

Proposed revisions to Sec. 14 of "Responsibilities of the Faculty..."

Add #1

In 14 (1): At the end of the paragraph add: "An appointment within an existing school involving a substantially new subject of research within the area of the school as broadly defined, but which would not have financial implications beyond those normally accompanying the appointment of a new professor, shall not be considered a major academic innovation."

Add #2

In 14 (2): At the end of the paragraph add: "The provision for a mandatory one year delay may be applied only once to each issue deemed to be a major innovation."

(A) If the Director has approved for a further
after consultation with the Faculty, the study team only
to see in the autumn when we are in position ⁽¹⁾

The Faculty shall have all the as decided from

~~The Faculty shall have all the~~ is downloaded from

b A Doctor may be appointed for a further term only after Faculty-Trustee consultation as described in (1) above.

2 (a)

The Director shall be appointed for a term of not longer than 10 yrs. & in no case to extend beyond the end of the academic year in which he reaches his 65th birthday

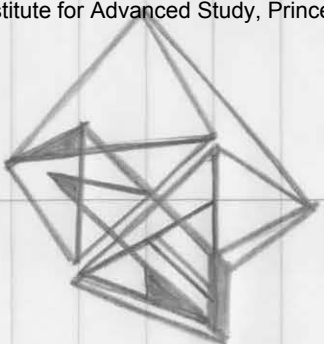
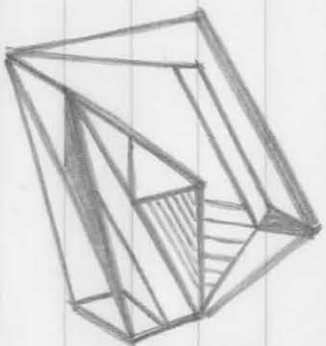
(b)

The Director may be reappointed for a further term only after consultation with the faculty as described above

5/10/74

1) "Major innovations"

2) For Trustees For Director
Chairman Advisory



Panel

Faculty - trustee substitutes all
leaving

1) Mayor inauguration

Adler

House of
Nov 29
1972

Addition to 14 (1) new funds within school

14 (2) 1 year delay not necessary

October 3, 1974

Director: Choice, etc.

Revisions proposed for consideration by School of Historical Studies:

2. (a) The Director shall serve for a maximum of ten years.

(d) After the completion of his service, the Director may be appointed a permanent professorial member to serve until he reaches the age of retirement. If he remains at the Institute, his salary and privileges should be those of a professor, but it is understood that he would be an official member of a School, and vote in Faculty meetings, only if elected a professor.

3. 1st paragraph

The Director shall be the chief administrative and academic officer of the Institute.

3. last paragraph

In exercising his academic responsibilities, he shall act in accordance with agreed procedures as to the role of the Faculty in the governance of the Institute.

October 3, 1974

Director: Choice, etc.

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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 Claggett, 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

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.

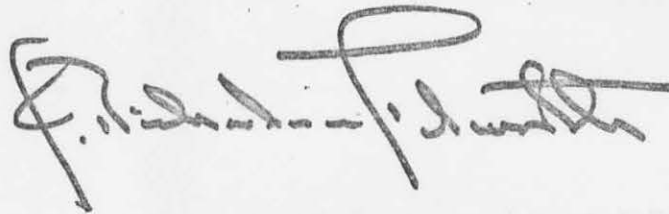
The discussion in the Joint Committee showed differences of opinion, principally among the four Schools, about the appropriate procedure for making regular professorial appointments. At present, there is an agreed procedure only for the next appointment in the School of Social Science; namely, the same 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.

/...

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 handwritten signature in dark ink, appearing to read "J. Richardson Dilworth". The signature is fluid and cursive, with a large, stylized initial "J" and "R".

