meets with the Department's Senior Scientists to review the complete file (including the external letters and internal memos). The Chair then prepares a cover memo with a summary of the case and his or her recommendation. Neither external nor internal reviewers should be identified by name in this memo, but listed on a separate key. The memo should include an assessment of the sustainability of the candidate's research program, taking into account funding history and future prospects. Information on funding is available only to members of Staff Council and not to external reviewers or other WHOI staff.

For promotion from tenured Associate Scientist, the Department Chair presents the case to Staff Council, which advises the President and Director. The resulting decision of the President and Director is final. For outside appointments as Senior Scientist, tenure procedures also are followed (i.e., an external Ad Hoc Review Committee is convened).

## ***Termination of Appointments***

Term appointments and tenure can be terminated by the Institution either (1) for cause as determined by the Institution, such as serious personal misconduct or serious lack of performance or (2) due to Institution financial exigency. Term appointments or tenure may also be terminated due to retirement, resignation, or expiration of term.

In cases of termination for cause, the Deputy Director and VP for Research prepares a document for discussion by Staff Council. The President and Director, upon the advice and recommendation of Staff Council, recommends to the Executive Committee of the Board of Trustees that an individual's appointment be terminated. The individual concerned is notified in writing of the reasons for termination, and is given a period of 2 weeks to request an appeal. If an appeal is requested, the individual is given 1 month to prepare. The individual shall have the right to have personal counsel present for advice. The individual will also have the right to confront witnesses and to call witnesses on his or her own behalf. A hearing will be conducted by the Executive Committee or at least 3 members of the Executive Committee who shall have authority to act for the Executive Committee. A record of the hearing shall be kept by the Clerk of the Corporation and a copy of it, together with a written statement of the decision of the Executive Committee, shall be provided to the individual concerned. The determination of the Executive Committee and the conduct of the hearing (within these guidelines) shall be subject to the exclusive discretion of the Executive Committee, including the right to limit the involvement of personal counsel to the provision of advice. The action of a majority of the Executive Committee shall be final.

It is the policy of the Institution to support its Scientific Staff when necessary through the use of income from endowment, and other available resources. The Institution will continue to make salary continuance support the top priority when making decisions about the use of funds. In the case of financial exigency, the Institution's Administration, in conjunction with the Board of Trustees, will determine how the available resources will be used to maintain the health and effectiveness of the Institution.

After consideration of all reasonable alternatives to avoid terminating a tenured appointment because of financial exigency, the Institution will give as much advance notice of such termination as is reasonable under the circumstances.

## **Technical Staff and Departmental Assistants**

Although the Scientific Staff at WHOI takes the lead in formulating hypotheses and originating and obtaining funding for research projects, implementation of the projects is a team effort between the scientists and the Technical Staff and Departmental Assistants. Members of both groups are expected to be highly skilled and innovative. At more senior levels they operate with considerable independence, and are responsible for both the development and the implementation of the techniques that make the research possible at sea and in the laboratory.

Oceanography requires a wide range of skills. To provide for the diversity of training and experience required by the many different skill types, WHOI has three technical career paths: Science/Research, Engineering, and Information Systems. (see Appendix 5 – Technical Career Paths). As noted above, members of both staffs on all three paths are expected to have superior competence and to be committed to continuing growth of their skills. The existence of career paths is not meant to assure employees of promotions or continued employment with WHOI. Promotion is a function of qualification, performance, and position responsibilities. There are many similarities among the three career paths and associated appointment and promotion procedures. These are described below. The particular qualifications for each path are outlined in the following sections.

## **Ladders**

There are two complete career ladders, Technical Staff (exempt) and Departmental Assistant (non-exempt) for each career path. (see Appendix 5 – Technical Career Paths)

### **There are three basic categories of positions on the Technical Staff:**

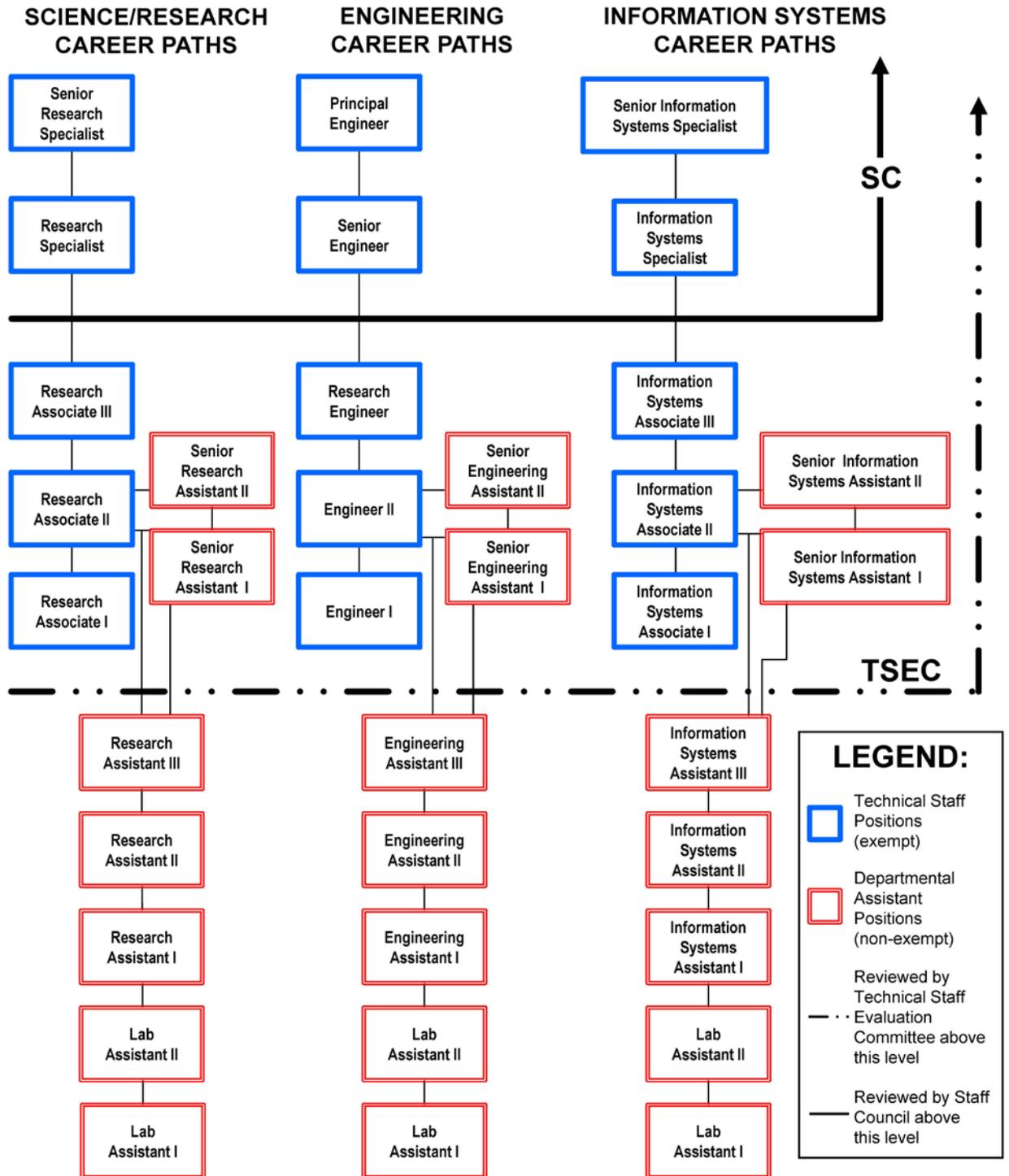
1. Research Associate I, Information Systems Associate I, or Engineer I are entry level positions for jobs that require professional competence, independence, and creativity in relevant skills in the laboratory or field. Research Associate II, Information Systems Associate II, and Engineer II are positions where competence, independence, and creativity have been demonstrated in relevant skills in the laboratory or field. Research Associate III, Information Systems Associate III, and Research Engineers, are positions where superior competence, independence, and creativity have been demonstrated in relevant skills in the laboratory or field. At this professional level, individuals are expected to undertake demanding professional assignments with minimum supervision; to exercise innovativeness in design, interpretation or implementation; and to have motivation for continued renewal and development of their professional skills. They are expected to represent the scientists or senior technical staff with whom they are associated at poster sessions and symposia, and to author or co-author technical reports or similar material documenting their accomplishments. Associates and Engineers are usually responsible to members of the Scientific Staff or to more senior members of the Technical Staff.
2. Research Specialists or Information System Specialists or Senior Engineers demonstrate unusual ability in applying their professional skills to engineering, information systems, scientific, or policy problems. At this level individuals must have a documented record of superior individual accomplishment in the form of patents, publications, or thoroughly documented hardware or software which provides objective evidence of original professional contributions. They also are expected to take an active interest in the welfare of the Institution by such activities as participation in Department or Center affairs and service on Institution and national committees. Individuals at this level usually report directly to a Department Chair, Center Director, or a designated Senior Scientist. They are authorized to prepare and submit proposals as Principal Investigators, although these projects must be closely linked to ongoing or proposed efforts of the Scientific Staff.
3. Senior Research Specialists or Information Systems Specialists or Principal Engineers must have demonstrated unusual originality and professional accomplishment. They must have made, and be expected to continue to make, significant contributions to the advancement of their profession and oceanography and to have an international reputation for excellence and leadership, parallel in their own discipline to that expected of Senior Scientists. Senior Research Specialists, Senior Information Systems Specialists, and Principal Engineers are responsible to the Department Chair or Center Director, and are expected to play a significant role managing projects and people, staff and students, participating on national and Institution committees and providing assistance and advice to their colleagues. They may pursue independent technical, policy, or engineering projects and submit proposals as Principal Investigators.

**Similarly there are three basic categories on the Departmental Assistant ladder:**

1. Laboratory Assistants I and II perform assigned duties within the research programs which require little or no specialized skill. The educational level expected is high school or equivalent (I) and some college (II). Many part-time (e.g., summer) or trainee positions are at this level.
2. Departmental Assistants I, II and III perform duties requiring specific training or experience. Specialized training, undergraduate education, or significant experience is required for these positions. As Assistants progress through their ladder, they are expected to develop leadership skills and to display innovativeness in developing and implementing operational, technical, and analytical techniques.
3. Senior Research, Information Systems, and Engineering Assistants I and II positions are reserved for those extremely experienced and skilled Assistants, who through substantial experience and consistently high performance have demonstrated a superior ability to perform their tasks. These individuals are responsible for training and supervising other Departmental Assistant staff, for management of groups and operations in the laboratory and at sea, and for performing highly skilled tasks without direct supervision.

**Technical Career Path Figure**

**Woods Hole Oceanographic Institution  
TECHNICAL CAREER PATHS**



## ***Promotion and Appointment Procedures for Technical Staff and Departmental Assistants***

As with the Scientific Staff and to maintain objectivity, appointments and promotions at all levels on all three career paths are based upon review of a confidential file. The file must provide documentary evidence of qualifications and performance appropriate to the level. The key is documentation; the nature and quantity of such documentation varies with the level of the position and the particular skills and tasks of the individual, but it must provide the means for objective evaluation by referees. Further, to maintain comparability among the three career paths, promotion files for Senior Departmental Assistants and all Technical Staff positions include a recommendation from the [Technical Staff Evaluation Council](#) and are seen or discussed by members of Staff Council. A streamlined appointment process has been implemented in an effort to reduce the time between selection of a candidate and offering a job to the candidate. It is detailed below.

