

PROPOSED ALTERATION OF THE WAY IN WHICH  
APPOINTMENTS ARE MADE TO THE FACULTY OF  
YALE COLLEGE AND TO THE FACULTY OF THE  
GRADUATE SCHOOL

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AND TO THE FACULTY OF THE GRADUATE SCHOOL

to be presented by the Provost to a joint  
meeting of the Permanent Officers of the  
two faculties, Thursday, October 12, 1961

Mr. President:

Background

The problem of appointments procedure has long been a matter of faculty discussion. It has produced its share of committee reports and faculty action. What follows, therefore, is neither bold nor new, but is rather an outgrowth of views and concerns which have been expressed by members of the faculty for many years. During the past year the deans and several members of the faculties have talked with me about the way in which faculty appointments are made, especially senior appointments. All expressed some dissatisfaction with the existing procedure, either on the ground that it was too cumbersome, or on the ground that it did not do the job as effectively as some other system might.

Early in July the two Deans and the three Directors of the divisions within the faculty of arts and sciences met informally with me. They urged a systematic reappraisal of the procedure for making appointments. With your encouragement we continued discussions to this end throughout the summer.

This meeting has been called by you at the request of the two Deans and the three Divisional Directors in order to present to the permanent officers of both faculties the proposal which emerged from our deliberations.

Before describing the proposal, it may first be helpful to mention our views on the procedure under which we now operate.

I.  
atisfactions  
in the  
present  
Procedures

All of us believe that Yale is wise to continue the tradition whereby all the senior members of a faculty bear a responsibility for additions to its senior ranks. The proliferation and specialization of knowledge may make it impossible for all members of a faculty to exercise a truly informed judgment about a candidate for appointment in a field far removed from their own. Often a faculty as a whole can do little more than ratify the recommendations which come to it through committees from departments. The uninhibited power of a faculty to question a recommendation from a great variety of points of view, however, keeps committees and departments on their toes. This helps to maintain high standards even if in the general run of cases the influence of the faculty as a whole is felt more by way of anticipation than by way of its registered vote.

All of us also feel that collective responsibility for senior appointments is an important element in the fact and in the feeling of faculty self-determination. This seems to us important to the esprit of a faculty and also important to the standing of the University and its faculties in the eyes of colleagues elsewhere, including those whom we will want to attract from other colleges and universities.

General  
Faculties

We consider that the organization of separate faculties with special concern for the quite distinctive potentialities and problems of undergraduate and graduate education is a great source of strength at Yale. We all share the awareness that a college in a university could easily suffer from neglect if it were submerged in a single university faculty whose departments and administrators are, in the present national academic atmosphere, especially responsive to the needs, rewards, and prestige of graduate work and advanced research. This is today's counterpart of the fear of an earlier generation that the graduate school would be neglected if it were submerged in a single University faculty when Yale College was being transformed into a University.

Divisional  
Structure

The three Divisional Directors, the two Deans and I are also very much in favor of the present system of appointing an active teacher and scholar for a relatively short

term as chief advisor to the President and central administration on matters pertaining to a broadly defined but intellectually sensible division within the arts and sciences. The appointment of advisory committees to explore the problems and possibilities, the strengths and weaknesses within such divisions seems to us very valuable. Precisely because we are in favor of having these Directorships held by active scholars, however, we feel it important that they should not evolve into functional deanships or be loaded with executive responsibilities which would be an excessive distraction from a Director's own active scholarly and teaching work.

Summary

In short we favor continuing the responsibility of the whole senior faculty for additions to their ranks. We would preserve the division into separate graduate and undergraduate faculties for the consideration of educational programs and policies. We support the advisory function of the Divisional Directors and the Divisional Committees. These are all elements in the present system which we feel should not be impaired by any alteration of appointments procedures.

II.  
New  
Conditions  
and Dis-  
satisfactions

The sources of dissatisfaction all seem to stem from general trends in education, to which Yale has made and must make continuous adjustment if this University is to maintain its position among the best of the world's universities.

