

Lamont-Doherty Earth Observatory
COLUMBIA UNIVERSITY | EARTH INSTITUTE

Lamont Research Professor

Handbook

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**Office of the Director
Lamont-Doherty Earth Observatory
Columbia University**

Following a resolution of the Trustees of Columbia University, the creation of the Lamont research professor titles was approved in June 2009 for research scientists at the Lamont-Doherty Earth Observatory at Columbia University. These titles are effective July 1, 2010. This handbook outlines the policies and guidelines for this new track.

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Lamont Research Professor Handbook

General Description

Officers of Research within Columbia University's **Lamont research professor** track constitute the bulk of the professional Officers of Research of Lamont-Doherty Earth Observatory. They report to the Director of the Observatory via the Associate Directors of the research divisions to which they are assigned. Lamont research professors are expected to:

- Carry out world-class original research to gain new fundamental knowledge about the natural world including its origin, evolution and future, and disseminate this knowledge through publications, presentations and dialog.
- Raise research funds from external sources to fully support these research activities.
- Participate fully and constructively in the governance and management of the Observatory through service on Committees and in other roles as requested.
- Participate fully and constructively in building an excellent environment for intellectual exchange and discussion at the Observatory through collegial interactions with colleagues, research discussions and organization of workshops and seminars etc.
- Provide mentorship and guidance as appropriate for less-experienced colleagues within the Observatory.
- Participate constructively at appropriate levels in national and/or international forums to guide the design of community-wide research agendas.
- Represent the Observatory in a professional and distinguished manner.
- Adhere to university regulations and policies pertaining to the governance of their research activities.

Lamont research professors are also encouraged to:

- Design, lead and participate actively in education activities at all levels of the earth sciences curriculum but especially in the advising and teaching of Columbia University graduate and undergraduate students.
- Engage the public in communicating the promise and importance of fundamental research in the earth, ocean and atmospheric sciences.

In addition it is recognized that in a research field within which exploration and observation play important roles, the development of new technologies and techniques, including instrumentation, methods of data analysis and management, and developments in computational techniques, are important contributions that are worthy of appropriate recognition.

Titles

The following are the grades of appointment for Lamont research professors:

- Lamont Assistant Research Professor
- Lamont Associate Research Professor - Junior Staff
- Lamont Associate Research Professor - Senior Staff
- (Full) Lamont Research Professor

Within each of the above categories, there may exist named Lamont research professorships, with the name indicating support from a certain endowment. At the time of the establishment of the Lamont research professor track these include: Ewing Lamont Research Professor; Bruce C. Heezen Lamont Research Professor; Palisades Geophysical Institute (PGI) Lamont Research Professor; PGI-Doherty Lamont Research Professor; and Jerome M. Paros Lamont Research Professor. With approval from the Trustees of Columbia University, additional titles may be created in the future.

The LDEO Junior Staff comprises Lamont assistant research professors, Lamont associate research professors (junior staff), named Lamont research professors (junior staff), associate research scientists (project), and non-tenured full-time assistant and associate professors in the Department of Earth and Environmental Sciences whose research base is at Lamont-Doherty.

The LDEO Senior Staff comprises Lamont associate research professors (senior staff), Lamont Research Professors, named Lamont research professors, research scientists (project), senior research scientists (project), and full-time tenured associate and full professors in the Department of Earth and Environmental Sciences whose research base is at Lamont-Doherty.

On occasion, a tenured full-time professor at Columbia University (including Barnard College and Teacher's College) who maintains a significant research presence at Lamont-Doherty but whose teaching affiliation is with a department other than the Department of Earth & Environmental Sciences may be considered for membership in the LDEO Senior Staff. The LDEO research staff bylaws outline the procedures for this.

General Terms of Appointment

Lamont research professors are nine-month positions. These are all full-time positions and cannot be made in a visiting or adjunct capacity. While these are nine-month positions, the opportunity exists to receive three months of additional compensation for summer salary if the

required funding can be raised from external or designated sources, subject to the rules of the funding agency. The effective start date for Lamont research professors who were appointed between January and June in any calendar year is January 1; while the effective start date for Lamont research professors who were appointed between July and December of any calendar year is July 1.

Specific Terms of Appointment

Lamont Assistant and Associate Research Professors (Junior Staff)

Description: Lamont assistant research professors are individuals who, while in the early stages of their career, have successfully established themselves to be independent scientists capable of functioning at a world-class level. They must have demonstrated 1) potential for significant research contributions by having published in peer-reviewed journals and 2) potential for supporting their research program with external funding.

Term: The initial term as Lamont assistant research professor is for one year. Upon successful completion of the Confirming Review in Year 1, a further three-year appointment as a Lamont assistant research professor is granted. Upon successful completion of the Developmental Review in Year 3 a second three-year appointment is granted effective the start of Year 4. Appendix 1 illustrates this. In the event that the individual does not clear the Developmental Review, a second three-year appointment is not granted, and the third year of their original three-year appointment serves as the final year as a Lamont assistant research professor. During the second three-year appointment Lamont assistant research professors are reviewed for promotion to Lamont associate research professor (Junior Staff). This occurs upon successful completion of the Critical Review in Year 5. In Year 7, the Major Review takes place and determines whether the candidate is awarded a five-year renewable appointment as a Lamont associate research professor (Senior Staff), or is granted a one-year terminal appointment.

Lamont Associate Research Professor (Senior Staff)

Description: Lamont associate research professors (five-year term appointment) are individuals who have made outstanding contributions to science as evidenced through scholarly publications and the recognition of peers, and who exhibit potential for playing a world-leadership role in the intellectual development of their chosen discipline. Further factors for consideration will 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, the University and to the scientific community at large.

Term: Appointment as Lamont associate research professor (senior staff) is for a rolling term of five years contingent on satisfactory performance at the annual merit review (i.e. score of 3.0 or higher). There is no limit to the number of times this appointment may be renewed. Performance below expectations (i.e. a score below 3.0 in the annual performance review) will result in the five-year appointment not being renewed as long as the performance remains below expectations.

Lamont Research Professor

Description: Lamont Research Professors are individuals who have demonstrated performance and growth in research scholarship and related activities at the standards consistent with appointment as Lamont Research Professor, together with a record of accomplishment that establishes them as a world leader in the intellectual development of their chosen discipline.

Term: Appointment as Lamont Research Professor (Senior Staff) is for a rolling term of five years contingent on satisfactory performance at the annual merit review (i.e. score of 3.0 or higher). There is no limit to the number of times this appointment may be renewed. Performance below expectations (i.e. a score below 3.0 in the annual performance review) will result in the five-year appointment not being renewed as long as the performance remains below expectations.

Doherty Salary Support & Insurance Plan

The Doherty Salary Support Plan for Lamont Research Professors

All ranks of Lamont research professors are expected to raise their salary and other income sufficient to fully support their research activities from external sources. However, it is possible for a scientist whose work is excellent and highly regarded both internally and externally to experience a shortfall in support. Accordingly, a salary support plan funded by the Observatory's endowment provides a component of base support - a fixed portion of the Lamont research professor's nine month salary, labeled "n" - that is combined with an individual incentive program that allows individuals to accumulate a flexible cash reserve to be used as research

support. Details about the individual incentive plan are provided in a following section. Table 1 shows different scenarios for the salary support plan. With support from this salary plan, all ranks of Lamont research professors are expected to participate in service activities for the Observatory, including membership on national or international advisory bodies, committees in the Observatory's governance structure or ad-hoc committees, or groups developing proposals for major centers or new activities, without further salary compensation.

When salary is raised from external or other designated sources of support (defined below) that totals 8.5 months in any one year, then additional external salary support, up to a maximum of 3 months per year, may be raised as summer salary. However, LDEO limits the support that may be obtained from federal or external agencies to a maximum of 11.5 months per year. This is done to ensure straightforward compliance with federal effort reporting regulations. Some federal agencies may impose additional restrictions, thereby further limiting the amount of funds that can be raised from federal sources. **Lamont research professors are required to use a minimum of 0.5 months of institutional support from the salary support plan to assist in compliance with federal reporting guidelines.**

Stability of 'n'

At the time of the initiation of the Lamont Research Professor Program in July 2010, the value of 'n' (i.e. months of salary support available to Lamont research professors) was established at 3.5 months for senior staff, and 2.25 months for junior staff. As soon as is financially viable, the institution will aim to establish the value of 'n' at 3.5 for all ranks. Any change in 'n' will occur at a CU fiscal year boundary (i.e. July 1st) and written notice to all Lamont research professors will be provided prior to January 1st of the year in which the change will occur.

At the July or August LDEO Executive Committee meeting each year (exact month to be decided by the Director, LDEO and the Finance/Administration Division) a financial report will be presented reporting on the costs associated with the salary support plan during the previous fiscal year. Any plans for increasing 'n' will be discussed and voted upon at that time. It is anticipated that increases will occur in increments of 0.5 months as allowed by the growth of endowment resources, and that changes will occur dependent upon fund-raising successes.

