

Lamont-Doherty Earth Observatory
COLUMBIA UNIVERSITY | EARTH INSTITUTE

LDEO Research Scientist

Handbook

Version 1.3.1

November 2012

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

LDEO Research Scientist Handbook

Version 1.3.1, November 2012

General Description

The position of Research Scientist within Lamont-Doherty Earth Observatory results from the development of a number of long-term projects and large, stable research groups within the Observatory. In order to fulfill their scientific objectives, these projects and groups have a long term need for outstanding scientists, whose contributions are essential to the intellectual mission of the project, but whose roles do not necessarily fit the definition of a Lamont Research Professor. Research Scientists hold a Ph.D. in science or an equivalent terminal earned degree. They engage in scientific discourse and activities to advance the intellectual goals of their project and contribute to the scholarly output of their group.

Research scientists are not provided salary support through LDEO's endowments. They are allowed, but not required, to serve as Principal Investigators on grants and contracts. Each Research Scientist will have a specific, individual job description that defines the role and activities that they are expected to undertake within the project or group and they will typically report to a Principal Investigator for the project or group. Research Scientists, however, may also lead facility or research groups and raise external funding for the support of their group.

A Research Scientist will receive an annual performance review based on their job description, their contributions to the project or group, and their scientific output, with the relative importance of these criteria depending on their individual responsibilities. Depending on the Research Scientist activities, the reviewer will be the PI of their project or group or the director of their Division. It is expected that as Research Scientists gain experience and expertise, their responsibilities will grow. As the project requirements allow, they will be promoted through the steps on the Research Scientist career track following the criteria and procedures in this handbook.

Titles

There are three ranks of Research Scientist positions at LDEO:

- Associate Research Scientist (ARS)
- Research Scientist (RS)
- Senior Research Scientist (SRS)

Membership on the Lamont Scientific Staff

Research Scientists and Senior Research Scientists are members of the LDEO Senior Staff, while Associate Research Scientists are members of the LDEO Junior Staff.

Representation on the LDEO Executive Committee

A Research Scientist representative is appointed to the LDEO Executive Committee (ExCom) by the Director, LDEO. This appointment is for three years and is made after consulting with other research scientists. The responsibilities of the research scientist representative are the following:

- Provide a meeting report to other research scientists after every ExCom meeting.
- Solicit input from other research scientists
- Organize research scientist meetings no less than twice a year
- Act as the representative for research scientists and bring to ExCom issues that are relevant to research scientists

Terms of Appointment

Research scientist appointments are generally given out for a term of one year. In some cases the appointment may be for less than a year, depending on the needs of the project. Research scientist appointments carry an expectation of renewal contingent upon:

- i) Satisfactory performance at the annual merit review
- ii) Availability of funding for the position

Salary is guaranteed by LDEO for the term of the appointment. As with all scientific appointments LDEO undertakes to insure, to the extent feasible, the long-term stability of employment of research scientists, especially at senior levels. In the event that the appointment of a research scientist on the LDEO senior staff is not renewed, the individual may request a review to be carried out by the Promotions & Careers subcommittee (P&C), which may recommend to ExCom a support plan that will allow the research scientist to continue in his/her position. Factors considered by P&C will include, but are not limited to, seniority, funding record, relevance of scientific research to LDEO, and the expected amount and duration of the financial support.

Procedures for Appointment & Promotion

Research scientist appointments are renewable yearly, upon successful performance evaluation, contingent on continued funding of the project(s). Appointments and promotions at the senior staff level (RS and SRS) are voted upon by the LDEO Senior Staff and the LDEO Executive Committee. Appointments and promotions for junior staff (ARS) are made at the divisional level.

Appointments/ Promotions to Associate Research Scientist

The following are the requirements for an ARS:

- Ph.D. in a scientific discipline relevant to the project. Post-doctoral experience is not required but may be a preference by the project supervisor, as needed.
- Demonstrated expertise important to an existing or nascent LDEO project.
- A record of publications in the scientific literature (including technical reports and proceedings volumes).
- Additional requirements may be included such as:
 - The ability to generate software, instructional materials, articles about science for a popular audience, websites, databases or similar products pertinent to the position
 - Demonstrated organizational, managerial, editorial or public outreach skills.

