

REPORT OF THE COMMITTEE ON GOVERNANCE  
May 1993

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YALE UNIVERSITY  
MAY 6, 1993

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**Report of the Committee on Governance  
May 6, 1993**

I. Authorization of and Charge to the Committee on Governance.

- A. On December 5, 1991, the Yale College Faculty passed the following resolution:

Whereas the statutory organization of the Faculty of Arts and Sciences (FAS) has not been reviewed for two decades, the Faculty of Yale College resolves that a committee be formed to investigate and propose appropriate changes in governance. Such a committee should be broadly representative and openly solicit views and concerns from the entire faculty.

- B. Accompanying this resolution was the following charge to the committee:

The committee's charge should be simple and broad: to investigate any and all questions about Faculty of Arts and Sciences governance that come to its attention.

Among questions that should be discussed are the following:

1. What are the governance practices and experiences of other major universities?
2. Should the Faculty of Arts and Sciences have its own dean?
3. What are the appropriate mechanisms by which the faculty may be represented in university decision-making, and, in turn, by which the administration might be more accountable to the Faculty of Arts and Sciences?
4. Should the Faculty of Arts and Sciences have a faculty senate or some other representative elected body?
5. What should be the role of the Faculty of Arts and Sciences (and other university faculties) in selecting corporation fellows, university officers, and members of the administration?
6. Are there adequate mechanisms currently in place to assure regular contact and communication between the Faculty of Arts and Sciences and corporation fellows?
7. Does the faculty have enough oversight of Graduate School policies?
8. What are the most appropriate mechanisms for selecting members of the Junior and Senior Appointment Committees and other major committees?

In addition, the charge indicated that "the Committee should use its own judgment in deciding which questions merit discussion."

The resolution proposed the method of selecting the membership of the Committee on Governance described below. It also instructed the Committee to "simultaneously report to the President, the Corporation, and the Faculty of Arts and Sciences" and expressed the hope that the Committee would complete its work sometime in 1992-93, with a preliminary report to the faculty by April, 1992.

## II. Selection of the Members of the Committee.

Pursuant to the above resolution, a nominating committee consisting of all past (unretired) deans of Yale College and the Graduate School and all past (unretired) directors of the Faculty of Arts and Sciences divisional committees met to select a list of candidates for membership on the governance committee. On January 30, President Schmidt met with Sidney Altman, Herbert Scarf, and Howard Lamar, who served as representatives of the nominating committee, to review the list of those recommended. Agreement was reached on a suitable set of invitees. Fifteen members of the Faculty of Arts and Sciences faculty were appointed and served.

Thomas Appelquist  
William Brainard  
Nancy Cott  
Gary Haller  
David Mayhew  
Alison Richard  
Brian Skinner  
Robert Stepto\*

Jerome Berson  
Peter Brooks  
Donald Crothers  
David Marshall  
William Nordhaus\*\*  
Robert Shulman  
Gaddis Smith\*\*\*  
Robert Wyman

\*Could not serve. \*\*Served until appointment as Acting Vice-President of the University.  
\*\*\*Served during Spring Semester 1992 only.

## III. Work of the Committee.

### A. Organization.

The first meeting of the Committee on Governance, during part of which President Schmidt was present, was held on March 2, 1992, as soon as possible after the roster was complete. The committee chose Jerome Berson as chair, and except for university holiday periods, regular weekly meetings of the entire committee have taken place ever since. In addition, many meetings of sub-groups of the committee also have occurred. The Office of the President has been most cooperative in providing staff support for the activities of this committee.

## B. Collection and Dissemination of Information.

The committee has received a broad range of information and opinion relevant to its responsibility from sitting and former members of the administration, from faculty members, from members of the corporation, and from students. This information was collected from personal interviews with the full committee or with sub-committees, and also from written communications.

In addition, the committee has collected extensive published information on the modes of governance of several other universities, including Harvard, Princeton, M.I.T., and Stanford.

The committee presented a preliminary report of its activities to the meeting of the Yale College Faculty on April 2, 1992. On May 14, 1992, the committee conducted a meeting open to members of Faculty of Arts and Sciences at which approximately 60 members of the faculty participated in discussions of the issues. It presented a progress report to the Yale College faculty on October 1, 1992 and a draft Interim Report, orally communicated to that body, on December 3, 1992.

## C. Participation of the Committee on Governance in the Formulation of Plans for the Search for a President of Yale University.

In early June, 1992, Mr. Vernon Loucks, Senior Fellow of the Corporation responded positively to a suggestion from the committee that new procedures involving faculty participation should be used in the then forthcoming presidential search. The committee prepared and transmitted to Mr. Loucks analyses of three models for this purpose:

1. A unitary search model, that is, one group comprised of both corporation and faculty members;
  2. a collaborative model, two parallel committees, one consisting of corporation members and the other of faculty, with the groups meeting together occasionally;
  3. a consultative model, in which the search is conducted by a corporation committee, but there is discussion of particular candidates with faculty later in the search.
- It will be recognized that Model III describes Yale's procedures in the past.

We recommended that Model I or Model II be adopted and that at least eight faculty would be an appropriate representation in Model I. We also provided other information to the corporation, notably the valuable data and analysis in the recent Carnegie Foundation publication Choosing a College President, by Judith McLaughlin and David Riesman. A copy of this book was sent to each member of the corporation.

The presidential search committee, as it ultimately was established by the corporation, had four voting faculty and a non-voting counselor from the faculty. In addition, the corporation conceived a modification of the committee's suggestions in the form of an

additional review layer, consisting of a group of twelve faculty to examine a screened list of candidates. It was our understanding that this group would have access to dossiers of these candidates.