All new hires (first-time appointments) to the Technical Staff and as a Senior Departmental Assistant are reviewed after one year. Should performance during this time be inadequate for the position, reclassification to a different position may occur, or termination of employment is possible. Also, in accordance with established Institution-wide policies, the employment of a Departmental Assistant or a member of the Technical Staff may be terminated in the discretion of the Institution. In the event of progressive discipline and/or involuntary termination, the procedures detailed in the Personnel Practices and Procedures manual will be used.

Because there is no guarantee of continuing employment for Departmental Assistants and members of the Technical Staff, every reasonable effort is made to enhance the broad applicability of their skill base. For this reason, appointments and promotions may be made only into established positions, and to perform functions required by the research programs of the Institution's Scientific and Senior Technical Staff. Promotions are made as a reflection of performance of tasks of increased proficiency and technical breadth, and with increased independence. The process is designed to maintain comparability in skill level across Departments and Centers to help with career and professional mobility.

### **Technical Staff Promotion Procedures**

For Research Associate I, II and III, Information Systems Associate I, II and III, Engineer I, II, and Research Engineer positions, the file consists of the candidate's curriculum vitae, statement of research and professional interests (normally 1-3 pages), a total of three letters from internal staff members and external reviewers familiar with the candidate's work (at least one must be external), and documentary evidence of the individual's accomplishments, including activities in education for those participating in the Institution's Education Program. Phone references may replace letters in special circumstances. All Technical Staff promotion files must be reviewed by the [Technical Staff Evaluation Council](#). With the written recommendation of TSEC and the Chair of the relevant Science Department (or Administrative Department or Center), the DHR/EEO officer signs off on the Authorization form and Human Resources communicates the decision to the Department. The file may be forwarded to the Deputy Director and VP for Research who may circulate it to the Department Chairs if further review and comment is considered necessary. After receiving comment, the Deputy Director and VP for Research acts on all the recommendations received to make a final decision on the file. See Appendix 2 -

## Procedure for Review of Promotion Files.

Files for Senior Engineer, Research Specialist, and Information Systems Specialist are similar in format to those at the more junior level. Objective proof of superior performance is essential. This includes a total of six letters (at least three of which must come from external reviewers) commenting on the candidate's professional skills and competence, the curriculum vitae, a statement of research and professional interests (maximum of three pages), the recommendations of TSEC and the Department Chair, Center Director, or Administrative Manager, and documentation of selected examples of the candidate's work. At this promotion level, the case is presented by the Department Chair, Center Director, or Administrative Manager to Staff Council at a formal meeting. The members vote on a recommendation for the Institution Director's decision.

Senior Research Specialist, Senior Information Systems Specialist, and Principal Engineer are at the top of the Technical Staff ladders. Files contain the curriculum vitae, research and professional interests statement (normally four page maximum), ten letters from senior external and internal reviewers, including a minimum of six from outside the Institution, the recommendations of TSEC and the Department Chair, Center Director, or Administrative Manager, and documentation of selected examples of the candidate's work. The file must provide objective proof, not only of superior performance, but also of the candidate's impact on research, information systems or engineering in oceanography. The Department Chair, Center Director, or Administrative Manager presents the case to Staff Council. Based upon the discussions and vote at the Staff Council meeting, the Institution's President and Director will decide whether or not to proceed with an Ad Hoc Review Committee consisting of 3-5 representatives of the Scientific and Senior Technical community (at least one external to the Institution), none of whom should have written letters for this file, yet all of whom should be familiar with the candidate's work and impact. They meet and discuss the case with the Institution's President and Director, Deputy Director and VP for Research, and Department Chair, Center Director, or Administrative Manager. The Institution's President and Director then makes a decision on the file, which is final. See Appendix 1a for a summary of requirements for promotion files.

## **Departmental Assistants Promotion Procedures**

From the Laboratory Assistant I through the Departmental Assistant II levels on all three non-exempt ladders, the file for promotion contains the employee's curriculum vitae/resume, three written from referees familiar with the candidate's work, a written memorandum from the hiring supervisor to the Department Chair (or Administrative Manager or Center Director), and an endorsement from the Chair (via his/her signature on the Authorization to Hire/Promote/Transfer). The file is reviewed by the Human Resources Director and the Equal Employment Opportunity (EEO) Officer, who act on the recommendation. Human Resources communicates the decision to the Department.

At the Department Assistant III level, the promotion file contains the same material as above, plus documentary evidence of the candidate's work in the form of papers, programs, or instrument or technique descriptions, and a short written statement of the candidate's career objectives (normally one page). After review and signature by the Human Resources Director and the EEO Officer, the promotion is finalized.

For Senior Departmental Assistant I and II positions, the promotion file contains the

candidate's curriculum vitae and statement of professional and career objectives (normally 1-3 pages), a total of three written from internal Technical and Scientific Staff members and external reviewers (at least one) familiar with his or her work, and documentary evidence of the candidate's accomplishments. All Senior Departmental Assistant files are reviewed by TSEC to evaluate technical credentials and help maintain comparability throughout the Institution. With the written recommendation of TSEC and the Chair of the relevant Department (or Administrative Department or Center), the file is forwarded to the Deputy Director and VP for Research who may solicit comments from the Department Chairs and EEO Office. The Deputy Director and VP for Research then acts on the recommendations or raises the file for discussion at a Staff Council meeting. See Appendix 2 - Procedure for Review of Promotion Files.

## **Appointment Process for Technical Staff and Departmental Assistants**

To initiate a search for an open position, the hiring supervisor must complete a Personnel Requisition and have it approved by the Department Chair (or Administrative Manager or Center Director) and others as appropriate. It is then forwarded to Human Resources for posting and, if appropriate, for advertising. At minimum the position will be posted on the www and sent to affirmative action outreach agencies and organizations. Paid advertising, however, is optional, and must be discussed with Human Resources as funding for such advertising is from the HR budget. Rarely, and only with the express consent of the Human Resources Director and the EEO Officer, a position may be posted exclusively internally. This would only be appropriate when extensive knowledge of the Institution is essential to the performance of the job.

Once application material is submitted by an applicant to Human Resources by normal means for a posted position, it is shared with the hiring supervisor or Chair of the search committee for review. Human Resources should be notified immediately of those applicants clearly not qualified for the position. The application materials of those applicants who appear to be qualified can be retained with the hiring supervisor until a final candidate is identified. Together these two groups comprise the pool of applicants that is annually reported for equal employment opportunity compliance by the EEO Officer. Once the final candidate is identified and has accepted the offer, all files must be returned to the Human Resources Office. HR will notify the unsuccessful applicants who were interviewed that they were not selected.

**Departmental Assistants:** The appointment process for Departmental Assistants (Laboratory Assistant I through Departmental Assistant III) other than the senior levels is the same as the promotion process. The file, which is prepared, should include the employment application.

**Senior Departmental Assistants and Technical Staff:** The appointment process becomes more complex for each step on the technical ladder. The process begins the same for each step, however, with the preparation of an appointment file for review. This file will not be reviewed by the entire TSEC, but must have a memo from the Chair of TSEC stating his/her recommendation regarding the candidate and the appropriateness of the position. The Chair of TSEC is particularly interested in the candidate's qualifications for the position (i.e., is the proposed title the correct one given the candidate's education, experience, recommendations, and documentation?). S/he will work with the supervisor and Department Chair (or Administrative Manager or Center Director) to reach agreement on the appropriate

position and will then email his/her final comments. Copies of the email will be sent to the Department/Center Administrator (or Administrative Manager), the hiring supervisor, the Deputy Director and VP for Research, the HR Director, and the EEO officer. The Chair of TSEC does not need to see the completed file in order to make his/her recommendation. A preliminary file can be sent while waiting for the completion of the appointment file. This file should contain, at a minimum:

- CV/resumé and completed application.
- A copy of the job posting.
- Statement from the supervisor about why this candidate was selected.
- As many reference letters or interview notes as are available.

It is recommended that the Chair of TSEC be seen as a resource that can be used throughout the hiring process, including writing the job posting and reviewing applications prior to making a final decision.

The complete appointment file for **Senior Departmental Assistants and Technical Staff** should contain the following:

- CV/Resumé and completed application.
- A copy of the job posting.
- Statement from the supervisor about why this candidate was selected. This should include some information about the people who were interviewed. If any were from underrepresented groups (women and minorities), it should include a statement explaining why they were not chosen.
- Recommendation from the Chair of TSEC.
- Professional references, either written, email, or by telephone. (Telephone references must be carefully recorded and for consistency, follow a prescribed form.)
- Personal Research Statement.
- Nepotism letter, if applicable. See [Employment of Members of the Same Household Policy](#).
- Other required information/documentation depending upon the level of the position. (See Appendix 1b for a summary of requirements for Appointment files.)

When the appointment file is ready, it is presented to the Department Chair (or Administrative Manager or Center Director) for approval, and a memo from him/her is added to the file. The file is then sent to the next level of approval, depending on the position:

**Group 1—Senior Departmental Assistants\* and the first level on the Technical Staff:** The files for these positions do not receive any further review after TSEC and go directly to Human Resources.

**Group 2 – Senior Technical Staff (Level 1) - Research Specialists, Information Systems Specialists, Senior Engineers:** Appointment files for Group 2 may be approved by the Staff Council via email, through file distribution by the Deputy Director and VP for Research. For those going to Staff Council (others in Group 2 and all of Group 3), the department must call the Executive Assistant to the Deputy Director and VP for Research to set the date that the file will be presented at Staff Council. As the Staff Council meetings are held only once or twice a month and the agenda is usually completed several months in advance, it is a good idea to call

for this date as soon as the candidate has been identified. The department submits via email an electronic copy of the formal file to the Deputy Director and VP for Research via the VP for Research Executive Assistant a minimum of three working days before the meeting.

**Group 3— Senior Technical Staff (Level 2) - Senior Research Specialists, Senior Information Systems Specialists, and Principal Engineers:**

Appointment files for Group 3 may be approved by the Staff Council via email through file distribution by the Deputy Director and VP for Research (VPR). Candidates for these positions must also be reviewed by an Ad hoc committee after the recommendation by Staff Council. This committee is made up of 3-5 senior people (at least one of whom must be from outside the Institution) with knowledge of the candidate's qualifications. The Ad hoc committee via the VPR will make a recommendation to the President and Director, who will make a decision, which is binding.

**Finish the Process for all Files:** For all positions, when the appropriate level of approval is obtained, the Authorization for Personnel Action form with salary recommendation and justification is sent to Human Resources (HR). HR will provide information to the VPR about the complete applicant pool and advertising. Salary data will be provided with relevant comments to aid the decision process of the VPR. The HR Manager will note areas of concern or sign off on the Authorization for Personnel Action form.

HR provides the file to the EEO Officer who will review it for Equal Employment Opportunity and Affirmative Action compliance. S/he may call the hiring supervisor if any questions arise. The EEO officer will note areas of concern or sign off on the Authorization for Personnel Action. This document is then sent electronically to the VPR.

