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November 3, 1973

Governance Committee

Howard Petersen, Chairman  
Hanna Gray  
Robert Solow  
Donald Straus

Stephen Adler - Natural Sciences  
Clifford Geertz - Social Sciences  
Frank Gilliam - Historical Studies  
Atle Selberg - Mathematics

Petersen: This is an unstructured meeting without an agenda.  
We have a common purpose - the best interests of the  
Institute. Perhaps we can achieve an agenda and priorities.

Selberg: This meets our views of what we can accomplish today.  
The views of the faculty are not identical, but we have a  
list.

Adler: 1. Methods of selecting a Director  
2. Composition of Board  
    (a) Academic Trustees - method of selection  
    (b) Alumni Trustees - policy of having any  
3. Vote of Director in Faculty  
4. Role of Director  
5. Method of making academic appointments

Faculty hopes that this agenda could be completed by end  
of academic year.

Petersen: How can we minimize the difficulties of last Spring?  
This is also an item for us to discuss. This being the  
case, where do we start?

Selberg: The last two points on the agenda are the difficult  
questions.

Geertz: We should also decide the question of the Director's  
vote.

Decided to discuss each issue - with each  
faculty delegate expressing his view.

Adler: Re vote of Director. This is a current issue.

Selberg: Faculty meetings convened by faculty are primarily to assist communications between the faculties. In such meetings the Director should not be in the chair. In other words, there would be two kinds of faculty meetings. No one objects to having the Director present.

Geertz: The question is whether or not he "sits" as Director or a Professor.

Gray: I recall that in the Dilworth Committee, the distinction was made between the role of a Director at faculty meetings.

Adler: Perhaps we should take "sit" out of paragraph V in the agreement, and limit prohibition to "vote".

Gilliam: The Director should certainly be present at faculty meetings, but perhaps not at all meetings of the separate schools. But last Spring there were occasions when the faculty could have met together without the Director in the chair.

Adler: The Director shall chair meetings he calls, but not at meetings called by faculty. Professor Elliott has suggested that the faculty should elect its own chairman, and this may gain in support.

Petersen: I would think the faculty could do as it wishes regarding electing a chairman -- but this does not mean he should preside at all meetings.

Selberg: Perhaps it would give the Director more freedom if he were not chairman.

Petersen reiterated view that faculty can elect a chairman, but not always its presiding chairman. In essence this creates a Dean.

Selberg: This has not yet become a motion.

Gilliam: He wouldn't be a Dean, but would merely preside over a particular kind of meeting - i.e. a meeting when five members of faculty call it.

Geertz: Setton raised the question: if Director functions as a Professor, does this precedent not strip a Professor of some of his rights (taking away his vote). This worries me, although I have not yet made up my mind.

Selberg: A Director can never cease functioning as a Director - no matter where he sits or whether he votes.

Petersen: What about a Professor in his own school?

Geertz: Now, this is a moot question.

Straus: Is the proposal essentially this: We are discussing two distinct kinds of faculty meetings: one called by faculty and presided over by a faculty member elected to chair it; one called by Director and presided over by Director.

Selberg: Yes, and each would have different purposes. For some kinds of meetings, designed to assist in communication between faculty, it would be unsuitable for Director to be in chair. Meetings last Spring are an example of this.

Gilliam agreed that this is so. Without the faculty's ability to do this last Spring, the results were a series of "rump" meetings. Various groups or factions were formed and this exaggerated the problem. This suggested that procedure would avoid this kind of factionalism.

Petersen: Is this proposal evidence of lack of faith as to what might come out of these meetings? Does this indicate need to protect against occurrences of last Spring?

Gilliam: Not really. This proposal was made by Elliott who was not here last Spring. Certainly there is no desire to multiply faculty meetings.

Selberg: This motion was not made to undercut this Committee -- but is an effort to improve communication.

Solow: I am inclined to go along with this proposal. It could be a route to undermine the regular procedures -- but we must not assume this.

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Gilliam: As Trustees you must be aware of difficulties between Director and faculty. But there are also quarrels within the faculty. The purpose of this proposal is aimed to help this situation.

Petersen For the next meeting, we expect from the Faculty Committee a revision of language of paragraph V.

Adler Re composition of Board and Academic Trustees

Petersen: We would hope the faculty would come up with suggestions. We have a Nominating Committee that should confer with the respective faculties with regard to these appointments. We hope these positions will be filled before the end of the year.

