

# THE INSTITUTE FOR ADVANCED STUDY

PRINCETON, NEW JERSEY 08540

Telephone-609-924-4400

THE DIRECTOR

November 5, 1974

Memorandum to Professors Adler, Borel, Geertz, and Gilliam

I have received and incorporated the corrections suggested by Messrs. Borel and Gilliam. If you agree, I propose to circulate the document to the Faculty with a covering letter, a draft of which is attached. I would appreciate any comments.

CK.

Carl Kaysen

Attachment

THE INSTITUTE FOR ADVANCED STUDY  
PRINCETON, NEW JERSEY 08540

SCHOOL OF MATHEMATICS

November 7, 1974

Dr. Carl Kaysen  
Fuld Hall

Dear Carl:

Some remarks on the draft of a covering letter:

Should one not say "articles" or "items" rather than "paragraphs" in line 10 and the last line of p. 1, since any such may contain several paragraphs (at any rate, as I understand the word, and as it is used in line 9 from the bottom).

"Reflects discussion" appears on two consecutive lines (p. 1, lines 10, 9 from the ~~last paragraph~~, bottom).

Last paragraph: the changes are not only additions. I would put "additions or changes" on line 3, p. 2, and replace "these additions" by "they" in the following sentence.

Last line: add 15 to the list.

In order to help the Faculty to find its way in this sea of documents, and to direct its attention as directly as possible to what is new, I would try myself to write this in a somewhat tighter form. Here is an attempt, starting from line 9 on, but I do not claim it is necessarily better.

"The present document, if completed along the lines suggested, will contain an introduction and sixteen articles. As regards to their background, the latter may be divided as follows:

- a) Numbers 6, 7, dealing with appointments of professors, have been discussed by the committee on Faculty appointments, and are now before you.
- b) Items 13, 14, 15 are based on the memorandum circulated on October 15, following the October 5 meeting of the Faculty/Trustee Committee on Governance.
- c) Item 16 is new and also reflects discussions in that committee.
- d) The remaining articles are based on the draft of March 9, 1972.

"The style departs from that of the original document (1972) in two respects: each item has a heading, and mood and tense of verbs have been changed to conform to the character of this document, which is more

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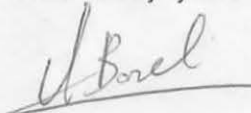
November 7, 1974

legislative than that of the old one. Changes or additions with respect to the October 15 memorandum (in items 13 to 15) and with respect to the March 9, 1972 draft (for articles 1 to 12, excepting 6, 7), other than those of a purely editorial nature, have been underlined. In some cases, they are intended simply as clarifications of what was already stated; in others, they are clearly more substantive. This new material is found in items 3, 11, 12, 14, 15, 16."

"The introductory paragraphs are new and were also discussed by the Faculty members of the Governance Committee and me. Since the new document is clearly legislative, going beyond the codification of existing procedures, it seemed useful to have an explanatory introduction which would provide some kind of context for the rules."

[It seems to me it would be better to omit, or at any rate to modify, the last sentence in your paragraph on the introduction (p. 1, lines 5 to 3 from bottom), since we have agreed that the introduction is not to carry any implication beyond those of the rules themselves, and this sentence may be viewed as contradicting this.]

Sincerely yours,



A. Borel

AB:MMM

cc: Professors Adler, Geertz, Gilliam

THE INSTITUTE FOR ADVANCED STUDY  
PRINCETON, NEW JERSEY 08540

SCHOOL OF HISTORICAL STUDIES

November 6, 1974

Dr. Carl Kaysen  
Institute for Advanced Study

Dear Carl,

I spent the entire morning at a School meeting, but now hasten to acknowledge receipt of your draft and to make the suggestions that have occurred to me.

In paragraph 2, line 4 (and again two lines below and in the last line on this page) is "paragraph" the right word? Either "article" or "section" might be better, for in nos. 13, 14, and 15 (and perhaps elsewhere) there are in fact several paragraphs.

Later in this paragraph you use the term "item," not technically I suppose.