Once the VPR has signed the Authorization form, it is sent electronically back to HR. HR will produce the offer letter, which is then sent electronically to the VPR for signature. When signed, it is returned to HR for mailing and distribution. HR will give the hiring supervisor the approved salary figure and s/he may call the applicant with an offer, stating that the formal letter will follow.

All staff hired under this procedure **must be reviewed** after 6 months in the position. The primary focus of this review will be to assess that the assignment to the position is appropriate. Reclassification to a more appropriate position is possible at this time. However, if performance is unsatisfactory, progressive discipline procedures or termination of employment should be initiated. The supervisor will prepare a memo that reviews the employee's performance during the first 6 months of employment. S/he will then discuss the memo with the Department Chair (or Administrative Manager or Center Director) and the Chair of TSEC. The results of this meeting and the supervisor's memo will be presented and discussed with the employee by the supervisor. A copy of the memo will be signed by the employee and sent to HR for inclusion in his/her personnel file.

<b>CONTACTS</b>	
<b>Position</b>	<b>Incumbent</b>
Deputy Director and VP for Research	Larry Madin, lmadin@whoi.edu, x2515
Executive Assistant to the Deputy Director & VP for Research	Ellen Bailey, ebailey@whoi.edu, x2519
HR Director & EEO Officer	Kathi Benjamin, kbenjamin@whoi.edu, x2705
Chair of TSEC	Alison Macdonald, amacdonald@whoi.edu, x3507
Employment Services Specialist	Shana Tyner, sthakur@whoi.edu, x2704

\***Senior Departmental Assistants** are Senior Research Assistants I and II, Senior Engineering Assistants I and II, Senior Information Systems Assistants I and II  
**Technical Staff Level 1:** Research Associates I, II & III, Engineers I, II & Research Engineers, Information Systems Associates I, II & III.

[section updated March 2016]

## ***Transfers***

The typical entry point for beginning technical employment at WHOI is at either a Departmental Assistant or a Technical Staff (Associate or Engineer) position on one of the ladders; Science/Research, Engineering, or Information Systems. There is a well-defined branch point from the Departmental Assistant (non-exempt) to Technical Staff (exempt) at the Departmental Assistant III level. Selection of exempt or non-exempt promotion paths beyond this point reflects the individual's career objectives, the Institution's view of his or her qualifications and performance, the Department or unit's need for responsibilities performed at the higher levels, and adherence with the Fair Labor Standards Act. However, transfers between the Senior Assistant I and II positions and the Technical Staff are possible. Transfers between Departmental Assistant and Technical Staff are handled in accordance with normal promotion procedures as described above.

Transfer from the Technical Staff to the Scientific Staff is possible if the individual's interests and qualifications are consistent with those of the Scientific Staff. The key motivation is the desire to conduct independent research and to accept the responsibilities of acquiring sources of funding, developing and managing a research team and laboratory, and routinely publishing results in the refereed literature. Transfers are made in accordance with Scientific Staff appointment and promotion procedures.

Transfer from the Scientific Staff to the Technical Staff also is supported if it is clearly in the interests of the individual and the Institution. Such action must be based upon a clear and explicit shift in the professional objectives of the individual. Such transfers require a file appropriate to the desired position, and a detailed statement of objectives by the candidate. The file is reviewed in accordance with Technical Staff appointment and promotion procedures.

## ***Science/Technical Career Path***

The following pages describe the job duties and minimum desired hiring qualification for positions on the scientific/research ladder. For details on individual job titles, please go to the WHOI website Human Resources page at <http://www.whoi.edu/HR/page.do?pid=20916>

Individuals in all positions must be able and willing to go to sea for extended periods if required.

### **Laboratory Assistant I**

With direct supervision, performs routine laboratory and clerical assignments.

#### **Characteristic Duties:**

- assists in collection and preparation of samples or data;
- maintains data records and performs other appropriate clerical functions.

#### **Desired Qualifications:**

High school diploma or equivalent.

### **Laboratory Assistant II**

Same as Laboratory Assistant I; difference is based on education and experience.

### **Research Assistant I**

With close supervision, uses established laboratory procedures to perform prescribed research tasks determined by field of study and scope of individual research project.

#### **Characteristic Duties:**

- assists in collecting project data as directed;
- prepares data or material for analysis or presentation using standard research techniques;
- processes and analyzes data according to established technical procedures;
- maintains records related to the research and/or research equipment.

#### **Desired Qualifications:**

Bachelor's degree, or Associate's degree in related field plus one year related experience, or High School diploma or equivalent plus three years' related experience.

### **Research Assistant II**

With some supervision, employs established laboratory procedures, standard equipment, and fundamental concepts to conduct research tasks determined by field of study and scope of individual research project.

#### **Characteristic Duties:**

- executes designated research tasks, making use of selected laboratory experiments, equipment, field work, library research, data acquisition and processing, statistical analyses or other investigative techniques;
- organizes and summarizes acquired data, using scientific and statistical techniques including computer programs;
- organizes and/or drafts material for the preparation of research papers, manuscripts, or other documents for publication and/or presentation;
- participates in the design of experiments or field work.

**Desired Qualifications:**

Bachelor's degree in related field, or Bachelor's degree in non-related field plus two years' related experience, or Associate's degree in related field plus three years' related experience, or High School diploma or equivalent plus five years' related experience.

**Research Assistant III**

With little supervision, applies a broad knowledge of laboratory principles, equipment, and procedures to the completion of moderately difficult assignments determined by field of study and scope of individual research project.

**Characteristic duties:**

- coordinates research projects, using selected laboratory experiments, equipment, field work, library research, data acquisition and processing, statistical analyses or other investigative techniques;
- organizes, interprets, and summarizes acquired data using scientific and statistical techniques including computer programs;
- assists in preparation of proposals, manuscripts or other documents for publication and/or presentation;
- participates in the design of experiments or fieldwork and may suggest modifications to current procedures;
- acts as information source on specific research techniques and trains others in technical procedures and equipment operation;
- may supervise the activities of other support staff.

**Desired Qualifications:**

Master's degree in related field, or Bachelor's degree in related field plus three years' related experience, or Bachelor's degree in nonrelated field plus five years' related experience, or Associate's degree in related field plus six years' related experience, or High School diploma or equivalent plus eight years' related experience.

**Senior Research Assistant I**

With minimum supervision, applies experience and a comprehensive understanding of the laboratory principles, equipment, and procedures to the completion of complex assignments as determined by field of study and scope of individual research project.

**Characteristic Duties:**

- coordinates research projects translating scientific ideas into working operation;

- exercises professional judgment and expertise in collection, interpretation, and processing of data and samples;
- assists in preparation of proposals, manuscripts, or other documents for publication and/or presentation;
- participates in the design of experiments or fieldwork including suggestion of additional tests or modification in current procedures;
- is current on specific research techniques and trains others in technical procedures and equipment operation;
- supervises work of other departmental assistants.

**Desired Qualifications:**

Considerable experience as Research Assistant; demonstrated ability to handle substantial set of responsibilities. Consistently exceptional performance and demonstrated record of reliable and timely task completion. Promotion to this rank typically reflects considerable experience at the Institution and a record of technical support of the highest quality.

**Senior Research Assistant II**

With minimum supervision, applies extensive experience and a comprehensive understanding of laboratory principles equipment, and procedures to the completion of complex assignments as determined by field of study and scope of individual research project.

**Characteristic Duties:**

- independently coordinates research projects translating scientific ideas into working operation;
- exercises extensive professional judgment and expertise in collection, interpretation, and processing of data and samples;
- assists in preparation of proposals, manuscripts, or other documents for publication and/or presentation;
- participates in the design of experiments or field work including suggestion of additional tests, modification in current procedures, and responsibility for outcome of work;
- is expert and current on specific research techniques and trains others in technical procedures and equipment operation;
- supervises work of other departmental assistants.

**Desired Qualifications:**

Substantial experience and consistently high performance as Senior Research Assistant I. This rank is reserved for those individuals who have demonstrated superior ability and leadership in handling complex sets of responsibilities. These individuals will often combine extensive experience in oceanography with a demonstrated ability to manage a complex technical support group.

## **Research Associate I**

This is an entry level position designed to encourage the connection and application of academic training to results-oriented projects in support of scientific and research activities. Initially this position will have direct supervision to achieve structured and assigned objectives.

### **Characteristic Duties:**

- analyzes field and laboratory experiments using prescribed techniques; may utilize and/or modify computer analysis tools;
- may make creative suggestions regarding adaptations or modifications to standard research and laboratory methods;
- participates in the preparation of scientific articles, reports or documentation of methods and procedures;
- may test and calibrate laboratory and scientific equipment, engage in literature searches, or assist with preparations for research cruises.

### **Desired Qualifications:**

Bachelor's degree in a specifically related field with minimal experience, or evidence of appropriate skills gained through experience in the absence of a formal degree. (Candidates with a Bachelor's degree and minimal experience in an unrelated field will likely start on the Department Assistant ladder.)

### **Career Potential:**

As an initial position on the Technical Ladder, a Research Associate I is not expected to remain at this level for more than two to three years. During this time, the Research Associate I is expected to demonstrate appropriate skills, intellectual motivation, and growth in independence and creativity to warrant promotion to the Research Associate II position. Failure to reach the level of Research Associate II within two to three years may warrant reclassification or termination.

## **Research Associate II**

With some supervision to achieve assigned objectives, identifies and participates in projects that support science and research activities through the demonstration of one or more specialized skills. Will be expected to work on tasks requiring creativity and independent thinking along with a proven understanding of fundamental research and science principles.

### **Characteristic Duties:**

- analyzes field and laboratory experiments to achieve stated goals; may do computer programming or computer network/systems support for research related tasks;
- exercises creativity regarding adaptations or modifications to standard research and laboratory methods;
- participates in the preparation of scientific articles, reports, research proposals, and documentation of methods and procedures. May engage in oral communication of the results of research endeavors;
- may be responsible for the testing, calibration, and troubleshooting of laboratory and scientific equipment, or for the planning and preparation for research cruises;
- may supervise other personnel.

**Desired Qualifications:**

Master's degree in a specifically related field with minimal relevant experience, or Bachelor's degree in a related field with several years of relevant experience, or demonstrated competency as a Research Associate I, or significant, progressive independence and skill development as a Research Assistant III, or Senior Research Assistant levels or equivalent positions on the other technical ladders, or equivalent experience in the absence of a formal degree. (Candidates with a Master's degree in an unrelated field and minimal relevant experience will likely start on the Department Assistant ladder.)

**Career Potential:**

A Research Associate II will have demonstrated initial competence in one or more specialized areas of science or research support. The opportunity exists for assumption of increased technical and/or managerial responsibilities based on the continued development of expertise. While there is no time limit to appointment at this rank, promotion within the Technical Staff is expected. To that end, promotion consideration can occur as early as the third year in rank; formal consideration should normally occur within five or six years in rank.

**Research Associate III**

With little supervision, works creatively and independently to establish objectives, meet deadlines, and complete difficult assignments by demonstrating full competency in one or more areas of scientific investigation; assists substantively in planning technical aspects of experiments as well as identifying and developing techniques and instrumentation for scientific investigation in the laboratory and/or the field.

**Characteristic Duties:**

- designs and analyzes field and laboratory experiments to achieve stated goals;
- exercises independent judgment and creativity in making adaptations or modifications to standard research and laboratory methods;
- assists in the preparation of scholarly papers and research proposals and demonstrates skill in communicating the results of the scientific endeavors;
- may prepare and produce independent writings of scientific endeavors;
- may supervise other technical staff personnel within the laboratory.