During the course of the discussions with the corporation, the Committee on Governance was well aware that we had no mandate to speak for the faculty. However, the timing and pace of unfolding events did not afford an opportunity for deliberate formulation of a position by the faculty as a whole. In our judgment, the choices available to us were either to decline to participate, or preferably, to provide information and counsel to the corporation at its request.

The search format ultimately adopted by the corporation is a significant step forward for Yale. It provides a mechanism through which the faculty can participate in the process of presidential selection. We believe that a role for the faculty in presidential searches is proper. It should be institutionalized and expanded. We also recommend that the Faculty Council (see Section IVB) should exercise the same advisory function in the choice of Faculty of Arts and Sciences faculty members on future search committees that it does for other Faculty of Arts and Sciences committees.

#### D. Need for Periodic Review of Governance.

Over the years, the distribution of responsibilities, resources, and power among Yale's major administrative positions has varied according to the individuals in office and the particular historical moments at which they served. Yale has been and continues to be served by exceptionally talented and dedicated individuals at all levels of the administration. We have focused on administrative structures and positions rather than on persons or personalities. We have examined organizational issues in order to improve communication between faculty and administration and to make it easier for administrators and their staff to do their jobs optimally.

The Committee on Governance conducted its deliberations and composed its report during a period of transition at Yale. Because of our focus, we did not conclude from these changes that our work was unnecessary. We felt that a serious review of Yale's administrative structures and the participation of the faculty in university governance was overdue and still relevant in a rapidly changing university. Indeed, we feel that submitting this report at such a moment of transition has its advantages since a new administration will take a fresh look at many of these issues. This is in many ways an ideal opportunity to highlight crucial areas of concern and to focus attention on possible solutions to problems that have been experienced in the past. The changes we propose, while in some cases departures from the status quo, are meant to preserve, strengthen, or restore Yale's traditions of faculty governance and participation. We hope that our analyses and our models will articulate important principles of university governance while directing attention to practical questions that both the faculty and the administration will need to address.

#### IV. Analysis of Governance Issues and Specific Recommendations

Although the committee has discussed all of the specific items in its charge, in our deliberations and recommendations we have given our most intense scrutiny to the subjects of faculty participation in university governance and the administrative structure of the Faculty of Arts and Sciences. We have sought the most effective ways for faculty to participate in administrative decision-making: both to advise the administration and to maintain oversight of Faculty of Arts and Sciences governance. We also have considered how administrative responsibilities should be distributed among the officers of the Faculty of Arts and Sciences in order to ensure attention to its needs and advocacy of its interests. We have sought procedures and administrative structures that would focus the energy and intelligence necessary for effective leadership. The following summaries of our studies offer statements of principle and specific proposals that address these concerns. These proposals seek to balance the equally compelling needs for a robust and collaborative involvement of the faculty in university governance and strong and efficient leadership on the part of the Faculty of Arts and Sciences administration.

##### A. Effective Participation in Governance Through a Faculty of Arts and Sciences Policy Committee

The Governance Committee has accepted the charge to discuss "... appropriate mechanisms by which the faculty may be represented in university decision making, and, in turn, by which the administration might be accountable to the Faculty of Arts and Sciences." Our effort has been to strengthen existing mechanisms wherever possible, and the Expanded Executive Committee provides such an opportunity. It has been convened by the provost at different times and with differing schedules and responsibilities. It is recommended that these roles and responsibilities be more explicitly described so that it will function as a permanent Faculty of Arts and Sciences Committee, providing a regular interaction on academic affairs between faculty and administration. In order to signify its larger role in decision making, as described below, we propose that the Expanded Executive Committee be replaced by the Faculty of Arts and Sciences Policy Committee, which would consist of the deans, the divisional directors, the chair of the Faculty Council (see section IV B), the president, and the provost. When appropriate, the deputy provosts, the university librarian, the chair of the Council of Masters, and others would be invited to attend.

In accord with the recommendations (see Section VI) that some authority for Faculty of Arts and Sciences affairs be moved from the provostial to the decanal level, it is recommended that the FAS Policy Committee, as a Faculty of Arts and Sciences Committee, be chaired by one of the deans, to be selected by the president. This would fit into the overall Faculty of Arts and Sciences governance plan shown in the Chart. The fundamental authority over Faculty of Arts and Sciences affairs would continue to be exercised by the Faculty of Arts and Sciences Executive Committee, traditionally chaired by the provost, where policy would be set with the president and deans. Once the policy and budget have