External Appointment to Associate Research Scientist

The project supervisor provides the division Associate Director with confirmed documentation of one year of salary support for the ARS position. When the description and funding are approved, the project supervisor provides LDEO HR with a list of search committee members. The project supervisor acts as the chair of the search committee. Search committee members should hold one of the following ranks: Lamont associate research professor, Lamont research professor, Research Scientist, Senior Research Scientist, or DEES associate/ full professor. For all searches, candidates will be expected to provide the following:

1. Curriculum vitae (including list of publications)
2. Names of at least three referees familiar with the candidate's work, holding a position equal to or higher than ARS. At least one of these referees must be external
3. Documentation of any additional professional accomplishments relevant to the job description

After selecting the top candidate, the search committee chair presents the complete dossier (CV, reference letters, job description, any additional documentation) to the division Associate Director for approval. The Associate Director presents the case to P&C for review. P&C makes a recommendation to the Director, LDEO who makes the final decision.

Promotion to Associate Research Scientist

The project supervisor confirms that the candidate meets the position requirements and that funding at a higher salary is available. The project supervisor also verifies that the candidate has satisfied Equal Opportunity/Affirmative Action (EO/AA) clearance requirements, failing which the promotion process is terminated and an external search with EO/AA clearance must be conducted. If the candidate satisfies the EO/AA clearance requirements, the project supervisor compiles a dossier with the following:

- The position description
- Curriculum vitae with publications

- At least three letters of reference, of which at least one is external, from people familiar with the candidate's work
- Documentation of any additional professional accomplishments relevant to the job description.

The project supervisor presents the completed dossier to the division Associate Director for approval. The Associate Director presents the case to P&C for review. P&C makes a recommendation to the Director, LDEO who makes the final decision.

Appointments/ Promotions to Research Scientist

The following are the requirements for a RS:

- Completed Ph.D. and six years experience beyond Ph.D. in a scientific discipline or equivalent terminal degree relevant to the project.
- Demonstrated expertise important to an existing or nascent LDEO project (position description should specify exact expertise required)
- A record of publications in the scientific literature (including technical reports and proceedings volumes).
- Any additional qualifications including:
 - ability to generate software, instructional materials, articles about science for a popular audience, websites, databases or similar products pertinent to the position.
 - demonstrated organizational, managerial, editorial or public outreach skills.

External Appointment to Research Scientist

The project supervisor provides the division Associate Director with confirmed documentation of one year of salary support for the Research Scientist position. When the description and funding are approved, the project supervisor provides LDEO HR with a list of search committee members. The project supervisor acts as the chair of the search committee. Search committee members should hold one of the following ranks: Lamont associate research professor (senior),

Lamont research professor, Research Scientist, Senior Research Scientist, or tenured DEES faculty. For all searches, candidates will be expected to provide the following:

1. Curriculum vitae (including list of publications)
2. Names of at least three referees familiar with the candidate's work, holding a position equal to or higher than RS. At least one of these referees must be external.
3. Documentation of any additional professional accomplishments relevant to the job description

After completing the selection process and short-listing the top candidate, the search committee chair presents the completed dossier (CV, reference letters, job description, any additional documentation) to the division Associate Director for approval. The Associate Director obtains at least two external letters and presents the case to the divisional Senior Staff and calls a vote. The completed dossier along with the outcome of the divisional vote is forwarded to P&C for review. P&C makes a recommendation to the Director, LDEO. The Director, LDEO, consults with ExCom on whether the case should go forward to a Senior Staff meeting. If the recommendation is positive, a LDEO Senior Staff meeting is held where the Associate Director in the candidate's division and the P&C Chair present the case for appointment. A secret ballot vote is taken during the meeting, which is considered a straw poll expressing the sentiment of those in attendance. A mail ballot is taken following the meeting. Those eligible to vote are members of the LDEO Senior Staff at the same rank or higher than that for which the candidate is being reviewed. The vote carries if two thirds of those voting yes or no on the mail ballot vote yes, and the affirmative votes constitute a majority of those eligible to vote. If the ExCom recommendation or the outcome of the mail ballot is negative, the appointment process is discontinued.

Promotion to Research Scientist

The candidate must be nominated by a member of the LDEO Senior Staff. The project supervisor confirms that the candidate meets the position requirements and that funding at a higher salary is available. The project supervisor also verifies that the candidate has satisfied EO/AA clearance

requirements, failing which the promotion process is terminated and an external search with EO/AA clearance must be conducted. If the candidate satisfies the EO/AA clearance requirements, the project supervisor compiles a dossier with the following:

- Nomination letter
- Position description
- Curriculum vitae with publications
- At least three letters of reference, of which at least one is external, from people familiar with the candidate's work
- Evidence of 12 months salary support at the RS level
- Documentation of any additional professional accomplishments relevant to the job description.