**Desired Qualifications:**

Ph.D. in a related field, or Master's in a related field with several years of relevant experience, or Bachelor's in a related field with more than five years of experience. In the absence of a formal degree, considerable equivalent work experience is required. Successful candidates will have demonstrated the technical skill, motivation, independence, and creativity necessary to complete difficult tasks.

**Career Potential:**

While there is no appropriate time limit for appointment at this rank, exceptional individuals will be promoted. Candidates should develop a mastery of specialized techniques or ingenuity and creativity in selecting and evaluating approaches to problems. They should develop the ability to apply an analytical approach to solutions and to assimilate the details and significance of various analyses, procedures, and tests prior to being considered for promotion.

## **Research Specialist**

With increased latitude for unreviewed activity and using a broad view of principles and practices in relevant laboratory or field projects, contributes substantially to the conception, organization, execution, management, and reporting of significant technological projects. A Research Specialist is recognized within the Institution as an authority in his/her field of specialization or in management of complex projects.

### **Characteristic Duties:**

- exercises technical responsibility for organizing, coordinating, executing, and interpreting required research to achieve stated scientific goals, including furthering the scientific discipline;
- fulfills all the characteristic duties appropriate to a Research Associate III, but with a broader view and understanding of the scientific principles in his/her specialized field;
- independently writes technical reports, papers, and research proposals and/or provides documentation of research results;
- may be responsible for supervising other personnel within the laboratory.
- may serve as a principal investigator, with full responsibility for proposal preparation, grant financial and management oversight, and the supervision of the staff necessary to support the grant activities;

### **Desired Qualifications:**

Appropriate academic background enhanced by more than 10 years of specifically related experience. All candidates must possess demonstrated excellence within a related field, i.e., a record of superior accomplishment--such as patents, publications, or documented instrumentation or systems--which provides objective evidence of original professional contributions and/or exceptional management skills.

### **Career Potential:**

There is no appropriate time limit at this rank. Exceptional individuals can be considered for promotion when they have demonstrated creativity and considerable independent scientific judgment, as well as a demonstrated effectiveness as a project and scientific manager. Recognition within the Institution and within the broader oceanographic community as an authority in the field, is normally a prerequisite for promotion.

## **Senior Research Specialist**

Recognized as a leader in the field by functioning as an independent researcher or manager. Has full responsibility for project tasks requiring application of management skills and authoritative knowledge of appropriate scientific principles and practices in the laboratory and/or field; uses and creates advanced techniques and instrumentation, and creates modifications and extensions of theories, precepts, and practices relevant to the field in which the incumbent is recognized as a leading authority, and/or provides management and superior leadership of a group of technical staff members.

### **Characteristic Duties:**

- exercises full technical and managerial responsibility for initiating, organizing, coordinating, executing, and interpreting required research to achieve stated scientific goals and furthering the scientific discipline;

- initiates and is responsible for independent writing of reports, research papers, and proposals, and/or provides documentation of research results;
- speaks for and represents the Institution's interests in high-level planning activities concerned with technical and research developments, externally to the Institution;
- operates as a laboratory head, unit head, or independent researcher with full supervisory and management responsibilities;
- through research endeavors and the preparation of research results and reports, contributes important techniques and designs that significantly impact the ways different aspects of ocean science are performed.

**Desired Qualifications:**

Appropriate academic background or its equivalent relevant work experience, enhanced by more than 15 years of increasingly successful and creative achievement. Candidates for this rank are recognized as leaders and authorities in their field through their original contributions. They must have had far-reaching impact on the scientific activities of the Institution and their field. They should have demonstrated high levels of creativity and independence (i.e., a record of superior accomplishment--such as patents, publications, or documented instrumentation--which provides objective evidence of original professional contributions) with foresight and judgment in planning, organizing, and guiding extensive and complex scientific projects.

## ***Engineering Technical Career Paths***

The following pages describe the job, duties, and minimum desired hiring qualifications for positions on the engineering ladder. Individuals in all positions must be willing and able to go to sea for extended periods if required.

### **Laboratory Assistant I and II**

Same as for Science/Research Technical Career Path.

### **Engineering Assistant I**

With close supervision, uses established procedures to perform prescribed tasks related to the engineering support of oceanographic research.

#### **Characteristic duties:**

- assists in assembly, maintenance, and repair of equipment with specific instructions and review of work upon completion;
- assists in functional testing of instrumentation following well-defined procedures for set-up and operation of standard test equipment.

#### **Desired Qualifications:**

High School or equivalent plus one year mechanical or electronics experience, or Technical School training beyond high school level. Applicants are expected to have a basic understanding of and facility with common practical skills related to their area of work.

### **Engineering Assistant II**

With some supervision, applies acquired knowledge of established procedures to the assembly, testing, and use of equipment in support of engineering projects related to oceanographic research.

#### **Characteristic duties:**

- assists in assembly, maintenance, and repair of equipment with instruction and advice; exercises judgment in selecting or adapting procedures and equipment;
- selects and operates standard test equipment, records test data, and performs routine analyses;
- conducts various tests or experiments to troubleshoot and correct minor malfunctions.

#### **Desired Qualifications:**

High School or equivalent plus three years' mechanical or electronics experience, or Technical School training plus one year related experience, or one to two years' progress toward an engineering or related degree.

## **Engineering Assistant III**

With little supervision, applies a broad knowledge of established procedures to the assembly, testing, or calibration of equipment developed and used in support of engineering projects related to oceanographic instrumentation.

### **Characteristic duties:**

- performs non-routine assignments of substantial variety and complexity given well-defined objectives and technical advice from a supervisor or engineering staff member;
- fabricates and constructs complex components of instrumentation requiring care and accuracy, seeking advice as necessary;
- uses computers to run application programs or to do simple programming tasks;
- uses CAD systems to prepare schematics, drawings, or parts lists; makes recommendations concerning these items;
- may direct field operations in area of specialty.

### **Desired Qualifications:**

High School diploma or equivalent plus six years' mechanical or electronics experience, or Technical School training plus four years' practical experience, or two to three years' progress toward an engineering or related degree.

## **Senior Engineering Assistant I**

With minimum supervision, applies experience and comprehensive understanding of related procedures and equipment to complex assignments in support of oceanographic engineering projects or facilities.

### **Characteristic duties:**

- with established guidelines, is responsible for planning, organizing, and conducting significant and often critical components of an engineering or scientific effort, particularly when field work is involved;
- fabricates and constructs complex instrumentation components requiring extraordinary care and accuracy;
- conducts tests and organizes engineering data, prepares reports of such tests, and makes recommendations for repairs or improvements;
- directs field operations in area of specialty and/or may supervise work of other departmental assistants.

### **Desired Qualifications:**

Considerable experience in specialized field; consistently exceptional performance and a demonstrated record of reliable and timely task completion; invaluable long-term experience at the Institution coupled with technical support of the highest quality as a critical team member.

## Senior Engineering Assistant II

With minimum supervision, applies extensive operational experience and a comprehensive understanding of related procedures and equipment to complex assignments in support of scientific or engineering projects or facilities related to oceanographic investigations.

### Characteristic duties:

- with established guidelines, is responsible for planning, organizing, and conducting significant and often critical components of an engineering or scientific effort, particularly when field operations are involved;
- supervises other technicians in the construction, testing, maintenance, and/or use of an operational suite of oceanographic equipment or instrumentation;
- conducts tests and organizes engineering data, prepares reports of such tests and makes recommendations for repairs or improvements;
- directs field operations in area of specialty.

### Desired Qualifications:

Substantial experience in specialized field; consistently exceptional performance and a demonstrated superior record of reliable and timely task completion where direction of a team effort is required. Individuals at this level often combine invaluable experience in oceanography and the ability to manage a technical support group with a focus on quality and function as an operational resource.

## Engineer I

This is an entry level position designed to encourage the connection and application of academic training to results-oriented projects in support of scientific and research activities. Initially this position will have direct supervision to achieve structured and assigned objectives. Characteristic Duties:

- applies basic research principles and standard laboratory instrumentation to engineering design efforts;
- tests designs, calibrates instrumentation, troubleshoots mechanical/electronic systems;
- develops computer code, microprocessor code, and uses CAD, CAE tools;
- participates in report writing to document instrumentation developments and tests;
- develops basic practical engineering skills to enhance technical competence and versatility.

### Desired Qualifications:

Engineering degree or other appropriate discipline with minimal work experience, or evidence of an established, specialized engineering skill gained through experience in the absence of a formal degree. (Candidates with a Bachelor's degree and minimal experience in an unrelated field will likely start on the Department Assistant ladder.) Career Potential: As an initial position on the Technical Staff, an Engineer I is not expected to remain at this level for more than two to three years. During this time, the Engineer I is expected to demonstrate the appropriate engineering skills, intellectual motivation, and growth in independence and creativity to warrant

promotion to the Engineer II position. Failure to reach the level of Engineer II within two to three years may warrant reclassification or termination.

## **Engineer II**

With some supervision to achieve assigned objectives, identifies and participates in engineering projects in support of scientific and research activities through the demonstration of one or more specialized skills. Will be expected to work on tasks requiring creativity and independent thinking, along with a proven understanding of fundamental research and engineering principles.

### **Characteristic Duties:**

- conceptualizes solutions to engineering problems;
- develops, calibrates, and tests new designs and techniques;
- develops computer code, microprocessor code, and uses CAD, CAE tools;
- troubleshoots electronic/mechanical systems;
- participates in report writing to document developments and tests. May single-author reports and articles;
- may supervise other personnel.

### **Desired Qualifications:**

Master's degree in an engineering or appropriate field with minimal experience, or Bachelor's degree in engineering or appropriate field with several years of relevant experience, or demonstrated competency as an Engineer I, or significant, progressive independence and skill development at the Engineering Assistant III or Senior Engineering Assistant levels or equivalent positions on the other technical ladders, or equivalent work experience in the absence of a formal degree.

(Candidates with a Master's degree in an unrelated field and minimal relevant experience will likely start on the Department Assistant ladder.) Career Potential: An Engineer II will have demonstrated initial competence in one or more areas of engineering. The opportunity exists for assumption of increased technical and/or managerial responsibilities based on the continued development of expertise. While there is no time limit to appointment at this rank, promotion within the Technical Staff is expected. To that end, promotion consideration can occur as early as the third year in rank; formal consideration should normally occur within five or six years in rank.

## **Research Engineer**

With little supervision, works creatively and independently to establish objectives, meet deadlines, and complete difficult engineering assignments by demonstrating full competency in one or more engineering areas; assists substantively in planning technical aspects of experiments, as well as design, testing, and use of major system components.

### **Characteristic Duties:**

- develops major portions of electronic or mechanical systems with supervision consisting primarily of milestone progress reviews; frequently acts as Project Engineer on major projects;
- conducts hardware developments such as new sensor techniques, autonomous battery-powered instrumentation, control systems for manned

- and robotic submersibles, etc.;
- writes complex computer code for use in instrumentation, system modeling, and electronic design;
- develops new sampling methods involving complex mechanical, electrical, or electronic instrumentation;
- plays a significant role in report writing and proposal preparation and may single-author results;
- interacts with scientific and technical staff colleagues to foster research ideas, develop and hone research/experimental skills;
- may supervise one or more Engineering Assistants and/or Engineers.