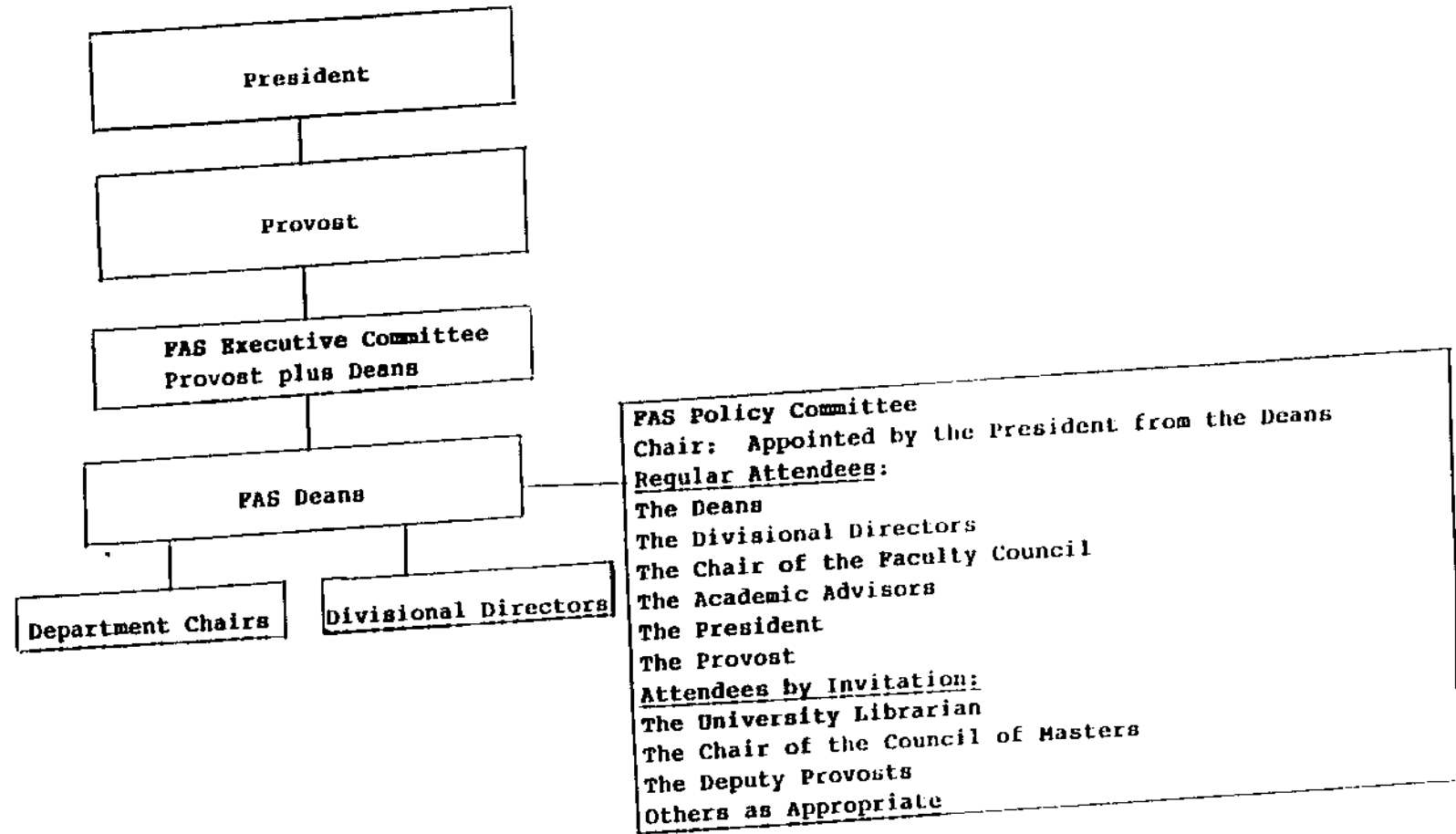


been established, the deans would administer the Faculty of Arts and Sciences in their traditionally collegial manner, in consultation with the FAS Policy Committee.

The agenda of the FAS Policy Committee would be set mainly by the chair, but with contributions from all members. Its areas of responsibility would include subjects such as faculty slot allocation, appointment and promotion policies, adoption of regulations on faculty affairs, cross divisional initiatives and other faculty matters. It would also function as a continuing review committee, assessing the extent to which departmental plans are being fulfilled. Divisional directors, because of their knowledge, would play a central role in these ongoing reviews.

In order to provide a continuous forum for dealing with faculty concerns and plans, the FAS Policy Committee should meet on a regular basis. The Expanded Executive Committee has provided very useful communication between faculty representatives and the president and provost. For the FAS Policy Committee to continue functioning in this important role, it is essential that the president and provost regularly attend its meetings.

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The divisional advisory committees would be consulted regularly by the FAS Policy Committee through the directors, and would collaborate actively in long term academic planning and departmental reviews. In contrast to the present yearly appointments for divisional advisory committee members other than the directors, all members should serve fixed and rotating terms in order to facilitate informed judgements based on a cumulative knowledge of departments and fields.

The continuing role of the FAS Policy Committee in faculty review will depend greatly upon input from the divisional advisory committees, which would accordingly be expected to conduct reviews and maintain plans for faculty hiring at all levels in each department. These committees would be encouraged to be proactive, initiating and investigating subjects and bringing information and advice to the administration through the FAS Policy Committee. The divisional directors should be recognized as a group of potential "ombudsmen" who could bring faculty concerns to the divisional advisory committees and subsequently to the attention of the administration.

## B. Effective Faculty Participation in Governance through a Faculty Council

### 1. Need for a Faculty Council

With the aim of assuring significant participation by Faculty of Arts and Sciences faculty in university governance, we recommend creation of a new twelve-member body, a Faculty Council. Its roles would be 1) to serve in a continuing advisory capacity to the administration, 2) to monitor the processes of Faculty of Arts and Sciences governance, and 3) to report to the Faculty of Arts and Sciences on the implementation of faculty recommendations.

The council would have a distinctive niche. It would not take on executive, decision-making responsibilities. Those would appropriately remain with the FAS Policy Committee. One reason for introducing another body is that the FAS Policy Committee, exactly because of its executive functions, cannot serve with sufficient effectiveness as a body representing the faculty. An old American tradition recommends a separation of functions. In addition, the proposed council would not resemble a legislative body or a faculty senate. We considered at length whether to opt for a faculty senate, looked into the experience of other universities with such bodies, and decided against the idea. A senate would require electoral processes at odds with Yale tradition, and we cannot be sure what kinds of representatives the victorious candidates would be. Would it be hard to get anyone to run at all? Would a new class of politicians appear? Also, a new senate would displace a tradition of Yale College faculty meetings that, for all their shortcomings, do still preserve a "town-meeting" intimacy and atmosphere. The proposed council would complement, rather than supplant, Yale's existing faculty meetings and standing committees.

