

Lamont-Doherty Earth Observatory
COLUMBIA UNIVERSITY | EARTH INSTITUTE

LDEO Bylaws

Version 3.5

June 2012

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

**LAMONT-DOHERTY EARTH OBSERVATORY (LDEO)
COLUMBIA UNIVERSITY**

BYLAWS

VERSION 3.5 June 2012

This version of the Lamont-Doherty Earth Observatory Bylaws replaces all previous versions. Any changes to these bylaws must first be approved by the LDEO Executive Committee of the Senior Staff (ExCom) before being voted upon by the entire LDEO Senior Staff (defined in Section I). The LDEO Executive Committee of the Senior Staff (ExCom) is the primary source of advice and guidance for the Director, LDEO in all decisions concerning the research performance and future directions of LDEO. The composition of this committee and its role in LDEO governance is outlined in Section VI.3 of this document.

Lamont-Doherty Earth Observatory (LDEO) is a research unit of the Earth Institute (EI) at Columbia University (CU). LDEO scientists 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. LDEO scientists who are professional officers of research (as defined by CU) belong in one of two categories: LDEO Senior Staff or LDEO Junior Staff.

I. LDEO Senior Staff:

The LDEO Senior Staff provides scientific leadership within a broad spectrum of the Earth sciences, both within the LDEO community and throughout the global scientific community. This leadership is afforded by undertaking scientific research of the highest quality; serving as leaders on national and international scientific projects; providing expert scientific opinion to the Director and to the public; and mentoring junior scientists.

Membership: The LDEO senior staff shall consist of Lamont associate research professors (senior staff), named Lamont associate research professors (senior staff), Lamont research professors (senior staff), named Lamont research professors (senior staff), research scientists, senior research scientists, and full-time tenured associate and full professors in the Department of Earth and Environmental Sciences (DEES) whose research base is at Lamont-Doherty. In addition, 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 on the LDEO Senior Staff. The procedures by which this can occur are described in Attachment 1.

II. LDEO Junior Staff:

The LDEO Junior Staff engage in nationally and internationally recognized scientific research. These scientists' endeavors represent the commitment of LDEO to long-term fundamental research that will transform the Earth sciences.

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

III. APPOINTMENTS & PROMOTIONS

1. Lamont Research Professors:

Terms of appointments and promotions for Lamont Research Professors (all ranks) are governed by University policies as described in the Faculty Handbook, and further defined in the Lamont Research Professor Handbook. It is the responsibility of the Office of the Director, LDEO to maintain in current form, openly available to all staff members, a handbook that accurately and unambiguously describes both the attributes of the Lamont Research Professor positions (all ranks) and the policies and procedures for appointments and promotions. Changes to this Handbook can be made only with the agreement of ExCom. To insure that ExCom is fully informed of the significance of any changes that are made, all changes that have been made to the Handbook during the previous academic year will be reviewed by ExCom on an annual basis at one of its meetings. The Office of the Director, LDEO will send out a notification to all Lamont research professors annually informing them of any changes to the handbook.

2. Research Scientists:

Terms of appointments and promotions for all ranks of research scientists at LDEO are governed by University policies as described in the Faculty Handbook, and further defined in the Lamont Research Scientist Handbook. It is the responsibility of the Office of the Director, LDEO to maintain in current form, openly available to all staff members, a handbook that accurately and unambiguously describes both the attributes of the Lamont Research Scientist positions (all ranks) and the policies and procedures for appointments and promotions. Changes to this Handbook can be made only with the agreement of ExCom. To insure that ExCom is fully informed of the significance of any changes that are made, all changes that have been made to the Handbook during the previous academic year will be reviewed by ExCom on an annual basis at one of its meetings. ExCom will be informed by input solicited from the research scientists and communicated to ExCom by their representative (defined below). The Office of the

Director, LDEO will send out a notification to all research scientists annually informing them of any changes to the handbook.

3. CU Officers of Instruction (non-DEES):

Terms of appointment for CU Officers of Instruction who are not full-time members of DEES as members of the LDEO Senior Staff are governed by the procedures defined in Attachment 1.