Designated sources of support

Designated sources of salary support are defined as follows:

1. Salary received to support LDEO approved activities that specifically serve the institution (e.g. support for Associate Director duties);

2. Salary received to support teaching activities within Columbia University up to a maximum of 2.25 months of Lamont research professor salary in any one academic year (this includes the DEES-LDEO adjunct teaching program);
3. Named chairs (including titles such as PGI, Heezen, Paros, Ewing, Earth Institute faculty) or any other source of funding approved by the Director, LDEO as a “designated source of salary support”.

Note that all designated sources of support taken together cannot exceed 9 months for any Lamont research professor. In the event that this is the case the individual must immediately notify the Director, LDEO. If necessary, the Director, LDEO will consult with the LDEO Executive Committee to arrive at a solution.

The Doherty Salary Insurance Plan for Lamont Research Professors

The function of the Doherty Salary Insurance Plan is to provide salary security for Lamont research professors for the term of their appointment. The Director will maintain a ‘back-stop’ fund sufficient to cover salary shortfalls. However, Lamont research professors are expected to raise sufficient funds to support themselves and their research programs from external sources and designated sources of support.

Allocation of support funds from the Doherty Salary Insurance Plan is not automatic and will be authorized by the Director only after all other sources of salary support for the individual have been expended, including individual incentive accounts. Allocations from this insurance plan may total that needed to insure full support during the term of the appointment (excluding summer months). However, there are three instances under which an individual may be subject to a full review (explained below). The Director, LDEO will not immediately authorize assignment of resources from the salary insurance plan to the Lamont research professor (of any rank) if one or more of the following three situations apply:

1. The individual receives an allocation from the insurance plan in excess of 4.5 months during any year of their appointment;
2. The individual does not make good-faith efforts to raise external funding by submitting competitive proposals requesting at least (9-n) months of support in the previous twelve months;
3. The individual has received an evaluation in the previous academic year in the annual merit review process that is below 3.0 (i.e. below expectations)

The Division Administrator for each division is responsible for informing the Associate Director of the first two points listed above, i.e. if the Lamont research professor has received a salary

allocation in excess of 4.5 and/or has not written proposals requesting 9-n months of support. The Associate Director is responsible for immediately informing the Director, LDEO. The Director's Office will keep track of the third point listed above, i.e. unsatisfactory performance in the merit review process. Under any of the above three circumstances, the Director, LDEO will send out a letter to the relevant individual that his/her five-year contract will not be renewed until performance meets expectations. In the highly unlikely event that the individual is already in the final year of his/her contract, a one-year appointment may be issued until the Director, LDEO has reviewed the case with the LDEO Executive Committee. The Director, LDEO will call a formal vote by the Executive Committee to determine whether insurance plan funds should be committed, or whether a full review of the individual should be carried out.

If a full review is recommended, the Director, LDEO solicits between five and ten letters (depending on the seniority of the Lamont research professor) from external reviewers. These letters, along with a full dossier (containing the Lamont research professor's CV, list of publications, current & pending support statement, statement of research interests and accomplishments, and statement of other professional contributions including development and implementation of important research and/or education initiatives, technical innovations, and service to the scientific community), are presented to an ad-hoc committee – comprising a Chair plus three members of the Senior Staff, a Columbia University faculty member from a related area, and an external member – who will convey to the Director whether the Lamont research professor is performing according to the expectations defined earlier in this handbook.

If the finding is that the Lamont research professor is not performing according to expectations, and that finding is endorsed by the Director, LDEO and the LDEO Executive Committee, the individual's salary is reduced at a rate of 20% annually until performance meets expectations. Continued poor performance will result in the initiation of termination procedures according to university policy. Further information on termination procedures may be found in a subsequent section of this handbook.

On occasion, it may become necessary to place a Lamont research professor on a leave of absence for "lapse of funding" until funding is resumed. Such a leave requires the approval of the Director, LDEO and will normally not exceed 12 months. However, the Director, LDEO can extend this leave to a maximum of another 12 months if the individual is expected to obtain new funding within that period. The Director, LDEO, will consult with the Associate Director of the relevant division before placing the Lamont research professor on such a leave of absence.

Expenditure of Salary Support Raised by Lamont Research Professors

Salary support raised by Lamont research professors will first be used to support that portion of their nine-month salary that is not covered by institutional support (i.e. 9-n months). After 9-n months have been covered, any additional salary will be used to replace institutional support minus 0.5 months (*Lamont research professors are required to use 0.5 months of support from the salary support plan in order to ensure compliance with federal reporting regulations*). After these 8.5 months of salary have been raised and charged, either through external ICR bearing grants or designated sources of salary support, Lamont research professors can earn summer salary of up to 3 additional months. Details of summer salary are given in a subsequent section.

Individual Incentive Plan

Lamont research professorships are partially supported by the Lamont endowment, i.e. the institution will provide “n” number of months out of 9 months. However, it is crucial for the institution to have its scientific staff bring in additional external funds. Accordingly, a plan has been established to incentivize Lamont research professors to bring in additional external funds. According to this incentive plan, when Lamont research professors raise enough salary to be able to reduce the salary support required from the institution, a portion of the money that they have saved the institution is deposited into an individual incentive account in their name, to be used to support their research. As noted earlier, Lamont research professors are required to use a minimum of 0.5 months of institutional support from the salary support plan to assist in compliance with federal reporting guidelines.

The Individual Incentive Plan is structured as follows: a fixed number of months (n) of institutional salary support are provided each year. For each month in excess of 9-n months (up to 9 months) of salary raised from overhead bearing contracts or grants or other designated sources of support (as defined earlier) *that reduces salary support from the institution*, Lamont research professors will receive the cash equivalent of 0.5 month salary plus fringe deposited in their individual incentive account (informally known as the “green money” account) to be used to support research. *The key criterion for earning green money is the reduction of support to the individual from what was originally offered as base support by the institution. Green money cannot be earned on any part of a Lamont research professor’s salary that is provided by LDEO.*

Money in individual incentive (‘green money’) accounts can be used to support summer salary according to certain restrictions. According to these restrictions, as of July 1, 2010, ‘green money’ accounts will be split equally into two sections: one reserved for bona fide research

expenses excluding summer salary ('light green'); and the other for summer salary ('dark green'). As 'green money' is earned, it is split equally between these two categories. Lamont research professors may move money from the dark green to the light green account, but not vice versa. Regardless of the existence of funds in one's individual incentive account, summer salary cannot be charged unless 8.5 months of salary support have been raised and charged in the previous 12 months, excluding any salary that has already been designated as summer salary. Each individual can draw upon his/her account at any time to support research expenses as long as he/she continues to hold an appointment in one of the Lamont research professor ranks. Table 1 shows different scenarios on how the individual incentive accounts, along with the salary support and insurance plans, are calculated.

Table 1: Support Scenarios for Lamont Research Professors

(Note: this table assumes a maximum n = 3.5 months)

(a)	(b)	(c)	(d)	(e)	(f)
Months of Salary from Federal & Designated Support*	Months of Support from Salary Support Plan	Months of Support from Salary Insurance Plan	Months of Support Deposited in Incentive Account*	Total Salary Support	Summer Salary
11.5	0.5	0	1.5	12	3
10.5	0.5	0	1.5	11	2
9.5	0.5	0	1.5	10	1
8.5	0.5	0	1.5	9	0
8	1	0	1.25	9	0
7	2	0	0.75	9	0
6	3	0	0.25	9	0
5	3.5	0.5	0	9	0
4	3.5	1.5	0	9	0
3	3.5	2.5	0	9	0
2	3.5	3.5	0	9	0
1	3.5	4.5	0	9	0
0	3.5	5.5	0	9	0

Where $e = a + b + c$; and $0.5 \leq b \leq n$; and $c = \max [0, \{9 - (a + b)\}]$; and $d = (n - b)/2$;

If $a \geq 8.5$ then $b = 0.5$; If $a < 8.5$ then $(b + c) = (9 - a)$

*Designated support may be used for the 9 month salary support but may not be used towards incentive accounts; Column d assumes that salary has been raised from federal grants.

Summer Salary

Lamont research professors are encouraged to raise up to an additional 3 months of their annual base salary as additional compensation in the form of summer salary. This summer salary is subject to the rules of the agency from which the funds are provided, and to the availability of those funds. Before Lamont research professors can earn summer salary, they need to have raised and charged 8.5 months of salary support in the previous 12 months from external and/or designated sources of support, excluding any salary that has already been designated as summer salary. In other words, summer salary can only be earned if an individual does not use more than 0.5 months of base support (or “n”) from the institution. The total salary raised from federal agencies cannot exceed 11.5 months including summer salary. Further, Lamont research professors are expected to comply with the restrictions of funding agencies on summer salary.

