

November 1, 1974

Dear John:

Thank you for the material on appointment procedures. I have only one substantive suggestion to make, namely to add to the end of the last sentence of paragraph 7 the phrase "as determined by the agreed procedure".

In addition, it might be desirable to conform the language of paragraphs 6 and 7 to that of the revised whole of which they are a part by substituting verbs in the form of "shall be", etc., for verbs in the form "are", etc. This change makes plain the legislative character of the whole document. Originally, of course it purported to be a codification of existing procedure; so much of it is now legislative in character as to make the new language more appropriate. Further, sub-paragraphs in the larger document have been designated by lower case rather than capital letters. I attach a penciled copy marked up to show the changes I suggest.

Sincerely,

Carl Kaysen

Professor John Milnor
School of Mathematics
Institute for Advanced Study

cc. Professor Habicht
Professor Hirschman
Professor Rosenbluth

THE INSTITUTE FOR ADVANCED STUDY
PRINCETON, NEW JERSEY 08540

SCHOOL OF MATHEMATICS

November 6, 1974

To: The Faculty

From: The Committee on Appointment Procedures

Dear Colleagues:

Our previous draft of Articles 6 and 7 for the document "Responsibilities of the Faculty in the Governance of the Institute" has been revised, taking into account suggestions by several Faculty members and by the Director. Enclosed is a new version which the Committee now wishes to present for Faculty approval. It is our hope that this proposal will be considered at a Faculty meeting in the near future.

We want to emphasize that all four Committee members support the present proposal. Of course it represents a compromise between divergent requirements, but we believe that it is a fair compromise.

Sincerely,



for the committee consisting of
Habicht, Hirschman, Milnor, Rosenbluth

Enc.

Professors Clagett, Elliott, Gilbert, Gilliam, Lavin, Setton, Thompson,
White
Borel, Gödel, Harish-Chandra, Langlands, Montgomery, Selberg,
Weil, Whitney
Adler, Bahcall, Dashen, Dyson, Regge
Geertz

cc: Dr. Kaysen ✓

THE INSTITUTE FOR ADVANCED STUDY
PRINCETON, NEW JERSEY 08540

SCHOOL OF MATHEMATICS

November 6, 1974

To: The Faculty

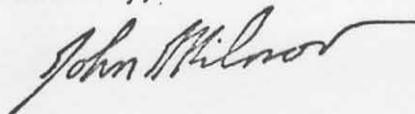
From: The Committee on Appointment Procedures

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cc: Dr. Kaysen ✓

Proposed Articles 6, 7 for the document "Responsibilities of the Faculty in the Governance of the Institute."

6. (a) Professors in an existing School with three or more Faculty members shall be appointed on the nomination of that School. The Director shall take any division within the School Faculty into account in deciding whether to proceed. In the event that the Director decides not to proceed with the appointment he shall, if the School so requests, consult with the Faculty as a whole, initially through the Standing Committee on Appointments described below. The availability of a position for a professorial appointment is a budgetary matter that falls within the Director's responsibility. On this matter and on any question of allocation of positions to the Schools he consults with the School concerned, and when appropriate, with the Faculty as a whole, initially through the Standing Committee on Appointments.

(b) After a School has made a nomination, supporting materials in the form of bibliography, curriculum vitae, an evaluation of the candidate's work by a member or members of the nominating School, and supporting letters from outsiders shall be circulated to every other member of the Faculty. Every Faculty member has the right to raise questions about or objections to the proposed nomination. After an interval of four weeks, if no serious unresolved questions exist, the Director shall present the nomination to the Board for final approval. In these circumstances, approval is essentially formal since the Board has already been made aware of the intention of the Director to recommend an appointment and has approved the budgetary consequences of that proposal.

(c) Each member of the Faculty outside the nominating School shall have the opportunity to record in writing his comments on an appointment. However, the calling in question of the judgment of a particular School by other members of the Faculty is a grave step and should be taken only for strong reasons. Any objections raised by even one member of the Faculty shall be discussed with the School that makes the nomination. Should substantial objection arise, the Director shall make every effort to define the grounds of objection and the views thereon of the nominating School. The nature of the objection, the comments of the nominating School and any

Faculty discussion shall guide the Director in his recommendation to the Board.