ACTING CHAIRMAN

Attachment

April 27, 1974

THE INSTITUTE FOR ADVANCED STUDY

PRINCETON, NEW JERSEY 08540

September 19, 1974

Memorandum to the Faculty Members of
the Trustee Committee on Governance:

Professors Adler, Borel, Geertz, Gilliam:

In accordance with the discussion at the last meeting, I would like to schedule at least two meetings of the Committee this fall. At present, I have asked my Trustee colleagues to reserve October 5 and December 7 for these meetings and, accordingly, would like to call for a meeting of the Committee on October 5th, at 10:00 a. m., in the Institute Board Room. The meeting will last through lunch and as much later as we need. It is my hope that we can finish our discussion of the choice, terms of appointment, and duties and responsibilities of the Director.

I attach a copy of the document of April 6, 1974 which was circulated to the Faculty after the last meeting of the Committee.

The remaining topic for discussion is the regular procedure for Faculty appointments; we can review the state of this discussion at our meeting.



Howard C. Petersen

Attachment

cc: Executive Officers of the Schools

THE INSTITUTE FOR ADVANCED STUDY

PRINCETON, NEW JERSEY 08540

Telephone-609-924-4400

SCHOOL OF NATURAL SCIENCES

January 3, 1974

Dear Colleagues:

To supplement the materials which Professor Selberg and I have circulated previously, I am enclosing the following additional items for discussion at the January 15 meeting: (1) Two alternative formulations of proposed rules governing appointments to established schools, (2) Proposed revisions and clarifications of Sec. 14 of "Responsibilities of the Faculty...", (3) The language for Sec. 15 of the same document which has been endorsed by the Trustees.

Sincerely yours,



Stephen L. Adler

SLA:sm

Proposed rules to govern appointments to existing schools (i.e., Historical Studies, Mathematics and Natural Sciences, and the School of Social Science after two further appointments have been made under the special rules which apply to schools in formation)

Alternative 1

1. When an existing school has reached the decision to make a nomination for a faculty appointment, the faculty is given ample documentation of the case.
2. A faculty meeting is called to discuss the proposal, if within a period of two weeks after the documents have been distributed some part of the faculty asks that a meeting be called.
3. While the fullest possible discussion is encouraged, a formal vote cannot be taken on the nomination unless either of the following two conditions is met: (a) The nominating school is less than unanimous in its support of the proposal; or (b) The appointment raises issues other than the academic merits of the nominee, it being presumed that each school is, within its own area, the best judge of the academic suitability of its nominees.
4. If either of the above two conditions is met, the vote on the nomination shall take place at a meeting to be held not less than two, nor more than ten days after the meeting at which the nomination was discussed. Such a vote is final and binding.
5. A nomination which has passed through this procedure is forwarded to the Director for transmission to the Board.

Alternative 2

1. When an existing school has reached the decision to make a nomination for a faculty appointment, the faculty is given ample documentation of the case.
2. A faculty meeting is called to discuss the proposal, if within a period of two weeks after the documents have been distributed some part of the faculty asks that a meeting be called.
3. There shall be a presumption that each school is the best judge of the suitability of appointments it proposes, and therefore a Faculty vote on proposed appointments will not be held as a matter of course. If, in exceptional cases there are grave and persistent doubts about the suitability of a proposed appointment, a faculty vote on the proposal may be called for by a majority of the faculty.

4. The vote on the nomination shall take place at a meeting to be held not less than two, nor more than ten days after the meeting at which the nomination was discussed.

5. If the proposing school and the Director wish to continue to recommend the proposed appointment in the face of a negative faculty majority, the following procedure shall be followed:

(i) An outside Committee, composed of persons competent in the area of the proposing school and related disciplines, shall be appointed to advise the Board on whether the proposed appointment should be made.

(ii) If this Committee recommends against the appointment, the Board undertakes to reject the nomination. If the Committee favors the appointment or is divided, final decision shall be taken by the Board, with due deliberation, based on all materials placed before the Board by the nominating school, the Director, faculty members in other schools and the outside Committee.'

Remark: Many ways of forming the outside Committee could be considered. The one I prefer would involve a four-member committee, with two members elected by the full Faculty and two selected by the nominating school from the membership of the school's standing committee (or in consultation with the Director and the school's Academic Trustee if the school has no standing committee.)

Proposed revisions to Sec. 14 of "Responsibilities of the Faculty..."