The growth of knowledge, the specialization of disciplines, professions, and careers, the intellectualization of undergraduate life and motivation, the sharp increase in demand for faculty talent throughout the country,--all these, and other factors too, put pressure upon us to look at an appointment in terms of its contribution to a department's capacity to fulfill both its graduate and undergraduate responsibilities, to make more expert our evaluations of candidates for appointment, and to make our procedure more expeditious.

Both  
Faculties  
Concerned

Even though a candidate for appointment will in most cases be assigned to the faculty of Yale College or to the faculty of the Graduate School, and not to both, it is unlikely that his work as teacher or as scholar will be exclusively concerned with either graduate students or undergraduates. Normally the department initiating the recommendation has considered the candidate's potential in terms of the department's educational and scholarly needs as a whole, without exclusive reference to the distinctive functions of either of the two faculties. If this is so, then it seems unfortunate that the final recommendation should exclude, as it now does, the judgment of the senior members of either one of the faculties in the arts and sciences.

Redundant  
Committees

The current procedure for permanent appointments involves a review by two committees: first, by the appropriate Divisional Committee, for advisory purposes; and second, by the Joint Committee on Appointments. All parties concerned with this procedure appear to agree that it is unduly cumbersome and time-consuming. In addition it incurs the dangers and uncertainties inherent in overlapping responsibility.

We feel that senior appointments do need careful review by some group well acquainted with the particular field and its intellectual neighbors, which also has a perspective somewhat broader and an involvement less intimate than the department proposing the appointment. At the same time, it is important that any committee acting on appointments should be fairly representative of the two faculties and should operate under the direction of the two deans.

Summary

In short, we do not think that the final recommendation should be the sole responsibility of either one of the faculties alone, but should be shared by both. We do not think that a senior appointment should be able to avoid the scrutiny of some group, other than the department, which has special competence in the man's own field or at least in areas which share the same methodology or subject matter. We do not think

that there should be more than one level of committee review between the departmental recommendation and the final action of the faculty.

Against this background the following proposal has been prepared for the consideration of both faculties. It can be tried within the framework of existing Corporation by-laws and faculty regulations dealing with appointments.

This meeting is not expected to act now on the proposal. It is hoped, however, that this joint meeting will permit questions to be raised and answered so that deliberation and action by the two boards at an early date can be taken without the necessity of spending a great amount of time in separate meetings on purely informational and explanatory aspects.



The proposal is essentially a consolidation and simplification of existing faculty and committee functions.

Joint  
Meeting  
of the  
two  
Boards

The Boards of Permanent Officers of the faculty of Yale College and of the faculty of the Graduate School would meet and vote jointly on appointments. An affirmative vote would be required for appointment to the rank of associate or full professor to either faculty. Appointments to the rank of assistant professor, instructor, visiting professor or lecturer would stand approved unless objection were raised and a negative vote taken on the appointment concerned. Appointments of assistants in instruction, and research associates, and research assistants would be reported to such joint meeting for information. When the Boards meet jointly for the consideration of appointments, they would be presided over by the President, in his absence by the Provost, and in his absence by the Dean who was during that year Chairman of the Joint Committee on Permanent Appointments.

Joint  
Committees

The Joint Appointments Committee would be reconstituted into two separate groups: one committee for the consideration of Appointments to Associate Professorship and above; another committee for the consideration of all others. (Although not all Associate Professorships will be tenure appointments it will simplify the remainder of the presentation to refer

to the first of these committees as the Joint Committee on Permanent Appointments, and to the other as the Joint Committee on Term Appointments.)

Permanent Appointments

The Joint Committee on Permanent Appointments would consist of the two Deans, who would alternate from year to year as its chairman. The rest of the membership would fluctuate depending upon the field within which the proposed appointment arose. For the purpose of considering any particular appointment, it would consist of the members of the Divisional Committee which the Dean, then chairman, thinks is most appropriate. When sitting as a joint appointments committee the members of a Divisional Committee would be presided over by the Dean, rather than by the Director of the Division. The Divisional Committees would be appointed by the President after consultation with the Executive Committee of the Faculty of Arts and Sciences and the three Divisional Directors.