The council's niche, unlike the executive-committee or faculty-senate model, would be a special constitutional role as a constant monitor of processes and a body for the administration to consult. This would be a valuable new set of assignments. We believe that the proposed council, by virtue of its enumerated rights and responsibilities, its continuing existence across academic years, the selection of its members through a faculty-centered procedure, and the likely reputation and authority of those members, would be capable of asserting a strong voice at Yale. That voice would not be, if we calculate correctly, an antagonistic one. Functioning appropriately, the council would contribute to civil and harmonious decision-making in the university.

As a participant in agenda-setting and committee appointments (see the details below), the proposed Faculty Council would serve a system of faculty meetings and standing committees. The question naturally arises: what system? That of Yale College, the Graduate School, or a new all-Faculty of Arts and Sciences one? We recommend that the Faculty Council attend to the meeting agendas and committee appointments of both Yale College and the Graduate School. Below, in our specification of Faculty Council activities, "Faculty of Arts and Sciences meetings" and "Faculty of Arts and Sciences committees" should be read as a proxy for the institutions of Yale College, the Graduate School, or both.

## 2. Activities of the Faculty Council.

The council would meet and report regularly to the Faculty of Arts and Sciences. It would have the right and responsibility:

- (a) to afford general consultation to members of the administration, and occasionally to the corporation, on major policy questions;
- (b) to set, in concert with the dean (or deans) the agenda for Faculty of Arts and Sciences meetings and to advise the faculty on appropriate responsibilities, rules, and procedures for these meetings;
- (c) to advise the administration on forming, and selecting members for, Faculty of Arts and Sciences standing committees (including the divisional committees), as well as special bodies such as search committees for dean, provost, and president, committees to review those administrators, and ad hoc committees concerned with Faculty of Arts and Sciences policies;
- (d) to advise the administration on processes for budgetary and other long-range Faculty of Arts and Sciences planning;
- (e) to assess the need for, and if appropriate to recommend, the review of administrative structures;
- (f) to review and report on the implementation of significant measures recommended by Faculty of Arts and Sciences committees or adopted by the Faculty of Arts and Sciences faculty.

None of the above provisions would authorize the Faculty Council to impinge on the substantive jurisdictions of regular Faculty of Arts and Sciences standing committees.

### 3. Membership and Term of the Faculty Council.

The council would be composed of 12 members, including at least two from each division. The method of selection (see below) should assure the inclusion of non-tenured and recently tenured members. The members would be appointed for three-year staggered terms which would be renewable once. The chair would be elected by the council annually. No individual could be chair for more than three consecutive years. The chair would serve as a member of the FAS Policy Committee.

### 4. Selection of the Faculty Council.

The initial 12-person membership of the Faculty Council would be chosen by a Selection Committee consisting of all non-retired former divisional directors. The Selection Committee would choose its own chairperson, who would appoint one of its members to the position of secretary. The secretary would request each department in Faculty of Arts and Sciences to nominate one member of the Faculty of Arts and Sciences faculty. Nine of the initial Faculty Council members would be selected from this list of candidates. Their terms would be staggered by lottery. The remaining three members would be chosen to ensure a balanced Faculty Council.

In each subsequent year, at least four Faculty Council members would be selected by the Selection Committee to replace the members whose terms expire. Two years out of three on a rotating basis, a department would nominate a tenured faculty member, and one year out of three a non-tenured member. It is expected that the Departments will nominate candidates by means of their own choosing, by election or according to departmental traditions. In addition, all members of the Faculty of Arts and Sciences would be encouraged to submit nominations individually to the Selection Committee. The Selection Committee then would select at least three candidates from the list of nominations. Any remaining members would be selected so as to create and maintain a balanced Faculty Council, broadly representative of Faculty of Arts and Sciences.

The Selection Committee would consult with the president before making its final decisions. The selections for the following academic year would be announced at the faculty meeting in April.

### V. Faculty Meetings.

We also recommend that meetings of the Yale College and Graduate School faculties be rearranged so as to take place on the same day, at the same place, and according to one circulated agenda. This, while threatening minimal disruption to Yale College's traditional monthly meetings, would draw greater attendance than at present for Graduate Faculty business and allow more efficient addressing of joint business -- such as T.A. policies. Given last spring's decision to add all full-time members of the Yale College faculty to the Graduate School faculty, the memberships of the two faculties, while not identical, do not

seem so greatly at variance as to impede a merger of the meeting structures. We have not tried to resolve the details of such a merger. Such details, and the determination of the proper forum in which to discuss Faculty of Arts and Sciences business, could be mapped out by the deans and the new Faculty Council.

## VI. Structure of the Administration of the Faculty of Arts and Sciences

### A. Background and Principles

The Committee on Governance believes that the Faculty of Arts and Sciences should have energetic leadership and strong advocacy. As the chief academic officer of all of the units of the University, including Faculty of Arts and Sciences, and the leader in the formulation of academic and budgetary policy, the provost should be the guardian of the Faculty of Arts and Sciences. Working with the provost to govern the Faculty of Arts and Sciences, there should be a group of senior faculty who collectively have the expertise, vision, and time to provide leadership for Yale College, the Graduate School, and the faculty. The governance style should be collegial but organized in such a way that facilitates active leadership, cooperation and collaboration with departments, and a clear assignment of responsibilities.

The administration should provide educational vision for the future. This involves responding to and anticipating shifts in the academic landscape, including the development of new fields, interdisciplinary areas of research and study, and innovative work that doesn't fall within the boundaries of existing departmental structures. It also involves responding to and anticipating problems within existing programs and departments caused by such factors as the loss of key senior faculty members, difficulties in recruiting new faculty or students, intellectual and personality conflicts, and inefficient management of departmental affairs.

