

## **Excerpt from LDEO By-Laws**

### ***General principles***

The research staff of the Lamont-Doherty Earth Observatory includes Officers of Research in three University-wide ranks: Associate Research Scientist, Research Scientist and Senior Research Scientist. In each rank a scientist may qualify to receive salary support from the Observatory's endowments, in which case the titles Doherty Associate Research Scientist, Doherty Research Scientist and Doherty Senior Research Scientist apply to designate that the support comes from endowment sources. Additionally, scientists who are Doherty Senior Research Scientists are eligible for appointment as Doherty Senior Scholars, the highest distinction available in the research staff at the Observatory. Other named research positions supported by specific endowments currently exist (e.g., the Langseth-PGI Senior Scientist, and PGI-Doherty Junior Scientist), and others can be added.

The Doherty Junior Staff of the Observatory comprises Doherty Associate Research Scientists (or equivalent named Associate Research Scientists) plus untenured full-time Assistant and Associate Professors in the Department of Earth & Environmental Sciences whose research base is at Lamont-Doherty.

The Doherty Senior Staff of the Observatory comprises Doherty Research Scientists, Doherty Senior Research Scientists and Doherty Senior Scholars (or equivalent named position associated with an endowment provided to the Observatory) plus full-time tenured Associate and Full Professors in the Department of Earth & Environmental Sciences whose research base is at Lamont-Doherty.

The Doherty Senior Staff and the Doherty Junior Staff together comprise the Doherty Research Staff of the Observatory. The Doherty Research Staff forms the core research staff of the Observatory.

### ***Doherty Associate Research Scientist (DARS)***

#### **Term**

Appointment is renewed yearly for up to six years with mid-term review in the third year (see below). A DARS may request, from the Director, two separate extensions of the DARS appointment beyond the usual six years, each request for up to one year, due to medical, maternal, or family leave, or other compelling circumstances.

### ***Doherty Research Scientist (DRS)***

#### **Eligibility**

Those eligible are Doherty Associate Research Scientists and other Associate Research Scientists at Lamont who have been in that position for six years, or scientists from other Earth Institute units or other institutions having at least six years post-Ph.D. experience in independent research. Exceptional individuals can be advanced for promotion or offered for appointment at an earlier time.

#### **Criteria for Promotion**

Outstanding contribution to science as evidenced through scholarly publications and the recognition of one's peers. Further factors that will be considered include: development and implementation of important research initiatives, development and implementation of important education initiatives, technical innovation in the pursuit of science, demonstrated ability to generate and maintain funding independently, and service to the Observatory and to the scientific community at large.

#### **Promotion Procedure**

Candidates will usually be considered for promotion beginning in the sixth year of appointment at the DARS level, or in the eighth year following award of Ph.D.

A DARS may request, from the Director, a delay in consideration for promotion to DRS due to medical, maternal, or family leave, or other compelling circumstances. A DARS who had an approved

delay in the timing of his or her mid-term review due to medical, maternal, or family leave, or other compelling circumstances, will have the deadline for consideration for promotion to DRS automatically pushed back by an amount equal to the mid-term review delay. All delays together may not exceed two years. For candidates who have had such a 'stop the clock' delay, both the Senior Staff and the outside reviewers should be informed that there has been an approved stop-the-clock delay and informed that they must consider the candidate's accomplishments according to the same standards as a candidate who had proceeded directly to promotion consideration without delay.

Candidates may request consideration for earlier promotion. Such requests shall be made to the Director who will proceed with early consideration on advice from the Executive Committee and the Promotions and Careers Subcommittee.

The Promotions and Careers Subcommittee Chair is responsible for advising the appropriate divisional Associate Director or Project head, which scientists are eligible for promotion in their area of responsibility. The eligible scientists themselves will also be notified. The process is initiated if the candidate is nominated by a member of the Doherty Senior Staff with the nominating letter accompanied by seconding letters from four members of the Doherty Senior Staff. ... The Promotions and Careers Subcommittee will review the nomination, and advise the Director whether the candidacy is ready to move on to the request for external letters.

For those successfully nominated, the Director in consultation with the nominator, divisional Associate Director or Project head, and the Promotions and Careers Subcommittee, will then obtain outside letters on the candidate from not less than 10 qualified scientists, who should have a full-time position at a rank equal to or above Research Scientist at their own institution. ... During the interval while external letters are being gathered, the candidate shall give a seminar on his or her research.

Following receipt of the external letters, the Doherty Senior Staff, will be invited to comment in writing on the suitability of the candidate for promotion. These written comments will become part of the dossier. The Promotions and Careers Subcommittee will review the external letters and internal comments and the Subcommittee Chair will advise the Director if the Subcommittee considers that a case has been made for continuing the promotion process.

If a negative recommendation is made and the Director in consultation with the Executive Committee endorses that recommendation, the promotion process is discontinued. If the candidate is being considered for promotion having reached the time limit of the DARS appointment, then the promotion is considered to have failed. The individual will have 12 months to establish a new position during which time he or she will have no access to institutional support apart from any accumulation in their individual incentive account. If the candidate is being considered for early promotion then a negative decision at this point causes the promotion process to be terminated without influencing the candidate's opportunity for promotion in the future. In either case the Director will advise the candidate of the outcome and outline in writing the specific issues that lead to the discontinuation of the process.

If the recommendation is positive and endorsed by the Director and Executive Committee, the Associate Director in the candidate's division presents the case for forming an ad-hoc committee to make a recommendation on promotion, to a staff meeting attended by the Doherty Senior Staff. ... A mail ballot is taken following the meeting. Those eligible to vote are all members of the Doherty Senior Staff. The vote carries if two thirds of those voting yes or no on the mail ballot vote yes, and the affirmative votes constitute a majority of those eligible to vote.

If an ad-hoc committee is formed, it will comprise a Chair plus three members of the Doherty Senior Staff a Columbia University faculty member from a related area, and an external member, not to be chosen from among those who contributed letters. The recommendation of the ad-hoc committee will be given to the Director. The Director forwards the candidate's dossier, the recommendation of the ad hoc committee, the vote of the Senior Staff, and his/her own recommendation to the Provost of the University, who makes the final decision on the appointment. If the entire process is successful, the appointment is made effective July 1st.

If the candidate is currently a Doherty Associate Research Scientist, a negative decision on promotion causes the candidate to leave the Doherty staff of the Observatory. The candidate will have 12 months to establish a new position during which time he or she has no access to institutional support apart from any accumulation in his or her individual incentive account. If the candidate is not currently a DARS, he or she may remain in his or her current position.