**Desired Qualifications:**

Ph.D. in related engineering field, or Master's degree in an engineering or appropriate field with several years of related experience, or Bachelor's degree in an engineering or appropriate field with more than five years of related experience. In the absence of a formal degree, considerable equivalent work experience is required. Successful candidates will have demonstrated the technical skill, motivation, independence, and creativity necessary to complete difficult engineering tasks. Career Potential: While there is no appropriate time limit for appointment at this rank, exceptional individuals will be promoted. Candidates should develop a mastery of specialized techniques or ingenuity and creativity in selecting and evaluating approaches to problems. They should develop the ability to apply an analytical approach to solutions and to assimilate the details and significance of various analyses, procedures, and tests prior to being considered for promotion.

**Senior Engineer**

With increased latitude for unreviewed activity and using a broad view of engineering technologies and their application to marine science, contributes substantially to the conception, organization, execution, management, and reporting of engineering significant technological projects. A Senior Engineer is recognized within the Institution as an authority in his/her field of specialization or in management of complex projects.

**Characteristic Duties:**

- develops major portions of electronic/mechanical systems without supervision;
- fulfills all the characteristic duties appropriate to a Research Engineer but with a broader view of engineering technologies and their applications to marine science, particularly in the role of a group or project leader;
- exercises substantial creativity, motivation, and independence in engineering project development;
- may serve as a principal investigator, with full responsibility for proposal preparation, grant financial and management oversight, and the supervision of the staff necessary to support the grant activities;
- produces research findings for publication and/or reports to funding agencies.

**Desired Qualifications:**

Appropriate academic background enhanced by more than 10 years of specifically related experience. All candidates must possess demonstrated excellence within a related field, i.e., a record of superior accomplishment--such as patents, publications, or documented instrumentation or systems--which provides objective evidence of original professional contributions and/or exceptional management skills.

**Career Potential:**

There is no appropriate time limit at this rank. Exceptional individuals can be considered for promotion when they have demonstrated creativity and considerable independent engineering and scientific judgment, as well as a demonstrated effectiveness as a project and engineering manager. Recognition within the Institution and within the broader oceanographic community as an authority in the field is normally a prerequisite for promotion.

**Principal Engineer**

Recognized as a leader in the field by functioning as an independent researcher or manager. Has full responsibility for project tasks requiring application of management skills and authoritative knowledge of appropriate underlying scientific principles and practices for engineering projects; uses and creates advanced techniques and, instrumentation, and creates modifications and extensions of theories, precepts, and practices relevant to the field in which the incumbent is recognized as a leading authority, and/or provides management and superior leadership of a group of technical staff members.

**Characteristic Duties:**

- has full technical and managerial responsibility for evaluating, organizing, and coordinating major technical efforts as a direct requirement of a scientific project and for key technological developments for future investigations;
- participates at the highest Institution level for the development of overall scientific strategies, the identification of areas for technological emphasis, and the formulation of experimental techniques;
- speaks for and represents the Institution's interests in high-level planning activities concerned with technological developments, externally to the Institution;
- operates as a laboratory head, unit head, or independent researcher, with full supervisory and management responsibilities;
- through research endeavors and the preparation of research results and reports, contributes patentable inventions, important research techniques, and/or engineering designs that significantly impact the ways different aspects of ocean science are studied.

**Desired Qualifications:**

Appropriate academic background or its equivalent relevant work experience, enhanced by more than 15 years of increasingly successful and creative achievement. Candidates for this rank are recognized as leaders and authorities in their field through their original contributions. They must have had far-reaching impact on the scientific activities of the Institution and their field. They should have demonstrated high levels of creativity and independence (i.e., a record of superior accomplishment--such as patents, publications, or documented instrumentation-- which provides objective evidence of original professional contributions) with foresight and judgment in planning, organizing, and guiding extensive and complex engineering projects.

## ***Information Systems Technical Career Paths***

Within the Information Systems Career Path, there are currently six major areas of specialization, intended to represent the primary work concentration for any one position. These specializations are:

- Computer and Communications Systems
- Computer Operations
- Network Engineering
- Programming/Analysis
- Systems Programming
- Library Systems

It is highly likely that positions within this career path have responsibilities that overlap with two or more of the specializations. When classifying the positions, every effort will be made to reflect the most dominant set of job duties in designating the area of specialization.

The following pages describe the job, duties, and minimum desired hiring qualifications for positions on the Information Systems Ladder. Individuals in all positions must be willing and able to go to sea for extended periods if required.

### **Laboratory Assistant I and II**

Same as for Science/Research Technical Career Path.

### **Information Systems Assistant I**

With close supervision, uses established procedures to perform prescribed tasks related to information or library systems of oceanographic research.

#### **Characteristic Duties:**

- assists in support, installation, operation, or repair of computer, data communication, or peripheral equipment with specific instructions and review of work upon completion;
- may assist in daily operation of a library unit.

#### **Desired Qualifications:**

High School or equivalent plus one year experience, or Technical School training beyond high school level. Applicants are expected to have a basic understanding of and facility with common practical skills related to their area of work.

### **Information Systems Assistant II**

With some supervision, applies acquired knowledge of established procedures to perform the prescribed tasks related to information or library systems support of oceanographic research.

**Characteristic Duties:**

- assists in support, installation, operation, documentation, or repair of computer, data communication, or peripheral equipment with instruction and advice; exercises judgment in selecting or adapting procedures and equipment;
- re-configures hardware and software systems when necessary, documenting significant activities in the form of corrective maintenance reports, operating manuals, etc.;
- conducts various tests or experiments to troubleshoot and correct minor malfunctions;
- may perform routine library operational tasks.

**Desired Qualifications:**

High School or equivalent plus three years' experience, or Technical School training plus one year related experience, or one to two years' progress toward a computer science or related degree.

**Information Systems Assistant III**

With little supervision, applies a broad knowledge of established procedures to perform the established tasks related to information or library systems support of oceanographic research.

**Characteristic Duties:**

- performs non-routine assignments of substantial variety and complexity given well-defined objectives and technical advice from a supervisor or Information Systems staff member;
- may serve as a source of information on established library policies and procedures;
- supports, installs, programs, documents, maintains, or operates computers, data communications, or peripheral equipment;
- may direct field operations in area of specialization and/or may supervise work of other assistants.

**Desired Qualifications:**

High School or equivalent plus six years' experience, or Technical School training plus four years' practical experience, or two to three years' progress toward a computer science or related degree.

**Senior Information Systems Assistant I**

With minimum supervision, applies experience and a comprehensive understanding of related procedures and equipment to computer or library assignments in support of information or library systems projects or facilities related to oceanographic investigations.

- with established guidelines, is responsible for planning, organizing, and conducting significant and often critical components of an information systems or scientific effort;

- directs field operations in area of specialization and/or may supervise work of other assistants;
- supports, installs, programs, documents, maintains, or operates computers, data communications, or peripheral equipment.

**Desired Qualifications:**

Considerable experience in specialized field; consistently exceptional performance and a demonstrated record of reliable and timely task completion; invaluable long-term experience at the Institution coupled with technical support of the highest quality.

**Senior Information Systems Assistant II**

With minimum supervision, applies extensive experience and a comprehensive understanding of related procedures and equipment to complex assignments in support of information or library systems projects or facilities related to oceanographic investigations.

**Characteristic Duties:**

- with established guidelines, is responsible for planning, organizing, and conducting significant and often critical components of an information systems of scientific effort;
- directs field operations in area of specialty and/or may supervise work of other assistants;
- supports, installs, programs, documents, maintains, or operates computers, data communications, or peripheral equipment.

**Desired Qualifications:**

Substantial experience as a Senior Information Systems Assistant I; consistently exceptional performance and a demonstrated superior record of reliable and timely task completion where direction of a team effort is required. Individuals at this level often combine invaluable experience and the ability to manage a support group with a focus on quality, and function as an operational resource.

**Information Systems Associate I**

This is an entry level position designed to encourage the connection and application of academic training to results-oriented projects in support of scientific and research or business activities. Initially this position will have direct supervision to achieve structured and assigned objectives.

**Characteristic Duties:**

- through the use of standard computing, library, and information systems practices and principles, participates in library or information systems applications design and implementation efforts;
- designs, programs, modifies, implements, installs, or maintains component, computing, communication, library, operating or application systems as appropriate;
- participates in writing of reports and documentation of methods and

- procedures;
- develops basic practical information or library system skills.

**Desired Qualifications:**

Bachelor's degree in a specifically related field with minimal experience, or evidence of appropriate computer skills gained through experience in the absence of a formal degree. (Candidates with a Bachelor's degree and minimal experience in an unrelated field will likely start on the Department Assistant ladder.) Career Potential: As an initial position on the Technical Ladder, a Information Systems Associate I is not expected to remain at this level for more than two to three years. During this time, the Information Systems Associate I is expected to demonstrate appropriate skills, intellectual motivation, and growth in independence and creativity to warrant promotion to the Information Systems Associate II position. Failure to reach the level of Information Systems Associate II within two to three years may warrant reclassification or termination.

**Information Systems Associate II**

With some supervision to achieve assigned objectives, identifies and participates in projects that support science, research or business activities through the demonstration of one or more specialized skills. Will be expected to work on tasks requiring creativity and independent thinking along with a proven understanding of fundamental research and computer principles. Characteristic Duties:

- conceptualize solutions to information or library systems problems;
- analyze, design, program, modify, implement, install, maintain, or troubleshoot difficult component, library, computer, communication, operating system, or information system applications as appropriate;
- exercises creativity regarding adaptations or modifications to information or library systems;
- participates in writing of reports and documentation and may single-author results;
- may engage in oral communication to describe functions of information or library systems or services;
- may supervise other personnel.

**Desired Qualifications:**

Master's degree in a specifically related field with minimal experience, or Bachelor's degree in a related field with several years of relevant experience, or demonstrated competency as an Information Systems Associate I, or significant, progressive independence and skill development at the Information Systems Assistant III or Senior Information Systems Assistant levels or equivalent positions on the other technical ladders, or equivalent work experience in the absence of a formal degree. (Candidates with a Master's degree in an unrelated field and minimal relevant experience will likely start on the Department Assistant ladder.) Career Potential: An Information Systems Associate II will have demonstrated initial competence in one or more specialized areas of computer or research support. The opportunity exists for assumption of increased technical and/or managerial responsibilities based on the continued development of expertise. While there is no time limit to appointment at this rank, promotion within the Technical Staff is expected. To that end, promotion consideration can occur as early as the third year in rank; formal consideration should normally occur within five or six years in rank.

## **Information Systems Associate III**

With little supervision, works creatively and independently to establish objectives, meet deadlines, and complete difficult assignments by demonstrating full competency in one or more areas of computer and information systems; assists substantively in planning technical aspects of projects as well as identifying and developing appropriate techniques and computer solutions for scientific investigation and business systems development.

### **Characteristic Duties:**

- develops a major portion of the solutions for complex information or library systems, with supervision consisting primarily of milestone progress reviews;
- conducts analysis or design of new approaches to solve complex information system problems requiring broad knowledge of information or library system fields;
- plays a significant role in report writing or proposal preparation and may single author results as appropriate;
- interact with Scientific and Technical Staff colleagues for utilization of information or library systems expertise in the solution of research and engineering problems;
- may supervise other personnel or may operate as independent researcher.