IV. VOTING RIGHTS:

Members of the LDEO Senior Staff vote on the following:

1. LDEO Bylaws
2. Senior staff level appointments and promotions (for Lamont research professors and research scientists)
3. Any other issue that a member of the senior staff considers worthy of a senior staff vote.

When voting on appointments and promotions of senior staff Lamont research professors and research scientists, voting members may vote only on those appointments that are equivalent to their own rank or below. Equivalent ranks are defined below¹. Titles named in A are senior to titles named in B for the purposes of voting rights as defined in these bylaws.

A: Lamont research professors (full), named Lamont research professors (full), senior research scientists, and tenured full professors are considered equivalent for the purposes of voting rights as outlined in these bylaws

B: Lamont associate research professors (senior), named Lamont associate research professors (senior), research scientists, and tenured associate professors are considered equivalent for the purposes of voting rights as outlined in these bylaws

V. SENIOR STAFF MEETINGS:

It is the responsibility of the Director, LDEO to hold no less than 4 (four) meetings of the LDEO Senior Staff per calendar year. If necessary, the Director, LDEO may consult with ExCom on scheduling these meetings. Members of the LDEO Senior Staff must be notified at least 2 weeks in advance of an upcoming Senior Staff meeting. At these meetings, in addition to the scheduled agenda, members of the Senior Staff may raise any issue that they consider worthy of discussion by the entire Senior Staff.

¹ These equivalencies have been established using CU defined ranks for research scientists and the subsequent conversion of the Doherty track to the Lamont research professor track, the ranks for which are considered comparable to faculty ranks.

In addition, any member of the LDEO Senior Staff who wishes to call a Senior Staff meeting (outside of the four annual meetings scheduled by the Director's Office) may do so at any time. It is the responsibility of the individual/s calling such a meeting to schedule and conduct the meeting. It is expected that the Director, LDEO will be informed of the meeting discussion points. In the event that the Senior Staff members attending such a meeting consider it appropriate to seek the formal involvement of the Director, LDEO in addressing the issue at hand, they may submit a written request to the Director LDEO.

The Director, LDEO will provide a State of the Observatory Address once a year. This will be held during one of the four Senior Staff meetings scheduled by the Director's Office. This is open to the entire Lamont community. Members of the Senior Staff will be informed at least two weeks in advance.

VI. LDEO GOVERNANCE

1. ROLE OF THE DIRECTOR, LDEO

The Director, LDEO represents the goals and objectives of LDEO both internally within CU and in all appropriate national and international forums. The Director, LDEO works closely with the Provost, Columbia University, and the Director of the Earth Institute and is responsible for all aspects of the programmatic and fiscal health of LDEO.

2. ROLE OF THE LDEO SENIOR STAFF

The governance of LDEO is overseen by the LDEO Senior Staff (defined in Section I). The Senior Staff is expected to participate fully and constructively in the governance and management of LDEO and may be called upon at any time to review and approve any aspect of LDEO policy. The Senior Staff is also expected to participate in discussions on the future research directions of LDEO, and in building an excellent environment for intellectual exchange and discussion through collegial interactions with colleagues, research discussions and organization of workshops and seminars etc. Members of the Senior Staff are expected to provide mentorship and guidance as appropriate for junior colleagues, and to guide the design of community-wide research agendas.

In addition, the Senior Staff must also approve:

• *Changes to the Bylaws:*

Amendments to the bylaws may be initiated by any member of the Senior Staff; however ExCom must approve the proposed amendments before they can be formally presented to the Senior Staff for a vote. Once approved by ExCom, any amendment must be submitted in writing to the Senior Staff at least one week before the LDEO Senior Staff meeting in

which it shall be presented as a motion. The Director, LDEO will offer the case for consideration at the meeting of the LDEO Senior Staff and call a vote. A quorum shall consist of a majority of the LDEO Senior Staff – either in person or by a proxy vote sent to the LDEO Director’s Office prior to the meeting. If approved by at least half the senior staff members at the meeting (including proxy votes), the amendment/s shall be submitted for adoption as follows: the LDEO Directorate will send a ballot and a copy of the proposed amendment/s to each member of the senior staff at least three weeks prior to a closing date set by the Director, LDEO. The amendment/s shall stand adopted if at least 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.