While the default summer period is June through August (in accordance with the standard nine-month academic calendar), in order to allow flexibility to accommodate external grant schedules Lamont research professors may take up to three months of summer salary in any *one* of the following three periods: a) January through April, or, b) May through August, or c) September through December. If a Lamont research professor plans to draw a summer salary, then s/he must inform the divisional Associate Director of the intended period that will be designated as “summer” at least 3 months prior to the beginning of that period.

In accordance with university policy, summer salary is treated as additional compensation. However, unlike most forms of additional compensation, summer salary carries a pension contribution. Summer salary is limited to up to three-ninths of the base salary and can be earned only after 8.5 months of salary have been raised and charged in the previous twelve months, excluding any salary that has already been designated as summer salary.

As stated in an earlier section, salary support raised by Lamont research professors will first be used to support that portion of their nine-month salary that is not covered by institutional support (i.e. 9-n). After 9-n months have been covered, any additional salary will be used to replace institutional support minus 0.5 months (Lamont research professors are required to use 0.5 months of support from the salary support plan in order to ensure compliance with federal reporting regulations) before counting towards summer salary.

Money in individual incentive (*‘green money’*) accounts can be used to support summer salary according to certain restrictions. According to these restrictions, as of July 1, 2010, ‘green money’ accounts will be split equally into two sections: one reserved for bona fide research expenses excluding summer salary (*‘light green’*); and the other for summer salary (*‘dark*

green'). As 'green money' is earned, it is split equally between these two categories. Lamont research professors may move money from the dark green to the light green account, but not vice versa. Regardless of the existence of funds in one's individual incentive account, summer salary cannot be charged unless 8.5 months of salary support have been raised and charged in the previous 12 months, excluding any salary that has already been designated as summer salary.

Requests for additional compensation paid from an externally sponsored award must comply with the requirements of the granting agency as well as the University's policies and government requirements on salary augmentation. Therefore, such payments also require the prior authorization of the University's Office of Sponsored Projects Administration before they may be submitted to the Assistant Provost for Academic Appointments. Lamont research professors should consult with the Office of Sponsored Projects Administration to determine if they qualify for additional compensation from a grant or contract during the regular academic year. They may, however, receive up to three-ninths of their base salary from those sources during the summer months. Please review the section on summer salary for details on compensation for summer months.

Procedures for Appointment & Promotion

Promotion of LDEO Postdoctoral Research Scientists/ Fellows to Lamont Assistant Research Professor

This section applies only to those individuals holding postdoctoral appointments at Lamont that were competed openly and have been cleared through the appropriate AA/EO procedures. Promotion procedures may be initiated at any time during the year. The normal timeline for a postdoctoral scholar to be considered for promotion is usually in the third year of appointment as a postdoctoral scholar.

The candidate must be nominated to the LDEO Promotions and Careers (P&C) Committee by a member of the LDEO Senior Staff. The nomination, accompanied by a curriculum vitae and four seconding letters from members of the LDEO Junior or Senior Staff, is sent electronically to the P&C Committee. If appropriate, the nominator may consult with the Associate Director on choosing the seconders. If acceptable to the Director, LDEO and the Associate Director of the candidate's division, letters may be provided by other individuals who are not members of the LDEO Senior or Junior Staff but who are very familiar with the candidate's work, and have demonstrated close ties to LDEO.

The P&C Committee, after doing a preliminary review of the nomination, informs the nominator and the relevant Associate Director whether the case is suitable to be considered for review. The preliminary review may be done electronically if acceptable to members. The Associate Director must also seek confirmation from the Director, LDEO that funds are available for such an appointment/promotion wherever applicable. Once this confirmation is received, the Associate Director compiles a dossier for the P&C Committee. This dossier is comprised of the nomination, curriculum vitae, and seconding letters plus the following:

- A statement of research interests, areas of research development, and other areas of interest such as teaching, public education, or service to the scientific community;
- A statement of current and pending support from all sources;
- At least *six* letters of support including at least two from outside the Observatory. A letter of support from a senior scientist in another Earth Institute unit, or tenured faculty member of a Columbia University department, may on occasion be appropriate. The acceptability of all letters of support is determined by the P&C Committee Chair in consultation with the Director, LDEO. Letters from within the Observatory submitted as seconding letters for nomination may be used as letters of support in the full dossier, if they provide substantive insight into the candidate's accomplishment and potential.

Once the dossier for the nominated candidate has been prepared and submitted, it is reviewed at a meeting of the P&C Committee. At the meeting, the Associate Director providing the dossier may be asked to provide a written or verbal statement in support of the promotion to the Committee chair. The Committee will do one of the following:

- Recommend promotion or denial of promotion to the Director, LDEO who reviews the recommendation with the Executive Committee and calls a formal vote. The Director may also request additional information from the P&C Committee if necessary. The Director, LDEO makes the final decision.
- Request additional information and reconsider the nomination when that information is provided.
- Recommend that the promotion be considered at a later date, for candidates who are not approaching their three-year limit as a postdoctoral scientist. In the event that a candidate has reached his/her three-year limit (and has not received an extension of the appointment from the Provost's Office) the nomination for promotion to the Lamont assistant research professor track is considered to have failed.

In the case that a promotion to Lamont assistant research professor is not successful, the candidate may remain in his/her existing position until the expiration of that position, taking into account Columbia University's three-year limit for postdoctoral positions.

The Associate Director of the candidate's division, the Director, LDEO and the P&C Committee Chair cannot usually be nominators or seconders. The only exception is if the Associate Director is the primary mentor of the postdoctoral scholar. In such a case the Associate Director may take the role of the nominator, and the Director, LDEO will identify the Associate Director of another division to present the case for promotion at the LDEO Executive Committee.

External Appointment to Lamont Assistant Research Professor

The appointment process begins with an external search for an advertised position. Such a search may be initiated only with the consent of the Director, who will confirm whether funds are available for the appointment. For external appointments, the recommendation of the search committee is equivalent to the nomination for internal promotion. Thereafter, the procedure is essentially the same as that of a promotion within the Observatory. Of the *six* letters of support in the full dossier, at least *two* must be from within the Observatory (these may be from members of the search committee) and at least *three* must be from outside the Observatory (these may include letters solicited by the search committee). A memo documenting the candidate's funding status may substitute for a formal current and pending support statement in the dossier.

Confirming Review for Lamont Assistant Research Professors

The first year in the Lamont assistant research professor track serves as a probationary period and a decision must be made as to whether or not to extend the initial appointment. This decision must be communicated to the candidate at least three months prior to the end of the appointment.

The Associate Director of the candidate's division consults with the candidate and with appropriate colleagues within the Observatory and makes an assessment of the candidate's progress. A formal written recommendation is made by the Associate Director, which along with the candidate's curriculum vitae and current and pending support statement is reviewed by the P&C Committee. This review should occur by February in the first year of appointment. The P&C Committee forwards the result of this review to the Director, LDEO for action. A positive outcome to this review will generally result in the granting of a three-year term appointment. Any decision not to reappoint a Lamont assistant research professor beyond the probationary

year must be reviewed and voted upon by the LDEO Executive Committee. A negative outcome will result in the Lamont assistant research professor appointment being terminated. Table 2 outlines the different reviews for Lamont assistant research professors.

Developmental Review of Lamont Assistant Research Professors

In their third year, Lamont assistant research professors are reviewed for research performance and must clear the Developmental Review to get reappointed. The responsibility for organizing this review lies with the divisional Associate Director.

The goals of the Developmental Review are to:

- a) Determine whether the individual should be granted a second three-year term appointment
- b) Provide the Lamont assistant research professor with feedback about progress in the research career track
- c) Provide the Lamont assistant research professor with a chance to reflect upon and advocate his or her ideas and agenda
- d) Open a channel of communication between LDEO management and the Lamont assistant research professor
- e) Identify individuals whose capabilities are best suited to a different track
- f) Identify high-achievers who should be considered for early promotion.

The review is conducted by a committee comprising a witness, two Associate Directors (including the Associate Director of the candidate's division) and the Director, LDEO. The Associate Director who is not from the Lamont assistant research professor's division chairs the committee. The candidate is offered the opportunity to suggest LDEO Senior Staff members or LDEO Special Research Scientists as a witness, and also to indicate people who would not be desired as the witness. The Director, LDEO makes the final decision on selecting a witness.