### **Desired Qualifications:**

Ph.D. in a related field, or Master's in a related field with several years of relevant experience, or Bachelor's in a related field with more than five years of experience. In the absence of a formal degree, considerable equivalent work experience is required. Successful candidates will have demonstrated the technical skill, motivation, independence, and creativity necessary to complete difficult tasks. Career Potential: While there is no appropriate time limit for appointment at this rank, exceptional individuals will be promoted. Candidates should develop a mastery of specialized techniques or ingenuity and creativity in selecting and evaluating approaches to problems. They should develop the ability to apply an analytical approach to solutions and to assimilate the details and significance of various analyses, procedures, and tests prior to being considered for promotion.

## **Information Systems Specialist**

With increased latitude for unreviewed activity and using a broad view of information systems technologies and their application to marine science and business systems, contributes substantially to the conception, organization, execution, management, and reporting of significant technological projects. An Information Systems Specialist is recognized within the Institution as an authority in his/her field of specialization or in management of complex projects.

### **Characteristic Duties:**

- develops major portions of large complex information systems which operate over a wide range of current technologies, without supervision;
- fulfills all the characteristic duties appropriate to an Information Systems Associate III, but with a broader view and understanding of information

- systems and their applications to and role in marine science;
- exercises substantial creativity, motivation, and independence in information systems project development;
- may serve as a principal investigator, with full responsibility for proposal preparation, grant financial and management oversight, and the supervision of the staff necessary to support the grant activities;
- produces research findings for publication and/or reports to funding agencies.

#### **Desired Qualifications:**

Appropriate academic background enhanced by more than 10 years of specifically related experience. All candidates must possess demonstrated excellence within a related field, i.e., a record of superior accomplishment--such as patents, publications, or documented instrumentation or systems--which provides objective evidence of original professional contributions and/or exceptional management skills. Career Potential: There is no appropriate time limit at this rank. Exceptional individuals can be considered for promotion when they have demonstrated creativity and considerable independent scientific judgment, as well as a demonstrated effectiveness as a project and scientific manager. Recognition within the Institution and within the broader oceanographic community as an authority in the field, is normally a prerequisite for promotion.

#### **Senior Information Systems Specialist**

Recognized as a leader in the field by functioning as an independent researcher or manager. Has full responsibility for project tasks requiring application of management skills and authoritative knowledge of appropriate underlying principles and practices for information systems projects; uses and creates advanced techniques and instrumentation, and creates modifications and extensions of theories, precepts, and practices relevant to the field in which the incumbent is recognized as a leading authority, and/or provides management and superior leadership of a group of technical staff members.

#### **Characteristic Duties:**

- has full technical and managerial responsibility for evaluating, organizing, and coordinating major information systems efforts as a direct requirement of a scientific project, as an independent project, or as a consequence of key technological developments;
- participates at the highest Institution level for the development of overall scientific or information system strategies, the identification of areas for information systems emphasis, and the formulation of information systems techniques and strategies;
- speaks for and represents the Institution's interests in high-level planning activities concerned with information system developments, externally to the Institution;
- operates as a laboratory head, unit head or independent researcher, with full supervisory and management responsibilities;
- through research endeavors, information system creation, and the preparation of research results and reports, contributes important techniques and designs that significantly impact the ways different aspects of ocean science are performed.

**Desired Qualifications:**

Appropriate academic background or its equivalent relevant work experience, enhanced by more than 15 years of increasingly successful and creative achievement. Candidates for this rank are recognized as leaders and authorities in their field through their original contributions. They must have had far-reaching impact on the scientific activities of the Institution and their field. They should have demonstrated high levels of creativity and independence (i.e., a record of superior accomplishment--such as patents, publications, or documented instrumentation--which provides objective evidence of original professional contributions) with foresight and judgment in planning, organizing, and guiding extensive and complex information systems projects.

## Postdoctoral Scholars, Fellows, and Investigators

A term appointment to the position of Postdoctoral Scholar, Fellow, or Investigator may be offered to an individual who has completed the requirements for a Ph.D. degree. The degree may or may not have been officially awarded; a letter from the individual's university asserting that he or she has completed all of the requirements for the degree is satisfactory for establishing eligibility for the position.

Each type of postdoctoral appointment has a slightly different selection and appointment procedure. An individual may hold different types of appointments in succession up to a maximum of four years of postdoctoral appointments. Extensions of appointments beyond four years may be granted in exceptional circumstances upon recommendation of the Department Chair or Marine Policy Center Director and approval of the Vice President for Academic Programs and Dean.

Postdoctoral Scholars are awarded Institution scholarship funds for independent research projects in collaboration with their advisor(s) for initial periods of one to two years.

Postdoctoral Fellows may be appointed in two types of categories: Postdoctoral Fellows supported by Institution scholarship funds, or Postdoctoral Fellows who have been competitively awarded national or international postdoctoral fellowships. In the latter category they will be appointed "(official name of award) - Postdoctoral Fellow at Woods Hole Oceanographic Institution". Postdoctoral Fellows undertake independent research in collaboration with their advisor(s).

Postdoctoral Investigators normally will be required to conduct research and studies in areas directly relevant to existing grants or contracts. Postdoctoral Investigator appointments normally are initially for one year, renewable for an additional year up to a maximum of four years of postdoctoral appointments. Employment as a Postdoctoral Investigator is at-will and can be terminated by either party. Extensions of appointments beyond four years may be granted in exceptional circumstances upon recommendation of the Department Chair or Marine Policy Center Director, and the approval of the Vice President for Academic Programs and Dean.

Postdoctoral Scholars and Fellows are competitively selected through advertisement and evaluation procedures approved by the Vice President for Academic Programs and Dean and are appointed by the Vice President for Academic Programs and Dean. (This process is considered equivalent, from the standpoint of equal employment opportunity, to competitive advertisement for subsequent appointments to Assistant Scientist.) Postdoctoral Investigators are appointed by the Vice President for Academic Programs and Dean on the recommendation of the Department Chair or Center Director. (Some Postdoctoral Investigator appointments are drawn from the highly-rated competitive applicant pool for Postdoctoral Scholar appointments and, as such, will be considered as competitively advertised should they be considered for subsequent appointments as Assistant Scientists.) A Postdoctoral Investigator will be treated as a regular, full-time employee if the initial appointment is for at least one full year. Temporary Postdoctoral Investigators may be appointed for a period of time less than one year.

Postdoctoral Fellows with national or international competitively awarded fellowships will be appointed the appropriately named Postdoctoral Fellow at the Institution upon receipt of an official letter of notification of the award. The appointment time period will be coincident with the fellowship award time period.

When required to meet extenuating personal circumstances that could seriously inhibit professional productivity (e.g., disability of the Postdoctoral Scholar, Postdoctoral Fellow, or Postdoctoral Investigator, family illness requiring extended care, child rearing or bearing, or dependent parent care), with a timely written request via the Department Chair or Center Director to the Vice President for Academic Programs and Dean, the term can be extended for up to 12 months. Using this option does not eliminate the possibility of a Postdoctoral Scholar, Fellow, or Investigator being considered for *appointment* to the Scientific or Technical Staff at any time during the term of the Postdoc appointment.

The professional progress of each Postdoctoral Scholar, Fellow, or Investigator is reviewed by the Department Chair or Center Director in consultation with the advisor(s) and other knowledgeable Scientific and Technical Staff members as appropriate, after eight to twelve months of the initial appointment. The outcome of the review is communicated in writing to the Postdoctoral Scholar, Fellow, or Investigator by the Department Chair or Center Director and is also communicated to the Vice President for Academic Programs and Dean. Thereafter, the postdoctoral appointee is reviewed in the normal annual reviews of the Institution.

## Temporary Appointments

The Institution has a variety of temporary appointments available. For a quick reference to the similarities and differences, please refer to Appendix 4.

### ***Adjunct Scientist***

Scientists from other institutions, agencies, or industries, who are of stature equivalent to WHOI Scientific Staff, may be appointed as Adjunct Scientists while maintaining their regular employment relationships with their home institution. An Adjunct appointment attests that the scientist intends to periodically spend short periods of time working at the Institution and, both while here and at their parent institution, to collaborate closely with members of WHOI's Scientific and/or Technical Staffs. This status confers the right to submit proposals through the Institution, but carries no implication of tenure and does not include any form of salary support. Because the objective of an Adjunct appointment is to facilitate scientific collaboration that would otherwise be logistically difficult, it is normally reserved for scientists not located in the area. Adjunct appointments are for four-year periods and may be renewed.

#### **Process:**

The file for an Adjunct appointment contains the applicant's curriculum vitae and a written explanation of the research objectives of the appointment, comments from WHOI scientists who know and desire to collaborate with the candidate, a recommendation from the Department Chair, and samples of the candidate's publications if appropriate. The file including an Authorization for Personnel Action form is forwarded via email to HR and to the Deputy Director and VP for Research for review. At the discretion of the DDVPR, the file may be distributed to the Department Chairs, the Vice President for Academic Programs, and/or the Vice President for Marine Operations for comment. The file may be brought to a Staff Council meeting if questions arise. The DDVPR makes the final decision and signs the authorization form. HR signature is not required in advance of DDVPR approval. The DDVPR office sends a scan of the signed Authorization for Personnel Action form to HR. The letter to the Adjunct is produced by HR and forwarded electronically to the Adjunct, cc: DDVPR and the Adjunct's department office.

*The procedure for renewal is the same as for appointment of an Adjunct except that a statement of the candidate's research objectives does not have to be included. The memo from the department sponsor of the Adjunct must include specific information about intended future collaborations.*

#### **Payment:**

Although it is not the intent of an Adjunct appointment to provide any compensation, there may be rare circumstances when it is appropriate for an Adjunct to receive pay through WHOI for short periods of time. In this situation, the Adjunct becomes a Casual employee (see [Compensation Procedure for Adjunct Scientists and Oceanographers](#)).

## **Adjunct Oceanographer**

Senior Technical Staff from other institutions, agencies, or industries who are of stature equivalent to WHOI Senior Technical Staff, may be appointed as Adjunct Oceanographers while maintaining their regular employment relationships with their home institutions. An Adjunct appointment attests that the oceanographer intends to periodically spend short periods of time working at the Institution and, both while here and at the parent institution, to collaborate closely with members of WHOI's Scientific and/or Technical Staffs. This status confers the right to submit proposals through the Institution, but carries no implication of tenure and does not include any form of salary support. Because the objective of an Adjunct appointment is to facilitate scientific and technical collaboration that would otherwise be logistically difficult, it is normally reserved for individuals not located in the area. Adjunct appointments are for four-year periods and may be renewed.

### **Process:**

The file for an Adjunct Oceanographer appointment contains the applicant's curriculum vitae and the candidate's written explanation of the research objectives of the appointment, comments from WHOI Technical staff and scientists who know and desire to collaborate with the candidate, a recommendation from the Department Chair, and samples of the candidate's publications, if appropriate. The file including an Authorization for Personnel Action form is forwarded via email to HR and to the Deputy Director and VP for Research for review. At the discretion of the Deputy Director and VP for Research, the file may be distributed to the Department Chairs, the Vice President for Academic Programs, and/or the Vice President for Marine Operations for comment. The file may be brought to a Staff Council meeting if questions arise. The DDVPR makes the final decision and signs the authorization form. HR signature is not required in advance of DDVPR approval. The DDVPR office sends scan of the signed Authorization for Personnel Action form to HR. The letter to the Adjunct is produced by HR and forwarded electronically to the Adjunct, cc: DDVPR and the Adjunct's department office.