There should be a sufficient number of senior faculty involved in governance at this level of the administration to enable departmental chairs to consult with a senior faculty administrator. Lines of communication, authority, and responsibility must be clear and open. Departmental chairs should know which administrator to consult about questions concerning appointments procedures, recruitment of new faculty, set-up costs, salaries, research funds, and other arrangements related to faculty recruitment and retention. This administrator should have the knowledge and authority to offer guidance and make timely decisions. Academic reviews and evaluations should be coordinated and supervised by qualified and informed senior faculty administrators.

Some particular person or persons must have specific responsibility for faculty retention and recruitment. Along with this officially designated responsibility, it is crucial that such administrators have expertise (through academic training and/or informed and on-going involvement with the appointments and divisional committees); familiarity with current faculty members, including junior faculty coming up through the ranks, and prospective

faculty members who are being offered appointments; authority to make timely decisions about both procedures and resources; time to focus on and learn about particular issues, fields, and individuals; and staff to attend to practical details in consultation with chairs.

The Faculty of Arts and Sciences needs strong advocates for its interests. In the current organization, the provost has divided loyalties, if not a conflict of interest, in both overseeing the academic mission of the university and representing the Faculty of Arts and Sciences. Despite the centrality of the Faculty of Arts and Sciences to Yale's academic identity and the provost's historic and indeed inevitable investment in its well-being, the provost is not necessarily a member of the Faculty of Arts and Sciences and in times of limited resources the Faculty of Arts and Sciences needs an advocate to represent its interests in relation to the university's other schools and divisions.

The Committee on Governance believes that a balance must be maintained between the responsibility of the administration to provide intellectual leadership and maintain Yale's excellence and the rights of competent and reputable departments to exercise intellectual freedom and autonomy within their own fields. The principles articulated here, along with the practical suggestions concerning efficient and responsive governance, should encourage both continuity in academic leadership and an atmosphere of collaboration, communication, and mutual respect as administrators, divisional committees, department chairs, and individual faculty members work together in a common academic enterprise.

## B. Decanal Governance at Yale

### 1. Assessing the Current Situation

In considering changes in the governance of the Faculty of Arts and Sciences, the committee has sought to preserve the powers, responsibilities, and prestige of the Dean of Yale College and the Dean of the Graduate School. Together, these two Deans have performed many of the functions of a traditional Dean of the Faculty.

The Dean of Yale College is concerned with one of the faculty's principal missions: the education of undergraduates. He or she is in charge of all undergraduate programs; the guardian of liberal education and of conscientious teaching; and the leader of residential college deans and associate and assistant deans of the college--all those who oversee both the curricular and the extra-curricular life of Yale College students. The Dean of Yale College appoints all the committees that work to maintain the quality of education in the college. The moral leader, as it were, of the college, the dean has a responsibility to review the curriculum, to strengthen its weak areas and to foster promising innovation. The dean also chairs meetings of the Yale College Faculty.

The Dean of the Graduate School manages the increasingly complex and competitive recruitment of students to Yale's graduate programs, and serves as the guardian of Yale's

mission as a major research university. This dean appoints major committees that formulate educational policy concerning graduate education (such as the Executive Committee of the Graduate School) and appoints departmental directors of graduate studies. The dean consults with the faculty as well as student representatives to formulate Graduate School policy, and acts as spokesperson for the faculty and administration in discussions with graduate students about such policies. Working with directors of graduate studies, the dean ensures that departments establish and maintain standards of admission, academic standing, and criteria for the award of graduate degrees. He or she deals with increasingly complicated financial and pedagogical questions concerning graduate student teaching appointments, stipends, and scholarships. The dean also chairs meetings of the Graduate School.

The Dean of Yale College and the Dean of the Graduate School alternately chair appointments committees, participate in Steering Committee and Executive Committee deliberations, and chair the Joint Boards of Permanent Officers. When delegated by the president or the provost, the deans survey departments in order to recommend chairs; they also participate in a variety of bodies and processes concerned with the Faculty of Arts and Sciences as a whole.

The current decanal structure at Yale--a dean of Yale College and a dean of the Graduate School, both reporting to the provost--has served Yale well in many respects. In particular, it has preserved the integrity of the educational missions of the two schools, assuring that each of those missions has been a focus of faculty attention. Together, the two deans have acted in some respects as Dean of the Faculty of Arts and Sciences. In other respects, however, this role has been filled by the provost, who is the key figure in allocating faculty slots, in the recruitment and retention of faculty, and in setting faculty salaries and other financial arrangements relating to research facilities and set-up costs.

The provost is unquestionably the chief academic officer of the university and should be closely involved in all major budgetary decisions and questions concerning academic policy and planning.

However, with the burgeoning growth of the responsibilities devolving on the provost, starting with the first budget "crises" of the early 1970's, there has been a proliferation of provostial staff -- deputy and associate provosts -- who now are responsible for supervising a variety of academic affairs. In the view of many faculty, this has led to some inefficiency since the provostial staff is not empowered to make key decisions and in some cases lacks the academic expertise needed to oversee and act on various matters of vital concern to the faculty, including faculty recruitment and retention, opportunities for strengthening the faculty, and reviews of departments and programs.

Furthermore, because the deans sit on the faculty appointments committees, know the academic programs, and have detailed information about the talents and interests of the faculty, their positions are more appropriate for the exercise of detailed academic leadership



in matters specifically affecting the faculty. The Committee on Governance therefore believes that there should be a transfer of some responsibilities from the provostial to the decanal level. The provost would be involved in strategic decisions that call for major resource allocation but would be less involved in the routine operations of Faculty of Arts and Sciences than at present. Once major resource allocations have been decided by the FAS Executive Committee (in the same way that they are now decided) the deans would be responsible for coordinating long-term academic review and planning and faculty retention and recruitment. Since these duties and responsibilities would be transferred from the provost's office to the decanal level, at least some of the deputy or associate provosts now dealing with these issues would be assigned to work with the deans.