In preparation for the Developmental Review, the Lamont assistant research professor should assemble:

- A curriculum vitae with complete publication list
- Reprints or preprints of papers based on work done as an Lamont assistant research professor (maximum 4)
- Statement of past, present and future research interests
- Statement of any other contributions, past, present, and potential, such as:

- development and implementation of important research and/or education initiatives;
- technical innovation in the pursuit of science;
- service to the Observatory and to the scientific community at large.
- Annotated current and pending support statement
- A letter of support from a close collaborator outside of Lamont-Doherty (optional)

The committee reviews these materials and interviews the Lamont assistant research professor. At the interview, the Lamont assistant research professor presents an overview of his/her past, present and future work, and answers questions from the committee. The committee then provides a written report to the Lamont assistant research professor, the P&C Committee, and the Executive Committee, comprising:

1. A statement of the outcome of the review, from among the following three possible outcomes:
 - (a) Performance is considered exceptional and the individual is granted a second three-year appointment as a Lamont assistant research professor, and also offered the opportunity for consideration for early promotion to Lamont associate research professor.
 - (b) Performance is satisfactory and the individual is granted a second three-year appointment as a Lamont assistant research professor. If performance is considered satisfactory but the review committee believes that the individual would benefit from continued guidance, further review activities will be scheduled. In such a case the Associate Director of the individual's division will be responsible for overseeing the necessary review/ guidance activities.
 - (c) Performance is considered unsatisfactory and no additional appointment is granted. The individual leaves the Lamont research professor track after the current appointment has ended.
2. For all candidates who will be remaining at LDEO, an evaluation of the candidate's standing with respect to each of the Lamont associate research professor promotion criteria.
3. For all candidates who will be remaining at LDEO, concrete suggestions for their remaining time as Lamont assistant research professors.
4. For all candidates, a clear and thorough description of their strengths and weaknesses.

The report should be drafted by the review committee chair, and reviewed and approved by the other committee members, after which it is sent to P&C Committee for feedback. Once the P&C Committee has provided feedback, the report must then be approved by the LDEO Executive

Committee. The report should then be discussed with the Lamont assistant research professor in person by the Director, LDEO with the witness and the divisional Associate Director present.

Critical Review of Lamont Assistant Research Professors

The Critical Review must be completed no later than the fifth year of the appointment as Lamont assistant research professor. In exceptional circumstances and with the endorsement of the candidate's Associate Director and the P&C Committee, and with the agreement of the Director, LDEO this review can take place earlier.

The primary goals of the Critical Review are to determine the candidate's suitability for promotion to Lamont associate research professor (junior) and assess the prospects for successful promotion to the LDEO Senior Staff two years in the future. Promotion to Lamont associate research professor (junior) is intended as recognition of exceptional talent and accomplishment in research. Only those candidates with a demonstrably high likelihood of successful promotion to the LDEO Senior Staff with a five-year rolling appointment should be promoted to Lamont associate research professor (junior).

The review is conducted by the P&C Committee. In consultation with the candidate's Associate Director, the Director, LDEO solicits no less than *five* letters from experts outside the university to comment upon the candidate's accomplishments and future potential. The Associate Director solicits formal recommendations in writing from at least four members of the LDEO Senior Staff, and may, if acceptable to the Director, LDEO, solicit recommendations from other individuals who are very familiar with the candidate's work, and have demonstrated close ties to LDEO.

In preparation for the Critical Review, the Lamont assistant research professor should assemble:

- A curriculum vitae with complete publication list
- Reprints or preprints of papers based on work done as an Lamont assistant research professor (maximum 4)
- Statement of past, present and future research interests
- Statement of any other contributions, past, present, and potential, as applicable:
 - development and implementation of important research and/or education initiatives;
 - technical innovation in the pursuit of science;
 - service to the Observatory and to the scientific community at large.
- Annotated current and pending support statement

The full file, consisting of the above-listed items, with both the external letters of recommendation and the internal memos, is then made available for review and comment to all LDEO staff at Lamont associate research professor level and higher. The P&C Committee then reviews all the materials and makes a written recommendation to the Director, LDEO. The complete file, along with this recommendation, is reviewed by the LDEO Executive Committee and a formal vote is called. The Director, LDEO makes the final decision, and then, along with the candidate's Associate Director, meets with the candidate and communicates the primary results of the review process, with a view to assisting the candidate develop his/her career.

Table 2: Review and Appointment Schedule for Lamont Research Professor Track at Lamont-Doherty Earth Observatory

<i>Year</i>	<i>Type of review</i>	<i>Possible Outcomes</i>	<i>Title</i>
1	Confirming	Extension through 4th Year (i.e., grant 3-year appt) OR Notification of non-renewal	Lamont Assistant Research Professor
3	Developmental	Extension through 6th year OR Notification of non-renewal, i.e. terminate at end of 4th year	Lamont Assistant Research Professor
5	Critical	Promotion to Assoc. Res. Prof. Jr. OR Remain as Assist. Res. Prof. and terminate at end of 6th year	Lamont Associate Research Professor (Junior Staff)
7	Major	Awarded 5-year renewable appt OR Terminate at end of 8 th year	Lamont Associate Research Professor (Senior Staff)
8	-----	First year in 5-year appt OR Final year as Assist. Res. Prof.	Lamont Associate Research Professor (Senior Staff)

Major Review for Lamont Associate Research Professors

Candidates will usually be considered for promotion to the LDEO Senior Staff in the rank of Lamont Associate Research Professor with a five-year rolling appointment beginning in the seventh year of appointment as a Lamont assistant research professor. Candidates may request consideration for earlier promotion. Such requests shall be made to the Director, LDEO who will proceed with early consideration on advice from the LDEO Executive Committee and the Promotions & Careers (P&C) Committee.

The P&C Committee Chair is responsible for advising the appropriate divisional Associate Director of which scientists are eligible for promotion in their area of responsibility in September of each year. The Associate Director will then notify the eligible scientists in their division. The process is initiated if a member of the LDEO Senior Staff writes a nominating letter accompanied by seconding letters from four members of the LDEO Senior Staff. If acceptable to the Director, LDEO, other individuals who are very familiar with the candidate's work and have demonstrated close ties to LDEO may contribute letters. A seconding letter from a senior staff member in another Earth Institute unit, or tenured faculty member of a different Columbia University Department, may on occasion be appropriate; acceptability of such seconding letters is decided by the Director, LDEO in consultation with the P&C Committee Chair. The Associate Director of the candidate's division, the Director, LDEO and the Chair of the P&C Committee cannot be nominators or seconders. In order to complete the process in a timely manner, nominations should be received by the P&C Committee before the end of November of Year 7 of counted service. The P&C Committee will review the nomination, and advise the Director, LDEO whether the candidacy is ready to move on to the request for external letters.

For those successfully nominated, the Director, LDEO in consultation with the nominator, the divisional Associate Director, will then select at least *ten* external qualified scientists to solicit letters on the candidate. These external scientists should have a full-time position at a rank equal to or above Research Scientist at their own institution. A packet of materials, prepared by the candidate, will accompany the request for external letters. The candidate will work closely with the Associate Director who provides him/her guidance on putting together a dossier that contains the following:

- A complete curriculum vitae,
- A complete list of publications with up to four reprints,
- A statement of research interests and accomplishments,
- A statement of current and pending support from all sources,

- A statement of other professional contributions (including development and implementation of important research initiatives, development and implementation of important education initiatives, technical innovation in the pursuit of science, and service to the scientific community).
- A Citation Report, generated by the ISI website, prepared by the candidate. Instructions for preparing the citation report can be obtained from the Associate Director and/or the P&C Committee Chair.

During the interval while external letters are being gathered, the candidate shall give a seminar on his or her research. The seminar shall be announced publicly to the Lamont community, and the LDEO Senior Staff will be notified in confidence that this is a promotion seminar.

Following receipt of the external letters, the LDEO Senior Staff at the same rank or above will be invited to review the complete dossier and comment in writing on the suitability of the candidate for promotion. These written comments will become part of the dossier. Additional comments will not be considered from those members of the senior staff who wrote seconding letters unless these additional comments provide supplemental information that was not included earlier. The P&C Committee will review the external letters and internal comments and the Committee Chair will advise the Director, LDEO if the Committee considers that a case has been made for continuing the promotion process.

If the P&C Committee recommendation is negative, and the Director in consultation with the LDEO Executive Committee endorses that recommendation, the promotion process is discontinued. If the candidate being considered for promotion has reached the time limit of the Lamont associate research professor appointment, then the promotion is considered to have failed. The individual will be given a terminal one-year appointment. 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.

If the P&C Committee recommendation is positive and the Director in consultation with the LDEO Executive Committee endorses that recommendation, a LDEO Senior Staff meeting will be held where the Associate Director in the candidate's division presents the case for forming an ad-hoc committee to make a recommendation on promotion. A secret ballot vote is taken during the meeting, which is considered a straw poll expressing the sentiment of those in attendance. A mail ballot is taken following the meeting. Those eligible to vote are members of the LDEO Senior Staff at the same rank or higher than that for which the candidate is being reviewed. 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 be selected by the Director, LDEO and will comprise a Chair plus three members of the LDEO Senior Staff from outside the candidate's LDEO Research Division, a Columbia University faculty member from a related area, and an external member, not to be chosen from among those who contributed letters. The Associate Director of the candidate's division cannot be a member of this committee, but could serve as an advocate if appropriate. The membership of this committee will be held in confidence. The nominator, seconder, or writers of recommendation letters cannot serve on the ad-hoc committee. The recommendation of the ad-hoc committee will be given to the Director. The LDEO Executive Committee reviews this recommendation and a formal vote is taken and recorded. The Director forwards the candidate's dossier, the recommendation of the ad hoc committee, the vote of the LDEO Senior Staff, the vote of the Executive Committee, 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 Lamont associate research professor, a negative decision on promotion causes the candidate to be given a terminal one-year appointment after which s/he must leave the Lamont research professor track. If the candidate was considered for an early promotion and the decision is negative, then the individual must leave the Lamont research professor track at the end of their current appointment.