In 14 (1): At the end of the paragraph add: "An appointment within an existing school involving a substantially new subject of research within the area of the school as broadly defined, but which would not have financial implications beyond those normally accompanying the appointment of a new professor, shall not be considered a major academic innovation."

In 14 (2): At the end of the paragraph add: "The provision for a mandatory one year delay may be applied only once to each issue deemed to be a major innovation."

THE INSTITUTE FOR ADVANCED STUDY

PRINCETON, NEW JERSEY 08540

SCHOOL OF MATHEMATICS

November 8, 1973

To the joint Trustee-Faculty Committee on Governance

Dear committee members:

The following is a suggestion for an arbitration procedure, in case some future nomination to a Professorship is disputed.

Recommended Compromise Procedure. If the Director, at some future time, shall forward a Professorial nomination to the Board of Trustees in spite of a negative Faculty vote, then the following steps shall be followed. The Faculty members opposed to the appointment shall immediately elect a committee to meet with the Director and an appropriate committee of the Board of Trustees, attempting to resolve the dispute. If no resolution seems possible, then a group of outside experts, at least half chosen by the Faculty Committee, shall be asked to advise the Board of Trustees on the proposed appointment. No final decision shall be made by the Board of Trustees until the report of this outside committee has been received.

Comments: Obviously the circumstances described above would be traumatic ones, so it is very important to agree in advance on some machinery for handling such a dispute. I suggest this compromise reluctantly, because I believe that a negative Faculty vote should be binding on the Director. One alternative which has been suggested - not permitting the Faculty to vote at all on a disputed appointment - seems totally unreasonable. The Faculty must not abdicate its responsibility of maintaining a general oversight over appointments.

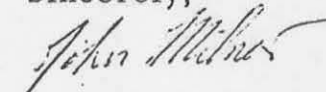
The two most disturbing features of the events last January to many Faculty members were the abrupt nullification of a decision procedure which we thought had been agreed upon; and the speed with which the Board of Trustees overruled the Faculty and terminated debate. Of course a certain amount of speed is necessary in such circumstances. The procedure outlined above would permit appropriately rapid action, and yet allow both sides of the dispute to receive a fair hearing.

2 - Joint Trustee-Faculty Committee on Governance
November 8, 1973

In making this suggestion, I do not mean to suggest a return to the procedure of a Faculty vote on all Professorial nominations. The practice followed in recent years (circulating material on the candidate and permitting Faculty members to submit criticism or to call for a meeting if they choose) has worked very well. It would be a mistake to make any change, at this time, in the one aspect of our system which has worked smoothly.

These remarks of course should not apply to the next two appointments in Social Science, where different ground rules have already been agreed upon.

Sincerely,


John W. Milnor

Mrs. Hanna Gray, Messrs. Howard C. Petersen, Robert M. Solow,
Donald B. Straus, Stephen Adler, Clifford Geertz, James F. Gilliam,
and Atle Selberg

cc: The Director and members of the Faculty

Proposal for a System of Outside Committees to Pass on Academic Appointments

I wish to propose the following procedure for making future academic appointments to established schools:

- (1) For each established school an outside committee of distinguished experts should be created, communicating with the Trustees through the corresponding Academic Trustee on the Board.
- (2) The committee for each school would pass on the academic merits of appointments proposed by that school, and every few years would assemble as a visiting committee to examine overall questions of school policy and research direction.
- (3) For purposes of information, dossiers on nominees for Professorships would continue to be circulated to all of the Faculty, and any comments on a proposed nomination would be welcomed by the outside committee. There would, however, be no provision for a full Faculty vote.

Obviously the above proposal is just a sketch, with many important details yet to be specified. I believe, however, that the general framework outlined above offers the best chance for maintaining high standards of academic quality, while avoiding the bitter clashes within the Faculty that have paralyzed the Institute on more than one occasion in the past.