*The procedure for renewal is the same as for appointment of an Adjunct except that a statement of the candidate's research objectives does not have to be included. The memo from the department sponsor of the Adjunct must include specific information about intended future collaborations.*

### **Payment:**

Although it is not the intent of an Adjunct appointment to provide any compensation, there may be rare circumstances when it is appropriate for an Adjunct to receive pay through WHOI for short periods of time. In this situation, the Adjunct becomes a Casual employee (see [Compensation Procedure for Adjunct Scientists and Oceanographers](#)).

## ***Guest Investigator***

Guest Investigator status may be granted to researchers with paid positions from other institutions, agencies or industry who desire to conduct collaborative research at WHOI. Guest Investigators are not salaried; rather, these appointments are a courtesy to assist in collaboration and afford the researcher access to WHOI facilities and services. Guest Investigators may not submit proposals through the Institution except as detailed in the [Eligibility to Serve as Principal Investigator Policy](#).

### **Process:**

Guest Investigator appointments are initiated by written request, with the candidate's curriculum vitae and an Authorization to Invite a Guest Investigator form (see Appendix 6) from the hosting member of the Scientific or Technical Staff. If the Department Chair or Center Director approves the appointment, the materials are forwarded to Human Resources for review and approval.

The [Institution Visiting Scholar/Guest Investigator Authorization form](#) (see Appendix 5) must indicate if the appointment will have a fixed expiration date or if it is anticipated that there will be a long-term relationship between the host and the Guest Investigator. Long-term appointments will not expire, but Human Resources will, on an annual basis, require the Department Administrator or Manager to confirm that the relationship still exists. A report of Guest Investigator appointments is sent by Human Resources to the Deputy Director and VP for Research for information purposes annually.

### **Payment:**

Under special circumstances and with approval by the WHOI sponsor, the Department, and Human Resources, Guest Investigators may receive one or more of the following:

- *Reimbursement* for actual travel expenses (original itemized receipts required)
- *Reimbursement* for lodging and housing rental not to exceed [Falmouth GSA Lodging rates](#) (zip code 02540) (original itemized receipts are required). Expenses must be approved in advance by the sponsor of the Guest Investigator
- *Per diem* of not more than [Falmouth GSA rates](#) (zip code 02540) for all other incidental living expenses.

Any of these payments are available only to Guests who have a permanent address that is more than 50 miles from Woods Hole and only when said payments will assist them in residing in the Woods Hole area during their appointment. (see [Procedures for Payment for Guest Investigators and Institution Visiting Scholars](#)) -

A Guest Investigator may be considered for employment via the appropriate employment procedures.

## ***Institution Visiting Scholar***

Institution Visiting Scholar status may be granted to senior scholars from other academic or research institutions to lecture, interact and collaborate with WHOI staff. Institution Visiting Scholars are not salaried; rather, these appointments are a courtesy to assist in collaboration and afford the scholar access to WHOI facilities and services. Institution Visiting Scholars may not submit proposals through the Institution except as detailed in the [Eligibility to Serve as Principal Investigator Policy](#).

### **Process:**

Institution Visiting Scholar appointments are initiated by letter request, with a curriculum vitae of the candidate and an [Institution Visiting Scholar/Guest Investigator Authorization form](#) (Appendix 5) from the hosting member of the Scientific or Technical Staff. With the approval of the Department Chair or Center Director, the Department completes an authorization and forwards it with the file to Human Resources.

The Authorization Form must indicate if the appointment will have a fixed expiration date or if it is anticipated that there will be a long-term relationship between the host and the Institution Visiting Scholar. Long-term appointments will not expire, but Human Resources will, on an annual basis, require the Department Administrator or Manager to confirm that the relationship still exists. A report of Institution Visiting Scholar appointments is sent by Human Resources to the Deputy Director and VP for Research for information purposes annually.

### **Payment:**

Under special circumstances and with advance approval by the WHOI sponsor, the Department and Human Resources, Institution Visiting Scholars may receive one or more of the following:

- *Reimbursement* for actual travel expenses (original itemized receipts required)
- *Reimbursement* for lodging and housing rental not to exceed [Falmouth GSA Lodging rates](#) (zip code 02540) (original itemized receipts are required). Expenses must be approved in advance by the sponsor of the Visiting Scholar
- *Per diem* of not more than [Falmouth GSA rates](#) (zip code 02540) for all other incidental living expenses.

Any of these payments is available only to an Institution Visiting Scholars who has a permanent address that is more than 50 miles from Woods Hole and only when said payments will assist the individual in residing in the Woods Hole area during his/her appointment. (see Procedures for [Payment for Guest Investigators and Institution Visiting Scholars](#)).

An Institution Visiting Scholar may be considered for employment via the appropriate employment procedures.

Updated 6/24/15

## ***MIT/WHOI Joint Program Guest at WHOI***

This appointment category is reserved for the faculty and key staff of the Massachusetts Institute of Technology who are active in the MIT/WHOI Joint Program in advising, teaching, governance committees, and key leadership or staff positions at MIT, and who visit the Woods Hole Oceanographic Institution in such capacities. The eligibility for the appointment is determined by the Vice President for Academic Programs and Dean at WHOI, upon the recommendation of the Director of the MIT/WHOI Joint Program at MIT, and in consultation with the appropriate WHOI Department Chair(s). Appointments are for an initial term of three years, renewable for successive three-year terms upon determination of continued substantive involvement with the Joint Program. If, at any time during the appointment, involvement with the MIT/WHOI Joint Program ceases, the appointment can be ended by the Vice President for Academic Programs and Dean.

The appointment is not salaried, and does not guarantee office space; rather, these appointments are a courtesy to assist in collaboration in education and research activities within the MIT/WHOI Joint Program and afford the recipient of the appointment access to WHOI facilities and services. Recipients of the appointment may not submit proposals through WHOI except as detailed in the [Eligibility to Serve as Principal Investigator Policy](#).

### **Process:**

Recommendations for the appointment consist of a letter from the Director of the MIT/WHOI Joint Program at MIT, with enclosure of the applicant's CV to the Vice President for Academic Programs and Dean at WHOI who will consult with appropriate department chairs at WHOI prior to authorizing the appointment and forwarding the appointment materials to WHOI Human Resources.

### **Payment:**

No compensation or reimbursement is permitted for these appointments.

## ***Visiting Investigators***

A Visiting Investigator is a salaried, temporary appointment. The appointment is intended to afford the recipient an opportunity for temporary collaboration and research with WHOI staff while being supported on funds of the Department or Center sponsor. The appointment is for a specified period, not to exceed twelve months and is renewable on a 12-month basis, not to exceed a two-year maximum. It confers no implication of continued employment or tenure. This appointment may be used temporarily while materials that are required for regular employment in a posted position are gathered. Visiting Investigators may not submit proposals through the Institution except as detailed in the [Eligibility to Serve as Principal Investigator Policy](#).

### **Process:**

Visiting Investigator appointments are initiated by a written request from the sponsoring member of the Scientific or Technical Staff, including the candidate's curriculum vitae. The file is forwarded via the Department Chair or Center Director to Human Resources for review and approval. The Deputy Director and VP for Research must also approve the file and the suggested salary before the appointment is finalized.

### **Payment:**

Salary will be determined based on the type of work being performed compared to other similar positions at the Institution as well as internal equity factors (education and experience) among incumbents within those positions. As these positions are temporary, not to exceed twelve months, they are not part of the annual merit review process.

Visiting Investigators may apply for further WHOI employment through normal application procedures.

# Emeritus

## ***Scientist Emeritus***

Members of the Scientific Staff are eligible for Emeritus status upon retirement. Emeritus status continues the individual's association with the Institution's community of scholars, but implies no other commitment. The appointment file consists of the curriculum vitae, a research statement, a recommendation from the Department Chair or Center Director, and letters from at least three Institution scientists who anticipate continuing association with the candidate. The file is forwarded to the Deputy Director and VP for Research for review. At the discretion of the DDVPR, the file may be distributed to the Department Chairs, Vice President of Academic Programs and/or Vice President for Marine Operations for comment. The DDVPR makes the final decision. The file is then sent to Human Resources for processing.

A Scientist Emeritus is an unpaid and honorary appointment only. This honor is for life, and may not be taken away without just cause. A Scientist Emeritus is not an employee, and therefore, any of the emeritus' efforts or time benefitting the Institution is voluntary and *pro bono*. As such, independent employment by the Scientist Emeritus with the Institution, or outside of the Institution, does not affect his or her status and honor as an emeritus. If the funding agency allows, a Scientist Emeritus can be a Principal Investigator on a grant or contract with the approval of the Department Chair and Deputy Director and VP for Research. A Scientist Emeritus is ineligible for funding for teaching and advising (unless the student was an advisee of the Scientist Emeritus at the time of retirement). ([See APO link](#)). A Scientist Emeritus may receive the assistance of department staff in accordance with normal department procedures. A Scientist Emeritus is eligible for a small amount of overhead funds for general purpose costs (see [Emeritus Scientists: Support](#)). Institution support for a Scientist Emeritus may include providing space for continued research, either the laboratory or office occupied prior to retirement or other space available in the department. Active Scientific or Technical Staff will normally have priority over Emeritus staff for space.

Updated 11/15/16

## ***Oceanographer Emeritus***

Members of the Senior Technical Staff<sup>1</sup> are eligible for Oceanographer Emeritus status upon retirement. Emeritus status continues the individual's association with the Institution's community of scholars, but implies no other commitment. The appointment file consists of the curriculum vitae, a research statement, a recommendation from the Department Chair or Center Director, and letters from at least three Institution scientists/senior technical staff members who anticipate continuing association with the candidate. An Authorization for Personnel Action form should be included in the original file which is forwarded electronically to the Deputy Director and VP for Research for review (cc: HR). At the discretion of the DDVPR, the file may be distributed to the Department Chairs, Vice President for Academic Programs, and/or the Vice President for Marine Operations for comment. The DDVPR makes the final decision, and the file may be forwarded to the President and Director for information. The Authorization for Personnel Action form will be signed by the DDVPR and forwarded to Human Resources.

An Oceanographer Emeritus is an unpaid and honorary appointment only. This honor is for life, and may not be taken away without just cause. An Oceanographer Emeritus is not an employee, and therefore, any of the emeritus' efforts or time benefitting the Institution is voluntary and *pro bono*. As such, independent employment by the Oceanographer Emeritus with the Institution, or outside of the Institution, does not affect his or her status and honor as an emeritus. If the funding agency allows, an Oceanographer Emeritus can be a Principal Investigator on a grant or contract with the approval of the Department Chair and Deputy Director and VP for Research. Oceanographer Emeritus are ineligible for funding for teaching and advising (unless the student was an advisee of the Oceanographer Emeritus at the time of retirement). ([See APO link](#)). An Oceanographer Emeritus may receive the assistance of department staff in accordance with normal department procedures. An Oceanographer Emeritus is eligible for a small amount of overhead funds for general purpose costs (see [Emeritus Support](#)). Institution support for an Oceanographer Emeritus may include providing space for continued research, either the laboratory or office occupied prior to retirement or other space available in the department. Active Scientific or Technical Staff will normally have priority over Emeritus staff for space.