In exceptional cases, a candidate for promotion to Lamont associate research professor (senior-staff) may be considered for early promotion to the position of Lamont Research Professor with the conditions appropriate for that appointment.

External Appointment as Lamont Associate Research Professor (Junior Staff)

The appointment process begins with an external search for an advertised position. Such a search may be initiated only with the consent of the Director, who will confirm whether funds are available for the appointment. The recommendation of the search committee is equivalent to the nomination/secondering step for internal promotion. After that the steps are essentially the same as those for the Critical Review. External letters obtained by the search committee may be carried over and counted among the *five* external letters in the dossier. A memo documenting the candidate's funding status and history may substitute for a formal current and pending support statement in the dossier. Once the dossier is complete, the Associate Director of the relevant

division will present the dossier to the P&C Committee, which will forward its recommendation to the Director, LDEO. After consultation with the LDEO Executive Committee, the Director, LDEO makes the final decision on the appointment.

External Appointment as Lamont Associate Research Professor (Senior Staff)

The appointment process begins with an external search for an advertised position. Such a search may be initiated only with the consent of the Director, who will confirm whether funds are available for the appointment. The recommendation of the search committee is equivalent to the nomination/seconding step for internal promotion. Essentially the same procedure applies for appointment as for promotion thereafter. External letters obtained by the search committee may be carried over and counted among the *ten* external letters in the dossier. A memo documenting the candidate's funding status and history may substitute for a formal current and pending support statement in the dossier.

Reappointment as Lamont Associate Research Professor (Senior Staff)

The Lamont associate research professor (senior staff) position is a renewable rolling five-year appointment. Reappointment is expected unless clear evidence exists that the candidate is not satisfying the requirements of the Lamont associate research professor (senior staff) position. It is expected that as part of the regular LDEO performance evaluation process, that candidates who are not meeting expectations will be counseled by the appropriate Associate Director, and by the Director, LDEO.

If the Director, LDEO believes that the individual may no longer be meeting the criteria by which he/she was promoted to Lamont associate research professor, the case will be brought before the LDEO Executive Committee for further consideration. The LDEO Executive Committee may request additional information for its own review and may recommend either continuation of the appointment, or a full review with external input. For such a review, up to *ten* letters will be solicited by the Director from external reviewers and provided along with a full dossier to an ad-hoc committee (constituted in the same way as the ad-hoc committee for promotion), who will recommend to the Director if the appointment should be terminated. This recommendation is ratified by the LDEO Executive Committee. If the recommendation is to terminate the appointment, the individual will be guaranteed re-appointment for at least one year as a Lamont associate research professor, with access to the Lamont associate research professor salary support, after which the candidate leaves the Lamont research professor track. The termination of a Lamont research professor track appointment can only occur following a full review with external input, as described above.

Promotion to (Full) Lamont Research Professor

In September of each year, the divisional Associate Directors shall canvass appropriate members of the LDEO Senior Staff in the research area of each eligible scientist to assess the level of support for a nomination and promotion. Minimum eligibility requirements for such a promotion are that the individual must be a member of the LDEO Senior Staff for a period of no less than three years.

The promotion process is initiated if the candidate is nominated by a (Full) Lamont Research Professor or tenured full professor on the LDEO Senior Staff. The nominating letter must be accompanied by four seconding letters from scientists in the above-mentioned senior ranks. A seconding letter from a LDEO Special Research Scientist, or a senior staff member in another Earth Institute unit, or tenured faculty member of a different Columbia University Department, may be appropriate if the letter writer has direct knowledge of the promotion case. Acceptability of such seconding letters is decided by the Director, LDEO in consultation with the P&C Committee Chair. The Associate Director of the candidate's division, the Observatory Director, and the Chair of the P&C Committee cannot be nominators or seconders. Eligible scientists themselves will be notified that a nomination has been received, and may decline to be considered for promotion at this time. The P&C Committee will monitor the nomination process to ensure that well-qualified candidates are not being overlooked, and the Committee Chair or the divisional Associate Director may request the nomination.

The divisional Associate Director has the responsibility of preparing the dossier on the candidate. The dossier should document the candidate's development of leadership qualities, and should include a curriculum vitae, a statement of research interests, areas of research development, and a statement of current and pending support from all sources. In addition, documents showing teaching, public education, and/or service to the scientific community may be included. In order to complete the process in a timely manner, nominations should be received by the P&C Committee before the end of November of the calendar year prior to that in which a successful promotion would occur.

For those nominated, the Director, LDEO in consultation with the nominator, divisional Associate Director, and the P&C Committee, will then obtain external letters on the candidate from not less than *six* qualified scientists. The current (Full) Lamont Research Professors and tenured full professors on the LDEO Senior Staff will also be invited to comment in writing on the suitability of the candidate for promotion. The P&C Committee will review these letters and comments and the Chair will advise the Director, LDEO if a case has been made for promotion.

If the recommendation is positive and endorsed by the Director, LDEO and Executive Committee, the Associate Director presents the case for promotion to the current (Full) Lamont Research Professors and tenured full professors on the LDEO Senior Staff at a staff meeting. A secret ballot vote is taken during the meeting, which is considered a straw poll expressing the sentiment of those in attendance. A mail ballot is taken following the meeting. The vote to move the case forward for promotion 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 a negative recommendation is made by the P&C Committee, and the Director in consultation with the Executive Committee endorses that recommendation, the promotion will have failed. A negative decision on promotion by any of the procedures above causes the candidate to remain in the position of Lamont associate research professor. The candidate may be reconsidered for promotion to (Full) Lamont Research Professor after a period of not less than three years.

If the Director, LDEO does not endorse the P&C recommendation (positive or negative), then after consultation with the LDEO Executive Committee, an ad-hoc committee may be set up to consider the decision. The ad-hoc committee will comprise a Chair plus three members of the LDEO 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. It is expected that if the recommendation of the ad-hoc committee is positive, the promotion process will continue. After receiving the ad-hoc committee's recommendation, the Director, LDEO consults with the LDEO Executive Committee on the case for promotion. The Director, LDEO makes the final decision.

External Appointment as (Full) Lamont Research Professor

The appointment process begins with an external search for an advertised position. Such a search may be initiated only with the consent of the Director, who will confirm whether funds are available for the appointment.

The criteria for appointment as a (Full) Lamont Research Professor are the same as for a promotion to (Full) Lamont Research Professor. For appointments, the recommendation of the search committee is equivalent to the nomination/seconding step for internal promotion. Thereafter, the procedures for appointment to a (Full) Lamont Research Professor from outside LDEO follow the procedures for appointment to Lamont associate research professor (senior staff) i.e. *ten* external letters, internal comment period open to those holding (Full) Lamont Research Professor appointment or higher or faculty equivalent, presentation at an LDEO Senior Staff meeting, mail ballot of LDEO Senior Staff, ad hoc committee, Director's recommendation,

and Provost's approval. A memo documenting the candidate's funding status may substitute for a formal current and pending support statement in the dossier.

In the event that the appointment to (Full) Lamont Research Professor does not succeed, the candidate may be eligible for a Lamont associate research professor position or other position at LDEO; however, this is dependent on receiving approval from the Office of Affirmative Action and Equal Opportunity.

Reappointment as (Full) Lamont Research Professor

Reappointment as (Full) Lamont Research Professor follows the same procedures as that previously described for the Lamont Associate Research Professor (Five Year Term).

Terminations

Lamont research professors are usually guaranteed appointments for the duration of their stated terms. However, appointments may end as a result of any of the following actions: a decision not to reappoint, resignation, retirement, or dismissal.

Notice of Non-Renewal

Lamont research professors are entitled to a notice of non-renewal. In their first year of appointment, they must be informed at least three months in advance of the end of the stated term of appointment that their appointment will not be renewed. For three-year appointments (i.e. at the Lamont assistant and associate junior research professor stage), they are entitled to at least six months of notice that their appointments will not be renewed beyond the end of their stated term. For five-year appointments, they are entitled to at least 12 months of notice that their appointments will not be renewed beyond the end of their stated terms. Notice of non-renewal must be given in writing and must be clear and unambiguous. It may not be contingent upon any subsequent decision (such as the outcome of a Major Review). Termination procedures may be initiated at any time in accordance with university policy.

Resignation

A Lamont research professor who wishes to resign is expected to give notice in writing as early as possible, but in any event no less than three months before the resignation will be effective.

