

Procedures for the Academic Governance of the Institute

Introduction

The Institute for Advanced Study was founded in 1930 as an institution of higher learning which, in the words of its benefactors, would "provide for the pursuit of advanced learning in the various fields of human knowledge". It was their hope that it would be staffed by "men and women of the highest standing in their respective fields of learning".

At present the faculty of the Institute is relatively small in relation to the number of temporary members who join it; the latter outnumber the former by five or six times. There are few academic staff members other than those who constitute the faculty, and there is only one grade of faculty member. Though none of the visiting members are students in the narrow sense of being degree candidates, many are still apprentices. The purpose of the Institute is the double one of providing an intellectual and physical milieu that stimulates the research and scholarship of its faculty and visiting members, and through its choice of and influence on visiting members, playing an important role in the intellectual formation of a significant number of the ablest scholars in the fields in which it is active. The Institute takes the following premises on the nature of learning as fundamental: most important work is the product of the disciplined and creative individual mind; accordingly, the individual scholar must be responsible for how he uses the precious resources of his own time and energy; the community of peers in his area of intellectual work is the ultimate judge of the results.

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The institutional reflections of these propositions is the organization of the Institute by Schools according to the subject or subjects of study, the faculties of which are the active professors in the respective fields. Together, all the professors constitute the Faculty of the Institute. The rules for the academic governance of the Institute which follow provide those delineations of the boundaries of responsibility among individual Faculty members, Schools, the whole Faculty of the Institute, Director, and Trustees that are required for the orderly management of the Institute's business. Since its chief business is the pursuit of science and learning, the rules below provide only for the minimum of formal government that is necessary, and seek to leave as much responsibility as possible in the hands of each individual scholar, or each group constituting a School.

1. Research and Study

The conduct of research and study and the nature and extent of relations with visiting members shall be matters entirely for each individual professor.

2. Academic Assistants

Each professor has the right to nominate to the Director an academic assistant. The Director shall accept the nomination and exercise responsibility in respect to financial and administrative arrangements. The terms of assistants shall be limited. (As a matter of practice in Mathematics and Physics, they have not normally exceeded two years. In the School of Historical Studies initial terms are at most three years, and reappointment is subject to a vote of the School Faculty).

3. Members

Members in each School shall be invited on the recommendation or with the approval of the Faculty of that School. Each School collectively shall exercise responsibility for facilitating the work of the members it has invited. Appointments are formally made by the Director, but his responsibilities in practice shall be limited to matters of budget and other resource allocations--e.g., office and housing space. While members are typically invited for one academic year, or less frequently, one term, practices on reappointment and repeated invitations are left to the discretion of the several Schools.

4. Members with Long-Term Appointments

Members with long-term appointments, defined as those of more than three academic years or four separated terms duration, or renewals of already existing appointments beyond these limits, shall be invited on the nomination of the several Schools, after notification to the whole Faculty to permit questions, or discussion if desired. Formal appointment shall be made by the Director.

5. Visitors

Visitors as opposed to members are usually invited for less than a term or for periods outside the formal academic year, although exceptionally visitors may be invited for longer periods. Ordinarily, visitors are not granted stipends and have no claim of right on the resources of the Institute. The several Schools have different practices in respect to inviting visitors, but in general an invitation shall require the consent of the Faculty of the inviting School. If a visitor is to be invited for a period of more than two academic years or three separate terms, the Faculty shall be notified, to permit questions or discussions if desired.

6. Regular Appointment Procedures for Faculty Members

(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, and evaluation of the candidate's work by a member or members of the nominating School, and 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 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

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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 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.

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(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.

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7. Appointment Procedures for Faculty Members Outside Existing Schools

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.

8. Budget

The budget of the Institute shall be primarily the responsibility of the Director and the Trustees. The number of professors determines a major element in the budget of each School. The number of members in each School is dependent in part on the availability of outside funds, in part on the division of the Institute's own resources of money, office space and housing. These constraints have led to a fairly stable relationship among the sizes of the several Schools.

9. Libraries

The two Institute libraries--Mathematics and Physics, and Historical Studies, including the Social Science Reading Room--shall be managed by librarians under the guidance of Faculty committees selected by the respective Schools. The committee for the Historical Studies library shall include at least one member from the School of Social Science.

10. New Construction

Whenever new construction is contemplated, the Director shall consult with the Faculty through a Faculty Committee on Architecture in respect to the location, design, and construction of the proposed buildings.

11. Informal Communication Among the Schools

The Executive Officers (or other designated representatives) of the several Schools shall constitute a committee to meet on the call of any member or the Director for informal discussion of matters concerning the Institute as a whole or outside the competence of a single School.