The project supervisor presents the candidate's dossier (CV, reference letters, job description, any additional documentation) to the division Associate Director for approval. The Associate Director obtains at least two external letters and presents the case to the divisional Senior Staff and calls a vote. The completed dossier along with the outcome of the divisional vote is forwarded to P&C for review. P&C makes a recommendation to the Director, LDEO. The Director, LDEO, consults with ExCom on whether the case should go forward to a Senior Staff meeting. If the recommendation is positive, a LDEO Senior Staff meeting will be held where the Associate Director in the candidate's division and the P&C Chair present the case for promotion. A secret ballot vote is taken during the meeting, which is considered a straw poll expressing the sentiment of those in attendance. A mail ballot is taken following the meeting. Eligible voters are members of the LDEO Senior Staff at the same rank or higher than that for which the candidate is being reviewed. The vote carries if two thirds of those voting yes or no on the mail ballot vote yes, and the affirmative votes constitute a majority of those eligible to vote. If the ExCom recommendation or the outcome of the mail ballot is negative, the promotion process is discontinued.

It is expected that a research scientist will be promoted from ARS to RS after six years in the ARS or equivalent position. An exception can be made where an ARS can request an extension for up to 3 years to delay promotion to RS. This extension must be approved by P&C and

ExCom. If the ARS does not get promoted to RS within the 3-year extension then the ARS is given one terminal year after which s/he must leave the Research Scientist track at LDEO.

Appointments/ Promotions to Senior Research Scientist

The following are the requirements for a Senior Research Scientist:

- Completed Ph.D. and ten years experience beyond PhD in a scientific discipline or equivalent terminal degree relevant to the project.
- Demonstrated expertise important to an existing or nascent LDEO project (position description should specify exact expertise required)
- A record of publications in the scientific literature (including technical reports and proceedings volumes).
- Expected additional qualifications including:
 - ability to generate software, instructional materials, articles about science for a popular audience, websites, databases or similar products pertinent to the position.
 - demonstrated organizational, managerial, editorial or public outreach skills.

External Appointment to Senior Research Scientist

The project supervisor provides the division Associate Director with confirmed documentation of one year of salary support for the Senior Research Scientist position. When the description and funding are approved, the project supervisor provides LDEO HR with a list of search committee members. The project supervisor acts as the chair of the search committee. Search committee members should hold one of the following ranks: full Lamont research professor, Senior Research Scientist, or tenured DEES full professor or equivalent. For all searches, candidates will be expected to provide the following:

1. Curriculum vitae (including list of publications)
2. Names of at least three referees familiar with the candidate's work, holding a position equal to or higher than Senior Research Scientist. At least one of these referees must be external.

3. Documentation of any additional professional accomplishments relevant to the job description

After completing the selection process and short-listing the top candidate, the search committee chair presents the candidate's dossier (CV, reference letters, job description, any additional documentation) to the division Associate Director for approval. The Associate Director obtains at least two additional letters from sources external to the University who hold a position equivalent to SRS or higher in their own institutions, and presents the case to the divisional Senior Staff at the SRS level and calls a vote. The completed dossier along with the outcome of the divisional vote is forwarded to P&C for review. P&C makes a recommendation to the Director, LDEO. The Director, LDEO, consults with ExCom on whether the case should go forward to a Senior Staff meeting. If the recommendation is positive, a Senior Staff meeting is held where the Associate Director in the candidate's division and the P&C Chair present the case for appointment. 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. Eligible voters are members of the LDEO Senior Staff at the same rank or higher than that for which the candidate is being reviewed. The vote carries if two thirds of those voting yes or no on the mail ballot vote yes, and the affirmative votes constitute a majority of those eligible to vote. If the ExCom recommendation or the outcome of the mail ballot is negative, the appointment process is discontinued.

Promotion to Senior Research Scientist

The candidate must be nominated by a member of the LDEO Senior Staff who is at a comparable position, i.e. Lamont research professor (full), Senior Research Scientist, or tenured DEES full professor or equivalent. The project supervisor confirms that the candidate meets the position requirements and that funding at a higher salary is available. The project supervisor also verifies that the candidate has satisfied EO/AA clearance requirements, failing which the promotion process is terminated and an external search with EO/AA clearance must be conducted. If the

candidate satisfies the EO/AA clearance requirements, the project supervisor compiles a dossier with the following:

- Nomination letter
- Position description
- Curriculum vitae with publications
- At least three letters of reference, of which at least one is external, from people familiar with the candidate's work
- Evidence of 12 months salary support at the SRS level
- Documentation of any additional professional accomplishments relevant to the job description.