## 2. Recommendations for Decanal Governance

The Committee on Governance has reached broad agreement on the principles and goals of governance articulated in this report. It has examined many ways of achieving the goals of strengthening governance on the decanal level and involving additional senior faculty in the process of faculty development. The committee offers two models: a "Two-Dean Model," which uses the existing decanal structure but augments it by creating the new position of Academic Officer to the Deans; a "Three-Dean Model," which creates a new position, the Dean of Faculty Affairs. We would like to emphasize the principles and features shared by these models and then describe the options for implementing our common goals.

The Committee believes that the deans, working in collaboration, should represent the interests of the faculty and supervise faculty affairs. Their responsibilities would include ongoing matters such as faculty recruitment and retention, as well as long-range planning and trouble-shooting. The deans would share responsibility for specific programs and departments. Each dean would be assigned to particular departments and would be responsible both for working with chairs on routine matters and for watching out for the health and well-being of the department. The deans would consult with each other regularly about problems and issues of general concern; when appropriate, relevant questions would be raised in the Faculty of Arts and Sciences Executive Committee or the FAS Policy Committee. The deans would serve on all appointments committees, which they would chair in accordance with their qualifications and availability, rotating when appropriate.

The deans would keep the administration continuously involved in faculty development; identifying weaknesses and areas of opportunity in departments; working closely with chairs on their strategies for hiring, promotion, and termination; promoting departmental coordination in areas of intellectual overlap; fostering new programs by encouraging departments to hire with a view toward interdepartmental as well as departmental needs; seeking outside evaluation of departments; seeking expert advice on disputed cases of appointment and promotion; balancing teaching and research needs; and assuring the overall excellence of Yale's faculty.

Working with each other and other senior administrators, the deans would oversee a variety of academic affairs. With the help of the divisional committees, they would identify areas of weaknesses and opportunity within departments. They would work closely with departments and their chairs on recruitment, promotions, and terminations, monitoring appointments to ensure that the needs of both Yale College and the Graduate School were met. They would conduct regular periodic reviews of the quality of educational and research functions of the departments, using outside advice when appropriate, and work with the divisional committees to oversee the activities and health of departments between formal reviews. Between them the deans would provide informed, concerned, and empowered guidance and help to the departments.

We propose that those budgets related to the Faculty of Arts and Sciences which now reside in the Office of the Provost be administered by the deans. This includes the Faculty of Arts and Sciences faculty budget of junior faculty equivalents, the actual budgets for faculty salaries, and the Science Development Fund. The overall faculty budget salary ranges and annual allocations of set-up costs would remain the prerogative of the Provost's Office working with the FAS Executive Committee. The annual review of faculty salaries would continue to be a collective process involving the provost and the deans. The deputy and associate provosts and deans would participate by providing pertinent information on the departments and individual faculty. The fine tuning of salary and set-up offers to potential new faculty would be executed by the deans within the ranges set during the authorization of the position.

The dean designated by the president would chair all meetings of the FAS Policy Committee. After consultation with members of the departments, the deans would make recommendations to the president for the appointments of departmental chairs. The deans would negotiate with the provost for the budget on faculty appointments and set-up costs and administer that budget. They also would negotiate with the provost for the budget on teaching assistants and administer that budget.

The expanded responsibilities of the deans will require some additional staff and senior faculty administrators for these offices, principally to work in the area of faculty development. However, the relocation of some activities from the Provost's Office to the Deans' Offices should make the necessary positions available without any significant increase in the total number of staff positions. The two options proposed by the committee differ in how they would implement these changes.

a. Option: The Two-Dean Model

Some members of the Committee on Governance, mindful of Yale's traditional administrative structures and wary of investing power in a new administrative office, believe that much of the responsibility for faculty affairs can be transferred from the Provost's Office to the Dean of Yale College and the Dean of the Graduate School. In this model, the two deans would share responsibility for faculty development, academic planning and

administration, and the maintenance of quality within the Faculty of Arts and Sciences. To facilitate the strengthening of the Two-Dean Model, a new position of Academic Officer to the Deans would be created. The academic officer (or officers) would take over some but not all of the duties related to the Faculty of Arts and Sciences that have been carried out in the Provost's Office. The academic officers would keep track of the slot budget, the slot buy cost budget, the Science Development Fund, and space allocations, and keep the deans informed on all pertinent matters. They also would act as advisor to and liaison between the deans and the divisional committees; they would be regular attendees at the meetings of FAS Policy Committee; by invitation they would attend meetings of the advisory committees; they would stay informed and would report to the deans on matters affecting faculty development in Faculty of Arts and Sciences departments and divisions. They also would participate in the planning and execution of periodic departmental reviews.

The academic officers would play a crucial role in the academic effort of the Faculty of Arts and Sciences. This office should be occupied by respected senior faculty members. Such individuals can be recruited to these positions and discharge their responsibilities only if their working time is not consumed by assignment to non-academic tasks. Therefore, the academic officers to the dean would not be asked, for example, to provide line supervision for building renovations, to conduct surveys of safety programs, and so on. Such non-academic tasks would primarily remain in the provost's office, where they are now handled. The restriction of the duties of the academic officer to the academic tasks described here would make it possible for the responsibility to be met without a full-time commitment. This would make it easier to recruit appropriate faculty to take on this position.