(d) It may be the case that a particular nomination raises questions other than those of academic merit, which directly affect the nature and operations of the Institute. The Faculty may choose to discuss or to vote on such questions in a meeting of the full Faculty. However, the Faculty as a whole shall not vote directly on questions of academic merit, except as provided in Paragraphs (a) and (g) and in Article 7 which follows.

(e) There shall be a Standing Committee on Appointments which shall serve as the primary vehicle for Faculty consideration of any disputed matters concerning Faculty appointments. Committee recommendations shall be subject to Faculty approval, except in the special circumstance described in Paragraph (f). This Committee shall consist of two voting members from each School who shall be designated by the School at the end of the preceding academic year plus a chairman chosen by the Committee itself as early as possible. This chairman must be approved by a majority consisting of at least six Committee members or of five Committee members including one from each School. If the Committee chooses one of its own number as chairman, the relevant School shall be asked to provide a replacement.

(f) If five or more Faculty members question the academic merit of a proposed appointment within the four week period, the matter shall be referred to the Standing Committee on Appointments. The Committee shall be empowered to seek any additional outside information on the proposed appointment which its members feel is needed to reach a decision. Within eight weeks after receiving the request for review, the Committee shall meet to vote by simple majority on the proposal, with abstentions counting neither as positive nor as negative votes. A Committee member may vote by proxy if necessary. The chairman shall not vote, unless there is a tie in which case he shall have a casting vote and thus determine the issue. If the Committee vote is in favor of the nomination, it shall be deemed to have Faculty concurrence, and shall be forwarded to the Director for presentation to the Trustees.

(g) If the Committee vote rejects the nomination, the nominating School may choose to appeal the Committee's decision to a meeting of the full Faculty.

In such case, the entire Faculty shall debate and vote on the merits of the nomination, and shall have the power to override the Standing Committee's decision.

(h) The Director shall not forward any nomination to the Trustees unless the Faculty has concurred in it, in accordance with the above procedure.

(i) When the Board of Trustees receives a nomination, it shall be apprised of whatever objection or question there is in the Faculty about the nomination and shall have put before it all the material that is circulated to the members of the Faculty, including the vote of the nominating School, any written comments on the appointment by other members of the Faculty, and the Minutes and votes of any Faculty meeting or Standing Committee meeting.

7. Any proposal for a professorial appointment outside the existing Schools, or within a School or Program having only one or two Faculty members, shall be submitted in the first instance to the Standing Committee on Appointments described in 6 above, so that the Committee may recommend to the Faculty a procedure for each such appointment. The Faculty shall then decide on an appropriate procedure for each such appointment. The Director shall not forward such a nomination to the Board of Trustees without the concurrence of the Faculty, as determined by the agreed procedure.

November 1, 1974

Dear John:

Thank you for the material on appointment procedures. I have only one substantive suggestion to make, namely to add to the end of the last sentence of paragraph 7 the phrase "as determined by the agreed procedure".

In addition, it might be desirable to conform the language of paragraphs 6 and 7 to that of the revised whole of which they are a part by substituting verbs in the form of "shall be", etc., for verbs in the form "are", etc. This change makes plain the legislative character of the whole document. Originally, of course, it purported to be a codification of existing procedure; so much of it is now legislative in character as to make the new language more appropriate. Further, sub-paragraphs in the larger document have been designated by lower case rather than capital letters. I attach a penciled copy marked up to show the changes I suggest.

Sincerely,

Carl Kaysen

Professor John Milnor
School of Mathematics
Institute for Advanced Study

cc. Professor Habicht
Professor Hirschman
Professor Rosenbluth

October 25, 1974

Draft of revised articles 6, 7 for the document "Responsibilities of the Faculty in the Governance of the Institute."

^a
6. (A) Professors in an existing School with three or more Faculty members ^{shall be} are appointed on the nomination of that School. The Director ^{shall} takes any division within the School Faculty into account in deciding whether to proceed. The availability of a position for a professorial appointment is a budgetary matter that falls within the Director's responsibility, on which he ^{shall} consults with the School concerned, and when appropriate, with the Faculty as a whole.

^b
(B) After a School has made a nomination, supporting materials in the form of bibliography, curriculum vitae, an evaluation of the candidate's work by a member of the nominating School, and supporting letters from outsiders ^{shall be} are circulated to every other member of the Faculty. Every Faculty member has the right to raise questions about or objections to the proposed nomination. After an interval of three weeks, if no serious unresolved questions exist, the Director ^{shall} presents the nomination to the Board for final approval. In these circumstances, approval is essentially formal since the Board has already been made aware of the intention of the Director to recommend an appointment and has approved the budgetary consequences of that proposal.