The project supervisor presents the candidate's dossier (CV, reference letters, job description, any additional documentation) to the division Associate Director for approval. The Associate Director obtains at least two additional letters from sources external to the University who hold a position equivalent to SRS or higher in their own institutions, and presents the case to the divisional Senior Staff at the SRS level and calls a vote. The completed dossier along with the outcome of the divisional vote is forwarded to P&C for review. P&C makes a recommendation to the Director, LDEO. The Director, LDEO, consults with ExCom on whether the case should go forward to a Senior Staff meeting. If the recommendation is positive, a Senior Staff meeting is held where the Associate Director in the candidate's division and the P&C Chair present the case for promotion. A secret ballot vote is taken during the meeting, which is considered a straw poll expressing the sentiment of those in attendance. A mail ballot is taken following the meeting. Eligible voters are members of the LDEO Senior Staff at the same rank or higher than that for which the candidate is being reviewed. The vote carries if two thirds of those voting yes or no on the mail ballot vote yes, and the affirmative votes constitute a majority of those eligible to vote.

If the promotion is unsuccessful, the candidate may remain at the RS level. He or she may be reconsidered for promotion to SRS in the future if there is evidence of substantial new accomplishments. To initiate reconsideration, the candidate and project supervisor must prepare a statement of new accomplishments, which is reviewed by the Associate Director. If new accomplishments are seen to be substantial, the Associate Director initiates the process of

nomination.

Moving Between Lamont Research Professor and Research Scientist Positions:

A research scientist can be nominated for a Lamont research professor position. In order to be nominated the research scientist must pass the full review process for appointment to the appropriate position in the Lamont research professor track. If a research scientist moves to the Lamont research professor track and then comes under consideration for promotion within that track, the time spent as a research scientist shall not count towards the time limit for promotions within the Lamont research professor track.

A Lamont research professor may apply for a research scientist position. In order to be appointed as a research scientist, the Lamont research professor must meet the eligibility requirements for the research scientist position being considered. Details on moving between LRP and RS tracks are provided in the Appendix.

Professional Development (*This is currently under discussion and is not yet finalized***)**

Research scientists are encouraged to pursue professional development activities. This includes training courses, meetings, conferences, and/or independent education or research activities. A research scientist wishing to take professional development time must receive prior approval from his/her supervisor. In order to support the professional development of the research scientists the LDEO Directorate will provide financial support to carry out professional development activities, subject to the approval of the project supervisor and the division Associate Director. It is expected that Senior Staff members on the Research Scientist track, i.e. Research Scientists and Senior Research Scientists, will receive a professional development benefit up to \$2,000 per year. This benefit can be banked up to the amount that would be received in five years (e.g., \$10,000 for a \$2,000 annual benefit).

Terminations

Research scientist appointments are one-year appointments. Salary is guaranteed for the duration of the appointment. However, appointments may end as a result of any of the following actions: a decision not to reappoint, resignation, retirement, or dismissal.

Decision Not to Reappoint / Notice of Non-Renewal

Research scientists are entitled to a notice of non-renewal. In the event that the appointment will not be renewed, they must be informed at least three months in advance of the end of the stated term of appointment that the appointment will not be renewed. 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 review). Termination procedures may be initiated at any time in accordance with university policy.

Resignation

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

Retirement

Consistent with current law, officers of research cannot be mandatorily retired. A research scientist may voluntarily retire after reaching age 55 if they have 10 years of full-time service by writing, as appropriate, to his or her project supervisor or Associate Director. 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. The project supervisor and Associate Director are expected to attempt to resolve problems with the

performance or behavior of a research scientist before initiating any action to suspend or dismiss. If the problem is not overcome the project supervisor and Associate Director consult with the Director, LDEO. The research scientist is then given an oral warning and then a letter that clearly describes the problems, details the actions s/he must take to remedy them, and warns that disciplinary action, up to and including dismissal, will be taken if they are not corrected within a specified period of time. All these steps must be approved by the Director, LDEO, who is responsible for informing the Office of the Provost of the case.

To ensure that research scientists are not subjected to arbitrary or discriminatory procedures, all terminations before the end of the stated term of appointment must be approved by the appropriate Associate Director, Director, LDEO, and the Provost. The Provost has delegated responsibility for reviewing requests to terminate for cause to the Senior Vice Provost for Academic Administration. A research scientist may appeal 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.