Retirement

Consistent with current law, officers of research cannot be mandatorily retired. A Lamont research professor may voluntarily retire after reaching age 55 if they have 10 years of full-time service by writing, as appropriate, to his or her department chair, director, dean or vice president. Retirement ordinarily occurs at the end of the officer's stated term of appointment. However, it may take effect at an earlier date as long as the officer provides three months' notice, in writing, of the decision to retire.

Dismissal

Dismissal for cause is permitted only when there is clear evidence of failure to perform professional responsibilities or personal misconduct, according to the procedures described below. They also may be dismissed for a violation of the "Rules of University Conduct" concerning demonstrations, rallies, and picketing, following a separate set of procedures. Full-time, compensated officers with more than five years of service who are dismissed for cause are not entitled to the layoff allowance.

The Associate Director is expected to attempt to resolve problems with the performance or behavior of a Lamont research professor before initiating any action to suspend or dismiss. The Associate Director should meet with the individual to discuss the problems and ways of overcoming them. If the individual's performance or behavior does not improve, the Associate Director consults with the Director, LDEO. The Lamont research professor is then given an oral warning and a letter that clearly describes the problems, details the actions s/he must take to remedy them, and warns that disciplinary action, up to and including dismissal, will be taken if they are not corrected within a specified period of time. All these steps must be approved by the Director, LDEO, who is responsible for informing the Provost's Office of the case.

To ensure that Lamont research professors are not subjected to arbitrary or discriminatory procedures, all terminations before the end of the stated term of appointment must be approved by the appropriate Associate Director, Director, LDEO, and the Provost. The Provost has delegated responsibility for reviewing requests to terminate for cause to the Senior Vice Provost for Academic Administration. A Lamont research professor may grieve a decision of dismissal, following the grievance procedures of the University. Officers who elect that option may not be terminated until the investigation of their complaints is completed, and the Provost concludes that the decision to dismiss is justified. They normally continue to receive salary until the Provost reaches a decision.

Instructional Assignments

Lamont research professors who undertake teaching assignments within Columbia University may count their teaching salary as a designated source of salary support up to a maximum of 2.25 months in the nine-month academic year.

Additional Compensation

Each month during the regular nine-month academic term, Lamont research professors may receive up to 20 percent of their monthly base salary as compensation for additional services provided to other units of Columbia University. These payments of additional compensation must be approved by the Director, LDEO. They also require the approval of the Provost, authorized by the Assistant Provost for Academic Appointments. No promises of additional compensation may be made until all of the necessary approvals have been obtained, nor may anyone start to work in anticipation of those approvals. Payments for such services is usually made through the university. Lamont Research Professors are not allowed to take on teaching assignments outside the university during the nine-month academic year, except with special permission of the Provost.

Requests for additional compensation paid from an externally sponsored award must comply with the requirements of the granting agency as well as the University's policies and government requirements on salary augmentation. Therefore, such payments also require the prior authorization of the University's Office of Sponsored Projects Administration before they may be submitted to the Assistant Provost for Academic Appointments. Lamont research professors should consult with the Office of Sponsored Projects Administration to determine if they qualify for additional compensation from a grant or contract during the regular academic year. They may, however, receive up to three-ninths of their base salary from those sources during the summer months. Please review the section on summer salary for details on compensation for summer months.

Conflict of Commitment & Conflict of Interest

The primary professional obligations of Lamont research professors are to the University. Outside professional interests and employment must not interfere with their obligations to the University. Lamont research professors may not participate in any outside activities, for or without compensation, that will absorb an undue amount of their time and thereby interfere with the performance of their duties as officers of the University. Outside employment, consulting, and other interests are limited to one day a week during the period in which a Lamont research

professor is expected to provide services to the University. In cases where payments for such services are not made through the university, Lamont research professors must fill out and submit a conflict of interest and a conflict of commitment form.

Lamont research professors who are Principal Investigators on external grants are required to comply with federal effort reporting requirements and cannot participate in outside activities if these violate any effort reporting requirements.

Depending upon the nature of the outside activity, a conflict of interest or a conflict of commitment may exist even when a Lamont research professor observes the time limit prescribed by the University's policies or engages in them during the summer months. As new information technologies have greatly expanded, the opportunities for members of the University community to create and disseminate their works to new audiences in new ways has also expanded. Lamont research professors may not engage in outside activities that directly compete with the mission and interests of the University or are in conflict with their University responsibilities, regardless of the time they require.

When there is any doubt as to whether an outside engagement falls within the range of allowable activities, a Lamont research professor should first consult with their Associate Director or the Director, LDEO. Prior provostial approval is also required to hold full-time positions outside of the University. Lamont research professors who wish to be the principal investigator on an externally funded award that is administered by another institution need the prior authorization of the Executive Vice President for Research.

Outside activities must not conflict with the University's patent and copyright policies. The intellectual property rights in the patentable inventions and discoveries, and any associated technology, of its officers generally vest in the University if they result primarily from the use of its facilities or from work while engaged in its service. The University claims copyright ownership to works of authorship by Lamont research professors in more limited circumstances, as defined by its Copyright Policy (see Appendix), primarily when the works are created with substantial use of University resources or are commissioned for use by the University.

Lamont research professors may not divert University materials, supplies, facilities, or personnel to support outside consulting assignments. They should also avoid entering into consulting agreements that could give rise to overlapping intellectual property claims by both the University and the sponsoring entity. Also, the responsibility for recognizing and avoiding conflicts of interest rests primarily with the Lamont research professor.

Leaves of Absence for Lamont Research Professors

Lamont research professors may request leaves of absence for scholarly and research purposes. In addition, Lamont research professors are given leaves for medical reasons, child-care, military or public service, and compelling personal need.

Eligibility

Only full-time Lamont research professors are ordinarily entitled to leaves. All Lamont research professors, regardless of rank, may receive leaves for medical reasons, child care, military or public service, or compelling personal need.

General Policies and Procedures

Professional leaves and leaves of absence for scholarly purposes normally correspond to an academic term or year. The University also seeks to coordinate child-care and public service leaves with the academic calendar. Other types of leave – medical, military, and for compelling personal reasons – may begin and end on other dates.

Lamont research professors normally may be on leave for a maximum of two consecutive years. Further extensions are rarely given, except in the case of long-term leaves for medical reasons or military service.

Lamont research professors, with certain exceptions described below, are expected to return to the University for at least one year of full-time service after a leave of absence. Those who do not return after a leave with salary are expected to reimburse the University for costs incurred by the University. The Provost may waive these requirements on the recommendation of the LDEO Director.

Leaves of absence may affect a Lamont research professor's benefits, depending upon the terms of the benefits program, the amount of base salary the individual receives, and whether the period of absence can be classified as a leave under the Family and Medical Leave Act of 1993 (see "FMLA Leaves," below). Lamont research professors should contact a counselor in Human Resources for detailed information about their benefits while they are on leave.

Professional Leaves

Professional leaves may be granted to Lamont research professors depending on the availability of funds to the Observatory. Lamont research professors may take professional leaves from their regular responsibilities to participate in research at another academic or research institution. A Lamont research professor of any rank is eligible to a professional leave of one academic year at half base salary or a half academic year at full base salary after raising and charging 51 months of salary from external ICR bearing sources of funding or other designated sources of salary support. Summer salary also counts towards eligibility for a professional leave. Any portion of a Lamont research professor's professional leave salary funded by an individual incentive account will be matched by the Observatory, subject to a total professional leave term of nine months. Lamont research professors who expect to fund at least half of their professional leave salary through the individual incentive account become eligible for a professional leave after raising and charging 42 months of salary from external ICR bearing sources of funding or designated sources of salary support. Regardless of whether this leave is taken after raising 42 months or 51 months, the amount remains the same – one academic year at half base salary or a half academic year at full base salary – i.e. 4.5 months of salary support.

Lamont research professors who were members of the Doherty research staff prior to July 1, 2010 will earn a number of months of eligibility towards a professional leave that is equal to two times the number of years the individual has served full-time as a Doherty scientist. The Doherty track was established in 2001 and includes all ranks of Doherty research scientists except the Doherty Senior Scholars who were appointed Doherty scientists prior to 2001.

A Lamont research professor who chooses to forfeit a professional leave after becoming eligible for it is entitled to receive half the salary support for the professional leave (i.e. one half of one half academic year or 2.25 months) in his/ her individual incentive account.

Lamont research professors who take other types of leaves are expected to serve in a full-time capacity for at least two years before taking a professional leave. Exceptions require the prior approval of the LDEO Executive Committee, the Director, LDEO as well as the permission of the Provost.

Lamont research professors may ask to advance their professional leave by up to one year to meet departmental needs or for compelling personal reasons. Such an arrangement requires the approval of the LDEO Executive Committee, the Director, LDEO as well as the special permission of the Provost. Following an early professional leave, months of salary raised are credited first toward completing the 51-month salary requirement for that leave.