<sup>1</sup> Senior Technical Staff:  
Senior Research Specialists  
Principal Engineers  
Senior Information Systems Specialists  
Research Specialists  
Senior Engineers  
Information Systems Specialists

## ***Emeritus Research Scholar***

Scientist Emeritus and Oceanographer Emeritus are eligible for employment as an Emeritus Research Scholar for a limited number of hours per year. This status requires approval by the Department Chair, and is only available if the Emeritus plans or hopes to acquire salary support from grants, contracts and also then wishes to draw a salary from that grant or contract. (See [Re-employment Policy](#)). The process to become an Emeritus Research Scholar requires an Authorization for Personnel Action, a memo from the Department Chair and approval by the Deputy Director and VP for Research. Once the appointment is approved, the file is sent to Human Resources.

An Emeritus Research Scholar may receive the assistance of department staff in accordance with normal department procedures. Institution support for an Emeritus Research Scholar may include providing space for continued research, either the laboratory or office occupied prior to retirement or other space available the department. An Emeritus Research Scholar is eligible to supervise employees.

When no further support from grants, contracts, or education activities is expected, an Emeritus Research Scholar status would end.

[Reemployment Policy is currently under revision – 9/27/16]

Initiated 11/12/14

## **Leave of Absence to Accept Temporary Assignments Elsewhere**

Leaves of absence may be granted to scientific and technical staff members to accept temporary assignments elsewhere that are of a nature as to be in the Institution's best interest, and provided that the employee plans to return on a full-time basis after completion of the assignment.

A leave of absence or reduction in time status to no less than half-time may also be granted to members of the Scientific, Technical, Departmental Assistant and Exempt Administrative staff when participation in an outside activity potentially compromises that employee's primary obligation to the Institution. That participation must be judged by the Institution to be in the best interests of the employee's professional development and in concert with the Institution's best interest.

For Scientific/Technical Staff, a research plan, with anticipated funding support indicating how he/she expects to resume full-time Institution employment at the end of the leave/status change, must be submitted to the Department Chair and Deputy Director and VP for Research for their review as part of their consideration of the request for leave/status change.

It is expected that these assignments will be of relatively short duration, and of a temporary nature. Leaves and status changes may be granted for a period of up to one year and may be authorized in exceptional cases for one additional year. No commitment for continued employment or re-employment at the Institution is implied by this action except in cases of tenured Scientific Staff.

Final review and action will be taken by the Deputy Director and VP for Research. When in the best interest of the Institution, exceptions to this policy may be made at the discretion of the Director.

## Employment of Spouses

The success and well-being of the Institution is inextricably linked to the success and well-being of its employees. Thus it is Institution policy to assist employees with career transitions related to their employment at the Institution. The Institution explicitly recognizes that there are special challenges for partners in a dual career couple, especially for partners on the Scientific Staff whose careers involve decisions between one of two options: promotion or departure from the WHOI Scientific Staff.

The Institution has provided assistance in seeking employment for partners of employees for several years. Assistance is not limited to employment opportunities at the Institution, but includes contacts with employers in the community at large.

In addition to the options of assistance in seeking a position elsewhere, dual career couples who are members of the Scientific Staff should be made aware that there are a variety of options that they may consider for careers at the Institution or to facilitate career transitions. When promotion on the Scientific Staff is either not sought or not offered, extensions of term appointments for Assistant and Associate Scientists can be obtained to facilitate finding another position at the Institution or elsewhere. While normally limited to one year, in unusual circumstances a second year can be granted. In some circumstances transfer between the Scientific and the Technical Staff may be appropriate. The Institution supports such transitions that meet career needs, the criteria for appointment to the Technical Staff position in question, and Institution needs.

Other options for temporary appointments include Guest Investigator and Visiting Investigator appointments as described later in this handbook. Guest Investigators do not receive compensation. Visiting Investigators receive salary compensation from the Institution through grants and contracts. They are appointed for a period of time not to exceed one year, renewable on a twelve-month basis, not to exceed two years. These are temporary appointments and may assist in career transitions to appointments at WHOI or elsewhere.

These options are available to any Scientific Staff member and can be an advantage for situations where both partners are members (or potential members) of the Scientific Staff and face difficult career decisions as they progress through the appointment and promotion ranks at the Institution. Department Chairs and the Marine Policy Center Director will make these options known to potential Scientific Staff members at the time of their interview, when actually appointed, and when evaluated for promotion.

## Staff Council Procedures

It is the responsibility of the Staff Council to help the Deputy Director and VP for Research and the President and Director in making appointment and promotion decisions for Senior Technical and Scientific Staffs. The Staff Council's primary task is to ensure objectivity, rigor, and equity of the appointments and promotions process, both overall and on a case-by-case basis.

Membership of Staff Council		
<b>President and Director</b> ( <i>ex officio</i> , non-voting)	Mark R. Abbott	Full
<b>Deputy Director and Vice President for Research</b>	Laurence P. Madin	Full
<b>Vice President for Academic Programs and Dean</b>	James Yoder	Full
<b>Chair, Applied Ocean Physics &amp; Engineering Department</b>	Dennis McGillicuddy	Full
<b>Chair, Biology Department</b>	Lauren Mullineaux	Full
<b>Chair, Marine Chemistry &amp; Geochemistry Department</b>	Bernhard Peucker-Ehrenbrink	Full
<b>Chair, Geology &amp; Geophysics Department</b>	Rob Evans	Full
<b>Chair, Physical Oceanography Department</b>	Al Plueddemann	Full
<b>Director, Marine Policy Center</b> (non-voting except when appropriate)	Andrew R. Solow	Courtesy

Rev. 7/12/17

In the event that a Department Chair is unable to attend a Staff Council meeting, the designated Acting Chair will attend. However, the Department Chair should present the file for appointment/promotion in his/her own department. For consideration of Tenure cases, all Department Chairs should be present, but may be held with no more than one Chair absent. If a Chair is unavoidably absent he/she may submit written comments and a vote in advance to the Deputy Director and VP for Research, to be read aloud at the meeting. An Acting Chair may be present, and should be a former Chair. Vote tally will reflect the Acting Chair's as well as the absent Chair's vote (e.g., "Yes = 7 +1").

All recommendations of Staff Council are based on reviews of confidential files. (See Appendix 1a and Appendix 1b for charts of the file requirements for promotion and appointment, respectively.) All Staff Council discussions and recommendations, and the identities of external Ad Hoc Committee members for tenure and senior technical staff promotions/appointments, are held in confidence.

All files for promotion on the Technical Staff are first reviewed by the Technical Staff Evaluation Council (TSEC). Their recommendation becomes part of the confidential file. Appointments are reviewed by the Chair of TSEC (See "Minifiles" process" in TSEC procedures).

For promotion to the ranks of Senior Departmental Assistant I and II, Research Associate I, II and III, Information Systems Associate I, II and III, Engineer I and II and Research Engineer (see Appendix 2 for details of the process).

1. The department sends the complete file, including the TSEC meeting summary and the final memo from the Department Chair/Center Director or Manager, to Human Resources. The file should include an Authorization for Personnel Action form with the recommended title and salary. Human Resources will review the salary recommendation and add relevant comments to aid in the decision process. Human Resources signs off on the file to show that it has been reviewed for compensation and EEO purposes. The file will then be sent to the Deputy Director and VP for Research for review, or the appropriate Vice President.
2. The Deputy Director and VP for Research / Vice President will review the file. At the discretion of the Deputy Director and VP for Research / Vice President, the file may be circulated to the Department Chairs if further review and comment is considered necessary.

Note: If the Deputy Director and VP for Research / Vice President requests further review and comments from the Department Chairs, the Department Chairs will have 5 working days in which they must email their comments to the Director of Research.

3. The Deputy Director and VP for Research / Vice President makes a decision regarding the promotion and salary recommendation. If the promotion or recommended salary is not approved, the Deputy Director and VP for Research / Vice President will contact the Chair/Center Director or Manager directly. If the promotion and recommended salary are approved, the Deputy Director and VP for Research / Vice President will sign off on the Authorization for Personnel Action form and return it to Human Resources. Human Resources will notify the department, prepare the necessary letter, and process the promotion. The effective date of the promotion and salary increase will be the day on which the Deputy Director and VP for Research / Vice President makes the decision to promote.

Appointments to these ranks are not otherwise reviewed by Staff Council.

For all other promotions and appointments to the Senior Technical and Scientific Staff, files (See Appendix 3 for details) are forwarded to Staff Council members for review *a minimum of four working days prior* to the scheduled meeting. All

meetings of the Council are chaired by the Deputy Director and VP for Research and follow a set format:

- The file is presented to Staff Council by the Department Chair or Center Director, or in the case of promotion to Associate Scientist without Tenure, by the Chair of the Ad Hoc Review Committee. In the cases of other promotions, a tenured staff member may be invited to join Staff Council deliberations as a non-voting member to clarify certain scientific or technical points.
- Each Department Chair is then asked for comments on the case. The case presenter or the candidate's Chair responds to points of information and clarification.
- The VP/Dean or Associate Dean describes the candidate's contributions to education programs.
- The EEO Officer comments on equity issues.
- The Deputy Director and VP for Research and the Institution President and Director offer comments.
- A general discussion proceeds with questions and comments from all members, including the President and Director.
- The Deputy Director and VP for Research then calls for a vote by secret ballot: Yes, No, or Abstention. All abstentions must be explained in writing and added to the file within two days. The vote of the Council is a recommendation to the President and Director.

Official notes of the Council's deliberations and votes are taken and maintained by the Deputy Director and VP for Research. The Department Chair (or Center Director) may withdraw a file at any time prior to the vote of the Council. Nothing may be added to the file following the vote except:

- written explanations of abstentions,
- a memo from the EEO Officer regarding affirmative action compliance,
- the minutes of an External Ad Hoc Review Committee meeting,
- a memorandum from the Chair addressing the Department's response to new information raised during the External Ad Hoc review meeting,
- the President and Director's decision is final.

## General Guidelines for Curriculum Vitae

In all files, the Curriculum Vitae (see Appendix 6 - CV template) of the candidate should list education, professional appointments, awards, appointments to national and international committees. The bibliography should list all published papers or reports, those In Press, and those Submitted. Abstracts should be listed separately under Oral Reports, and publications in unreviewed media listed under Other Publications. Papers in preparation should not be listed. The vitae may also contain information on cruises and field programs of the candidate, education and other Institution activities and committees. The vitae should not contain the funding history of the individual.

## Appendices

[Appendix 1a - Table of Requirements for Promotion Files](#)

[Appendix 1b - Table of Requirements for Appointment Files](#)

[Appendix 2 - Procedure for Staff Council Review of Files](#)

[Appendix 3 - Appointment and Promotion File Contents](#)

[Appendix 4 - Table of Temporary Appointments](#)

[Appendix 5 – Authorization to Invite a Guest Investigator](#)

[Appendix 6 – CV Template](#)

[Appendix 7 – Streamlined Hiring Plan](#)

Last Update: 5/8/17