

THE INSTITUTE FOR ADVANCED STUDY

PRINCETON, NEW JERSEY 08540

REPORT TO THE FACULTY

At our spring meeting, the Board heard a description of the year's work of the Joint Faculty Trustee Committee on Governance from its Chairman, Mr. Petersen. The Committee, which was established last year to explore ways of removing sources of the conflict held five meetings during the course of the year. Its major attention was given to two subjects: procedures for choosing a director and his role in the Institute; and procedures for appointing members of the Faculty.

A wide degree of consensus emerged from the Committee's discussions on the first set of questions. Attached is a draft prepared by the Board members of the Committee, reflecting the discussions at its last meeting. We hope that further discussions on this draft can produce an agreed document for submission to the Board.

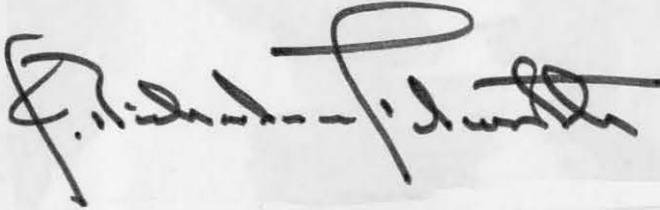
The discussion in the Joint Committee showed differences of opinion, principally among the four Schools, about the appropriate procedure for making regular professorial appointments. At present, there is an agreed procedure only for the next appointment in the School of Social Science; namely, the same one under which the appointment of Professor Hirschman was made. The Board welcomes that appointment and Professor Hirschman's acceptance of it as a propitious sign. It is our hope that further discussion in the Faculty will lead to formulation of regular appointment procedures that command wide assent within the Faculty and leave no significant part of the Faculty deeply dissatisfied.

The Chairman of the Joint Committee on Governance has further reported to us his belief that the group could make useful progress by meeting several times next fall, and rendering its final report to the Board in December. Since the Joint Committee was not meant to be the permanent vehicle for regular consultation among Faculty, Director, and Board, we look forward to the reconstitution of the Faculty Liaison Committee for that purpose. It would be desirable for the Liaison Committee to be reactivated in time for a meeting with the Executive Committee of the Board at its scheduled December meeting.

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The Faculty participants in the discussions during the Spring of 1973 raised questions about academic representation on the Board, and these questions were further pursued in the Governance Committee. In response to that discussion, the Board has elected two further academic members, Joseph L. Doob, professor of mathematics at the University of Illinois, and Sidney D. Drell, professor of physics at Stanford University and the Stanford Linear Accelerator Center. They will join the Board as of 1 July, the beginning of the next academic year. The Board now has four academic members with professional competences corresponding broadly to the areas of work of the four Schools. We expect to maintain such representation in our membership, in accordance with the agreed procedure, by which we receive recommendations from the appropriate Schools when vacancies occur, and choose from among them.

The Board elected Mr. Howard C. Petersen as its new Chairman. Mr. J. Richardson Dilworth, who has been Acting Chairman, retains his position as Vice-Chairman and President of the Corporation, and the other officers also continue.

A rectangular box containing a handwritten signature in black ink. The signature is written in a cursive style and appears to read "J. Richardson Dilworth".

ACTING CHAIRMAN

Attachment

April 27, 1974

April 15, 1974

Dear Howard:

Here are some changes in the draft memorandum which Don Straus suggests. They are perfectly acceptable to me.

I talked with Dick about the Committees and I thought I might pass his suggestions along to you. Technically speaking, he would make the nominations as Acting Chairman but obviously they should be in accordance with your wishes. We thought Martin Segal might replace you as Chairman of the Finance Committee and member of the Budget Committee. You of course will be an ex-officio member of both. We thought it would be useful to add Don Straus to the Nominating Committee as Mike Forrestal goes off. At the moment perhaps the Executive Committee should be left where it is, i.e., you join it and those now on it remain on it. I understand you will be in your office Thursday and perhaps we can talk.

Cordially,

Carl Kaysen

Enclosure

Mr. Howard C. Petersen
135 South Broad Street
Philadelphia, Pennsylvania 19109

CHANGES TO MEMORANDUM TO THE FACULTY

First paragraph, second sentence:

The Committee, which was established last year to explore ways of removing sources of the conflict held five meetings during the course of the year.

Third paragraph, first sentence:

The discussion in the Joint Committee showed differences of opinion, principally within the four Schools, about the appropriate procedure for making regular professorial appointments.