Adler: In Mathematics ....the faculty may wish to suggest just one name.

Selberg: There should be no strict rules. Perhpas the Alumni Association may wish to be active. In the past we (mathematicians) have suggested just one name. Albert was an example.

Straus asked Selberg whether he favors the formal submission of a name from a faculty, or a discussion of possible names by representatives of the faculty and the Nominating Committee.

Solow liked idea of joint discussion -- it would avoid idea of having a Board member "representing" the faculty.

Adler also liked the idea of joint discussion of names.

Petersen: We seem to have a consensus on this procedure -- and we don't need any formal language on this. I will ask Mr. Forrestal as Chairman of the Nominating Committee to proceed with the Mathematics and Natural Sciences Faculties.

It was agreed to defer any discussion discussion of alumni Board members.

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Adler Procedures for Selecting Director

Petersen referred to paragraph 15 of draft of September 28, 1973

Gilliam, Adler, Geertz, Selberg all felt that this was acceptable, and will get formal approval of it. This will be on agenda for next meeting.

Adler Method of making academic appointment

Petersen Let's turn first to appointments of School of Social Science.

It was agreed that this procedure is set by the Dilworth Agreement (Para. III) and is not in controversy

Selberg referred to joint faculty appointments with Princeton as a difficult and unresolved question. We take a dim view of this. The University makes very different demands.

Adler There are two kinds of faculty votes:

- (1) Changes in duties of faculty. We agree these should go to vote.
- (2) Appointments to a School's faculty. We do not agree these should go to a full faculty vote. We propose that a visiting committee be set up (for those schools that wish) to screen new appointments. This is not an "Ad Hoc" committee, but a continuing committee.

Solow: Should the academic trustee be a member of this committee.

Adler and Geertz felt the academic trustee should not be a member of this visiting committee.

Geertz liked the Adler proposal, but there are many important details to work out. It is essential for Social Science to have this kind of autonomy.

Gilliam was less certain about this issue. The chief difficulty is that this runs head-on into the troubles of last Spring.

We must look for some common ground. It is natural for each School to want autonomy. But this is a strange place, and we are different from a university with 1000 faculty members. Social Sciences and History really encompass many faculties in universities. Mathematics and Physical Sciences do coincide with departments in universities. In a faculty of only 30 it is difficult not to be concerned with one's colleagues, even in another field. The Adler proposal would divide the Institute even more than it now is. The Adler proposal would also be rejected by the majority of the Historical Faculty, and if adopted by the Trustees, it might create another crisis. We need an ingenious new formula.

Selberg: Faculty used to vote on all appointments. It was abandoned by faculty decision because it seemed just to create fiction. Autonomy of schools was considered important unless there were special circumstances -- such as a new school. There is no great sentiment to return to a full faculty vote in all appointments. There is nothing wrong with getting outside opinions. But the Adler proposal would give up some of the autonomy of a school to an outside visiting committee. The mathematicians do not feel the need for this.

Adler: We worry that the ability of a school moving in a new direction would be restricted if the fully faculty had a vote.

Gilliam: The full faculty does not vote unless some larger question is raised. But the majority of my School would object to total elimination of this procedure for special purposes.

Selberg: On what grounds?

Gilliam: On general academic grounds, for example.

#### Lunch Recess

At lunch, Straus suggested that there are two orders of priority in appointments:

- 1) Initial autonomy of schools -- which is primary.
- 2) Some safeguard against mistakes -- which is important but secondary. The challenge is to find a formula for meeting the secondary objective.

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Petersen asked Adler to circulate his proposal.

Selberg: Perhaps the Board itself would become more of a check against error when there are more academic trustees.

Geertz: I agree that my school would not like to delegate appointing authority to an outside authority. But a visiting committee of Social Scientists would be preferable to the whole faculty.

Adler: The question is: who has the deciding vote -- outside visiting committee, trustees, school faculty, Director, total faculty"

Selberg: There should be no possibility of an appointment being made against a faculty vote? But full faculty vote should be resorted to in only rare and unusual circumstances.

1. Other than academic reasons.
2. A recommendation after split vote within the appointing faculty.

If for any reason there is need for a decision outside of the school, perhaps the Trustees, when reinforced by a strong academic component.

