The Responsibilities of the Faculty in the Governance of the Institute

1. The conduct of research and study and the nature and extent of relations with visiting members are matters entirely for each individual Professor.

2. Each Professor has the right to nominate to the Director an academic Assistant. The Director accepts the nomination and exercises responsibility in respect to the financial arrangements. (The terms of Assistants are limited. As a matter of practice in Mathematics and Physics they have not 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 in each School are invited on the recommendation or with the approval of the Faculty of that School. Appointments are formally made by the Director, but his responsibilities in practice are limited to matters of budget and other resource allocations--e.g. office and housing space. Most members are invited for one academic year, but practices on reappointment and repeated invitations vary among the several Schools.

4. Visitors, as opposed to members, usually come for less than a full term or during the summer, although exceptionally there are visitors who come for longer periods. In general, visitors are not given stipends and have no claim of right on the resources of the Institute. The practice for inviting visitors differs in the different Schools, but in general it requires the consent of the School Faculty. The distinction between a visitor and a member does not rest entirely on outside resources, but rather on the sense that visitors are not invited in competition, so to speak, with candidates for regular membership. Formal invitation is by the Director.

5. Members with long term appointments, defined as those of more than two years or three terms duration, or renewals of already existing appointments beyond these limits are invited on the nomination of the several Schools, with notification to the whole Faculty to allow them to raise questions. Formal appointment is by the Director.

6. (1) Professors in existing Schools are appointed on the nomination of the School that invites them. Where the nominating vote is less than unanimous, the Director takes the division within the School Faculty into account in deciding whether to accept the nomination. After a School has made a nomination, the 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 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. When no serious unresolved questions exist, the Director 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.

(2) Each member of the Faculty outside the nominating School has the opportunity to record in writing his comments on an appointment. Any objections raised by even one member of the Faculty are discussed with the School that makes the nomination. Should substantial objection arise, the Director must make every effort to define the grounds of objection and the views thereon of the nominating School. This may involve discussion of the nomination in a meeting of the Faculty. The nature of the objection, the comments of the nominating School and any discussion and vote in the Faculty will guide the Director in his recommendation to the Board. The Board is always apprised of whatever objection or question there is in the Faculty about a proposed nomination and has before it all the material that is circulated to the members of the Faculty including the vote of the nominating School and any written comments on the appointment by other members of the Faculty and the Minutes and votes of the Faculty meeting should there be one.

(3) The availability of a position for a professorial appointment is a budgetary matter that falls within the Director's responsibility, on which he consults with the School concerned, and when appropriate, with the Faculty as a whole.

7. For professorial appointments in new fields outside the existing Schools, the whole Faculty receives the advice of an ad hoc committee of outside specialists and records its view of the proposed appointment by vote. If the faculty vote is favorable, the usual procedure of nomination by the Director and formal approval by the Board is followed.

When a new field is organized as a School, further appointments follow the regular procedure described in 6 above. The appointment of three Professors in a new area of studies will suffice for the recognition of a new School.

8. The budget of the Institute is primarily the responsibility of the Director and the Trustees. However, the number of Professors determines a major element in the budget of each School. In general, 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. The respective libraries are managed by librarians under the guidance of faculty committees--one for the Historical Studies library, one for the Mathematics and Physics library. The faculty member concerned with the Social Sciences Reading Room consults with the Committee for the Historical Studies Library in exercising his responsibilities.

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

11. There is a Faculty Advisory Committee whose members are selected by each School Faculty. It meets regularly with the Director to discuss the academic business of the Institute and such other matters as seem desirable to them or him.

12. Meetings of the whole Faculty are called when there is business to discuss, on the initiative of either the Director or the members of the Faculty. If fewer than five Faculty members ask for a meeting, the Director may use his own discretion, but in any case a Faculty Meeting shall be called if at least five Faculty members so request. There is at least one regular meeting each year at which the Director reports generally to the Faculty on the state of the Institute.