The Two-Dean Model establishes a stronger and more active role in faculty development for the deans. Although historically some deans have undertaken responsibility in this area, the only such task specifically assigned to the deans in the present structure is the chairing the appointments committees (in which the two deans alternate). The proposed arrangement would bring the teaching and research goals of the Faculty of Arts and Sciences closer together. By placing direct responsibility for faculty development with the deans, this model encourages consultation between them and focuses their joint attention on the needs of both the undergraduate and graduate programs. It institutionalizes the deans as the identifiable leaders of the academic enterprise of the Faculty of Arts and Sciences.

The advocates of the Two-Dean Model believe that the deans can undertake these additional responsibilities without sacrificing any of their traditional activities and functions. Discussions with past and current administrators indicate that while some deans feel overworked, others feel able and willing to undertake an expanded role in faculty development. Since this model maintains and strengthens the existing structure, it has the advantage of causing minimal disruption. The committee believes that the positions of Dean of Yale College and Dean of the Graduate School should be full-time jobs. With this understanding, those of us who advocate this option believe that the Two-Dean Model would work efficiently and should be tested before a more extensive alteration in administrative structure is undertaken.

b. Option: The Three-Dean Model

Some members of the Committee believe that only the appointment of another Dean would allow a transfer of some faculty affairs from the provostial to the decanal level. Therefore, this option envisions the creation of a Dean of Faculty Affairs who would work with the Dean of Yale College and the Dean of the Graduate School. The advocates of this model believe that the decanal responsibilities that are described and recommended in this report cannot be carried out by the two deans as their positions are now defined. These positions cannot be redefined substantially without seriously diminishing the important roles that the deans now play. Furthermore, it is crucial that a senior administrator have clear responsibility for coordinating matters relating to faculty development and that the office have sufficient stature to attract senior faculty of the highest caliber.

The Dean of Faculty Affairs would work alongside of the Dean of Yale College and the Dean of the Graduate School. All three deans would be members of the FAS Executive Committee (which would continue to be chaired by the provost) and the FAS Policy Committee, which the deans would chair. The Dean of Faculty Affairs would be responsible for coordinating and reporting on faculty-related issues; he or she also would supervise some of the staff transferred from the provost's office and in general would be concerned with the implementation of policies and procedures. Although all three deans would work in collaboration on faculty affairs, and when appropriate divide responsibility for the supervision of specific departments, the Dean of Faculty Affairs would have faculty matters as his or her primary portfolio. The Dean of Faculty Affairs would administer those budgets related to the Faculty of Arts and Sciences which now reside in the Office of the Provost. The annual review of faculty salaries would continue to be a collective process involving the Deans of Yale College, the Dean of the Graduate School, and the Provost, with the addition of the Dean of Faculty Affairs.

The three deans would serve on appointments committees, which they would chair in accordance with their qualifications and availability, rotating when appropriate. Within the collaborative and collective governance structure of the Faculty of Arts and Sciences, this dean would act as coordinator, enabler, and facilitator. The Dean of Faculty Affairs would keep the administration continuously involved in faculty development, identifying weaknesses and areas of opportunity in departments; working closely with chairs; promoting departmental coordination and fostering new programs; seeking expert advice and outside evaluation of departments; balancing teaching and research needs; and assuring the overall excellence of Yale's faculty.

The committee has considered the impact that the introduction of a Dean of Faculty Affairs might have on the Dean of Yale College. Those of us who advocate this option believe that our proposals would maintain the current responsibilities and prerogatives of the Yale College dean while enabling him or her to become more involved in important faculty affairs. Although the Dean of Yale College plays part of the role of a Dean of Faculty as it is defined in many universities, he or she does not currently participate in any

strong way in faculty development. If the Yale College dean were to carry out all the responsibilities outlined above--working closely with chairs on appointments, fostering new programs and interdepartmental cooperation, seeking outside evaluations and advice, using the "slot budget" as a resource in maintaining the overall balance of the Faculty of Arts and Sciences, balancing teaching and research needs, and assuring the excellence of Yale's faculty--he or she would have to delegate to subordinates many of the functions and responsibilities that traditionally have belonged to the dean. This would change the position of Dean of Yale College as we have known it, and diminish the dean's attention to the educational mission of Yale College.

The Dean of Faculty Affairs would strengthen the Dean of Yale College by involving him or her to a greater extent and in a more practical way in the faculty affairs that are currently managed by the Provost's Office (where deputy and associate provosts must try to fill a decanal gap). Working alongside of the Dean of Faculty Affairs, the Dean of Yale College could easily, effectively, and collegially focus attention on the needs of Yale College. The Dean of Faculty of Affairs, working in constant communication with the Dean of Yale College and the Dean of the Graduate School, would be aware of the impact that decisions concerning faculty slots, appointments, etc. would have on the curricular and other needs of the two Schools. A collegium of deans, each with an area of major responsibility and a special expertise, would work together in governing and promoting the Faculty of Arts and Sciences. Furthermore, this appointment would free the Dean of Yale College from some of the present part-time duties related to implementing faculty affairs. With this support the proper duties of the Yale College dean could be assumed more readily. The Dean of Yale College would be able to participate in Faculty of Arts and Sciences faculty decisions in a more informed and meaningful way and he or she would have more time to devote to the demanding responsibilities of Yale College affairs.

Many of these arguments also apply to the Dean of the Graduate School, who also would be an equal member of the collegium. It had become evident in recent years how much the concerns of the Graduate School are interrelated with the concerns of the College and Yale's status as a research institution. Working with the Dean of Yale College and the Dean of Faculty Affairs, the Dean of the Graduate School would have a greater opportunity to work on Graduate School issues (such as graduate student stipends and salaries, teaching and research needs, fund raising, etc.), coordinate areas where graduate students interact with faculty and undergraduates, place the important concerns of the Graduate School on the Faculty of Arts and Sciences agenda, and in general participate in Faculty of Arts and Sciences faculty affairs.

