

Procedures for Appointment and Promotion

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Appointment to Lamont Assistant Research Professor

The appointment process for a Lamont Assistant Research Professor begins with an open and widely advertised search. Such a search may be initiated only with the consent of the LDEO Director. Candidates will typically be asked to submit the following materials:

- A curriculum vitae, including a complete list of publications;
- Information on grants obtained and proposals written to date;
- A statement on research plans and any other areas of interest, such as teaching, education and public outreach, or service to the scientific community; and
- At least three letters of reference.

The LDEO Director appoints a selection committee to review the applications; the committee will have representation from members of the Lamont scientific staff with expertise in the research areas highlighted in the advertisement. The search committee evaluates the applicants and makes one or more recommendations to the LDEO Director, who then discusses the recommendations with the LDEO Executive Committee (hereafter ExCom) and calls for a vote. The LDEO Director makes the final decision. Following university practice, most appointments will start on or as close as possible to 1 July or 1 January.

Reviews for Lamont Research Professors

Every Lamont research professor is reviewed annually for performance as part of the Observatory's standard salary and merit review procedures. To monitor and provide feedback on their professional progress on the research professor track, Lamont research professors on the junior scientific staff of LDEO are also evaluated for performance in formal reviews normally scheduled in their first, fourth, sixth, and seventh years on the Junior Staff. Lamont Associate Research Professors on the Senior Staff are eligible for promotion to full Lamont Research Professor after at least three years on the Senior Staff. The Director's Office is responsible for advising the appropriate divisional Associate Directors about those scientists who are eligible for review and promotion in a given academic year in August of that year. The Associate Director will then notify the eligible scientists in their division, advise them on the assembly of an appropriate dossier, and solicit internal materials as needed. As a matter of

policy and tradition, the Director is responsible for soliciting letters from external referees and any other external materials as deemed necessary. All internal and external dossier materials, irrespective of the type of review, are held in the strictest confidence unless otherwise required by university policies. The identities of internal and external referees, the content of their letters or verbal conversations, and the nature of their recommendations must not be made available to the candidate undergoing review, unless otherwise required by university policies. Table 2 outlines the different reviews for junior scientific staff on the Lamont research professor track.

Confirming Review for Lamont Assistant Research Professors

The first year as a Lamont Assistant Research Professor serves as a probationary period, and a decision must be made before the end of that year as to whether to extend a research professor's 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. The Associate Director makes a formal written recommendation, which along with the candidate's curriculum vitae and current and pending support statement is reviewed by the Promotions and Careers Subcommittee (hereafter P&C Committee). This review should occur by May of the first year of appointment (or, in case of an appointment with an anniversary date substantially later than 1 July, by the eighth month following the start of the appointment). The P&C Committee forwards the result of this review to the LDEO Director for action. A positive outcome to this review will result in a three-year term reappointment. Any decision not to reappoint a Lamont Assistant Research Professor beyond the probationary year must be reviewed and voted upon by ExCom. A negative outcome will result in the termination of the appointment.

Developmental Review of Lamont Assistant Research Professors

The Developmental Review must be completed by the end of the fourth year of an appointment as a Lamont Assistant Research Professor. A successful Developmental Review is a prerequisite to reappointment and results in promotion to the rank of Lamont Associate Research Professor (Junior Staff). The Developmental Review is a thorough assessment of a Lamont Assistant Research Professor's potential for meeting, at the time of the Major Review,

each of the criteria for promotion to the Senior Staff. The responsibility for organizing this review lies with the divisional Associate Director who may be assisted by the LDEO Director's Office.

The goals of the Developmental Review are to:

- a) Determine whether the individual should be granted a three-year term appointment as a Lamont Associate Research Professor (Junior Staff)
- b) Provide the Lamont Assistant Research Professor with feedback about his or her professional progress in the research faculty track
- c) Open a channel of communication between the Director's Office and the Lamont Assistant Research Professor
- d) Identify individuals whose capabilities are better suited to a different track
- e) Identify exceptional individuals as candidates for early promotion.

