

Lamont-Doherty Earth Observatory  
COLUMBIA UNIVERSITY | EARTH INSTITUTE

*Lamont Research Professor*

*Handbook*

*Version 5.0*

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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.*

**UPDATE October 2015:**

This version of the LRP Handbook differs from Version 4 (January 2012) in the “*Procedures for Appointment and Promotion*” section. The revised section in this version of the handbook was discussed and approved by the Associate Directors Council and the Lamont Executive Committee. As additional changes are made to the LRP Handbook, members of the scientific staff will be informed following procedures outlined in the LDEO Bylaws.

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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.
- 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 and 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; 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 4, a second three-year appointment is granted effective the start of Year 5, and the Lamont Assistant Research Professor is promoted to Lamont Associate Research Professor (Junior Staff). 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. The Critical Review in Year 6 serves to prepare the Lamont Associate Research Professor for the Major Review, which is conducted in Year 7. The Major Review 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., a 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., a 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 and 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 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 1), and written notice to all Lamont research professors will be provided prior to January 1 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 LDEO Director 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 LDEO Director 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 LDEO Director. If necessary, the LDEO Director 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 LDEO Director 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 LDEO Director. 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 LDEO Director 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 LDEO Director has reviewed the case with the LDEO Executive Committee. The LDEO Director 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 LDEO Director 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 and 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 LDEO Director 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 LDEO Director and will normally not exceed 12 months. However, the LDEO Director can extend this leave to a maximum of another 12 months if the individual is expected to obtain new funding within that period. The LDEO Director 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 and 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 and Promotion**

### ***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 <sup>th</sup> 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 <sup>th</sup> 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)

### ***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 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 LDEO Director.

If the LDEO Director 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 an 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 occur only 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 LDEO Director in consultation with the P&C Committee Chair. The Associate Director of the candidate's division, the LDEO 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 LDEO Director, 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 LDEO Director if a case has been made for promotion.

If the recommendation is positive and endorsed by the LDEO Director 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 time no less than three years.

If the LDEO Director 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 LDEO Director consults with the LDEO Executive Committee on the case for promotion. The LDEO Director 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 LDEO Director. 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 LDEO Director, 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, the LDEO Director, 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 LDEO Director. 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. Payment 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 and 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 LDEO Director. 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 and the LDEO Director 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 and the LDEO Director 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 LDEO Director 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 LDEO Director, 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 LDEO Director 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. 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 LDEO Director.

### ***Unpaid Research Leaves***

Lamont research professors can take unpaid research leave for up to one year, pending approval from the LDEO Director. The Lamont research professor must submit a request to the Director 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 and 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 LDEO Director 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](http://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 LDEO Director on how long the Lamont research professor will be unable to perform his or her normal responsibilities. The University, at its expense, may ask that the individual be 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 that year 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” and 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” and is 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 LDEO Director. Personal leaves are generally limited to a maximum of one year, but the Provost may authorize extensions on the recommendation of the LDEO Director.

### ***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](http://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 LDEO Director.

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 LDEO Director, 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 LDEO Director 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 LDEO Director 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 LDEO Director.

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: Columbia University Copyright Policy**

The Columbia University Copyright Policy sets forth the rights and responsibilities of the University; its faculty; other employees; students with student officer appointments or other students or postdoctoral fellows who are collaborating with faculty members or researchers; and consultants. Copyright law protects the expression contained in works of authorship such as books, articles, memoranda, texts, computer programs, musical works, dramatic works, pictorial works, motion pictures and other audiovisual works, multimedia works, web pages and sound recordings.

Section I of the Policy describes the various categories of such works of authorship and addresses issues of ownership and assertion of rights in connection with those works. Section II sets forth how the Policy will be administered and provides for the creation of a Copyright Policy Standing Committee made up of faculty members, a student officer, and academic administrators (with the majority consisting of faculty members who do not also have administrative appointments at the University) to address issues concerning the proper interpretation of the Policy and to adjudicate disputes between creators and the University on issues of copyright ownership.

Section II also provides for a disclosure mechanism for works covered by this Policy and describes the procedures for licensing of works subject to University ownership or control under this Policy. When the works are licensed commercially, revenues from such commercialization will be shared among creators, their research accounts, departments, schools and the central University in accordance with Section II and a Distribution Policy attached as Appendix B to this Policy.

To view the full policy visit: <http://www.columbia.edu/cu/provost/docs/copyright.html>