### 3. Anticipated Benefits of Decanal Governance.

In the context of other Governance Committee recommendations which enhance the FAS Policy Committee and the divisional committees, both of these models seek to continue and strengthen the tradition of a collegium of administrators guiding Yale's educational policies. The provost's office would become more efficient and manageable since it would

be relieved of some of the day-to-day responsibilities which currently strain its resources. The Dean of Yale College and the Dean of the Graduate School would become more involved in faculty affairs since responsibility for such issues would be transferred from the provostial level to the decanal level. The responsibilities of implementation would be served by the newly appointed Dean of Faculty Affairs or the Deans of Yale College and the Graduate School working with the assistance of the academic officers; those who have responsibility for education would increase their involvement in faculty affairs in a coherent and orderly way. The faculty of the Faculty of Arts and Sciences would have clearly defined advocates to represent their interests within the administration. Increased efficiency, greater focus, and a clearer division of administrative responsibilities would make faculty governance more responsive and responsible.

## VII. Liaison With The Corporation

The university is fortunate to have the services of the dedicated people who are members of the corporation. However, along with the prominence of these members goes the fact that they are very busy and have only a limited amount of time to be in New Haven. Much of this time necessarily is spent in official meetings. The university would benefit from their increased familiarity with matters at Yale.

We have already specified that the Faculty of Arts and Sciences Faculty Council should have the "right and responsibility... to afford general consultation.. occasionally to the corporation on major policy questions". It should be made clear that the prerogative to initiate such consultation should be available to the council as well as to the corporation. In order to fulfill this function of the council, it would be helpful to have occasional meetings (approximately once each term) between representatives of the council and the corporation. The corporation has informed us that they welcome contact with the faculty and have discussed several mechanisms including the possibility of forming a corporation subcommittee to meet with faculty. In addition to meeting themselves with the corporation, the faculty council might bring other faculty members with important concerns into contact with the corporation.

## VIII. A Dissent with Respect to Models of Decanal Governance.

Some members of the committee believe that neither the Two-Dean nor the Three-Dean Model brings sufficient senior faculty strength to the task of Faculty of Arts and Sciences governance. The Faculty of Arts and Sciences faculty represent a Yale commitment of roughly \$50 million per year. There are approximately 650 faculty members, divided into about 30 Faculty of Arts and Sciences departments. The educational missions of Yale College and the Graduate School should be the primary focus of attention of a dean selected from the respected senior faculty. In the provost's office there are 3-4 people responsible for allocating faculty resources among departments and bringing focus to attracting and retaining top quality faculty. The process is particularly time consuming in

the sciences because of the complex issues of laboratory set-up and renovation needs that accompany appointments: currently two deputy provosts are assigned to the science and engineering departments alone. As stated as a general principle in the report, departmental chairs should be able to consult with a senior faculty administrator. A governance structure that transfers responsibility to the decanal level must provide to the group of deans resources that are commensurate with this definition of their responsibilities.

In either the Two- or the Three-Dean Model, the deans are, and indeed should be, occupied with their respective responsibilities to Yale College and the Graduate School. It is difficult to envision adding to their present duties the task of liaison with Faculty of Arts and Sciences chairs. Management of faculty affairs in the Two-Dean Model would have to fall largely to the sub-decanal, part-time academic officers. Those who favor the model described below believe that this allocation of authority underestimates the task of building and retaining a great faculty.

In the Three-Dean Model, given the other duties of the College and Graduate School deans, it will fall to the Dean of Faculty Affairs to interact with most department chairs. It will be difficult to replace the 3 or 4 people who currently carry out this responsibility with a single Dean of Faculty Affairs; the Dean of Faculty Affairs still will have to act largely through deputies. If all departments are the responsibility of deputies, then an unfortunate aspect of the present system is reproduced. If some departments deal directly with the Dean of Faculty Affairs, and others through deputies, the inequality may cause discord.

Currently the deputy and associate provosts are chosen from fields that cover the four main divisions of Faculty of Arts and Sciences. Since commitment to educational goals, not field diversity, must be the primary qualification for the Deans of the College and Graduate School, the problem arises in the Two- and Three-Dean models of how to arrange for the deans to be familiar with the vastly different needs of the Faculty of Arts and Sciences divisions.

One solution to these difficulties envisions two or three Deans of Faculty Affairs. The resulting governance system would be parallel to the existing structure, except that the group of deputy and associate provosts would be replaced by the Deans of Faculty Affairs. Together with the Dean of Yale College and the Dean of the Graduate School, they would manage the academic affairs of Faculty of Sciences and Arts under general budgetary guidelines agreed on with the provost. The Deans of Faculty Affairs would be senior faculty recommended by a faculty search committee and appointed by the President for a fixed term. They would be subject to review before reappointment, as is the case now for Deans of Schools. Because of these assurances of general faculty confidence, the provost could delegate more authority than is now the case, and could expect broad faculty support.

VIII. SignatoriesA. Signatories of the Report

Thomas Appelquist  
Jerome A. Berson  
William C. Brainard  
Peter Brooks  
Nancy F. Cott  
Donald M. Crothers  
Gary L. Haller  
David B. Marshall  
David R. Mayhew  
Alison F. Richard

Robert G. Shulman  
Brian J. Skinner  
Robert J. Wyman

B. Signatories of the Dissent with Respect to Models of Decanal Governance

Donald M. Crothers  
Gary L. Haller  
Robert J. Wyman