Meetings of the several School Faculties are held as often as necessary to deal with their business.

13. The Faculty Advisory Committee meets with the Board or its Executive Committee at least once each academic year and more frequently when necessary. Such meetings give the Faculty an opportunity to communicate directly with the Board. When it is useful for a fuller presentation of a particular issue, additional members of the Faculty may be invited by the Advisory Committee to join the meeting.

14. (1) A major academic innovation is one that, in the opinion of the Faculty, either (a) 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 (b) 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.

(2) 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. 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.

(3) The Faculty shall also have the opportunity to discuss major innovations directly with the Board, through the mechanism of the meeting of the Faculty Advisory Committee with members of the Executive Committee of the Board, to which all Board members are invited, as provided in Rule 13.

15. (1) In case of a vacancy in the Directorship a Joint Trustees-Faculty Committee would be established, composed of the members of the special committee of the Board of Trustees, as envisaged in Article VI, Sec. 3, of the By-laws of the Institute, and of one representative from each of the main divisions of the Faculty (i.e., the three Schools and the Program in Social Change, which for purposes of this suggestion will be treated as a School.) For each of these faculty representatives the respective School would also name an alternate, to take the place of the representative if he was in any way hindered in the performance of this work.

(2) The Joint Committee would solicit from the Faculty, through the representatives of the respective Schools, suggestions for names to be considered in the choice of a new director. Names could be put forward either by individual faculty members, or by groups of them, or, if so desired, by schools as a whole.

(3) The Joint Committee would screen these names, together with similar suggestions gathered from whatever other sources it might use, and would select from them a small panel (presumably not more than five or six, and preferably even fewer) of names to be given preferred and final consideration. The faculty representatives would then ascertain the views and preferences of their respective schools with respect to the names on this panel, and would report the results of this inquiry back to the Joint Committee. If the views of a School should not be unanimous, the nature of the division would be reported. In addition to this, any member of the Faculty who wished to could present his views in writing directly to the Joint Committee. The Joint Committee could then, if it so wished, invite his personal appearance as well.

(4) With the views of the Faculty, together with the results of other consultations, before it, the Joint Committee would then arrive at its own final recommendations and would transmit them, through the Special Committee, to the Board of Trustees. In the event of a failure of the members of the Joint Committee to agree on a final recommendation, the Special Committee would inform the Trustees of the nature of the division and would see to it that the views of the faculty representatives in the Joint Committee would be clearly and explicitly laid before the Board.

March 29, 1972

THE INSTITUTE FOR ADVANCED STUDY
PRINCETON, NEW JERSEY 08540
Telephone-609-924-4400

THE DIRECTOR

March 9, 1972

Memorandum to the Faculty

Attached is a copy of "Responsibilities of the Faculty in the Governance of the Institute" containing 15 paragraphs. All but two are those you have already seen and approved with some minor revisions of language suggested by the discussion with the Executive Committee of the Board.

Paragraph 7 is revised to deal with the question of further appointments in the new school, and paragraph 15, which deals with the role of the Faculty in the appointment of a new Director, is new. These have been discussed in the Faculty Advisory Committee.

If there is no request for further discussion, I will lay this document before the Board at its April meeting. Items 1 through 14 will be presented as a matter of information to put on record the current practices of the Institute. Item 15 will be presented to the Board for action. If they concur in it, it may be that they will wish to amend the By-laws--in particular, Article VI, Section 3--to recognize formally the Faculty participation in the selection of a Director.

If there is no desire for further discussion recorded before 24 March, I will assume your acceptance of the document.

CK
Carl Kaysen

Professors Cherniss, Clagett, Gilbert, Gilliam, Kennan, Setton, Thompson, White

Professors Atiyah, Borel, Godel, Harish-Chandra, Milnor, Montgomery, Selberg, Weil, Whitney

Professors Adler, Bahcall, Dashen, Dyson, Rosenbluth

Professor Geertz

cc: Professors Meiss, Beurling and Regge - on leave