12. Faculty and School Meetings

(a) There shall be a meeting of the Faculty early each academic year at which the Director reports to the Faculty on the state of the Institute. The records of the Faculty shall be kept by a Secretary elected by the Faculty each academic year.

(b.1) Further meetings of the Faculty may be called by the Director on his own initiative or at the request of five members of the Faculty.

(b.2) The Secretary shall call a meeting of the Faculty at the request of five members of the Faculty. At a meeting called by this procedure, the Faculty shall elect a Chairman for the meeting.

(c) Meetings of the several School Faculties shall be held as often as necessary to deal with their business. Each School shall choose an Executive Officer who will keep such records of School business as are desired.

13. Faculty Liaison Committee

A Faculty Liaison Committee with one representative of each School shall meet with the Board or its Executive Committee at least once each academic year and more frequently when requested. Such meetings give the Faculty and the Board an opportunity to communicate directly. When it is useful for a fuller presentation of a particular issue, additional members of the Faculty may be invited to join the meeting.

14. Academic Innovations

(a) Changes within the fields represented at the Institute and broader changes in the intellectual and academic world may make consideration of academic innovations necessary from time to time. All proposals for major academic innovations shall be fully considered by the Faculty before action. A major academic innovation is one that, in the opinion of the Faculty, either (1) implies a substantial new long-term commitment by the Institute, such as entering into a new area of scientific or scholarly activity which may require the formation of a new school or the radical alteration of an existing school; or (2) changes substantially the operating procedures of the Institute in such a way as to affect the duties and responsibilities of members of the Faculty; e.g., the granting of degrees. An appointment within an existing School involving a 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.

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(b) When major innovations are contemplated within the Board or the Faculty, they shall be discussed at an early stage through the mechanism of the meetings provided for in article 13.

(c) All proposals for major academic innovations shall be discussed and voted on by the Faculty. Should a majority of the Faculty vote against a proposed innovation, no further action on the proposal shall be taken during that academic year, or, without Faculty approval, for a calendar year following. Should the proposal be put forward again in a later academic year, it shall again be presented to the Faculty for discussion and vote before any further steps are taken.

15. Appointment Procedure, Terms of Appointment, and Duties and Responsibilities of Director

(a) When there is a vacancy in the Directorship, the Board shall receive the views of the Faculty on the vacancy in any way the Faculty chooses to offer them. Faculty views on the general characteristics desired in a Director, specific nominations, and Faculty comments on nominees the Board is considering, shall all be welcome. Names of all candidates to whom the Board is giving serious consideration shall be circulated to the Faculty in a timely way to allow for careful and thoughtful comment. In particular, should the Faculty wish to express its collective opinion through a Committee, the special committee of the Board provided for in Article VI, section 3 of the By-Laws, shall meet with that committee for full discussion. Nothing in these arrangements shall preclude Faculty members from offering their individual views.

(b.1) A Director shall be appointed for a term of not longer than ten years and in no case to extend beyond the end of the academic year in which he reaches his 65th birthday.

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(b.2) A Director may be reappointed for a further term only after Faculty/Trustee consultation as described in (a) above.

(b.3) During his term as Director, the Director shall not be a professor or otherwise have the status of a Faculty member.

(b.4) After the completion of his service, a Director shall at his option be appointed a member with the title of professor until he reaches the age of retirement. His salary, obligations, and privileges shall be those of a professor but he shall not vote in either School or Faculty meetings, nor count as an official member of a School.

(c) The Director shall be responsible to the Board in both administrative and academic matters.

As chief administrative officer, the Director shall be responsible for the physical and housekeeping arrangements of the Institute, and for reporting to the Board on their needs and costs. The Director shall be responsible for keeping before the Board the current and long-term financial situation of the Institute. In this connection, he shall prepare and present to the Board annually a budget. From time to time he shall report on the longer term financial needs and prospects of the Institute.

In academic matters, the Director shall be responsible for seeing that the views of the Faculty on the operation and development of the Institute, together with his own comments, are communicated to the Board. He shall be particularly responsible for those matters which affect the Institute as a whole and fall outside the scope of the individual Schools. These include specifically the relative development of the several Schools, and the possibility or need for change in the scope and/or

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character of the Institute's activities. 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.

16. Amendment in the Procedures

No change shall be made in these procedures without full consultation among the parties concerned.

ADOPTED and agreed by

The Faculty, at its meeting of 27 November 1974

By the Executive Committee in behalf of the Board of Trustees, at its meeting of 14 December 1974

AMENDED AND AGREED BY

The Faculty, at its meeting of 20 November 1981

By the Board of Trustees, at its meeting of April 24, 1982.