Fourth paragraph, first sentence:

The Chairman of the Joint Committee on Governance has reported to us his belief that the group could make useful progress by meeting several times next fall, and rendering its final report to the Board in December.

Fourth paragraph, second sentence:

Since the Joint Committee was not meant to be the permanent vehicle for regular consultation among Faculty, Director, and Board, we look forward to the reconstitution of the Faculty Liaison Committee for that purpose.

Fourth paragraph, third sentence:

It would be desirable for the Liaison Committee to be reactivated in time for a meeting with the Executive Committee of the Board at its scheduled December meeting.

Fourth paragraph, fourth sentence:

OMIT

April 11, 1974

Dear Howard:

I am attaching several documents for you. One is Don Straus' draft statement on activities of the Faculty-Trustee Committee. The second is my own draft, or rather my modification of Bob Solow's, cast in the form of a letter from the Board to the Faculty, to be circulated after the meeting. Attached to it is a slightly revised version of the paper on the director, that Bob produced as a result of the discussion at the last meeting.

I raise two questions besides those implicit in these documents. First, as a matter of courtesy, would it be wise for you to send to the Faculty members of the Committee a brief note indicating what you were about to report to the Board, i.e., a three or four sentence summary of the memorandum to the Faculty along with the revised paper on the director? Hanna and I think it might be a courteous thing to do, I haven't had a chance to ask Bob or Don. It would be something along the lines of "I would like to let you know substantially what I propose to report to the Board", etc.

The second question concerns the Governance Committee. It would appear that there is something anomalous in your continuing to be Chairman of the Committee when you become Chairman of the Board. On the other hand, continuity is important, and given that only two more meetings are contemplated, perhaps the anomaly can simply be ignored.

Cordially,

Carl Kaysen

Mr. Howard C. Petersen
135 South Broad Street
Philadelphia, Pennsylvania 19109

Enclosures

P.S. I have sent copies of my own draft and the paper on the director to the other members of the Committee.

Donald B. Straus
April 8, 1974

Draft of Statement on Activities of Faculty-Trustee Committee

At the last annual meeting of the Board of Trustees, a Faculty-Trustee Committee on the Rules of Governance was established under the Chairmanship of Howard Petersen. This Committee has met five times. With the valuable assistance of the Director, significant progress has been made.

During the year, a second appointment has been made to the School of Social Science under the special procedures for this School originally developed last year in the Dilworth Committee and subsequently adopted by the Petersen Committee.

The Petersen Committee also developed procedures to implement the Dilworth Committee recommendation that there be academic trustees corresponding to the disciplines represented in the present four Schools. Two new trustees, a mathematician and a physicist, were nominated under these procedures and have been elected to the Board.

There remain three major items still under discussion: 1) a procedure for making appointments to the Faculty, 2) the duties and responsibilities of the Director and 3) a procedure for selecting a new Director. There is a large measure of

-2-

agreement on all three of these items. But there remain troublesome points of disagreement, primarily between the views of the four Schools, that must be substantially resolved before the Committee can successfully complete its task. The Committee has therefore decided to hold further meetings next fall and plans to render its final report to the Board of Trustees at the December meeting.

It is anticipated that the line of communications between Trustees and Faculty which have been opened up so successfully this year by the Petersen Committee will be continued through the resumed operation of the Liaison Committee after the December Trustees meeting.

DRAFT

Memorandum to the Faculty

At its annual meeting, the Board heard a description of the year's work of the Joint Faculty Trustee Committee on Governance from its Chairman, Mr. Petersen. The Committee, which was established last year to explore ways of removing such sources of the conflict that then arose as originated in the Institute's organizational mechanisms, held five meetings during the course of the year. Its major attention was given to two subjects: procedures for choosing a director and his role in the Institute; and procedures for appointing members of the Faculty.

A wide degree of consensus emerged from discussions on the first set of questions. Attached is a draft prepared by the Board members of the Committee reflecting the discussions at its last meeting. We hope that further discussion on this draft, both in the Faculty and through the Joint Committee, can produce a fully agreed document.

The discussion in the Joint Committee showed deep differences of opinion within the Faculty about the appropriate procedure for making regular professorial appointments. At present there is an agreed procedure only for the next appointment in the School of Social Science; namely the same one under which the appointment of Professor Hirschman was made. The Board welcomes that appointment and Professor Hirschman's acceptance of it as a propitious sign. It is our hope that further discussion in the Faculty will lead to agreement on regular appointment procedures that commands wide assent within the Faculty and leaves no significant part of the Faculty deeply dissatisfied.