^c
(C) Each member of the Faculty outside the nominating School ^{shall have} has the opportunity to record in writing his comments on an appointment. However, the calling in question of the judgment of a particular School by other members of the Faculty is itself a grave step and should be taken only for strong reasons. Any objections raised by even one member of the Faculty ^{shall be} are discussed with the School that makes the nomination. Should substantial objection arise, the Director ^{shall} must make every effort to define the grounds of objection and the views thereon of the nominating School. The nature of the objection, the comments of the nominating School and any Faculty discussion ^{shall} will guide the Director in his recommendation to the Board.

^d
(D) It may be the case that a particular nomination raises questions other than those of academic merit, which directly affect the nature and

operations of the Institute. The Faculty may choose to discuss or to vote on such questions in a meeting of the full Faculty. However, the Faculty as a whole ^{will} not vote directly on questions of academic merit, except as provided in Subsection G below and in Section 7 which follows.

(E) If seven or more Faculty members wish to question the academic merit of ^a the proposed appointment, the matter shall be referred to the Standing Committee on Appointments. This Committee shall consist of two voting members from each School, who shall be designated by the School at the end of the preceding academic year, plus a chairman chosen by the Committee itself as early as possible. This chairman must be approved by a majority consisting of at least five Committee members, including at least one representative from each School. If the Committee chooses one of its own number as chairman, the relevant School will be asked to designate a replacement.

(F) The Standing Committee shall be empowered to seek any additional outside information on the proposed appointment which its members feel is needed to reach a decision. Within eight weeks after receiving the request for review, the Committee shall meet to vote by simple majority on the proposal, with abstentions counting neither as positive nor as negative votes. The chairman shall not vote, unless there is a tie in which case he shall have a casting vote and thus determine the issue. If the Committee vote is in favor of the nomination, it shall be deemed to have Faculty concurrence, and shall be forwarded to the Director for presentation to the Trustees.

(G) If the Committee vote rejects the nomination, the nominating School may choose to appeal the Committee's decision to a meeting of the full Faculty. In such case, the entire Faculty shall debate and vote on the merits of the nomination, and shall have the power to override the Standing Committee's decision.

(H) The Director ^{shall} ~~will~~ not forward any nomination to the Trustees unless the Faculty has concurred in it, in accordance with the above procedure.

ⁱ
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7. Any proposal for a professorial appointment outside the existing Schools, [or within a School or Program having only one or two Faculty members,] shall be submitted in the first instance to the Standing Committee on Appointments described in 6 above, so that the Committee may recommend to the Faculty a procedure for each such appointment. On the basis of these recommendations, the Faculty shall decide on an appropriate procedure for each such appointment. The Director ^{shall} ~~will~~ not forward such a nomination to the Board of Trustees without the concurrence of the Faculty, ^{as determined by the} ~~the~~

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Professor Rosenbluth

THE INSTITUTE FOR ADVANCED STUDY
PRINCETON, NEW JERSEY 08540

SCHOOL OF MATHEMATICS

October 25, 1974

Dr. Carl Kaysen
Fuld Hall

Dear Carl:

Enclosed is a copy of the letter and draft being circulated to the Faculty. If you have any questions or comments, the members of the Committee will all be glad to discuss the matter with you.

Sincerely,



John W. Milnor

JWM:MMM

Enc.

cc: Professors Habicht, Hirschman, Rosenbluth

THE INSTITUTE FOR ADVANCED STUDY
PRINCETON, NEW JERSEY 08540

SCHOOL OF MATHEMATICS

October 25, 1974

To: The Faculty

From: The Committee on Appointment Procedures

Dear Colleagues:

Enclosed is our first draft of a revised version of Article 6 for the document "Responsibilities of the Faculty in the Governance of the Institute." Since Article 7 is intimately related, we have enclosed a rough draft for it also, although that is properly the responsibility of the Governance Committee. This draft is not intended to suggest any alteration in our presently accepted procedure for the third Social Science appointment.

The members of our committee, Professors Habicht, Hirschman, Milnor, and Rosenbluth, will be happy to receive any Faculty comment, and will meet again on November 4.

Sincerely,



John W. Milnor

Enc.