Appendix: Moving Between LRP and RS Tracks

Individuals on the Research Scientist track may request to transfer to the Lamont Research Professor track and vice versa, if the individual, his/her Associate Director and supervisor believe that s/he is better suited for the other track. Such a transfer can only occur according to the guidelines laid out below¹. Changing tracks in this manner is considered a lateral transfer and not a promotion. A lateral transfer occurs when a scientist at a particular rank on one track moves to a similar rank on another track. Based on CU defined ranks and tracks, and the subsequent conversion of the Doherty Research Scientist track to the Lamont Research Professor track, the following table indicates possible lateral transfers between the RS and LRP tracks:

Lamont Research Professor Track	Research Scientist Track
Lamont Asst. Research Professor ← →	Assoc. Research Scientist
Lamont Assoc (Junior) Res Prof ← →	Assoc. Research Scientist
Lamont Assoc (Senior) Res Prof ← →	Research Scientist
Lamont Research Professor (full) ← →	Senior Research Scientist

Procedures

1. From Research Scientist Track to LRP Track:

SRS to (Full) LRP

- The Associate Director initiates the process by seeking approval from the Director, LDEO and the candidate’s supervisor (if applicable). The Director consults with Finance/Admin (and any other relevant individuals) to ensure that funds are available to make such a transfer possible.

¹ As with all other appointments and promotions at LDEO, if a conflict of interest is identified during any stage of the procedures outlined in this document, the concerned individuals will need to recuse themselves.

- Once the necessary approvals have been obtained the Associate Director brings the case to the Promotions & Careers Committee (P&C) for consideration. If necessary P&C may request additional information from the candidate and/or the Associate Director in order to arrive at a decision. P&C can do one of the following:
 - i. Recommend the transfer
 - ii. Recommend denial of transfer – such a decision does not adversely affect the candidate’s ability to make a lateral transfer at a later date
- If P&C recommends the transfer, the Associate Director prepares a dossier on the candidate – similar to the dossier for promotion to full LRP from Assoc Sr. LRP. The Director, LDEO obtains at least 10 external letters from people at the SRS level or higher at their institutions.
- The candidate gives a seminar. The senior staff is invited to comment and vote on the suitability of the transfer. If the senior staff vote is positive, the Director forms an ad hoc committee to review case, following the same guidelines as that of promotion to senior staff on the LRP track.
- If the ad hoc committee response is positive, the Director calls a vote at ExCom. The Director then sends the dossier to the Provost’s Office (along with the recommendation of the ad hoc committee, the ExCom vote, the senior staff vote, and the Director’s own endorsement) for approval.
- If the recommendation of the ad hoc committee is negative the candidate may remain on the RS track.

RS to Assoc (Sr) LRP

- The Associate Director initiates the process by seeking approval from the Director, LDEO and the candidate’s supervisor (if applicable). The Director consults with Finance/Admin (and any other relevant individuals) to ensure that funds are available to make such a transfer possible.
- Once the necessary approvals have been obtained the Associate Director brings the case to P&C for consideration. If necessary P&C may request additional information from the

candidate and/or the Associate Director in order to arrive at a decision. P&C can do one of the following:

- i. Recommend the transfer
 - ii. Recommend denial of transfer – such a decision does not adversely affect the candidate’s ability to make a lateral transfer at a later date
- If P&C recommends the transfer, the Associate Director prepares a dossier on the candidate – similar to the dossier for promotion to Assoc Sr. LRP from Assoc Jr. LRP. The Director obtains at least 10 external letters from people at the RS level or higher at their institutions.
 - The candidate gives a seminar and the senior staff are invited to comment and vote on the suitability of the transfer. If the senior staff vote is positive, the Director forms an ad hoc committee to review case, following the same guidelines as that of promotion to senior staff on the LRP track.
 - If the ad hoc committee response is positive, the Director calls a vote at ExCom. The Director then sends the dossier to the Provost’s Office (along with the recommendation of the ad hoc committee, the ExCom vote, the senior staff vote, and the Director’s own endorsement) for approval.
 - If the recommendation of the ad hoc committee is negative the candidate may remain on the RS track.

ARS to Assoc Jr LRP

- The Associate Director initiates the process by seeking approval from the Director, LDEO and the candidate’s supervisor (if applicable). The Director consults with Finance/Admin (and any other relevant individuals) to ensure that funds are available to make such a transfer possible.
- Once the necessary approvals have been obtained the candidate prepares a dossier – similar to the dossier for Critical Review at the Lamont Assist. Res. Prof stage. The Director obtains at least 5 external letters from individuals at or higher than a level equivalent to Assoc Jr in their institutions.