• ***All appointments to, and promotions within, the LDEO Senior Staff:***

The Director, LDEO will offer the case for consideration at a formal meeting of the LDEO Senior Staff. For appointments and promotions on the Lamont Research Professor track, the Chair of the Promotions and Careers Committee and the Associate Director (or designee) of the candidate's division present *the case for forming an ad-hoc committee* to make a recommendation on promotion. For appointments and promotions on the Research Scientist track, the candidate’s supervisor and the Associate Director (or designee) of the candidate’s division present *the case for the appointment or promotion*. A secret ballot vote is taken during the meeting, which is considered a straw poll expressing the sentiment of those in attendance. Those members of the senior staff unable to attend the senior staff meeting may send votes by proxy to the LDEO Director’s Office before this meeting. The results of the straw poll are disseminated to the entire senior staff who are eligible to vote on that particular appointment. Regardless of the results of the straw poll, a mail ballot is taken following the meeting. 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.

It is the responsibility of the Director’s Office to inform the Senior Staff of any significant changes made to policies and procedures impacting the scientific staff at LDEO. ExCom, in its role as the primary source of guidance for the Director, LDEO, will determine whether any such change is considered “significant” enough to notify the Senior Staff.

3. ROLE OF THE LDEO EXECUTIVE COMMITTEE OF THE SENIOR STAFF (ExCom):

The LDEO Executive Committee of the Senior Staff (ExCom) is the primary source of advice and guidance for the Director, LDEO in all decisions concerning the research performance and future directions of the Observatory.

Membership of ExCom:

Voting Members:

- Director, LDEO – *ExCom Chair*
- Deputy Director of Education, and Chair of DEES (selected by DEES)
- Associate Directors of Research Divisions (appointed by Director LDEO, this is a five year term which can be renewed as necessary)
- Associate Director, Marine Division (appointed by Director LDEO, this is a five year term which can be renewed as necessary)
- One senior research staff representative from each Research Division (selected by Research Divisions, this is a three year term after which the individual rotates off ExCom)
- One senior staff representative of Research Scientists (appointed by the Director LDEO, this is a three year term after which the individual rotates off ExCom)

Non-voting members:

- Representative of CU Earth Institute (appointed by Director EI)
- Representative of LDEO Technical Staff (appointed by the Director LDEO, this is a three year term after which the individual rotates off ExCom)
- Representative of LDEO Junior Research Staff (appointed by the Director LDEO, this is a three year term after which the individual rotates off ExCom)
- Assistant Directors of LDEO Administrative Offices (appointed by Director LDEO)
- Directors of Earth Institute units located on the Lamont Campus (appointed by Director EI)

Voting on ExCom:

Quorum: For agenda items requiring a vote, a quorum shall consist of at least half the number of voting ExCom members who are eligible to vote. Representation from each research division is necessary for items requiring a vote. Proxy votes do not count towards establishing quorum except under special circumstances, with the prior approval of a majority of voting ExCom members. If divisional representatives are unable to attend the meeting, the Director, LDEO may allow surrogates to vote based on the recommendation of the Associate Director for the division concerned. If necessary, divisional representatives may attend the meeting remotely, i.e. via telephone or online presence.

Establishing Subcommittees of ExCom:

ExCom may establish subcommittees as needed, subject to the following:

- Before a subcommittee can be established ExCom shall vote on it. The vote carries if a majority of the voting members vote for the creation of the subcommittee
- The subcommittee has a clearly defined charge and a Chair appointed by the Director, LDEO in consultation with ExCom

- Membership on the subcommittee is limited to a maximum of three years (excluding ex-officio members). In the event that it is necessary for a member to serve for more than three years, ExCom approval is needed.
- The subcommittee ceases to exist if its charge is no longer active.