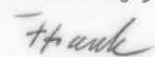
In the next to the last line of this same paragraph instead of simply "state," perhaps "state and formulation" or "wording" (changing "has" to "have")?

On p. 2, line 3 add "changes in or" before "additions"?

On p. 2, line 6, "changes" instead of "additional material"?

I don't press any of these as clear improvements or essential.

Sincerely,

  
J. F. Gilliam

THE INSTITUTE FOR ADVANCED STUDY

PRINCETON, NEW JERSEY 08540

Telephone-609-924-4400

THE DIRECTOR

November 1, 1974

Memorandum to Professors Adler, Borel, Geertz, Gilliam

Attached is the text changed in light of the discussion this afternoon. Two small mechanical changes in appearance were made in addition: numbers were placed opposite the sub-headings, and the designation of sub-paragraphs by letter and number was made consistent throughout the document.

Please let me know if there are any errors or omissions at your earliest convenience.



Carl Kaysen

Attachment

October 24, 1974

DRAFT

PROCEDURES FOR THE ACADEMIC GOVERNANCE OF THE INSTITUTE

1. Research and Study

1. 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

2. 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 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

3. 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 the responsibility for (the maintenance of an intellectual milieu) which facilitates 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.

## 5 Visitors

~~8~~ ~~4~~ 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. In general, 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.

## 4 Members with Long-Term Appointments

~~R~~ ~~5~~ ~~36~~ Members with long-term appointments, defined as those of more than two academic years or three 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.

## Regular Appointment Procedures for Faculty Members

(6. To be provided

### Appointment Procedures for Faculty Members Outside ~~Existing~~ Schools

(7. Any proposal for a professorial appointment outside the existing Schools 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. On the basis of these recommendations, the Faculty

shall decide on an appropriate procedure for each such appointment, [1/10/74] which

the Faculty may express its concurrence or non-concurrence in the proposed appointment. The Director shall forward no <sup>proposal for</sup> appointment to the Board <sup>without</sup> the concurrence of the Faculty.



8. Budget

~~8.~~ 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

~~8.~~ 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

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



10 Informal Communication Among the Schools

II. The Executive Officers (or other designated <sup>representative</sup> delegates) 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 <sup>a</sup> ~~the~~ single School.

12 Faculty and School Meetings

B(a). There shall be <sup>a</sup> ~~at least one~~ <sup>regular</sup> meeting of the Faculty <sup>early each</sup> each academic year at which the Director reports ~~generally~~ to the Faculty on the state of the Institute. ~~The Faculty shall elect a Secretary each academic year who will keep the records of the Faculty meetings.~~ <sup>shall be kept by a Faculty Secretary.</sup> <sup>who will be elected by the Faculty each academic year.</sup>

B(b1). 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.

(b2) 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.

B(c). Meetings of the several School Faculties <sup>shall be</sup> ~~are~~ held as often as necessary to deal with their business. Each School shall choose <sup>a (School Secretary)</sup> an Executive Officer ~~who~~ <sup>who will keep such records of School business</sup> ~~shall be responsible for keeping minutes of School meetings and such other records of School business as are desired.~~ <sup>as are desired.</sup>

13 Faculty Liaison Committee

13. A Faculty Liaison Committee with a 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

~~14.~~ Changes within the fields represented at the Institute and broader changes in the intellectual and academic world will 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 (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. 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.

~~14(b)~~. 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. The provision for a mandatory, one-year delay may be applied only once to each issue deemed to be a major innovation.

~~14(g)~~. The Board shall discuss major innovations with the Faculty through the mechanism of the meetings provided for in paragraph 13.

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

~~25~~<sup>a</sup>(1). 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.

<sup>a</sup>  
~~(15)~~ (1) cont'd)

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.

<sup>b</sup> 15(2). 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.

<sup>b2</sup> A Director may be reappointed for a further term only after Faculty/Trustee consultation as described in (1) above.

<sup>b3</sup> During his term as Director, the Director shall not be a professor or otherwise have the status of a faculty member.

<sup>b4</sup> After the completion of his service, a Director shall at his option be appointed a permanent professorial member 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.