A professional leave is granted only if a Lamont research professor intends to return to the University for at least one academic year of full-time service. The Director, LDEO will allow an exception to this requirement only for Lamont research professors eligible for a professional leave during the year in which they will retire, provided that they do not intend to assume a position at another institution. Lamont research professors who leave the University for another position within a year of taking a professional leave are expected to return their professional leave salary or have their new institution reimburse the University for expenses incurred by the university. Lamont research professors continue to participate in university benefits programs for officers during a professional leave.

A professional leave may be postponed with the prior approval of the Director, LDEO, for up to two years. If this leave has not been taken by the end of the second year after it was originally due, the Director, LDEO reserves the right to exclude one year of this period from being counted in determining eligibility for the next professional leave. Exceptions are made when:

- a) The postponement is required to meet the instructional or administrative needs of the Observatory. In this case, the entire period is counted toward the next professional leave;
- b) Lamont Associate Research Professors who are eligible for a professional leave immediately upon promotion to the five-year Lamont Associate Research Professor position may postpone it for an additional year without incurring a penalty, in recognition of their need for additional time in which to make plans for professional leave.

At the beginning of each fiscal year the Director's Office will distribute professional leave forecasts to each division within the Observatory. This will consist of a tabulation of number of months 'earned' by each individual towards professional leave eligibility. Lamont research professors with questions about their professional leave eligibility should consult with their Associate Directors. They may also contact the Office of the Director, LDEO. Requests for approval of professional leaves must be received by the Associate Director six months prior to the planned start of the leave. All professional leave requests must be approved in writing by both the relevant Associate Director and the Director, LDEO.

Unpaid Research Leaves

Lamont research professors can take unpaid research leave for up to one year, pending approval from the Director, LDEO. The Lamont research professor must submit a request to the Director, LDEO at least 3 months before the start of the intended leave. The request must indicate what sort of research will be carried out during this period and how it will be beneficial for both the

Lamont research professor as well as LDEO. This leave may be taken as one entire academic year or two separate semesters in different years, with the leave period not exceeding one year in total. The promotion clock for such leaves is stopped only once, for the period of one full year.

Leaves for Lapse of Funding

If it becomes necessary to suspend the payment of salary during the course of a stated term of service, a Lamont research professor is placed on a leave of absence for lapse of funding until the end of the stated term or until funding is resumed, whichever occurs first. The leave may be extended, along with the officer's appointment, for up to 12 months beyond the end of the stated term if the Director, LDEO and the Executive Committee expect the officer to obtain new funding within that period.

A Lamont research professor on a leave for lapse of funding continues to participate in the University's health plans and receives basic life and basic long-term disability insurance for the duration of the leave. Both the University's and the individual's share of the cost of these benefits is paid by the Observatory. Elective insurance benefits – additional life insurance and optional long-term disability insurance – may be continued at the Lamont research professor's expense. The University will cease to contribute to the officer's retirement account. Lamont research professors retain the right to tuition exemption during the semester in which a leave for lapse of funding begins but are not granted the benefit for the remaining duration of the leave.

Medical/ Disability Leaves

Lamont research professors who cannot perform their responsibilities because of illness or injury are given medical leaves of absence with full salary for up to six months from the onset of the disability. If the disability continues for a longer period of time, the Lamont research professor should apply to the University's insurance carrier for long-term disability. If approved, he or she is given a medical leave without salary and will receive a portion of his or her salary from the University's insurance carrier according to the terms of the University's long-term disability program. Lamont research professors who are able to perform some of their normal responsibilities will be given a leave of absence with partial salary that may be supplemented with prorated disability payments from the insurance carrier. Information on the long-term disability program may be obtained from the annual publication *Benefits in Brief*, which can be accessed through a link on the web site of the Office of Human Resources at www.hr.columbia.edu/hr/benefits/page-section.html or by contacting the Manager of the

Return to Work Program or a counselor in that office. The first 12 weeks of medical leave, with or without salary, are deemed to meet the requirements of the Family and Medical Leave Act of 1993 (see “FMLA Leaves,” later).

A Lamont research professor requesting a leave of absence for medical reasons is expected to provide documentation from a physician specifying the nature and anticipated duration of the disability. A Lamont research professor may submit this documentation to the Manager of the Return to Work Program in the Office of Human Resources, who will in turn advise the Associate Director and the Director, LDEO on how long the Lamont research professor will be unable to perform his or her normal responsibilities. The University, at its expense, may have the individual examined by a physician of its choosing if there is any question about whether a disability exists.

The University, at its expense, may also require a Lamont research professor to undergo a medical examination by a physician of its choice when the individual contests the existence of a disability that prevents the performance of his or her academic duties. Should the physician confirm that the Lamont research professor is disabled, the University reserves the right to relieve the Lamont research professor of all responsibilities.

A Lamont research professor who wishes to return to active service after recovering from a disabling illness or injury should submit a letter from a physician stating that he or she is physically capable of returning to work. If special working arrangements are needed for the individual to return from the disability, the physician should also specify the nature of the accommodations required. This information may be submitted to the Manager of the Return to Work Program in the Office of Human Resources. The University may have the individual examined by a physician of its choice before agreeing to the reinstatement.

Full-time Lamont research professors may take advantage of several types of leaves that are designed to assist them in taking care of newborn and newly adopted children. The University treats disabilities arising from pregnancy and childbirth like any other non-occupational disability. A pregnant officer is entitled to a medical leave of absence for the period surrounding the birth of her child during which her doctor certifies that she is unable to work. The officer receives full salary and benefits under the University’s salary continuation plan if the period of leave is six months or less. If the officer is disabled for a longer duration, she should apply to the University’s insurance carrier for long-term disability. If approved, she is placed on a medical leave of absence without salary and the University’s long-term disability carrier starts to make payments equal to a portion of her salary.

Parental Leave

Parental leaves must begin within the first year after the birth or adoption of the new child but may end after it is over. The total period of leave, including the time during which a Lamont research professor who has given birth is on a medical leave, normally may not exceed one year. Exceptions are permitted in cases of extended disabilities arising from pregnancy and childbirth.

Lamont research professors are expected to request medical leaves for childbirth and child care leaves sufficiently early to permit the Observatory to plan for their absence. A Lamont research professor who will give birth should provide written documentation from her physician stating the anticipated duration of the disability. If the actual period of disability differs from the original projection of her physician, she should submit new documentation from her physician so that the medical leave can be changed. She may submit the information on her disability to the Office of Human Resources. She still needs to ask for the leave from her Associate Director and should indicate in her request that the documentation on the disability has been sent to the Office of Human Resources.

Full-time Lamont research professors with newborn infants may take a leave of absence without salary to care for the children. Similar privileges are given to full-time Lamont research professors who are primarily responsible for the care of a newly adopted child of less than school age, or if the child is disabled or meets New York State's legal definition of "hard to place," is less than 18 at the time the leave begins. Same-sex domestic partners of women who give birth and of individuals who adopt are also eligible for these leaves. The first 12 weeks of any child care leave, including medical leaves required by pregnancy and childbirth, are deemed to be leave under the Family and Medical Leave Act of 1993 (FMLA) as described in a subsequent section.

Parental Workload Relief Plan

The Lamont Research Professor Parental Workload Relief Plan has been designed to take into consideration the unique needs of Lamont research professors. There are three eligibility requirements for this workload relief plan. An individual must:

- be a full-time Lamont research professor (any rank);
- have been employed by the Observatory for at least 12 months;
- be primarily responsible for the care of a newborn child of less than one year of age or a newly adopted child or if the child is disabled or meets New York State's legal

definition of “hard-to-place,” less than 18 at the time the leave begins.

For the purpose of this policy, a Lamont research professor is the “primary parent” if he or she is a single parent or, where there are two parents, if the other is working full-time or is enrolled as a full-time student. Lamont research professors may employ a day-care provider and still qualify as the primary parent. When both parents work at the University, only one may be considered the primary parent at any given time.

Under this plan, a Lamont research professor who becomes a new parent is entitled to 3 additional months of salary support paid by the Observatory. This is in addition to the institutional support “n” already provided by the Observatory. This additional 3 months of salary can be taken in either of two ways:

- One month salary for three consecutive months
- Half month salary for six consecutive months

In the instance that both parents are Lamont research professors, this additional support of 3 months can be shared between them in any proportion of their choosing, subject to the above requirement that this support be taken in full or half month increments.

The workload relief plan will stop the clock for promotions for one year. To be eligible for a stop-the-clock provision, a Lamont research professor must be the primary parent for a minimum of three months for each year that the promotion clock is stopped. When both parents are Lamont research professors at the time of birth or adoption, and meet the eligibility requirements for the Parental Workload Relief Plan, then each parent may choose to have the promotion clock stopped for one year. A Lamont research professor may have the promotion clock stopped in this manner no more than twice. In order to have the promotion clock stopped the Lamont research professor must inform his/her Division Administrator, Associate Director, and LDEO Human Resources (HR) that s/he would like the promotion clock to be stopped.