Term Appointments

The Joint Committee on Term Appointments (excluding associate professorships) would consist of the two deans and six faculty members. One Professor or Associate Professor would be appointed by each of the Divisional Directors. Three other members of Professorial or Associate Professorial rank would be appointed jointly by the Dean of Yale College and the Dean of the Graduate School. This committee will not fluctuate

throughout the year. The Dean who was not in a given year chairman of the Committee on Permanent Appointments would be chairman of the Committee on Term Appointments.

Operation of the Proposal would require an appointment to go through the following steps.

1. Departmental consideration and decision to recommend the appointment.
2. Consultation with the Provost on allowable salary ranges and the possibility of creating an additional faculty position if required.
3. Referral to the Dean who is chairman of the appropriate joint appointments committee.
4. Presentation of the recommendation by the department to the appropriate Joint Appointments Committee.

(In the case of Permanent Appointments to a committee consisting of one of the Deans as chairman, the other Dean, and the members of the appropriate Divisional Committee.

In the case of Term Appointments to a committee consisting of the two deans, three members appointed by the Divisional Directors and three members appointed by the Deans.)

5. Presentation of the Joint Appointments Committee's recommendation to a joint meeting of the Permanent Officers of the Faculty of Yale College and of the Graduate School presided over by the President, Provost, or the Dean who is chairman of the Joint Committee on Permanent Appointments.
6. Vote by such a joint meeting on all recommendations for appointment to Associate Professor or above. Vote only in the event of objection raised in the case of other full-time teaching appointments.

Information only in the case of assistants in instruction, research associates, and research assistants.

7. Presentation of the recommended appointment to the Educational Policy Committee of the Corporation by the Provost.

REPORT OF THE JOINT NEGOTIATING COMMITTEE OF THE GRADUATE SCHOOL  
AND YALE COLLEGE CONCERNING THE REVISED APPOINTMENT PROCEDURE

1. Background: The Boards of Permanent Officers of the Graduate School and of Yale College, acting separately, approved in principle the proposed alteration of appointments procedures which was presented by the Provost to the Joint meeting of the Boards of the two Schools on October 17, 1961 subject to two conditions:

- a) that the revised procedures be reviewed at the end of three years; and
- b) that a Joint Negotiating Committee representing the two Schools be established to work out various details of the procedure including suggestions to modify the composition of the Joint Committee on Permanent Appointments as provided in the original proposal.

The Joint Negotiating Committee recommends unanimously the procedures outlined below, to which the Provost and the three Directors have also agreed.

2. Effective Date of the New Procedures: Since the Joint Negotiating Committee found no serious differences of opinion between the desires of the two Schools, the new procedures shall be effective at once.

3. Composition of the Joint Committee on Permanent Appointments: The Joint Committee on Permanent Appointments shall consist of:

- a) the two Deans, who will alternate from year to year as Chairman;
- b) the members of the Divisional Committee which the Chairman-Dean thinks appropriate;
- c) to complement the members of each of the Divisional Committees when they sit on appointments, two other members chosen from each of the two other Divisions (but not members of the other Divisional Committees): the Chairman-Dean shall designate each year, after consultation with the other Dean, three pairs of faculty members to serve in this capacity.

The Joint Committee on Permanent Appointments may call in other consultants or request letters of evaluation upon its own initiative when it believes this desirable.

4. Routing of Recommendations for Appointments: Appointment blanks and all supporting materials should be routed as indicated below. Supporting materials will be available to all Permanent Officers in the office of the corresponding Dean.

- a) Professors and Associate Professors.  
To the Chairman of the Joint Committee on Permanent Appointments - For the year 1961-62, Dean DeVane.
- b) Assistant Professors, Lecturers, Visiting Appointments and Research Associates.  
To the Chairman of the Joint Committee on Term Appointments - For the year 1961-62, Dean Miller.
- c) Instructors, Assistants in Instruction and Leaves of Absence.  
To the Dean of the School to which they are to be assigned.