~~to be~~ not count as an official member of a School

<sup>c</sup> 15(2). The Director shall be responsible to the Board in both administrative and academic matters. As chief administrative officer, the Director shall be responsible



of the School

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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 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.

46. Amendment in the Procedures

~~Change~~ <sup>NO</sup> ~~shall be made~~ <sup>shall be made only by</sup> in these procedures without full consultation with the ~~agreement between~~ <sup>parties concerned</sup> ~~Faculty, Director, and Board.~~ <sup>Faculty, Director, and Board.</sup>

## DRAFT

### 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", who would devote themselves "at the same time to serious research and to the training of competent post-graduate students". At the time, the founders envisaged at least some of the students as candidates for the doctorate, and they seem to have *had in mind* envisaged a student body which was small in relation to the number of faculty and other academic staff.

As the institution has evolved, its purposes have remained constant, but its institutional form has changed somewhat from the pattern originally foreseen. *At present, the* ~~The present~~ 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. *Through* ~~Further~~ none of the visiting members are students in the narrowest sense of being degree candidates, ~~but~~ many are still apprentice scientists and scholars rather than full fledged masters. The purpose of the Institute <sup>is</sup> ~~remains~~ 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

/...



- 2 -

of and influence on visiting members playing an important role in the intellectual formation of a significant number of the ablest scholars and scientists in the fields in which it is active. The Institute ~~also~~ <sup>the following</sup> takes ~~as fundamental several~~ <sup>as its basic</sup> premises on the nature of science and learning, ~~that~~ <sup>that</sup> most important work is the product of the disciplined and creative individual mind; accordingly, the individual scientist and scholar must ~~be the ultimate judge of~~ <sup>be to be responsible for</sup> how he uses the precious resources of his own time and energy; ~~and finally,~~ the community of ~~scientific~~ <sup>his</sup> peers in ~~any~~ <sup>his</sup> area of intellectual work is the ~~final~~ <sup>ultimate</sup> judge of the results.

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.



THE INSTITUTE FOR ADVANCED STUDY  
PRINCETON, NEW JERSEY 08540

SCHOOL OF HISTORICAL STUDIES

November 4, 1974

Dr. Carl Kaysen  
Director's Office

Dear Carl,

I have gone through your text of  
November 1, and so far as I can see,  
everything is in order.

You will have noticed and corrected  
the small slips on p. 2, line 1 and p. 3,  
line 4.

Sincerely,

*Frank*

J. F. Gilliam

THE INSTITUTE FOR ADVANCED STUDY  
PRINCETON, NEW JERSEY 08540

SCHOOL OF MATHEMATICS

November 4, 1974

Dr. Carl Kaysen  
Fuld Hall

Dear Carl:

As expected, I have only minor remarks to make on your memorandum of November first.

It seems to me it would be good to have the changes and additions underlined, as was the case in the October twenty-fourth memorandum (excepting the introduction, and changes of a purely editorial nature).

Section 14, p. 8. Since the various paragraphs are now labeled by (a), (b), (c), it would be better to change the (a) and (b) in the text of the first paragraph, for instance to (1), (2) or to (i), (ii).

Section 15(c), p. 11. I still would prefer to have a new paragraph starting with the second sentence: "As chief administrative..." as was the case earlier.

Section 16. Would it not be better to say "between the parties" rather than "with the parties"?

Sincerely yours,



A. Borel

AB:MMM

cc: Professors Adler, Geertz, Gilliam

November 1, 1974

Memorandum to Professors Adler, Borel, Geertz, Gilliam

Attached is the text. changed in light of the discussion this afternoon. Two small mechanical changes in appearance were made in addition: numbers were placed opposite the sub-headings, and the designation of sub-paragraphs by letter and number was made consistent throughout the document.

Please let me know if there are any errors or omissions at your earliest convenience.

Carl Kaysen

Attachment

November 1, 1974

TO: Professors Adler, Borel, Geertz, Gilliam

RE: Procedures for the Academic Governance of  
the Institute

CORRECTION: Page 7, paragraph 12(a), line 4,  
for "selected" read "elected".