The review is conducted by a committee composed of an advocate, two Associate Directors (including the Associate Director of the candidate's division), the LDEO Deputy Director, and the LDEO Director. The Associate Director who is not from the Lamont Assistant Research Professor's division chairs the committee.

In preparation for the Developmental Review, the Lamont Assistant Research Professor should assemble a dossier that contains the following:

- A curriculum vitae, including a complete list of publications;
- A list of proposals submitted, awarded, and declined;
- A statement of current and pending support;
- Reprints or preprints of up to four papers that describe work done as a Lamont Assistant Research Professor;
- A statement of past, present, and future research interests;
- A statement of any other contributions, past, present, and envisioned, such as:
 - development and implementation of important research and/or educational initiatives,
 - technical innovation in the pursuit of science, and
 - service to the Observatory and to the scientific community at large;
- A citation report, generated by the ISI or Google Scholar website, prepared by the candidate. Instructions for preparing the citation report can be obtained from the Associate Director or the P&C Committee Chair.

While the candidate assembles their dossier, the Associate Director of the candidate's research division should solicit and provide to the Director's office at least two internal letters of support from Lamont Research Professors at the rank of Lamont Associate Research Professor (Junior Staff) or higher. If acceptable to the LDEO Director, other individuals who are very familiar with the candidate's work and have demonstrated close ties to LDEO may contribute letters. A letter of support from a senior staff member in another Earth Institute unit, or a tenured faculty member in a different Columbia University department, may on occasion be appropriate; the LDEO Director in consultation with the P&C Committee Chair decides acceptability of such an internal letter. The LDEO Director, Deputy Director, and Chair of the P&C Committee cannot contribute letters of support. The Associate Director of the candidate's division cannot normally contribute a letter of support, but in the event that the Associate Director is a close scientific collaborator of the candidate being reviewed and would like to contribute a letter of support, he or she must be recused from the Developmental Review process. In such a situation the LDEO Director appoints another individual who will perform the Developmental Review duties normally carried out by the divisional Associate Director.

The Associate Director, in consultation with the candidate, will provide to the Director a list of no less than five names of potential external letter writers, and may also indicate if there are any other individuals who should not be contacted for letters. The candidate is offered the opportunity to suggest an advocate (from among the LDEO Senior Staff members or LDEO Special Research Scientists) and also to indicate people who would not be desired as an advocate. The LDEO Director makes the final decision on selecting the external letter writers and the advocate. After the candidate has submitted the dossier to the Director's Office, the Director's Office will seek at least three external letters of support.

Once the full dossier, including external letters, has been assembled, the Developmental Review Committee reviews these materials and interviews the Lamont Assistant Research Professor. At the interview, the Lamont Assistant Research Professor presents an overview of his or her past, present, and future work and answers questions from the committee. The committee then prepares a written report containing:

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 three-year appointment as a Lamont Associate Research Professor (Junior Staff) and is also offered the opportunity to be considered for early promotion to Lamont Associate Research Professor (Senior Staff). In the event that an early promotion opportunity is

offered, the candidate may decide to undergo a Critical Review in his or her fifth year, after which the candidate may decide whether to stand for the Major Review in the sixth year.

- (b) Performance meets expectations and the individual is granted a three-year appointment as a Lamont Associate Research Professor (Junior Staff). If performance meets most expectations but the committee believes that the individual would benefit from further guidance, additional review activities may be scheduled. In such a case the Associate Director of the individual's division will be responsible for overseeing the necessary review and guidance activities.
- (c) Performance is considered unsatisfactory, and no additional appointment is granted. The individual is given a one-year terminal appointment, after which he or she must leave the Lamont research professor track.

- 2. For each candidate, a clear and thorough description of their strengths and weaknesses.
- 3. For each candidate who will remain at LDEO, an evaluation of his or her potential for meeting, at the time of the Major Review, each of the criteria for promotion to Lamont Associate Research Professor (Senior Staff).

The report will be drafted by the Developmental Review Committee chair and reviewed and approved by the other committee members, after which it is sent to P&C Committee for feedback and possible changes in recommendations. Once the P&C Committee has provided feedback, the report is then evaluated and approved by ExCom; ExCom may elect to edit the report further. The Developmental Review Committee, including the LDEO Director and Deputy Director, then discusses the final report with the Lamont Assistant Research Professor in person.