Existing Subcommittees:

- ***Promotions and Careers Subcommittee of the Executive Committee (P&C)***: This subcommittee is a standing subcommittee of ExCom appointed by ExCom. It carries out appointment and promotion procedures for Lamont research professors and research scientists at LDEO and has the following charge:
 - To recommend to the Director on promotions and appointments to all levels of the LDEO research staff.
 - To evaluate continuation of rolling tenure appointments in the LDEO Senior Staff
 - To monitor and evaluate performance of the endowment based salary insurance plan and career path options for research staff as it relates to recruitment and retention, and recommend modifications
 - Assess career path options, salary support and other career-related aspects of the technical staff, and recommend improvements.

P&C can appoint ad-hoc and standing committees for specific tasks as necessary. For appointments and promotions in designated or affiliated units this committee assists in the design of processes for searches, assessing promotions etc. and provides comment on the decisions to the Lamont Directorate.

4. MANAGEMENT STRUCTURE

The responsibility for the effective management of LDEO lies with the Director, LDEO. This management role is supported by:

- Chair, Department of Earth and Environmental Sciences, who holds the LDEO title Deputy Director for Education
- LDEO Associate Directors, who lead LDEO Research Divisions, and the Associate Director for the Marine Division. The titles and roles of these Associate Directors are determined by the Director, LDEO with the approval of ExCom. These Associate Directors are members of the LDEO Senior Staff and are appointed by and report to the Director, LDEO.
- LDEO Assistant Directors who lead LDEO Administrative and Support Units. The titles and roles of these Assistant Directors are determined by the Director, LDEO with the approval of ExCom. These Assistant Directors are appointed by and report to the Director, LDEO.

Attachment 1: Membership on LDEO Research Staff of Non-DEES CU Faculty

Eligibility: A tenured professor at Columbia University (including Barnard College or Teachers College), who maintains a research presence at Lamont-Doherty but whose teaching affiliation is with a department other than DEES, may be considered for membership on the LDEO Senior Staff. A tenured professor who holds a joint appointment between DEES and another department is also eligible for consideration under this procedure.

Criteria: The proposed individual will contribute in substantial ways, over a sustained period of time, to the achievement of the Observatory's mission.

Procedure: Consideration of a non-DEES Columbia tenured professor for inclusion in the LDEO Senior Staff will begin with nomination by a current member of the LDEO Senior Staff. A dossier will be prepared consisting of a current CV, sample publications, a letter from the candidate stating plans and aspirations, a seconding letter from another member of the LDEO Senior Staff, and a supporting letter from the Associate Director of the division to which the candidate will be appointed. The nominating and seconding letters should emphasize the benefits to LDEO of making this appointment.

The dossier will be forwarded to the Director, LDEO who, after consultation with P&C, will offer the case for consideration at a formal meeting of the LDEO Senior Staff, to be followed by a formal vote by mail ballot by the LDEO Senior Staff. A secret ballot vote is taken during the meeting, which is considered a straw poll expressing the sentiment of those in attendance. Those members of the senior staff unable to attend the senior staff meeting may send votes by proxy to the LDEO Director's Office before this meeting. A quorum shall consist of a majority of the LDEO Senior Staff – either in person or by a proxy vote sent to the LDEO Director's Office prior to the meeting. A mail ballot is taken following the meeting. 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.

Informed by the Senior Staff vote, the Director, LDEO will make a final decision on the appointment. Once appointed, the senior staff member shares the same voting rights as other senior staff members, i.e. the ability to vote on appointments and promotions that are at or below the level of the senior staff member.

Each appointment of a non-DEES Columbia tenured professor as a member of the LDEO Senior Staff will be for a term of five years. In the fifth year, this appointment will be reviewed by the Director, LDEO and the appropriate Associate Director, to ascertain whether the individual continues to contribute in substantial ways to LDEO's mission. There is no limit on number of re-appointments.