- d) Research Assistants.  
To the Dean of the Graduate School.

5. Materials to be supplied for Proposed Appointments: Department Chairmen shall provide the Chairman of the appropriate Appointments Committee the following materials:

- a) Vita. In the case of appointments of Professors or Associate Professors, 200 copies of a one-page or at most two-page vita to include material indicated in Appendix A. In the case of appointments to the rank of Assistant Professor, Instructor and Lecturer, 12 copies of a vita.
- b) Publications. Copies of the candidate's principal publications, including books and articles, but not generally book reviews.
- c) Reviews. Reviews of the candidate's major publications.
- d) Letters. Letters of recommendation, including comparisons of the candidate with others working in the same or a related field. Such letters will not be expected generally in the case of lecturers, instructors or first-term Assistant Professors.

6. Conduct of Joint Meetings of Permanent Officers:

- a) For the year 1961-62 Dean DeVane will be Chairman of the Joint Committee on Permanent Appointments and Dean Miller will be Chairman of the Joint Committee on Term Appointments.
- b) The Secretary of the Joint Meeting will be the Dean who is Chairman of the Joint Committee on Term Appointments.
- c) Meetings will be held as necessary in the Faculty Room of Connecticut Hall at 4:00 P.M. upon notice by the Provost one week in advance of the meeting. The usual day will be Thursday; but since members of the Graduate School have not had prior notice to arrange other commitments, meetings may be called this year on either Thursday or Friday.
- d) The notice of the meeting should include the names of all Professors and Associate Professors to be considered for appointment.
- e) A one or at most two-page vita concerning each appointment approved by the Joint Committee on Permanent Appointments will be sent out with the call of the meeting.
- f) The Chairman of the Joint Committee on Permanent Appointments will present to the Permanent Officers the recommendation of the Joint Committee concerning each appointment to rank of Professor or Associate Professor, indicating the vote of the Committee and the school to which he is to be assigned. The Chairman of the relevant Department will make a brief statement of the case, not repeating the details included in the vita which is sent out in advance. Discussion, comments and questions will then be encouraged. Unless there is a motion to lay a proposal on the table for future action, vote will then be taken. In the case of tenure appointments, the vote will be by secret ballot. In the case of term appointments of Associates Professors, the vote will be by voice.

- g) A list of appointments approved by the Joint Committee on Term Appointments, and of appointments and leaves approved by the Deans, will be presented to the Joint Meeting. Unless questions are raised, recommendations will stand as approved. If questions are raised concerning any individual recommendation, the appropriate Dean or the Chairman of the Department concerned will explain the case. After discussion, a voice vote will be taken concerning any such proposal if a member of the Joint Meeting so requests.
- h) The various materials supplied to the Appointments Committee, including publications and reviews of the candidate's publications, letters of recommendation, etc., will be available at the meeting but will not be passed around unless requested.

For Yale College:

William C. DeVane, Dean  
Kent T. Healy  
Charles E. Rickart

For the Graduate School:

John Perry Miller, Dean  
Franklin L. Baumer  
Neal E. Miller

APPENDIX A

Vita to Accompany Proposed Appointments  
(Generally one page - but not to exceed two pages)

1. Name
2. Proposed Rank and Term
3. School to which assignment is proposed.
4. Date and Place of Birth
5. Summary of College and Graduate Education
6. Summary of professional career including length of service  
at Yale and any major activities at Yale.
7. Professional honors or recognition
8. Brief (one paragraph) statement of the reason for the appointment; e.g. the role candidate will play in teaching and research activities of the department, his professional standing, etc. This should not exceed 8 or 10 lines.
9. Selective list of major publications on which the candidate's scholarly reputation stands. This will not generally include book reviews and miscellaneous items written by the candidate.