Straus asked if the following follows from what Selberg has said:

1. Appointment recommendation by school.
2. Consideration by total faculty on grounds of
  - a. Other than academic reasons.
  - b. A close vote by appointing school.
3. If a majority of faculty wishes, a communication to Board (either written or oral) seeking a reconsideration of the appointment.
4. Final vote of Board -- as newly reinforced by academic members.

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Selberg still favors a vote of the faculty, with a prohibition against appointment if whole faculty votes against it.

Adler agrees with Straus that a total faculty vote may be less of a reasoned expression of opinion and more of a reflection of crystallized faction.

Solow: Selberg is asking for greater autonomy for the schools with very restricted grounds, excluding academic grounds.

Geertz reaffirms that a vote of the total faculty must not be binding on the Trustees. There must be all sorts of advisory opinion, but nothing binding.

Solow: Is it not possible to limit a vote of the faculty on the sole grounds of 1) other than academic, 2) a close vote within a school?

Gilliam: Time may be on our side. It may be easier to get a consensus next Spring than now. We must not seek a consensus now.

Adler believes that there must be some resolution on this before any new appointments can be made in the School of Social Sciences.

Straus asked Selberg if ground rules were agreed upon for what kind of appointment issue should go to ~~total~~ faculty, then by definition some kinds of school appointments would automatically go to Trustees.

Selberg: This is so, and I have mentioned the two grounds.

Petersen: What about a decision over fields of endeavor.

Selberg: This is a more difficult question. If school wishes to go into a brand new area, this could be a legitimate question for faculty vote -- perhaps covered by "major innovation".

Adler: But let's be sure this will not preclude a really innovative thrust legitimately with a school's interest. For example - environmental physics. It may not be viable now, but it could become so.

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Petersen: We now have three criteria:

- 1) Outside a judgment on academic competence
- 2) A close school vote
- 3) Major innovation.

Selberg: I wish to make one statement. There have been inferences that a majority of the faculty is against Social Sciences. This is not true. The vote last Spring was against the man.

Geertz: Nevertheless, we still have some suspicions that this is so -- or least a feeling the School cannot govern itself.

#### Role of Director

Selberg: Each Director has interpreted his role differently. Aydelotte and the early years of Oppenheimer set the best pattern. It was one of limited perception of authority.

It is not obvious that we need some one to direct our academic policies.

In Europe, the head is elected by faculty. In addition in Scandinavia there is an administrative director, who runs the administration but makes no academic appointments.

At Weissman Institute, the main function was fund raising for the first director. He was replaced by Dr. Sabin, and this was less successful.

Flexner was not an academic. At one time there was talk of asking Lewis Strauss becoming Director.

Geertz: Wouldn't the result be faculty domination, and this is usually very conservative. The Institute would lose its leverage.

Adler agrees, adding that the two new schools were started by Oppenheimer and Kaysen.

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Selberg: The Mathematics Faculty initiated new sources of money from the outside -- no one else. Nor have the Directors played such an important role. The School of Economics was Director inspired and was a failure. ~~Theor~~ Veblen was a builder and innovator. The School of Physics was largely inspired by the School of Mathematics. Oppenheimer gave to the School an imbalance. He should have brought in more mature people.

Adler: Oppenheimer was a giant influence in American physics and gave us great stature.

Selberg: There will always be the potential for innovation in a faculty like this. A School of Social Science might have occurred through appointments in the existing schools -- and then "fission" into a separate school. But academic innovation should occur in a "natural" way by consent of the faculty.

Geertz: Without a Director, who prevents "majority tyranny"?

Selberg: We protect ourselves - and we all have outside constituents.

Solow: Your outside constituents might applaud this tyranny.

Adler: Without a Director, our time would be stolen from academic work by quarrels and administration.

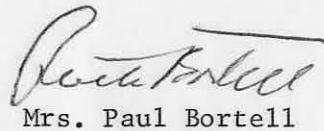
THE INSTITUTE FOR ADVANCED STUDY  
PRINCETON, NEW JERSEY

OFFICE OF THE DIRECTOR

October 12, 1973

To the Members of the Faculty-Trustee  
Committee on Governance:

Meeting dates for this Committee have now been confirmed for Saturday, November 3, and Saturday, December 8. On November 3 the meeting will begin at 10:00 A.M. and continue through lunch and as long as may be necessary into the afternoon. It will be held in the Board Room.



Mrs. Paul Bortell

Professors Adler, Geertz, Gilliam, Selberg

cc: Mrs. Stalcup