Critical Review of Lamont Associate Research Professors (Junior Staff)

The Critical Review must be completed no later than the end of the sixth year of the appointment on the Junior Staff. For those cases recommended for early promotion at the Developmental Review, the candidate, in consultation with his or her divisional Associate Director and with the concurrence of the LDEO Director, may elect to stand for the Critical Review in the fifth year of appointment on the Junior Staff.

The primary goal of the Critical Review is to determine the candidate's promise for a successful Major Review and promotion to LDEO Senior Staff the following year. The review

is conducted by the committee empaneled for the candidate's Developmental Review, or, in the event that the original committee members are not available, a committee designated by the LDEO Director.

In preparation for the Critical Review, the Lamont Associate Research Professor (Junior Staff) should assemble:

- A curriculum vitae, including a complete list of publications;
- A list of proposals submitted, awarded, and declined;
- A statement of current and pending support;
- Reprints or preprints of up to four papers that describe work done as a Lamont Assistant Research Professor or Lamont Associate Research Professor;
- An up-to-date citation report;
- A statement outlining actions taken or not taken in response to suggestions given during the Developmental Review;
- A statement of past, present, and future research interests;
- A statement of any other contributions, past, present, and envisioned, such as:
 - development and implementation of important research and/or education initiatives,
 - technical innovation in the pursuit of science, and
 - service to the Observatory and to the scientific community at large.

The Critical Review Committee reviews all the materials and makes a written recommendation to the LDEO Director. The complete file, along with the Committee's recommendation, is reviewed and voted upon by ExCom, no later than the ExCom meeting in April of the candidate's sixth year. The LDEO Director and Deputy Director and the candidate's Associate Director meet with the candidate and communicate the primary results of the review, with the goal of assisting the candidate in preparing for the Major Review the following year.

If, after discussion, the candidate decides to go forward with his or her Major Review, the Critical Review report and the discussions and vote by ExCom constitute the first step of the Major Review process. The complete file, along with any other materials designated by the LDEO Director, is then sent to the P&C Committee for continuation of the candidate's Major Review no later than the following August.

If the candidate decides not to proceed with his or her Major Review, he or she is given a terminal one-year appointment as a Lamont Associate Research Professor (Junior Staff).

Major Review of Lamont Associate Research Professors (Junior Staff)

Candidates will usually be considered for promotion to the LDEO Senior Staff and the rank of Lamont Associate Research Professor (Senior Staff) at the beginning of the seventh year as a member of the Junior Staff. With or without a recommendation for early promotion made during the Developmental Review, candidates may request earlier consideration from the LDEO Director, who will consider early action with advice from the P&C Committee and ExCom.

In preparation for the Major Review, the Lamont Associate Research Professor should assemble a dossier that contains the following:

- A curriculum vitae, including a complete list of publications;
- A list of proposals submitted, awarded, and declined;
- A statement of current and pending support;
- Reprints or preprints of up to four papers that describe work done as a member of the Lamont Junior Staff;
- An up-to-date citation report;
- A statement of past, present, and future, research interests;
- A statement of any other contributions, past, present, and envisioned, such as:
 - development and implementation of important research and/or education initiatives,
 - technical innovation in the pursuit of science, and
 - service to the Observatory and to the scientific community at large.

The candidate's dossier should be completed and submitted to the LDEO directorate no later than the end of September of the candidate's seventh year (sixth year in the case of early consideration).