L. Adler

THE INSTITUTE FOR ADVANCED STUDY

PRINCETON, NEW JERSEY 08540

Telephone-609-924-4400

SCHOOL OF NATURAL SCIENCES

November 29, 1973

Memo to: Faculty - Trustees Committee on Governance

From: S. Adler

I am enclosing an alternative proposal for a system of outside Committees, which incorporates some of the other ideas which have been circulated.

THE INSTITUTE FOR ADVANCED STUDY

PRINCETON, NEW JERSEY 08540

Telephone-609-924-4400

SCHOOL OF NATURAL SCIENCES

November 29, 1973

I. Each School shall have an outside Standing Committee of five members appointed for overlapping five year terms. The Committee members shall be chosen by the School in consultation with the Director and the Board of Trustees. The Standing Committee will have three functions: (1) To be available to the School for consultations about School policies and appointments. (2) To convene every few years in Princeton as a Visiting Committee and to report on its findings to the Trustees. (3) To arbitrate disputed appointments, as set forth below.

II. In the case of appointments to established schools, there shall be a presumption that each School is the best judge of the suitability of appointments it proposes, and therefore a full Faculty vote on proposed appointments will not be held as a matter of course. However, it is understood that grave and persistent doubts about the suitability of a proposed appointment may lead to the request for a full Faculty vote. Should the nominating School and Director wish to recommend an appointment in the face of a negative majority, the following procedure shall be followed:

(1) A seven member Committee shall be appointed to advise the Trustees on whether the proposed appointment should be made. The Committee shall consist of the five members of the Standing Committee of the School in question, plus two additional members chosen by the full Faculty.

(2) If this Committee recommends against the appointment, the

Trustees undertake to reject the nomination. If the Committee favors the appointment or is divided, final decision shall be taken by the Trustees, with due deliberation, based on all materials placed before the Board by the nominating School, the Director, faculty members in other Schools and the outside Committee.

III. The Director may request the advice of an outside Committee constituted as above in the face of a sharply divided full Faculty vote, even if there is not a negative majority.

THE INSTITUTE FOR ADVANCED STUDY

PRINCETON, NEW JERSEY 08540

SCHOOL OF NATURAL SCIENCES

November 15, 1973

Dear Mrs. Gray and Messrs. Petersen, Solow and Strauss:

Enclosed is a statement proposing a system of outside committees for passing on future academic appointments at the Institute, a revision of item V of last year's list of 6 points, and, to follow up Professor Selberg's remarks, some suggested revisions of "Responsibilities of the Faculty..." which I believe could satisfy the desire of our school for the autonomy of established schools in academic matters.

Sincerely yours,

Stephen L. Adler

SLA:sm
encs.

cc: Faculty Members of the Committee on Governance

DRAFT

Revisions to "Responsibilities..."

In 6 (2): Replace "This may involve discussions... Faculty" by

"However, a meeting of the full Faculty may be called to consider objections only under either of the following two circumstances:

- (1) The vote of the nominating school is less than unanimous,* or
- (2) The objections to be considered involve aspects of the appointment other than that of the academic judgement of the proposing school."

*note:
meeting -
meeting
still
unusual*

In 14 (1): At the end of paragraph add: "An appointment within an existing school involving a substantially new ^{subject} ~~area~~ of research, but ^{within the area of the school as broadly defined,} which would not have financial implications beyond the support of about half a dozen temporary members in the area in question, and/or modest computer, equipment or library requirements shall not be considered a major academic innovation."

In 14(2): At end of paragraph add: "The provision for a mandatory one year delay may be applied only once to each issue deemed to be a major innovation."

* not self abstention

1976, 18 prefer the 4 Distinctive Com form

DRAFT

V. When the Director is a Professor, he shall not vote as a Professor in a School or in the whole Faculty while serving as Director. He may attend a meeting of any School on the invitation of that School, as extended through its Executive Officer, and may attend all Faculty meetings, including those convened on Faculty initiative. [These rules are designed solely to minimize conflicts of function which may arise when a Professor also serves as Director, and do not constitute a precedent for depriving a Faculty member of normal Faculty prerogatives in any other circumstance.]

→ opinion:

Other conflict of
interest situations
may also require a
Professor to abstain

agreed