

Appendix 3: Appointment & Promotion File Contents

A. Technical Staff Evaluation Council (TSEC)

Files for TSEC are sent in electronic form to the Executive Assistant to the Deputy Director and Vice President for Research for distribution to the TSEC members. They should follow the guidelines for Staff Council files (see below), except that the memo from the Department Chair is not included. The Chair will write the memo after s/he has reviewed the TSEC comments. However, if the Chair is the supervisor of the promotee, then the Chair may write a memo as supervisor. The Chair will also need to write a memo after receipt of TSEC comments.

B. Staff Council (SC)

(electronic copy, at least 4 working days prior to SC meeting)

Appointment or promotion files are submitted by the Department via email to the Executive Assistant to the Deputy Director and Vice President for Research. The following should be included in these files:

1. Curriculum Vitae with list of publications. Employment application, if applicable.
2. Statement of candidate's research interests.
3. External and Internal letters of reference (with corresponding lists).*
4. Memo from the Technical Staff Evaluation Council (TSEC) when appropriate.
5. Department Chair's cover letter and recommendation or Ad-hoc Committee Chair's memo for promotion to upper level technical staff.
6. Memo from the Department Chair assessing the history and prospects for external funding of the candidate's research.
7. Three to five representative reprints or other forms of documentation, depending on the nature of the candidate's job.*
8. A sample of the Department Chair's (or Search Committee Chair's) letter requesting recommendations or, in the case of telephone references, the list of questions that were asked of all who were interviewed by phone.

The letter and attachment with description of scientific staff at WHOI that are sent to referees for Scientific Staff appointments are standard and other than minor differences such as the one noted in the following sentence, any deviation must be discussed with the EEO Officer.

The only exception to the standard letters that is acceptable without prior approval is a preface such as "Per our telephone conversation, I am pleased that you have agreed to provide a reference for Dr. Our standard request follows..."

9. Memo concerning Education contributions from the Dean when appropriate. If the candidate for an Assistant Scientist position has held a Postdoctoral Scholarship position at the Institution or was part of the pool of acceptable

Scholarship candidates, s/he may be considered for appointment to the staff without advertising the position. However, a memo from the Academic Programs Office explaining the selection process for that Postdoctoral award must be provided by the EEO officer. The memo should discuss the number of applicants for that year in total and by department. In addition, the memo must outline the number of women and members of underrepresented groups in the acceptable pool.

Postdoctoral Investigators who were not previously in the pool of acceptable Postdoctoral Scholarship candidates will be considered as part of the general pool of applicants if they apply for an advertised Assistant Scientist position.

*For PROMOTION FILES, please see [Appendix 1a](#) for details regarding the number of publications, reference letters, etc. for each position.

*For APPOINTMENT FILES, please see [Appendix 1b](#) for details regarding the number of publications, reference letters, etc. for each position.

C. Executive Committee of the Board of Trustees (ExComm)

As of August 2016, approval by the Executive Committee is no longer required in the standard procedure. Final decision on files is made by the President/Director, who will provide the Executive Committee with a report on Appointment/Promotion actions bi-annually.

Vote by Executive Committee may be recommended by President/Director due to inconclusive Staff Council decision, and/or controversial nature of file discussion (electronic copy required, at least 7 days prior to the ExComm subcommittee meeting)

In such case, following Staff Council action, appointment or promotion files at the Associate Scientist without Tenure level and above as well as Senior Research Specialist, Principal Engineer and Sr. Information Systems Specialist are made available to a subcommittee of the Executive Committee for review. The purpose of this review is to ensure that proper procedures were followed in the appointment or promotion process. The subcommittee will normally discuss these points with the President and Director and the Deputy Director and Vice President for Research in person or via teleconference. While the subcommittee may raise and discuss questions about the file, its role is not to judge the scientific merit of the candidate. The assessment of this subcommittee is advisory to the President and Director.

Those appointment and promotion files that go to the Executive Committee are sent electronically to the office of the Deputy Secretary of the Corporation for distribution. The following should be included in these files:

1. One entire Staff Council file as outlined above; include Ad Hoc Committee Minutes if applicable.
2. One abbreviated file (includes candidate's CV & Research Statement, Chair's cover memo to Staff Council, and Ad Hoc Minutes, if applicable).