While the candidate assembles their dossier, the Associate Director of their division will seek five letters of support from members of the LDEO Senior Staff. If acceptable to the LDEO Director, other individuals who are very familiar with the candidate's work and have demonstrated close ties to LDEO may contribute letters. A letter of support from a senior staff member in another Earth Institute unit, or a tenured faculty member in a different Columbia University department, may on occasion be appropriate; the LDEO Director in consultation with the P&C Committee Chair decides acceptability of such an internal letter. The LDEO

Director, Deputy Director, and Chair of the P&C Committee cannot contribute letters of support. The Associate Director of the candidate's division cannot normally contribute a letter of support, but in the event that the Associate Director is a close scientific collaborator of the candidate being reviewed and would like to contribute a letter of support, he or she must be recused from the Major Review process. In such a situation the LDEO Director appoints another individual who will perform the Major Review duties normally carried out by the divisional Associate Director. These letters of support must be delivered to the LDEO Director and the P&C Committee chair by the end of September in the seventh year of the candidate's service on the Junior Staff.

Before the end of September in the seventh year (sixth year in the case of early consideration) of the candidate's service on the Junior Staff, the Associate Director, in consultation with the candidate, will provide the names and full contact information for at least 15 potential external letter writers. The Associate Director may also indicate if there are any other individuals who should not be requested to contribute letters. The LDEO Director will solicit at least 10 letters from qualified external scientists who have a full-time position at a rank equal to or above that of a Lamont Associate Research Professor (Senior Staff) or tenured Associate Professor at their own institution.

During the interval while external letters are being gathered, the candidate will 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 the seminar is part of the Major Review.

Following receipt of the external letters, the LDEO Senior Staff 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 normally not be considered from those members of the senior staff who wrote letters of support, unless these additional comments provide supplemental information that was not included earlier. The P&C Committee will review the dossier, including external letters and internal comments, and the Committee Chair will make a recommendation to the LDEO Director.

If the P&C Committee recommendation is negative, and the LDEO Director, in consultation with ExCom, 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 (Junior Staff) appointment, then the promotion is considered to have failed, and 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 LDEO Director, in consultation with ExCom, endorses that recommendation, an LDEO Senior Staff meeting will be held at which the Chair of the P&C Committee reads the P&C Committee report and the Associate Director of the candidate's division presents the case for forming an ad hoc committee to make a recommendation on promotion. A vote by secret ballot is taken during the meeting; the vote is considered a straw poll expressing the sentiment of those in attendance to continue to the next stage of voting. An electronic ballot is then 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 to form an ad hoc committee carries if two thirds of those voting yes, no, or abstain on the electronic ballot vote yes, and if the affirmative votes constitute a majority of those eligible to vote.

The ad hoc committee, if the vote of the Senior Staff is to proceed, will be selected by the LDEO Director and will comprise six voting members, including 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 of the academic or research community who has not contributed a letter of evaluation. The Associate Director and the candidate may suggest names of potential advocates to the LDEO Director, and may also indicate any people who should not be asked to serve on the committee. The Associate Director of the candidate's division cannot be a member of this committee, but he or she could serve as an advocate if appropriate. The membership of this committee will be held in confidence. The LDEO Director and Deputy Director participate in the meeting of the ad hoc committee, and the LDEO Director may invite other observers who will not vote. Individuals who contributed internal letters of support cannot serve on the ad hoc committee (with the possible exception of the advocate, with the agreement of the LDEO Director). The recommendation of the ad hoc committee will be given to the LDEO Director. The Director may choose to discuss the case further with the Senior Staff members of ExCom. The Director forwards the candidate's dossier, the recommendation of the ad hoc committee, the vote of the LDEO Senior Staff, the vote of ExCom, and his or 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 generally made effective on 1 July of the next academic year.

A negative decision on the Major Review results in a terminal one-year appointment for the candidate, after which he or she 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 his or her current appointment.

Table 2. Review and Appointment Schedule for Lamont 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 the 4 th year (i.e., 3 year reappointment) OR Notification of non renewal	Lamont Assistant Research Professor
4	Developmental	Promotion to Lamont Associate Research Professor (Junior Staff) (3-year appointment) OR Notification of non-renewal, i.e., one-year terminal appointment	Lamont Associate Research Professor (Junior Staff)
6	Critical	Extension through 7 th year	Lamont Associate Research Professor (Junior Staff)
7	Major	Promotion to Lamont Associate Research Professor (Senior Staff) on a renewable 5-year appointment OR Notification of non-renewal, i.e., one-year terminal appointment	Lamont Associate Research Professor (Senior Staff)