Professors Clagett, Elliott, Gilbert, Gilliam, Habicht, Lavin, Setton,
Thompson, White
Borel, Gödel, Harish-Chandra, Langlands, Montgomery,
Selberg, Weil, Whitney
Adler, Bahcall, Dashen, Dyson, Regge, Rosenbluth
Geertz, Hirschman

cc: Dr. Kaysen ✓

Draft of an Appointment Procedure for Established Schools

INTRODUCTION

The following appointment procedure is intended to embody a number of principles:

A. The whole Faculty has a responsibility for maintaining the academic standards of the Institute. Accordingly, no appointment should be made to the Institute Faculty which does not have the concurrence of the Faculty.

B. The best judges of the academic qualifications of a proposed candidate for a professorship are his intellectual peers, specifically the Faculty members of the School which proposes to invite him.

C. The calling in question of the judgment of a particular School by other members of the Faculty is itself a grave step and should be taken only for strong reasons. It may be the case, of course, that a particular nomination raises questions other than those of academic merit, which directly affect the nature and operations of the Institute. In such cases, Faculty discussion is justified independently of questions of academic merit. However, if the only questions raised are those of academic merit, then the procedure outlined below shall be followed.

PROCEDURE

1. A School nominates a candidate to the Director, who circulates to the Faculty the usual documentation, e. g. curriculum vitae, bibliography, appreciation of the candidate's work, and supporting letters.

2. The Faculty may give its consent to the appointment by silence, i. e., if there is no call for discussion after a stated interval (at present three weeks) the Faculty shall be deemed to have concurred in the nomination.

3. If seven or more members of the Faculty call for additional review of the appointment, it shall be referred to a Standing Committee on Appointments. The Standing Committee shall consist of two members from each School, who shall be designated by the School in April of the preceding academic year, plus a chairman chosen by the committee itself. This chairman must be approved by at least five members of the committee, including at least one of the two representatives from each School.

4. The Standing Committee shall be empowered to seek any additional outside information on the proposed appointment which its members feel is needed to reach a decision. Within eight weeks after receiving the request

for review, the Standing Committee shall meet to vote on the proposal. If a majority of the members of the Committee present and voting are in favor of the nomination, it shall be deemed to have Faculty concurrence, and shall be forwarded to the Director for presentation to the Trustees. The chairman shall vote only in the case of a tie, and shall have the casting vote.

5. If a majority of the Committee present and voting does not approve the nomination, the nominating School may appeal the decision at a meeting of the full Faculty. If a majority of those present vote to override the Standing Committee decision, the appointment may proceed to the Director for presentation to the Trustees.

6. No nomination shall be forwarded by the Director to the Trustees unless the Faculty has concurred in it, in accordance with the above procedure.

* * * * *

Comments. This draft was prepared by the committee consisting of Professors Habicht, Hirschman, Milnor, and Rosenbluth, who have agreed to discuss it with their respective Schools, and to meet again on Friday, October 25, at 10:00 AM, in W330 for further discussion. The draft coincides with that approved by the School of Historical Studies on March 8, 1974, except for the underlined passages.

In interpreting number 3 above, it was understood that the committee might choose one of its own number as chairman, in which case the relevant School would be asked to appoint a replacement. The possibility of a Professor Emeritus as chairman was discussed, without general concurrence.

In interpreting number 4, it was understood that an abstention does not count as a vote. There was some feeling that this must be spelled out more explicitly.


John Milnor
October 21, 1974

THE INSTITUTE FOR ADVANCED STUDY
PRINCETON, NEW JERSEY 08540

September 26, 1974

MEMORANDUM to the Faculty:

We suggest that the task of finding a suitable procedure for Faculty appointments be delegated to a new committee of four, one from each School, who shall try through informal discussions to reach a mutually acceptable compromise and then report back to the Faculty. We are discussing the composition of this committee with colleagues who have expressed interest in the idea.

S. Adler

A. Borel

Professors Clagett, Elliott, Gilbert, Gilliam, Habicht, Lavin, Setton,
Thompson, White

Professors Borel, Gödel, Harish-Chandra, Langlands, Milnor, Montgomery,
Selberg, Weil, Whitney

Professors Adler, Bahcall, Dashen, Dyson, Regge, Rosenbluth

Professors Geertz, Hirschman

✓ CC: Dr. Kaysen

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