The Chairman of the Joint Committee on Governance has reported to us his belief that the group could make useful progress by continuing its work in the next academic year. Since the Committee was not meant to be the permanent vehicle for regular consultation among Faculty, Director, and Board, we look forward to the reconstitution of the Faculty Liaison Committee for that purpose. It would be desirable for that Committee to be reactivated in time for a meeting with the Executive Committee of the Board at its scheduled December meeting. The Joint Committee on Governance could then report such agreement as it has been able to achieve, and allow continuing discussion to go forward through the Liaison Committee and the other regular channels.

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- 2 -

The Faculty participants in the discussion of last spring raised questions about academic representation on the Board, and these questions were further pursued in the Governance Committee. In response to that discussion, the Board has elected two further academic members, Joseph L. Doob, professor of mathematics at the University of Illinois, and Sidney D. Drell, professor of physics at Stanford University and the Stanford Linear Accelerator Center. They will join the Board as of 1 July, the beginning of the next academic year. The Board now has four academic members with professional competences corresponding broadly to the areas of work of the four schools. It expects to maintain such representation in its membership, in accordance with the agreed procedure, by which it receives nominations from the appropriate Schools when vacancies occur, and chooses from among them.

The Board elected Mr. Howard C. Petersen as its new Chairman. Mr. J. Richardson Dilworth, who has been Acting Chairman, retains his position as Vice-Chairman and President of the Corporation, and the other officers also continue.

Carl:

Here is a possible "letter"
from Board to Faculty. Do
anything with it that seems useful.

Bob

DRAFT OF LETTER FROM BOARD TO FACULTY

The Committee ~~which~~ held five meetings & the attached

At its Annual Meeting, the Board heard from Mr. Peterson a description of the year's work of the Joint Faculty-Trustee Committee on Governance. The Board welcomes the real, if partial, progress that has been achieved. [We append to this letter a statement embodying our present understanding of a close approximation to an agreed position on the selection and functions of the Director. We would be interested to hear Faculty views on this statement. (Method of transmission?)

Further, it appears to be agreed that there should be at least four academic members of the Board of Trustees, one representing the area of each School. The Board will elect its academic members from a list of names approved by the corresponding School. With the election of Professors Joseph L. Doob and Sidney Drell, the Board now conforms to this agreement.

Discussion in the Joint Committee has revealed ~~the~~ deep differences of opinion within the Faculty about the appropriate procedure for making future professorial appointments in established Schools. The only such appointment likely to go forward immediately is that of the third Professor in the School of Social Science and, fortunately, there is an agreed special procedure for that. The Board hopes that an agreed procedure for subsequent routine appointments can be negotiated, and would welcome receipt from the Faculty of one or more suggestions for such a procedure commanding wide assent within the Faculty and leaving the members of no School deeply dissatisfied.

It is our understanding that the Joint Committee on Governance will meet once or twice more in the fall of 1974.

Since this Committee is not, and was not meant to be, a vehicle for regular consultation among the Faculty, the Director, and the Board, we hope it will prove possible to reconstitute the Liaison Committee for this purpose. It would be useful if this were done in time for the Liaison Committee to ~~meet~~ meet with the Executive Committee of the Board at its regularly scheduled December meeting.

THE INSTITUTE FOR ADVANCED STUDY

PRINCETON, NEW JERSEY 08540

Telephone-609-924-4400

THE DIRECTOR

April 11, 1974

Dear Hanna, Bob, Don:

Attached are suggested communications from the Board to the Faculty on the work of the Governance Committee, based on the drafts of Bob and Don. If you have any thoughts or comments on them, I think it is probably more efficient to simply talk to Howard on the phone. Otherwise, we will be dealing with the whole set at the Board meeting.

Cordially,



Carl Kaysen

Mrs. Hanna H. Gray
Mr. Robert M. Solow
Mr. Donald B. Straus

cc. Mr. Howard C. Petersen

Enclosures

(see c k letter to Petersen April 11, 1974)

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Mr. Robert M. Solow
Mr. Donald B. Straus

cc. Mr. Howard C. Petersen

Enclosures *(see CK letter to Petersen - April 11, 1974)*