The period of workload relief must begin within the first year after the birth or adoption of the new child but may continue beyond that year. During this period the Lamont research professor retains their full-time status. They are, however, expected to make themselves available for consultations with students and post-doctoral researchers to continue their research, and to serve on administrative committees. While on workload relief, Lamont research professors are not permitted to accept assignments, either with or without compensation, outside the University.

The workload relief plan is designed to replace the combination of medical and/or child-care leaves for individuals who meet their eligibility requirements. However, eligible Lamont

research professors may still elect to take those leaves rather than ask for workload relief if they wish, for example, to provide no service while taking care of their new children. This includes unpaid leave and/or working a partially reduced load (with a proportional salary) the first year after the birth or adoption of a child. If workload relief is not preceded by other periods of leave covered by the FMLA, the first 12 weeks are deemed to meet the requirements of that Act.

Other Leaves

Lamont research professors are entitled to leaves of absence to fulfill their military obligations under the Uniformed Services Employment and Reemployment Rights Act of 1994. During the first 15 days of such leave each year, the Lamont research professor receives full salary. Thereafter, they are placed on a leave without salary. For information on the policies governing military leaves, officers should consult with a counselor in the Office of Human Resources.

Full-time Lamont research professors may request a leave of absence without salary to deal with a compelling personal need. Faculty who take such leaves to care for seriously ill family members are entitled under the Family and Medical Leave Act of 1993 to at least 12 weeks of unpaid leave, subject to the requirements described below under “FMLA Leaves.” Longer periods of leave for that purpose and all other types of personal leave are granted at the discretion of the Provost on the recommendation of the Director, LDEO. Personal leaves are generally limited to a maximum of one year, but the Provost may authorize extensions on the recommendation of the Director, LDEO.

FMLA Leaves

The Family and Medical Leave Act of 1993 (FMLA) gives certain full- and part-time employees of the University the right to unpaid leave to deal with the following:

- the birth, adoption, or foster placement of a child;
- a medical disability;
- a serious illness of a spouse, child, or parent; or
- a qualifying exigency, as defined by the federal Department of Labor, arising from a spouse, child, or parent serving on or being called to active military duty.

An eligible employee with a family member in the military is entitled to 26 weeks of FMLA leave. The maximum period of FMLA leave for other purposes is 12 weeks in any 12-month period.

To be eligible for an FMLA leave, Lamont research professors must have been employed and paid by the University for at least 12 months immediately preceding the commencement of the leave. In addition, they must have provided at least 1,250 hours of service during that 12-month period. Any compensated employment – regardless of title and including periods on the casual payroll – counts in determining if the officer meets these requirements. Leaves with salary also count, but those without salary do not.

The leaves full-time Lamont research professor may take under University policies for the purposes covered by the FMLA are considerably more generous than those required by the Act, with the exception of certain benefits provisions. Consequently, the University considers the first 12 weeks of any such leave as fulfilling the requirements of the Family and Medical Leave Act, except for leaves arising from a family member's military service in which case it counts for the first 26 weeks. A further description of the Family and Medical Leave Act and the University's policies and procedures for implementing its provisions may be obtained from the web page of the Office of Human Resources at www.hr.columbia.edu/hr/policies/fmla/fmla/index.html or by contacting one of its counselors.

Part-Time Career Appointment for Parents

To assist Lamont research professors with small children to carry out research while raising a family, the University allows Lamont research professors who are members of the junior staff to hold part-time career appointments while maintaining full-time status. A part-time career appointment is authorized by the Provost on the recommendation of the Director, LDEO.

To be eligible for the part-time career appointment, the Lamont research professor must be primarily responsible for the care of a child under the age of nine and plan to devote the time freed up by the appointment to that responsibility. For the purpose of determining eligibility, the definition of a primary parent is the same as that described earlier in the Parental Workload Relief Plan section.

Requests for part-time career appointments should be made in writing to the Director, LDEO, who will then forward the request to the Office of the Provost for approval. Such requests must be made at least 2 months prior to the intended start date. Once the Provost's approval has been received, the Director, LDEO will notify the Lamont research professor accordingly.

Each year of a part-time career appointment is treated as a half-year in determining the Lamont

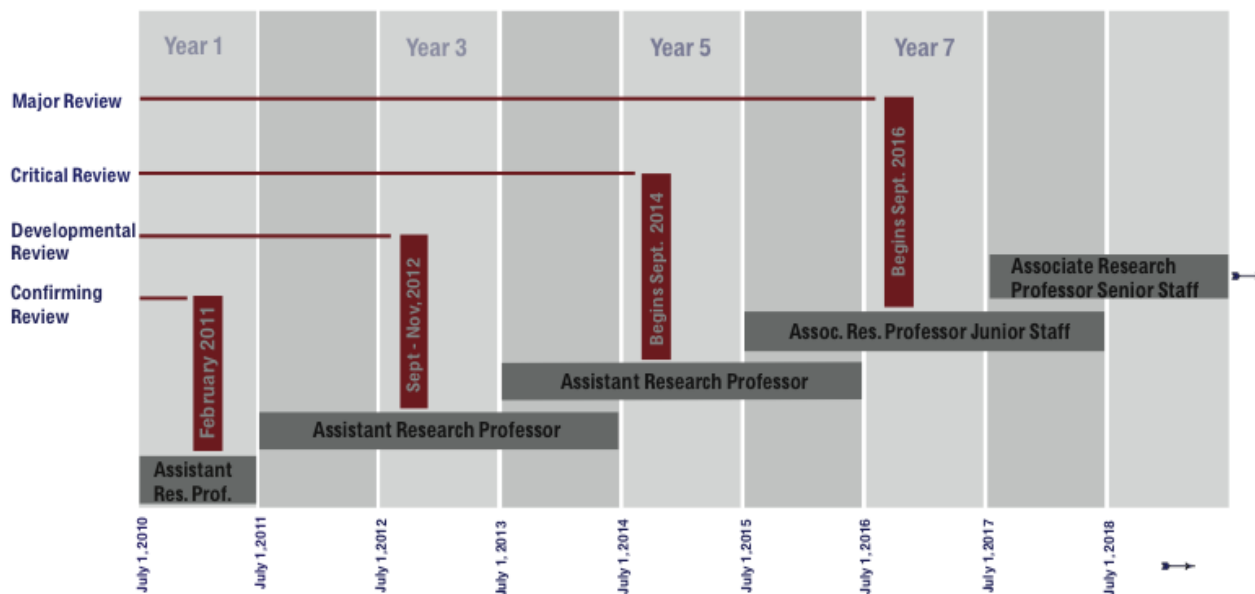
research professor's expected promotion date to the senior staff, thereby providing additional time before the Lamont research professor must be reviewed for promotion. Full-time service, either before or after holding such an appointment, is counted in the normal manner.

While on a part-time career appointment, Lamont research professors perform 50% of their normal responsibilities and are paid an equivalent percentage of their normal salary. Individuals remain eligible to participate in the University's fringe benefits programs, including health insurance, life insurance and long term disability insurance. They may not work for compensation outside of the University.

Lamont research professors may hold such part-time career appointments as long as they meet the eligibility requirements and annually inform their Associate Director and the Director, LDEO of their intention to continue to serve in a part-time capacity. They may return to full-time service upon providing timely written notice to their Associate Director and the Director, LDEO.

In the event that a postdoctoral scholar wishes to be considered for a part-time career appointment at the time of being considered for promotion to the Lamont research professor track, his/her dossier should clearly indicate this. The P&C Committee should factor this into the deliberations when reviewing the case for promotion. In order to be eligible, the candidate must meet the eligibility requirements for Lamont research professors for this sort of appointment, i.e. be primarily responsible for the care of a child under the age of nine and plan to devote the time freed up by the appointment to that responsibility.

Appendix 1: The Review Timeline for Lamont Research Professors



Explanation of Timeline:

Assuming a Lamont assistant research professor is appointed Jul 1, 2010 in Year 1:

- If s/he clears the Confirming Review, s/he will be appointed from Jul 1, 2011 – Jun 30, 2014. If s/he doesn't clear this review, the appointment is terminated June 30, 2011.
- If s/he clears the Developmental Review the appointment will be extended until Jun 30, 2016. If s/he doesn't clear the Developmental Review the appointment is terminated June 30, 2014.
- If s/he clears the Critical Review s/he is promoted to Lamont associate research professor (Junior staff) from Jul 1, 2015 – Jun 30, 2018. If s/he doesn't clear the Critical Review, the appointment is terminated June 30, 2016.
- If s/he clears the Major Review s/he is promoted to Lamont associate research professor (Senior staff) from Jul 1, 2017 – Jun 30, 2022. If s/he doesn't clear the Major Review, the appointment is terminated June 30, 2018.