- The dossier is available for review and comment by all LDEO scientific staff at the Assoc Jr LRP (or equivalent) level and higher.
- The Associate Director presents the case to P&C. P&C reviews all the materials and makes a recommendation to the Director, LDEO including which year the candidate should be appointed to (i.e. Year 6 or Year 7). The Director, LDEO makes the final decision after consulting with ExCom.
- If the transfer is not successful the candidate may remain on the ARS track.

ARS to Asst LRP

- The Associate Director initiates the process by seeking approval from the Director, LDEO and the candidate's supervisor (if applicable). The Director consults with Finance/Admin (and any other relevant individuals) to ensure that funds are available to make such a transfer possible.
- Once the necessary approvals have been obtained the candidate prepares a dossier– similar to the dossier for Developmental Review at the Lamont Asst. Res Prof. stage.
- The Associate Director presents the case to P&C. P&C reviews all the materials and makes a recommendation to the Director, LDEO including the appropriate year at which the candidate should be appointed (i.e. on the five-year Lamont Asst. Res Prof timescale). The Director, LDEO makes the final decision after consulting with ExCom.
- If transfer not successful, the candidate may remain as an ARS.

2. From LRP Track to Research Scientist Track:

(Full) LRP to SRS

- The Associate Director initiates the process by seeking approval from the potential project supervisor who provides a confirmed documentation of a minimum of one year's salary support. If necessary, the Associate Director and the potential project supervisor may consult with the Director, LDEO.

- Once the necessary approvals have been obtained the Associate Director obtains at least 2 external letters and the project supervisor obtains at least 2 internal letters – all at the level of SRS or higher.
- The Associate Director then brings the case to P&C for consideration. The candidate prepares a dossier similar to that of promotion from RS to SRS. If necessary P&C may request additional information from the candidate and/or Associate Director in order to arrive at a decision. P&C can do one of the following:
 - i. Recommend the transfer to the Director, LDEO
 - ii. Recommend denial of transfer – such a decision does not adversely affect the candidate’s ability to make a lateral transfer at a later date
- The Director, LDEO makes the final decision after consulting with ExCom
- If the transfer is not successful, the candidate may remain as a LRP subject to the LRP evaluation criteria.

Assoc (Sr) LRP to RS

- The Associate Director initiates process by seeking approval from the potential project supervisor who provides a confirmed documentation of a minimum of one year’s salary support. If necessary, the Associate Director and the potential project supervisor may consult with the Director, LDEO.
- Once the necessary approvals have been obtained the Associate Director obtains at least 2 external letters and the project supervisor obtains at least 2 internal letters – all at the level of RS or higher.
- The Associate Director then brings the case to P&C for consideration. The candidate prepares a dossier similar to that of promotion from ARS to RS. If necessary P&C may request additional information from the candidate and/or Associate Director in order to arrive at a decision. P&C can do one of the following:
 - i. Recommend the transfer to the Director, LDEO

- ii. Recommend denial of transfer – such a decision does not adversely affect the candidate’s ability to make a lateral transfer at a later date
- Director, LDEO makes final decision after consulting with ExCom
- If the transfer is not successful, the candidate may remain as a LRP subject to the LRP evaluation criteria.

Assist./ Assoc Jr LRP to ARS

- The Associate Director initiates process by seeking approval from the potential project supervisor who provides a confirmed documentation of a minimum of one year’s salary support. If necessary, the Associate Director and the potential project supervisor may consult with the Director, LDEO.
- Once the necessary approvals have been obtained the Associate Director obtains at least 3 letters of reference, internal or external.
- The Associate Director then brings the case to P&C for consideration. The project supervisor prepares a dossier similar to that of promotion to ARS. If necessary P&C may request additional information from the candidate and/or Associate Director in order to arrive at a decision. P&C can do one of the following:
 - i. Recommend the transfer to the Director, LDEO
 - ii. Recommend denial of transfer – such a decision does not adversely affect the candidate’s ability to make a lateral transfer at a later date
- Director, LDEO makes final decision after consulting with ExCom
- If the transfer is not successful, the candidate may remain as a LRP subject to the LRP evaluation criteria.

Note: A lateral transfer may normally occur only once. However, under compelling circumstances, an individual could make a transfer more than once, subject to the approval of the LDEO Executive Committee and the Director, LDEO.